

CURRENT EMPLOYMENT

Align International, LLC, bespoke regulatory consulting 2008 to the Present

Candid, confidential, tailored consulting for domestic and international financial institutions, markets and regulatory authorities, including: resilience and failure analysis; issues related to international standards and best practices for products, market infra-structures and intermediaries; regulatory strategies; cross-border access arrangements; clearing, segregation, portability of positions and funds, and related risk-management, recovery and wind-down procedures ; institution building, such as, designing policies and procedures, including procedures related to overseeing and integrating outsourced compliance and risk management functions, combining different financial sectors and asset classes; and merging personnel and cultures.

Second opinions on internal and external reports for oversight entities, management and the Board

Expert reports, opinions and testimony related to listed derivatives, their regulation and oversight, and international standards.

OTHER ACTIVITIES

- ◇ **Directorships:** Independent Director and Chair of Regulatory Oversight Committee of NYSE-liffe US prior to Intercontinental Exchange merger with NYSE from March 2010 until mid-December 2013; Public Director National Futures Association from February 2013 to end 2017.
- ◇ **Advisory Panels:** Observer to Market Participants Consultative Committee of Committee of European Securities Regulators, prior to advent of European Securities and Markets Authority (ESMA) from 2006 to 2011; IOSCO Representative Observer to UNCITRAL meeting in the Hague on potential convention on the treatment of certain securities held by a financial intermediary (2003—see 2006); Chair Securities Advisory Board (SAB) of the Toronto International Leadership Centre for Financial Sector Supervision (TC), and Member of the TC Board from 2003 to May 2017; Participation at the staff level on the President’s Working Group (PWG) for Financial Markets from 1987 to 1997.
- ◇ **Training.** Adjunct Professor, Commodities Law (“Futures Market Regulation”) Georgetown Law Center from 2000 to 2012; Program Leader for Toronto Centre from 2003 to the Present; short-term teaching appointment to Baku State University in 2016 under auspices of the senior lawyer program of the Center for International Legal Studies (CILs), a not- for- profit institution established under Austrian law .
- ◇ **Chairmanships:** While at the CFTC< IOSCO Task force on Assessment of the Objectives and Principles of Securities Regulation between 2001 and 2006; IOSCO Committee developing principles for the oversight of derivatives markets; Co-Chair (US) and organizer of first two CESR/CFTC Transatlantic Dialogues .

EDUCATION

LL.B. Harvard - Roscoe Pound award, moot court semi-finalist, Harvard teaching fellowship
BA. Stanford - Great Distinction, Departmental Honors, Phi Beta Kappa
MIT Sloan School of Management – Certificate for on-line course on Block-Chain (2019)

LICENSES and ROSTERS

New York (currently inactive), California, District of Columbia bars; expert roster for World Bank, IMF; US Government Contractor registry SAMS

MEMBERSHIPS

Council on Foreign Relations
Foreign Policy Discussion Group
The Washington Institute of Foreign Affairs

AWARDS/HONORS

Presidential Executive Rank Award* (1988, 1996 under Presidents Reagan and Clinton), respectively
FIA Futures Hall of Fame 2013

PRIOR EMPLOYMENT AND ACTIVITIES

Managing Director, Promontory Financial Group, LLC (Washington, DC.: 2006 to 2008)

**Director, Office of International Affairs, US Commodity Futures Trading Commission (CFTC)
(Headquarters Washington, DC: 1997 to 2006)**

Director, Division of Trading and Markets, CFTC

**Senior Attorney and then Chief Counsel for the Office of Trading and Markets, CFTC
From 1979 to 1982**

EARLY POST LAW SCHOOL EMPLOYMENT

- ◇ **Davis Polk & Wardwell (NYC: 1967 to 1969)**
(1969 to 1970 on location with husband serving in Vietnam War)
- ◇ **Blue Ribbon Commission on Marijuana and Drug Abuse led by Pennsylvania Governor Schafer (Washington, DC.: 1971 to 1972)**
- ◇ **Tuttle and Taylor (Washington, DC branch of LA firm: 1973 to 1977)**
- ◇ **Hogan & Hartson (Washington, DC.: 1977 to 1979)**

*Highest monetary award for senior executive service