**About Battea**

**Team**

The Battea – Class Action Services team is comprised of talented professionals from a variety of backgrounds with advanced expertise in securities class action filing, including:

* technology and data infrastructure
* financial trading and transaction processing
* operations
* corporate actions processing
* prime brokerage; and
* technology sales and marketing.

The company, co-headquartered in San Francisco, CA and Stamford, CT, employs 25 professionals. Read below for biographies of some of our team members.

**Board of Directors**

**Peter Kilbinger Hansen**

**Chairman**

Peter Kilbinger Hansen is the Chairman of Battea - Class Action Services, LLC and Chairman of the Evest Companies. In his twenty-plus year career, he has founded several private and public companies (listed in AMEX and NASDAQ), including broker/dealers, a clearing corporation, and a leading US equity institutional stock-crossing Alternative Trading System (ATS). Under his leadership, the businesses processed significant daily market share volume, with daily transaction volumes in the billions.

Over the past 15 years, Peter has been a featured speaker for many brokerage and institutional investor conferences, discussing modernization of the equity marketplace, equity transaction processing, transaction cost, and effectively locating liquidity for transactions. He has also been featured on CNN globally, speaking on the topic of risk management.

With significant global operations, compliance and financial transaction processing experience, he has led several equity financings, including public and private offerings, and successful financings for major investment banks such as Morgan Stanley, Lehman Brothers, JP Morgan, UBS, Société Générale, Deutsche Bank, Wachovia, and ING. He has also led several acquisitions and divestitures.

As a private investor and financial technology entrepreneur, he continues to invest in financial services and technology companies. A native of Denmark, he holds economics degrees from Niels Brock Copenhagen Business College and the University of Copenhagen.

**Mark E. Donaldson**

**Managing Director and Co-Founder, Director**

Mark Donaldson is a Managing Director of Battea - Class Action Services, LLC, where he co-manages the company's operations. Prior to co-founding the company, LLC, he was a founder and Chief Financial Officer at Redwood Management, LLC, a San Francisco firm providing back-office services to broker-dealers and proprietary trading groups. Previously, he was the Chief Financial Officer at Headwaters Capital, a broker-dealer based in San Francisco, with offices in Chicago, New York, and Philadelphia, managing $500 million on the long side. Since 1996, he has served on the board of several smaller proprietary trading groups and holding companies in the securities industry. Mark holds a bachelor’s degree from University of Colorado.

**Jonathan R. Wade**

**Co-Founder, Director**

Jonathan Wade is one of the founders of Battea - Class Action Services, LLC. He developed the company's proprietary claims processing technology, the Claims Engine, and acts as chief developer, directing software engineering for the firm. He manages the fulfillment process and systems, in addition to relationships with all claims administrators. He is educated and well-versed in Oracle database technology and data management processes, with software development experience in multiple front-end database platforms. Prior to founding the company, he worked for Headwaters Capital, LLC, a broker-dealer with membership on all major US equity exchanges. He graduated *cum laude* from San Francisco State University.

**Mark Zinn**

**Director**

Mark Zinn is a Director of Battea - Class Action Services, LLC. Before joining the company, LLC, he was with Metro Link, where he raised angel- and first-round financing and developed the company's sales organization. Previously, he built and managed multiple professional trading operations for Pax Clearing in Chicago, New York and Florida. While at Donaldson, Lufkin & Jenrette, he established relationships with the top 100 businesses in Florida and executed for hedge funds. He has also raised capital for managed accounts and private placements, as well as managing multiple successful private offerings. Mark began his career with LF Rothschild & Oppenheimer Co. An alumnus of New York University Stern School, he has obtained his General Securities Principal Series 24 certification, as well as Registered Investment Adviser Series 65, 7, and 63 certifications.

**Lars Kragh**

**Chief Information Officer, Director**

Lars Kragh is the Chief Information Officer of Battea - Class Action Services, LLC. He is also a Managing Director of Evest Venture Partners, with over twenty years’ experience in financial technology. As a co-founder and executive at NYFIX, Inc., he held a variety of technical leadership roles throughout the company's history, most recently as Chief Information Officer from 1999 to 2006. Between 1991, when the company was founded, and 1999, he was Executive Vice President of Research and Development and held other technology management positions. As lead technologist for NYFIX, he managed a product portfolio ranging from equity Order Management Systems (OMS), market making workstations, trade routing engines, and network services.

With detailed knowledge of products' interaction, including cross-division values and overlap issues, Lars possesses in-depth equity industry knowledge spanning market structures, exchanges, broker/dealers, and asset management firms. He also possesses detailed design and architecture expertise across various subject matters, including transaction cost analysis (TCA), execution quality, networking, and display mechanisms. At NYFIX, he directed all production technology, including data centers and the overall network, and was responsible for mission-critical infrastructure vital to the financial industry. He has extensive experience with data system security, disaster recovery planning, and infrastructure development.

Prior to 1991, Lars developed network and transactional systems for the banking industry, involving numerous trading system integrations with global telecom and market data providers. Over the last 15 years, he has filed a number of patents involving innovative technical and business concepts. He holds a Master’s of Science degree in Electrical Engineering and Computer Science from the Technical University of Denmark.

**Adam Foulke**

**Senior Vice President, Business Development**

Adam Foulke is Senior Vice President, Business Development, at Battea - Class Action Services, LLC, and focuses on expanding Battea’s institutional market penetration. He was most recently with Dow Jones Risk and Compliance, where he was responsible for regulatory data and enhanced due diligence sales. Prior to Dow Jones, he worked at Kroll, Inc., where he built the Risk and Compliance due diligence practice. He also spent five years at Motley Rice, a securities litigation firm, as the Director of Business Analysis.

He began his career in the corporate governance field as a proxy analyst for Institutional Shareholder Services and then as a Senior Analyst at the NASDAQ stock market in the listing qualifications department. He has extensive experience in corporate governance consulting, market regulation, and due diligence solutions, as well as litigation analysis and business development for risk and compliance data.

Adam also serves on the board of directors for Pardee Resources Company (OTC: PDER), a natural resources and energy management and investment company. He earned an MBA from Johns Hopkins University and a BA from Roanoke College. He is also a Certified Fraud Examiner (CFE).

**Management**

**Trent Calabretta, CFA**

**Vice President, Manager of Western US Sales**

Trent Calabretta joined Battea in 2009 and is in charge of managing the firm's existing relationships, partnerships, and new business initiatives in the western US. Prior to joining Battea, he was an Associate at Claret Capital, a private investment firm based in Dublin, Ireland. At Claret, he was responsible for the screening, analysis, and due diligence of US-based deal activity, representing investments in aviation, technology, real estate, transportation, and consumer products.

Trent began his career as an Analyst at Bloomberg L.P., and later transitioned to Bloomberg Tradebook LLC, where he managed buy-side relationships across various investment strategies. He holds a bachelor's degree in business administration from Pennsylvania State University and a certificate in financial analysis from New York University. A CFA charterholder, he is an active member of various charities, including the Guardsmen, Hedge Funds Care, and Boys & Girls Clubs.

**Jennifer P. Carberry**

**Vice President, Director of Marketing**

Jennifer P. Carberry is Vice President of Battea - Class Action Services, LLC, where she directs marketing and corporate communications for the firm. She is also a Managing Director of Evest Venture Partners, where she advised venture investments and corporate clients in the development of corporate communications, brand and marketing strategy, and marketing program execution. She has over a decade of experience in the financial and technology market segments.

Prior to joining Evest, Jennifer held senior marketing roles with two public companies in the technology space: Competitive Technologies, specializing in intellectual property licensing and technology commercialization, market assessment and valuation; and NYFIX, Inc., focused on automated trading and execution solutions for the financial services/institutional trading marketplace. In these roles, she directed marketing, investor and media relations activities.

She began her career in hedge fund markets, where she conducted research for a financial consulting firm specializing in alternative investments. She is a *cum laude* graduate of Columbia University.

**Christie Cellini**

**Vice President, Operations**

Christie Cellini is Vice President of Operations for Battea - Class Action Services, LLC. She heads up the firm’s efforts in analyzing case data, scouring the universe of securities litigation settlements for updates and new information. She also handles all administrator communications regarding client claims. Before joining Battea, she performed mutual fund accounting and financial reporting duties for Franklin Templeton. She holds a bachelor’s degree from California State University Sacramento and earned her MBA from the University of San Francisco.

**Vincent Curran**

**Chief Financial Officer**

Vincent Curran is Chief Financial Officer at Battea - Class Action Services. He has over 20 years’ executive and management experience at leading public and private institutions in the securities brokerage, capital markets, financial services, and real estate investment industries. His professional skills include strategic planning, finance, taxation, treasury management, accounting, debt compliance, financial reporting, operations, internal control, and auditing.

Prior to joining Battea, he served as a Chief Financial Officer at a private equity group. He held executive positions at Piper Jaffray (NYSE: PJC) and Morgan Joseph, two leading middle-market investment banks. At Morgan Joseph, he was Vice President, Finance and Operations. At Piper Jaffray, he was Vice President, Finance for the Algorithmic and Program Trading Group. He also served as Controller at Vie Financial Group Inc. (VIFI) and Vie Securities LLC, an independent broker-dealer until it was sold to Piper Jaffray.

He also served in various leadership roles, including Manager of Financial Analysis and Project Controller at Swerdlow Real Estate Group (a $2.5 billion REIT) and Internal Audit Manager at a NYSE-listed conglomerate. He began his career in public accounting at PriceWaterhouse. A Certified Public Accountant, Certified Internal Auditor, Certified Management Accountant and Certified in Financial Management, he earned an MBA, Phi Kappa Phi, from Northeastern University and a BS in Accounting from Rutgers University. He previously held Financial Operations Principal (Series 27), General Securities Principal (Series 24), General Securities Representative (Series 7), and Equity Trader (Series 55) securities registrations.

**Tim Dillon**

**Vice President, Sales**

Tim Dillon has over 15 years’ experience in the financial industry and joined Battea from Options IT, a provider of high-performance technology infrastructure services for hedge funds, proprietary trading firms, investment banks, and brokerages. Prior to that, he was Senior Vice President at JonesTrading, where he oversaw the firm's electronic trading sales effort. Previously, he was Vice President of Sales at NYFIX, where his focus was electronic trading and connectivity sales to the buy-side. His other prior experience includes sales and trading roles at Cantor Fitzgerald, Banque Indosuez (now Calyon, Credit Agricole CIB), and Credit Commercial de France. He earned a bachelor's degree from Mount St. Mary's College and is based in our Stamford, CT office.

**David I. Ganz**

**Senior Vice President, Operations**

David Ganz is Senior Vice President, Operations at Battea, where he provides leadership for Battea’s operations, with particular emphasis on class action filing activities. He joined Battea from the leading class action administration firm the Garden City Group, Inc. (“GCG”), where he spent over ten years in a variety of operational leadership roles. While at GCG, he played an integral role in the development and implementation of the firm’s first US patented technology in the claims administration space. He also created and managed the firm’s electronic claim filing process, in addition to the project lifecycles for multimillion-dollar securities class action settlements.

At GCG, David earned a strong reputation for his customer service and ability to establish and maintain working relationships with financial institutions across the country. He developed standard operating procedures and protocols to ensure compliance and maximize the quality, productivity, and efficiency of internal project teams and business units across multiple offices. He earned a bachelor’s degree in Business Management with a concentration in Management Information Systems from Binghamton University in New York.

**Matt Garbee**

**Vice President, Client Services**

Matt Garbee is responsible for client services at Battea - Class Action Services, LLC. In this role, he guides new clients through the onboarding process, represents clients' interests internally, and coordinates with Battea resources and external providers to effectively address all ongoing client service needs. Prior to joining Battea, he was the Manager of Class Actions, Proxy Administration, and Mandatory Corporate Actions at AllianceBernstein. Previously, he was an Analyst in the Financial Planning and Analysis Department at GE Asset Management. He holds a bachelor's degree in Business Administration from Colorado State University and is based in our Stamford, CT office.

**J. Timothy Garland**

**Senior Vice President, Finance & Operations**

J. Timothy Garland, CPA is Senior Vice President, Finance and Operations at Battea – Class Action Services. He has over 20 years’ experience in financial and operational leadership roles in the financial services industry and with technology providers to the financial community. Prior to joining Battea, he was the Chief Financial Officer of FXDirectDealer LLC, a retail foreign exchange dealer and member of the National Futures Association.

Earlier in his career, he held the position of Executive Vice President and Chief Financial and Administrative Officer at M.W. Marshall, Inc., one of the preeminent global inter-dealer brokers specializing in currencies, repos, and other financial instruments traded among banks and financial institutions, where he was responsible for all regulatory, financial and administrative functions. An expert in strategic planning and operations, Timothy served as a member of the London-based parent company's international Board of Directors.

Following this, he participated in the successful launch of a software provider to the financial services industry. As Chief Financial and Administrative Officer, he was instrumental in the development of the business plan that facilitated the completion of two rounds of venture capital financing. He also served as the Chief Operating Officer of Hays & Company LLP, a New York City-based firm of certified public accountants, where he was responsible for managing all financial and administrative matters of the firm’s practice. He began his career at PriceWaterhouseCoopers LLP. A member of the American Institute of Certified Public Accountants and the New York State Society of Certified Public Accountants, he also holds the Series 3, Series 7, Series 24, Series 27 and Series 34 securities licenses. He graduated with honors from Lehigh University, where he earned a Bachelor of Science degree in Accounting.

**Sam Hensley**

**Vice President, Administration Services**

Sam Hensley serves as Communications Manager in our Operations Department. Based in San Francisco, he focuses on securities class action claims analysis and filing, working closely with claims administration firms. Prior to joining Battea, he served as Director of Operations for a long/short hedge fund and as a trader (and previously portfolio analyst) with Thomas Weisel Asset Management. He has also held positions in the front, middle and back offices with asset management firms, a shareholder services company, and brokerage firms. He earned a master's degree in finance from Golden Gate University and received his BS in finance from Santa Clara University.

**Timothy Hofer**

**Senior Vice President, Legal Counsel**

Timothy M. Hofer is Senior Vice President, Legal Counsel for Battea - Class Action Services, LLC. He has extensive experience working with private and public venture capital-backed companies. From March 2005 through February 2011, he was employed by a FINRA-registered broker-dealer and a venture capital biotechnology incubator, where he was Senior Vice President, Legal Affairs. From July 2000 until March 2005, he was an associate in the Mergers & Acquisitions/Private Equity practice group of the New York office of the law firm O'Melveny & Myers LLP, and its predecessor, O'Sullivan Graev & Karabell, LLP. He received his B.A. in Political Science from the College of the Holy Cross and his J.D. from Fordham Law School, where he was a member of the Fordham Law Review. He is admitted to the bar in New York.

**Keith McComb**

**Vice President, Operations**

Keith McComb is Vice President, Operations; he works closely with Battea's research, claims filing and tracking, technology, and customer service teams to enhance Battea's operational efficiency. He has extensive experience in the securities class action space, joining Battea from Rust Consulting, a leader in class action notification and settlement administration. In his ten-plus years with Rust Consulting, Keith spearheaded a number of initiatives in electronic filing, project management, and quality assurance, touching every phase of the securities claims administration process. His unique insight into the claims processing and disbursement process is an asset to Battea. A *cum laude* graduate of the New York Institute of Technology, he is based in our Stamford, CT office.

**Robert McMillen**

**Chief Security Officer**

Robert McMillen is Battea’s Chief Security Officer, responsible for data security and the design and implementation of the company’s data center and telecommunications infrastructure. He has over 25 years of experience building and supporting financial technology and infrastructure. Prior to joining Battea, he was a member of the management team at NYFIX, Inc., where he held various leadership roles, including Director of Applications Development and VP of Systems Architecture. He co-designed, implemented and supported six generations of the NYFIX Data Center, a leading financial trading network processing millions of real-time trading transactions on a daily basis. He designed and implemented the Data Center’s WAN infrastructure used on the NYSE floor and on NYFIX’s client trading desks in the buy-side and sell-side community. He was also responsible for the design, implementation, and support of the company’s Oracle and Sybase databases and EMC storage infrastructure.

Robert has worked for and consulted to a number of top financial firms and Fortune 500 companies, including Eastman Kodak, Donaldson Lufkin and Jenrette, Smith Barney, Reuters, Digital Equipment Corporation, JP Morgan, and SoftBank Corp. He has consulted to firms in international financial centers in London, Tokyo and Singapore. During his tenure with these firms, he designed, developed, enhanced, and implemented numerous trading and/or market data platforms.

**Mark Rousseau**

**Vice President, Software Development**

Mark Rousseau is Vice President, Software Development at Battea - Class Action Services. At Battea, he is focused on new product development and evolving Battea’s client reporting tools. He has over 20 years’ experience as a seasoned IT solutions architect and developer, over 15 years’ experience in the financial technology industry, and seven years’ enterprise experience in the transportation industry. He specializes in developing solutions to meet business needs. He joined Battea from FedEx Services, where he led technical efforts as a software architect and technical advisor. Previously, he held multiple technical roles in NYFIX in product development. With particular expertise in the FIX (Financial Information eXchange) Protocol, Mark’s vast experience includes programming electronic trading systems and data processing systems. He earned a master’s degree in Physics from the University of Maine and a BS in physics from the University of Connecticut.

**Bob Williamson**

**Vice President, Sales**

Bob Williamson has over 25 years’ experience in the financial services industry. Prior to joining Battea – Class Action Services, LLC, he held various sales and management roles in the financial technology space. While at Lava Trading, Bob marketed electronic trading systems and execution services to the sell-side brokerage community. Within 12 months, he became the top-producing sales person, and within 24 months, built the largest book of business within the organization, which was later acquired by Citi. Bob spent 12 years with NYFIX, Inc. In his role as Senior Vice President of Sales for NYFIX’s trading products division, he was responsible for sales and for marketing the firm’s trading platform, which was utilized by the financial community and became the dominant player in the listed trading executions and management space.

Bob began his career in financial services with VBand, a specialized telecommunications company. During his seven-year tenure as a Regional Channel Sales Representative marketing a highly specialized telecommunication system for traders at banks, brokerage firms and exchanges, he built an extensive contact network and won numerous sales awards. Bob earned a BS in Business/Economics from the State University of New York at Oneonta and attended the University of Copenhagen, where he received a Certificate of Participation in the International Business Program.

**International**

**Battea's exclusive agent for client support in Europe is Class Action Support Services Europe, S.L.**

**Kristian Engsig**

**Managing Director – Class Action Support Services Europe, S.L.**

Kristian Engsig is Managing Director of Class Action Support Services, S.L., Battea's exclusive support agent in Europe and the Middle East. Based in Copenhagen, he has more than 25 years’ experience in international business. A life-long entrepreneur, Kristian has founded several companies in Scandinavia, mainly within the sectors of retail and wholesale consumer products. Under his control, most of those companies grew to become market leaders within their respective fields of business. As part of his partnership with Battea, he focuses on expanding our Scandinavian presence while based in Copenhagen.

**Humberto Toro**

**Managing Director – Class Action Support Services Europe, S.L.**

Humberto Toro is Managing Director, Class Action Support Services Europe, S.L. Based in Madrid, he has over twenty years’ experience in international business in the sectors of energy, technology, real estate and finance. His experience varies from founding and managing startups to advising and participating in active investments in the US, Europe, Latin America and Asia. During his career, Humberto has advised and been involved in negotiations for deals for private individuals and government institutions in a variety of industries, including food and beverage, oil exploration, agriculture, and financial institutions, among others.

While living in Colombia during the 1990s, he partnered with and advised such Spanish companies as Empresarios Agrupados, Esmena, Duro Felguera, Cepsa and others in developing business in Latin American markets, including the awarding of seven exploration and incremental production deals from Ecopetrol, the Colombian state-owned oil company. In Panama, he advised the Panamanian government in its first privatization through the sale of the state-owned Citricos de Chiriqui to private investors. Most recently, in Asia, he has developed a technology project for Softbank in Japan and brokered a deal between the Shanghai Stock Exchange and a leading European telecom leader. He currently serves as advisor to New York M&A investment bank, Violy and Company. Some of his past and present involvements include serving as the CEO and Founder of Eurolink Network, Inc. and Eurolink Securities, US; Director of Century Pacific Limited, Hong Kong; and VP and Board member of Texas Oil and Gas, Ltd., Panama. He holds a B.S. in Economics from Northeastern University.

**Jon Steward**

**Managing Director – Class Action Support Services Europe S.L.**

Jon Steward is Managing Director of Class Action Support Services Europe S.L. Based in London, he has over 25 years of business experience in management, sales, and business development in the financial technology sector. Most recently, he served as Managing Director, EMEA for Charles River Development, a privately held software company providing portfolio management, compliance, trading, and risk monitoring to buy-side firms.

Previously, he was Deputy CEO and Managing Director for GL Trade, a leading trading technology and software provider headquartered in Paris. In 2006, GL Trade acquired NYFIX Overseas, where he had served as President and Managing Director since 1993. Jon played a lead role in the transaction and headed the integration and new business development efforts for the merged business. During his tenure at NYFIX Overseas, he was instrumental in building the company’s international operations in Europe and Asia/Pacific. Prior to NYFIX, he held senior executive positions with a number of major public companies within the financial markets. He holds a degree in Business Management and Marketing from Middlesex University in London.

**Patrick Gilchrist**

**Vice President, European Client Services**

Patrick Gilchrist focuses on international business development and client services initiatives for Battea. He has over a decade of experience in financial services IT and systems in both sales and account management capacities. At NYFIX, Inc., a technology and transaction services company serving financial clients, including banks, brokerage firms, and institutional investors, he managed a team responsible for relationships within the brokerage community. Key achievements included developing and executing the buildout and rapid growth of a network infrastructure between financial counterparties and establishing key partnerships to create additional sales channels for the firm. Patrick began his career in sales and marketing, specializing in major accounts and project management. He holds a bachelor's degree from the State University of New York at Oneonta.

**History**

**Our Story**

Battea – Class Action Services' entrepreneurial roots grew out of a proprietary trading firm. In the mid-1990s, a successful San Francisco options trading company began receiving numerous notices for securities class action settlements. The task of filing claims for these settlements fell under the responsibility of the firm's Chief Operating Officer at the time, Mark Donaldson. Bogged down by the volume and complexity of the task of filing claims, particularly with the massive trading volumes transacted by the firm, Mark decided there had to be a better way to effectively address the class action claims filing process. With that idea in mind, he turned to the firm's team of leading trading technologists to improve the process. At that time, the team was improving the processes of automating daily trade sheets and customizing position reports. They applied the same principles to automating award recoveries. The first large settlement award was from the 3Com settlement, and from that moment, Battea as an award recovery company was born.

By automating the securities class action claims process, the firm was able to dramatically increase its return on settlement assets while achieving significant efficiency and accuracy. Building on this, Battea principals subsequently designed the industry's leading end-to-end processing system that contains the specific rules of recovery for over a thousand settlement cases. In 2001, the company was spun out from the proprietary trading firm and embarked on class action claims filing for institutional customers.

From 2001 through 2008, Battea perfected its claims processing technology and expanded its customer base to more than 50 firms. In 2009, we partnered with a venture investor whose expertise was well-matched to Battea's strategic expansion plans. Since 2009, Battea has expanded its customer base to hundreds of institutional firms, including:

* hedge funds
* proprietary trading companies
* registered investment advisors
* sovereign funds
* pensions; and
* high-net-worth families.

Battea has continued to invest heavily in its infrastructure, including:

* significant technology investments
* acquisition of experienced talent; and
* implementation of operational best practices.

Today, Battea has offices in San Francisco, CA and Stamford, CT, with international support agents located in London, Madrid, and Copenhagen to service domestic and international clients.

**Our Clients**

**Battea Clients**

Battea – Class Action Services supports hundreds of clients with its industry-leading securities class action funds recovery service. Our clients represent some of the world's leading investors, including sovereign funds, investment management firms, hedge funds, proprietary trading firms, pension and endowment funds, and family offices.

Leading investors the world over choose Battea for its comprehensive securities class action funds recovery service. Battea boasts the industry's only SSAE 16-certified securities class action recovery service, in addition to SSAE 16-certified data center providers. With our secure online portal, we offer clients unparalleled transparency around the complex securities class action recovery process.

**Institutional Asset Managers**

Battea – Class Action Services delivers to its investment management clients a seamless and effective solution to the complex securities class action claims filing and recovery process. Battea's extensive technological infrastructure is equipped to securely handle massive volumes of trading transaction data and efficiently process settlement claims and recoveries. Our professionals understand the challenges that investment management firms face, particularly with respect to compliance requirements and their duties as fiduciaries to claim securities class action settlement funds due to their investors. Despite significant resources, investment managers typically lack the specialized means and necessary expertise to track the status of hundreds of securities class action cases pending each year. Battea's secure online client portal enables investment management clients to monitor their securities class action claim filings and settlement payouts. Battea has experience with helping mutual funds and unit trusts recover securities class action settlements as well.

**Pensions, Endowments & Foundations**Battea – Class Action Services provides pension and endowment funds with the answer to their securities class action settlement claims and recovery needs. Both pension and endowment funds represent significant assets on a global basis, with sizeable holdings in publicly traded securities. The tremendous assets represented by these funds can translate into significant recovery amounts from securities class action settlements, as a result of their sheer size. As a further complication, these funds can often have both significant trading activity and assets custodied at a variety of places. Battea's unique Claims Engine technology synthesizes and normalizes trade data from multiple sources, including custodians, in-house systems, and technology providers. This enables us to consolidate massive amounts of data and apply the individual rules from each settlement's Plan of Allocation to clients' consolidated trade data. As a result, we can help ensure the accuracy and completeness of settlement filings, resulting in successful recoveries.

Many of the world's leading public and private funds rely on the expertise of Battea – Class Action Services to effectively manage their securities class action settlement claims and recovery process.

**Hedge Funds**Battea – Class Action Services counts hundreds of hedge funds among its clients. We originally developed our service, and subsequent technology, to serve as an in-house solution to automate and improve the efficiency of securities class action claims filing and recovery for an options trading firm with a large proprietary trading component. With a background in the alternative investment arena, our professionals understand the challenges that hedge fund managers face, particularly with respect to compliance and their need to fulfill their duty as fiduciaries to claim securities class action settlement funds due to their investors.

Hedge funds and other alternative investment vehicles can have significant trading activity, making the already complex claims filing process even more difficult. Thanks to its unique Claims Engine technology, Battea is an expert in processing complex data, submitting it in approved form to the claims administrator, and following the individual rules from each settlement's Plan of Allocation.

Hedge funds, by their nature, tend to be very lean organizations. Securities class action claims filing often typically falls under the General Counsel's office, but in many firms, the Chief Operating Officer (who in many cases is also the Chief Compliance Officer) is tasked with overseeing this function. Because hedge fund Chief Operating Officers are usually assigned a multitude of functions, they lack the resources or expertise to track the status of hundreds of securities class action cases pending each year.

**Proprietary Trading Firms**

The concept for Battea’s securities class action recovery service grew out of our founder’s roots within trading operations for a prominent proprietary trading firm. Tasked with claims filing and faced with massive amounts of trade data, Battea’s founder conceived of an automated engine to systematically match trading transaction data with settlement Plans of Allocation, enabling an accurate and efficient platform for valuing and filing securities class action claims. Today, Battea counts a number of proprietary trading firms among its global client base. Coming from a background in proprietary trading, our founders intimately understand the inner workings of proprietary trading firms and how to process massive amounts of trading data to achieve accurate payments from securities class action settlements.

**Sovereign Funds**

Battea – Class Action Services works with some of the world's leading sovereign funds as their exclusive agent responsible for all of their securities class action settlement claims and recovery efforts. These investors, some of the world's largest asset holders, have vast holdings across a wide variety of financial instruments on a global basis.

Filing claims for sovereign funds can be complex because their gigantic assets can yield substantial recovery amounts in securities class action settlements. Battea’s Claims Engine can process gigantic reams of data, in addition to overcoming such hurdles as torrents of trading activity and multiple custody locales. With its professional expertise and advanced technology, Battea is uniquely positioned to handle these challenges.

**Family Offices**

Family offices often have significant securities investments. Battea – Class Action Services works with family offices and high-net-worth individuals to fulfill their securities class action claims filing and recovery needs. As a completely outsourced solution, Battea offers family offices the benefit of its extensive data infrastructure and notable industry knowledge to undertake securities class action settlement claims and recovery on their behalf.

**Partnerships & Associations**

Battea – Class Action Services is pleased to be affiliated with these organizations.

**The Managed Funds Association**

The Managed Funds Association (MFA) represents the global alternative investment industry and its investors by advocating for sound industry practices and public policies that foster efficient, transparent, and fair capital markets. MFA, based in Washington, DC, is an advocacy, education, and communications organization established to enable hedge funds and managed futures firms in the alternative investment industry to participate in public policy discourse, share best practices and learn from peers, and communicate the industry's contributions to the global economy. MFA members help pension plans, university endowments, charitable organizations, qualified individuals, and other institutional investors to diversify their investments, manage risk, and generate attractive returns.

**The Hedge Fund Association**

The Hedge Fund Association is an International not-for-profit industry trade and nonpartisan lobbying organization devoted to advancing transparency, development and trust in alternative investments.

HFA members includes hedge fund firms and global financial institutions with hedge fund offerings, including private banks, asset management firms, and broker dealers; investors, including funds of hedge funds, family offices, public and private pension funds, endowments and foundations, high-net-worth individuals, and allocators; and service providers, including prime brokers, administrators, custodians, auditors, lawyers, risk managers, technologists, and third-party marketers.

**The Connecticut Hedge Fund Association**

The Connecticut Hedge Fund Association (CTHFA) is a leading not-for-profit trade association dedicated to promoting the industry's growth locally and globally. Based in Fairfield County, Connecticut, the "hedge fund capital of the world," the CTHFA represents some of the largest hedge funds in the world and attracts hundreds of industry professionals to its highly rated conferences and events each year. CTHFA hosts a series of education, networking and charitable events throughout the year and produces the Global Alpha Forum, an investment management and economic conference that seeks to bring the spirit of Davos to Connecticut each year.

The CTHFA also fosters a sense of responsibility within our community by developing several philanthropic initiatives with our members each year.

The CTHFA's mission is to promote a favorable business climate for hedge funds operating within Connecticut and to provide networking and educational forums for our members and invited guests. The CTHFA has quickly become the leading forum for hedge fund industry professionals to share ideas and find solutions to improve our industry in Connecticut, as well as globally.

**The Texas Hedge Fund Association**

The Texas Hedge Fund Association (THFA) is a US-based association of hedge fund industry participants and other interested parties. The THFA is a regional trade association that represents the hedge fund industry throughout the state of Texas and surrounding states. Its membership is composed primarily of hedge fund managers and investment advisers, high-net-worth investors, institutional investors (pension funds, foundations, banks), fund of funds and industry service providers, such as administrators, auditors and accountants, attorneys, third-party marketers and others.

The primary objectives of the Texas Hedge Fund Association (THFA) are to (1) promote the understanding of the hedge fund industry and dialogue between the regional members of the investment community, through education and communication, and (2) encourage the maintenance of industry standards and professionalism to further enhance the growth of the industry.

**The National Investment Company Service Association**

The National Investment Company Service Association (NICSA) is the leading provider of independent education and networking forums to professionals in the global investment management community. It is a network of nearly 10,000 business professionals from the investment management industry and the firms that support the it, including mutual fund complexes, investment management companies, custodian banks, transfer agents and independent providers of specialized products and services. The Association consists of about 250 corporate member firms with over 600 member offices operating in major financial centers around the world.

**The National Society of Compliance Professionals (NSCP)**

The National Society of Compliance Professionals is a nonprofit membership organization dedicated to serving and supporting compliance officials in the securities industry. It offers practical and interpretive guidance on compliance-related matters; alerts its members to important regulatory developments; sponsors educational meetings that serve as forums for exchanging ideas and information; provides professional analyses and counsel in regard to securities laws and regulations authorized by the states, federal agencies and the SROs; and promotes professionalism among compliance officials within the securities industry.

**Hedge Funds Care**

Hedge Funds Care is an international charity, supported largely by the hedge fund industry, whose sole mission is preventing and treating child abuse. It has two goals:

* To raise as much money as possible to fund the programs for prevention and treatment.
* To showcase the philanthropy of the hedge fund industry.

This mission is accomplished by raising money and granting it to child welfare organizations throughout the United States, Canada, the Cayman Islands, and the United Kingdom. Hedge Funds Care is the only grant-making public charity that focuses exclusively on funding this cause. It fosters:

* education to enhance awareness and understanding of abuse and neglect for children, parents, and professionals in the community
* prevention services to at-risk children and families
* interventions for children who have been physically or sexually abused and support services to non-offending family members
* research on best practices in child welfare
* advocacy to improve child welfare
* training to equip paraprofessionals and professionals to provide child abuse prevention and treatment services.

**Alternative Investment Management Association (AIMA)**

AIMA Canada, a national group of the Alternative Investment Management Association (AIMA) in Canada, was formed in March 2003 to act as the voice of Canada’s alternative investment industry. AIMA is a not-for-profit international educational and research body that represents practitioners in hedge fund, futures fund and currency fund management—whether managing money or providing a service such as prime brokerage, administration, and legal or accounting tasks. AIMA's global membership is comprised of over 1,350 corporate members throughout 47 countries, including many leading investment managers, professional advisers and institutional investors.

AIMA aims to provide an interactive and professional forum for its membership and act as a catalyst for the industry's future development; to provide leadership to the industry and be its pre-eminent voice; to develop sound practices, enhance industry transparency and education; and to liaise with the wider financial community, institutional investors, the media, regulators, governments and other policy makers.

<http://canada.aima.org/>

**100 Women in Hedge Funds**

Founded in 2001, 100 Women in Hedge Funds is a global association of more than 10,000 professional women. Through the volunteer efforts led by its members, the group makes a difference in its industry and community with unique educational programming, professional leverage initiatives and philanthropy.

**EzeCastle Integration**

Eze Castle Integration is the leading provider of technology, consulting and IT services to the investment industry. The company's products and services include technology consulting, outsourced iT support, private cloud services, project and technology management, professional services, telecommunications, business continuity planning and disaster recovery, archiving, storage, colocation and internet service. Eze Castle Integration is headquartered in Boston and has offices in Chicago, Dallas, Geneva, London, Los Angeles, Minneapolis, New York, San Francisco, Singapore and Stamford.

**Conifer Securities**

Conifer's mission to provide customized middle- and back-office support to independent money managers. The firm offers fund administration, middle office and prime brokerage, execution services and business management services for money managers.

**The New York Hedge Fund Roundtable**

The Roundtable is a non-profit organization committed to promoting education and best practices in the hedge fund industry. The membership is comprised of investors, investment managers and other industry professionals who meet regularly to share insights and connect with like-minded colleagues. The Roundtable hosts events featuring a wide range of thought-provoking speakers, which provide its members the opportunity to garner useful information and exchange ideas. The Roundtable's goal is to create a forum for thought leadership where professionals can enhance their skills and network with others committed to advancing the industry along the highest ethical standards.

**Careers**

**Working at Battea**  
Working for Battea – Class Action Services, LLC is a unique and gratifying experience. Our environment is entrepreneurial—we strive to create the highest quality service for our customers and a dynamic and challenging workplace for our people. We pride ourselves on our superior work product and results, outstanding customer service, and integrity. We have ambitious growth objectives. If you are interested joining Battea, please submit your resume via our online application system. We look forward to hearing from you.

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