

## **Maureen Upton, Board Member**

ESG, Extractives, ETFs



### **Board Director Seats**

ATAC Resources Ltd. (2022-Present)  
Janus Henderson, ETFs (2016-Present)  
Janus Funds (2003-2005)  
Denver Metro Chamber Leadership Foundation (2012-2014)  
Colorado Department of Public Health & Environment,  
Compliance Advisory Panel (2004-2006)

### **Board Committee Memberships**

Audit (Janus Henderson, Janus Funds)  
Nominating & Governance - Chair (Janus Henderson)  
Brokerage & Distribution - Chair (Janus Funds)  
Pricing (Janus Funds)  
Finance (Denver Metro Chamber Leadership Foundation)

### **Board Governance Credentials**

Corporate Boardbound – Women’s Leadership Foundation  
(forthcoming Sept. 2022)  
DDN 502 Systemic Cyber Risk Governance for U.S. Public Company  
Corporate Directors – Digital Directors Network (2022)

### **Corporate Management Positions**

Sustainability Advisor, World Gold Council  
Director of Public Affairs, Newmont Mining Corporation  
Principal Consultant, Sustainability & Economics, SRK Consulting  
Founder, Maureen Upton Ltd. and Resource Initiatives  
Associate, Equities Division, Goldman, Sachs & Co.  
Vice President, Latin America Marketing, Chase

Maureen Upton’s 35-year career includes 8 years of public company board experience on both corporate and investment company boards (mutual and exchange-traded funds) as well as 7 years on nonprofit and public-sector boards. She has overseen numerous ESG fund launches, cross-border M&A, lift-outs and divestitures.

Ms. Upton’s corporate management roles have been in mining (Newmont), investment management (Goldman Sachs) and commercial banking (Chase). She founded and maintains an international ESG consulting practice serving multinational corporations, with a focus on the extractive industries. For over 20 years, she has advised C-suite executives on projects spanning 6 continents, doing business in 3 languages (English, Spanish and Portuguese).

She holds an MBA in Finance and a Master of International Affairs in Economic Policy from Columbia University in New York, and a Bachelor of Arts in Philosophy from the University of California at Berkeley.

## Maureen T. Upton Curriculum Vitae

- 15 years of board experience in investment management, mining, nonprofit and public sectors
- 15 years as ESG consultant to multinational corporations and financial institutions, projects spanning six continents, doing business in three languages
- Sustainability Advisor to World Gold Council, Expert Reviewer of IFC-compliant resettlement plan, Lead Economist for World Bank framework on economic redevelopment, Author of publications on local supplier development
- MBA in Finance and Master of International Affairs in Economic Policy (Columbia University)

### EXPERIENCE

#### Public Company Governance

2022 – Present

**ATAC RESOURCES LTD**

*Vancouver, Canada*

Director

Member of Board of Directors of mineral exploration company with copper and gold projects in Canada (Yukon and BC) and the U.S. (Nevada).

2016 – Present

**JANUS HENDERSON FUNDS**

*Denver, CO*

Independent Trustee

Member of Board of Trustees overseeing Janus Detroit Street Trust (passive-indexed & active ETFs, including ESG funds) and Clayton Street Trust (variable annuities offered through Protective Life Insurance). Chair of Nominating and Governance Committee, Member of Audit and Pricing Committee.

2003 – 2005

**JANUS FUNDS**

*Denver, CO*

Independent Trustee

Member of Board of Trustees for Janus External Trust, overseeing management of sub-advised mutual funds in International and Value categories (sold to Phoenix Investment Counsel in 2005). Chair of Brokerage and Distribution Committee, Member of both Nominating and Governance Committee and Pricing Committee.

#### Nonprofit/Community and Public Sector Governance

2019 – 2021

**MONTVIEW BOULEVARD PRESBYTERIAN CHURCH**

*Denver, CO*

Member, Board of Deacons

2012 – 2014

**DENVER METRO CHAMBER LEADERSHIP FOUNDATION**

*Denver, CO*

Board Member

Oversaw largest leadership development initiatives in Colorado, Member of Finance Committee,

2004 – 2006

**COLORADO DEPARTMENT OF PUBLIC HEALTH AND ENVIRONMENT**

*Denver, CO*

Member, Compliance Advisory Panel

Appointee to State government panel assisting small business with environmental compliance.

## **Corporate Management and Consulting**

2017 – Present

**MAUREEN UPTON LTD.**

*Denver, CO*

Principal

Advise executive management on ESG strategy and implementation, socioeconomic impact and performance management for multinational corporations, investors, lenders and policymakers. Manage cross-functional consulting teams, collaborate with local and international nonprofits, community leaders and academics. Served as Lead Economist for World Bank *Economic Regeneration Plan for Previously Mined Lands: Caucasus and Central Asia* and corresponding global framework for post-closure economic development.

2015 – 2017

**SRK CONSULTING (U.S.), INC.**

*Denver, CO*

Principal Consultant (Sustainability & Economics)

For investors, regulators and corporate management, created and implemented strategies for sustainable and inclusive economic development of natural resources, with related ESG performance tracking. Harnessed teams of technical, legal, supply chain and geography-focused consultants. Projects included conducting Equator Principles Gap Assessment for Argentine Lithium mine, serving as Lead Economist on socioeconomic closure plan of Kumtor mine in Kyrgyzstan, and Expert Reviewer of IFC-compliant community resettlement plan in Ecuador.

2006 – 2015

**RESOURCE INITIATIVES LLC**

*Denver, CO*

Founder and Principal

Founded ESG consulting practice in economic impact assessment and sustainable development performance management to multinational companies. Created network of industry stakeholders and launched successful workshop for sustainability executives. Served as Sustainability Advisor to World Gold Council in London, member of Working Group to establish Conflict-Free Gold Standard with producers, refiners, governments, nonprofits and manufacturers and retailers, led projects to quantify economic and social impact, workforce development and environmental management. Produced films and presented numerous keynote speeches.

2005 – 2006

**NEWMONT MINING CORPORATION**

*Denver, CO*

Director, Public Affairs & Communications

Responsible for ESG and capacity building, community and nonprofit relations. Regional responsibility for Asia-Pacific region, including post-closure litigation in Indonesia.

## **Financial Services**

2000 – 2003

**INTELLIGENT MARKETS, INC.**

*New York, NY and San Francisco, CA*

Director of Product Marketing and Sales

For brokerage software/SaaS startup serving convertible arbitrage hedge funds and broker/dealers, consulted with trading desks to secure licensing agreements with largest convertible bond dealers.

1997 – 2000

**GOLDMAN, SACHS & CO.**

*Menlo Park, CA*

Associate, Equities (1998-2000)

Built and managed portfolio of high-net-worth client accounts in Silicon Valley office. Extensively trained in financial markets, asset management, securities regulation and compliance, and trust and estate management.

Obtained Series 3, 7 and 63 registrations; passed CFA Level I exam.

Summer Associate, Fixed Income, Currency & Commodities (1997)

*New York, NY*

1992 – 1996

**THE CHASE MANHATTAN BANK**

*New York, NY*

Vice President, Corporate Marketing & Communications

In charge of marketing and communications for mining and other industry-facing solutions teams. Spokesperson and executive speechwriter on free trade and privatization.

**EDUCATION**

**COLUMBIA UNIVERSITY**

*New York, NY*

**COLUMBIA BUSINESS SCHOOL**

1998 MBA - Finance

**SCHOOL OF INTERNATIONAL AND PUBLIC AFFAIRS**

1998 Master of International Affairs - International Economic Policy

**UNIVERSIDAD COMPLUTENSE DE MADRID**

*Madrid, Spain*

1989 Diploma de Estudios Hispánicos

**UNIVERSITY OF CALIFORNIA AT BERKELEY**

*Berkeley, CA*

1988 BA – Philosophy

**LANGUAGES**

English

Spanish

Portuguese