

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



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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 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 are a resource to make introductions to other service providers who can help clients create high performing organizations.

ABERT ASSOCIATES, LLC *Specialist in Recruiting Sales 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, like Abert Associates, 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 500 women in institutional distribution roles at traditional and alternative asset management firms are invited six 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 and to serve as referral and reference sources for candidates.**

Sponsor of the “Abert Associates Monthly Peer Network Group.” During 2009 over 200 “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. In 2010, this group was transitioned into the AIMSE sponsored NYC educational breakfast gatherings. **This demonstrated our commitment to mentoring candidates and promoting the importance of peer networking.**

Sponsor of “Institutional Industry Intelligence” emails. We regularly distribute industry Intelligence to over 1000 “Sales Leaders and Symposium Attendees”. **This is a differentiating “value added” service which we offer to clients and candidates.**

Active involvement with industry organizations: Janice is a Member of the Board of Directors of the *High Water Women Foundation* www.highwaterwomen.org. Since 2010 she has been the Chairwoman of the Annual Backpack Drive fund raising committee, which in 2011 raised \$130,000 to assemble 6500 backpacks and in 2010 raised over \$80,000 to assemble 5,800 backpacks for children in need. She started as a Co-Chair in 2009 and has personally raised annually up to \$20,000 from her Symposium Community.

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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 16 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 asset gathering and retention for 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 Managers in the mutual fund, asset management and retirement industry. Janice is a Member of the Board of Directors of the High Water Women Foundation. She holds a BA from Mount Holyoke College and is an avid equestrian.

THE ABERT ASSOCIATES, LLC ADVANTAGE

- 15 Year Institutional Distribution search specialization
- Long-term relationships with clients and candidates, and knowledge of asset management firms' distribution organizations
- Extensive database of accomplished Sales, Investor Relations, and Marketing candidates, and "centers of influence" in industry
- Expert knowledge of industry trends and best practices enables consultative partnership with clients
- Leveraging trust and success into repeat business building distribution teams and collegial sales cultures for clients
- Sponsor for over 10 years of Quarterly Symposiums in NYC and Boston for Women in Institutional Distribution has built deep relationships with invited group of over 500 female client facing professionals
- Specialized boutique with search methodology and best practices developed from prior Partner level experience at a Top 5 Global Executive Search firm
- Minimal off-limits means few restrictions for prospecting for top-tier candidates
- Flexible search fee arrangements

ADDRESSING A BROAD RANGE OF CLIENTS, POSITIONS & PRODUCTS

Representative Client List

American Express/Riversource
Artio Global Investors
Axiom International Investors LLC
BlueMountain Capital
BlueBay Asset Management
CIGNA (Times Square Asset Mgmt)
Citigroup Asset Management
Commonfund
Corbin Capital Partners, LP
DB Advisors
Eaton Vance
EIM Management (USA) Inc.
Epoch Investment Partners
Frontier Capital Management

Hartford Investment Management
Levin Capital Strategies
Lyster Watson Management
New York Life Investment Mgmt.
Optima Fund Management
Pioneer Investment Management
Principal Global Investors
Prudential Investments
Putnam Investments
Stride Capital
Talpion
U.S. Trust Company
UBS Global Asset Management
Weiss Multi-Strategy Advisers LLC

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

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REPRESENTATIVE PLACEMENTS - Institutional Distribution Professionals

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 Long and Hedge Fund
Manager in NY**

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

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

Head of Consultant Relations
Alternative Manager in CT

Head of Institutional Marketing, Player/Coach
Fixed Income Manager in NY

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

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

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

Institutional Marketer and Client Service,
Western Region
Global Asset Manager in Boston

Director of Investor Relations
L/S Hedge Fund Manager in NY

Investor Relations Associate
Multi-Strategy Hedge Fund Manager in NY

Associate, Global RFP Team
Global Asset Manager in CT/Paris

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

Institutional Marketing and CS,
Midwest Region
Global Asset Manager in Boston

VP, Consultant and Client Relationship Mgt.
VP, Institutional Marketing and CS
Intl/Global Long and HF Manager in CT

Institutional Marketing and Consultant
Relations
US Equity Manager in Boston

Institutional Marketing, Public Funds
Institutional Marketing, Taft Hartley
Institutional Marketing, Mid West
Institutional Marketing, West
Institutional Marketing, East
Consultant Relationship Manager
EVP, Third Party Distribution (Subadvisory)
Global Asset Mgt. Firm in IL/NY
Institutional Marketing Mid-market
**Global/International Equity Manager
in NY/IL**

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

Institutional Marketing and CR
Institutional Marketer
Consultant Relationship Manager
Client Service Manager
**Global Fixed Income Long and Hedge Fund
Manager in CT/London**

Director Institutional Marketing, HFOF
Director of Consultant Relations, HFOF
Director of Client Service, HFOF
**Global Hedge Fund of Fund Manager
in NY/London**

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**

MD, Institutional Marketing and Investor
Relations, HF
Fixed Income Hedge Fund Manager in NY

Investor Relations Specialist for Global
Credit HF
Global Asset Manager in NY

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

Institutional Marketing, National
Consultant Relationship Manager
SVP, Institutional Subadvisory Marketing
**Fixed Income Investment Arm – Large
Insurance Co. in NJ**

Subadvisory Marketer
Global Asset Manager In NY

Institutional Marketer and CS, Central Region
Global Asset Manager in Boston

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THE ABERT ASSOCIATES SEARCH PROCESS

1 METHODOLOGY

Our approach to search is grounded in unparalleled market knowledge, a singular focus on the institutional and sub-advisory distribution markets. 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 Recruiters focused on placing operations, administration and portfolio management talent for traditional and alternative asset management firms:

Frank J. Carr
Managing Director
MJE Advisors
203-344-9531
frank@mjeadvisors.com

Frank J. Carr has been an investment industry executive search professional for the past 15 years with a recruiting practice focused on operations, portfolio management, and also including senior executives for hedge fund service providers. He was formerly a Managing Partner with Abert & Carr Associates, his own firm Centennial Advisory Group, LLC and a Managing Director at A.T. Kearney. Frank is a former commercial banker and hedge fund chief financial officer. He is a graduate of Williams College where he received a Bachelor of Arts degree in Political Economy.

MJE has focused on the investment management industry with a particular specialization in operations, accounting, administration, compliance and infrastructure positions pertaining to hedge funds, mutual funds and private equity asset classes.

The current unprecedented financial environment creates unique challenges for traditional and alternative asset management firms that are looking to build or grow any aspect of their 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.