

Introduction

This twenty-third edition of the *Guide to Venture Capital & Private Equity Firms, Domestic & International* is a comprehensive database of more than 3,000 of the most active venture capital and private equity firms operating today, domestically and internationally. All company profiles include current contact information and specific industry data for a detailed picture of the firm and its investment parameters. Profiles include headquarters, other locations and branches, industry group preferences, average investment, portfolio companies, investment criteria and detailed lists of key executives.

As with all previous editions, this 2019 edition includes a User Guide, followed by documents that offer insight into the current state of this dynamic industry. Two detailed reports follow this introduction: KPMG Enterprises: *Venture Pulse Q4 2018*, *Global Analysis of Venture Funding*; and PwC/CB Insights *Money Tree™ Report Q4 2018*. Highlights include:

- VC investments in the US soar to new annual high;
- Top five funded sectors: Internet; Healthcare; Mobile & Telecommunications; Software; Consumer Products & Services;
- Top five regions by deals: San Francisco; NYC; Silicon Valley; New England; and the Midwest;
- Global comparison by investment.

The firm profiles in this edition present a most current, comprehensive picture of this dynamic industry. Hundreds of domestic and international firms have been updated, with a particular focus on firms based in Canada. More than 2,100 updates have been made to specific fields within the profile, especially key executives and company branches. In addition to the significant update effort put forth for this edition, we have added 154 new firms, 113 new branches, and 741 new key executives.

All domestic, Canadian and international profiles include, in addition to contact information, a mission statement, industry group preferences, portfolio companies, geographic preferences, average and minimum investments, and investment criteria. Each firm's partners are listed with extensive background information, such as education (degree and school), professional background (previous positions and companies) and directorships held. The specificity of both the firm and its partners add to the value of each firm's profile. Information for firms headquartered overseas include name, phone, fax, email and website.

Guide to Venture Capital & Private Equity Firms is organized into four major sections, Domestic Firms, Canadian Firms, Domestic Associations, and International Firms, each arranged alphabetically by company name. These sections are followed by five valuable indexes:

College/University Index offers an alphabetical list of more than 800 educational institutions worldwide – and the venture capital executives who attended them. Each listing includes the reference number of the affiliated VC firm of the executive listed.

Executive Index is an alphabetical list by last name of the 11,859 key partners and the listing number of their affiliated firm.

Geographic Index organizes all firms by state for domestic listings and by country for international listings.

Industry Preference Index alphabetically lists the more than 200 industry segments and the names of the firms that invest in them.

Portfolio Companies Index alphabetically lists the more than 26,500 companies that received venture capital from a listed firm, and is referenced to that listing.

For even easier access to information, *Guide to Venture Capital & Private Equity Firms* is available in our online database platform, <http://gold.greyhouse.com>. Subscribers will have immediate access to all domestic and international venture capital and private equity Firms to:

- Find Firms that are specifically interested in their industry group. Whether agrifood or web infrastructure, this Online Database can be sorted into over 200 Industry Group categories.
- Search for Firms that match the investment level they need. From \$250,000 to \$50 Million, you'll be able to generate a list to match your requirements, within specific geographic areas.
- Find which Venture Capital Firms have funded specific Companies. Simply key in a Company to generate a list of Firms who funded them.

This online database platform offers a number of ways to search and sort data – Firm Name, Geographic Location, Geographic Preferences, Portfolio Companies, Industry Group Preferences, Average Investment, Fund Size, Investment Criteria, Managing Partners and much more. Visit www.greyhouse.com for a free search of this database and subscription details.

Praise for previous edition:

“ . . . valuable reference... excellent indexes . . . recommended for business collections in large public, academic and business libraries . . . ”

CHOICE

“ . . . excellent resource for public libraries supporting a business sector . . . ”

ARBA

“ . . . extremely user-friendly . . . ”

Library Journal

“ . . . only directory to list and index portfolio companies ... a useful volume . . . ”

Journal of Business & Finance Librarianship

The 2019 edition of *Guide to Venture Capital & Private Equity Firms* is our strongest to date, and offers a valuable resource for those needing to research the investment community. Users are encouraged to bring new, unlisted, or changed firms to our attention.

User Guide

Descriptive listings in *Guide to Venture Capital & Private Equity Firms* are organized into Domestic and International sections, with each arranged alphabetically by company name. The listings are supplemented by five indexes: College & University Index, Geographic Index, Industry Preference Index, and Portfolio Company Index. The record number, shown top left, rather than the page number, is how the listings are referenced.

Shown below is a fictitious listing illustrating the kind of information that is or might be included in an entry. Each numbered item is described on the following page.

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- 1234** 1- **GALIVANT VENTURE CAPITAL**
 2- 14 State Boulevard
 Suite 185
 Millerton, NY 12546
- 3- 060-555-4131
- 4- 060-555-4132
- 800-945-7411
- 5- info@gvaztx.com
- 6- www.gvaztx.com
- 7- **Mission Statement:** To identify, support and counsel companies with strong management and proven growth in the communications industry.
- 8- **Geographic Preference:** Eastern United States
- 9- **Fund Size:** \$20 million
- 10- **Founded:** 1982
- 11- **Average Investment:** \$1.5 million
- 12- **Minimum Investment:** \$500,000
- 13- **Investment Criteria:** Seed, Startup, First-Stage, Second-Stage, Mezzanine, LBO, MBO
- 14- **Industry Group Preference:** Communications, Data Communications, Telecommunications, Internet Services, Television, Radio
- 15- **Portfolio Companies:** HamStark Inc., Placid Internet, DuBois Inc., Berkshire Radio Co., Shir-Fire.com, Trail Communications, Holyoke Internet Services
- 16- **Other Locations:**
 96 Club Road
 Suite 1982
 Milwaukee, WI 53212
- 17- **Key Executives:**
 Gabriele O'Laughlin PhD, Managing Director
 019-931-6966
 Fax: 019-931-4967
 e-mail: glord@gvaztx.com
 Education: BA, Mount Holyoke College; MBA, PHD, Finance, Texas A&M University
 Background: CFO, Whitehouse Inc., IntelliCon Technologies
 Directorship: OverDrive Tech, BrynSore Group

User Key

- 1- **Company Name:** Formal name of the company.
- 2- **Address:** Location or permanent mailing address of the company.
- 3- **Phone Number:** The listed phone number is usually for the main office, but may also be for sales, marketing, or public relations as provided by the company.
- 4- **Fax Number:** This is listed when provided by the company.
- 5- **E-Mail:** This is listed when provided, and is usually the main office e-mail.
- 6- **Web Site:** Listed when provided by the company, and is also referred as an URL address. To access through the internet, type http:// before the URL address.
- 7- **Mission Statement:** This information is either provided directly by the company, or abridged from data on the company web site or in company literature.
- 8- **Geographic Preference:** This lists the geographic location the firm prefers to invest in.
- 9- **Fund Size:** This is the total amount of money a firm has to invest. International firms often calculate dollar amounts in their own currency.
- 10- **Founded:** The year in which the firm was established or founded. If the organization has changed its name, the founding date is usually for the earliest name under which it is known.
- 11- **Average Investment:** The average amount the firm generally invests in a company.
- 12- **Minimum Investment:** The smallest possible amount the firm would consider investing.
- 13- **Investment Criteria:** This indicates at what stage the firm is willing to invest in, i.e., Seed, Startup, First-Stage, Second-Stage, Mezzanine, LBO, MBO, etc.
- 14- **Industry Group Preference:** This indicates what industry the firm is most likely to invest in. Note that most of this information does not follow standard industry language; the Industry Group Preference Index is designed to help the reader summarize information, and should be reviewed carefully.
- 15- **Portfolio Companies:** This is a listing of the companies that the firm has invested in to date.
- 16- **Other Locations:** Divisions or subsidiaries of the main company. Also included may be the key executives of that location.
- 17- **Key Executives:** Names, titles, phone numbers, fax numbers and personal e-mail addresses of key executives—including Presidents, Partners, and Managing Directors. This section can also include educational data, including degree and school, and professional data, including previous positions and companies, backgrounds, as well as a list of directorships held.

VC investment in the US soars to new annual high

The US experienced a perfect storm of positivity in the VC market during 2018, helping to spur investment results well above the previous year's record high. A strong public market, a record number of \$100 million+ deals, renewed IPO activity, an upswell in new unicorn births, and an expansion of capital all added strength to the US VC market. While Q4'18 ended with significant turbulence in the public markets, the overall outlook heading into 2019 remains quite positive.



Massive increases in VC investment in the US

VC investment in the US increased substantially during 2018, shattering the previous record high of \$83 billion set in 2017, and climbing well above the \$130 billion mark for the first time. While the fourth quarter saw two mega-deals during the quarter, including a massive \$12.8 billion dollar deal by Juul and a \$1.25 billion raise by Epic Games, investment levels remained very strong. Four \$500 million+ deals helped propel US results, including an \$871 million Series F raise by Instacart, a \$550 million Series A raise by Automation Anywhere, and a \$524 million raise by Mobile.



Early-stage deals volume remains weak as VC funds get larger

Fundraising in the US was also strong throughout the year, with significant raises by Lightspeed Venture Partners and Index Ventures. In order to put these bigger funds to work, VCs have focused intensively on later-stage deals with bigger dollars. This has led the bigger VCs to take their eyes off early-stage opportunities. This, combined with the growing availability of less traditional pre-Series A financing, has helped to keep the volume of early-stage deals quite low.

At the same time, the lack of focus on early-stage deals from the larger funds has opened the door to smaller funds and niche funds to enter the market. Given the smaller size of these funds, it is no surprise that they have been more selective with their investments, focusing on higher value opportunities and on companies with proven business models. This increase in the quality of early-stage companies being funded will likely lead to more robust deals at Series A and beyond as funded companies mature.



Consumer centric solutions and convenience plays dominating investment

A common theme over the latter half of the year has been the focus VC investors have been giving to consumer centric solutions. While B2B plays related to AI and automation continued to attract funding, VC deals activity was dominated primarily by companies focused on transforming the consumer experience in some way or catering to the increasing demand for convenience. Companies able to attract funding were varied, ranging from Devoted Health, a company focused on providing personalized medical plans, to home delivery provider Instacart.



Unicorn companies poised for big showdown in the IPO market

While the IPO market in the US gained strength in 2018, many US unicorn companies remained on the fence waiting to see longer-term results. Given the turbulence in the US stock market during Q4'18, there could be some hesitation heading into Q1'19. Yet, there are some indications that the number of unicorn IPO exits could pick up over the course of 2019. The showdown between unicorn companies will be one to watch in early 2019, with its corresponding ripples no doubt setting the pace for other potential unicorn IPOs later in the year.



VC investment in the US soars to new annual high



VC investor interest in healthtech and biotech continues to rise

Healthtech and biotech remained clear winners in terms of VC investor interest during Q4'18, continuing a longer-term trend. During the quarter, SmileDirectClub raised \$380 million, while Devoted Health raised \$300 million.

Biotech companies also continued to show strong leadership on the exit front to close out 2018. In December, Moderna Therapeutics hosted the largest biotech IPO ever, raising \$604 million with a valuation of \$7.5 billion⁷. The first day of trading however, came with a massive \$1.4 billion decline in market value, which has placed some scrutiny on the company which has a strong development pipeline focused on using the body's own cellular structures to fight disease but no commercial products.



Food delivery sectors continue to evolve as companies fine tune their business models

2018 saw ongoing interest in the food and home delivery space, a trend that continued during Q4'18 with the \$871 million Series F raise by Instacart. While the acquisition of Whole Foods by Amazon might be sparking some investment interest as companies look to compete, much of the interest has been driven by companies recognizing that they need to provide cost-effective home delivery options.

Companies such as GrubHub have been working to take advantage of this growing interest, focusing their acquisition strategies on companies able to help improve the efficiency, quality, and speed of their home delivery. Over time, the companies best able to fine tune their value proposition should be better able to separate themselves from the competition in the space and, therefore, continue to attract capital over time as other companies fade into oblivion.



M&A market strong, particularly in the SaaS space

The M&A market continued to be strong in the US during 2018. In October, the Microsoft acquisition of GitHub closed for \$7.5 billion in what was the largest acquisition of a VC-backed SaaS company in history. The record was short-lived, however, with the announcement of SAP's acquisition of survey software company Qualtrics coming in November, a deal expected to close early in 2019. A number of the companies looking to exit have taken a two-track approach, catering to either an IPO or an M&A deal. Qualtrics, for example, was slated for an IPO within days of the announced acquisition.⁸ For a company's investors, M&A can make for a lucrative exit, given that companies looking to make strategic acquisitions are more likely to do so at a higher number than the public market valuation.



Trends to watch for in 2019

Should the US stock market stabilize in Q1, 2019 could see more unicorn IPO exits. Regardless of IPO results, the VC market in the US is expected to remain robust, as there is a large inventory of unicorns that will likely need additional funding in order to stay private, in addition to a big pipeline of pre-unicorns.

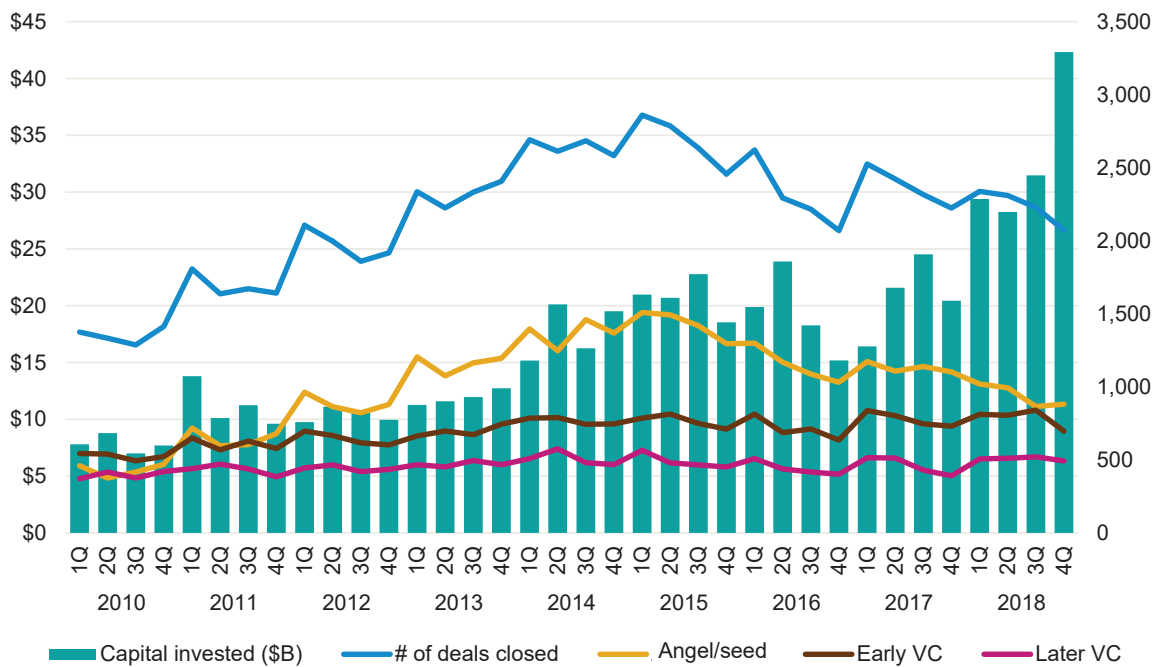
Healthtech, biotech, and transportation are expected to remain hot areas of VC investment well into 2019, in addition to technologies that easily cross industries, such as artificial intelligence, robotics process automation, and virtual or augmented reality.



2018 soars to even higher level at the end

Venture financing in the US

2010–Q4'18



Source: Venture Pulse, Q4'18, Global Analysis of Venture Funding, KPMG Enterprise. Data provided by PitchBook, January 15, 2019.

The evolution of the late-stage venture, high-growth investment realm continued apace as 2018 wound down in the US. The final quarter of the year saw well over \$40 billion invested across 2,000+ financings, boosted heavily by the \$12.8 billion Juul raised in a massive growth round.

“2018 was an outstanding year for VC investing and exits. We saw an increase in both new unicorn births and \$500 million + deals as well as strength in the IPO markets which was the best since 2014. Expect 2019 to be the year of the Mega IPO with many Unicorns coming public.”



Brian Hughes

Co-Leader, KPMG Enterprise Innovative Startups Network, KPMG International and National Co-Lead Partner, KPMG Venture Capital Practice, **KPMG in the US**

Venture Pulse, Q4 2018, Global Analysis of Venture Funding, KPMG Enterprise, p. 43-45. Data provided by PitchBook. January 15, 2019.

1 (@)VENTURES

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Mission Statement: @Ventures invests in early stage, high value companies in the clean technology sector. The firm seeks to provide valuable resources and establish committed partnerships with portfolio companies in order to bring innovative clean technology products to market.

Geographic Preference: North America

Fund Size: \$280 million

Founded: 1995

Average Investment: \$5 million

Investment Criteria: Early-Stage, Mid-Stage Technology

Industry Group Preference: Internet Technology, Enterprise Services, Software, Clean Energy, Information Technology, Technology, Security, Enabling Technology, Alternative Energy, Clean Technology

Portfolio Companies: 212 Resources, Cobalt Biofuels, Powerit Holdings, Propel Biofuels, Object Video

Key Executives:

Peter H Mills, Managing Director

Education: BS, Communications, Ithaca College; MBA, Marketing, Graduate School of Business, Columbia University

Background: CEO, United States Display Consortium; Chief Administrative Officer, SEMATECH; Co-Founder/COO, Softrend Inc.; Senior Vice President, BPI

Directorships: 212 Resources, Cobalt Biofuels, Powerit Solutions, Propel Biofuels

2 .406 VENTURES

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Phone: 617-406-3300; Fax: 617-406-3301
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www.406ventures.com

Mission Statement: To provide capital, leadership and operational expertise for early stage companies in the technology industry.

Fund Size: \$217 million

Investment Criteria: Early-Stage

Industry Group Preference: Technology, Digital Media & Marketing, Energy Technology, Fintech, Healthcare Information Technology, Information Services, Internet, Next Generation Software, Open Source, Real-Time Data, Web Infrastructure, Technology-Enabled Services

Portfolio Companies: Abilto, Ambient Devices, Attend, AuthAir, Axial Healthcare, Bedrock Data, Bit9, Business Intelligence Advisors, Cloud Health Technologies, Compass, Connotate, CoPatient, Indico, Iora Health, Kaltura, Mashery, MineralTree, Nara Logics, Onapsis, Pwnie Express, Redox, Reltio, Revmetrix, Threat Stack, Vaultive, Veracode, WoodPellets.com

Key Executives:

Larry Begley, Co-Founder/Managing Director
617-406-3303

lbegley@406ventures.com

Education: BSBA, Accounting, Boston College; MBA, Finance, Babson College

Background: EVP & CFO, CCBN.com; EVP, CFO & Treasurer, i-Cube and Razorfish; Partner, CFO & Treasurer, Boston Consulting Group

Directorships: Ambient Devices, CloudHealth Technologies, Nara

Maria Cirino, Co-Founder/Managing Director

617-406-3333
mcirino@406ventures.com

Education: BA, English Literature, Mount Holyoke College

Background: SVP, VeriSign; CEO, Guardent; SVP, Sales & Marketing, Razorfish

Directorships: Attend.com, AuthAir, Bit9, Kaltura, Mineral Tree, Onapsis, Pwnie Express, Threat Stack, Vaultive, Veracode

Liam Donohue, Co-Founder/Managing Director
617-406-3388

ldonohue@406ventures.com

Education: BS, Chemistry, Georgetown University; MBA, Tuck School of Business, Dartmouth College

Background: Principal, Foster Management; Co-Founder, Arcadia Partners; CEO, Business Intelligence Advisors; Booz-Allen & Hamilton

Directorships: Abilto, Axial Healthcare, Bedrock Data, Business Intelligence Advisors, Connotate, Copatient, Healthsense, Indico, Iora Health, Redox, Reltio, WoodPellets.com

Graham Brooks, Partner

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Education: BSE, Computer Science, Princeton University; MBA, Tuck School of Business, Dartmouth College

Background: Business Development Manager, Bose Corporation; Co-Founder, Accentus

Greg Dracon, Partner

617-406-3344

gdracon@406ventures.com

Education: BS, Electrical Engineering, Pennsylvania State University; MBA, Entrepreneurial Management & Finance, Wharton School

Background: VP, Core Capital Partners

3 10X VENTURE PARTNERS

196 Bridge Street
Manchester, NH 03104

shomethemoney@10xvp.com
www.10xvp.com

Mission Statement: 10X Venture Partners is a seed stage (and beyond) investment group.

Geographic Preference: New England

Average Investment: \$50,000 - \$500,000

Investment Criteria: Seed-Stage, Revenue between \$5 to \$10 Million

Industry Group Preference: Mobile, Internet, Wireless, Security, Social Media, SaaS, Cloud Computing, Green Technology

Portfolio Companies: Adored, Akumina, Applied BioMath, Blade, Coach Up, Eversound, Liquidware Labs, MyVBO, Nanocomp Technologies Inc., NBD Nano, Spiro, Splitwise, Uconnect, WOO Sports, XL Hybrids

Key Executives:

Tim Heald, Partner

Education: BBA/MBA, Southern New Hampshire University

Background: Executive Director, Constellations Behavioral Services

Charlie Northrup, Partner

cnorthrup@10xvp.com

Matt Pierson, Partner

mpierson@10xvp.com

Education: BBA, University of Rhode Island

Background: Co-Founder, DTC Communications; Managing Director, Dunn Rush & Co.

Art Garofalo, Partner

agarofalo@10xvp.com

Education: BEE, Electrical Engineering, Manhattan College; MBA, Marketing, Pace University

Background: Microcom, Ardent Computer, MiniComputer, Software.com

Marc Amiet, Partner

marc.amiet@tpluspartners.com

Education: BBA, Bern University of Applied Sciences
Background: Schleuniger; Phmatron
John Gargas, Partner
jgargas@10xvp.com
Education: Mechanical Engineering, University of Colorado; Sloan School Greater Boston Executive Program, MIT

4 180 DEGREE CAPITAL

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ir@180degreecapital.com
www.180degreecapital.com

Mission Statement: An active investor committed to working side-by-side with the management of its portfolio companies to surmount the many challenges they confront. Formerly known as Harris & Harris Group.

Founded: 1983

Investment Criteria: Early stage, IPO, Acquisition, Tiny Technology

Industry Group Preference: Nanotechnology, Microelectronics

Portfolio Companies: ABS Materials, Adesto Technologies, Accelerator, AgBiome, D-Wave Systems, EchoPixel, Genome Profiling LLC, HALE.Life, HZO, Lodo Therapeutics, Mersana, Nanosys, NGX Bio, ORIG3N, Petra Pharma, Phylagen, ProSep, Synacor, TARA, TheStreet Inc., Xenio

Key Executives:

Kevin M. Rendino, Chairman/CEO
Background: Chairman/CEO, RGJ Capital
Directorships: Rentech Inc.

Daniel B. Wolfe, Ph.D., President/Chief Financial & Compliance Officer
Education: PhD, Chemistry, Harvard University; BA, Chemistry, Rice University
Background: Consultant, Nanosys; CW Group; Bioscale; Co-Founder/President, Scientific Venture Assessments

5 1843 CAPITAL

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Greenwich, CT 06830

info@1843capital.com
www.1843capital.com

Mission Statement: 1843 Capital is an early stage, technology venture firm advocating for gender equity to generate superior returns.

Investment Criteria: Early-Stage

Industry Group Preference: Technology, Consumer, Technology-Enabled Services

Portfolio Companies: Agrilyst, Beauty Counter, Finn AI, Glassbreakers, Iotas, Marstone, Modumetal, Rapt, Seedling, Shareablee, Silvernest, TA, Triple Canopy

Key Executives:

Tracy Chadwell, Founding Partner
Education: JD, Loyola University of Chicago
Background: Baker Capital

Alison Andrews Reyes, General Partner
Education: AB, Dartmouth College
Background: COO/Co-Founder, DeSignable.com; CEO/Co-Founder, Vigilant

6 3i GROUP PLC

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Singapore

Phone: 65-62322937; **Fax:** 65-62322943

3rd Floor, Nicholas Piramal Tower
Peninsula Park
Ganpatrao Kadam Marg
Mumbai 400 013
India

Phone: 91-22-66523131; **Fax:** 91-22-66523141

Key Executives:

Simon Borrows, Chief Executive
Education: University of London; MBA, London Business School

Background: Founder/Co-President, Greenhill; CEO, Baring Brothers International Limited; Corporate Finance, Morgan Grenfell

Directorships: The British Land Company PLC

Julia Wilson, Group Finance Director

Background: Arthur Andersen; Harrison PLC; Tomkins PLC; Group Tax Director, Cable & Wireless PLC

Directorships: Legal & General Group PLC

Menno Antal, Managing Partner/Co-Head, Private Equity
Education: MSc, Electrical Engineering, Delft University of Technology; MBA, IMD Switzerland

Background: Managing Director, Benelux; Heineken

Jeremy Ghose, Managing Partner/Debt Management CEO

Education: BA, Business Administration

Background: Executive Officer, Mizuho Corporate Bank

Alan Giddins, Managing Partner/Co-Head, Private Equity

Background: Managing Director, Societe Generale; Accountant, KPMG

Phil White, Managing Partner, Infrastructure

Education: MBA, London Business School

Background: Division Director, Infrastructure Funds, MacQuarie Group; Barclays; WestLB

Directorships: Anglian Water Group, Elenia

Ben Loomes, Managing Partner, Infrastructure/Group Strategy Director

Education: BA, Masters of Science, Experimental & Theoretical Physics, University of Cambridge

Background: Goldman Sachs; Greenhill; Morgan Stanley

7 42 VENTURES

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info@42ventures.com
www.42ventures.com

Mission Statement: Partnering with entrepreneurs to grow software-driven businesses that deliver innovative products and services to highly defined markets.

Founded: 2006

Average Investment: \$250,000 - \$1.5 million

Investment Criteria: Early-Stage

Industry Group Preference: Software, SaaS, Mobile, Cloud Computing, Big Data

Portfolio Companies: Distribion, Fast, Ideal Response, Inside Real Estate, Insurance Technologies, Luminoso, Marketingfx, New Media Gateway, Sharp Analytics, Simpleview, Swipeclock Workforce Management, Verticalnerve, Works Software, TouchPath

Key Executives:

Ned Stringham, Managing Director
801-550-5024

Education: BS, Philosophy & Political Science, University of Utah; MBA, Harvard Business School
Background: Co-Founder, SBI Group; Co-Founder, Impact Group; McKinsey & Company

Bob Howe, Executive Advisory Board
Education: BBA, Southern Methodist University; MBA, Harvard Business School
Background: Managing Partner, Highnote Ventures; Chairman, Montgomery Goodwin Investments; CEO/Chairman, Scient; Senior Vice President, Booz Allen Hamilton

Tim Storer, Executive Advisory Board
214-868-8484
Education: BSc, Engineering and Mathematics, Vanderbilt University; MBA, Southern Methodist University
Background: CEO, Distribion Inc.; Chairman, Vertical Nerve; Chairman, Marketingfx

Blue VanDyke, Partner
Education: MS, International Management, Thunderbird
Background: Co-Founder, Pride-Media Group; COO, Proxicom; Daimler-Benz; Ernst & Young

Troy Wardrop, Operating Principal - Technology
Education: BS, Computer Science, University of Utah
Background: Co-Founder, White Label Marketing

Doug Folsom, Chief Financial Officer
801-703-1625
Education: BSc, University of Utah; CPA

8 500 STARTUPS

444 Castro Street
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500.co

Mission Statement: Based in Silicon Valley, 500 Startups has invested in more than 1,600 companies in 60 countries.

Geographic Preference: Global

Fund Size: \$300 million

Founded: 2010

Average Investment: \$150,000

Investment Criteria: Seed, Series A

Industry Group Preference: Consumer Commercial, Family Tech and Education, Design, SMB Productivity & Cloud Services, International/Emerging Markets, Food Tech & Digital Healthcare, Mobile & Tablet, Payments & Financial Services, Online Video, Bitcoin, Ad Tech, Components & IoT
Portfolio Companies: Cleanify, ClickMechanic, ContaAzul, Grab, LE TOTE, Mayvonn, RealtyShares, Saucey, STOREMAVEN, Talkdesk, ToutApp, Twilio

Other Locations:

814 Mission Street
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Mexico

Key Executives:

Dave McClure, Founding Partner
dave@500.co

Education: John Hopkins University
Background: Founders Fund, Facebook fbFund, PayPal, Mint.com, Simply Hired

Christine Tsai, Founding Partner
christine@500.co

Education: University of California, Berkeley
Background: Google, YouTube

9 5AM VENTURES

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www.5amventures.com

Mission Statement: 5AM Ventures is focused on expanding early stage biotechnology and life science companies.

Fund Size: \$250 million

Founded: 2002

Average Investment: \$25 million

Minimum Investment: \$4 million

Investment Criteria: Seed, Early Stage, Startups

Industry Group Preference: Life Sciences, Biotechnology

Portfolio Companies: Arvinas, Atterocor, Audentes, Biodesy, Ceterix Orthopedics, Chrono Therapeutics, Cleave Biosciences, Crinetics Pharmaceuticals, Igenica, Kinestral, Novira, Pear Therapeutics, PhaseRx, Portal Instruments, Precision Nanosystems, Rennovia, Ruiyi, scPharmaceuticals, Spyryx Biosciences, Startide Sciences, Wildcat Discovery Technologies

Other Locations:

28 State Street
Suite 2303
Boston, MA 02109
Phone: 857-305-1825; **Fax:** 857-305-1843

Key Executives:

John D Diekman PhD, Founder/Managing Partner
Education: BA, Chemistry, Princeton University; PhD, Chemistry, Stanford University

Background: Founder/Managing Director, Bay City Capital; Chairman/CEO, Affymetrix; Chairman/Managing Director, Affymax

Directorships: Ambrx, Igenica, Wildcat, Chemdex, Envoy, Ingenuity, LJI BioSystems, Marcadia

Andrew J Schwab, Founder/Managing Partner
Education: BS, Genetics & Ethics, Davidson College
Background: Principal, Bay City Capital; VP, Business Development, Digital Gene Technologies; VP, Montgomery Securities

Directorships: Bellerophon, Biodesy, Cleave, DVS, Flexion, Ikaria, Ilypsa, Miikana, Pear Therapeutics, Precision NanoSystems, RuiYi, Synosia, Viveve

Scott M Rocklage PhD, Managing Partner
Education: BS, Chemistry, University of California, Berkeley; PhD, Chemistry, Massachusetts Institute of Technology

Background: Chairman/CEO, Cubist Pharmaceuticals; President/CEO, Nycomed; Salutar; Catalytica
Directorships: Achaogen, Cidara, Epirus, Kinestral, Novira, Pulmatrix, Rennovia

Kush M Parmar, MD, PhD, Managing Partner
Education: AB, Molecular Biology, Princeton University; PhD, Experimental Pathology, Harvard University; MD, Harvard Medical School

Background: VP, Strategy & Corporate Development, Novira
Directorships: Arvinas, Audentes, Novira, scPharmaceuticals

Stephen J Bonelli, Chief Financial Officer
Education: BS, Business Administration, California Polytechnic State University; CPA
Background: CFO, U-Systems; CFO, Align Technology; CFO, General Surgical Innovations; Ernst & Young
Paul A Stone JD, Chief Operating Officer/General Counsel
Education: University of Wisconsin
Background: SVP/General Counsel, Ethos Pharmaceuticals; SVP/General Counsel, Ilypsa; VP, Chief Patent Counsel, Symyx; Patent Attorney, Senniger, Powers, Leavitt & Roedel
Directorships: Save the Bay
Mason Freeman MD, Venture Partner
Education: BA, Harvard College; MD, University of California, San Francisco
Background: Chief, Lipid Metabolism Unit/Director, Translational Medicine, Massachusetts General Hospital
Directorships: Envoy
Richard J Ulevitch PhD, Venture Partner
Education: AB, Washington & Jefferson College; PhD, Biochemistry, University of Pennsylvania
Background: Professor & Chairman, Department of Immunology, The Scripps Research Institute
James W Young PhD, Venture Partner
Education: BS, Chemistry, Fordham University; PhD, Organic Chemistry, Cornell University
Background: CEO, Sunesis; SVP, ALZA Corporation; President, Pharmaceuticals Division, Affymax, N.V.; SVP/General Manager, Pharmaceuticals Division, Sepracor; VP, Research, Zeecon/Sandoz Crop Protection Corporation
Directorships: Chrono Therapeutics

10 6PACIFIC CAPITAL

10940 Wilshire Blvd
Suite 1600
Los Angeles, CA 90024

Phone: 310-746-5420; **Fax:** 310-881-1910
www.6pacificgroup.com

Mission Statement: Executes a targeted investment strategy within the food, beverage and consumer product industries. The company's capital is deployed in small to mid-sized companies where additional financial resources can generate robust and highly attractive growth opportunities.

Founded: 2008

Average Investment: \$2 - \$5 million

Investment Criteria: Growth Stage

Industry Group Preference: Food & Beverage, Consumer Products

Portfolio Companies: JuiceWell, Lindora, Steaz

Other Locations:

747 Third Avenue
2nd Floor
New York, NY 10017
2090 Wyandotte Street East
Suite 201
Windsor, ON N8Y 5B2
Canada
Phone: 312-212-3636

Key Executives:

Thomas Newmark, Chairman/Advisory Board Member
Background: Chairman, CEO, President, New Chapter Inc.

Steve Allen, Vice Chairman/Advisory Board Member
Education: BS, Food Science, University of Leeds; MS, Human Nutrition, University of London
Background: Executive, Nestle
Directorships: Nutrition Capital Network

Tariq Afghan, Managing Director/Head of Equity Investments

Education: BA, Psychology, University of Western Ontario; MBA, University of Windsor

Background: Head, Cross Border Group, Bank of Montreal; Director, Corporate Finance Officer, BMO

John Barrymore, Founder/Managing Partner
Education: BA, Economics, Southern Methodist University

Background: Credit Suisse; DLJ; Bank of Montreal; Piper Jaffray

Directorships: Duff & Phelps

Paul Cherrie, Operating Partner

Background: Director, Topps; Concord Confections Inc.; Director of Marketing, Kraft

Jim Harris, Operating Partner

Background: Managing Director, Artisan Confections Company; Hershey; COO/CFO, Scharffen Berger; Kohlberg & Company; Trivest Inc.; Bankers Trust

Eric Schnell, Operating Partner

Background: Founder, The Healthy Beverage Company; Founder, Steaz; President, Life Long Tea

11 747 CAPITAL

880 Third Avenue
17th Floor
New York, NY 10022

Phone: 212-747-7474
info@747capital.com
www.747capital.com

Mission Statement: Through fund of funds and managed accounts, 747 Capital focuses exclusively on the smaller end of the private equity market in North America.

Geographic Preference: United States, Canada

Founded: 1984

Investment Criteria: Later-Stage

Industry Group Preference: Private Equity

Portfolio Companies: Atlas Holdings, Azalea Capital, The Beekman Group, CapStreet, CHB Capital Partners, Chicago Growth Partners, Clearview Capital, DW Healthcare Partners, Encore Consumer Capital, Guardian Capital Partners, Hamilton Robinson Capital Partners, HCI Equity Partners, Insight Equity, Ironbridge Equity Partners, J.F. Lehman, JMC Capital Partners, Marwit Capital, Monomoy Capital Partners, New Harbor Capital, OFS Energy Fund, Owner Resource Group, Patriot Financial Partners, Prophet Equity, Rosemont Investment Partners, Summer Street Capital Partners, Tengram Capital Partners, Trive Capital

Key Executives:

Gijs FJ Van Thiel, Managing Partner

Education: BA, Webster University; MBA, Thunderbird School of Global Management, Arizona State University
Background: Founder/General Partner, Triad Media Ventures; Director, Financial Services, Icon International; Assistant Area Director, Netherlands Foreign Investment Agency

Marc Der Kinderen, Managing Partner

Education: BBA, European University, Belgium; MBA, Nijenrode School of Business
Background: Executive VP, Greenfield Capital Partners; Noro Group of Companies; HomeBanc
Directorships: CapCorp Investments

Joshua C Sobeck, Partner

Education: BA, Molecular Biology & Biochemistry, Middlebury College; MBA, Finance, Columbia Business School

Background: Product Marketing Manager, Citadon

Paul Kwon, Senior Associate

Education: BA, Economics, Columbia University
Background: Sergeant, United States Marine Corps
Greg Stupore, Associate

Education: BA, Accounting, Boston College; CPA
Background: Senior Auditor, Deloitte & Touche

12 A-GRADE INVESTMENTS

Los Angeles, CA

www.agradeinvestments.com

Geographic Preference: United States
Founded: 2011
Investment Criteria: Seed, Early Stage, Debt
Industry Group Preference: Consumer Internet, Technology
Portfolio Companies: Airtable, Amen, Getaround, GoButler, IfOnly, Kopari Beauty, Pair, ResearchGate, Sonic Notify, Tynychat, Willing

Key Executives:

Guy Oseary, Founder
Background: Principal, Untitled Entertainment; Executive Producer, NBC's Last Call

Ron Burkle, Founder
Background: Managing Partner, The Yucaipa Companies; Director, Yahoo; Director, Yucaipa Equity Partners, L.P.; Director, Occidental Petroleum Corp.; Director, KB Home Corporation

Ashton Kutcher, Founder
Background: General Partner, Sound Ventures; Co-Founder, Thorn: Digital Defenders of Children

Chris Hollod, Managing Partner
Education: BA, Economics, Finance, and Philosophy, Vanderbilt University
Background: Founding Partner, Inevitable Ventures

13 AM VENTURES

65 Union Avenue
 Suite 500
 Memphis, TN 38103

Phone: 901-523-2000
 www.archermalmo.com

Mission Statement: AM Ventures seeks to invest in early-stage companies by providing expertise and execution.

Geographic Preference: United States

Founded: 2010

Investment Criteria: Early-Stage

Industry Group Preference: Consumer Internet, Software
Portfolio Companies: Capital Farm Credit, Delaware North, Implus, Juice Plus, Massage Heights, Nations Hearing, Palm Beach Tan, Reynolds American, Smile Doctors Braces, Stoller, Valent, Zoetis

Key Executives:

Russ Williams, CEO, Partner
Education: MBA, Darden School Of Business, University of Virginia; BSc, Chemical Engineering, Christian Brothers University
Background: Chemical Engineer, DuPont

Directorships: Kraft Food Ingredients
Gary Backaus, Chief Creative & Strategy Officer
Education: BFA, Advertising Design, Memphis College of Art

Martha Hample, SVP/Director of Operations
Education: BA, Art History, Rhodes College
Background: Partner/Vice President, RecRoom

14 AAVIN PRIVATE EQUITY

1245 First Avenue Southeast
 Cedar Rapids, IL 52402

Phone: 319-247-1072
 www.aavin.com

Mission Statement: Generates outstanding investment results by partnering with strong management groups to build companies into profitable acquisition candidates.

Geographic Preference: Mid-America Region

Fund Size: \$47 million

Founded: 1999

Average Investment: \$5 - \$10 million

Minimum Investment: \$5 million

Investment Criteria: Late Stage, Expansion Stage, High-Growth Opportunities, MBO, Recapitalization
Industry Group Preference: Medical Devices, Healthcare, Information Technology, Manufacturing, Distribution,

Industrial Products, Retail, Consumer & Leisure, Software, Services

Portfolio Companies: America's PowerSports, Archon Woodworks, BrightPlanet, Celleration, Compendium, Coolibar, Dakota Services, Diversified Graphics, Dialysis Systems, Dynamic Broadband, FENA Design, Halo Innovations, Handy Industries, Hackett Precision, Metalforming Controls, Miles Media Holding, PMT Industries, RuffaloCODY, Spinal Designs, Transfer Tool Holdings, Varidigm, WindLogics

Key Executives:

James D Thorp, Managing Partner

319-200-4354

jthorp@aavin.com

Education: BS, Business Administration, Oklahoma State University; MBA, Finance, Wharton School, University of Pennsylvania

Background: Principal, Allsop Venture Partners; Berthel Fisher & Company

Eric M Hender, Senior Partner

319-200-4846

ehender@aavin.com

Education: Colorado College; Banking Institute, University of Wisconsin; Securities Institute, Wharton School, University of Pennsylvania

Background: Co-Founder/Managing Member, Marshall Venture Capital, LC; SCI Financial Group; President, Securities Corporation of Iowa

Directorships: Destinations Unlimited, Inter-Med

Kirk Kaalberg, Senior Partner

319-200-4845

kkaalberg@aavin.com

Education: BA, Accounting, Central College; MBA, Marketing, Trinity University

Background: Co-Founder/Senior Manager, McLeodUSA; Senior Manager, MCI; Teleconnect; Telecom USA

Directorships: Coolibar, Halo Innovations, Limolink, Archon

Paul D Rhines, Senior Partner

319-363-8971

prhines@aavin.com

Education: BA, Accounting, University of Northern Iowa

Background: Founding General Partner, Allsop Venture Partners; Co-Founder/Managing Member/Executive VP, Marshall Venture Capital, LC; Regional VP, MorAmerica Capital Corporation

Directorships: GreatAmerica Financial Services, Stamats Communications Company, Schebler Company

Thies O Kolln, Partner

319-200-4355

Education: BA, Dartmouth College; JD, University of Chicago

Background: Boston Consulting Group; Orbitz; Kirkland & Ellis; Law Clerk, US Court of Appeals

15 ABBOTT CAPITAL MANAGEMENT LLC

1290 Avenue of the Americas
 New York, NY 10104

Phone: 212-757-2700
 www.abbottcapital.com

Mission Statement: Abbott Capital Management, LLC is an investment management firm focused on building and managing private equity funds worldwide. Abbott Capital provides a number of solutions for institutional investors, and selects funds across venture capital, growth equity, buyouts, special situations and secondaries.

Geographic Preference: Worldwide

Founded: 1986

Key Executives:

Thaddeus I Gray, Managing Director/Chief Investment Officer

Education: BA, History, University of Pennsylvania; MBA, Finance, New York University; CFA