



INVESTMENT MANAGEMENT REGULATORY UNIVERSITY

2026

SPEAKER BIOGRAPHIES



MATT BISANZ

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Matthew Bisanz counsels financial services firms on a variety of banking and derivatives regulatory issues.

Matt advises financial institutions on core regulatory issues and adjacent subject matter domains. Matt is knowledgeable in all major aspects of the operations of an insured depository institution, its affiliates, and its partners—including chartering, acquisition, and permissibility analyses; ongoing risk management, governance, and compliance requirements; and insolvency and resolution issues.

Matt counsels asset managers and insurers on regulatory developments affecting complex financial instruments and significant cross-border transactions.

Matt is a certified public accountant and teaches accounting at University of Maryland Global Campus.



ERIN CHO

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Erin has extensive experience advising financial institutions, asset managers, insurance companies, and other retirement plan service providers with respect to the many and varied services and financial products they offer to US pension plans. She advises on the structuring and offering of investment vehicles of all types to ERISA and governmental plans including alternative investment and lifetime income funds for defined contribution plans, private credit funds, private equity funds, real estate funds, hedge funds, bank collective trusts, and insurance company separate accounts. She counsels plan sponsors on all aspects of fiduciary compliance and also represents clients in front of the Department of Labor on advisory opinion and exemption requests as well as in audits and investigations. Erin regularly writes on pension investment matters for a variety of publications and has been recognized by *Chambers USA*, *The Legal 500* and *The Best Lawyers in America*.



LESLIE CRUZ

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Clients that regularly trust Leslie Cruz include investment companies (mutual funds, funds of funds, multi-managed funds, multi-class funds, and closed-end funds) and investment advisers (managers of managers, sub-advisers, real estate advisers, private fund advisers and registered fund advisers).

Investment companies and their investment advisers rely on Leslie for advice on formation, registration, and reorganization, mergers/acquisitions and liquidation, ongoing investment management regulatory/business matters, new product development, as well as employee mobility.

Regulatory matters in which clients look to Leslie for advice include exemptive applications, "no-action" letters, and similar SEC and staff guidance, investment company registration statements/other regulatory filings, compliance procedures and corporate documents, and service agreements (advisory, sub-advisory, fund accounting, administrative services, transfer agency services, distribution, and others).



GRETEL ECHARTE MORALES

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Clients turn to Gretel Echarte Morales for her expertise on US law and policy related to sanctions and export controls across a wide range of industries, including the financial and energy sectors, manufacturing, and professional services, among others. Drawing on more than a decade of experience, her practice spans the full spectrum of these key regulatory areas—from enforcement and investigations, to licensing, transactional work and compliance.

Gretel regularly conducts internal investigations in connection with alleged violations of the US sanctions laws, the Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR). She also manages voluntary disclosures, subpoena responses, and related enforcement and settlement proceedings before OFAC, BIS, and DDTC and engages with these agencies to obtain licenses, seek interpretive guidance and fulfill reporting obligations on behalf of her clients.

Her compliance advisory work encompasses risk assessments, the design and implementation of tailored compliance programs integrated into clients' business operations, and regulatory analysis of contemplated activities and transactions. She also conducts sanctions and export controls due diligence in advance of financings, acquisitions, IPOs, and other major transactions, and supports deal teams through agreement drafting and negotiation to effectively manage and mitigate regulatory risks.



JODI ERLANDSEN

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Jodi Erlandsen leverages nearly thirty years of experience to assist clients in the investment management industry, including as general counsel for several investment advisers, and a broker-dealer, offering traditional and alternative products and services.

Jodi brings a wide breadth of experience with investment adviser registration and exemption requirements, international regulatory matters and non-US investment advisers, administering compliance programs, fund formation, asset management mergers and acquisitions and lift-outs, extensive contract review, ongoing legal and compliance matters affecting separately managed accounts, wrap account and private fund management, as well as technical securities law questions impacting both retail and institutional managers.



ROHITH GEORGE

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Rohith George is an experienced technology lawyer who companies turn to in order to plan, structure, and execute complex transactions. His practice involves helping companies with a range of commercial, strategic, and technology transactions, including contracting for digital infrastructure, outsourced services, AI and cloud solutions, embedded financial services, and emerging technologies. He also advises companies on the technology and related integration issues associated with mergers and acquisitions, joint ventures, and other complex corporate transactions.



STEFFEN HEMMERICH

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Steffen Hemmerich is Head of the firm's Broker-Dealer Regulatory & Compliance practice. He provides broker-dealer regulatory and transactional advice to domestic and foreign investment banks, financial institutions, insurance companies, investment advisers, hedge funds, and private equity funds. Steffen also advises financial services firms and fintech companies on securities and broker-dealer regulatory matters relating to digital assets and blockchain technology.



ADAM KANTER

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Adam Kanter counsels US and non-US investment advisers, investment companies, and other financial services firms on a variety of regulatory, compliance, examination, enforcement, and transactional matters.

Adam has advised clients on a wide range of investment management matters, including formation, registration, and ongoing compliance issues of investment advisers and investment companies. Clients turn to him when adapting to new regulations, such as the amended marketing rule under the Investment Advisers Act of 1940, and the amended fair value rule under the Investment Company Act of 1940. Additionally, he helps with the preparation of compliance policies and procedures, registration statements, proxy statements, "no-action" letter requests, exemptive applications, comment letters, and corporate documents.



DIANA LAMORIE, ESQ.

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Diana LaMorie is an attorney working in the Legal & Compliance Department at Two Sigma since 2013. She is currently a Manager on the Enterprise Compliance team, helping lead the global compliance program for the flagship investment management business of Two Sigma Investments. Diana earned her JD from Brooklyn Law School and a BS/MBA in Finance from Fordham University.



MICKEY LEIBNER

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Mickey Leibner helps clients navigate the intersection of regulatory and political matters. He advises clients on the Outbound Investment Security Program administered by the Department of the Treasury, providing insight into the bevy of new regulations in this area. Mickey also has significant experience before the Committee on Foreign Investment in the United States (CFIUS) and has advised on hundreds of transactions involving companies ranging from multinational Fortune 500 corporations to small startups. He counsels clients on all aspects of the CFIUS process—from analyzing transactions to determine if a CFIUS filing is required or recommended, to drafting CFIUS filings, responding to questions from CFIUS, and negotiating and implementing mitigation agreements.

Mickey also advises a variety of clients in the private, nonprofit, and government sectors on a number of political law, campaign finance, and lobbying compliance issues, especially with respect to the Lobbying Disclosure Act, the Foreign Agents Registration Act, and political action committees. He helps clients implement internal political law compliance processes, as well as create a range of nonprofit and political organizations. Mickey also lobbies and advocates regularly to US congressional staff and elected officials and is particularly adept at helping clients navigate interactions with local, state, and federal governments.



PETER MCCAMMAN

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Peter McCamman represents investment advisers and investment companies (including mutual funds, closed-end funds, and funds of funds) as well as private funds and their sponsors.

Peter advises clients on a range of investment management and related regulatory matters, including formation, registration, ongoing operation, compliance, and reorganization of investment advisers and investment companies. He advises clients on investment management regulatory and business matters; preparation and review of compliance policies and procedures; SEC examinations and inquiries, comments letters and correspondence; “mock” examinations, targeted compliance and business practice reviews; internal investigations; registration statements and forms; corporate documents; and other regulatory and business filings.



ANDREW OLMEM

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Clients rely on Andrew Olmem for advice and counsel on complex financial services regulatory and legislative matters. He has extensive experience navigating federal financial regulatory agencies (including the Federal Reserve, SEC, CFTC, OCC, FDIC, and FHFA), evaluating prospective legislation and regulations, and representing clients in congressional and regulatory investigations and other high-risk matters.

Andrew previously served in the White House as the Deputy Assistant to the President for Economic Policy and Deputy Director of the National Economic Council (NEC), where he oversaw the development and coordination of the administration's domestic economic policies, including for financial services, technology, telecom, energy, and infrastructure. At the White House, he played a key role in the passage of the Coronavirus Aid, Relief, and Economic Security (CARES) Act, landmark legislation to address the economic downturn due to the coronavirus, and oversaw the administration's financial regulatory reform initiatives. He previously was the Republican Chief Counsel at the US Senate Banking Committee and was a lead staff negotiator of the Dodd-Frank Act.

Washingtonian Magazine listed Andrew as one of the 500 Most Influential People in Washington, while *The American Lawyer* named him one of their "Trailblazers," recognizing individuals who are agents of change in the legal industry.



RICHARD ROSENFELD

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Richard M. Rosenfeld is the co-lead of Mayer Brown's Securities Litigation and Enforcement Practice and regularly counsels and represents financial services firms, corporations, funds, directors and their committees, officers, and employees in securities-related business, regulatory, and compliance issues.

Securities Investigations: Richard uses his more than two decades of experience in the securities field, including more than a decade in increasingly senior government regulatory and enforcement positions, to defend SEC, CFTC, FINRA, DOJ, CME and other securities-related investigations. He leads internal investigations, often advising clients on preventive compliance and remedial measures before and after securities-related issues arise.

SEC Investigations: Richard acts as lead attorney in high-profile SEC investigations primarily representing well-known US and internationally based financial services firms. Typically, Richard's greatest successes for his clients never become public, as he has succeeded on many occasions in resolving matters before charges are filed or there is any public disclosure of the government's interest. Earlier in his career, Richard served in the Division of Enforcement at the SEC where he handled complex securities frauds and was detailed as a special prosecutor to US Attorney's offices across the country to assist in matters involving cross border financial fraud and disclosure; asset management issues; derivatives and insider trading; money laundering; and bank, mail, and wire fraud.

Securities Litigation: Richard calls upon his securities litigation experience in the federal courts in matters involving allegations of fraud, whether it be financial reporting violations, insider trading, market manipulation, or other regulatory or compliance issues, to advise on transactions, regulatory compliance, corporate governance, policies and procedures, and other SEC-related concerns.



LEE RUBIN

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Lee Rubin is a civil and criminal litigator with extensive experience in private practice and in the government, where for eight years he served as a prosecutor in the Department of Justice and as an Assistant United States Attorney for the District of Columbia. Lee, who has tried approximately 25 jury trials and has argued matters in the federal courts of appeals and the highest courts of the States, has a wide-ranging practice, with a concentration in the defense of corporations and individuals in criminal investigations and prosecutions and civil enforcement actions by government agencies, often involving alleged violations of the securities laws. He has also served as lead counsel in a number of internal corporate investigations, and has been involved in numerous securities fraud, antitrust and False Claims Act matters, as well as trade secrets and other commercial litigation involving technology companies. Following law school, Lee served as a law clerk to the Honorable Warren J. Ferguson, United States Court of Appeals for the Ninth Circuit.



LEI SHEN

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Lei Shen is a recognized leader in privacy and technology, with a deep track record advising clients across industries and company sizes. She advises on the full spectrum of privacy and technology matters—from artificial intelligence and biometric technologies to building and scaling global privacy compliance programs. Companies ranging from startups to Fortune 100s rely on her practical, strategic approach to manage regulatory risk and unlock business value.

Lei advises on federal and state privacy and AI laws, and her work frequently touches on emerging technologies, including biometrics and facial recognition, neurotechnology, and connected products such as connected and autonomous vehicles and IoT devices. Lei also counsels clients on the legal and strategic risks associated with data brokers, data scraping, and the monetization and secondary use of data. She helps companies evaluate how data is collected, shared, and commercialized—developing forward-looking compliance strategies that align with business goals while minimizing regulatory and reputational exposure.



JEFF TAFT

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Jeff Taft advises clients on bank regulation, bank receivership and insolvency issues, payment systems, consumer financial services and cybersecurity/privacy issues. He has extensive experience counseling financial institutions, merchants, technology companies and other entities on various federal and state banking and consumer credit issues, including compliance with the Bank Holding Company Act, National Bank Act, International Banking Act, Consumer Financial Protection Act, Truth-in-Lending Act, the Fair Credit Reporting Act, the Electronic Fund Transfer Act, the Equal Credit Opportunity Act, the Fair Debt Collection Practices Act, the Real Estate Settlement Procedures Act, state unfair or deceptive acts or practices statutes, CFPB's UDAAP authority and the development and implementation of privacy, cybersecurity and information security programs under the Gramm-Leach Bliley Act, the NYDFS cybersecurity regulation and industry standards, such as PCI DSS and NIST.

