

Ronald Diel, President

► Summary of experience:

- Ron Diel is the President and founder of The Diel Group. Mr. Diel has extensive experience in business strategy, financial systems, operations and compliance in securities, asset management, investment banking, banking and insurance. He has been responsible for developing and implementing organizational, technology and business strategies and policies at major financial firms based on his line and consulting experience.

► Selected project experience:

- Directed the analysis, redesign and planning stages of a total transformation of a securities processing firm including the analysis and redesign of operations, technology, and staffing; effectively built the client team required to implement the redesigned environment
- Senior team member in the development of a technology strategy and systems architecture for a major investment banking firm; responsible for detailed technical and strategic reviews of all significant technology projects in preparation for their presentation to the firm's executive committee
- Development of a multi-channel deployment strategy to enable a large mutual funds firm to exploit a state-of-the-art investment analysis tool as a means for increasing assets under management; included preparing specific recommendations for the operational, marketing and financial changes required to implement the strategy
- Selection of a technology platform for delivery of advisory services to affluent clients of a major mutual funds complex, including documentation of the business unit strategy, development of operations improvement plans and an economic analyses in support of the selection process
- For a major investment management firm oversaw the design and outsourced development of an asset allocation product based on the Black-Litterman Model to be provided to high net worth clients through third-party banks; oversaw the rearchitecting of the quantitative investment model used in managing money for their institutional clients and mutual funds
- Organizational transformation of the procurement function for a bulge bracket securities firm, including the redesign of their global organization and procedures to significantly increase effectiveness and to expedite deployment of an e-procurement infrastructure
- Operationalizing an international electronic payments startup, including the development of organization structures, business procedures, technical infrastructure and relationships with key vendors and customers
- Responsible for the overall technology environment of the asset management division of a bulge bracket securities firm, including the trading floor, portfolio and fund accounting, analytics and market data, compliance, marketing and telecommunications
- Managed the design and implementation of multiple investment analysis systems including portfolio allocation and balancing, asset securitization models, and multi-factor equities models
- Formulation of business unit and alliance strategies to enable a global bank to expand U.S. check processing and related cash management services from a regional to a national basis, and program management of full implementation of the resulting plans
- Led requirements analysis and design of regulatory reporting and compliance monitoring systems and procedures at major investment management and securities firms
- Managed the SEC-directed compliance review of the investment management group at a major investment banking firm as well as other internally-sponsored compliance reviews of financial firms
- Responsible for infrastructure components (including market data, floor support, database administration and systems administration) for the rollout of distributed trading systems to over five hundred equity and derivatives traders at the largest broker/dealer in New York. Oversaw market data vendor analysis and relationships
- Senior manager in the team responsible for planning, overseeing and executing the expedited movement of more than fifty traders and their associated systems and feeds onto an existing trading floor in connection with the consolidation of trading floors following the acquisition of a foreign investment banking firm by a bulge bracket firm

Ronald Diel, President (continued)

▶ Selected project experience (continued):

- Created and operated the program office for the development of a state of the art treasury workstation to be deployed to major corporate clients and financial institutions by a leading global bank
- Directed the development, implementation and support of a thorough project process program adopted for all technology areas at a major securities firm, including the formation and operation of an internal project management / process consulting group
- Year 2000 program management initiatives at a leading European bank and a major U.S. insurance company, including the analysis and prioritization of their Y2K project portfolios; subsequently advised on implementation of structured project management processes for a major unit for one client, and the design of the global year-end transition management program / network for the other
- Performed due diligence reviews of technology, staffing, and operations at several financial service vendors for potential acquirers
- Managed the design, implementation, and support of PC-based and distributed portfolio accounting systems
- Directed the design, development, and initial deployment in Russia of an ATM/POS network based on stored-value smart cards

▶ Prior work experience:

- Prior to DGI, Mr. Diel was a vice president in A.T. Kearney's Financial Institutions Group, where he headed the firm's North American securities practice and was a founding member of their e-FIG group. Previously, Mr. Diel was a vice president in the Technology Strategy and Equity Trading Systems Groups at Merrill Lynch. He was also the manager of technology as a vice president at Goldman Sachs Asset Management and served as a senior manager in Price Waterhouse's Investment Company Special Practice Unit. At Shaw Data Services he directed the micro-computer group responsible for the design and marketing of PC-based analytical and portfolio management systems. Mr. Diel also practiced securities and banking law as an associate at Sullivan & Cromwell

▶ Education:

- Mr. Diel received a B.S. in Mathematics from the University of Wisconsin. He earned his MBA at the University of Colorado and was awarded his J.D. from the University of Wisconsin