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Title of Presentation:  
Securities and Investment Management Fraud:  
Case Studies of SEC Enforcement Actions

Bio:

Rob Tull is a Senior Consultant with SEC Compliance Consultants, Inc. (SEC3) and draws on a blend of regulatory, financial, and accounting experience to assist investment advisers, mutual funds, and hedge fund managers with designing and implementing all facets of their compliance program, from risk assessment and policy development to monitoring and testing activities.

Prior to joining SEC3 in 2006, Rob was an Examiner and Staff Accountant with the U.S. Securities and Exchange Commission in Philadelphia for over six years, where he led exam teams in conducting routine, cause, and risk-targeted examinations of investment advisers, investment companies, hedge funds, transfer agents, and administrators. In addition managing the scope and testing procedures of exams, Rob's financial and accounting strengths were often utilized in conducting detailed forensic analysis for examinations and in support of enforcement matters. Aside from his other duties while at the Commission, Rob conceptualized and designed a platform to assess the inherent risks of investment advisers by applying algorithms to registration data; this process was adopted by the Commission's examination program nationwide.

Rob has spoken at the regional Commission-sponsored *CCOutreach* in Conshohocken, PA, the National SEC Senior Examiner Conference in Washington, DC, and the Commission-sponsored Enforcement Coordination Conference.

Rob earned his BS in Finance from Villanova University and is a member of Pennsylvania Institute of Certified Public Accountants and the Association of Certified Fraud Examiners.