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### Articles, Speeches and Presentations

2002 – 2010 <sup>1</sup>

Type	Detail
<b>Presenter</b>	Webinar: National Regulatory Services, Investment Adviser Association on February 23, 2010 <i>Form ADV, Part II and Identifying and Disclosing Conflicts of Interest</i>
<b>Presentation</b>	Seattle Compliance Group on January 20, 2010 <i>The Annual Review and the Role of the CCO – Best Practices and Guidance</i>
<b>Presenter</b>	Webinar: National Regulatory Services, Investment Adviser Association on November 17, 2009 <i>Mastering the Investment Advisers Act of 1940: Sections 206-222 and Related SEC Rules</i>
<b>Presenter</b>	Webinar: IA Week / IA Watch on August 11, 2009 <i>Ideas to Overcome Today's Top Challenge for Compliance Programs: How to do More with Less, Chief Compliance Officer Panelist Member</i>
<b>Article</b>	<i>Pete's Perspective: It's True, You Can Use Article Reprints!</i> Peter Maftciu, President, Maftciu Consulting LLC March, 2006 (published by Complinet, IA Week)
<b>Article</b>	Schwab Institutional Compliance Review <i>Disaster Recovery Planning, Preparing for the Unexpected</i> December 2005, Volume 14, Issue 10
<b>Article</b>	<i>A Practical Guide to Prepare for an SEC Examination</i> NSCP Currents, May, 2005 and Special Re-Print July 2005
<b>Press Citation</b>	<i>COMPLIANCE WATCH: April Deadline Looms For Annual Review</i> DOW JONES NEWSWIRES, June, 2006
<b>Press Citation</b>	<i>SEC Asks Mutual Funds For Information On Proxy Voting</i> DOW JONES NEWSWIRES, June 2006
<b>Speech</b>	<i>Transactional and Forensic Testing</i> 6th Annual Fall Compliance Conference IA Week, September 26, 2006
<b>Speech</b>	<i>Disaster Recovery, Contingency Planning, Safeguarding of Client Information</i> Schwab Institutional Web Cast, June 7, 2006
<b>Speech</b>	<i>Compliance for Registered Investment Advisers- SEC Focus</i> FPA Business Solutions 2006, March 2, 2006
<b>Presentation</b>	<i>SEC Guidance: How an Exam is Performed and How to Prepare, Panelist</i> The 4th Annual Investment Adviser Compliance Forum

<sup>1</sup> This index does not include presentations at and through National Regulatory Services, Inc. (1990 – 2002)

	Financial Research Associates, January 23-24, 2006
<b>Presentation</b>	<i>Disaster Recover- Contingency &amp; Business Continuity Planning, Safeguarding of Client Information</i> Schwab Institutional Web X, December 8, 2005
<b>Presentation</b>	<i>Questions, Concerns, and Issues Surrounding the Pricing and Valuation of Hard-To-Value Portfolios- Moderator</i> 4th Annual- Valuation of Hard- To-Value Securities and Portfolios Financial Research Associates, LLC, November 7th, 2005
<b>Speech</b>	<i>Technology Solutions for Compliance and Regulatory Issues, Panelist</i> Schwab Institutional IMPACT 2005, September 27, 2005
<b>Speech</b>	<i>SEC Compliance - an Update</i> Ashland Partners Client Conference, June 20, 2005
<b>Presentation</b>	<i>Point / Counter Point – Should Electronic Messaging be Automated?, Panelist</i> AIM Messaging Sub Conference, May 2005
<b>Speech</b>	<i>The ABC's of Compliance</i> Inbox, the Email Event, June, 2005
<b>Speech</b>	<i>The Key Elements of a Successful Compliance Program, an Interactive Workshop</i> 3rd Annual Investment Advisor Compliance Program Financial Research Associates, LLC, May 16, 2005
<b>Presentation</b>	<i>Conducting an Annual Review, Panelist</i> IA Week and the IAA IA Compliance Best Practices Summit, February 28 - March 1, 2005
<b>Speech</b>	<i>Operations and Compliance – Soft Dollars</i> Southern California Compliance Group, February 21, 2005
<b>Speech</b>	<i>Operations and Compliance- Working Together to Test Your Firm's Policies and Procedures</i> Southern California Compliance Group, February 8, 2005
<b>Speech</b>	<i>CCO Roundtable: Issues That Keep a CCO Up at Night - What Works in the Real World</i> NRS Fall Conference, October 13, 2004
<b>Presentation</b>	<i>IA Internal Controls (Advanced Session), Panelist</i> 2004 NSCP National Membership Meeting, October 29, 2004
<b>Presentation</b>	<i>Compliance Programs: Will yours be ready by 10/5/04?, Panelist</i> National Society of Compliance Professionals, June 7, 2004
<b>Presentation</b>	<i>Transitioning from Compliance Consultant to Director of Operations and Compliance</i> <i>"A Discussion"</i> Advent Solutions Conference Advent Users Group, September 17-19, 2003
<b>Speech</b>	<i>Personal Securities Trading – What the Regulators Require and More “Personal securities investing is a privilege, not a right!”</i>

	CCH Compliance Tools, Examiners Users Conference, March 25, 2003
<b>Speech</b>	<i>Valuation Pricing</i> <i>FIRMA – National Training Conference, April 3, 2003</i>
<b>Presentation</b>	<i>Disaster Recovery Compliance</i> Schwab Institutional Web X and Compliance Update Article, June 2002