

JOHN GRIFFIN PHILLIPS



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SUMMARY

Financial Product Development Executive with proven experience in developing investment products and structures world-wide, including open - and closed-end registered product, 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. A decisive professional who builds upon his global network, to bring about creative initiatives, unique product solutions and collaborative relationships.

PROFESSIONAL EXPERIENCE

MANAGING DIRECTOR, PRODUCT DEVELOPMENT, WHITE, WELD & CO., CHICAGO, IL — 2012-PRESENT

Responsible for designing and creating both domestic and international financial product solutions for proprietary and client strategies encompassing a wide range of long only and alternative strategies.

- Designed and implemented a UK and Ireland real estate private equity fund for an Irish client. Identifying and coordinating the entire fund design, third party service provider identification and pulling together the necessary regulated entities to accomplish the client's goal.
- Designed and coordinated the investment structure for an Iron ETF, which included assisting the asset manager in the creation of the underlying index rules and the complex process necessary to administer and custody a non-standard commodity product.
- Used my global network to introduce a US based equity research and asset management client to distribution partners in Ireland, the UK, Canada and the US.

MANAGING DIRECTOR, PRODUCT DEVELOPMENT - INTERNATIONAL AND ALTERNATIVE PRODUCTS GUGGENHEIM PARTNERS LLC, CHICAGO, IL— 2010-2012

A global diversified financial services firm with deep expertise in multiple practice areas. The core businesses are:

Guggenheim Investments: Asset Management, Proprietary Investment Strategies

Guggenheim Securities: Investment Banking, Corporate Advisory/Consulting Services, Sovereign Finance

Guggenheim Investment Advisory Solutions: Investment Platform for Sophisticated Intermediaries

Guggenheim Insurance: Insurance, Reinsurance, Capital Solutions

I was responsible for the design and creation of an international product strategy focused on the development of both open- and closed-end registered products and a global alternative investment initiative across multiple jurisdictions.

- Developed a suite of private placement fund of funds to be used by the Wealth management Group for the RIA market and their HNW clientele.
- Worked with an internal equity investment team to create a Dublin based structure to house their proprietary equity index strategies. In conjunction with this project I was involved in coordinating the necessary registration of the Irish entities, identification of directors for the fund boards and arranging all the service providers for the ongoing operation of the funds.
- Started the GIAS Product Development group, including the creation of procedural and compliance processes and policies, to coordinate product development across the various departments within the greater Guggenheim family of companies.
- Researched, identified and coordinated the relationship with a TAMP (Turnkey Asset Management Platform) to house a series of model portfolios for sale to the RIA marketplace.
- Created white label and customized product solutions for our RIA clients.

PRINCIPAL, FIRST STREET CAPITAL PARTNERS LLC, CHICAGO, IL — 2008-2010

A small boutique investment banking and venture capital firm comprised of a team of banking professionals. FSCP and the team was acquired by Guggenheim Partners LLC in 2010 to carry out its validated business model within the Guggenheim umbrella of companies.

As a Principal, I was responsible for designing and creating both domestic and international financial product solutions for client strategies encompassing a wide range of both long only and alternative strategies.

- Designed and implemented a UK and Ireland real estate private equity fund for an Irish client. Identifying and coordinating the entire fund design, third party service provider identification and pulling together the necessary regulated entities to accomplish the client's goal.
- Designed and coordinated the investment structure for an Iron ETF, which included assisting the asset manager in the creation of the underlying index rules and the complex process necessary to administer and custody a non-standard commodity product.
- Used my global network to introduce a US based equity research and asset management client to distribution partners in Ireland, the UK, Canada and the US.

VICE PRESIDENT, INTERNATIONAL PRODUCT DEVELOPMENT, CALAMOS INVESTMENTS, NAPERVILLE, IL — 2007-2008

Full service asset management firm, employing a staff of over 400 and a total AUM of approx. \$50 billion.

As Vice President of International Product Development, I was responsible for designing and creating an international product strategy focused on implementing both open- and closed-end registered product and a global alternative investment initiative across multiple jurisdictions.

- Initiated development of international investment structures, including an offshore master-feeder structure for a proprietary alternative investment suite.
- Worked collaboratively across internal and external channels to validate viability and demand for new international products in multiple jurisdictions including Canada, Ireland and SE Asia.
- Interacted frequently with Legal, Operations and Accounting to help determine appropriate product structure, pricing, and value-add services that lead to profitable results for the firm.
- Served as conduit in championing all new international product ideas which could be packaged into marketable products and structures across distribution channels.

VICE PRESIDENT, INTERNATIONAL AND ALTERNATIVES, NUVEEN INVESTMENTS, CHICAGO, IL — 2003-2007

Responsible for designing and creating an international product strategy focused on implementing a variety of registered product and a global alternative investment initiative. The focus was to actively place newly acquired asset managers in to new investment structures globally. This initiative required the design and implementation of entire product and corporate structures in both Canada and Ireland.

Responsible for developing mutual fund products, and launching ETF's, UIT's, hedge funds and commodity funds in international and domestic markets.

- Identified, established and registered appropriate corporate structures in Canada to house a family of institutional and retail products, which increased Canadian assets from \$400 million to \$2 billion over a period of less than five years.
- Helped build Nuveen's non-U.S. assets to over \$2 billion.
- Developed and launched the first fixed income Exchange Traded Funds (ETF's) listed on Dublin (Irish) Exchange.
- Helped transform a newly acquired Symphony Asset Management platform from a limited hedge fund product to one with retail and separate accounts appeal.

VICE PRESIDENT, STRUCTURED PRODUCTS GROUP, NUVEEN INVESTMENTS, CHICAGO, IL — 2003-2007 — 1989-1990

Assisted in developing a new, highly profitable Preferred Unit Investment Trust (UIT's) business.

NEW PRODUCT MANAGER, NIKE SECURITIES LP/FIRST TRUST, LISLE, IL — 1993-2001

A sponsor and distributor of domestic line of Unit Investment Trusts and international sponsor of registered products in multiple global jurisdictions.

As a New Product Managers, I was responsible for developing and implementing Unit investment Trusts (UITs), international financial products and global marketing strategies.

- Provided ongoing sales and product development support for the firm's international product line in Australia, Hong Kong and Canada.
- Designed and implemented a corporate and sales structure (First Trust Canada) to develop, market and sell Canadian registered First Trust products.

- Coordinated the domestic UIT business to where in 2000, Nike securities created and sold over 350 UITs with over \$9 billion in sales

INTERNATIONAL BUSINESS SPECIALIST, GRYPHON/JAMES LTD AND GRYPHON INTERNATIONAL, CHICAGO, IL AND HONG KONG — 1989-1993

US and Hong Kong venture that specialized in documentary credit structuring and operational support for the import and export of materials (mostly commodities) on a global basis.

Specialized in developing and implementing business strategies for clients entering the global market of newly emerging countries.

- Designed and carried out a number of commodity transactions in pyrethrum and TiO2 between clients in SE Africa and SE Asia.
- Conducted extensive due diligence and then developed the Vietnam Fund, which was a closed-end fund registered in the Cayman Islands and listed on the Irish Exchange.

MANAGER, INTERNATIONAL TRADE DIVISION DIGITAL TRADING AND TECHNOLOGY, CHICAGO, IL — 1987-1989

Distributor of high tech hardware and related products.

Designed and implemented distribution and marketing initiatives for the export sales of computer products. Responsible for negotiating and maintaining documentary credit transactions and logistics. the Vietnam Fund, which was a closed-end fund registered in the Cayman Islands and listed on the Irish Exchange.

INTERNATIONAL RISK / PRODUCT MANAGER, DIGITAL TRADING AND TECHNOLOGY, CHICAGO, IL — 1986-1987

Managed the sale and export of product line to the Middle East and Africa. Established significant network and joint venture relationships.

EDUCATION

University of Chicago — M.A. International Relations, 1985 *pending thesis*

Wheaton College, Wheaton, IL — B. A. English Literature, 1980

SKILLS

- Product Development: Registered Funds, US and International Private Placements/Hedge Funds
- Alternative Investments
- Private Equity
- Business Strategy
- Corporate Structuring and Consulting

PROFESSIONAL LICENSES

- FINRA Series 7
- FINRA Series 63
- FINRA Series 65