

## **ROGER MACHLIS**

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### **GENERAL COUNSEL / CHIEF LEGAL OFFICER FOR FINANCIAL SERVICES**

Expert in providing senior business managers with pragmatic strategic and legal advice on complex new products and services, as well as legal/regulatory compliance matters impacting the business. Trusted adviser who brings a global, real-world business perspective to providing high quality and effective legal advice and coaching/managing teams of lawyers and managers. Analyzes, manages and advises on legal risk and legal/regulatory change impacting businesses. Improves organizational efficiency through strategic management and managing the utilization of internal legal resources, outside counsel, and external legal contractors. Motivates/engages internal legal teams and increases productivity and quality of legal services through focused recruitment, career development, training and mentoring of talented legal professionals.

Legal Analysis/Advice • Strategic Advice/Mindset • Team Management • Legal Risk Management • Legal/Regulatory Change Management • People Management/Mentoring • Effective Communication for Multiple Stakeholders • Client/Stakeholder Management • Contract Negotiation • ESG/Sustainability • Cross-Border Matters • Corporate Governance • Investment Management Law/Regulation

### **PROFESSIONAL EXPERIENCE**

#### **EXOS FINANCIAL | New York 12/2024-current: Managing Director, Partner and General Counsel**

- Key member of partner management team providing strategic and legal advice to CEO, partners, and employees on various matters, including structuring and distribution of new products and services, transactions with counterparties including capital raising and financings, business strategy, corporate governance, litigation and other legal and regulatory matters
- Draft, review and negotiate legal documentation for various strategic, proprietary and client transactions, and new products and services.

#### **CREDIT SUISSE | New York 4/1997-3/2022**

**Managing Director and General Counsel for the Global Asset Management Division**  
9/2005-3/2022

#### **Relationship Management with Key Stakeholders**

Provided strategic/legal advice to senior management.

- Active participant in key leadership committees: Asset Management Divisional Management Committee, Risk Committee, New Products Committee, Controls Committee, and Regulatory Change Committee.
- Advised business, risk and compliance management on corporate governance, litigation, reputational and legal crisis management, and interactions with regulators, media, and other key stakeholders.

### **People Management**

Oversaw Global department of 45+ legal professionals. Managed teams on significant legal projects.

- Recruited, motivated, mentored, and retained legal talent.
- Supervised lawyers and established legal policies and processes (including outside counsel engagement).
- Chaired Credit Suisse General Counsel Americas Diversity and Inclusion Committee.

### **Expert Legal Advice**

- US securities laws (including Investment Company Act and Investment Advisers Act).
- Strategic transactions.
- Business and product development.
- Cross-border matters.

### **Managing Director and General Counsel Alternative Capital Division**

11/2004-8/2005 **Director and Co-Head Investment Bank Securities Division Legal**

**Team** 4/2003-10/2004 **Director and Deputy Head Americas Fixed Income Legal**

**Team** 1/1999-3/2003

**Vice President and Counsel to Emerging Markets Group** 4/1997-12/1998

## **ADDITIONAL RELEVANT EXPERIENCE**

**SCANLON RABINOWITZ & DAVIS LEGAL GROUP, PLLC | New York**

**Special Counsel**

**4/2022-11/2024**

**CITIBANK | New York**

**8/1989-3/1997**

**Senior Attorney to Cross-Border Finance Group**

**SIMPSON THACHER & BARTLETT | New York**

**12/1986-7/1989**

**Corporate/Banking Legal Associate**

**KPMG | Boston**

**8/1982-8/1983**

**Public Accountant**

## **TEACHING EXPERIENCE**

**THE WHARTON SCHOOL OF BUSINESS, UNIVERSITY OF PENNSYLVANIA  
(UNDERGRADUATE) Philadelphia Spring 2023/2024**

Teaching "Law and Social Values" course

**NYU STERN SCHOOL OF BUSINESS (UNDERGRADUATE)**

**New York Fall 2022/2023/2024**

Teaching "Professional Leadership and Development" course

**TEL AVIV UNIVERSITY COLLIER SCHOOL OF MANAGEMENT (MBA  
PROGRAM)**

**Tel Aviv, Israel Summer 2023**

Teaching "Navigating Complex Challenges in Business" course

**THE WHARTON SCHOOL OF BUSINESS, UNIVERSITY OF PENNSYLVANIA (MBA  
PROGRAM) Philadelphia Spring 2017/2018/ 2019**

Teaching "Responsibility in Business" course

## **ACADEMIC EXPERIENCE**

**NEW YORK UNIVERSITY SCHOOL OF LAW | New York**

**Doctor of Jurisprudence (JD) 1986**

**Moot court competition: best brief, oralist and overall competitor**

**THE WHARTON SCHOOL, UNIVERSITY OF PENNSYLVANIA | Philadelphia, PA**

**Bachelor of Science (BSE) 1982 (magna cum laude)**

## **CERTIFICATIONS AND AWARDS**

**ADMITTED TO NEW YORK BAR | New York 7/1987**

**CREDIT SUISSE CEO AWARD FOR STAKEHOLDER MANAGEMENT | Zurich 12/2019**