



## **Melissa Ahern, CIPM**

Managing Director, Performance & Analytics

State Street

### **Biography**

Melissa Ahern is product manager for performance & analytics including asset owner private market services. In her role, she is responsible for leading strategic initiatives focused on delivering value add products on to our clients. In addition, Melissa works with clients and prospects to understand their investment analytics needs, share best practices, promote thought leadership, and identify ways to best leverage State Street's solutions.

Melissa has over 20 years of experience in the Performance Industry. She started her career at State Street in 1996 in fund accounting and within 2 years, transitioned to the performance team. When she left State Street in 2013, she was leading a team of business analysts focusing on information delivery products for performance & analytics. Before returning to State Street in 2016, she held product management roles at JP Morgan and BISAM, all in the performance space.

Melissa earned a B.S in Finance with a minor in Economics from Western New England University.



## Joseph J Barry

Senior Vice President, Senior Managing Director, Industry Affairs

State Street

### Biography

Joe Barry is a Senior Vice President and Global Head of Public Policy. In this position, he manages the global team responsible for representing State Street with regulators, legislators, and policymakers worldwide. His duties include identifying key legislative and regulatory issues for State Street, advocating with policymakers in support of State Street's policy objectives, and leading State Street's political engagement strategy. In addition, Joe is active in a broad range of financial services trade associations. He divides his time between Boston and Washington, D.C.

Prior to joining State Street, Joe served for over a decade as a Legislative Assistant to a United States Senator, where he covered a broad range of business, taxation, transportation and energy policy issues. Joe is a graduate of Harvard College, with an undergraduate degree in philosophy.



## Peter R. Brown Jr.

Head of North American Industry intelligence Product Manager, CIT Solutions

State Street

### Biography

Peter is Head of North America Industry Intelligence at State Street. In this role he focuses on thought leadership and industry intelligence for clients, including operational efficiency, regulatory insights, product expertise, and cross-product opportunities. His prior experience includes Strategy and Transformation initiatives across operations, sales, product, and client service with a focus on improving client outcomes and efficiency. Peter started at State Street leading a team that provided corporate governance and regulatory products to hedge funds, business development companies, mutual funds, and ETFs.

Peter is also Product Manager for Collective Investment Trust (CIT) Solutions at State Street within the Product team and establishes the strategic direction for CIT servicing, develops industry intelligence relating to CITs, is an SME leveraged for client meetings, and drives the product and technology strategy as they relate to CITs.

Peter's experience prior to joining State Street in 2012 was at BNY Mellon and PNC Bank.

Peter is an active volunteer with the Hamilton School at Wheeler which focuses on students with learning differences. He is also past President of the Wheeler School Alumni Board, past Board Member of the Wheeler School, and past Board Member & Treasurer of Habitat for Humanity (South Shore, Massachusetts, USA).

Peter earned a BS in Sociology from Clemson University and an MBA, Finance concentration from Boston University Questrom School of Business



## Jennalyn Buxton

Managing Director, Global Head of Investment Compliance Product

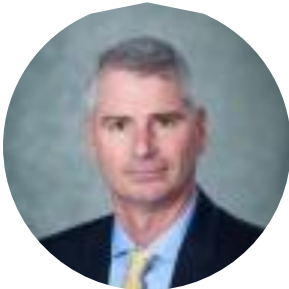
State Street

### Biography

Jennalyn Buxton is a Managing Director with State Street's Asset Servicing Product Team, with almost 25 years of investment experience. In Jennalyn's current role, she is the Global Head of the Investment Compliance product for State Street. Jennalyn is responsible for all aspects of the product management and development of post trade and regulatory compliance functions. She is also tasked with the development of a global product structure for key Investment Compliance solutions, including the Charles River integration and technology. In addition, Jennalyn focuses on new business development for new and existing Investment Compliance clients.

Jennalyn began her career here at State Street in Fund Administration in 2001. In that time, she has held several roles of increasing responsibility within Compliance. Jennalyn was part of a small team that pioneered the launch of the centralized compliance team within the Fund Administration division of State Street in 2005, and further continued to centralize Compliance services across North America within one team.

Prior to joining State Street, she held several roles of responsibility within the Accounting division of Putnam Investments. Jennalyn has over 21 years of investment compliance experience and over 24 years of industry experience. Jennalyn received a Bachelor of Science in accounting from Merrimack College.



## Jack Carnes

Managing Director, Product Development

State Street

### Biography

Jack is a Managing Director within the Asset Servicing Product organization focusing primarily on Financial and Regulatory Reporting. He is responsible for technology strategy and deployment, execution against product roadmaps, and product commercialization.

He has over 25 years of industry experience, 18 of which have been at State Street. Prior to joining State Street, Jack held a variety of operational and project management roles and DWS and IBT.



## Yvette Hollingsworth Clark

Executive Vice President, Chief Compliance Officer

State Street

### Biography

Yvette Hollingsworth Clark, Executive Vice President is State Street's Chief Compliance Officer (CCO). Yvette is a member of the executive leadership team for Risk and Compliance reporting directly to the Chief Risk Officer and has accountability to the Examining and Audit Committee of the Board of Directors.

As CCO, Yvette is responsible for compliance activities globally at State Street including designing and implementing structures and processes that integrate the principles of effective compliance into daily operations to manage risk and drive good governance. Additionally, Yvette is responsible for establishing frameworks designed to ensure compliance with law, regulations, and policies regarding financial services regulatory requirements. She has direct oversight for Anti-Money Laundering/Know Your Customer (AML/KYC), Ethics, Conduct, and Privacy programs.

Prior to joining State Street, Yvette was the head of compliance for Google's Consumer Trust business based in California. Her career compliance experience includes progressively challenging roles with Barclays Capital, Citigroup, and Wells Fargo. While at Wells Fargo, she served as Executive Vice President and Chief Compliance Officer and was responsible for enterprise-wide consumer protection, as well as the banking and securities regulatory framework that had oversight of approximately 8,600 global locations through a team of 1,800 employees. Her career experience also includes time spent as a regulator with the Federal Reserve System.

Yvette is active in the community and has served on many not-for-profit Boards and regularly speaks at industry events regarding compliance and risk management related topics.



## Matthew Conover

Managing Director, Conduct Risk Management Office

State Street

### Biography

Matt Conover is the head of Conduct Risk Management Office leading a team of subject matter experts responsible for processes designed to manage the risks of insider trading, conflicts of interest, whistleblower, incentive compensation, and business and personal conduct. In addition, he is responsible for State Street's implementation of StarCompliance. He is a member of the Compliance Senior Leadership team, Core Compliance and Ethics Committee, the Conduct Standards Committee working group, Incentive Compensation Committee, the Insider Threat Council and various talent and employee engagement working groups. Matt has been with State Street since 2009 and has had various roles across Compliance. Prior to State Street Matt worked in management consulting. Matt is a graduate of Boston University and has an MBA from Boston College. Matt lives outside of Boston with his wife and two young daughters.



## Richard A. Fontes

Vice President, Product Manager ESG Solutions

State Street

### Biography

Richard A. Fontes is an ESG Product Manager at State Street where he conceptualizes and implements integrations of ESG data and frameworks into the various technology platforms and investor services that State Street offers to the world's leading asset owners and asset managers.

Rich believes that financial services firms and financial markets play a pivotal role in addressing the climate crisis as well as the pressing environmental and social justice concerns of the modern era and he seeks to develop innovative products and services that empower investors to mitigate ESG risks and identify and capture ESG opportunities.

Rich has held various analytical, consulting and project management oriented roles in his 15 year career in the financial services industry, which includes time at State Street Global Advisors, Wellington Management and Fidelity Investments. Rich is also an avid supporter of the ESG academic community, having served as a research assistant on various ESG initiatives at Boston University. Rich is also a frequent guest lecturer on ESG topics at various academic institutions and he mentors several young ESG professionals.

Rich is a CFA Charterholder and a member of CFA Boston's Sustainable Investment Taskforce.

Rich holds a MBA from the Questrom School of Business at Boston University and a BSBA from Merrimack College.





## Brian F. Link

Managing Director, Managing Council

State Street

### Biography

Brian F. Link has over 23 years of experience in the financial services industry. He has been a member of the Fund Administration Legal Department of State Street Bank and Trust Company since 2004. He has experience in all aspects of mutual fund legal, regulatory and compliance support services. Mr. Link has provided support to a variety of clients, including open- and closed-end investment companies, exchange-traded funds and master-feeder structures. He has launched new funds, registered additional series of existing funds, prepared proxy statements, and responded to routine SEC and regulatory exams. Mr. Link also has significant experience in preparing and reviewing board materials and presenting memoranda to the board and acting as assistant secretary to fund complexes. He is active in State Street's sales efforts and has served on panels at State Street's Chief Compliance Officer Forum discussing newly adopted rules and regulations.

Mr. Link began his legal career as a paralegal with Fidelity Investments and with Deutsche Asset Management where he coordinated and oversaw the regulatory filing obligations of each firm's proprietary funds.

Mr. Link holds a law degree from the New England School of Law and an LL.M in Banking and Financial Law from the Boston University School of Law. He also holds a B.S. in Biology from Rutgers University. He is a member of the Massachusetts Bar.



## Brenda Lyons

Executive Vice President and Executive Business Manager for Investment Services

State Street

### Biography

Brenda Lyons is executive vice president and the executive business manager for Investment Services. In this capacity, Brenda is charged with executing against the strategic priorities of the Investment Services organization, acting as the central network for business management across the division globally and providing management support and engaging management functions to drive strategy execution. Previously, Brenda served as global head of Asset Servicing Product responsible for establishing product and commercialization strategies, product development and management of product solutions and advocacy for our products with clients and in industry forums.

Across her 30-year career, Brenda has demonstrated capability in driving and executing innovative and transformative change across global businesses, aligning businesses to achieve a common strategy and establishing industry differentiation for products and services. Prior to joining State Street, Brenda was a managing director with Deutsche Asset Management (and its legacy companies) where she served as president of the Scudder Mutual Funds, among other responsibilities. After leaving Deutsche Asset Management, Brenda started a consulting practice where she consulted to a board of trustees overseeing a large mutual funds complex.

Brenda is experienced in board governance serving as a member of the IFDS board, and previously State Street Foundation and Syntel Services Private Limited boards. Brenda is a former member of the board of directors for Big Sisters of Greater Boston, Cradles to Crayons, Thayer Academy and The Sage School. Brenda is also a member of C200 and The Boston Club. Brenda received a Bachelor of Science in marketing from Bentley College.



## Abigail P. Hemnes

Partner, Asset Management and Investment Funds Practice

K&L Gates

### Biography

Abigail Hemnes is a partner in the firm's Asset Management and Investment Funds practice group. Abigail focuses her practice on representing registered investment companies and their boards of directors on all matters of regulation, registration and compliance; including new product launches, disclosure matters, and proxy issues, as well as internal and external reorganizations. She has experience representing registered investment companies before the Securities and Exchange Commission on matters relating to registration statements, proxy statements and other filings. She has further experience working with all types of registered fund structures, including funds of funds, manager of managers structures, and funds targeted to investors with certain expected retirement dates.



## Hayley Jodoin McCarthy

Managing Director and Managing Council

SSgA

### Biography

Hayley Jodoin McCarthy is Managing Director and Managing Counsel in the Legal Department of State Street Global Advisors (SSGA). Hayley serves as the Global Head of ESG Legal Matters for SSGA. In addition, Hayley provides legal support for the Global Defined Contribution Business and advises on securities law and general fiduciary and ERISA-related matters. Prior to this role, Hayley led a team supporting the firm's private common and collective funds, and has held positions advising on the firm's regulatory and public policy matters, as well as supporting the firm's institutional and intermediary distribution channels. Prior to joining SSGA, Hayley was Associate Counsel at Natixis Investment Managers where she provided legal counsel to the firm's registered mutual fund business. Hayley earned her Juris Doctor from Suffolk University Law School and a Bachelor of Arts from The George Washington University. She is a member of the Massachusetts and New York bars.



## Michael Raffa

Senior Vice President, Global Head of Financial Crimes Compliance

State Street

### Biography

Michael Raffa is Global Head of Financial Crimes Compliance at State Street Corporation. Present in 29 countries around the world and designated a Global Systemically Important Financial Institution by the Financial Stability Board, State Street Corporation is a global leader in managing assets under custody and exchange traded funds. Prior to joining State Street Corporation in March 2017, Michael was Head of Financial Crimes Compliance at Santander Holdings USA. Santander Group is a global bank with leading presence in the U.S., Europe, UK and South America. Michael was also previously Global Head of AML Shared Services at TD Bank Group where he was accountable for overseeing the design, execution and oversight of Financial Crimes Compliance Programs. TD Bank Group is a global bank with strong franchises in personal and commercial banking and wealth management, including TD Bank and TD Ameritrade.

Michael was born and raised in Canada. He obtained his MBA at the Rotman School of Management at the University of Toronto where he also completed his undergraduate studies in history and political science. He is active in his community and is director and prior chair of an organization providing support to at risk children and youth.

<https://www.linkedin.com/in/c-michael-raffa-3712268>



## Marianne Oar

Managing Director, Private Markets

State Street

### Biography

Marianne Oar is a managing director and private markets product manager at State Street. She is responsible for leading product development and product strategy efforts across private markets.

Marianne has over 20 years' experience in alternatives asset servicing which includes managing fund accounting, investor services, financial reporting and tax reporting teams. In 2014, Marianne joined State Street's alternatives business solutions, strategy and product team. Marianne was the hedge fund product manager prior to taking over the private markets product manager role in 2020. She was part of the team who launched Alpha for Private Markets<sup>SM</sup> in 2021 with the acquisition of Mercatus.

Marianne is an active participant in the SIFMA AMG Alternatives Investment Operations Forum.

She earned a Bachelor of Science in Finance from the University of Massachusetts and a Master of Arts in Business Administration from Framingham State College.



## Elisa O'Keefe

Managing Director, Product Development

State Street

### Biography

Elisa joined State Street in 1993 and is currently a Managing Director in the Asset Servicing Product Group. Elisa is a leader in the Fund Administration product team, focusing on new business development for new and existing Fund Administration clients.

Elisa was recently responsible for the redesign of Asset Servicing Global Fee Schedule Governance model. Previously, Elisa held a leadership position within the Global Relationship Management team, overseeing client satisfaction and business development for many large global clients within the State Street organization. Elisa is a member of several State Street committees tasked with overseeing product development and new business opportunities.

Elisa is an active member in her community supporting and raising funds for breast cancer treatment and research through South Shore Hospital and Massachusetts General Hospital



## Clair Pagnano

Partner

K&L Gates

### Biography

Clair Pagnano concentrates her practice on the representation of registered investment companies and their investment advisors. She regularly advises open and closed-end investment companies and their boards of directors on issues related to new fund development and launch, compliance and regulatory issues, including the implementation of new rules, fund mergers, liquidations, and restructuring transactions. Clair has extensive experience advising funds and advisers on closed-end fund matters. Through her representation of some of the largest closed-end fund sponsors, Clair has served as lead counsel on dozens of initial public offerings, preferred share offerings, leverage refinancing transactions, proxy contests, tender offers, mergers, liquidations and open-ending transactions. Clair has worked extensively representing advisers and funds with respect to the use of alternative investment strategies and asset classes. She also has experience working with alternative structures including closed-end interval fund and closed-end tender offer funds.

Clair also regularly advises on exemptive applications and no-action letter requests to the Securities and Exchange Commission. Clair also works closely with funds and advisers chief compliance officers on all aspects on compliance issues.

Prior to joining K&L Gates, Clair was an associate in the investment management group at a large New York City law firm where her practice focused on advising registered investment companies on all aspects of regulation and compliance. From 1999 – 2001 she was a legal product manager for Fidelity Investments.





## Mark Parker

Managing Director, Product Development

State Street

### Biography

Mark Parker, Managing Director, Investment Risk Services - Mark is director of our Investment Risk Analytics and ESG services business line. Responsible for business development and strategy. Joined State Street in August 2014.

Prior to State Street Mark was a Senior Sales Executive at SS&C Technologies, responsible for growing business for SS&C's suite of investment accounting and software solutions. Before joining SS&C, Mark was with FactSet Research Systems responsible for the support and business development of new and existing investment managers and hedge funds. Mark stated his career as an Electrical Engineer.

Mark holds an M.B.A. from Northeastern University and a B.S. in Electrical Engineering from Rochester Institute of Technology.