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TRADING UP: Finra Loses Enforcement Chief; SLI Names Investment Head

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By John D'Antona

Buy Side

The Financial Industry Regulatory Authority said Brad Bennett will step down as chief of enforcement early in 2017. Susan Schroeder, deputy head of enforcement, will step in as acting chief while the regulator searches for Bennett's replacement.

Standard Life Investments, a global investment manager, has appointed Archie Struthers to the role of Head of Investments. Struthers will join Standard Life Investments on January 9th from Aberdeen Asset Management, where he was Global Head of Investment Solutions. Struthers will assume the responsibilities of Bill Lambert, Head of Investment Process who is retiring in March 2017 after 13 years at Standard Life Investments and 27 years in the investment industry. He will report to Rod Paris, Chief Investment Officer.

Michael Stewart will join the Credit Suisse to run equities in its global markets business, the core of its trading operation, according to a memo reviewed by The Wall Street Journal. Stewart currently sits at the intersection of UBS's massive wealth management franchise and its securities division, helping to bring the type of institutional level trading to wealth clients. Stewart previously oversaw global equities at UBS and before that at Bank of America.

Online investment algorithm platform Quantopian has named Marc Volpe as its chief financial officer. In his new role, Volpe will oversee the financial, administrative, and risk management operations of the company, the recordkeeping, and provide performance reporting to the company's clients and end investors, Quantopian said in a statement. Prior to joining Quantopian, Volpe was CFO of Fort Warren Capital Management, LP, where he assisted in the launch of the firm's hedge fund in 2014. He also served as the CCO at Regiment Capital, the multi-billion dollar credit hedge fund advisor, and began his career in the audit practice at PricewaterhouseCoopers.

Gene Lynch joined Wall Street Access as a senior vice president from New Albion Partners. Lynch will cover institutional accounts as a sales trader with a special focus on the listed option markets. Prior to New Albion, he was with Access Securities and headed option desks at Swiss Bank and Kidder Peabody earlier in his career.

KeyBanc Capital Markets landed Alex Jacobs as a managing director and head of the Food & Beverage Group. Jacobs brings more than 15 years of investment banking experience in the Food & Beverage industry, serving public and private companies across the sector as well as private equity firms active in the space. Prior to joining KeyBanc Capital Markets, he served as a managing director at BMO Capital Markets where he focused on the Food & Beverage sector and advised clients on all aspects of corporate finance, including mergers & acquisitions and debt and equity capital raising. Previously, Jacobs was an investment banker for Banc of America Securities focusing on the Food & Beverage sector. He is based in Chicago and reports to Brad Swanson, managing director and head of the Consumer & Retail Investment Banking Group.

Themis Trading, a NJ-based agency broker, named **Scott Wilson** as a partner in the firm. **Wilson** joined Themis in 2011 as managing director covering accounts, bringing a breadth of experience ranging from

software development at Morgan Stanley and management consulting at McKinsey & Company, to over 20 years of equity trading. His equity experience includes position trading at Lehman Brothers, and algorithm development and sales at OptiMark and Piper Jaffray.

Mizuho Americas announced the further expansion of its North American corporate and investment banking business with three San Francisco-based hires responsible for further developing the firm's equity, M&A, financial sponsor and strategic capital-raising advisory offering in the technology sector with new and existing clients and major large cap and emerging growth companies. The three senior appointments include John Jansen as Managing Director and Head of Technology M&A Investment Banking, Matt Upton as Managing Director and Head of Software Investment Banking and Sugeet Madanas Managing Director, Technology Banking Coverage. Jansen and Upton report to Head of TMT Investment Banking Rich Gallivan. Madan reports to Avrum Spiegel, Head of Technology Banking Coverage for Mizuho.

Prior to Mizuho, Jansen helped grow the technology M&A practice at RBC Capital Markets. Upton joins from Nomura, where he was a Managing Director in Technology Investment Banking responsible for helping it become a top software acquisition financing firm in 2015. Madan comes from SunTrust, and brings over twenty years of business development and client advisory experience in areas including strategic capital raising, risk management and debt recapitalization with her to Mizuho.

DLL, a global provider of asset-based financial solutions, appointed Rod Versteegh as President of the Food & Agriculture Global Business Unit and Neal Garnett as President of the Construction, Transportation & Industrial Global Business Unit. Both appointments are effective January 1, 2017.

Versteegh will assume the role of President of DLL's Food & Agriculture (F&A) Global Business Unit after nearly 16 years with the company. Versteegh is a financing industry veteran with over 25 years of experience specializing in collections, risk management, operations, sales and general management. He most recently served as President of DLL's Construction, Transportation & Industrial (CT&I) Global Business Unit.

Neal Garnett will replace Versteegh as President of DLL's Construction, Transportation & Industrial (CT&I) Global Business Unit. Garnett joined DLL in 1998 and has held several commercial leadership roles in the business unit, including assignments in the USA and Europe. He most recently served as Senior Vice President and General Manager of the CT&I business unit's operations in Europe and Asia.