

NORM CHAMP TO DELIVER KEYNOTE AT ACA COMPLIANCE GROUP SPRING 2015 CONFERENCE

NEW YORK, NY – April 20, 2015 – Norm Champ, former Director of the Division of Investment Management of the U.S. Securities and Exchange Commission, will deliver the keynote at the Spring 2015 Compliance Conference hosted by ACA Compliance Group, a leading global provider of regulatory compliance products and solutions to the financial services industry. The conference is being held at the JW Marriott Marquis in Miami, Florida from April 22-24, 2015. Champ will deliver the keynote on April 23, 2015.

In his keynote address titled, “New Kid in Town,” Champ will address over 300 compliance professionals attending the conference. He will discuss the various elements to be considered by firms in the financial services industry when making compliance-related resourcing and funding decisions. Champ will also share his insights on how the newly-created Financial Stability Oversight Council composed of ten regulators, including the heads of top U.S. financial services regulators, will impact firms’ decision-making processes. In addition, he will highlight the importance of firms treating their clients fairly, staying on top of the developments at the SEC and continually testing the effectiveness of their resource allocation plans.

“I am honored to keynote at the ACA Compliance Conference,” said Champ. “I plan to discuss what I call the ‘Compliance Calculus,’ something I strongly recommend financial services firms take into account when making decisions about compliance resource allocation. The Compliance Calculus includes four elements - treating clients fairly, staying on top of developments at the SEC through all means available, making a plan on how to allocate resources, and testing that plan to make sure that it is working for the firm and its clients.”

He added, “There is a new reality that compliance officials need to face - the SEC is no longer the only regulator of broker-dealers, investment advisers, and investment companies. Financial services firms need to understand how the search for systemic risks within the industry by the Federal Reserve and other regulators on the Financial Stability Oversight Council can impact their compliance efforts.”

“We are thrilled to host Norm Champ at our Spring Conference,” said Kimberly Daly, Senior Principal Consultant, who oversees the Compliance Conferences at ACA Compliance Group. “His expertise and experience will prove valuable to the attendees who work hard to help their firms comply with the federal securities laws.”

A Visiting Scholar and Lecturer on Investment Management Law at Harvard Law School, Champ has received high acclaim for his work at the SEC. Under his leadership, the SEC adopted the new rule in July 2014 to reform money market mutual funds and the portion of the Volcker Rule covering private funds. He also headed the creation of IM Guidance Updates and Senior Level Engagement, initiatives created to provide transparency to the industry and to engage with boards and senior management of asset management firms, respectively. Prior to becoming the Director of the Division of Investment Management, Champ was the Deputy Director of the SEC’s Office of Compliance, Inspections and Examinations and the Associate Regional Director for Investment Management Examinations in the SEC’s New York Regional Office.

Before joining the SEC in 2005, Champ was Executive Vice President and General Counsel of Chilton Investment Company, an investment adviser to long/short equity hedge funds and managed accounts. Prior to joining Chilton in 1999, Champ was with the law firm of Davis Polk & Wardwell. From 1990 to 1992, he clerked for the Honorable Charles S. Haight, Jr. of the U.S. District Court for the Southern District of New York. Champ has an A.B., *summa cum laude*, in History from Princeton University and a J.D., *cum laude*, from Harvard Law School. He was a Fulbright Scholar at King’s College London where he received his M.A. in War Studies.

About ACA Compliance Group

ACA Compliance Group ("ACA") is a leading global provider of regulatory compliance products and solutions, cybersecurity and technology risk assessments, performance services, and technology solutions to the financial services industry. Founded in 2002 by former SEC examiners and state regulators, ACA develops and provides its products through a world-wide team of former SEC, FINRA, FSA, NYSE, CFTC, NFA, and state regulators, as well as former senior in-house compliance professionals and technologists from prominent financial institutions. ACA serves a diverse base of leading investment advisers, private fund managers, and commodity trading advisors, investment companies, and broker-dealers. ACA's products include standard and customized compliance packages, cybersecurity and technology risk assessments, GIPS® verifications and other performance services, and a wide variety of technology solutions for financial services firms. For more information, please visit www.acacompliancegroup.com.

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