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GMM

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Compiled Biographies

GMM, Compliance, Ops, and IDC

CHRIS ACKERSON

Chris Ackerson leads product for search and artificial intelligence at AlphaSense, where his team applies the latest innovations in machine learning and neurolinguistic programming (NLP) to the information discovery challenges of investment professionals and other knowledge workers. Before AlphaSense, Ackerson held roles in both product and engineering at IBM Watson, where he led successful early commercialization efforts. Ackerson studied electrical and computer engineering at Carnegie Mellon and is now based in New York City.

STEPHEN M. ALDERMAN

Stephen M. Alderman is a trustee of Brighthouse Funds Trust I and Brighthouse Funds Trust II and chair of their Nominating and Governance Committees. Alderman previously served as the lead independent trustee of Brighthouse Funds Trust I. He also practices law at the firm of Garfield & Merel, LTD in Chicago. Alderman received his BA with honors from Michigan State University (James Madison College) and his JD from the University of Illinois.

T. NEIL BATHON

T. Neil Bathon formed FUSE Research Network LLC in 2008 to improve the effectiveness of sales, marketing, and product functions associated with the distribution of investment products. FUSE delivers customized market intelligence that improves decisionmaking and tactical execution. As of the end of 2016, FUSE was providing ongoing support to 50 investment management firms ranging in size from less than \$500 million in AUM to more than \$1 trillion. Bathon serves as an independent director for the Vertical Capital Income Fund and has been an independent director for BNY Mellon Charitable Gift Fund and Financial Investors Variable Investment Trust. He has appeared on CNBC and Bloomberg and is a regular contributor to a wide range of business publications, including the Wall Street Journal, Reuters, Ignites, Barron's, and InvestmentNews. Bathon is also active with industry trade groups (ICI, MMI, IMEA, I&WI, AIMSE, and PAICR) and is a regular speaker and judge (NOVA Awards, WealthManagement.com Awards) at industry events. He is also an active supporter of the Expect Miracles Foundation. Bathon began his professional career in 1983 as an analyst with Zacks and later moved to Kemper Financial.

BROOKE J. BILLICK

Brooke J. Billick is chief compliance officer of Artisan Partners Funds, Inc. He 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, Billick 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 and representing 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 Wisconsin bar.

SANDY BOLTON

Sandy Bolton is a managing director and head of managed investments within the investment solutions group for Bank of America Merrill Lynch. She leads delivery of the firm's investment products offerings across all global wealth and investment management channels, including domestic and offshore mutual funds, global exchange-traded products, separately managed accounts, and money market funds. Bolton's team includes more than 20 product management professionals who are responsible for product development, management and ongoing governance, and investment oversight for products offered through the investment advisory program. Before joining Bank of America Merrill Lynch, Bolton was head of investment solutions for Pershing LLC, a BNY Mellon company. In this role, she was responsible for delivering investment product offerings for independent broker-dealers and RIAs. Before that, she was responsible for product management, oversight, marketing, and management of various investment solutions offerings at TD Ameritrade, Morgan Stanley, and Merrill Lynch.

Bolton earned a bachelor's degree from The College of New Jersey and an MBA from Fairleigh Dickinson University. She is a graduate of the Securities Industry Institute Executive Development Program at The Wharton School of the University of Pennsylvania. Bolton is also a member of the Board of Directors for Expect Miracles Foundation—Financial Services Against Cancer.

MARTY BURNS

Marty Burns is chief industry operations officer of the Investment Company Institute. He joined ICI in 2006, and as senior director for operations and distribution was responsible for facilitating middle- and back-office initiatives with industry stakeholders, and collaborating with stakeholders to pursue and achieve related regulatory, legislative, and public policy goals. A veteran of the financial services industry with more than three decades of experience working for government, private, and public enterprises, Burns also has managed securities processing and operations, asset securitizations, and banking regulation. He holds an MBA from DePaul University and a BBA from the University of Saint Francis.

SCOTT BURNS

Scott Burns is head of data, research, and index products for Morningstar, responsible for the firm's data delivery, research licensing, and index businesses. He is also responsible for Morningstar.com, the company's flagship website, and individual investor products. Most recently, Burns served as head of product solutions, leading global business strategy and solution development for asset management and buy-side clients. He joined Morningstar in 2004 as a senior equity analyst and later served as an associate director of equity research. In 2008, he was tapped to establish Morningstar's ETF research team, and his management responsibilities grew to include oversight of closed-end and alternative fund research. In 2012, he was promoted to director of fund research for North America; he became global director of manager research in 2013 and head of asset management solutions in 2015. Before joining Morningstar, Burns held positions at Bank One/JP Morgan and Banc of America Securities, as part of its leveraged finance group. Burns holds a bachelor's degree in finance from the University of Illinois and an MBA from the University of Chicago Booth School of Business.

KEVIN F. CAHILL

Kevin F. Cahill is a partner, financial services, with Dechert, where he represents investment advisers and investment companies in all aspects of their organization, registration, operation, acquisition, and liquidation, and serves as counsel to independent directors of investment companies. He counsels clients in a wide range of regulatory, compliance, and business matters.

Cahill has authored numerous publications and articles in the US and international asset management field, and has participated in industry group panels and educational events. Cahill has advised investment advisers on a broad range of investment advisory products and services, including separately managed accounts, wrap fee programs, and model portfolio programs. He has also advised mutual fund independent trustees on fund governance, conflicts and general fiduciary issues, and director and officer liability insurance issues. Cahill has represented funds, their boards, and their advisers in corporate acquisition and transactional matters, and has also advised financial institutions on privacy regimes and cybersecurity matters, including working with clients to develop information security programs, data privacy protocols, and related compliance/audit programs.

Cahill is a graduate of the University of Illinois (BA, with distinction), and University of San Diego School of Law (JD, cum laude, member of the San Diego Law Review, and Order of the Coif). He is a member of the California Bar.

JOHN CEMBROOK

John Cembrook joined Lord Abbett in 2018 and is the chief information officer, responsible for overseeing the firm's technology-related strategies, initiatives, software development, and risk management. His previous experience includes serving as managing director, technology, at Goldman Sachs & Company and software systems analyst at Grumman Aerospace. Cembrook has worked in the financial services industry since 1990. He earned a bachelor of professional studies in computer science at Long Island University.

MATT CHAMBERS

Matt Chambers is general counsel and chief compliance officer of Horizon Investments, LLC, a Charlotte, North Carolina-based investment adviser that provides goals-based investment management strategies to financial advisers and their clients. He is also the chief compliance officer of Horizon Funds. Chambers was formerly an attorney with Kilpatrick Townsend & Stockton LLP, where he focused 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 ICI and NSCP. He has a BA from the University of North Carolina and a JD from the University of Georgia.

ROBERT J. CHERSI

Robert J. Chersi serves on the boards of E*TRADE, a leading financial services company and pioneer in the online brokerage industry, where he serves on the Audit Committee and the Risk Oversight Committee; BrightSphere Investment Group PLC, a ~ \$200 billion global, multi-boutique asset management company, where he serves as lead independent director and chair of the Audit Committee; and Thrivent Funds, a ~ \$50 billion family of mutual funds, where he serves as chair of the Audit Committee. Chersi also currently serves as the executive director leading Pace University's Center for Governance, Reporting, and Regulation, and as an adjunct professor. Chersi previously was a member of the Executive Committee and chief financial officer, financial services for Fidelity Investments. Before joining Fidelity, he was with UBS from 1988 to 2008, culminating in his roles as a member of the UBS AG Global Group managing board and chief financial officer, US wealth management and deputy chief financial officer for global wealth management and business banking. He started his career in 1983 as a CPA with KPMG, after graduating with a BBA in accounting from Pace University.

JAY CLAYTON

Jay Clayton was sworn in as chair of the US Securities and Exchange Commission on May 4, 2017. Since joining the SEC, Clayton has focused on the long-term interests of America's retail investors, a perspective he shares with the SEC staff. Clayton has made it a priority to increase the access of retail investors to a diverse range of investment opportunities and see that they continue to benefit from the protections of securities laws. Clayton also has been outspoken on securities law issues related to distributed ledger technology, cryptocurrencies, and initial coin offerings. Before joining the SEC, Clayton was a partner at Sullivan & Cromwell LLP, where he was a member of the firm's Management Committee and co-head of the firm's corporate practice. Clayton has authored publications on securities law, cybersecurity, and other regulatory issues, and from 2009 to 2017 he was a lecturer in law and adjunct professor at the University of Pennsylvania Law School. Before joining Sullivan & Cromwell, Clayton served as a law clerk for the Honorable Marvin Katz of the US District Court for the Eastern District of Pennsylvania. He is a member of the New York and Washington, DC, bars. Clayton earned a BS in engineering from the University of Pennsylvania, summa cum laude; a BA and MA in economics from the University of Cambridge, where he was a Thouron Scholar; and a JD from the University of Pennsylvania Law School, cum laude, Order of the Coif.

JANINE COMSTOCK

Janine Comstock is senior vice president and chief security officer of MFS Investment Management® (MFS). In her role, she is responsible for MFS's global security group and overseeing security strategy, safeguards, and operations that protect the firm from technology, cyber, and physical risks. Before joining MFS, she was global chief information security officer at Aegon, where she was responsible for building a global program, defining strategy, and managing a global team and operations. Previously, she held several senior-level security positions in the telecommunications, publishing, and insurance industries. Comstock has more than 20 years of IT experience, including more than 15 years as an executive leader in information (cyber) security and risk. She has held several industry designations and appointments and has successfully guided complex multinational companies in safeguarding business assets and operations. She is a Certified Information Systems Security Professional (CISSP).

KELLEY CONWAY

Kelley Conway is a managing director and a member of the financial services leadership team at Accenture. She leads the technology advisory practice, partnering with clients to drive practical and rapid business impact by strategically applying new technologies and approaches such as agile-DevOps, cloud, artificial intelligence, robotics, and blockchain. Conway has more than 20 years of consulting experience, and is a recognized leader in financial services, regularly presenting at industry conferences, and publishing thought leadership. A passionate advocate of diversity, she is a member of Leadership Greater Chicago class of 2018 and sits on the board of Year Up Chicago.

FRANK COOPER III

Frank Cooper III is the senior managing director and global chief marketing officer of BlackRock. He is a member of the Global Executive Committee and Global Operating Committee. As global CMO, Cooper is responsible for shaping BlackRock's global brand and marketing strategy for institutional and retail clients, including overseeing all digital marketing, branding, and research and insights functions at the firm. Cooper previously served as chief marketing and creative officer at BuzzFeed. Before this, he served as chief marketing officer of global consumer engagement for PepsiCo's global beverage group. He started his career as an entertainment lawyer and later served as a senior executive at two of the most iconic music labels: Motown and Def Jam. Cooper's work spans television, digital, short-form video, feature film, sports, and music. He has been acknowledged by Fast Company magazine as one of the "100 Most Creative People in Business," was a four-time recipient of Billboard magazine's "Power 100" and was a recipient of AdColor's coveted "Legend" award. Cooper earned a JD from Harvard Law School, where he served as the Supreme Court editor of the Harvard Law Review, and a BS in business administration from the University of California, Berkeley.

SUSAN C. COTÉ

Susan C. Coté is an independent director at SEI Funds. Before becoming an independent director, she was Americas director of Ernst & Young's asset management practice and its global asset management assurance leader, with overall responsibility for managing the firm's asset management practice. Before that, Coté was in various roles at Prudential, where she had overall responsibility for the direction and management of financial, regulatory, tax, and compliance reporting for all mutual funds managed and/or administered by Prudential (as fund treasurer). She also was responsible for corporate level accounting for the various Prudential subsidiaries marketing mutual funds/annuities to individual investors. In addition, she served as chief operating officer and managing director of Prudential Mutual Fund Investment Management. Coté is a past board member as well as past treasurer and chair of the Finance, Investment, and Audit Committee of the New York Women's Foundation, a not-for-profit organization focused on improving the lives of women and girls in New York City.

PETER DE PROFT

Peter De Proft led the European Fund and Asset Management Association (EFAMA) as director general for the past 11 years and remains honorary director general of the association. Before his appointment with EFAMA, De Proft was CEO at Fortis Investment Management Belgium, where he was responsible for development and implementation of the global Fortis Investments strategy at the Belgian level. De Proft also served as director of the fixed-income department at Petercam and as a central banker in the department of public funds. De Proft served on the board of directors of the European Money Markets Institute (EMMI) and as member of the European central bank's expert group on risk free rates. He was a member and vice chair of the securities and markets stakeholder group at the European Securities and Markets Authority (ESMA) and was chairman of the Administrative Committee of the European Parliamentary Financial Services Forum (EPFSF). De Proft was educated at the Free University, Brussels, where he received a degree in law (with specialization in economic, financial, and tax law) and an additional degree in economic law.

DOUGLAS EU

Douglas Eu is CEO US and a managing director with Allianz Global Investors, which he joined in 2006. He is a member of the firm's Global Executive Committee and US Executive Committee and was previously CEO, Asia-Pacific. Eu has more than 30 years of investment industry experience. Before joining the firm, he worked at J.P. Morgan Asset Management (and its predecessor entities, including JF Asset Management), where he held several positions, including chief executive of JF Funds Limited; investment specialist for greater China (and previously Asia, including Japanese and Indonesian equities); and equity analyst covering the Hong Kong real estate sector. Eu has an AB in economics from Vassar College and an MS in business studies from London Business School. He served as a member of the advisory committee of the Securities and Futures Commission from 2007 to 2013.

LAURA F. FERGERSON

Laura F. Ferguson serves as president for Franklin Templeton Services (FTS), a subsidiary of Franklin Resources, Inc. (FRI). FTS provides investment management services to Franklin Templeton products globally. Ferguson has focused her career on the investment management industry, both in public accounting and at FTS, and has previously served as the chair of the ICI Treasurers Accounting Policy subcommittee. Before serving as president, Ferguson was responsible for the global fund administration and reporting and global fund tax teams for FTS. Before joining Franklin Templeton, Ferguson was an audit manager for Coopers & Lybrand. Ferguson received her BA in economics from the University of California, Berkeley. She is a CPA (inactive) and a member of the American Institute of Certified Public Accountants.

JASON FICKETT

Jason Fickett entered on duty as a special agent with the FBI in February 2002. From 2002 through 2010, Fickett was assigned to the Buffalo Division, Rochester Resident Agency, where he conducted investigations into violent crimes, narcotics, and public corruption. In Buffalo, Fickett was a member of the FBI SWAT team and served as a firearms instructor. In 2007, Fickett was selected for a six-month FBI counterterrorism temporary duty assignment to Baghdad, Iraq, where he created and led the investigative unit of the Law and Order Task Force at FOB Shield. In 2010, Fickett was promoted to assistant legal attaché for the US Embassy in Kabul, Afghanistan, where he directed the Major Crimes Task Force located at Camp Falcon. In 2011, Fickett was promoted to FBIHQ as a supervisory special agent in the International Operations Division, International Fusion Cell (IFC). While with the IFC, Fickett was the strategic and operations manager for Afghanistan, Ethiopia, and Yemen.

In 2013, Fickett was promoted to legal attaché for the US Embassy in Rome, Italy, with strategic and operations oversight for Italy, Vatican City, Republic of San Marino, and Malta. After his tour in Italy, Fickett reported as the supervisor to FBI Buffalo Division's Cyber Task Force with oversight of all cyber investigations. In 2018, Fickett was promoted to assistant special agent-in-charge, Intelligence Division, Branch II, Washington Field Office, and has been the acting special agent-in-charge for the Intelligence Division since February. Before joining the FBI, Fickett served as an intelligence officer in the US Navy and currently holds the rank of commander, serving as the operations officer of a Defense Intelligence Agency (DIA) reserve unit in New York. Fickett holds a BS from Mankato State University and an MBA from the University of Rochester's Simon School of Business.

RANDALL S. FILLMORE

Randall S. Fillmore currently serves as chief compliance officer for the Aquila Group of Funds (AGOF), Aquila Investment Management LLC (AIM), and Aquila Distributors LLC (ADL). In addition, Fillmore serves as chair for Aquila Entities Risk Group and reports to the Compliance Risk and Insurance Oversight Committee of the AGOF Boards of Trustees. He has more than 35 years of cumulative experience in the investment management and brokerage industries. His prior experience includes serving as the fund and adviser chief compliance officer for the Schwab Funds and Charles Schwab Investment Management, Inc., respectively, where he designed, developed, and implemented compliance programs for Schwab, its proprietary fund families, and its broker-dealer, mutual fund processing platforms. Fillmore also held senior-level positions in information systems risk management and investment management audit and business advisory services with PriceWaterhouseCoopers. He received a BBA and a BS in accounting from the University of Kansas, graduating magna cum laude.

MARTIN L. FLANAGAN

Martin L. Flanagan is president and CEO of Invesco, a position he has held since August 2005. He is also a member of the board of directors of Invesco and serves as a trustee and vice chairman of the Invesco Funds. Flanagan joined Invesco from Franklin Resources, Inc., where he was president and co-chief executive officer from January 2004 to July 2005. Previously he had been Franklin's copresident, chief operating officer and chief financial officer, and senior vice president and chief financial officer. He served as director, executive vice president, and chief operating officer of Templeton, Galbraith & Hansberger, Ltd. before its acquisition by Franklin in 1992. Before joining Templeton in 1983, he worked with Arthur Andersen & Co. He earned a BA and BBA from Southern Methodist University (SMU). He is a CFA charterholder and a CPA. He serves on ICI's Board of Governors and Executive Committee, which he formerly chaired. He also serves as a member of the Executive Board at the SMU Cox School of Business and is involved with a number of civic activities in Atlanta.

WENDY D. FOX

Wendy D. Fox is chief compliance officer for Ariel Investment Trust, appointed to that post in 2014. She had joined Ariel in 2004 as chief compliance officer of Ariel Investments, LLC and its affiliated broker-dealer, Ariel Distributors, LLC. Fox is responsible for regulatory risk oversight and administration of compliance programs covering investment advisers, broker-dealers, and mutual funds. She works closely with senior management, the firm's external corporate directors, and Ariel Investment Trust's independent trustees, advising on compliance matters and managing regulatory examinations. Before joining Ariel, Fox spent 16 years working for the SEC's regional office in Chicago, where she was attorney-adviser for the Branch of Investment Management Examinations, and ethics liaison officer and senior attorney for the Division of Enforcement. Beyond Ariel, Fox chairs the board of The ARK, a nonprofit organization providing free social and medical services to members of Chicago's Jewish community. She earned a BA in English literature from the University of Michigan and a JD from Washington University in St. Louis.

MELISSA S. GAINOR

Melissa S. Gainor is senior special counsel in the Division of Investment Management's Investment Company Regulation Office at the SEC. She assists in development of policy and rulemaking relating to investment companies and investment advisers. Before joining the SEC, Gainor was an associate at Ropes & Gray LLP in its Boston and Washington, DC, offices. Gainor graduated magna cum laude with a BA in political science from Boston College, and earned her JD, magna cum laude, from Boston University School of Law.

GEORGE C. W. GATCH

George C. W. Gatch is CEO of J.P. Morgan Asset Management's global funds and global institutional businesses. He is also a member of the Operating Committee of JPMorgan Chase & Co.'s asset and wealth management line of business. Previously, as CEO of global funds management, Gatch led J.P. Morgan's mutual fund complexes in Asia-Pacific, the Americas, and Europe. In 2005, he launched global funds' US mutual fund platform, which he led for a decade. Earlier in his career, he served as president and CEO of Japan's DKB Morgan, and established J.P. Morgan Asset Management's subadvisory and institutional mutual funds businesses. He joined J.P. Morgan in 1986. Gatch serves as chairman of the Investment Company Institute. He is also on the Investment Committee and Board of Directors for the Cathedral School of St. John the Divine in New York, as well as serving as a board member of New York's Mohonk Preserve. Gatch holds a bachelor's degree in political science and economics from Washington University in St. Louis, Missouri.

KEVIN M. GLEASON

Kevin M. Gleason has more than 15 years of experience holding senior level leadership positions at four different global Fortune 500 financial services organizations. Currently, he manages the compliance function for the Voya Funds. Over the course of his career, he has advised various types of financial services organizations, including institutional asset managers, retail investment advisers, insurance companies, banks and trust companies, broker-dealers, futures commission merchants, commodity trading advisers, commodity pool operators, 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. He is a board member at the National Society of Compliance Professionals and the Arizona Science Center and a graduate of the University of Notre Dame, holding a JD/LLM in financial services law. Most recently, he completed an MBA at the University of Chicago. Gleason is a frequent speaker at and contributor to industry conferences, events, and publications.

RICHARD J. GORMAN

Richard J. Gorman has served as the chief compliance officer of the Jackson National Funds since September 2018. From 2006 to 2018, he served as chief compliance officer at the Oakmark Funds, and from 1994 to 2006, he worked at the SEC 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, Gorman also served as a special US attorney for the Southern District of Ohio. From 1991 to 1994, he was a litigator with a Chicago law firm. Gorman received a BA with honors from Providence College and a JD from the University of Detroit.

JOHN GRIFFIN

John Griffin is an assurance and business advisory partner in the financial services practice at PricewaterhouseCoopers LLP, with more than 30 years of experience working with large global financial services companies, specializing in the asset and wealth management sector. His broad industry experience includes investment advisers, broker-dealers' sales and distribution activities, and back office operations, including fund accounting and transfer agency. He has gained deep global experience as the engagement partner on several large multinational clients, and broad SEC experience throughout his career, working on initial public offerings, carve-outs, and acquisitions. He has experience advising clients on mergers and acquisitions, including providing financial due diligence of target companies. He also has advised clients on risk and controls, as well as providing assurance on financial controls in connection with compliance with Sarbanes-Oxley Section 404 requirements and engagements surrounding the control environment of an asset manager's investment operations. He also has experience serving sponsored products, including registered '40 Act funds and alternative investment funds (hedge funds and bank-sponsored collective funds). Griffin also leads the firm's asset management governance practice, advising clients on the emerging issues facing directors and management in the boardroom, including effective board governance, the 15(c) contract review process, risk management, valuation, and other issues affecting the industry. Griffin earned his BS in accountancy from Bentley University.

ROBERT ("BOB") GROHOWSKI

Robert ("Bob") Grohowski is a vice president of T. Rowe Price Group, Inc. and T. Rowe Price Associates, Inc. and the legislative and regulatory affairs senior legal counsel for T. Rowe Price. He and his team are responsible for coordinating T. Rowe Price's engagement in policy initiatives that are important to the firm. Before joining T. Rowe Price in 2017, Grohowski was general counsel of the Investment Adviser Association (IAA) and before that he spent 17 years with ICI in a number of domestic and international roles. Grohowski began his career in private law practice with the firms now known as Kilpatrick Townsend and Eversheds Sutherland. He received a BA in foreign affairs from the University of Virginia, where he also earned his JD and was a member of the editorial board for the Virginia Journal of International Law.

DAVE HANNIBAL

Dave Hannibal is global head of strategic partnerships and alliances for Duco. He is responsible for the strategic direction of the partnership program globally, driving new product growth with partners and overseeing business development efforts in new verticals.

KELSEY HARRIS

Kelsey Harris has experience as an office assistant and project manager. Her last position involved working with a small team to streamline, manage, and execute funds use for the end of the fiscal year for laboratories at NIH. Her daily duties were procurement and user support. Harris graduated from University of Maryland, Baltimore County, with a bachelor's degree in psychology. She is currently considering which mental health graduate programs to pursue.

KEITH F. HARTSTEIN

Keith F. Hartstein is the independent chairman of the PGIM Funds. He joined John Hancock Funds in September of 1990 and served as president and chief executive officer from July 2005 until his retirement in September 2012. He also was senior vice president of Manulife Financial Corporation, whose subsidiary John Hancock Financial Services, Inc. is the parent company of John Hancock Funds. In addition, he served as president of the John Hancock Funds Board, chairman and director of John Hancock Signature Services, and director of MFC Global Investment Management, US. Hartstein received a BA in journalism from Louisiana State University in 1978 and has completed the Securities Industry Institute program at the Wharton School at the University of Pennsylvania and the Executive Integral Leadership Program at Notre Dame.

STEVEN HARTSTEIN

Steven Hartstein is head of funds compliance for Brighthouse Financial and is responsible for day-to-day oversight of compliance programs for Brighthouse Investment Advisers LLC and the Brighthouse Funds. He has 28 years of industry compliance experience. Before joining Brighthouse's former parent company, MetLife, Hartstein was chief compliance officer of the consulting group Capital Markets Funds (now the Morgan Stanley Pathway Funds) and an executive director at Morgan Stanley and a predecessor firm, Citi Smith Barney, for more than seven years. He 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 from Northwestern University.

MICHAEL F. HOGAN

Michael F. Hogan is senior vice president responsible for the compliance functions supporting Schwab's institutional advisory businesses, including Charles Schwab Investment Management (CSIM) and Charles Schwab Investment Advisory. He joined Schwab in July 2009 and since then has served as chief compliance officer for CSIM and Schwab, Laudus, and Schwab ETFs. Before joining Schwab, from 2007 to 2009 Hogan was director, regulatory compliance for Wellington Management Company LLP in Boston, where he led the regulatory compliance team of the global compliance and operational risk management department. Before that, he spent more than 22 years at Brown Brothers Harriman & Co. in Boston, holding various positions in compliance, legal, and operations. Hogan earned a JD from Suffolk University Law School in Boston and a BA from Bates College in Lewiston, Maine.

YIE-HSIN HUNG

Yie-Hsin Hung is the CEO of New York Life Investment Management LLC (NYLIM), New York Life's global multi-boutique third-party asset management business. Hung is also a member of the Executive Management Committee of New York Life. Hung was previously copresident of NYLIM and chairman of NYLIM International, where she led the firm's international expansion through the acquisition of Candriam Investors Group in Europe and Ausbil in Australia, and the opening several offices in Asia.

Hung joined the firm in 2010 with more than 30 years of industry experience, having most recently been with Bridgewater Associates. Before Bridgewater, Hung was with Morgan Stanley Investment Management, where she led its strategic acquisition activities, led its private equity and hedge fund businesses, and participated on its Management Committee. She began her career in investment banking with Morgan Stanley with a focus on real estate.

In 2017 and 2018, Hung was selected by American Banker as one of the "Most Powerful Women in Finance." Hung is a member of the Board of Governors of the Investment Company Institute and the chair of the 2019 General Membership Meeting. She is also a member of the U.S. Institute CEO Roundtable and the Advisory Council for the McCormick School of Engineering at Northwestern University. Hung also serves on the nonprofit boards of Next for Autism and the New England Center for Children. She earned her MBA from Harvard University and bachelor's degree in mechanical engineering from Northwestern University.

JONATHAN G. G. ISAAC

Jonathan G. G. Isaac is vice president and director of product management for Eaton Vance Distributors, responsible for all of Eaton Vance's open- and closed-end funds, as well as separately managed account products. He manages the firm's product and portfolio strategy and market intelligence teams, oversees all investment-related communications, and maintains the firm's relationships with closed-end fund research analysts and designated market makers. He also heads up the responsible investment strategy team that was formed upon the firm's acquisition of Calvert Research and Management. Isaac leads the firm's new product development and launch efforts. He is also managing director of product strategy for NextShares Solutions LLC, a wholly owned subsidiary of Eaton Vance Corp. He joined NextShares Solutions in 2015 and is responsible for all product-related activities associated with the launch of NextShares; he also assists with product-related issues for the NextShares licensees. Isaac joined Eaton Vance in 1994 and has held a variety of managerial positions in the firm's operations, marketing, and high-net-worth investment counsel groups. His involvement with closed-end fund products dates to 2004 and coincided with dramatic growth in the firm's closed-end fund assets under management. He is a graduate of University College, London, in his native United Kingdom.

SARAH H. KETTERER

Sarah H. Ketterer is the chief executive officer and cofounder of Causeway Capital Management and portfolio manager for the firm's fundamental and absolute returns strategies; she is also responsible for investment research across all sectors. Ketterer is a member of Causeway's Operating Committee. She cofounded the firm in June 2001 and has 32 years of investment experience. From November 1996 to June 2001, she worked for the Hotchkis and Wiley division of Merrill Lynch Investment Managers (HW-MLIM). At HW-MLIM, she was a managing director and co-head of the firm's HW-MLIM international and global value team. From 1990 to 1996, Ketterer was a portfolio manager at Hotchkis and Wiley, where she founded the international equity product. Ketterer earned a BA in economics and political science from Stanford University and an MBA from the Tuck School, Dartmouth College. She is currently chair of the Los Angeles World Affairs Council, a director of the Los Angeles Philharmonic, and director of the Music Center Foundation (as chair of the Investment Committee); she also serves on the Advisory Board of Girls Who Invest and the west coast advisory council of CollegeSpring.

PARAG KHANNA

Parag Khanna is a leading global strategy adviser, world traveler, and best-selling author. He is founder and managing partner of FutureMap, a data and scenario based strategic advisory firm. Khanna's newest book is *The Future Is Asian: Commerce, Conflict and Culture in the 21st Century*. His books have been translated into more than 20 languages. In 2008, Khanna was named one of *Esquire's* "75 Most Influential People of the 21st Century," and featured in *WIRED* magazine's "Smart List."

Khanna is currently a CNN global contributor and a contributing editor to *WorldPost*; he also serves on the editorial board of *Global Policy* and as a consultant to the National Geographic series *Origins*. He has been honored as a Young Global Leader of the World Economic Forum and has served on the WEF's Global Future Council on Mobility, Global Agenda Council on Geoeconomics, and advisory board of its Future of Urban Development Initiative. He also serves on the board of trustees of the New Cities Foundation and the Council of the American Geographical Society, and on the advisory board of *Independent Diplomat*. Khanna is a former term member of the Council on Foreign Relations, International Institute for Strategic Studies, and a fellow of the Royal Geographical Society.

Khanna holds a PhD in international relations from the London School of Economics, and bachelor's and master's degrees from the School of Foreign Service at Georgetown University. In 2017, he was awarded a Richard von Weizsaecker fellowship of the Robert Bosch Academy.

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. He has held these positions since January 2005 and is responsible for managing all investment company compliance responsibilities for the company's mutual fund, variable life insurance, and annuity product areas. In 2014, Knox was given 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; as assistant treasurer of the Fidelity Group of Funds; and 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 the group's Washington, Chicago, and Boston offices. During that time, he served as director of market surveillance for NASDAQ.

RUSSELL C. LEMLEY

Russell C. Lemley is chief compliance officer of the American Funds, Capital Group Private Client Services Funds, Emerging Markets Growth Fund, and Capital Group Emerging Total Opportunities Funds, all from Capital Group. He has 32 years of investment industry experience and has been with Capital Group for 23 years. Earlier in his career at Capital, Lemley was a senior compliance manager for Capital Guardian Trust Company. Before joining Capital, he was a securities compliance accountant at the SEC in Los Angeles. He holds a bachelor's degree with honors in economics from the University of California, Irvine.

KEVIN MEAGHER

Kevin Meagher is chief compliance officer in the asset management division at Fidelity Investments, a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing, and services to more than 26 million people, institutions, and financial intermediaries. Meagher is responsible for compliance oversight across all of Fidelity's asset management operations. Before assuming his current position in July 2018, he was senior vice president, deputy general counsel in the firm's fixed-income division. There, he was responsible for leading the fixed-income legal team, which provides legal services to Fidelity's taxable money market funds, municipal money market funds, investment grade municipal bond funds, investment grade taxable bond funds, and institutional accounts. Before joining Fidelity in 2004, he worked as a transactional lawyer at a large firm in Boston, focusing on corporate and municipal finance deals. Meagher earned his BA in American studies, magna cum laude, from Georgetown University and his JD from Boston College Law School.

SIMON MULCAHY

Simon Mulcahy is executive vice president and chief innovation officer of Salesforce. He is responsible for building next generation solutions to transform industries and for growing Salesforce's reputation and capabilities as trusted adviser to the C-suite. Mulcahy has held numerous leadership roles at Salesforce. From 2016 to 2018, he was chief marketing officer, leading Salesforce's global marketing organization. Before that, he was general manager of Salesforce's financial services business, defining the vertical go-to-market and product strategy, launching the Financial Services Cloud.

Until 2008, Mulcahy was head of technology industries of the World Economic Forum (known for its annual summit in Davos that attracts CEOs and world leaders). In that role, he worked closely with CEOs of leading global technology companies, as well as prominent thought leaders and government leaders. Earlier in his career, Mulcahy was a strategy consultant, and before that, a British Army officer. Mulcahy is a Global Leadership Fellow of the World Economic Forum. He has an MBA from Columbia University, London Business School and INSEAD, and an honors degree in economics and politics.

GLENN O'FLAHERTY

Glenn O'Flaherty is an independent trustee with the Aquila Group of Funds. He serves as chair of the Aquila Funds Trust and audit chair of the Aquila Municipal Trust and Hawaiian Tax Free Trust. Additionally, he chairs the board's Compliance, Risk, and Insurance Committee and is a member of its Financial Review Committee. O'Flaherty had a long career in the mutual fund industry, starting in 1981 at State Street Bank. He spent most of his career as treasurer and chief financial officer of the Janus Funds, and as the firm's vice president of investment operations, which includes trading and trade operations. He also served as chair of Janus's Operations Committee as well as chair of ICI's Accounting/Treasurer's Committee. O'Flaherty is a graduate of Bridgewater State University and earned his MBA from Boston College.

JANET D. OLSEN

Janet D. Olsen is an independent trustee of PPM Funds, an open-end management investment company offering shares in multiple series designed primarily for institutional investors. She joined the board at the inception of PPM Funds in 2018, chairs the Governance Committee of the PPM Funds board, and is a member of the Audit Committee. Olsen is also an independent trustee and member of the Audit Committee of ETF Series Solutions, an open-end management investment company offering shares in multiple exchange-traded series. From November 2000 until her retirement at year-end 2013, she held various positions with Artisan Partners Asset Management Inc. (NYSE: APAM) and its predecessors, subsidiaries, and affiliates. Those positions included executive vice president, chief legal officer, and secretary (2011–2013); managing director and general counsel of Artisan Partners Limited Partnership, APAM's principal operating subsidiary and a registered investment adviser (2000–2013); and vice president and general counsel of Artisan Funds, Inc., an open-end management investment company (2001–2011). From 1981 until joining Artisan Partners in 2000, Olsen practiced law with the Chicago-based law firm Bell, Boyd & Lloyd, LLC, where she focused on corporate, securities, and financing matters for companies in the investment management industry, including investment advisers and investment companies. She earned a BA, summa cum laude, from Blackburn College and a JD from the University of Chicago Law School.

PAULITA A. PIKE

Paulita A. Pike is a partner in the Chicago office of Ropes & Gray LLP, where she represents mutual funds and their boards as well as investment advisers throughout the country. As board counsel, Pike advises on a range of governance issues, including committee structures, committee and chair rotations, succession, director compensation, communications with the press, board and committee self-evaluations, and the identification, selection, and orientation of new board members. In her work representing advisers, she counsels on wide-ranging issues, including compliance matters, regulatory filings, public disclosures, corporate restructurings, regulatory communications, contractual matters, and client relations, including in the context of subadvisory arrangements and cybersecurity matters. Pike received both her JD and her BA in government and international studies from the University of Notre Dame. Fund Directions named her Independent Fund Counsel of the Year in 2008 and 2013, along with Paul Dykstra, who teaches mutual fund regulation with her at Notre Dame Law School. Pike is on the advisory board of Board IQ, a national biweekly publication for mutual fund directors, and on the advisory board of the Mutual Fund Directors Forum, an organization dedicated to mutual fund independent directors. She also is an adjunct professor of law at Northwestern Pritzker Law School and Notre Dame Law School.

STEVEN PINKER

Steven Pinker is an experimental psychologist who conducts research in visual cognition, psycholinguistics, and social relations. He grew up in Montreal and earned his BA from McGill and his PhD from Harvard. Currently Johnstone Professor of Psychology at Harvard, Pinker has also taught at Stanford and MIT. He has won numerous prizes for his research, his teaching, and his nine books, including *The Language Instinct*, *How the Mind Works*, *The Blank Slate*, *The Better Angels of Our Nature*, and *The Sense of Style*. Pinker is an elected member of the National Academy of Sciences, a two-time Pulitzer Prize finalist, a Humanist of the Year, a recipient of nine honorary doctorates, and one of Foreign Policy's "World's Top 100 Public Intellectuals" and Time's "100 Most Influential People in the World Today." He is chair of the Usage Panel of the American Heritage Dictionary, and writes frequently for the *New York Times*, *Guardian*, and other publications. His 10th and most recent book is called *Enlightenment Now: The Case for Reason, Science, Humanism, and Progress*.

CYNTHIA R. PLOUCHÉ

Cynthia R. Plouché is an independent director of the Northern Funds and Baring Funds. From 2001 until 2017, she served as a trustee on the AXA Equitable Funds, including time as Audit Committee chair and lead independent trustee. Currently, she serves as board president for the Rotary Club of Highland Park/Highwood and as a board member of the Chicago High School for the Arts. For the past five years, Plouché served as the township assessor in Moraine Township, Illinois. Before that, she served as senior portfolio manager and member of the investment policy committee at Williams Capital Management, LLC. Plouché received her AB from Harvard University and her MBA from the Wharton School at the University of Pennsylvania.

TITO POMBRA

Tito Pombra has more than 30 years of experience in the global asset management industry, including more than 22 years of experience in the investment company/investment adviser compliance area. He is a former chief compliance officer of Matthews International Capital Management, LLC (Matthews Asia) and Matthews International Funds (d/b/a Matthews Asia Funds). He was also the AML officer for the Matthews Asia Funds and MLRO for the Matthews Asia Funds (Luxembourg). As the chief compliance officer for Matthews Asia, he was responsible for managing the compliance and anti-money laundering programs of the investment company, investment adviser, and offshore funds, and assisted with the compliance programs of Matthews Global Investors, Hong Kong and UK, registered broker-dealers. In addition, he oversaw 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 as senior manager/manager of mutual fund compliance (April 2001–March 2005); an internet company as a senior financial reporting manager (June 2000–March 2001); and FTI for more than 10 years, during which time he worked as a manager, supervisor, and other various positions in the fund accounting and legal compliance departments. He began his career in the mutual fund industry as a fund accountant with Dreyfus Funds. Pombra graduated from Queens College City University of New York with a bachelor's degree in accounting and economics. His major emphasis in the securities industry has been in the compliance and accounting areas. Pombra is a former member of the Board of Directors of the National Society of Compliance Professionals (NSCP), a member of ICI's CCO and Compliance Advisory Committee, and cochair of the San Francisco Bay Area CCO Committee. In 2008, Compliance Reporter named Pombra a Top 20 Rising Star for Who's Who in Upcoming Compliance Professionals. He frequently speaks at industry conferences (e.g., NSCP, ICI, IAA, IA Watch, PEI) on a wide variety of compliance-related subjects.

MICHELE A. PORTERFIELD

Michele A. Porterfield is a practice leader with Leadership Solutions and has been with the firm since 1999. Porterfield's consulting expertise is in the areas of leadership assessment and selection, employee development, and executive coaching. Her focus is on helping clients leverage their talent to achieve organizational objectives, with specific expertise in assessment and development center design and delivery. Porterfield works with both small and large clients across industries. Select clients include Astellas Pharma, The Franklin Institute, Investment Company Institute, and The Vanguard Group. In addition to her client work, Porterfield is actively involved in helping the firm design and develop new products and services. Before joining Leadership Solutions, Porterfield worked for nine years as a consultant in the human resource planning and development practice of the Hay Group (now Korn Ferry), a global human resources consulting firm. Porterfield holds a BA from Villanova University, and an MS in organizational development from American University. She is on the board of Philadelphia Futures and has served as adjunct faculty for The Philadelphia Center (TPC), where she teaches career development to undergraduate students. Porterfield is the coauthor of a book titled *Outsmart Your Leadership Genes: Practical Prescriptions for Today's Leaders*.

KATHERINE M. PRIMAS

Katherine M. Primas is the chief compliance officer of Dodge & Cox and the Dodge & Cox Funds, which has more than \$300 billion in assets under management. She joined the firm in 2004 and is responsible for its 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. She 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. She is a Certified Internal Auditor, cochair of the Bay Area Chief Compliance Officer Group, a member of the Investment Adviser Association's Nominating Committee, vice chair of ICI's CCO Committee, and a member of ICI's CCO Advisory Issues Committee and Risk Advisory Committee.

ELIZABETH B. SCALF

Elizabeth B. Scalf serves as chief compliance officer of trust for Professional Managers, a multimanager series trust serving unaffiliated advisers, and she is a senior vice president at U.S. Bank Global Fund Services. As a member of the regulatory support services team, she assists with various compliance projects. She has more than eight years of experience in the investment management industry. Before joining U.S. Bank in 2017, she served in various legal and compliance capacities with Heartland Advisors and its proprietary mutual fund complex, Heartland Group; her positions there included chief compliance officer of Heartland Advisors and Heartland Group. Scalf earned a BBA in finance and marketing from the University of Wisconsin Oshkosh and a JD from Marquette University Law School. A licensed attorney and member of the Wisconsin bar, she is a member of the ICI's Chief Compliance Officer Committee. Scalf also helped create, and is a Steering Committee member of, the Milwaukee Compliance Roundtable.

MICHAEL R. SHOEMAKER

Michael R. Shoemaker is the chief compliance officer for Driehaus Capital Management LLC, Driehaus Mutual Funds, and Driehaus Securities LLC in Chicago, responsible for developing, implementing, and managing the firm's compliance programs to ensure that its activities comply with relevant legal and regulatory requirements. Before becoming Driehaus's chief compliance officer in 2012, he was the firm's associate chief compliance officer from 2011 to 2012, and he served in various compliance roles at Driehaus from 2004 to 2010. Additionally, he serves on Driehaus's Business Management Committee. He has also been a compliance officer for PIMCO. Shoemaker earned a BS in business administration with a major in accounting from the University of Arizona's Eller College of Management, an MBA with a concentration in finance and international business from DePaul University's Kellstadt Graduate School of Business, and a JD from Chicago-Kent College of Law at Illinois Institute of Technology.

PATRICK J. SPELLMAN

Patrick J. Spellman is chief compliance officer for AMG Funds LLC and its affiliated broker-dealer, AMG Distributors, Inc. He is responsible for overseeing and managing compliance and regulatory matters for AMG Funds LLC, which serves as the adviser to the AMG Funds, and for AMG Distributors, Inc., which is the distributor to the AMG Funds. Spellman has served in these roles since 2010. He also serves as the AML officer for the AMG Funds and AMG Pantheon family of funds. Previously, Spellman was a compliance manager with Affiliated Managers Group, Inc., serving in that capacity from 2005 through 2010, where he was responsible for assisting AMG's affiliates with various aspects of their legal and compliance functions. Before joining AMG, he was an audit manager with Commonwealth Financial Network, an independent broker-dealer, responsible for developing and overseeing the firm's audit and inspection programs. Spellman is a member of various Investment Adviser Association and ICI committees. He received his BA from Lafayette College and holds Series 7, 24, and 66 licenses with FINRA.

TODD SPILLANE

Todd Spillane is an executive director in legal and compliance at Morgan Stanley Investment Management. Spillane is responsible for directing the following areas at Morgan Stanley: public advisory, mutual funds, monitoring, board reporting, and service provider oversight.

Spillane has 30 years' financial service, legal, and compliance experience with firms including Aetna Life & Casualty, Nicholas-Applegate, AIG, SunAmerica, and Invesco, in a legal and compliance role as the CCO for these entities. He has extensive experience in asset management investment advisory regulation, mutual fund regulation, and related broker-dealer regulation.

Spillane earned a BA in politics from Fairfield University and a JD from Western New England School of Law.

RYAN STAHLIN

Ryan Stahlin is a research analyst in the national security analytics group at Battelle Memorial Institute in Arlington, Virginia. He uses his background from Colgate University in physics, mathematics, computer science, and the liberal arts to identify and solve interdisciplinary challenges facing our nation's national security apparatus. Stahlin is looking to establish a lifelong career in protecting our country's citizens at home and service members abroad.

PAUL SCHOTT STEVENS

Paul Schott Stevens has served as president and CEO of the Investment Company Institute since June 2004. Stevens has steered ICI during some of the most challenging years in its history, through the financial crisis and beyond. He has led ICI'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. In 2011, he directed the 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 internationally. 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 as 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.

ELLEN STOFAN

Ellen Stofan is the John and Adrienne Mars Director of the Smithsonian's National Air and Space Museum. Stofan started in April 2018 and is the first woman to hold this position. She comes to the position with more than 25 years' experience in space-related organizations and a deep research background in planetary geology. Stofan was chief scientist at NASA (2013-2016), serving as the principal adviser to former administrator Charles Bolden on NASA's strategic planning and programs. She helped guide the development of a long-range plan to get humans to Mars, and worked on strategies for NASA to support commercial activity in low Earth orbit as it transitions from the International Space Station (ISS) to sending humans to the moon and Mars in the mid-2020s. Stofan supported NASA's overall science programs in heliophysics, Earth science, planetary science, and astrophysics. While at NASA, she worked with President Barack Obama's science adviser and the National Science and Technology Council on science policy.

Stofan earned her bachelor's degree in geology at the College of William & Mary, and her master's and doctoral degrees at Brown University, both in geological sciences. She has published extensively and received many awards and honors, including the Presidential Early Career Award for Scientists and Engineers and the NASA Distinguished Service Medal, and was named one of "CNN's Extraordinary People of 2014." She is coauthor of the books *Planetology: Unlocking the Secrets of the Solar System* and *Next Earth: What Our World Can Teach Us About Other Planets*, both published by National Geographic.

JOSEPH A. SULLIVAN

Joseph A. Sullivan is chairman and CEO of Legg Mason, Inc. Sullivan was awarded Pageant Media and Fund Action's 2017 "Fund Leader of the Year" award, recognizing innovation and contributions to the mutual fund industry. He formerly served as trustee and chair of the Securities Industry Institute and currently serves on the Investment Company Institute Board of Governors. He has more than 35 years of industry experience, holding prior executive roles at Stifel Nicolaus, Legg Mason Wood Walker, Dain Bosworth, and Piper Jaffray. Sullivan holds a BA in economics from St. John's University and is a graduate of the Securities Industry Institute (SII) at the Wharton School of Business. He is active in public service and serves or has served on the Board of Trustees for Johns Hopkins Medicine, Johns Hopkins Carey Business School Financial Services Advisory Board, Catholic Charities, and St. Ignatius Loyola Academy; he was chair of the Board of Trustees of Loyola Blakefield School.

TREVOR E. SWANBERG

Trevor E. Swanberg is deputy chief compliance officer for John Hancock Financial Services, Inc. Before joining John Hancock in 2016, he was a vice president in the CCO office at State Street Global Advisors, where he was responsible for managing a team of compliance professionals and administering a Rule 38a-1 compliance program for four different fund complexes. In addition, Swanberg had primary oversight of the funds' subadviser and service provider due diligence process. Swanberg had previously worked as a senior manager of mutual fund compliance at ICMA Retirement Corporation, where he had responsibility for oversight of the funds' service providers and all aspects of the funds' investment guideline compliance monitoring. Before that, he worked in mutual fund administration at both J.P. Morgan and Investors Bank and Trust, covering a broad and diverse client base. Swanberg received both his BS in finance and his MBA from the Boston College Carroll School of Management.

SUE TOIGO

Sue Toigo is the chairman of Fitzgibbon Toigo & Co., which provides access for emerging and established investment managers to the global institutional investment community. She is also a principal in Goldmine Consulting, which provides career and business development counsel to investment professionals. Toigo is the past chairman and cofounder of the Institute for Fiduciary Education (IFE) and a director and cofounder of the Robert Toigo Foundation, which was started in 1989 to help change the face of finance by sponsoring and introducing brilliant minorities to the institutional investment marketplace. She served for 16 years as the lobbyist for the California Children's Lobby and was named one of 10 Outstanding California Lobbyists by the California Journal. A graduate with honors from the University of California at Berkeley (UCB), Toigo has been inducted into Berkeley's Women's Hall of Fame for establishing and directing the UCB child and infant care centers. She served for 14 years on the Columbia Business School Board of Overseers. Toigo has served as a visiting Woodrow Wilson Fellow at universities in Texas, Nebraska, and Indiana, and has spoken on behalf of the US State Department in Australia, New Zealand, Syria, and Chile.

RONALD E. TOUPIN JR.

Ronald E. Toupin Jr. is an independent trustee/director and chair of the board of the Guggenheim Funds, which includes both open- and closed-end funds. He has been an independent portfolio strategist since 2010. Previously, he was vice president, manager, and portfolio manager of Nuveen Asset Management, Nuveen Investment Advisory, and Nuveen Unit Investment Trusts. Toupin attended the University of Vermont and the University of Maryland.

NICOLE TRUDEAU

Nicole Trudeau is Saturna Capital Corporation's chief legal officer, responsible for legal oversight of the US-registered advisory, broker-dealer, trust, and mutual fund businesses. She also provides legal support for risk assessment and policy implementation, product development, and marketing. Before joining Saturna, Trudeau was a counsel in the Washington, DC, office of Simpson Thacher & Bartlett; a partner in the Washington, DC, office of Stradley Ronon Stevens & Young, LLP; and a partner in the Washington, DC, office of K&L Gates LLP. During her time in private practice, she counseled investment companies and their independent directors, as well as investment advisers and other service providers, on complex matters arising under US federal securities laws, particularly the Investment Company Act of 1940. Trudeau's clients included open- and closed-end funds, exchange-traded funds, unit investment trusts, and business development companies. In particular, she worked with chief compliance officers and boards of directors to develop board and compliance policies and procedures and to resolve regulatory-related issues. Trudeau is a graduate of the University of California, Berkeley, and the University of Michigan Law School, where she served on the editorial board of the Michigan Journal of International Law. She is a member of the bars of the District of Columbia, the Commonwealth of Virginia, and the Supreme Court of Virginia.

JOSEPH TSAI

Joseph Tsai joined Alibaba Group in 1999 as a member of the founding team and has served on the board of directors since its inception. He was chief financial officer until 2013 and is currently executive vice chairman of the company. Tsai serves on the investment committees of Alibaba Group and Ant Financial and is a founding member of Alibaba Partnership.

From 1995 to 1999, Tsai was a private equity investor based in Hong Kong with Investor AB, the main investment vehicle of Sweden's Wallenberg family. Before that, he was general counsel of Rosecliff, Inc., a management buyout firm based in New York. From 1990 to 1993, Tsai was an associate attorney in the tax group of Sullivan & Cromwell LLP, a New York-based international law firm. Tsai is qualified to practice law in the state of New York. He received his bachelor's degree in economics and East Asian studies from Yale College and a JD from Yale Law School.

SEAN TUFFY

Sean Tuffy is the head of market and regulatory intelligence for Citi's custody and fund services (CFS) business. In this capacity, Tuffy leads a team responsible for analyzing and articulating the impact of the global market and regulatory developments of strategic interest to CFS's clients. Based in Dublin, Tuffy has 20 years of experience in the cross-border fund industry. Before he joined Citi in 2017, he worked at Brown Brothers Harriman, where he was head of strategy for Europe and Asia. Additionally, Tuffy established and oversaw its global regulatory intelligence discipline, including founding the well-respected On the Regs blog. He is an active participant in key industry forums and appears regularly in the financial press discussing the impact of global regulatory developments on the asset management industry. Tuffy holds a BS in business administration from the University of Mary Washington.

KAY-MARIO VOBIS

Kay-Mario Vobis is a senior counsel in the Chief Counsel's Office of the SEC's Division of Investment Management. In that capacity, he works on no-action letters, exemptive applications, and counseling other divisions and offices at the SEC on investment management issues. Before joining the SEC, Vobis practiced in the New York office of Cleary Gottlieb Steen & Hamilton LLP, where he focused on corporate transactions. Vobis earned his JD from Georgetown University Law Center and his BA from the University of California, Berkeley.

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 compliance and ethics programs for the mutual funds and investment advisers, 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, non-compete and trade secret disputes, general litigation, and privacy matters. Before moving in-house, he 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 a member of the Connecticut and Massachusetts bars and the federal courts for the District of Connecticut, the Southern District of New York, the Second Circuit Court of Appeals, and the District of Columbia Circuit Court of Appeals. He is also a member of ICI's Chief Compliance Officer Committee and has been appointed as an industry arbitrator by the Financial Industry Regulatory Authority.

CHERYL B. WICHERS

Cheryl B. Wichers is the director, corporate compliance, funds and oversight, and the chief compliance officer for Russell Investment Company and Russell Investment Funds. Wichers is responsible for regulatory compliance and administration of Russell Investments' US fund products and investment advisor, administrator, and transfer agency compliance programs. She is also responsible for ensuring that all activities satisfy legal and regulatory requirements as well as the review and oversight of compliance policies and procedures of designated mutual fund service providers.

Before becoming chief compliance officer, Wichers served as manager of global regulatory policy. In that role, she was responsible for coordinating compliance programs in Russell Investments' global offices, and for ensuring the implementation of Russell Investments corporate regulatory policies in all Russell Investments locations. That position provided the opportunity for Wichers to work with fund and manager regulations and issues across all of Russell Investments' jurisdictions as well as fund and account engagements, including Russell Investments' US mutual fund products.

Wichers received her BA in business from Calvin College and is a registered principal, FINRA Series 7 and 24.

MARTY WILLIS

Martha B. Willis, also known as Marty, is the chief marketing officer at Nuveen, the \$900 billion investment manager for TIAA, institutional investors, investment advisers, and millions of individual investors. She leads all marketing functions, including product and client marketing, corporate communications, digital, and brand strategy. Willis joined the firm in 2016. She has vast asset management experience and has played a variety of marketing, distribution, and business strategy roles at Oppenheimmerfunds, Fidelity Investments, and MFS. She is currently on the board for the Girl Scouts of NYC and has also served as the chairman of the Board of Regents for the University of the South. Willis is a member of the Women's Forum of NYC and was one of the founding members of Global Asset Management CMO Roundtable. Willis earned numerous industry awards for her transformational marketing and branding campaigns.

DAVID WRIGHT

David Wright leads Flint's financial services team and provides advice on international policy and regulatory developments for financial services clients. He joined Flint after more than 34 years at the European Commission in Brussels. From 2000 to 2010, he was director and deputy director general for financial services policy, where he played a leading role in the integration of European capital markets and the European Union's response to the financial crisis. He was the rapporteur on both the Lamfalussy and the De Larosière Committees that changed the European Union's institutional framework for financial services, setting up bodies such as the European Banking Authority, the European Securities and Markets Authority, the European Insurance and Occupational Pensions Authority, and the European Systemic Risk Board at the European Central Bank. Wright has unrivaled international regulatory experience in financial services. After leaving the European Commission, he was the secretary-general of the International Organization of Securities Commissions (IOSCO) from 2012 to 2016. He has also represented the European Commission and IOSCO at the Financial Stability Board and led the EU-US Financial Markets Regulatory Dialogue. Wright is the current chairman of EUROFI, the European financial services think tank; a public interest director of the Bombay Stock Exchange; and a member of the International Advisory Council of the China Securities Regulatory Commission.

ANITA M. ZAGRODNIK

Anita M. Zagrodnik is a senior vice president and serves as chief compliance officer for U.S. Bank Global Fund Services, overseeing the regulatory support services team and Quasar Distributors, LLC. Zagrodnik has more than 30 years of experience in the investment management industry. Before joining U.S. Bancorp in January 2014, she served as the chief compliance officer of Ariel Investment Trust and as a senior vice president for the oversight of mutual fund administration. Before joining Ariel in 2003, Zagrodnik was a principal in a financial services consulting firm and a vice president at UMB Financial Services; she began her career as an auditor for PricewaterhouseCoopers, where she was introduced to the mutual fund industry. She has a BBA in finance and management from the University of Wisconsin-Madison and an MS in accounting from the University of Wisconsin-Milwaukee. Zagrodnik is a CPA and member of the Wisconsin Institute of CPAs as well as a member of the National Society of Compliance Professionals (NSCP). She is active in ICI as a member of the Compliance Advisory Committee, Risk Advisory Committee, Registered Fund CPO Advisory Committee, Series Trust Advisory Committee, and AML Compliance Working Group Committee.