

William Jannace

Bayside, NY 11360, (917) 282-1034, wjannace@gmail.com, www.linkedin.com/in/williamjannace

Attorney, Consultant and Educator

Attorney, Consultant and Adjunct Professor/Lecturer with experience in: Capital Markets, Corporate Governance/ Shareholder Activism/Investor Stewardship, Corporate Social Responsibility/Environmental, Social, Governance and Impact Investing/Climate Change and Sustainability, State Capitalism/Sovereign Wealth Funds, AML/Economic Sanctions, Geopolitics/Geo-Economics, Statecraft, U.S. Foreign Policy, International Affairs, NATO and Grand Strategy:

PROFESSIONAL EXPERIENCE

Adjunct Professor/Lecturer

Aug. 2015 – Present

- FORDHAM SCHOOL OF LAW
- U.S. ARMY WAR COLLEGE
- BARUCH COLLEGE-CUNY
- METROPOLITAN COLLEGE
- GEORGETOWN GLOBAL EDUCATION INSTITUTE
- WHARTON BUSINESS SCHOOL
- BARD COLLEGE

Consultant/Expert Witness: Corporate Law and Governance, Broker-Dealer and Capital Markets Regulation:

- UNITED STATES TREASURY-OFFICE OF TECHNICAL ASSISTANCE
- THE WORLD BANK
- THE LONG-TERM STOCK EXCHANGE
- THE BATES GROUP
- ASIAN CORPORATE GOVERNANCE ASSOCIATION
- KENYAN CAPITAL MARKETS AUTHORITY

Professional Activities and Affiliations:

- THE INTERNATIONAL INSTITUTE FOR STRATEGIC STUDIES
- FLETCHER NETWORK FOR SOVEREIGN WEALTH AND GLOBAL CAPITAL
- THE BRETTON WOODS COMMITTEE
- FELLOW, CHARTERED INSTITUTE OF ARBITRATORS
- UN NGO COMMITTEE TO STOP TRAFFICKING IN PERSONS
- ARMY WAR COLLEGE FOUNDATION
- NATIONAL WWII MUSEUM
- SECOND INFANTRY DIVISION ASSOCIATION

FINRA; F/K/A NEW YORK STOCK EXCHANGE REGULATION

June 2001– Aug. 2015

Director and Counsel-Sales Practice Policy

- Supervised staff of professionals responsible for: writing rules and amendments to rules and providing interpretive guidance to FINRA staff and members regarding sales practice rules.
- Helped coordinate policy responses to new products and services (e.g. Private IPO market, bank sweeps) and business models (crowd funding).
- Participated in Regulatory Expert program regarding Research, AML, MSRB and Internal Controls violations.

- Analyzed 17d-2 and RSA agreements.
- Participated in FINRA-industry committee meetings and industry outreach programs.
- Processed statutory disqualification recommendations and represented FINRA at eligibility proceedings.
- Represented FINRA at expedited proceedings for violations of FINRA rules.
- Supported FINRA-IOSCO initiatives and its MOUs with foreign regulators, and conducted training programs internationally with US SEC.

Managing Director – Member Firm Regulation

- Oversaw NYSE rule development and policy initiatives including SRO Rule Harmonization, AML/Patriot Act, Outsourcing, ACATS, Electronic Communications, Branch Office Supervision and Structure, Internal Controls, CEO Certification/CCO Designation, Registration and Qualification Examinations, Margin and Net Capital, and Bank Sweeps.
- Drafted board summaries and made presentations at NYSE Board meetings.
- Participated in Disciplinary Advisory Committee and drafted interpretive request responses for NYSE rules.

Senior Special Counsel – Member Firm Regulation

- Drafted and amended NYSE rules including IPO Allocations, Research Analyst Conflicts, Branch Office/Supervision and Business Continuity rules.
- Worked with OFAC and SEC to help firms identify potential money laundering issues and to restrict terrorist financing post 9/11.

Other Experience

1980-2001

- Entrepreneur
- Proxy Solicitation/Corporate Governance Executive
- Securities Regulator-American Stock Exchange
- Capital Markets Compliance Officer- TD Securities and Smith Barney Shearson, Inc.

INTERNATIONAL EXPERIENCE

Instructor/Researcher-Courses/Topics: Securities Regulation, Capital Markets/Corporate Governance, International Arbitration, Social Philanthropy/Sustainable Development/Geopolitics/History.

IOCC-WESTERN BALKANS ASSESSMENT TRIP

September 2019

Serbia and Kosovo

EF COLLEGE STUDIES-D-DAY PROGRAM

June 2019

London, Normandy, Bastogne, Berlin

PILSEN LIBERATION FESTIVAL

May 2019

Pilsen, Czech Republic

WILLEM C. VIS INTERNATIONAL COMMERCIAL ARBITRATION MOOT

April 2019

Vienna, Austria

NEW YORK UNIVERSITY-SPS

May 2017

Geopolitics of Energy Development-Tel Aviv, Israel

KENYAN CAPITAL MARKETS AUTHORITY/USAID

Mar. 2017

Nairobi, Kenya

ROMANIAN SECURITIES AUTHORITY/WORLD BANK

Feb. 2017

Bucharest, Romania

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| IOSCO/PIFS-HARVARD LAW SCHOOL Madrid, Spain | Oct. 2016 |
| NEW YORK UNIVERSITY – SPS Economic and Security Program- Moscow, Russia | June 2016 |
| NEW YORK UNIVERSITY – SPS Sustainable Development Program-La Paz, Bolivia | Jan. 2016 |
| EAST AFRICAN COMMUNITY SECRETARIAT/USAID Arusha, Tanzania | Nov. 2014 |
| NEW YORK UNIVERSITY – SPS U.N. Geneva Program-Geneva, Switzerland | June 2014 |
| INTERNATIONAL CORPORATE GOVERNANCE NETWORK ESG Integration Training Program-Amsterdam, Netherlands | June 2014 |
| BURUNDI CENTRAL BANK/USAID Bujumbura, Burundi | Feb. 2014 |
| ALBANIAN FINANCIAL SUPERVISORY AUTHORITY/USAID Tirana, Albania | Feb.2013 |
| CAPITAL MARKETS BOARD OF TURKEY Istanbul, Turkey | Sept. 2010/2011 |
| JORDANIAN SECURITIES COMMISSION/ USAID Amman, Jordan | June 2010 |
| NEW YORK INSTITUTE OF FINANCE Beijing, China | May 2010 |
| TAIWAN STOCK EXCHANGE Taipei, Taiwan | Aug. 2009/2010 |
| SEC CAPITAL MARKETS DEVELOPMENT PROGRAM Bucharest, Romania | June 2009 |
| SEC/USAID CAPITAL MARKET DEVELOPMENT PROGRAM Kyiv, Ukraine | June 2008 |
| SEC/SEBI MARKET INTERMEDIARIES PROGRAM Mumbai and New Delhi, India | Dec. 2007 |
| FINRA/UK PROGRAM London, England | Sept. 2007 |

SEC/CMA MARKET INTERMEDIARIES PROGRAM
Riyadh, Saudi Arabia

May 2007

SEC CAPITAL MARKET DEVELOPMENT AND OVERSIGHT PROGRAM /USAID
Uganda, Africa

Feb. 2007

RUSSIAN SECURITIES COMMISSION AND STOCK EXCHANGE/USAID
Moscow, Russia

Apr. 2001

EDUCATION and CERTIFICATIONS

ASSOCIATION OF CERTIFIED ANTIMONEY LAUNDERING SPECIALISTS
Certified Member

Jan. 2017

SECURITIES INDUSTRY INSTITUTE/WHARTON BUSINESS SCHOOL
Certificate Program/Member of the Board of Trustees/Lecturer

2004 –2016

FORDHAM UNIVERSITY SCHOOL OF LAW
L.L.M.: BANKING, CORPORATE AND FINANCE LAW

1996

NEW YORK LAW SCHOOL; J.D.

1992

NEW YORK UNIVERSITY; B.A., ECONOMICS

1981

PUBLICATIONS

“The Oil Downturn: A Catalytic Moment for Renewable Energy?” By Mariana Liakopoulou and William Jannace, *Natural Gas World*, <https://www.naturalgasworld.com/the-oil-downturn-a-catalytic-moment-for-renewable-energy-ggp-79813>.

A New World Order: The Rule of Law, or the Law of Rulers? William Jannace and Paul Tiffany, 42 *Fordham Int'l L.J.* 1379 (2019). Available at: <https://ir.lawnet.fordham.edu/ilj/vol42/iss5/2>

“Bretton Woods 4.0 Finding New Relevance in a New World Order,” By Dr. Paul Tiffany and William Jannace, *Bretton Woods@75 Blog and Compendium*, February 2019.

“Accounting for Trade: President Trump and the Geopolitical Balance Sheet,” NYU-Global Affairs Perspectives on Global Issues, Spring 2017.

BAR ADMISSIONS

New York and Connecticut Bars

COMMUNITY SERVICE

Established:

Susan M. Jannace Scholarship-Fordham University, Anthony E. Jannace Scholarship-New York Law School
Mary and Anthony E. Jannace Scholarship-Fordham Law School