

Frankel Fiduciary Prize 2016 Program Speakers

David Certner

David M. Certner is the legislative counsel and director of legislative policy for government relations and advocacy at AARP. He has been with AARP since 1982, and serves as counsel for the association's legislative, regulatory, and policy efforts at the federal and state level, as well as for litigation opportunities before the courts. Prior to assuming his current role in 2007, Certner had served as director of AARP's 25- person federal affairs shop, where he headed up all federal legislative and regulatory activity. Certner is a member of the Bloomberg BNA Benefits Practice Resource Advisory Board. He received his law degree from the National Law Center at George Washington University.

Deborah A. DeMott

Deborah A. DeMott focuses her scholarship and teaching on the law of agency, business organizations, fiduciary obligation, and art law. She served as sole Reporter for the American Law Institute's Restatement (Third) of Agency, published in 2006. In addition to numerous articles, DeMott is the author of a treatise, *Shareholder Derivative Actions*, initially published in 1987 and updated annually and a casebook, *Fiduciary Obligation, Agency and Partnership*, published in 1991. A native of DuBois, Pa., DeMott received her BA from Swarthmore College in 1970 and her JD in 1973 from New York University.

Tamar Frankel

Professor Tamar Frankel, professor of law at Boston University, has written and taught in the areas of mutual funds, securitization, financial system regulation, fiduciary law and corporate governance. She has published more than 70 articles and book chapters, and co-chaired for more than 10 years the ALI-ABA Investment Management Advanced Course with Clifford E. Kirsch. Tamar Frankel has taught and lectured at Oxford University, Tokyo University, Harvard Law School, Harvard Business School, University of California Law School, Berkeley and consulted with the People's Bank of China. She also has been in private practice in Israel, Boston and Washington, D.C. She is a member of the Massachusetts Bar, the American Law Institute, The American Bar Foundation.

Stephan W. Hall

Mr. Hall, Legal Director at Better Markets, has extensive experience in securities and commodities regulation acquired through positions in the Federal government, private practice, and the nonprofit sector. In 2010, he served as Senior Counsel to the Committee on Financial Services of the U.S. House of Representatives. During the Conference leading to passage of the Dodd-Frank Wall Street Reform and Consumer Protection Act, Mr. Hall worked on the titles dealing with securities and derivatives. Mr. Hall began his legal career at the Commodity Futures Trading Commission, where he became Senior Trial Attorney and Associate Director of Enforcement. At the CFTC, he specialized in bringing injunctive actions in federal court against fraudulent commodity sales operations. Mr. Hall is a graduate of the University of Michigan, and he received his law degree from Georgetown University.

Robert A.G. Monks

Pioneering shareholder activist and corporate governance adviser, Robert AG Monks, has written widely about shareholder rights & responsibility, government capture, corporate impact on society and global corporate issues. He is a graduate of Harvard College, Cambridge University and Harvard Law School. He was a partner in a Boston law firm and served as vice president of Gardner Associates, an investment management company. Mr. Monks is an expert on retirement and pension plans and was appointed director of the United States Synthetic Fuels Corporation by President Reagan, who also appointed him one of the founding Trustees of the Federal Employees' Retirement System. Mr. Monks served in the Department of Labor as Administrator of the Office of Pension and Welfare Benefit Programs having jurisdiction over the entire U.S. pension system.

Joseph C. Peiffer

Joe is the Managing Shareholder of Peiffer Rosca Wolf Abdullah Carr & Kane. Based in the firm's New Orleans office, Joe's practice consists of representing individuals and institutions that have been harmed by investment banks and brokerage firms, prosecuting ERISA class actions, and representing victims of labor trafficking and those who have suffered catastrophic injury. He also has litigated several ERISA class actions against large financial services firms regarding their imprudent investments of retirement money and conflicts of interest. Joe graduated from Tulane School of Law, cum laude, in 1999. He serves on the Board of Directors of PIABA – a nationwide bar association of lawyers who represent individuals and institutions in arbitrations. He was elected President of PIABA and will serve PIABA as its President until October 2015.

Barbara Roper

Barbara Roper is director of investor protection for the Consumer Federation of America, where she has been employed since 1986. CFA is an alliance of approximately 300 pro-consumer organizations, which in turn represent more than 50 million individual consumers. A leading consumer spokesperson on investor protection issues, Roper is a member of the SEC's Investor Advisory Committee, FINRA's Investor Issues Group, and the CFP Board's Public Policy Council and Standards Commission. She is the 1991 recipient of the National Association of Personal Financial Advisors' Distinguished Service Award, the 1992 recipient of a Distinguished Service Award from the North American Securities Administrators Association, and a 2004 recipient of Consumer Action's Consumer Excellence Award. She graduated in 1977 from Princeton University with a degree in art history.

Dallas Salisbury

Dallas Salisbury became Resident Fellow and President Emeritus at the Employee Benefit Research Institute (EBRI) on December 9th, 2015. Salisbury had joined EBRI on December 4th, 1978, as Chief Staff Executive, after EBRI was founded by 13-employee benefit consulting firms on September 28th, 1978. Dallas has served on many commissions, study panels, editorial advisory boards, and consulted with public and private organization of all types. Dallas is a Fellow of the National Academy of Human Resources. He serves as an appointee of President Obama on the PBGC Advisory Committee (having served in the late 80's as an appointee of President H. W. Bush).