



## INVESTMENT ADVISER ASSOCIATION BOSTON COMPLIANCE WORKSHOP

Tuesday, October 10, 2023

### SPEAKER BIOS

**Silvestre A. Fontes** is regional director of the SEC’s Boston Regional Office, where he leads a staff of more than 180 attorneys, accountants, investigators, securities compliance examiners, and other personnel involved with enforcement and examinations in the region. He formerly worked in the Boston office’s enforcement program and as the first supervisor of its Market Abuse Unit. Previously, Fontes served as Chief Compliance Officer of Bracebridge Capital LLC and several Wellington Management Company regulated entities, and as director in the Financial Services Regulatory Practice of PricewaterhouseCoopers. He earned his B.A from Boston College, A.M. from the University of Chicago, and J.D. *cum laude* from the University of Pennsylvania.

**Kevin M. Kelcourse** is associate director for the Division of Examinations at the SEC’s Boston Regional Office. He leads a staff that conducts inspections and examinations of investment advisers, investment companies, hedge funds, private equity funds, broker-dealers, municipal advisers, transfer agents, and other securities firms in New England. He is also currently serving as acting co-regional director for the office. Kelcourse previously worked for the Division of Enforcement, including as assistant director in the Division’s Asset Management Unit. Prior to the SEC, he was a federal prosecutor with the Justice Department and an associate with O’Melveny & Myers. He is a graduate of Georgetown University Law Center and Georgetown University.

**Joseph M. Mannon** is a shareholder and co-chair of the Investment Services Group at Vedder Price. He focuses his practice on legal and compliance matters for investment advisers, mutual funds, closed-end funds, and unregistered vehicles such as hedge funds, hedge fund of funds and other investment entities. He has substantial experience in regulatory and compliance matters affecting investment advisers, including registration and marketing, such as compliance with Global Investment Performance Standards (GIPS), as well as in drafting compliance policies and procedures. Mannon also spends significant time counseling registered and unregistered investment company boards. He earned his B.A. from Michigan State University and his J.D. from Loyola University Chicago School of Law.

**Michael W. McGrath, CFA** a partner at Dechert LLP, focuses on advising global asset managers in the formation and operation of investment funds, regulatory compliance, and securities and commodities law across a wide range of asset classes and fund structures. He has significant experience advising asset managers on regulatory and transactional matters, including the formation and operation of private equity funds, hedge funds, real estate funds, credit funds, separate accounts and mutual funds. Previously, McGrath was a partner at K&L Gates LLP, as well as vice president and senior counsel with Allianz Global Investors. He received a J.D. from Duke University and an A.B. from Stanford University.

**Craig Moreshead** is a partner at ACA Group where he oversees ACA's Regulatory Advisory practice, which provides strategic and regulatory guidance to investment advisers under the Advisers Act and state securities laws. Prior to ACA, he served as in-house counsel for a large financial services company. He has more than 25 years of experience providing regulatory compliance services to private fund managers, registered investment companies, and retail investment advisers. During his career, Moreshead has written and spoken on a variety of topics including custody, cybersecurity, advertising, private fund compliance, and conflicts of interest. He received his B.A. from Hofstra University and a J.D. from Capital University Law School.

**Monique S. Botkin** is associate general counsel of the IAA. Prior to joining the IAA in 2004, she was an associate in the financial services groups at Dechert LLP in Newport Beach, California, and Alston & Bird LLP in Washington, DC. While in private practice, Botkin represented investment advisers, registered investment companies, private funds, and broker-dealers in corporate, securities and investment management matters. Botkin also served as an attorney in the SEC's Division of Investment Management disclosure review office from 2013 to 2014. She earned her B.A. in government and politics from the University of Maryland at College Park and her J.D., cum laude, from Southwestern University School of Law in Los Angeles, where she was an editor of the Law Review.