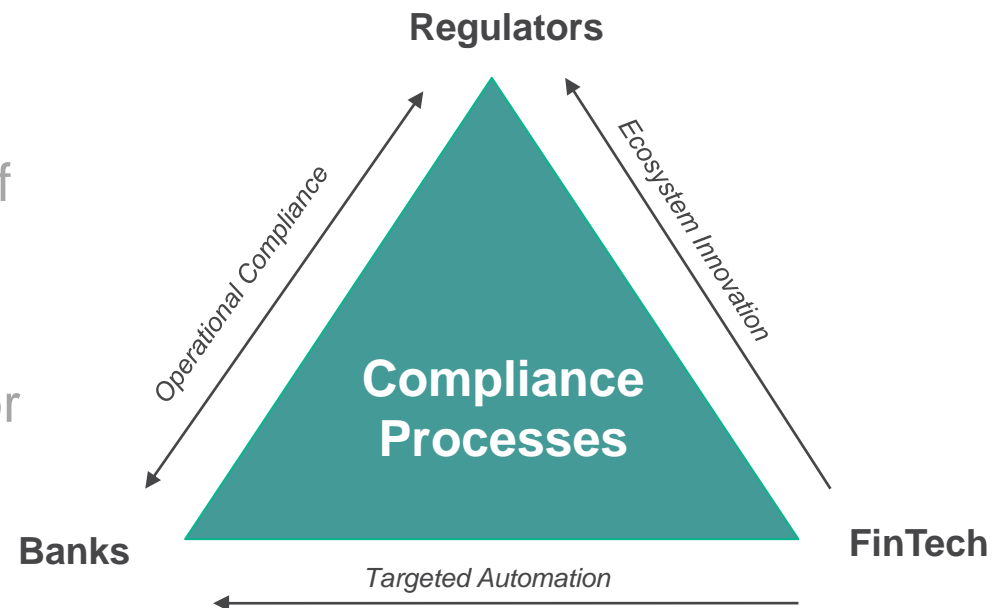


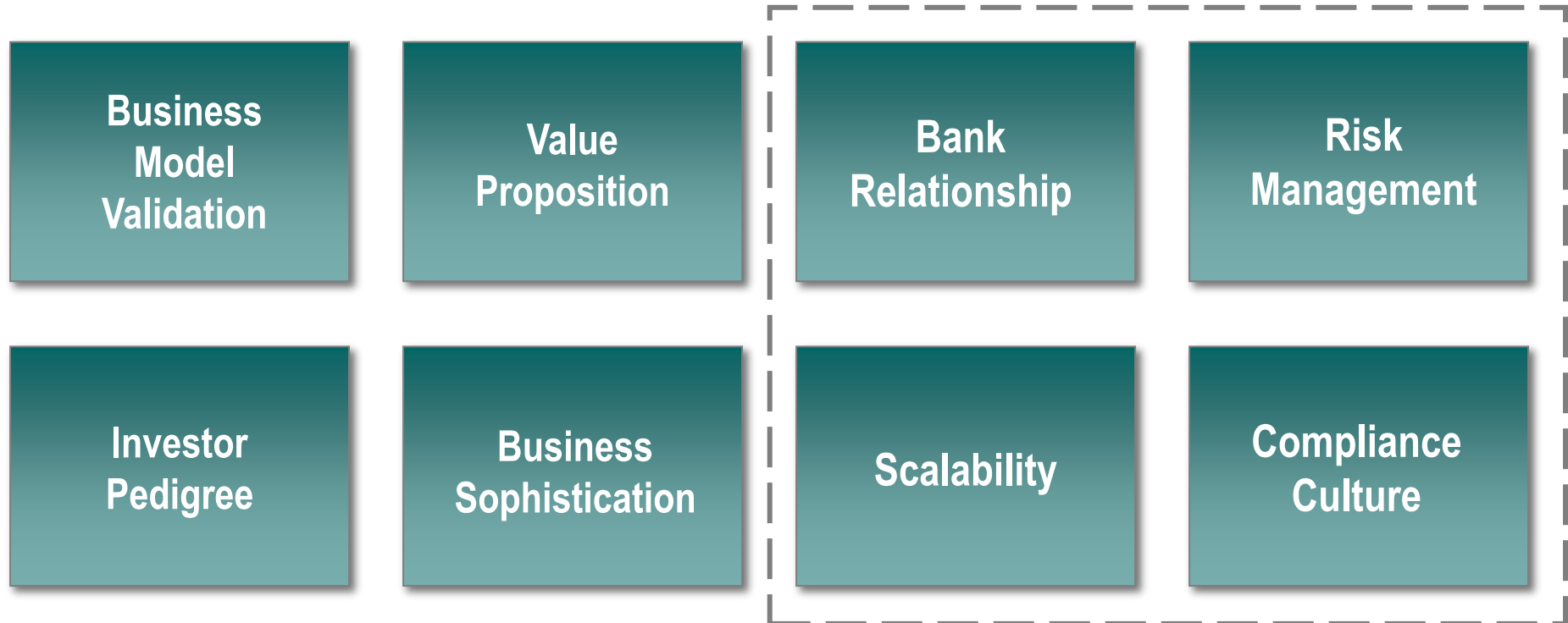
FIRMA | 32nd National Risk Management Conference

FinTech: Innovating
Financial Services
4/25/18



- Banks are beholden to their regulators
- FinTech seeks to ease burdens of complexity in compliance
- No regulatory FinTech standard or endorsement
- Incumbents maintain familiarity with stakeholders and regulators







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Recognized risk management expert with more than 15 years of experience in providing startups through Fortune 500 companies with strategy intelligence, advisory services and witness testimony. At Stratis, he manages an international portfolio of FinTech startups, money service businesses, financial institutions, government agencies, universities, and entertainment companies. Brian has served as an expert witness in domestic and global civil and regulatory matters related to anti-money laundering (AML) and digital currency compliance. He also serves as a consultant to SONY Pictures' Crackle streaming platform 30-episode series "StartUp."

Previously, Brian led Booz Allen Hamilton's San Francisco-based strategy and risk practice, advising boards of directors, audit and compliance committees, and executive management teams of financial institutions, money service businesses and global intelligence firms. Brian also serves as a guest lecturer at New York University's Law School and Stern School of Business on AML laws, regulations and digital currency compliance, and he is a frequent presenter at global risk, compliance and FinTech conferences. Brian has been featured in a wide range of publications including the *Wall Street Journal*, *CNBC*, *Fortune*, and *Bloomberg Businessweek*.

He is a member of the National Association of Corporate Directors, chairman of the ACAMS Chapter Steering Committee, and an executive board member of the award-winning ACAMS Northern California Chapter. Brian also serves as Mentor for the Investnet | Yodlee Incubator and Commerce Innovated Accelerator for FinTech startups. He is a Certified Anti-Money Laundering Specialist (CAMS) and Fraud Examiner (CFE). In 2014, Brian received Stony Brook University's Top 40 Under Forty Award.



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Brings 20 years of experience in business strategy, risk management, startups and investment funds to the company. She has launched and managed 11 new finance and technology ventures during her career. Prior to Stratis, Maria served as the head of R&D at SVB Financial Group, where she helped create several new business lines for long-term EPS growth. Before SVB, she was founding partner, chief investment officer and chief compliance officer of Green Alpha Advisors. Maria previously led investment research, portfolio management, product development and regulatory compliance at a boutique investment management firm with more than \$2 billion in assets under management.

Maria has also served as a C-level officer, Board director and investor at several FinTech and software startups. She started her career as a research analyst at the European Bank for Reconstruction and Development and the Federal Reserve Bank of San Francisco. Maria is a Chartered Financial Analyst, a member of the CFA Institute, and a member of the National Association of Corporate Directors. She has also served as a board member of the CFA Society of San Francisco and the Financial Women's Association of San Francisco. Maria also serves as Mentor for the Envestnet | Yodlee Incubator for FinTech startups.