



Vivian A. Maese

Executive & Award-Winning Attorney | Technology, Data, Regulation & Capital Markets| Corporate Governance | Innovator, Entrepreneur and Trusted Advisor

Over thirty years of merging business acumen with legal expertise at the frontiers of technology and financial services. Widely recognized for world-class performance on transformative transactions and projects such as the industry-wide implementation of the SEC's Consolidated Audit Trail (CAT), and for guiding both emerging companies and established financial giants to accelerate growth and innovation.

Globally recognized legal expert with accolades such as the Top 10 Legal Innovators by the *Financial Times*, Blockchain & Crypto-Asset Trailblazer by the National Law Journal, and Band 1 legal expertise ranking by Chambers. Selected from a national pool of women lawyers for Direct Women membership.

Career Highlights

- Built a global FinTech practice from scratch for Latham & Watkins, the largest law firm in the world, that was ranked by Chambers in Band 1 and individually recognized with a Band 1 ranking from 2019-2021 for handling complex transactions & consortia for Tier 1 banks, asset managers, trading venues and emerging companies.
- General Counsel & Corporate Secretary for BIDS Trading, LLP, a consortium of 14 of the most powerful banks in the world and influenced SEC market structure regulations.
- Advised and assisted the growth of many emerging companies to 10x plus valuations.
- Citigroup Divisional General Counsel for the Information Technology Division with a budget of \$2.5 billion and the Global Transaction Services with revenue of \$4 billion. Led a team of 50 attorneys globally.
- Recognized for leading technology implementation and transactions generating billions of dollars in enterprise value at Citigroup.
- Led teams for some of the largest financial merger integrations, including Salomon/Smith Barney, Citigroup, and Schroeder's
- Blazed and blazing a trail in the field of Technology & Intellectual Property Law as the first lawyer hired on Wall Street by Salomon Brothers Inc to address issues raised using new technologies.
- Entrepreneur who founded and raised capital for a digital asset technology company.

Experience

DataRights AI, Inc. Founder & Co-CEO

April 2024-Present

DataRights AI is a technology platform and productivity tool that helps companies commercialize their data assets.

Maese & Associates LLC Managing Partner

Sept 2021 – Present | New York, NY

Maese & Associates is a notable law firm specializing in FinTech transactions and regulatory advice.

Lead transactions and provide regulatory advice with a focus on FinTech, digital assets, AI, and trading and markets for bank consortia companies, CLO trading companies, asset managers, bank portfolio companies, and a joint venture transaction with Binance.

Ironlight Group Inc.

Nov 2021 – Nov 2023 | New York, NY

Founder & Board of Directors

Founder of the Ironlight Group, a firm specializing in digital asset technology. Ironlight's platform enables fund managers to use blockchain technology. Wrote white paper, selected team, raised capital and set up corporate infrastructure and broker/dealer license application.

Private Practice

Alston & Bird **Top Ranked FinTech Partner & Advisory Board Member**

Aug 2020 — April 2021 | New York, NY

Transactional and regulatory advice to tier-1 banks for portfolio investments in equities market structure companies, fund complexes, and emerging companies including the dissolution of an equity trading broker/dealer and ESG data monetization strategic alliance for a Tier 1 bank.

Cadwalader, Wickersham & Taft **Partner & Chair, FinTech Practice**

Jan 2019 – Aug 2020 | New York, NY

Introduced technology and blockchain legal expertise to the firm. Established practice and trained existing lawyers in the art of FinTech transactions bringing disparate and less productive disciplines into expansion.

- Established corporate relationships between the firm with Tier-1 banks and fund complexes. Built the team and provided advice to Tier 1 banks e.g. Facebook's launch of the Libra cryptocurrency.
- Strategic counsel to Tier-1 global bank regarding strategic alliance for data monetization of trading data. Advised and negotiated multiple complex transactions regarding technology and operations outsourcing for a multi-billion-dollar BDC.
- Advised Tier-1 Bank on the creation and monetization of definitive ESG data.
- Advised and negotiated a Tier-1 bank's investment in a fixed-income ATS.
- Evaluated and prepared a Tier-1 bank's CLO trading platform for spin-out.
- Led multiple cutting-edge digital assets projects and intellectual property transactions for a global bank.

Latham & Watkins **Partner & Co-Chair, Global Financial Institutions Practice**

July 2014 – Jan 2019 | New York, NY

Founded the FinTech practice and built a holistic, multi-disciplinary global practice that achieved a Band-1 ranking from Chambers USA. Widely known for playing a key role in the industry-wide implementation of the SEC's Consolidated Audit Trail.

- Established and built a global FinTech practice, worked with the marketing team, and hosted thought leadership dinners and monthly FinTech meet-ups bringing together start-ups and investors.
- Trained and mentored lawyers at the firm and hired new, skilled staff. The practice was recognized by Chambers as Tier 1 in FinTech.
- As lead counsel for Thesys LLC, steered the Latham team in the pivotal development of the SEC's Consolidated Audit Trail (CAT), revolutionizing tools for securities regulators.
- Met with regulators, and prepared the executive team for Congressional hearings, while advocating in Washington, D.C.
- Led multiple consortia transactions for Tier-1 banks and other enterprises, including a global Initial Coin Offering for a popular e-sports company.
- Collaborated with the World Economic Forum on leveraging blockchain for public good.

- Led and influenced cutting-edge corporate and intellectual property transactions for blockchain technology companies such as Blockchain.com, Axoni, and Synapse.
- Lead attorney on the sale of the second-largest fixed-income index business to a leading securities exchange including extensive data due diligence and monetization.
- Lead attorney on the formation of a joint venture between Palantir Technologies and Credit Suisse.
- Worked with the Obama Administration on its FinTech initiatives including attendance at the first FinTech Summit at the White House.

Dechert LLP
Partner

Aug 2011 – July 2014 | New York, NY

Created the firm's Outsourcing and Offshoring (O&O) practice.

- Provided a full scope of transactional and regulatory advisory services, including helping clients set strategic objectives and establish key alliances.
- Negotiated, drafted, and implemented O&O transactions, and provided regulatory compliance advice.

Leadership & In-House Counsel Roles

Morgan Stanley
Managing Director

Sept 2010 – Aug 2011 | New York, NY

A leadership role reporting to the COO. Led Morgan Stanley's strategic workforce in Baltimore, Scotland, Hungary, India, and China.

BIDS Trading
General Counsel & Corporate Secretary

June 2008 – Sept 2010 | New York, NY

A leadership and corporate governance role reporting directly to the CEO and Board of Directors.

- Managed all Board of Director meetings, built consensus, and advised the Board and executive team on all corporate governance, legal, and regulatory issues in the context of robust market structure rulemaking by the SEC and during the development of Dodd-Frank financial reform legislation.
- Hired outside counsel and reduced outside counsel expenses by approximately \$2 million.
- Led acquisition and integration of a market technology company in Calgary, CA
- Led the preparation & response to FINRA regular examinations.
- Represented BIDS before the SEC on various market structure regulatory initiatives.

NYSE/ Euronext
Senior Vice President

July 2007 – June 2008 | New York, NY

A leadership role, accountable to the President (later CEO) and the General Counsel at a pivotal moment in the Exchange's history.

- Led market structure modernization with the SEC and the Specialist Community after the acquisition of the Euronext exchange and the implementation of SEC Regulation National Market Structure.
- Hired and managed external counsel and related expenses.
- Contributor to U.S. Treasury report on US Competitiveness that gave rise to Dodd-Frank legislation.
- Worked with the SEC and CFTC to win approval for the first commodity ETF.

- Led the acquisition of Wombat, Inc., a market data platform.

Citigroup
Managing Director & Deputy General Counsel

July 1984 – July 2007 | New York, NY

Launched legal career at Salomon Brothers (later Citigroup) as one of Wall Street's first technology attorneys and over 23 years rose to Divisional General Counsel. Built and managed a world-class legal team focused on technology transactions for the Global Corporate and Investment Bank (SEC, FSA, and MAS regulated with a \$2.5 billion budget), and the Global Transaction Services Division (OCC regulated with \$4 billion in global revenue).

- Advised Senior Management and the CEO on bet-the-farm transactions and legal issues. Conducted internal investigations.
- Managed compliance matters and crisis communications, along with high-profile, public-facing issues and related public relations.
- Negotiated financial transactions with vendors, saving the company over \$500 million in expenses.
- Hired outside counsel and managed outside counsel expenses. Project manager for multiple global compliance implementations.
- Designed and developed a system and created a network for gathering global laws into a database for the Citigroup Legal Department.
- Advised concerning numerous trading systems in fixed income and equities including the formation of FIX.
- Participated in the creation of numerous consortia transactions and spin-outs, and in the development and growth of these portfolio companies (including the formation of Ipreo which sold for approximately \$2 billion) and themarkets.com (which sold for \$300 million). Led several merger integrations (e.g. Smith Barney, Citibank, Schroeder's).
- Brought the Ms. Foundation's Take Your Daughters to Work to Wall Street.

Education, Licensure & Awards

Education

Brooklyn Law School, JD | **Hunter College** | *BA in English & Economics, cum laude*

Licenses

U.S. Supreme Court • Federal District Court • New York State Courts

Awards & Accolades

Chambers Top Ranked FinTech Lawyer - 2019, 2020, 2021 • *Financial Times* - Top 10 Innovative Lawyers in North America • Direct Women Class of 2011 • Women in FinTech Power List • Legal Eagle Award from Markets Media Representing Women in Finance • National Law Journal Blockchain and Crypto Asset Trailblazer • Humanitarian of the Year 2018 from Hope for a Healthier Humanity

Board Positions

Ironlight Group Board of Directors • Hope for a Healthier Humanity Board of Directors • SVC Advisory Board Member • 18 Somerset Capital Management, Advisory Board Member