

October 20, 2016

# Reforming Culture and Behavior in the Financial Services Industry

*Expanding the Dialogue*



## Industry

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8.	Sheri	Bronstein	Bank of America
9.	Fabrizio	Gallo	Bank of America
10.	Geoffrey	Greener	Bank of America
11.	Monica	Lozano	Bank of America
12.	Lisa	Masters	Bank of America
13.	Tony	Dunne	Bank of Ireland
14.	Aaron	Regent	Bank of Nova Scotia
15.	Gary	Rupert	Bank of Nova Scotia
16.	Alison	Cottrell	Banking Standards Board
17.	Onora	O'Neill	Banking Standards Board
18.	Gerry	Grimstone	Barclays
19.	Joe	McGrath	Barclays
20.	Michael	Roemer	Barclays
21.	Steven	Thieke	Barclays
22.	Aidan	Conroy	BlackRock
23.	Matthew	Mallow	BlackRock
24.	Jasmin	Sethi	BlackRock
25.	Amy	Butte	BNPP Paribas USA, Inc.
26.	Jeffrey	Goldstein	BNY Mellon
27.	Gerald	Hassell	BNY Mellon
28.	William	Perlstein	BNY Mellon
29.	Steve	Barkanic	Business-Higher Education Forum
30.	Glenn	Hosokawa	CalSTRS
31.	Hui	Li	China Merchants Bank
32.	Jennifer	Warren	CIBC
33.	Ellen	Alemanly	CIT
34.	Stephen	Bird	Citigroup
35.	Jennifer	Boyle-Devine	Citigroup
36.	Emma	Bredin	Citigroup
37.	Melanie	Stoheck	Citigroup
38.	Kathryn	Herrington	CLS Bank
39.	Susan	Sprague	CME Group
40.	James	Amine	Credit Suisse
41.	Noreen	Doyle	Credit Suisse
42.	Jerry	Leamon	Credit Suisse

	First Name	Last Name	Affiliation
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44.	Eric	Varvel	Credit Suisse
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47.	Paul	Lee	Debevoise & Plimpton LLP
48.	David	Sewell	Debevoise & Plimpton LLP
49.	Bill	Woodley	Deutsche Bank
50.	Lisa	Hersey	DTCC
51.	William	Hodash	DTCC
52.	Andrea	Bonime-Blanc	Ethical Systems
53.	Jeremy	Willinger	Ethical Systems
54.	Marty	Chavez	Goldman Sachs
55.	Eileen	Dillon	Goldman Sachs
56.	Bill	George	Goldman Sachs
57.	Theo	Lubke	Goldman Sachs
58.	Adebayo	Ogunlesi	Goldman Sachs
59.	Stuart	Mackintosh	Group of Thirty
60.	Roger	Blissett	Institute of International Bankers
61.	Sally	Miller	Institute of International Bankers
62.	Matt	Ekberg	Institute of International Finance
63.	Georgina	Marshall	ISS
64.	Ashley	Bacon	JPMorgan Chase & Co.
65.	Stephen	Cutler	JPMorgan Chase & Co.
66.	Timothy	Flynn	JPMorgan Chase & Co.
67.	Bei	Ling	JPMorgan Chase & Co.
68.	Michael	Neal	JPMorgan Chase & Co.
69.	Erik	Shumar	KPMG
70.	Jay	Cook	Lloyds Bank
71.	Larry	Uhlick	LRUhlick Consulting
72.	Patrick W. E.	Hodgson	M&T Bank Corporation
73.	Newton	Merrill	M&T Bank Corporation
74.	John	Walsh	McKinsey
75.	Bill	Schaninger	McKinsey
76.	Angelo	Aldana	Mizuho
77.	Jacques	Busquet	Mizuho
78.	Tom	Glocer	Morgan Stanley
79.	Patricia	Gould	Morgan Stanley
80.	Eric	Grossman	Morgan Stanley
81.	Peg	Sullivan	Morgan Stanley
82.	Susan	Ochs	New America Foundation
83.	John-Paul	Pape	Oliver Wyman
84.	Michael	Zeltkevic	Oliver Wyman
85.	William	Rutledge	Promontory Financial Group
86.	Lee	Augsburger	Prudential
87.	Kevin	Simons	Prudential
88.	Michael	Alix	PWC
89.	Tanja	Cuppen	Rabobank
90.	Blair	Fleming	Royal Bank of Canada
91.	Nancy	Shanik	Royal Bank of Canada
92.	Reena	Agrawal Sahni	Sherman & Sterling LLP
93.	Kenneth	Bentsen	SIFMA
94.	John	Rogers	SIFMA

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95.	Slawomir	Krupa	Societe Generale
96.	Jeff	Kupfer	Starling Trust
97.	Stephen	Scott	Starling Trust
98.	Amy	Armstrong	State Street
99.	Anthony	O'Reilly	State Street
100.	Tom	Baxter	Sullivan & Cromwell LLP
101.	H. Rodgin	Cohen	Sullivan & Cromwell LLP
102.	Michael	Wiseman	Sullivan & Cromwell LLP
103.	Dennis	Andrade	Tapestry Networks
104.	Gregg	Rozansky	The Clearing House
105.	Waldo	Abbot	Treliant Risk Advisors, LLC
106.	Graham	Broyd	Treliant Risk Advisors, LLC
107.	Axel	Lehmann	UBS
108.	Sam	Molinaro	UBS
109.	Dana	Ritzcovan	UBS
110.	Christine	Meuers	Wells Fargo
111.	Keb	Byers	Wells Fargo
112.	David	Walker	Winton Capital Management
113.	Julie	Crotty	YSC

### Official Sector

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115.	Tamara	Scicluna	APRA
116.	Ira	Steinbrecher	BaFin
117.	Diana	Capone	Banca D'Italia
118.	María Ángeles	Nieto	Banco de Espana
119.	Richard	Bennett	Bank of England
120.	James	Proudman	Bank of England
121.	Minouche	Shafik	Bank of England
122.	Elisabeth	Stheeman	Bank of England
123.	Xavier-Yves	Zanota	Basel Committee
124.	Mirea	Raaijmakers	De Nederlandsche Bank
125.	Florian	Narring	ECB SSM
126.	Charles	Brukner	FCA
127.	Megan	Butler	FCA
128.	John	Sutherland	FCA
129.	Alfred	Seivold	FDIC
130.	Simon	Broennimann	FINMA
131.	Susan	Axelrod	FINRA
132.	Bob	Colby	FINRA
133.	Nancy	Condon	FINRA
134.	Tetsuya	Ishida	FSA - Japan
135.	Masaaki	Tani	FSA - Japan
136.	Yuk Lun	Au	Hong Kong Monetary Authority
137.	Norman TL	Chan	Hong Kong Monetary Authority
138.	Ying Ying	Cheng	Hong Kong Monetary Authority
139.	Lawrence	Cheung	Hong Kong Monetary Authority
140.	Annabel	Tan	Monetary Authority of Singapore

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141.	Martin	Cofsky	NYS Department of Financial Services
142.	Molly	Scherf	OCC
143.	Maria	Moutafis	OSFI
144.	Gary	Barnett	Securities and Exchange Commission
145.	James	Giles	Securities and Exchange Commission
146.	Grace	Sone	The Financial Stability Board
147.	Lev	Menand	U.S. Treasury Department

### Other

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149.	Shiva	Rajgopal	Columbia Business School
150.	Maureen	O'Hara	Cornell University
151.	Suraj	Srinivasan	Harvard Business School
152.	Joe	Carapiet	House Financial Services Committee
153.	Kirk	Schwarzbach	House Financial Services Committee
154.	Jelena	McWilliams	Senate Banking Committee
155.	Laura	Swanson	Senate Banking Committee
156.	Claire	Hill	University of Minnesota Law School
157.	David	Vines	University of Oxford

### Federal Reserve System

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160.	James	Bergin	FRB New York
161.	Stein	Berre	FRB New York
162.	Clive	Blackwood	FRB New York
163.	William	Brodows	FRB New York
164.	Christopher	Calabia	FRB New York
165.	Stephanie	Chaly	FRB New York
166.	David	Cote	FRB New York - Director
167.	Jen	Crystal	FRB New York
168.	Martha	Cummings	FRB New York
169.	Toni	Dechario	FRB New York
170.	Dianne	Dobbeck	FRB New York
171.	Meghann	Donahue	FRB New York
172.	William	Dudley	FRB New York
173.	Caroline	Frawley	FRB New York
174.	Tim	Geishecker	Federal Reserve Board
175.	Haley	Gibson	FRB San Francisco
176.	Martin	Grant	FRB New York
177.	Jack	Gutt	FRB New York
178.	Lauren	Hargraves	FRB New York
179.	Michael	Held	FRB New York
180.	James	Hennessy	FRB New York
181.	Beverly	Hirtle	FRB New York
182.	Sara	Horowitz	FRB New York - Director
183.	Glen	Hutchins	FRB New York - Director

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186.	Shari	Leventhal	FRB New York
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189.	Terry	Lundgren	FRB New York - Director
190.	Anand	Marri	FRB New York
191.	Meg	McConnell	FRB New York
192.	Jackie	McCormack	FRB New York
193.	Michael	McMorrow	FRB New York
194.	Patricia	Meadow	FRB New York
195.	Paul	Mello	FRB New York - Director
196.	Susan	Mink	FRB New York
197.	Sakari	Morrison	FRB San Francisco
198.	Michael	Nelson	FRB New York
199.	Thomas	Noone	FRB New York
200.	Keith	Paxton	FRB New York
201.	Jamie	Pfeifer	FRB New York
202.	Simon	Potter	FRB New York
203.	Andrea	Priest	FRB New York
204.	Emily	Rafferty	FRB New York - Director
205.	Bruce	Richards	FRB New York
206.	Adrian	Rodriguez	FRB San Francisco
207.	Dana	Roy Green	FRB New York
208.	Vaishali	Sack	Federal Reserve Board
209.	Denise	Schmedes	FRB New York
210.	Denise	Scott	FRB New York - Director
211.	Vandana	Sharma	FRB New York
212.	Ekta	Singh	FRB New York
213.	Glen	Snajder	FRB New York
214.	Joe	Sommer	FRB New York
215.	Kevin	Stiroh	FRB New York
216.	Michael	Strine	FRB New York
217.	Daniel	Sullivan	FRB New York
218.	Angela	Sun	FRB New York
219.	Jason	Tarasco	FRB New York
220.	Randy	Tokar	FRB New York
221.	Joe	Tracy	FRB New York
222.	Luis	Uranga	FRB New York
223.	James	Wall	FRB New York
224.	Lisa	White	FRB Richmond
225.	Suzanne	Williams	Federal Reserve Board