

James C. McMillan
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Summary:

Goal-oriented team player with a proven track record of institutional sales and relationship management of both traditional and alternative investment management capabilities – hundreds of well-established institutional and consultant relationships.

Experience:

Principal Global Investors 2014 – 2019

Institutional Sales and Senior Relationship Manager

- Originated and developed first Canadian institutional sales initiative yielding important new firm relationships as well as a current CAD 2 Billion+ pipeline across a range of provinces and plan types.
- Maintained and grew relationships with a large set of institutional clients - relationships often involved a high level of complexity, substantial AUM and multiple mandates. Developed trusted relationships.
- Proactively sourced, cultivated and closed numerous cross-sale mandates for a variety of investment capabilities.
- Client and prospect types included: public funds, corporate plans, insurance companies, endowments, foundations, health services organizations and Taft-Hartley plans. Investment portfolios included: real estate, fixed income and equity mandates among others.

Investcorp International Inc. 2009 – 2013

Principal – Head of U.S. Commercial Real Estate Sales and Investor Relations

- Raised firm's first U.S. focused commercial real estate mezzanine debt fund directed toward U.S., Canadian and European investors, attracting substantial commitments from large, well-recognized, institutional investors.
- Established strategy for, and implemented all aspects of, the real estate group's first marketing program in North America and Europe – initiated and sustained a calling program which leveraged a broad network of institutional and consultant relationships; developed and organized all associated fund collateral materials including marketing presentations, brochures, data rooms, etc.; collaborated with legal counsel on the production of related fund offering documents; coordinated press releases and responses to requests for proposals.
- Managed newly originated North American and European institutional relationships – coordinated quarterly reporting - provided frequent product and market updates.

Blackstone Alternative Asset Management L.P. 2007 – 2008

Vice President – Sales and Relationship Management

- Closed multiple new fund of hedge funds clients through competitive finals presentations. Wins included team as well as individual presentations.
- Generated a \$1.5 Billion pipeline of new business opportunities by tapping into network of contacts in both the plan sponsor and consultant communities – direct marketing efforts focused on large plan sponsors, especially public funds, throughout the U.S. with an emphasis upon plans in the East and Midwest regions.
- Managed key client and consultant relationships.

FRM Americas L.L.C. 2005 – 2007

Vice President – Sales and Relationship Management

- Created marketing plan and spearheaded all marketing initiatives for fund of hedge funds strategies to prospects in the East and Midwest regions - responsibilities included new business development and consultant relations. Supervised RFP process management and marketing material development.
- Collaborated with the firm's U.S. and European investment professionals to launch a successful new and differentiated portfolio specifically geared to the U.S. market. Closed seed investor for new fund of hedge funds product launch.

Credit Suisse Asset Management L.L.C. 2001 – 2005

Vice President – Sales and Relationship Management

- Actively marketed both traditional and alternative investment portfolios to institutional prospects – specialized in public funds and Taft-Hartley plans.
- Responsible for relationship management for many of the firm's largest clients - client portfolios included equity, fixed income and derivatives mandates. Attracted additional assets to portfolios.

Goldman Sachs Group Inc. 2000 – 2001

Vice-President – Sales

- Recruited as key member of the sales team built for the Wealth Management Division – a new, internet-enhanced initiative created to serve individual investors with liquid assets between five and fifteen million dollars. Led similar efforts to market the platform to groups of wealthy individuals at large corporations.

J.P. Morgan Inc. 1999 – 2000

Vice-President – Sales

- First person hired specifically to market and sell J.P. Morgan “On-Call” Service – a customized, financial advisory program targeted at single-digit millionaires. Closed more than 50 accounts within one year. Marketed “MorganOnline” – internet-based financial advisory software – to CFOs of major corporations as a benefit for their key employees.

PaineWebber Inc. 1994 – 1999

Vice-President – Trading

- Co-managed a large Mortgage-Backed Securities Matched Book. Regularly interacted with buy-side customers in a capacity that facilitated borrowing and re-investment opportunities for those customers and the firm.

J.P. Morgan Inc. 1988 – 1994

Associate – Sales ('91 – '94)

- Part of a core group of people selected to establish a new business at J.P. Morgan to market self-directed investments to existing private banking clients.
- Selected to complete the *J.P. Morgan Global Financial Markets Training Program #17* (1992)

Trading Assistant ('88 – '91)

- Managed numerous commercial paper programs with large outstanding balances. Worked with J.P. Morgan investment bankers in the establishment of new commercial paper programs.
 - *Internship – J.P. Morgan Securities – Financing Desk (Summer '87)*
 - *Internship – J.P. Morgan Securities – Tax-Exempt Fixed Income Trading (Summer '86)*

Education:

- Fordham University Gabelli School of Business – New York, NY; M.B.A. Finance – 1995
- College of the Holy Cross – Worcester, MA; B.A. Economics – 1988

Certifications:

- Series 3, 7, 63

Personal / Interests:

- Married; four children / Golf: Winged Foot Golf Club member