



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.

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.

Chris Fowle

Head of Americas Principles for Responsible Investment

Chris joined the PRI in October 2016 as the Head of the Americas managing signatory relations in North and South America. Previously he was Head of Investor Initiatives for CDP, the former Carbon Disclosure Project, in North America. He served as the CDP representative for Sustainable Accounting Standard Board's Standards Council and for Climate Bond Initiative's Climate Bond Standards Advisory Board. Previously, Chris worked in New York and Tokyo for JPMorgan, Deutsche Bank and the former Lehman Brothers. He holds an MBA from Columbia University and a BBA from the College of William and Mary in Virginia.

Jim Hempstead

Managing Director Moody's Investors Service

Jim Hempstead is a Managing Director in Moody's Global Project & Infrastructure Finance Group where he helps manage the North American Regulated Utility and Power Team. Jim also acts as a rating chair across all segments of the Global Infrastructure and Project Finance franchise and is a member of the Infrastructure Finance Franchise Committee and a member of the Global Infrastructure Focus Editorial Board. In 2017, Jim joined Moody's Global ESG Working Group and is managing the firm's Green Bond Initiatives. Jim joined Moody's in December 2002.

Prior to joining Moody's, Jim spent time as an investment banker with Merrill Lynch & Co., working in the Global Energy & Power Group, providing financial and advisory services to electric, natural gas distribution, interstate pipeline, energy merchant, water and energy technology companies. Prior to joining Merrill Lynch, Jim worked with Salomon Smith Barney Corporate Finance, working in their Global Energy & Power Group.

Jim graduated with a B.S.B.A. from Villanova University and an M.B.A. from Fordham University. From 2011 - 2013, Jim served as the Director of Emergency Management for his hometown in New Jersey, and is a registered EMT for his local, volunteer first aid squad. Jim is a member of the Wall Street Utility Group and became a Trustee with the Society of Utility and Regulatory Financial Analysts (SURFA) in 2012. In 2014, Jim joined the Advisory Council for the Electric Power Research Institute (EPRI).

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.

Brendan Maher

VP, Integrated Capitals Heron Foundation

Brendan Maher joined the Heron Foundation in 2016 as a Vice President of Integrated Capitals. Prior to joining Heron, Mr. Maher was a Partner and Portfolio Manager for several long/short equity asset management companies over the past two decades.

Mr. Maher is currently the President of the Board of Team Schools, a KIPP New Jersey cluster of charter schools located in Newark, NJ; sits on the Advisory Board of the Gigot Center for Entrepreneurship at the University of Notre Dame; and is the Founder of FISH, Inc., a social venture incubator located in South Bend, IN.

Mr. Maher graduated from the University of Notre Dame and is married with three fabulous children.



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.

Kate Starr

**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.

Garrett Wilson

**ESG Investment Specialist
Hirtle Callaghan & Co.**

Garrett Wilson is an Investment Officer and ESG Investment Specialist with Hirtle Callaghan. As an Investment Officer, Garrett works alongside endowment, foundation and family clients. As an ESG Investment Specialist, he has been instrumental in establishing the firm's efforts around environmental, social and governance (ESG) investing, working with clients throughout the country on ESG strategy and other sustainable investing initiatives. Prior to joining the firm in 2014, Garrett worked across both public and private markets. Garrett began his career in the Global Markets division at Bank of America where he worked with institutional and corporate clients. More recently, Garrett spent time with DBL Investors, a San Francisco based venture capital firm focused on blending top-tier financial returns with meaningful social, economic and environmental returns. Garrett received an M.B.A. from the University of Virginia's Darden School of Business and a B.A. in Government from Georgetown University.

RBC GAM is the asset management division of Royal Bank of Canada (RBC) which includes the following affiliates around the world, all indirect wholly owned subsidiaries of RBC: RBC Global Asset Management Inc. (including Phillips, Hager & North Investment Management), RBC Global Asset Management (U.S.) Inc., RBC Global Asset Management (UK) Limited, BlueBay Asset Management LLP, and BlueBay Asset Management USA LLC and the investment management division of RBC Investment Management (Asia) Limited.



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