

# Biographies

## Anthony J. Alfieri

### Managing Director-Tax Credit Investments RBC Capital Markets

Tony Alfieri has worked extensively in the banking industry for over 30 years, primarily specializing in real estate finance and the creation of affordable housing. Tony joined RBC in 2006 and continued to accept greater leadership responsibility including key roles on the TCEG Operating Committee and the Investment Committee. As Co-Managing Director-Tax Credit Investments for TCEG, he has shared responsibility for the entire syndication platform including Low Income Housing Tax Credit, State Credit, Historic Credit, Renewable Credit, and New Market Tax Credit lines of business along with the management of more than 90 professionals. Tony has held positions as Chief Operating Officer and Managing Director for Asset Management, and Chief Credit Officer for RBC's affordable housing platform.

Prior to joining RBC in 2006, Mr. Alfieri was a Director in Wachovia Bank's Tax Credit Investment Group, where he served in various capacities including Director of Risk Management and had approval authority for equity investments and debt in a multi-billion dollar portfolio. In his 10-year career at Wachovia, he was also a Senior Credit Officer in the Asset Securitization Department and Real Estate Credit Officer. Mr. Alfieri has been a member of the Affordable Housing Tax Credit Coalition (AHTCC) since 2013, and served as President from 2016 through February 2018. He currently is Chairman of the Board of AHTCC. The AHTCC is a broad-based industry coalition whose mission is to protect and expand the low-income housing tax credit. He is a graduate of Nazareth College in Rochester, NY, with a BS degree in Business Administration and an Economics concentration.

## Catherine Banat

### Institutional Portfolio Manager RBC Global Asset Management

Catherine Banat is responsible for servicing the firm's impact investing clients and ensuring that investment solutions are implemented based on each client's customized impact requirements. Catherine is dedicated to impact investing and the importance of investments that serve a social good as well as providing a competitive rate of return. Prior to joining RBC GAM, Catherine managed strategic initiatives, risk and compliance for The New York City Retirement Systems, a \$150 billion public pension plan, where she also researched, developed and implemented the strategic plan for the Economically Targeted Investment (ETI) program. Catherine has dedicated her entire career to the financial services industry and has held senior level positions at various firms including Paloma Partners, Goldman Sachs & Co., C3 Capital and Lehman Brothers. She has worked in the investment industry since 1985. She earned a BA in history and a BSE in management from The University of Pennsylvania and the Wharton School, as well as an MBA in finance from Columbia University. Catherine holds FINRA Series 7 and 63 licenses.

## Hendrik Bartel

### Chief Executive Officer and Co-Founder TruValue Labs

Hendrik Bartel is the CEO and co-founder of TruValue Labs, the first company to leverage artificial intelligence (AI) to glean timely, objective, and actionable ESG insights for investment decision-making. With a mission to solve the problems of ESG and Intangible Risk data with a technology-first approach, its SaaS and API products offer high scalability, flexibility, and transparency.

With Hendrik's entrepreneurial background in turning complicated technologies into user-friendly products, he has led product development initiatives at companies including Amazon, Pure Digital Technologies acquired by Cisco, and Cyra Inc. acquired by Leica.

Hendrik earned an Engineering Degree from the Hochschule Hannover (University of Applied Sciences in Hannover, Germany) and an MBA in Global Business Management and Social Entrepreneurship from St. Mary's College of California.

## Catherine Chen, CIMA®, AWM

### Managing Director and Financial Advisor SRI Wealth Management Group, RBC Wealth Management

Catherine has significant corporate finance and institutional advisory experience and has been in the investment field since 1993. Before joining RBC, she was part of the SRI Wealth Management Group at Piper Jaffray for five years where she advised foundations, non-profit organizations and high net worth individuals on ESG investments. Prior to Piper Jaffray, Catherine worked with J.P. Morgan for almost seven years and was an investment banker covering the healthcare, natural resources and technology sectors. During her tenure at J.P. Morgan, Catherine advised clients on over \$5 billion of M&A, project finance and equity and fixed income underwriting transactions. She was based in the New York, San Francisco, and Hong Kong offices, and has expertise in advising multi-national companies. Prior to that, she was an analyst in the International Banking Department of Chinatrust Commercial Bank in Taiwan, part of one of the largest conglomerates in Taiwan. She performed investment analysis for a variety of project finance transactions and assisted in establishing its Hong Kong office.

Catherine is a Board Member of the East Bay Community Foundation, former Advisory Board member of the Women's Funding Network, and former Board member of the Children's Council of San Francisco, a non-profit childcare referral and resource center. She is a graduate of U.C. Berkeley and has a BA in both Economics and History where she is a Cal Alumni Scholar. She is also a Certified Investment Management Analyst (CIMA®), a designation she earned from the Wharton School at the University of Pennsylvania and is a member of IMCA (Investment Management Consultants Association). She is Series 7 and 66 registered, and holds a California insurance license. Catherine is a member of the Social Investment Forum. She has sat on the firm's Investment Advisory Group Council, is a member of the firm's Senior Consulting Group, and is part of the President's Council in the firm (which is a distinction bestowed on high producing advisors in the firm). She is also a proud parent to two kids with her husband.

## Judy Cotte

### V.P. & Head Corporate Governance & Responsible Investment RBC Global Asset Management

Judy Cotte is V.P. & Head, Corporate Governance & Responsible Investment for RBC Global Asset Management ("RBC GAM") and is a member of the firm's Executive Committee. RBC GAM manages approximately CAD \$380 billion in assets for individual and institutional investors through offices in Canada, the U.S., Europe and Asia. The Corporate Governance & Responsible Investment team oversees all of RBC GAM's activities related to corporate governance and responsible investment including the more formal integration of Environmental, Social and Governance (ESG) factors into the investment process, proxy voting and its ESG-focused engagement program.

Prior to joining RBC GAM, Judy was the Director of Policy Development & Chief Operating Officer for the Canadian Coalition for Good Governance ("CCGG"), a coalition of most of Canada's largest institutional investors. Previously, she was Senior Litigation Counsel with the OSC, litigation counsel for a large broker/dealer and a partner in a Bay Street law firm. Judy is a member of the TSX Listings Advisory Committee, the United Church of Canada Investment Committee and past member of the OSC's Securities Advisory Committee, Continuous Disclosure Advisory Committee, Environmental Reporting Advisory Committee and Enforcement Committee.

## Bert Feuss

### Senior Vice President, Investments Silicon Valley Community Foundation

Bert oversees the investment of \$13.5 billion of charitable capital at SVCF. He and his staff work closely with SVCF's investment committee and advisors to invest and protect the assets entrusted to the foundation. Portfolio oversight includes individually managed donor advised funds, charitable trusts, the Community Endowment, and five investment pool options for donors and nonprofits, including the Social Impact Pool that seeks positive social and environmental impact. Bert's team also facilitates direct impact investments from donor funds.

Bert speaks and writes regularly on investment best practices for nonprofit fiduciaries, impact investing strategies, and inclusive investment practices. He works closely with the foundation's investment consultant to engage more people of color and women investment managers in the foundation's portfolios. Read his blog on the importance of manager diversity at [www.siliconvalleycf.org/manager-diversity](http://www.siliconvalleycf.org/manager-diversity), or listen to his podcast on the Philanthropy Now podcast series.

Prior to joining SVCF in 2004, Bert was a Senior Vice President at Franklin Templeton Investments in U.S. Sales & Distribution. He is board member of Mission Investors Exchange; leads the Investment Practices Committee for FAOG; and is a Volunteer Advisor to the UC Davis Foundation. Bert holds an MBA from Golden Gate University, and a BS from the University of California at Davis. Follow Bert on Twitter @bertfeuss or LinkedIn at [www.linkedin.com/in/bertfeuss](http://www.linkedin.com/in/bertfeuss).

## Ron Homer

### Managing Director, Institutional Portfolio Manager and President, Access Capital Community Investment Fund RBC Global Asset Management

Ron Homer leads RBC GAM's impact investing effort. Ron is responsible for servicing the firm's impact investing clients and ensuring that investment solutions are implemented based on each client's customized impact requirements. Ron's background and extensive experience in community investing enables him to identify a broad range of impact investment solutions for clients. Before joining RBC GAM-US, Ron was co-founder and chief executive officer of Access Capital Strategies LLC, an investment adviser specializing in community investments that was acquired by RBC GAM-US in 2008. Previously, Ron enjoyed an extensive banking career including thirteen years as president and chief executive officer of the Boston Bank of Commerce. As an industry veteran, Ron is often sought to consult with leading government officials on a variety of community impact issues. He has held several leadership positions for industry trade associations and served on the boards of numerous organizations including Sallie Mae, Nynex Telephone and the Boston Foundation. Ron is vice chair and a founding board member for the Initiative for a Competitive Inner City, a research organization founded and chaired by Harvard Professor Michael Porter to promote private sector investment in America's inner cities. Ron has chaired the board of Massachusetts Housing—an industry leader among state housing finance agencies—since the height of the housing crisis in 2009. He has worked in the financial services industry since 1969. He earned a BA from the University of Notre Dame, an MBA from the University of Rochester, and holds FINRA Series 7 and 63 licenses.

## Sylvia S. Kwan, CFA, Ph.D.

### Chief Investment Officer Ellevest

Sylvia Kwan is the Chief Investment Officer at Ellevest, a technology-enabled investment platform redefining investing for women. In this role, she is responsible for developing the investment portfolios and proprietary algorithms that drive Ellevest's investment recommendations.

Prior to joining Ellevest, Sylvia was a founding member of the investments team at Financial Engines, L.L.C. one of the first successful digital advisors. She worked to develop scalable, robust investment processes to manage over \$14B in AUM for over 200,000+ client accounts during her tenure.

In 2010, Sylvia co-founded the boutique RIA firm SimplySmart Asset Management, serving individual investors with fully customized global investment solutions. Her financial services experience also includes portfolio management positions at Charles Schwab Investment Management, where she was director of equity quantitative research, and at the Boston Company, where she managed over \$500 million in institutional fixed-income assets.

Sylvia serves on the Board of Trustees at Grinnell College, where she is vicechair of the Finance Committee and serves as a member of the Investment Committee that oversees the College's nearly \$2B endowment.

Sylvia earned a B.S. in applied mathematics and computer science from Brown University and a Ph.D. in engineering-economic systems from Stanford University. Her doctoral dissertation on investor behavior and social interaction was one of the first in the field of behavioral finance.

## Nicolai Lundy

### Director of Education and Partnerships SASB

Nicolai Lundy is SASB's Director of Education and Partnerships, where he identifies opportunities for investment analysts, financial reporting professionals, and sustainability professionals to benefit from SASB's research on financially material ESG factors across 79 industries. SASB standardizes the measurement of sustainability topics have financial impacts on company value, such as safety-related defects for automobile companies, data security for software companies, and water scarcity for agricultural companies. In his role, Nicolai oversees SASB's membership, conference, and education programs as well as licensing and the SASB Navigator. The membership program – the SASB Alliance – includes over 50 asset owners, asset managers, companies, and market intermediaries that aim to gain and develop best practices for integrating integrate material sustainability information into existing processes. In his first couple years at the organization, he led the development of SASB's FSA Credential (a CFA-approved source of CE credit), which helps candidates identify the sustainability factors that impact corporate value. Before joining SASB he held various client management and operations roles in Norway and the U.S.

## Taham S. Mahimwalla, CFA

### Vice President, Institutional Portfolio Manager RBC Global Asset Management

Taham Mahimwalla leads the firm's client service and product management efforts for RBC GAM's Global and International Equity strategies, as well as our US small and mid cap growth strategies. He works closely with the portfolio management teams in the US and London to help ensure the integrity of the investment philosophy and process and adherence to client objectives. Taham is responsible for representing the firm's environmental, social and governance (ESG) efforts in the US. Taham communicates with clients, prospects and consultants on an ongoing basis regarding the investment philosophy and process, strategy, positioning and performance. Taham joined RBC GAM-US in 2013. He was previously an account manager at Wellington Management Company, where he was responsible for developing and managing institutional client relationships. Taham also worked as a fixed income portfolio specialist at Wellington, where he focused on investment grade credit and multi-sector fixed income strategies. Taham began his career in the investment industry in 2006 and earned his MSF/MBA from Northeastern University in Boston and his B.Com from HR College of Commerce and Economics in Mumbai, India. He is a CFA charterholder and a member of the CFA Institute as well as the CFA Society of Chicago. Taham holds FINRA Series 7 and 63 licenses.

## Lauren E. Mathias, CFA

### Senior Vice President, Non-U.S. Equity Investment Consultant Callan's Global Manager Research Group

Lauren E. Mathias, CFA, is a Senior Vice President and Non-U.S. equity investment consultant in Callan's Global Manager Research group. Lauren is responsible for research and analysis of Non-U.S. equity investment managers and assists plan

sponsor clients with Non-U.S. equity manager searches. In this role, Lauren meets regularly with investment managers to develop an understanding of their strategies, products, investment policies and organizational structures. Lauren also oversees the Callan Connects program, launched in 2010, which enhances Callan's coverage of emerging managers and minority, women, and disabled-owned firms. Lauren is a member of Callan's Diverse and Emerging Manager Committee and is a shareholder of the firm.

Lauren joined Callan's Client Report Services group as an analyst in October 2004 and was a member of the U.S. equity research team from 2007 to 2017. Prior to Callan, she assisted an independent financial planner in preparing financial plans for individual investors.

Lauren graduated from California Polytechnic State University, San Luis Obispo in June 2004, Magna Cum Laude with a BS in Business Administration, concentrating in Financial Management and Enterprise Accounting with a minor in Statistics. She is a holder of the right to use the Chartered Financial Analyst® designation.

## Mike McGee

### Interim Executive Director and Chief Financial Officer California Academy of Sciences

Chief Financial Officer, Mike McGee oversees strategic financial planning for the Academy, ensuring that the institution's resources are managed wisely and aligned with its long-term strategic plan and mission.

Before joining the Academy, McGee served as Vice President of Finance and CFO at Discovery Science Foundation, the program development, marketing, and fundraising arm for Discovery Cube—a nonprofit science education institution with campuses in Orange County and Los Angeles. There, he led the Foundation through the construction and launch of its second Discovery Cube museum location in Los Angeles, which opened in November 2014. In 2015, he was named "CFO of the Year" in the "Not-for-Profit" category by the Orange County Business Journal, an award that recognizes the achievements of Orange County's top CFOs.

Prior to his work at Discovery Science Foundation, McGee served as Vice President of Finance and CFO for Palace Entertainment, the largest operator of water parks and family entertainment centers in the country. He was also an executive with the Walt Disney Company for 11 years, holding key leadership roles in the Theme Park and Resorts segment.

McGee is a member of the International Association of Amusement Parks and Attractions (IAAPA) and serves on a regional board of the American Youth Soccer Organization. He holds a bachelor's degree in accounting theory and practice from the California State University, Northridge and is a Certified Public Accountant.

## Michael J. Novogradac, CPA

### Managing Director Novogradac & Company

Michael Novogradac is the managing partner of Novogradac & Company LLP. He has more than 30 years of experience specializing in affordable housing, community development, historic preservation and renewable energy. Mr. Novogradac's focus is in real estate taxation and accounting. He is the author of numerous real estate-related tax and accounting articles and books, including the New Markets Tax Credit Handbook and the Low-Income Housing Tax Credit Handbook. A frequent speaker at tax credit conferences and forums throughout the country, Mr. Novogradac is very active in advocating for the inclusion of affordable housing, historic, new markets and renewable energy tax credits in federal and state policy and broadcasts a weekly podcast that focuses on tax credit issues. In addition, he serves as advisor on industry and governmental affairs for the NMTC Working Group, LIHTC Working Group and the Opportunity Zones Working Group. Mr. Novogradac also serves on the executive committee of the Housing Advisory Group and the boards of directors of the Affordable Housing Tax Credit Coalition, the National Housing Conference, the NMTC Coalition and Historic Tax Credit Coalition, as well as being an original member of the National Multifamily Housing Council's Affordable Housing Committee. Mr. Novogradac graduated from the University of California, Los Angeles, with

a bachelor's degree in economics. He received an MBA from the University of California, Berkeley. He is licensed in California, Oregon, Maryland and Texas as a certified public accountant. You can follow Michael on twitter @novogradac and his blog at [www.novoco.com/blog](http://www.novoco.com/blog).

## Mike Refojo

### Managing Director, Head of Distribution – US RBC Global Asset Management

Mike Refojo leads our institutional sales team and represents RBC GAM and its broad range of investment solutions to US institutional clients, including corporations, endowments, foundations and public entities. Before joining RBC GAM-US in 2012, he managed the US consultant relations and business development efforts for Fauchier Partners, a UK-based, institutionally focused fund of hedge funds manager. Mike also held senior sales and sales management positions at Russell Investments, State Street Research & Management, Scudder, Stevens & Clark and Fidelity Investments. In addition, he helped to start, manage and ultimately sell a global technology company that offered research management solutions to buy side investment professionals. He has worked in the investment industry since 1987. Mike earned a BA from Hartwick College and is a member of the Association of Investment Management Sales Executives (AIMSE). He holds FINRA Series 7 and 63 licenses and is registered as an Associated Person with the National Futures Association.

## Dani Rylan

### Founder and Commissioner National Women's Hockey League

Dani Rylan founded the NWHL in April, 2015 with the goal of fueling the continued growth of the sport and brand of women's hockey in North America and across the globe. In less than three years, the NWHL has grown exponentially, sparking an increased interest for the game in viewership and participation. The league has formed valuable alliances with Dunkin' Donuts (corporate sponsorship), Pegula Sports and Entertainment (for ownership and operation of the Buffalo Beauts), the New Jersey Devils (strategic alignment with the Metropolitan Riveters) and Twitter (a globally-streamed NWHL Game of the Week), among others.

Rylan was named in 2015 to ESPN's "IMPACT 25," which recognizes the women making the biggest impact on their sport and the society in which they live. In June, 2016, Fast Company recognized Rylan as one of the "Top 100 Most Creative People." A passionate entrepreneur, she is a popular speaker and panelist at business and careers conferences from coast to coast.

Prior to founding the NWHL, Rylan was captain of the NCAA Division I team at Northeastern, where she obtained her Master's degree in Sports Management.

Raised in Tampa, Fla. and now living in Brooklyn, Rylan continues to play the game she loves every chance she gets in New York City hockey leagues.

## Doug Sabo

### Vice President, Head of Corporate Responsibility and Sustainability, Visa Inc. President, Visa Foundation

Douglas Sabo is Vice President, Head of Corporate Responsibility and Sustainability at Visa Inc., and President of the Visa Foundation. Sabo joined Visa in 2008 after previous roles in Corporate Responsibility and Government Relations for high tech companies and trade associations.

In his current role, he oversees the company's corporate responsibility and sustainability strategy, reporting and communications. He co-chairs the company's cross-function Corporate Responsibility & Sustainability Leadership Council, leads the environmental sustainability and human rights initiatives, and oversees the sustainability reporting process, including shareholder and stakeholder engagement, awards and rankings, and the company's CR report and communications.

Sabo also oversees the global philanthropic activities of Visa and the Visa Foundation, including humanitarian support, community involvement and employee engagement.

Sabo currently serves as a member of the Advisory Board of Sustainable Brands, the Advisory Board of the Strategic Investor Initiative, the Corporate Action Group on SDG Reporting, the Advisory Council of the Centre for Sport and Human Rights, the Net Impact Advisory Council and the Program Committee of the Conference Board's Corporate Responsibility Council. He also is a general member of the Corporate Eco Forum and the BSR Human Rights Working Group. He is a frequent speaker on a variety of corporate responsibility, sustainability and philanthropy topics on behalf of the company.

Sabo graduated with High Honors from Wesleyan University with a degree in Government and was elected to Phi Beta Kappa. Sabo also holds an Executive Certificate in Sustainable Management from the Presidio Graduate School and an Executive Certificate in Corporate Citizenship from the Carroll School of Management. In his spare time, he enjoys chasing his two young daughters (ages 6 and 4) around the house.

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