

Webcast: “The Implications and Issues relating to 3PMs being Sponsored by Broker Dealers”

Speaker Biographies

Micah A. Taylor, Esq. – Kinetic Partners

Micah A. Taylor is located in Kinetic's New York office and has over fifteen years of experience in the legal, finance, and securities industry. Micah is responsible for the development of the firm's US Broker/Dealer consulting practice. He also performs regulatory consulting for SEC Registered Investment Advisers including the registration of such entities. He has over 15 years experience in the legal, finance and securities industry. Previously he was a Senior Regulatory Consultant with BISYS Regulatory Services, where he advised US and UK hedge funds, broker-dealers and other investment advisers on their SEC and FINRA regulatory obligations. Prior to BISYS, he was the Deputy Director of The Response Companies, Legal Compliance & Regulatory Consulting Group in New York, a firm which he helped establish and previous to that was a Field Supervisor with the NASD (now FINRA) in District 10, New York. He has also served as a Senior Legal Compliance Officer with PaineWebber, Inc., also in New York, and as the Assistant General Counsel to the ESOP Association in Washington, DC.

Micah is a graduate of Williams College in Williamstown, Massachusetts where he received a Bachelor of Arts degree majoring in Political Science and in History with a minor in Classical Studies. He attended Suffolk University Law School in Boston, Massachusetts where he received a Juris Doctorate in Law. He also received a Master of Laws degree from Georgetown University Law Center, in Washington DC, in the subject areas of Banking & Securities Regulation. In addition, he attended Georgetown University Graduate School of Business Management in Washington DC and The American Graduate School of International Management (Thunderbird) in Phoenix, Arizona where he received an MBA in Finance. He is a member of the Bar in New York, District of Columbia, and Hawaii.

Lisa Roth - NAIBD Chair

Lisa Roth is the Chief Executive Officer and majority owner of Keystone Capital Corporation, a small FINRA member firm specializing in Gen Y investment strategies and headquartered in San Diego, CA, a role she has filled since 2001. Ms. Roth advocates for small and independent firms through her long-term role on the Board of the NAIBD (National Association of Independent Broker/Dealers), a 27-year-old not-for-profit organization, of which she is currently the Chairman. Through this affiliation, Ms. Roth has presented the small and independent firm perspective to the regulators on topics including senior investors, rule consolidation, supervisory controls, Regulation S-P amendments and other related

topics. Previously, Ms. Roth was the EVP Managing Director of National Regulatory Services (following the acquisition of ComplianceMAX Financial Corporation, of which she was founder and CEO). NRS is a regulatory compliance and technology company, providing compliance expertise to regulated firms in the financial and investment services sectors. Prior to that, Ms. Roth served in various executive capacities with Royal Alliance Associates, First Allied Securities and other brokerage and advisory firms. Ms. Roth was appointed to FINRA's Small Firm Advisory Board in 2007, and is currently serving a 1-year term. Ms. Roth has been a member of the FINRA Board of Arbitrators for over 15 years, and has served as an expert witness in numerous FINRA arbitrations and securities brokerage disputes. Ms. Roth is recognized nationally as an expert in business, compliance and regulatory matters. She is a frequent speaker at industry events and is sought as an expert, by financial firms of all sizes, on a range of regulatory subjects. Ms. Roth received a B.A. from Moravian College, Bethlehem, PA, and was the recipient of its History Prize in 1990. Ms. Roth holds securities licenses with Keystone Capital Corporation as General Securities Registered Representative, General Securities Principal, Sales Supervisor, Licensed Options Principal, Municipal Securities Principal, Investment Adviser (Series 65) and California Securities Agent. Ms. Roth serves as Chairman of the Board of Responsibility, a non-profit organization that provides education to children living alongside municipal dumps in Tijuana, Mexico, and is the founder of "Los Buen Deportes" (roughly, "The Good Sports"), an organization through which U.S. and Mexican teens engage in recreational soccer games and clinics.

Donna B. DiMaria – 3PM President

Donna DiMaria co-founded Tessera Capital Services, LLC ("Tessera") in 2005 when the firm was offered membership in FINRA (fka the NASD). She currently serves as the firm's Chief Executive Officer ("CEO") and Chief Compliance Officer ("CCO"). Ms. DiMaria is also a Registered Representative. In addition, she also serves as the CEO and CCO of Tessera Capital Partners, LLC, a State Registered Investment Adviser.

Ms. DiMaria joined Tessera from WestAM where she was the Director of consultant relations and oversaw the firm's marketing support functions. Prior to joining WestAM, Donna was a Vice President at Forstmann-Leff International where she was responsible for US Consultant Relations and Institutional Sales. Before Forstmann-Leff, Donna was a Marketing Analyst and Fixed Income Product Specialist at UBS Asset Management. Prior to moving her career to the investment management industry, Donna was employed as an Investment Banking Analyst at Kidder Peabody and a MBS/ABS Accountant at Prudential Securities.

Ms. DiMaria received a Bachelor of Science degree with a concentration in Finance from Binghamton University in May 1988. She graduated as a Stern Scholar with a Masters of Business Administration degree in Finance in May 1999 from the Leonard N. Stern School of Business.

Donna is currently serving as the President of the Third Party Marketers Association ("3PM"), a member of the Professional Association of Investment Communications Resources ("PAICR"), a member of the Association of Investment Management Sales Executives ("AIMSE"), a member of the National Association of Independent Broker Dealers ("NAIBD") and a member of Beta Gamma Sigma. She has also passed the Series 7, 24, 63 and 65 exams.

Stacy Havener – Co-Chair 3PM's Event Committee

Stacy Havener co-founded Candlewood Advisory Partners, LLC in 2007. Prior to starting Candlewood, Stacy spent 7 years at Sincere & Co., LLC, a third party marketing and distribution firm, as Vice President/ National Sales Manager. In addition to her sales staff management responsibilities, Stacy interfaced with investment management clients, participated in the due diligence of prospective clients, and led the design of product messaging for new clients. From 1998 through 2000, Stacy served as Marketing Manager for Grand Prix Funds (Wilton, CT). In her investment sales career, Stacy has raised over \$6 billion dollars.

Stacy holds her Series 6, 7, 24, 63, and 66 licenses. Stacy received her Bachelor of Arts in English Literature from Western Connecticut State University, graduating summa cum laude in 1998. She was named to both the NCAA and the GTE/CoSida Academic All-American team for Division III Women's Soccer and subsequently nominated for NCAA Woman of the Year in 1998. Currently, Stacy serves on the board of the Third Party Marketing Association (www.3pm.org).

Stacy's home base is in Boston, MA where she balances her career with her love of travel, passion for cooking, and an addiction to crossword puzzles.