



THE CAPITAL MARKETS CONFERENCE

ANNUAL MEETING 2016

DRIVING AMERICAN INGENUITY AND ECONOMIC GROWTH



SEPTEMBER 26-27 | THE MAYFLOWER HOTEL | WASHINGTON, DC

EVENT GUIDE



SIFMA is the voice of the U.S. securities industry. We represent the broker-dealers, banks and asset managers whose nearly 1 million employees provide access to the capital markets, raising over \$2.5 trillion for businesses and municipalities in the U.S., serving clients with over \$20 trillion in assets and managing more than \$67 trillion in assets for individual and institutional clients including mutual funds and retirement plans. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA). For more information, visit <http://www.sifma.org>.

Dear Colleague,

It is with great pleasure that I welcome you to SIFMA's 2016 Annual Meeting, The Capital Markets Conference.

SIFMA is a member-driven organization that advocates for effective and efficient capital markets, which provide the foundation for capital formation, investor opportunity, job creation and economic growth. We gather this year in our nation's capital, just weeks before the presidential election, to examine how today's business and financial regulatory environment is impacting our national economy.

We are excited to welcome noted leaders from the policy, regulatory and business sectors for candid one-on-one conversations including Twitter and Square Co-Founder and CEO Jack Dorsey, Congressman Jeb Hensarling, CFTC Chairman Timothy Massad, Governor of Missouri Jay Nixon, former Chancellor of the Exchequer and First Secretary of State George Osborne, former Treasury Secretary Henry M. Paulson, Jr., and SEC Chair Mary Jo White. Our program also features three in-depth panel discussions and six strategic breakout sessions on regulatory impact, infrastructure, sustainable investing and more. We extend a special thanks to our sponsors for their support in making this day possible.

On behalf of SIFMA's Board of Directors and all of my colleagues at SIFMA, thank you for joining us and best wishes for a most insightful and exciting experience.

With kindest personal regards,

A handwritten signature in black ink, appearing to read "Ken Bentsen". The signature is fluid and cursive, with a large loop at the end.

Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

CAPITAL BUILDS ECONOMIES



MARYLAND

Maryland's Health & Higher Educational Facilities Authority raised \$1.3 billion last year for nonprofit hospitals as well as private noncollegiate and higher educational institutions

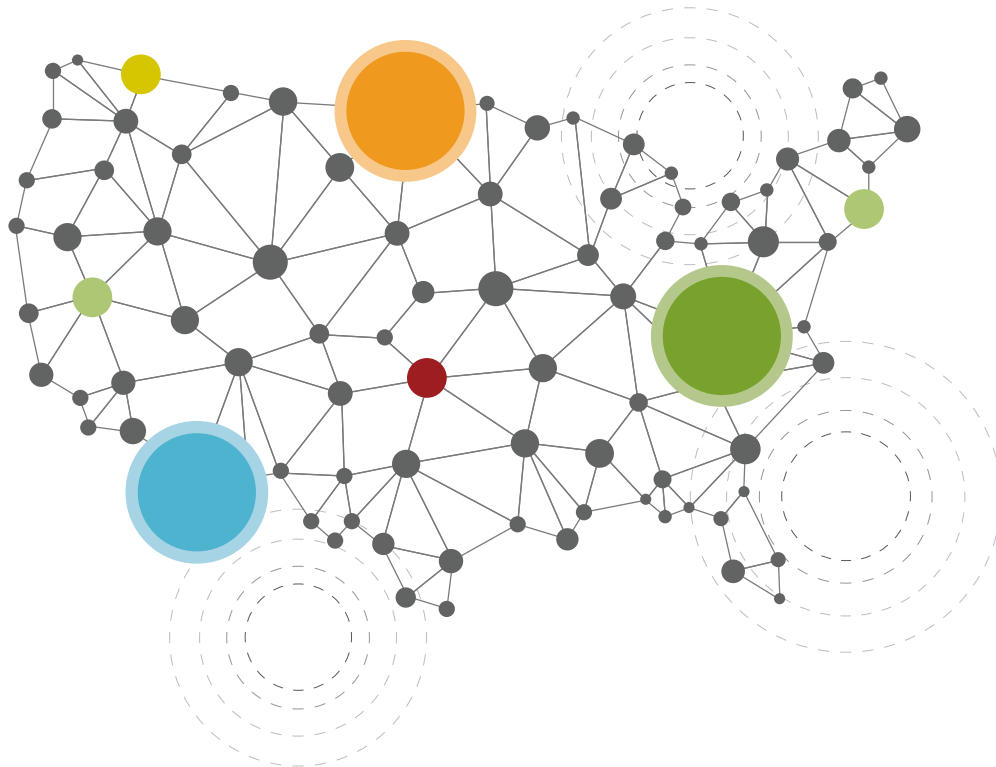
STATES.SIFMA.ORG

We are a member-driven organization that advocates for effective and efficient capital markets.

America has the largest and deepest capital markets in the world, providing approximately 75% of financing for businesses in the U.S. The securities industry facilitates access to those markets, creating investor opportunity, capital formation, job creation and economic growth.

SIFMA convenes more than 10,000 financial professionals from 500 member firms on more than 100 industry committees, working groups and societies. To date in 2016, these committees have filed nearly 130 comment letters and 18 amicus briefs; met regularly with legislators, regulators and policymakers; and hosted nearly 60 conferences, roundtables and training sessions.

Together, we are invested in America.



SIFMA's Board of Directors manages SIFMA's businesses and affairs. The Board is geographically diverse, includes both small and large firms, and consists of broker-dealers, asset managers and firms that support independent contractors.



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Edward Jones

John Adams Vaccaro

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Westport Resources Investment Services, Inc. and
Managing Director,
Westport Resources, a division of United Capital*

George Walker

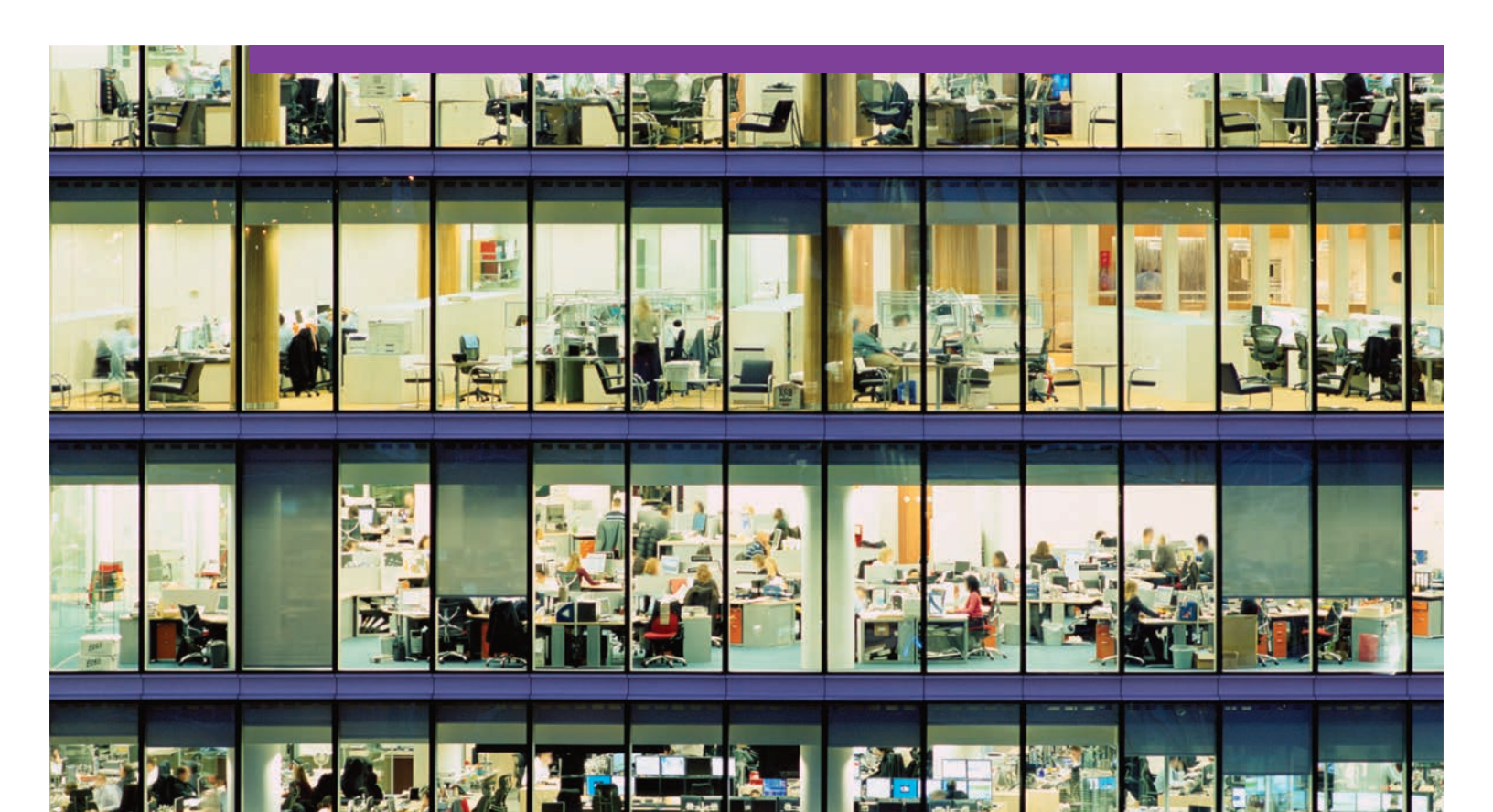
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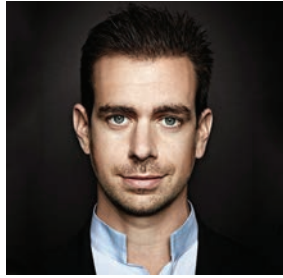
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*Co-Founder and CEO
Twitter
Co-Founder and CEO
Square*



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*R-TX and Chair of the House
Financial Services Committee*



TIMOTHY G. MASSAD

*Chairman
Commodity Futures
Trading Commission
(CTFC)*



GOVERNOR JAY NIXON

55th Governor of Missouri



GEORGE OSBORNE

*Member of Parliament for Tatton
and former Chancellor of the
Exchequer and
First Secretary of State*



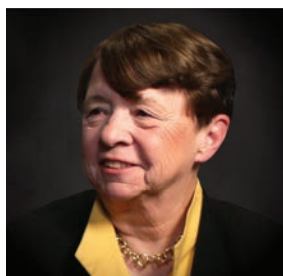
HENRY M. PAULSON, JR.

*Former Secretary of the
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*Chair
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MONDAY, SEPTEMBER 26

4:30 PM - 9:00 PM **REGISTRATION DESK HOURS** *Palm Court Ballroom*

5:30 PM - 5:40 PM **WELCOME** *Grand Ballroom*

**JOHN F. W. ROGERS**

*Executive Vice President, Chief of Staff and Secretary to the Board
Goldman, Sachs & Co.
Chairman
SIFMA Board of Directors*

5:40 PM - 5:45 PM **OPENING REMARKS** *Grand Ballroom*

**KENNETH E. BENTSEN, JR.**

*President and CEO
SIFMA*

5:45 PM - 6:30 PM **ONE-ON-ONE WITH
TWITTER AND SQUARE CEO JACK DORSEY** *Grand Ballroom*

On the evolution of technology's role in our culture and economy.

SPEAKER:**JACK DORSEY**

*Co-Founder and CEO
Twitter
Co-Founder and CEO
Square*

MODERATOR:**R. MARTIN CHAVEZ**

*Chief Information Officer
Goldman, Sachs & Co.*

6:30 PM - 9:00 PM **COCKTAIL RECEPTION** *Promenade Foyer*

SPONSORED BY: **Tata Consultancy Services**

TUESDAY, SEPTEMBER 27

7:00 AM - 5:45 PM **REGISTRATION DESK HOURS** *Palm Court Ballroom*

7:00 AM - 8:00 AM **BREAKFAST** *Promenade Foyer*
SPONSORED BY: **S&P Global**

7:30 AM - 7:45 AM **WELCOME** *Grand Ballroom*



TIMOTHY C. SCHEVE
President and Chief Executive Officer
Janney Montgomery Scott LLC
Chairman-Elect
SIFMA Board of Directors

7:45 AM - 8:45 AM **A CONVERSATION WITH** *Grand Ballroom*
GEORGE OSBORNE AND HENRY M. PAULSON, JR.

On the global regulatory, political and economic outlook.

SPEAKERS:



GEORGE OSBORNE
Member of Parliament for Tatton
and former Chancellor of the
Exchequer and First Secretary
of State



HENRY M. PAULSON, JR.
Former Secretary of the Treasury and
Chairman
The Paulson Institute

MODERATOR:



ROBERT B. ZOELICK
Former President
World Bank

8:45 AM - 9:00 AM **NETWORKING BREAK** *Promenade Foyer*
SPONSORED BY: **DAVIS POLK & WARDWELL**

9:00 AM - 9:45 AM **ONE-ON-ONE WITH** *Grand Ballroom*
SEC CHAIR MARY JO WHITE

On regulating today and tomorrow's capital markets.

SPEAKER:



MARY JO WHITE
Chair
U.S. Securities and Exchange
Commission

MODERATOR:



KENNETH E. BENTSEN, JR.
President and CEO
SIFMA

9:45 AM - 10:30 AM

**ONE-ON-ONE WITH
CFTC CHAIRMAN TIMOTHY G. MASSAD**

Grand Ballroom

On creating a regulatory framework that encourages markets to grow and innovate.

SPEAKER:**TIMOTHY G. MASSAD**
Chairman
Commodity Futures Trading
Commission (CFTC)**MODERATOR:****JOHN F. W. ROGERS**
*Executive Vice President, Chief of
Staff and Secretary to the Board*
Goldman, Sachs & Co.
Chairman
SIFMA Board of Directors

10:30 AM - 11:25 AM

CALIBRATING REGULATION TO STRENGTHEN MARKETS

Grand Ballroom

It's time to take stock: what critical reforms have contributed most to the safety of our markets? How can we calibrate regulation to strengthen markets without forsaking economic growth?

MODERATOR:**SANDRA O'CONNOR**
Chief Regulatory Affairs Officer
JPMorgan Chase & Co.**PANELISTS:****JOHN C. DUGAN**
Partner
Covington & Burling LLP**DONALD KOHN**
Senior Fellow, Economic Studies
The Brookings Institution**DAN GALLAGHER**
President
Patomak Global Partners, LLC**ANNETTE L. NAZARETH**
Partner
Davis Polk & Wardwell LLP

11:25 AM - 11:35 AM

NETWORKING BREAKSPONSORED BY: **DAVIS POLK & WARDWELL**

Promenade Foyer

11:35 AM - 12:30 PM **STRATEGIC DISCUSSIONS (CONCURRENT SESSIONS)**

SESSION 1:
THE IMPACT OF REGULATION ON END USERS

State Ballroom

Every new regulation has a butterfly effect: how have end users been impacted by financial regulatory reform to date?

MODERATOR:



MICHAEL BOPP
Partner
 Gibson, Dunn & Crutcher LLP
Counsel
 Coalition for Derivatives End-User

PANELISTS:



MARTIN NEIL BAILY
Senior Fellow, Bernard L. Schwartz
Chair in Economic Policy
Development,
Director of the Business and
Public Policy Initiative
 The Brookings Institution



J. W. VERRET
Member, Financial Markets Working
Group and Affiliated Senior Scholar
 Mercatus Center at
 George Mason University
Assistant Professor, George Mason
 University School of Law



JUSTIN SCHARDIN
Director of the Financial
Regulatory Reform Initiative
 Bipartisan Policy Center



MICHAEL R. WILLIAMS
Vice President and Treasurer
 Orbital ATK, Inc.

SESSION 2:
THE IMPACT OF REGULATION ON SMALL BUSINESS GROWTH

Chinese Ballroom

Has financial regulatory reform impacted the ability of entrepreneurs to create and grow businesses that contribute to a stable economy, society and job market?

MODERATOR:



STEVEN H. STRONGIN
Head of Global Investment Research
 Goldman, Sachs & Co.

PANELISTS:



DAVID BROWN
Deputy Director,
Economic Program
 Third Way



KAREN KERRIGAN
President & CEO
 Small Business &
 Entrepreneurship Council



PROFESSOR JOHN HALTIWANGER
Distinguished University Professor,
Dudley and Louisa Dillard
Professor of Economics
 University of Maryland



BRIAN KNIGHT
Senior Research Fellow
Financial Markets Working Group
 Mercatus Center at George
 Mason University

SESSION 3:

East Ballroom

COLLABORATING TO ACHIEVE DIVERSITY & INCLUSION

With the rapidly changing demographic landscape and shift in wealth creation, the business case for Diversity & Inclusion is clear. How can firms, regulators and stakeholders work together to achieve greater, sustainable diversity representation across the industry?

MODERATOR:**ERIKA IRISH BROWN**

Global Head of Diversity & Inclusion
Bloomberg L.P.

PANELISTS:**SUNI P. HARFORD**

Managing Director, Regional Head of Markets for North America
Citigroup

**PETE RODRIGUEZ**

Managing Director and Chief Administrative Officer for Asset Servicing, BNY Mellon

**CHRIS LEWIS**

Principal General Counsel
Edward Jones

**CONGRESSWOMAN****TERRI A. SEWELL**

D-AL and Member of the House Financial Services Committee

**EGBERT L. J. PERRY**

Chairman and Chief Executive Officer
The Integral Group LLC
Chairman
Fannie Mae

12:30 PM - 1:30 PM

NETWORKING LUNCHEON

Grand Ballroom

CO-SPONSORED BY:

Broadridge Financial Solutions, Inc.
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Tata Consultancy Services

12:40 PM - 1:00 PM

ONE-ON-ONE WITH CONGRESSMAN JEB HENSARLING

Grand Ballroom

On promoting consumer choice, competitive markets and smart regulation.

SPEAKER:**CONGRESSMAN JEB HENSARLING**

R-TX and Chair of the House Financial Services Committee

MODERATOR:**JOHN F. W. ROGERS**

Executive Vice President, Chief of Staff and Secretary to the Board
Goldman, Sachs & Co.
Chairman
SIFMA Board of Directors

1:30 PM - 2:30 PM

DOMESTIC AND GLOBAL EFFORTS TO ENHANCE FINANCIAL STABILITY

Grand Ballroom

Global capital markets have undergone an unprecedented regulatory overhaul. What progress has been made in enhancing financial stability? Where are we in the process? What are the next steps to ensure the proper balance between regulations and economic growth?

MODERATOR:



DAVID ORNSTEIN
Managing Director, Markets
 Barclays

PANELISTS:



SVEIN ANDRESEN
Secretary General
 Financial Stability Board (FSB)



JONAH CRANE
Deputy Assistant Secretary
 Financial Stability Oversight Council (FSOC)

2:30 PM - 2:45 PM

NETWORKING BREAK

Promenade Foyer

2:45 PM - 3:45 PM

STRATEGIC DISCUSSIONS (CONCURRENT SESSIONS)

**SESSION 1:
 THE NEW PRIVATE WEALTH MANAGER**

Chinese Ballroom

As the private wealth management industry undergoes fundamental shifts in its regulation, technology, and advisor and investor demographics, how will the business transform for the future?

MODERATOR:



ROGER OCHS
President & CEO
 HD Vest Financial Services

PANELISTS:



VALERIE G. BROWN
Executive Chairman
 Advisor Group, Inc.



LISA KIDD HUNT
*Executive Vice President,
 International Services and Special
 Business Development*
 Charles Schwab & Co., Inc



JAMES KERR
*President and
 Chief Executive Officer*
 D.A. Davidson Companies



JOHN ADAMS VACCARO
Chief Executive Officer
 Westport Resources Investment
 Services, Inc.
and Managing Director
 Westport Resources, a division
 of United Capital

SESSION 2:
FINANCING INFRASTRUCTURE FOR THE 21ST CENTURY

State Ballroom

There is an extreme infrastructure deficit in the United States, but no shortage of capital to invest in it. How can infrastructure finance drive America forward?

MODERATOR:**CHRIS HAMEL**

Managing Director and Head, Municipal Finance Group
RBC Capital Markets

PANELISTS:**GEOFFREY S. CHATAS**

Senior Vice President and CFO
Ohio State University

**FRANCIS SACR**

Managing Director, Infrastructure & Transportation Project Finance
Société Générale

**TYLER DUVALL**

Partner
McKinsey & Company

**SUZANNE SHANK**

Chairwoman and CEO
Siebert Cisneros Shank & Co., L.L.C.

SESSION 3:
INVESTING IN SUSTAINABLE FINANCE

East Ballroom

How can capital markets serve as a catalyst for economic growth in a manner that promotes sustainability and provides solutions for today's investors looking to make an environmental or social impact?

MODERATOR:**AUDREY CHOI**

CEO
Morgan Stanley Institute for Sustainable Investing
and Managing Director and Head, Global Sustainable Finance Group
Morgan Stanley

PANELISTS:**FREDRIK AXSATER**

Senior Managing Director
Global Head of Defined Contribution and ESG Businesses
State Street Global Advisors

**TRACY PALANDJIAN**

Co-Founder and Chief Executive Officer
Social Finance

**CONGRESSMAN JOHN DELANEY**

D-MD and Member of the House Financial Services Committee and Joint Economic Committee,
Co-Chair of the Congressional Social Investment Task Force

**KYUNG-AH PARK**

Managing Director and Head of Environmental Markets
Goldman, Sachs & Co.

**CONGRESSMAN TOM MACARTHUR**

R-NJ and Co-Chair of the Congressional Social Investment Task Force

3:45 PM - 4:00 PM **NETWORKING BREAK**

SPONSORED BY: **NIKKEI ASIAN REVIEW**

Promenade Foyer

4:00 PM - 4:45 PM **THE INDUSTRY EXECUTIVE OUTLOOK**

Grand Ballroom

In the face risk aversion, how do the capital markets continue to allocate much-needed capital to new ideas and entrepreneurs, businesses, municipalities and governments?

MODERATOR:



ROBIN WIGGLESWORTH
US Markets Editor,
 The Financial Times

PANELISTS:



DANIEL B. COLEMAN
CEO
 KCG



ADENA T. FRIEDMAN
President and
Chief Operating Officer
 NASDAQ



MARTIN L. FLANAGAN
President and
Chief Executive Officer
 Invesco Ltd. (USA)



RONALD J. KRUSZEWSKI
Chairman of the Board and
Chief Executive Officer
 Stifel Financial Corp.

4:45 PM - 4:55 PM **THE PRESIDENTIAL ELECTION IN CHARTS**

Grand Ballroom

America elects a new president in just six short weeks. What does the data predict?



JOE WALL
Vice President, Government Relations
 Goldman, Sachs & Co.

4:55 PM - 5:30 PM **ONE-ON-ONE WITH GOVERNOR JAY NIXON**

Grand Ballroom

The political and policy outlook: with the presidential election just around the corner, what are the potential implications for the financial industry?

SPEAKER:



GOVERNOR JAY NIXON
55th Governor of Missouri

MODERATOR:



BEN WHITE
Chief Economic Correspondent
 Politico

5:30 PM

CLOSING REMARKS



SVEIN ANDRESEN is the Secretary General of the Financial Stability Board (FSB). Prior to this, he held various positions at the Bank for International Settlements (BIS). He was Advisor to the General Manager of the BIS from 1997 to 2000, and lead the secretariat to G10 central bank governors on financial issues from 1995 through 1997. He was Secretary to the Committee on the Global Financial System (CGFS) from 1992 till 1997. Prior to joining the BIS, Mr. Andresen was an assistant professor of economics at the University of North Carolina at Chapel Hill. He has a Masters degree in economics from Simon Fraser University in British Columbia, Canada, and a PhD from the Graduate Institute of International Studies in Geneva, Switzerland.



FREDRIK AXSATER, CFA is a Senior Managing Director of State Street Global Advisors and the Global Head of the Defined Contribution and ESG businesses. In this role, he is responsible for advancing SSGA's retirement and ESG initiatives, including product development, distribution, client service, operations and marketing infrastructure. He works closely with our global teams to create and deliver competitive offerings tailored to meet regional and country-specific requirements. Additionally, Fredrik is a member of SSGA's Senior Leadership Team. Prior to joining SSGA, Fredrik was a Managing Director and Head of Investment Strategy and Product Management for Blackrock's DC business. He started working within Defined Contribution in 1996, and has deep investment knowledge, with a particular expertise in target date and retirement income solutions, as well as best-practice DC plan architecture. The mission-oriented principles for retirement investing also apply to impact investing, and Fredrik oversees the rapid growth of this team and business. Earlier in Fredrik's career, he spent ten years in multiple portfolio management roles, across both Defined Contribution and Global Macro Strategies. Fredrik earned a BS/BA in Electrical Engineering from the University of San Diego, an MBA from the University of Illinois, and the Chartered Financial Analyst designation. He has co-led the strategic partnership between State Street and the CFA Institute, and for many years he has also worked closely with the CFA Institute to evolve the CFA curriculum.



MARTIN NEIL BAILY, Senior Fellow, Bernard L. Schwartz Chair in Economic Policy Development, Director of the Business and Public Policy Initiative, The Brookings Institution, Washington DC. Baily re-joined Brookings in September 2007 to develop a program of research on business and the economy. He is studying financial regulation, growth, and how to speed the recovery. He is a Senior Advisor to the McKinsey Global Institute and to the Albright Stonebridge Group. He is the co-chair of the Financial Regulatory Reform Initiative of the Bipartisan Policy Center, which recently won Prospect magazine's 2015 Think Tank of the Year award in the "U.S. Economic and Financial" category. He is also a member of the Squam Lake Group of financial economists, and a Director of The Phoenix Companies of Hartford, CT. In August 1999 Dr. Baily was appointed as Chairman of the Council of Economic Advisers. As Chairman, Dr. Baily served as economic adviser to the President, was a member of the President's Cabinet and directed the staff of this White House agency. He completed his term as Chairman on January 19, 2001. Dr. Baily previously served as one of the three Members of the President's Council of Economic Advisers from October 1994 until August 1996. Baily has served as a Senior Advisor to the McKinsey Global Institute for many years and was an adviser to the Congressional Budget Office from 2006-09. Dr. Baily was a Principal at McKinsey & Company at the Global Institute in Washington, D. C. from September 1996 to July 1999 and from 2001 to 2007 he was a Senior Fellow at the Peterson Institute where he published books on the European economy and on pension reform. Baily was the co-chair of the Taskforce on Financial Reform convened by the Pew Charitable Trusts. Dr. Baily earned his Ph.D. in economics in 1972 at the Massachusetts Institute of Technology. After teaching at MIT and Yale, he became a Senior Fellow at the Brookings Institution in 1979 and a Professor of Economics at the University of Maryland in 1989. He is the author of many professional articles and books, testifies regularly to House and Senate committees and is often quoted in the press.



KENNETH E. BENTSEN, JR. is President and CEO of SIFMA. Previously, Mr. Bentsen served as Executive Vice President, Public Policy and Advocacy at SIFMA, responsible for SIFMA's legal, regulatory, and legislative affairs and advocacy initiatives. Prior to joining SIFMA, Mr. Bentsen was president of the Equipment Leasing and Finance Association, where he led the 700-member financial services trade association representing commercial and investment banks, financial services companies and manufacturers in the commercial finance sector. In that role he developed and implemented a new strategic direction for this principal industry association. From 2003 to 2006, Mr. Bentsen was a Managing Director at Public Strategies, Inc. where he was a strategic and management consultant principally to the firm's financial services clients. From 1995 to 2003, Mr. Bentsen served as a Member of the United States House of Representatives from Texas, where he sat on the House Financial Services Committee (and its predecessor House Banking and Financial Services Committee), and separately on the House Budget Committee. Mr. Bentsen was an active participant in the drafting and enactment of the Sarbanes-Oxley Act, the Gramm-Leach-Bliley Act, the Terrorism Risk Insurance Act and the Commodities Futures Modernization Act. During his tenure in the Congress, he played an active role in legislation and oversight of regulations affecting bank and thrift charters, federal deposit insurance, securities law, derivatives, and the federal government sponsored enterprises (Fannie Mae, Freddie Mac, and the FHLB system). Mr. Bentsen was also instrumental in the passage of the landmark Balanced Budget Act of 1997, particularly with respect to health care policy. Prior to his service in Congress, Mr. Bentsen was an investment banker at both a major Wall Street firm and a large regional firm, where he specialized in municipal and mortgage finance. Mr. Bentsen is a Trustee of the Hirshhorn Museum and Sculpture Garden of the Smithsonian Institution, the Bryce Harlow Foundation and the Center for Congressional and Political Studies at the American University. Mr. Bentsen has a B.A. from the University of St. Thomas and an M.P.A. from American University.



MICHAEL BOPP is a partner in the Washington, D.C. office of Gibson, Dunn & Crutcher. He is Co-Chair of the Public Policy Practice Group and chairs the firm's Financial Markets Crisis Group. Mr. Bopp's practice focuses on public policy and regulatory consulting, particularly in the financial institutions field, and congressional, internal corporate, and other government investigations. Mr. Bopp engages in high-level, strategic policy and related regulatory work on a variety of issues. He has focused significantly over the past 5 years on the financial markets crisis and financial regulatory reform issues. He has helped numerous clients navigate through the crisis, working with Congress and the Administration on regulatory reform legislation and helping to shape new regulatory requirements promulgated as a result of the Dodd-Frank Act. Mr. Bopp also has counseled numerous companies in complying with Dodd-Frank Act requirements. Mr. Bopp helped to create and run the Coalition for Derivatives End-Users, which has approximately 300 active company and trade association members. The Coalition works on both legislative and regulatory fronts to help protect interests of end-user companies in the debate over appropriate regulation of derivatives and has been an influential participant in these processes. From 2006-2008, Mr. Bopp served as Associate Director of the Office of Management and Budget in the White House, and was responsible for overseeing budgets and coordinating regulatory, legislative, and other policy for approximately \$150 billion worth of spending for various government agencies, including the Departments of Treasury, Homeland Security, Transportation, Justice, Housing and Urban Development, and Commerce, the General Services Administration, the U.S. Securities and Exchange Commission and the Commodity Futures Trading Commission. From 2003 to 2006, he served as Staff Director and Chief Counsel of the Committee on Homeland Security and Governmental Affairs, one of the Senate's largest committees and most expansive in terms of jurisdiction. He oversaw more than 100 hearings, led numerous investigations and was a primary drafter of key legislation, including the Intelligence Reform and Terrorism Prevention Act of 2004, the most significant reform of the intelligence community in more than 50 years, and 2006 legislation strengthening port security and overhauling the Federal Emergency Management Agency. He also directed a 50-person investigation of the failure of preparations and response to Hurricane Katrina. The investigation included 22 hearings, 325 witnesses, more than 800,000 pages of documents and an 800 page report. Mr. Bopp served as Legislative Director and General Counsel to Senator Susan Collins of Maine from 1999 to 2003. He was Chief Counsel to the Subcommittee on Oversight and Investigations of the Committee on Education and the Workforce in the U.S. House of Representatives from 1998 to 1999, where he investigated alleged improper activities undertaken by Teamsters' officials. Before that, he worked on the Congressional investigation of campaign finance abuses as senior investigative counsel to the House Committee on Government Reform and Oversight and as counsel for the Senate Committee on Governmental Affairs. He also previously served as counsel on the Senate Permanent Subcommittee on Investigations. Mr. Bopp served as outside general counsel to the campaign to reelect Senator Susan Collins. Mr. Bopp received his law degree cum laude in 1992 from Harvard Law School where he was Articles Editor on the Journal of Law and Public Policy. He graduated magna cum laude, with honors, in public policy from Brown University in 1987.



DAVID BROWN is the deputy director for Third Way's Economic Program, where he helps design and advocate policy ideas—in the areas of tax, the federal budget, and retirement—to grow the American middle class. David also leads Third Way's Capital Markets Initiative, which develops products and events to make the intricacies of the economy accessible to Congressional staff and other policymakers. His reports, op-eds, and commentary have appeared in *The New York Times*, *The Washington Post*, *Reuters*, *U.S. News & World Report*, *POLITICO*, and *The Wall Street Journal*. Most recently, David was an associate at Eurasia Group, a political risk research and consulting firm, where he wrote on the effects of U.S. economic policy on the economy. Previously, David was a middle school and high school social studies teacher. He taught at YES Prep, a nationally recognized public charter school in Houston, and at St. Mary's Boys Secondary School in Nyeri, Kenya. Originally from Atlanta, David earned a bachelor's degree in history from Rice University and a master's degree in International Relations and International Economics from the Johns Hopkins University School of Advanced International Studies (SAIS). David and his wife Catherine, an art historian, live with their dog in Alexandria, VA, where they pursue their shared passions for the outdoors, travel, volunteering, running, and watching sports.



VALERIE G. BROWN is Executive Chairman, Advisor Group, Inc., one of the nation's largest networks of independent financial advisors with more than 5,200 independent advisors and approximately \$160 billion in client assets under management. Advisor Group provides comprehensive broker-dealer services, technology, and advisory programs through its four registered broker-dealers and Registered Investment Advisors ("RIAs"): FSC Securities Corporation, Royal Alliance Associates, Inc., SagePoint Financial, Inc., and Woodbury Financial Services, Inc. The broker-dealers/RIAs operate within a single network, positioning Advisor Group to provide a best-in-class, industry leading platform. Before assuming her current position at Advisor Group, Ms. Brown served as the Chief Executive Officer of Cetera Financial Group and its four independently managed broker-dealer platforms, from the company's formation in 2010 until its sale in May of 2014. In 2009 she led the spin out of the Cetera companies from ING to Lightyear Capital. As one of four Board members at Cetera, Ms. Brown led the strategy execution for company-wide initiatives that quadrupled earnings and doubled assets under administration to over \$140 billion as of April 2014. Prior to Cetera, Ms. Brown was chief executive officer of ING Advisors Network, a role in which she was responsible for guiding its four broker-dealers. She had previously served as its president for five years, a tenure highlighted by continuous record revenue and earnings. Previous positions included president of ING U.S. Retail Annuities, as well as key international appointments within the ING organization, among them, serving as chief of staff for ING Group's Executive Committees, Americas and Asia/Pacific. Ms. Brown has been actively involved in a number of financial services industry groups. She currently serves on the Board of Directors of the Financial Services Institute. She has previously served on the Securities Industry and Financial Markets Association (SIFMA) Board of Directors. Ms. Brown has also served on the membership and District 7 committees of the Financial Industry Regulatory Authority, Inc. (FINRA), and as a Director on the Blackrock Equity/Bond Funds Board. In May 2013, Ms. Brown was included in Investment Advisor's IA25, a list of the most influential individuals in the independent advisor business. She was previously named one of the 50 Top Women in Wealth by AdvisorOne, a leading online destination for independent advisors, wealth managers and financial planners, and she was included in the InvestmentNews Power 20, which highlights individuals expected to have the greatest impact on financial advisors and the industry in the coming year. Ms. Brown has also been actively involved in charitable arts organizations, with an emphasis on the performing arts. She is a member of C200, an invitation-only membership organization of the world's most successful women business leaders, and served as a Director on the UCLA Anderson School Board of Visitors. Ms. Brown holds a bachelor's degree with high scholarship in chemical engineering from Oregon State University and a master's degree in business administration from Stanford University.



GEOFFREY CHATAS leads all financial activities and oversees a \$5 billion annual budget for The Ohio State University as its chief financial officer and senior vice president of business and finance. Since joining Ohio State in 2010, he has focused on innovative funding approaches to support the university's academic mission without relying on tuition or taxpayers. Highlights of his leadership include: • A \$483 million lease of the university's parking operation that so far has generated \$83 million for student scholarships, faculty positions and other priorities. [Details at innovativefunding.osu.edu] • A streamlining strategy that has saved \$148 million over four years by strategic use of master vendors for goods and services. • Affinity partnerships that generate \$20 million a year, plus benefits such as job and internship opportunities for students and discounts for the university community. • The sale of \$500 million in century bonds to lock in low-interest financing for 100 years. Ohio State was the first public university to issue 100-year bonds. Chatas is also an ex-officio member of the Wexner Medical Center board and has been part of the leadership council focused on efficiencies there. Chatas is a financial executive with significant experience in higher education, power, aviation, and banking. He was named CFO of the Year in 2012 by Columbus Business First, which also recognized the century bond sale as Transaction of the Year. Also in 2012, Geoff served on a Fulbright-sponsored

delegation of U.S. CFOs to Germany to study lean management practices in higher education. In 2015, Gov. John Kasich named Chatas to chair the Ohio Task Force on Affordability and Efficiency in Higher Education. The eight-member task force delivered its recommendations, Action Steps to Reduce College Costs, in October. Chatas was appointed Senior Vice President for Business and Finance and Chief Financial Officer at The Ohio State University in February 2010. He oversees all of the fiscal activities for both the Ohio State University and the Wexner Medical Center, the university's academic medical center. Chatas came to Ohio State from JP Morgan Asset Management, where he was Managing Director for the Infrastructure Investments Group. Prior to JP Morgan, he spent most of his career focused on the energy and aviation sectors. As CFO at Progress Energy, he was responsible for corporate development, including asset acquisition and disposition, and while at American Electric Power (AEP), he was responsible for corporate and project finance and directed investments in infrastructure assets in North America, Europe, and Asia. He oversaw the financial aspects of AEP's investments in infrastructure assets, including electricity generation and distribution assets in the United Kingdom, the United States, and Australia. Prior to joining AEP, Chatas worked in the banking industry. Chatas received a master's degree in Business Administration in 1990 from INSEAD, an international business school in France, a master's degree in History in 1988 from Oxford University in the United Kingdom and a bachelor's degree in Economics and History in 1985 from Georgetown University in Washington, D.C. Chatas is active in the greater Columbus community and serves on several boards, including: JET Task Force. (The JET — Jobs, Expansion and Transportation — group was appointed by Mayor Michael B. Coleman to bolster Port Columbus International Airport as a transportation hub and economic development engine.) • ProMusica Chamber Orchestra • Rev1 Ventures Geoff and his wife, Katie, live in New Albany, Ohio and are the parents of two children, Sophie and Jack.



R. MARTIN CHAVEZ is the chief information officer for Goldman Sachs. Marty is a member of the Management Committee, as well as co-chair of the Firmwide Technology Risk Committee and the Americas Diversity Committee. Marty first joined Goldman Sachs in 1993 in the J. Aron Currency and Commodities Division. In 2000, Marty co-founded Kiodex, Inc. and was chairman and chief executive officer until 2004. He returned to the firm as a managing director in 2005.



AUDREY CHOI is CEO of Morgan Stanley's Institute for Sustainable Investing. She is also Managing Director and Head of Morgan Stanley's Global Sustainable Finance Group. In these roles, she oversees the firm's efforts to support resilient communities and promote economic opportunity and global sustainability through the capital markets. In a career spanning the public, private and nonprofit sectors, Audrey has become a thought leader on how finance can be harnessed to address public policy challenges. Prior to joining Morgan Stanley, Audrey held senior policy positions in the Clinton Administration, the Commerce Department and the Federal Communications Commission. While at the White House, she served as Chief of Staff of the Council of Economic Advisers and Domestic Policy Advisor to the Vice President. Previously, Audrey was a foreign correspondent and bureau chief at The Wall Street Journal. She is currently a member of President Obama's US Community Development Advisory Board and on the boards of several national nonprofits focused on education, conservation and impact investing. Audrey is a graduate of Harvard College and Harvard Business School.



DANIEL B. COLEMAN is Chief Executive Officer of KCG, responsible for managing day-to-day operations and leading the strategic direction of the firm. Daniel has more than 25 years of professional experience and leadership in trading and financial services. Prior to KCG, Daniel was CEO of GETCO responsible for leading the company through its merger with Knight Capital Group to become KCG in July 2013. Daniel joined GETCO, a global market maker in the fixed income, FX, equities and commodities asset classes, in 2010. His most recent roles were Global Head of Equities and Global Head of Client Services. As Global Head of Equities, Daniel led initiatives to enhance the firm's core market making business. As Global Head of Client Services, Daniel oversaw the expansion of GETCO's product offerings in the U.S. and abroad. He was named CEO of GETCO in February 2012. Prior to joining GETCO, Daniel spent 24 years with UBS and its predecessor firms. Daniel served as Global Head of Equities for UBS and was a member of the Investment Bank's Executive Committee and the Group Managing Board. In addition, he served on the boards of NASDAQ, OCC and BOX. Daniel began his career at O'Connor & Associates, a market-making firm focused on equity options. Daniel holds a B.A. from Yale University and an M.B.A. from the University of Chicago.



JONAH CRANE serves as the Deputy Assistant Secretary for the Financial Stability Oversight Council at the United States Department of Treasury. Prior to being named Deputy Assistant Secretary, Mr. Crane served as a Senior Advisor in the Office of the Under Secretary of Domestic Finance at Treasury. Before joining Treasury, Mr. Crane served as a legislative aide to Senator Charles E. Schumer, where he worked on the Dodd-Frank Act, the JOBS Act, and the Super Storm Sandy relief legislation, among other issues. Prior to joining Senator Schumer's staff, Mr. Crane was a corporate attorney focusing on mergers and acquisitions at Milbank, Tweed, Hadley & McCloy LLP in New York. Mr. Crane received a J.D. from New York University School of Law.



CONGRESSMAN JOHN DELANEY is the only former CEO of a publicly traded company in the House of Representatives. Congressman Delaney serves on the Financial Services and Joint Economic Committee and represents Maryland's Sixth District, which includes Washington-area suburbs and Western Maryland. Prior to public office, Congressman Delaney founded and led two NYSE-listed companies and is a past winner of the Ernst & Young Entrepreneur of the Year Award. In 2010, Delaney's company, CapitalSource, received the Bank Enterprise Award from the Treasury Department for lending to disadvantaged communities. John and his wife April-McClain Delaney have made community service a priority, especially in the fields of education and issues effecting children.



JACK DORSEY is CEO and Chairman of Square, CEO of Twitter, and co-founder of both. Jack also serves on the Board of The Walt Disney Company.



JOHN C. DUGAN, formerly Comptroller of the Currency from 2005-10, is a partner in Covington & Burling LLP's Washington, DC office and chairs the firm's Financial Institutions Group. He advises financial institution clients on a range of legal matters affected by significantly increased regulatory requirements resulting from the financial crisis, including implementation of the Dodd-Frank Act; mergers, acquisitions, and investments; litigation, enforcement, and investigations; and international financial regulation. As Comptroller, Mr. Dugan headed the agency that supervises over 1,500 national banks and federal branches of foreign banks, and also served on the Board of Directors of the Federal Deposit Insurance Corporation. During his five-year term, Mr. Dugan led the agency through the financial crisis and ensuing recession that resulted in extraordinary regulatory, supervisory, and legislative actions for national banks of all sizes, including government assistance provided under the Troubled Asset Relief Program (TARP); resolutions of large, mid-size, and community banks; the successful implementation of regulatory "stress tests"; and the enactment of the Dodd-Frank Act. He also served on the Basel Committee on Banking Supervision as it formulated "Basel III" regulatory requirements; chaired the Joint Forum of banking, securities, and insurance supervisors; and was an active participant at the Financial Stability Board. Earlier in his career, Mr. Dugan served as Assistant Secretary of the Treasury for Domestic Finance and Minority General Counsel to the U.S. Senate Committee on Banking, Housing, and Urban Affairs.



TYLER DUVALL is a Principal with McKinsey & Company based out of Washington, DC. Tyler leads McKinsey's work with public sector infrastructure agencies and investors in infrastructure assets. Tyler has also worked extensively developing strategies for non-profits. Tyler's work includes:

- Developing an economic development strategy for a US state
- Designing a bank focused on energy resilience for a US state
- Designing a more efficient process for pre-construction approvals for a State Department of Transportation
- Helping an Asian country develop an aviation regulatory framework
- Assisting a major North American transit operator reduce costs
- Conducting asset due diligence for infrastructure investors
- Assisting a U.S. state to develop a portfolio strategy for transportation investments
- Helping a Latin American country develop an economic growth strategy with a major infrastructure focus
- Working with a Middle Eastern government to develop an aviation policy framework
- Helping a federal agency project demand for credit assistance
- Assisting a federal agency's efforts to consolidate IT infrastructure
- Presenting transportation trends and issues to a variety of private sector client workshops
- Speaking regularly on infrastructure trends and opportunities.

Prior to his time with McKinsey, Tyler was both the Under Secretary (Acting) and Assistant Secretary for Transportation Policy at the U.S. Department of Transportation following his nomination by the President and confirmation by the U.S. Senate in 2006. Some highlights of that experience include: Served in various leadership roles helping shape the U.S. Department of Transportation and U.S. transportation policy, including: Head of USDOT

efforts to develop and advance public-private infrastructure partnerships, including direct involvement in many of the largest PPP transactions in the U.S. • Oversight responsibility for significant regulatory proposals for all modes of transportation (road, rail, air, bus, pipeline, etc.) • Helped oversee multi-billion dollar Federal credit programs for roads, transit systems and freight railroads • Administered the private activity bond program that oversees the allocation of \$15 billion of Federal tax-exempt borrowing authority for privately financed infrastructure projects • Responsibility for strategic plan development • Led development and implementation of national congestion reduction initiative working closely with municipalities across the U.S. • Member of Intelligent Transportation System Management Council that oversaw an array of transportation technology investments • Led the development and implementation of a broad range of policies related to infrastructure finance and system performance, safety, energy security and environmental requirements • Delivered a wide array of transportation policy speeches in the U.S. and abroad, testified in front of Congress and State legislatures on a variety of transportation related topics, and appeared on television and radio to discuss the Administration's transportation policy priorities • Worked closely with the President's senior policy advisors to develop aviation congestion and infrastructure policies. Prior to joining the US Department of Transportation, Tyler worked for Hogan & Hartson LLP (now Hogan Lovells) as a business and finance lawyer focused on mergers and acquisitions. He has a Juris Doctor from University of Virginia Law School and graduated with a BA in Economics from Washington & Lee University.



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. Mr. 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 from May 2003 to January 2004, chief operating officer and chief financial officer from November 1999 to May 2003, and senior vice president and chief financial officer from 1993 until November 1999. Mr. Flanagan 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. Mr. Flanagan earned a BA and BBA from Southern Methodist University (SMU). He is a CFA charterholder and a certified public accountant. He serves on the Board of Governors and as a member of the Executive Committee for the Investment Company Institute, and is a former chairman. 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.



ADENA T. FRIEDMAN serves as President and Chief Operating Officer of Nasdaq. In this role, Ms. Friedman is responsible for overseeing all of the company's business segments with a focus on driving efficiency, growth and expansion. She has P&L responsibility as well as oversight for day-to-day business operations for each of the company's business units, including Listing Services, Information Services (comprising Index and Data), Technology Solutions (comprising Market Technology and Corporate Solutions) and Global Trading & Market Services. Ms. Friedman rejoined Nasdaq in 2014 as President, after serving as Chief Financial Officer and Managing Director of The Carlyle Group from March 2011 to June 2014. Before Carlyle, Ms. Friedman was a key member of Nasdaq's management team for over a decade, serving in a variety of roles including head of the company's data products business, head of corporate strategy, as well its Chief Financial Officer. Ms. Friedman is credited with significant contributions to the strategy and expansion of the organization, helping to create one of the most diversified exchanges in the world today. She played an instrumental role in the company's acquisition strategy, overseeing the acquisitions of INET, OMX, and the Philadelphia and Boston Exchanges. She originally joined Nasdaq in 1993. Ms. Friedman earned an M.B.A. from Owen Graduate School of Management, Vanderbilt University, in Nashville, Tennessee. She holds a B.A. in political science from Williams College in Massachusetts.



DAN GALLAGHER is President of Patomak Global Partners, LLC. From November 2011 to October 2015, Mr. Gallagher served as a Commissioner of the U.S. Securities and Exchange Commission. During his tenure, he focused on initiatives aimed at strengthening the capital markets and encouraging small business capital formation, including staunchly supporting the changes introduced by the JOBS Act. Mr. Gallagher also advocated for conducting a comprehensive holistic review of equity market structure issues, building the Commission's fixed income market expertise, addressing the outsized power of proxy advisory firms, and ensuring rational regulation of credit rating agencies. As a Commissioner, he also assailed the creeping federalization of corporate governance matters and the concerted efforts of special interest groups to manipulate the SEC's disclosure regime to advance their political agendas. He also was instrumental in highlighting the shortcomings of the Dodd-Frank Act and the encroachment of bank regulatory measures and prudential regulators into the capital markets. During his Commission tenure, Mr.

Gallagher had an active international agenda, regularly speaking at conferences and meeting with international regulators and market participants in Asia, the Middle East, South America, and Europe. Before being appointed Commissioner, Mr. Gallagher had the honor and privilege of serving on the Staff of the SEC in several capacities. He first joined the Commission as a summer honors program intern while pursuing his law degree, focusing on enforcement matters. In January 2006, he rejoined the agency, serving first as counsel to SEC Commissioner Paul Atkins, and later as counsel to SEC Chairman Christopher Cox, working on matters involving the Division of Enforcement and the Division of Trading and Markets. In 2008, he joined the Division of Trading and Markets as Deputy Director and served as Co-Acting Director of the Division from April 2009 until January 2010. During this period, Mr. Gallagher was on the front lines in the agency's response to the financial crisis. He represented the Commission in the Lehman Brothers liquidation, and helped lead the agency in addressing other crisis-related issues, including the move to central clearing of swaps and matters involving SIPC. He served as the inaugural Chairman of Committee 6 of the IOSCO Technical Committee, responsible for addressing matters related to the regulation of credit rating agencies, and he was the Commission representative to the Financial Stability Forum (the predecessor of the FSB) Crisis Management working group. In addition to his distinguished record of public service, Mr. Gallagher spent a number of years in the private sector. Following law school, he joined the Washington, D.C. law firm Wilmer Cutler & Pickering, where he advised clients on broker-dealer regulatory issues and represented clients in SEC and SRO enforcement proceedings. He later returned to Wilmer (now WilmerHale) as a partner following his years of service on the SEC Staff. Mr. Gallagher also served as Senior Vice President and General Counsel of Fiserv Securities, Inc., where he was responsible for managing all of the firm's legal and regulatory matters. Mr. Gallagher received his B.A. in English from Georgetown University and his J.D., magna cum laude, from the Catholic University of America, where he was a member of the Catholic University Law Review. He is a leading media commentator, lecturer, and author on matters related to capital markets regulation, and he has been recognized by the National Association of Corporate Directors as one of the 100 most influential individuals in the corporate governance community. Mr. Gallagher also serves as a Non-Executive Director of the Irish Stock Exchange, and is on the Advisory Board of the Drexel LeBow Center for Corporate Governance and a policy fellow at the American Conservative Union.



JOHN C. HALTIWANGER, is a Distinguished University Professor in the Department of Economics at the University of Maryland. He is also the first recipient of the Dudley and Louisa Dillard Professorship in 2013. He received his Ph.D. from the Johns Hopkins University in 1981. After serving on the faculty of UCLA and Johns Hopkins, he joined the faculty at Maryland in 1987. In the late 1990s, he served as Chief Economist of the U.S. Census Bureau. He is a Research Associate of the National Bureau of Economic Research, a Fellow of the Society of Labor Economics and a Senior Research Fellow at the Center for Economic Studies at the U.S. Census Bureau. He has played a major role in developing and studying U.S. longitudinal firm-level data and matched employer-employee data. Using these data, he has developed new statistical measures on business dynamism and labor market fluidity. He has explored the implications of these micro-based measures of firm and worker dynamics for aggregate U.S. productivity growth and for the contribution of entrepreneurs to U.S. economic performance. The statistical and measurement methods he has helped develop to measure and study firm and worker dynamics have been increasingly used by many statistical agencies around the world. His own research increasingly uses the data and measures on firm dynamics from a substantial number of advanced, emerging and transition economies. His work with the statistical agencies has been recently recognized in his being awarded the Julius Shiskin Award for economic statistics in 2013 and the Roger Herriot Award for innovation in statistics in 2014. He has published more than 100 academic articles and numerous books including *Job Creation and Destruction* (with Steven Davis and Scott Schuh, MIT Press).



CHRIS HAMEL is Managing Director and Head of the Municipal Finance Group at RBC Capital Markets. In his role, Mr. Hamel oversees one of the largest municipal finance groups in the country, with operations based in New York and bankers in 26 cities across the U.S. Mr. Hamel is actively involved in the municipal finance community and currently serves as a Trustee of New York's Citizen Budget Commission. He is also member and former Chairman of the SIFMA Municipal Executive Committee. In 2013, Hamel was named to the SIFMA Municipal Division Honor Roll for his success in building a top municipal department and industry contributions over the years, Mr. Hamel has served on numerous boards including the National Parks Foundation, where he was Treasurer. Mr. Hamel received a bachelor's degree from Occidental College in Los Angeles, California.



SUNI HARFORD is a Managing Director and Citigroup's Regional Head of Markets for North America. In this capacity, Suni oversees the North American sales, trading, and origination businesses of Citi's securities and banking franchise. Suni is a member of Citi's Pension Plan Investment Committee, and a Director on the Board of Citibank Canada. From 2010 - 2015, Suni was the co head of Citigroup's global women's initiative, Citi Women. Prior to her current assignment, Ms. Harford held a variety of senior positions at Citi/Salomon Brothers including the Global Head of Fixed Income Research and the Co-Head of Fixed Income Capital Markets Origination where she led an advisory team focused on financial institutions. Ms. Harford serves on the Board of Directors of the Securities Industry and Financial Markets Association (SIFMA), the financial services industry advocacy group, as well as the Board of Directors of The Depository Trust & Clearing Corporation (DTCC), the world's largest post-trade financial services company. Suni also serves on several not-profit Boards, including Friends of Hudson River Park, Taproot Foundation, and recently finished her second term with The Forte Foundation, a national, non-profit organization dedicated to increasing the number of women leaders in business. Ms. Harford is also passionate about awareness and support for our veteran community, and is involved in many organizations in this regard. In addition to serving on the US Chamber of Commerce Veteran's Employment Advisory Council, Suni has worked with First Lady Michele Obama's Joining Forces initiative. She represents Citi as a founding member of Veterans on Wall Street, a coalition of major financial services firms established in 2010 to engage the broader industry in efforts to support our transitioning veterans. Having helped formalize Citi's very successful Veterans Initiative, CitiSalutes, in 2009, Ms. Harford remains the senior business sponsor for the initiative. For those efforts Ms. Harford recently received the Outstanding Civilian Service Award from the US Army. Ms. Harford joined the Markets division of Salomon Brothers, after five years with Merrill Lynch & Co. where she worked in Investment Banking. She joined Merrill upon graduation from the Amos Tuck School of Business at Dartmouth College. Suni received her Bachelor of Science degree from Denison University, where she majored in physics and math. Suni lives in Connecticut with her husband Woody, three children (Devon (18), Jenna (14) and Liam (11)) and their dogs, Sully and Mike Wazowski.



JEB HENSARLING First elected to Congress in 2002, Jeb Hensarling is a strong conservative and an outspoken advocate for limited government and unlimited opportunity. He serves as Chairman of the House Financial Services Committee, where he is a leader promoting consumer choice, competitive markets, and smart regulation in our financial markets. He was the only member of Congress to have introduced comprehensive reform legislation for Fannie Mae and Freddie Mac during the credit crisis, lauded in the media as "a concrete plan for fixing Fannie and Freddie." Jeb was recognized by The New York Times for "leading the GOP Vanguard against the Bailout" and was the only member of Congress to have introduced a legislative alternative to TARP during the heart of the credit crisis, which would have minimized taxpayer exposure and the politicization of the market. A life-long conservative dedicated to advancing the principles of faith, family, free enterprise, and freedom, Jeb was chosen by his colleagues during the 112th Congress to chair the Republican Conference - the fourth highest ranking position in the Republican leadership. Prior to that, Jeb served as Chairman of the Republican Study Committee—the largest conservative caucus in the House. The Associated Press recently recognized Jeb's consistency on conservative issues saying, "he made cutting federal spending, ending earmarks and reducing the size of government his priorities before the tea party came into existence." In recognition of his relentless fight to cut wasteful Washington spending and remove barriers to job growth, Jeb was appointed to serve on the Congressional Oversight Panel for TARP, the National Commission on Fiscal Responsibility and Reform, and was most recently appointed co-chairman of the Joint Select Committee on Deficit Reduction. Prior to becoming Conference chairman, Jeb served as the number two Republican on the House Budget Committee—under former Chairman Paul Ryan—and has consistently fought to reduce our debt and stop out-of-control Washington spending. He is a co-author of the "Spending, Deficit, and Debt Control Act," a landmark budget reform bill that was heralded as the "gold standard" of budget enforcement legislation by a coalition of conservative groups, including the Americans for Tax Reform, Citizens United Against Government Waste, Citizens for a Sound Economy, and the National Taxpayer Union. Jeb also authored the "Spending Limit Amendment"—a Constitutional amendment that would limit federal spending to no more than 20% of the economy (the historic average since WWII). For his work to rein in wasteful Washington spending and put our country back on a fiscally sustainable path, the National Review Online dubbed him "Rep. Budget Reform," and The Dallas Morning News called him a "truth teller" who "has become one of the most important GOP members of Congress." Jeb and his wife Melissa are members of St. Michael and All Angels Church and reside in Dallas with their two children—Claire and Travis.



LISA KIDD HUNT is the head of International Services, serving international clients investing in the U.S, and Special Business Development, the group responsible for specific strategic new business initiatives. Hunt is also responsible for developing and implementing Schwab's social network program for relationship management and business development professionals. Prior to her current role, Hunt served as head of Schwab's branch network and acquisition delivery, managing over 2,000 employees in more than 300 branches throughout the United States as well as acquisition and sales support. Prior to that role, she led Schwab Investor Development, which worked with participants of Schwab's Retirement and Stock Plan Services providing corporate employees with a path towards financial well-being and better financial outcomes. Hunt has worked in the securities industry for 30 years, the past 24 with Schwab. During her tenure at Schwab, she has worked in both the retail and institutional enterprises, focusing on sales management and new business development in a variety of both client-facing and general management and leadership roles. She has been a member of the Executive Committee of Schwab since 2004. Prior to joining Schwab in 1992, Hunt worked as a municipal bond trader for six years. Hunt received her bachelor's degree in finance with an emphasis in economics from the University of Maryland. She is a fellow with the International Women's Forum and has participated in executive leadership programs at Harvard Business School and Cambridge University. She is currently a Board Member and Vice Chair of the Securities Industry and Financial Markets Association (SIFMA) and the Robert H. Smith School of Business, University of Maryland and a former board member of EBRI.



ERIKA IRISH BROWN is Bloomberg L.P.'s Global Head of Diversity and Inclusion. In this role, she develops and drives the company's global strategy and approach to diversity and inclusion in collaboration with senior management to ensure alignment with business goals. Brown joined Bloomberg in 2015 and leads the development, implementation and monitoring of a global program to advance diversity and inclusion across the company's human resources, including recruitment, retention, talent review, succession planning, career development and training. She is also active in promoting an institutional culture and inclusive environment to support diversity in all aspects of the business, including Bloomberg's employee communities and external partnerships. Prior to joining Bloomberg, Brown was Bank of America's Head of Diversity Recruiting, Program Management and Executive Recruiting. She has over 15 years of investment banking and capital markets experience at Morgan Stanley, the U.S. Treasury and Lehman Brothers. Brown received her MBA from Columbia Business School and holds a BS in Economics from the State University of New York at Albany. She is currently Vice-Chair and Director of the Bedford Stuyvesant Restoration Corporation, the Nation's first community development corporation and Director and Nominating Committee Chair of the Council of Urban Professionals (CUP).



JIM KERR is President and Chief Executive Officer of D.A. Davidson Companies. He was elected as CEO after serving as President of D.A. Davidson Companies from 2011 to 2015 and previously serving as President of the Individual Investor Group of D.A. Davidson & Co. from 2005 through 2011. Mr. Kerr joined D.A. Davidson & Co. in 2005 and became a director of the Corporation in 2008. He also serves on the boards of D.A. Davidson & Co., Davidson Trust Co., Davidson Investment Advisors, and Davidson Fixed Income Management. Mr. Kerr began his career in the securities industry in 1976 as an Investment Broker with Foster & Marshall. He joined what was then called Dain Bosworth in 1982 and was appointed Manager of that firm's Seattle, Washington office in 1986 and was later promoted to Regional Manager. He served as President of Ragen MacKenzie from 1999 until Wells Fargo purchased Ragen MacKenzie and he was appointed Regional Manager of Private Client Services for Wells Fargo-Ragen MacKenzie. Mr. Kerr has been involved in numerous non-profits in the Seattle community including the boards of the Seattle Police Foundation and the Seattle Aquarium Society. Jim and his wife, Leslie, reside in Seattle, Washington.



KAREN KERRIGAN is president & CEO of the Small Business & Entrepreneurship Council, and is the group's chief advocate for its members. SBI-Top-100-Winner-2013-125x125 Kerrigan regularly testifies before the U.S. Congress on the key issues impacting entrepreneurs and the economy, and has been appointed to numerous federal advisory boards including the National Women's Business Council, the U.S.-Iraq Business Dialog, the U.S. Treasury's Taxpayer Advisory Panel, and the National Advisory Committee for Labor Provisions of U.S. Free Trade Agreements. Kerrigan regularly engages with the President's cabinet and key advisors, and has participated in several White House economic summits, scores of events hosted by the Small Business Administration, U.S. Treasury Department and other federal government agencies and departments. She has written hundreds of Op-Eds and newspaper columns,

and regularly appears on national television and talk radio programs. She has been called America's "entrepreneurial envoy" and "small business ambassador" for her extensive speaking, knowledge sharing and capacity-building work overseas. Kerrigan is a founding member of the World Entrepreneurship Forum, and regularly provides counsel to governments and business associations across the globe regarding entrepreneurial development, capacity building and policy formation and implementation. She has traveled to Belarus, Kazakhstan, Tunisia, Morocco, Nepal, the Palestinian territories, among many other nations to work with business leaders and governments on reforms and programs to encourage entrepreneurship. Kerrigan is a board member and former chair of the Center for International Private Enterprise (CIPE), one of the core institutes of the National Endowment for Democracy, which works to strengthen democracy around the globe through private enterprise and market oriented reforms. In 2014, 2013, 2012 and 2011 she was named a Top 100 Champion Small Business Influencer by Small Business Trends. CEO World Magazine named Kerrigan a "Top Power Woman in Crowdfunding" (November 2013), and in May 2016 she was presented with the New Capital Markets Leadership Award by the Crowdfund Intermediary Regulatory Advocates (CFIRA) and Crowdfund Capital Advisors for her steadfast leadership and work in making equity and debt-based crowdfunding legal. In November of 2009 Kerrigan was awarded the "Small Business Advocate of the Year" by the NY Enterprise Report. Among other accolades, Inc. Magazine named Kerrigan to its small business "Best Friends in D.C." (2006) list as a "power broker and activist" with "serious clout" for entrepreneurs; Fortune Small Business to its "Power 30" list (2000); and The Hill newspaper to its "most influential small business" list (2006) describing Kerrigan as "the hardest working woman in show business." In 1995, National Journal named Kerrigan to its short list of "K Street" activists most likely to have an impact on Capitol Hill. Campaigns and Elections Magazine named her as one of its "Rising Stars in Politics" in its April 1996 issue. Kerrigan graduated from SUNY Cortland with a B.A. in Political Science, and resides in Northern Virginia.



BRIAN KNIGHT is a Senior Research Fellow for the Financial Markets Working Group at the Mercatus Center at George Mason University. Brian most recently worked for the Milken Institute, where he headed up the FinTech and Capital Access programs. He has experience working for a broker-dealer with a focus on the emerging online private-placement market and was the co-founder of CrowdCheck, a company providing due-diligence and disclosure services to companies and intermediaries engaged in online private offerings. Brian has also served as an attorney for the federal government. Brian is interested in the interplay between technological, regulatory, and market innovation and how best to improve access to capital for businesses of all sizes. Brian received his law degree from the University of Virginia and his bachelor's degree from the College of William and Mary.



DONALD KOHN is a 40-year veteran of the Federal Reserve System and served on the Board of Governors of the Federal Reserve from 2002 to 2010, the last four years as vice chairman. He has also been appointed by the government of the United Kingdom to serve on the Financial Policy Committee at the Bank of England. He has been on a number of advisory committees to U.S. government agencies, including for the Office of Financial Research, the FDIC, and the Congressional Budget Office. Kohn focuses on issues of monetary policy, financial regulation, and macroeconomics.



RONALD J. KRUSZEWSKI is Chairman of the Board of Directors of Stifel Financial Corp. and Stifel, Nicolaus & Company, Incorporated. He joined the firm as Chief Executive Officer in September 1997. Mr. Kruszewski serves on the Board of Directors of the Securities Industry and Financial Markets Association (SIFMA) and the American Securities Association (ASA). He was reappointed by the St. Louis Federal Reserve Board of Directors to serve a one-year term on the Federal Advisory Council for 2016. Additionally, he serves on the Board of Trustees for the U.S. Ski and Snowboard Team Foundation. Active in community affairs, Mr. Kruszewski serves as Chairman of Downtown Now! and as a member of the Board of Directors of the St. Louis Regional Chamber and Barnes Jewish Hospital. He is also past Chairman of the Board of Directors of Downtown St. Louis Partnership, Inc. and past non-executive Chairman of the Board of Directors of Angelica Corporation. Mr. Kruszewski is a member of the Regional Business Council in St. Louis and of the St. Louis Chapter of World Presidents' Organization.



CHRIS LEWIS joined Edward Jones in 2007 as a principal and deputy general counsel in the Legal division. In 2015, he was named general counsel and is responsible for leading all associates who provide legal support to the firm. A graduate of Columbia University School of Law as a Harlan Fiske Stone Scholar, Lewis is a member of the Federal Bar Council and the Executive Committee of the Securities Industry and Financial Markets Association (SIFMA) Compliance and Legal Society. Lewis serves as a member of the board of directors of Big Brothers Big Sisters of Eastern Missouri, St. Louis Children's Hospital Foundation, Missouri Botanical Garden and is a member of the Board of Trustees at Manhattanville College in Purchase, New York.



CONGRESSMAN TOM MACARTHUR and his wife Debbie have been married for 34 years and are the parents of three children: David (age 26), Isabella (age 19), and Gracie, who sadly passed away at age eleven. Tom and Debbie run a family foundation, which supports work ranging from disaster relief, to serving wounded warriors, to AIDS work in Africa, to distributing thousands of wheelchairs worldwide in memory of their daughter Gracie. After graduating from Hofstra University, Tom started out as an Insurance Adjuster in New York City, with an annual salary of \$13,000. In the years that followed he went on to build a successful 30-year career in the insurance industry, which culminated in serving as Chairman and CEO of York Risk Services Group, Inc. which provided insurance and managed care services, and operated mutual insurers and a reinsurer. Under Tom's dynamic leadership, the company grew from a small local firm to a multi-national company with thousands of employees. Tom brings experience as a limited partner in multiple private equity funds and Master Limited Partnerships. Tom recognizes the importance of all forms of capital to our economy and also brings considerable experience as a CEO and private investor in debt markets, including acquisition financing; corporate and public sector bonds; and mezzanine financing. Following his career in the private sector, Tom also served as a local Mayor and Councilman. Tom serves on the House Armed Services Committee and the House Natural Resources Committee. He also sits on the Federal Lands Subcommittee, the Water, Power, and Oceans Subcommittee, the Tactical Air and Land Subcommittee and serves as Vice Chairman of the Military Personnel Subcommittee. Serving on the House Armed Services Committee as Vice Chairman of the Military Personnel Subcommittee has made him South Jersey's strongest advocate for the district's 65,000 veterans and the only tri-service military base in the country, Joint Base McGuire-Dix-Lakehurst, which is the second largest employer in the state of New Jersey. In Congress, Tom has supported policies that spur job creation, empower individuals, provide our military the tools they need to defend our freedom in a dangerous world and honor the service of our veterans and their families when they come home.



CHAIRMAN TIMOTHY G. MASSAD was sworn-in as Chairman of the Commodity Futures Trading Commission on June 5, 2014, after being confirmed by the United States Senate as Chairman and as a Commissioner of the CFTC. Previously, Mr. Massad was nominated by President Obama and confirmed by the U.S. Senate as the Assistant Secretary for Financial Stability at the U.S. Department of the Treasury. In that capacity, Mr. Massad oversaw the Troubled Asset Relief Program (TARP), the principal U.S. governmental response to the 2008 financial crisis designed to help stabilize the economy and provide help to homeowners. Under TARP, Treasury's investments in financial institutions, the credit markets and the auto industry prevented the economy from falling into a depression. Mr. Massad was responsible for the day-to-day management and recovery of TARP funds, and during his tenure, Treasury recovered more on all the crisis investments than was disbursed. Mr. Massad also served as Chief Counsel for the program prior to becoming Assistant Secretary. Prior to joining Treasury, Mr. Massad served as a legal advisor to the Congressional Oversight Panel for the Troubled Asset Relief Program, under the leadership of (now Sen.) Elizabeth Warren. Mr. Massad assisted the panel in its first report evaluating the investments made by Treasury under TARP. Prior to his government service, Mr. Massad was a partner in the law firm of Cravath, Swaine & Moore, LLP. Mr. Massad had a broad corporate practice with a focus on corporate finance and financial markets. He helped to draft the original standardized agreements for swaps and helped many businesses negotiate and execute transactions to hedge exposures in the derivatives markets. Mr. Massad earned his bachelor's and law degrees at Harvard. Mr. Massad was born in New Orleans, Louisiana, and also lived in Texas, Oklahoma and Connecticut as a child. He and his wife, Charlotte Hart, live in Washington with their two children.



ANNETTE L. NAZARETH is a Davis Polk partner practicing in the firm's Financial Institutions Group in the Washington DC office. She advises clients across a broad range of complex regulatory matters and transactions. She also works closely with Davis Polk's SEC enforcement practice, counseling nonfinancial sector corporations that are subject to government regulatory and enforcement actions. Ms. Nazareth was a key financial services policymaker for more than a decade. She joined the SEC Staff in 1998 as a Senior Counsel to Chairman Arthur Levitt and then served as Interim Director of the Division of Investment Management. She served as Director of the Division of Market Regulation (now the Division of Trading and Markets) from 1999 to 2005. As Director, she oversaw the regulation of broker-dealers, exchanges, clearing agencies, transfer agents and securities information processors. In 2005, she was appointed an SEC Commissioner. During her tenure at the Commission, she worked on numerous groundbreaking initiatives, including execution quality disclosure rules, implementation of equities decimal pricing, short sale reforms and modernization of the national market system rules. Ms. Nazareth also served as the Commission's representative on the Financial Stability Forum from 1999 to 2008. Since leaving the SEC in January 2008, she has served as Rapporteur for the Group of Thirty's report, *The Structure of Financial Supervision: Approaches and Challenges in a Global Marketplace* and as Project Director for their report, *Enhancing Financial Stability and Resilience: Macroprudential Policy, Tools and Systems for the Future*. Earlier in her career, she held a number of senior legal positions at several investment banks.



GOVERNOR JAY NIXON Born in the small town of De Soto, Missouri, and raised in a family of public servants, Jay Nixon has devoted his 30-year career in elected office to improving the lives of his fellow Missourians. A former state senator and four-term attorney general, he is currently completing his second consecutive term as Governor of Missouri. Jay Nixon is known as a fiscal conservative who has fought for working families and stronger, safer communities. His commitment to fiscal discipline has protected Missouri's AAA credit rating, a claim only eight other states can make, while allowing smart investments in public education, children's health, mental health, public safety, and economic development. In 2010, Gov. Jay Nixon signed legislation to modernize and ensure the solvency of the pension system for Missouri state employees. The bill, passed during a special session called by the Governor, is projected to save Missouri taxpayers an estimated \$662 million by 2020. Putting the state's AAA credit rating to work, the Governor has led the effort for a multi-year \$300 bonding effort, two-thirds of which will go towards higher education campuses throughout the state through Gov. Nixon's Building Affordability initiative, helping colleges and universities make needed renovations and improvements to their campuses without raising tuition. As a result, Missouri a leader in college affordability. In fact, over the past seven years, Missouri's public universities have had the lowest increases in tuition in the nation. Even when taking into account these significant investments in higher education and infrastructure, Missouri will still have lower levels of state-issued bonding debt than when Gov. Nixon took office, reflecting the kind of sound fiscal management that Missouri taxpayers expect and deserve from their government. When Governor Nixon took office, he also led an unprecedented effort with the business, education, labor and economic development leaders throughout the State to develop a focused blueprint of priorities. One of those focus areas was to target growth in the financial services sectors from expanding large businesses to making smart investments to support the growth of emerging "fin-tech" startups. Since taking office, Missouri's financial services industry has gained more than 13,000 jobs and garnered expansions in recent years from major financial-related companies including KPMG, U.S. Bank, and Square --the St. Louis-born startup that processes mobile payments throughout the world. In addition to being home to the second oldest commodities exchange in the nation and Federal Reserve Banks in St. Louis and Kansas City, the Show-Me State also is the global headquarters of several financial service powerhouses, including Edward Jones, Stifel Financial, MasterCard Operations & Technology, VA Mortgage, DST, and the National Association of Insurance Commissioners (NAIC). Governor Nixon has made new business creation a top priority. Under his leadership, Missouri has emerged as the fastest-growing state for startup businesses, according to the Wall Street Journal. Governor Nixon's administration pioneered the use of equity capital as an economic development incentive. The "IDEA Fund" has deployed \$32 million in early-stage capital to co-invest with the private sector in startups that have collectively raised over \$350 million in follow-on capital. Startups from around the world are increasingly attracted to the St. Louis-based SixThirty Fintech Accelerator program that was launched in 2013 in partnership with Square co-founder, Jim McKelvey.



SANDRA O'CONNOR is the Chief Regulatory Affairs Officer for JPMorgan Chase & Co. She also serves on firmwide governance committees and chairs the JPMorgan Chase Foundation Investment Committee. In her role, O'Connor is responsible for ensuring the firm has a comprehensive regulatory strategy. This includes engaging in balanced advocacy with regulators and policymakers, understanding and providing thought leadership on how policies affect the firm's clients and economic growth overall, and governing internal coordination among regions and lines of business on global regulatory reform issues. Prior to this role, O'Connor was Treasurer of JPMorgan Chase. During a period of unprecedented change, she managed the firm's capital, balance sheet, liquidity and funding strategy and positions, as well as the firm's rating agency relationships and corporate insurance activities. Earlier, O'Connor was head of J.P. Morgan's Prime Services unit, which under her leadership, expanded its global footprint and earned J.P. Morgan top honors in prime brokerage. O'Connor also co-chaired the Investment Bank Women's Network. O'Connor joined J.P. Morgan in 1988 and has held several key executive positions. These include Global Business Executive for Financing & Markets Products (FMP), one of the major product companies within the Corporate & Investment Bank, and Treasurer for the Morgan Guaranty Trust Company of New York, through the completion of the merger between J.P. Morgan and The Chase Manhattan Corporation. O'Connor received a Bachelor of Science in Finance and International Business from New York University's Stern School of Business, where she was a University Scholar and graduated cum laude. She serves as Vice Chair of the Board of Directors of the YMCA of Greater New York and Chair of its Development Committee. She is on the boards of the Securities Industry and Financial Markets Association and the Global Financial Markets Association, and is a member of the Treasury Market Practices Group. O'Connor was recognized by the YMCA as a 2014 Volunteer of the Year and has also received the YWCA's 2013 Brava Award for professional success and community service. O'Connor has been named to American Banker's top 25 lists of the Most Powerful Women in Banking and Finance.



ROGER OCHS, as president of the firm, manages the day-to-day operations of HD Vest Financial Services®. With approximately 325 employees based in Irving, Texas, HD Vest pursues the vision of providing innovative solutions and the latest tools to help HD Vest Advisors meet their clients' needs. The Company supports a network of approximately 4,500 independent tax professionals, mostly CPAs and Enrolled Agents, who offer financial solutions to their clients. These professionals manage over \$38 billion in assets for individuals, families and small businesses in all 50 states. In 1999, Ochs was named president of HD Vest, Inc. He has held multiple management positions within the organization, overseeing sales, marketing and technical support for Advisors since joining the firm in 1987. Prior to joining HD Vest, Ochs worked with Prudential-Bache Securities as a financial planner. Ochs earned his juris doctor from Southern Methodist University School of Law, a master of business administration degree from Trinity University and a bachelor of business administration degree from Angelo State University. He is licensed to practice law in the state of Texas and holds the CFP®, CLU and ChFC designations and many securities licenses. Ochs is a member of the Texas Bar Association and the Dallas Bar Association, and is an associate member of the National Association of Enrolled Agents. In November, 2014, Ochs was elected to the Securities Industry and Financial Markets Association (SIFMA) Board, and prior to that, he served as the Chair on the Independent Firms Committee of SIFMA. Previously he has served as a board member for the Association Montessori International/USA (AMI/USA), and President of the board of trustees for the Barbara Gordon Montessori School. Ochs enjoys athletics, is an avid runner and has finished the Boston Marathon eleven times.



DAVID ORNSTEIN is a Managing Director at Barclays. Based in New York, David is a member of the US senior leadership team responsible for ensuring that Barclays' Investment Bank businesses are prepared and strategically positioned for US structural reform. David also has global leadership for regulatory reform readiness efforts for Barclays' Investment Bank and in that capacity chairs the Regulatory Change Oversight Panel. David joined Barclays in 2004 as Chief Operating Officer (COO) of Fixed Income, based in London. He returned to New York in 2008 and went on to assume additional responsibility as COO of FICC in 2010. He became COO for Markets in 2012, and also held responsibility for cross-business functions including Trade Capture Utility, Market Structure, Strategic Investments, and Front Office Risk and Controls. A former naval officer, David began his career in the financial industry in 1994 at Bankers Trust in New York where he held roles in Operations, Technology and Trading. He holds a BSc from the US Naval Academy at Annapolis, Maryland, and an MBA from the Wharton School at the University of Pennsylvania.



GEORGE OSBORNE Former Chancellor of the Exchequer from 2010 to 2016 and current Conservative Member of Parliament for Tatton, George Osborne offers unique insight into the economy of the UK and the world. George Osborne served as Chancellor of the Exchequer from 2010 to 2016 - one of the longest periods anyone has held the office. Following the successful election of a Conservative Government in 2015, he served as First Secretary of State. As a prominent campaigner for Britain to remain in the EU, George left the government in July 2016 following the outcome of the referendum. During his time as Chancellor the fortunes of the British economy dramatically improved, and George left office with the strongest growth record in the G7, the deficit greatly reduced and the employment rate at an all-time high. He also oversaw major reforms including: the regeneration of the north of England through the 'Northern Powerhouse'; forging a new relationship with China; and an overhaul of the UK pension and welfare systems. On his appointment in May 2010, George was the youngest Chancellor since Randolph Churchill in 1886. Prior to that he had served as Shadow Chancellor for five years, ran David Cameron's successful campaign to become Leader of the Conservative Party and helped negotiate the formation of Britain's first Coalition Government since the Second World War. In August 2016, George was made a Companion of Honour by Her Majesty the Queen.



TRACY PALANDJIAN is Co-Founder and Chief Executive Officer of Social Finance, a nonprofit organization which is leading the development of Pay for Success financing and Social Impact Bonds, an innovative public-private partnership that mobilizes capital to drive social progress. For more than a decade, Tracy has committed to building a more impactful nonprofit sector by re-imagining the role of the capital markets in enabling social progress. Inspired by Social Finance UK, Tracy co-founded Social Finance US in January 2011 to develop the Social Impact Bond and Pay for Success model in the United States. Prior to Social Finance, Tracy was a Managing Director for 11 years at The Parthenon Group where she established and led the Nonprofit Practice and worked with foundations and NGOs to accomplish their missions in the US and globally. Tracy also worked at Wellington Management Co. and

McKinsey & Co. Tracy is co-author of *Investing for Impact: Case Studies Across Asset Classes*. She is Vice-Chair of the U.S. National Advisory Board to the Global Impact Investment Steering Group (previously the G8 Taskforce). She is a member of the Board of Overseers at Harvard University, and serves on the boards of Facing History and Ourselves and the Surdna Foundation. She is also a Director of Affiliated Managers Group (NYSE: AMG). Tracy is a frequent speaker and writer on impact investing and social innovation, having been covered in *The Wall Street Journal*, *Atlantic*, *Economist*, *Forbes*, and *New York Times*. A native of Hong Kong, Tracy is fluent in Cantonese and Mandarin. She graduated from Harvard College with a B.A. in Economics and holds an M.B.A. with high distinction from Harvard Business School, where she was a Baker Scholar.



KYUNG-AH PARK is a managing director and the head of Environmental Markets at Goldman Sachs. In that capacity, she oversees and supports the global environmental initiatives of Goldman Sachs including environmental risk management and works closely with the businesses on environmental market opportunities. She also heads the Center for Environmental Markets, which partners with corporates, nongovernmental organizations, and academic institutions to facilitate research and develop pilot projects that inform public policy and further market-based solutions to environmental issues. Kyung-Ah serves on the Firmwide Physical Commodity Review Committee. Previously, she was a vice president in the Industrials Group in the Investment Banking Division and an executive director of Goldman Sachs (Asia) LLC. Kyung-Ah joined Goldman Sachs in the Mergers & Acquisitions Department in New York. Prior to joining the firm, Kyung-Ah worked as a management consultant at McKinsey & Company in Seoul, Korea, and Johannesburg, South Africa. Kyung-Ah earned an MBA from Harvard Business School and a BA from Yonsei University in Seoul, Korea. Kyung-Ah serves on the Board of Directors of Girls Inc. of NYC.



HENRY M. PAULSON, JR. is a businessman, China expert, conservationist and author. He is the founder and chairman of the Paulson Institute, and co-chairman of the Latin American Conservation Council of The Nature Conservancy and the Risky Business Project. Paulson served as the 74th Secretary of the Treasury under President George W. Bush, from July 2006 to January 2009. Prior to that, he had a thirty-two year career at Goldman Sachs, serving as chairman and chief executive officer beginning in 1999. Earlier in his career, he was a member of the White House Domestic Council as well as a staff assistant at the Pentagon. Today, he serves as chairman of the Paulson Institute at the University of Chicago, which aims to advance sustainable economic growth, a cleaner environment and cross-border investments in the United States and China. A “think and do” tank founded in 2011, the Institute’s work is comprised of programs, advocacy and research with partners around the globe. A lifelong conservationist, Paulson was Chairman of The Nature Conservancy Board of Directors and, prior to that, founded and co-chaired the organization’s Asia-Pacific Council. In 2011, he founded and continues to co-chair the Latin American Conservation Council, comprised of global business and political leaders. Paulson co-chairs the Risky Business Project, which focuses on quantifying and publicizing the economic risks of climate change in the United States, with former New York mayor Michael Bloomberg and former hedge fund manager Tom Steyer. The non-partisan initiative aims to spur action to mitigate the effects of climate change before the worst potential outcomes occur. In his best-selling book, *On the Brink*, Paulson describes his experiences as Treasury Secretary fending off the near-collapse of the U.S. economy during the Great Recession. His new book, *Dealing with China*, details his career working with scores of China’s top political and business leaders and witnessing the evolution of China’s state-controlled capitalism. Paulson graduated from Dartmouth College in 1968 and received an M.B.A. from Harvard University in 1970. He and his wife, Wendy, have two children and four grandchildren.



EGBERT L. J. PERRY, a native of Antigua & Barbuda, is the Chairman and Chief Executive Officer of Integral, a company he co-founded in 1993 with a mission to “create value in cities and (re)build the fabric of communities.” Since then, Integral has become a premier provider of sustainable real estate, community and infrastructure solutions in mature and emerging markets across the United States. The Company is vertically integrated with subsidiaries in community development, commercial real estate, investment management, property management, and program management services. Integral’s mission was first realized when Centennial Place, a collaboration with the Atlanta Housing Authority and another firm, was created. This forward thinking concept was the nation’s first urban mixed-income, mixed-use community, integrating mixed-income housing, early childhood development, K-12 education reform and human services. This holistic revitalization approach to community development, conceived and pioneered by Integral and its partners, has since been emulated in Atlanta and scores of cities across the country. Integral has implemented over 50 public-private partnerships that promote “responsible” development. In addition to its extensive experience in holistic community development, the Company is a well-respected commercial real estate developer of residential and mixed-use projects nation-wide, with a strong commitment to Transit Oriented Developments (“TOD’s”). Today, with a substantial track record of transformational real estate projects, Integral is a diversified, 300-person organization that has successfully completed projects in over 12 markets in the mid-Atlantic, Southeast and Western regions of the United States. The Company is headquartered in Atlanta, with offices in San

Francisco, Los Angeles, Denver and Dallas. An honors graduate of the University of Pennsylvania, Egbert received both Bachelor of Science and Master of Science degrees in Civil Engineering from the University's Towne School, and a Master of Business Administration degree with majors in Finance and Accounting from its Wharton School. Egbert currently serves as Chairman of the Board of Fannie Mae, the largest financial institution (by assets) in the United States. He also chairs the boards of the Penn Institute for Urban Research and the Centennial Academy Charter School, and is a member of the Board of Trustees of the University of Pennsylvania. He has previously completed extensive service on the boards of the Federal Reserve Bank of Atlanta, Atlanta Life Financial Group, United Way of Metropolitan Atlanta and Atlanta International School.



JOHN W. F. ROGERS is Executive Vice President, Chief of Staff and Secretary to the Board of Directors of Goldman Sachs and Co and a member of the firm's Management Committee. Mr. Rogers joined the firm in 1994 in the Fixed Income Division and has served in various positions since then. He is also Chairman of the Goldman Sachs Foundation and Goldman Sachs Gives, donor advised fund. Prior to joining Goldman Sachs, Mr. Rogers was a Senior Fellow at the Baker Institute at Rice University and spent a number of years in government service as the Under Secretary at the U.S. Department of State, as Assistant Secretary of the U.S. Treasury and as the Assistant to the President at the White House. He is the recipient of the Presidential Citizen Medal in 1985.



PETE RODRIGUEZ is a Managing Director and the Chief Administrative Officer for Asset Servicing. He is also a member of BNY Mellon's Corporate Operating Committee. Pete has over 25 years of financial services experience and is responsible for working closely with the Asset Servicing executive management team on business strategy as well as organizational and governance structure. He also oversees cross segment initiatives, sales and business support services and sales incentive compensation administration. Additionally, Pete manages the relationship with the business partner functions including Compliance, Audit, Risk, Legal, Finance, Communications and Marketing. Pete was previously the CFO for Asset Servicing and Global Markets where he was responsible for overseeing all areas of financial management and analysis including major initiatives, planning, forecasting, management reporting, analytics and executive level business presentations. In his capacity as CFO, Pete was a member of the firm's Finance Operating Committee. Pete has also held the positions of Chief of Staff for Asset Servicing Financial Management & Analysis and Head of Performance Reporting & Analytics as well as Securities Lending CFO. Prior to joining BNY Mellon, Pete worked at JPMorgan Chase's Worldwide Securities Services business for 9 years where he was CFO for the Financing and Markets Products business which includes Securities Lending, Foreign Exchange, Transition Management, Futures Clearing and Commission Recapture. Previous roles at JPMorgan Chase and its predecessor firms include Balance Sheet Controller, Investment Products CFO, Information Products CFO, Broker Dealer CFO, Performance Measurement CFO and Head of Performance Reporting. Pete also performed various Finance roles at State Street in NY over a 9 year period before joining JPMorgan Chase. Pete received a Bachelor of Science degree in Business Management from the University of Phoenix. Pete is a member of BNY Mellon's Diversity & Inclusion Operating Committee and sits on the Senior Leadership Council of ALPFA's New York Chapter. Pete has been featured in Hispanic Executive Magazine (2014), Latino Leaders Magazine Finance Edition (2016) and Color Magazine (2016). He was recognized as a 2015 Council of Urban Professionals (CUP) Catalyst for Change and the 2016 ALPFA Executive of the Year.



FRANK SACR joined the Société Générale project finance team in Australia in 1995, and has been located in New York since 1998. He is currently the head of Société Générale's infrastructure financing team for the Americas. Frank has been at the forefront of the development of the public private partnership (PPP) market in North America, having structured financings on several landmark infrastructure projects. He has been involved in numerous PPP transactions in the US market, either as an advisor to bidders or as a lender, and has advised on financings involving banks, private activity bonds, and taxable bonds. His outstanding deal track-record includes, in 2016, advisor to the successful LaGuardia Gateway Partners' \$4Billion LaGuardia Airport Terminal B Redevelopment Project. Frank's formal qualifications include both commerce and law degrees from the University of Melbourne.



JUSTIN SCHARDIN is the director of BPC's Financial Regulatory Reform Initiative. Prior to joining BPC in January 2013, he served as a senior policy advisor for former Senator Kent Conrad, which included the Senator's Banking Committee portfolio. Schardin was a legislative assistant for former Senator Byron Dorgan, and helped Dorgan establish the Center for Native American Youth at the Aspen Institute in 2011. Schardin founded a web design and custom-software company in Fargo, ND that he helped grow to 65 employees. A longtime radio host, he left Fargo in 2007 to cover the Iowa caucuses for *Campaigns & Elections* magazine. He then worked in 2008 as an organizer in several states for Obama for America. Schardin graduated from Boston University with degrees in economics and political science. Outside of work, he co-hosts a podcast on the Minnesota Timberwolves and produced the 2015 feature film, *If There's a Hell Below*.



TIMOTHY C. SCHEVE is President and Chief Executive Officer of Janney Montgomery Scott LLC. Janney is a full-service financial services firm, providing comprehensive financial advice to individual, corporate and institutional clients. Mr. Scheve became the President and CEO in August 2007 and has over 30 years of experience in the securities industry. Since his arrival at Janney, Mr. Scheve has assembled a leadership team that has a tremendous ability to adapt to rapidly evolving client needs and economic changes. These top professionals lead two core businesses—the Private Client Group and Capital Markets—and ensure efficient operations and administration. Mr. Scheve has steered Janney’s tremendous growth and leadership by ensuring that the Firm’s professionals provide clients with an exceptional level of service and knowledgeable advice so that they may achieve their personal and business goals. Under his tenure, Janney has grown its client base, successfully expanded existing relationships, opened several new regional offices and become more actively engaged in its communities. All of these accomplishments have helped to solidify Janney as one of the strongest, leading and growing financial services firms in the industry today. Before becoming the President and CEO of Janney, Mr. Scheve served in a variety of leadership roles at Legg Mason. He was appointed Executive Vice President of Legg Mason in 1998 and Senior Executive Vice President in 2000. In 2003, he was named President and CEO of Legg Mason’s broker-dealer, the former Legg Mason Wood Walker, Inc. (LMWW). In this role he managed a division comprised of 1,200 Financial Consultants and 120 offices with approximately \$1 billion in revenue. He also managed the Firm’s Capital Markets business, consisting of institutional equity, institutional fixed income and investment banking. Mr. Scheve has always used his expertise to support both the financial services industry and his community. His professional affiliations include roles on the Board of Directors of Ben Franklin Technology Partners of Southeastern Pennsylvania, the Union League of Philadelphia, and the Board of Directors of the Securities Industry and Financial Markets Association. He is also a trustee for The Catholic University of America. His past affiliations include serving as a member of the Board of Directors of the Kimmel Center, the Board of Trustees of the American Red Cross of Southeastern Pennsylvania, a member of the Board of Directors of The Pennsylvania Trust Company, Chair of the National Aquarium in Baltimore, President of the Maryland Committee for Children, Vice Chair of the ICI Mutual Insurance Company, Member of the Franciscan Health System’s Investment Committee and Trustee for the House of Ruth, St. Joseph Hospital and the Baltimore Community Foundation.



SUZANNE SHANK is a 29-year veteran of the financial services industry and a founding partner of Siebert Brandford Shank & Co., LLC. During her tenure as CEO, Siebert Brandford Shank has grown from a start-up firm in 1996 to one which has completed over \$1.2 trillion in financings for municipal issuers and \$1 trillion in corporate bond and equity transactions. The firm holds the distinction of being the top ranked minority and woman owned municipal bond underwriter since 1997 and the first to be ranked in the top 10 among all firms as lead manager. Ms. Shank has won numerous awards and honors throughout her years in the finance industry, including being named a Trailblazing Woman by The Bond Buyer in December of 2015, Entrepreneur of the Year by the National Association of Securities Professionals in 2013, being recognized by U.S. Banker Magazine as one of the “Top 25 Women in Finance”, and selected by the Wharton School of Business from among 100,000 graduates as one of its “125 Influential People and Ideas”. She is a recipient of the “She’s Our Hero Award” by Women in Public Finance. She has also appeared on CNBC, Wall Street Week and Bloomberg TV promoting the strength of the municipal bond market. Ms. Shank has served on the Bipartisan Policy Center, Executive Council on Infrastructure since 2015. Ms. Shank is a graduate of The Wharton School, University of Pennsylvania with a Master of Business Administration degree in Finance, and the Georgia Institute of Technology with a Bachelor of Science degree in Civil Engineering.



CONGRESSWOMAN TERRI A. SEWELL is serving her third term as the U.S. Representative of Alabama’s 7th Congressional District. She is one of the first women elected to Congress from Alabama in her own right and is the first black woman to ever serve in the Alabama Congressional delegation. Congresswoman Sewell sits on the exclusive House Committee on Financial Services and the distinguished House Permanent Select Committee on Intelligence charged with the oversight of our national security. She is the Ranking Member on the Subcommittee on the Department of Defense Intelligence and Overhead Architecture, a key subcommittee on the House Permanent Select Committee on Intelligence. In her short time in Congress, Sewell has held several leadership positions, including Freshman Class President in the 112th Congress. This current term, she was selected by Democratic leadership to serve as a Chief Deputy Whip, and sits on the prestigious Steering and Policy Committee which sets the policy direction of the Democratic Caucus. Congresswoman Sewell is a member of the Congressional Black Caucus and the New Democrat Coalition. She is also Co-Chair of the newly formed Voting Rights Caucus. A proud product of Alabama’s rural Black Belt, Congresswoman Sewell was the first black valedictorian of Selma High School. She is an honors graduate of Princeton University and Oxford University in England and received her law degree from Harvard Law School.



STEVEN H. STRONGIN is head of the Global Investment Research Division. He is a member of the Management Committee, the Firmwide Client and Business Standards Committee and the Steering Committee on Regulatory Reform. In addition, he is co-chair of the Firmwide Technology Risk Committee and chair of the Global Investment Research Client and Business Standards Committee. Steve has previously served as the global head of strategy research and co-chief operating officer of Global Investment Research, as well as the global head of commodities research. He joined Goldman Sachs in 1994 and was named managing director in 1998 and partner in 2002. Prior to joining the firm, Steve spent 12 years at the Federal Reserve Bank of Chicago, most recently as the director of Monetary Policy Research. Previously, he was an economist at the Center for the Study of Economy and State at the University of Chicago and a researcher at PanHeuristics, a think tank focused on military strategy and energy policy. He has published in a wide range of fields, including monetary theory, finance, econometrics and industrial organization. Steve serves on the Board of Directors of New York City's Fund for Public Schools, the Board of Directors of the Cahn Fellows Program, the Visiting Committee to the College at the University of Chicago, and the Advisory Board to the RAND Center for Corporate Ethics and Governance. Steve earned undergraduate and graduate degrees in economics from the University of Chicago and a graduate degree in management from Northwestern University's Kellogg School of Management.



JOHN ADAMS VACCARO is the CEO of Westport Resources which he founded in 1986. As CEO, Mr. Vaccaro sets strategic direction for the firm and oversees all advisory and planning activities. In 2014 the U.S. financial newspaper Barron's named Mr. Vaccaro one of the "Top 100 Financial Advisors" in America. Additionally, for seven years running, Barron's has named Mr. Vaccaro one of the "Top 100 Independent Financial Advisors" (2009-2016) and one of the "Top 1,200 Financial Advisors" (2010-2016) in America. He was recently profiled in the magazine's June 18th edition. Mr. Vaccaro became a CERTIFIED FINANCIAL PLANNER™ (CFP®) in 1991 and is a past member (1998) of the Board of Directors of the Connecticut Chapter of the Financial Planning Association. He received the Chartered Life Underwriter (CLU) designation in 2001. Mr. Vaccaro has been a member of the Securities Industry and Financial Markets Association (SIFMA) since 1994 and was elected to its board in 2014. From 2003 to 2006, he was Chairman of the Association's Small Firms Committee that represents 300 small national brokerage firms and now currently serves as Chairman for the second time. Mr. Vaccaro is also a notable speaker on key topics at industry conferences. Prior to founding Westport Resources, Mr. Vaccaro was affiliated with two investment firms. From 1983 to 1986 he helped found and acted as Securities Principal and part owner of Sperber Adams, a discount brokerage firm. From 1980 to 1983 he held the position of Capital Partner Representative with investment banking firm Colin Hochstin. As part of his responsibilities there, he held executive positions with Cunningham Drug Stores, Golden Gate Airlines and Mansfield Stock Chart Service. Mr. Vaccaro is an avid supporter of the arts and gives generously to his community. Westport Arts Center and Sunrise Rotary Club of Westport have honored him for the time, talent and resources he contributes. Additionally, he and Westport Resources host the annual Charity Golf Classic to support the All Stars Project of Bridgeport, CT, an inner city afterschool program for high school age students. Mr. Vaccaro currently serves on the Board of Jewish Senior Services. Mr. Vaccaro holds a B.A. degree in English from Lafayette College. He loves his wife, Cindy, and their two daughters as well as reading, hiking, sailing and golf.



J.W. VERRET has recently returned from taking two years academic leave from George Mason Law School to serve as the Chief Economist for the US House Committee on Financial Services. He is a law professor teaching corporate and securities law and financial regulation at GMU Law School. He also serves as a financial regulatory policy expert at the Mercatus Center Financial Markets Working Group at George Mason University, where he is a resource to policy makers and the media. His work has been published in venues such as the Stanford Law Review, the Yale Journal on Regulation, the Wall Street Journal and the New York Times.



JOE WALL is a Vice President in the Office of Government Affairs. He joined Goldman Sachs in February 2010. Prior to joining the firm, Joe was senior director of federal government relations at the Independent Insurance Agents and Brokers of America. Previously, he served as deputy assistant to Vice President Dick Cheney for legislative affairs, as assistant national field director on the 2008 Romney for President campaign and as floor assistant for Rep. Roy Blunt (R-MO) in the Office of the Majority Whip of the U.S. House of Representatives. Joe earned a BS in Political Science from Wayne State College (NE) and was a four year letterman in baseball.



BEN WHITE is POLITICO Pro's chief economic correspondent and author of the "Morning Money" column covering the nexus of finance and public policy. Prior to joining POLITICO in the fall of 2009, Mr. White served as a Wall Street reporter for the New York Times, where he shared a Society of Business Editors and Writers award for breaking news coverage of the financial crisis. From 2005 to 2007, White was Wall Street correspondent and U.S. Banking Editor at the Financial Times. White worked at the Washington Post for nine years before joining the FT. He served as national political researcher and research assistant to columnist David S. Broder and later as Wall Street correspondent. White, a 1994 graduate of Kenyon College, has two sons and lives in New York City.



CHAIR MARY JO WHITE was sworn in as the 31st Chair of the SEC on April 10, 2013. She was nominated to be SEC Chair by President Barack Obama on Feb. 7, 2013, and confirmed by the U.S. Senate on April 8, 2013. Chair White arrived at the SEC with decades of experience as a federal prosecutor and securities lawyer. As the U.S. Attorney for the Southern District of New York from 1993 to 2002, she specialized in prosecuting complex securities and financial institution frauds and international terrorism cases. Under her leadership, the office earned convictions against the terrorists responsible for the 1993 bombing of the World Trade Center and the bombings of American embassies in Africa. She is the only woman to hold the top position in the 200-year-plus history of that office. Prior to becoming the U.S. Attorney for the Southern District of New York, Chair White served as the First Assistant U.S. Attorney and later Acting U.S. Attorney for the Eastern District of New York from 1990 to 1993. She previously served as an Assistant U.S. Attorney for the Southern District of New York from 1978 to 1981 and became Chief Appellate Attorney of the Criminal Division. After leaving her U.S. Attorney post, Chair White became chair of the litigation department at Debevoise & Plimpton in New York, where she led a team of more than 200 lawyers. Chair White previously was a litigation partner at the firm from 1983 to 1990 and worked as an associate from 1976 to 1978. Chair White earned her undergraduate degree, Phi Beta Kappa, from William & Mary in 1970, and her master's degree in psychology from The New School for Social Research in 1971. She earned her law degree in 1974 at Columbia Law School, where she was an officer of the Law Review. She served as a law clerk to the Honorable Marvin E. Frankel of the U.S. District Court for the Southern District of New York. Chair White has won numerous awards in recognition of her outstanding work both as a prosecutor and a securities lawyer. The 2012 Chambers USA Women in Law Awards named her Regulatory Lawyer of the Year. Among other honors she has received are the Margaret Brent Women Lawyers of Achievement Award, the George W. Bush Award for Excellence in Counterterrorism, the Sandra Day O'Connor Award for Distinction in Public Service, and the "Women of Power and Influence Award" given by the National Organization for Women. Chair White is a fellow in the American College of Trial Lawyers and the International College of Trial Lawyers. She also has served as a director of The NASDAQ Stock Exchange and on its executive, audit, and policy committees. Chair White is a member of the Council on Foreign Relations.



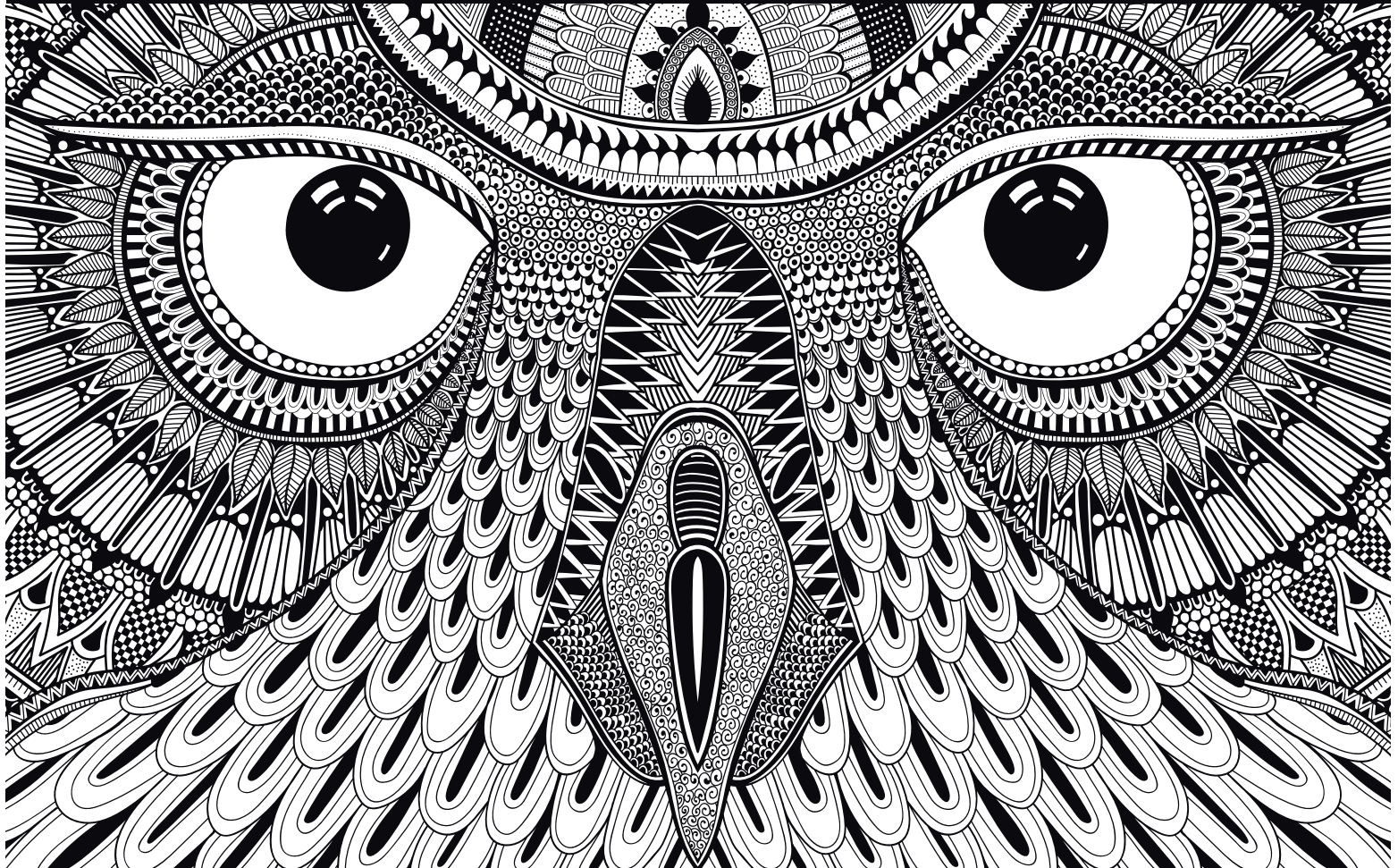
ROBIN WIGGLESWORTH is the US Markets Editor at the Financial Times. Before that he was deputy head of FastFT, the organisation's breaking news and views service, a capital markets correspondent in London and a Middle East correspondent based in the Gulf. Before joining the FT in 2008 he worked at Bloomberg News covering Nordic economics and politics. He studied journalism and political science at City University and the London School of Economics.



MICHAEL R. WILLIAMS currently serves as Vice President and Treasurer of Orbital ATK, Inc., a global leader in aerospace and defense technologies. With annual revenues of approximately \$4.5 billion and a workforce of 12,500 people, the company designs, builds and delivers space, defense and aviation-related systems for customers around the globe, both as a prime contractor and merchant supplier. In his role as Treasurer, Mr. Williams is responsible for Orbital ATK's banking and capital markets activities, treasury management, risk management, derivatives, real estate and retirement plans investment activities. Prior to joining Orbital ATK in 2001, Mr. Williams served as Managing Director of Global Corporate and Investment Banking at Bank of America. Mr. Williams' career in banking spanned 23 years with Bank of America and other leading financial institutions. During his banking career, Mr. Williams served in numerous leadership roles related to corporate and investment banking activities. Mr. Williams received an MBA (with honors) from the University of Michigan and a BS in Business Administration from the University of Maryland. He currently serves on the Board of Directors of the National Association of Corporate Treasurers.



ROBERT ZOELICK On July 1, 2007, Robert B. Zoellick became the 11th President of the World Bank Group, which works with 187 member countries. Prior to joining the Bank, Mr. Zoellick served as Vice Chairman, International of the Goldman Sachs Group, Managing Director, and Chairman of Goldman Sachs' Board of International Advisors from 2006-07. In 2005-06, Mr. Zoellick served as the Deputy Secretary of the U.S. State Department. He was the Department's Chief Operating Officer and policy alternate for the Secretary of State, in addition to having lead policy responsibility in a number of areas. From 2001 to January 2005, Mr. Zoellick served in the U.S. cabinet as the 13th U.S. Trade Representative. He forged an activist approach to free trade at the global, regional, and bilateral levels, while securing support for open markets with the U.S. Congress and a broad coalition of domestic constituencies. He worked with Ministers from nearly 150 economies to launch the Doha Development Agenda in the World Trade Organization (WTO) in 2001 and then to complete the framework accord for opening markets in 2004. Zoellick was instrumental in completing the accession of China and Chinese Taipei to the WTO. He also completed or substantially advanced the accessions to the WTO of Cambodia, Saudi Arabia, Viet Nam, Russia, and others. Zoellick enacted or completed FTAs with Jordan, Chile, Singapore, Morocco, Bahrain, five countries of Central America and the Dominican Republic, and Australia, quintupling the number of countries with which the U.S. has FTAs. He also launched FTAs later completed with Peru, Colombia, and Panama, and enacted a Basic Trade Agreement with Viet Nam. Zoellick worked closely with the U.S. Congress to pass Trade Promotion Authority, as well as preferential trade arrangements with Africa, the Andean countries, Caribbean states, and all developing economies. From 1993 to 1997, Mr. Zoellick served as an Executive Vice President of Fannie Mae, the large housing finance corporation, where he supervised the affordable housing business, as well as offices dealing with legal, regulatory, government and industry relations, and international services. From 1985 to 1993, Mr. Zoellick served with Secretary James A. Baker, III at the Treasury Department (from Deputy Assistant Secretary for Financial Institutions Policy to Counselor to the Secretary); State Department (Undersecretary of State for Economic and Agricultural Affairs as well as Counselor of the Department with Undersecretary rank); and briefly Deputy Chief of Staff at the White House and Assistant to the President. Zoellick was the lead U.S. official in the "Two-plus-Four" process of German unification in 1989-90. He was the "Sherpa" to the President for the preparation of the Economic Summits in 1991-92. Mr. Zoellick graduated Phi Beta Kappa from Swarthmore College in 1975. He earned a J.D. magna cum laude from the Harvard Law School and a MPP from the Kennedy School of Government in 1981. He lived in Hong Kong on a fellowship in 1980. Zoellick received a number of awards, including: the Knight Commanders Cross from Germany for his work on unification; the Alexander Hamilton and Distinguished Service Awards, the highest honors of the Departments of Treasury and State, respectively; the Department of Defense Medal for Distinguished Public Service; and a Doctorate of Humane Letters from St. Joseph's College in Rensselaer, Indiana. Mr. Zoellick has also served on many non-profit boards, among them the Council on Foreign Relations, the European Institute, the American Council on Germany, the American Institute of Contemporary German Studies, the German Marshall Fund of the U.S., the National Bureau of Asian Research, the Overseas Development Council, and the Advisory Councils of the World Wildlife Fund and the Institute of International Economics. Mr. Zoellick grew up in Naperville, Illinois.



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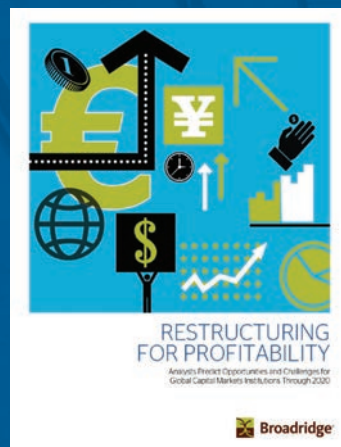
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Nikkei Asian Review brings insights from Asia, from the inside out. As part of Nikkei, Asia's largest independent business media group, with a 140 year history and network of over 1,300 local and international reporters on the ground in 24 bureaus across Asia, Nikkei Asian Review provides credible, comprehensive pan-Asian reporting. Designed for leaders around the world who are shaping the future of Asia, and anyone with an interest in knowing about the real Asia, Nikkei Asian Review has been created to change the way Asia is reported in the global marketplace. We report the facts about what is happening in Asia and offer insights over opinions that dig deeper into the heart of a story. Without editorial or political bias, Nikkei Asian Review tells untold stories about Asia, from Asia. You can find Nikkei Asian Review online, on mobile and tablet devices and as a weekly print edition.

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Coat Check

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Hearsay Social is a SIFMA strategic partner, LIMRA Elite Strategic partner, GAMA partner and MBA associate member, and has raised \$51 million from Sequoia Capital, NEA and private investors. The company is headquartered in Silicon Valley with teams in New York, Seattle, Chicago, Atlanta, Austin, Toronto, London, Paris, Frankfurt and Hong Kong. Connect on Facebook, Twitter, LinkedIn and the Hearsay Social blog.

Contact: Meagan Hency, Vice President, Marketing, 185 Berry Street, Suite 3800, San Francisco, CA 94107 | 415.692.4230 | mhency@hearsaycorp.com / www.hearsaysocial.com



Respite Lounge

Hootsuite Enterprise empowers Financial Services organizations to execute compliant business strategies for the social media era. As the world's most widely used social relationship platform with more than 11 million users globally, Hootsuite Enterprise enables over 1800 organizations including Primerica, Interactive Brokers & UBS AG to scale social media activities across multiple teams, departments, and business units. We allow legal and compliance professionals to work with their marketing and partner members to build programs and systems to build meaningful relationships with their clients and customers. Our versatile and secure platform supports a thriving ecosystem of more than 100 technology integrations, allowing businesses to extend social media into existing systems, workflow and programs. Innovating since day one, we continue to help businesses pioneer the social media landscape and accelerate their success through education and professional services.

Contact: Amy McIlwain, Industry Principal, Hootsuite | amy.mcilwain@hootsuite.com | www.hootsuite.com

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MARK YOUR CALENDAR FOR THESE 2017 EVENTS!

FIA-SIFMA AMG Asset Management Derivatives Forum

February 6-8, Laguna Beach, CA

Anti-Money Laundering & Financial Crimes Conference (AML 2017)

February 8-9, New York, NY

Insurance- and Risk-Linked Securities Conference (IRLS)

February 26-28, Miami Beach, FL

Securities Industry Institute (SII)

March 5-10, Philadelphia, PA

C&L Society Annual Seminar

March 19-22, San Diego, CA

Private Client Conference

April 5-6, Scottsdale, AZ

Operations Conference & Exhibition (OPS)

May 8-11, Boca Raton, FL

CAPITAL BUILDS ECONOMIES



PENNSYLVANIA

HJ Heinz Co, headquartered in Pennsylvania, raised \$12.0 billion in the U.S. corporate debt markets last year; Aramark was the top Pennsylvania-headquartered equity issuer, raising \$3.2 billion

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CAPITAL BUILDS ECONOMIES



TEXAS

The largest public companies
in Texas by market cap include
Exxon Mobil, AT&T,
Schlumberger, ConocoPhillips
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