



## **John Griffin Phillips**

Senior Financial Product Development and Operations Executive

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### **Biography**

John Phillips has over thirty-five years of experience in developing financial investment products, operational processes and financial structures worldwide, including open and closed-end registered products, ETFs, UCITS, private placements and a wide variety of alternative investment structures. A particular expertise in international/offshore investment products and related operations has resulted in a successful track record in the design and implementation of financial vehicles under multiple regulators, in over 15 international jurisdictions. John, through his consulting firm Griffin Phillips LLC, has also been instrumental in converting a variety of closed-end, open-end and private placements into ETFs in a tax-efficient process for a variety of US registered investment advisors. John is a decisive professional who builds upon his global network to bring about creative initiatives, unique product solutions and collaborative operational relationships.

Over the last two decade John has been instrumental in bringing multiple ETF sponsors to market (Elkhorn Securities LLC, Amplify Investments LLC, Capital Force LLC, et al), designed and launched a series of unique Reg D structures for Ausdal Securities Inc, Stand Up Enterprises LLC, Prime Inc. and Great Oak Funding LLC, helped develop two unique financial structures (one is a patented ETF incubation structure and the other is an Irish note for US expatriates) and has created unique securities lending and non-unitary fee solutions for multiple ETF structures.

John Phillips previously worked as the Chief Operating Officer for Amplify Investments LLC, a boutique ETF sponsor. John was part of the team that started Amplify ETFs and built it into a 30 ETF suite with \$10 billion under management. John served as a board member for Amplify from its inception. Prior to Amplify, John was a Managing Director responsible for the Product Development Group at White, Weld & Co., LLC, a venture capital company, with a team of professionals that had been together since 2007. John and the White, Weld team had worked with Guggenheim Partners LLC, where John served as a Managing Director for their international and Alternative Product Development Group. Prior to Guggenheim, John was a partner in a boutique investment advisory firm called First Street Capital Partners, LLC. As a Principal of First Street Capital Partners, LLC, John's focus was to create and manage the Product Development and Operations efforts at FSCP. In this capacity, he was responsible for developing a wide variety of investment structures in multiple jurisdictions to respond to the specific needs of FSCP's clientele. Prior to joining that company, John served as Vice President of International and Alternative Product Development at Calamos Investments. At Calamos, John designed and coordinated the company's international and alternative products and

implemented their underlying legal and operational components. Immediately prior to Calamos, he was a Vice President for International and Alternative Investments at Nuveen Investments, where he oversaw product design and development for all non-US and alternative product initiatives. Prior to Nuveen, John served in a variety of product development roles at First Trust / Nike Securities and Griffin James (HK) Ltd., where he was active in developing products in the Canadian, Cayman, Hong Kong, Irish and Australian markets.