



MEMBER REGULATORY WORKSHOP | JUNE 4, 2018

PANELIST BIOS

Ronald H. Filler

NFA Board Member and Professor of Law, New York Law School

Ronald H. Filler serves as Program Director of the LL.M in Financial Services Law at New York Law School. Mr. Filler serves as a Professor of Law. Mr. Filler served as a Managing Partner at Filler Weiner Zaner & Associates from 1980 to 1985. Mr. Filler served as Managing Director of Institutional Futures Administration of Lehman Brothers Inc from 1993 to 2008. Prior to this, he served at a number of securities law firms, including Vedder, Price, Kaufman and Kamholz where he spent eight years, as well as Filler Weiner Zaner & Associates (now Zaner Group LLC), the commodities brokerage he helped found and where he served from 1980 to 1985. Mr. Filler served as President and Secretary of Futures Industry Association's Law and Compliance Division. Mr. Filler served as Panelist on over 300 industry panels. He has served as a Professor of Law. Mr. Filler started his career as an attorney with the Securities and Exchange Commission in 1973. He serves as Chair of the Editorial Advisory Board of the NY Business Law Journal. He served as Chairman of the FIA Survey on Electronic Trading. He served as Vice Chairman of BrokerTec Clearing Corporation. He serves as Director of Futures Industry Association. He serves as Member of Board of Managers at GCSA LLC. Mr. Filler serves as Director of the Financial Services Law Institute. He serves on the Board of various Charitable Organizations. Mr. Filler serves as a Public Director of NFA, a Public Director of the Board of Directors of SWAP-EX, a member of the Board of Trustees of The Clearing Corporation Charitable Foundation and a Public Director of the Board of Directors of NYSE LIFFE US. He served as a Director of The Clearing Corp., since August 2005. He served as a Member of the Board of Directors of the MidAmerica Commodity Exchange. He served as Director of Institutional Futures Administration of Lehman Brothers Inc since 1993 until 2008. He is a co-author of a law treatise (Regulation of Financial Derivative Instruments - Swaps, Options and Futures). He has a B.A. from the University of Illinois, a J.D. from George Washington University Law School, and an LL.M in Taxation from Georgetown University Law Center.

Michael Brice

Founder and CEO, BW Cyber Services

Michael Brice has more than 28 years providing technology, security, and related cybersecurity consulting solutions for multiple industries, including deep commercial experience in the financial services industry as well as classified government operations.

After graduating from college he served as an officer in the US Marine Corps where he received specialized training by the National Security Agency in Signals Intelligence. Upon departure from the military, he has held executive positions leading IT strategy and related enterprise software services for blue chip consultancies and publicly traded corporations including: Principal at Booz-Allen, Partner for Unisys, Sr. Director at Infor, and Chief Information Officer at the Industrial Distribution Group, Inc. He's also worked in the regulated asset management industry - including one of the world's largest hedge funds. As the founder of BW Cyber Services, Mr. Brice has provided cyber-consulting support to multiple emerging, small, and mid-size NFA & SEC Members and family offices.

Kolade Agbaje-Williams

Manager, Examinations, Compliance, NFA

Kolade Agbaje-Williams is a Manager of Examinations in NFA's Compliance Department. Mr. Agbaje-Williams joined NFA as a Staff Examiner in January of 2009. Mr. Agbaje-Williams graduated from Lawrence University in Appleton, Wisconsin with a degree in Economics and History. He is a licensed Certified Public Accountant and a Certified Fraud Examiner.

Louis Berardocco

Senior Manager, Examinations, Compliance, NFA

Louis Berardocco is a Senior Examinations Manager in NFA's Compliance Department, where he helps oversee examinations, financial analysis, investigations, and financial surveillance. Since beginning his career as a Staff Examiner with NFA in 2008, Mr. Berardocco has held numerous positions within the Compliance Department. Prior to joining NFA, Mr. Berardocco earned a Bachelor of Science degree in Management from Wagner College in Staten Island, New York. He then obtained a dual MBA in Management and Finance, also from Wagner College. In May 2013, he became a Certified Fraud Examiner.

Patricia Cushing

Director, Compliance, NFA

Patricia L. Cushing is a Director in NFA's Compliance Department. She has worked at NFA since 1990. Her responsibilities included overseeing staff who conduct financial and compliance examinations, investigations and financial surveillance of brokerage firms in the commodity futures industry and assisting with the enhancement of NFA's risk management systems. Currently, Ms. Cushing manages the design of the department's exam programs and software and is responsible for the training of the examination staff. She leads the compliance department's member education efforts, advises members on compliance issues, and presents at industry conferences. Ms. Cushing holds a B.B.A. degree in Finance/Accounting from Saint Mary's College in Notre Dame, Indiana. She is a Certified Public Accountant and holds a designation as a Certified Regulatory and Compliance Professional from the NASD Institute at The Wharton School. In November of 2013 she became a Certified Fraud Examiner from the Association of Certified Fraud Examiners (ACFE).

Sarah Iverson

Director, Compliance, NFA

Sarah Iverson is a Director in the Compliance Department of NFA, the premier independent provider of innovative and efficient regulatory programs that safeguard the integrity of the derivatives market. Ms. Iverson joined NFA as a Staff Examiner in January of 2008. Ms. Iverson graduated from Eastern Illinois University, Charleston, Illinois, with a Bachelor's Degree in Management. She is currently enrolled in a Professional Studies Program focused in Accounting at Northwestern University, Chicago, Illinois.

Peter Krol

Manager, Examinations, Compliance, NFA

Peter Krol is a Manager in the Compliance Department of NFA. Mr. Krol joined NFA as a Staff Examiner in January of 2006. Ms. Krol graduated from Marquette University in Milwaukee, Wisconsin, with a Bachelor's Degree in Business in 2004 and a Master's of Science in Accounting in 2005.

Valerie O'Malley

Director, Compliance, NFA

Valerie O'Malley has been a Director since November 2014 in the Compliance Department of National Futures Association (NFA), the premier independent provider of innovative and efficient regulatory programs that safeguard the integrity of the derivatives market. Ms. O'Malley joined NFA as a Staff Examiner in June of 2004. Ms. O'Malley graduated from University of Illinois, Champaign/Urbana, Illinois, in May of 2004 with a Bachelor's Degree in Accounting, Certificate in Accountancy, and a Minor in Computer Science. Ms. O'Malley earned her Certified Public Accountant designation in 2005 and her Certified Fraud Examiner designation in 2013.

Regina Thoele

Senior Vice President, Compliance, NFA

Regina G. Thoele is Senior Vice President of Compliance at National Futures Association (NFA). Her current responsibilities include overseeing the Compliance Department's exam, investigation, financial surveillance, and risk management programs; working on enforcement cases; advising Members on compliance issues; assisting NFA Member committees; participating in industry conferences; and developing and monitoring Compliance Department goals. In addition, Ms. Thoele works with NFA's Legal Department to develop rules and interpretive guidance, makes presentations to NFA's Executive Committee and Board of Directors and to other outside organizations, and develops strategic plans and initiatives for NFA's Compliance Department. From July 1994 until March 1998, Ms. Thoele held the position of Arbitration Manager and was responsible for supervising staff and helping manage the Arbitration program. Ms. Thoele has also served as an adjunct faculty member at the Illinois Institute of Technology, where she taught a compliance course. Ms. Thoele attended Indiana University and received a B.S. degree in finance. Ms. Thoele also received her designation as a Certified Regulatory and Compliance Professional through the NASD Institute at The Wharton School, as well as her designation as a Certified Fraud Examiner through the Association of Certified Fraud Examiners.

Nicole Wahls

Manager, Investigations, Compliance, NFA

Nicole Wahls is a Manager of Investigations in NFA's Compliance Department. Ms. Wahls joined NFA as a Staff Examiner in 2011 and is a Certified Public Accountant and Certified Fraud Examiner. She attended the University of Illinois Urbana-Champaign where she received a Bachelor's degree and a Master's degree in Accountancy.

Dorothy Zielinski

Manager, Risk Management, Compliance, NFA

Dorothy Zielinski is a Manager of Risk Management in NFA's Compliance Department. Ms. Zielinski joined NFA as an Analyst in 2006. She received her Bachelor's degree in Accounting, Finance and International Business from Loyola University of Chicago.