

Todd L. Spillane

PRESIDENT

CAREER HIGHLIGHTS

ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

PRESIDENT

- Oversee firm's daily operations while providing strategic leadership to the firm's growing employee base.
- Help define and implement the firm's strategic growth initiatives.

CUTTER ASSOCIATES, Houston, TX

PRESIDENT

- Responsible for the delivery of compliance, risk and related projects for a variety of firms including a state entity and privately held investment management companies.

FEROX GROUP, Conroe, TX

BOARD CHAIR

- Board Chair for a management consulting firm which specializes in transforming challenges into opportunities for success.

CIBC PRIVATE WEALTH MANAGEMENT, The Woodlands, TX

CHIEF COMPLIANCE OFFICER

- Oversee all compliance activities for the wealth management registered investment advisers and two trust entities including risk assessments, policies and procedures, conflict of interest, systems review and management of the compliance staff.

CUTTER ASSOCIATES, The Woodlands, TX

SENIOR CONSULTANT

- Managed compliance consulting, including top-down program reviews and recommendations for technology solutions.

ALPHATRAI, INC., The Woodlands, TX

CHIEF OPERATING OFFICER, CHIEF COMPLIANCE OFFICER, GENERAL COUNSEL

- Responsible for the creation of the compliance program and overseeing the legal and operations functions for a start-up hedge fund based in California that used AI as part of the investment process.



REGISTRATIONS HELD

Series 7 – General Securities Representative

Series 63 – Uniform Securities Agent

AREAS OF EXPERTISE

- Compliance training
- Due diligence
- Global asset management
- Hedge funds
- Operational risk management
- Product development
- Technology development
- Wealth management

MERCURY COMPLIANCE AND RISK SERVICES, The Woodlands, TX

FOUNDER

- Responsible for the marketing and delivery of compliance-related services for several asset management firms.
- Creation of stand-alone risk management software to enhance the risk assessment process.

MORGAN STANLEY INVESTMENT MANAGEMENT, New York, NY

HEAD OF PUBLIC SECURITIES COMPLIANCE, INVESTMENT DEPARTMENT

- Responsible for overall compliance program for the Morgan Stanley Funds including conducting risk assessments, valuations, service providers, fund policies and procedures.

INDEPENDENT COMPLIANCE CONSULTANT, The Woodlands, TX

- Responsible to lead a top-down and bottom-up review of the compliance program for several asset management companies.
- Strategically look at the compliance program including policies and procedures, the annual risk assessment as well as the implementation of the compliance program across various offices including a international affiliates.

STARCOMPLIANCE, The Woodlands, TX

CHIEF OPERATING OFFICER

INVESCO, Houston, TX

CHIEF COMPLIANCE OFFICER

- Responsible for the development of a compliance program for multiple investment advisers and broker dealers with assets under management of approximately \$811 billion AUM. Served as CCO of Invesco Funds, Invesco Advisers, Inc, PowerShares Trust and Invesco Funds Chicago (a closed-end fund board).

AIG – GLOBAL INVESTMENT GROUP, Houston, TX

DEPUTY GC, COO, CCO, GLOBAL HEAD OF PRODUCT DEVELOPMENT

- Responsible for the development of investment products for the institutional marketplace in a variety of asset classes including private equity funds and hedge funds offered globally.
- AIG/SunAmerica Asset Management Corp. - Deputy GC and CCO
- American General Investment Management - Deputy GC and CCO

COMMUNITY ENGAGEMENT

Board Chair, Dancewave

President, Woodlands Wine and Debate

INTERESTS

- Golf
- Cooking

EDUCATION

WESTERN NEW ENGLAND SCHOOL OF LAW, MA

Juris Doctor, Law

FAIRFIELD UNIVERSITY, CT

Bachelor of Arts