JOHN A. SHEA, III

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OVERVIEW

Relaunching a successful career in asset management sales & marketing to institutional investors and financial intermediaries. Deep network in and knowledge of marketing to the RIA, banking, wirehouse channels. Experienced in initiating and maintaining large complex institutional relationships. Proven consistent success in developing new business quickly and generating significant revenue. Successfully marketed ground-breaking investment products and services while maintaining an extensive travel schedule. Articulate, positive, detailed-oriented and capable of communicating complex financial ideas to a wide variety of audiences. Proficient in Python, R, C++ and Lua. Always at the forefront of technology and innovation.

EXPERIENCE

2010 – Current Personal Investor *Chicago, IL and Sanibel, FL*

- Early adopter/advocate of blockchain technologies. Code and execute quantitative trading strategies in options and volatility products; albeit with retail level capital and data.
- Provide ad hoc advice to several charitable organizations (IRS issues, CRM, fund raising.)

2007 – 2010 ReFlow Management Co. *San Francisco, CA*

Head of Client Relationship Management

- Managed all client-facing aspects of ReFlow's Liquidity Services to mutual fund clients (28 fund company complexes, +500 mutual funds.) Reported to the President.
- Responsibilities included day-to-day client service & reporting, client implementations, sales team coordination, drafting legal contracts (Client Agreements & ISDAs), website and CRM development, participating in finals presentations and client Board Meetings.

2005 – 2006 Dwight Asset Management *San Francisco, CA*

Senior Vice President, Sales & Marketing

- Directed marketing of Dwight's Fixed Income capabilities to Corporate ERISA Plans in a 13 State Western region. Developed a structured short duration strategy.
- Awarded $330 million in mandates in first 6 months. (Hewlett Packard, Apple Computer)

2003 – 2005 Deutsche Asset Management, Americas *San Francisco, CA*

V.P. & Director of Business Development, Western Region

- Responsible for marketing DeAM's investment management capabilities to mega Corporate, Taft Hartley, and Public Funds in the Western U.S.
- Awarded $900 million in traditional equity and fixed income (non-cash) mandates in first 6 months. Mandates included Stable Value, Structured Short Duration, and TAA strategies.

2000 – 2003 Agent / Advisor to Jim Shea, Jr. *Park City, UT*

2002 Gold Medalist, Mens' Skeleton Sledding
XIX Winter Olympic Games, Salt Lake City, UT

- Secured and negotiated contracts for endorsements, book/movie rights, speaking engagements and media/community involvement.
- Obtained and coordinated appropriate legal, financial and media representation.

1999 – 2001 mPower *San Francisco, CA*

Principal and Midwest Director of Sales & Engagement

- Represented and helped design of the world's 1st Robo-Advisor which provided 401(k) participants customized online algorithmic investment advice.
- Acquired by Morningstar Inc. in May of 2001.

1992 – 1999 Lehman Brothers, Inc. *Boston, MA and San Francisco, CA*

Vice President, Lehman Brothers Global Asset Management

- Responsible for the sale of LBGAM's fixed income capabilities to institutional clients in New York, New England, and (later) a 9 state Western Region.
- Managed 150 client relationships with $3 billion in average assets.
- Worked closely with Investment Banking, Public Finance and Sales & Trading to source leads and cross-sell other Lehman products and services.

1987 – 1992 John Nuveen & Company, Inc. *San Francisco, CA*

Institutional Sales, Institutional Funds Group 1990-1992

- Developed new corporate and bank channel business by selling municipal institutional funds, money market preferred stock, and variable-rate derivative products.
- Initiated 35 new corporate relationships representing $650 million in new assets.

Regional Wholesaler 1987-1990 *Chicago, IL and San Francisco, CA*

- Assisted registered investment advisors in the sale of +$2 billion of closed-end fund IPOs, unit investment trusts and mutual funds via the broker/dealer, banking and captive/agent channels.

EDUCATION

1984 – 1987 Colgate University *Hamilton, NY*

- B.A., Political Science major, Philosophy minor.
- Scholarship Athlete, Mens' NCAA Division I Ice Hockey Team
- Captain, Mens' Varsity Crew.

ACTIVITIES

- Volunteer: BigARTS, Friends of Fakahatchee, American Legion, Tarpon Bay Explorers.
- Avid reader: Goodreads profile: www.tinyurl.com/jas.goodreads
- Interests include: Fishing, golf, hiking, biking, tennis, coding, fintwit.