

Gary DeWaal
Brooklyn, NY
+ 1 347 328 3783
garydewaal@gmail.com

Experience:

Gary DeWaal and
Associates, LLC 2013-Present

Current Position President

Newedge
Fimat Group
Brody, White & Company, Inc. 1986-2012

Last Position Senior Managing Director and Group General
Counsel

- Oversaw global Legal, Compliance, Financial Crimes (AML) and Regulatory Developments departments.
- Member of the Global Executive Committee.
- Member, Board of Directors of CITIC Newedge Futures Co., Ltd.

Principal accomplishments:

- Organized and implemented transversal legal, compliance, AML (now FCP), and regulatory development departments following creation of Newedge in January 2008, including overseeing development of global, multi-asset terms of business and order execution agreements, and coordinating complex litigations and regulatory investigations.
- Played a major role in the management of numerous crisis, including coordinating governmental contacts and advising on internal and external communications strategy. Often served as a Firm spokesman.
- Played a major role in preparing for the creation of Newedge, including participating in due diligence activities, reviewing agreements and providing general advice.
- Ongoing helped develop and maintain positive relationships with international regulators, media, fellow managers and salespersons;

promoted and maintained an internal "compliance culture;" managed complex litigations; and advised on numerous business matters. Consistently helped develop innovative means to deal with business and legal challenges, as well as regulatory developments.

Prior positions
(all with Brody White)

President
Chief Operating Officer
Head of Internal Audit
General Counsel and Chief Compliance Officer

Principal Accomplishments:

- Helped restructure Brody White to make it more attractive for acquisition by Fimat.
- Helped stabilize functions Chairman and sole owner requested stabilization.

Also served as Senior Advisor to the CEO from September through December 2012.

Commodity Futures Trading
Commission

1982-1986

Last Position

Senior Trial Attorney

Principal Accomplishments:

- Developed and/or led major cases involving claims of wash sales, customer funds protection (e.g., Volume Investors) and manipulation.
- Implemented computer analysis of market offense claims.
- Self-taught many aspects of exchange-traded derivatives, including the Commodity Exchange Act and trading strategies.

Mudge Rose Gurthrie &
Alexander

1980-1982

Last Position

Associate

Principal Accomplishments:

- Worked on municipal and public authority debt offerings and leveraged financing transactions

Brooklyn Law School

at least 1998-2007

Adjunct Professor

- Taught annual course on derivatives trading and regulation.

State University of NY

At Buffalo, School of Law

at least 2007-2013

Practitioner Faculty

- Annual Guest Lecture
- Coordinate and lead annual seminar as Gary DeWaal Page 3 1/14/13 part of select students involvement in NYC Program in Finance and Law

Honors: Chosen as one of top five general counsel globally in all fields, 2010: International Law Office in association with the Association of Corporate Counsel.

Committees:

- Special Advisor, Board of Directors, Futures Industry Association
- Special Advisor, Executive Committee, Law and Compliance Division, Futures Industry Association
- Member, Technology Advisory Committee, Commodity Futures Trading Commission

Education:

- State University of NY at Buffalo

1980: JD and MBA degrees

Honors: Co-winner, Charles Desmond Moot Court Competition (1978)
Graduation with Honors (MBA)

- State University of New York at Stony Brook

1976: BA degree (double major: English and economics)

Honors: Graduation with High Honors (Magna Cum Laude)
 Phi Beta Kappa
 Omicron Delta Epsilon (international economics honors society)
 Co-received awards as the University's top overall graduating senior (1976) and junior (1975)

Frequent author (most recent articles only):

- "Dodd-Frank: Game Changer for Futures Brokers" (Futures Magazine, October 2010)
- "Time to Clean up after the Party" (The Financial Times, October 14, 2008).
- "America's Financial Regulation Needs an Overhaul" (The Financial Times, October 31, 2007).
- "Chicago's Merger Has to Protect the Users' Interest," (The Financial Times, November 15, 2006),
- "Streamlining Regulation" (The Washington Times, August 2, 2005).
- "America Must Create a Single Financial Regulator" (The Financial Times, May 19, 2005).

Frequent speaker (most recent engagements only):

- Moderator, "Derivatives Market Structure in 2018: How Might Analogous Historical Precedents Help Predict Evolution," American Bar Association's 2013 Derivatives and Futures Law Winter Meeting (March 2013);
- Panelist, China Overseas Futures Industry Inter-exchange Forum, China (Shenzhen) International Derivatives Forum (December 2012);
- Panelist, "Global Implications of This Brave New World," Information Management Network Conference regarding Derivatives Trading in the Era of Dodd-Frank's Title VII (September 2012);
- Co-Moderator: "Soup to Nuts: General Futures Overview," and Moderator: "International Issues," Futures Industry Association, Annual Law and Compliance Conference (May 2012);
- Panelist: "Commodities, Futures and Energy Issues," Securities Industry and Financial Markets Association, Annual Law and Compliance Conference (March 2012);
- Moderator: "Is the Customer Protection System Broken, and if So, How Can It be Improved," Futures Industry Association, Annual Futures Industry Conference (March 2012);

- Co-Moderator: "Soup to Nuts: General Futures Overview," Futures Industry Association, Annual Law and Compliance Conference (April 2011);
- Panelist: "Intermediaries: Dealers, FCMs and IBs," Columbia Law School: "Title VII of Dodd-Frank" Industry Forum (January 2011);
- Panelist: "Implementing Regulatory Reform," Futures Industry Association, Futures and Options Expo 2010 (November 2010);
- Panelist: "Dodd-Frank" International Regulators Symposium and Training Conference, Commodity Futures Trading Commission (October 2010);
- Panelist: "Managing Risk in a New Alternative Investment Landscape," Financial Times View from the Top Seminar (October 2010);

Committees:

- Futures Industry Association: Advisor to the Executive Committee and member, Law and Compliance Division Executive Committee (former President of the L&C Division).
- Securities Industry and Financial Markets Association: Member, Litigation Advisory Committee.
- Bar Association of the City of NY: Member, In-house/Outside Counsel Litigation Group.

Miscellaneous:

- Interests: Traveling, photography, cooking, racquetball, bicycling
- Frequently quoted by media on issues related to financial services