



Nick Akerman, Partner, Dorsey & Whitney LLP

Nick Akerman helps clients navigate the judicial system in dealing with complex civil and criminal issues and government investigations with an emphasis on computer technology, the computer fraud and abuse act, the economic espionage act, racketeer influenced and corrupt organizations statute, the foreign corrupt practices act, securities fraud, state and federal trade secret laws and post employments restrictive covenants.

Prior to private practice Nick served as a federal prosecutor. He was an Assistant United States Attorney in the Southern District of New York, where he prosecuted a wide array of white collar criminal matters, including bank frauds, bankruptcy frauds, stock frauds, complex financial frauds, environmental and tax crimes. Nick was also an Assistant Special Watergate Prosecutor with the Watergate Special Prosecution Force under Archibald Cox and Leon Jaworski. Nick has over 30 years of experience in helping clients respond to government investigations and prosecutions and assisting corporate clients prevent and respond to internal thefts and outside hackers. He is a nationally recognized expert on computer crime and the protection of competitively sensitive information and computer data. Nick regularly obtains injunctions for his clients under the federal Computer Fraud and Abuse Act and trade secret laws in various federal courts around the country requiring computer thieves to return stolen computer data and prohibiting the dissemination of the data to competitors. He also guides clients in developing systems, policies and protocols to protect computer data. Nick speaks and writes regularly on protecting computer data, including in his regular computer data column for the National Law Journal. He has been a featured quoted expert on computer fraud and computer security issues in the New York Times, USA Today, the San Jose Mercury News, the Boston Globe, the St. Louis Dispatch, the Sacramento Bee, Forbes, ComputerWorld, CFO Magazine, CNET, CNET Japan, ZDNet, MSN, Internet Week and the Weekly Homeland Security Newsletter. His blog can be found at <http://computerfraud.us>.



Chrystalle H. Anstett, *Managing Director, Eaton Partners*

Chrystalle is a senior member of the direct investments group within Eaton Partners, and is involved in origination, distribution and project management of the firm’s direct offerings. She works closely with clients on marketing strategy, collateral design and product positioning. She has over 17 years of financial services experience, 15 of which have been spent marketing investment products to institutional investors. Chrystalle is the author and co-author of several articles on raising

institutional capital, which have been featured in *Absolute Return, Bloomberg Markets and HFM Investor Relations*.

Prior to joining Eaton Partners, Chrystalle was Senior Investor Relations Associate at QFS Asset Management, a \$1.4 billion systematic global macro hedge fund. Previously, she was part of the Business Development Services and Fixed Income Product Management teams at Goldman Sachs Asset Management where she focused on marketing and client servicing. She began her career at Lazard Asset Management in accounting and later joined the institutional marketing group.

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



Daniel Baich, *Of Counsel, Dorsey & Whitney LLP*

Daniel Baich handles all aspects of broker-dealer regulatory matters for various types of financial institutions.

Dan also provides regulatory advice to issuers and underwriters in public and private securities transactions, advises clients on mergers and acquisition transactions involving a broker-dealer and provides clients general broker-dealer regulatory advice relating to the rules and regulations of the Securities and Exchange Commission and the Financial Industry Regulatory Authority (“FINRA”). He also serves as Vice Chair of the American Bar Association’s FINRA Corporate Financing Rules Subcommittee.

While working at the National Association of Securities Dealers (today, FINRA) New York District Office, Dan assisted existing broker-dealers in business expansions, changes in control and ownership and formation of new broker-dealers. Dan also participated in and led examinations and investigations of broker-dealers.

Dan worked at other leading law firms prior to joining Dorsey providing broker-dealer regulatory advice to bank-affiliated broker dealers, stand-alone broker-dealers, high frequency and alternative trading systems, private equity and hedge funds, and non-U.S. entities with U.S. affiliated broker-dealer broker-dealers.

Dan assisted broker-dealers in obtaining regulatory approval for business expansions, ownership changes and in obtaining regulatory approval for new broker-dealers.



Christina Bertinelli, Senior Partner, Lumentus

A Senior Partner at Lumentus, Christina has shaped and supervised marketing and communication projects for more than 16 years with a focus on creative excellence, brand strategy, client satisfaction and fiscal responsibility. Christina runs the Digital Reputation Management practice for Lumentus and oversees the team of content specialists and technology and search experts.

Christina has created exceptional experiences for a broad range of clients including J.C. Flowers, Vornado Realty Trust, JP Morgan Chase, Starwood Hotels & Resorts, Thomson Reuters, eBay, SoftBank, Martha Stewart Living Omnimedia, Time Warner, Molson Coors, Credit Suisse,

Accenture, Google, ESPN, Scripps Networks, Diageo and Fendi.

Previously, Christina founded and ran the New York office of Instinctif Partners, a top UK-based communications agency. Prior to that, she was VP of Account Management at GO Productions, a boutique creative agency, and SVP of Client Relations at Broadstreet, a corporate and marketing communications firm.



Jason Block, Partner and Chief Investment Officer, Freedom 3 Capital

Jason Block is the Founding Partner and CIO of the Manager and has more than 20 years of experience investing in private credit and equity. Mr. Block became actively involved in investing private credit and equity in 1995 and has managed private investments in over 50 companies.

Prior to Freedom 3, Mr. Block was the founding Partner of ICG's North American investment business. Mr. Block led the newly created North American business on seven investments for over \$300 million of invested capital. Also while at ICG, he was the Partner responsible for building ICG's

global Investor Management Group focused on fundraising, communication and other investor matters for all of ICG's products on a global basis. He set the mandate for the Investor Management Group and grew the team from two people to 13 professionals covering over 250 investors worldwide.

Prior to ICG, Mr. Block was a Partner at AlInvest where he was responsible for founding and building their global mezzanine platform. During his six years at AlInvest, he led the team in 27 investments for nearly \$500 million of invested capital.

Before AlInvest, Mr. Block worked as a Portfolio Manager for Caravelle, an affiliate of CIBC, where his responsibilities included investing in mezzanine, private equity and high yield. Prior to joining the Caravelle team, he was a Managing Director in CIBC's Leverage Finance/Sponsor Coverage group. Mr. Block started his career as an investment banker for Kidder, Peabody.

Mr. Block is a member of the Advisory Panel to the Atlantic Conference on Mezzanine & Middle Market Symposium. He has also been an observer or director on the Board of over 20 companies during his career. Mr. Block received his BA in economics from Colgate University, graduating *magna cum laude*.



**Angelica E. Campanaro, Assistant Vice President,
Structuring, Partners Group**

Angelica Campanaro is an Assistant Vice President at Partners Group. She is part of the Structuring business unit and is based in the New York office. Angelica focuses on structuring private equity, private real estate, private infrastructure, private debt and private markets comingled fund offerings and separate accounts, each with approximately USD 50 million to USD 1.5 billion in aggregate commitments. She works with an investor client base consisting of private and public pension plans, foundations, government entities, family offices and high net worth individuals located throughout the US, Canada, Latin America, Europe and Asia. Angelica also focuses on creating new product initiatives for the firm. Prior to joining Partners Group, she worked at Brinen & Associates, LLC. She holds a Juris Doctor from New York Law School and a Bachelor of Arts in English from Rutgers University.



**James Canales, Head of Compliance & Data Privacy
Officer-Americas, Apex Fund Services**

James P. Canales is the Head of Compliance and Data Privacy Officer – Americas for Apex Fund Services, a global independent fund administration and middle office service provider based in Bermuda. James oversees the compliance and data protection functions for Apex offices in Bermuda, Canada, Cayman Islands, the United States, and Uruguay. James was previously with StoneWater Capital where he was partner, Chief Operating Officer and Chief Compliance Officer. Prior to StoneWater, James worked with Octane Research Inc., where during various periods he served as Chief Investment Officer, Chief Operating Officer and Head of Risk for this Switzerland-based fund of hedge funds group. James previously was Chief Operating Officer of Parker Global Strategies, LLC a Connecticut-based fund of funds and was a partner at Aletheia Research and Management, a predominantly traditional long-only manager. Prior to entering the financial industry, he spent twenty years in various senior management roles with firms in the distribution and manufacturing sectors. He holds a B.S. in economics from Santa Clara University and completed the Advanced Management College, an executive program offered by Stanford University. He also completed coursework in economics and politics at the London School of Economics through IES.



Stuart Chasanoff, Of Counsel, Dorsey & Whitney LLP

Stuart focuses on providing clients with practical, results-focused services and expert advice and counseling that enable clients to achieve their business goals on a cost-effective and timely basis. He brings over two decades of combined experience in major, multinational law firms and as in-house counsel to FTSE-100, Fortune 25 and small public companies, private companies, family offices and investment management firms to his practice.

Stuart represents a wide range of private equity and mezzanine funds, independent sponsors and institutional investors in fund formation, acquisitions, growth and exit transactions, control and minority equity investments and all manner of domestic and cross-border mergers, acquisitions and divestitures. He also counsels fund portfolio companies, start-ups and other privately held business on entity formation and governance and a broad range of business and operational matters.



Howard Cooper, CEO, Cooper Family Office

Howard Cooper began his career trading public equities for his own account, becoming a full-time trader in the 1980s. In 2006 Mr. Cooper established a single-family office to manage his family assets, which were derived from his stock trading. His SFO has since then transitioned to global investing, primarily in alternative investments, including hedge and private equity funds as well as direct investments in operating companies. Mr. Cooper is an honors graduate of Princeton University and has guest lectured at Princeton, Yale and Brown Universities.

Howard Cooper is the Chairman of the Board on Family Offices, Endowments and Foundations at Princeton University, Chairman of the Yale School of Management College of Family Offices and chairs the Family Office Council at the NYU Stern School of Business. He is Chairman of the advisory board on Osteoarthritis and Orthopedics at Duke University Medical School and is an advisor to the Princeton University Department of Astrophysical Sciences. He is the Chairman of the Weill Cornell Medicine Department of Neurological Surgery Advisory Board and Chairs the Weill Cornell Brain and Spine Health Symposium. Howard Cooper is Chairman of the Stanford University Graduate School of Business Global Investor's Forum, Chairman of the Investment Committee of Florida Atlantic University, Chairman of the University of Florida Department of Astronomy Advisory Council, co-Chair of the Johns Hopkins University Discovery Council and co-Chair of the Johns Hopkins University Departments of Physics and Astronomy Advisory Board. He is a member of the Advisory Board of the Princeton University Department of Operations Research and Financial Engineering and a member of the Board of Directors of Florida Atlantic University. Howard Cooper is Chairman of the Duke University School of Medicine Family Office Leadership Board. He is an advisor to several university academic advisory councils and a member of the 14-10 Investment Fellowship of the Royal Institution of Great Britain. Mr. Cooper is devoted to his favorite philanthropic endeavor of supporting music and art education among underprivileged students.



**André Ebanks, Senior Legislative Policy Advisor /
Department of Financial Services Policy and Legislation,
Cayman Islands Government**

Mr André Ebanks is the Senior Legislative Policy Advisor in the Department of Financial Services Policy and Legislation, with the Cayman Islands Government’s Ministry of Financial Services. He has played an integral role in developing legislation and regulations, including:

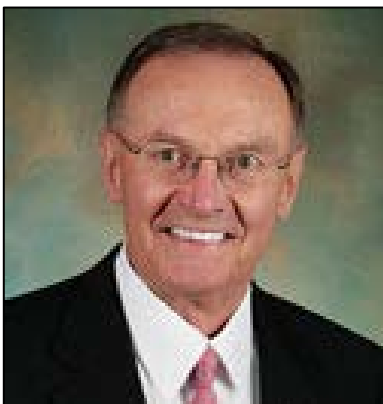
- The extension of the Convention on International Interests in Mobile Equipment, and the associated Protocol on matters specific to aircraft equipment (also known as the Cape Town Convention) to the

Cayman Islands,

- The Accountants Law, 2016,
- The Limited Liability Companies Law, 2016,
- The Securities Investment Business (EU Connected Fund (Alternative Investment Fund Managers Directive)) Regulations, 2016,
- The Mutual Funds (EU Connected Fund (Alternative Investment Fund Managers Directive)) Regulations, 2016,
- The Foundation Companies Law, 2017, and
- The Limited Liability Partnerships Law, 2017.

Prior to joining the Ministry, Mr Ebanks was an associate and member of the Investment Funds Practice Group of Walkers (Cayman), where he specialised in investment fund formation, restructurings, and liquidation, as well as general corporate and regulatory matters. He also was part of the legal team that worked on the first petition to the European Court of Human Rights from the Cayman Islands.

Mr Ebanks’ academic and professional background is in sociology and law. He has degrees from Morgan State University, University of Liverpool, and Manchester Metropolitan University. He is also called to the Bar of England and Wales; and the Cayman Islands Bar.



**Neil Gagnon, Managing Partner and Portfolio Manager,
Gagnon Securities LLC**

Neil Gagnon founded Gagnon Securities LLC in January 2000 and is its Managing Member. He is also the Portfolio Manager of the Gagnon Securities Partners Fund LLC, which acts as the Manager of Gagnon Investment Associates LLC, and the Managing Member of Gagnon Advisors, LLC, which acts as the Investment Manager of Gagnon Investment Associates Offshore Ltd. and GIS Fund of Funds LLC. Additionally, he is the Principal Decision-Maker of GagnonLee Associates, LLC. Previously, Neil was a Senior Partner at Gilder,

Gagnon, Howe & Co. for over 25 years, joining the firm in 1974 as an Analyst and Portfolio Manager, and later responsible for running an investment group as well as firm development. Neil was an early partner at Hambrecht and Quist, a West Coast-based investment banking firm. He began his career as a research analyst at Mutual Benefit Life Insurance Company, followed by Argus Research, where he was an analyst covering several industries and developed a special situations research product for the firm.



Genna Garver, *Of Counsel, Chair Investment Management Group, Dorsey & Whitney LLP*

Genna Garver works closely with clients to understand their unique needs and guide them through the complex maze of Investment Regulation.

Genna takes pride in the close personal attention she provides when advising investment management clients in connection with federal and state securities laws, private fund formation and securities offerings. She has extensive experience representing financial institutions in transactional and regulatory matters. She focuses on representing

investment advisers, hedge funds and other private investment funds implementing various investment strategies.

Genna advises clients on: formation and offering matters for both domestic and offshore funds; SEC and state investment adviser, broker-dealer and private fund regulation; Investment Advisers Act registration and compliance programs; and mock audits and regulatory examinations and investigations.

Genna is Of Counsel in Dorsey's Corporate Group and chairs the Investment Management practice.



Paul D. Glenn, *Special Counsel, Investment Adviser Association*

Paul is Special Counsel at the Investment Adviser Association and started at the IAA in 2006. Paul has worked at the US Securities and Exchange Commission as a trial attorney and special counsel in the Division of Enforcement and the Office of General Counsel, respectively. Paul also has experience working for the Office of the Comptroller of the Currency (then OTS), US Treasury, as Deputy Chief Counsel and special counsel. He has served as Vice President and Director of Compliance for PNC Bank N.A. in Washington, DC, (formerly Riggs) and

Washington First Bank N.A. in Reston, VA (formerly Millennium Bank N.A.). Paul has his masters of law degree (LLM) from Georgetown University Law Center and his Juris Doctor and Bachelor of Arts (Political Science) from Case Western Reserve University. Paul also has an honorary doctor of laws degree from Nyack College, Nyack, NY. Paul is a member of the Bar of the Supreme Court of Ohio, the Supreme Court of the United States, and other federal courts.



Ed Gorman, Chief Community Development Officer, NCRC

Ed Gorman is the Chief Community Development Officer at NCRC. Mr. Gorman joined the staff of NCRC in 2010 in the role of Chief Membership & Workforce Officer, following ten years' service on NCRC's Board of Directors. Mr. Gorman directs NCRC's GROWTH (Generating Real Opportunities for Work Through Housing) Initiative, the Community Development Financial Institution, the Immigration Project, the workforce development program, and the shopping center development project. Before that, as Chief Membership and Workforce Officer, he oversaw NCRC's member relations, research, older adult advocacy and CDFI programs, managed advocacy campaigns, and directed its GROWTH initiatives. Mr. Gorman previously founded and served as the President of American Community Partnerships (ACP) from its inception in 1995 until 2010. Through ACP, Mr. Gorman worked in over 40 cities and states across the U.S., in partnership with government, labor unions, community- and faith-based organizations and others, to train over 10,000 workers and help develop distressed communities. Before founding ACP, Mr. Gorman created the labor-management, Carpenter's Health and Safety Fund of North America and served as its Executive Director until 1996. Mr. Gorman also was Associate General Counsel to the United Brotherhood of Carpenters and Joiners of America.



Thomas O. Gorman, Partner, Dorsey & Whitney LLP

Tom's practice focuses on defending SEC, CFTC and other regulatory investigations and actions including related DOJ criminal cases. Tom has defended public companies and individuals in regulatory actions involving insider trading, market manipulation, financial fraud, corporate governance matters, accounting and auditing issues, FCPA issues, and similar matters. He has also defended securities class action and derivative suits and led teams conducting internal investigations focused on financial fraud and other securities law issues. He regularly speaks on, and publishes articles regarding, securities litigation issues including the FCPA, internal investigations, financial fraud and insider trading. He has been interviewed on these issues by the New York Times, Wall Street Journal, Washington Post, Financial Times, and other leading publications in addition to appearing on CNBC, CNN, and other TV networks. Tom publishes a widely-read securities blog, www.secactions.com, which analyzes trends in securities enforcement inquiries and litigation, and provides expert commentary for the LEXIS Securities web page. He serves as a member of the editorial board of the Securities Regulation Law Journal. Tom's practice also regularly includes other complex business litigation matters arising under the securities, commodities, antitrust laws and the federal racketeering statutes, examples of which include: *Minpeco, S.A. v. Hunt* in which he and a team of attorneys obtained a \$197.1 million treble-damage verdict on behalf of a Peruvian governmental entity after a six-month jury trial against the Hunt brothers and others (the jury found that the defendants had engaged in price fixing, monopolization, and manipulation activities in the world silver markets in violation of the antitrust, commodity, and racketeering laws); defense of a large German multinational that resulted in a government-to-government agreement

(Thomas O. Gorman, continued)

creating a reparations fund for U.S. citizens interned in Nazi concentration camps during World War II; defense of the Republic of Peru in 54 actions in five countries involving over \$6 billion in commercial bank debt; representation of the Central Bank of Nicaragua regarding its commercial bank debt disputes; securing a \$25 million verdict after a five-month jury trial in a case based on international business transactions; and the successful defense of a large real estate company in a three-month jury trial in an antitrust action.



Peter Grubstein, *Managing Director & Founder, NGEN Partners, LLC*

Peter is the founder and Managing Member of NGEN Partners, LLC. Peter invests in sustainable businesses with innovative solutions to impact the world's biggest problems. His passion for the environment and improved utilization of natural and material resources has taken him from operating traditional manufacturing companies to technology and ultimately to found NGEN in 2001. Peter has over 30 years of experience as an entrepreneur, operating executive, and growth equity investor. He has grown the

firm from one of the earliest to invest in sustainable technologies, to a firm with three funds with over \$500 million under management. NGEN invests in consumer-facing brands and services that span various sectors, from personal care to energy efficiency products and innovative agricultural solutions: all with the goal of changing consumer behavior to improve consumer and environmental health. Prior to NGEN, Peter made diverse private investments, ranging from leveraged buyouts and leveraged recapitalizations to early venture investments in materials science enterprises. Peter has had successful investment exits in a variety of companies in the manufacturing and retail sectors. He gained early career experience as an executive in a global manufacturing family business, working in Germany as well as the United States.

Peter is currently a member of the Board of Directors of Enzymedica, BrightFarms, Fallbrook Technologies and Encycle and is an observer on the Boards of Soraa, Renew Financial, Choose Energy, Native Foods Café and Soul Sprout. He was chosen as a 2012 Power Player in Greentech by AlwaysOn. Peter is a graduate of Yale University and the Phillips Exeter Academy. He is an avid outdoorsman and former Division 1 oarsman, and in his next life aspires to be an Olympian in at least two sports. He is passionate about making the world a better place and is on the advisory board of the Livingston Ripley Waterfowl Conservancy, focused on educating children on the importance of the environment. Not surprisingly, he spends all his free time with his wife and four children.



Jeffrey J. Holland, *Partner, Seacoast Capital*

Mr. Holland co-founded Seacoast Capital, which invests \$5 to \$20 million of non-control debt and equity growth capital in middle market companies, in 1994. Previously, Mr. Holland was a Senior Investment Manager of Signal Capital and opened the San Francisco office in 1989. Prior to joining Signal Capital in 1987, Mr. Holland was a consultant with The MAC Group, Inc., where he worked on strategy engagements in the financial services industry, and Andersen Consulting. In addition to serving on the boards of several Seacoast and Signal Capital portfolio companies, Mr. Holland is a past member of the Board of Governors of the Small Business Investor Alliance (SBIA), a member of the Advisory Council and past Chairman of the Board of the Harvard Business School Association of Northern California, and a past director of the San Francisco Association for Corporate Growth. He received a BS in Industrial Engineering from Stanford University and an MBA from Harvard Business School.



Catherine Houts, *Senior Manager, KPMG in the Cayman Islands*

Catherine has been with KPMG in the Cayman Islands for over eight years focusing on alternative investments. Prior to joining KPMG in the Cayman Islands, she was with KPMG LLP in the audit practice. Catherine has worked extensively in the area of US taxation and compliance for Hedge Funds, Private Equity Funds, Passive Foreign Investment Companies and FATCA. She has a strong knowledge and technical experience with US taxation of investment products, complex partnership allocations and the structuring of hedge and private equity funds.



Hayden Isbister, Partner, Mourant Ozannes

Hayden is the head of Mourant Ozannes' corporate practice in the Cayman Islands. He specialises in corporate and finance work with an emphasis on investment funds. He has significant experience advising a broad range of clients in respect of the establishment, restructuring, management and termination of Cayman hedge funds and private equity funds. His broad corporate and commercial experience also includes advising on joint venture arrangements, secondary market transactions, corporate governance, mergers and acquisitions, liquidations and Cayman regulatory issues. In the banking and finance area, Hayden advises lenders and borrowers in respect of the structuring and negotiation of loans often secured by credit default swap protection and segregated pools of illiquid assets. Prior to joining Mourant Ozannes, Hayden spent six years with another offshore law firm in the Cayman Islands and before that he worked at Minter Ellison in Australia. Hayden is a member of the Executive Committee for the Cayman Islands chapter of the Alternative Investment Management Association and is also a member of the Committee of Hearts for Hedge Funds Care Cayman. He is also an Alternate Director of Cayman Finance.



Ankur Jain, Managing Partner & Chief Operating Officer, Falchion Capital Management

Ankur Jain is Managing Partner and Chief Operating Officer at Falchion Capital, a long/short technology, media and telecom (TMT) hedge fund based in New York. Ankur began his career at HedgeFund.net as VP of Marketing and then spent several years as a hedge fund allocator at BBR Partners and TAG Associates, both multi-billion dollar multi-family offices. He also co-founded a technology company and a digital marketing agency which he sold in 2014. Ankur earned a BA in Economics from University of Michigan and an MBA from The Wharton School at University of Pennsylvania. He is a board



John Kaufmann, Partner, Dorsey & Whitney LLP

John helps clients organize domestic and off-shore private equity, venture capital, and real estate funds, and complete private equity, mezzanine and venture capital investments, complex bank financings, private placements of debt and equity securities, and mergers and acquisitions.

Co-Head of the Corporate Group in the firm's New York and Washington, DC offices, John has broad experience with investment funds, investment managers, and entrepreneurs in a diverse group of industries, including manufacturing, banking, investment management, real estate, communications, media, information services, cleantech, and consumer products. His clients include domestic and off-shore investors and investment funds, commercial banks and other financial institutions, non-profits, entrepreneurs, and companies in a variety of businesses.

Randy Kaufman, EMM Wealth Management



Brian Kerr, Managing Director, ORIX Mezzanine & Private Equity

Brian Kerr is a Managing Director of ORIX Mezzanine & Private Equity. Mr. Kerr has spent 19 years working with lower middle market corporations and entrepreneurs on financial and strategic projects, including balance sheet recapitalizations, debt and equity alternatives, leveraged buyouts, and mergers and acquisitions. Prior to joining ORIX USA, Mr. Kerr was the founder of Clairemont Capital Group, a lower middle market private investment firm. Before forming Clairemont Capital Group, Mr. Kerr was a Managing Director at Cornerstone Capital Holdings and Penn Mezzanine. At both Cornerstone and Penn Mezzanine, Mr. Kerr was responsible for sourcing, evaluating and underwriting investment opportunities, as well as portfolio company management. Mr. Kerr started his career as an investment banker advising private and public companies on M&A, private placement and equity and equity-linked transactions. Mr. Kerr received his Bachelor of Science in Economics from Lehigh University and MBA from The Fuqua School of Business at Duke University.

Glen D, Macdonald, Senior Vice President, Institutional Client Advisor, U.S. Trust, Bank of America Private Wealth Management



Jeffrey C. Morton, Partner & Co-Founder, ACA Compliance Group

Jeffrey C. Morton is a partner and co-founder of ACA. Among other things, Mr. Morton is responsible for conducting mock SEC inspections and compliance program reviews of investment advisers, hedge fund managers and private equity funds. Prior to forming ACA, Mr. Morton spent over five years as a Securities Compliance Examiner and Staff Accountant in the SEC's Office of Compliance Inspections and Examinations in Washington, D.C.

Mr. Morton speaks at numerous industry-sponsored conferences on a variety of topics, including: compliance benchmarking and testing and private equity and hedge fund compliance. Mr. Morton is also the co-founder of the New York City Chief Compliance Officer's Roundtable, which meets semi-annually to discuss hot SEC and other regulatory compliance issues. Mr. Morton graduated from the University of Scranton and is a member of National Society of Compliance Professionals, Advisory Board of the Private Equity CFO Association (NY Chapter), the Managed Funds Association, and the Alternative Investment Management Association (AIMA). Mr. Morton also serves on the board of directors of Elwyn Inc., a non-profit organization recognized nationally and internationally for the education and care of individuals with special needs.



Janaya P. Moscony, President, SEC Compliance Consultants

As a former Securities and Exchange Commission ("SEC") regulator, Janaya has significant experience in the examination, implementation and enforcement of securities regulations. Having worked in private practice as a compliance officer and as a consultant, Janaya is able to provide practical guidance to clients to assist in bridging the gap between the regulatory requirements and business needs. Janaya is a recognized industry expert regularly quoted in the financial press, has appeared on industry television such as CNBC, and is a regular speaker at industry conferences including GAIM-Ops. Janaya routinely assists companies faced with multiple regulators

both within the US and internationally including, but not limited to, Canada, South America, Europe and Asia.

Prior to incorporating SEC3 in 2003, Janaya served as Vice President of Bank of Hawaii's Asset Management Group where she advised and implemented the bank's regulatory compliance program. Prior to the Bank of Hawaii, Janaya was employed as a regulatory consultant by BISYS Professional Services ("BISYS"), where she managed numerous client engagements for banks, mutual funds, investment advisers and broker-dealers. Prior to BISYS, Janaya worked as an examiner for the Philadelphia District office of the SEC for 5 years where she worked on routine and "for-cause" examinations and enforcement cases on behalf of a broad range of financial entities. She routinely liaised with other regulatory entities including the NASD, NYSE and state regulators. Janaya also led numerous staff training sessions while at the SEC and BISYS.

Janaya received her Chartered Financial Analyst ("CFA") designation 1999 and she earned a B.A. in Economics and Spanish from Rutgers University in 1995.



Catherine Pan- Giordano, Partner, Dorsey & Whitney LLP

Catherine helps clients achieve business goals through strategic corporate transactions; she solves complex legal problems effectively and efficiently.

Catherine is a Partner in Dorsey & Whitney’s Corporate Department and leads the firm’s globally recognized U.S.-China transactional practice.

As a highly skilled attorney and trusted advisor, Catherine is relied on by our clients to handle their strategic corporate transactions and to solve complex legal problems for their business. She has a strong client

following among some of the world’s largest corporations, financial institutions and business leaders. She frequently serves as their chief outside legal counsel.

The strategic corporate transactions Catherine handles include mergers, acquisitions, joint ventures, equity and debt financings, and other cross-border corporate transactions. Her transactional achievements include:

- designing global corporate and investments structures for several international conglomerates to successfully achieve their business expansion goals;
- representing a series of Chinese companies in acquiring cutting-edge technologies and brand names in the U.S. through M&As and investments;
- representing companies and investment funds in strategic investments into industries and technology areas that represent the future economy; and
- advising international financial institutions in designing U.S. market penetration strategies through branch opening, alternative expansion methods and new financial product offerings.

In addition to her transactional experience, Catherine also oversees risk management, dispute resolution and investigation matters for corporate clients and their officers and directors. She works closely with our litigation teams in litigation prevention and risk management for corporate transactions, as well as in mapping out important litigation strategies for our corporate clients. The techniques Catherine developed have been proven highly successful in solving business disputes. Her risk management and dispute resolution work include:

- winning post-closing fights regarding net working capital and earn-out payments through negotiation and dispute resolution;
- solving founders disputes and shareholder disputes, including several intense incidents that occur before the eve of corporate IPOs or bet-the-company types of transactions;
- protecting minority shareholders’ rights and economic stakes in several controlling shareholder dominated situations; and
- guiding several Chinese public companies or their directors and officers through internal and SEC investigation process and achieving positive results through effective defense strategies.

Catherine was elected Partner in 2012, one of our youngest attorneys to make partner. She serves in various leadership positions. She is Co-Chair of the U.S. - China Practice Group. She also chairs the Marketing Committee and Diversity Committee of the New York office.



Catherine Pham, *Partner, Mourant Ozannes*

Catherine is a partner in our Cayman Islands corporate and finance practice. She specialises in investment funds, advising hedge funds and hedge fund managers on structuring, formation, regulation and ongoing operational matters and advising private equity sponsors on the structuring and formation of closed-ended investment vehicles, secondary transactions and related deal work. Catherine also regularly advises on structuring and implementation of a wide range of corporate transactions, including joint venture arrangements and acquisitions.

Prior to joining Mourant Ozannes, Catherine worked for nearly six years at another offshore law firm in the Cayman Islands and, before moving offshore, at Fraser Milner Casgrain in Toronto. Catherine is a member of the Law Society of Upper Canada and is currently admitted as an attorney in the Cayman Islands. She is a 100 Women in Hedge Funds Sustaining Angel.



Mitzie Pierre, *Chief Compliance Officer, US and Canada, IFM Investors*

Juris Doctor (Howard University School of Law), Bachelor of Science in Business Administration (Finance) (Florida State University)

Mitzie is responsible for IFM Investors' compliance and regulatory obligations in the US and Canada. Prior to joining IFM Investors, Mitzie was Assistant Vice President and Canada Chief Compliance Officer at Partners Group in New York. She has also held legal, compliance and business roles at E1 Asset Management, FINRA and GE.



Suzan Rose, *Chief Compliance Officer, Marshall Wace North America L.P.*

Ms. Rose joined Marshall Wace North America L.P. in October 2004 as Chief Compliance Officer; she was part of the core team that built and launched the business. She is responsible for ensuring that the firm's activities satisfy all regulatory and legal requirements in the US and abroad. As part of a global team, Ms. Rose also works on behalf of the firm's affiliated investment advisers in London and Hong Kong to fulfill their respective US requirements.

During nearly 25 years in the investment industry, Ms. Rose previously held a variety of senior compliance and management roles in the equity and fixed income areas of several prominent financial firms, such as Goldman Sachs, Credit Suisse, Citigroup, and Lehman Brothers.

Ms. Rose has a B.A. in Communications from Hofstra University, is an active member of a number of industry groups, and lectures in the industry on regulatory topics. She also is a member of the advisory board of Pencils of Promise and the US board of ARK.



Jonathan Stearns, *Chief Investment Officer, i2 Capital*

Jonathan Stearns has over 20 years of experience in private capital investments in a variety of industries, capital structures and stages of development across the U.S. and Europe. A leader in impact investing, Mr. Stearns has helped to create and launch a number of new investment vehicles, with a focus on women-led platforms. As Managing Director of Stearns Associated Partners, he focuses on socially responsible investing that provides market rate risk adjusted returns and meaningful social and environmental value. From 2010 to 2013, he served as Managing Director of PineBridge Investments. Beginning in 2006, he served as the Managing

Director of AIG's Global Investment Group, where he was responsible for sourcing, evaluating, executing and managing private capital investments on behalf of AIG and its subsidiaries. Mr. Stearns previously served as Managing Director of Associated Partners and was its Founding Member, where he managed co-investment portfolios for Abbott Capital. Prior to founding Associated Partners, he served as Managing Director of Abbott Capital Management LLC and served as a Head of the co-investment team, responsible for its direct investments in private companies. Mr. Stearns served as Managing Director and co-Head of Equinox Investment Partners LLC, a private capital investment company, from 1992 to 2001, where he focused primarily on investing in private, middle-market companies. Mr. Stearns received his B.A. in history and political science from the University of the South.



Edward M. Stroz, Co- President, Stroz Friedberg

Ed Stroz is the founder and Co-President of Stroz Friedberg, an Aon company and global leader in investigations, intelligence and risk management. Ed oversees the firm’s growth and client development, while ensuring the maintenance of its distinctive culture. He also provides hands on strategic consulting in investigations, intelligence and due diligence, plus cyber and physical security. Before starting the firm, Ed was a Special Agent with the FBI where he formed their computer crime squad in New York.

Trained as a Certified Public Accountant, Ed has extensive experience in investigations of white-collar crime including bank fraud and securities fraud, and has testified in court numerous times as an expert witness.

Ed is a trustee of Fordham University, his alma mater, and serves as an advisor to the Center on Law and Information Policy (CLIP) at Fordham Law School. Ed sits on the Board of Directors of the Crime Commission of New York City, an independent non-profit organization focused on criminal justice and public safety policies and practices, and is a member of the Association of Former Intelligence Officers (AFIO). He served on the New York State Courts System E-Discovery Working Group, established to provide ongoing support and expertise to the New York State Judiciary in the area of e-discovery.

As a member of the National Association of Corporate Directors (NACD), in 2017 he earned the CERT Certificate in Cybersecurity Oversight from Carnegie Mellon University.



Claire Topp, Partner, Dorsey & Whitney LLP

A Partner in Dorsey’s Health and Nonprofit and Tax Exempt Organizations Practice Group, Claire collaborates with her clients to achieve their business goals by understanding their risk tolerance and applying practical and risk mitigating solutions within a complex environment.

Claire works in three diverse sectors – health care, tax exempt organizations, and standards development organizations.

Claire is a frequent lecturer on governance best practices, private foundation excise taxes, Stark II, Medicare/Medicaid fraud and abuse and negotiating employment agreements for physicians, dentists and advanced practice nurses.

Tom Weston, Partner, Hakluyt

Tom heads Hakluyt Cyber in North America. Tom joined Hakluyt and Company's strategy consulting practice in London in 2009, spent 2012-15 running Pelorus Research, our group's tailored service for public market investors, and subsequently joined our Cyber practice. Before Hakluyt, Tom spent nine years at McKinsey & Company. He was variously based in London, Hong Kong and South Africa, and served both public and private sector clients across a broad range of industries. He is a graduate of the University of Oxford, and has an MBA from Stanford University.

**Jamie Whatley, Partner, Dorsey & Whitney LLP**

Jamie represents a variety of corporate finance clients in finance transactions and debt restructurings.

She represents financial institutions, private equity funds, mezzanine funds, agent banks, institutional investors and startup companies in finance transactions and debt restructurings. Her experience includes both senior and subordinated debt transactions, leveraged buyouts, second lien financings, unitranche financings, cash flow and asset-based financings, equipment financings, project financings, structured financings, health care financing and real estate financings. She also has

extensive experience in workouts and restructurings.

Jamie has handled corporate transaction matters across a wide range of industries, including energy, financial services, manufacturing, telecommunications, technology, transportation, insurance, retail, health care, construction, restaurant and hospitality.