

Foundations for Fund Directors: In-Person Session

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FACILITATOR BIOGRAPHIES

Kathleen T. Barr

Kathleen T. Barr is an independent director and compliance chair for William Blair Funds, an independent director for Professionally Managed Portfolios, and an independent director for Muzinich BDC.

Before becoming an independent director, Kathie was co-owner and president of the former Productive Capital Management, Inc. She also served as senior managing director, chief administrative officer, and chief compliance officer for PNC Funds and the predecessor Allegiant Funds. Together with the adviser where she served as chief administrative officer, her responsibilities included compliance, financial, and regulatory administration, operations, and enterprise risk management. Before becoming chief compliance officer, Kathie had been responsible for distribution, marketing, and product management. Kathie has more than 35 years' experience in the financial services, asset management, and capital markets industries; a former licensure of FINRA 7, 24, 51, and 63; and holds a BBA from the University of Pittsburgh.

Kathie lives in Boca Raton, Florida, and Pittsburgh, Pennsylvania.

Erik R. Sirri

Erik R. Sirri is an independent director of the Natixis, Loomis Sayles, and Hansberger Funds, and is a professor of finance at Babson College. His research interests include the interaction of securities law and finance, securities market structure, investment management, and capital markets. From 2006 to 2009, he was the director of the Division of Trading and Markets at the US Securities and Exchange Commission, where he was responsible for matters relating to the regulation of stock and option exchanges, national securities associations, brokers, dealers, clearing agencies, transfer agents, and credit rating agencies. He served as the SEC's chief economist from 1996 to 1999 and was an assistant professor of finance at the Harvard Business School from 1989 to 1995.

Erik received his BS in astronomy from the California Institute of Technology, his MBA from the University of California, Irvine, and his PhD in finance from the University of California, Los Angeles. His published writings appear in academic journals, practitioner journals, and books. He has served on the boards of securities exchanges, mutual funds, industry associations, and foundations, and has consulted for securities firms, stock exchanges, mutual fund companies, issuers, and information vendors on a variety of regulatory and business matters.

Ronald E. Toupin Jr.

Ronald E. Toupin Jr. is an independent trustee/director and chair of the board of the Guggenheim Funds. The complex includes both open- and closed-end funds. He has been an independent portfolio strategist since 2010. Previously, he was vice president, manager, and portfolio manager of Nuveen Asset Management, Nuveen Investment Advisory, and Nuveen Unit Investment Trusts. Ron attended the University of Vermont and the University of Maryland.

Ron lives in River Forest, Illinois.