



April 9th, 2020

Chairman Jay Clayton
U.S. Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549

Dear Chairman Clayton,

On January 14, 2020, you received a letter from Chairwoman Maxine Waters and Chair Joyce Beatty of the House Committee on Financial Services and Subcommittee on Diversity and Inclusion respectively, regarding the lack of diversity on advisory committees at the Securities and Exchange Commission (SEC).¹ In particular, there were no African American members on the newly formed Asset Management Advisory Committee. Given your vocalized commitment to diversity and inclusion, I offer how the National Association of Securities Professionals (NASP) can recommend our members as advisory committee appointees and otherwise offer diverse perspectives and advice on securities issues.

NASP is the premier trade association for people of color and women in the financial services industry. It is dedicated to connecting its members to leaders of organizations and governance oversight that create equal representation and inclusion. We intentionally provide education opportunities; build awareness about the value of ensuring that people of color and women are included in all aspects of the financial services industry.

Through many years of research, it is proven that organizations both public and private, who have board composition that is reflective of the population/consumers that it serves, consistently outperforms those organizations who do not have that representation. It has also been said that good governance, produces good organizations.

In hopes that you will immediately add to the diversity of existing advisory committees, we are submitting a list of our NASP Board members for your consideration as appointees to SEC's advisory committees. These individuals possess the knowledge, skills and expertise in finance, governance, and regulatory oversight.

¹ "Waters and Beatty Blast Lack of Diversity on SEC Advisory Committees," (January 14, 2020), House Financial Services Committee press release at <https://financialservices.house.gov/news/documentsingle.aspx?DocumentID=406067>.



We ask that you review the background of these leaders and do reach out to NASP for additional information and advice you may need further strengthen our federal institutions, in providing insights and oversight to our nation's financial systems.

We look forward to you reply and appreciate your consideration.

Sincerely,

A handwritten signature in black ink, which appears to read "Ron Parker", is positioned below the word "Sincerely,". The signature is fluid and cursive, with a long horizontal flourish extending to the right.

Ronald C. Parker

President & CEO - National Association of Securities Professionals

CC:

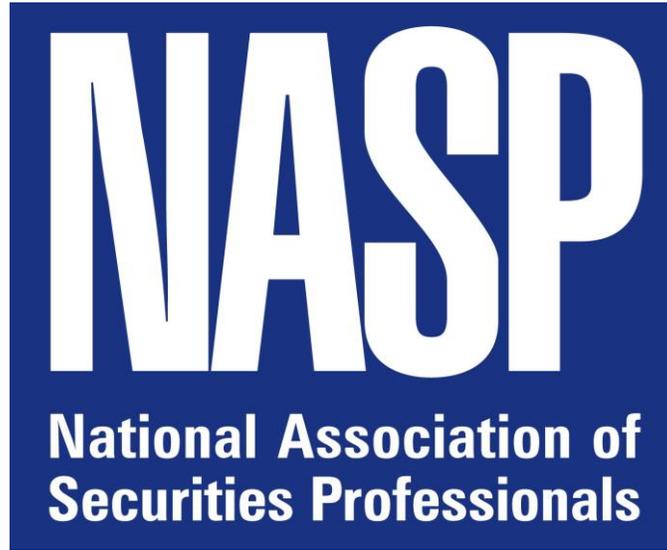
Congresswoman Maxine Waters

Congressman Patrick McHenry

Congresswoman Joyce Beatty

Congresswoman Ann Wagner

Guy T. Logan, NASP Chairman



NATIONAL ASSOCIATION OF SECURITIES PROFESSIONALS

2020 BOARD OF DIRECTORS



Reese Blair

Audit Partner
Deloitte & Touche LLP

Reese Blair is an audit partner in Deloitte's Investment Management Services group who has supervised, managed, and directed audits and other attestation services for a wide variety of clients in the financial services industry. He brings more than twenty years of experience focused on the audits of closed and open-end mutual funds, broker-dealers, investment advisers, as well as alternative investment funds, including fund-of-funds, hedge funds and private equity funds, where he specializes in valuation, derivatives, and internal controls testing. He facilitates several industry specific trainings each year for both clients as well as employees of the firm. His areas of specialization are in staff development, resolving legal and regulatory compliance issues, data transfer and security, and overall audit engagement workflow management. He also leads one of the Greater Philadelphia office's business resource groups focused on promoting an inclusive culture in which firm employees collaborate on professional development, recruiting and community engagement initiatives.

Reese is the partner champion for Deloitte Greater Philadelphia's focus on education, specifically influencing college and career success. He has been a mentor to many young people, including through the firm's signature Deloitte Academy program. Reese is a member of the Greater Philadelphia Chamber of Commerce's Education & Talent Action Team. Reese also serves on the Executive Committee of Temple University's Accounting Circle, comprised of business and community leaders throughout the Greater Philadelphia marketplace who provide support and industry insights to the Department of Accounting at the Fox School of Business. Reese also serves on the board of the PICPA Foundation.

Reese has a BS in accountancy from Saint Joseph's University and is a Certified Public Accountant and has been included on numerous Deloitte leadership councils for his dedication to and quality performance within the profession.



Leslie F. Bond
Chief Executive Officer
Attucks Asset Management, LLC

Mr. Bond is Founder and Chief Executive Officer of Attucks Asset Management, LLC. Attucks is an independent and entrepreneurial firm that specializes in creating manager-of-managers portfolios, allowing institutional investors the opportunity to invest with minority- and women-owned and emerging investment managers in a risk-controlled environment. Formed in 2001 in Chicago, Attucks is a minority-owned and operated firm that understands the unique challenges of this market segment.

Prior to founding Attucks Asset Management, LLC, Mr. Bond held senior positions in both government and the investment banking industry. He served as Staff Attorney for the Metropolitan Pier and Exposition Authority of Chicago, with responsibility for the development and financing of the \$1 billion McCormick Place Expansion project and the \$500 million renovation of Navy Pier. Subsequently, he served as General Counsel to the Comptroller of the City of St. Louis, with additional responsibilities as Fiscal Manager of External Finance. He directed the City's financing activities for the TWA Dome, Kiel Center and Lambert International Airport. Mr. Bond also founded Columbia Capital Management, LLC in 1996, which provides financial and investment advisory services to government entities.

Mr. Bond received an AB degree from Princeton University. He received his J.D. and M.B.A. in finance and marketing from Northwestern University. Mr. Bond currently serves on the Board of and is past Chairman of the National Association of Securities Professionals. He is also an active member of the Business Leadership Council. In 2012 Mayor Rahm Emanuel appointed Mr. Bond as a Commissioner to the City Plan Commission. He is Chair of the Board of Directors of the eta Creative Arts Foundation and Treasurer of the Center for Tax and Budget Accountability



Kathleen Colin
Director of Investments
Oppenheimer & Co., Inc.

Kathleen Colin has over 25 years of institutional and private client investment service experience specializing in sales and marketing for a wide range of investment strategies and financial products.

Colin's industry tenure was predominantly at Prudential/Wachovia Securities in Detroit, Michigan where she established a premier middle markets institutional brokerage business and grew a successful wealth management practice. During her time at the firm, Colin hosted financial literacy and retirement planning seminars providing direct outreach to the citizens of the metropolitan Detroit area focusing on generational wealth building for municipal employees, people of color and women resulting in over \$40 million in private client assets under management.

Most recently while at ICAP (New York), Colin established and managed a new client network and revenue stream for the buy-side investment community – helping brand ICAP as a key global execution and liquidity brokerage alternative. She also achieved directed brokerage designation on over \$70 billion cumulative pension and plan sponsor assets and served as the point of contact for the Emerging/Diverse Manager (EM) and consultant community. Further, Colin implemented ICAP's Transition Management Services platform by forging strategic alliances resulting in lead managing over \$350 million in fixed income and \$750 million in equity manager transitions. In addition, Colin served as Director of Marketing for ICAP's only proprietary/in-house investment management product: Pronous Fund of Hedge Funds; doubling Fund AUM (assets under management) to \$50million by securing institutional placements. A champion of diversity, Colin founded the firm's Diversity Council.

Colin is a member of the National Association of Securities (NASP) Board of Directors and also serves as President of the Detroit Chapter of NASP. She has also served as an associate member of Council of Urban Professionals (CUP), Michigan Association of Public Employees Retirement System (MAPERS) and National Association of State Treasurers (NAST).

Colin is passionate about equality, empowering urban communities, and improving access and education to youth – all of which are demonstrated through her volunteer work. A native of Detroit, she serves as a Board Member for the Money Matters for Youth (MMFY) and Leadership Detroit/Chamber of Commerce. Colin is an active member of Delta Sigma Theta Sorority where she serves in many capacities to positively impact under-served communities. As President of NASP Detroit, she has led the chapter in highly-successful fundraising campaigns to ensure local college-bound students receive the needed resources. Colin is also a member of the NAACP – Detroit Chapter and the Charles Wright Museum of African American History in Detroit. She is an avid runner and believes in the importance of family, both direct and extended.

Colin received her M.B.A. from the New York University Stern School of Business and her B.B.A. from The Ross School of Business, University of Michigan. She currently holds the FINRA Series 7, 63, 65, 50 and 3 licenses.



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Sidney Dillard
Partner & Head of Corporate
Investment
Loop Capital Markets

Sidney Dillard is head of the Corporate Investment Banking Division at Loop Capital. In addition to managing the corporate team at Loop Capital, Ms. Dillard is responsible for relationship management and the team's business development efforts with corporations across all areas of the firm, including bond underwriting, initial public offerings, at-the-markets, share repurchase, private institutional capital raising and mergers & acquisitions advisory. Ms. Dillard serves on the firm's Management Committee and Fairness and Valuation Committee.

She has over 30 years of experience in financial services, encompassing a long tenure at The Northern Trust Company, where she was a Senior Vice President and Division Manager responsible for commercial banking, treasury management, retirement plan custody and investment services for large corporations.

Outside of Loop Capital, Ms. Dillard is heavily involved with various professional organizations. She is a member of the Chicago Network, International Women's Forum, Economic Club of Chicago, Obama Foundation Inclusion Council and a Leadership Greater Chicago Fellow. In addition to her organizational memberships, she also sits on various boards including the National Association of Securities Professionals (NASP), IFF, Girl Scouts of Greater Chicago and Northwest Indiana, Harriet's Daughters, Muntu Dance Theatre of Chicago (chair) and buildOn Midwest Advisory Board.

Ms. Dillard received a Masters of Management in Finance, Marketing and Management from Northwestern University's Kellogg Graduate School of Management and a Bachelor's of Arts in Economics from Stanford University.

She holds 7, 24, 63 and 79 licenses.



Dyice Ellis-Beckham

Managing Director, Public Funds
Invesco

Ms. Ellis-Beckham is a member of the Invesco Sales and Service team. As a Senior Director, she is responsible for relationship management and new business generation for institutional investors in public funds in the central United States.

Ms. Ellis-Beckham has more than 13 years of experience in the investment management industry. Prior to joining Invesco, she served as Senior Vice President of Institutional Sales/Client Services at Lehman Brothers Asset Management and was Vice President at Deutsche Asset Management in a similar role. She began her investment career in 1996 as an investment analyst and pension fund manager at General Motors Asset Management.

Ms. Ellis-Beckham graduated from the GMI Engineering & Management Institute in 1993 with a B.S.M.S. in Marketing and received a M.B.A. from Harvard Business School. She currently serves on the Board of Directors of the National Association of Securities Professionals (NASP) and is Chair of the NASP New York Chapter Foundation. She is also a member of 100 Women in Hedge Funds, Association of Investment Management Sales Executives (AIMSE) and numerous other retirement system industry associations including TEXPERS and LATEC.



Dale Favors is the founder and Managing Partner of Adaptive Growth Leadership, a strategic leadership and sales consulting firm. Dale spent 26-years as a financial professional working in sales and sales management for firms such as Morgan Stanley, Bloomberg, Royal Bank of Canada, Piper Jaffray and Thomson Reuters. Dale has built relationships with some of the world's largest hedge funds, asset managers, corporations and public pension plans, advising them on securities transactions and their usage of financial data and technology.

Dale attended Florida A&M University, where he graduated with an MBA and undergraduate degree in business and finance.

Dale Favors

Founder & Managing Partner
Adaptive Growth Leadership



Kristin Finney-Cooke

Senior Consultant
NEPC

Ms. Finney-Cooke joined NEPC in 2010 with her investment experience dating back to 1998. In her role at NEPC, Kristin sits on the Public Fund team assisting clients with the development of investment policies and objectives, asset allocation, the evaluation and selection of investment managers, and the measurement and analysis of investment performance. Kristin is the Co-Chair of the Manager Diversity Program Advisory Committee.

Prior to NEPC, Kristin was a Principal at Mercer Investment Consulting with broad responsibility in all facets of client management, which included providing clients (both public and corporate) with advice on asset allocation, investment policy development, investment manager selection, performance measurement and risk management. While at Mercer, Kristin was their National Public Fund Segment Leader for three years where she was responsible for ensuring relevant intellectual capital was leveraged throughout the firm, client solutions were proactive, cutting edge and used as a national resource for public fund clients. Additionally, Kristin led the Emerging Managers Task Force where she identified high conviction Emerging/MWDBE (Minority, Women and Disabled Persons Business Enterprise) managers, performed rigorous due diligence and helped develop and implement Emerging/MWDBE programs.

Prior to Mercer, Kristin was a Financial Advisor in the Private Client Services Group of Credit Suisse First Boston. At Credit Suisse First Boston, Kristin developed and implemented customized investment strategies for her high net worth and institutional client base. Kristin also conducted research in the private equity and hedge fund asset classes in order to identify opportunities for smaller institutional clients.

Kristin holds an MBA in Finance and Accounting from the University of Chicago and a BS from Howard University. Kristin also holds the Chartered Alternative Investment Analyst (CAIA) designation. Kristin is a frequent speaker at conferences including, National Council on Teacher Retirement (NCTR), Annual NASP of which she is a Board Member, Plan Sponsor and Emerging Minority Manager Consortium, IMN Public Funds Summit and IL PERS Conferences and the Stars and Stripes Conference.



Marcelia Freeman

Senior Vice President, Capital
Development & Investor Relations
EIG Global Energy Partners

Ms. Freeman is a Senior Vice President and a member of the Capital Development Team where she focuses primarily on new business generation and relationship management. She engages with institutional investors and investment consultants across a range of topics related to energy and infrastructure. She is a member of the firm's ESG and Allocation Committees.

Prior to joining EIG in 2015, she was a Director at WL Ross & Co. and Invesco Private Capital, where she was responsible for sales along with product development and product management. She had also been a Director within Invesco Institutional Sales, advising public pension plans in the southeastern United States. Prior to Invesco, Ms. Freeman worked at JPMorgan Chase in a number of roles, including within the firm's Office of the Chairman and within the JPMorgan Private Bank.

Ms. Freeman received an M.B.A. from the Harvard Business School and graduated with summa cum laude honors from Florida A&M University with a B.A. in Finance.

Ms. Freeman currently serves as Vice Chair of the Investment Committee for the Florida A&M University Foundation. She also serves as an Investment Trustee for the Montgomery County Public Schools Board in Maryland.



Deirdre Guice Minor is a U.S. Institutional Sales Executive for the Global Investment Services division of T. Rowe Price, the organization responsible for the firm's institutional business worldwide. She is a Vice President of T. Rowe Price Group, Inc., and T. Rowe Price Associates, Inc.

Ms. Guice Minor has 25 years of industry experience. Before joining the firm in 2017, Ms. Guice Minor was a Managing Director with UBS Asset Management. She also had similar roles at Rothschild Asset Management and Oppenheimer Capital in New York, Gartmore Investment Management in London and at Dreyfus Investment Advisors in New York. She started her career with the Division of Investment Policy with the Illinois State Treasurer's Office in Chicago.

Ms. Guice Minor earned a B.S. in Business Administration from Florida A&M University. She is a Series 7 and 63 registered representative.

Deirdre Guice-Minor

Institutional Business Development
T. Rowe Price Associates, Inc.



James Haddon

Senior Managing Director
Ramirez & Co., Inc.

Mr. Haddon is a Senior Managing Director at Ramirez Asset Management (RAM) and Ramirez & Co., Inc. He joined the Firm in January 2015 and has worked over 35 years in the asset management and investment banking business. Mr. Haddon reports directly to Sam Ramirez, Jr. and focuses on developing marketing strategies to grow RAM's assets under management from public pension funds, state and local governments, and corporations for RAM's fixed income products. RAM is very active in raising investment funds from both the defined benefit and defined contribution markets. In addition to his responsibilities at RAM, Mr. Haddon is involved with the marketing efforts to be awarded municipal and corporate debt and equity underwriting assignments as well as brokerage mandates for Ramirez & Co., Inc.

Prior to RAM, Mr. Haddon was employed for 5 years at PFM Asset Management as a Managing Director/Partner responsible for National Account marketing to state and local governments and pension funds. Prior to PFM Asset Management, Jim worked at Citigroup in various asset fundraising and investment banking roles. From 2007 – 2009, he was the Co-Head and Sales Manager for the Citi Alternative Investment Group where he led global fundraising teams for Citi's third party marketing mandates. From 1994 -2007, Mr. Haddon was Co-Head of Citi's Infrastructure Group in the Municipal Securities Division. In this role he was the senior manager for over \$30 billion in municipal debt financings. Prior to 1994, he worked at Paine Webber, Inc. as a Managing Director in the Municipal Securities Group.



Erik Hall

Executive Director, Client Group
GCM Grosvenor

Erik Hall has over twenty years of experience in capital markets, investment management and public finance. He joined independent alternative asset management firm GCM Grosvenor in 2014 where he is responsible for business origination, investor and consulting relations, as well as focusing on Grosvenor's Emerging & Diverse Manager efforts. Prior to joining Grosvenor, Erik spent fourteen years with Citigroup where he held a number of senior positions in the

Institutional Clients Group. He began his career at the Chicago Office of Budget & Management in 1996. Erik is the Vice Chair of the Board of Directors of the Chicago Community Loan Fund and a member of the National Board of Directors of the National Association of Securities Professionals. He is a graduate of Hampton University and earned a master's degree from the Harvard Kennedy School.



Mellody Hobson
Co-CEO & President
Ariel Investments

As Co-CEO, Mellody is responsible for management, strategic planning and growth for all areas of Ariel Investments outside of research and portfolio management. Additionally, she serves as Chairman of the Board of Trustees of the Ariel Investment Trust—the company’s publicly traded mutual funds. Prior to being named Co-CEO, Mellody spent nearly two decades as the firm’s President.

Outside of Ariel, Mellody is a nationally recognized voice on financial literacy. She has conducted extensive research on minority investing patterns and pens a column for *Black Enterprise* Magazine. Her leadership has also been invaluable to corporate boardrooms across the nation. She currently serves as Vice Chair of the Board of Starbucks Corporation; a director of JPMorgan Chase; and a director of Quibi, a short-form video content company. She previously served as Chairman of the Board of DreamWorks Animation until the company’s sale and was also a long-standing board member of the Estée Lauder Companies. Mellody’s community outreach includes her role as Chairman of After School Matters, a Chicago non-profit that provides area teens with high-quality after school and summer programs. Additionally, she is vice chair of World Business Chicago; co-chair of the Lucas Museum of Narrative Art; and a board member of the George Lucas Education Foundation. She also serves on the board at the Los Angeles County Museum of Art (LACMA). Mellody is a member of the American Academy of Arts and Sciences, The Rockefeller Foundation Board of Trustees, and serves on the executive committee of the Investment Company Institute. Mellody earned her AB from Princeton University’s Woodrow Wilson School of International Relations and Public Policy. In 2019, she was awarded the University’s highest honor, the Woodrow Wilson Award, presented annually to a Princeton graduate whose career embodies a commitment to national service. She has also received honorary doctorate degrees from Howard University, Johns Hopkins University, St. Mary’s College, and the University of Southern California. In 2015, Time Magazine named her one of the “100 Most Influential People” in the world.



Gennell Jefferson

Managing Director, BD & Private
Investments
State Street Global Advisors

Gennell is Managing Director, Business Development and Private Equity at State Street Global Advisors (“SSGA”). She is responsible for sourcing, underwriting and monitoring private equity investments and developing relationships with non-traditional investment partnerships, including women and minority platforms. As a private equity portfolio manager, Ms. Jefferson sits on the Limited Partner Advisory Boards for several private equity firms making investments in the communications, education, financial services, healthcare, media and technology sectors. She also supports SSGA’s Global Fiduciary Services team in new business development.

Ms. Jefferson joined SSGA in 2016 through its acquisition of GE Asset Management (“GEAM”) where she served as Senior Vice President, Strategic Business Development. In that role, she managed the firm’s minority & emerging manager program and private equity investments. Additionally, Gennell supported the office of the CEO for financial industry outreach, diversity recruiting and talent development. Prior to joining GEAM in 2012, Gennell spent over 20 years in corporate and investment banking at several firms including Bank of America and Lehman Brothers. As a banker, she raised debt and equity capital in excess of \$600 billion for Fortune 500 companies in the automotive, financial services, media, technology and telecom sectors. Gennell also has corporate treasury and product management experience. She began her career at Bank of New York, where she completed the bank’s credit training program with commendation and covered Wall Street investment banks. Gennell earned an MBA from the University of Michigan and a BS in engineering from Washington University in St. Louis. She serves on the board of directors of the National Association of Securities Professionals (Executive Committee) and A Better Chance, Inc. (Audit & Executive Search Committees). She is also a member of the Private Equity Women Investor Network. Gennell received The Network Journal’s 25 Influential Black Women in Business Award in 2015. She previously sat on the board of Gateway Charitable Foundation and held FINRA Series 7, 24 and 63 licenses.



Linda Jordan
President
The Jordan Group

Linda Jordan has been a financial services executive for more than 25 years. She currently serves as the President of the Jordan Group, a female owned business development firm based in Atlanta, GA. She is also a Senior Advisor to 5Capital, a firm that specializes in raising funds for best-in class private equity and real asset funds. Linda has previously served as a managing director in the institutional sales and marketing group at Mesirow Financial and prior to Mesirow Financial she served as a regional vice president of institutional sales and marketing at NCM Capital. Linda has held and continues to hold positions with numerous civic and professional organizations. Linda currently serves on the pension advisory committee for the Fulton Dekalb Hospital Authority as well as on the government relations committee for the GA Association of Public Pension Trustees. She has been a member of the National Association of Securities Professionals (NASP) for more than twenty years and currently serves on the board of NASP as Secretary of the board and on NASP's executive committee. She has served for several years and continues to serve as Co-Chair of NASP's Plan Sponsor Outreach Committee where her main responsibility is to reach out to plan sponsors around the country regarding NASP's annual pension fund conference. Linda's three year term as the President of NASP's Atlanta Chapter ended in December 2019, however, she is still very active with the local Chapter. Linda has also been an active member of the National Black MBA Association as well as the Atlanta Chapter of the National Black MBA Association. In 2018 she was appointed as Chair of the Community Affairs Committee for the Atlanta Chapter and in 2020 she was appointed as Chair of the Government Relations Committee. Additionally, in 2018 Linda was appointed to the board of the Fulton County Library by a unanimous vote of the Fulton County Commission and in 2019 Linda was re-elected to a second term as membership Chair of the LPGA Amateur Association.

Linda was lauded for her service to the mission of NASP with the Joyce Johnson Award in 2016 during its annual Pension and Financial Services Conference. GA Congressman Sanford Bishop honored this achievement by placing it in the Congressional Record of the United States 114th Congress, 2nd session issue, volume 162, No. 81. She was honored previously with the inaugural Financial Services industry Pioneer Award in Marketing by the Atlanta Chapter of NASP in 2011 and in 2006 Linda was the first African-American female to be inducted into the Academy of Distinguished Engineering Alumni at Georgia Tech. She is also included in the 2019 Issue of Who's Who in Black Atlanta and Linda is a member of Leadership Atlanta Class of 2000.

Jordan's previous leadership service includes her appointment to the City of Atlanta and Fulton County Recreation Authority where she served for more than twelve years including as treasurer and also as chair of the audit committee. Linda has served as chair of the corporate advisory committee for the Atlanta Chapter of the National Forum of Black Public Administrators (NFBPA) and she previously served as president of the board of directors for the YWCA of Greater Atlanta.



Guy T. Logan

Managing Director, Public Finance
Citigroup Global Markets Inc.

Guy Logan is Managing Director, Head of Metropolitan Issuers Finance Group, at Citigroup Global Markets Inc. where he has worked for over 21 years. He is responsible for delivering all investment banking services to municipal issuers throughout the United States. Prior to joining Citigroup, Guy worked at Moody's Investors Service, where he analyzed municipal bonds. Born and raised in Windsor, Ontario Canada, Guy received both his B.A. in Economics and his M.B.A from Union College. Guy is presently a term member of the Union College Board of Trustees and previously served on the College's President's Council.

Guy resides in Duluth, GA with his wife Dr. Pamela Logan and three children—Gregory, Evelyn and Grant.



David Baker Lewis

Of Counsel

Lewis & Munday, PC

David Baker Lewis served as Chairman and Chief Executive Officer of Lewis & Munday from 1972 to 1982 and 2004 to 2010. With more than four decades of experience in municipal finance, David is widely respected as an expert in municipal bonds, including revenue bonds, general obligation bonds, certificates of participation, bond offerings, bond purchase agreements, special tax bonds, state revolving bond funds, cash-flow borrowings, industrial development bonds and performing due diligence.

As co-founder of Lewis & Munday, David is a visionary who led the Firm to become the first minority-owned law firm listed in The Bond Buyer's Directory of Municipal Bond Dealers (the "Red Book"). With David's leadership, the Firm is consistently nationally recognized as one of the top bond counsel firms in the United States.



Shawn Lytle

Deputy Global Head/ President
Macquarie Investment
Management/Delaware Funds

Shawn K. Lytle is Deputy Global Head of Macquarie Investment Management and President of Delaware Funds by Macquarie. In this role, he leads the US business for Macquarie Investment Management, in addition to overseeing several multi-boutique investment teams that span all major asset classes and provide investment solutions for individual and institutional investors. Lytle joined Macquarie Investment Management (MIM), which includes the former Delaware Investments, in June 2015 as president of Delaware Management Holdings, Inc. (Delaware Investments). He became CEO and president of the Delaware Funds in August 2015 and director/trustee in September 2015. Before joining the firm, he held several management roles at UBS Global Asset Management where he worked for 13 years. He was regional head of the Americas for UBS for five years, based in Chicago and New York. Before that, Lytle worked in London in various roles within the firm's equity group, including deputy global head of equities. Before joining UBS in 2002 as a global equities portfolio manager, he worked for JPMorgan Asset Management for 10 years in a variety of roles in London and New York, including global equities client portfolio manager and US mutual fund sales. He received a bachelor's degree in marketing from The McDonough School of Business at Georgetown University. Lytle serves as chair on the board of directors of the National Association of Securities Professionals (NASP), he is a member of the board of directors of the Sustainability Accounting Standards Board (SASB), and he is a member of the board of governors for the Investment Company Institute (ICI).



Arthur McClearin

Principal

The Williams Capital Group, L.P.

As a Principal at The Williams Capital Group, L.P., I have over 35 years of institutional investment banking experience. As the Director of Marketing, I am responsible for managing the marketing and sales of Williams Capital's broad range of services to corporations, local, state and national government agencies and institutional asset management firms. Under my leadership, The Williams Capital Group was selected as a Senior Co- Manager to take The Prudential Insurance Company of Newark, New Jersey from a mutual company to a public company in 2001.

Prior to The Williams I held senior marketing positions at a number of boutique investment banks. Most notable is Daniels & Bell Inc., the first minority-owned investment bank to become a member of the New York Stock Exchange in 1971. Under my direction as Executive Vice President, Daniels & Bell was selected as Senior Co-Manager for The African Development Bank's Two hundred million Yankee Bond public securities offering. Daniels and Bell was also instrumental in taking Conrail public in 1987.

I began my banking career at Bankers Trust in 1972 after graduating from East Texas State University with a Bachelor of Business Administration degree. I received numerous promotions throughout my tenure at the bank. From Internal Auditing, Credit, I was promoted to Marketing Officer, then Assistant Treasurer and a Regional Marketing Manager. I transferred to the Marketing Department for International Banking. In this position I was responsible for marketing cash management services to international commercial banks, multi-national corporations, foreign governments and central banks in the Middle East and Africa.

I am, and have always been an advocate for minority firms in the securities industry. My philosophy of life is to be a beacon of light and a change agent that works to ensure that minorities participate in all aspects of the securities business.



Nadine Mentor
Founder & President
Mentor Holdings & Investments

Nadine Mentor has over 17 years of experience as an investment banker and investor. She is the Founder and President of Mentor Holdings & Investments, and is responsible for overall investment strategy.

She was most recently a Managing Director and Head of Southeast Regional Investment Banking for a New York City based investment bank. Ms. Mentor was previously a Director at Citigroup Global Markets, where she earned the recognition as one of the youngest Directors in the organization. Ms. Mentor has transacted over \$17 billion of financings nationwide.

In her career, Ms. Mentor was usually the only female of color working on financing transactions. This experience was a major catalyst for her to start Mentor Holdings & Investments. Here, she is able to identify and create opportunities to bring more women, especially women of color, to the transaction table while generating returns and building wealth for all stakeholders. She is passionate about increasing returns while increasing diversity in all levels in companies where Mentor Holdings & Investments invests.



Malik joined Ariel in 2004 and focuses on institutional business development and client services. Previously, he spent eight years with Bank One Brokerage, most recently serving as the lead broker on the European shift for its international exchange-traded products group.

Outside of Ariel, Malik is a member of the board of trustees of St. Ignatius College Prep and serves on the school board of Ariel Community Academy. He is also a director for the National Association of Securities Professionals (NASP), the Chicagoland Chamber of Commerce and a member of the DePaul University Department of Finance Advisory Board.

Malik Murray
Senior Vice President
Ariel Investments



Norice Rice has over 38 years of professional investment industry experience with a particular emphasis on global capital markets. She joined The Yucaipa Companies in 2003 where she is presently a Principal with capital raising responsibilities for the Yucaipa family of funds. Prior to joining Yucaipa, Norice was a Vice President at Jackson Securities, Inc. and before that Director of Investments for the State of Ohio, where she oversaw the management of \$13 billion of assets. Additionally, Norice was Vice President with Dean Witter Reynolds in the state of Texas. Norice has served three consecutive terms on the NASP National Board of Directors and received the organization's Joyce Johnson award in 2017. Additionally, she was elected President of NASP SoCal in 2009 and continues to serve as President. Norice has also served two consecutive terms on the NAST Corporate Affiliates Board from 2005-2010, was elected a Steering Committee Member of PE WIN (Private Equity Women's Investment Network) in 2010, and serves on the SACRS Board of Directors where she is a member of the Program Committee. Norice received her BA in Business Administration from Franklin University in Columbus, OH, and has held Series 7, Series 63 and Series 52 licenses.

Norice Rice

Principal

The Yucaipa Companies



Donna Sims Wilson
President
Smith Graham & Co. Investment
Advisors, L.P.

Donna Sims Wilson is the President of Smith Graham & Co. Investment Advisors, L.P., a \$6 billion investment management firm in its 29th year of operations. Mrs. Wilson is responsible for Business Development, Marketing and Client Relations. She also works in conjunction with the Chairman and CEO on new product development and short and long-term strategies for the firm. She serves on the firm's Executive Committee, Investment Policy Committee, and is a member of the Board of Directors.

Mrs. Wilson has 35 years of financial services experience, including formerly serving as Executive Vice President of CastleOak Securities, L.P. a leading New York-based boutique investment bank, where she also served on the Management Committee of the firm. Previously, she was President of M.R. Beal & Company and was a Founder and Managing Director of Loop Capital Markets. Mrs. Wilson was a Vice President at Bear Stearns where she sold mortgage-backed securities and started her career as an analyst in corporate finance at Lehman Brothers Kuhn Loeb.

Mrs. Wilson served as Chair of the Board of the National Association of Securities Professionals, a trade organization of minorities and women who work on Wall Street. She is a member of the Board of Directors of the Greater Houston Partnership and the United Way of Houston. She is also a member of the Economic Club of Chicago. Mrs. Wilson is a Past Chair of the Board of the Kohl Children's Museum of Greater Chicago, a former member of the Board of Trustees of the John G. Shedd Aquarium, and a former member of the Board of Directors of the CFA Society of Chicago. Appointed by the Governor of the State of Illinois, Mrs. Wilson is a former member of the Budgeting for Results Commission and the Governor's Export Council. She is a former Board Member of the Bond Market Association, currently known as the Securities Industry Financial Management Association (SIFMA), and a former Member of Fannie Mae's National Advisory Council. Mrs. Wilson has also served as Chairman of the Sub-Saharan Africa Advisory Board of the Export Import Bank of the United States.

Mrs. Wilson has received numerous industry awards including the 2012 "Women of Wall Street Industry Trailblazer Award" by Traders Magazine and the "Joyce Johnson Award" by The National Association of Securities Professionals. She was named "One of the Most Powerful Women in Business" by Black Enterprise Magazine and an "Influential Black Woman in Business" by The Network Journal, all in 2010. Mrs. Wilson was also a Chicago United 2009 Business Leader of Color. She is a frequent speaker at financial services industry events, has testified before the U.S. Congress on laws relating to diversity and has often moderated issue forum "Brain Trusts" for the Congressional Black Caucus. She has spearheaded the enactment of legislation that increased business opportunities for minority- and women-owned financial services firms and appeared on CNBC's Squawk Box and C-SPAN discussing issues of diversity and inclusion in the business of the economic recovery.



Rendel Solomon

Managing Director
Muller & Monroe Asset
Management, LLC

Rendel is a Managing Director with Muller & Monroe Asset Management (M2), a Chicago based private equity firm that advises on approximately \$1.2 billion of assets. Rendel focuses primarily on sales & marketing and client service, and he is also a member of the investment section. Prior to joining M² in 2008, Rendel worked as an entrepreneur in the media and entertainment industry in New York and as an engineer at P&G in Cincinnati. Rendel obtained his BS in Electrical Engineering from Tulane University and his MBA from Columbia Business School.

In June 2016, Rendel founded the non-profit One Stock One Future NFP (OSOF) to turn one million youth into public company shareholders. OSOF uses workshops to expose young people to stocks and ownership, then, with generously donated funds, the organization purchases gift certificates for public company stocks so that each student can open their first investment account. The goal is to give each student a sense of Hope, Inspiration, Empowerment, and Opportunity via stock ownership.

In July 2017, Rendel created League of Superwomen, a networking and panel series designed to showcase women entrepreneurs and to engage in a powerful discussion about entrepreneurship. These Superwomen share their motivation, along with practical feedback, guidance, and advice for current and aspiring entrepreneurs. They also discuss how to address various entrepreneurial challenges including fear, risk, business planning, access to capital, sales, operations, customer acquisition, human resources, marketing, and succession planning.



Stephanie Roberts

Partner

Garcia Hamilton & Associates, L.P.

Ms. Roberts graduated Magna Cum Laude from Texas Southern University in 1990 with a B.B.A. in Finance. From 1990 to 1996, she worked with the Federal Deposit Insurance Corporation where she held several positions including Claims Specialist. She also worked as a Paraplanner for American Express Financial Advisors from 1996 to 2000. Ms. Roberts joined Garcia Hamilton & Associates in 2000 as an Equity Trader and has also served as an Investment Analyst. She became a partner of the firm in 2014. Currently, she focuses on client service and new business development.

Ms. Roberts was instrumental in organizing the Texas chapter of the National Association of Securities Professionals (NASP) and presently serves as the chapter's Treasurer.

GH&A has received numerous industry recognitions including 2019 Fixed Income Manager of the Year, 2018 Fixed Income Manager of the Year and 2010 Core Fixed Income Manager of the Year by Emerging Manager Monthly. Other awards include 2018 US Fixed Income Manager by FundMap, 2014 Fixed Income Investment Grade Manager of the Year, 2015 Intermediate-Term Fixed Income Manager of the Year, and 2016 Intermediate-Term Fixed Income Manager of the Year by Institutional Investor. Additionally, GH&A is proud to announce that it is a multi-year winner (2018, 2017 & 2016) by Pensions & Investments for Best Places to Work in Money Management. As well as being named among Houston Business Journal's 2018 Best Places to Work.



Lee Stephens
Executive Vice President
BNY Mellon

Lee Stephens currently leads BNY Mellon's strategic business development efforts with the U.S. Federal government and its departments, agencies and government-sponsored enterprises. As a member of the U.S. Client Management leadership team, he is responsible for ensuring that business solutions from across the BNY Mellon enterprise are delivered to clients and prospects in the sector. Lee is an Executive Vice President and in this capacity serves as a member of BNY Mellon's Senior Leadership Team (formerly, Operating Committee). He assumed his current responsibilities in June 2010 after returning from a posting in the BNY Mellon's Hong Kong offices where he served as Chief Administrative Officer for the Asia Pacific Region since October 2008. There he oversaw the build-out of shared-services and infrastructure in the region, which is comprised of sixteen offices in twelve countries. His duties included coordinating the application of consistent policy and practice in the Finance, Human Resources, Information Technology, Corporate Communications, Risk Management & Compliance, Marketing and Legal disciplines serving the country offices and lines of business represented in the region.

Prior to October 2008, Lee managed the BNY Mellon's Public Sector Banking practice, which included client management and public finance activities for U.S. - based tax exempt institutions. His executive duties included oversight of the sales, marketing, corporate finance and relationship management functions directed towards public funds, government agencies and other municipalities, endowments, foundations and nonprofit hospital/healthcare entities. Prior to that role, Lee held successive senior managerial positions in the National Government Banking, Fund Managers, Mutual Funds and Securities Industries divisions of the Bank.

Lee has 36 years of commercial banking and securities industry experience. He joined The Bank of New York in 1990. Before joining BNY Mellon, Lee served in senior official positions with Continental Illinois Bank and Chemical Bank, where his experiences included deployments in Taxable Fixed Income Securities Sales & Trading, as well as Corporate Banking.

Lee currently serves as the Chairman of the Advisory Board of the Johns Hopkins University, Center for Talented Youth. He is also a former board member of the New York Chapter of National Association of Securities Professionals, the Lower Eastside Service Center, Inc. (a nonprofit community service organization serving lower Manhattan) and The Seamen's Society for Children and Families on Staten Island, New York.



Miguel Thames
Managing Partner
T.I.G Advisory

Miguel Thames is a successful executive with over 30 years of experience in the financial services industry. During his career he has held senior management positions in global business development, with responsibility for sales, consultant relations, and client service for a large asset management company. These positions covered personnel and relationships in the US, Japan, Europe and the UK. He also has an extensive background in portfolio management and transactions, including public fixed income portfolios, private placements, and financial restructurings. Miguel has developed strong direct relationships with large public and private institutional investors in countries in Latin America and Africa. While each region and country operates within a distinct cultural and regulatory framework, he has been effective at building direct relationships with key individuals, and generating asset management opportunities for the US based investment boutiques he worked with.

In 2019, Miguel launched T.I.G. Advisory LLC. The firm focuses on; (a) facilitating institutional engagement and investment in Africa, (b) advising US focused asset managers and fund sponsors in business development. Through an extensive network of institutions, fund sponsors, local corporate and government influencers in sub-Saharan Africa, Miguel leverages his understanding of the US institutional investment and asset allocation process to better enable decision makers to evaluate risks and opportunities. For fund sponsors and asset managers he leverages his extensive experience and relationships in the US institutional market to help drive success in business development and relationship management. Prior to 2018, Miguel was responsible for leading the business development activity of PGIM in Latin America and Africa. He represented and introduced PGIM business capabilities in fixed income, quantitative and fundamental equity, real estate private equity, mortgage capital and private placements to the largest institutional investors in specific target countries on these continents. As a Managing Director in the Institutional Relationship Group, he focused on gaining critical access to key decision makers driving the asset allocation decisions at approximately 40 institutions across 9 countries, that oversee \$900 bln in institutional portfolios. Key decision makers include not only institutional executives at the CIO and equivalent level, but also advisors and influential government leaders in key ministries and positions. Through establishing and developing these direct relationships, he generated opportunities for offshore asset management, and led the engagement of the appropriate business units within PGIM. Over a 3-year period, Miguel successfully generated asset management opportunities for PGIM in excess of \$3bln, and established lines of communication and access to critical decision makers.

In his previous position as head of sales and consultant coverage, Miguel was responsible for the business development activity of PGIM Fixed Income globally, and later with specific focus on the US exclusively. He built the consultant relations function and team for PGIM Fixed Income, and developed coverage strategies that leveraged the institutional consultant channel for sales/marketing outreach. Under his leadership strong relationships were built and maintained across 10-15 key institutional consulting firms. This channel generated search opportunities exceeding \$9 billion for PGIM FI in 2014, Miguel's last year heading the group. He led a sales team of professionals, operating regionally and targeting a select group of the largest institutional plans and asset allocators the US, Europe and Japan. Over a 7-year period (2007-2014), annual sales more than doubled and reached record levels of \$15 billion. Total assets added through new business, and expanded existing client accounts, exceeded \$200bln.

Miguel has experience as a portfolio manager of publicly traded fixed income for pension clients, and a manager of loan portfolios of financially troubled/restructured companies. He worked for five years in underwriting of private debt and equity transactions, five years in private loan workouts, and six years as a fixed income portfolio manager.

Miguel has been active in several industry organizations. He is currently a member of the board of directors for the National Association of Securities Professionals (NASP), and has served many years on the planning committee for the Africa Financial Summit, a symposium organized by NASP. He was a recipient of the National Eagle Leadership Institute award in 2006, Miguel has been a director on the boards of technology related start-up companies in Africa and the US. He was a member of the investment committee for the International Foundation of Employee Benefit Plans (IFEPP), and served as Chairman of the investment committee for two years. Miguel has extensive public speaking experience and has been a featured presenter and panelist at several conferences including NASP, IFEPP, NABA and the Titans of Industry series.



Paul Thornell

Principal
Mehlman Castagnetti Rosen &
Thomas

Paul Thornell brings over 20 years of experience serving in leadership roles in the financial services sector, non-profit organizations, trade associations, the White House, Capitol Hill and Presidential campaigns. His work in policy, politics, regulatory, and advocacy arenas has provided him with a distinct variety of perspectives and shows a record of demonstrated results in government, corporate and philanthropic sectors.

Prior to joining Mehlman Castagnetti Rosen & Thomas, Thornell served for over 12 years in the Washington office of Citigroup, the leading global bank doing business in 160 countries and jurisdictions around the world. There, he helped lead the company's engagement with policy makers through the financial crisis, enactment and implementation of landmark financial reform laws, and various legislative and regulatory developments. In this role, he represented Citigroup's interests before Congress and the Administration, focusing on a range of policy and regulatory issues related to capital markets, regulatory reform, corporate governance, consumer lending and housing. Working with various trade associations in these duties, Thornell was appointed Chairman of the American Banker Association's (ABA) Legislative Liaison Advocacy Council.

In the non-profit sector, Thornell served as Senior Vice President of Public Policy and Field Leadership at United Way of America (now United Way Worldwide), the nation's largest charity. In this role, Thornell developed and advocated on behalf of United Way's public policy agenda before Congress and the Administration; led the organization's relationship management work with the nearly 1,400 local United Ways; and oversaw United Way of America's work in Disaster Preparedness and Response. Thornell has previous experience working in the multi-client world as Managing Director for Public Affairs in Hill and Knowlton's Washington office managing a variety of clients, for whom he provided strategic counsel, directed government relations and developed strategies on media relations and third party engagement.

In government, Thornell served at the White House as Deputy Director of Legislative Affairs for Vice President Al Gore where he was a senior liaison for Vice President Gore with Members of Congress, promoting the Clinton/Gore Administration's policy policies and directing the Vice President's activities and communication with U.S. Senators and U.S. Representatives. He worked in the U.S. Senate on the Leadership staff of former Senate Democratic Leader Tom Daschle (D-SD) as the Leadership's chief liaison to education, children's, social service, civil rights, religious organizations, governors and mayors. He also worked in the state office of former U.S. Senator Harris Wofford (D-PA).

In addition to his formal professional roles, Thornell has served as an informal advisor to Senate and House Democratic leaders and committee chairs in the effort to increase diversity among senior level staff on Capitol Hill. Frequently speaking before top Senate and House staff, convening discussion sessions on the topic with corporate executives and other thought leaders, and consulting with Senators and House Members, Thornell has demonstrated his commitment to creating a more diverse Capitol Hill. Thornell has also volunteered on Presidential, Senate and House campaigns in Pennsylvania, Missouri, Colorado and Massachusetts.



Richard Turnley, III is the Regional Director of Institutional Sales and Marketing at Channing Capital Management, LLC. Mr. Turnley has over 25 years of investment management experience and was formerly the President of Atlanta Wealth Advisors. Prior to Atlanta Wealth Advisors, Mr. Turnley was an investment management consultant for Bank of America and Smith Barney, where he was responsible for developing and managing client relationships with endowments, foundations, trusts and high net worth individuals. Prior to his work as an investment management consultant, Mr. Turnley was a corporate banking associate with Wachovia Bank. Mr. Turnley currently serves as a member of the NASP Board of Directors and the St. John the Evangelist Catholic School Advisory Board. Mr. Turnley received a B.S. in Business Administration and an MBA from Florida A&M University.

Mr. Turnley currently resides in the City of Atlanta with his wife Katherine and their two daughters Kai & Keira. In his free time he enjoys golf, cycling, photography and traveling with his family.

Richard Turnley

Director of Institutional Sales &
Marketing

Channing Capital Management, LLC



Kila Weaver

Vice President, Marketing & Client
Services
FIS Group

Ms. Weaver is responsible for marketing and client service efforts institutions in the Midwest and on the East Coast. She has extensive experience and breadth in finance having worked in insurance, re-insurance, asset management, wealth management, public finance, and investment banking services.

Prior to joining FIS Group, Ms. Weaver worked with full-service financial firm Jackson Securities, the boutique broker/dealer and investment bank Capital Management Group, the LaSalle Street Project, and Berean Capital.



Mona Williams

President

Progress Investment Management
Company, LLC

Mona is responsible for the firm's business operations outside of portfolio management, research and finance. This includes business development and sales, client and consultant relationship management, fund administration, information technology and compliance. She is on the Board of Directors of Progress, chairs the firm's Management Committee and is a voting member of the Investment Committee. She is also a current Board Member of the National Association of Securities Professionals, where she serves on the Executive Committee, is a member of the National Council on Teacher Retirement (NCTR) Corporate Advisory Committee, serves on the Advisory Board of Ethic Investments and is also a Council of Urban Professionals (CUP) Catalyst.

Prior to joining Progress, Mona was Director of Marketing for Albriond Capital Management. She also served as the Director of Marketing for Capital Insight Brokerage. Her earlier experience includes positions in the institutional equities department of Bear Stearns and the retail division of Merrill Lynch. Mona completed Series 7 and 63 licenses (inactive) and holds a B.A. from the University of California, Berkeley.