ROBERT M. PETRY, CFA, CAIA

Fairfield, CT

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INVESTMENT MANAGEMENT EXECUTIVE

Most recently Chief Operating Officer at Twin Focus Capital Partners in Boston. Provided input to the strategic direction for the firm and managed all of the operations including developing and implementing a new compliance program as well as overhauling all the HR policies and procedures ensuring compliance and reducing risk. Previously had the opportunity to work at the SEC as an examiner leading a team of examiners and specialists evaluating investment advisors, leveraging knowledge of applicable securities laws, changes to regulations, and trends in the industry. Overall, across my career I have a strong track record in operations oversight and success in applying technology to manage financial and operation risk. This is coupled with entrepreneurial experience in building out processes and infrastructure to support growth.

Key Strengths include:

TEAM LEADERSHIP

- Provided input and collaborated with leadership team on direction of firm
- Led teams of examiners and specialists evaluating risks of investment advisors leveraging knowledge of applicable securities laws, rules, changes to regulations and awareness of trends and news in the industry

OPERATIONS

- Established international presence opening offices in London and registering in Canada
- Overhauled all HR policies & procedures reducing risk, developed & implemented new compliance program

PORTFOLIO & RISK MANAGEMENT

- Re-built a small cap value product combining traditional quant factors with corporate signaling factors, based largely on stock repurchase plans and rebalanced and optimized
- Managed volatility and risk factor exposures, including hedging with derivatives in complex portfolios
- Streamlined hedge fund processes and rebalanced portfolios with optimization

OPTIMIZING TECHNOLOGY TO SOLVE BUSINESS PROBLEMS

- Oversaw key IT projects including cloud migration, CRM implementation, accounting deployments and all cyber security efforts
- Optimized all internal systems with automation resulting in significant efficiencies with reduced cost in billing, compliance and HR platforms

PRODUCT DEVELOPMENT

- Designed client-directed new products including mega-cap fund, large-cap completion fund, and a guaranteed minimum return fund
- Built infrastructure necessary for ESG suite of products, inclusive of benchmarking

CLIENT MANAGEMENT

- Managed client relationships and developed communications strategy
- Grew client base 16%

PROFESSIONAL EXPERIENCE

RORQUAL SOLUTIONS **2019 - Present**

Fairfield, CT

Provides integrated business management solutions to small-midsize financial services firms:

Senior Consultant

- Streamlining, integrating & automating financial operations systems
- Real-time enterprise intelligence reporting combining QuickBooks, HR, Salesforce, & Excel
- Organize structure and strategic direction for launch in niche structured note space
- Designed capital raising strategies for a cutting-edge technology ventures

TWIN FOCUS CAPITAL PARTNERS, LLC **2014 - 2019**

Boston, MA

Recruited into this role to build out the infrastructure to support rapid growth and develop an institutional compliance program and operations systems. Integral member of both the Investment Committee & Senior Management team in a rapidly growing, global, multifamily office with $5+ billion under advisement for 35+ families and 25+ employees.

Chief Operating Officer

- Set up, ran, and administered private funds and special purpose investment vehicles
- Institutionalized systematic processes to achieve leverage and scale while reducing errors and costs
- Conducted operational and quantitative due diligence of third-party hedge fund investments
- Oversaw all client contracts, billing, reporting, and communications
- Oversaw vendor management including contracts, information security and accounts payable
- Set up and integrated new UK office in London, including cross-ownership legal entity structures
- Oversaw major IT transitions to cloud environment, integrating CRM & portfolio accounting data

Chief Compliance Officer

- Managed all regulatory, legal, & compliance business issues, forming comprehensive risk reviews
- Built institutional-quality compliance program, rewriting nearly all policies and procedures
- Designed and supervised firm-wide risk testing
- Expanded compliance, regulation & operations programs into UK/EU and Canada
- Successfully led the firm through an intensive full-scope SEC examination

Head of Human Resources

- Managed talent recruitment, inclusive of outreach strategies
- Instituted and managed all employee on-boarding, off-boarding and review processes
- Originated and implemented deferred compensation plan for senior employee retention
- Managed payroll and all employee benefit programs

U.S. SECURITIES & EXCHANGE COMMISSION **2009 - 2014**

Los Angeles, CA & Boston, MA

Examiner, Investment Adviser/Investment Company Division

- Evaluated and reported on all potential risks inherent in investment firms and limited partnerships
- Planned and led routine and for-cause examinations, scoping risk and managing ad-hoc teams
- Examined Private Equity and Hedge Funds for securities laws, rules, and regulations compliance
- Analyzed aberrant performance in sophisticated Hedge Funds
- Served as a knowledge resource on the national Digital Currency Working Group (crypto/Bitcoin)
- Proposed new, nationally adopted methods to enhance knowledge of unregistered entities

FREEMAN ASSOCIATES INVESTMENT MANAGEMENT, LLC **2005 - 2008**

San Diego, CA

Institutional quant equity pioneer in hedged low-volatility investing; had ~$4.5 billion under management.

Vice President, Research

- Designed new products with hedging strategies, evaluating performance, risks and market potential
- Developed small-cap value model blending corporate signaling & traditional quant factors; IR=1.4
- Managed all aspects of small-cap value product including optimized rebalancing & presentations
- Created original market research and white papers for presentation to clients and prospects

646 ADVISORS, LLC 2003 - 2004

Boston, MA

Equity market-neutral, fundamental/quant hybrid hedge fund had $340 million under management.

Analyst

- Designed and built tools to analyze beta, size, style, industry, and factor risks. Subsequent portfolio changes resulted in increased return while reducing both beta and volatility
- Improved and maintained quant model written in S-plus with value, momentum, quality factors
- Enhanced research insights through unsupervised machine learning (k-means clustering)
- Automated daily operations including performance attribution, trading reconciliation, & reporting

WELLINGTON MANAGEMENT, LLP 1999 - 2002

Boston, MA

Quantitative Analyst, International Equities Group

- Provided quantitative research to facilitate discipline of fundamental portfolio management process with approximately $10 billion in global equity products
- Recommended global sectors based on bottom-up double-relative aggregation of factors
- Researched new variables, calculation methods, and data quality (including emerging markets) to improve predictive power while minimizing distortive effects of statistical outliers
- Created synthetic indices, calculating relative statistics compared to historic norms
- Designed and built tools to manage liquidity risk for small-cap portfolios
- Demonstrated superiority of regional (vs. global) analysis for small-cap product marketing

Intern, International Equities Group

- Analyzed performance of quantitative model for global security selection
- Improved reporting analysis to graphically emphasize evolution of factors through time
- Evaluated data, programming changes to regression model for style-based risk analysis

EDUCATION

YALE UNIVERSITY

New Haven, CT

Master of Business Administration

- Concentration in Finance
- Teaching Assistantships in Economic Analysis, Corporate Finance and Options
- Academic Distinction in International Financial Markets
- Letter of commendation in Investment Management from Will Goetzmann
- President of Investment Management Student Interest Group

DARTMOUTH COLLEGE

Hanover, NH

Bachelor of Engineering & Bachelor of Arts

- BE concentrations in Computer Engineering and Management Systems
- BA double major in Economics and Engineering Sciences

OXFORD UNIVERSITY

Oxford, UK

Associate Student

- Macro-Economics at St. Edmund Hall

ACTIVITIES

Programming: R, Python, VB, Vision-dbms, SAS, data science, object-oriented architectures
Affiliations: CFA Society Stamford, CAIA Association, QWAFAFEW/QWAFAxNEW, FENG, Eagle Scout
Interests: Victorian house restoration, Brazilian soccer, opera, futurism, sailing