



# ALAN WOODS

## CURRICULUM VITAE

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### Executive Summary

Dual citizen (US/EU) in process of relocating back to Europe. Investment Funds and Securities Services experienced. Hands-on, operational leader with comprehensive relationship-building skills and advanced supervisory acumen. Expertise in global operations management (e.g. accounting, finance, marketing, compliance), strategic leadership and business development, most notably in financial services. Skilled and knowledgeable with multicultural teams, including remote leadership. Self-confident, organized, and motivated. Brings creativity and an entrepreneurial spirit to all business endeavors. Degrees in Finance and Global Management.

### Key Skills

- Financial Leadership
- Supervision & Training
- Fiscal Oversight & Internal Controls
- Development of Policy
- Global/Cultural Competence
- Corporate Development
- Communications & Collaboration
- Process Improvement
- Operations Management
- Shared Services Management
- Compliance & Documentation
- Multi-lingual

### Professional Highlights

#### Core Business Acumen

- ▶ **20+ years in the financial services industry** with top-tier firms / **mutual funds, ETFs, life insurance & variable annuities, private equity real estate, private capital offerings** / 15+ years in management / almost 15 years consultancy

#### Multi-cultural

- ▶ Lived and worked abroad / **launched offshore investment management company** / highly effective in managing staff across several countries and cultural complexities / interacted with foreign governments and regulatory bodies to drive initiatives

#### Regulatory / Fiscal Oversight

- ▶ **Expert in leading finance** / financial reporting & regulatory compliance, forecasting & budgeting / audits / internal controls / controllership / finance / analytics / treasury

#### Operational Leadership

- ▶ **Managerial oversight of multiple projects and departments** / comprehensive workflow analysis and assessment of processes and policies / project management / development & implementation of protocol / advanced analytical and critical thinking
- ▶ **Competence across multiple industries** fostering open communications in leading cross-functional teams to drive progress, while balancing a high volume of competing demands / consulting & analysis expertise / strategic planning / bottom-line focused

#### Change Management / Reorganization

- ▶ Managed through mergers & acquisitions, reorganizations, system conversions & integrations, **directly led initiative shifting to lower-cost centers of excellence affording 50% headcount expansion**—improving speed to market from 5-day to overnight turnaround—**yet yielding a 20% savings to budget**

#### HR / Personnel Management

- ▶ **Proficient in internal HR functions** for large and small organizations / developed expatriate policy and manual for large multi-national / lead salary studies and re-leveling / **managed change - staff reductions, relocations, restructures and communication** / hiring / onboarding / training / performance assessments / Goals

#### Business Growth

- ▶ **Planned and built home-based family business** generating 6-figure sales annually / established more than 250 individual accounts / executed all facets of operational management, fiscal operations, tax reporting, compliance & marketing

## Professional History

### **Multiple Corporate Entities – Management Consulting** **2014 – Present**

*New Era Technologies, AEGON Transamerica, Barings Securities, KleanSlate LLC, etc.*

- ▶ Specializing in finance, accounting, budgeting, planning, process automation and redesign
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### **Franklin Templeton Investments – San Mateo, California and St. Petersburg, Florida** **2011 – 2014**

*Preeminent and pioneering global asset management firm operating in more than 35 countries*

#### **DIRECTOR OF GLOBAL BUSINESS SERVICES**

- ▶ Global head of a shared services department responsible for the development, quarterly production and dissemination of more than 15,000 pages of collateral consumed globally by Sales; ensuring firm-wide consistency, e.g. Accounting, Financial Reporting, Performance, Portfolio Commentary and Legal
  - ▶ Developed GBS' Concierge Services team, focused on managing relationships and delivering consistency and exceptional service to the GBS internal customers – Sales and Client Service, ensuring speed to market
  - ▶ Oversight of 35 staff members in 7 locations across 5 countries; direct supervision of 5
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### **BlackRock, Inc. – San Francisco, California** **2009 – 2011**

*World's largest asset management firm, pioneered exchange-traded funds ("ETFs"), branded iShares*

#### **DIRECTOR OF FUND ADMINISTRATION**

- ▶ Management and oversight of all aspects of accounting, monthly close and analytics
  - ▶ Managed development, production and distribution of shareholder reports for more than 200 unique ETF products (all offerings of iShares brand), including corresponding audits across 5 different reporting cycles
  - ▶ Managed production of, and ensured timely regulatory filings (e.g. Forms N-SAR, N-CSR, N-Q, etc.)
  - ▶ Managed Disclosure Controls and Procedures ("DCP") process
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### **Multiple Corporate Entities – Management Consulting** **2003 – 2009**

- ▶ Specialized in Sarbanes-Oxley internal controls reviews, accounting, internal audit, and process reengineering
  - ▶ Oversaw documentation of policies, procedures, processes, process mapping, testing, and remediation
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### **AEGON Asset Management (Transamerica) – St. Petersburg, Florida and Luxembourg** **1992 – 2002**

*Life insurance, pension and investment company serving more than 40 million customers globally*

#### **MANAGING DIRECTOR & VP of GLOBAL BUSINESS DEVELOPMENT (2000-2002)**

- ▶ Established Luxembourg operating company and domiciled product (SICAV) with several portfolio offerings
- ▶ Negotiated and executed sub-advisory, custodial, transfer agency and fund accounting agreements
- ▶ Developed sales and marketing plans including executing distribution agreements

#### **MANAGER OF FUND ADMINISTRATION & CONTROLLER (1992-1999)**

- ▶ Management and oversight of accounting, financial reporting, compliance, tax reporting, regulatory filings, audits including with the SEC, and budgeting for all mutual fund, variable annuity and life products
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### **The Vanguard Group – Wayne, Pennsylvania** **1987 – 1992**

*World's largest mutual fund and ETF firm*

#### **SENIOR FUND ACCOUNTANT**

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## Education / Certifications

**M.B.A. – Global Management**

**B.S. – Finance**

**FINRA Series 7 and FINRA 63 licensed**