



Biographies

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.

Carol Jeppesen, CAIA

Senior US Network Manager UN Principles for Responsible Investment

Carol Jeppesen is the Senior US Network Manager for the UN supported Principles for Responsible Investment (PRI) based in New York. She joined the PRI in September of 2015 to establish the organization's first US office and is responsible for relationship management and outreach for the PRI's largest institutional investor market, with signatories including public and corporate pension funds, educational endowments, foundations, investment managers and service providers. The PRI is recognized as the leading global network for institutional investors committed to integrating Environmental, Social and Governance (ESG) factors into their investment practices and ownership policies. The organization has grown significantly since its founding in 2006 by UN Secretary General Kofi Anan and today represents over 1,800 signatories, globally, collectively managing almost \$70 trillion in AUM, highlighting the tremendous progress in the evolution of responsible investing over the past decade.

Carol has more than 15 years of experience in financial services across investment banking, private equity and asset management. She began her career as an investment-banking analyst in the Global Energy Group at Merrill Lynch in New York and later led the firm's cross-selling efforts for the investment banking division in the Americas. After getting her MBA, Carol led business development for a small private equity firm focused on investments in distressed community banks. Prior to joining the PRI, Carol was part of the Strategic Advisory Solutions group at Goldman Sachs Asset Management.

Carol holds BS and BA degrees, cum laude, in Finance and Economics from Boston University as well as an MBA in Finance from the Wharton School at the University of Pennsylvania. Carol is a member of the Alumni Advisory Board for the Wharton Initiative for Global Environmental Leadership and was selected as a participant in the inaugural Sustainability Leadership Forum at Yale University in 2016. She is a frequent panelist and moderator on topics relating to responsible investing, ESG integration and fiduciary duty.

Michael T. Lee, CFA

Chief Executive Officer, President & Chief Investment Officer RBC Global Asset Management

Mike Lee oversees US-based investment management teams, as well as service and distribution of all RBC Global Asset Management investment solutions to US-based clients. He is a member of the RBC GAM Executive Committee and serves on the Board of Directors of RBC GAM-US as well as the Business Executive Committee for RBC's overall US businesses. Mike joined RBC GAM-US in 1993, and his industry experience includes nearly 20 years in portfolio management and client service. He has worked in the investment industry since 1990. He earned a BS in economics from DePauw University and an MBA in finance from the University of Minnesota Carlson School of Management. Mike is a CFA charterholder, registered as an Associated Person with the National Futures Association and a member of the CFA Institute. He also serves as an Advisory Board Member for the Carlson Funds Enterprise at the University of Minnesota.

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.

Bernie Nelson

President, North America Style Research

Bernie Nelson is President of Style Research North America and is based in Boston, USA.

Prior to joining Style Research, Bernie held positions as Head of Risk and Head of Quantitative Analysis at Scottish Widows Investment Partnership, then the asset management arm of Lloyds TSB and one of Europe's largest asset managers. He was responsible for developing portfolio risk management and integrating quantitative techniques into a fundamentally based investment process. He has also managed structured products and index funds and has financial engineering experience as a derivative products analyst. Bernie has also been a speaker at international investment conferences on Factor Investing, Smart Beta, ESG in portfolios, and Style and Risk Analysis in asset management.

Bernie holds an Honours degree in Mathematics from Edinburgh University. He is an Affiliate of the UK Society of Investment Professionals, a member of the CFA Institute, and a member of the CFA Society Boston.



Kelly Regan

**Senior Consultant
NEPC**

Kelly's consulting responsibilities include servicing clients comprising of corporate pension and defined contribution plans, operating funds, endowments and foundations and private wealth. She works with clients to facilitate asset allocation studies, manager searches, investment policies, performance measurement and various technical projects. She is also a member of the Impact Investing Advisory Committee, Global Asset Allocation Research Advisory Group and Liability Driven Investing (LDI) Research Advisory Group.

Prior to joining NEPC in the spring of 2007, Kelly was employed by Investors Bank & Trust as a Junior Associate for the Merrimac Mutual Funds. Kelly researched and analyzed the institutional money market fund universe and supported the products at industry conferences. She also maintained relationships with clients and provided support regarding investment in the Funds.

Kelly received her M.S.F. from Brandeis University and a B.A. in International Relations from Boston University.

Katherine Smith

**Executive Director
Center for Corporate Citizenship
Boston College Carroll School of Management**

Katherine Smith is the Executive Director of the Center for Corporate Citizenship, Boston College Carroll School of Management, and serves as part-time faculty at the Carroll School of Management where she teaches "Business in Society". As Executive Director, she leads the team, oversees content, events and strategic partnerships that contribute to the organization's success. Katherine has worked with public private partnerships for more than 20 years through her career in nonprofit and higher education. She has worked at Brown University where she served last as AVP for Research, and the University of Massachusetts where she served as COO of the Foundation with more than \$700 million under management. She has unique experience working on facilitating large scale public-private partnerships and joint research projects over the course of her career. Katherine is the co-author with Dave Stangis of '21st Century Corporate Citizenship: A practical Guide to Delivering Value to Society and to Your Business,' which was published by Emerald in 2017.

Kate Starr, CFA

**Chief Investment Officer
Flat World Partners
Head, Sustainable Investing Group
CFA Society New York**

Kate Starr, Chief Investment Officer of Flat World Partners, works with family offices, foundations, pensions, and investment firms interested in building portfolios that take into consideration sustainable and impact investing strategies. As former Vice President, Capital Deployment at the Heron Foundation, Kate led the development of a strategy and policy to deploy 100% of Heron's financial assets toward its social mission. She managed the portfolio across a variety of impact areas and asset classes. Kate is a member of the CFA Institute, CFA Society of New York and chairs its Sustainable Investing Leadership Group. Kate is also on the Investment Committee of the Christopher Reynolds Foundation and serves as an advisor to Humanity United's Worker Innovation Fund. Prior to joining Heron, Kate worked as a consultant at AT&Kearney's Global Business Policy Council, a research associate at microfinance institution PRIDE Tanzania, and as an economics and equity analyst at First Asset Management. Kate earned a BA in English and Italian from Indiana University, a MA in International Relations from Johns Hopkins' School for Advanced International Studies, and is a Chartered Financial Analyst. Find her on Twitter: @KateTStarr.

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