

KEYNOTE SPEAKERS

Daniel H. Pink, best-selling author, *Drive*

Daniel H. Pink is the author of four provocative, bestselling books on the changing world of work. In his latest book, *Drive: The Surprising Truth About What Motivates Us*, Pink shows us that the secret to high performance and satisfaction in today's world is the deeply human need to direct our own lives, to learn and create new things, and to do better by ourselves and our world. Based on forty years of scientific data supporting his argument that people need intrinsic rather than external motivation, Pink's work revolutionizes the way that we look at performance and motivation.

Pink's articles on business and technology appear in many publications, including the *New York Times*, *Harvard Business Review*, *Fast Company* and *Wired*, where he is a contributing editor. He has provided analysis of business trends on CNN, CNBC, ABC, NPR and other networks in the U.S. and abroad. He also lectures to corporations, associations and universities around the world on economic transformation and the new workplace.

A free agent himself, Pink held his last real job in the White House, where he served from 1995 to 1997 as chief speechwriter to Vice President Al Gore. He also worked as an aide to U.S. Labor Secretary Robert Reich and in other positions in politics and government. He received a BA, with honors, from Northwestern University, where he was elected to Phi Beta Kappa, and a JD from Yale Law School. To his lasting joy, he has never practiced law.

Katherine Addleman, partner, Haynes and Boone

Kit Addleman is a partner in the White Collar Criminal Defense Practice Group in the Dallas office of Haynes and Boone. She defends companies and their executives and directors against charges of civil and criminal misconduct, particularly investigations and litigation by the Securities and Exchange Commission and Department of Justice. Kit also counsels corporations, investment advisors, hedge funds and brokerdealers concerning compliance with the securities laws and SEC rules.

Prior to joining Haynes and Boone, Kit was the regional director of the Atlanta Regional Office of the SEC. She led the enforcement, examination and bankruptcy programs for the SEC in five Southeastern states which included directing the enforcement priorities and resolutions of investigations and litigation. Kit has more than 20 years of experience with the SEC and held leadership positions in the SEC's Fort Worth and Denver offices before being named the associate director in charge of enforcement of the Atlanta and Fort Worth regional offices in 2004 and the regional director in Atlanta in 2007.

Kit is a frequent speaker at national, international, and regional conferences on trends in the SEC's enforcement and examination programs.

Bruce Carton, president, Docket Media LLC

Bruce Carton is the president of Docket Media LLC and the founder and editor of Securities Docket, a leading online publication covering securities litigation, enforcement and white collar issues on a global basis. An attorney since 1992 and former senior counsel in the

SEC's Division of Enforcement, Mr. Carton has experience in almost all areas of the securities litigation industry.

From 1998 to 2003, Mr. Carton was in private practice at Piper Rudnick (now DLA Piper), most recently as a partner whose practice focused on securities litigation and SEC enforcement. From 2003 to 2008, Mr. Carton worked on the business side of the securities class action industry, including over three years as vice president of ISS' Securities Class Action Services.

A "blawg pioneer" according to The Wall Street Journal, Mr. Carton was the creator of Securities Litigation Watch, a blog that he wrote while at ISS. He also is a featured columnist for Compliance Week on securities enforcement and litigation issues, the author of Compliance Week's "Enforcement Action" blog, and the co-author of Law.com's Legal Blog Watch.

STEVE SABIN, CHIEF OPERATING OFFICER – SUNGARD PROTEGENT

Steve Sabin is the Chief Operating Officer for SunGard Protegent with overall responsibility for Protegent Surveillance, Protegent PTA, Protegent EnGard and Protegent Customer Onboard. Prior to his appointment in January of 2008, Steve was Protegent's VP of Implementation and Product Development where he managed numerous technology, product and operational initiatives.

Steve joined SunGard through acquisition while at Sterling Wentworth, where he developed solutions for the banking, insurance and brokerage industries. Steve was pivotal in the design and implementation of Sterling Wentworth's enterprise software methodology. He organized and developed the company's Suitability Knowledge Base System; a rule based compliance system based on NASD and SEC regulations. He also created a Data Validation component for Sterling Wentworth's PathExpress program. Steve was involved in the development of 21 diverse financial modules (calculators) for implementation on the Internet and has also been involved in the organization, knowledge engineering and development of a Cross Seller knowledge base for a fortune 500 financial services firm.

SESSION SPEAKERS

MICHAEL T. BELLO

USIG Compliance/Compliance Infrastructure – Massachusetts Mutual Life Insurance Company / MML Investors Services, Inc.

Michael has worked in a variety of compliance roles for Massachusetts Mutual Life Insurance Company and its subsidiary MML Investors Services, Inc., such as Business Intelligence (data gathering/AML) and Field Inspections (OSJ auditing). He is currently the Director of the Compliance Infrastructure team, which handles the day-to-day operation and implementation of a variety of surveillance projects, including applications and processes for monitoring client trades, registered representatives' outside brokerage accounts, and e-mail monitoring and archiving. Michael is FINRA Series 7, 24, 53, and 66 licensed.

Michael graduated from the College of the Holy Cross and has an MBA from the Isenberg School of Management, University of Massachusetts.

Mederic Daigneault

Director Hedge Fund Services – National Regulatory Services

As Director of Hedge Fund Services at NRS, Mederic works closely with firm officers to identify their firm's regulatory obligations, unique conflicts of interest and other risks to assist in the development, implementation and testing of a comprehensive compliance program tailored to the firm's practice. Mederic conducts on-site mock SEC examinations of advisers of various sizes from large and intricate hedge fund complexes to one-person financial planning firms. Areas reviewed include, as applicable, the latest developments and "hot topics" in compliance regulation: risk assessments, annual reviews, code of ethics and personal trading, third-party due diligence, valuation, soft dollars, best execution, side-by-side management issues, business continuity planning and other areas. During his time at NRS, Mederic has drafted or revised Forms ADV for hundreds of investment adviser firms at both the state and federal level including dozens of hedge fund manager registrations. Mederic is a frequent speaker at NRS and industry conferences as well as topical live and desktop seminars. He is also an expert lecturer in the IA Certified Compliance Professional Program (IACCP) co-sponsored by NRS and the Investment Adviser Association (IAA) and a contributor to industry publications on various compliance topics.

Ann Robinson***VP Director of Compliance Training– MORGAN KEEGAN & COMPANY***

Ann began her career with AmSouth Investment Services in April 2000. She is the Director of Compliance Training and Continuing Education for Morgan Keegan & Company, Inc. Ann is responsible for implementation of firm element, continuing education, and associated learning programs. In this role she is chartered with developing and delivering learning programs in compliance with the rules and regulations that govern the financial services industry. She works closely with the global compliance groups and internal business leaders. In addition to her role as Director of Compliance Training she works as the Compliance Information Technology Liaison to ensure effective use of information systems. While with AIS and Morgan Keegan, Ann worked to implement automation of compliance functions including: Trade Surveillance and Supervision, New Account Opening, AML Surveillance, Annual Compliance Meetings and Questionnaires, Outside Business Activity Disclosures, Outside Account Questionnaires, and Firm Element.

Ann holds a Bachelor of Science degree from Samford University in Birmingham, Alabama and Masters of Business Administration degree from the University of Alabama in Birmingham, Al.

EDEN ROHRER***Partner – HAYNES & BOONE***

Ms. Rohrer specializes in broker-dealer regulatory, compliance, enforcement, litigation and arbitration matters.

Ms. Rohrer assists broker-dealers and their associated persons to respond to regulatory examinations and inquiries and provides effective representation in a range of enforcement proceedings with the SEC, FINRA (formerly, NASD and NYSE), state and foreign regulatory authorities. She regularly prepares and defends witnesses in FINRA "on the record" interviews and SEC testimony. Enforcement matters have involved issues including market timing and late trading of mutual funds, market manipulation, insider trading, anti-money laundering rules, distribution of unregistered securities, net capital requirements, market

making, Rule 15c2-11, Regulation M, sales practices, supervision, private placements in both privately held and publicly traded securities (PIPEs) and special purpose acquisition companies (SPACs), credit default swaps, and other securities.

Michael Weissmann
Partner – Bingham McCutchen LLP

Michael Weissmann represents national and regional broker-dealers, investment advisers, and registered representatives in customer arbitrations, in court, and in regulatory proceedings and investigations before the SEC, FINRA (and its predecessors NASD and NYSE Regulation) and state regulators. He regularly advises broker-dealers and investment advisors on developing policies and procedures and on compliance with federal and state securities laws and regulations and SRO rules on a variety of topics, including supervision, sales practices, broker and representative registration, introducing/clearing relationships, and record retention.

ERIK ANDERSON
VICE PRESIDENT IMPLEMENTATIONS – SUNGARD PROTEGENT

Erik Anderson has been working for Protegent / SunGard in various implementation roles for six years. He started out as a member of the Hingham based Broker Audit technical implementation team prior to the SunGard acquisition. Currently, Erik manages both the business and technical implementation teams operating out of our offices in Salt Lake City, Houston and Weymouth.

Erik graduated from Boston College with a Bachelor of Arts degree in Math and Computer Science. Prior to joining SunGard Erik worked at a software consulting firm designing, building, and managing high profile custom applications for such notable clients as Best Buy, Barnes and Noble, Kinko's, Saks Fifth Avenue, and Fidelity Investments. Erik also passed the NASD Series 7 examination in August 2003.

BRYAN BATEMAN
VICE PRESIDENT BUSINESS IMPLEMENTATION SERVICES – SUNGARD PROTEGENT

Bryan Bateman joined SunGard in May 2005 as a Project Manager and Senior Knowledge Engineer working on client installation projects. Soon thereafter, he began work as the lead Knowledge Engineer in the development of the Protegent Surveillance application. Mr. Bateman now serves as Vice President, Business Implementation Services where he has responsibility for the business implementation team (Project Managers and Knowledge Engineers).

Prior to joining SunGard, Mr. Bateman was a Project Manager for IBM Global Services where he managed IT infrastructure projects for American Express. He has also worked with various organizations as a program manager, web application programmer, database designer, and as a data analyst.

Mr. Bateman holds a Bachelor of Arts degree in International Studies from Brigham Young University and a Master of Business Administration in International Management from the Thunderbird School of Global Management.

Anthony Becker
Senior Business Analyst – SUNGARD PROTEGENT

Anthony Becker is a Sr Business Analyst for the SunGard Protegent Trading Compliance solution. Anthony has been involved in US equities and compliance for 10 years. He has most recently been with the Transaction Auditing Group (TAG) where he headed up the Client Services Department for 5 years. Prior to that role, he was with CIBC, where he held roles with trade support and as an assistant trader on the US equities desk. Anthony received his MBA with a dual concentration in Finance and Management at Fordham University. Anthony received a Bachelor's of Arts degree in Political Science at Boston University and currently holds the Series 7, 55 and 63 FINRA licenses.

RYAN BRUSCHKE
Sr. Knowledge Engineer/Project Manager – SUNGARD PROTEGENT

BA University of Utah, 2 years Senior Business Analyst, 3 years Senior Knowledge Engineer/Project Manager

JEFF CALL
VP OF TECHNOLOGY TO PROTEGENT CTO – SUNGARD PROTEGENT

Jeff Call joined Sterling Wentworth (which was acquired by SunGard) in 1997 as a programmer. Jeff was involved in the initial development of the Synapse Tools and Products. Jeff is currently VP of Technology for SunGard Protegent.

Jeff met his wife Rebecca through ballroom dance. The two have performed throughout the world on a university ballroom team. Jeff has three children ages 11, 8, and 4. Jeff has an Information Systems undergraduate degree and an MBA degree from Brigham Young University.

KEITH CANNIFF
DIRECTOR OF PRODUCT DEVELOPMENT – SUNGARD PROTEGENT

Keith is responsible for development of Protegent Surveillance and related applications and has been with SunGard/Protegent for over 8 years. Keith has worked in the financial services industry for more than 15 years, developing and implementing solutions in the asset management, banking, and retail brokerage areas, using a range of technologies.

Keith has 3 young children at home, and enjoys all of their activities, in addition to snowboarding, mountain biking and other outdoor activities.

KELLY CARTER
SENIOR PRODUCT MANAGER – SUNGARD PROTEGENT

Kelly Carter has over 15 years in program, project and business management - with a strong focus in the software, financial services, energy and healthcare industries.

VICTORIA CAVIASCA
SENIOR PROGRAM MANAGER – SUNGARD PROTEGENT

Vicki Caviasca is Senior Program Manager for Protegent PTA. She is responsible for inbound customer feature requests, product testing, implementation management, and has expert knowledge of all aspects of the Protegent PTA solution.

Prior to working at SunGard, Vicki held both compliance and IT roles at Pioneer Investments. Vicki holds a Bachelor of Arts in History and Political Science from St. Anselm College in Manchester, NH.

ADAM CLOUGH
GENERAL MANAGER – SUNGARD PROTEGENT

Adam Clough is the General Manager for Protegent PTA. He is responsible for all aspects of strategy and day to day operations for the Protegent PTA unit. Prior to this role Adam was the Director of Product Management, for PTA, where he was responsible for managing the design, integration, testing and release of the Protegent PTA product line. Adam has expert knowledge of both technical and functional aspects of the Protegent PTA solution.

Prior to working at SunGard, Adam was a Product Manager for Dataware Solutions. He has also held network consulting positions at Sycamore Networks and operational roles at Putnam Investments. He holds a Bachelor of Science in Marketing and Finance from the University of New Hampshire.

Ben Feinauer
Senior Knowledge Engineer – SUNGARD PROTEGENT

BA in Economics, University of Utah, MBA Thunderbird

REX GOOCH
Director of Product Management – SUNGARD PROTEGENT

Rex Gooch joined the SunGard Protegent group in January of 2004 as a project manager and knowledge engineer designing and implementing solutions for Protegent clients. From 2006 he also worked on the product development team as the lead knowledge engineer responsible for knowledge base development and design of the Protegent Surveillance application. In 2008 Rex was made the Product Manager for both Protegent Surveillance and Customer Onboard and in 2009 promoted to Director of Product Management for several of Protegent's Synapse based products.

Prior to joining SunGard, Rex spent 11 years in the brokerage industry as a registered representative, senior trader, technical specialist, and operations manager for Fidelity Investments. His experience includes risk management, tactical and strategic planning, project management, process implementation, and operations management. Rex graduated Magna Cum Laude from Westminster College with a Bachelor of Arts degree in finance.

BRIAN HOOGENDAM
Principal SCS – SUNGARD PROTEGENT

Since joining SunGard Consulting Services, Brian's focus has been implementing the Onboard solution for Broker Dealers. Onboard involves all aspects of broker/dealer operations including upfront suitability, compliance issues, and back office integrations. Brian also has extensive experience in data management and how enterprises can effectively

integrate best of breed solutions across the enterprise to achieve common business flows and more accurate and consistent data.

Brian began his career with Ernst & Young, LLP, where he was part of team which won a \$270 million deal with The Coca-Cola Company. He later founded a successful software consulting company focusing on SAP software implementations. In 2003, Brian accepted a position as President of Advanced Reality, Inc. in Houston where he successfully raised nearly \$1 million and designed and launched, Jybe, a collaborative browser product for Mozilla Firefox and Internet Explorer. Throughout his career, Brian has worked with various Fortune 500 organizations including AIG Financial Services, Allstate Financial Services, Country Financial, Alcoa Aluminum and State Farm. Brian received his undergraduate degree from Auburn University and his MBA from Rice University's Jones School of Management where he serves as an adjunct professor of Entrepreneurship.

Douglas G. Koci
CFP - SUNGARD PROTEGENT

Mr. Koci joined SunGard in May of 1995 as a software designer and project manager. He headed the development team of the Expert Series, a modular financial planning software package for financial services professionals; as well as the Product Profiler, a point-of-sale software tool designed to help financial services companies match products to the client's needs. He also served as the Product Line Manager for Advisory Systems. He is currently a Senior Knowledge Engineer and Project Manager for the Protegent/Synapse Group, and has led numerous engagements to provide financial institutions with customized applications using Synapse™, a proprietary, rule-based inference engine. These applications include Cross-Seller, Client Profiler, Product Profiler, Protegent Surveillance, and Customer Onboard.

Prior to joining SunGard, Mr. Koci spent nearly 15 years in the financial planning profession: 2½ years with Hamilton Gregg & Company in Falls Village, Connecticut, and 12 years with Mason Associates, Inc. in Northern Virginia. During that time, he participated in all phases of the financial planning process: plan writing, research, business development, client presentations, etc. He has extensive experience in retirement planning, estate planning, portfolio management, stock options, and benefits analysis, working primarily with senior executives of large corporations, business owners, and professionals.

Laurie Mahoney
VP Client Services - SUNGARD PROTEGENT

Laurie Mahoney is the Vice President off Services for Protegent PTA. She is responsible for implementation management and has expert knowledge of all aspects of the Protegent PTA solution.

Prior to working at SunGard, Laurie was the original Dataware Solutions PTA Product Manager, and also was a Business Analyst in Accenture's Financial Services Division. She holds a Bachelor of Science in Marketing and Finance from Syracuse University.

Greg Orgill
Senior Systems Engineer - SUNGARD PROTEGENT



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Greg Orgill graduated from Brigham Young University with a Master of Science degree in Technology. Greg joined SunGard in 2006 and has since filled the roles of Senior Systems Engineer and Technical Manager. Greg has been involved in the design, development and implementation of many Protegent Surveillance and Protegent Customer Onboard processes, including data loading, cryptography, and single sign-on. Greg has a high interest in computer security and privacy, and has researched and published an article on the effects of social engineering against organizations where privacy is a concern.

Ragini Pathak
Senior Product Manager – SUNGARD PROTEGENT

Ragini Pathak is the Product Manager for Protegent PTA and is responsible for overall direction and strategy of PTA. In that role, she works with customers and industry experts to ensure the product meets the needs of the users and allows them to manage their regulatory compliance risk. Prior to working at SunGard, Ragini has worked at Cisco, GE, AT&T Bell Laboratories in corporate strategy, product management, and product development roles. She has a Bachelors in Computer Science from Rutgers University.

CARLA PIPES
VP ACCOUNT MANAGEMENT – SUNGARD PROTEGENT

Carla has worked in the financial services industry for 20 years. She joined SunGard through the Protegent acquisition in 2005 where she had been the Director of Sales and Marketing for the start up since inception in 2000. Prior to joining Protegent, Carla managed sales and business development for National Planning Group, specializing in Key Benefit and Pension Planning for closely held businesses. Carla holds a B.A from the University of Massachusetts.

GREG PRATNICKI
PRODUCT SPECIALIST – SUNGARD PROTEGENT

Greg Pratnicki is a Product Specialist for the SunGard Protegent Trading Compliance solution. Greg has been in the equities trading space for 15 years. He has most recently been with the New York Stock Exchange in the market surveillance division where he worked on the development and implementation of various Specialist Surveillances. Prior to that role, he spent 10 years at TD Waterhouse, where he was involved in best execution/order-flow management and compliance over the TD Capital Markets trading desk covering Listed, OTC, Foreign, Pink Sheet and Bulleting securities. Greg received a Bachelor's of Science degree in Economics at Stony Brook University and currently holds the Series 7, 9, 10, 24, 55 and 63 FINRA licenses.

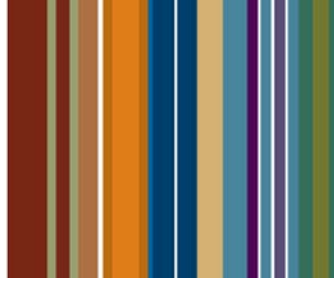
Linda Tamburro
Business Analyst– SUNGARD PROTEGENT

I started in financial services at Merrill Lynch in 1996 educating and assisting corporate sponsored retirement plan participants to better understand their plan's investment choices as well as assisting them with executing trades. Several years after I entered the retirement services industry I started with a small online financial services company where over the sever years there I led the support team, quality assurance team as well as performed business analysis, product management, project management and training.



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