

Board of Governors Directory

May 2025

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Officers



Brendan Clark, Chair

Clark Capital Management Group

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.



Jim Devaney, Chair-Elect

PGIM

Head of U.S. 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.



Anne Steer, Chair Emeritus

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.



Jill Brown, Treasurer Board Ambassador

Ms. Brown was recently President, Principal Fund Distributor, Inc. of Principal Financial Group. She had been with the firm since 1990 and was 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 included 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.

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Kara Julian, Secretary Board Ambassador

Ms. Julian was recently the Managing Director, Head of the Consulting Group division of Morgan Stanley Wealth Management based in Purchase, New York. She had 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.

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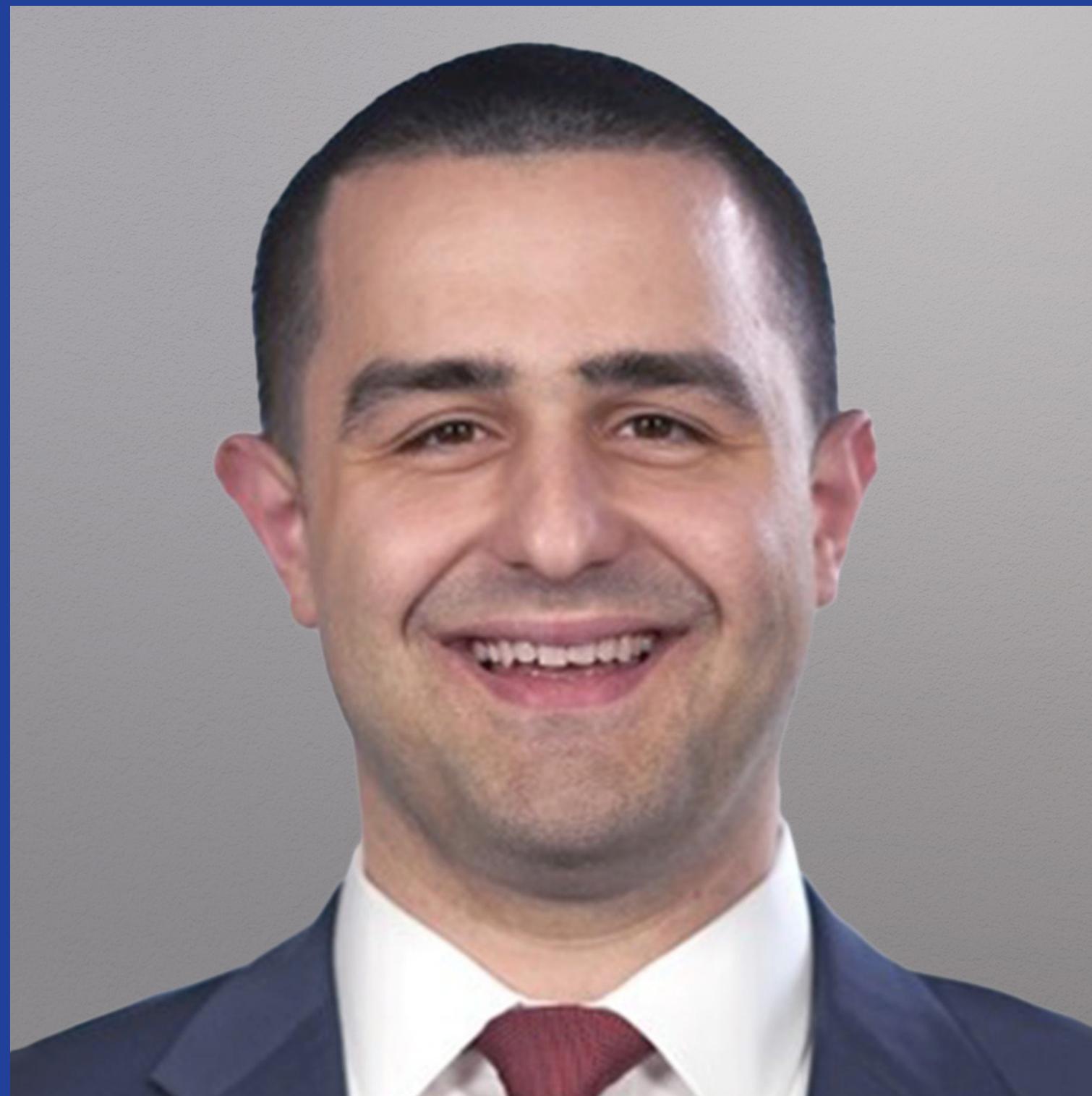
Craig Pfeiffer

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.

Executive Committee Members



David Giffen

UBS

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.

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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.



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.

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John McDonough

Invesco

Head of Americas Distribution

Mr. McDonough, who joined Invesco when the firm combined with OppenheimerFunds in 2019, oversees development and execution of client strategy and coverage, including all platform and field sales related activities. While at OppenheimerFunds, he served as executive vice president and head of its distribution and marketing teams. Mr. McDonough joined OppenheimerFunds as an internal wholesaler in 1993 and subsequently held 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. He has experience delivering a broad array of investment capabilities to a diverse group of clients. Mr. McDonough earned a BA from the University of Richmond and is a graduate of the Hasso Plattner Institute of Design at the Stanford Graduate School of Business. He earned a certificate in international business management from Georgetown University. Mr. McDonough is currently chairman of the Investment Management Education Alliance (IMEA) and a member of the MMI Board of Governors. He also served on the board of the Madison Square Boys & Girls Club of NYC for many years.

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Brian Schappert

American Century

SVP, Head of U.S. Intermediary Distribution

As 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.

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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.

Governors



Sarah Bauer

Envestnet

Head of Asset Management Engagement

Ms. Bauer plays a pivotal role in overseeing all asset manager relationships and the placement of asset management products on the Envestnet platform. In this position, she leads collaborative efforts across various areas of Envestnet to deliver impactful go-to-market strategies that nurture asset manager partnerships. With a career spanning nearly two decades in the financial industry, Ms. Bauer has held various roles that showcase her leadership and strategic acumen. Most recently at Envestnet, she was a co-head of the strategic relationship management team, working closely with the firm's top enterprises to enhance their platform offerings utilizing Envestnet's expansive solution set and aligning strategies to help them achieve growth. Earlier, she led the solutions distribution team and PMC national accounts. Before joining Envestnet, Ms. Bauer dedicated 15 years to Symmetry Partners, where she held leadership positions in distribution and marketing. During her tenure at Symmetry, as a member of the firm's executive committee, she played a key role in reshaping and expanding its national accounts team, demonstrating her expertise in building and managing high-performing teams. Ms. Bauer's extensive experience, passion for the financial industry, and commitment to excellence have combined to make her a dynamic and collaborative leader in the asset management space.

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Cheri Belski

LPL Financial

EVP, Head of Investment Management Solutions

In her position, Ms. Belski sets the direction and strategy for key investment efforts for LPL Financial, including research, investment products, strategic partnerships, annuities, advisory platforms, and retirement partners business. Earlier, she held multiple strategic leadership roles across operations, sales and distribution and global product during her more than 20-year career at T. Rowe Price. Her diverse background — spanning sales, product, client service, distribution, and operations — is pivotal in transforming LPL's investment portfolio and driving innovative solutions that meet the evolving needs of its clients, ensuring sustained growth. Ms. Belski received a BA in political science and Latin American studies from the University of Pittsburgh, earned an MBA in international business from Johns Hopkins Carey Business School, and holds FINRA licenses 3, 6, 63, 7, 24, and 53.

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Doug Brigman

Raymond James Financial

Chief Administrative Officer, Asset Management Services

While Mr. Brigman is currently the Chief Administrative Officer of Asset Management Services of Raymond James Financial, he will transition to President of Asset Management Services on October 1, 2025. With 17 years of leadership experience at Raymond James, he has been focused on driving growth and innovation across various departments. In his current position, Mr. Brigman oversees the AMS research, portfolio construction, regional consulting, and administrative teams, ensuring the delivery of top-tier investment solutions and services to financial advisors. His leadership is characterized by a deep understanding of both the financial services industry and the unique needs of advisors and their clients. Prior to his current position, he served as the president of the Raymond James Insurance Group, where he managed a team of nearly 200 financial specialists possessing strong technical knowledge. He also held the following roles: the Tampa Bay complex manager for Raymond James & Associates, where he was recognized as the firm's Complex Manager of the Year in 2020; head of fiduciary services, where he focused on leading the firm's response to the DOL's Fiduciary Rule; and head of the planning and strategy division for the firm's private client group. Mr. Brigman initially joined Raymond James in 2008 as vice president of cash and lending solutions, where he led the business case and buildout of the firm's securities-based line of credit product. Before joining Raymond James, he spent time at Progressive Insurance and BellSouth Telecommunications. Mr. Brigman is a graduate of the University of Virginia's Darden School of Business, where he earned an MBA, and he also holds a BS in industrial engineering from the University of Florida and is a Certified Financial Planner.



Annie Brown

T. Rowe Price

Co-Head, Wealth Management, U.S. Intermediaries

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.

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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.



Suzanne Casey

Northern Trust Asset Management

Co-Head of Wealth Client Group

Ms. Casey serves on the Asset Management Executive Group with oversight of the wealth client segment. She is responsible for strengthening her firm's presence in the intermediary wealth management markets and delivering an exceptional client experience to wealth clientele. During her more than 30 years of experience across the wealth management and investment management industries, she served as managing director, head of sales and distribution at Hilton Capital Management, LLC and held a variety of senior sales and leadership roles at such financial service firms as Vanguard and J.P. Morgan Asset Management. Earlier, she was national sales manager and co-head of the wealth solutions specialist organization at Merrill Lynch & Co. Before that, she worked at Goldman Sachs Asset Management, where she was part of their third-party distribution build-out, running the sales desk and covering major metro markets. She began her career as an internal wholesaler at Van Kampen American Capital. Ms. Casey has a BA from the University of Vermont. She holds FINRA Series 6, 7, 24, 63 and 66 licenses. She serves as vice chair of the Parent & Family Leadership Council at Marquette University and volunteers as an instructor for the organization Rock The Street, Wall Street which aims to empower young girls through education by strengthening their financial literacy and knowledge of the financial services industry.

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Matthew Caulfield

BNY | Archer

Chief Revenue Officer

Mr. Caulfield, who has more than 30 years of experience as a strategic sales and relationship 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.

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David Chorba

Macquarie Asset Management

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.

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Kimiko Cohen

Fidelity Investments

Head of FundsNetwork Product & Strategy, Fidelity Institutional

Ms. Cohen is head of the FundsNetwork product and operations functions within Fidelity Institutional, a division of Fidelity Investments that offers financial professionals and institutions access to the investment, technology, and platform solutions they need to service their clients and grow their businesses. Ms. Cohen leads a team that is responsible for manager and product onboarding and service, platform development, data and analytics, and program management supporting third-party asset manager relationships. FundsNetwork is the access point for third-party asset managers who offer mutual funds, exchange-traded funds, collective investment trusts, alternative investments, and separately managed accounts to Fidelity platform clients. Prior to her current role, Ms. Cohen held several leadership positions within Fidelity's finance organization, working closely with the clearing and custody business and the intermediary distribution business. Before joining Fidelity in 2005, Ms. Cohen was a consultant with the Hay Group (now Korn Ferry), working with clients in multiple sectors. Ms. Cohen earned a BA in economics from the University of California, Davis, and an MA in economics from Harvard University. She holds FINRA Series 7, 24, and 63 licenses.

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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.

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Mark Connolly

Nuveen

Senior Managing Director, 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.



Kara Grehan

BNY Investments

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.

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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.



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.

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Steve Houston

iCapital

Managing Director, Co-Head, iCapital Solutions

Mr. Houston, who has joint oversight of the iCapital Solutions business, is a member of his firm's management and operating committees. He is responsible for managing the delivery of iCapital's technology and suite of operating system capabilities to the firm's enterprise clientele, which includes wealth managers, asset managers, structured note issuers, and insurance carriers. Prior to joining iCapital, he was a partner of m+ funds, which was acquired by iCapital. Earlier positions included head of Americas wealth management at Barclays Bank and co-head of the alternative investments and structured investments businesses at Merrill Lynch. Mr. Houston earned a BA in economics from the University of Texas and an MBA from Columbia University.

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Matt Huss

Ameriprise Financial Services

SVP, General Manager, Head of Product and Platform Solutions

Mr. Huss is responsible for managing, developing, enhancing, compliance, and risk for all product and platform solutions, including advisory solutions, alternative investments, mutual funds, ETFs, structured products, UITs, equities, fixed income, 529 plans, and options. Immediately prior to his current position, he was senior vice president and general manager of advisory solutions, overseeing Rep as Advisor, Rep as PM, SMAs, UMA, and Mutual Fund Advisory. Before his return to Ameriprise in 2017, Mr. Huss 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. Earlier, Mr. Huss was vice president of mutual funds, 529 plans and syndicate distribution at Ameriprise Financial Services and 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 has been with the Ameriprise since 2017 and had previous service from 1999 to 2014 with various leadership roles in asset management and advisory.

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Tim Kresl

Broadridge

Managing Principal, Head of U.S. Client Success

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.

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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.

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Patty Loepker

Wells Fargo Advisors

Managing Director, Head of Investment Products, Investment Solutions Center of Excellence

Ms. Loepker, who is based in St. Louis, oversees Investment Products for the Investment Solutions Center of Excellence within Wealth & Investment Management (WIM). She is responsible for all investment products for WIM, including advisory, packaged products, alternatives, retirement, insurance, and annuities. Her duties include managing a best-in-class product platform as well as the control, risk, and advisor support functions. Prior to joining Investment Products, Ms. Loepker — a 35-year-plus Wells Fargo veteran — was the head of managed solutions and investment implementation for Investment Solutions. She began her career in trading operations and has held various leadership roles in advisory, portfolio management, investment consulting, platform marketing, and specialized advisory services. Ms. Loepker earned a BA in business administration from Southern Illinois University.



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.

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Jared Murphy

BlackRock

**Managing Director, Head of Strategic Accounts,
U.S. Wealth Advisory**

Mr. Murphy, who joined BlackRock in 2007, oversees the firm's home office relationships across U.S. wealth management firms and platforms. Additionally, he is responsible for the investment due diligence function for BlackRock's alpha-seeking, SMA, models, and iShares investment capabilities. In earlier roles within BlackRock's U.S. Wealth Advisory business, he served as head of the investment solutions group and ran the bank wealth management-national accounts team. Prior to U.S. Wealth Advisory, Mr. Murphy worked in BlackRock's iShares business and led the team responsible for the distribution of fixed income iShares to institutional clients. He started his BlackRock career in the global liquidity business, where he oversaw the distribution, client servicing, and marketing of BlackRock's global liquidity solutions to financial institutions and third party intermediaries. Before joining BlackRock, he spent nine years at JPMorgan Asset Management, where he was a client advisor in its global liquidity business, working with Fortune 500 corporations and global financial institutions. Mr. Murphy earned a BA degree in economics from Cornell University.

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Cheryl Nash

InvestCloud

President, APL

With over 35 years of experience, Ms. Nash has deep expertise and understanding of industry trends, priorities and challenges and is a highly sought-after subject matter expert. Her consultative approach has yielded enduring client partnerships and relationships. Her credentials include being president of Fiserv Investment Services for 12 years, CEO of Tegra118 and InvestCloud Financial Supermarket for three- and one-half years and chief customer executive at InvestCloud for one year. She served on the MMI Board of Governors and was Co-Chair of the MMI DE&I Community. As a former Envestnet Institute on Campus advisory board member, she founded and led the Women in Wealth Management initiative, an award-winning program dedicated to inspiring, advising, and educating career-focused women. She is also on the Females and Finance Advisory Board and on the board of Asset Map and Snappy Kracken and once again on the MMI Board of Governors. Ms. Nash has received numerous awards for her contributions, advocacy and achievements including: the MMI Pioneer Award (2009); Stevie Gold Award for Women in Business (2016); Family Wealth Report's Women in Wealth Management—Individual Contributor award (2017); MMI/Barron's Industry award to Envestnet Institute on Campus in the 'Doing Good' category, a program for which Ms. Nash was a key contributor (2017, 2018); InvestmentNews Women to Watch honoree (2017); the FTF News 2018 Editor's Choice Award; ThinkAdvisor's 2019 Top Women in WealthTech; Savvy Ladies 2019 Change Maker of the Year; Stevie 2020 Bronze Award for Women-Run Workplace of the Year; Markets Choice Awards Women in Finance 2020 CEO of the Year; and 2023 Women in Wealth Management Award for Career Excellence, and 2024 Women in WealthTech to Watch F2 award.

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Roger Paradiso

Franklin Templeton

Global Head of Product Solutions

Mr. Paradiso is an advisory solutions industry leader with expertise in innovation, transformation, business enhancement, and strategy. With a clear vision and creative solutions, he has emphasized the needs of the clients and ease of use, leading the way to new efficiencies and profitable businesses. He has shaped careers and developed trustworthy, reliable products for his organization. Mr. Paradiso has an ability to create focus, provide encouragement, and inspire collaboration that has led to leadership success and industry recognition. Currently, he is executive chairman of Franklin's O'Shaughnessy Asset Management. In this role he is focused on new business development and leading and creating custom separately managed accounts. In addition to developing the strategies, he implements technology-enabled advice solutions to support existing intermediary channels and new potential areas of growth and access. During his career, he has worked for Franklin Templeton and predecessor firms for over 25 years. In 1997 at Citi Asset Management, he conceived, developed, and built out the company's unified managed account platform, an industry first. Two years later, he created the Private Portfolio Group, which was sold to Smith Barney (now Morgan Stanley) in 2008. That platform remains the industry's leading unified managed account and overlay manager. Mr. Paradiso returned from Morgan Stanley in 2016, where he had been managing director of investment solutions and portfolio development for the advisory business in New York. His team was responsible for manager research, manager selection, portfolio construction, account management, and trading. In addition, he built out and managed the third-party trust business. His business group managed over \$130 billion in assets of which \$30 billion was discretionary in over 225,000 accounts. Mr. Paradiso has received MMI's highest honors: the Advisory Solutions Pioneer Award in 2014 and the All-Star Achiever Award in 2016.

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Ron Pruitt

Orion

President, Wealth Management

Mr. Pruitt is responsible for sales, investment management, portfolio management, product management, and operations spanning Orion Portfolio Solutions, Brinker Capital Investments, Orion Custom Indexing, Orion Communities, and Orion OCIO. A CFA, he is a seasoned executive leader with over 25 years of wealth management experience. Prior to joining Orion in May 2024, he served as senior vice president of Nasdaq Analytics, formed through the acquisitions of eVestment and Solovis, which provides investment analytics and market intelligence to global asset managers, asset owners, and institutional investment consultants. Mr. Pruitt's career also includes serving as president and CEO of Solovis, a Nasdaq company known for its portfolio management software and services. He co-founded Placemark Investments, served as its chief investment officer, and authored Placemark's patent for overlay portfolio management. Placemark was later acquired by Envestnet, where Mr. Pruitt served on the leadership team post-acquisition. His career began at General Electric, where he achieved the status of Six Sigma Master Black Belt, underscoring his commitment to excellence and quality of operations. Mr. Pruitt holds a BS in econometrics from the United States Military Academy at West Point and an MBA from the University of Texas at Austin. His career also includes distinguished military service as an officer in the U.S. Army.

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Sheila Rapple

Blackstone

**Senior Managing Director, Global Head of Investor Services,
Private Wealth Solutions Group**

Ms. Rapple oversees investor services and devotes much of her effort to helping to build out the processes needed to support new products and channels. Prior to leading investor services, she was head of the internal sales and service desk for the private wealth management group. Before joining Blackstone in 2011, Ms. Rapple worked at Legg Mason, where she held a number of different positions. Her most recent role was director, separately managed account product manager in Legg Mason's retail distribution unit, where she was responsible for SMA product maintenance, product development, platform placement, sales, marketing, operations, and client service. Ms. Rapple began her career with Smith Barney Asset Management working in its sales and marketing team promoting Smith Barney mutual funds and separately managed accounts.

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Ryan Robertson

Future Standard

Co-Head of Distribution

Mr. Robertson serves as the Co-Head of Distribution at Future Standard 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 Future Standard, 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.

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Amos Robinson

Charles Schwab

Managing Director, 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.

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Chris Scott-Hansen

Morgan Stanley Wealth Management

Managing Director, Head of Investment Advisory Solutions

Mr. Scott-Hansen, who is based in New York City, heads Morgan Stanley's \$2 trillion dollar investment advisory business (Consulting Group). He previously led his firm's trading and managed solutions areas, which included the equity, options, advisory and E*TRADE fixed income trading desks for Morgan Stanley Wealth Management as well as its portfolio risk platform and overall Aladdin risk management strategy and its managed advisory portfolio solutions (MAPS) models/SMA businesses. Earlier, he led Morgan Stanley's trust and retirement divisions, which included individual retirement, business retirement, insurance, annuities, trust services, and financial planning. Before joining Morgan Stanley, he was a long-only equity and multi-strategy portfolio manager with Legg Mason/ClearBridge Investments. Mr. Scott-Hansen earned a BS in finance from Bryant University in Rhode Island.

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Pete Thatch

Capital Group

SVP, Head, Strategic Relationship Group

Mr. Thatch, who is based in Los Angeles, is responsible for leading relationships with U.S. distribution partners across wealth management, insurance, and retirement, including the global enterprise relationship and practice management teams at Capital Group, home of American Funds. He has 31 years of investment industry experience and has been with Capital Group for 10 years. Earlier in his career at Capital, he held various positions including head of wealth management national accounts and director of product management, responsible for retail product management and strategy. Prior to joining Capital, he was managing director and head of third-party product offering at Merrill Lynch. Before that, he worked in positions supporting investment product and distribution at Merrill Lynch Investment Managers and BlackRock. Mr. Thatch holds a BA in economics from Rutgers University.



Kyle Thompson

Voya Investment Management

SVP, 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.

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Russ Tipper

Edward Jones

Principal

Mr. Tipper leads the products and solutions area within Wealth Management and Field Management, which includes the firm's trading, trust, investment advisory, managed investments, protection, retirement, and banking products and capabilities. He is responsible for leading and coordinating the firm's product strategy and the ongoing product management of those capabilities to enable branch teams to deliver tailored solutions that both help clients work toward achieving their financial goals and enhance the value they provide clients in the future. Mr. Tipper began his career in 1997 as a financial advisor for PaineWebber, now UBS, in Chicago. Over the next seven years, he held product management and marketing roles at Putnam Investments and Nationwide Financial before joining Bank of America/Merrill Lynch. In his 11 years with Merrill, he was a managing director responsible for leading the third-party discretionary and client discretionary investment advisory programs, as well as building and transitioning clients to Merrill One, the firm's consolidated investment advisory program. In 2016, Mr. Tipper joined Capital Group as an SVP leading product management and strategy for the wealth management client group. He led several initiatives to build out Capital's investment capabilities to support clients' and advisors' transition to investment advisory, an assignment that included building out the firm's SMA and model portfolio capabilities. His team was also responsible for the mutual funds, 529, and ABLE investment capabilities. Mr. Tipper earned a BA in economics from Denison University and an MS in finance from Northeastern University. He also holds the CIMA designation and FINRA Series 7, 66, 24, and 51 licenses.

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Chris Wilson

Principal Asset Management

Managing Director, Wealth Advisory Solutions

Mr. Wilson is responsible for distributing his firm's investment strategies through retail financial intermediaries in the Eastern region of the United States. He joined Principal in 2005 and has over 25 years of industry experience. Earlier, he was a vice president at Overture Asset Managers. He received a BA in history and political science from Colgate University. Mr. Wilson is a CIMA professional and a member of both MMI and the Investments & Wealth Institute. He is a registered representative of Principal Funds Distributor and holds FINRA Series 7, 24, 51, 63, and 65 licenses.

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Troy Thornton

Goldman Sachs Asset Management

Co-Head, Americas Third-Party Wealth

Mr. Thornton is also a member of the Asset & Wealth Management Inclusion and Diversity Council. Prior to assuming his current position, he was co-head of the Americas retail client business, head of key accounts and platform development, and national sales manager of the investment consulting group in U.S. third-party distribution. He previously 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. Mr. Thornton joined Goldman Sachs in 1997 as a regional sales director in third-party distribution within Goldman Sachs Asset Management. He was named managing director in 2008 and partner in 2022. Before joining the firm, he spent five years in asset management distribution for Federated Investors and Bankers Trust Global Investors. Mr. Thornton is chair emeritus of the MMI Board of Governors and serves on its Executive Committee. He is also a member of the distribution council of the Investment Management Education Alliance and the sales and marketing committee of the Investment Company Institute. Mr. Thornton chairs the advisory board of The Pennsylvania State University Educational Equity Program and serves as an advisory board member of Wellness in the Schools, a nonprofit that promotes healthy eating, environmental awareness, and fitness for children in New York City public schools. Mr. Thornton earned a BA in political science from The Pennsylvania State University.



Paul Zettl

Cohen & Steers

EVP, Head of Global Marketing, Chief Marketing Officer

Mr. Zettl, who serves as chief marketing officer, has over 25 years of experience in marketing and product management. Prior to joining Cohen & Steers in 2019, Mr. Zettl's tenures included roles at T. Rowe Price, TD Ameritrade, and Fidelity, where he developed integrated marketing strategies that helped the firms expand client outreach and raise brand awareness. He has extensive expertise in business planning, digital marketing, advertising, public relations, and brand management for financial services companies, including retail brokerage, banking, retirement, and asset management. Mr. Zettl has a BA from the State University of New York College at Cortland and completed the Securities Industry Institute program at the Wharton School of Business.

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