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in New York City

PUBLIC PENSION TRUSTEES FIDUCIARY CONFERENCE

Towards a Proactive Fiduciary Duty

NYC

The Mayor's Office of Pensions
and Investments

**NEW YORK
LAW SCHOOL**

**INITIATIVE FOR
RESPONSIBLE
INVESTMENT**

SPEAKER BIOS



Brian Bartow

Brian J. Bartow is General Counsel and Chief Compliance Officer of the California State Teachers Retirement System (CalSTRS), the largest educator-only pension fund in the world. As General Counsel, Mr. Bartow is legal counsel to the Teachers' Retirement Board and heads CalSTRS' Legal Services Division, as well as its Office of Ethics and Compliance, Information Security Office, Enterprise Information Management Program and Enterprise Compliance Program. Mr. Bartow also serves as CalSTRS' Chief Compliance Officer.

Mr. Bartow is a member of the California State Bar, the American Bar Association, the National Society of Compliance Professionals and the National Association of Public Pension Attorneys where he chairs the Cyber Security Committee. Mr. Bartow has served as an Adjunct Professor for Cyber Security Law at Elon University School of Law.

Mr. Bartow received his Juris Doctorate from Martin Luther King, Jr. Hall School of Law, University of California at Davis and holds a bachelor's degree in history from the University of California at Riverside and an associate's degree in nursing from Queensborough Community College, City University of New York. He is a veteran of the United States Army Military Police Corps.



Luke Bierman

Luke Bierman is the Dean and Professor of Law at one of the most innovative law schools in the country, Elon University School of Law in Greensboro, NC, and is of counsel to Cohen Milstein Sellers & Toll, PLLC. Dean Bierman was the general counsel in the Office of the New York State Comptroller with responsibility for all legal advice regarding the constitutional, statutory, and fiduciary duties of the sole trustee of the nation's third largest public pension fund and chief fiscal officer of the state. Dean Bierman earned his Ph.D. and M.A. in Political Science from the State University of New York at Albany; his J.D. from the Marshall-Wythe School of Law at the College of William and Mary in Virginia, where he was a member of Law Review; and his B.A. magna cum laude and with High Honors from Colgate University, where he was elected to Phi Beta Kappa. Dean

Bierman has served on commissions appointed by the Supreme Judicial Court of Massachusetts, the Chief Justice of North Carolina and the President of the American Bar Association and he currently serves on the North Carolina Chief Justice's Commission on Professionalism. Dean Bierman is an elected member of the American Law Institute.



Jeanna Cullins, JD

Jeanna Cullins is the Practice Leader of the Aon Hewitt Investment Consulting Fiduciary Service Practice. She has over 30 years of pension fund experience across a wide range of fiduciary, governance, investment, and pension fund operational matters.

Prior to joining Aon Hewitt, Jeanna served as the Managing Director and Operational Review Practice Leader at Independent Fiduciary Services. She served as Executive Director to the District of Columbia Retirement Board from 1993 to 1997, and as the Board's General Counsel from 1985 to 1993. Jeanna holds a B.A., cum laude, from Brooklyn College, City University of New York and a J.D. from Georgetown University Law Center. She is a Director on the Hershey Entertainment and Resorts Board. She is also an Illinois Student Assistance Commission Investment and Diversity Panel Member. She serves on the Emeritus Board and is an active

member of the National Association of Public Pension Attorneys. Jeanna was named Top Employee Benefit Consultant by Human Resource Executive and Risk & Insurance magazines and was selected as a 2011 Chicago United Business Leader of Color. She holds the NACD Governance Fellow designation.



Janet Cowell

Janet Cowell serves on the boards of James River Group Insurance (NASDAQ: JRVR) and Channel Advisor (NYSE:ECOM). She was the publicly elected Treasurer of the State of North Carolina from 2009-2016. As Treasurer, she managed over \$100 billion in assets and health and retirement benefits for over 900,000 members. Cowell consistently achieved exceptional results and national recognition: North Carolina is one of only ten states with a top AAA bond rating from all three rating agencies and she grew pension assets from \$60 to \$90 billion, achieving an eight-year return of over 8.5 percent. Prior to serving as

Treasurer, Cowell held positions in both the public and private sectors. She was a securities analyst for Lehman Brothers and HSBC in Hong Kong and Southeast Asia and worked as a business consultant for U.S. Fortune 500 companies with Sibson & Company. She was elected to the Raleigh City Council and the North Carolina State Senate. She is a graduate of the University of Pennsylvania and earned her MBA and Masters in International Studies from the Wharton School of Business and the Lauder Institute.



Suzanne Dugan

Suzanne M. Dugan serves as Special Counsel to Cohen Milstein Sellers & Toll, PLLC. She leads the firm's Ethics and Fiduciary Counseling practice, which provides guidance to pension funds and other public, private and nonprofit entities on ethics, fiduciary, governance and compliance issues. Ms. Dugan has more than 25 years of legal experience, including designing and implementing comprehensive ethics programs as well as providing guidance on fiduciary issues. Ms. Dugan previously served as Special Counsel for Ethics for the Office of the New York State Comptroller, where she counseled the state's chief fiscal officer and sole trustee of the pension fund on ethics and fiduciary issues, provided fiduciary education and training, and implemented an ethics program for the agency's 2,500 employees. Ms. Dugan formerly served as the Acting Executive Director and General Counsel to the New York State Ethics Commission, where she oversaw the agency and its programs, including the issuance of formal and informal advisory opinions as well as investigative reports and notices of civil assessment in enforcement proceedings. Ms. Dugan has also served as an adjunct faculty member at Albany Law School teaching government ethics. She is a frequent lecturer on ethics and fiduciary issue and an elected member of the American Law Institute.



Rob Lake

Rob works in the interconnected areas of sustainability, investment, and people. He helps institutional investors to align their strategy with the challenges of sustainability and long-term investment. In over 30 years of work in organisations he has become increasingly focused on the importance of 'human factors' - values, motivations, self-beliefs and interpersonal skills. In 2017 he founded Authentic Investor, an initiative to re-connect values and value in investment and finance, in a fiduciary context. Rob previously worked for Henderson Global Investors (London), APG (Netherlands) and UN PRI, and since 2013 has acted as a consultant to investors worldwide. Earlier in his career he was a translator, and then worked in policy and advocacy roles for various sustainability organizations.



Catherine LaMarr, JD

Catherine LaMarr is the General Counsel for the Office of the Connecticut Treasurer. For the past eighteen years, she has served as a valued adviser to one of the nation's most powerful and dynamic elected financial officials and managed all legal matters for a multi-billion dollar governmental financial institution.

Catherine built the Treasury's first formal in-house legal unit and manages a pool of more than two dozen law firms that furnish a wide range of sophisticated professional services to the Office. Under her direction, the Office's contracting process was substantially reworked. Attorney LaMarr also manages the judiciously but effectively used tool of litigation for the Office, achieving a significant procedural win at the Supreme Court of the United States in Amgen v. Connecticut Retirement Plans and Trust Funds. Catherine LaMarr also helped develop the Office's corporate governance priorities, many of which have become best practice standards in corporate boardrooms. Dedicated to promoting excellence in her office, Ms. LaMarr strongly encourages her colleagues to provide valuable pro bono services to Connecticut communities.

Catherine LaMarr received her JD from the Howard University School of Law and her BA from Cornell University.



Dr. Ashby Monk

Dr. Ashby Monk is the Executive and Research Director of the Stanford Global Projects Center. He is also a Senior Research Associate at the University of Oxford and a Senior Advisor to the Chief Investment Officer of the University of California. Dr. Monk has a strong track record of academic and industry publications. He was named by aiCIO magazine as one of the most influential academics in the institutional investing world. His research and writing has been featured in The Economist, New York Times, Wall Street Journal, Financial Times, Institutional Investor,

Reuters, Forbes, and on National Public Radio among a variety of other media. His current research focus is on the design and governance of institutional investors, with particular specialization on pension and sovereign wealth funds. He received his Doctorate in Economic Geography at Oxford University and holds a Master's in International Economics from the Universite de Paris I - Pantheon Sorbonne and a Bachelor's in Economics from Princeton University.



Saker Nusseibeh

Saker is Chief Executive of Hermes, chair of its Executive Committee and an Executive Board Director. Saker was appointed CEO in May 2012, having been acting CEO since November 2011. Saker joined the firm in June 2009 as Head of Investment and Executive Board Director. Prior to joining Hermes, Saker was Global Head of Equities at Fortis Investments USA, having initially been appointed to the firm as CIO Global Equities in 2005. Before this he was CIO of Global Equities and Head of Marketing for SGAM UK. He started his career at Mercury Asset Management in 1987. He is the founder of the 300 Club, which he chaired from its inception in 2011 until early 2014. The 300 Club is a group of leading investment professionals who seek to challenge investment orthodoxy and improve the contribution of financial services to society. Saker is a member of the CFA Institute's Future of Finance Advisory Council, a member of the IIRC Council, and was a public member of Network Rail for three years until November 2014. In 2015, Saker was named CEO of the Year at the Global Investor Investment Excellence Awards. Saker has a BA and PhD in Medieval History from King's College, University of London.



Ed Waitzer

Mr. Waitzer was Chair of Stikeman Elliott LLP from 1999 to 2006 and remains a senior partner whose practice focuses on complex business transactions. He also advises on a range of public policy and governance matters. He is a Professor and the Jarislowsky Dimma Mooney Chair in Corporate Governance and is Director of the Hennick Centre for Business and Law at Osgoode Hall and the Schulich School of Business at York University. He served (1993-1996) as Chair of the Ontario Securities Commission (and of the Technical Committee of the International Organization of Securities Commissions) and (until 1981) as Vice-President of The Toronto Stock Exchange. He has written and spoken extensively on a variety of legal and public policy issues and serves or has served as director of a number of corporations, foundations, community organizations, editorial boards and advisory groups. He recently retired as Chair of the Liquor Control Board of Ontario and as Vice-Chair of Sociedad Quimica y Minera de Chile (SQM). He earned his LL.B. (1976) and LL.M. (1981) from the Faculty of Law, University of Toronto. Called to the Ontario (1978) and the New York (1985) Bars.



David Wood

David Wood directs the IRI's research and field-building work on responsible investment across asset classes, and currently manages projects on RI strategy with pension fund trustees, mission investing by foundations, the changing landscape of community investing in the US, and impact investing and public policy. He holds a Ph.D. in History from The Johns Hopkins University.