

*A Partner Who Understands
Your Business and The
Traditional and
Alternative Institutional
Distribution Marketplace*



Janice E. Abert
Managing Partner
(914) 328-7061 Office
janice@abertassociates.com
www.abertassociates.com

Clients of Abert Associates, LLC benefit from our 20+ years of professional working and executive recruiting experience in the asset management distribution marketplace. We create "partnerships" with clients enabling us to leverage an unparalleled level of market insight and individualized service to bring the best business development and sales management talent to your organization. We have created a "community" with our clients and candidates by organizing monthly/quarterly networking opportunities which in turn enables us to interact face-to-face multiple times a year with candidates. We are also a resource for over 1000 clients and candidates for industry intelligence and introductions to other service providers who can help clients create high performing distribution organizations.

ABERT ASSOCIATES, LLC

Specialist in Recruiting Business Development Leaders

"Leveraging an unparalleled level of individualized service and institutional distribution market insight for your business."

THE CASE FOR SEARCH SPECIALIZATION

The current unprecedented financial environment creates unique challenges for traditional and alternative Asset Management firms that are looking to build or grow their institutional distribution organizations. More than ever, it is critical to partner with service providers who can guide you on industry best practices, such that hiring decisions can fully leverage candidate skills, while being accretive and strategic for your firm.

Engaging a leading firm with focused core competencies, and a solid reputation, will ensure the efficient utilization of your time and resources, and that the most positive image of your firm is conveyed to the brightest available talent.

As one of the most experienced Executive Recruiters specializing in asset management business development searches, Abert Associates uses both a top-down and bottom-up approach to getting to know candidates. Identification of the best candidate goes far beyond paper credentials, as it involves knowing the candidate pool on a longitudinal basis and identifying an optimal cultural fit. We build deep relationships with candidates from one-on-one interviews and then interacting with them multiple times a year around our sponsored Symposiums. Much of the success of the candidate identification process involves intangible elements of the client-candidate-recruiter relationship, foremost among them being a trust factor. Once a desirable candidate has been favorably vetted, it is important to close the transaction with a compensation package that is both within the comfort zone of the client, and which incentivizes the candidate around his or her growth prospects within the firm. Partnering with a recruiter that specializes in asset management distribution will help ensure you select the right candidate with mutually agreeable performance expectations and compensation.

Building the Abert Associates, LLC "Community"

Sponsor of "Abert Associates Quarterly Luncheon Symposium" since 2002 in NYC, and starting in 2010 in Boston. Over 400 women in Institutional distribution roles at traditional and alternative asset management firms are invited eight times a year to participate in a two hour "round table" Symposium to discuss industry trends and best practices in Institutional Distribution. *We leverage our deep relationships with this growing group of women to stay current on industry intelligence in both traditional and alternative distribution.*

Sponsor of the "Abert Associates Monthly Peer Network Group." During 2009 over 300 "unemployed" institutional distribution professionals were invited each month to participate in a two hour gathering in NYC to network with their peers to discuss hiring trends/intelligence and job hunting best practices. They were also sent weekly emails with industry intelligence and information on job hunting tools shared by their peers. In 2010, this group will be transitioned into an AIMSE sponsored Quarterly educational event. *This enables us to know all the active candidates, who in turn keep us informed of market and hiring intelligence.*

Sponsor of "Institutional Industry Intelligence" emails. Several times a month, industry studies and white papers are sent to over 1000 "Sales Leaders and Symposium Attendees" pertaining to best practices in Institutional Distribution. *This is a differentiating "value added" service which we offer to clients and candidates.*

Member of the "Strategic Growth Alliance: Business Growth Advisors to the Asset Management Industry." This is a consortium of specialist Executive Recruiters and Consulting Firms providing sales strategy, marketing/communications, presentation skills and win/loss studies for Asset Management firms. *This "best in class" group of consultants can be introduced to clients to utilize as a resource to further strengthen their distribution approach.*

Active involvement with industry organizations; *High Water Women* – Head Chairwoman of the Annual Back Pack Drive fund raising committee with a personal goal of raising \$20,000 in 2010, as Co-Chair in 2009 raised over \$13,000, and on the Membership Committee; *100 Women in Hedge Funds* - on Leverage Committee; and Member of 85 Broads.

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PROFESSIONAL BACKGROUND

Prior to founding Abert Associates, LLC in 2004, Janice had been a Managing Director in the New York office of Warren International and a Partner at TMP Worldwide. She began her 15 year recruiting career in 1996, joining Johnson, Smith & Knisely as the Head of their Asset Management Sales Practice. Janice has always specialized in recruiting asset management distribution professionals. The focus of her practice is distribution to the Defined Benefit market place: Investor Relations, Institutional Marketers, Consultant Relationship Managers, Client Relationship Managers and Marketing Communications professionals.

Prior to her career in search, Janice spent over eight years in sales and marketing positions at PaineWebber. She first joined PaineWebber as a Mutual Fund Marketing Manager for their proprietary funds managed by Mitchell Hutchins Asset Management. She then spent four years in a Wholesaling position as the VP, Retirement Plan Consultant for PaineWebber's Northeast Division. Subsequently, Janice was promoted to lead the group as the Corporate VP, National Sales Manager, Retirement Plans, and managed 13 Retirement Plan Consultants who sold both PaineWebber proprietary and non-proprietary mutual fund, insurance, trust and asset management products. In this position, she established very strong relationships with senior Sales and Marketing Heads in the mutual fund, asset management and retirement industry. Janice holds a BA from Mount Holyoke College.

THE ABERT ASSOCIATES ADVANTAGE

- **Expert knowledge of industry trends and search specialization**
A market savvy perspective of hiring practices
- **Focus on institutional, retail & subadvisory distribution markets**
Playing to our strengths
- **Extensive database of accomplished candidates**
Ensuring a diverse and renewable pool of top talent
- **Provide differentiated "value added" Symposiums and Industry Intelligence to 1000 Clients and Candidates**
Building deep relationships and loyalty by interacting multiple times a month with professional "community"
- **Extensive network of "centers of influence" in industry**
Engaging the leaders for sourcing and market intelligence
- **Long-term relationships with clients and candidates**
Leveraging trust and success into repeat business
- **Nationally Certified by the National Women Business Owners Corporations (NWBOC)**
Enabling clients to promote diversity among search providers
- **Relationship focus and results orientation**
Building on our success

ADDRESSING A BROAD RANGE OF CLIENTS, POSITIONS & PRODUCTS

Representative Client List

*Current Off-limit Clients

Alpha Simplex, LLC
American Express/Riversource
Axiom International Investors LLC
BlueBay Asset Management
Citigroup Asset Management
Blue Mountain Capital
Clay Finlay, Inc.
Corbin Capital Partners, LP
Delaware Distributors
Deutsche Asset Management
Dreyfus Distributors
EIM Management (USA) Inc
Epoch Investment Partners*
Equinox Capital
Frontier Capital Management
Hartford Investment
Management Company

Hartford Life
ING
John A. Levin & Co
Lyster Watson Management*
MassMutual
New York Life Investment Mgmt
Optima Fund Management
Pareto Partners
Pioneer Investment Management
Principal Global Investors
Prudential Investments*
Sentinel Funds
State Street Research
CIGNA (Times Square Asset Mgmt)
UBS Global Asset Management
U.S. Trust Company

Representative positions

Head of Institutional Marketing
Institutional Marketer
Investor Relationship Manager
Consultant Relationship Manager
Client Relationship Manager
Client Portfolio Manager
Marketing Communications
Manager
RFP Marketing Manager
Database Marketing Manager
Subadvisory/Platform Marketer

Representative products

Separate Accounts
Alternative Products
Mutual Funds

ABERT ASSOCIATES, LLC

Specialist in Recruiting Business Development Leaders

REPRESENTATIVE PLACEMENTS - Institutional Marketing

Global Head, Inst. Marketing & Client Service
US Head, Institutional Marketing
Institutional Marketing, Insurance
Consultant Relationship Manager
Global Financial Institution in CT/NY

Head, Institutional Marketing
Premier Trust Company in NY

Head, Institutional Marketing & Client Service
Value Equity Money Manager in NY

Head, Institutional Marketing
Institutional Marketing, National
Senior Client Service Representative
Value Equity Money Manager in NY

EVP, Head, Institutional Marketing &
Client Service
Institutional Marketing, Mid-Market, West Coast
Investment Management Firm in Boston

Head, Institutional Marketing
**Investment Arm – Large Insurance
Company in NY**

Institutional Marketing, Player/Coach, HF
Hedge Fund in NY

Director, Institutional Marketing, Public Funds
Director, Institutional Marketing, Corp Plans
Director, Client Relationship Management
Director, Institutional Marketing, Corporate,
E&F, Southern Region
Director, Institutional Marketing, Generalist,
Western Region
Director, Consultant Relationship Manager
**Investment Arm – Large Insurance Company
in CT**

Head of Client Service, North America
Global Asset Mgt. Money Manager in NY

Institutional Marketing, Western Region
Currency Overlay/Fixed Income Manager in NY

VP, Institutional Marketing and CS
VP, Institutional Marketing and CS, HF
Intl/Global Long and HF Equity Firm in CT

Head of Institutional Marketing and
Consultant Relations
US Equity Money Manager in Boston

Institutional Marketing, Public Funds
Institutional Marketing, Taft Hartley
Institutional Marketing, Mid West
Institutional Marketing, West
Institutional Marketing, East
Consultant Relationship Manager
Global Asset Mgt. Firm in IL/NY

Institutional Marketing Mid-market,
North America
Global/International Equity Manager in NY

Institutional Marketing, NE
Institutional Marketing, Public Funds
Institutional Marketing, SE
Client Portfolio Manager
Manager, Consultant Data Team
Manager, RFP Team
Global Asset Management Firm in NY

Institutional Marketing and CR, HF
Institutional Marketing and CR, HF
Client Service Manager, HF
**Global Fixed Income Long and HF
Asset Management Firm in NY/Global**

Institutional Marketing, Generalist, HFOF
Consultant Relationship Manager, HFOF
Client Service Manager, HFOF
Hedge Fund of Funds in NY

VP, Marketing, Institutional Key Account Group
Institutional Marketing, National
Consultant Relationship Manager
**Fixed Income Investment Arm – Large
Insurance Co. in NJ**

Director Institutional Marketing and CR, HFOF
Director of Consultant Relations, HFOF
Direct of Client Service, HFOF
Global Hedge Fund of Funds in NY/Global

Head of Institutional Marketing
Head of Consultant Relationship Management
Institutional Marketing, SE
Institutional Marketing, Insurance
Consultant Relationship Manager
Product Development Specialist
Global Asset Management Firm in NY/IA

Institutional Marketing and CR, HF
Hedge Fund in Boston

Head of Consultant Relationship Management
Marketing Communications Manager
RFP Marketing Manager
**Domestic/International Value Equity
Manager, NY**

Institutional Marketer and CR, HFOF
Hedge Fund of Fund in NY

Institutional Marketing and Investor Relations, HF
Credit Hedge Fund in NY

REPRESENTATIVE PLACEMENTS - Retail and Sub-advisory

President
Asset Management Arm – Wirehouse Firm NY

Head, Retail Sales & Marketing
EVP, Third Party Distribution (Subadvisory)
Head of Operations, Americas
Senior Administrator, ETF Funds
Global Asset Mgt. Firm in IL/NY

Director, Marketing, Investment Products Div.
Large Insurance Company in CT

Chief Marketing Officer
Small Mutual Fund Company in VT

SVP, Institutional Subadvisory Marketing
SVP, Marketing
VP, Marketing
Asset Management Arm – Wirehouse Firm in NJ

SVP, Head of Retail Product Distribution
VP, National Sales Manager
VP, Client Acquisition
Diversified Financial Services Firm in MN

Subadvisory Marketer
Global Asset Management Firm

Chief Investment Strategist
Large Insurance Company in CT

SVP, National Sales Manager, W/R
SVP National Sales Manager, IPI
VP, Key Account Manager, IPI
Mid-Sized Mutual Fund Company in PA

National Sales Manager, IPI Division
Western Divisional Manager, IPI
Large Mutual Fund Company in NY

Head of Relationship Management
Mid-Size Mutual Fund Company in Boston

Southern US Regional Sales Manager
Asset Mgt. Arm – Large Insurance Cos. in NJ

Regional Consultant, Wrap, MidAtlantic
Value Equity Money Manager

VP, Divisional Manager, East
VP, Divisional Manager, West
VP, Divisional Manager, Midwest
US Retail Operation of International Bank in IL

THE ABERT ASSOCIATES SEARCH PROCESS

1 METHODOLOGY

Our approach to search is grounded in unparalleled market knowledge, a singular focus on the institutional/retail/sub-advisory distribution markets and an extensive database of experienced candidates, coupled with a state-of-the-art technological infrastructure. Rapid execution and a high completion rate are the results of the distinctive components of our search methodology.

2 CANDIDATE IDENTIFICATION AND ASSESSMENT

Front-ended Identification

Leveraging our relationships in the market and our extensive proprietary database of asset management sales and marketing professionals we are able to efficiently define and prioritize the universe of qualified candidates at the outset of a search.

Benchmarked Assessment

Having defined the universe early, we help clients evaluate candidates comparatively rather than serially, ensuring that talented candidates do not become casualties of a protracted decision-making process.

Independent Referencing

Bringing to bear our market knowledge and longstanding relationships across a broad range of distribution marketplaces, we accurately calibrate and thoroughly reference candidates.

3 DRIVING TO CLOSURE

Laying the Groundwork

We believe the methods for candidate identification and assessment described above ensure a successful closure from the start of a search.

Expert Negotiation

We define compensation issues - the most likely potential deal-breaker - with both the client and candidates from the outset of a search, so that expectations can be managed throughout the process. We will work with both Human Resources and line managers to determine a fair offer that will be compelling to the selected candidate, while also shaping a balanced perspective for the candidate on his/her value in the market. In addition, we seek to convey to the candidate the intangible aspects of the opportunity that should not be overlooked.

Responsible Recruiting

Our reputation for integrity, discretion and market acumen affords us access to the highest-level sales professionals and enables us to consistently exceed candidate delivery expectations. We are committed to completing assignments in a timely fashion, with candidates who will demonstrate organizational longevity. We believe the ultimate benchmarks of our success are the performance of the candidates on the job and our sustainable relationships with both clients and candidates.

STRATEGIC GROWTH ALLIANCE

To best serve clients, Abert Associates, LLC has created alliances with other Consultants focused on building the Institutional Distribution efforts for traditional and alternative asset management firms through hiring professionals and/or enhancing marketing communications and strategy:

Frank J. Carr
Centennial Advisory Group LLC
203-487-6171
fcarr@centennialag.com
www.centennialag.com

With over 13 years of recruiting experience, Centennial Advisory Group is an independent retained executive search firm focused on the hedge fund industry. Centennial was founded by Frank Carr, an executive search industry veteran and the former chief financial and administrative officer of a Connecticut-based hedge fund. Recruiting focus is on placing Portfolio Managers, Analysts, COOs, CFOs, CAOs, Business Developers and other Operations & Administration roles for Alternative managers.

Sally M. Stalcup
Stalcup Consulting
949-709-5553
sally@stalcupconsulting.com
www.stalcupconsulting.com

With over 15 years of experience providing consulting to investment management firms, Stalcup Consulting helps companies achieve "best practices" within key areas of their business. Services include: strategic marketing; presentation coaching; win-loss analysis/surveys/market research; and, audit of sales and client service materials and programs.