

# “TIPPER X: A CAUTIONARY TALE”

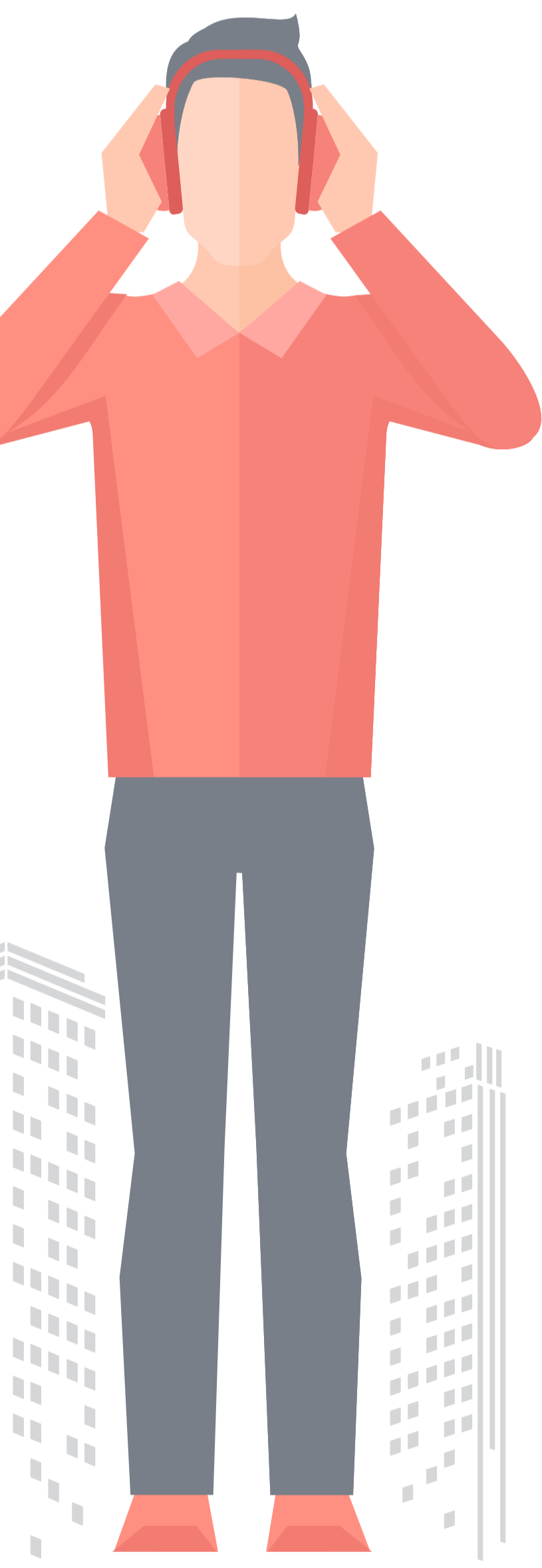
TOM HARDIN



At age 28, Tom Hardin was a junior partner at an up-and-coming hedge fund. He was on track to achieve his dream career, but before long, felt like he was falling behind in an increasingly competitive industry. Then, a moment arose when he made a decision to cross a very important line and the rest is history. Tom was later charged with felony securities fraud and, known as "Tipper X," became the FBI's most productive cooperating witness in Operation Perfect Hedge, a sting setup by the U.S. government during 2008-2012 targeting the hedge fund industry.

The sting branched out into the largest insider trading investigation of a generation, leading to over 80 guilty pleas and convictions. Since resolving his case in 2015, Tom was invited by the FBI to speak to their NYC rookie agent class in 2016 and now consults and speaks on insider trading, conduct risk, ethics and compliance issues from his former frontline perspective through his company Tipper X Advisors. He holds a B.S. in Economics with a Finance concentration from the Wharton School at the University of Pennsylvania.

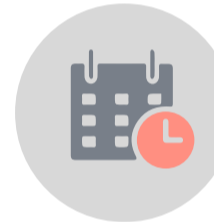
## TODAY'S SUBJECTS



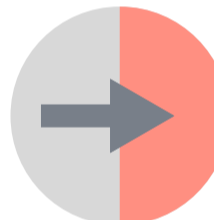
The importance of a good interview and how it can be your edge



Insider Information



March, 2007



Crossing the line & how we justify it



What it's like to be "Tipper X"



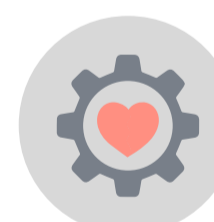
How to deal with uncertainty



The inspiration for starting his company, Tipper X Advisors LLC



Starting over at 40 years old



Relationship maintenance



## GET IN TOUCH WITH TOM HARDIN



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