

JOHN TOBIN-DE LA PUENTE

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EDUCATION

HARVARD UNIVERSITY: Ph.D. in Organismic and Evolutionary Biology, 1995
Dissertation: *Ecology and Diversity of Neotropical Rainforest Canopy Ants*
Dissertation advisor: Prof. Edward O. Wilson

HARVARD LAW SCHOOL: J.D., 1995
Research paper: *Intellectual Property Rights, Genetic Resources, and the Pharmaceutical Industry: Drug Development and the Conservation of Biological Diversity*

UNIVERSITY OF CALIFORNIA AT LOS ANGELES: B.S. in Biology, 1986, *magna cum laude*

COLEGIO SANTA MARGARITA, Lima, Peru: Secondary School

EMPLOYMENT HISTORY

CORNELL UNIVERSITY, Ithaca, New York, March 2016 to the present
Professor of Practice of Corporate Sustainability: joint appointment between the Charles H. Dyson School of Applied Economics and Management and the Cornell Institute for Public Affairs (CIPA)
Faculty Fellow, Atkinson Center for a Sustainable Future
Responsibilities at Cornell University primarily include: teaching undergraduate and graduate courses, research, and outreach and engagement activities at the intersection of finance and sustainability. In addition, directing an Environmental Finance and Impact Investing certificate program for professional students; contributing to faculty committee work (including chairing promotion review committee); student advising.
Courses taught: AEM 2550 (Corporate Sustainability), AEM 4090 (Environmental Finance and Markets), AEM 4940 (Corporate Sustainability – The Business Challenge), PADM 5570 (Corporate Responsibility), PADM 5572 (Topics in Environmental Finance and Impact Investing), PADM 5579 (Environmental Finance and Impact Investing Practicum), PADM 5910 (Special Topics: Domestic Capstone)

CREDIT SUISSE, Zurich, Switzerland, 2007 to 2016
Managing Director and Global Head of Sustainability. Responsibilities included: developing, articulating, and implementing corporate strategy in the area of sustainability; supervising a multicultural team of finance professionals based in Zurich, London, New York, and Hong Kong that manages risk and provides controls in connection with environmental and social matters; developing partnerships and other collaborations in the area of sustainability with private sector actors and with relevant not-for-profit organizations, including non-governmental and inter-governmental entities and academic institutions; managing the bank's interactions with environmental and social advocacy organizations; developing and producing interdisciplinary research products in the area of sustainability; coordinating the bank's external commitments on sustainability matters, including the Equator Principles and the UNEP Finance Initiative; supporting the origination and delivery of socially responsible investment products and working with relevant business units to structure solutions in the area of values-based investing; developing policies on sensitive industries; communicating the bank's position internally and externally on sustainability issues; advising generally on corporate sustainability matters.

CREDIT SUISSE, New York, New York, 2002 to 2007
Director and Counsel, General Counsel Division, International Finance Group. Responsibilities included: advising on the structuring and documentation of cross-border financings, including structured financings, secured loans, syndicated lendings, project financings, repackagings, and securities offerings involving emerging markets, particularly Latin America; managing external counsel in the execution of high-impact transactions involving international markets; drafting and providing input on Credit Suisse policies and related legal and regulatory requirements; advising generally on cross-border legal issues.

CLIFFORD CHANCE, New York, New York, 1997 to 2002

Corporate Attorney. Responsibilities included: working on US law aspects of cross-border capital markets transactions involving a variety of developed and emerging markets; drafting financial documents requiring strong quantitative skills and the ability to analyze and dissect financial statements; supervising, training, and evaluating attorneys and other legal professionals; leading transaction teams in the execution of numerous financings; following an internal election process, representing the firm's associates on the firm's Personnel Committee in discussions with the partnership on topics including compensation.

DAVIS POLK & WARDWELL, New York, New York, 1995 to 1997

Corporate Attorney. Responsibilities included: representing underwriters, issuers, and sovereigns in a variety of transactions, including privatizations, public offerings, and private placements of both debt and equity securities; advising international clients on the preparation of annual reports and other US disclosure documents, and generally on compliance with US laws.

SELECTED RELEVANT EXPERIENCE

INTERNATIONAL UNION FOR CONSERVATION OF NATURE-UNITED STATES (IUCN-US), ongoing
Member of the Board of Directors. IUCN is the global authority on the status of the natural world and the measures needed to safeguard it. IUCN-US is the US-based 501(c)(3) entity of IUCN.

COALITION FOR PRIVATE INVESTMENT IN CONSERVATION (CPIC), 2016 to the present
Co-founder and Member of the Steering Committee. CPIC brings together a group of commercial banks, development finance institutions, environmental organizations, academic institutions, law firms, and others seeking to facilitate the entry of private investment capital into environmental protection projects.

CONSERVATION FINANCE INVESTOR CONFERENCE, 2014 to the present
Co-founder and Member of the Organizing Committee. A yearly event held at Credit Suisse's regional headquarters in New York City.

FOREST TRENDS, Washington, DC, 2013 to the present
Member of the Board of Directors. Forest Trends is a not-for-profit environmental organization dedicated to promoting sustainable forest management and conservation by creating and capturing market values for ecosystem services.

INTERNATIONAL CHAMBER OF COMMERCE (ICC), Paris, France, 2008-2016
Member of the Commission on Environment and Energy. In this capacity, contributes to the definition and articulation of the business community's approach to a variety of environmental issues, including green growth, and has represented ICC at events including the 2012 Rio+20 summit.

AMERICAN INSTITUTE OF BIOLOGICAL SCIENCES (AIBS), Washington, DC area, 2012 to 2015
Member of the Board of Directors, Chair of the Finance Committee, and Treasurer. AIBS is a not-for-profit scientific association founded in 1947 and dedicated to advancing biological research and education. AIBS's institutional membership includes 200 professional societies and scientific organizations.

ORGANIZATION FOR TROPICAL STUDIES (OTS), Durham, North Carolina, 2005 to 2014
Member of the Board of Directors, Chair of the Audit Committee, and Secretary of the Board. OTS, based at Duke University, is a consortium of over 60 universities globally that provides graduate and undergraduate training in tropical science and manages a network of world-class biological research stations.

NEW YORK STATE BAR, New York, New York, 1996-2008
Member of the Bar of the State of New York. Focused on international financial and corporate law and on matters requiring an understanding of the strategic, reputational, and regulatory issues that may impact global corporate entities, and in particular financial institutions.

RELEVANT PAST AND CURRENT MEMBERSHIPS AND INSTITUTIONAL AFFILIATIONS

Amazon Conservation Association (former member of the Board of Directors); American Association for the Advancement of Science; American Museum of Natural History (former Research Associate in the Division of

Invertebrate Zoology); Association of the Bar of the City of New York (former member of the Committee on International Environmental Law and the Committee on Inter-American Affairs); Equator Principles Association (former member of the Steering Committee, former co-chair of the NGO Committee); Explorers Club (Fellow); Fundación Peruana para la Conservación de la Naturaleza-ProNaturaleza (former member of the Board of Directors); Harvard Club of Switzerland; International Canopy Network (ICAN) (former member of the Advisory Board); Society for Conservation Biology; United Nations International Strategy for Disaster Reduction (UNISDR) (former member of the Private Sector Advisory Group)

SELECTED ACADEMIC AWARDS AND HONORS

Cornell University, Engaged Cornell Curriculum Development Grant, 2017-2018
Cornell University, Atkinson Center-EDF Innovation for Impact Grant, 2017-2018
Engaged Cornell Faculty Fellow, 2016-2017
Cornell University, Engaged Cornell Curriculum Planning Grant, 2016-2017
National Science Foundation Dissertation Improvement Grant, 1991-1992
Fulbright Scholar (in residence in Panama), 1991-1992
Harvard University - Certificate of Distinction in Teaching, 1988 and 1989
National Science Foundation Minority Graduate Fellowship, 1986-1988 and 1989-1990
Elected to Phi Beta Kappa, 1986

PUBLIC SPEAKING

Speaks regularly at industry events and universities on corporate sustainability, conservation finance, and related topics. In the past three years, has lectured or participated in panel discussions at a number of events including the International Union for Conservation of Nature (IUCN) World Conservation Congress in Hawaii, UN Climate Change Conference (COP21) in Paris, The Future of Forestry Investment conference in Sydney, Conferência Ethos 360 in São Paulo, the Economist Intelligence Unit (EIU) World Ocean Summit in Bali, and others.

PUBLICATIONS

Twenty-five technical and editorial publications, including peer-reviewed research papers, book chapters, newspaper articles, and letters, addressing a variety of topics in finance, biology, policy, and the environment:

Fitzgerald, T., Higgins, P., Quilligan, E., and Tobin, J. In review. Catalyzing fisheries conservation investment.

Jaeggi, O., G.W. Ziero, J. Tobin-de la Puente, and J. Koelbel. 2018. Understanding sustainable finance. In Wendt, K., ed., *Positive Impact Investing and Organizational Culture*. Springer International Publishing.

Stephenson, J. and 27 co-authors and contributors. 2018. *Conservation Investment Blueprints: A Development Guide*. PwC and the Coalition for Private Investment in Conservation (as contributor). Available at http://cpicfinance.com/wp-content/uploads/2018/01/CPIC_Blueprint_Development_Guide_2018.pdf

Huwylar, F., J. Käppeli, and J. Tobin. 2016. *Conservation Finance: From Niche to Mainstream: The Building of an Institutional Asset Class*. Credit Suisse. Available at <https://www.credit-suisse.com/media/assets/corporate/docs/about-us/responsibility/banking/conservation-finance-en.pdf>

Tobin-de la Puente, J., and 34 co-authors. 2015. *Design of a Sustainable Financial System: Swiss Team Input into the UNEP Inquiry*. Swiss Federal Office for the Environment. Available at http://unepinquiry.org/wp-content/uploads/2015/04/Design_of_a_Sustainable_Financial_System_Swiss_Team_Input_into_the_UNEP_Inquiry.pdf

Huwylar, F., J. Käppeli, K. Serafimova, E. Swanson, and J. Tobin. 2014. Building a market for conservation. *Environmental Finance*, Spring 2014, pp. 40-43

Huwylar, F., J. Käppeli, K. Serafimova, E. Swanson, and J. Tobin. 2014. Making Conservation Finance Investable. *Stanford Social Innovation Review* (online). Available at http://www.ssireview.org/up_for_debate/article/making_conservation_finance_investable

Huwylar, F., J. Käppeli, K. Serafimova, E. Swanson, and J. Tobin. 2014. Conservation Finance: Moving Beyond Donor Funding Toward an Investor-Driven Approach. Credit Suisse. Available at <https://www.credit-suisse.com/media/assets/corporate/docs/about-us/responsibility/environment/conservation-finance-en.pdf>

Tobin, J. 2012. Foreword in: The 2050 Criteria: Guide to Responsible Investment in Agricultural, Forest, and Seafood Commodities. WWF. Available at http://wwf.panda.org/what_we_do/how_we_work/businesses/transforming_markets/solutions/commodity_financing/2050_criteria/

Kopp, M., K. Serafimova, R. Baumann, F. Huwylar, N. Mastacchi, and J. Tobin-de la Puente. 2012. Decarbonizing Swiss Real Estate: The Credit Suisse Case Study. Credit Suisse. Available at https://www.credit-suisse.com/ch/real_estate/doc/Nachhaltigkeit/study_decarbonizing_swiss_real_estate_eng.pdf

Vellacott, T., M. Kopp, K. Serafimova, J. Tobin-de la Puente, A. Aulisi, P.-Y. Bolinger, F. Huwylar, V. Hoffmann. 2011. Transition to a Low Carbon Economy: The Role of Banks. Credit Suisse. Available at <https://publications.credit-suisse.com/index.cfm/publikationen-shop/sustainability/>

Emling, D., J. Tobin, and R. Buholzer. 2009. Werkzeug zur Armutsbekämpfung. *Schweizer Monatshefte* 967:30-31.

Tobin, J.E. 1997. Competition and coexistence of ants in a small patch of rainforest canopy in Peruvian Amazonia. *Journal of the New York Entomological Society* 105:105-112.

Tobin, J.E. 1995. Ecology and Diversity of Neotropical Rainforest Canopy Ants. Ph.D. Dissertation, Harvard University, Cambridge, Massachusetts.

Tobin, J.E. 1995. Ecology and diversity of tropical forest canopy ants. In Lowman, M.D., and N.M. Nadkarni, eds., *Forest Canopies: A Review of Research on this Biological Frontier*, pp. 129-147. Academic Press, San Diego.

Tobin, J.E. 1994. Ants as primary consumers: Diet and abundance in the Formicidae. In Hunt, J.H., and C.A. Nalepa, eds., *Nourishment and Evolution in Insect Societies*, pp. 279-307. Westview Press, Boulder.

Tobin de la Puente, J. 1993. La importancia de los inventarios biológicos para la ciencia de la conservación. In *Memoria del X Congreso Nacional de Biología, Agosto 1992, Lima, Peru*, pp. 107-110.

Tobin de la Puente, J. 1993. La vida a modo de inventario. *El Comercio* (Lima), November 27, 1993.

Tobin, J.E., R. Goldberg, and D.D. Hopkins. 1993. Biodiversity entreaty. *Science* 262:13-14.

Nonacs, P. and J.E. Tobin. 1992. Selfish larvae: Development and the evolution of parasitic behavior in the Hymenoptera. *Evolution* 46:1605-1620.

Moffett, M.W. and J.E. Tobin. 1992. Physical castes in ant workers: A problem for *Daceton armigerum*. *Psyche* 98:283-292.

Tobin, J.E. 1991. Free lunch? *Nature* 352:482.

Tobin, J.E. 1991. A Neotropical rain forest canopy ant community: Some ecological considerations. In Huxley, C.R., and D.F. Cutler, eds., *Ant-Plant Interactions*, pp. 536-538. Oxford University Press, Oxford.

Tobin, J.E. 1990. Nourishment, caste thresholds and workerless social parasites in the Formicidae. In Veeresh, G.K. et al., eds., *Social Insects and the Environment*, pp. 649-650. Oxford and IBH Publishing Co., India.

Cover, S.P., J.E. Tobin, and E.O. Wilson. 1990. The ant community of a tropical lowland rainforest site in Peruvian Amazonia. In Veeresh, G.K. et al., eds., *Social Insects and the Environment*, pp. 699-700. Oxford and IBH Publishing Co., India.

SELECTED ADDITIONAL EDITORIAL OR ADVISORY WORK

PRINCIPLES FOR INVESTMENT IN SUSTAINABLE WILD-CAUGHT FISHERIES. 2017-2018. Member of the Advisory Committee.

STATE OF PRIVATE INVESTMENT IN CONSERVATION 2016. 2016-2017. Member of the Advisory Committee.

EQUATOR PRINCIPLES. 2011-2013. Member of the drafting team, together with six other individuals from Credit Suisse, Citi, ING Bank, and the Equator Principles Association Secretariat, for Version 3 of the Equator Principles.

NEWS COVERAGE OF DOCTORAL RESEARCH

Science 300:916-917, May 9, 2003 (print edition). Cryptic herbivores of the rainforest canopy, by James H. Hunt. Available at <http://www.sciencemag.org/content/300/5621/916.full?sid=81e26d42-8fc2-4433-91c0-48d5fd2a2b3d>

The Economist, May 8, 2003 (print edition). Veggieburgers, anyone? Available at <http://www.economist.com/node/1763577>

SELECTED INTERVIEWS AND MEDIA COVERAGE

Cornell Enterprise, Winter 2017. Impact investing takes off, by Jeffrey Gangemi. Available at <https://www.johnson.cornell.edu/CornellEnterprise/Article/ArticleId/46894/Impact-Investing-Takes-Off>

MPA News, January 24, 2017 (online). The \$400-billion potential for private investment in conservation: With investors looking for projects, what can MPAs do to access the funds? Available at <https://mpanews.openchannels.org/news/mpa-news/400-billion-potential-private-investment-conservation-investors-looking-projects-what>

Cornell Chronicle, October 20, 2016 (online). Coalition taps private sector to help nature pay for itself. Available at <http://chronicle.cornell.edu/stories/2016/10/coalition-taps-private-sector-help-nature-pay-itself>

The Nature Conservancy, September 2, 2016 (online). New coalition launches to scale private conservation investment at IUCN World Conservation Congress. Available at <http://www.nature.org/news/features/pressreleases/new-coalition-launches-to-scale-private-conservation-investment-at-iucn-worl.xml>

Daily Sun, September 2, 2016 (online). International coalition launched to scale up private finance in conservation. Available at <http://www.daily-sun.com/home/printnews/164158>

Conservation Finance Network, July 27, 2016 (online). John Tobin advises bridging the rift between banks and NGOs, by Vince Tenorio. Available at <http://www.conservationfinancenetwork.org/2016/07/27/john-tobin-advises-bridging-the-rift-between-banks-and-ngos>

Credit Suisse, July 3, 2015 (online). The future of the 'Blue Economy', by Simon Stauffer. Available at <https://www.credit-suisse.com/us/en/about-us/responsibility/news-stories/articles/news-and-expertise/2015/07/en/the-future-of-the-blue-economy.html>

Business School Lausanne, May 7, 2015 (online). Credit Suisse—reputation is vital, by Mary Mayenfisch-Tobin. Available at <https://bsl-blog.org/2015/05/07/credit-suisse-reputation-is-vital/#more-575>

Impact Alpha, May 4, 2015 (online). Making nature pay: bankers work to finance conservation at scale, by David Bank. Available at <http://impactalpha.com/making-nature-pay-bankers-work-to-finance-conservation-at-scale/>

The Guardian, November 15, 2012. Sustainable finance: how far have the Equator Principles gone?, by Oliver Balch. Available at <https://www.theguardian.com/sustainable-business/sustainable-finance-equator-principles>

FICTIONAL CHARACTERS

Wilson, E.O. 2010. *Anthill: A Novel*. W.W. Norton & Company. Raphael, the main character, is based in part on John Tobin, a former graduate student of the author.

EPONYMY

FORMICIDAE: Myrmicinae; Pheidolini
Pheidole tobini Wilson 2003