

D. KEITH SLOANE

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CAREER PROFILE

A senior leader of retail and institutional mutual funds and 529 plans with 25+ years of experience in the financial services sector. A versatile and innovative executive who has been on both the broker-dealer and the asset management sides of the business. Experienced as a:

- **Business builder** who has broad expertise in sales, marketing, product knowledge, capital markets, and who has a sharp eye for margin discipline
- **Relationship cultivator** who has a strong industry presence and senior level relationships across the broker-dealer and asset management community
- **Change agent** who is analytical and thorough in evaluating opportunities and forging organizational directions with a focus on excellent execution
- **Communicator** who is credible and respected while presenting to the highest internal organizational levels as well as the marketplace
- **Strategist** who thrives in the intellectual side of business yet brings a pragmatic approach to business development

A resourceful executive manager who exemplifies leadership by taking the organization to performance and result levels never before achieved. An experienced business development expert and negotiator who is dedicated to the pursuit of industry leadership.

PROFESSIONAL EXPERIENCE

THE HARTFORD, 2007 TO 2010

Senior Vice President, Mutual Funds and 529 Plans, Simsbury, Connecticut November 2007 - December 2010

Business leader of the U.S. retail and institutional mutual funds as well as the 529 college savings plan businesses, representing over \$95B in assets under management. Assignment includes strategic planning, business development, product management, financial results, and communications.

- Initiated business plan to transition Hartford from a sales-at-all-cost model focused on two funds, to broader product-line focus with alternative distribution, competitive pricing, and a thematic marketing strategy. Increased third party sales to \$15B annually, raised industry net flow peer rankings, and improved ROA by 27%.
- Strengthened distribution model through initiating strategy to improve clarity of the value proposition, sales diversification, marketing campaigns, metrics, web and digital delivery, and refined wholesaler compensation.
- Improved relationship management team best practices approach to home offices and fee-based research teams. Restructured financial support process and negotiated cost savings in excess of \$2.5B annually.
- Broadened awareness, visibility, and PR of the fund organization to industry media and trade journals.
- Completed build-out of the global fund suite as part of the product development strategy, and initiated capability to invest in alternatives (commodities, currencies, emerging market debt, and REITs). The launch of a series of global tactical asset allocation funds has generated a \$1B annual run rate.
- Consolidated 29% of the fund family line-up through product-line rationalization actions, providing greater operating efficiency, scale, and product line focus. Executed broad pricing modifications across the funds, thereby improving competitive positioning, profitability and new net flows.
- Won the new advisor-sold 529 Plan for Connecticut. Implemented special NAV roll-over pricing and revised wholesaler incentives, which increased sales by 58% while cost of sales declined by 20%.
- Led engagement with the mutual fund's Board of Directors in reviewing industry trends, operating plans, product approvals and the annual 15c contract renewal requirements.

WELLS FARGO ADVISORS/WACHOVIA SECURITIES, 1998 TO 2007**Managing Director, Director of Product Marketing, Richmond, Virginia****2006 - 2007**

Director of marketing, relationship management, and the financial advisor sales desk for the advisory fee-based business, mutual funds, ETFs, retirement plans, alternative investments, unit investment trusts, insurance, fixed income and equities, and personal trusts. Served over 11,000 financial advisors across the broker/dealer, bank, independent rep, Latin America, and fully-disclosed clearing business channels.

- Created a new holistic organization responsible for sales initiatives, marketing campaigns, and client and advisor marketing materials helping to drive over \$100B in gross sales across nearly all financial products.
- Orchestrated industry-leading relationship management team at third-largest B/D serving as a single point of contact for over 100 asset managers. Established joint business plans, prioritized opportunities for partnerships, and assessed professional development resources.
- Negotiated financial support and orchestrated value-add capabilities from partners. Non-compensable revenues increased 42% between 2005 and 2007 and sponsorships exceeded \$7MM annually.
- Implemented a consolidated mutual fund advisory trading platform which improved operating efficiency and profitability across fee-based programs. As one of the major initiatives in the history of the firm, it doubled net revenues to \$60MM annually.

Managing Director, Mutual Funds**1998 - 2006**

Product leader for domestic mutual funds, offshore mutual funds, 529 plans, unit investment trusts, and institutional money markets. Oversight of team that orchestrated business development, relationship management, sales and marketing campaigns, financial arrangements, best practices/compliance policies, and financial advisor sales desk.

- Achieved significant growth with over \$30B in annual gross sales, \$150B in assets under management, and \$650MM in revenues. Sales increased 16-fold and market share rose over 20 percentage points within peer firms.
- Acted as key integration and change leader through six corporate mergers as well project leader for firm-wide product rationalization effort and mutual fund trading platform review.
- Developed web-based mutual fund performance and screening tool providing client-approved fact sheets, and co-originated strategic asset allocation platform for portfolio construction using mutual funds and annuities.

WHEAT FIRST BUTCHER SINGER, 1995 TO 1998**Vice President, Mutual Funds Marketing, Richmond, Virginia****1995 - 1998****PAINEWEBBER INC, 1984 TO 1995****Corporate Vice President, Sales and Marketing Manager, Weehawken, New Jersey****1993 - 1995****First Vice President, Regional Sales Director, Washington, D.C.****1990 - 1993****Vice President, Divisional Proprietary Product Sales Manager, Richmond, Virginia****1984 - 1990**

EDUCATION

UNIVERSITY OF RICHMOND, E. Claiborne Robins School of Business Administration, Richmond, Virginia**B.S. Business Administration, Accounting Major, *Cum Laude*****1982**

PROFESSIONAL AFFILIATIONS

MONEY MANAGEMENT INSTITUTE - Board of Governors**FORUM FOR INVESTOR ADVICE - Co-Chairman****INVESTMENT COMPANY INSTITUTE - Sales Force Marketing Committee****Securities Industry Institute Wharton School Certification****Chartered Mutual Fund Counselor****Series 7, 24, 51, and 63 Registrations**

PUBLISHED INTERVIEWS AND MEDIA COVERAGE

PUBLICATION	TOPIC	DATE
American Banker	<i>Hartford Relies on Wholesalers to Boost Advisor Channel Sales</i>	12/1/08
	<i>Hartford Eyes Continued Mutual Fund Expansion</i>	11/19/07
Barron's	<i>Get Bonds, Corporate Bonds</i>	12/20/08
BoardIQ	<i>Go Anywhere' Global Funds Picking Up Steam in 2010</i>	7/27/10
Financial Planning	<i>Investors Craving Advice on Fixed-Income Products</i>	9/23/09
FundAction	<i>The Hartford Cuts Fees On 36 Funds</i>	7/14/10
	<i>A View from the Top</i>	5/17/10
	<i>Hartford Adds Share Class to Two Funds</i>	3/8/10
	<i>Hartford Prepping For Economic Recovery Opportunities</i>	10/1/09
	<i>Hartford Finds Investors Want to Talk Fixed-Income</i>	9/28/09
	<i>Hartford Gears Up Strategic Marketing Of Fund Unit</i>	8/19/09
	<i>Hartford to Advisors: Here's Why You Like Us</i>	8/13/09
	<i>Hartford Plans Bond Merger</i>	6/18/09
	<i>Hartford Pushes Fixed Income Diversity</i>	6/1/09
	<i>Hartford to Axe Last State-Specific Muni Fund</i>	4/20/09
	<i>Changes Afoot In Retirement Thinking</i>	10/17/08
	<i>The Hartford Readies Marketing Campaign</i>	8/25/08
Ignites	<i>Hartford's New Funds Go Global in Fighting Inflation</i>	6/1/10
	<i>The Hartford Launches New Marketing Campaign</i>	1/4/10
	<i>Invesco Aim, Hartford Shift Message to Fit Market</i>	10/01/09
	<i>Hartford Pegs Fund Growth to Wraps, 401(k)s</i>	8/21/09
	<i>Hartford Bids Adieu to B, C Shares n Target Dates</i>	7/31/09
	<i>Hartford Appoints New Head of Funds, 529 Biz</i>	11/07/07
	<i>Franklin Sweetens Deal to Boost Sales at Wachovia</i>	7/12/02
MarketWatch	<i>Hartford funds face up to market challenges</i>	8/20/09
Money Management Executive	<i>Crisis Creates Opportunity for Fixed Income Education</i>	9/28/09
	<i>Hartford Reopens MidCap Value Fund</i>	9/9/09
MutualFundWire.com	<i>Hartford is On Track to \$100 Billion</i>	8/25/10
	<i>Hartford Cuts Fees on 36 Funds</i>	7/14/10
	<i>Hartford Adds I Shares to Two More Funds</i>	3/1/10
	<i>The Hartford Revamps a Fund</i>	12/17/09
	<i>Hartford Reopens Another Long-Closed Fund</i>	9/1/09
	<i>Hartford Preps a Strategic Marketing Push for its Fund Arm</i>	8/17/09
	<i>Hartford Hires a DC Marketing Vet</i>	2/26/09
	<i>Hartford Hires Wachovia Vet to Head Mutual Fund and 529 Business</i>	11/5/07
PlanSponsor.com	<i>Hartford Adds I Class to Two Funds</i>	3/1/10
	<i>Hartford Equity Offering Has New Name</i>	12/17/09
	<i>Hartford Unveils Fixed Income Education Materials</i>	9/23/09
The Wall Street Journal	<i>Hartford Sees Life in Mutual Funds</i>	8/25/09