

2019 Private Funds Forum

Speaker Bios

September 26, 2019

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CHRYSTALLE ANSTETT
Co-Head of Private Credit, Eaton Partners

Chrystalle is the Co-Head of Private Credit and has a leadership role in the origination, underwriting and project management of the firm's credit-related offerings. She works closely with clients on marketing strategy, collateral design and product positioning. She has over 18 years of financial services experience, 16 of which have been spent marketing investment products to institutional investors. Chrystalle is the author and co-author of several articles on raising institutional capital, which have been featured in *Absolute Return*, *Bloomberg Markets* and *HFM Investor Relations*. She is a frequent speaker on capital raising strategy and trends in institutional investing.

Prior to joining Eaton Partners, Chrystalle helped build the business development and investor relations group at QFS Asset Management, a \$1.4 billion systematic global macro hedge fund. Previously, she worked for Goldman Sachs Asset Management in the Business Development Services and Fixed Income Product Management groups where she focused on marketing and client servicing. She began her career at Lazard Asset Management in accounting and later joined the institutional marketing group.

Chrystalle graduated cum laude from New York University Stern School of Business, where she received a BS in Economics and International Business and was a Stern Scholar. She is a Chartered Financial Analyst and holds Series 7, 63 and 31 licenses with FINRA.



JOHN ARANEO
General Counsel and Managing Director, Align Cybersecurity

John Araneo is the Managing Director and General Counsel of Align Cybersecurity. Prior to joining Align Cybersecurity, John was a partner at a well-known investment management law firm and has worked with countless investment advisers and fund managers in structuring private funds and other pooled investment vehicles. For the better part of his 20-year legal career, John has counseled his investment management clients on the various legal and compliance issues involved in operating an investment advisory business, which in recent years has of course grown to include cybersecurity. Having published numerous articles on data privacy, data asset protection and other cybersecurity-related legal issues since 1996, John is an established author, a sought-after speaker, a cybersecurity expert and a well-known thought-leader on the legal, regulatory, governance and employment law issues related to cybersecurity, particularly in the investment management space.



HAYDEN S. BAKER
Partner, Troutman Sanders LLP

Hayden Baker assists clients in mergers and acquisitions and energy and infrastructure projects. He has won recognition from *Chambers USA*, *The Legal 500*, *Best Lawyers* and *New York Super Lawyers*. He is particularly well-regarded for his sophisticated, practical approach to transactions, having represented companies, private equity investors and financial institutions in hundreds of transactions, totaling well over \$100 billion in investments. Clients praise his blend of strengths, saying: “He is very detail-oriented, very commercial and good at seeing what matters. He is levelheaded, very responsive and just a great guy to work with.” Hayden regularly counsels clients in the energy, chemicals, technology and infrastructure sectors.



MONIQUE S. BOTKIN
Associate General Counsel, Investment Adviser Association

Monique S. Botkin is Associate General Counsel of the Investment Adviser Association. Prior to joining the IAA in February 2004, Ms. Botkin was an associate in the financial services groups at Dechert LLP in Newport Beach, California and Alston & Bird LLP in Washington, DC. While in private practice, Ms. Botkin represented investment advisers, registered investment companies, private funds, and broker-dealers in corporate, securities and investment management matters. Monique also served as an attorney in the SEC’s Division of Investment Management disclosure review office from 2013 to 2014. She earned her B.A. in government and politics from the University of Maryland at College Park and her J.D., cum laude, from Southwestern Law School in Los Angeles, where she was an editor of the Law Review. Ms. Botkin is a member of the State Bar of California.



L. ALLISON CHARLEY
Senior Principal Consultant, ACA Compliance

L. Allison Charley joined ACA in July 2018 as a Senior Principal Consultant. In that role, Allison provides comprehensive compliance consulting services and conducts mock SEC examinations of investment advisers and investment companies.

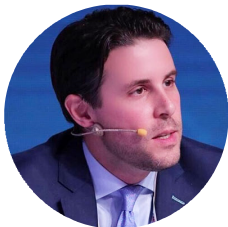
Prior to ACA, Allison worked in the U.S. Securities and Exchange Commission’s Division of Investment Management in Washington, DC, as a securities compliance examiner and acting branch chief. While at the SEC, Allison conducted examinations of investment advisers and investment companies; managed analyses of private funds, open- and closed-end funds, and exchange-traded funds; and led outreach efforts with asset management executives and mutual fund boards.

Before the SEC, Allison was the enterprise chief compliance officer for MIP Global. There she managed the compliance programs for all its entities, including the firm's investment adviser and exempt-reporting adviser, private equity and hedge funds, and multiple broker-dealers. She also served on numerous governance committees, where she helped create and implement business strategy.

Prior to that, she served as a senior compliance consultant with Financial Industry Technical Services (FITS), where she helped build the compliance and regulatory practice for investment advisers, served as the company's subject matter expert for its investment advisory clientele, and provided compliance consulting services, which included acting as regulatory liaison for clients during examinations.

Before FITS, Allison was the chief compliance officer for Rydex Investments, where she managed the compliance programs for an investment adviser and mutual fund distributor. Prior to Rydex, she held senior compliance roles at other firms in the Washington, DC area.

Allison earned her Bachelor of Arts degree in Psychology from Hollins University.



JOHN D'AGOSTINO
Managing Director, DMS Governance

John D'Agostino is a Managing Director at the world's largest fund governance firm, DMS Governance, where he also serves on boards of companies providing independent oversight. John has spent his career in asset management, working with multiple large private and public investment vehicles. Prior, he was head of strategy for the New York Mercantile Exchange where he spearheaded the development of global derivatives exchanges, including the first Middle Eastern derivatives exchange (DME). This work was the focus of two NY Times Best Selling books, ("Rigged" by Ben Mezrich and "The Startup of You" by Reid Hoffman). He is a lecturer at MIT Sloan and Columbia University Business Schools – where he teaches courses on Fintech and Governance for executive MBAs. John also teaches governance courses for pension trustees and staff across the US, Europe and Asia.

In 2018 he was named as the Chair of the UK Government's Asset Management Working Group. John is a frequent speaker on next generation fintech including AI and Blockchain, sits on the boards of several blockchain and AI companies, regularly advises global regulators on fintech innovation in the context of markets and governance, and leads a 400+ person digital asset industry working group.



CHARLES (Chuck) DALY, ESQ
Partner, Constellation Advisers

Chuck leads Constellation's team on all regulatory and compliance engagements. He has extensive experience working with traditional and alternative investment managers on regulatory compliance requirements, structures and programs, ongoing compliance monitoring, testing protocols and the management and coordination of regulatory exams and reviews. Prior to Constellation, Chuck was the Head of Regulatory and Compliance Services at JPMorgan Chase Bank where he led a team of 54 professionals that provided fund administration, regulatory, and post-trade compliance support for investment company, investment advisory and pension plan clients. He also served as the CCO and Counsel at Ironwood Investment Management, Senior Regulatory Counsel at BISYS Fund Services and was an Associate at Goodwin Procter. Chuck received his JD/MBA (magna cum laude) from Syracuse University and his bachelor's degree at The American University.



WYNTER L. DEAGLE
Partner, Troutman Sanders LLP

Wynter is a next-generation litigator with extensive first-chair trial experience. With a practice covering all manner of business disputes, Wynter has helped an array of companies, particularly in the technology, life sciences, data analytics, and healthcare sectors, craft solutions to a variety of complex legal problems including business fraud, misappropriation of trade secrets, breaches of fiduciary duty and contract disputes. She brings an assertive but practical, "big picture" approach to each matter and focuses on helping her clients efficiently and cost-effectively achieve their business and litigation goals.

A member of the International Association of Privacy Professionals, Wynter counsels clients in proactively assessing and managing risks associated with their privacy, data security, and information management practices. She helps clients navigate the complicated terrain of data breach incident response, privacy litigation, class actions and regulatory investigations and enforcement. Wynter has assisted clients with the California Consumer Privacy Act of 2018 (CCPA), the Fair Credit Reporting Act (FCRA), the Gramm-Leach-Bliley Act (GLBA) and the California Online Privacy Protection Act (CalOPPA), as well as various other state laws concerning privacy and cybersecurity.

Owing to her litigation expertise, Wynter also counsels directors and officers of both public and private companies on corporate governance issues and fiduciary duties. Her clients include directors and officers of manufacturing companies, medical device companies, pharmaceutical and life sciences companies, regulated broker-dealers, investment banking and asset management firms, non-profit and for-profit hospitals and private foundations.

On a personal level, Wynter is deeply committed to creating a meaningful impact in San Diego by providing pro bono services, mentoring and passionately advocating for women and girls. Wynter

serves on Troutman Sanders' mentoring committee, mentors young women attorneys and founded the San Diego office's diverse law student recruiting program. Wynter is Vice-President of the Board of Girls, Inc. of San Diego County and devotes substantial time to the mission of helping underserved girls grow strong, smart and brave.



JUSTIN DEANGELIS
Partner, Denham Capital

Justin DeAngelis is a Partner in the International Power Fund of Denham Capital. Justin is responsible for origination, analysis, structuring, valuation and execution of investments for the Power Deal Team. He brings 20 years of experience to the firm.

Prior to joining Denham, Justin was a Director at Waypoint Energy and worked as a Manager at Pace Global Energy and PG&E National Energy Group, after serving as an Engineer at Delmarva Power. He is currently a member of the Board of Directors of Endeavor Energy, Themis Energy, Greenleaf Power, and subsidiaries of Rio Energy.

Justin is a member of the Millennium Challenge Corporation Advisory Council and a member of the Advisory Council for NASP-USAID Investment Partnership for "Mobilizing Institutional Investors to Develop Africa's Infrastructure" or "MIDA." He also serves as a Board Member for IGD (Initiative for Global Development) and is a member of the EMPEA Gender Parity Acceleration Working Group. Separately, Justin is taking part in Columbia University's World Projects Initiative.

Justin received a Bachelor of Science in Mechanical Engineering from Drexel University and a Master of Business Administration from LeBow College of Business at Drexel University.



DAVID L. EISENBERG
Principal, Meketa Investment Group

Mr. Eisenberg joined Meketa Investment Group with over 35 years' experience in the financial services industry. A Principal of the firm, his consulting work includes providing strategic investment advice and services to institutional investors, investment policy design, asset allocation modeling, and fund performance analysis, among others. He has served endowments and foundations, defined contribution and defined benefit plans, public funds, and financial intermediaries. Mr. Eisenberg is a member of the firm's Global Macroeconomic / Tactical Asset Allocation Committee, the Defined Contribution Committee, and the Environmental, Social, and Governance (ESG) Investment Committee.

Prior to joining the firm, Mr. Eisenberg was a Partner at Mercer, where he served as North America Director of Client Consulting and, previously, as the segment leader of Mercer's financial intermediaries investment consulting business and as senior portfolio manager in Mercer's OCIO business. He has also served as Chief Equity Officer at John Hancock Advisors, a Senior Vice President at NEPC, and a consultant at Cambridge Associates.

Mr. Eisenberg received an MBA from the Harvard University Graduate School of Business and a BA in Economics from Beloit College. He received the Chartered Financial Analyst designation from the CFA Institute and is a member of the Boston Security Analysts Society.

He serves on the New England Executive Board of Jewish National Fund, as a board member and chair of the Investment Committee for Friends of the Arava Institute, and vice chair of the Israel Ride. He is an avid cyclist and an annual participant in the Pan Mass Challenge, the Israel Ride, and Cycle for Survival.



JILBERT EL-ZMETR

Head of MPS Operations/Director of Business Development, Siepe

With over 15 years of success in the establishment and leadership of professional services organizations that deliver best practice technology solutions to the Financial Services sector, Jilbert has leveraged a strong technical consulting foundation to help rationalize technology decisions for businesses, across international markets.

Tenacious in his approach, Jilbert has effectively combined technical knowledge with a high level of commercial acumen to identify, develop and deliver innovative solutions that meet the challenges of local and global fund managers in a continuously evolving sector. By understanding the needs of his clients and the importance of the interconnection between technology and business, Jilbert has built a reputation for service and solution excellence, developing lasting relationships that are based on trust and authenticity.



IVANA FALTYSOVA

Executive Director, Cayman Office, DMS Governance

Ivana Faltysova is an Executive Director in the Cayman office. Her practice includes a broad range of sophisticated private investment funds. Ivana has extensive experience in the financial sector and fund governance.

Ivana is a lawyer by education, has previous experience in investment management and has been serving in a fiduciary capacity for past 7 years and taking personal appointments for over 4 years.

Prior to her career at DMS, from 2006 until 2011, Ivana worked for a Swiss-based investment manager, Horizon21, with AUM of US\$10 billion during that period. She was an executive director of the Cayman office of the firm and served as a director on boards of over 30 investment vehicles managed by the company, being single hedge funds, fund of funds and private equity structures. Prior to moving to the Cayman office Ivana worked as in-house counsel at the firm's office in Slovakia, where she was responsible for fund documentation, transactional structuring, legal due diligence on underlying investments, monitoring of regulations and overall fund governance.

Ivana also worked as a Trust Officer at Royal Trust Corporation of Canada during her stay in Canada in 2012 and 2013, where she was responsible for discretionary management and administration of a book of estates and trusts.

Ivana graduated with a Masters of Law Degree from Comenius University, Bratislava, 2000-2005 and is an Accredited Director of the Chartered Secretaries of Canada and a member of the Cayman Islands Directors Association.



ROBERT FRIEDMAN
Partner, Troutman Sanders LLP

Robert Friedman is a partner in the New York office of Troutman Sanders LLP and is a member of the firm's Tax practice. He advises clients on all aspects of corporate and partnership tax matters, with a particular emphasis on the tax aspects of private and public mergers, acquisitions, joint ventures, divestitures, private equity fund formation, financial products and electric and gas utility tax issues.



GENNA GARVER
Partner, Troutman Sanders LLP

Genna Garver provides targeted, practical advice to investment advisers, hedge funds and other private investment funds implementing various investment strategies. Her clients appreciate the close personal attention she provides to help them navigate the complex maze of investment regulation.

Genna routinely advises clients on formation and offering matters for both domestic and offshore funds; SEC and state investment adviser, broker-dealer and private fund regulation; Investment Advisers Act compliance programs, annual reviews and ongoing compliance matters; and regulatory examinations and investigations. She also has extensive experience representing financial institutions in a variety of transactional and regulatory matters.

A sought-after speaker and author, Genna regularly presents at industry events on various aspects of securities law. She is also actively involved in numerous women's and diversity initiatives in the financial services industry and is an active participant in 100 Women in Finance, the Investment Adviser Association, and the National Association of Compliance Professionals.



CHRIS HALEY
Legal Technology Director, Troutman Sanders eMerge

Chris Haley is responsible for the delivery of eDiscovery, litigation and other legal technology services for the firm and its subsidiary eMerge. He is an important advocate of leveraging technology to improve legal services, increase efficiency and reduce costs. Chris leads a team of technologists who provide advanced and innovative technology solutions to clients. He has provided trial presentation and consulting services to clients on hundreds of trials. Chris also evaluates new technologies that may assist clients, ensures the team maintains the skills necessary to handle the ever-evolving landscape of eDiscovery, and designs and implements custom technical solutions to meet clients' needs.

Chris is a frequent speaker on eDiscovery and legal technology topics and has made numerous CLE and law firm presentations. He often provides affidavits in both state and district courts regarding technology services and eDiscovery costs, and has testified in court as needed.



MAURA HARRIS
Director of Due Diligence, Bostwick Capital

Maura Harris is the Director of Due Diligence at Bostwick Capital, a fund of funds, where she is responsible for operational due diligence and vendor risk management. In addition, Ms. Harris is an advisor to Centrl, a fintech company automating third party risk management. From 2015 to 2017, Ms. Harris was a consultant at AITEC, a peer group of senior technologists working for alternative asset managers. Prior to 2015, Ms. Harris spent most of her career in risk management with performing operational due diligence on alternative asset managers. Ms. Harris has held management positions at Permal, Bank of America, GAM and Prudential. In 2012, Ms. Harris began to reinvent traditional due diligence processes by incorporating technology and data.



SPRING HOLLIS
Founding Member, Star Strong Capital

Spring Hollis is the founding member of Star Strong Capital, an investment firm focused on venture debt opportunities for early state companies. Prior to founding Star Strong Capital, Spring was a portfolio manager at Park Cities Asset Management, a credit fund investing in small business and consumer finance debt opportunities. She responsible for origination, analysis and execution, as well as risk management across the portfolio, including supervision of principals and associates. She currently also serves as a member of the thematic investing team at Signal Partners, a UK based private equity firm, where she contributes to the strategic plan for investment opportunities driven by demographic trends.

Prior to Signal and Park Cities, Spring was the chief operating officer of an international digital marketing firm, with responsibilities for overseeing all aspects of the business from customer origination and engagement to technology support services. Spring also previously worked as a managing director at Deutsche Bank in the Global Principal Finance and the Structured Transactions groups.

Ms. Hollis has a J.D. from New York University and a B.A. from the University of Wisconsin - Madison.



CATHERINE HOUTS
Director, Tax KPMG in the Cayman Islands

Catherine is a Director in the U.S. tax practice at KPMG in the Cayman Islands. She has been with KPMG in the Cayman Islands for over ten years focusing on asset management. Prior to joining KPMG in the Cayman Islands, she was with KPMG LLP.

Catherine works extensively in the area of US taxation for Hedge Funds, Private Equity Funds, Passive Foreign Investment Companies and FATCA/CRS. She has a strong knowledge and technical experience with US taxation of investment products, complex partnership allocations, foreign reporting requirements and the formation and structuring of hedge and private equity funds based in the Cayman Islands.

She is involved with the learning and development programming at KPMG and is a committee member of the 100 Women in Finance Main and Philanthropy Committees in Cayman.



HAYDEN ISBISTER
Managing Partner and Head of Corporate Practice, Cayman Islands Office, Mourant

Hayden Isbister is the Managing Partner of Mourant's Cayman Islands office and Head of Mourant's Corporate practice in the Cayman Islands. He specializes in corporate and finance work, with an emphasis on investment funds.

Hayden has significant experience advising a broad range of clients on the formation of all variations of investment funds as well as advising on private equity fund downstream transactions.

Hayden's corporate and commercial experience includes advising on joint venture arrangements, secondary transactions, corporate governance and mergers and acquisitions. He also has experience in structured finance transactions, including CLOs, and advising on fund finance, acquisition finance and general lending matters.

Prior to moving to the Cayman Islands, Hayden worked at Minter Ellison in Australia.



SCOTT JACOBS
CEO, Generate Capital

Scott Jacobs is the CEO and Co-Founder of Generate Capital, an investment and operating platform focused on sustainable infrastructure. Founded in 2014, Generate Capital has partnered with leading project developers and technology solutions to drive the "resource revolution" – doing more with less in our energy, water, waste and food systems – building and operating hundreds of millions of dollars of infrastructure in distributed generation, waste transformation, and sustainable transport. Generate's pioneering permanent-capital structure enables a novel alignment of interests and makes it a true partner with a uniquely long-term mindset.

In 2007, Scott joined McKinsey & Company to co-found its global CleanTech practice, where he advised major corporations and leading innovators, institutional investors, NGOs and several national and regional governments around the world. Before McKinsey, Scott spent over a decade in technology and venture capital, helping start and grow a number of companies, including PolyServe (acquired by HP) and Alliance Data Systems (acquired by FiServ).

Scott received his MBA with high distinction from Harvard Business School, where he was named a George F. Baker Scholar, and his BA cum laude from Dartmouth College. Scott lives in San Francisco, enjoys a range of outdoor activities and frequents the local farmers' markets on weekends in order to create feasts for his family and friends.

**ALENA A. KARR**

Consultant, formerly Head of Operational Due Diligence at Northern Trust Asset Management

Alena is a global financial services professional focused on promoting industry best practices in compliance, operations, and risk management with investment advisers. Alena proactively identifies emerging industry and business related risks and partner with investment advisers to design and implement mitigating controls. She works across a multi-faceted organization and known for successful partnering with key business heads. Alena is highly regarded for ability to influence others and win new business. She is an impactful problem-solver; able to integrate strategic thinking and tactical execution for optimal results.

**BRAD KATSUYAMA**

CEO and Co-Founder of IEX

Candid, concise, and engaging, Brad Katsuyama discusses the HFT controversy that Flash Boys has brought to the forefront—explaining both what is at issue with the practice and detailing how and why he sought to restore balance (and trust) to the market with the creation of IEX. Brad also discusses innovation, technology, and ethics at the intersection of the stock market, and business in general. Brad's is a one-of-a-kind program from a true insider.

Brad Katsuyama is the CEO and co-founder of IEX, America's newest and fastest-growing stock exchange. Brad and IEX were featured in Michael Lewis' best-selling 2014 book "Flash Boys: A Wall Street Revolt," which was highlighted on 60 Minutes and other media outlets around the world.

IEX was founded in 2012 after Brad and several colleagues left their jobs at Royal Bank of Canada to build a fairer, more transparent stock exchange designed to protect investors and publicly-traded companies.

Brad has been featured as the cover story of *The New York Times Magazine*, *The Globe and Mail*, and *Bloomberg Markets*. He was named to the *Fortune*, *Crain's New York*, and Canada's "40 Under 40" lists, won the "Adam Smith Prize" at the Tribeca Disruptive Innovation Awards, and is an Ernst & Young "Entrepreneur of the Year."



MASE KAZEMI
Head of Fund Accounting, Centaur USA

Mase Kazemi is the Head of Fund Accounting for Centaur USA and brings 15 years of experience in management positions in Portfolio Accounting and Operations.

Prior to joining Centaur, Mase was a Senior Vice President at SS&C managing the Fund Accounting and Operations teams who serviced SSC's top institutional client which consisted of 65BN in AUA across 100+ Credit Funds from 2013-2018.

Mase has experience with all types of complex asset types across various onshore and offshore fund structures. He has always been an integral part of client service initiatives for high profile clients. Mase has also held management positions with Citi Hedge Fund Services.



KATHY KOHLER
Senior Partner, Lumentus

Kathy is a marketing and communications expert and has spent her career working with the world's leading investment management firms. Currently she is a Senior Partner at Lumentus, a brand and reputation management consultancy. A passionate consultant, Kathy partners with the firm's clients to develop and convert organizational visions into powerful brands and stellar reputations.

Recognized as an expert brand and marketing strategist, she earned that distinction through her work in high-impact roles where she has influenced major transformation initiatives, advanced growth strategies and created numerous brands and integrated marketing programs. Throughout her career, she has worked with many of the world's leading companies, including Goldman Sachs, Blackrock, Blackstone, Lazard, PIMCO, Bank of America, Merrill Lynch, Verizon, American Express, JP Morgan Chase, and a host of other investment management and professional services organizations.

She began her career as a metals trader specializing in copper and aluminum arbitrage for a London-based firm and was named one of the Top 10 Female Copper Traders in the world. Later, Kathy moved into institutional investment advisory and marketing roles inside major firms where her brand development expertise was honed and her love for strategic consulting burgeoned. Her depth of experience and knowledge in the financial services sector is an asset to her clients.

Kathy studied business management at The London School of Economics and earned a BA from Iona College in New York. A talented speaker, she has addressed such organizations as ICI, AIMSE and PAICR on the value of building powerful brands. Throughout her career she has held FINRA licenses including Series 24 General Principal, Series 7, Series 65, Series 63 and Series 3. When not working, Kathy is a mentor of young adults, serves on several community boards and enjoys being outdoors with her family, sailing and playing tennis.



NANCY LYNCH
Senior Counsel, Americas, Legal & Compliance Division, Man Group

Nancy Lynch is Senior Counsel, Americas within Man Group's Legal & Compliance division and is based in New York.

Prior to joining Man Group in June 2019, Nancy worked at Pollen Street Capital (US) LLC as General Counsel and Chief Compliance Officer. Prior to that, Nancy previously spent 16 years in private practice at Weil, Gotshal & Manges LLP with a primary focus on structured finance, derivatives, financial services transactions and bankruptcy.

Nancy holds a J.D. from Pace Law School and a B.A. from Smith College.



MARIA MÄHL
Partner, Head of Nordics – Arabesque Partners

Arabesque is a global asset manager that uses big data and artificial intelligence. Since 2017, when they launched their S-Ray sustainability tool, they have been one of the pioneers in sustainability analysis data, which combine artificial intelligence with new types of sustainability data to assess the sustainability of companies from a financial and material perspective as well.

Maria has previously worked at Volvo, as a strategy consultant at the UN and Obama's presidential campaign, and as a program manager for President Clinton and Hillary Clinton. She is on the board of the International Institute for Environment & Development, for venture capital in food tech and fintech and is the founder of a medtech company. After studying at Uppsala University, Humboldt University in Berlin and Berlin's Technical University, she received degrees in political science and economics. In 2019, she was named one of Sweden's most powerful women in the business world by Veckan's Affärer and in 2018 she was named one of the leading sustainability leaders in Sweden. Maria resides in New York.



MARK S. MANDEL
Partner, Troutman Sanders LLP

Mark has over 20 years' experience as a private practitioner representing investment banks, broker-dealers, market makers, corporations, investment advisers, hedge funds and directors and officers in many high-profile matters, from SEC, DOJ, state attorneys general and self-regulatory organization investigations to national securities class actions.

Mark has consistently been involved in significant securities industry cases, including, among others, VIX related litigation, Exchange traded fund investigations, high frequency trading, the

CDO investigations, structured and complex products investigations, the Squawk Box investigations, auction-rate securities, student loan investigations, options back-dating, NYSE and SEC specialist investigations and the Salomon Brothers treasury bond investigation.

**MARCIA NELSON*****Managing Director, Alberleen Family Office Solutions***

Marcia Nelson is a Managing Director at Alberleen Family Office Solutions, an independent investment advisory firm backed by family office investors that works almost exclusively with global family offices to source, structure and co-invest in proprietary financing opportunities across the capital stack including direct deals and private funds. Ms. Nelson has over two decades of working for family office principals and their advisors and has developed a strong network of other family offices and advisers who are increasingly seeking access to quality investment opportunities from trusted, experienced partners. Currently, Ms. Nelson is serving as the Executive VP of the Board of ACG-NY where she's also a member of the Family Office Committee, and she's also a board member of VentureCapital.org. Ms. Nelson earned her MBA in Finance and Tax at Fordham University and she holds her Series 7 and 63 licenses.

**JOHN O'NEILL*****Director and Senior Counsel, AMG***

John O'Neill joined AMG in 2010 and currently serves as Director and Senior Counsel. Mr. O'Neill is responsible for assisting AMG's Affiliates with a variety of legal and compliance matters. Mr. O'Neill has extensive investment management regulatory compliance experience including his most recent role as Senior Manager at Deloitte & Touche LLP where he was responsible for the development and implementation of regulatory and portfolio compliance programs and internal controls frameworks for a number of Deloitte & Touche's clients. He was also previously an attorney at the law firm Monahan & Associates, P.C., as well as with Gargiulo, Rudnick & Gargiulo. Mr. O'Neill received a J.D. from Suffolk University Law School and a B.A. from College of the Holy Cross.

**CATHERINE PHAM*****Partner, Mourant***

Catherine is a Partner in Mourant's Cayman Islands Corporate and Finance practice and specializes in investment funds.

She regularly advises private equity sponsors, investment banks and investment managers on the structuring, formation, regulation and governance of investment fund

structures (across a broad range of asset classes), their downstream transactions (including finance transactions) and exit mechanisms.

She also advises institutional, strategic and seed investors in connection with their investments into investment funds. Catherine regularly involved in the structuring and implementation of a wide range of corporate transactions, including joint venture arrangements, acquisitions and corporate restructurings.

Prior to joining Mourant Ozannes, she worked both offshore and onshore, notably at Fraser Milner Casgrain in Toronto.



MITZIE PIERRE
Chief Compliance Officer, US and Canada, IFM Investors

Mitzie Pierre earned her Juris Doctor at Howard University School of Law and her Bachelor of Science in Business Administration (Finance) at Florida State University. She joined IFM Investors in January 2017.

Mitzie is responsible for IFM Investors' compliance and regulatory obligations in North America. Prior to joining IFM Investors, Mitzie was Assistant Vice President and Canada Chief Compliance Officer at Partners Group in New York.



GHILLAINE REID
Partner, Troutman Sanders LLP

Ghillaine is a Partner in the firm's Government Investigations, Compliance, and Enforcement practice. She focuses her practice on government and securities regulatory investigations, financial services litigation, commercial litigation and corporate compliance. Drawing on her experience in government service and private practice, Ghillaine regularly represents corporations and individuals in investigations conducted by the Securities & Exchange Commission, the Department of Justice, the Financial Industry Regulatory Authority and other government and regulatory agencies. Ghillaine has successfully defended several high profile SEC investigations and enforcement proceedings involving a wide range of significant issues, including insider trading, accounting fraud, market manipulation and broker-dealer sales practice violations. Prior to entering private practice, Ghillaine was a Branch Chief and Staff Attorney in the New York Regional Office of the Securities & Exchange Commission's Division of Enforcement, where she investigated and litigated a wide range of securities enforcement matters.

Ghillaine also represents clients in complex financial services and commercial litigations matters, in both federal and state courts. She has achieved favorable outcomes in cases involving fraud,

breach of contract, breach of fiduciary duty, misrepresentation and tortious interference. She has also successfully defended clients in large scale arbitration proceedings, both through the Financial Industry Regulatory Authority and the American Arbitration Association.



DELILAH ROTHENBERG
Managing Director, Development Capital Strategies

Delilah Rothenberg is Executive Director of the Predistribution Initiative (PDI), a multi-stakeholder project to co-create investment structures that share more economics with workers, have stronger ESG integration, and narrow the wealth gap. Underlying this work is research on how to more adequately pay people for the value that they create throughout the "capital markets supply chain."

Delilah is also the Managing Director of Development Capital Strategies (DCS), an advisory firm specializing in ESG integration and impact strategy. Delilah's past experience includes institutional equities at Bear, Stearns & Co and investment research with Gerson Lehrman Group (GLG). She has been an active contributor to USAID's Responsible Land-Based Investments initiatives, the United Nations Principles for Responsible Investment (PRI) Supply Chains Working Group, the Global Impact Investing Network (GIIN) HoldCo Working Group (focused on structuring investment vehicles for long-term strategies and less liquid markets), and recently served on the Board of Directors of Business Council for Peace (Bpeace), a non-profit that provides pro-bono consulting to entrepreneurs in conflict-affected countries. She currently serves as a Board Director of Invest Africa US and is a Member of the SASB Standards Advisory Group. Delilah holds a B.A. in History, Politics, and African Studies from New York University, where she also studied Swahili. Her work has been featured in various media outlets, and she speaks publicly on topics relating to ESG, impact, and investment in Africa.



PAUL A. STEFFENS
Partner, Troutman Sanders LLP

A seasoned attorney, Paul focuses his practice in the areas of joint ventures, private investment funds, private securities offerings, corporate law and mergers and acquisitions.

Across a variety of different industries, including real estate, investment management, manufacturing, distribution, business services and information technology, Paul represents sponsors and investors in connection with the formation of joint ventures and private investment funds and other capital raising transactions, as well as buyers and sellers in mergers and acquisitions transactions.

Paul also offers counsel in structuring, negotiating and documenting economic and governance arrangements among business principals in connection with various types of transactions and

equity incentive arrangements for managers and employees. He also advises clients on corporate governance, disputes among business principals and ownership succession.

Paul has been included in the Best Lawyers in America publication for Corporate Law, Mergers & Acquisitions Law, Venture Capital Law from 2008-2019.



AMANDA TEPPER
CEO, Chestnut Advisory Group

Amanda Tepper is the Founder and CEO of Chestnut Advisory Group, a firm that provides business development consulting to asset managers.

Chestnut's services encompass strategy, content and implementation.

Previously Amanda was Global Director of the senior portfolio management team at Alliance Bernstein. Amanda has deep experience in sell-side equity research, as Associate Director of Equity Research at Bank of America and as an Institutional-Investor All-America Team ranked analyst at JPMorgan.

Amanda holds an MBA from The Wharton School and a BA from Brown University, Phi Beta Kappa. Amanda is a member of the Investment Advisory Committee for the Endowment of the Art Students League of New York. She also serves on the Andover Development Board of Phillips Academy.