



# 2017 GMM

## General Membership Meeting

MAY 3-5 • MARRIOTT WARDMAN PARK HOTEL • WASHINGTON, DC

## Speaker Biographies

### JENNIFER ABATE

Jennifer Abate co-leads the financial institutions group at Lazard Asset Management, which is focused on creating and fostering business development at an enterprise level inclusive of subadvised, mutual fund, separately managed accounts, defined contribution, and alternative investment vehicles with financial institutions such as wirehouses, national and regional broker dealers, mutual fund companies, third-party platforms, and banks. She began her investment experience in 1995 upon joining Lazard. Abate received her MBA from New York University and her BA from Fairfield University. She serves on the Board of Directors of the Money Management Institute, and is on the board of the Project YESS (Young Executives Supporting Schools) Leadership Committee of Inner-City Scholarship Fund. Abate is a member of the Sales and Marketing Committee of the Investment Company Institute.

### KATHLEEN T. BARR

Kathleen T. Barr is an independent trustee and chair of the Compliance Committee for the William Blair Funds. She was formerly senior managing director and chief administrative officer for Allegiant Asset Management Company (now PNC Capital Advisers) as well as chief administrative officer, chief compliance officer, and senior vice president of Allegiant Funds (now PNC Funds). Over the course of her career, Barr had responsibility for fund financial and regulatory administration, firm and fund compliance, fund reorganizations, product, marketing, distribution, client relationship management, vendor oversight and contracts, and enterprise risk management and reporting. Earlier in her career, she was a successful tax-exempt and taxable fixed-income salesperson and manager. Before retiring in 2013, Barr was president and chief operating officer of Productive Capital Management, a firm that advised public entities. She is a graduate of the University of Pittsburgh.

### MARGUERITE C. BATEMAN

Marguerite C. Bateman is a partner at Schiff Hardin LLP and a member of the firm's financial markets and products group. She counsels investment management organizations on a broad range of issues, including investment company and investment adviser regulation and compliance matters. Bateman also serves as independent legal counsel to investment company boards of directors. From 1994 to 2007, Bateman was the managing director of the Independent Directors Council and a senior attorney at the Investment Company Institute. She began her legal career at a large, national law firm in its Washington, DC, office. Bateman is a graduate of Duke University and the Wake Forest University School of Law, where she was a member of the Moot Court team and an editor of the law review.

### STUART BATEMAN

Stuart Bateman is a senior vice president of Franklin Templeton Investors Services, LLC (FTIS), a subsidiary of Franklin Resources, Inc. Bateman joined Franklin Templeton Investments in 1986 as an associate in the transfer agent and has held a number of different positions in the company through the years. He is currently the senior vice president responsible for the transfer agent relationship management and firm oversight functions and is based in the company's Rancho Cordova, California, offices. He has long been involved in industry efforts through his involvement with both the Investment Company Institute and the National Investment Company Service Association. He is a long-standing ICI Broker-Dealer Advisory Committee member and is currently the chair of that committee. He is also involved in the ICI Operations Committee and was previously the chair of the ICI Bank, Trust, and Retirement Advisory Committee. He earned his BS in political science from Texas A&M University.

### NATALIE BEJ

Natalie Bej is a principal in Vanguard's legal and compliance division and chief compliance officer of the Vanguard funds, The Vanguard Group, Inc., and its US investment advisers and broker-dealer. She leads the compliance department and serves on a number of risk management committees within the firm. Before being appointed chief compliance officer, she was head of securities regulation in the legal department and assistant secretary of the Vanguard funds. Bej has worked in the asset management industry for more than 26 years. Before joining Vanguard in 2005, she held senior in-house legal positions with global asset management firms and worked in private law practice for more than 10 years. She also

served as special counsel for the Securities and Exchange Commission in the Division of Investment Management. Bej earned her AB in English from Dartmouth College and a JD from the George Washington University National Law Center. She holds the Series 7, 24 and 63 licenses and is admitted to the bar in the District of Columbia and Pennsylvania.

### **PATRICE BERGÉ-VINCENT**

Patrice Bergé-Vincent is managing director, Europe for ICI Global. Before joining the organization, Bergé-Vincent was a partner with PwC France, where he led the asset management regulatory practice and coordinated PwC's central cluster (EMEA) asset management regulatory work. Earlier in his career, he worked at the Autorité des marchés financiers (AMF), the French financial market regulator, serving as head of the Asset Management Regulation Policy Division. During his tenure at the AMF, Bergé-Vincent chaired the IOSCO Committee 5, dedicated to collective investment schemes, and represented the AMF in the Investment Management Standing Committee of the Committee of European Securities Regulators (CESR), and then the European Securities and Markets Authority (ESMA). Before that, he was seconded from the AMF to the Asset Management Unit of the then European Commission's Directorate-General Internal Market and Services. Bergé-Vincent is a graduate of the École nationale d'administration (ENA).

### **ANN BERGIN**

Ann Bergin is managing director and general manager of wealth management services for the Depository Trust & Clearing Corporation (DTCC). She is responsible for a business portfolio that supports domestic and global mutual funds, insurance, and alternative investment products. Bergin joined DTCC's National Securities Clearing Corporation (NSCC) subsidiary in 1997. Before joining DTCC, Bergin was senior vice president at Bisys Fund Services, Inc. She also spent four years with Concord Financial Group as senior vice president of administration. Bergin started her career with the Dreyfus Corporation.

### **BROOKE J. BILLICK**

Brooke J. Billick is chief compliance officer of Artisan Partners Funds, Inc. Billick is also chief compliance officer, US mutual funds, and associate counsel of Artisan Partners Limited Partnership, a Milwaukee-based institutional investment management firm. Before joining Artisan Partners in 2004, he was vice president, securities counsel, and corporate secretary of Marshall & Ilsley Trust Company N.A. and M&I Investment Management Corp., as well as chief legal officer and secretary of the Marshall Funds in Milwaukee. Before 1994, Billick was in private practice for 15 years, specializing in securities and corporate law; he represented securities brokerage firms, registered representatives, investment advisers, and publicly held companies. He is a graduate of Iowa State University and the University of Iowa College of Law and is a member of the State Bar of Wisconsin.

### **THOMAS C. BOGLE**

Thomas C. Bogle is a partner in Dechert's financial services practice group. Bogle advises financial services companies on a wide range of corporate, regulatory, and enforcement matters. His clients include US-registered funds and their boards of directors, investment management firms, banks, broker-dealers, and insurance companies. A leader of the firm's anti-money laundering and sanctions compliance practice, Bogle counsels corporations, financial institutions, and financial industry trade associations on matters relating to the Bank Secrecy Act and US economic and trade sanctions administered by the Office of Foreign Assets Control (OFAC).

Bogle graduated from George Washington University (BA, *cum laude*) and Tulane University Law School (JD, *magna cum laude*, senior board of the *Tulane Law Review*, Order of the Coif). He is a member of the New York and District of Columbia Bars.

### **JOHN BOYER**

John Boyer is independent chair of the board for Voya Mutual Funds, which oversees 152 open, closed, retail, and variable funds with more than \$85 billion in assets managed by more than 20 different subadvisory firms. In 1997, he was a founding director of the IPI Funds as part of Aetna Financial Services, where he served as lead independent director, as well as chair of the Contracts Committee and the Investment Review Committee. In 2004, the IPI Funds merged with the ING Funds, where he served as chair of the Nominating and Governance Committee, the International, Balanced, and Fixed Income Investment Review Committee, and as founding chair of the Compliance, Valuation, and Proxy Committee. He also sat on the board's three-person Executive Committee. Since January 2015—after the final merger of the remaining two ING mutual fund boards and the creation of Voya—he has served as independent chair. Boyer's academic background is in the history of art and architecture with degrees from the University of California and Princeton University. He has been a college professor and museum director and has curated international exhibitions on Alberto Giacometti, Mario Botta, and Niki de Saint Phalle, among others.

### **IAN BREMMER**

Ian Bremmer is the president and founder of Eurasia Group, the leading global political risk research and consulting firm. He advises leading executives, money managers, diplomats, and heads of state. Bremmer is credited with bringing the craft of political risk to financial markets—he created Wall Street's first global political risk index (GPRI)—and for establishing political risk as an academic discipline. Bremmer regularly

expresses his views on political issues in public speeches, television appearances, and top publications, including *Time* magazine, where he is the foreign affairs columnist and editor at large. Bremmer has published nine books, including the national best sellers *Every Nation for Itself: Winners and Losers in a G-Zero World* and *The End of the Free Market: Who Wins the War Between States and Corporations?* His latest book is the national best seller, *Superpower: Three Choices for America's Role in the World*. He appears regularly on CNBC, Fox, Bloomberg, CNN, the BBC, and other networks. Bremmer earned a PhD in political science from Stanford University in 1994 and was the youngest-ever national fellow at the Hoover Institution.

#### ELI BROVERMAN

Eli Broverman is cofounder and formerly served as president of Betterment. Broverman cofounded Betterment with a vision that smarter technology will help people better plan for their financial needs and reach their goals. Through his work at Betterment, Broverman aims to make personal finance one of the first fields to reach the age of automation. He is a frequent guest on CNBC, FOX, and Bloomberg TV, and is a regular speaker at leading industry events. Before forming Betterment, Broverman practiced law at the international law firm Proskauer Rose LLP, where he advised Fortune 500 companies and their senior management on securities, tax, and compensation matters. Broverman is a graduate of Brown University and New York University School of Law.

#### PETER CALLAHAN

Peter Callahan is senior vice president of AllianceBernstein Investor Services, Inc. (ABIS). He joined the firm in 1987 and currently serves as head of ABIS, a wholly owned subsidiary of AllianceBernstein, and head of retail infrastructure services. In this role, he heads a company that consists of approximately 350 employees in San Antonio, Texas; Luxembourg; New York; Taiwan; and Singapore. ABIS performs transfer agency, shareholder servicing, back-office operations, and technology support for AllianceBernstein's US mutual funds, collective trusts, and separately managed accounts, offshore mutual funds, and the firm's institutional defined contribution plan business. Callahan also serves as chairman of ICI's Operations Committee.

#### GALE K. CARUSO

Gale K. Caruso is an independent director of Pacific Life Funds (mid-sized fund complex with approximately \$49 billion in AUM) and Matthews Asia Funds (mid-sized fund complex with approximately \$22 billion in AUM). From 2005 until 2009, Caruso was an independent director at LandAmerica Financial Group. She served as the president and chief executive officer of Zurich Kemper Life from 1999 until 2003. She also was chairman, president, and chief executive officer of Scudder Canada Investor Services, Ltd. from 1994 to 1999 and managing director of Scudder Kemper Investments, Inc. from 1986 to 1999, where she was responsible for the analysis, design, launch, and day-to-day business management of Scudder's Canadian mutual fund business. Before Scudder, Caruso served as the vice president of PaineWebber and as assistant vice president at Alex Brown & Sons. Caruso also served as director at the Make-A-Wish Foundation (Maine: 2005-2012, Northern Illinois: 2001-2003) and, since 2009, has been a sponsor of the Tanzanian Children's Fund and the Rift Valley Children's Village.

#### MATT CHAMBERS

Matt Chambers is the chief compliance officer of Horizon Funds and general counsel and chief compliance officer of Horizon Investments, LLC, an investment adviser based in Charlotte, North Carolina, that provides goals-based investment management strategies to financial advisers and their clients. He was formerly an attorney with Kilpatrick Townsend & Stockton LLP, where he focused his practice on investment company and investment adviser matters, as well as corporate and securities law. Chambers regularly participates in speaking engagements on securities and compliance matters for industry groups, including NSCP. Chambers received a BA from the University of North Carolina and a JD from the University of Georgia. Before entering the legal profession, Chambers pursued graduate studies in religion, culminating in two years of doctoral studies at Emory University's Graduate Division of Religion.

#### RAJIB CHANDA

Rajib Chanda is a partner in the Washington, DC, and New York offices of Simpson Thacher & Bartlett LLP. Chanda's practice focuses on all aspects of issues facing registered investment advisers and sponsors of registered funds. Chanda has particular experience working with alternative asset managers seeking to access retail investor channels through mutual funds, business development companies, closed-end funds, exchange-traded funds, and permanent capital vehicles. He has advised other private fund sponsors on matters involving the Investment Company Act and/or the Investment Advisers Act. He also works extensively with more traditional registered fund sponsors, and works closely with the firm's asset management mergers and acquisitions group on transactions involving registered advisers and funds. In addition, Chanda provides counsel to boards of registered funds, and has substantial experience advising companies on issues relating to social media and cybersecurity. Chanda is an honors graduate of Brown University and a *cum laude* graduate of Harvard Law School, where he was editor in chief of the *Harvard Negotiation Law Review*.

## LU CHANG

Lu Chang is the chief risk officer at Angel Oak Capital Advisors, where she oversees all risk management efforts for the firm. She chairs the firm's Risk Management Committee and Valuation Committee, and also serves as the secretary of the Investment Committee. Chang has more than 13 years of experience with both buy-side and sell-side firms. Before joining Angel Oak, Chang spent more than a decade at Wells Fargo and legacy Wachovia in various risk management and investment research functions. In her last role at Wells Fargo, she spent three years at corporate treasury, focusing on corporate-wide liquidity risk. Chang holds an MBA from College of William and Mary, where she graduated with distinction, Beta Gamma Sigma. She holds the Chartered Financial Analyst (CFA), the Financial Risk Manager (FRM), and the Chartered Alternative Investment Analyst (CAIA) designation.

## KELLY COFFEY

Kelly Coffey is chief executive officer of J.P. Morgan's U.S. Private Bank, one of the largest providers of wealth management services with more than \$650 billion in client assets. She is a member of the Asset Management Operating Committee and also serves as the executive sponsor for the Asset Management Women's Network. Before joining the Private Bank, Coffey spent more than 20 years in J.P. Morgan's Investment Bank, where she held a variety of leadership positions, including the head of diversified industrials investment banking, head of equity, FX and interest rate derivatives marketing, and head of corporate finance advisory in North America. Coffey began her career in mergers and acquisitions and spent six years working in Buenos Aires, Argentina. She also chaired J.P. Morgan's Reputation Risk Committee in North America and led the Investment Bank's Women's Network. Coffey earned her bachelor's degree in international affairs and French from Lafayette College and holds an MS in foreign service with a concentration in international business from Georgetown University.

## JESSE COLE

Jesse Cole is head of global shareholder services and chief operating officer of the global fund group at Goldman Sachs. Global shareholder services is responsible for managing the distribution and investor service relationships and the shareholder recordkeeping for Goldman Sachs Asset Management (GSAM) US mutual funds, collective trusts, Japanese and offshore funds, and alternative investment funds. The global fund group has responsibility for global shareholder services and the global fund administration, accounting, and custody relationships for the GSAM Funds. Cole joined Goldman Sachs in 1998 as a vice president in the shareholder services group within GSAM and was named managing director in 2006. Before joining the firm, Cole worked at AIM Management, Inc. from 1996 to 1998, where he was a vice president responsible for the institutional transfer agent and service company. Previously, he was with Northern Trust Company for nine years, where he held a variety of trust and securities operation leadership positions. Cole serves on ICI's Operations Committee. He earned a BA in finance from DePaul University.

## RHONDA K. R. COOK

Rhonda K. R. Cook is currently SEI's director of third-party risk management. She has the Shared Assessments' Certified Third Party Risk Professional (CTPRP) designation and the Compliance Education Institute's Certified Regulatory Vendor Program Manager (CRVPM) designation. Before joining SEI's enterprise risk management team, Cook lived and worked in India from April 2011 to September 2014, where she managed SEI's strategic vendor relationships, formalized an offshore control environment, and furthered SEI's business interests in the region. Cook completed her undergraduate studies at the US Military Academy at West Point and obtained an MBA with a dual concentration in international management and innovation entrepreneurship from Northeastern University.

## DARRELL L. CRONK

Darrell L. Cronk is the president of Wells Fargo Investment Institute, where he leads global investment strategy and research including equity, fixed income, real assets, and alternative investments. He also serves as chief investment officer for wealth and investment management. Cronk is frequently featured in the media, including the *Wall Street Journal*, *TheStreet*, *Dow Jones MarketWatch*, *Barron's*, the Associated Press, Reuters, Bloomberg Television, CNBC, and Fox Business Network. With more than 20 years of experience in financial services, Cronk most recently served as deputy chief investment officer for Wells Fargo Private Bank. He has held a variety of positions at Wells Fargo, including regional chief investment officer, senior director of investments, regional investment manager, senior investment manager, equity analyst, and senior financial consultant. He began his career as a senior credit analyst for Norwest Bank, a Wells Fargo predecessor. Cronk earned a BS in finance from Iowa State University and a master's degree in finance from Boston University; he is also a CFA® charterholder.

## CHRISTOPHER CROSSAN

Christopher Crossan is vice president and global chief compliance officer for Dimensional Fund Advisors. He joined Dimensional in 2004 as the firm's global chief compliance officer, managing all compliance matters for the firm, its subsidiaries, and the Dimensional Funds. Previously, Crossan was senior compliance officer for Invesco Institutional. Before that, he filled a variety of roles at the US Securities and Exchange Commission, inspecting more than 100 investment firms. His last role at the SEC was as branch chief, overseeing their mutual fund and adviser inspection programs in the southeastern United States. Crossan is a CPA and holds a BS in accountancy from Arizona State University.

## GREGORY DAVIS

Gregory Davis is a principal and global head of Vanguard fixed income group, which manages more than \$1 trillion in assets. He is responsible for Vanguard fixed income group's portfolio management, strategy, credit research, trading, and planning functions. In his prior role, Davis was the company's Asia-Pacific chief investment officer and a director of Vanguard Investments Australia. Earlier, he served as head of bond indexing and as a senior portfolio manager in the fixed income group. Davis has more than 15 years of investment management experience. Before joining Vanguard in 1999, he worked at Merrill Lynch as an associate in global debt markets. Davis earned a BS in insurance from Pennsylvania State University and an MBA in finance from the Wharton School of the University of Pennsylvania. He is a CFA® charterholder and a member of the CFA Society of Philadelphia.

## GREGG S. FISHER

Gregg S. Fisher is the founder of Gerstein Fisher, where he leads and manages all quantitative research and investment strategy efforts. An early pioneer of factor-based investing, Fisher developed the proprietary Multi-Factor® investment strategies that the firm continues to employ today to construct globally diversified portfolios with tilts toward risk factors that historically have rewarded investors in the form of higher returns. Fisher has spearheaded research projects on areas of study including the efficacy of momentum and valuation models, tax-efficient investing, the impact of investor behavior on investment returns, and the persistence of certain investment factors across global equity markets.

In 2009, Fisher established the Gerstein Fisher Research Center, whose mission is to investigate critical issues in finance and risk faced by individual investors through pioneering research that brings academic theory to bear on contemporary financial practice. Fisher holds a degree in finance from the State University of New York at Buffalo and obtained a certificate in financial planning from New York University. A CFA charterholder, Gregg is a member of the CFA Institute, the New York Society of Security Analysts (NYSSA), the Society of Quantitative Analysts (SQA), and the Institute for Quantitative Research in Finance (the Q Group).

## GREGORY A. FRIEDMAN

Gregory A. Friedman is senior vice president, head of ETF services at Fidelity SelectCo, a division within Fidelity's asset management organization that is focused exclusively on expanding the company's heritage of sector investing to help meet the evolving needs of investors and advisers for innovative sector-specific tools, resources, and products, including mutual funds and exchange-traded funds (ETFs). Friedman is responsible for the development and execution of a firm-wide comprehensive ETF strategy, including product development, management, and positioning. He leads the ETF services group supporting ETF operations and management across the organization. Before joining Fidelity, Friedman was chief operation officer and head of global ETF products at Russell Investments. Previously, he held various roles at Barclay's Global Investors, including that of head of global iShares relationships, head of product for US iShares, and senior portfolio manager. He has been in the investment industry since 1994. Friedman earned his BA from the University of California, Davis.

## MARTIN GILBERT

Martin Gilbert is a cofounder and chief executive of Aberdeen Asset Management PLC, the holding company of the fund management group that was established in 1983. Under Gilbert's leadership, Aberdeen has become one of the world's leading independent asset managers through a combination of organic growth and acquisition. The group's core expertise is in equities, fixed income, alternatives, and property, and it manages assets for national and corporate pension funds, central banks, financial institutions, charities, foundations, and private individuals around the world. Gilbert was appointed chairman of the Prudential Regulation Authority's Practitioner Panel in December 2013. He sits on the Board of Directors of the Institute of International Finance. He is also a member of the International Advisory Panel of the Monetary Authority of Singapore and the International Advisory Board of British American Business. Gilbert is also the deputy chairman of SKY PLC. In 2011, he was named Scotland PLC CEO of the Year at the Business Insider/PwC Scotland PLC Awards. Gilbert is adjunct professor of finance at Imperial College Business School and in 2014 was awarded a doctorate of letters from Heriot-Watt University. He was educated in Aberdeen and has an MA in accountancy and an LLB.

## KEVIN M. GLEASON

Kevin M. Gleason is the chief compliance officer for Voya Funds and senior vice president for Voya Investment Management LLC. He has more than 15 years of experience at four different global Fortune 500 financial services organizations and currently manages the compliance function for the Voya Funds. Over the course of his career, he has advised various asset managers, including retail and institutional investment advisers, insurance companies, banks, commodity trading advisers, and hedge funds. He is skilled at developing and implementing compliance and risk management policies and procedures; educating senior management on effective controls and processes; structuring corporate committees; establishing reporting and certification procedures; and conducting due diligence on subadvisers and third-party service providers. He has transacted business on five continents and traveled throughout Asia, Europe, and the Middle East. He holds a JD/LLM in financial services law and most recently completed an MBA at the University of Chicago. Gleason is a frequent speaker at and contributor to industry conferences, events, and publications.

## RICHARD “D. J.” GORMAN

Richard “D. J.” Gorman has served as the chief compliance officer of the Oakmark Funds since June 2006. From 1994 to 2006, he worked at the US Securities and Exchange Commission as a senior attorney in the Division of Enforcement and as a senior special counsel in the Division of Investment Management’s Regulation and Examination office. While at the SEC, he also served as a special United States attorney for the Southern District of Ohio. From 1991 to 1994, he was a litigator with a Chicago law firm. He received a BA, with honors, from Providence College, and his JD from the University of Detroit.

## BRIAN HARRIS

Brian Harris is a managing director at State Street Global Advisors and the funds chief compliance officer. He is responsible for overseeing SSGA’s 1940 Act-registered mutual funds and exchange-traded funds compliance program. He also manages a team of compliance professionals responsible for third-party service provider oversight as well as the identification, evaluation, and testing of controls that support various regulatory requirements. Before joining SSGA, Harris was a senior vice president and global head of investment compliance at BofA Global Capital Management (BACM). In that position, Harris managed a team of compliance professionals responsible for ensuring that BACM’s registered mutual funds, Irish UCITS, and separately managed accounts were in compliance with all applicable securities laws, regulations, and investment guidelines. Harris also served as a member on various BACM corporate governance committees and subcommittees such as Valuation, Trading, Investment Oversight, Credit Review, and Internal Compliance Controls. Harris received his BS with a concentration in accounting at Merrimack College in 1995, and currently holds the Series 6 and 63 securities licenses.

## STEVEN HARTSTEIN

Steven Hartstein is a senior vice president and chief compliance officer of Brighthouse Investment Advisers LLC (formerly MetLife Advisers LLC) and is CCO of the Brighthouse Funds (formerly the MetLife Funds), as well as a vice president of Brighthouse Financial, Inc. He also oversees investments compliance for Brighthouse Financial’s general account. He has 26 years of industry compliance experience. Before joining MetLife, Hartstein was CCO of the Consulting Group Capital Markets Funds and an executive director at Morgan Stanley and a predecessor firm, Citi Smith Barney. Hartstein has also worked as a compliance officer at Mercer Investments, UBS Global Asset Management, Lazard Asset Management, and Goldman Sachs Asset Management. Hartstein received his BS in communications from Northwestern University.

## BEN HUNEKE

Ben Huneke is a managing director and head of the investments solutions group of Morgan Stanley Wealth Management. Huneke’s responsibilities include product development, marketing, and distribution of investment products. These include mutual funds, ETFs, hedge funds, private debt, equity, and real estate funds, as well as individual equities, fixed income, and structured products. During his 10 years at Morgan Stanley, Huneke has held previous roles including head of alternative investments, chief operating officer of investment products and services, and head of strategy and business management. He sits on the management committees of Wealth Management, Securities, and Morgan Stanley. Huneke also serves as the treasurer of the Board of Directors for the Insured Retirement Institute and is a director of the Expect Miracles Foundation. He holds an AB from Princeton University and an MBA from Columbia University.

## JEFFREY R. IMMELT

Jeffrey R. Immelt is the ninth chairman of GE, a post he has held since September 7, 2001. He has held several global leadership positions since coming to GE in 1982, including roles in GE’s plastics, appliances, and healthcare businesses. In 1989, he became an officer of GE and joined the GE Capital Board in 1997. In 2000, Immelt was appointed president and CEO. He has been named one of the “World’s Best CEOs” three times by *Barron’s*, and since he began serving as CEO, GE has been named “America’s Most Admired Company” in a poll conducted by *Fortune* magazine and one of “The World’s Most Respected Companies” in polls by *Barron’s* and the *Financial Times*. He was the chair of President Obama’s Council on Jobs and Competitiveness, and is a member of the American Academy of Arts & Sciences. Immelt earned a BA in applied mathematics from Dartmouth College in 1978 and an MBA from Harvard University in 1982.

## ERIC JOHNSON

Eric. Johnson is an executive vice president and co-head of the investment servicing and reporting group at PIMCO. From 2006 to 2008, he worked in PIMCO’s executive office. Before joining the firm in 2006, he served as director of mutual funds at Wasatch Advisors. Before that, Johnson worked for eight years at Strong Capital Management. He has more than 20 years of business management experience and holds an MBA from the Kellogg School of Management at Northwestern University and an undergraduate degree from Colby College.

## THOMAS A. JONES

Thomas A. Jones is head of strategic relations for Columbia Threadneedle Investments. Jones leads the team responsible for business development, including corporate enterprise relationships, national accounts, and advisory research. He joined Columbia Threadneedle Investments in 2014. Jones also serves on several firm leadership committees including Product, Fiduciary, Managed Accounts, and Strategy. Previously, he was



senior vice president, director of US business development and client strategy for Pioneer Investments. Jones served on the firm's US Operating Committee, the Management Committee of Pioneer's US distribution organization; was a leader of the global strategic partnership group based in London; sat on the US Product Development Committee; and led the firm's Alternative Investment Task Force. Before that, Jones was director of national accounts at Deutsche Bank Asset Management, where he was responsible for existing business and the implementation of new channel business lines, including structured products and alternative investments. He also served in several leadership roles within intermediary distribution as managing director of Putnam Investments and began his career as a financial adviser. Jones received a BS from the University of New Hampshire.

#### MARC JOSEPH

Marc Joseph has served as an independent director for the Thrivent mutual and variable annuity funds since 2011. He chairs the Ethics and Compliance Committees for the boards (approximately 50 funds/\$45 billion assets). Joseph's investment management background includes serving as a portfolio manager and chief investment officer. He is a graduate of the Harvard Business School (MBA, high honors) and Harvard Law School (JD, *magna cum laude*).

#### JAMES KEARNEY

James Kearney is a principal at Vanguard and the head of the Vanguard global investment operations organization. Kearney's global team is responsible for trade support, settlements, corporate actions, and securities lending for all Vanguard products. In his prior position, he led the Project One Development team, a business technology team managing a five-year program focused on unifying the Vanguard transfer agent and broker-dealer organizations, creating a singular experience for all retail direct investors. In previous Vanguard roles, Kearney led a business technology team focused on implementing vendor solutions that would streamline the fund administration process, including trade management, corporate actions, treasury services, and gold copy data management. He was also the leader of the Vanguard small business retirement plans and spent a large portion of his career leading various businesses within the Vanguard brokerage services unit. Kearney studied at Immaculata University and holds FINRA's series 7, 63, and 24 licenses. He is also a graduate of the Wharton Essentials of Management certificate program, as well as the Leadership Philadelphia 2006 class.

#### PHILIP L. KIRSTEIN

Philip L. Kirstein is the independent compliance officer and senior officer to the boards of the AllianceBernstein US-registered investment companies. Previously, he was the general counsel of Merrill Lynch Investment Managers, LP (formerly Merrill Lynch Asset Management) from May 1984 through March 2003 and was of counsel to Kirkpatrick & Lockhart LLP from October 2003 until October 2004. Kirstein is a member of the New York City Bar Committee on the Investment of Funds and a past chair of the New York City Bar Committee on Investment Management Regulation. He also is a former member of the American Bar Association Committee on Federal Regulation of Securities, Subcommittee on Investment Companies and Investment Advisers; and a former member of the Executive Committee and Board of Directors of ICI Mutual Insurance Company and the Planning Committee of the Investment Company Institute/Federal Bar Association Mutual Fund Conference. Kirstein was a member of the Independent Directors Council task force that prepared the *Board Oversight of Fund Compliance* report. Kirstein is a graduate of the University of North Carolina School of Law, Syracuse University and School of Law, and New York University. Kirstein is a former member of the Board of Directors of Cancer Care of New Jersey and a former member of the Board of Directors of the Susan G. Komen for the Cure, Central and South Jersey affiliate. He is currently on the Finance and Investment Committees of the New York New Jersey Trail Conference, Inc. He retired as a captain of the US Naval Reserve.

#### MARIE L. KNOWLES

Marie L. Knowles served as executive vice president and chief financial officer of Atlantic Richfield Company (ARCO) before retiring in 2000. From 1993 to 1996 she was president of ARCO Transportation Company. Knowles currently serves as a director of McKesson Corporation, where she chairs the Audit Committee. She previously served as a director of Phelps Dodge Corporation, URS Corporation, America West Holdings Corporation, ARCO Chemical Company, and Vastar Resources, Inc. Knowles is a member of the board of the Santa Catalina Island Company and is a trustee of the Catalina Island Conservancy. She is a member of the advisory board of the USC School of Engineering.

#### FRANK KNOX

Frank Knox is vice president and chief compliance officer for John Hancock Investment Company Operations, including the John Hancock Group of Funds, John Hancock Advisers, LLC, and John Hancock Investment Management Services, LLC. In this position, Knox is responsible for managing all investment company compliance responsibilities for the company's mutual fund, variable life insurance, and annuity product areas. He has held these positions since January 2005. In 2014, Knox was given the responsibility for developing a compliance program for the John Hancock UCITS platform, and in 2015, he was also named chief compliance officer for John Hancock Personal Financial Services, LLC, an SEC-registered investment adviser offering digital advice products. Before joining John Hancock, Knox served as vice president of Fidelity Management & Research Company and assistant treasurer of the Fidelity Group of Funds; he also previously served as Fidelity's vice president, ethics and compliance officer. Before his tenure at Fidelity, he had a lengthy career with the National Association of Securities Dealers (now FINRA) working in their Washington, Chicago, and Boston offices. While there, he served as director of market surveillance for the NASDAQ Stock Market.

## MOIZ KOHARI

Moiz Kohari is senior vice president and chief technology architect at State Street Corporation. Kohari is responsible for the enhancements to State Street's digital enterprise architecture and the creation of the next generation digital enterprise that delivers on-demand secure computing capabilities driven through machine learning paradigms and all pertinent fintech disruptive technologies. Until recently, Kohari served as executive vice president and head of global technology innovation for the London Stock Exchange Group (LSEG), where he was responsible for blockchain, cognitive computing, and low-latency initiatives across all group companies. Before joining LSEG, Kohari served as chief technology officer at Novell and was responsible for the service provider-focused cloud computing initiatives, security, management, and operating system products to deliver highly integrated cloud-focused offerings. His responsibilities included providing software and services to the financial services vertical with specialization in low latency initiatives. Kohari was also the founder and CEO of Mission Critical Linux, a company dedicated to introducing enterprise software capabilities into the Linux operating system.

## DILIP KRISHNA

Dilip Krishna is a managing director in Deloitte & Touche LLP and the advanced automation and "reg tech" (regulatory technology) practice leader. He works primarily with financial services clients on topics such as stress testing, risk management, risk data aggregation, and regulatory compliance consulting on the use of emerging technologies including robotics and cognitive intelligence, advanced analytics, and big data. Krishna has more than 20 years of experience in banks across North America. Previously, Krishna was a partner with Teradata Corporation, working with many large banks to implement some of their largest data warehouse and data management programs. As director of Teradata's risk management center of expertise, Krishna was also active with banking clients and government agencies helping articulate the role of analytics in regulation and transparency, including being called upon to offer expert testimony to the United States Congress. He is widely published and quoted in the area of risk information and risk architecture. Krishna is a senior editor and contributing author of the *Handbook of Financial Data and Risk Information* (Cambridge University Press).

## TODD F. KUEHL

Todd F. Kuehl is a managing director at Legg Mason. Kuehl serves as the CCO for the Western Asset, Western Asset/Claymore, and Legg Mason closed-end funds. He also directs Legg Mason's corporate compliance, compliance examination, affiliate compliance outreach, and compliance analytics teams. Kuehl has 20 years of investment management industry experience. Before joining Legg Mason in 2006, he worked as a branch chief in the SEC's Division of Investment Management. He has also worked as a vice president at Deutsche Asset Management and as a practicing attorney. Kuehl holds an LLM in securities and financial regulation from the Georgetown University Law Center, a JD from the University of Maryland School of Law, and a BS in finance from the University of Maryland at College Park.

## DAVID LAMB

David Lamb is a managing director in the global structured products group at Nuveen and has more than 25 years of experience in the investment management business since joining the firm in 1991. He leads the fund analyst team, which provides product management and development support as well as analytical and financial modeling for all Nuveen products. Lamb is also responsible for outside relationships related to closed-end funds and acts as a liaison to national exchanges, primary contact for the analyst community and institutional investors, and represents Nuveen on ICI's Closed-End Fund Committee. A graduate of the University of Illinois, Lamb received a BS in finance and passed the certified public accountant exam. He is also FINRA Series 7, 24, and 56 registered.

## ROBERT LEVEILLE

Robert Leveille is chief compliance officer for Invesco Advisers, Inc. and the Invesco Funds, a position he assumed in February 2016. Before joining Invesco, beginning in March 2007, Leveille served as the chief compliance officer for Putnam Investments and the Putnam Funds, where he managed the firm's compliance department and oversaw the design, implementation, and monitoring of the compliance program for more than 100 US mutual funds and multiple registered entities, including entities and funds registered in the United Kingdom, Japan, Singapore, China, Canada, and Ireland. Leveille joined Putnam in 2004, and before being named chief compliance officer, was managing director and senior counsel, responsible for providing legal services to Putnam's investment division, the retail sales organization, and the operations group. During his career, which has spanned more than 20 years, Leveille has also worked at Bell Boyd & Lloyd LLC, the Liberty Funds Group LLC, and Ropes & Gray. He earned a BA from Duke University and a JD from Harvard Law School.

## HEATHER LORD

Heather Lord is the strategy and innovation director at American Funds, part of Capital Group. She has 12 years of industry experience and joined Capital Group this year. Before joining Capital, Lord was a senior vice president of strategy and client experience at Charles Schwab. Before that, she worked as a principal at Boston Consulting Group. Lord holds a PhD in applied statistics and psychology from Yale University and a bachelor's degree from Cornell University.



## STANLEY A. MCCHRYSAL

Stanley A. McChrystal is a retired four-star general, the former commander of US and International Security Assistance Forces (ISAF) Afghanistan, and the former commander of the premier military counterterrorism force, Joint Special Operations Command (JSOC). He is best known for developing and implementing the current counterinsurgency strategy in Afghanistan, and for creating a comprehensive counterterrorism organization that revolutionized the interagency operating culture. He cofounded the McChrystal Group, where he is currently a partner, in January 2011. McChrystal Group's mission is to deliver innovative leadership solutions to American businesses to help them transform and succeed in challenging and dynamic environments. McChrystal graduated from West Point in 1976 and joined the infantry. He began his military career as a platoon commander in the 82nd Airborne Division at Fort Bragg, North Carolina. Over the course of his career, he held several leadership and staff positions in the Army Special Forces, Army Rangers, 82nd Airborne Division, the XVIII Army Airborne Corps, and the Joint Staff. He is a graduate of the US Naval War College; he also completed fellowships at Harvard's John F. Kennedy School of Government in 1997 and at the Council on Foreign Relations in 2000. He is a senior fellow at Yale University's Jackson Institute for Global Affairs, where he teaches a course on leadership in operation.

## JAMES MCNAMARA

James McNamara is the global head of the Goldman Sachs Asset Management (GSAM) third-party distribution business. He is responsible for the global distribution of mutual funds, separately managed accounts, retirement products, and subadvisory services through third-party intermediaries such as banks, trust companies, and broker-dealers. McNamara is also responsible for the global distribution of cash products sold directly and on a third-party basis. He serves as president and is a member of the Board of Trustees of Goldman Sachs Trust, the US mutual fund family. McNamara is also cochair of the Investment Management Division Client and Business Standards Committee. He has also served as head of US third-party distribution and director of institutional fund sales in charge of the bank trust and corporate cash businesses. McNamara joined Goldman Sachs in 1998. He was named managing director in 2000 and partner in 2006. Before joining the firm, McNamara was a senior vice president and eastern regional sales manager for the Dreyfus Institutional Service Corporation. He is a member of the Executive Committee of the Investment Company Institute. McNamara earned a BS from Ohio State University in 1985.

## HEATHER MINER

Heather Miner is global head of strategic advisory solutions within Goldman Sachs Asset Management (GSAM). Miner is a managing director and a 13-year veteran of the firm. Before joining GSAM, she worked in the executive office at Goldman Sachs, where she was responsible for managing relationships with equity and debt investors globally, as well as research analysts and ratings agencies. Miner is an expert in capital markets and corporate finance and has been quoted or published in numerous publications, including a recent feature in *Barron's* "Wall Street's Best Minds" column. As the head of strategic advisory solutions, she has directed a rapid expansion of the team's client engagement and content development, which has included citations in the *Wall Street Journal*, *Business Insider*, *Morningstar.com*, and elsewhere. Miner earned a BS in finance from Boston College and an MBA from the Stern School of Business at New York University. She holds the Chartered Financial Analyst (CFA) designation.

## THOMAS M. MISTELE

Thomas M. Mistele currently serves as director, executive vice president, senior counsel, and secretary of Dodge & Cox, San Francisco. He is also chairman of the Dodge & Cox Worldwide Funds plc (Irish UCITS) and a director of Dodge & Cox Worldwide Investments Ltd. (UK).

Mistele began his legal career in 1984 as a judicial clerk with Chief Judge James C. Cacheris, US District Court, Eastern District of Virginia (Alexandria, VA). After several years as an associate with Dechert (Washington, DC), and Freehill, Hollingdale & Page (Sydney, Australia), where he specialized in international securities, financial services, and corporate matters, he joined Templeton Funds Management, Inc. in 1988 as general counsel and/or senior executive officer of various investment advisory, broker-dealer, administration, transfer agent, trust company, and insurance affiliates. He also served as compliance officer and general counsel for the Templeton Mutual Funds. He served in similar capacities after the Templeton organization merged with Franklin Resources, Inc. until 1996, when he joined Dodge & Cox. He is cochair of the ICI Compliance Committee and serves on the ICI Board of Governors and Executive Committee. Mistele received his JD from Catholic University of America. He is a member of the Virginia Bar, as well as the Virginia Supreme Court and the US Supreme Court Bars. He is also admitted to the State Bar of California as a registered in-house counsel (and formerly a member of the Florida Bar, authorized house counsel). Before beginning his legal career, Mistele was a licensed educational psychologist in California.

Mistele serves on the Board of Directors for the US Olympic and Paralympic Foundation. He previously served as executive director of BAYS (Bay Area Youth Sports Foundation), Commissioning Committee for the US Navy USS America LHA-6 (2014), vice chair of the Columbia University (New York) Parents Leadership Council, and Lehigh University Parents Committee.

## ASIF MOHAMED

Asif Mohamed is the executive director for JP Morgan Corporate and Investment Bank (CIB). Mohamed is a leader in the CIB digital solutions team, where he is responsible for partnering with sales and marketing, product, and technology to bring emerging technology ideas and insights to clients, while seeking to develop innovative product opportunities with clients. He has also played a key role in driving JP Morgan's blockchain initiatives within markets and investor services. Before joining JP Morgan, Mohamed spent more than 20 years at Goldman Sachs in a number of leadership roles across technology and investment banking. Mohamed has led functions in application development, infrastructure, derivatives and converts banking (as a banker), risk, strategy, and business development. Most recently, Mohamed was global head of technology business development at Goldman Sachs, where he worked with the chief investment officer and lines of business on strategy, strategic investments, and to commercialize technologies build for internal use. He received a BSEE/CS from NYU-Poly and a MSEE/CS and an MBA from Columbia University.

## BRIAN M. MORAN

Brian M. Moran joined Sterling Capital Management LLC in 2014 as an executive director and chief compliance officer for Sterling Capital Management LLC and Sterling Capital Funds. He is also a senior vice president for BB&T. He has investment experience since 1983 and he brings more than 32 years of experience, the vast majority of which has been in regulatory and compliance related functions. Before joining Sterling, he worked with TIAA-CREF, where he was chief compliance officer and director for the institutional client services and asset management organization. Selected prior experience includes Wachovia, Northwestern Mutual, AIG, the US Securities and Exchange Commission, the US Commodity Futures Trading Commission, Deloitte & Touche, and the New York Stock Exchange. Moran is a graduate of Fordham University, where he received his BS in public accounting. He is a graduate of the FINRA Institute's Wharton Certificate Program. Moran brings an extensive track record of constructing and managing comprehensive compliance operations that enable diverse companies to efficiently navigate through a highly regulated, extremely competitive, institutional, asset management, trust, and wealth management marketplace, providing in-depth knowledge to address law and compliance issues with special expertise in the Investment Adviser and Investment Companies Acts of 1940; Securities Act of 1933; Securities Exchange Act of 1934; and Trust Indenture Act of 1939.

## NANCY M. MORRIS

Nancy M. Morris is managing director and chief compliance officer of Wellington Management Company LLP. Morris joined Wellington Management in 2012 from Allianz Global Investors, where she served as chief US regulatory counsel. Before joining Allianz, Morris served as secretary of the US Securities and Exchange Commission from 2006 to 2008 and, before that, as an attorney-fellow in the SEC's Division of Investment Management. Earlier in her career, she served at the SEC in various roles from 1985 to 1992. Morris also spent 10 years as vice president and associate legal counsel at T. Rowe Price Associates and two years at Fidelity Investments. Morris is a graduate of Hartwick College and the University of Idaho School of Law.

## PAUL NICKLEN

Paul Nicklen is a wildlife photojournalist who uses his camera to reveal the nature of the changing polar regions due to the effects of a warming planet. Whether he is ice diving among leopard seals in Antarctica, covering hundreds of miles of terrain in -40°F temperatures, or mastering aerial shots from his ultralight plane, Nicklen has specialized in photographing polar regions since 1995. A unique childhood among the Inuit in Canada's Arctic and a professional background as a biologist in the Northwest Territories enable him to take on the most inhospitable places on our planet. His images reflect a reverence for the creatures inhabiting these isolated and endangered environments. Nicklen has published more than 15 stories for *National Geographic* magazine. His latest story was on gold prospecting in the Yukon. Nicklen's books include *Polar Obsession* and *Bear: Spirit of the Wild*, both published by *National Geographic*. He has received more than 20 international awards, including 14 awards with World Press Photo, three with Pictures of the Year International, and 10 with BBC Wildlife Photographer of the Year.

## SUSAN OLSON

Susan Olson is chief counsel of ICI Global, after serving as the Investment Company Institute's senior counsel for international affairs since 2007. Before joining ICI, Olson served in the Division of Investment Management at the US Securities and Exchange Commission (SEC). At the SEC, Olson worked in the international branch of the division's Office of the Chief Counsel, where she resolved legal issues arising under the Investment Company Act and the Investment Advisers Act, and provided guidance for trade negotiations. She also participated as an SEC representative on the International Organization of Securities Commission (IOSCO) Standing Committee 5, focusing on the regulation of mutual funds and other collective investment vehicles. Before joining the SEC, Olson worked in private practice. She received her undergraduate degree from Wellesley College and her law degree from the University of Virginia.

## JOANNE PACE

Joanne Pace is an independent director on the board of the Oppenheimer Funds and is also an active independent board director with public and private companies. She held multiple senior management roles during her executive career, including chief operating officer and managing director of Morgan Stanley Investment Management, where she was responsible for all non-investment functions, including technology and operations.

Pace was also chief operating officer and partner at FrontPoint Partners, a multi-strategy hedge fund. At Credit Suisse, Pace led that firm's human capital initiatives as its global head of human resources and as a member of the firm's Executive Committee. Earlier in her career, Pace was Morgan Stanley's controller and principal accounting officer, a role she assumed after serving as the chief financial officer of the Oversight Committee for the financial industry's bailout of Long Term Capital Management. Pace has an MBA from New York University's Stern School of Business and is a certified public accountant.

#### **STUART S. PARKER**

Stuart S. Parker is president of PGIM Investments (PI), a manufacturer and distributor of retail global products. Parker is responsible for the strategic investment research group, which provides due diligence oversight for third-party investment managers across PGIM platforms. Before his current position, Parker was executive vice president and head of retail for Jennison Associates' subadvisory relationships and PI's retail distribution. Before joining Jennison, Parker spent 14 years at Citigroup Asset Management as head of nonproprietary retail distribution. He earned a bachelor's degree in history from Rollins College and an MBA from Thunderbird, the American Graduate School of International Management. Parker is a board member of the Money Management Institute, Investment Company Institute, and Pruco Securities, LLC.

#### **MANOJ "TITO" POMBRA**

Manoj "Tito" Pombra currently serves as the chief compliance and anti-money laundering officer for Matthews International Capital Management, LLC (Matthews Asia) and Matthews International Funds (d/b/a Matthews Asia Funds). In his current role, he is responsible for managing the compliance programs of the investment company, investment adviser, offshore funds (Luxembourg-based UCITS funds), and Matthews Global Investors, a Hong Kong-registered broker-dealer. In addition, he oversees the Matthews Asia Funds service provider's compliance program under Rule 38a-1. Before joining Matthews in March 2005, Pombra was at Franklin Templeton Investments (FTI) as senior manager/manager of mutual fund compliance. For more than 10 years, Pombra served in various positions in the fund accounting and legal compliance departments at FTI. He also served as senior financial reporting manager at an Internet company. Pombra began his career in the mutual fund industry with Dreyfus Funds, as a fund accountant. He graduated from Queens College, City University of New York, with a bachelor's degree in accounting and economics. Pombra's major emphasis in the securities industry has been in the compliance and accounting areas. He is a member of the Board of Directors of the National Society of Compliance Professionals (NSCP), member of Investment Company Institute's CCO Committee and Compliance Advisory Committee, and cochair of the San Francisco Bay Area CCO Committee.

#### **KATHERINE M. PRIMAS**

Katherine M. Primas is the chief compliance officer (CCO) and vice president of Dodge & Cox and the Dodge & Cox Funds, which has approximately \$287 billion in assets under management. She joined the firm in 2004 and is responsible for the compliance and operational risk efforts on a global basis. Before joining Dodge & Cox, Primas was a director in internal audit with the Charles Schwab Corporation, where she was responsible for auditing Charles Schwab Investment Management and the Schwab Funds, as well as various investment advisory subsidiaries of U.S. Trust and the Excelsior Funds. Primas started her career with Franklin Templeton in 1996 and held various positions in compliance, where she was responsible for mutual fund compliance and regulatory reporting. Primas received her BS in business administration from the University of San Francisco and her MBA from the College of Notre Dame. Primas is a Certified Internal Auditor, cochair of the Bay Area Chief Compliance Officer Group, a member of the Investment Adviser Association's Nominating Committee, and a member of the Investment Company Institute's Chief Compliance Officer Committee, CCO Advisory Issues Committee, and Risk Advisory Committee.

#### **JOHN PROUTY**

John Prouty is a senior vice president and the robotic automation capability owner in the Enterprise Operations organization of Northern Trust. He is responsible for setting the strategic direction and managing the day-to-day execution of automation of existing manual processes using robotic automation technology. Previously, Prouty led an effort working across service and call centers in Northern Trust to enhance the client interface experience. He also managed a team in the hedge fund services division that provides internal and external client facing support for middle- and back-office reporting, user access provisioning, trade mapping and processing, and general platform functionality. Prouty joined Northern Trust in 2011 as part of the acquisition of Omnium LLC. Before joining Northern Trust, he built and managed the trading system operations group at Chicago Trading Company, LLC. He began his career working in a variety of technology and business support roles for Archipelago LLC and then NYSE Arca.

#### **JAMES E. ROSS**

James E. Ross is an executive vice president of State Street Global Advisors (SSGA) and is chairman of the global SPDR business. He also serves as chairman of the board of SSGA Funds Management, Inc. (SSGA FM), SSGA's registered investment adviser. In these roles, he is responsible for leading SSGA's engagement with ETF stakeholders including regulators, mutual fund and ETF boards of directors, industry associations, key clients, partners, and the media. Ross leads SSGA's positioning on important issues related to ETFs and is responsible for advancing SSGA's long-term ETF strategy and innovation. He has an extensive history with exchange-traded funds and is frequently quoted in the media. Ross is responsible for SSGA's Global Funds Management and is a member of the SSGA's Global Product Committee, as well as SSGA's Executive Management Group.

He also serves on the Investment Company Institute Board of Governors and is chairman of ICI's ETF Committee. Before joining State Street in 1992, he worked for Ernst & Young as a senior accountant, responsible for auditing investment companies and insurance companies. He holds a bachelor's degree in accountancy from Bentley College.

### ROBERT P. SCALES

Robert P. Scales began his consulting practice in 2016 after serving as general counsel and chief compliance officer of the Columbia Acorn Funds for 11 years. He started his career at the US Securities and Exchange Commission, and afterward he practiced law, served as head of compliance for the Chicago Mercantile Exchange, and was regional counsel for UBS/PaineWebber. Robert teaches "Compliance in Financial Institutions" at Chicago Kent College of Law. Scales received his BA from the University of Illinois, his JD from Lewis and Clark Law School, and his MLA from University of Chicago.

### DAVID SEMAYA

David Semaya is executive chairman and representative director of Nikko Asset Management Co., Ltd. His 30-year career spans three continents as he has engaged in financial services business in the United States, Europe, and Asia. Now based in Tokyo, Semaya joined Nikko Am in 2014 and is primarily responsible for overseeing Nikko's corporate governance as well as contributing to overall corporate strategy and strategic client relationships. Before returning to Japan, Semaya was most recently with Barclays PLC as CEO of UK and Ireland wealth management and chairman of Barclays Asset Management based in London. Before 2009, he served as CEO for Barclays Global Investors (now BlackRock) Europe and Asia. Until 2004, he was with Merrill Lynch and Co. in a variety of executive leadership positions in asset management and investment banking in New York and Tokyo. Semaya is currently a board director of Rongtong Fund Management Co., Ltd (China), Affin Hwang Asset Management Berhad (Malaysia), and Ambit Investors Advisors Private Limited (India). He also serves as an adviser to Sumitomo Mitsui Trust and Banking Ltd (Japan). He currently serves on the newly formed ICI Global Pacific Policy Council. Semaya holds a BA from the University of Florida, a master's in education from Temple University, and has completed the Stanford/NUS Executive Program in International Management.

### LISA SHALETT

Lisa Shalett is the head of investment and portfolio strategies for Morgan Stanley Wealth Management and a member of the Global Investment Committee and the Investment Products and Services Executive Committee. She works to develop portfolio solutions that leverage the firm's strategic and tactical asset allocation advice to meet client goals delivered through both scaled and customized solutions. As part of her role, Shalett leads the development of all asset allocation models, global investment due diligence, and portfolio analytics teams; she also has responsibility for managing all MS firm discretionary models and OCIO mandates totaling more than \$100 billion in assets under management. In addition, Shalett is responsible for the Morgan Stanley Wealth Management thought leadership agenda and publishes white papers on topics of importance to practitioners and clients. Before joining the firm in 2013, Shalett served as chief investment officer of Bank of America, Merrill Lynch Global Wealth Management. Shalett has also held several senior roles at Alliance Bernstein during her 18-year tenure with the firm, including chairman and chief executive officer of Sanford C. Bernstein, LLC, and served as chief investment officer and head of Alliance Growth Equities. Shalett earned an MBA at Harvard Business School and holds a dual degree in applied mathematics and economics from Brown University. She is a Henry Crown fellow of the Aspen Institute and a founding member of the Financial Fellowship.

### SONNIA T. SHIELDS

Sonnia T. Shields is an executive director in J.P. Morgan's Asset Management business where she serves as the global head of diversity. Her responsibilities include working with senior business leaders to drive accountability towards attracting, retaining, and promoting a diverse workforce, in addition to developing and implementing the global diversity and inclusion strategy for the business. Before JP Morgan, she served as the global director of diversity at Cadwalader, Wickersham & Taft. In this role, she was a key member of the firm's senior management team with responsibility for developing the strategic direction and organizational objectives around building and maintaining a diverse and inclusive work environment. Shields previously served as the managing director of the Council of Urban Professionals (CUP) Leadership Institute, where she was responsible for building and implementing a multifaceted professional development platform focused on preparing the next generation of diverse leaders for the C-suite. Before CUP, she served as a senior vice president at Goldman, Sachs & Co., where she worked for more than a decade. Shields held various roles within the firm, most recently serving as the Americas head of targeted pipeline development within the office of global leadership and diversity. In this role, she was responsible for setting the strategic vision and implementation of the firm's Black, Latino, and Multicultural Women talent management initiatives, both internally and externally.

### SARAH G. TEN SIETHOFF

Sarah G. ten Siethoff is the deputy associate director of the Rulemaking Office in the SEC's Division of Investment Management. She leads the development of policy and rulemaking relating to investment advisers and investment companies. Before joining the SEC, ten Siethoff was an associate with Cleary Gottlieb Steen & Hamilton LLP in their New York and Washington, DC, offices. She received her JD from Yale Law School, her MA in international relations from Yale University, and her BA from the University of Virginia.

## TODD SPILLANE

Todd Spillane recently joined Westwood Management Group as a compliance consultant, where he oversees the compliance program for the firm. Before joining Westwood, Spillane was the chief operating officer for StarCompliance from September 2015 until March 2017, where he led many aspects of this technology firm. Previously, Spillane was the chief compliance officer for Invesco US Compliance starting in March 2006. In this role, he directed the compliance teams that support the US retail and US institutional operations of Invesco. Spillane was also the chief compliance officer for Invesco Funds, and served as the chief compliance officer for Invesco PowerShares and the Invesco Van Kampen closed-end funds.

Spillane also served as the advisory compliance director for Invesco and was responsible for the management of the advisory compliance group. Before joining Invesco in 2004, Spillane was a vice president for global product development with AIG Global Investment Group. While at AIG, he also served as chief compliance officer and deputy general counsel for AIG/SunAmerica Asset Group and AIG/American General Investment Management. Spillane began his career in 1988 as an attorney with Aetna Life Insurance Company. He also served as director of compliance for Nicholas-Applegate Capital Management from 1994 to 1999. Spillane earned a BA in politics from Fairfield University and a JD from Western New England School of Law.

## PAUL SCHOTT STEVENS

Since June 2004, Paul Schott Stevens has served as president and CEO of the Investment Company Institute, the leading global association of investment funds. Stevens has steered ICI during some of the most challenging years in its history, through the financial crisis and beyond. He has led the Institute's efforts on a series of crucial issues—money market fund reform, passage and implementation of the Dodd-Frank Act, and critically important fiscal and tax issues. He directed the 2011 launch of ICI Global to respond to the globalization of fund investing and regulation, and has consistently championed the role of investment funds and defined contribution plans in providing for retirement. Stevens served as general counsel of ICI from 1993 to 1997. He also practiced law in Washington for many years, most recently as a partner in the financial services group of Dechert LLP. In addition, Stevens served in senior government positions at the White House and Defense Department, including as special assistant for national security affairs to President Ronald Reagan and chief of staff of the National Security Council. Upon leaving government service, he was awarded the Defense Department's Medal for Distinguished Public Service, its highest civilian decoration.

## GILES SWAN

Giles Swan is director of global funds policy at ICI Global. Swan joined ICI Global from the Financial Services Authority (FSA) as a technical specialist on the collective investment schemes policy team. Swan led negotiations for the FSA in the Council of Ministers and the European Parliament on the Alternative Investment Fund Managers Directive, and chaired a European Securities and Markets Authority (ESMA) task force developing the directive's implementing measures. Additionally, he represented the FSA in ESMA's Investment Management Standing Committee. Swan moved to the FSA in 2005 after beginning his career in the European mutual funds sector. Swan holds a BA, first class, from London Guildhall University and an MSc in finance and investment from CASS Business School.

## SHUNDRAWN A. THOMAS

Shundrawn A. Thomas serves as executive vice president and head of the funds and managed accounts group at Northern Trust. He principally oversees the development, management, and distribution of Northern Funds, Northern Institutional Funds, and FlexShares Exchange-Traded Funds. He also oversees the managed accounts practice that provides investment advisory solutions for direct clients and financial intermediaries. His executive responsibilities involve developing long-term strategy, executing operating plans, managing client and vendor relationships, and developing and retaining talented professionals. He serves as a member of the Asset Management Executive Committee and the Operating Committee of the Northern Trust Corporation. Thomas previously served as managing director of Northern Trust's exchange-traded funds group and as head of corporate strategy for Northern Trust Corporation. Before joining Northern Trust, Thomas served as a vice president for Goldman Sachs and held positions in sales, trading, and research with Morgan Stanley. He received a BS in accounting from Florida A&M University and an MBA from the University of Chicago Booth School of Business.

## WILLIAM F. "TED" TRUSCOTT

William F. "Ted" Truscott is the CEO for Columbia Threadneedle Investments, a leading global asset manager that provides a broad range of actively managed investment strategies and solutions for individual, institutional, and corporate clients around the world. Truscott serves on several boards across the Columbia Threadneedle and Ameriprise Financial businesses. In addition, he serves as chairman of the Investment Company Institute's Board of Governors and is a member of the Board of Trustees for Middlebury College. Truscott earned a bachelor's degree in East Asian studies from Middlebury College and an MBA in finance from New York University, Stern School of Business.

## SEAN TUFFY

Sean Tuffy is the head of strategy for Europe and Asia at Brown Brothers Harriman (BBH). In this capacity, Tuffy leads a team responsible for formulating and implementing BBH's strategy in Europe and Asia. He also oversees the firm's global regulatory intelligence team, which analyzes and articulates the impact of the global market and regulatory developments of strategic interest to the firm and its clients. Based in Dublin,

Ireland, Tuffy has nearly 20 years of experience in the cross-border fund industry. He joined BBH in 2006, and before that, he worked at State Street Corporation in Boston and Dublin. Tuffy is an active participant in industry groups that include the Irish Funds, International Securities Lending Association, and the Association of Global Custodians. He is a frequent speaker at industry conferences and appears regularly in the financial press discussing the impact of global regulations and developments in the asset management industry. Tuffy has a BS in business administration from Mary Washington College.

#### DAN WATERS

Dan Waters is managing director of ICI Global. Before joining ICI Global, he served as asset management sector leader at the UK Financial Services Authority (FSA) from 2004 to 2010, leading the FSA's regulatory and supervisory policy for the asset management industry. Waters represented the United Kingdom on the International Organization of Securities Commissions (IOSCO) Standing Committee on Investment Management and on the Investment Management Standing Committee of the Committee of European Securities Regulators (CESR) (now the European Securities and Markets Authority, ESMA), leading significant work in the revisions of the UCITS Directive (UCITS IV). Waters began work in the United Kingdom in 1993 as director of enforcement at the Investment Management Regulatory Organization. Previously, he headed international enforcement at the US Commodity Futures Trading Commission. Waters graduated *summa cum laude* from Boston College and *cum laude* from Harvard Law School.

#### PHILIP S. WELLMAN

Philip S. Wellman is vice president and chief compliance officer for the MassMutual Select Funds, MassMutual Premier Funds, MML Series Investment Fund, and MML Series Investment Fund II, as well as for MML Investment Advisers, LLC. He is responsible for managing the compliance and ethics programs for the mutual funds and investment adviser, including policies and procedures, regulatory matters, conflicts and risk management, and service provider due diligence.

Before joining MassMutual, Wellman was senior vice president and assistant general counsel at Advest, Inc., in Hartford, Connecticut, a regional brokerage firm that provided brokerage, trading, investment banking, and asset management services to retail and institutional investors. He served as Advest's senior litigation counsel. He handled regulatory investigations for the company and was responsible for customer arbitrations, securities class actions, noncomplete and trade secret disputes, general litigation, and privacy matters. Before moving in-house, Wellman practiced with Day, Berry & Howard LLP.

Wellman received a BA with honors in political science from Trinity College and a JD with honors from the University of Connecticut School of Law, where he was an articles editor for the *Connecticut Law Review*. He is the author of articles and papers on securities fraud litigation, antitrust developments, and various other topics. He also has moderated or participated as a speaker on panels at many legal and industry conferences.

#### TRAYNE S. WHEELER

Trayne S. Wheeler is a partner in the Boston office of K&L Gates and concentrates his practice in the corporate, securities, and investment management areas. His practice focuses on advising registered investment companies and hedge funds, investment advisers, broker-dealers, and other financial service providers. Wheeler has worked on internal policies, procedures, compliance checklists, chief compliance officer policies and procedures, advisory contracts, and corresponding disclosures in SEC forms for investment companies and investment advisers. Wheeler advises mutual fund complexes on various regulatory and compliance matters including registration, mergers and reorganizations, and negotiations with fund service providers. Wheeler also has experience with the launching of new mutual funds and hedge funds and has drafted numerous offering documents and registration statements for open- and closed-end investment companies. He has assisted in the drafting of opinions as well as assisted clients in discussions with the SEC staff. He has acted as fund counsel and independent director counsel for various mutual fund complexes. Wheeler has also acted as special counsel organizing the preparation and public offering of numerous closed-end funds. During law school, Wheeler worked for the Federal Deposit Insurance Corporation (FDIC) in the Boston regional office. Wheeler received a JD from Boston University School of Law and an AB from the University of Chicago. He is admitted to the state bar of Massachusetts, and was listed as a Massachusetts Rising Star in 2011.

#### MICHAEL WHITAKER

Michael Whitaker is the chief compliance officer for Wells Fargo Asset Management (WFAM), responsible for overseeing all compliance related activities across Wells Fargo's asset management business. As a member of the WFAM executive leadership team, he works to ensure that business priorities and compliance requirements are aligned. In addition, Whitaker also serves as chief compliance officer for the Wells Fargo Funds and is responsible for overseeing the Wells Fargo Funds' compliance program and reporting to the Wells Fargo Funds' Board of Trustees.

Before joining Wells Fargo, Whitaker served as the senior vice president for asset management compliance at Fidelity Management & Research Company, the investment adviser for Fidelity's family of mutual funds. In this role, he served as chief compliance officer for Fidelity's fixed-income and asset allocation mutual funds, overseeing compliance related activities for Fidelity's fixed-income and asset allocation business. Whitaker also led compliance for Fidelity Institutional Asset Management, Fidelity's institutional investment advisory business.



Before joining Fidelity, Whitaker was a senior vice president and chief compliance officer at MFS Investment Management. As MFS's first chief compliance officer, he led the firm's compliance effort in responding to regulatory matters and reorganizing and expanding compliance oversight throughout the organization. From 1998 to 2004, Whitaker served in a variety of fund and corporate counsel roles in MFS's legal department, including assistant general counsel. Before joining MFS, Whitaker was associated with the law firm Willkie Farr & Gallagher in New York, where he practiced corporate law. He began his career in 1989 as an accountant in the audit practice at KPMG in Boston.

Whitaker earned a BBA with honors from the University of Notre Dame and a JD, *cum laude*, from Cornell University. He is admitted into the Massachusetts and New York bars and is a certified public accountant (CPA) in the state of New York.

### MARGARHEETA "RHEETA" WISE

Margarheeta "Rheeta" Wise is president of the MFS Service Center and a senior vice president of MFS Investment Management® (MFS®). She brings more than 30 years of industry experience to her role managing the MFS Service Center, which is responsible for managing shareholder and dealer servicing departments, maintaining records, processing transactions, distribution of fund and shareholder information, fund implementation, risk management, and regulatory oversight and monitoring. Wise joined MFS in 2005 from PFPC Inc., where she was a senior vice president responsible for the product development and project management organizations on behalf of its transfer agency division. Before that, she was a senior vice president with the BISYS organization, responsible for sales and marketing support and product development. A large part of Wise's career was spent with First Data Inc., where she held several positions within its transfer agency division, exiting as a senior vice president of the product development and distribution services team. She attended the University of Massachusetts, Boston, and Boston University, where she received her certification in project management. Wise has been a long-standing member of NISCA, serving on several committees during her career, and is currently a member of its board of directors. She also serves on ICI's Operations Committee.

### NANCY WISER

Nancy Wiser is an executive vice president, chief operating officer at Wells Fargo Funds Management, LLC; serves as treasurer of the Wells Fargo Funds; and is a director of Wells Fargo Asset Management Luxembourg. She joined Wells Fargo in 2011 and is based in Boston. Wiser has worked in the investment industry since 1989 and has held various positions in fund accounting, fund administration, technology, investment operations, investor relations, and compliance. She has worked at U.S. Bank Asset Management, MFS Investment Management, and American Express Financial Advisors. Wiser earned a BBA from Providence College in Rhode Island. She serves on the Business Advisory Council at the Providence College School of Business, the Board of Overseers at Providence College, and the Advisory Council for the National Black MBA Association's Boston Chapter. Additionally, Wiser received the 2014 Visionary Leader Award from the National Investment Company Service Association (NISCA).

### STEVEN WISNESKI

Steven Wisneski serves as senior vice president of Franklin Templeton Services systems and operations strategy. Wisneski is currently responsible for the global project management office, system support teams, and implementation of the operations and system strategy implementation project. Wisneski brings 30 years of industry experience to his role and has been with Franklin Templeton since 2005. Before his current position, he served in various roles including director of trade settlements and vice president of global trade services. Wisneski has participated in several industry bodies, including serving on the Board of Directors of ISITC, the SIFMA Asset Manager Forum, Alert Product Governance Committee, and the Omgeo Advisory Group. Before joining Franklin Templeton, Wisneski was a vice president at The Bank of New York, where he served in various capacities, including mutual fund custody administration and global custody operations. Wisneski has a BS from Seton Hall University and a master's degree in finance from Farleigh Dickinson University.

### QIUMEI YANG

Qiumei Yang is CEO, ICI Global Asia-Pacific. Yang comes to ICI Global from the Hong Kong Stock Exchange (HKEx), where she served as deputy head of the market development division and head of mainland development. Yang played a critical role in the exchange's business development and assisted in HKEx's acquisition of the London Metal Exchange. Her career also includes 10 years at the China Securities Regulatory Commission in roles including deputy director general for the Department of Investment Fund Supervision. In that job, she represented the People's Republic of China in the International Organization of Securities Commissions (IOSCO), serving on the Standing Committee on Investment Management. She also chaired the IOSCO Emerging Market Committee's working group on investment funds. In addition, Yang has taught at universities in the United States and Latvia, and for several years worked as a consultant to the Organisation for Economic Co-operation and Development. She earned her bachelor's and master's degrees from Peking University and her PhD in economics from the University of Illinois.