

Mark L. Maxwell CFA

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Brampton, Ontario
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Dual US/Canadian Citizen
Born March 15, 1958 in Jos, Nigeria
Married with 3 children

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Aug '03 – Present

President & CEO, Tower Asset Management

Responsible for portfolio management and business development of the hedge fund management firm.

June '02 – July '03

President, Rockwater Asset Management

Responsible for repositioning and building a new asset management firm for publicly listed Rockwater Capital Corp. Through acquisitions, advised and managed assets grew to \$4.0 billion and revenue grew to \$120 million.

July '99 – Jan '02

President, Director & Founder, Georgian Capital Partners Inc.

Responsible for bond fund portfolio management, equity research on global financial services and portfolio investments in the financial services industry. Responsible for Georgian Capital's business development and operations. Assets grew to \$4.6 billion.

Oct '95 – June '99

Managing Director & Financial Services Analyst, CIBC World Markets

Responsible for equity research on the Canadian financial services for institutional investors. Became top-ranked on Non-Bank Financial Services and among top three ranked on Banks.

Oct '91 – Sep '95

Partner & Financial Services Analyst, Gordon Capital Corp.

Responsible for equity research on the Canadian financial services for institutional investors.

Oct '89 - Aug '91

Financial Services Analyst, Dean Witter Canada

Responsible for equity research on the Canadian financial services for retail brokers.

Aug '86 - Oct '89

Manager, Asset/Liability Management, CIBC Corporate Treasury

Measured interest rate risk and currency risk and recommended strategies for managing the CIBC balance sheet risk.

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Education

1991

Chartered Financial Analyst
CFA Institute (CFAI)

1984

Master of Business Administration
Baylor University, Waco, Texas
Emphasis in Finance. Overall GPA 3.82/4.00

1981

Bachelor of Arts in Business Administration
Trinity Western University, Langley, BC

Professional Licenses

Investment Counselor & Portfolio Manager – Canadian Securities Commissions

Partner, Director & Officer – Investment Dealers Association