

Uzi Rosha

uzirosha@gmail.com • 612.859.4920

Summary

- 16 Years of experience as a leader in financial regulatory compliance
- Created and managed global compliance and risk management programs for financial services entities regulated by: SEC, CFTC, FINRA, FCA, MAS, ASIC
- Frequent speaker in industry seminars
- Co-writer of a Broker/Dealer compliance handbook
- Executive level leader-
 - Direct reporting line to Cargill, Inc. Board of Directors
 - Member of the National Futures Association's Business Conduct Committee
 - Trustee on the Blake School Board of Trustees

Professional Experience

Cargill, Incorporated (Minneapolis, MN)

June 2007 - Present

Chief Compliance Officer (Cargill Risk Management and ETM),

February 2013 – Present

- Built compliance team and program - driving Cargill Inc. compliance with international regulatory and legal structures
- Provider of independent oversight and coordination an institutional compliance program that promotes a culture of compliance and the highest standards of ethics, integrity and responsibility
- Oversee relationships with international regulating bodies (CFTC; SEC; FERC; FCA; MAS) and exchanges
- Conduct industry benchmarking and update the compliance program to continually align with regulatory developments around the globe
- Lead investigations and establish institutional response to alleged violations of rules, regulations, policies and procedures
- Create and lead the compliance training curriculum to the entire business, including trading desks, sales teams, operations and accounting
- Conduct risk assessments, develop and lead compliance testing program & prepare annual review to be filed with regulators
- Partner with business managers and report to senior management (including Board of Directors) with regards to the process of assessing and addressing compliance risks
- Manage outside counsel on variety of legal and compliance matters.

CarVal Investors, LLC (Minneapolis, MN)

June 2007– February 2013

Chief Compliance Officer

- Responsible for all compliance matters globally (Asia; North America; Europe)
- Managed relationships and lead interaction with global regulatory entities (SEC, FCA (UK), FSA (Japan), MAS (Singapore), and ASIC (Australia))
- Developed and oversaw the global compliance programs
- Managed registration of the Investment Advisor with the SEC
- Performed annual compliance reviews and mock audits
- Maintained awareness of on-going changes in laws and regulations (new ADV form, new form 13h, Dodd Frank)
- Reviewed and updated compliance manual policies and procedures to comply with all applicable securities laws, regulations, and directives issued by regulators and communicating material changes to all company employees
- Created and delivered global compliance training
- Provided legal and compliance advice on launch of new products and related business initiatives to ensure compliance with US, EU and other international securities laws and regulations
- Implemented on-going compliance testing program
- Managed AML for the US and UK entities.

BearingPoint (New York, NY)**Senior Manager, Compliance Group,****March 2006 –June 2007**

- Recruited and trained compliance team
- Project owner for compliance and IT projects with different broker dealers and investment advisers
- Projects included: structuring and initiating a firm-wide review of operational risk and compliance for a large investment bank; conducting testing of the compliance program; writing of policies and procedures for a large adviser; creating an Anti-Money Laundering program for a large bank; structured and oversaw the implementation of testing program for a large broker dealer.

Fulcrum Global Partners, LLC (New York, NY)**Chief Compliance Officer,****January 2005 - March 2006**

- Responsible for all compliance matters, including: SEC, NASD and NYSE Rules
- Acted as lead for the Firm in regulatory matters primarily involving the SEC, and NASD annual and special regulatory audits and inquiries
- Advised sr. management on different regulatory issues
- Supervise the licensing and registration of staff
- Managed outside counsel on litigation issues
- Provided legal analysis and advice on corporate governance issues
- Drafted and negotiated supply contracts with various vendors
- Lead Firm's internal education efforts with regards to compliance matters (e.g.: AML rules, Code of Ethic and new NYSE / NASD / SEC rules)
- Monitored all personal trading activities for compliance with regulatory and Firm restrictions.

Lehman Brothers (New York, NY)**Vice President, Co-Manager of the Control Room,****December 2003 – January 2005**

- Implemented the NASD, NYSE, SRO and SEC's Global Settlement, Research Analysts Independence, and Integrity Rules
- Recruited, managed and trained members of the Control Room
- Educated Research Analysts and Investment Bankers with regards to the Research Analysts Independence Rules and the Global Settlement
- Wrote and maintained the Equity Research Department Compliance Policy & Supervisory Procedures
- Maintained restricted / watch & quite list
- Managed disclosure of material non-public information through bringing employees "over the wall."

Bear Stearns & Co Inc. (New York, NY)**Associate Director, Legal & Compliance Department,****May 2001 – December 2003**

- Provided transactional and regulatory advice in support of senior management
- Part of the team creating, underwriting, purchasing, selling and trading of a variety of securitized and structured products
- Established a new group tasked with the implementation of the NASD, NYSE, SRO and SEC's Global Settlement, Research Analysts Independence and Integrity Rules
- Oversaw the Equity & Fixed Income Research Compliance Group
- Supervised and approved monitored ("chaperoned") communications between Research Analysts and IB personnel
- Wrote the Research Department Compliance Policy, Research Department Supervisory Procedures, Compliance Manual for the Investment Banking Department and Fixed Income Research Supervisory Procedures
- Member of the Firm's Stock Selection Committee.

Education

Columbia University, School of Law (May 2000) LL.M.

Tel-Aviv University, School of Law (March 1998) J.D.

Professional Certifications

New York State Bar, July 2001(passed) 2004 (admitted); Israel Bar Association, 1999 (inactive)

Series 4

Series 7, 24, 55 & 63 (to be re-activated)

Certified AML Officer (ACAMS)