

---

Legal and financial services professional with ERISA fiduciary expertise. Known for uncompromising integrity, decisiveness, collaboration, diligence and inclusive management style. Demonstrated ability to successfully:

- Pursue ERISA Claims in Litigation
  - Advise Executive Management
  - Analyze and Apply Legal Principles
  - Streamline Governance Structures
  - Create Goals and Drive Results
  - Shape and Implement Visionary Strategy
  - Engage with Federal Legislators and Staff
  - Build Top-Performing Teams
  - Manage Outside Counsel
  - Implement Risk Oversight
  - Develop and Motivate Key Talent
  - Enhance Relationships with Regulators
- 

## EXPERIENCE

STATE STREET CORPORATION, Boston and Hong Kong

### **Senior Vice President (SVP), Global Services Relationship Management (2017 – 2018)**

- Led client communication initiatives and fiduciary enhancements
- Enhanced interaction with key clients at CEO, CFO and Treasurer levels, and drove significant RFP win
- Managed team responsible for several strategic asset management client relationships (\$200M+ P&L)

### **SVP, Office of Regulatory Initiatives, Head of Governance, Program Management and Chief Administrative Officer to Vice Chairman (2014 – 2017)**

- Selected by Vice Chairman to develop governance structure and lead program management of key enterprise-wide initiatives to comply with sweeping regulatory reform and meet supervisory expectations of global, systemically-important financial institutions
- Implemented oversight and challenged leads of 13 critical initiatives for a total budget in excess of \$150M identifying issues, influencing senior management and improving approach to cross organizational regulatory projects
- Created and implemented metrics to evaluate C-level executives for CEO. Enhanced board and executive committee reporting
- Led Project Management of resolution plan remediation efforts and communications with Federal Reserve Bank and FDIC

### **Senior Managing Director, State Street Global Advisors, Head of Governance and Public Policy (2012 – 2014)**

- Chaired the SSGA Fiduciary Committee and was a member of State Street's Fiduciary Committee
- Led SSGA's successful entry into pension risk transfers as an independent fiduciary
- Created and implemented SSGA's first public policy strategy and platform, influenced federal legislators and administration staff promoting retirement investment and ETF issues
- Drove ESG expansion, including SSGA's signatory to United Nations Principles of Responsible Investing, and influenced executive management to adopt an expanded, client focused ESG strategy
- Identified and developed emerging top talent to advance efforts strengthening SSGA's investment approach to shareholder engagement, global stewardship and proxy voting
- Streamlined SSGA's governance structure, eliminated redundancies in policies, improved efficiency and effectiveness of management and risk oversight

### **Senior Managing Director, State Street Global Advisors, Head of Asia ex-Japan (2008 – 2012)**

- Based in Hong Kong, ran SSGA's asset management business across Asia excluding Japan; headed investment centers in Singapore and Hong Kong responsible for strategy, sales and business development, client relationship management, operations, P&L, and regulatory responsibility for trading, investment, finance, compliance and legal functions

- Grew AUM in the region by an average of 34% per annum from US\$40B to over US\$96B in three years while improving profitability during global financial crisis. Enhanced relationships with government and sovereign wealth fund clients in Asia
- Opened rep offices in Shanghai, Seoul, and Taipei; grew ETF footprint in the region and launched the first Greater China ETF listed in Hong Kong. Worked closely with market regulators in Hong Kong and Singapore
- Drove transformation of operations to significantly reduce manual processes and overall costs shifting from a strictly local focus by leveraging a regional structure to implement global processes
- Defined individual net new revenue and sales metrics/targets and implemented rules and training for sales practices to meet regulatory requirements of 11 different jurisdictions
- Enhanced approach to governance and management oversight. Served on Board of Directors of SSGA Asia Limited, SSGA Singapore, State Street's Asia Pacific Executive Committee, SSGA's Senior Management Group, SSGA's European Product Development Committee and Chaired State Street's Hong Kong Local Board

### **Senior Managing Director, State Street Global Advisors, Head of Fiduciary Services (1997 – 2008)**

As recognized ERISA fiduciary expert and head of independent fiduciary business:

- Led company stock investment business with responsibility for P&L, strategy, sales, client relationships, portfolio management, regulatory engagement, fiduciary risk management and executive reporting. Grew AUM from under US\$20B to US\$85B
- Negotiated private company acquisitions representing controlling investor's interest in more than a dozen leveraged buyout transactions involving ERISA plans. Served as expert witness in ESOP litigation (*Thompson v. Avondale Industries*)
- Worked with DOL and government entities representing retirement plans in bankruptcy proceedings and litigation (Enron, Agway)
- Completed acquisition and successful integration of company stock management business operations and resources, significantly improving profit margins in first 12 months

### **Vice President, Senior Managing Counsel, State Street Legal Division (1992 – 1997)**

- Served as counsel for internal ERISA plans and negotiated benefit and pension provisions in State Street's M&A transactions
- Reporting to the General Counsel, managed team of attorneys supporting State Street's defined contribution business including asset management, recordkeeping, participant investment advice, benefit payments, new product development and M&A activity
- Managed external counsel relationships, transforming overall approach to legal support quality and cost management

### **Assistant Vice President, Associate Counsel, State Street Legal Division (1988 – 1992)**

- Served as primary internal counsel in over 50 fiduciary transactions for ERISA clients including hostile tender offers, IPOs, mergers and acquisitions, divestitures, leveraged buyouts and bankruptcy reorganizations
- Addressed general corporate issues for defined contribution business including contract negotiations, litigation, intellectual property, joint ventures, and regulatory relationships

### **Retirement Plan Specialist, State Street Benefit Plan Services Division (1982 – 1987)**

- Researched regulations and responded to client inquiries on 401(k) plans, ESOPs, and IRAs
- Supported legal and compliance functions while attending law school at night

## **EDUCATION AND LICENSES**

**LLM**, Banking Law, BOSTON UNIVERSITY SCHOOL OF LAW, Boston, MA (1990)

**JD**, SUFFOLK UNIVERSITY LAW SCHOOL, Boston, MA (1987)

**BA**, Political Science, CATHOLIC UNIVERSITY OF AMERICA, Washington, DC (1981)

**Current Attorney Licenses:** Massachusetts and Pennsylvania

**Previous Hong Kong Licenses – Securities and Futures Commission (SFC):**

- Dealing in Securities
- Advising on Securities
- Advising on Futures Contracts
- Advising on Corporate Finance
- Asset Management