

# Board of Governors Directory

May 2024



# Table of Contents

3	Officers
10	Executive Committee Members
17	Governors
47	Board Ambassadors

---

**Officers**

---



## **Anne Steer, Chair**

### **Congress Asset Management**

### **Head of Distribution**

Ms. Steer, who joined Congress Asset Management in 2015, manages sales, client service, and marketing and is also responsible for developing and executing the firm's distribution strategy with intermediary and institutional clients. She has over 30 years of executive leadership experience, with a particular focus on creating and implementing growth strategies for financial services organizations. Ms. Steer has held senior leadership positions at State Street Corporation, Fidelity Investments, and Dwight Asset Management. Prior to joining Congress, she was the head of the board of advisors and chief strategy officer for TrustFort. Ms. Steer, who serves on the development committee and board of overseers at Newton-Wellesley Hospital, earned a BA at Mount Holyoke College and an MBA at the University of Chicago.

<https://www.linkedin.com/in/anne-steer-4954409/>



## **Brendan Clark, Chair-Elect**

**Clark Capital**

**Chief Executive Officer**

As his firm's leader in defining and executing its vision and strategy, Mr. Clark is tasked with aligning Clark Capital's mission with its stakeholders' needs. He oversees all of the firm's business lines, including custom-tailored strategies for high-net-worth investors, 1940 Act products, and strategist model delivery. He also works to develop and enhance strategic partnerships while creating opportunities for growth. His leadership of the executive team ensures that Clark Capital maintains its consistent, firm-wide focus on delivering world-class asset management strategies and services to advisors and investors. Since Mr. Clark joined Clark Capital in 2001, he has held positions of increasing responsibility, including executive vice president of business development. In that capacity, he played a key role in significantly increasing assets under management. Most recently, he led the transformation of Clark Capital into a world-class asset management firm, directing all business development and marketing efforts and overseeing the creation and execution of key strategic relationships with broker-dealer partners and national platforms. Mr. Clark earned a BS in economics from the University of Delaware, holds the Chartered Financial Analyst designation, and is a member of the CFA Institute and the CFA Society of Philadelphia.

<https://www.linkedin.com/in/brendan-clark-cfa-95073338/>



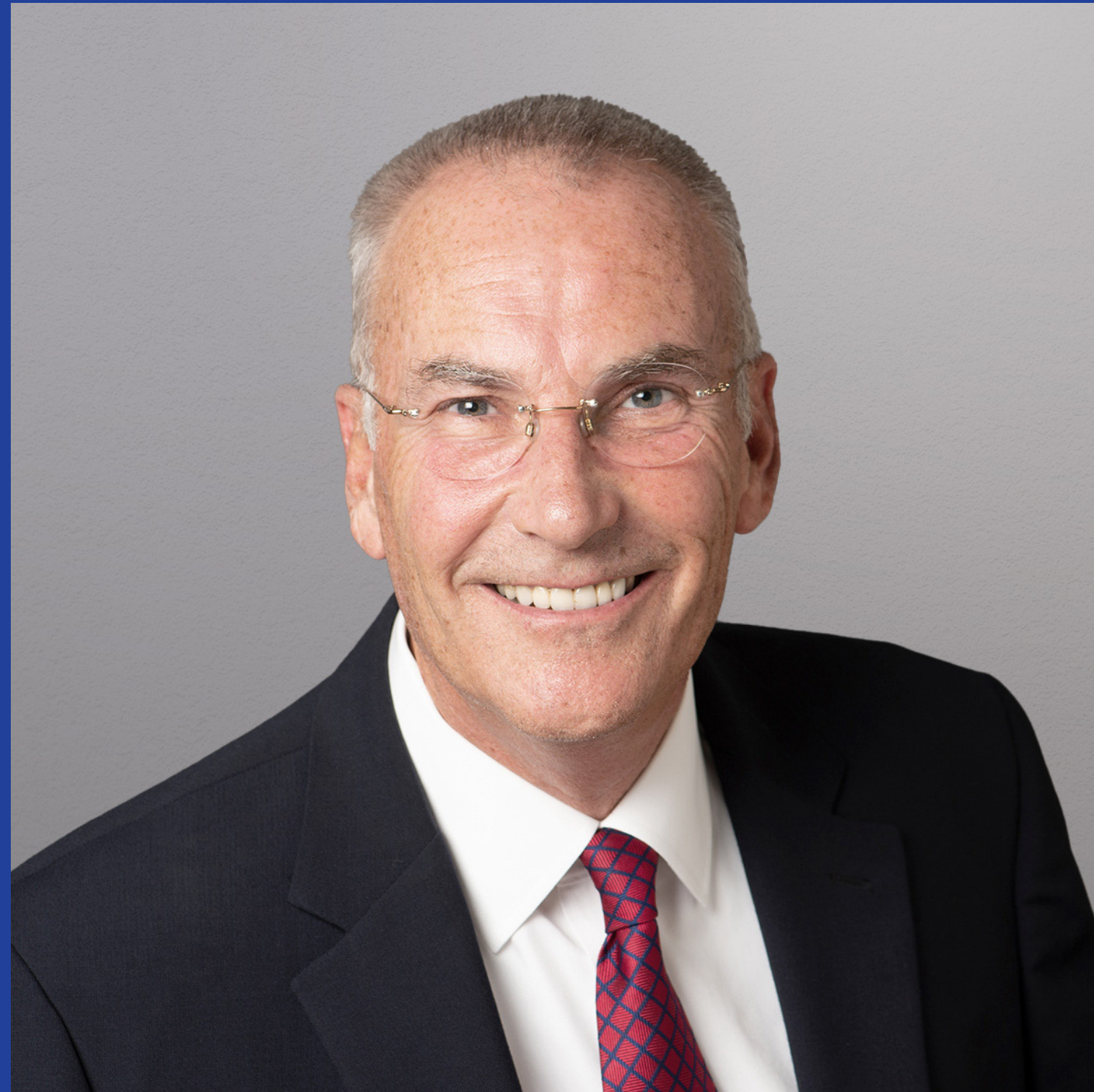
## **Eric Koestner, Chair Emeritus**

**Edward Jones**

**General Partner**

Mr. Koestner, who was named a principal in 2010, is responsible for the packaged products area, which includes managed investments, insurance, annuities, retirement products, and product partner alignment. He began his Edward Jones career in 1998 as a member of the firm's rotational development program and gained experience in marketing, trading, and product review. Following the rotational program, Mr. Koestner spent 15 years in trading, taking a leadership role in equity trading and later leading taxable fixed income. During his time in trading, he also had responsibility for the firm's rotational and internship programs. In 2014, Mr. Koestner moved to investment advisory platform management to lead the firm's advisory programs, which include advisory solutions, guided solutions, and UMA. He assumed his current role leading packaged products in 2017. Mr. Koestner, who earned a degree from Westminster College and an MBA from Saint Louis University, has led the Edward Jones workplace giving campaigns for both the United Way and Arts and Education Council. He sits on the boards of CharacterPlus, Focus St. Louis, and the Money Management Institute.

<https://www.linkedin.com/in/eric-koestner-ba207349/>



# Craig Pfeiffer

Money Management Institute

President and Chief Executive Officer

Mr. Pfeiffer, a proven senior financial services executive with 40 years of industry experience, became president and chief executive officer of the Money Management Institute in 2015. MMI is the leading voice for the global financial services organizations that provide advice and professionally-managed investment solutions to individual and institutional investors. Additionally, Mr. Pfeiffer is engaged in leadership roles across the financial services landscape. He is active as: co-founder and chair of the advisory board for RiskBridge Advisors, an OCIO asset manager focused in the non-profit, endowments and foundations space; a board director and lead director for Westfield Group's Ohio Farmers Insurance Company; and an operating partner at the private equity firm Corsair Capital. Following 29 years with Morgan Stanley Smith Barney and its predecessor firms, Mr. Pfeiffer transitioned from MSSB in 2012, where he was vice chairman and a member of the firm's executive committee. From 2003 to 2011, Mr. Pfeiffer held a progression of senior positions including the national sales group with responsibility for marketing strategy and client communications, desktop technology, and brokerage-based banking. Additionally, he was responsible for businesses including retirement services and corporate equity solutions. From 1982 to 2003, Mr. Pfeiffer advanced through field management roles, starting as a financial advisor, and transitioning into field management at all levels. He is an alumnus of Indiana University Kelley School of Business.

<https://www.linkedin.com/in/craigdpfeiffer/>



## **Jill Brown, Secretary**

### **Principal Asset Management**

### **President, Principal Funds Distributor**

Ms. Brown, who joined the Principal Financial Group in 1990, is responsible for the long-term growth of Principal Funds, focusing on sales, assets, advisor growth, and business intelligence. She served as a financial analyst for the 401(k) business and CFO of Principal Funds before being named President of Principal Funds Distributor, Inc. in 2010. Her responsibilities include collaborating with sales teams across multiple channels and strengthening relationships with key firms as well as internal partners across Principal Financial Group, including marketing, asset management, and operations. Ms. Brown received an MBA in business administration from Drake University and a BA in accounting and administration from Northwestern College. She holds FINRA Series 7, 24 and 27 licenses and is a Registered Representative of Principal Funds Distributor, Inc. and Principal Securities, Inc. She is an active member of her community including involvement with United Way.

<https://www.linkedin.com/in/jill-brown-644a825/>





## **Jim Devaney, Treasurer**

**PGIM**

**Head of US Distribution**

Mr. Devaney has over 25 years of experience in the financial services industry. In his current position, he is responsible for the PGIM Investments sales, retirement and national account teams. PGIM Investments is a manufacturer and distributor of retail products globally for PGIM, the global investment management business of Prudential Financial, Inc., which encompasses PGIM Funds. Earlier, he spent 11 years at Columbia Funds. He began his career at John Nuveen and Company, where he spent six years as a mutual fund wholesaler. Mr. Devaney, who currently serves on the MMI Board of Governors, earned a BA in economics and political science from Villanova University.

---

# **Executive Committee Members**

---



# Maureen Bromwell

## Northern Trust Asset Management

### Chief Marketing Officer

Ms. Bromwell serves on her firm's executive management committee with oversight of global marketing strategy — driving awareness of the firm's brand and investment expertise to initiate and strengthen client engagement. Her team is responsible for developing and executing integrated marketing, communications, and business strategies across global client channels, investment platforms, and media. Ms. Bromwell has more than two decades of investment management marketing and business development experience. She joined Northern Trust in 2015 from Munder Capital Management, where she was a managing director and head of marketing. Previously at Munder, she led national accounts, RIA sales, and retail strategy. Earlier in her career, she worked in marketing at SunAmerica Asset Management and as a financial consultant at Merrill Lynch. Ms. Bromwell earned a BA in economics from Michigan State University and holds FINRA Series 7 and 26 licenses.

<https://www.linkedin.com/in/maureenbromwell/>



## **Kara Julian**

**Morgan Stanley Wealth Management**

**Managing Director—Director, Consulting Group**

Ms. Julian is a Managing Director and Associate Director for the Consulting Group division of Morgan Stanley Wealth Management based in Purchase, New York. She joined the firm in 2003 as a client service associate in New York City in a retail branch office. In 2005, Ms. Julian joined Wealth Management's national sales team where she served in a number of roles and was promoted to vice president in 2007 and executive director in 2010, assuming responsibility as director of field and client communications for Morgan Stanley Wealth Management. In 2014, she moved on to the investment products and services division of Morgan Stanley Wealth Management as chief administrative officer. Ms. Julian graduated with a BA in finance from Loyola College in Maryland in 2002 and earned an MBA in finance from Fairfield University in 2006.

<https://www.linkedin.com/in/kara-julian-81871123a/>



## **Brad Jung**

### **Russell Investments**

### **Head of North America, Advisor and Intermediary Solutions**

Mr. Jung, who joined Russell Investments in 2004, leads the business unit focused on developing and executing strategies for Russell Investments' advisor partnerships, along with the firm's client relationships in the wealth management and retirement channels. He is a member of Russell Investments' global executive committee, reporting directly to CEO Michelle Seitz, and is based in Seattle. Prior to his current position, Mr. Jung was the managing director of national sales with responsibilities that included the management of Russell Investments' nationwide sales and service teams as well as establishing distribution relationships and the management of sales and service strategies with intermediaries in the brokerage, bank, RIA custodian and record keeper markets. Before joining Russell Investments, Mr. Jung worked at Strong Capital Management, where he held several positions including vice president of regional sales and director of intermediary sales. In 1993, he started his career as a life insurance agent and investment specialist for Northwestern Mutual. Mr. Jung earned a BBA in finance and business law from the University of Wisconsin - Whitewater - and an MBA from the University of Wisconsin - Milwaukee. He holds the Certified Investment Management Analyst, Chartered Private Wealth Advisor and Accredited Investment Fiduciary designations.

<https://www.linkedin.com/in/brad-jung-cima%C2%AE-cpwa%C2%AE-aif%C2%AE-857549/>



# Scott Kilgallen

Neuberger Berman

Managing Director, Head of NA Intermediary

Mr. Kilgallen, who joined Neuberger Berman in 2010, is the head of North American intermediary client coverage overseeing retirement, sub-advisory, broker-dealer, registered investment advisor, family office and private bank relationships in the United States and Canada. Prior to joining the firm, he worked for 11 years at Goldman Sachs Asset Management as a managing director and head of the platform distribution team within third-party distribution. He was responsible for overseeing sub-advisory, retirement, mid-market corporate and hedge fund of funds relationships within the United States and Canada. Earlier, he worked at United Asset Management, focusing on institutional corporate and consultant sales and at Fidelity Investments Institutional Services Co. as a vice president responsible for intermediary distribution of asset management and retirement services. Mr. Kilgallen, who earned a BA in economics from Boston College, is currently a member of MMI's Board of Governors.

<https://www.linkedin.com/in/scott-kilgallen-11ab0b14a/>



# John McDonough

INVESCO

## Head, Wealth Management Intermediaries

Mr. McDonough oversees the development and execution of US Wealth Management Intermediaries client strategy and coverage, including all platform and field sales related activities. He joined Invesco as part of the 2019 combination of Invesco with OppenheimerFunds and previously served as executive vice president and head of OppenheimerFunds' distribution and marketing teams. Mr. McDonough has more than 25 years of experience delivering a broad array of investment capabilities to a diverse group of clients. He joined OppenheimerFunds as an internal wholesaler in 1993 and held subsequent positions as an external wholesaler, national sales manager, and national director of sales, honing his ability to provide the full spectrum of service and support to clients. Mr. McDonough earned a BA from the University of Richmond, holds a Certificate in International Business Management from Georgetown University and is a graduate of the HassoPlattner Institute of Design's "d.school" at the Stanford Graduate School of Business.

<https://www.linkedin.com/in/john-mcdonough-invesco/>



# Mike Serchen

Anchor Capital

Director of Managed Accounts

Mr. Serchen joined Anchor Capital Advisors in 1998. For two years prior to that, he was a vice president at Avatar Associates Investment Counsel. Earlier he was a vice president at Nicholas-Applegate Securities and IASC - RSandA Group. Mr. Serchen earned a BS, cum laude, in business administration, economics, and finance from the University of Wisconsin. He holds the Certified Financial Planner and Certified Investment Management Consultant designations. His memberships include the Financial Planning Association, the Investments and Wealth Institute (formerly IMCA), and the Money Management Institute.

<https://www.linkedin.com/in/michael-serchen-cfp-cimc-77563b37/>



---

# Governors

---



## **Annie Brown**

**T. Rowe Price Investment Services**

**Vice President, Co-Head, U.S. Intermediaries,  
Wealth Management, Global Distribution Department**

Ms. Brown is a member of the boards of T. Rowe Price Group, Inc., T. Rowe Price Investment Services, Inc., and T. Rowe Price Associates, Inc. She also serves on the board for Port Discovery in Baltimore, Maryland, and is a member of the board of the Investment Management Education Alliance. Ms. Brown has been with T. Rowe Price since 1993, and, during her tenure, she has been an institutional retirement sales manager for several U.S. regions, the head of the institutional consulting team in the broker-dealer segment, the head of national accounts in the broker-dealer segment, and, most recently, the head of all broker-dealer activity. In her current role, she and her team are responsible for leading the strategy for national accounts across broker-dealers, global banks, and clearing firms. Ms. Brown earned a BS, cum laude, in economics from the University of Delaware. She holds FINRA Series 24, 7, 63, and 3 registered representative licenses.

<https://www.linkedin.com/in/annie-brown-500/>



## Steve Carl

### Madison Investments

### Chairman of Executive Committee, Chief Distribution Officer

Mr. Carl leads the firm in his role as Chair of the Executive Committee and manages sales, client service and marketing as the firm's Chief Distribution Officer. He is a member of the firm's board of directors and is also a board member of the Madison Investments Foundation. He is tasked with ensuring Madison Investments delivers consistent and excellent investment management strategies and world-class client service to advisors and clients. Mr. Carl started in the financial services industry in 1996 and joined Madison Investments in 2003. Before that, he worked in a variety of roles at Coopers & Lybrand, LLC, Strong Capital Management and Hewitt Associates. He holds a BBA from The University of Wisconsin -Madison in finance and accounting. Mr. Carl earned a CPA designation and is a FINRA Registered Principal.



# Matthew Caulfield

Archer

Chief Revenue Officer

Mr. Caulfield, who has more than 30 years of experience as a strategic sales and relationship investment management professional, is responsible for overseeing all aspects of client engagement, from acquisition and onboarding to ensuring ongoing productive relationships that remain focused on clients' needs. He works closely with senior executives at investment management firms in their efforts to manufacture investment products across all distribution channels. Before joining Archer, Mr. Caulfield was a managing director responsible for leading a team of professionals focused on the investment manager market for J.P. Morgan's Corporate and Investment Bank, BNY Mellon Asset Servicing, and PNC Global Investment Servicing. In these roles, he was responsible for promoting middle- and back-office solutions in multiple segments of the market. Mr. Caulfield earned a BS in finance from Manhattan College and an MBA at Villanova University.

<https://www.linkedin.com/in/matthew-caulfield-40aba35/>



## David Chorba

Delaware Funds by Macquarie

Managing Director, National Sales Manager

Mr. Chorba manages a team of 29 external wholesalers covering the retail channel and four senior advisory consultants who cover the registered investment advisor channel within the firm's Client Group. Earlier, he was a divisional sales manager for Macquarie Investment Management, which includes the former Delaware Investments. In this position, 11 regional directors reported to Mr. Chorba in the eastern part of the United States. Prior to his role as divisional sales manager, he was a regional director for Delaware Investments, responsible for wholesaling Delaware Investments mutual funds and separate accounts to all financial channels in the Carolinas. He joined Delaware Investments in 2001 as a regional director. Prior to that, he was an account manager with GTE/Verizon for five years in Myrtle Beach. Mr. Chorba earned a BA in history from Furman University. He currently holds FINRA Series 6, 63, 65, 7 and 24 licenses. He is also a member of the Investments and Wealth Institute and holds the AIFA and CIMA designations.



## **Matt Coldren**

### **Natixis Investment Management EVP, Financial Institutions Group**

Mr. Coldren oversees the Global Relationships team, which maintains all firm distribution and product relationships. In addition, he provides oversight to the offshore sales distribution efforts. Mr. Coldren joined the company in 2004 from MFS Investment Management, where he was vice president and national account manager. He was previously with Delaware Investments as a vice president and relationship manager. Mr. Coldren received his BS from Fairfield University and an MBA from the Drexel University LeBow School of Business. He is FINRA Series 7 and 24 licensed. Mr. Coldren also holds the Accredited Investment Fiduciary designation.

<https://www.linkedin.com/in/matthew-coldren/>



# Mark Connolly

Nuveen

## Senior Managing Director and Head of Global Strategic Relations

Mr. Connolly is responsible for overall strategic firm relationships, both domestically and abroad, with a focus on identifying investment opportunities for partnership across sponsor platforms and discretionary mandates at Nuveen. Within the United States, this includes the wire, IBD, private bank, regional bank, and wealth sub-advised channels. In addition, he serves as a voting member on the public investments product committee and has oversight of the firm's closed end fund business development efforts. Prior to joining the firm in 2010, Mr. Connolly was a managing director and the associate director of Morgan Stanley Smith Barney's manager research team and worked closely with senior management, product management, and institutional level financial advisors. He entered the investment industry in 1994 and has held positions at Morgan Stanley, PNC Wealth Management, and JP Morgan Private Bank. He graduated with a BS in business administration with a concentration in finance from the University of Delaware and earned an MBA from Villanova University. Mr. Connolly serves on the board of Invest in Others, a charitable foundation that recognizes philanthropic contributions made by financial professionals and firms.

<https://www.linkedin.com/in/mark-connolly-1bb99150/>



# John Drahzal

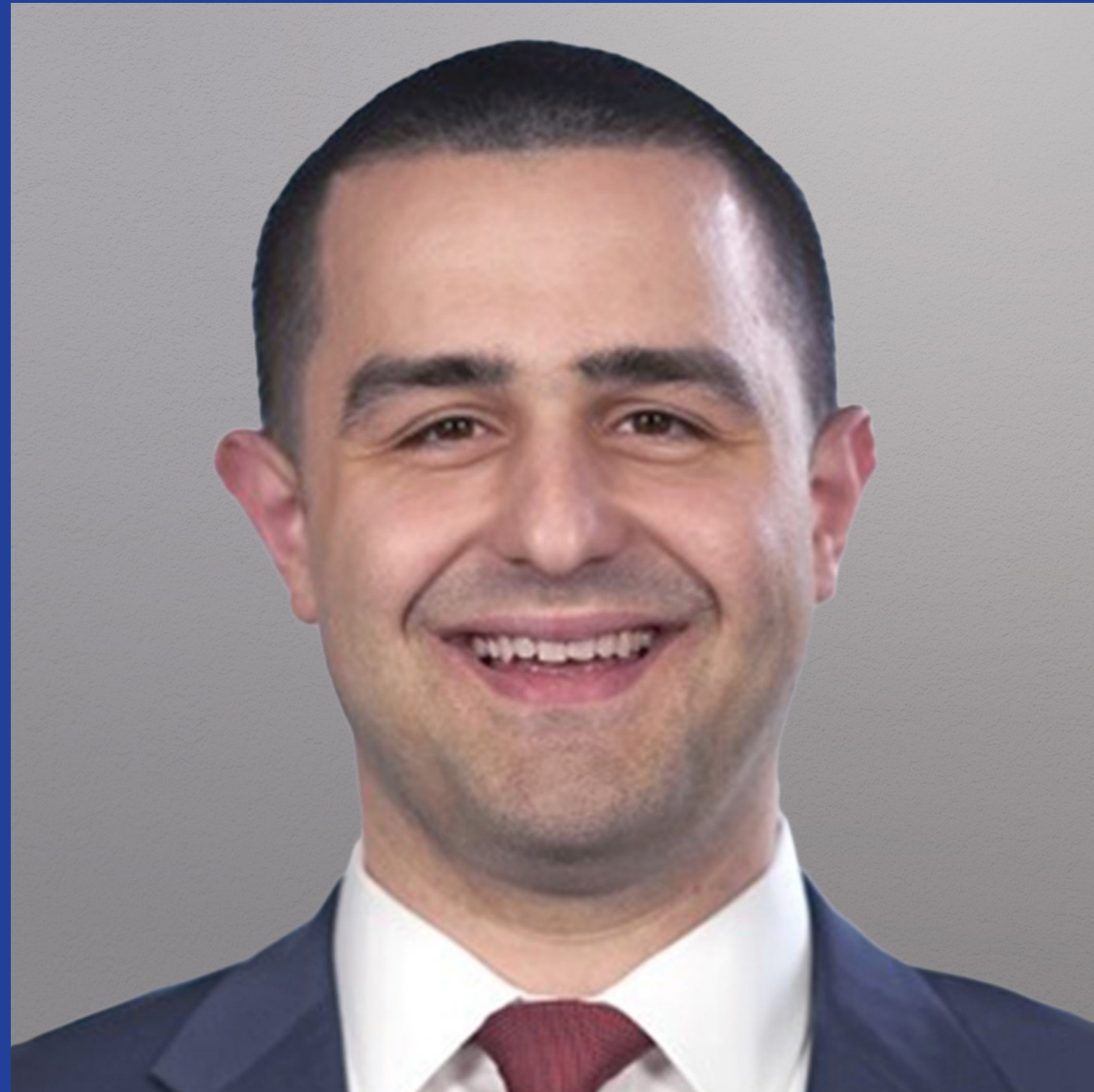
Horizon Investments

President, Chief Executive Officer

Mr. Drahzal, who is a member of his firm's executive committee and board of directors, oversees the company's growth and acquisition initiatives and all aspects of its operations, which include investment management, consulting, sales, marketing, technology, finance, and legal. He also serves as President and Trustee of the Horizon Funds Trust. Before joining Horizon in 2017, Mr. Drahzal served as head of distribution for Prudential Investments and president of Reich & Tang. He began his career at Victory Capital Management where he helped launch its mutual fund business. Mr. Drahzal is a graduate of Skidmore College with a BS in business administration and of Case Western Reserve University with an MBA in finance. He holds FINRA series 7, 63, and 24 licenses.

<https://www.linkedin.com/in/john-n-drahzal-2a83bb/>





# David Giffen

## UBS Financial Services

### Managing Director

Mr. Giffen, who joined UBS in 2006 as a product manager in the institutional consulting group, serves as a member of the Advisory and Planning Products Management Team in the Americas with direct responsibility for leading the U.S. Investment Advisory and Investment Products businesses. In 2010, he left the Institutional Consulting Group to join the Advisory Solutions team and run the separately managed accounts business. After serving in various product management positions, Mr. Giffen briefly led the UBS investment manager analysis team before he assumed his current role, which includes responsibility for the firm's UBS Advice, FA-managed, and 3rd-party managed offerings. He has been a key leader and contributor to the success of many strategic initiatives including the SMA Advantage Program, the firm's unified managed accounts business, and Advice Advantage, the firm's first digital advice offering in the U.S. Market. Mr. Giffen holds an MBA in business administration from Fairleigh Dickenson University.

<https://www.linkedin.com/in/david-giffen/>



# Matthew Goulet

## Fidelity Investments

### Head of Asset Manager Services

Matthew Goulet is head of Asset Manager Services and Business Development at Fidelity Institutional (FI), the Fidelity Investments business that offers financial professionals and institutions access to the investment, technology, and platform solutions they need to service their clients and grow their businesses. Fidelity Investments is a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing, and other financial products and services to institutions, financial intermediaries, and individuals. In this role, Mr. Goulet leads a team that manages relationships with third party asset managers who offer mutual funds, exchange-traded funds (ETFs), collective investment trusts (CITs), alternative investments, and separately managed accounts (SMAs) to Fidelity platform clients. Prior to this role, Mr. Goulet held several executive positions leading Fidelity's model, SMA, and portfolio construction solutions and driving business development efforts in support of Fidelity's ETF offering. He has extensive experience building teams that consult, design, and execute strategies to support Fidelity's institutional clients' ability to optimize their portfolio construction strategy through custom solutions and integrations with industry fintech solutions. Before joining Fidelity in 2012, Mr. Goulet was vice president and product specialist for the iShares Product and Investment Consulting team at BlackRock. In this capacity, he focused on the iShares lineup of ETFs and was primarily responsible for working with financial advisors and RIAs to help them better understand the structural differences between various ETFs. Previously, Mr. Goulet worked in several sales and product roles within State Street Global Advisors' North American Intermediary Business Group. He has been in the financial industry since 2006. Mr. Goulet received his bachelor of business administration degree in finance from the University of Notre Dame. He is also a CFA® charter holder.

<https://www.linkedin.com/in/matthew-goulet-cfa-60a14324/>



## **Kara Grehan**

**BNY Mellon Investment Management**

**Head of Strategic Accounts and Client Engagement**

Ms. Grehan leads the commercial, sales, and research coverage strategy with the largest broker-dealer, independent broker-dealer, private bank, and sub-advisory clients. A member of the North America distribution leadership team, she joined BNY Mellon Investment Management in 2023 from Goldman Sachs, where she was the co-head of national accounts for Goldman Sachs Private Bank Select (GS Select), a fintech banking and lending platform for financial advisors. In that position, she was responsible for large independent broker-dealer relationships and building a national RIA footprint. She was the co-head of the Private Bank Women's Forum, an affinity network for female-identifying employees. Ms. Grehan was also active as a pitch coach for entrepreneurs participating in the Goldman Sachs 10,000 Women and Goldman Sachs 10,000 Small Business programs. Prior to joining GS Select, she spent over 18 years managing the largest wirehouse, custody, and independent broker-dealer relationships for Goldman Sachs Asset Management. Earlier in her career at Goldman Sachs, she worked in a variety of marketing roles. She began her career in corporate communications at France Telecom North America in New York City. Ms. Grehan earned an MBA from New York University and a BS from Cornell University.

<https://www.linkedin.com/in/kara-grehan-b4283b1/>



# James Haddon

## Ramirez Asset Management

### Managing Director

Mr. Haddon, who has over 40 years of experience in asset management and investment banking, manages his firm's client service team and is responsible for developing marketing strategies to increase assets under management for Ramirez's fixed income products. Prior to joining Ramirez, he served as a senior partner and managing director at Public Financial Management from 2009 to 2014, where he oversaw all marketing and new business activities for national accounts in the asset management and financial advisor divisions. Mr. Haddon was also employed at Citigroup for over 15 years, serving in a range of asset management and investment banking positions. From 2006 to 2009, he was a managing director and sales manager in the alternatives distribution group, raising assets for private equity and hedge funds. From 1994 to 2006, he was a managing director in Citigroup's municipal securities division and served as head of the infrastructure group and on the division's executive and planning committees. Mr. Haddon has shown commitment to public service throughout his career. He currently serves as a trustee for the State University of New York and is on the board of the National Association of Securities Professionals. His earlier board service includes Wesleyan University, the Riverside Park Fund, the NYC Alzheimer's Association, Sponsors for Educational Opportunities, and the Upper Harlem Empowerment Zone. Mr. Haddon received an MBA from the Stanford University Graduate School of Business and a BA in Economics from Wesleyan University. He holds FINRA Series 7, 53 and 63 licenses.

<https://www.linkedin.com/in/jamesfhaddon/>



# Jean Heath

Investnet

**Principal Director, Asset Management Relations**

Ms. Heath has 22 years of diverse experience within the managed account and advisory business and has held leadership roles in key account management, consultative sales, strategic marketing, branding, and channel development. Currently, she is responsible for the investment products on the Investnet platform and determines and optimizes the economic model and engagement between Investnet and its asset manager partners. Her team is responsible for deepening relationships with asset managers across the Investnet suite of services and ensuring that these managers have the tools, training, and knowledge they need to be successful distributors throughout the Investnet ecosystem. Ms. Heath, who holds the CIMA designation, is the chair of Investnet's managed product acceptance committee and advocates industry best practices. She has been an active mentor to young women professionals and also leads the Investnet Institute On Campus Women in Wealth Management Mentorship program. In 2017, Jean was named one of Profiles in Diversity Journal's "Women Worth Watching."

<https://www.linkedin.com/in/jean-heathcima/>



## **Pete Hill**

**State Street Global Advisors**

**Managing Director Head of Emerging Institutional and Model Portfolio Solutions Channels**

Mr. Hill and his team are focused on working with ETF strategists, digital wealth management platforms, and national RIAs. Additionally, he oversees SPDR ETF's U.S. model portfolio business. This includes distribution, key accounts, operations, and research. He has extensive experience working with sophisticated investment advisors, platforms and fintech firms in developing wealth management solutions utilizing the SPDR family of exchange traded Funds. Mr. Hill joined SSGA in 2006 as a member of its internal sales desk and exchange traded fund group working with advisors to educate them about the ETF market and subsequently develop ETF solutions for their clients. Prior to SSGA, he was employed in Sovereign Bank's commercial banking division working with middle-market, corporate, and institutional clients. Mr. Hill holds a BA in marketing from Providence College. He also holds FINRA Series 7, 63 and 24 licenses.

<https://www.linkedin.com/in/peter-hill/>



# Steve Houston

## iCapital Network

### Managing Director and Head of Investment Products

Mr. Houston is a managing director and head of investment products and research at iCapital Network, and a member of the Executive Committee. He is responsible for the origination and development of new investment products, life cycle management of existing offerings, and new fund launches across iCapital's client relationships, including asset managers, wirehouses and private banks, and independent advisors. Prior to joining iCapital, Mr. Houston was a founding partner of m+ funds, a 40-act fund company. Previously, he was managing director, wealth and investment management at Stifel, Nicolaus and Co., where he led the alternative investments business. Prior roles include head of americas wealth management at Barclays Bank and co-head of both Private Client Structured Investments and Alternative Investments at Merrill Lynch. Mr. Houston earned a BA in Economics from the University of Texas and received an MBA from Columbia University.

<https://www.linkedin.com/in/steve-houston/>



# Matthew Huss

Ameriprise Financial Services

SVP and General Manager—Advisory Solutions

Mr. Huss is responsible for platform management, product development, risk management, and compliance for all advisory solutions, including Rep as Advisor, Rep as PM, SMAs, UMAs, and Mutual Fund Advisory. Immediately prior to this position, he was vice president of national accounts at American Century Investments, where his responsibilities included management and growth of strategic partnerships with key financial intermediary relationships. Prior to that, Mr. Huss was vice president of mutual funds, 529 plans and syndicate distribution at Ameriprise Financial Services, where he was responsible for product management, strategy, and development for mutual funds, 529 plans, closed-end fund IPOs, and preferred security distribution for brokerage and managed accounts. Mr. Huss, who has been with Ameriprise since 2017, had previous service with the firm from 1999 to 2014 with various leadership roles in asset management and advisory.

<https://www.linkedin.com/in/matthew-p-huss-44088712/>





# Bob Kendall

## Raymond James President

Robert Kendall is President of Raymond James Investment Management, overseeing all strategic growth and business development efforts. He joined the firm in 2021. An accomplished veteran with 27 years of asset management industry experience, he has significant experience in investments, distribution, product structures, operating models, financials, and international markets. Previously, he was CEO of DWS Americas. At DWS Group, the global asset management business of Deutsche Bank, and its predecessor organizations, he led the formation of DWS USA Corporation and oversaw all aspects of its strategic business growth and development in the United States. Earlier in his career, he served in multiple leadership roles across client coverage, account management, and product development at the Van Kampen Investments unit of Morgan Stanley Investment Management. He is a graduate of the University of Iowa Tippie College of Business.

<https://www.linkedin.com/in/bob-kendall-91919414/>



# Tim Kresl

Broadridge

Principal of Distribution Insight

Mr. Kresl has spent his career partnering with leading financial services providers to help translate data and research into meaningful actions that improve business outcomes. He co-founded Atom Analytics in January 2018 with the goal of helping financial services providers use their existing data more effectively and systematically to drive distribution effectiveness. In July 2018, Atom Analytics joined Broadridge as part of the data and analytics group. Broadridge's new Distribution Insight Team now combines in-depth interviews with key stakeholders, an unmatched distribution dataset, cutting-edge data science techniques, and the team's unique view of the customer landscape with clients' business goals and data to create bespoke segmentation strategies and client journey maps. Prior to starting Atom Analytics, Mr. Kresl was a principal of Market Metrics and subsequently a strategic advisor to Strategic Insight. In these roles, he became a recognized leader in the industry for utilizing data to drive distribution effectiveness. He has worked with a range of asset managers to design sales territories, develop optimal rotations, implement data-based solutions, and train end users to drive adoption. In addition, Tim has worked extensively with senior managers to develop management tools that measure the effectiveness, productivity, and improvement of their distribution organizations. Mr. Kresl completed his undergraduate studies at the University of Vermont, graduating with a BS in business administration and a BA in sociology.

<https://www.linkedin.com/in/timkresl/>



## Jay Link

**Bank of America Merrill Lynch**

**Managing Director, Head of Fiduciary Programs and Platforms**

Mr. Link is responsible for product and business strategy, platform development, user experience, channel management, and ongoing fiduciary oversight of his firm's discretionary and non-discretionary investment advisory offerings, including the Investment Advisory Program (Merrill Lynch One). Prior to joining Merrill Lynch in 2010, he was a managing director and senior relationship manager with J.P. Morgan Asset Management, responsible for enterprise distribution relationships with some of the firm's largest intermediary clients. Before J.P. Morgan, Mr. Link was with Morgan Stanley, serving in a variety of senior leadership positions in the global wealth management group. Most recently, he was managing director and product director for the Consulting Services Group (CSG). In this role, he was responsible for strategy and leadership of all advisory platforms. He was also a member of the CSG due diligence committee and co-chair of the institutional separately managed accounts referral committee. Mr. Link earned a B.S. in financial management from Clemson University. He holds the CIMA designation from the Investments & Wealth Institute, is an active member of MMI, and co-founded the SIFMA Managed Accounts Roundtable. He also serves on the board of trustees at the Basking Ridge Presbyterian Church.

<https://www.linkedin.com/in/jay-link-8b3776a/>



# Jonathan Linstra

Morningstar

Managing Director of the Americas

Jonathan Linstra is Managing Director of the Americas for Morningstar Wealth. Jonathan is a member of the Global Leadership Team for Morningstar Wealth, and his primary responsibility is to drive revenue in the Americas. In this role, he oversees client-facing teams including our multiple sales and customer success teams, national account team, sales operations, and portfolio specialist team. Prior to joining Morningstar, Jonathan held various senior leadership positions at State Street Global Advisors where he most recently served as Managing Director and Head of ETF Model Portfolios and Advised Solutions. While at State Street, Jonathan also served as the Head of Private Wealth in addition to leading as the Head of Client Engagement where he was responsible for ensuring alignment of all go to market efforts as well as improving the overall effectiveness and efficiency of respective distribution teams. He began his career in asset management distribution in 1995 and has since held leadership roles with firms including Invesco, Guggenheim, and Janus Henderson. At each of these organizations, Jonathan has demonstrated a love and passion for building and leading great teams to better serve advisors and investors. In his career he has been responsible for selling model portfolios, alternatives (40 Act), ETFs, separately managed accounts, mutual funds, unit investment trusts, and turnkey asset management platforms. Jonathan serves on the Board of Governors for the Money Management Institute (MMI), earned his bachelor's degree from Taylor University in business administration, and holds FINRA 7, 24, and 63 licenses.

<https://www.linkedin.com/in/jonathan-linstra-5aa42212/>



# Patty Loepker

Wells Fargo

## Managing Director, Head of Research Directed Advisory Programs, Investment Product Group

Ms. Loepker is responsible for the third-party, broker-dealer and affiliate-managed SMA programs, the mutual fund wrap program, and the institutional and high-net-worth consulting services group. Prior to this role, she led the externally managed and institutional accounts team. She assumed those responsibilities in 2008 after serving as the marketing manager for A.G. Edwards' separate account platforms since 2006 and for A.G. Edwards Asset Management, an in-house money manager, since 2001. Ms. Loepker joined A.G. Edwards Asset Management as an equity portfolio manager in 1994. Prior to that, she served as a securities analyst in the firm's securities research department. She has been with Wells Fargo Advisors or predecessor firms since 1985 after earning a bachelor's degree in business administration from Southern Illinois University. Ms. Loepker also has represented Wells Fargo Advisors since May 2010 as a member of MMI's Board of Governors.



# Jaime Magyera

**BlackRock**

**Managing Director, Co-Head of U.S. Wealth Business**

The U.S. Wealth Advisory Group serves retail financial advisors and their clients, responsible for distribution, product management, and marketing of BlackRock's full suite of capabilities across alpha-seeking and iShares, portfolio solutions, and digital wealth technologies. As COO, Ms. Magyera is responsible for overseeing business strategy, as well as ensuring that the organization – including its client, distribution, product, marketing, and technology functions – have the necessary connectivity, operations, and resources to enable growth, manage risk, and drive scale and efficiency. Previously, Ms. Magyera led national accounts for BlackRock's national wealth business, where she and her team were responsible for strategy and relationship development for some of BlackRock's largest clients. Ms. Magyera's service with the firm dates back to 2001, including her years with Merrill Lynch Investment Managers, which merged with BlackRock in 2006. Over the course of her career, Ms. Magyera has held positions in retirement, marketing, strategy, and technology and was part of the original team that designed and developed iRetire and the BlackRock CoRI Retirement Indexes. Ms. Magyera is a member of BlackRock's Women's Initiative Network and sponsors BlackRock's OUT Network. Outside of BlackRock, she is a member of the board of directors for Encore.org, an organization focused on tapping into the skills and experience of those in midlife and beyond to improve communities and the world. Ms. Magyera earned a BA from the University of Pennsylvania and holds FINRA Series 7, 66 and 24 licenses.

<https://www.linkedin.com/in/jaime-magyera-aa383b/>



# John Moninger

## Allspring Global Investments

### Head of U.S. Distribution

Mr. Moninger, who joined Allspring in 2022, is responsible for overseeing a next-generation, client-centric U.S. distribution model for Allspring. He leads the firm's retail sales, institutional sales, platform development, client service, and consultant relations teams. Previously, Mr. Moninger was managing director of intermediary sales for Eaton Vance, a part of Morgan Stanley Investment Management. In that role, he set the strategic direction and led the day-to-day operations for Eaton Vance's sales and relationship management and the Eaton Vance Advisor Institute. Mr. Moninger, who joined Eaton Vance in 2012, began his career in the investment management industry in 1994. Before joining Eaton Vance, he was executive vice president of advisory and brokerage consulting services with LPL Financial, where he was responsible for the firm's advisory and brokerage platforms and for leading a team of product consultants. He also led LPL's financial planning group and wealth management services, which provide advice and solutions for high-net-worth and ultra-high-net-worth client opportunities. Mr. Moninger was previously the national consulting director for investment solutions for UBS Financial Services and was affiliated with Alliance Capital Management. He earned a BS in business administration from Kutztown University and the Certified Private Wealth Advisor and Certified Investment Management Analyst designations. Mr. Moninger also serves as president of the SEAL-Naval Special Warfare Family Foundation.

<https://www.linkedin.com/in/john-moninger-9037877/>



# Roger Paradiso

## Franklin Templeton

### Head of Product Solutions

Mr. Paradiso is focused on new business development and leading and creating alternative retail distribution strategies for Legg Mason and its affiliates. In addition to developing the strategies, he implements technology-enabled advice solutions to support existing intermediary channels and potential new areas of growth and access. During the course of his career he has worked for Legg Mason and predecessor firms for more than 20 years. In 1997, he conceived, developed and built out the company's unified managed account platform, an industry first. Two years later, he built the private portfolio group at Citigroup, which was sold back to Smith Barney in 2008. That platform remains the industry's leading overlay manager. Mr. Paradiso returned to Legg Mason from Morgan Stanley, where he was most recently managing director of investment solutions and portfolio development for the advisory business in New York. His team was responsible for portfolio construction, account management, and trading. His business group managed \$130 billion in assets – of which \$30 billion was discretionary – in over 225 thousand accounts. In 2014, Mr. Paradiso was bestowed the Money Management Institute's highest honors, the Advisory Solutions Pioneer award and the All-Star Achiever award. He currently serves on MMI's Board of Governors.

<https://www.linkedin.com/in/roger-paradiso-16650346/>





# Ryan Robertson

FS Investments

Co-Head of Distribution

Mr. Robertson serves as the Co-Head of Distribution at FS Investments where he oversees all external and internal sales professionals across the firm's expanding distribution platform. Mr. Robertson is responsible for the independent broker-dealer and registered investment advisor channels as well as the development and growth of the firm's wirehouse channel. Before joining FS Investments, Mr. Robertson worked at Goldman Sachs Asset Management for eight years, most recently as a Vice President and Divisional Sales Manager for its wirehouse and regional broker-dealer distribution channel. Prior to Goldman, he served as a Regional Marketing Director at Hartford Mutual Funds. Before beginning his career in financial services, Mr. Robertson was a professional basketball player both in the NBA, where he played for the Sacramento Kings, and in Europe. Mr. Robertson holds a BS in Business Administration and Management from the University of Kansas. He has served on the advisory board of the Fellowship of Christian Athletes, as Chairman of St. Charles Community College and as a Board Member of Chesterfield Day School.

<https://www.linkedin.com/in/ryan-robertson-77aaa4aa/>



# Amos Robinson

Charles Schwab

## Managing Director and Head of Wealth and Asset Management Solutions

Mr. Robinson leads the team supporting distribution of wealth and advice Solutions and Schwab Asset Management – the firm’s wealth management and execution enterprise and asset management arm. Prior to this position, he led distribution and client relations supporting the Schwab ETFs, Schwab Funds, Charles Schwab Trust Bank collective investment trusts, and separate account strategies managed by Schwab Asset Management and Charles Schwab Investment Advisory, Inc. Before that, he led the retail sales, client service, and investment portfolio strategy teams supporting Schwab Asset Management. Mr. Robinson was a partner at ThomasPartners, Inc. until the firm’s acquisition in 2012 by The Charles Schwab Corporation. Mr. Robinson earned a BS in economics from Saint Michael’s College.



# Karl Roessner

## Vestmark

### Chief Executive Officer

As a chief executive and board member, Mr. Roessner, has an exemplary record of growth and transformation. He is an action-oriented business partner and legal strategist with 10+ years of executive leadership in the financial services industry and 17+ years in law firms. He has extensive board experience as both a chief executive and key advisor to, and member of, public and private company boards. At Vestmark, he is responsible for the vision and strategic direction of the company, including new business growth and expansion into adjacent product lines, thereby broadening Vestmark's partnerships across fintech's ecosystem. Previously, he was the chief executive officer of Lefteris Acquisition Corp. and continues to serve as its vice chair as it winds down its operations. Earlier, he served for three years as the CEO of E\*TRADE Financial Corporation and as the president of E\*TRADE Bank. Mr. Roessner is also a member of the board of Oanda Global Corporation – a leader in online multi-asset trading services, currency data and analytics – and a member of the advisory board of Wizest, a next generation investing platform. Mr. Roessner earned a JD cum laude from St. John's School of Law, where he was a member of the St. John's Law Review, and he holds a BA in business administration cum laude from Siena College.

<https://www.linkedin.com/in/karloessner/>



# Brian Schappert

American Century

SVP, Co-Head of US Intermediary Distribution

As co-leader of his firm's U.S. intermediary distribution, Mr. Schappert, who joined American Century in 2015 as head of alternative sales, is responsible for sales strategy, resource allocation, and client alignment. Earlier he was with Gold Bullion International, where he served as senior vice president, head of sales and business development. Prior to that, he was with AXA Distributors in New York. Mr. Schappert earned the Chartered Alternative Investment Analyst designation and holds a BS in finance from Fairfield University.

<https://www.linkedin.com/in/brian-j-schappert-caia-b502b4b/>



## **Kyle Thompson**

**Voya Investment Management**

**Senior Vice President, Business Development Manager**

Kyle Thompson is a business development manager at Voya Investment Management, responsible for the distribution of Voya's traditional and alternatives investment solutions. Kyle is responsible for platform engagement and placement for Voya's investment solutions for the intermediary channel. Prior to joining the firm, Kyle was a broker with Scottrade Financial Services, providing capital markets and asset allocation guidance to individuals and institutions. Kyle received a BA in economics from the University of Connecticut and an MBA in finance from Quinnipiac University. He holds the Series 7, 63 and 65 licenses. Additionally, he's been an active member of MMI since joining the Leadership Pathway program in 2016.

<https://www.linkedin.com/in/kyle-thompson-980a2a42/>



# Troy Thornton

Goldman Sachs

Partner, Client Solutions and Capital Markets

Prior to assuming his current position, Mr. Thornton was head of key accounts and platform development and national sales manager of the investment consulting group in U.S. third-party distribution. Before that, he held various management positions in U.S. third-party distribution and U.S. institutional distribution, including co-head of the public funds group and head of registered investment advisor distribution. He joined Goldman Sachs in third-party distribution within GSAM in 1997 as a regional sales director. Mr. Thornton was named managing director in 2008. Prior to joining GSAM, he spent five years in asset management distribution for Federated Investors and Bankers Trust Global Investors. He is a member of the MMI Board of Governors and serves as its secretary. He is a member of the distribution council of the Investment Management Education Alliance and a member of the sales and marketing committee of the Investment Company Institute. Mr. Thornton, who also chairs the advisory board of the Pennsylvania State University Educational Equity Program, earned a BA in political science from Pennsylvania State University.

<https://www.linkedin.com/in/troy-thornton-8194ba/>

---

# **Board Ambassadors**

---



**Ryan Beach**

<https://www.linkedin.com/in/ryan-beach-5021718/>





# Robbie Cannon

## Horizon Investments

### Founder

Mr. Cannon is the founder and a board member of Horizon Investments, a goals-based investment management firm based in Charlotte, NC. During his tenure as CEO of Horizon, the company grew from a small retail registered investment advisor to a multi-billion-dollar third-party investment management group with a national footprint of independent broker-dealer and institutional clients. His career in financial services has encompassed various aspects of investment management, product development, and risk management. Under his leadership, Horizon has been nationally recognized with numerous awards: Inc 500/5000 for three-year revenue growth in 2020; MMI for innovation in 2014, asset manager of the year in 2018, 2019, and 2021 (\$25 billion and \$10 billion in AUM or less); top 10 wealth management technology by Banking CIO Outlook in 2021; and asset manager of the year and strategist of the year by Envestnet in 2018. Mr. Cannon is a national speaker on such topics as future industry trends, goals-based investment management, and market dynamics. He is also the head of Thrive, MMI's initiative to help emerging asset managers share connections, industry insights, and best practices. Mr. Cannon's first book entitled, *The Advice Age*, was published in July of 2023. He graduated from Furman University.

<https://www.linkedin.com/in/robbie-cannon-189b25a7/>



# Tom Morelli

## Distribution Leadership Executive

Mr. Morelli is the former Head of U.S. Wealth Management at T. Rowe Price Associates, Inc. and T. Rowe Price Group. His industry experience began in 1996, and he spent the past 20 years with T. Rowe Price, having joined the firm in 2003. He was responsible for helping build the bank and RIA initiative as a relationship manager within the intermediary distribution group. Most recently, he was responsible for overseeing sales, client services, marketing, and general management for U.S. private wealth management. The private wealth management team is responsible for the U.S. distribution of T. Rowe Price mutual funds, ETFs, SMA, alternatives, sub-advised portfolios, and other investment vehicles. It serves such client segments as broker-dealers, RIAs, recordkeepers, banks, and other investment platforms along with financial advisors who create wealth solutions and retirement readiness for clients. Under his leadership from 2017-2023, assets under management grew from \$40 billion to \$400 billion. Prior to becoming head of the private wealth team, he held leadership roles focused on building the firm's efforts within private bank, RIA, and broker-dealer segments. Before joining T. Rowe Price in 2003, Mr. Morelli was a vice president on the institutional sales team at Pioneer Investments (Amundi), where he helped establish the sales team and expand distribution to RIA, DCIO, and sub-advisory clients. Mr. Morelli earned a BA in political science from Colgate University and an MBA from The University of North Carolina, Keenan-Flagler Business School. He holds FINRA Series 3, 6, 7, and 63 licenses and is a Series 24 registered principal.

<https://www.linkedin.com/in/tom-morelli-501624/>



# Joel Schiffman

## Schiffman Growth Strategies

### Strategic Distribution Consultant

Mr. Schiffman has over three decades of leadership experience across the investment community. His work in wealth management and retirement distribution has helped raise billions in AUM for active fund managers. Most recently, he was Head of Strategic Partnerships at Schroders Investment Management responsible for developing firm-wide relationships that enabled the full breadth of Schroders to be leveraged. Before that, he was head of both intermediary distribution and defined contribution and insurance sales, spearheading the firm's DCIO and sub-advisory strategies. Prior to Schroders, Mr. Schiffman was a vice president and director at Janus Henderson Investors, responsible for overseeing sales and client services for insurance and defined contribution clients. He served as a senior relationship manager at Columbia Threadneedle Investments in charge of building and maintaining relationships with U.S. retirement platform record keepers and insurance companies. Earlier, he was a director of retirement platform relationships at Lord Abbett & Co. Mr. Schiffman earned a BA in economics from UCLA and holds the CIMA designation and FINRA Series 7, 3, 24 and 63 licenses.

<https://www.linkedin.com/in/joel-schiffman-64106b5/>