



**FINRA INSTITUTE
AT WHARTON
CRCP PROGRAM
10TH ANNIVERSARY**



**UNIVERSITY OF PENNSYLVANIA
THE WHARTON SCHOOL
JON M. HUNTSMAN HALL**

**3730 WALNUT STREET
PHILADELPHIA, PENNSYLVANIA
NOVEMBER 7, 2010**



**HARKER HALL
RECEPTION 6 p.m.**

**COLLOQUIUM HALL
DINNER 7 p.m.
ALUMNI PANEL 7:45 p.m.**

**TOPIC:
TEN YEARS OF CRCPS - CAREER SUCCESS
AND ADVANCEMENT
MODERATOR:
PROFESSOR WILLIAM C. TYSON**



**Academic Director
Professor William C. Tyson**
*The Wharton School and
The Law School,
University of Pennsylvania*



**Co-Academic Director
Professor Eric W. Orts**
*The Wharton School,
University of Pennsylvania*



**Program Director
Tamela Vieira**
*Aresty Institute of Executive
Education,
The Wharton School,
University of Pennsylvania*

PANELIST

C. MARTIN MEEKINS CRCP '09



C. Martin “Marty” Meekins is the Assistant General Counsel for Perella Weinberg Partners in New York. Perella Weinberg Partners is a global financial services firm with asset management, corporate advisory and investment banking businesses. Joined soon after launch and integral to the development and execution of its regulatory and legal infrastructure, including the firm’s registered investment advisers, which now have over \$6 billion in AUM in hedge funds, funds of hedge funds, separate managed accounts and private equity funds. Counsel global corporate advisory and investment banking business in all aspects of business, as well as state, federal and international regulatory matters, fairness opinions and securities litigation related to such transactions.

Prior to joining Perella Weinberg Partners, Marty Meekins was a corporate associate at several law firms, including Covington & Burling in Washington, D.C. and White & Case in Los Angeles. He attended The University of Texas at Austin, including the School of Law and The McCombs School of Business. He earned his B.A. in the Plan II Honors Program in 1993, Phi Beta Kappa and graduated as the Dean’s Distinguished Graduate. He then earned his Doctorate of Jurisprudence and Master in Business Administration in 1997. Meekins graduated from the FINRA Institute at the Wharton School in 2009. He is a member of the Managed Funds Association and sits on the New York City Bar Association’s Private Investment Funds Committee.

PANELIST

DOUGLAS SCHULZ CRCP '01



Douglas Schulz has worked in the securities industry for over 30 years. He has worked as a registered representative for such firms as Bear Stearns, Merrill Lynch and Investors Diversified Services (IDS). He has held numerous securities licenses and certifications such as the Series 24, 6, 7, 3, and CRCP (2001), and he has also worked as a registered investment advisor. In addition, since 1989 Mr. Schulz has been a securities expert witness through his Company Invest Securities Consulting Inc. which is based in southern Colorado. He has been involved in over 1,000 cases and has testified over 500 times. He has worked closely with regulators on numerous cases and was an arbitrator for both the NYSE and NASD/FINRA. He co-authored a book Brokerage Fraud What Wall Street Doesn't Want You to Know with Tracy Pride Stoneman, a nationally known securities attorney. The book was favorably reviewed by both BusinessWeek and Complanet. Mr. Schulz has been quoted in almost every financial publication in the United States, and due to the popularity of his book was a regular guest on financial radio and television programs. He has been a prolific author of articles and treatises on securities regulation and securities arbitration. Some of his more sought after publications are on the issues of online trading and unauthorized trading.

PANELIST

AMY LYNCH CRCP '02



Ms. Lynch has over 20 years experience in the financial industry. She began her compliance career with the SEC's Office of Compliance Inspections & Examinations, working in both the New York and Washington, DC offices. At the SEC, she was responsible for conducting examinations of mutual funds, investment advisers, and insurance firms nationwide. From there she moved into the private sector where she served as DOC and CCO for firms such as Mercantile Capital Advisors, Inc. (a

bank affiliated investment adviser) and E*Trade Financial, and was Vice President at RegEd.com, where she developed a leading branch audit software program. Ms. Lynch later returned to the regulatory side with FINRA (formerly NASD) in Washington, DC. There she specialized in heightened regulatory issues confronting the securities industry and was responsible for managing several industry wide "sweeps" conducted by FINRA's Enforcement Department.

Ms. Lynch was one of the first graduates (October 2002) of the FINRA Institute/Wharton School Certification Program and holds the Certified Regulatory Compliance Professional ("CRCP") designation in addition to her B.S. in Business and Economics. Ms. Lynch has been a frequent speaker at industry conferences sponsored by such organizations as the Securities Industry and Financial Markets Association (SIFMA), Investment Company Institute (ICI), ALI-ABA and Insured Retirement Institute (IRI). She has also presented at conferences and webinars for media and event groups including *Institutional Investor*, *BD Week*, *Financial Advisor*, IA Watch and Financial Research Associates. She has spoken on a variety of regulatory topics such as investment adviser compliance, regulatory challenges for broker-dealers, variable product compliance, soft dollars, mutual fund compliance, valuation, advertising, electronic communications and auditing.

PANELIST

LISA J. HENOCH CRCP '08



Lisa Henoch joined TD Ameritrade in 2006 as Chief Compliance Officer and now serves as Deputy General Counsel, Regulatory Compliance. Ms. Henoch is responsible for providing legal counseling and responding to regulatory requests concerning retail sales, services, products, supervision, policies and communications. She has worked in the securities industry since 1983 in the legal and compliance departments of Shearson Lehman Brothers, E.F. Hutton, and B.C. Christopher Securities in New York, Los Angeles and Kansas City. She was a securities consultant for the regional law firm of Morrison & Hecker and a litigation attorney for the national and international law firm of Bryan Cave, both in Kansas City. From 1996 to 2006, Ms. Henoch was Sr. Regional Attorney and Associate Director of NASD, District 4 (n/k/a FINRA). She received a Bachelor of Arts degree from the University of California at Los Angeles, and a Juris Doctorate degree with honors from the University of Missouri at Kansas City where she was Articles Editor of the UMKC Law Review. Ms. Henoch is a 2008 graduate and instructor for the FINRA Certified Regulatory & Compliance Professional program (CRCP) and a frequent speaker at industry conferences.