

# JAMES ROBERTS

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## CHIEF COMPLIANCE OFFICER / GENERAL COUNSEL

GLOBAL LEGAL STRATEGY | DIVERSITY & INCLUSION PROGRAM DEVELOPMENT | ESG EXPERTISE

Mission-driven executive and general counsel who produces sustainable organizational change while managing multifaceted daily operations of complex public companies with oversight of up to 100+ employees. Apply technology (cloud, data security, analytics, IoT, machine learning), legal, and operations experience with sustainability expertise to redefine operations and make companies more efficient and sustainable. Dedicated to opening opportunities for under-represented populations, breaking down barriers, and acting as an agent of change. Empathetic communicator and passionate advocate for the marginalized with deep understanding of other cultures. Known for ability to dissect complex topics into easily understood components during communication with executive teams—ensuring complete understanding that delivers meaningful and relevant collaboration and ideas from department leaders.

### Career Highlights

**DIVERSITY & INCLUSION CHAMPION:** Gained buy-in and adoption of new DEI initiatives and shapeshifted corporate culture for industry powerhouses with global footprint. Evaluated efficiency and effectiveness of current-state DEI initiatives and operational infrastructure and redesigned processes to deliver immediate impact and improvement.

**ESG & CORPORATE GOVERNANCE:** Formulated ESG strategy and administered program, from preparation of sustainability reports to leading execution and implementation of multinational, global launches of EST initiatives in XX countries.

### Executive Competencies

SEC Filings • Securities Exchange Acts of 1933 and 1934 • Investment Advisor Act of 1940 • Dodd Frank • ESG Relationship Development with SEC, NYSE, BMA, CBI, PRA, FCA, MAS

## PROFESSIONAL EXPERIENCE

### ABC GROUP, LTD. [NYSE: RE] | 2000 – Present

EXECUTIVE VICE PRESIDENT | GENERAL COUNSEL | CHIEF COMPLIANCE OFFICER | CORPORATE SECRETARY  
HEAD OF ENVIRONMENTAL, SOCIAL, & GOVERNANCE

Commissioned to manage claims for insurance entity and direct legal arm of global operations including law department, claims team, and financial team. Led teams in 6 countries to peak performance and cultivated strategic relationships with investor and regulators in Chile, Mexico, Columbia, Singapore, Australia and India. Provided direction and served in multiple capacities for 5 entities, stepping in as COO and General Counsel to optimize operations and harmonize people, strategy, and technology for clients across the globe. Tapped to define, direct, and continuously evolve robust corporate governance program and reporting structure under GRI, SASB and TCFD reporting standards.

- **Took the helm of legal department and marshalled global legal team spanning 24 counties** at ABC Group, Ltd., a publicly traded, "Top 7" multinational property and casualty insurer with \$10B capital base and \$30B in AUM.
  - Handled board and corporate governance, regulatory program direction, securities filing and reporting, risk management, and benefit/compensation issues.
- **Built diversity, equity and inclusion council and instituted employee resource groups.**
  - Retained top talent who expect work environments that support professional fulfillment, remove barriers to growth, and celebrate a shared culture that emphasizes employee engagement and inclusive hiring.
- **Mitigated climate risk exposure** after formulating and implementing comprehensive global climate risk evaluation methodology.
- **Piloted M&A evaluation and due diligence process as head of cross-disciplinary team for XX M&A transactions.** Negotiated pricing and contract terms for XX acquisitions.
  - **\$150M acquisition:** Negotiated terms, conducted due diligence, and devised integration plan.
  - **\$75M acquisition:** Spearheaded negotiations, underwriting review, and restructure of workers compensation and non-standard auto insurance company.
- **Optimized \$1B managed reserves portfolio** by aggressively negotiating several loss transfer terms and analyzing underwriting reviews.

### MANAGING DIRECTOR

Tapped to define strategy and direction for \$10B in capital for several (re)insurance operating companies from Bermuda to U.K. Marshalled teams in London, Ireland, Zurich, Singapore and Bermuda and oversaw underwriting, claims, actuarial, accounting, corporate finance, product development and legal functions.

- **Brought order to chaos and unified fragmented international business operating platform**, generating \$3B+ in gross reinsurance and insurance premiums.
- **Realized 55% YoY margin uptick** and 25% reduction in expense ratio after revamping structure.

### MANAGING DIRECTOR [2010 – 2022]

Appointed to serve as Managing Director for special purpose insurance vehicle offering insurance-linked securities to third-party capital investors. Built executive team from ground up—sourced, vetted, and selected entire C-suite, Lead Actuary, and Cat Modeler. Formulated 3-year strategic plan and growth roadmap to achieve lofty business objectives. Created multi-product offerings including property cat, casualty, mortgage portfolio and loss portfolio transfers.

- **Masterminded insurance-linked securities sidecar vehicle** that enhanced investor flexibility and catered to each investor's risk appetite.

### EARLY CAREER

#### Senior Associate | XYZ

- Lead trial counsel on insurance/reinsurance contract disputes, commercial and product liability, and real estate cases in state and federal courts.

#### Associate Reinsurance Counsel | 123 Group

- Lead trial counsel on arbitrations and litigations seeking collection of reinsurance recoverables on behalf of The ABC Insurance Co. in liquidation.

### PROFESSIONAL AFFILIATIONS

American Bar Association; NJ State Bar Association; NY State Bar Association  
 Chief Legal Officers Council  
 Association of General Counsel  
 Reinsurance Association of America

### EDUCATION & BAR ADMISSIONS

**Juris Doctorate** | University College School of Law

**Master of Laws (Tax)** | State University School of Law

**Master of Business Administration** | College University Business Schools

**Bachelor of Science in Accounting** | College University

Honors: *cum laude*

#### ***Bar Admissions:***

United States Supreme Court

United States Court of Appeals Third Circuit

New York and United States District Courts of NY Eastern and Southern Districts

New Jersey and United States District Court of NJ

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