2022 FINRA Cloud Computing Conference
Speaker Biographies

Dave Dadoun leads Microsoft's global regulatory strategy for its cloud business in the financial services industry. His career has been focused on the intersection of regulation and technology and been involved across in pioneering efforts to address complex regulatory requirements at a global scale. With more than 25 years of experience in leadership roles at the intersection of financial services, technology, and regulation, he has driven strategic initiatives with leading global financial institutions as well as with regulatory and legislative bodies worldwide, helping shape the discussion around key policy changes, and engaged in efforts to drive to modernization of regulation with the fast paced environment in technological innovation, and has played a mission-critical role in delivering both top-line growth and profitability. He is responsible for driving Microsoft's engagement with financial services regulators, and to help financial institutions meet their regulatory compliance needs. He regularly meets with senior leaders of the top global banks to provide an overview about Microsoft's regulatory compliance leadership and working to solve the needs of financial institutions in driving digital transformation and use of cloud services. He also engages and educates top financial service regulators about cloud, influences on modernization of regulation, and seeks to drive harmonized approaches on regulatory supervision across jurisdictions globally. Prior to his current role, he served as the lead lawyer for Microsoft's Financial Services Industry, and previously as general counsel for Microsoft's Small Midmarket Solutions and Partner organization (a $20 billion dollar business). From 2001-2010 he served as competition counsel for Microsoft, working on the U.S. Department of Justice antitrust case and follow-on European Commission case. During that time, he was appointed by the Microsoft Board to serve as the compliance officer under a federally mandated consent decree from 2002-2006, and then led antitrust counseling and defended the company in numerous competition investigations in Europe, residing in Paris, France from 2006-2010. He started his career with the U.S. Federal Trade Commission, Bureau of Competition, as a staff attorney, leading work in technology, defense and pharmaceutical industries resulting in numerous enforcement actions and consent decrees and receiving various meritorious awards for his work. He then transitioned to one of Seattle's top law firms, building an antitrust and trade regulation practice, also focusing in technology and regulation. Among his clients was Microsoft co-founder Paul Allen. Shortly after being elected as a partner in his firm, he transitioned to Microsoft.

Dan DeWaal is an accomplished information security risk management leader with over 40 years of experience. He currently serves as a Senior Specialized Examiner with the SEC's Division of Examinations - Technology Controls Program (TCP) that focuses primarily on entities covered by SEC's Regulation on Systems Compliance and Integrity (SCI), a set of rules created to monitor the security and capabilities of U.S. securities markets' technological infrastructure. Prior to joining the SEC in 2015, Mr. DeWaal held a variety of positions over a 22-year career in the U.S. Army followed by an 18-year career at a systemically important financial market utility which culminated in his role as the Chief Information Security Officer with oversight responsibility of security and IT controls compliance. During this same period, Mr. DeWaal also held leadership positions in several financial services industry groups, including Board Member for the Financial Services Information Sharing and Analysis Center (FS-ISAC); Executive Committee Member for the Financial Services Sector Coordinating Council (FSSCC); and Chairman of the ChicagoFIRST Board of Directors. Mr. DeWaal is certified as an Information Systems Security Professional (CISSP), Information Security Manager (CISM), and Enterprise IT Governance practitioner (CGEIT). He received a Bachelor of Science degree from Southern Illinois University and has completed the Securities Industry Institute Program at the Wharton School, University of Pennsylvania.

Christine Graham is Assistant Director of the Federal Reserve Board's Operational Resiliency Policy section. She and her team develop policies that promote a financial system that is resilient and ready to tackle cybersecurity, information technology, and other operational risks, including emerging technology risks. Before this role, Ms. Graham served as an officer at the Board within the Large Institution Supervision Coordinating Committee (LISCC) section, where she and her team represented the LISCC perspective in policy development and matters brought before the Federal Reserve Board. Ms. Graham is trained as a lawyer and served in the Board's Legal Division and in private practice prior to joining the Division of

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Supervision & Regulation. She earned her Bachelor of Arts from Vanderbilt University and law degree from the University of Chicago.

Justin Shibayama Herring is Executive Deputy Superintendent at the New York Department of Financial Services (DFS), where he leads the newly created Cybersecurity Division. The Cybersecurity Division focuses on protecting consumers and industry from cyber threats and is the first of its kind to be established at a banking or insurance regulator. The Division oversees DFS's cybersecurity examinations, issues guidance on DFS's cybersecurity regulations, and conducts cyber-related investigations with the Consumer Protection and Financial Enforcement Division. The Division also helps the industry protect itself by disseminating trends and threat information about cyber-attacks. Mr. Herring joined DFS from the U.S. Attorney's Office of New Jersey, where he was Chief of the office's first Cyber Crimes Unit, supervising the prosecution of crimes such as national security threats, ransomware, hacks targeting corporations, financial institutions, accounting firms and government networks, and cyber-enabled frauds such as business email compromises and account takeovers. He also prosecuted and supervised white-collar cases involving investment fraud, stock manipulation, money laundering, insider trading, and corporate embezzlement. Mr. Herring graduated from the University of Chicago Law School and received a B.A. from Swarthmore College. After law school, he clerked for Chief Judge Danny J. Boggs on the U.S. Court of Appeals for the Sixth Circuit.

Vincent Iannuzzi, CEO of Beech Hill Securities, has provided insight, leadership, and a dedication in service of the firm since 2006. He holds more than 25 years of experience working across transactional, operational, clearing, regulatory, risk management, technological and strategic aspects of the industry. This base of experience, combined with his deep accounting experience and extensive licensing, offer the strong base from which he provides leadership to the firm in its service to our clients.

Scott Kain joined HSBC in 2019 as the US Regional Head, Global Cloud Services responsible for the delivery and execution of HSBC's multi-Cloud strategy for the US Bank. Mr. Kain leads the US Cloud Enablement function supporting our local business leaders driving cloud transformation and realizing the value proposition of cloud. Mr. Kain is responsible for all Regulatory governance for Cloud and leads the US Cloud DevOps team, providing consultancy/subject matter expertise to HSBC application teams migrating their services to Google Cloud Platform and Amazon Web Services. Prior to HSBC, Mr. Kain was the Global Lead for Cloud Hosting Platforms at EY, where his team led the enablement of Microsoft Azure and Amazon AWS cloud platforms for enterprise consumption. Mr. Kain led the Cloud Platform Architecture & Engineering teams responsible for defining Cloud Service standards, Cloud Security baselines and provided 24 x7 operations. Mr. Kain graduated from New Jersey Institute of Technology, with a MBA in Management of Technology and holds an Bachelor's Degree in Information Science from the State University of New York, Albany.

Matthew Liste manages the Platform Services Team, chartered with delivering the next-generation products, such as PaaS and Container platforms, and modern data and messaging solutions for JPMorgan Chase. This is achieved by delivering first-class hybrid cloud platforms capable of running mission-critical workloads in a resilient and cost-effective manner, while also meeting the regulatory and compliance demands of our business. Prior to joining JPMorgan in 2014, Mr. Liste managed Goldman Sachs' Compute and Storage Engineering teams, and was the Chief Technology Officer for the Data Center Product Group and a Goldman Sachs technology fellow. Mr. Liste joined Goldman Sachs in 2004 to manage various network engineering and delivery functions and was named managing director in 2011. Prior to joining Goldman Sachs, Mr. Liste consulted at financial services and telecom companies on technology strategy and execution. Earlier in his career, he worked at Schlumberger, Petroleum Geo-Services and Nortel Networks. Mr. Liste received a Bachelor of Science in Computer Science from the University of Oslo.

Melissa MacGregor is Managing Director and Associate General Counsel at SIFMA in Washington, D.C. Her responsibilities at SIFMA include advising the advocacy and policy activities of the SIFMA General Counsels Committee, Technology and Regulation Committee, and Sustainable Finance Task Force, along with several specialized working groups. Most recently, Ms. MacGregor covers issues relating to electronic communications and records, financial technology, data aggregation, social media, privacy, data protection, outsourcing, and sustainable finance. Ms. MacGregor is a member of the board of directors of the Financial Data Exchange. Prior to joining SIFMA in 2005, Ms. MacGregor practiced securities regulation at Crowell & Moring LLP and Clifford Chance LLP. She holds a J.D. from American University Washington College of Law and a B.A. from St. Lawrence University.

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Greg Markovich joined FINRA on February 1, 2016, as a Senior Principal Risk Specialist and he is currently responsible for leading cybersecurity examinations and providing security consultation and training for other staff. Prior to joining FINRA, Mr. Markovich has 30 years of information technology (IT) and security experience working at two investment management firms including Capital Group – American Funds, and American Century Investments. His leadership roles at these firms included responsibility for information security, risk management, identity access management, and disaster recovery. Mr. Markovich also has experience leading applications development and infrastructure support teams. In addition to having an MBA degree from the University of Missouri, Mr. Markovich has several security certifications including a certified Information Systems Security Professional (CISSP) and a Certified Information Security Manager (CISM) certification.

Linde Murphy currently serves as President and CCO at M.E. Allison & Co., Inc., a full-service broker/dealer and Texas registered investment adviser. Founded in 1946, the firm also provides municipalities with advisory and underwriting services. In 2012, Ms. Murphy joined Presidio Financial Services as they began the CMA process to join M.E. Allison & Co., Inc. Ms. Murphy started her career in investments on a trading desk in Chicago in 1999 and has held positions in compliance, sales, business development and management. In addition to the pertinent industry licenses, Ms. Murphy obtained the CRCP™ designation in 2014 after attending the FINRA Institute at Wharton on the FINRA Small Firm scholarship. She currently serves on the FINRA Board of Governors. She previously chaired the FINRA Small Firm Advisory Committee and served on the District 6 Committee, the FINRA Fixed Income Committee and the FINRA Regulatory Advisory Committee.

Michael Oh is a director in the Office of Financial Innovation at FINRA and has a background in financial markets, macroeconomics and cryptocurrencies. Prior to FINRA, he spent two years in the cryptocurrency space as an entrepreneur, consultant and adjunct professor at the University of Arkansas. Before that, Mr. Oh spent over a decade in emerging markets, first as an international economist for the US Department of Treasury and then as a sovereign debt and currency investor at T. Rowe Price. Mr. Oh earned an MBA from the MIT Sloan School of Management and MPA in International Development from the Harvard Kennedy School of Government.

Steven Polansky is Senior Director in FINRA's Member Supervision department and leads the Special Initiatives group. The group is responsible for development of the 2021 Report on FINRA's Examination and Risk Monitoring Program (and previously the annual risk monitoring and examination priorities letter as well as the report on examination findings). Special Initiatives also leads development of reports and notices on topical issues; past reports include the *Report on Digital Investment Advice*, *Report on Cybersecurity Practices* and the *Report on Conflicts of Interest.* Mr. Polansky is also a member of FINRA's Innovation Outreach Initiative team which monitors financial technology-related developments in the securities industry, and he co-leads the FINRA FinTech Industry Committee. Mr. Polansky represents FINRA at the Supervisors Roundtable for Governance Effectiveness. Previously, Mr. Polansky worked in FINRA's International Department, where he led FINRA's relationships with select financial regulators in Europe and Asia and as well as international advisory projects. Prior to joining FINRA, Mr. Polansky was a management consultant with PricewaterhouseCoopers, and he served as a professional staff member on the Committee on Foreign Relations in the United States Senate. Mr. Polansky received his MBA in finance from The Wharton School at the University of Pennsylvania, his MPA from the Kennedy School of Government at Harvard University, and his BA in history from Colgate University.

Steven J. Randich, Executive Vice President and Chief Information Officer (CIO), oversees all technology at FINRA. Previously, Mr. Randich served as Co-CIO at Citigroup, and CIO and Global Head of Technology for Citigroup's Institutional Clients Group. Prior to joining Citigroup, he was Executive Vice President of Operations and Technology and CIO at NASDAQ, where he was responsible for all aspects of NASDAQ technology, including applications development and technology infrastructure. From 1996 to 2000, Mr. Randich served as Executive Vice President and CIO for the Chicago Stock Exchange. He was responsible for all technology, trading-floor and back-office operations, and business product planning and development. Prior to joining the Chicago Stock Exchange, Mr. Randich was a Managing Principal at IBM Global Services and a Manager at KPMG. Mr. Randich has an undergraduate degree in computer science from Northern Illinois University and an M.B.A. from the University of Chicago.

Assaf Ronen is SoFi's Chief Product Officer and oversees engineering, product, and design and is responsible for the strategy and direction of SoFi's suite of product offerings. Prior to SoFi, he founded and served as Vice President of Amazon's Alexa shopping group, creating a new market category in the burgeoning new world of voice assistants. Preceding that, Mr. Ronen was the Vice President responsible

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for Amazon's physical payments business. Prior to Amazon, he spent nearly seven years at Microsoft where he most recently served as general manager of Skype after its acquisition, and as the general manager of identity, access, and security products.

Ulku Rowe is Technical Director in the Office of the CTO at Google Cloud. At the forefront of Google's cloud and machine learning capabilities, she enables the financial services industry to take advantage of Google's technology to fuel their digital transformation. Before joining Google, Ms. Rowe was a Managing Director of Technology and CTO at J.P. Morgan Chase and Bank of America. During her financial services career, she built technology platforms for trading & analytics, middle & back-office, risk management, and finance. Driving business transformation through technical innovation and leadership has always been her focus. Ms. Rowe received her MS degree in Computer Science from the University of Illinois at Urbana-Champaign, and her BS degree in Computer Engineering from Bogazici University in Istanbul. She serves on the Board of Directors of the Fulbright Association, The Federal Reserve Bank of New York Fintech Advisory Group, CapitalG Advisory Board, and the University of Illinois at Urbana-Champaign College of Engineering Board of Visitors.

Mandy Teigland is Co-Chief Compliance Officer and Head AMLCO of Northland Securities, a small introducing broker-dealer and boutique investment bank headquartered in Minneapolis, MN. Ms. Teigland began her career in the securities industry in 2002, joined Northland in 2006, and recently became Co-CCO in 2021. In her current role, she is responsible for the overall compliance program of the firm, as well as day-to-day operations, but has a primary focus on the Firm's equity capital markets division, AML Program, and cybersecurity. With 20 years of experience in the securities industry ranging from sales to supervision to compliance, with both retail customers and institutional clients in fixed income and equity capital markets, she has developed extensive knowledge of the business, operations, and compliance of a small full-service firm.

Greg Wolff serves as Enterprise Software Architect and Cloud Architect for FINRA, as well as the architect for the Consolidated Audit Trail (FINRA-CAT). Mr. Wolff was the architect responsible for FINRA's migration to big data technologies, the move of the Market Regulation department big data processing to AWS, the migration of the rest of the application portfolio to AWS and the architect for the CAT software development program. Mr. Wolff currently serves as the Enterprise Software Architect for FINRA and co-lead of our R&D program. He has worked on data design for his entire career, both in the design and development of database software as well as its use in web and big data applications. Before joining FINRA he worked in the publishing industry and produced web publishing systems driven by high performance database systems.

Haimera Workie, Vice President and Head of Financial innovation, oversees the Office of Financial Innovation. In this capacity, he is responsible for leading FINRA's Office of Financial Innovation, which focuses on analyzing financial technology (FinTech) innovations and emerging risks and trends related to the securities market. As part of these responsibilities, Mr. Workie works to foster an ongoing dialogue with market participants in order to build a better understanding of FinTech innovations and their impact on the securities markets. Previously, Mr. Workie served as Deputy Associate Director in the Division of Trading and Markets at the U.S. Securities and Exchange Commission. Mr. Workie also previously served as Counsel in the SEC's Office of the Chairman. Prior to joining the SEC, he was an associate at the law firm of Skadden, Arps, Slate, Meagher & Flom, with a practice focusing on corporate law. Mr. Workie is a graduate of the Massachusetts Institute of Technology (B.S., M.S.) and Harvard Law School (J.D.).

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