

**Robert E. Plaze**

Robert Plaze is Associate Director for Regulation of the Division of Investment Management of the U.S. Securities and Exchange Commission. Mr. Plaze's responsibilities include the development of policy and rulemaking under the Investment Company and Investment Advisers Acts. Most recently, these responsibilities have included the development of the Commission's rules regarding funds of funds, redemption fees, hedge fund advisers, compliance programs, and amendments to rule 12b-1 prohibiting fund advisers from directing fund trades to compensate brokers for selling efforts.

Mr. Plaze has been a member of the Commission staff for the past 23 years during which he has held several positions of responsibility in the Division. He holds in AB (1978) and JD (1983) from Georgetown University and is a member of the District of Columbia Bar.