

NIRI Rocky Mountain Annual Summit April 21, 2022

Investor Targeting Beyond the Sell-Side

The panel will discuss how three professionals leverage software and expertise to target potential shareholders. You will hear from a strategic advisory and communications firm that works with clients to access capital markets, how to leverage existing targeting software and how an existing IRO targets shareholders at their firm.

Panelists

Simon Rose, Chief Executive Officer at Rose & Co

A 25-year Wall Street veteran, Mr. Rose co-founded and served as the Chief Executive Officer of Dahlman Rose & Company, an investment bank focused on transportation, commodities and infrastructure. Under his leadership, Dahlman Rose grew from 6 to 200 employees across five offices in the United States and Canada and expanded its research coverage from a single sector to over 20 discrete sectors focused around the theme of our natural resource economy and supply chain. Mr. Rose advocated a collaborative and horizontally-integrated approach to research coverage which has since been widely adopted. The firm executed over 75 securities offerings for public and private companies, raising in excess of \$10 billion for its clients. Dahlman Rose & Company also acted as the sole advisor or co-advisor on numerous high-profile M&A transactions, including the largest public company acquisition in the history of the marine transportation sector. The firm was sold to Cowen Group, a publicly-listed financial services firm, in April 2013.

Victoria DeFina, Investor Engagement Specialist at NASDAQ

Victoria is a manager within Nasdaq's investor engagement practice, partnering with companies across a number of sectors and market caps on their investor outreach strategies. Prior to joining Nasdaq, Victoria was an Associate at Cambridge Associates, consulting Endowments & Foundations on the construction of their investment portfolios.

John Rea, Vice President, Head of Investor Relations at CSGS

John is Vice President, Head of Investor Relations at CSGS, a \$2 billion market cap company that provides SaaS solutions primarily for the wireless, cable and telecommunications industries. Additionally, Mr. Rea is also the Co-Head of ESG Reporting at CSG where he is tasked with the oversight of CSG's ESG program, which includes managing relationships with external ESG frameworks and ESG rating agencies. Prior to that, Mr. Rea worked in the investor relations department of Liberty Global for 9 years. Mr. Rea holds a B.S. in Finance and Accounting from Trinity University (San Antonio, TX), an MBA from CU-Boulder and received the CFA designation in 2014.

Finding the Low Hanging Fruit – How to Improve Your ESG Scores Without Publishing An ESG Report

Hunter will talk through her experiences in increasing firms ESG scores without publishing a designated ESG report.

Presenter

Hunter Wells, AVP, Investor Relations at The Hanover Insurance Group and Governance Ambassador for Rocky Mountain NIRI

Hunter Wells has a decade of Investor Relations experience creating and executing best-in-class IR programs for numerous companies across industry sectors. Hunter joined Century Communities, a top 10 national homebuilder, in December 2019 as the Vice President, Investor Relations. From 2017 to 2019, Hunter was the Manager, Investor Relations at Zayo Group Holdings, a communications infrastructure company, where her team was awarded the “Best IR Program – Telecom” in 2017 and 2018. Prior to her role at Zayo, Hunter was a Vice President at ICR, an integrated communications firm, where she handled IR operations for clients ranging in market cap of \$500 million to \$15 billion in the Consumer and Retail sectors. Hunter graduated from Northeastern University, Magna Cum Laude, with a Bachelor of Arts in Journalism.

Cybersecurity: Avoiding Internet Fraud

The current work environment leverages technology and internet access. Hear from industry experts on how to remain productive and secure in the current environment of ransomware attacks and various other tactics used by cyber criminals.

Panelists

David Banks, IRC, VP Investor Relations at Ping Identity

David Banks is a long-time communications practitioner, having spent more than 25 years in a combination of IR and corporate communications roles, including serving as IRO at four publicly traded companies. He currently is Vice President of IR for SendGrid, a digital communications platform that enables businesses to engage with their customers via email. Prior to SendGrid, Banks led IR for DigitalGlobe, Inc., a provider of earth imagery and analysis. Prior to joining DigitalGlobe, he was Vice President of IR at Fiserv, Inc. in Brookfield, Wisconsin. He led IR and corporate communications activities for First Data Corp. from 2000 to 2005 and spent 13 years with US WEST in both IR and corporate communications. He received his Investor Relations Charter (IRC) certification in 2016. He has been a NIRI member since 1996, including serving two terms as President of the Rocky Mountain Chapter of NIRI (2014-2016), and is currently a member of NIRI’s IRC Exam Development Committee. David holds a degree in journalism from the University of Northern Colorado and is a Colorado native. He is a crossword puzzle aficionado, runner, and musician.

Shawn Frederickson, Sr. Director of Security Governance, Risk, and Compliance at Ping Identity

With more than 25 years of security and technology experience, Shawn currently leads the Security Governance, Risk, Privacy, and Compliance teams at Ping Identity. In addition, he recently led the Cloud Operations teams which supported Ping's IDaaS

platform. He previously served as Director of Cloud Strategy and DevOps for MapQuest where he and his teams were responsible for the applications and infrastructure serving millions of customers and billions of transactions per day. Prior to MapQuest, he served as Senior Vice President of Information Technology and Network Operations for Viaero Wireless where he and his teams supported the deployment, security, and operations of the mobile subscriber network throughout Colorado, Nebraska, Wyoming, and Kansas. Before Viaero, he managed global operations and security for a division of Pearson which included 9 data centers across 7 different countries. Shawn holds a bachelor's degree in computer information systems from DeVry Institute of Technology and a master's degree in business administration from Keller Graduate School. He is also a Certified Information Systems Security Professional.

David Stauss, Partner at Husch Blackwell

As co-chair of the firm's Data Privacy and Cybersecurity Practice, David helps clients understand and comply with the complex maze of existing and emerging state, federal, and international privacy and information security laws. David regularly counsels clients on the European Union's General Data Protection Regulation (GDPR), the California Consumer Privacy Act of 2018 (CCPA), the California Privacy Rights Act of 2020 (CPRA), the Colorado Privacy Act (CPA) and the Virginia Consumer Data Protection Act (VCDPA). He also assists clients in preparing for and responding to data security incidents, including managing multi-state breach notifications. David's combination of trial experience and cybersecurity knowledge uniquely qualifies him to represent clients in litigation involving data security and privacy issues. He has handled numerous disputes involving complex information security issues, including wire fraud transfer schemes and data breach litigation. David holds a bachelor's degree from American University and a J.D. from Rutgers School Law-Camden. David is designated as a Privacy Law Specialist (PLS) by the International Association of Privacy Professionals (IAPP). The PLS designation verifies that David has met the IAPP and American Bar Association's rigorous experience and knowledge requirements and distinguished himself as a leader in the privacy law industry. David also is certified as a Fellow of Information Privacy (FIP) by the IAPP, a designation signifying comprehensive knowledge of privacy and data protection laws. He also has been certified by the IAPP as a Certified Information Privacy Professional in the laws of the United States (CIPP/US), the laws of the European Union (CIPP/E), and as a Certified Information Privacy Technologist (CIPT).

Moderator – Benjamin Treseder, Co-Treasurer of Rocky Mountain NIRI

Benjamin Treseder joined NIRI in 2019 and currently serves as Treasury Co-Chair for the Rocky Mountain NIRI Chapter. Benjamin has been in a role supporting businesses for 9+ years. Over the course of his career, Ben has helped companies manage solutions for Document & Print Management, Human Relations, and Investor Relations. Ben is currently an Account Manager for Broadridge Financial Services, representing Corporate Issuers on tasks relating to Annual & Special Meetings, Corporate Actions,

and Shareholder Communication. He enjoys the outdoors, has 2 dogs, and races a vintage Formula-V race car.