ALAN WOODS

Finance Executive | Controller | CFO

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Nationality: United States & Portugal (Dual Citizen) • EU work authorisation
Languages: English (C2), Portuguese (C1)

EXECUTIVE SUMMARY

Senior finance leader with 25+ years leading multinational finance operations across investment management, family offices, private equity, and corporate environments. Career foundation built at Vanguard and Transamerica, followed by senior leadership roles at BlackRock, Franklin Templeton, and global consulting engagements across Europe, the United States, and South America.

Expert in financial reporting, fund accounting, ERP transformation, regulatory compliance (CSSF, UCITS, SEC, SOX), and cross-border operations. Proven ability to build finance functions, modernise systems, accelerate close cycles, and partner with executive leadership to support M&A, restructuring, and international expansion.

Dual U.S./EU citizen with deep experience in Luxembourg's regulatory environment and a strong track record of delivering measurable improvements in efficiency, accuracy, and governance across multi-entity, multi-jurisdictional organisations.

CORE COMPETENCIES

Financial Leadership & Governance

Financial Reporting • FP&A • Budgeting & Forecasting • Treasury • Cost Optimisation • Close Cycle Acceleration

Systems & Transformation

ERP Implementation (Dynamics 365, SAP, Oracle, NetSuite) • Automation • Data Migration • Platform Integration

Strategic & Cross-Border Initiatives

International Expansion • M&A Due Diligence • Board Reporting • Banking & Auditor Relations • Organisational Restructuring

Regulatory & Compliance

CSSF/UCITS • SICAV Structures • SEC Reporting • SOX • Internal Controls • Audit Oversight

Global Team Leadership

Multi-Country Operations • Shared Services • Change Management • Leadership of 35+ Staff Across 7 Countries

Client & Stakeholder Management

Family Office Advisory • Board Governance • Strategic Partnership • Fiduciary Leadership • Relationship Building

BOARD EXPERIENCE & GOVERNANCE EXPERTISE

Board Service

Crosstree Capital Partners (2023-2024): Served as Board Member providing governance oversight, strategic guidance, and fiduciary responsibility alongside CFO role. Delivered quarterly presentations on financial performance, risk management, and strategic recommendations to fellow directors. Participated in audit committee-level oversight and executive compensation discussions.

Governance Capabilities

SOX Compliance • Regulatory Oversight (SEC, CSSF) • Fiduciary Responsibility • Internal Controls • Risk Management • Audit Committee Coordination • Multi-Jurisdictional Compliance

KEY ACHIEVEMENTS

International Expansion & Market Entry

- Established Luxembourg SICAV investment company for $60B asset management firm, serving high-net-worth investors and family offices; managed $2B in multi-generational assets across U.S. and European markets; secured CSSF regulatory approval and coordinated 12-month launch.
- Negotiated counterparty agreements (custodians, auditors, etc.) generating $8M in annual revenue.
- Authored European expansion plan supporting €50M capital investment.

Operational Excellence & Team Building

- Redesigned financial reporting platform, improving efficiency by 50%, audit accuracy by 95%, and saving $500K in year one; achieved Morningstar "A" rating.
- Scaled fund accounting operations from $5B to $35B AUM over seven years.
- Led teams through consecutive years of clean Big 4 audits with zero compliance issues.

PROFESSIONAL EXPERIENCE

APEXVISTA ASSET MANAGEMENT, LLC | Tampa, Florida, USA

Founder & Managing Principal | 2024 – Present

Founded boutique real estate investment firm specializing in value-add residential acquisitions and repositioning.

Key Achievements

- Generated $825K in revenue in first 18 months; achieved 48-hour sale on most recent property.
- Manage full investment lifecycle from underwriting and financing through budgeting and exit strategy.

CROSSTREE CAPITAL PARTNERS | Tampa, Florida, USA

Vice President of Finance & Chief Compliance Officer (Board Member) | 2023 – 2024

Recruited to build CFO-level financial infrastructure for private capital M&A advisory firm. Role eliminated during firm-wide restructuring following significant revenue underperformance against aggressive growth projections.

Key Achievements

- Built finance organisation from the ground up, establishing FP&A, financial reporting, broker-dealer regulatory reporting, and internal controls infrastructure previously absent.
- Implemented cloud-based financial reporting platform integrated with accounting systems, reducing month-end reporting cycle from 15 to 9 days and enabling real-time dashboards.
- Oversaw accounting, IT vendor management, and regulatory compliance; supervised Controller.
- Optimized treasury operations for $12M budget, maintaining liquidity while reducing idle cash by 18%.

INDEPENDENT CONSULTING | USA & International

Controller & Finance Transformation Consultant | 2014 – 2023

Delivered financial operations improvements, ERP implementations, and internal controls frameworks for Fortune 50-1000 firms across financial services, technology, pharmaceutical, manufacturing, and healthcare sectors.

Notable Client Engagements

New Era Technologies | SaaS Healthcare Platform ($1B+ Revenue)

- Served as interim Controller for 14 months during significant leadership transition; led ERP transformation from Great Plains to Dynamics 365 across seven subsidiary entities
- Delivered consolidated reporting, reconciliations, cash management, and audit coordination; partnered with Global Controller and CFO to build shared services team.

Barings Securities LLC | Investment Management

- Reengineered client lifecycle processes, improving onboarding and private equity real estate operations.
- Identified operational inefficiencies and recommended process improvements.

Stolt-Nielsen Transportation Group | Global Bulk Liquid Shipping

- Led SOX internal controls assessments across the Netherlands, Spain, Brazil, and U.S. operations.
- Evaluated controls for globally integrated operations spanning tankers, terminals, and logistics.

FRANKLIN TEMPLETON INVESTMENTS | California & Florida, USA

Director of Marketing Operations (Global) | 2011 – 2014

Global head of department responsible for accuracy and distribution of financial data across 15,000+ pages of marketing collateral consumed by institutional and retail sales channels for $900B investment management firm.

Key Achievements

- Managed 35-person team across seven countries with $12M operating budget.

- Achieved 20% cost savings while growing headcount 50% through reorganization into low-cost COEs.
- Reduced time to market from 5 days to 1 day for 90% of deliverables.
- Designed metrics reporting function measuring collateral consumption by product, channel, and region.

BLACKROCK, INC. | San Francisco, California, USA

Director of Finance | iShares ETF Platform | 2009 – 2011

Oversaw financial reporting, fund accounting, and regulatory compliance for $80B of ETFs and mutual funds.

Key Achievements

- Managed $6M department budget and team of 25 professionals supporting 215 investment products.
- Achieved $1.4M in annual savings through vendor renegotiation and process optimization.
- Led SOX disclosure controls and procedures assessments with zero audit findings.
- Produced N-CSR, N-PORT, and other SEC regulatory filings with 100% on-time compliance.
- Collaborated with Legal, Compliance, and Treasury on complex restructurings and product launches.

AEGON TRANSAMERICA ASSET MANAGEMENT | Luxembourg & USA

Managing Director | Transamerica International (Luxembourg) | 2001 – 2002

Vice President, Global Business Development | 2000 – 2002

Expatriate assignment leading European expansion and establishment of offshore investment operations.

Key Achievements

- Established Luxembourg SICAV serving high-net-worth investors and family offices; secured CSSF approval (see Key Achievements above for full details).
- Negotiated service agreements with 15+ European counterparties, generating $8M annual revenue.
- Developed 5-year European expansion plan supporting €50M capital investment.
- Represented U.S. parent in EU market; managed CSSF, ALFI, legal counsel, tax advisor relationships.
- Led global market analysis selecting Luxembourg as European headquarters.
- Developed business and marketing plans for European market entry.
- Served on Investment Company Institute's Global Development Committee.

Director of Finance | 1992 – 1999

Oversaw fund administration, fund accounting, compliance, expense management, and tax operations.

Key Achievements

- Redesigned financial reporting platform achieving Morningstar "A" rating, converted from spreadsheets to database environment, improving operational efficiency by 50%, accuracy by 95%, saving $500K.
- Reduced annual fund expenses by $1M through budget controls and vendor optimisation.
- Managed audits and SEC examinations with consecutive years of clean audit opinions.

EARLIER CAREER

THE VANGUARD GROUP | **Senior Fund Accountant** | 1987 – 1992

MANAGEMENT CONSULTING | **Senior Manager** | 2003 – 2009

EDUCATION

MBA | Global Management | University of Phoenix (2002)

BSc, | Finance | Saint Joseph's University (1991)

TECHNICAL SKILLS

ERP & Financial Systems: SAP, Oracle, JD Edwards, Dynamics 365, NetSuite, Hyperion, PeopleSoft, Solomon, QuickBooks Enterprise, Sage Intacct, Fathom (financial reporting), Datarails (FP&A platform), Reach Reporting

Reporting & Analytics: Power BI, Tableau, FRX, Advanced Excel, SQL

Fund Accounting Platforms: Sungard (FIS), Advent Geneva, Investran, SS&C, eFront

Additional Business Applications: Salesforce, HubSpot, MS Project, MS Visio, Python (collaborative exposure)

PROFESSIONAL CREDENTIALS & MEMBERSHIPS

FINRA Licenses (previous): Series 7, Series 63; Series 14 (candidate)

Investment Company Institute (ICI) – Former Committee Member

Association of Luxembourg Fund Industry (ALFI) – Industry participant