

## Panelist Bios: Examinations and Enforcement of the Federal Securities Laws

**James V. Catano**, '11, *Partner, Dechert LLP* (Moderator)

James V. Catano has extensive experience counseling mutual fund complexes, investment advisers and insurance companies on a wide range of securities, regulatory, corporate, disclosure, transactional, and other financial services matters. These matters include complex fund reorganization transactions, the preparation of registration and proxy statements, ongoing compliance and regulatory matters, and seeking exemptive, interpretive and no-action relief from the U.S. Securities and Exchange Commission or its staff. These matters also include the launch and operation of new fund products, including funds of funds and funds, that incorporate environmental, social and governance (ESG) factors into their investment processes.

Mr. Catano advises clients on the development, regulation, sale and administration of a variety of investment products, including open-end and closed-end mutual funds, money market funds, exchange-traded funds, and variable and fixed life insurance and annuity products. In addition, he advises boards of directors/trustees of U.S. registered investment companies on fund governance and fiduciary matters.

Mr. Catano is an adjunct professor at the Catholic University of America, Columbus School of Law, where he teaches a course on mutual funds and investment advisers.

### Education

- University of Virginia, B.A., 2005
- The Catholic University of America, Graduate School of Arts and Sciences, M.A., 2007
- The Catholic University of America, Columbus School of Law, J.D., 2011

### Admission

- District of Columbia
- New York

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**Natasha V. Greiner**, '01, *Interim Acting Co-Director, Division of Examinations, Securities and Exchange Commission*

**Natasha V. Greiner** is the Co-Acting Director, Deputy Director and National Associate Director for the Investment Adviser/Investment Company Examination Program within the SEC's Division of Examinations. Prior to these roles, she was the Acting Chief Counsel and an Assistant Chief Counsel in the SEC's Division of Trading and Markets' Office of Chief Counsel where she provided legal and policy advice on matters affecting various market participants, including broker-dealers and self-regulatory organizations, and the overall operation of the securities markets. Prior to joining the Division of Trading and Markets in 2012, Ms. Greiner worked in the SEC's Division of Enforcement where she was the lead attorney in various enforcement matters involving complex institutional and retail trading, market manipulation, municipal bonds, accounting fraud and insider trading. Prior to her time in the Division of Enforcement, Ms. Greiner was a lead examiner in the SEC's Office of Compliance Inspections and Examinations where she led and conducted targeted examinations of broker-dealers on issues such as best execution, anti-money laundering, mutual fund sales, structured finance and analyst conflicts. Ms.

Greiner earned a J.D. from The Catholic University of America, Columbus School of Law, and a B.S., cum laude, from James Madison University.

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**Jack Delaney, '09, Chief Compliance Officer, Mason Investment Advisory Services, Inc.**

Jack Delaney is the Chief Compliance Officer and In-House Legal Counsel at Mason Investment Advisory Services, a \$10+ billion wealth management firm based in Reston, VA. Mr. Delaney has over a decade of experience counseling investment advisers, investment funds and broker-dealers. Mr. Delaney joined Mason in August 2023 and is responsible for the firm's legal and compliance functions. Prior to that, Mr. Delaney was Chief Compliance Officer and Senior Legal Counsel at Cboe Vest Financial in McLean, VA. Mr. Delaney also held in-house positions at NRECA, The Rock Creek Group, and has served as an attorney in private practice.

Mr. Delaney began his career in FINRA's Office of Fraud Detection and Market Intelligence as a regulatory analyst. He earned his law degree from The Catholic University of America Columbus School of Law and is a graduate of the University of Virginia's McIntire School of Commerce, where he received a Bachelor of Science in commerce with a concentration in finance. He is a member of the Virginia State Bar.

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**Kevin M. Gleason, Chief Compliance Officer, Mainstay Funds and InexIQ ETFs**

Head of Fund Compliance  
Chief Compliance Officer MainStay Funds  
Chief Compliance Officer IndexIQ ETFs  
New York Life Investment Management

Mr. Gleason is the Chief Compliance Officer for MainStay Funds and IndexIQ ETFs. He has over twenty years of legal and regulatory experience holding senior-level positions at several different global Fortune 500 diversified financial services organizations. He has transacted business internationally traveling throughout Asia, Europe, and to the Middle East. He is a graduate of the University of Notre Dame. He holds a JD/LLM in Financial Services Law. He completed an MBA at the University of Chicago. Mr. Gleason sits on the boards of a variety of non-profit organizations. He is a frequent speaker at and contributor to industry committees, conferences, events, and publications.

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**Anthony S. Kelly, Partner, Dechert LLP**

Anthony S. Kelly, a former Senior Officer in the SEC's Division of Enforcement, focuses his practice on securities enforcement, compliance, and regulatory matters, with an emphasis on matters concerning the asset management industry.

Prior to joining Dechert, Mr. Kelly served as Co-Chief of the SEC Enforcement Division's Asset Management Unit. In this role, he led a nationwide unit of attorneys, industry experts, and other professionals responsible for conducting investigations across the asset management industry that

focused on investment advisers and service providers to mutual funds, ETFs, BDCs, private equity funds, hedge funds, and other investment vehicles. Mr. Kelly also worked closely with the SEC's Division of Examinations and Division of Investment Management.

During his 18-year tenure at the SEC, Mr. Kelly supervised and conducted enforcement investigations covering a wide range of issues, including fund valuation, distribution and 12b-1 fees, conflicts of interest, fund governance, the 15(c) process, best execution, insider trading, manipulation, investment adviser and broker-dealer registration, and whistleblower retaliation. He also worked with multiple U.S. Attorneys' Offices conducting parallel criminal and SEC investigations. In recognition of his SEC service, Mr. Kelly was awarded the Chairman's Award for Excellence and the Ellen B. Ross Award, which acknowledge his exemplary commitment and performance in enforcing the federal securities laws.

Mr. Kelly now represents entities and individuals in SEC and FINRA investigations and routinely advises asset managers on how to prepare for, navigate, and respond to exams conducted by the SEC's Division of Examinations. As part of his practice, he also conducts internal investigations and counsels clients on compliance and regulatory matters.

#### **Education**

- The George Washington University, B.B.A., Finance, 1999, summa cum laude
- Georgetown University Law Center, J.D., 2004

#### **Admission**

- District of Columbia
- Maryland

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#### **Jocelyn Near, Securities Law Program, Class of 2024**

Jocelyn Near is currently a 4E and certificate candidate in the Securities Law Program. Jocelyn graduated with a Bachelor of Arts in Musical Theatre from Siena Heights University in 2016 and has worked since graduation at Stradley Ronon Stevens & Young, LLP. Jocelyn is a Senior Law Clerk at Stradley in the Investment Management department and will be joining Stradley as an associate in Investment Management upon graduation.