



# GRIFFIN PHILLIPS<sup>LLC</sup>

- Product Development and Product Structure Expertise within the financial services and asset management marketplace
- Global capabilities across open and closed end registered products, ETFs, private placement and all alternative investment structures
- Tailored solutions and services to meet client and investor needs

## What is Griffin Phillips LLC?

Griffin Phillips LLC was created in July of 2009 for the purpose of offering product development and structuring expertise for the financial and asset management markets. Offering our capabilities on a consultative basis, we assist financial service firms with their product development needs precisely when and for as long as that service is required. This service model can be accessed in a variety of ways based on the individual client's needs and goals.

## Client-Centered Solutions

**Goal Discovery:** Defining expectations for an anticipated fund structure and discuss where, to whom and within what limits you want the desired fund to be active

**Product Advice:** Providing an outline for registered or unregistered product tailored to your strategy and target market

**Jurisdiction Identification:** Identifying the best jurisdiction, domestic or international, for your registration

**Third Party Partner Network:** Introducing you to an extensive and meticulously curated network of service providers to take your registration from development to distribution and support you throughout the life of the product

## Experience-Driven Specializations

Corporate Structuring and Consulting

Product Development:

- Registered Funds
- US and International Private Placements
- Hedge Funds

Alternative Investments

Portfolio Construction

Private Equity

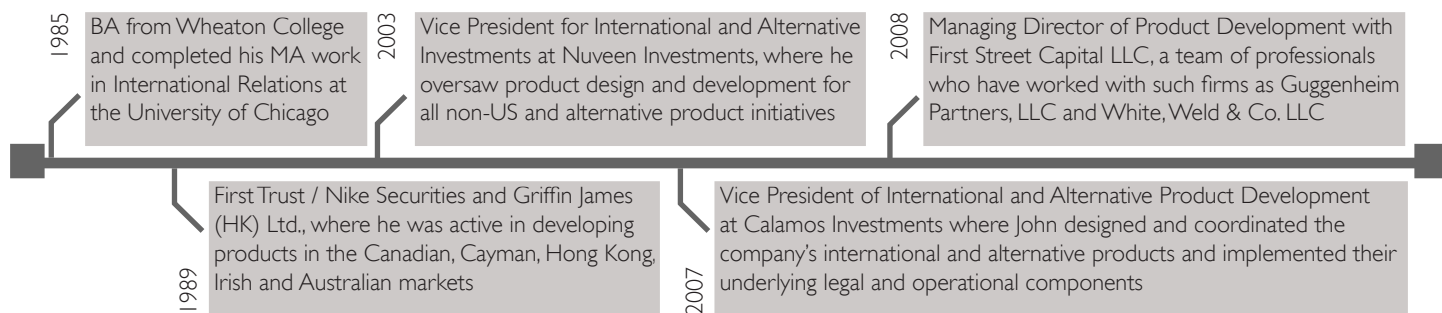
Business Strategy

“ The quality of an investment product lies in solid preparation and research prior to its launch. A successful investment requires not only a deep understanding of ‘the market’ but also of investor needs and expectations. ”

## John Phillips, Principal



John Phillips, Principal of Griffin Phillips LLC, has over twenty years of experience in developing investment products and structures worldwide, including open and closed-end registered products, ETFs, private placements and a wide variety of alternative investment structures. A particular expertise in international/offshore investment products has resulted in a successful track record of the design and implementation of financial vehicles under multiple regulators, in over 15 international jurisdictions. John is a decisive professional who builds upon his global network, to bring about creative initiatives, unique product solutions and collaborative relationships.



## Value on Your Terms

Griffin Phillips LLC offers a variety of compensation fee structure options to tailor the perfect solution to your budget.

**Retainer Fee:** A client, especially one who has multiple products in mind or is exploring possibilities with only a general idea of any product line, can pay a monthly retainer for John to effectively lead the firm's Product Development efforts without the usual overhead and long term employment commitment of a full time employee.

**Set Contract:** A contract to providing a clearly identified end result for a set price plus any expenses incurred. This method is best for those clients with a clearly defined end product and a straight forward structure.

**Time and Material:** When the ultimate structure is very unique and highly customized, payment on an hourly basis plus expenses is an option.

**Asset-Based:** All or most of the compensation is based on the financial success of the discussed product. This model not only aligns the financial interests of both parties involved, but it encourages clients to enter into an agreement since they are sharing the primary financial risk.

## Representative Funds

**DUBLIN:** First-ever ETF filed in Dublin

**HONG KONG:** First-ever Vietnam Fund in 1992

**TORONTO:** First Trust Canada Funds, AUM of \$400+ million; Nuveen Inc. Canada, AUM over \$2 billion

**PREFERRED TRUST SERIES:** Developed for both First Trust and Nuveen, selling \$1 billion at each firm

**CALAMOS FUNDS:** Dublin Registered UCITS, current AUM \$200 million

**NUVEEN FUNDS:** Nuveen Canada CIBC separately managed accounts and QIFS for Nuveen/NWQ, Nuveen Interval Fund, Nuveen/Symphony Market Neutral Fund, total AUM C\$2 billion+

**GUGGENHEIM FUNDS:** QIF and UCITS for the Transparent Value Funds and the Lothbury Select Ireland and UK Property Fund series