

# Dark Pools

## What are they? How do they impact my stock price? What can I do?

Please join us at Maggiano's on November 18<sup>th</sup>, 7:30AM to learn about Dark Pools. Dark Pools are growing dramatically and are having a meaningful impact on stock prices. However, responding to CEO/CFO questions about the stock price becomes difficult because dark pool activity is not "visible". This program will be a great opportunity to hear and learn from experts in the field. Our panelists will discuss the good, the bad, and the ugly about Dark Pools AND they will answer your questions. Don't miss this opportunity to learn and network.

### Speaker Bios:

#### 1) **John Adam, Issuer Services & Equity Capital Markets**

John Adam is a founding member of Liquidnet's Issuer Services and Equity Capital Markets team. He works with publicly traded companies to understand institutional investor sentiment via Liquidnet InfraRed and maximize their opportunities to raise capital or repurchase their own stock. He joined Liquidnet in 2002, and was responsible for the product management of Liquidnet's OMS/EMS interfaces as well as internal applications before moving into his current role. John developed his expertise in financial services and middleware technology at NEON, Sybase, and Slam Dunk networks and has over 15 years of industry experience. He holds a B.A. in International Relations from the Maxwell School at Syracuse University.

#### 2) **Tim Quast, Modern IR**

Tim is an Investor-Relations veteran and the founder and managing director of **Modern IR**, which tracks trading patterns for public companies. Founded in January 2005, Modern IR pioneered market-structure analytics, or the behavior of money behind stock trading, for investor-relations professionals. Previously Tim served as the first investor relations officer at SureWest Communications (Nasdaq:SURW), creating the strategic IR program, building an institutional shareholder base, and attracting substantial sellside coverage. Before that, Tim spent six years at retail investor-relations services company Informed Investors, Inc., where he was a co-founder, and President and Chief Operating Officer through its merger with Wilink Plc (PrecisionIR) in 2001. Tim began his capital-markets career in boutique investment banking at QBF Management Co., a private-banking British Virgin Islands firm, after earning a BA at Ambassador University in 1991. A NIRI member since 1996, Tim is a frequent speaker and commentator on modern equity trading. His quotes on modern trading have appeared in leading media including the *Wall Street Journal*, Bloomberg, *Financial Times of London*, Reuters, Dow Jones, *the Denver Post* and the *New York Times*.

#### 3) **Tyson McCabe, Thomson Reuters**

Tyson leads the Thomson Reuters' Special Situations Advisory Program which advises clients on would be dissident investors. As a Director at Thomson Reuters, Tyson has provided senior executives at a range of companies with capital markets and shareholder intelligence. Mr. McCabe possesses in-depth knowledge of shareholder activity, trading dynamics and shareholder activism. Mr. McCabe graduated from Union College with a BS in Industrial Economics.