

# Executive Class Action Leadership



## STEVE CIRAMI, ESQ

VP, Head of Class Actions  
and Corporate Actions

Steve has **over 20 years** of class action industry experience ranging from attorney, to court-appointed class action expert, to Global Head of one of the largest class action claims administration companies. As the Head of Corporate Action and Global Class Action

Services, Steve is building on Broadridge's unmatched resources in the financial industry and its 10 years of complex securities claims filing services to expand its service offerings and enhance operational excellence.



## CHRISTI CANNON, ESQ

VP, Global Class Actions

Christi has **25 years** of experience in class action litigation, administration and asset recovery, including Executive leadership roles at a leading global claims administration company. With a litigation background in securities class actions and long-standing relationships in the industry, Christi provides informed, custom

solutions for client asset recovery via class action and collective proceedings worldwide, while helping deliver operational excellence to Broadridge clients.



## DARA VOGELMAN

VP, Product Sales

Dara leads Broadridge's sales and business development initiatives for Global Class Actions, bringing **over 15 years** of experience in financial services spanning global markets and Fintech solutions. Dara and her team are committed to helping brokers, custodians, asset managers and institutional investors

solve business challenges and implement industry-leading class action recovery programs, so they can fulfill their fiduciary obligations and focus on core objectives.

# Senior Class Action Leadership



## ELLEN RILEY

Senior Director, Operational Accuracy  
and Client Advocacy

Ellen has **more than 25 years** of complex claims administration experience, in-depth case knowledge and process expertise, making her an invaluable asset to the Broadridge Global Class Action Services team. She plays a key role in ensuring

Broadridge implements best practices and processes in claims preparation and submission. Ellen is a knowledgeable advocate for clients in litigation and settlement settings, where required, to ensure proper calculations and maximum payment.



## NAFIZUL HAQUE

Director, Operations

As Operations lead for Global Class Action Services, Nafizul brings **11 years** of significant complex class action subject matter expertise to bear on every client program. He has successfully blended data and technology with operations and quality assurance to promote accuracy and operational efficiencies

throughout our organization, with a particular focus on efficiencies in data onboarding and analysis, automated processes and client-facing tasks.



## BRIAN STONE, ESQ

Director, Client Services

Brian leads a team of Relationship Managers for Broadridge's class action asset recovery business. He brings **over a decade** of experience from the class action administration industry, where he held management positions at some of the leading global class action administrators. He has

managed operations teams that have distributed billions of dollars and overseen administrations in the United States, Canada, Europe and South Africa.



## KEVIN DOYLE, ESQ

Director, Client Services

Kevin has **9 years** of experience as a class action claims administrator, including in complex and high-volume administrations. He understands complicated claims and the work that goes into filing them, having successfully managed teams of 100+ attorneys who were responsible for reviewing claims. With a background including

law practice, Kevin is a highly responsive resource to Broadridge clients as he helps them decipher complex court and settlement requirements and turn them into complete and accurate claims to meet their business goals.



## Senior Class Action Leadership



### DAVID MALMSTROM, ESQ

Manager, Global Class Actions

David has a **decade** of complex litigation experience, with a primary focus on class actions and mass torts. His high-level qualitative and quantitative research experience allows him to monitor and analyze accurately the global securities litigation industry, drawing key insights to drive

strategy for the Broadridge Global Class Action Services team while developing Broadridge's global securities database.



### MICHELLE SMITH

Manager, Operations

Michelle, who has **15 years** of class action expertise, has made her career in managing some of the most complex and data intensive securities and antitrust class actions involving financial instruments at a leading global class action administrator. She has held client-facing, operational and quality assurance roles in

hundreds of class action programs. At Broadridge, Michelle works with our clients to ensure effective onboarding and data intake, manages our operational team and processes to ensure maximum recovery, and personally oversees the filing process of every antitrust settlement.

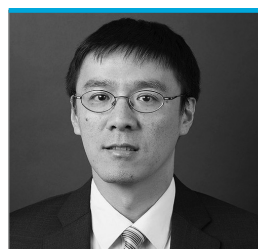


### ERIN JOHNSTON

Manager of Class Action Distribution,  
Payment and Operational Finance

Erin has **15 years** of class action expertise, most recently serving as a senior financial operations manager at a large legal administration company serving the global community. Erin's expertise lies in all things financial as they relate to the class action

process and, as such, supports Broadridge clients at the payment, reconciliation and distribution stage.



### FEI LU QIAN, ESQ

Senior Client Relationship Manager,  
Client Advocacy

Fei joined Broadridge with **more than 15 years** of securities class action litigation experience, representing public pension funds, Taft-Hartley funds, and other institutional investors in recovery opportunities. Fei has extensive experience in portfolio monitoring for institutional investors to

identify asset recovery opportunities through securities litigation and in evaluating opportunities to maximize asset recovery as a lead plaintiff, class member, or an opt-out/direct plaintiff. Given his experience, in addition to serving as a client advocate, Fei supports all Broadridge clients through the global opt-in litigation process.



### TARA TADDONI

Senior Client Relationship Manager,  
Client Advocacy

Tara, with nearly **15 years** of class action experience, brings her knowledge on all things class action to provide excellent client advocacy service to Broadridge. She has managed complex, multi-million/billion dollar settlements, including in the WorldCom, Bank

of America, and Citigroup Bonds cases. Tara's career in the securities litigation market has been distinguished by mastery of complex subject matter, exceptional responsiveness and high levels of client satisfaction.



### ED CRESPO

Director, Client Services

Ed has **35 years** of industry experience in corporate actions, mutual funds and class action operations, including over 20 years at Broadridge. He is highly experienced, maintaining a focus on ensuring premiere levels of client service. Ed works with some of the largest financial institutions in the

world to facilitate their investor communication and asset recovery needs.

## Product Specialist



### SAM CAUST

Account Executive, Sales

Sam has been with Broadridge for **more than 6 years**. He works with clients in North America, Europe and Asia to help them identify their global class action asset recovery gaps and to develop a streamlined recovery program that meets the business needs of their internal stakeholders and customers. Sam brings a

valuable background in institutional business intelligence and thought leadership for global fund managers to all of his client relationships at Broadridge.



### DANIELLE GENOVESE

Senior Account Executive, Sales

Danielle Genovese has been with Broadridge since 2012 and has worked with Global Class Action Services clients as a Product Specialist for **more than 8 years**. She partners with our clients to uncover new opportunities and implement global class action solutions to enable their business

objectives. Danielle is a trusted advisor to Broadridge GCAS clients across all industry segments worldwide.



### ROBERT MAROTTA

Director, Sales

Robert has **15 years** of experience at Broadridge developing and maintaining relationships with Buy Side Institutional Asset Management firms and Hedge Funds. He is an expert in the global class action recovery process from start to finish and has helped hundreds of clients implement Broadridge's

GCAS solutions to maximize their recoveries in this growing and dynamic space.



### RYAN MULLIGAN

Senior Director, Sales

Ryan has been with Broadridge for **16 years**. During his tenure at Broadridge, Ryan has helped Asset Managers, Hedge Funds, RIAs, Public Funds and other institutions implement cost-efficient automated proxy voting and class action solutions and workflow. He has over 23 years of Fintech

sales and relationship management experience, which allow him to quickly identify client needs in this space and offer solutions that are best suited to meet those needs.

## Operations and Client Advocacy



### STEPHANIE CARACCILO

Director, Client Services

Stephanie **joined Broadridge in 2001**, and brings a wealth of Mutual Fund distribution and relationship management knowledge to her current role. She currently manages the class action distribution process to ensure clients receive pertinent details for material case events, leveraging sophisticated technology

to automate the shareholder data retrieval and event notification process.



### CONNOR COCOPARDO

Operations Analyst

Connor has been with Broadridge since 2014. With **6 years** of experience, he manages the submission and reporting of claims for Broadridge Global Class Action Services. His extensive background in analytics and data allows him to guide clients through complex procedures and

regulations, both domestically and internationally.

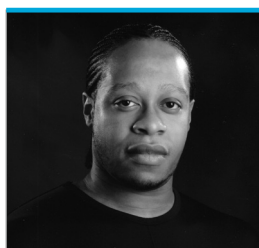


### JACK KEOUGH

Associate Operations Analyst

Jack has been with Broadridge since 2018. With **2 years'** experience drawing on his analytic skills and finance background, he determines best case practices, recommendations and strategies for the management of claims processes in

domestic and global antitrust cases.



### THIERRY L'AMOUR

Operations Analyst

Thierry has **16 years** of claims and noticing administration experience. As an experienced project manager in complex consumer and securities class action notice and settlement programs, he is proficient in program planning and execution.

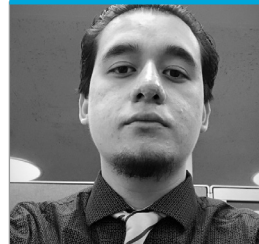
# Operations and Client Advocacy



**KATHLEEN MCGARVEY**

Relationship Manager

Kathleen has been with Broadridge since 2008 and has been a critical contributor to filings in many securities class action settlements. With **over 11 years** of GCAS experience, Kathleen consistently partners proactively with clients to ensure best-in-class client service.



**RAUL RAMIREZ**

Associate Operations Analyst

Raul has been with Broadridge since 2018. During his **2 years** with the GCAS team, he has worked with both the Client Service and Operation teams on numerous projects. As a highly proficient relationship manager, Raul effectively supports client solutions and has guided clients from their initial on-boarding through the ultimate distribution of their claims.



**OLIVIA ROMANO**

Senior Client Project Administrator

Olivia has been with Broadridge since 2015 and brings **5 years** of experience to the Broadridge Global Class Action Services team. She has managed class action distributions for hundreds of complex and high-volume cases. Her excellent communication and relationship-

management skills have resulted in deep relationships with the leading global Claims Administrators, which benefit Broadridge GCAS clients through enhanced access to settlement information and facilitated communications channels for escalations.



**SAANJEET PERSAD**

Senior Operations Analyst

Over the past **10 years**, Sanjeet has held pivotal operations roles in the legal claims industry. He brings deep insights and best practices to the planning and coordination of large complex cases.

Broadridge, a global Fintech leader with over \$4.5 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and intelligence. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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