
WORK EXPERIENCE:

Rothstein Kass - Principal

Aug. 2011 – Present

Financial Services Group Principal dedicated to diverse group of private equity and hedge funds. Responsible for tax planning and compliance, accounting and financial consulting for investment advisers, funds and their principals. Clients include: MHR, Atalaya, Scopus, Eton Park.

- Author of numerous client bulletins, including proposed regulations on §1411 - net investment income tax; §446 notional principal contract (swap) re Dodd Frank, §871(m) – U.S. withholding on dividend equivalents, ERISA liability - trade or business (*Sun Capital*), mixed straddles.
- Member of RK National Tax Advisory Group responsible for developing tax strategies for financial services clientele.
- Improved compliance delivery and team response time on year-over-year basis with increased planning and accountability on all large engagements with highly organized project plans and budgets.
- Provide frequent technical training to all levels including topics of client bulletins, tax straddles, ISDA protocols, distressed debt, §754 election and calculation of §743/§734 adjustments.

Berkeley Quantitative, LP – Chief Financial Officer

Oct. 2010 – Aug. 2011

Responsible for accounting and financial functions for systematic CTA managed hedge funds and managed accounts. Investment manager – Elwyn Berlekamp (Medallion). AUM/employees at peak \$280M/18.

- Responsible for accounting and trading function, including daily cash management, reconciliation of position and cash, review of broker/administrator record keeping and monitoring of position/limits and trading with futures exchanges, and margin monitoring across four custodians.
- Responsible for operational launch of three funds, including account set up and negotiation of fund contracts, including offering documents, prime brokerage, fund administration and trading agreements.
- Managed year end audit and tax return process with various audit and tax firms and administrators to deliver audited reports and tax returns pursuant to deadlines in offering documents.
- Developed with new marketing head a comprehensive package of investor and prospect reporting detailing performance, risk and due diligence. Implemented monthly subscription and reporting processes to improve administrator delivery of monthly statements, accuracy of investor specific reports and completeness of transfer agency function.

Caip Partners, LLC – Chief Financial Officer

Nov. 2006 – Oct 2010

Responsible for non-investment functions for long/short hedge funds, including financial, accounting, legal, tax and operations. Investment manager – Jerry Schendel (Pequot/Andor). AUM/employees at peak \$230M/8.

- Responsible for all daily middle and back office operations through fund life cycle.
- Developed comprehensive performance, risk and due diligence reports as part of financial reporting for investor relations and internal portfolio and risk management functions.
- Served as business, credit and legal liaison for all fund and management company counterparties, including research, trading, prime brokerage, fund administration, payroll and benefits.
- Provided tax planning and compliance for funds and management company including tax structuring and planning for all investments, e.g. international tax minimization, wash sale, gain deferral, etc.
- Devised operational infrastructure IT/CRM (Netage)/OMS (Eze) and DR. Transitioning to in-the-cloud to reduce overhead costs, reduce risk of down-time and hardware failure/obsolescence.

Ampere Capital Management LP – Chief Financial Officer/Chief Compliance Officer

Apr. 2005 - Nov. 2006

Responsible for non-investment functions for long/short hedge funds, including financial, accounting, legal, tax, operations and compliance. Investment manager – Wayne Wilkey (Ardsley/Moore). AUM/employees at peak \$220M/10.

- Registered manager with SEC as Registered Investment Adviser effective as of Jan 27, 2006. Developed ADV and compliance manual with comprehensive policies and procedures.
- Implemented OMS (Charles River) and performance measurement platform (Pertrac) to enhance portfolio management and investor relations reporting.
- Managed all aspects of fund operations, including legal, trade support, payroll, HR, IT.

Pequot Capital Management Inc. – Principal/ Tax Director/ Chief Accounting Officer

Aug. 1999 – Apr. 2005

Direct report to COO. Responsibilities increased from Tax Director to cover all financial responsibilities relating to managing accounting departments - fund, corporate and tax with over 20 reporting employees.

- Responsible for leading and growing fund, tax and corporate accounting departments following spinoff. to bring diversified skill sets and technological infrastructure designed to handle rapid growth in investment platform via twenty new asset class fund launches including multi-manager funds, portfolio carve outs and plan transition from outdated accounting platform (Hedgeware).
- Developed tax department function to provide sophisticated planning, tax minimization and full compliance to funds, management company and general partners. Developed and implemented with each general partner and counsel a comprehensive financial, estate and philanthropic tax plan aligned to their long term financial needs.
- Provided pre-trade tax planning for PM/trader to assist in trade development with consideration of various tax types, jurisdictions and investment instruments through to evaluation of counterparty risk, credit, legal and equity finance departments. Automated electronic distribution of quarterly tax estimates and annual K-1's including updates into CRM database. Designed database to calculate layered gain/loss at individual security and tax lot basis with detail by fund and individual investor.
- Enhanced management company performance reporting to cost account for seven business silos with non-research labor and benefit/cost distribution on an employee by employee basis. Implemented functionality to include dynamic budgets and forecasts for planned launches and manager acquisitions.
- Conducted all operational due diligence interviews with prospective/current investors as well as risk and credit counterparties relating to Pequot's public investment vehicles/strategies. Spearheaded development of in-house risk based reporting of counterparty exposures at security, fund and global levels across product types.
- Served as principal business liaison and negotiated vendor contracts, including trading and data providers. Negotiated business and credit terms for prime brokerage, stock loan, ISDA, CSA, MRA for multi-strategy fund launches, e.g. credit, energy, distressed. Primary contact for day-to-day credit and non-trading matters for all OTC trades.
- Developed daily cash and treasury management functions including automated data collection on short borrows, returns of credit/short cash and collateral, monitoring debit balances and buying power and to reduce cost inefficiencies across six prime brokers and twelve OTC counterparties.
- Responsible for financial and tax matters of tax-free spin out of Andor Capital Management, LLC (AUM \$7B) including management company assets/liabilities and general partners entities.
- Participated as accounting liaison with IT/operations/trading on long term STP project to replace antiquated accounting system/data warehouse/CRM/OMS. Efforts encompassed extensive review and due diligence of administrators, prime broker reporting platforms, software vendor's accounting, performance measurement and reporting functionalities, including Geneva.

Goldstein Golub Kessler & Co./AMEX Tax & Bus. Svcs. – Partner/Managing Director

Jan. 1988 – Aug. 1999

Lewis Helphand & Co (merged practice with GGK in 1988) – Staff Accountant

June 1986 – Dec. 1988

Partner of Financial Services Group dedicated to hedge funds, broker dealers and investment advisor with Firm tax and audit practice for hedge funds of similar size to E&Y and PWC. Responsible for tax planning and compliance, accounting and financial consulting for funds and their principals. Clients included: Tiger, Steinhardt, Omega, Pequot, King Street, Royce, Rocker, Optima.

Responsible for annual and periodic update of GGK hedge fund tax manual used by tax and audit staff for to ensure firmwide consistency in tax reporting positions. Drafted client bulletins and presented on tax and accounting developments at GGK marketing events for prospects and clients, including new tax legislation and year-end planning. Conducted extensive in-house staff training for all professional levels including partners/directors on hedge fund related topics as well as corporate, partnership, individual, real estate and state and local issues.

Openheim Appel Dixon & Co. – Staff Accountant

Jan. 1986 – June 1986

EDUCATION:

B.A. Economics/Accounting Claremont McKenna College

1983

MEMBERSHIPS:

American Institute of Certified Public Accountants (AICPA) - CPA Licensure: NY, NJ, CA
Yale Child Study Center – Executive Council

References available upon request.