

# 2022 Artificial Intelligence & Financial Services Symposium

## Agenda | Thursday, October 27th, 2022

| TIME (All times local)  | TOPIC   |
|-------------------------|---|
| 8:00 a.m. – 8:50 a.m.   | <b>Continental Breakfast and Registration</b>   |
| 8:50 a.m. – 9:00 a.m.   | <b>Opening Remarks</b><br><b>Jon Van Gorp</b> , <i>Chairman</i> , Mayer Brown LLP   |
| 9:00 a.m. – 9:55 a.m.   | <b>Panel 1 – How Financial Institutions and Insurance Companies are Using AI</b><br><b>Elizabeth (Eli) Corbett</b> , <i>General Counsel and Chief Compliance Officer</i> , Petal<br><b>Steve Kaplan</b> , <i>Partner</i> , Mayer Brown LLP<br><b>Gabriel Morgan Asaftei</b> , <i>Partner</i> , McKinsey & Company<br><b>David Rosen</b> , <i>Co-Founder</i> , Catylex |
| 9:55 a.m. – 10:50 a.m.  | <b>Panel 2 – Algorithmic Bias and “Unfair” Discrimination</b><br><b>Dr. Lori Cenci</b> , <i>US Head of Unauthorized Trade Surveillance</i> , HSBC<br><b>Niketa Patel</b> , <i>Partner</i> , Mayer Brown LLP<br><b>Jennifer Rosa</b> , <i>Partner</i> , Mayer Brown LLP<br><b>Tori Shinohara</b> , <i>Partner</i> , Mayer Brown LLP                                    |
| 10:50 a.m. – 11:00 a.m. | <b>Break</b>  |
| 11:00 a.m. – 11:55 a.m. | <b>Panel 3 – Navigating Litigation Challenges in Explainable AI</b><br><b>Reginald Goeke</b> , <i>Partner</i> , Mayer Brown LLP<br><b>Alex Lakatos</b> , <i>Partner</i> , Mayer Brown LLP<br><b>Christopher Leach</b> , <i>Partner</i> , Mayer Brown LLP  |
| 11:55 a.m. – 1:25 p.m.  | <b>Lunch with Fireside Chat</b><br><b>Gabriel Morgan Asaftei</b> , <i>Partner</i> , McKinsey & Company  |

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| 1:25 p.m. – 2:20 p.m.  | <p><b>Panel 4 – Contracting for AI in Financial Services</b></p> <p><b>Richard Assmus</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Rohith George</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Aviad Levin</b>, <i>General Counsel and Corporate Secretary</i>, Socure</p> <p><b>Sara Vero</b>, <i>Emerging Technologies Lawyer</i>, JP Morgan</p>   |
| 2:20 p.m. – 2:40 p.m.  | <p><b>Tech Talk: BaaS and Open Banking</b></p> <p><b>David Beam</b>, <i>Partner</i>, Mayer Brown LLP</p>  |
| 2:40 p.m. – 3:30 p.m.  | <p><b>Panel 5 – Insurtech</b></p> <p><b>Tara Boddien</b>, <i>General Counsel and Head of Claims</i>, At-Bay</p> <p><b>Paul Chen</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Shruthi Rao</b>, <i>Co-Founder and Chief Executive Officer</i>, Adapt Ready</p> <p><b>Vikram Sidhu</b>, <i>Partner</i>, Mayer Brown LLP</p>  |
| 3:30 p.m. – 3:40 p.m.  | <b>Break</b>  |
| 3:40 p.m. – 4:35 p.m.  | <p><b>Panel 6 – Use of Digital Engagement Practices by Broker-Dealers and Investment Advisers</b></p> <p><b>Steffen Hemmerich</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Jeffrey Lee</b>, <i>Chief Technology Officer</i>, The Motley Fool</p> <p><b>Tram Nguyen</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Bryan Weaver</b>, <i>Vice President, Associate General Counsel</i>, Fidelity Investments and <i>Chief Legal Officer</i>, Digital Brokerage Services LLC</p> |
| 4:35 p.m. – 5:30 p.m.  | <p><b>Panel 7 – Governance Issues for AI</b></p> <p><b>Esther Chang</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Cameron Craig</b>, <i>Deputy General Counsel and Group Head of Data Privacy, Group Legal</i>, HSBC Holdings</p> <p><b>Chris Hetner</b>, <i>Member</i>, Nasdaq Center for Board Excellence’s Insights Council</p> <p><b>Dominique Shelton Leipzig</b>, <i>Partner</i>, Mayer Brown LLP</p> <p><b>Oliver Yaros</b>, <i>Partner</i>, Mayer Brown LLP</p>        |
| 5:30 p.m. – 5:45 p.m.  | <p><b>Developing Your AI Mission</b></p> <p><b>Brad Peterson</b>, <i>Partner</i>, Mayer Brown LLP</p>   |
| 5:45 p.m.              | <b>Cocktail Reception</b>   |

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## Speaker Biographies | By Last Name

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### Richard Assmus

*Partner*

**Mayer Brown LLP**

Richard Assmus is a member of the Intellectual Property, Brand Management and Litigation practice and co-leads the firm's Technology & IP Transactions practice. Rich has a balanced intellectual property transactional and litigation practice. He is also closely involved in strategic IP agreements, intellectual property due diligence, technology, content and trademark licensing, brand management, copyright counseling, and advertising counseling. Richard utilizes his background in science and mathematics in connection with complex patent litigation and technology matters. Richard's dispute resolution experience includes patent litigation, trademark litigation in federal courts and before the US Trademark Trial and Appeal Board, copyright litigation in federal courts and before the Copyright Royalty Board, state court trade secrets litigation, domain name litigation under the federal anti-cybersquatting act and the UDRP, and software and data audit disputes. He also has significant experience advising clients regarding trademark availability; procurement and protection; trademark watch services, including Internet enforcement strategies; copyright protection, registration and enforcement; and negotiating the purchase of domain names. There is a strong proactive emphasis in Richard's practice, as he helps clients anticipate contractual risks, protect trade secrets through confidentiality agreements, evaluate advertisements for potential liability for false or misleading representations, and prepare effective licensing and other technology transfer agreements. Richard is recognized as one of the "The World's Leading Trademark Professionals" by *World Trademark Review (WTR) 1000* (2016-2019). He is "a superior IP transactions expert and litigator" and "his background in science and mathematics plays well on mixed hard and soft-IP portfolio mandates."



### David Beam

*Partner*

**Mayer Brown LLP**

David Beam is a partner in Mayer Brown's Washington, DC office. He is a co-leader of the firmwide Fintech practice, and member of the Financial Services Regulatory & Enforcement group. David's practice focuses on payment systems and credit products, with an emphasis on legal issues that arise from the innovative use of technology in financial services. David is consistently recognized as one of the top fintech lawyers in the United States by leading lawyer rating services. Every year since its inception, *Chambers Fintech* has ranked David among the top lawyers in the United States in the area of Payments & Lending. *Legal500* has ranked David in the top tier of Leading Lawyers in its US fintech rankings each year since 2019, noting that he is "praised for his 'deep expertise' in this area." In 2021, *Business Insider* named David as one of the "top 11 lawyers helping big-name fintechs," and *Who's Who Legal* included David in its list of foremost legal practitioners in the blockchain area. In September 2018, *The National Law Journal* included David on its inaugural list of Cryptocurrency, Blockchain and Fintech Trailblazers for his work at the intersection of finance and technology.



## Tara Bodden

*General Counsel and Head of Claims*

### **At-Bay**

Tara is on the executive team for hyper-growth cyber insurtech, At-Bay, and is known for her collaborative, results-oriented approach to addressing legal issues facing the business. She approaches issues through a strong business lens and is a trusted advisor to the business. Tara oversees all aspects of legal spanning IP, commercial contracts, M&A, privacy, compliance and governance, and also built out and leads the claims function at At-Bay, which is known for its expertise and strategic point of view in assisting insureds in resolving difficult, high-stakes incidents.



## Dr. Lori Cenci

*US Head of Unauthorized Trade Surveillance*

### **HSBC**

Lori joined HSBC as the US Manager of Unauthorized Trade Surveillance in 2018. Her work focuses on the detection of unauthorized trading, a form of internal fraud, using applied analytics including concept and development of advanced AI modeling. Prior to joining HSBC, she held varied positions in Capital Markets Research, Risk, and Client Advisory at JP Morgan, Barclays, and Fortis Advisers. Inherent curiosity and a love of teaching landed a mid-career detour as a Finance Professor for 8 years, and continues today as part-time faculty at Columbia University's Applied Analytics Graduate program. For her diversity and inclusion efforts Lori has been recognized as a 2021 HSBC Culture Hero and a recipient of the inaugural Americas Inclusive Leader award. Lori's doctoral work focuses on gender bias in risk markets decision making.



## Esther Chang

*Partner*

### **Mayer Brown LLP**

Esther Chang is a Corporate & Securities partner in Mayer Brown's Chicago office whose practice focuses on U.S. and cross-border mergers and acquisitions and corporate law matters. Esther represents purchasers and sellers of domestic and international businesses on complex public and private mergers, including special purpose acquisition companies, stock and asset acquisitions and divestitures, joint ventures, minority investments and strategic alliances. She also advises clients regarding private equity investments, as well as corporate governance and commercial matters. She has worked with clients in a variety of industries, including fintech, automotive, manufacturing, packaging, life sciences, energy and nutritional products. Esther was named to the "Top Rising Star's" List by *The Deal* in 2021, to Lawyers of Color's "Hot List" for 2020, which honors minority attorneys who are excelling in the legal profession, and as a Rising Star by Illinois Super Lawyers between 2014 and 2017 for mergers and acquisitions. Esther speaks Mandarin and is proficient in French. Esther also serves as chair of the firm's Chicago Pro Bono Committee.



## Paul Chen

*Partner*

**Mayer Brown LLP**

Paul Chen is a partner in Mayer Brown's Silicon Valley and San Francisco offices. Paul advises clients on mergers and acquisitions, early to late stage investments, alliances and other corporate transactions. Paul is particularly experienced in working with buyers, sellers, investors and founders on transactions involving innovation and technology in industries that have a significant regulatory component such as insurance, health care, financial services and life sciences. Paul's experience in these regulated industries helps to focus working groups on relevant legal and business issues quickly and efficiently on deals and projects, whether involving an emerging growth company or a more mature company with diverse operations. Paul is a member of the Insurance Industry Group and has a broad range of experience in advising clients on insurance related transactions in the US, Asia, Latin America and Europe as both a lawyer and management consultant. Prior to becoming a law firm partner, Paul was a management consultant with McKinsey & Company where he advised financial institutions and insurance companies on corporate strategy. Paul has served insurance industry clients for over 20 years and has been involved in many facets of corporate insurance deals, including investments in innovation through insurtech startups, M&A arising from global growth and consolidation, transactions involving innovative risk-transfer mechanisms and investments and divestitures due to regulatory changes. *Chambers Global* has repeatedly recognized Paul as sources have said he is "smart, practical and has a lot of experience," and "commercial with good technical knowledge." The directory has also identified Paul as a Foreign Expert on China for Corporate/M&A work and reported that he is said to be "very smart at capturing his global knowledge and being able to apply it to the local markets." Paul has also been listed as a recommended lawyer by *The Legal 500 United States* for his M&A practice, for he is one of the practice's "experienced advisers."



## Elizabeth (Eli) Corbett

*General Counsel and Chief Compliance Officer*

**Petal**

Eli Corbett serves as the General Counsel and Chief Compliance Officer of Petal Card and Prism Data, both companies that specialize in cashflow underwriting in consumer lending. Prior to joining Petal, Eli served in a variety of roles in the private sector and the federal government, including 5.5 years as a founding employee of the CFPB, serving as a federal prosecutor, big law, and leading legal compliance at a 50 billion dollar depository.



## Rohith George

*Partner*

**Mayer Brown LLP**

Rohith George is a partner in the Technology & IP Transactions practice in Mayer Brown's Palo Alto and San Francisco offices. Rohith is also a member of the firm's Fintech and Insurtech practices. Rohith's practice focuses on helping companies navigate complex commercial arrangements involving mission-critical technologies. This includes advising clients: in the execution of major business transformations that involve the implementation and integration of technology solutions; in the acquisition, development, and/or licensing of rights in a wide variety of emerging technologies and related services; in the negotiation and execution of SaaS and other hosted

service agreements; in a variety of transactions involving the outsourcing of business process and technology functions; on IT issues relating to major corporate transactions (e.g., mergers, acquisitions, divestitures, spin-offs, etc.), including assisting with due diligence, negotiating transaction agreements, and advising on post-closing transition and integration.

Rohith has represented companies in many different industries, including financial services, insurance, consumer products, manufacturing, healthcare, and life sciences. Rohith is a frequent author and speaker on topics such as fintech, cloud computing, big data, blockchain, robotic process automation, artificial intelligence and outsourcing. Rohith has received accolades from a number of different legal publications, including being named a Fintech Rising Star by *Law360*, a West Trailblazer by *The American Lawyer*, a Next Generation Lawyer by *Legal 500*, and Top 40 under 40 by the *Daily Journal*.



## Reginald Goeke

*Partner*

**Mayer Brown LLP**

Reginald Goeke is a co-leader of Mayer Brown's Litigation & Dispute Resolution and Commercial Litigation practices. He is a skilled trial lawyer who represents national and multinational corporations in a variety of industries, with an emphasis on the financial services industry. He has tried cases to judgment in jury trials, bench trials and arbitrations. He also represents clients before federal regulatory agencies, including the US Securities and Exchange Commission, the US Department of Justice, HUD, the CFPB, the US Department of Labor, and the International Trade Commission. Reginald is experienced in representing clients in a range of commercial litigations, including complex contract disputes, ERISA class actions, securities and shareholder derivative actions, trade secret and other intellectual property matters, false claims act actions, joint-venture and post-acquisition disputes, constitutional claims, and real estate disputes. In addition, he has represented Boards of Directors and Special Committees in numerous internal corporate investigations, including investigations into securities and ERISA law violations, accounting misstatements, and corporate malfeasance claims. He often represents clients at the intersection of complex regulatory and litigation issues, including securities law violations, fiduciary obligations, and model risk, conduct risk and sales practice risk issues. Reginald brings a sophisticated understanding of a clients' business goals, having previously served as a management consultant to corporate Boards of Directors, and as a strategy director for a global satellite communications company.



## Steffen Hemmerich

*Partner*

**Mayer Brown LLP**

Steffen Hemmerich is a partner in the New York office of Mayer Brown and a member of the Financial Services Regulatory & Enforcement and Broker-Dealer Regulation & Compliance practices. He provides broker-dealer regulatory and transactional advice to domestic and foreign investment banks, financial institutions, investment advisers, hedge funds and private equity funds.

Steffen regularly counsels clients on federal and state broker-dealer regulatory matters and applicable self-regulatory organization (SRO) matters; US Securities and Exchange Commission (SEC) financial responsibility rules, including SEC Rule 15c3-3 and custody issues arising thereunder;

custody arrangements with domestic and foreign custodians, including the negotiation of custody agreements; broker-dealer registration/formation, including structural advice, and SRO membership (FINRA, exchanges and clearing agencies); successor registration; material changes in business operations/business expansions; merger/acquisition/restructuring transactions; business transfers/consolidations; registration and qualification of personnel (state/SRO); foreign broker-dealer/cross-border issues under SEC Rule 15a-6 and “chaperoning” arrangements thereunder; books and records requirements; regulatory reporting and disclosure obligations; vendor/outsourcing relationships; compliance and operational systems/technologies; product development; FINRA advertising issues; SEC risk assessment requirements (Form 17-H filings); and Bank Secrecy Act/Anti-Money Laundering and Office of Foreign Assets Control compliance.

Steffen also advises financial services firms and fintech companies on securities and broker-dealer regulatory matters relating to digital assets and blockchain technology, including business expansion and broker-dealer registration and custody issues.



## Chris Hetner

*Member*

### Nasdaq Center for Board Excellence’s Insights Council

Chris Hetner is a 30-year veteran with experience as a Senior Executive, Board Director, and leader in Cybersecurity recognized for raising cyber risk to the Corporate Board level to protect industries, infrastructures, and economies. Currently, he is a Senior Advisor for the Chertoff Group, Council Member for the Nasdaq Center for Board Excellence, the Special Advisor for Cyber Risk for the NACD, and a National Board Member of the Society of Hispanic Professional Engineers. He’s held executive roles at Citi, GE Capital, EY, and Marsh. More recently, Mr. Hetner served as the Senior Cybersecurity Advisor to the Chair of the United States Securities and Exchange Commission. He also represented the Chair of the SEC as a senior member of the US Department of the Treasury Financial Banking Information Infrastructure Committee. He is a Certified Information Security Manager (ISACA), Certified Information Systems Security Professional (ISC)<sup>2</sup>, and holds a high-level USA security clearance. Mr. Hetner earned a MS, *cum laude*, in Information Assurance from Norwich University and a BS in Security Management from John Jay College of Criminal Justice.



## Steve Kaplan

*Partner*

### Mayer Brown LLP

Steve Kaplan is a partner in Mayer Brown’s Washington DC office and the firm co-leader for the firm’s Financial Services Regulatory & Enforcement group. He concentrates his practice on matters related to consumer financial products and services and represents clients in federal and state supervisory matters, investigations and enforcement proceedings. He also advises clients on compliance with federal and state laws governing licensing and practices of financial institutions, mortgage lenders, consumer finance companies, loan servicers, prepaid card issuers, payment system providers and secondary market participants. Steve acts as regulatory counsel in connection with investments or acquisitions related to consumer loans and other consumer financial products and performing regulatory compliance due diligence. Additionally, Steve assists with structuring operations and developing compliance management systems and due diligence programs and with litigation involving regulatory compliance matters. In 2021, Steve was ranked Band 1 by *Chambers*

USA under Financial Services Regulation: Consumer Finance (Compliance), and he has been ranked in this category for the past six years. Steve was selected for inclusion in the 20th Edition of *The Best Lawyers in America* for banking and finance law 2014-2021.



## Alex Lakatos

*Partner*

### **Mayer Brown LLP**

Alex Lakatos is a partner in the Washington DC office of Mayer Brown's Litigation & Dispute Resolution and Financial Services Regulatory & Enforcement practices. Alex has significant experience in high stakes cross-border litigation, including issues related to terrorism, sanctions, and international law. He also defends financial institutions wrongly alleged to be responsible for fraud, civil RICO violations, breach of fiduciary duty, and other commercial torts, and brings suit to recover on behalf of clients who have been defrauded or victimized by the misconduct of others. He leads asset recovery and judgment enforcement efforts, both domestically and abroad. He is experienced in contesting issues of particular concern to non-US financial institutions, such as financial privacy, data protection, multi-jurisdictional discovery, choice-of-law conflicts, OFAC compliance, money laundering and asset forfeiture. Alex frequently has assisted clients with internal investigations, particularly related to the aforementioned areas. He has represented clients as both plaintiffs and defendants in state and federal courts throughout the country. Alex also counsels clients on issues related to the implementation and utilization of artificial intelligence. Alex was recognized as a "Client Service All-Star" reported by BTI Consulting Group. BTI commended its winners for their "commitment to client service and ability to surpass the needs and expectations of the world's most demanding clients" and lauded them for "standing above all others in the eyes of their clients." Alex is also recommended by *Legal 500* and noted as an "excellent communicator" who specializes in advising foreign financial institutions in enforcement actions and litigation."



## Christopher Leach

*Partner*

### **Mayer Brown LLP**

Christopher Leach is a partner in Mayer Brown's Washington DC office and a member of the Litigation & Dispute Resolution practice, as well as the Cybersecurity & Data Privacy practice. As a former attorney with the US Federal Trade Commission (FTC), his practice focuses on consumer-facing issues, including data privacy, false advertising, marketing practices, and other aspects of customer acquisition. He represents and advises clients in a broad range of industries, including the fintech, financial services, food and beverage, automotive, and telecommunications industries, defending those companies in litigation, before government agencies, and in self-regulatory proceedings such as the National Advertising Division (NAD). As a lawyer in the FTC's Division of Financial Practices, Christopher investigated and litigated consumer protection enforcement actions, and developed enforcement policy. His relevant areas of experience include fintech, cryptocurrency, consumer financial data privacy, gig economy, fair lending and consumer telecommunications. He worked on some of the agency's most visible fintech actions, including active litigation against FleetCor Technologies, Inc. and its CEO for deceptive advertising and charging customers hundreds of millions of dollars in unauthorized fees through its B2B payment

system; a \$10 million settlement with Yellowstone Capital in connection with the company's merchant-cash-advance practices; and served as the agency expert on cryptocurrency issues.



## Jeffrey Lee

*Chief Technology Officer*

### **The Motley Fool**

Jeff Lee is CTO of financial media company, The Motley Fool, which has been educating, amusing, and enriching the world since 1993. Previously, he served as the head of technology for The Motley Fool's sister company, Motley Fool Wealth Management, which he helped build from its inception in 2014 into a money management firm spanning 5 business lines and managing over \$5B in AUM. With decades of experience in software engineering and technology and an industry expertise in finance, Jeff loves working creatively with others to solve problems in new and interesting ways. Originally from Bergen County in New Jersey, he now lives in Arlington, VA with his wife and three children.



## Aviad Levin

*General Counsel and Corporate Secretary*

### **Socure**

Aviad Levin is General Counsel and Corporate Secretary at Socure Inc., the leading platform for digital identity verification and trust. Socure's predictive analytics platform applies artificial intelligence and machine learning techniques to verify identities in real time. Aviad has spent the past twenty years advising startups and established technology companies on corporate and technology transactions and has extensive experience negotiating commercial technology agreements with Fortune 500 companies and financial institutions. Aviad graduated from Tel Aviv University with a B.A. in Economics and LL.B. in Law and from Boston University, with LL.M. in Banking and Financial Law.



## Gabriel Morgan Asaftei

*Partner*

### **McKinsey & Company**

As an expert in McKinsey's Financial Services Lab (FinLab), Gabriel designs and implements innovative applications powered by artificial intelligence and machine learning (AI/ML) for companies in real estate, retail, private equity, asset management, and banking as well as other financial services companies. Utilizing a blend of machine learning, geospatial analytics, and natural language processing models—with both structured and unstructured data sets—Gabriel provides clients with the insights they need to make data-driven strategic business decisions. Before joining McKinsey, Gabriel was the lead data scientist for real estate and financial services in the advanced analytics arm of a multinational technology company. There he led teams of data scientists and developers who built end-to-end geospatial applications using machine learning, natural language, and other artificial intelligence models. Before that, Gabriel performed economic valuations and analytics studies for Fortune 100 financial services clients at a multinational professional services firm. Gabriel is a frequent speaker at industry and academic conferences on how companies in the real estate and financial services industries can use the power of data science and machine learning

to make strategic decisions. He has also published articles in peer-reviewed finance and economics journals, including *Journal of Banking & Finance*, *Journal of Regulatory Economics*, *Macroeconomic Dynamics*, and *Journal of Comparative Economics*. He serves as an advisor to the Harvard Business School Alumni Angels of New York, a network of more than 300 angel investors, and to The Boardroom, a hands-on learning experience for Harvard Business School MBA candidates that simulates leadership challenges faced by executives.



## Tram Nguyen

*Partner*

**Mayer Brown LLP**

Tram Nguyen is the office practice leader in Washington DC for Mayer Brown's Corporate & Securities practice. She advises private equity funds, credit funds, hedge funds, venture funds and other investment funds on all aspects of fund formation, fund structuring and capital raising. She has extensive experience representing asset managers and financial institutions on complex regulatory matters, including registration, examinations and reporting requirements. Additionally, Tram was the inaugural branch chief of the Private Funds Branch at the SEC Division of Investment Management in Washington DC, where she served from 2010 to 2013. At the SEC, she led the development and implementation of new rules under the Dodd-Frank and JOBS acts for private fund advisers.



## Niketa Patel

*Partner*

**Mayer Brown LLP**

Featured in the *American Lawyer* for her win of a nationwide preliminary injunction against the Administration's immigration fee waiver rule, Niketa Patel is an experienced member of the Litigation & Dispute Resolution practice in New York. She conducts a general litigation practice, counseling clients in product liability lawsuits, complex commercial disputes, white collar defense and compliance matters, and civil and criminal securities fraud actions. She is also a thought leader in the artificial intelligence (AI) and data privacy space. Her work focuses on the legal, regulatory, ethical, and reputational risks associated with the use of AI-powered technologies in the private sector, as well as the potential impacts of AI on government policy. Niketa was previously seconded to HSBC Bank plc in London where she served as senior legal counsel to the Chief of Staff in Group Legal. In 2021, she was selected to join the Fellows Program for the Lawyers for Civil Justice organization.

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## Brad Peterson

*Partner*

### **Mayer Brown LLP**

Brad Peterson is a partner in Mayer Brown's Chicago office. He leads Mayer Brown's global Technology Transactions practice. Also, he co-leads and Mayer Brown's Supply Chain & Distribution practice and its Fintech practice. Brad's practice focuses on helping clients reduce cost, improve operations, innovate and increase revenue through services and license agreements with technology providers. His experience includes information technology outsourcing (ITO) and business process outsourcing (BPO); cloud services such as IaaS, PaaS, and SaaS; platform and marketplace services; data licensing and data monetization projects; and core systems modernization, ERP and other software licensing, development and integration transactions. Brad's experience includes projects in emerging technologies such as artificial intelligence (AI), robotic process automation (RPA), and blockchain and other distributed ledger technologies (DLTs). He has also worked on a wide variety of supply chain arrangements, most recently working to help build resilience, advance ESG goals, and leverage technology.



## Shruthi Rao

*Co-Founder and Chief Executive Officer*

### **Adapt Ready**

Shruthi Rao the CEO and co-founder of Adapt Ready, where she leads a dynamic team using her combined background in technology, sustainability, and business management. Under her leadership, the company has won major awards against incumbents such as RMS and AIR Worldwide, including "Risk Modelling Technology of the Year," "Excellence in Technology" and "Best Customer Service Product for Business". Shruthi is a recognized thought leader in the field, frequently invited to speak at conferences and forums, representing Adapt Ready and leading initiatives for growth, and is listed as one of Top 50 Female Future Leaders by *the Financial Times*. Prior to Adapt Ready, she served as management consultant, working closely with risk managers and corporates on the insurance buyer's side and helping reshape their sustainability strategy – even winning accolades at the Green Enterprise IT Symposium for initiatives on data center sustainability.



## Jennifer Rosa

*Partner*

**Mayer Brown LLP**

Jennifer (Jenn) Rosa serves as co-lead of Mayer Brown's New York Litigation & Dispute Resolution practice. Her practice focuses on representing financial institutions, pharmaceutical companies, and other multinational corporations in complex commercial and securities litigation in federal and state courts. Her experience also includes representing clients in government agency proceedings and internal investigations. Jenn concentrates on the areas of banking and financial services, including actions involving alleged violations of the securities laws and antitrust laws, breach of contract, and allegations of fraud or misrepresentation in the sale of complex financial instruments, such as residential mortgage-backed securities (RMBS), foreign exchange products, and other derivative instruments. Jenn also counsels clients in the financial services space relating to risk management and regulatory issues arising out of legacy RMBS platforms, LIBOR transition issues, and other deal management issues. Jenn also has extensive experience counseling clients on e-discovery issues, including the crafting of policies and procedures to govern document retention, legal holds, document collection and review, as well as strategies for defensible management of data in large litigations.



## David Rosen

*Co-Founder*

**Catylex**

David Rosen is a lawyer and innovator with decades of financial industry legal and management experience. Throughout his career, he has managed multiple senior legal teams covering complex products and applied his legal and business domain expertise to deploying technological solutions. In 2019, he co-founded Catylex, a contract analytics platform that leverages AI to transform the world's contracts into useful data. Prior to Catylex, David was Senior Counsel at Bridgewater Associates from 2012-2018 where he oversaw all lawyers responsible for the firm's global trading and client relationships. He has also covered complex derivatives and other transactions for UBS and Credit Suisse as Counsel and for Cleary Gottlieb as an Associate. Before law school, David worked as a database developer and this exposure to coding and data structures continues to inform how he thinks about legal technology today.



## Dominique Shelton Leipzig

*Partner*

**Mayer Brown LLP**

Dominique Shelton Leipzig is a partner in Mayer Brown's Los Angeles office and a member of the Cybersecurity & Data Privacy practice. She serves as the lead for Global Data Innovation as well as Ad Tech Privacy & Data Management. She is one of the country's top privacy and data lawyers and her considerable experience helps clients navigate the evolving legal compliance issues related to privacy and data security for their digital data initiatives. With more than 30 years of experience, Dominique provides strategic privacy and cyber-preparedness compliance advice, and defends, counsels and represents companies on privacy, global data security compliance, data breaches and investigations. Her experience includes defending companies under investigation by the Federal Trade Commission, attorneys general offices and other regulatory and government authorities. She advises companies on best practices in privacy, cybersecurity, data, mobile, cloud storage, Ad Tech privacy, Internet of Things and other areas of regulatory compliance.

Dominique has deep experience advising publicly-traded and privately held companies in technology, healthcare, media, entertainment, e-commerce, financial services and other industries. She leads companies in legal assessments of data security, cyber preparedness and compliance with such regulations as the California Confidentiality of Medical Information Act (CMIA), HIPAA, the Video Privacy Protection Act (VPPA), the Children's Online Privacy Protection Act (COPPA), the California Consumer Privacy Act (CCPA), and the NIST Cybersecurity Framework. She frequently conducts trainings for senior leadership, corporate boards and audit committees regarding risk identification and mitigation in the areas of privacy and cyber. She has trained more than 18,000 professionals on the CCPA and the California Privacy Rights Act. She represented the California Chamber of Commerce in a six-week negotiation with Alastair Mactaggart, his lawyer James Harrison, his consultant former FTC Technologist Ashkan Soltani and Senator Hertzberg regarding the CCPA 2.0—many of the business-friendly terms were obtained through those negotiations.

Dominique is the co-founder and co-CEO of NxtWork, a non-profit dedicated to diversifying the C-suite and the boardroom. She was recently appointed to the Nasdaq Center for Board Excellence's Risk and Cybersecurity Insights Council and is a member of the International Association of Privacy Professionals (IAPP) board. Her landmark book on the CCPA recently published a new edition, and she pioneered the concept of data as a pre-tangible asset in what she calls "our post-data world."



## Tori Shinohara

*Partner*

**Mayer Brown LLP**

Tori Shinohara is a partner in Mayer Brown's Washington DC office and a member of the Consumer Financial Services group. She practices in the areas of mortgage banking and consumer finance, and concentrates on representing clients in connection with federal and state government enforcement matters and counseling clients on compliance with federal and state consumer financial protection laws and regulations, including the Equal Credit Opportunity Act, the Fair Credit Reporting Act, the Fair Debt Collection Practices Act, the Fair Housing Act, the Home Mortgage Disclosure Act, the Servicemembers Civil Relief Act, the Truth in Lending Act and federal and state prohibitions against unfair, deceptive, or abusive acts or practices. Tori also assists clients with performing regulatory compliance due diligence in connection with investments or acquisitions related to consumer financial products, such as mortgage loans, auto loans, student loans, consumer loans and retail installment contracts. Tori represents a broad range of clients, including financial institutions, mortgage lenders and servicers, consumer finance companies and secondary market participants.



## Vikram Sidhu

*Partner*

**Mayer Brown LLP**

Vikram Sidhu's practice focuses on corporate and regulatory insurance matters. He regularly works on sales and acquisitions of insurance and reinsurance companies and portfolios of insurance business, including legacy/runoff transactions. He has worked on a wide range of transactions involving both US and non-US acquirers and sellers in a number of different lines of insurance (property and casualty, life and health, mortgage insurance and others). His experience includes advising clients on insurance businesses and products such as cyber, new climate risks, parametrics and trade credit. Vikram also regularly advises insurtech clients on the establishment and growth of their businesses as well as large tech companies on insurance products and businesses. In addition, Vikram advises clients on the full range of insurance regulatory issues under US states' insurance laws and regulations, such as insurance holding company regulations, surplus lines and other non-admitted insurance, change in control and redemptions, development of new insurance products, insurance captives, insurer insolvency and run-off of existing liabilities, and insurance producer licensing and regulatory compliance.



## Sara Vero

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Sara Vero is an Emerging Technologies attorney at JP Morgan Chase. Her role encompasses all aspects of banking law as applied to complex artificial intelligence and machine learning use cases, quantum computing, and blockchain technologies. With a dual background in data science and law, she takes a practical, interdisciplinary approach to the integration of new technologies into financial services.



## Bryan Weaver

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Bryan Weaver is VP, Associate General Counsel for Fidelity Investments and Chief Legal Officer for Digital Brokerage Services LLC, a Fidelity digital broker-dealer. Bryan leads a team of lawyers responsible for digital asset distribution, broker-dealer services, and customer engagement across Fidelity's web and mobile platforms. Bryan started his career as part of the examination group at FINRA, consulting for broker-dealers and financial advisers, and as Chief Compliance Officer and Counsel for a real estate securities company.



## Oliver Yaros

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Oliver Yaros is a partner in the Intellectual Property & IT Group as well as the Technology & IP Transactions and Cybersecurity & Data Privacy practices of the London office of Mayer Brown. He advises clients on technology and outsourcing transactions with a particular focus on fintech and digital transformation projects, as well as clients operating within a broad range of sectors on data protection matters and cybersecurity incidents, intellectual property transactions and related issues. Oliver is co-leader of Global Cyber Incident Response. He is the Chairman of the Digital Economy Committee of the UK International Chamber of Commerce (ICC) and is a Certified Information Privacy Professional in Europe (CIPP/E) by the International Association of Privacy Professionals (IAPP).