

James D. Smith
47 Alta Avenue, 3C, Yonkers, NY 10705
C: (917) 455-8646, E: jds58@cornell.edu

Objective: Investment Banking Leadership

Experience

Director: I4 Advantage LLC dba Global Center for Conscious Capitalists (04/2010-present)

- Structured and presented business plans to OPIC, Co-wrote Form 10, Performed valuations
- Contracted intermediary for capital raising projects in, Manufacturing, Hospitality and PE funds
- Completed due diligence on value of distressed company (InnoVida) in bankruptcy

Financial Advisor: UBS Financial Services, New York, NY (07/2007 – 7/2010)

- Series 7, Series 66, Insurance license in all states and US territories (still active)
- Business Development, focus on investors and executives, emerging affluent
- Sponsored “Financial Investment Solutions”, Palm Beach, FL
- Organized and presented “Structured Products” Seminar

Small Commercial Loans Manager: Hudson Valley Bank, Yonkers, NY (06/2004- 07/2007)

- Portfolio Manager for \$20MM loan program to business. 98% positive performance
- Designed and implemented computerized credit risk management algorithm
- Underwrote Letters of credit, lines of credit, and collateralized with mortgages and UCC
- Designed “auto reporting” mechanism for fee and interest income noting risk exposure
- Trained 25 branch managers in collecting data for the credit risk management program

Loan Officer: U.S. Small Business Administration, Niagara Falls, NY (10/2001- 02/2004)

- Underwrote \$10 million in loans for NYC & U.S. Businesses adversely effected by 9/11 attacks
- Loan size ranged from \$50,000 to \$750,000 secured and unsecured with recourse

HSBC Process Development Team: Superior Staffing Services, Buffalo, NY (06/2001-09/2001)

- Re-engineered contracted primary mortgage insurance providers’ process flow

Full Time Graduate Student: Canisius College and Cornell University (09/1999-05/2001)

- Completed 78 credit hours of graduate education while earning two “on campus” Master Degrees
- Intern at Institute for Cornell was research on resolving conflicts in Fortune 500 companies

Spiritual Care Coordinator: Niagara Hospice, Inc., Lockport NY (03/1993-08/1999)

- Directed and supervised a staff of 3 paid professionals and 15 volunteers
- Organized, recruited members, implemented, and chaired a 10 member bio ethics committee

Education

PhD Candidate	Fielding Graduate University, CA	Human and Organizational Systems	
2008: MA	Fielding Graduate University, CA	Human and Organizational Systems	GPA 4.00
2001: MILR	Cornell University, Ithaca, NY.	Major in Labor Relations	GPA 3.50
2000: MBA	Canisius College, Buffalo, NY.	Major in General Business	GPA 3.61
1999: BPS	Empire State College, Buffalo, NY.	Major in Legal Studies	GPA 3.90

Leadership and Speaking

Speaker “Leadership in Capital Projects” Conference, Austin TX (04/02-04/2012)
Spoke to Professional Roundtable: Value of Alignment (www.proroundtable.com) (01/27/2012)
C-Level Training on Alpha Generation, New York, NY (11/16/2011)
Lecturer to Conflict Resolution Workgroup, Columbia University (SIPA) (09/29/2011)
Consulting on OPIC, USAID, Haiti Power Generation and Factory Initiative (10/2010-06/2011)

Leadership and Speaking (con't)

Presented "Banking and Personal Credit/Finance" to Non-Profit Organization (06/01/2005)

Achievements and Affiliations

Member Global Association of Risk Professionals (since 01/2009)
President of "Unity: Jerusalem" Non Profit (Now: Foundation of Unity) (since 12/2008)
Harvard Investor's and Finance and Money Manager's Group (since 08/2007)
Management Trustee Labor and Employment Relations Association, Hudson Valley (04/2005-07/2007)

Publications, Research, and Proceedings

Smith, James D. (2010) Hand of power: Executive education for everyone. Zlotnick Design, New York.

Smith, James D. (2008) Forward: Ekatherina S. Unity: Jerusalem. Unity Jerusalem Foundation, New York ISBN 978-3-89355-967-1

Smith, J. (2005, October) Cracking the code of conflict: An integrated theory of stress, productivity, and conflict management. Paper presented at the Southern Industrial Relations Human Resource Conference. Savannah, GA.

Colosi, C. & Smith, J. (2000) The Prevention and early resolution of conflict: Current practices in U.S. Companies. Cornell PERC Institute, Ithaca, NY.

Professional Development, Conferences, and Lectures

China Direct Foreign Investment Summit, Atlantic City, NJ (02/08/2012)
Rodman and Renshaw Investment Conference, New York, NY (09/12-13/2011)
Fund Raising in Difficult Times/David J. Andrews Associates, New York, NY (06/14/2011)
Alternative Energy Summit/Lazard Capital Management, New York, NY (06/1-2/2011)
3rd Academic Conference on Conscious Capitalism, Bentley University (05/17-19/2011)
Sustainatopia: Social Venture Funds/ Social Investing/ Hiati Investments, Miami, FL (04/9-10/2011)
JP Morgan/US Dept. of Commerce: Iraq Opportunities for US Business, New York, NY (03/23/2011)
Aberdeen Group: Human Capital Management Summit: New York, NY (03/9-10/2011)
Aberdeen Group: Chief Procurement Officer Summit, Boston, MA (10/19-20/2010)
2nd Conceptualizing Conscious Capitalism Conference, Bentley University (05/24-25/2010)
Bangladesh Trade Mission with Prime Minister Sheikh Hansina Wajed, New York, NY (10/12/2009)
Creativity in Business Conference, Georgetown University, Washington, DC (10/4/2009)
Conceptualizing Conscious Capitalism Conference, Bentley University, Waltham, MA (05/28-30/2009)
Catalyzing Conscious Capitalism, Austin TX (11/6-10/2008)
Organized Ludlow Biotech Conference (05/22/2008)
Korean Investment Conference: Focus Gumi, Gyeongbuk Province (05/8/2008)
Taglich Brothers 5th Annual Small Cap Conference (05/6/2008)
Luxury Marketing Council Member (Since 4/2008)
Closed End Fund and Global ETF Conference, Capital Link (04/16/2008)
AMEX Precious and Base Metals Conference (03/26/2008)
McAfee IT Security and Investor Information Seminar (03/20/2008)
Cornell ILR Colloquium, Global Mergers and Acquisitions (02/15/2007)
SBA Liquidation Training: "Collecting on SBA Guarantees" (10/20/2005)
National Foundation for Teaching Entrepreneurship "BizPlan" panel judge (08/10/2005)
Breaking the Bamboo Ceiling; Career Strategies for Asians with author Jane Hyun (07/19/2005)
U.S. Small Business Administration Loan Program Refresher Training (06/26/2005)
U.S. Small Business Administration Loan Program Training (06/15/2005)
Ayn Rand NYC Group Facilitator and Organizer (06/2004-8/2007)
NYBDC and SBA joint 504 Lending Program descriptions (02/2005)