

Shane McCarthy, CFA

Highlands Ranch, CO

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PROFESSIONAL EXPERIENCE

Koch Industries, Inc., Multiple Locations

May 2007 – Present

1888 Management – Chief Risk Officer (August 2015 - Present, Denver, CO)

- Oversee all risk management capabilities for the Koch family office, including portfolio, operational, collateral & counterparty risk practices.
- Evaluate behavioral characteristics of overall portfolio and underlying strategies, model stress drawdowns, ensuring client's risk / return objectives are always being met.
- Lead team(s) for strategic initiative to build analytical system, data processes, tools to support an institutional portfolio of direct trading strategies and externally allocated capital.
- Supervise a Software Developer that supports the technology aspects of the analytical system, leading idea generation, overseeing that implementation objectives are being met and facilitating tool development.
- Manage FCM / Prime Broker counterparty relationships related to 1888 internal trading strategies, including collateral management, operational risks, business / pricing negotiations, etc.
- Administer operational due diligence framework for ongoing oversight of external, 3rd party asset managers.

Koch Treasury - Investment Operations Manager (May 2014 - August 2015, Wichita, KS)

- Construct and manage the operational due diligence capability that identifies and evaluates risks of investment management firms where Koch capital is allocated. This includes overseeing a strategic relationship with an outside consultant supporting this initiative.
- Oversee Koch's 401(K) plan management, including the reporting and presentation/recommendation process for investment committee(s), monitor industry trends, and manage relationships with investment managers and vendors.
- Negotiate business terms with investment managers of newly approved deals and support KII Legal to structure contractual arrangements consistent with KII's risk management philosophy.
- Conduct all business-related functions around the investment portfolio including trade activity, portfolio reporting, cash forecasting, liquidity profile, investment manager documentation, communication with internal/external personnel etc.

Koch Asset Management - Senior Market Analyst (August 2008 - May 2014, Scottsdale, AZ)

- Managed oversight of multiple Koch international pension plans with assets totaling +\$2B, including quarterly communication/recommendation process with trustees/consultants, ongoing evaluation of product line-up, relationship management with third party firms, negotiation fees/services offered.
- Led the implementation of key initiatives for multiple global pension plans including asset allocation restructuring, third party transition manager trading, foreign currency hedging and cash equitization mandates, investment manager hires/terminations, cash/liquidity management and forecasting.
- Created and presented multi-faceted solutions to business leaders for smaller Koch international plans regarding portfolio construction opportunities, asset-liability analysis, strategic mandates etc.
- Analyzed pension plan liabilities with global actuaries and business leaders to identify structural key risks and forecast forward-looking contribution requirements.

Koch Global Capital/Financial Products - Senior Market Analyst (May 2007 – August 2008, Scottsdale, AZ)

- Performed issuer level credit research, direct trading of RMBS/over-the-counter credit derivatives with counterparties and operational support for collateralized debt obligation and credit default swap portfolios.

ING Investment Management, Scottsdale, AZ

February 2000 – May 2007

Product Consultant – Strategic Marketing (March 2005 - May 2007)

- Led teams across Product, Sales/Marketing, Legal and Investment Management to identify tactical/strategic business initiatives that delivered positive results. Formulated specific product management and core business strategy recommendations for formal presentation to the company's Americas senior executive mgt. team.
- Developed and maintained multi-factor financial models used to forecast and interpret the risk-adjusted value of long-term business solutions through the quantification of specific costs, risks, and revenue components.

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ING Investment Management (cont.)

Manager – Mutual Fund Compliance (May 2003 – March 2005)

- Oversaw numerous mutual fund compliance reporting functions as performed by staff of six Fund Compliance Analysts for presentation to the ING Board of Directors.
- Managed mutual fund family's daily valuation process and performed fundamental research on halted exchange traded securities, summarizing into a fair valuation recommendation for presentations to the Pricing Committee.

Financial Analyst (March 2002 – May 2003)

Mutual Fund Accountant (March 2001 – March 2002)

Operations Analyst (February 2000 – March 2001)

Aetna Financial Services, Phoenix, AZ

July 1999 – December 1999

Customer Service Representative - 401(k), 403(b), 457 Plans

EDUCATION

Chartered Financial Analyst Charterholder, CFA Institute (Received in 2006)

B.S. in Business Administration (Majors: Finance/Economics), University of Nebraska – Lincoln (May 1999)

University of Denver – Intensive 6 Month Coding Boot Camp (currently attending, Sept. 2020 – March 2021)

HTML, CSS, JavaScript, API, MySQL Database, Git

FINRA Licenses - Series 7, 6 & 63 (currently not registered)

PERSONAL INTERESTS / HOBBIES

Youth Sports / Coaching

Prison Ministries

Outdoor Activities - Mountain Biking, Hiking, Camping

Travel

German Language Learning