

John Griffin Phillips

Senior Financial Product Development and Operations Executive



Contact

☎ (630) 464-7600

✉ john@griffinphillips.com

🌐 griffinphillips.com

Education

UNIVERSITY OF CHICAGO
M.A. in International Relations
1985 (*Pending*)

WHEATON COLLEGE
B. A. English Literature
1976–1980

Specializations

- Product Development: US and International Registered Funds, Private Placements/Hedge Funds/AIFs
- Fund Operations
- Exchange Traded Funds: de Novo sponsor Consulting and Exchange and Conversion Consulting
- Alternative Investments
- Corporate Governance and Consulting

Board Experience

- 2019–present: ODAP Board (501c-3, Nonprofit)
- 2010–present: AbRealist Trust Board
- 2015–2024: Amplify ETF Trust Board
- 2002–2009: Nuveen UCITS Funds Board

Summary

Senior Financial Product Development and Operations Executive with over 35 years' experience shaping and delivering investment products and structures across global markets. Deep specialist knowledge of ETFs and other 1940 Act products, with proven leadership across de novo ETF sponsor launches, private fund, mutual fund and closed-end fund 351 conversions to ETFs. A trusted advisor on complex operational, governance and regulatory matters, with a record of delivering across more than 15 jurisdictions and multiple regulatory environments. Brings strong strategic judgement, commercial discipline, and a collaborative approach to stakeholder engagement at board and senior leadership level.

Professional Experience

PRINCIPAL

Griffin Phillips LLC, Wheaton, IL | 2009–Present

Offering investment fund structuring expertise to the global financial industry, with specialties in the US, Irish (Dublin), and Canadian markets for both retail and alternative fund structures, operations, and services. Provides senior advisory support on ETF and other 1940 Act product development, including operational and regulatory considerations for de novo ETF sponsors, private fund 351 exchanges, and mutual fund and closed-end fund conversions to ETFs.

CHIEF OPERATING OFFICER

Amplify Investments LLC, Wheaton, IL | 2015–2024

Responsible for creating both index and actively managed ETFs, sourcing and integrating third-party investment strategy providers, developing fund structures, overseeing exchange listings, and directing day-to-day fund operations. As of 2024, Amplify had launched over 40 ETFs and raised more than \$9 billion in assets under management.

MANAGING DIRECTOR, PRODUCT DEVELOPMENT

White, Weld & Co., Chicago, IL | 2012–2013

- Designed and delivered domestic and international financial product solutions for proprietary and client strategies, spanning long-only and alternative investment approaches.
- Structured and implemented a UK and Ireland real estate private equity fund for an Irish client, leading fund design, service-provider selection, and alignment of required regulated entities.
- Designed and coordinated the investment structure for an Iron ETF, including support for index rule creation and the complex operational and custody framework for a non-standard commodity product.
- Leveraged a global network to connect a US-based equity research and asset management client with distribution partners in Ireland, the UK, Canada, and the US.



Professional Experience

Continued from page 1

2010-2012

MANAGING DIRECTOR, PRODUCT DEVELOPMENT INTERNATIONAL AND ALTERNATIVE PRODUCTS

Guggenheim Partners LLC, Chicago, IL

Guggenheim Partners is a global investment and advisory firm with core businesses spanning asset management, investment banking, advisory solutions, and insurance.

The Managing Director for International and Alternative Products led the design and creation of an international product strategy focused on open- and closed-end registered products and a global alternative investment initiative across multiple jurisdictions.

- Developed a suite of private placement fund-of-funds solutions for the Wealth Management Group, targeting the RIA market and high-net-worth clients.
- Worked with an internal equity investment team to establish a Dublin-based structure for proprietary equity index strategies, coordinating Irish entity registrations, board director appointments, and the selection and oversight of service providers for ongoing fund operations.
- Founded the GIAS Product Development group, creating procedural and compliance processes and policies to coordinate product development across the wider Guggenheim group.
- Researched, identified, and established a relationship with a Turnkey Asset Management Platform (TAMP) to host a series of model portfolios for sale to the RIA marketplace.
- Created white-label and customised product solutions for RIA clients, tailoring structures to their distribution and client needs.

2008-2010

PRINCIPAL

First Street Capital Partners LLC, Chicago, IL

First Street Capital Partners was a boutique investment banking and venture capital firm; the team and validated business model were acquired by Guggenheim Partners LLC in 2010. The Principal led the design and creation of domestic and international financial product solutions for client strategies spanning long-only and alternative approaches.

- Designed and implemented a UK and Ireland real estate private equity fund for an Irish client, overseeing full fund design, third-party service provider selection, and coordination of the regulated entities required to achieve the client's objectives.
- Designed and coordinated the investment structure for an Iron ETF, supporting index rule development and the complex operational and custody framework necessary for a non-standard commodity product.
- Leveraged a global network to introduce a US-based equity research and asset management client to distribution partners in Ireland, the UK, Canada, and the US.



Professional Experience

Continued from page 2

2007-2008 ●

VICE PRESIDENT, INTERNATIONAL PRODUCT DEVELOPMENT

Calamos Investments, Naperville, IL

Calamos Investments is a diversified global asset management firm with approximately \$50 billion in assets under management at the time, offering a range of investment strategies including alternatives and multi-asset solutions. The Vice President of International Product Development led the design and implementation of an international product strategy encompassing open- and closed-end registered products and a global alternative investment initiative across multiple jurisdictions.

- Initiated the development of international investment structures, including an offshore master-feeder structure for a proprietary alternative investment suite.
- Worked collaboratively across internal and external channels to validate viability and demand for new international products in Canada, Ireland, and Southeast Asia.
- Interacted frequently with Legal, Operations, and Accounting to determine appropriate product structure, pricing, and value-add services that supported profitable outcomes for the firm.
- Served as a conduit to champion new international product ideas, shaping them into marketable products and structures across multiple distribution channels.

2003-2007 ●

VICE PRESIDENT, INTERNATIONAL AND ALTERNATIVES

Nuveen Investments, Chicago, IL

Nuveen Investments is a global investment manager providing outcome-focused solutions across registered and alternative products for institutional and individual investors. The Vice President for International and Alternatives led the design and implementation of an international product strategy and global alternative investment initiative, positioning newly acquired asset managers within new investment structures across key jurisdictions.

- Developed mutual fund products and launched ETFs, UITs, hedge funds, and commodity funds in international and domestic markets.
- Designed and implemented product and corporate structures in Canada and Ireland to support the global expansion of newly acquired asset managers.
- Identified, established, and registered appropriate corporate structures in Canada to house a family of institutional and retail products, increasing Canadian assets from approximately \$400 million to \$2 billion in under five years.
- Helped grow Nuveen's non-U.S. assets to more than \$2 billion.



Professional Experience

Continued from page 3

2003–2007 ●

VICE PRESIDENT, STRUCTURED PRODUCTS GROUP

Nuveen Investments, Chicago, IL

Assisted in developing a new, highly profitable Preferred Unit Investment Trust (UIT's) business.

1993–2001 ●

NEW PRODUCT MANAGER

Nike Securities LP/First Trust, Lisle, IL

Nike Securities (now First Trust) is a sponsor and distributor of domestic Unit Investment Trusts (UITs) and an international sponsor of registered products in multiple jurisdictions. The New Product Manager led the development and implementation of UITs, international financial products, and global marketing strategies.

- Provided ongoing sales and product development support for the firm's international product line in Australia, Hong Kong, and Canada.
- Designed and implemented the corporate and sales structure for First Trust Canada to develop, market, and sell Canadian registered First Trust products.
- Coordinated the domestic UIT business, contributing to the creation and sale of over 350 UITs with more than \$9 billion in sales in 2000.

1989–1993 ●

INTERNATIONAL BUSINESS SPECIALIST

Gryphon/James LTD & Gryphon International, Chicago, IL and Hong Kong

US–Hong Kong venture specialising in documentary credit structuring and operational support for global import and export of materials, primarily commodities, and in developing business strategies for clients entering newly emerging markets. The International Business Specialist supported cross-border commodity transactions and market-entry strategies in high-growth regions.

- Designed and executed commodity transactions in pyrethrum and titanium dioxide (TiO₂) between clients in Southeast Africa and Southeast Asia.
- Conducted extensive due diligence and developed the Vietnam Fund, a Cayman-domiciled closed-end fund listed on the Irish Exchange, providing investors with exposure to an emerging market.



Professional Experience

Continued from page 4

1987–1989

MANAGER, INTERNATIONAL TRADE DIVISION

Digital Trading and Technology, Chicago, IL

Distributor of high-tech hardware and related products. The Manager in the International Trade Division designed and implemented distribution and marketing initiatives for export sales of computer products, and managed documentary credit transactions and related logistics for global shipments.

- Developed export distribution and marketing strategies for computer hardware into international markets.
- Negotiated and maintained documentary credit arrangements and coordinated shipment logistics to support secure, efficient cross-border trade.

1986–1987

INTERNATIONAL RISK / PRODUCT MANAGER

Digital Trading and Technology, Chicago, IL

- Managed the sale and export of a technology product line to markets in the Middle East and Africa.
- Established a significant network of partners and joint-venture relationships to support and expand regional distribution.