
Michael D. M. Summers, CFA

(* name change 2003)

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Qualifications for Executive-Level Management

25 years of experience as an investment professional: Fortune 50 retirement plan sponsor; corporate treasury executive; and founder of three investment advisors, a broker/dealer and a mutual fund family. An entrepreneur and a visionary by heart; with the analytical, decision making and communication skills to help lead people and build businesses. Experienced as CEO of seven companies; CFA; and securities licenses.

Highlights

Executive Leadership

- Leveraged corporate assets and relationships to found Caterpillar Investments, Caterpillar Securities and The Preferred Group of Mutual Funds for Caterpillar Inc.
- First non-officer to serve as member of Caterpillar Inc. pension fund committee.

Revenue Enhancement

- Utilized vision, strategic planning and tenacity to initiate Caterpillar Investment Management Ltd. (CIML) with no staff, start-up capital, or assets and lead CIML to \$2 billion in assets with a staff of 17 professionals in seven years.
- Grew revenues and profits from start-up to \$12 million and \$5 million respectively.

Operations Improvement

- Performed the first internal management of Caterpillar Inc. pension assets.
 - Created a “turnkey” 401(k) product and provided plan and institutional customers nationwide with award winning employee communications and educational materials.
 - Designed and implemented a proprietary sub-advisor evaluation process (AEGON).
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Employment History

4Hope Investment Management LLC **CEO**

Present

Currently offering contracted services for: investment and business consulting; research, analysis, strategic planning, sales, marketing, product design and corporate and investment fund board positions. Also creating a low risk mutual fund and hedge fund strategy to rotationally invest in commodity futures through all market cycles.

alphaPartners Investment Management LLC **CEO**

2003-2004

Co-founder of start-up investment company dedicated to developing better hedge fund strategies and other alternative investment solutions for the pension marketplace “as if the plan sponsor were creating it for themselves”. Presented smart-index concept to the NYMEX birthed from influence and consultations with Harry Markowitz in seeking an “efficient portfolio” of commodities. (current 4Geneses hedge fund project)

Endeavor Management Company / AEGON, USA

CEO / President

1999-2001

Proposed and implemented a master trust concept to consolidate and synergize AEGON's numerous investment trusts nationwide following AEGON's 1999 acquisition of Endeavor Management Company. Also ensured all SEC, NASD, and 1940 Act compliance as Chief Compliance Officer.

Endeavor Management Company, Endeavor Group, Endeavor Series Trust

Executive Vice President

1998-1999

Originally hired to be right hand man for private owners. Responsible for the investment program for a \$3 billion variable annuity trust, including performance analysis, hire/fire recommendations, and new product creation. Directed and supervised all administrative relationships for the trust and board of trustees.

Caterpillar, Inc., Peoria, IL

1973-1996

The Preferred Group of Mutual Funds (Cat sold \$3B PG assets to T Rowe Price in 6/06)

Chairman/CEO/President

1991-1996

Created mutual fund family from "idea to inception date" in less than one year. Selected all sub-advisors, service providers and the Board of Trustees. Managed all external relationships and directed the portfolio management of two Preferred Group funds in-house. Grew mutual fund assets to \$1.4 billion (total assets 2B) in five years.

Caterpillar Securities Inc.

CEO/President

1989-1996

Maintained pristine audit and regulatory record. Developed staff to manage NASD "blue sky" registration for distribution of mutual funds in 50 jurisdictions. Clean U4.

Caterpillar Investment Management Ltd. (CIML)

CEO/President

1989-1996

Created product: separate accounts, private placement, and mutual funds. Performed all institutional sales and service initially, then hired and trained a regional sales and customer service staff. Led the development of all marketing materials, videos, ads, and strategies. Built accounting, auditing, compliance functions and LAN.

Caterpillar Pension Fund/CIML

Chief Investment Officer/Portfolio Manager

1988-1996

Devised strategies, managed portfolios, and assembled staff to manage \$600M in assets internally including equity index funds, insurance reserves and bond funds. Experienced in trading, company financial analysis, qualitative research and selection.

Caterpillar Pension Fund

Plan Sponsor/Pension Executive

1987-1996

Joined Caterpillar Inc. Treasurer, CFO and Vice-Chairman in managing \$10 billion in pension, group insurance, and savings plan assets. Participated in hundreds of investment manager reviews and led hire/fire analysis and recommendations. Widely versed in all equity, fixed income, real estate, private equity, venture capital and alternative investment strategies. Have the unique experience of having been on "both sides of the investment table" while simultaneously wearing multiple corporate hats.

Manager of Investments Research & analysis of investment managers. **1988-1990**

Benefit Funds Administrator Cost control and admin modernization. **1987-1988**

Education

Bachelor of Science, Finance, Bradley University, Magna Cum Laude	1986
NASD Series 7, 24, 63, 65 (held for over 10 yrs, currently inactive)	1989
Chartered Financial Analyst (CFA)	1992

Personal

Interests: basketball, hiking, cycling, fitness/nutrition, benevolence (1997 and 2002 mission trips to Haiti)

Dream: building a combination business (4Hope Investment Management), and a ministry (The 4Hope Foundation)

(Legal name change in 2003, from P. Michael Pond to Michael Dean Monroe Summers, due to DNA test results – documentation available)