



2017 FINRA Blockchain Symposium

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Blockchain Symposium Speaker Biographies

Jeffrey M. Bandman was the Founding Director of LabCFTC, the CFTC's new FinTech innovation hub. Prior to leaving the CFTC in June 2017, he served as FinTech Advisor to the Acting Chairman, as well as the CFTC's FinTech lead, and chaired the CFTC staff FinTech working group. He leads coordination with other domestic and international regulatory authorities on FinTech and Reg Tech issues. He also led the CPMI-IOSCO Joint Working Group on Digital Innovation (JWGDI) workstream on use cases in reporting and data management. Mr. Bandman previously led the CFTC's Division of Clearing and Risk, which has responsibility for overseeing several of the world's largest central counterparty clearinghouses (CCPs). In this capacity he led the negotiations resulting in "Clearinghouse Equivalence" concluded between the CFTC and the European Commission in 2016. He joined the Commission as Special Counsel to the Chairman, Office of the Chairman, in 2014 and also served as Acting Director, Office of International Affairs. Prior to joining the CFTC, Mr. Bandman worked for many years in the financial industry. He advised the Futures Industry Association in developing and launching the "SEF Tracker" swaps data product. As Head of Partnerships and Alliances for LCH.Clearnet Ltd.'s SwapClear service, he helped design and launch the SwapClear "FCM service" for clearing interest rate swaps through US intermediaries. He was responsible for global arrangements with FinTech vendors, trading platforms, trade repositories, custodians and others in the OTC ecosystem. He spearheaded the launch of SwapClear's innovative CCP² partnership program for OTC clearing consultancies and led development of the award-winning SMART margin simulator. Mr. Bandman earlier worked on a variety of new market structure and FinTech initiatives in the derivatives industry in New York and London, including LiquidityHub and the Project Rainbow consortium. Before that he rebuilt and managed Cantor Fitzgerald's financial market data business after the events of September 11. Mr. Bandman started his career as a corporate associate attorney at Cravath, Swaine & Moore in New York and then served as Americas General Counsel for Prebon Yamane and Prebon Energy. He graduated *magna cum laude* with honors in both History and English from Yale, and he holds a law degree from Stanford with honors as a member of the "Order of the Coif".

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure. Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters. Mr. Cook

earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.

Bethany (Beth) Dugan is Deputy Comptroller for Operational Risk at the Office of the Comptroller of the Currency (OCC). In this role, Ms. Dugan oversees policy and examination procedures development addressing operational risk, bank information technology, cybersecurity and critical infrastructure, payments systems, and corporate and risk governance. She assumed these responsibilities in November 2014. Prior to this role, Ms. Dugan served as Examiner-In-Charge of Citizens Bank, NA, in Providence, Rhode Island, where she managed a team of examiners covering all disciplines, activities, products, and aspects of the bank. Throughout her career at the OCC, Ms. Dugan has held a variety of leadership roles in supervising large complex financial institutions as well as midsize and community banks and technology service providers. She has significant examination experience in technology, operations, audit, Basel II, enterprise governance, systems integration, and credit, capital markets, and trading platforms. She also participated on the OCC's initial reviews of major service providers based in India. Ms. Dugan is a commissioned National Bank Examiner and Certified Information Systems Auditor. Ms. Dugan joined the OCC in West Virginia where she assisted in supervising all aspects of community and mid-size national banks throughout the southeastern and mid-Atlantic region. She holds a bachelor of arts in English and a master of business administration from West Virginia University.

Kavita Jain is Director in the Office of Emerging Regulatory Issues within FINRA's Department of Risk and Strategy. In this role, she assists the Office in identifying and analyzing new and emerging risks and trends related to the securities industry, and developing strategic responses to potential issues. Some examples of current areas of her work include FinTech, blockchain technology, EB-5 investments and online capital-raising platforms. During her tenure at FINRA (previously NASD), Ms. Jain has served in key positions in the Offices of Emerging Regulatory Issues, Finance and Strategic Planning. Ms. Jain has an M.B.A. from the University of Southern New Hampshire.

Todd McDonald is COO and Head of Partnerships for R3. Mr. McDonald co-founded R3 in 2013 and was one of the first to uncover the promise of distributed ledger technology for financial services. In his current role, Mr. McDonald focuses on building the partner application ecosystem for R3's Corda platform. Prior to R3, he spent 14 years at Standard Chartered Bank as a Managing Director in their Financial Markets group where he held positions such as Global Head of Electronic FX Trading and Head of FX for the Americas. Mr. McDonald holds a BA in Economics and Political Science from Colgate University.

James O'Neill is Vice President of Operations Risk for National Financial Services LLC, Fidelity Investment's brokerage and clearing entity. Mr. O'Neill joined Fidelity in 1994, and has held management positions in the Treasury and Mutual Funds groups in addition to his current role in Operations Risk. Mr. O'Neill's group performs oversight and analytical review of processing, incidents, issues and trends to drive risk reduction, increase efficiency, and achieve ever higher levels of customer satisfaction. Mr. O'Neill has more than 30 years in the financial services industry include a diversity of brokerage operations experience, with managerial roles in Treasury, Cashiering, Purchase & Sales, Securities Lending, and Mutual Funds processing in addition to his current duties in Risk. He is a FINRA General Securities Principal, and a member of SIFMA's Securities Operations Section and the Association of Financial Professionals.

Jennifer Peve is Executive Director Office of FinTech Strategy for DTCC. She joined the firm in 2015. Prior to DTCC, Ms. Peve worked at CME Group where she served as Executive Director of OTC Product Management with responsibility for CME's cleared OTC credit default swaps (CDS) business including growth strategy, business development, and go-to-market activities. Ms. Peve has more than 20 years of financial markets expertise, including consulting and practical experience as well as the design, development and deployment of business strategies in a dynamic environment. She has extensive product knowledge across the entire product life cycle, including OTC, FX and FX Options, OTC Metals, Stock Lending, OTC Credit Default Swaps, OTC Interest Rate Swaps and Swaptions, OTC Total Return Swaps,

F&O, Energy and Equities. Ms. Peve is a member of SIFMA's Blockchain Roundtable and is a regular speaker at industry conferences, with past participation at Consensus, SIFMA and AMF events. She holds a bachelor's degree in international business and finance from St. Mary's College, Notre Dame.

Steven J. Randich, Executive Vice President and Chief Information Officer (CIO), oversees all technology at FINRA. Previously, Mr. Randich served as Co-CIO at Citigroup, and CIO and Global Head of Technology for Citigroup's Institutional Clients Group. Prior to joining Citigroup, he was Executive Vice President of Operations and Technology and CIO at NASDAQ, where he was responsible for all aspects of NASDAQ technology, including applications development and technology infrastructure. From 1996 to 2000, Mr. Randich served as Executive Vice President and CIO for the Chicago Stock Exchange. He was responsible for all technology, trading-floor and back-office operations, and business product planning and development. Prior to joining the Chicago Stock Exchange, Mr. Randich was a Managing Principal at IBM Global Services and a Manager at KPMG. Mr. Randich has an undergraduate degree in computer science from Northern Illinois University and an M.B.A. from the University of Chicago.

Ryan VanGrack is Special Counsel and Advisor to the Director of the Enforcement Division at the Securities and Exchange Commission. In addition, Mr. VanGrack leads the SEC's FinTech Working Group, which manages the agency's efforts related to financial innovation. Before joining the Enforcement Division, Mr. VanGrack was Senior Advisor to Chair Mary Jo White from 2014 to 2017, providing counsel on a broad range of regulatory matters, including FinTech, enforcement strategy, compliance policies, cybersecurity, asset management and international coordination. Prior to his time at the SEC, Mr. VanGrack served in the White House as a Deputy Associate Counsel, where he oversaw the selection, examination and confirmation of the President's Cabinet and handled congressional oversight issues. He previously worked at the law firm of Williams & Connolly, focusing on financial services litigation and congressional investigations. Mr. VanGrack received a B.A. from Duke University and a J.D. from Harvard Law School.

Kathy C. Wang is a senior analyst in the Financial Market Infrastructure (FMI) Risk & Policy section at the Federal Reserve Board. She has been at the Board for 10 years, and has worked on topics ranging from retail payments research to developing Federal Reserve policy and regulation on the risk management of FMIs. Ms. Wang began studying distributed ledger technology in early 2016, leveraging her knowledge of risks in payments, clearing, and settlement. She was also a lead author of the recently published Federal Reserve staff study on "Distributed ledger technology in payments, clearing, and settlement." Ms. Wang holds a BA in economics from University of Virginia and an MBA from Georgetown University.

Haimera Workie is a senior director responsible for heading up FINRA's Office of Emerging Regulatory Issues, which focuses on analyzing new and emerging risks and trends related to the securities market. Previously, Mr. Workie served as Deputy Associate Director in the Division of Trading and Markets at the U.S. Securities and Exchange Commission. In this capacity, Mr. Workie was tasked with developing a variety of Dodd-Frank Act related rulemakings, supervising policy matters related to market intermediaries and financial market utilities, and representing the Commission before several international standard setting bodies. Mr. Workie also previously served as Counsel to Commission Chair Mary Schapiro. Prior to joining the Commission, he was an associate at the law firm of Skadden, Arps, Slate, Meagher & Flom, with a practice focusing on corporate law. He is a graduate of the Massachusetts Institute of Technology (B.S., M.S.) and Harvard Law School (J.D.).

John Zecca is Senior Vice President of MarketWatch and Head of Market Regulation of the U.S. Markets operated by Nasdaq, Inc. He is also chief regulatory officer of several national securities exchanges and served as chairman of Nasdaq's Global Risk Steering Committee until January 2017. In these capacities he oversees a team of regulatory analysts, programmers and attorneys responsible for maintaining fair and orderly markets and for compliance by Nasdaq's registered broker dealers. He also oversees regulatory services performed by FINRA for Nasdaq's markets. Mr. Zecca previously served as Nasdaq's senior corporate counsel and was responsible for public company compliance and mergers and acquisitions. He is a frequent speaker on market regulation, corporate governance and Sarbanes-Oxley issues. Prior to joining

Nasdaq, Mr. Zecca served as legal counsel to an SEC commissioner and in the SEC's Office of General Counsel. He practiced corporate securities law at the firms of Hogan & Hartson (now Hogan Lovells) and Kaye Scholer. He served as law clerk for Hon. John H. Pratt of the United States District Court for the District of Columbia.