Georgetown University’s First Annual Fintech Week

October 18-20, 2017

Georgetown Law
600 New Jersey Avenue, NW
Washington, DC  20001
Dear all,

Welcome to Georgetown’s first annual *Fintech Week*.

As every participant, panelist and speaker can attest, advances in financial technology are disrupting market and regulatory ecosystems in ways unimaginable a generation ago. These developments offer the prospect of enormous opportunities and challenges, and require serious, thoughtful forums in which ideas and views across the private and public sectors can be exchanged.

We at the Institute, with our friends from Thomson Reuters and NEX, have tried to provide such a forum during *Fintech Week*. During off-the-record, press-free sessions, panelists will be asked in general terms to: 1) explain or demystify in broad outlines their firm’s technology and services in a manner understandable to laymen; and then 2) describe how that technology is designed to operate either within or compared to other financial intermediaries. Meanwhile, keynote speakers will offer their perspectives on regulatory developments for larger public consumption. All along, some panels will offer CLE credit for many of the attorneys who attend.

*Fintech Week* comprises the latest in a series of events Georgetown’s Institute of International Economic Law has hosted to provide a forum for educating attorneys and market participants about the developments in financial technology. It was at one of IIEL’s signature events in December, that then-Comptroller of the Currency Thomas Curry unveiled the OCC’s Fintech Chartering Program. Since then, discussions relating to fintech have taken place with other top regulators, international trade specialists and leading voices in national security.

More events are scheduled, and if you would like to support next year’s *Fintech Week*—or our other IIEL programming for finance and trade—please let us know.

We do hope you enjoy the program.

Chris Brummer, JD, Ph.D.
Agnes N. Williams Research Professor (Profile)
Faculty Director, Institute of International Economic Law
Georgetown Law

1 We would also like to mention a special note of appreciation to Jai Massari from Davis Polk and Usman Ahmed from PayPal.
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<th>Day One: Wednesday, October 18</th>
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<td>Capital Access and Technology</td>
<td>Payments, Clearing and Settlement</td>
<td>Artificial Intelligence, Investment and the Cloud</td>
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<td>8:30 a.m. – 9:00 a.m.</td>
<td>Registration &amp; Continental Breakfast</td>
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<td>9:00 a.m. – 9:15 a.m.</td>
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<td>Chris Brummer, Agnes N. Williams Research Professor &amp; IIEL Faculty Director*</td>
<td>Shawn Malhotra Vice President, Toronto Technology Centre Thomson Reuters*</td>
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<td>Dr. Kay Swinburne MEP and Chair NEX Reg*</td>
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<td>Time</td>
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<td>9:15 a.m. – 10:45 a.m.</td>
<td><strong>Banking on Fintech—What the New Ecosystem Tells Us about the Future of Lending</strong>&lt;br&gt;<strong>Moderator:</strong> Michael Barr&lt;br&gt;Roy F. and Jean Humphrey Proffitt&lt;br&gt;Professor of Law&lt;br&gt;Dean, Ford School of Public Policy, University of Michigan&lt;br&gt;Cory Kampfer&lt;br&gt;General Counsel&lt;br&gt;OnDeck*&lt;br&gt;Rob Lavet&lt;br&gt;General Counsel&lt;br&gt;Social Finance (SoFi)<em>&lt;br&gt;Richard H. Neiman&lt;br&gt;Head of Regulatory &amp; Government Affairs&lt;br&gt;Lending Club</em>&lt;br&gt;Sam Taussig&lt;br&gt;Head of Global Policy and Community Banking&lt;br&gt;Kabbage*</td>
<td><strong>Blockchain &amp; Beyond: Distributed Ledgers and the Future of Payments</strong>&lt;br&gt;<strong>Moderator:</strong> Jenny E. Cieplak&lt;br&gt;Counsel&lt;br&gt;Crowell &amp; Moring LLP*&lt;br&gt;Angela Angelovska-Wilson&lt;br&gt;Chief Legal and Compliance Officer&lt;br&gt;Digital Asset Holdings*&lt;br&gt;Dan Conner&lt;br&gt;President&lt;br&gt;DisLedger*&lt;br&gt;Isabelle Corbett&lt;br&gt;Director of Regulatory Affairs&lt;br&gt;&amp; Senior Counsel&lt;br&gt;R3*&lt;br&gt;Greg Schvey&lt;br&gt;CEO&lt;br&gt;Axoni*</td>
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<td>10:45 a.m. – 11:00 a.m.</td>
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<td>11:00 a.m. – 12:30 p.m.</td>
<td><strong>Crowdfunding: What’s Changed (and Next) After the JOBS Act Amendments?</strong>&lt;br&gt;<strong>Moderator:</strong> Chris Brummer&lt;br&gt;IIEL/Georgetown Law*&lt;br&gt;Sara Hanks&lt;br&gt;Co-founder and CEO&lt;br&gt;CrowdCheck*&lt;br&gt;Jesse P. Kanach&lt;br&gt;Partner&lt;br&gt;Perkins Coie*</td>
<td><strong>Combatting the Dark Side of Innovation: Cybersecurity and Money Laundering</strong>&lt;br&gt;<strong>Moderator:</strong> Heather Childs&lt;br&gt;Vice President&lt;br&gt;Capital One*&lt;br&gt;Rajiv Kukreja&lt;br&gt;Chief Technology Officer&lt;br&gt;Sayari Analytics*</td>
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<td>Jeremy M. Kroll</td>
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<td>President, CEO, and Co-founder</td>
<td>Acting Comptroller of the Currency</td>
<td>Executive Board Member and Director of Strategy &amp; Competition</td>
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<td>K2 Intelligence*</td>
<td>U.S. Department of the Treasury*</td>
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<td>Douglas W. Arner</td>
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<td>Kerry Holdings Professor in Law The University of Hong Kong*</td>
<td>Executive Director Coin Center*</td>
<td>Special Adviser QED Investors*</td>
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<td>Daniel Gorfine</td>
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<td>Director of LabCFTC and Chief Innovation Officer U.S. Commodity Futures Trading Commission*</td>
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| Peter Kerstens  
Advisor, DG for Financial Stability, Financial Services and Capital Markets Union  
Delegation of the European Commission to the United States* | Jessie Cheng  
Deputy General Counsel  
Ripple* | Richard Herr  
Managing Director, Capital Markets & Financial Technology Investment Banking  
Sandler O’Neill + Partners, L.P.* |
|---|---|---|
| Ross Leckow  
Deputy General Counsel  
IMF* | Jai R. Massari  
Partner  
Davis Polk & Wardwell LLP* | Cristina Kim  
Executive Director, Strategic Investment  
J.P. Morgan* |
| Dea Markova  
Head of Programmes  
Innovate Finance* | Jason Thomas  
Chief, Innovation  
Thomson Reuters Special Services* | Sean Lippel  
Director, Investments Team  
FinTech Collective, Inc.* |
| | | Kim Trautmann  
Director, Venture Capital Investments  
DRW Venture Capital* |

| 4:00 p.m. – 6:00 p.m. | Keynote Address  
Craig Phillips  
Counselor to Treasury Secretary  
Steven T. Mnuchin  
U.S. Department of the Treasury*  
(Followed by Fintech Cocktail Hour) | Fireside Chat  
Brian Quintenz  
Commissioner  
U.S. Commodity Futures Trading Commission*  
(Kara Stein  
Commissioner  
U.S. Securities and Exchange Commission* | Thank You |

*Confirmed speaker*  
**Schedule and speakers subject to change**
SPEAKER BIOGRAPHIES

Angela Angelovska-Wilson  
Chief Legal and Compliance Officer  
Digital Asset Holdings

Douglas W. Arner  
Kerry Holdings Professor in Law  
The University of Hong Kong

Douglas W. Arner is the Kerry Holdings Professor in Law at the University of Hong Kong and Project Coordinator of a major five-year project funded by the Hong Kong Research Grants Council Theme-based Research Scheme on “Enhancing Hong Kong’s Future as a Leading International Financial Centre.” In addition, he is Director of the HKU LLM in Compliance and Regulation, and a Senior Visiting Fellow of Melbourne Law School, University of Melbourne. Douglas specialises in economic and financial law, regulation and development. He is author, co-author or editor of fifteen books, including Reconceptualising Global Finance and its Regulation (Cambridge University Press 2016), Financial Markets in Hong Kong: Law and Practice (Oxford University Press, 2d ed., 2016), Finance in Asia: Institutions, Regulation and Policy (Routledge 2013), From Crisis to Crisis: The Global Financial Crisis and Regulatory Failure (Kluwer 2011), and Financial Stability, Economic Growth and the Role of Law (Cambridge University Press 2007), and the author or co-author of more than 120 articles, chapters and reports on related subjects. His recent papers are available at http://ssrn.com/authors=524849.

He is a member of the Hong Kong Financial Services Development Council and an Executive Committee Member of the Asia Pacific Structured Finance Association. Douglas has served as a consultant with, among others, the World Bank, Asian Development Bank, APEC, European Bank for Reconstruction and Development, Islamic Financial Services Board and Development Bank of Southern Africa. He has lectured, co-organised conferences and seminars and been involved with financial sector reform projects in over 20 economies in Africa, Asia and Europe. He has been a visiting professor or fellow at Duke University, the Hong Kong Institute for Monetary Research, the Interdisciplinary Centre – Herzliya, McGill University, Melbourne University, National University of Singapore, University of New South Wales, Shanghai University of Finance and Economics, and Zurich University, among others.

Douglas served as Head of the Department of Law of the University of Hong Kong from 2011 to 2014 and from 2006 to 2011 he was the Director of the Faculty’s Asian Institute of International Financial Law, which he co-founded in 1999 along with the LLM in Corporate and Financial Law (of which he serves as Director). He was Co-Director of the
Duke University-HKU Asia-America Institute in Transnational Law from 2005 to 2016 and a member of the International Advisory Board of the Australian Centre for International Finance and Regulation from 2010-2016. In 2007, he received HKU’s Outstanding Young Researcher Award and served as Convenor of HKU’s Law, Policy and Development Strategic Research Theme from 2008-2012. Before joining HKU in 2000, he was the Sir John Lubbock Support Fund Fellow at the Centre for Commercial Law Studies, Queen Mary College, University of London.

He holds a BA from Drury College (where he studied literature, economics and political science), a JD (cum laude) from Southern Methodist University, an LLM (with distinction) in banking and finance law from the University of London (Queen Mary College), and a PhD from the University of London.

B. Salman Banaei
Executive Director
IHS Markit

B. Salman Banaei is an Executive Director and Head of Government and Regulatory Affairs and RegTech Strategy for the Americas at IHS Markit. Before joining IHS Markit, Salman served at the U.S. Commodity Futures Trading Commission (CFTC) where he most recently served as an advisor to a CFTC commissioner. Mr. Banaei began his professional career in Paris and also worked for law firms in Washington, Denver, and Abu Dhabi. Salman is also a regular lecturer and subject matter expert for Commodities and Derivatives Law at the J.P. Morgan Center for Commodities at the University of Colorado. He serves on the Editorial Advisory Board of the Global Commodities Applied Research Digest.

Mr. Banaei holds degrees from the University of Virginia, University of Denver – Sturm College of Law, Colorado School of Mines (M.S. in Mineral and Energy Economics), and the Institut Francais du Petrole (M.S. in Petroleum Economics and Management).
Michael Barr
Roy F. and Jean Humphrey Proffitt Professor of Law;
Dean, Ford School of Public Policy
University of Michigan

Michael S. Barr is the Joan and Sanford Weill Dean of Public Policy in U-M's Gerald R. Ford School of Public Policy. He also is the Roy F. and Jean Humphrey Proffitt Professor of Law, faculty director of the U-M Center on Finance, Law, and Policy, and a professor of public policy at the Ford School. A member of the Law School faculty since 2001, he teaches Financial Regulation, International Finance, and Financial Derivatives, and he cofounded both the International Transactions Clinic and the Detroit Neighborhood Entrepreneurs Project of the Community and Economic Development Clinic. He is also a nonresident senior fellow at the Center for American Progress.


Professor Barr was on leave during 2009 and 2010, serving as the U.S. Department of the Treasury's assistant secretary for financial institutions, and was a key architect of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010. Professor Barr previously served as Treasury Secretary Robert E. Rubin's special assistant, as deputy assistant secretary of the Treasury, as special adviser to President William J. Clinton, as a special adviser and counselor on the policy planning staff at the U.S. Department of State, and as a law clerk to U.S. Supreme Court Justice David H. Souter and the Hon. Pierre N. Leval, then of the Southern District of New York.

He received his JD from Yale Law School, his MPhil in international relations as a Rhodes Scholar from Magdalen College, Oxford University, and his BA, summa cum laude, with honors in history, from Yale University.
Jerry Brito
Executive Director
Coin Center

Jerry Brito is executive director of Coin Center, the leading non-profit research and advocacy group focused on the public policy issues facing cryptocurrency technologies like Bitcoin.

Jerry has testified several times before Congress and state legislatures about cryptocurrencies, and regularly holds briefings for and consultations with policy makers. He has presented on cryptocurrencies at the the CFTC, SEC, Treasury Department, and the White House, as well as the Council on Foreign Relations and the Brookings Institution. He is the coauthor of Bitcoin: A Primer for Policymakers, as well as other scholarly work on the regulation of cryptocurrencies.

Jerry is a recipient of the Public Knowledge IP3 Award and was named one of Washington's 100 top tech leaders by Washingtonian magazine and to the POLITICO 50 list of D.C. influencers. His op-eds have appeared in the Wall Street Journal, the New York Times, and elsewhere.

Chris Brummer
Faculty Director, IIEL & Agnes N. Williams Professor of Law
Georgetown Law

Chris Brummer is Agnes N. Williams Research Professor and Faculty Director of Georgetown's Institute of International Economic Law. Prior to joining Georgetown's faculty with tenure in 2009, Brummer was an assistant professor of law at Vanderbilt Law School. He has also taught at several leading universities as a visiting professor including the universities of Basel, Heidelberg, and the London School of Economics. (For more, see Professor Brummer's professional blog, Hedged Positions, and his academic blog, Scholarly Pursuits.)

Professor Brummer recently concluded a three year term as a member of the National Adjudicatory Council of FINRA, an organization empowered by Congress to regulate the securities industry, where his work has been praised as making a significant contribution to advancing investor protection. Professor Brummer was nominated twice by President Obama in 2016 and 2017 to serve as a Commissioner on the Commodity Futures Trading Commission. He received unanimous approval in the vote by the Senate Agriculture Committee, though no floor vote was immediately scheduled after the election. The nomination was withdrawn by President Trump.
Chris Brummer earned his JD from Columbia Law School, where he graduated with honors, and he holds a Ph.D. in Germanic Studies from the University of Chicago. Before becoming a professor, he practiced law in the New York and London offices of Cravath, Swaine & Moore LLP. He has also served as a Senior Fellow at the Milken Institute and was awarded the C. Boyden Gray Fellowship for Global Finance and Growth at the Atlantic Council, where he launched the think tank's Transatlantic Finance Initiative.

Jessie Cheng
Deputy General Counsel
Ripple

Jessie Cheng is Deputy General Counsel at Ripple, where she advises on regulatory and commercial matters with respect to cross-border payments and banking, distributed financial technologies such as blockchain, and digital currencies. Previously, Ms. Cheng was counsel and officer in the legal group of the Federal Reserve Bank of New York, providing legal advice to the financial services areas of the Bank, including with respect to electronic funds transfers and other payment systems, international currency services, and certain central bank and international account services. Before joining the Bank, she practiced law as an associate at the New York law firm Wachtell, Lipton, Rosen & Katz. A member of the American Bar Association, Ms. Cheng currently serves as Vice Chair of the Payments Subcommittee of the ABA Business Law Section’s Uniform Commercial Code Committee. She holds a B.A. from Yale University and a JD from Columbia School of Law.

Heather Childs
Vice President
Capital One

Heather G. Childs is Vice President of Compliance at Capital One where she specializes in business banking and credit cards. Ms. Childs also serves as Capital One’s FCPA Officer and leads a technology innovation team focused on the use of machine learning in risk management. Prior to joining Capital One earlier this year, Ms. Childs spent her career at the United States Department of Justice where she was most recently Associate Deputy Attorney General and Chief of Staff to Deputy Attorney General Sally Yates. In that role, she was involved in all facets of the Department’s work, including its four law enforcement agencies, its prosecutorial and litigating components, the Federal Bureau of Prisons, and the Department’s various grant-making and legal services offices.
Ms. Childs began her career as an Assistant U.S. Attorney in the Middle District of Tennessee where she prosecuted a wide range of cases, including money laundering cases. In 2010, she moved to Washington, D.C. and joined the Criminal Division’s narcotics and dangerous drugs section before moving to the Deputy Attorney General’s office.

Prior to joining the Department of Justice, Ms. Childs received her JD from New York University School of Law and her A.B. in History and Government from Harvard University. Ms. Childs clerked on the United States Court of Appeals for the Fifth Circuit. She and her husband Addison Thompson have two young sons.

**Jenny E. Cieplak**
*Counsel*
*Crowell & Moring LLP*

Jenny Cieplak’s practice focuses on the financial services industry, including participants in and vendors to that industry. Her experience includes work on the creation, governance and sale of electronic trading platforms, exchanges, swap execution facilities, clearinghouses, and data repositories. Ms. Cieplak also advises clients on commodities law, particularly in relation to regulation of swap dealers, major swap participants, and OTC derivatives generally. Ms. Cieplak has a deep understanding of the financial services industry, with client representations including broker-dealers, swap dealers, FCMs, DCMS, ATSs, service providers and other trading platforms. Her FinTech experience also includes multiple IP development, licensing and implementation arrangements as well as financial consortium transactions and strategic investments. Ms. Cieplak is known as a thought-leader on blockchain and distributed ledger technology in the financial space, and has counseled clients in connection with the development and implementation of blockchain solutions.

Ms. Cieplak received a Bachelor’s of Music, with high honors, in violin performance from The Catholic University of America and a J.D., with honors, from the Georgetown University Law Center. During law school, she served as a member of the Georgetown Journal of Legal Ethics.
Alan Cohn
Of Counsel
Steptoe & Johnson LLP

Alan Cohn is Of Counsel at Steptoe & Johnson LLP, co-chair of the firm’s Blockchain and Digital Currency practice, and counsel to the Blockchain Alliance, a public-private forum for blockchain companies to engage with law enforcement and regulatory agencies. Alan counsels companies on cybersecurity, blockchain and distributed ledger technology, and national security issues. He previously served in senior policy and management positions at the US Department of Homeland Security for almost a decade, most recently as the Assistant Secretary for Strategy, Planning, Analysis & Risk and second-in-charge overall of the DHS Office of Policy. Alan serves as an advisor to several blockchain companies, including companies focused on blockchain transaction analysis, identity validation, enterprise blockchain applications, and device authentication for the Internet of Things.

Before his 10 years at Schneider, Collin worked as a consultant in e-banking security, and prior to that spent several years designing and implementing some of the first global-scale fully-integrated enterprise email system deployments.

Dan Conner
President
DisLedger

Dan develops advanced technology to solve challenging problems including addressing the scalability and privacy issues in distributed ledger technology. Dan created the DisLedger® technology to support financial market infrastructure for capital markets and Internet Of Things micropayments. Prior to DisLedger, Dan’s previous technology design projects include an Internet Of Things (IOT) radio system for beyond line of sight data connectivity, and an Active Electrically Steered Array (AESA) antenna design for a commercial satellite constellation.

Dan served in the U.S. Army Special Forces as an Engineer Sergeant with tours in Afghanistan and Iraq. Other experience includes executive positions in business development, and project management for defense and information technology companies.

Dan received his B.S. in Commerce, and a M.S. in Management Information Systems from the University of Virginia.
Isabelle Corbett  
*Director of Regulatory Affairs & Senior Counsel*  
*R3*

Isabelle Corbett is Senior Counsel and Director of Regulatory Affairs for R3. She regularly travels to the jurisdictions of R3’s members meeting with regulators, central banks, and policy makers, gaining and maintaining a comprehensive understanding of the global regulatory landscape and approach to fintech.

Immediately prior to joining R3, she was an attorney at Cadwalader Wickersham & Taft where her practice focused on derivatives, counseling clients in a variety of regulatory, litigation, and transactional matters. She provided counsel to entities that are now registered as swap dealers, major swap participants, introducing brokers, futures commission merchants, commodity pool operators, and commodity trading advisors throughout the Dodd-Frank Wall Street Reform and Consumer Protection Act implementation process.

Prior to Cadwalader, Isabelle worked at a consulting firm focused on securities and derivatives, where she advised clients on a variety of regulatory matters with particular focus on the rapidly changing regulatory and market structure landscape created by Dodd-Frank. In that role, she also advocated on behalf of clients at the Commodity Futures Trading Commission ("CFTC"), the U.S. Securities and Exchange Commission ("SEC"), and on Capitol Hill.

Isabelle received her J.D. from American University Washington College of Law, *cum laude*, and her B.A. in international studies from the Johns Hopkins University. She is admitted to practice in the District of Columbia and in the State of New York.

Dave Curran  
*Global Director, Risk & Compliance*  
*Thomson Reuters*

Dave is Global Director Risk & Compliance with Thomson Reuters and works with complex global organizations to help address and mitigate systemic regulatory, compliance, risk and related challenges.

Dave is a senior executive and lawyer who has deep experience at the intersection of business, ethics, law, technology, compliance and risk management, and preparedness. He has been on all sides of regulatory change – as General Counsel/Chief Compliance Officer, advisor, counselor and technology services provider – and has helped many companies navigate the complex waters of regulatory change through technology-driven process improvements.
Dave was most recently CEO and Founder of Risk Readiness Corporation, a technology company focused on reputational risk, and EVP Business & Legal Affairs at IntraLinks, Inc. He has held senior positions at Integrity Interactive Corporation (compliance/ethics e-Learning) as well as senior legal and compliance roles at Campbell Soup Company, Reader’s Digest and Vertis, Inc.

Amias Gerety
Special Adviser
QED Investors

Amias Gerety is a Special Adviser with QED Investors. Previously, he served as the U.S. Department of the Treasury's Acting Assistant Secretary for Financial Institutions. In this role, Mr. Gerety was responsible for developing and coordinating Treasury's policies on a wide range of issues affecting financial institutions from cybersecurity for the financial system to consumer policy, and from large, complex financial institutions to community banks. Mr. Gerety was also responsible for overseeing several Treasury Department programs including the Community Development Financial Institutions (CDFI) Fund, the State Small Business Credit Initiative (SSBCI), and the Small Business Lending Fund (SBLF).

He previously served as Deputy Assistant Secretary for the Financial Stability Oversight Council and as Senior Advisor to the Assistant Secretary for Financial Institutions. He joined Treasury in January 2009, and was nominated by President Obama to serve as Assistant Secretary in February 2015. Prior to joining Treasury, Mr. Gerety was a management consultant at Oliver Wyman. He also worked for the domestic policy staff during John Kerry's Presidential campaign and for the Center for American Progress.

Mr. Gerety received his B.A. from Harvard College.
Daniel Gorfine
Director of LabCFTC and Chief Innovation Officer
U.S. Commodity Futures Trading Commission

Daniel Gorfine is Director, LabCFTC and Chief Innovation Officer at the U.S. Commodity Futures Trading Commission. LabCFTC is dedicated to facilitating market-enhancing financial technology (FinTech) innovation, fair market competition, and proactive regulatory excellence and understanding of emerging technologies. Daniel is also an Adjunct Professor at the Georgetown University Law Center where he teaches a course on ‘FinTech Law & Policy.’ Daniel was most recently Vice President, External Affairs & Associate General Counsel at OnDeck, and previously served as director of financial markets policy and legal counsel at the Milken Institute think tank where he focused on technology-driven financial innovation, capital access, and financial market policy. Earlier in his career, Gorfine worked at the international law firm Covington & Burling LLP and served a clerkship with U.S. District Court Judge Catherine C. Blake in the District of Maryland. A graduate of Brown University (A.B.), Daniel holds a JD from George Washington University Law School and an M.A. from the Paul H. Nitze School for Advanced International Studies (SAIS) at Johns Hopkins University.

Sara Hanks
Co-founder and CEO
CrowdCheck

Richard Herr
Managing Director, Capital Markets & Financial Technology Investment Banking
Sandler O’Neill + Partners, L.P.

Richard Herr is a Managing Director in the Investment Banking Group of Sandler O’Neill + Partners, L.P. Mr. Herr provides strategic advice to clients across the deals spectrum and specializes in the brokerage and trading, market structure and financial technology sectors. Prior to joining Sandler O’Neill, Mr. Herr was Managing Director and Head of Business Development at Knight Capital Group. In this role, Mr. Herr partnered with senior management to lead the analysis and execution of all organic and inorganic growth initiatives at the firm. Prior to his tenure with Knight Capital Group, Mr. Herr served as Senior Vice President, Strategic and Business Development at Investment Technology Group, Inc. where he was responsible for evaluating strategic partnership and acquisition opportunities.

Mr. Herr began his career in equity research, with his most recent role being Senior Vice President, head of securities brokerage, exchange and trade execution research at Keefe
Bruyette & Woods. In 2006, Mr. Herr was named Best on the Street by The Wall Street Journal and the #1 Stock Picker by Forbes/StarMine for the Capital Markets sector.

Mr. Herr received a Bachelor of Arts in Economics from Fordham University.

**Cory Kampfer**  
*General Counsel, OnDeck*

Cory Kampfer serves as OnDeck’s Chief Legal Officer, having led the company’s legal department since November 2011 and the operations department since early this year. Prior to joining OnDeck, Mr. Kampfer was an associate at Paul, Weiss, Rifkind, Wharton & Garrison LLP from February 2007 to November 2011. Mr. Kampfer holds a B.B.A. in International Business from the University of Georgia, where he graduated First in Class, an M.B.A. from Duke’s Fuqua School of Business and a JD from the Duke University School of Law.

**Jesse P. Kanach**  
*Partner, Perkins Coie*

Jesse Kanach is a partner in the Washington, DC office of Perkins Coie LLP. As a member of the law firm’s Investment Management practice, he represents asset managers on virtually all aspects of their investment business. *Legal 500* has noted that Jesse's "calm delivery of wise counsel in tough situations is remarkable." Jesse focuses his practice on four key elements in capital formation—innovation, structuring, negotiations, and compliance. His fund formation practice has long included U.S. and non-U.S. funds that invest in non-correlated asset classes, and currently involves advising on regulatory and commercial considerations when forming funds that invest in virtual currencies, other tokens, and related assets such as interests in token sponsors. In addition, he has advised extensively on the implementation of blockchain technologies by financial services firms; issues surrounding trading, alternative trading systems, clearance, settlement, and transfer agency for publicly-registered or privately-placed tokenized securities; and U.S. securities matters for token sales. Jesse is ranked on the "Rising Stars" lists for legal counsel to investment firms by the *International Financial Law Review’s IFLR1000 guide* and *Legal Media Group’s Expert Guides*. 
Richard D. Kerschner
Co-Chair, IIEI Advisory Board &
Former Chief Corporate Development Officer, NEX Optimisation

Richard D. Kerschner is an experienced executive, strategist and lawyer with expertise in growing and repositioning companies within rapidly evolving industries. He has held leadership roles in market dominant as well as disruptive companies within the financial technology, trading venues, market utilities, futures exchanges, and mobile communications sectors.

Rich is beginning a new stage of his career as a strategic advisor and board member focused on the financial technology and human resources sectors. He is on the board of directors, and chairs the advisory board of, Cloud 9 Technologies. Rich also co-chairs the new advisory board of the Institute of International Economic Law at Georgetown University Law Center.

His areas of interest include financial communications, market data capture and analytics, machine learning, distributed ledger technology, recruiting analytics, training, gamification, team assessment and development, and adult learning.

He is currently on Garden Leave from NEX Group PLC (formerly ICAP), a diversified global financial technology company listed on the London Stock Exchange, where he was most recently the Chief Corporate Development Officer of the NEX Optimisation division. Rich also represented NEX as an active board member of 5 Fintech firms: Traiana, TriOptima, the CLS Aggregation Service, Cloud9 Technologies and Axoni.

Before assuming his Optimisation role at NEX, Rich was the interim CEO of BrokerTec, NEX’s market-dominant electronic fixed-income trading platform, and the Chief Corporate Development Officer of EBS, NEX’s market-leading electronic FX trading platform.

Prior to joining NEX, Rich was the Chief Corporate Development Officer of CLS Bank International, playing a leading role in its evolution to a commercially robust and systemically important financial market utility (SIFMU). Prior to CLS he served as Head of Strategic Initiatives, General Counsel, and Head of Corporate Governance at the 135 year-old New York Mercantile Exchange (NYMEX), where he played a key role in a transformation that culminated in an IPO and sale to the CME Group.

Prior to joining NYMEX Rich was managing counsel and general counsel at two publicly-traded pioneers in the rapidly evolving mobile communications sector.

Rich received his law degree from the Georgetown University Law Center in 1991 and his BA from the University of Pennsylvania in 1988.
Peter Kerstens
Advisor, DG for Financial Stability, Financial Services and Capital Markets Union
Delegation of the European Commission to the United States

Peter co-chairs the European Commission's Taskforce on Fintech and is Advisor to the Director-General for Financial Stability, Financial Services and Capital Markets Union.

He has extensive experience in EU policy and legislation through his work on the ESPRIT research programme, in health and consumer protection, e-commerce, single market and financial services policy and regulation. Peter was a Member of the Private Offices of Internal Market and Services Commissioner Charlie McCreevy and Health and Consumer Protection Commissioner David Byrne. He also spent 5 years in Washington DC as the Finance Counsellor at the EU Embassy to the USA.

Prior to joining the European Commission in 1996, Peter worked as a public affairs consultant in Brussels advising major financial services companies on EU affairs.

He is a Dutch national and holds a master degree in European affairs from the College of Europe in Bruges and a master degree in political science from the University of Leuven, Belgium.

Cristina Kim
Executive Director, Strategic Investment
J.P. Morgan

Cristina Kim is an Executive Director in the Strategic Investments group at J.P. Morgan. The group globally supports the firm’s businesses and corporate functions to make strategically impactful investments in emerging technologies. Prior to joining Strategic Investments, Cristina was an Associate in J.P. Morgan’s Investment Banking group in Hong Kong and an Analyst in the Direct Investment Group at Merrill Lynch working in both the New York and Sao Paulo offices. Cristina received her MBA from Columbia Business School and holds a BA in Political Science from Yale University.
Jeremy M. Kroll
President, CEO, and Co-founder
K2 Intelligence

As president, CEO, and co-founder of K2 Intelligence, Jeremy M. Kroll is responsible for charting the firm’s growth strategy, including market development, strategic partnerships, and acquisitions. With more than two decades of investigative and leadership experience, Jeremy has led K2 Intelligence since its inception in 2009 through its growth into an internationally recognized firm with six offices across the United States and Europe.

Using the strategic acquisition of intelligence to inform risk mitigation strategies, Jeremy helps executives and business owners to further their business objectives. He serves as a trusted advisor and complex problem solver to business owners, boards of directors, and C-suite executives, working with them to mitigate risk across the corporate and family office spheres. He advises clients on risk management as they pursue strategic investments, including cross-border acquisitions and multinational investments, and helps them to navigate the changing physical and cybersecurity landscape in a way that embraces technological change while minimizing strategic risk.

In his capacity as CEO, Jeremy is also responsible for managing the company’s global business lines. He spearheads K2 Intelligence’s technology initiatives, with an emphasis on cyber defense, information security, and data analytics, helping the firm marry professional excellence with cutting-edge technology.

Before co-founding K2 Intelligence, Jeremy spent 11 years in senior leadership positions at Kroll Inc., a global corporate investigations and risk consulting professional services firm, where he served as general manager of Kroll’s information security group as well as managing director and vice president of corporate sales and marketing.

Jeremy is a respected thought leader on compliance, security, and risk in technology investing and is a sought-after speaker on these subjects. He has moderated panels on cybersecurity investment in business, spoken at conferences hosted by organizations such as the National Association of Corporate Directors, Evercore ISI, Bank Leumi, Bank of America, Simpson Thacher, and the Association of International Bank Auditors. He has been quoted extensively on cybersecurity and risk management issues in print, digital, and television media, including CNBC, Bloomberg, and Reuters.

Jeremy is also active in the investment community. His focus is on emerging and growth companies at the intersection of technology and security. He sits on numerous advisory boards for investment funds that actively invest in and foster the success of companies in the cybersecurity, risk management, fintech, big data analytics, and cloud computing sectors.
Jeremy serves as chairman of the board of directors for City Year New York, an organization dedicated to lowering the dropout rate of high school students across New York City, and is president of the American Friends of Dulwich Picture Gallery of London.

Jeremy received his M.B.A. from TRIUM, the executive global M.B.A. program of the New York University Stern School of Business, HEC Paris, and the London School of Economics. He holds a B.A. in foreign languages and fine arts from Georgetown University.

**Rajiv Kukreja**  
*Chief Technology Officer*  
*Sayari Analytics*

Rajiv is the CTO at Sayari Analytics, a FinTech/RegTech startup that leverages emerging technologies, network analytics, and open source data to help customers reduce risk exposure and mitigate the rapidly increasing costs of compliance in the Financial Services sector.

Rajiv joined Sayari Analytics from Goldman Sachs, where he held various technology leadership, engineering and product management roles. During his tenure at Goldman Sachs (1997-2015), Rajiv established a successful track record of building and scaling innovative technology platforms involving core infrastructure, data modeling, data protection, analytics, and web development.

Rajiv is passionate about customer focused product design, UX, engineering excellence, data science, machine learning and tech startups. He was an advisor to an early stage startup in the e-commerce sector (2008-2009) and a mentor at the Techstars Barclays FinTech NYC Accelerator (2015). Rajiv holds a bachelor’s degree in Computer Engineering from Rochester Institute of Technology and an M.B.A. from Columbia University.
Rob Lavet  
*General Counsel*  
*Social Finance (SoFi)*

Rob is responsible for managing all legal affairs for SoFi and its affiliate entities. Prior to joining SoFi, he served as a Principal in the Education and Litigation practice groups of the Washington, DC law firm of Powers Pyles Sutter & Verville (PPSV) where he represented financial institutions and post-secondary institutions on a wide variety of regulatory, litigation and transactional matters. Prior to PPSV, Rob served as General Counsel to Sallie Mae, a Fortune 300 company and the largest provider of education finance. Before his 16 year career with Sallie Mae, Rob served as a Partner in the Washington D.C. law firm of Cole Corette & Abrutyn specializing in corporate and securities litigation. He was named a top Washington D.C. corporate counsel in 2015. Rob holds a JD from Georgetown University Law Center and a B.A from the University of Pennsylvania.

Ross Leckow  
*Deputy General Counsel*  
*IMF*

Ross Leckow is Deputy General Counsel in the Legal Department of the International Monetary Fund. Originally from Canada, Mr. Leckow joined the IMF’s Legal Department in 1990. As an IMF lawyer, he has advised on all aspects of the IMF’s operations, including the governance of the IMF, its surveillance over member countries’ economies, and its financial and technical assistance to IMF members. Mr. Leckow currently leads the Legal Department’s efforts to help member countries strengthen their legal frameworks for the regulation of the financial sector, to contribute to the development of international standards for financial regulation, and to study the impact of technological change on the financial sector.

He is a co-author of the IMF’s papers on *Fintech and Financial Services: Initial Considerations* (2017), and *Virtual Currencies and Beyond: Initial Considerations* (2016). He is also the author of “Virtual Currencies – the Regulatory Challenges” published by the European Central Bank in *ESCB Legal Conference 2016*. Before joining the Fund, Mr. Leckow practiced law in the private and public sectors in Canada. He lectures frequently in the United States and abroad on the law of the IMF and other issues of international financial law.
Sean Lippel
Director, Investments Team
FinTech Collective, Inc.

Sean Lippel is a Director on the Investments Team at FinTech Collective. A former entrepreneur and world-ranked poker player, Sean started his professional career as an investment banker at Credit Suisse in its Equity-Linked Origination group. As an Associate, he helped develop structured solutions for large financial services and technology companies, working on a number of high profile transactions including Intel’s $2b junior subordinated convertible offering in 2010 and KKR’s $1.25b private convertible investment in Legg Mason in 2008.

Sean left Wall Street in the summer of 2012 to start MyGameFace, a SaaS start-up, focused on increasing fan engagement at stadiums and other sporting venues. The business was mobile-first and digitally connected sports viewers to a stadium’s concessions, entertainment, and social media assets.

Sean graduated with an MBA from Columbia Business School and a BBA from the Stephen M. Ross School of Business at the University of Michigan.

Shawn Malhotra
Vice President, Toronto Technology Centre
Thomson Reuters

Shawn joined Thomson Reuters in March of 2017 to lead the new Toronto Technology Centre. He also serves as the Global Head of Open Platform & Eikon as part of the Financial & Risk organization. Previously, Shawn spent 12 years at Intel (formerly Altera), where he most recently served as a Director of software development within the Programmable Solutions Group and Site Director for the Toronto Technology Centre, which was home to 200 software engineers. During this time, Shawn oversaw the site through Intel’s $17B acquisition of Altera.

Shawn holds a BASc from the University of Waterloo in Computer Engineering, where he graduated at with honours. He also holds an MEng in Computer Engineering from the University of Toronto. He is credited with 4 issued US patents and two published papers.

When he’s away from the office, Shawn is usually spending time with his wife Natasha and their 2 sons Niam (3) and Shay (5 months).
**Dea Markova**  
*Head of Programmes*  
*Innovate Finance*

Dea Markova is the Head of Programmes for Innovate Finance, the UK’s FinTech professional membership association. Dea leads the development of strategic ecosystem programmes including Innovate Finance’s Industry Sandbox Consultation and member sandboxes, Startup Scaling Programme and adoption of emerging technologies in FinTech. Dea’s background is in banking, insurance and capital markets regulation. Prior to Innovate Finance, Dea was part of the Deloitte Centre for Regulatory Strategy and Morningstar Investment Management. Outside financial services, Dea has experience in financial journalism and political speech writing. She is a London Startup Weekend organiser and an international debate coach.

**Jai R. Massari**  
*Partner*  
*Davis Polk & Wardwell LLP*

Ms. Massari is a partner in Davis Polk's Financial Institutions Group and the trading and markets practice, based in the Washington DC office. She advises major global banks, asset managers, and corporations on the requirements, impact and implementation of financial regulation, including reforms. In this area, her practice focuses on derivatives regulation and various financial reform topics, including the Volcker Rule and systemic risk. She frequently works with industry organizations in connection with advocacy efforts on legislative and regulatory proposals.

Ms. Massari received her B.A. in Chemistry from Cornell University, and her JD from Duke University School of Law, *cum laude*, where she served as Executive Editor of *Law & Contemporary Problems*. She is admitted to the California and DC bars.
Benjamin Miller  
*Co-founder and CEO*  
*Fundrise*

Ben currently serves as Chief Executive Officer and Director of Fundrise, an online real estate investment platform that makes it possible for any individual to invest directly into private real estate through the Internet. With over 300,000 members, Fundrise has invested in or owns over $1.35 billion in real estate nationwide. Fundrise leverages technology to lower the cost of real estate investment and operations, enabling an ultra-low fee model and greater transparency. Prior to Fundrise, Ben was managing partner of WestMill Capital Partners and president of Western Development Corp., both real estate development companies in Washington, D.C. A graduate of the University of Pennsylvania, he sits on the board of the National Center for Children and Families.

**Ethan Mollick**  
*Associate Professor of Management*  
*Wharton School of Business, University of Pennsylvania*

Prof. Ethan Mollick studies innovation and entrepreneurship, and has published papers in top academic journals on topics ranging from crowdfunding to entrepreneurial strategy. He is a Schultze Distinguished Professor and Kauffman Foundation Junior Faculty Fellow.

Prof. Mollick also co-authored a book on the intersection between video games and business that was named one of the American Library Association’s top ten business books of the year, and has studied the way that games can be used to motivate performance and to educate. His entrepreneurship simulations and games are used by tens of thousands of students around the world.

Prior to his academic career, he was co-founder of a company and a management consultant. Prof. Mollick has worked with organizations ranging from DARPA to General Mills on innovation and entrepreneurship.

Ethan Mollick received his Ph.D. (2010) and MBA (2004) from MIT’s Sloan School of Management and his bachelor's degree from Harvard University, *magna cum laude*, in 1997.
Richard H. Neiman
*Head of Regulatory & Government Affairs*
*Lending Club*

Richard leads regulatory and government affairs.

Richard has over 30 years of experience in the financial industry spanning the business and regulatory sides. Previously, he was Vice Chairman of the Global Financial Services Regulatory Practice at PricewaterhouseCoopers LLP, and he’s held senior positions with Citibank and TD Waterhouse (now TD Ameritrade). On the regulatory side, Richard served as the Superintendent of Banks for the State of New York from 2007 to 2011. Richard was also appointed by the Congress to serve on the five-member Congressional Oversight Panel for TARP from 2008-2011. Richard began his career with the Office of the Comptroller of the Currency in Washington, D.C. where he served as Special Assistant to the Chief Counsel.

Richard serves as an advisor to the Washington, DC - based Bipartisan Policy Center’s Financial Regulatory Reform Initiative. He is also on the advisory council of the Institute for Financial Market Regulation and on the advisory board of Columbia Business School’s Chinese Business Initiative. Richard received his bachelor’s degree from American University School of Government and his JD from Emory University School of Law.

Keith Noreika
*Acting Comptroller of the Currency*
*U.S. Department of the Treasury*

Keith A. Noreika is the Acting Comptroller of the Currency.

The Comptroller of the Currency is the administrator of the federal banking system and head of the Office of the Comptroller of the Currency (OCC). The OCC supervises more than 1,400 national banks and federal savings associations and about 50 federal branches and agencies of foreign banks in the United States. These institutions comprise nearly two-thirds of the assets of the commercial banking system. The Comptroller also is a director of the Federal Deposit Insurance Corporation (FDIC) and member of the Financial Stability Oversight Council.

Mr. Noreika became the Acting Comptroller of the Currency on May 5, 2017.

Prior to becoming Acting Comptroller, Mr. Noreika served as a partner in Simpson Thacher & Bartlett LLP and a member of the firm’s Financial Institutions Practice, where he focused on banking regulation and related litigation. He advised a wide range of domestic and
international financial institutions on regulatory issues relating to mergers and acquisitions, minority investments, capital issuances, structuring and compliance activities, and litigation matters, particularly in the area of federal preemption.

Mr. Noreika’s experience includes advising regional, multinational, and other banks on the structuring of their operations, including complying with the Volcker Rule and Consumer Financial Protection Bureau regulations, and Bank Secrecy Act and anti-money laundering rules. He has represented national banks before the U.S. Supreme Court, the U.S. Courts of Appeals, and the U.S. District Courts. He previously served as partner at Covington & Burling LLP.

Mr. Noreika has been an adjunct faculty member at the University of Pennsylvania Law School and the University of Virginia School of Law. He received his juris doctor in 1997 from Harvard Law School, where he was editor of the Harvard Law Review. He earned his bachelor of science from The Wharton School of the University of Pennsylvania in 1994.

James E. Newsome
Founding Partner
Delta Strategy Group
Former Chairman, U.S. Commodity Futures Trading Commission

Dr. Newsome is a Founding Partner of Delta Strategy Group. While serving as executive of a Mississippi-based trade group, Dr. Newsome was nominated by President Clinton and confirmed by the Senate to be a Commissioner of the CFTC in 1998. When President Bush was elected in 2000, Newsome was nominated and confirmed as Chairman of the CFTC.

As Chairman of the CFTC, Newsome guided the regulation of the nation’s futures markets. Additionally, Newsome led the CFTC’s regulatory implementation of the Commodity Futures Modernization Act of 2000 (CFMA).

Newsome served as one of four members of the President’s Working Group for Financial Markets, along with the Secretary of the Treasury and the Chairmen of the Federal Reserve and the SEC. In 2004, Newsome left federal service to assume the role of President and Chief Executive Officer of the New York Mercantile Exchange (NYMEX). As head of NYMEX, Newsome managed daily operations of the largest physical derivatives exchange in the world.

During his tenure, Newsome oversaw several major changes. He led the NYMEX initial public offering and merged NYMEX with the CME Group to create the world’s largest futures marketplace.

Newsome retired from the NYMEX after the merger with CME Group. He currently serves on the boards of the Williamson Dickie Company, Hudson Field, TruMarx, Data Partners,
the Chamber of Digital Commerce, LedgerX, Bloq, and Bitfury. He has previously served on the boards of Gavilon, the NYMEX, CME Group, Dubai Mercantile Exchange, and the National Futures Association.

In early 2010, Newsome along with Scott Parsons partnered to form Delta Strategy Group, which provides a variety of services for clients including strategic consulting, political analysis, lobbying, and business development.

**Rob Palatnick**  
*Managing Director, Chief Technology Architect Information Technology  
**DTCC***

Robert Palatnick is Managing Director and Chief Technology Architect at DTCC, where he has responsibility for the global IT strategy, architecture, standards and engineering design of the systems and applications that support the firm’s broad range of products and services. In addition, he leads DTCC’s technology innovation initiatives, including cloud, automation, big data analytics and distributed ledger technologies and co-sponsors DTCC’s Office of Fintech Strategy.

Before this role, Mr. Palatnick held a number of senior technology positions at DTCC including Application Development Domain Lead, Chief Administrative Officer of IT and CIO of FICC. Prior to joining DTCC, Mr. Palatnick was Vice President, Development and Systems, at Security Pacific Corporation Sequor Software Services.

An active technology voice in the industry, Mr. Palatnick has been a featured guest speaker at key conferences worldwide and is often quoted in the press. He currently serves as a member of the Governing Board of the Linux Foundation’s Hyperledger Project, a collaborative effort to establish, build and sustain an open, distributed ledger platform across industries.

Mr. Palatnick received his BS in Electrical Engineering from the University of Buffalo, and is an alumnus of the David Rockefeller fellowship.
Robert Peterson  
*Senior Advisor for International Affairs, Office of Financial Research* 
*U.S. Department of the Treasury*

Robert J. Peterson leads International Affairs at the Office of Financial Research, an independent agency within the U.S. Treasury Department created to develop financial data standards and analysis for the Financial Stability Oversight Council. He advises OFR’s Director on the agency’s relationships with foreign authorities and multilateral organizations, and helps coordinate the OFR’s efforts at harmonizing and improving international data standards.

Craig Phillips  
*Counselor to Treasury Secretary* 
*Steven T. Mnuchin* 
*U.S. Department of the Treasury*

Mr. Phillips joined the Treasury in January 2017 and serves as Counselor to the Secretary. He assists the Secretary in a range of matters including domestic finance, domestic financial institution policy and housing finance policy and regulatory reform.

Since 2008 Mr. Phillips served as a Managing Director and Member of the Global Operating Committee of BlackRock, Inc. Mr. Phillips was the global head of the Financial Markets Advisory Group in BlackRock Solutions which provided analytical and risk consulting services to a wide range of private and public sector organizations globally. Clients included central banks, banking supervisors and multi-lateral organizations around the world.

Mr. Phillips previously held leadership positions at Morgan Stanley and Credit Suisse First Boston where he managed global securitized product platforms.

Mr. Phillips holds a BA in Economics and Business Administration from Vanderbilt University.
Brian Quintenz
Commissioner
U.S. Commodity Futures Trading Commission

Brian D. Quintenz was nominated by President Trump as a Commissioner of the U.S. Commodity Futures Trading Commission on May, 12, 2017, was unanimously confirmed by the Senate on August 3, 2017, and was sworn into office on August 15, 2017 for the remainder of a five-year term expiring in April 2020.

Prior to his appointment to the CFTC, Mr. Quintenz founded and served as the Managing Principal and Chief Investment Officer of Saeculum Capital Management, a registered Commodity Pool Operator that specialized in risk management and technical analysis investment strategies.

Mr. Quintenz started his career in finance at Hill-Townsend Capital, a Registered Investment Advisor established to focus solely on U.S. bank and financial company investment opportunities. While there, Mr. Quintenz performed rigorous fundamental valuation analysis on regional and global banks, projected future earnings estimates, and implemented proprietary hedging strategies.

Prior to working in the financial markets, Mr. Quintenz worked for Congresswoman Deborah Pryce (OH-15) for several years ultimately becoming her senior policy advisor. Mr. Quintenz graduated Magna Cum Laude from Duke University with a major in Public Policy Studies and received an MBA from Georgetown University McDonough School of Business, where he was inducted into the Phi Beta Gamma honors society.

Bella Rozenberg
Senior Counsel, Head of Regulatory and Legal Practice Group
International Swaps and Derivatives Association, Inc. (ISDA)

Bella Rozenberg joined ISDA in November 2014 to head ISDA’s newly created Regulatory and Legal Practice Group. In this role, Ms. Rozenberg is responsible for coordinating legal and policy work within ISDA and developing board level positions on key issues involving cross border rule harmonization, mandatory clearing, data reporting, and trade execution.

Prior to joining ISDA, Ms. Rozenberg worked at the Commodity Futures Trading Commission where she served in various capacities for almost 14 years. Most recently, when the Commission began the Dodd-Frank Act implementation efforts, Ms. Rozenberg was appointed by then-Chairman Gensler to serve as the team lead responsible for drafting and
implementing of the Swap Execution Facility rulemaking. Later on, she served as Commissioner O’Malia’s chief of staff. In that capacity, she provided advice and counsel on a wide range of complex issues regarding the development and implementation of rules mandated by Dodd-Frank, including cross-border harmonization, trade execution and data reporting.

Ms. Rozenberg received her law degree from The American University, Washington College of Law.

**Robert (Bob) Schukai**  
*Global Head of Design, Digital Identity Solutions*  
*Thomson Reuters*

Robert Schukai (Bob) is the global head of design for Digital Identity Solutions at Thomson Reuters. His day-to-day job includes applying new technologies such as blockchain, artificial intelligence, biometrics, and more to explore digital identity opportunities across the spectrum of global commerce use cases.

Prior to his current role, Schukai was the head of Applied Innovation for Thomson Reuters. In addition to overseeing the development and execution of the mobile growth strategy across the corporation, he lead the central technology innovation function for Thomson Reuters globally including core research and development, advanced product concept development, core mobile technology and application solution development. Focus areas included cognitive computing, machine learning, natural language processing, artificial intelligence, financial technology (fintech), blockchain, user experience, and data visualization.

He serves as an ambassador to New York City and the east coast of the United States for the London Tech City initiative, driven by the British government and the United Kingdom Trade and Investment group. He also serves as a mentor for companies in the Level 39 fintech accelerator in London and is a board member for Angel Academe, an organization dedicated to matching female entrepreneurs with female angel investors.

Prior to joining Thomson Reuters, Schukai was the vice president of Wireless/Broadband Technologies for Turner Broadcasting System, Inc., (TBS, Inc.) from 2005-2010. During that time, he was responsible for global research and development activities for TBS, Inc. in the areas of mobile/wireless, broadband, Internet protocol television (IPTV) and games. He also led the technology strategy and deployment for Turner’s mobile web and applications platforms, including analytics and advertising solutions.

Schukai spent eighteen years working for Motorola, Inc., in the United States and United Kingdom. In his last role at Motorola, he served as director of global 3G strategy and business development for Motorola, overseeing global strategy and business development
activities for 3G handsets. While at Motorola, he held roles in research and development, product development, engineering management, marketing, strategy, and business development.

Schukai holds a Bachelor of Science degree in electrical engineering from Rose-Hulman Institute of Technology and a Master’s degree in electrical engineering from Arizona State University. He is a long-term member of the Institute of Electrical and Electronics Engineers (IEEE), a technical and professional association of more than 365,000 individual members in approximately 150 countries.

In 2014, he was named a Member of the British Empire (MBE) in the Queen’s 2014 New Year Honours List for services to British trade and investment and for promotion of STEM education.

**Greg Schvey**  
*CEO*  
*Axoni*

Greg Schvey is Co-Founder and Chief Executive Officer of Axoni, a New York-based capital markets technology firm that specializes in distributed ledger infrastructure. Axoni is backed by many of the world's leading financial institutions and is currently replatforming core infrastructure for some of the world's largest asset classes with those partners and others. Greg previously co-founded TradeBlock, the world's leading provider of institutional trading tools for digital currencies, and worked as a fixed income analyst at Citigroup. He holds a bachelor's degree from Cornell University where he studied Finance and Hospitality Administration.

**Jodi Scrofani**  
*Head of Worldwide Regulatory Compliance - Financial Services*  
*Amazon Financial Services*

Jodi Scrofani is the Head of Security Assurance for the Americas at Amazon Web Services (AWS). During her 3 years at AWS, she managed the Global Regulatory Compliance Strategy for the AWS Financial Services, collaborating with AWS customers and regulatory agencies to address security and regulatory risks and opportunities within cloud services. Jodi brings over 15 years of financial services industry experience to AWS, with a key focus on industry regulations and the growing
impacts of Fintech and Regtech for enabling and automating compliance requirements.

Prior to joining AWS, Jodi held senior compliance positions at JPMorgan Chase & Co., the NYSE Euronext, and the Financial Industry Regulatory Authority (FINRA). She holds an MBA from Fordham Gabelli School of Business.

**Kara Stein**
*Commissioner*
*U.S. Securities and Exchange Commission*

Kara M. Stein was appointed by President Barack Obama to the U.S. Securities and Exchange Commission (SEC) and was sworn in on August 9, 2013.

While at the Commission, Commissioner Stein has advocated for strong investor protections and for initiatives to further increase competition and facilitate capital formation. Commissioner Stein has focused on identifying ways to enhance our securities market structure to promote efficiency and resiliency. She also has advocated for updating the Commission’s rules and practices for the Digital Age, including calling for the formation of a Digital Disclosure Task Force to aid in the Commission’s assessment of the nature, timing, and delivery of information to a variety of investors and other market participants. In addition, Commissioner Stein has advocated for the formation of an Office of Data Strategy and a Chief Data Officer to concentrate on the governance and utilization of information in a data-driven environment. She is also a strong advocate for the timely completion of the consolidated audit trail (CAT); the shortening of the settlement cycle for equities and fixed income; enhanced clearing agency standards; and the further development of tools that facilitate the use of machine readable disclosures.

Commissioner Stein serves as the Commission’s liaison to the North American Securities Administrators Association (NASAA), represents the Commission at meetings of the International Organization of Securities Commissions (IOSCO), and is an ardent supporter of furthering diversity and inclusion initiatives at the SEC. Currently, Commissioner Stein sponsors the SEC’s LGBT and the Disability Interests Advisory Committees, and she serves as the Chair of the SEC’s Diversity Council.

Commissioner Stein joined the Commission after serving as Senior Policy Advisor for securities and banking matters to U.S. Sen. Jack Reed. From 2009 to 2013, she was Staff Director of the Securities, Insurance, and Investment Subcommittee of the U.S. Senate Committee on Banking, Housing, and Urban Affairs. During that time, Commissioner Stein played an integral role in drafting and negotiating significant provisions of the Dodd-Frank Wall Street Reform and Consumer Protection Act.
During her tenure in the U.S. Senate, Commissioner Stein also served as Staff Director of the Banking Committee’s Subcommittee on Housing and Transportation, as Legal Counsel to Sen. Jack Reed, and a Legislative Assistant to Sen. Chris Dodd.

Before working in the U.S. Senate, Commissioner Stein was an associate at the law firm of Wilmer, Cutler & Pickering, an assistant professor with the University of Dayton School of Law, an Advocacy Fellow with the Georgetown University Law Center, and a Skadden Public Interest Fellow.

Commissioner Stein received her B.A. from Yale College and JD from Yale Law School.

Kay Swinburne
*MEP and Chair*
*NEX Reg*

Dr. Swinburne chairs NEX Reg, the think tank established by NEX Optimisation to lead future thinking on key regulatory issues and to generate discussion on how best to achieve fair and efficient global capital markets.

As an elected Member of the European Parliament, serving as Vice Chairman & Coordinator of the Economic & Monetary Affairs Committee, she has worked extensively on financial reform legislation including EMIR, MiFID II and CSDR and is currently the CoRapporteur for the EU legislation on recovery and resolution of CCPs. Current non-legislative interests include Brexit negotiations, improving global regulatory cooperation and the exploring the future role of Fintech, especially in improving the post-trade environment.

David Szuchman
*Vice President and Head of Global Financial Crime Compliance*
*PayPal, Inc.*

David Szuchman joined PayPal in August 2016 as VP, Head of Global Financial Crimes Compliance and BSA Officer. In that capacity, David is responsible for designing and overseeing programs to detect and prevent money laundering, terrorism financing, sanctions, and related risks across the company.

Prior to joining PayPal, David was an Executive Assistant District Attorney and Chief of the Investigation Division at the New York County District Attorney’s (DA’s) Office where he was responsible for supervising the Rackets Bureau, Major Economic Crimes Bureau, Cybercrime and Identity Theft Bureau, Counter Terrorism Program, Financial Frauds Bureau, Tax Crimes Unit, Public Corruption Unit and the Asset Forfeiture Unit. Under David’s leadership and supervision, the investigation division initiated and concluded significant cases against numerous large financial
institutions). He also assisted the District Attorney with major initiatives such as the Global Cyber Alliance and the efforts surrounding encryption.

Before he became Chief of the Investigation Division in 2012, David served as Chief of the Cybercrime and Identity Theft Bureau for New York County’s DA’s Office assisting in developing policies and investigative strategies, maintaining relationships with outside agencies and helping to supervise investigations throughout the Division.

David began his legal career at the New York County DA’s Office in 1997 and has subsequently held several notable governmental positions including serving as a federal prosecutor assigned to the Child Exploitation and Obscenity Section within the U.S. Justice Department. In 2008, David was appointed as the Director of Consumer Affairs for the State of New Jersey.

David graduated from the University of Vermont with a bachelor's degree in political science, and received a law degree from Hofstra University School of Law.

Sam Taussig
Head of Global Policy and Community Banking
Kabbage, Inc.

Sam Taussig entered the alternative credit space in Zambia where he experienced how micro credit projects offered a sustainable path to entrepreneurship. Since 2007, Sam has promoted alternative credit across Africa, South America, Asia, the Caribbean and America with a variety of non-governmental organizations and the United Nations. Before coming to Kabbage, Sam worked in Indonesia supporting micro-economic development, “big data” and bilateral diplomacy.

Sam is responsible for Kabbage’s interactions with state, federal and foreign governments and community development organizations. He covers issues ranging from traditional financial regulatory reform to artificial intelligence, privacy and corporate social responsibility.

Jason Thomas
Chief, Innovation
Thomson Reuters Special Services

Jason is Chief, Innovation for Thomson Reuters Special Services, LLC (TRSS) where he facilitates, oversees, and executes long-term solutions to emerging technology threats. He works closely with governments, the private-sector, and non-governmental organizations to identify challenges and opportunities that will shape the future intelligence and national security environment.
He is a leading authority on the illicit use of technology and speaks extensively on a variety of emerging issues at the Central Intelligence Agency (CIA), Defense Intelligence Agency (DIA), U.S. Department of Defense (DOD), Federal Bureau of Investigation (FBI), U.S. Department of Justice (DOJ), U.S. Department of State (DOS), U.S. Senate, U.S. House, World Bank, World Economic Forum, and others. He is an experienced intelligence professional with a practical understanding of terrorism, cybersecurity, data science, cryptocurrencies, identity, threat finance, and social data.

Jason is a creator and founding director of the FBI’s Internet Crime Complaint Center (IC3). Within twenty four hours after the 11 September terrorist attacks, IC3 was reprogrammed to become the sole Terrorist Tip portal for the U.S. federal government, collecting invaluable open source information. This information was then fused with other intelligence resulting in the prevention of other planned terrorist attacks inside and outside the United States. In 2002, IC3 won the Excellence.gov award. This award is presented to federal government agencies that demonstrate innovative electronic government initiatives.

Prior to coming to TRSS, Jason was faculty at West Virginia University in the International Studies department. He was also the Director of the Open Source Intelligence Exchange and Fusion Center (OSIX) and served as the Associate Director of the Center for Intelligence and National Security Analysis (CINSA). Each of these programs has the specific mission of enhancing capability and competitiveness in disciplines related to open source intelligence collection and analysis. Prior, while employed at the National Cyber Forensics and Training Alliance (NCFTA), Jason provided leadership and subject matter expertise in the area of intelligence collection. Previously, Jason served as the Associate Deputy Director, Operations for the National White Collar Crime Center (NW3C).

Jason is a member of the Intelligence and National Security Alliance (INSA) Council on Technology and Innovation, the INSA Cyber Research and Development Task Force, and serves on the Northern Virginia Technology Council (NVTC) Cybersecurity and Privacy Committee and the NVTC Technology Innovations Committee. He is an Advisory Board Member of Coincenter.org and is also a credentialed Risk Expert for Risk Assistance Network + Exchange (RANE). He is a member of the ODNI/DHS IC Analyst-Private Sector program team focused on Identity. Additionally, Jason serves as a directing member of the Thomson Reuters/International Centre for Missing and Exploited Children Digital Economy Task Force.

Jason is the recipient of a number of awards including the FBI Director’s Award for Exceptional Service in the Public Interest, the 2015 Thomson Reuters Inventor of the Year award, the Thomson Reuters Oval Office Award for Innovation, the NW3C Cynthia Kay Hipsman Award, and was a nominee for the U.S. Attorney General’s Award for Exceptional Service.

Lastly, Jason’s writing appears on Quartz, The Hill, Bigthink.com, Innovation and Technology Today, and elsewhere. He hosts a twice monthly podcast that takes a witty, entertaining look at technology.
Kim Trautmann  
*Director, Venture Capital Investments*  
**DRW Venture Capital**

Kimberly joined DRW Venture Capital in 2015. DRW VC, an arm of principal trading firm DRW, is a private investor in financial and enterprise technology. The team focuses on revenue generating and growing businesses that will derive value from DRW beyond capital: as a client, as a product advisor, and through our deep trading industry expertise. The current portfolio holds more than 25 investments, including OpenFin, Droit, Solarflare and Pico. Prior to DRW, Kimberly was an investor at Goldman Sachs on the Principal Strategic Investments team for a decade. She is a CFA charterholder and holds a BS from Wagner College where she studied Studio Art and Marketing and an MBA from Columbia Business School.

Christopher Woolard  
*Executive Board Member and Director of Strategy & Competition*  
**Financial Conduct Authority**  
**United Kingdom**

Christopher Woolard is the Executive Director of Strategy and Competition at the Financial Conduct Authority (FCA). He is also a member of the FCA’s Board, chair of the FCA’s Policy Steering Committee and a non-Executive Board member of the Payments Systems Regulator. He joined the FCA in January 2013.

The Strategy and Competition Division comprises the FCA’s policy, strategy, competition, economics, market intelligence and communications functions. It also includes the FCA’s Innovate work, launched in October 2014 to encourage innovation in the interests of consumers.

Innovate offers three main services: direct tailored regulatory support for innovative firms; the Regulatory sandbox which provides support for innovative firms who are ready to test their propositions in the market; and the advice unit which provides feedback to firms developing automated advice and guidance models. The FCA’s Innovate work also supports RegTech by facilitating collaboration, knowledge sharing and conversations around new technologies that support better regulation. Lastly, it engages with firms, governments and regulators both in the UK and internationally to build relationships which help foster innovation. This includes establishing FinTech cooperation agreements.
Prior to joining the FCA, Christopher was Group Director and Content Board member at OfCom – the UK’s communications market regulator. He has spent most of his career in regulation or policy development including working at the BBC and in government as a senior civil servant. He is a Sloan Fellow of London Business School.

**Patrick B. Wyman**  
*Supervisory Special Agent*  
*Federal Bureau of Investigation*

Supervisory Special Agent (SSA) Patrick Wyman entered on duty with the FBI in January 2009 and is currently a program manager in the FBI’s Financial Crimes Section, Money Laundering Unit. In this role, SSA Wyman supervises money laundering investigations for FBI field offices and manages the Virtual Currency initiative for FBI as it relates to money laundering activities.

Prior to his promotion to FBI Headquarters, SSA Wyman was assigned to the Washington Field Office where he conducted criminal investigations involving bank fraud, wire and mail fraud, embezzlement, identity theft, mortgage fraud, bankruptcy fraud, and money laundering. Additionally, SSA Wyman served as a crisis negotiator and assistant team leader of the Crisis Negotiation Team.

SSA Wyman’s career began in the real estate industry in northern Virginia, where he managed two offices for one of the largest privately owned title companies in the Washington, DC metropolitan area. SSA Wyman also served two years as a Fairfax County Police Officer, patrolling areas surrounding Reston, Virginia.

SSA Wyman graduated from James Madison University in 1998 with a degree in Business Administration with a concentration in Finance.
Georgetown University’s First Annual Fintech Week

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