

**Exhibit 9.** Information about the designated compliance officer (identified in Item 4) of the Applicant/NRSRO:

- Name. **Michael Brawer**
- Employment history. **See below**
- Post-secondary education. **See below**
- Whether employed by the Applicant/NRSRO full-time or part-time. **Mr. Brawer is employed full-time by Egan-Jones Ratings, the NRSRO.**

## **EMPLOYMENT HISTORY**

Egan-Jones Ratings  
New York, NY and Haverford, PA  
***Designated Compliance Officer and  
Chief Risk Officer*** ***November 2019 – Present***

Morningstar Credit Ratings  
New York, NY  
***Chief Operating Officer*** ***July 2018 – November 2019***  
***Chief Compliance Officer*** ***August 2016 – July 2018***

S&P Global  
New York, NY  
***Sr. Director, Enterprise Risk Management*** ***2013 – 2016***  
***Global Head of Regulatory Audit*** ***2011 – 2013***  
***Head of Compliance Monitoring and Examinations*** ***2008 – 2011***

American International Group, Inc (AIG) ***February 2006 – February 2008***  
New York, NY  
***Director, Compliance Monitoring and Examinations***

Prudential Financial, Inc. ***April 2004 – February 2006***  
Newark, NJ  
***Director of Compliance, International Insurance***

AXA Advisors, LLC ***February 2000 – April 2004***  
Miami, FL  
***Compliance Manager, International Insurance Operations***

John Hancock Financial, Inc. ***April 1996 – February 2000***  
Miami, FL  
***Compliance Specialist***

## **EDUCATION**

University of Miami  
Coral Gable, FL

*June 2001*

- Master of Business Administration, Finance Concentration

George Washington University  
Washington, DC

*May 1993*

- Bachelor of Arts, International Affairs Concentration