

**Committee on Energy and Commerce  
U.S. House of Representatives**

**Witness Disclosure Requirement - "Truth in Testimony"  
Required by House Rule XI, Clause 2(g)(5)**

|  |            |                |
|--|------------|----------------|
| <b>1. Your Name:</b><br>Javier Saade   |            |                |
| <b>2. Your Title:</b><br>Managing Director   |            |                |
| <b>3. The Entity(ies) You are Representing:</b><br>Fenway Summer Ventures  |            |                |
| <b>4. Are you testifying on behalf of the Federal, or a State or local government entity?</b>  | <b>Yes</b> | <b>No</b><br>x |
| <b>5. Please list any Federal grants or contracts, or contracts or payments originating with a foreign government, that you or the entity(ies) you represent have received on or after January 1, 2015. Only grants, contracts, or payments related to the subject matter of the hearing must be listed.</b> |            |                |
| <b>6. Please attach your curriculum vitae to your completed disclosure form.</b>   |            |                |

Signature: \_\_\_\_\_

Date: 6/6/17

# JAVIER SAADE

---

## PROFESSIONAL SUMMARY

General Manager, Principal Investor, Entrepreneurial Leader, Policy Maker, Strategic Thinker and Corporate Dealmaker across multiple industries worldwide. Energetic, successful and broad hands-on experience leading, starting, advising and investing in companies. Manage billions in assets and lead strategic change across large organizations.

## FORMER ROLE SUMMARY

White House appointment with focus on 1) catalyzing and capitalizing growth oriented small businesses and allocating capital to funds, 2) overseeing the investment of billions of R&D dollars across America's STEM-driven innovation economy, 3) working with thousands of entrepreneurs and their ecosystems and 4) enabling capital formation paths where gaps are widest.

---

## EXPERIENCE

### U.S. SMALL BUSINESS ADMINISTRATION

**Oct 2013 – Nov 2015**

*ASSOCIATE ADMINISTRATOR, OFFICE OF INVESTMENT & INNOVATION*

WASHINGTON, DC

- Appointed by President Obama to lead the Small Business Investment Company (SBIC), Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) and Growth Accelerator Fund programs
- *SBIC*
  - Lead the SBIC program, a growth capital fund with \$25.6 billion in assets across >300 private-public partnerships made up of private equity, venture capital and structured lending funds that invest in thousands of small businesses
  - Increased overall AUM by 20% and Impact Investment Fund AUM by 400% - 7 funds managing \$660m in assets
  - Operate SBIC at a zero-subsidy cost to the American taxpayer and manage its \$4 billion per year authorization
  - Improve diversity across SBICs and developed policies to increase pipeline of emerging and diverse managers
- *SBIR & STTR*
  - Lead the SBIR & STTR programs, the government's largest innovation effort focused on small business
  - Positioned SBIR & STTR as the biggest seed capital fund in the world, a.k.a. America's Seed Fund ([www.sbir.gov](http://www.sbir.gov))
  - Oversee >6,000 early stage capitalizations with \$2.5B/yr. via eleven agencies and 100's of research institutions
  - Provide executive leadership in creating jobs around the ~150,000 grants totaling \$40 billion since inception
  - Cheerlead expanding the frontiers of human knowledge, commercializing inventions and licensing technologies
  - Catalyze STEM-driven, cutting-edge innovation in industries critical to our nation's competitiveness such as clean energy, sustainable agriculture, robotics, biotechnology, data informatics, space exploration and manufacturing
- *OVERALL*
  - Delivered over 100 speeches, media covered policy panels, economic panels, editorials, interviews and blogs
  - Thought leader on impact and underserved investing, public-private partnerships and high-growth ecosystems
  - Manage innovation initiatives to support high growth entrepreneurial ecosystems; \$4M Growth Accelerator Fund, fast-track patents, entrepreneurship diplomacy, demo days, alternative financing education and IT development
  - Spearhead extending legacy of the programs' early funding of companies that include Tesla, Apple, FedEx, Costco, Amgen, Symantec, Qualcomm, Biogen, Genentech, Intel, HP and Sun among >300,000 companies since inception
  - Work w/ the White House's Innovation Cohort, Domestic Policy Council, Office of Science and Technology Policy, National Economic Council, National Security Council and several special interagency economy-focused task forces

### U.S. SECURITIES AND EXCHANGE COMMISSION

**Oct 2014 - Present**

*ADVISORY COMMITTEE MEMBER – COMMITTEE ON SMALL & EMERGING COMPANIES*

WASHINGTON, DC

- Appointed to post by U.S. Securities and Exchange Commission Chairwoman Mary Jo White.
- Provide SEC with counsel on its rules, regulations, and policies with regard to its mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation as they relate to:
  - Capital raising by emerging privately held small businesses and publicly traded companies with less than \$250 million in public market capitalization through securities offerings, including private, limited and IPOs
  - Trading in the securities of emerging companies and smaller public companies
  - Public reporting and corporate governance requirements of emerging companies and smaller public companies.

### PACIFIC COMMUNITY VENTURES | ASPEN GROVE CAPITAL | BRAND MAESTRO

**Oct 2012 – Oct 2013**

*ADVISOR | ADVISOR | PARTNER & CO-FOUNDER*

SAN FRANCISCO | VAIL | NEW YORK

- Advised a pioneer in double-bottom line social impact investing with \$100 million of capital deployed since it's founding
- Provided principal investment strategic and transactional advice to Aspen Grove Capital LLC with ~\$1.3 billion AUM
- Co-founded marketing strategy & consumer insight agency that enhances brands owned by small firms & Fortune 500

# JAVIER SAADE

PAGE 2

## THE GLOBAL EMERGING MARKETS GROUP (GEM)

Apr 2007 – Feb 2013

MANAGING DIRECTOR – PRIVATE EQUITY AND ALTERNATIVE PRINCIPAL INVESTMENTS

NEW YORK | PARIS | HONG KONG

- Held General Partner role in a \$3.4 billion alternative investment firm focused on emerging and frontier markets globally
- Sourced, structured, negotiated, invested, and monitored investments across PE, VC and HF vehicles
- Managed relationships with investors, portfolio companies, co-investing partners and company boards
- Helped recapitalize and restructure companies to maximize value and optimize capital efficiency
- Advised senior partners of a firm which invested or advised 300+ investments in 50+ countries since its founding in 1991
- Gained experience doing business and investing in emerging and frontier economies around the globe

## BRIDGEWATER ASSOCIATES | POLLEN DESIGN | ATENERGY (Semi-concurrent stints)

Jan 2005 – Apr 2007

CLIENT ADVISOR | PARTNER | CO-FOUNDER & CEO

WESTPORT | NEW YORK

- Advised institutional clients at \$160 billion AUM macro hedge fund, the largest one in the world
- Help partner position focused on commercializing inventions at award-winning consumer product and industrial design firm
- Co-founded alternative energy company focused on providing solar power services to commercial real estate owners

## AIR AMERICA RADIO, INC. & PARADIGM GROUP, LLC (Split time between private equity firm and portfolio co.)

2002-2004

AIR AMERICA RADIO - CO-FOUNDER & EVP (SOLD AND RECAPITALIZED FALL 2004)

NEW YORK

- Co-founded national radio network that became a media sensation and powerful talk radio competitor, featuring Al Franken (SNL, US Senator), Jeanine Garofalo (Reality Bites), Mark Maron (Comedy Central), Jerry Springer, Lizz Winstead (creator of The Daily Show), Rachel Maddow (MSNBC Anchor), Chuck D (Public Enemy), and Bobby Kennedy Jr
- Authored original business plan and PPM, raised capital, hired management team, grew company from 3 to over 100 employees, and established a broadcasting company that at its peak reached more than 100,000,000 ears

PARADIGM GROUP, LLC & PARADIGM MILLENNIUM FUND, LP - PRINCIPAL

CHICAGO

- Invested VC into private companies and structured capital into small public companies on behalf of \$150m fund
- Led or co-led investments into half a dozen companies in technology, biologics, logistics and media
- Counseled CEOs and BODs on growing businesses and capital structure

## MCKINSEY & COMPANY

2000-2002

SENIOR ASSOCIATE | JR EM

CHICAGO

- Counseled C-Level executives in Fortune 100 companies on corporate strategy, marketing, operations and finance
- Advised 2 top private equity funds on issues surrounding portfolio company integration, strategy and financing
- Led teams through re-engineering, M&A, globalization, new product development, and war room strategy talks
- Performed and presented quantitative and qualitative analysis to senior executives to drive client action
- Gained experience in financial services, healthcare, media & entertainment, private equity and consumer goods

## BOOZ ALLEN & HAMILTON, INC.

1998

SENIOR CONSULTANT, INFORMATION TECHNOLOGY GROUP

BUENOS AIRES | SAO PAULO | CHICAGO

- Helped creation of intellectual capital surrounding the initial convergence of IT with biotechnology
- Consulted world's largest agricultural concern regarding global supply chain opportunities and investments totaling \$1B
- Assisted the reorganization of a multinational company's information technology infrastructure and architecture
- Analyzed financial & regulatory implications of privatizing a country's telephone network and local exchange networks

## ABBOTT LABORATORIES

1992-1997

SIX MANAGERIAL ROLES IN ENGINEERING, OPERATIONS, IT, AND PLANNING

VARIOUS GLOBAL LOCATIONS

- Project Manager, \$20m ERP Implementation; Abbott Health Products Inc.
- Section Manager, \$1.9b Product Planning; Pharmaceutical Products Division
- Project Leader, Information Technology; Corporate MIS
- Industrial Engineer, Active Drug Manufacturing; Chemical Products Division
- Inventory Controller & Planner \$150m Thruput; Pharmaceutical Prod. Division
- Manufacturing Supervisor 50 people; Abbott Diagnostics Division

# JAVIER SAADE

PAGE 3

---

## EDUCATION

- ◆ MBA, Harvard Business School, Harvard University 2000
  - *Advised Startups | Held VC internship | Took MIT course*
- ◆ MS, Operations & Technology: Illinois Institute of Technology 1996
  - *Obtained part time concurrent while holding a demanding job at Abbott Laboratories*
- ◆ BS, Industrial Management & Engineering: Purdue University 1992
  - *Tutored blind and deaf students*

---

## ADVISORY ROLES , BOARDS, PUBLICATIONS, MEMBERSHIPS, OTHER

- ◆ Executive in Residence, Columbia University's Columbia Technology Ventures
- ◆ Mentor, Stanford Graduate School of Business' Latino Entrepreneurship Leaders Program
- ◆ Fellow, Georgetown University's Beek Center for Social Impact + Innovation
- ◆ Recipient of Harvard Business School's Latinos in Business Excellence Award
- ◆ Past Board of Directors, Hispanic Alliance for Career Enhancement (HACE), career focused 501c3
- ◆ Past Board of Directors, Casa Central, the largest Latino focused community service organization in Chicago
- ◆ Past member of the American Production and Inventory Control Society (APICS)
- ◆ Past member of the Society of Hispanic Professional Engineers (SHPE)
- ◆ Past member of National Venture Capital Association (NVCA)
- ◆ Past Turnaround Management Association partly certified
- ◆ Past NASD Series 63, 65, and 66; Series 7 and 24 were in process
- ◆ Recipient Chairman of the Board Award, Abbott Laboratories
- ◆ Nominated to Council on Foreign Relations
- ◆ Guest lecturer or speaker at Harvard, Stanford, Georgetown, Penn, MIT, USC, UCLA and Columbia
- ◆ Member of Harvard Business School Clubs of Chicago and New York City
- ◆ Community volunteering across several areas of interest such as animal rights and environmental protection
- ◆ *"Hispanic American VC—Financing the Growth of the Latino Market"*, Journal of Private Equity, '00
- ◆ *"PIPEs – Strategies for Bridging Public and Private Investing"*, Journal of Alternative Investments, '03 (s)
- ◆ *Blog* → <http://1.usa.gov/1OwblOp>
- ◆ Physically active: 9 marathons, 3 triathlons, 5 continent SCUBA Diving, trekking, mountaineering, skiing, surfing
- ◆ Visited 80+ countries | Grew up in San Juan, Puerto Rico | Fluent in Spanish and conversant in Portuguese

---

## AVAILABLE UPON REQUEST

- ◆ Reference list, writing samples, speaking audio & video
- ◆ Policy Making & Congressional Interaction Details
- ◆ White House & Interagency Collaboration Details