



Adam J. Epstein

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Founder
Third Creek Advisors, LLC

A nationally recognized small-cap expert, Mr. Epstein has advised, governed, and invested in hundreds of small-cap companies. His capital markets and corporate governance acumen are products of a singular perspective – a former corporate attorney, operating executive, institutional investor, and, now, board advisor. As *Bloomberg Businessweek* commented regarding Mr. Epstein's category-defining corporate governance book, "[a]ttention, directors of small-cap companies. Help is on the way."

Mr. Epstein is an advisor to CEOs and boards of pre-IPO and small-cap companies through his firm, Third Creek Advisors, LLC. He speaks monthly at corporate governance and investor conferences, and has appeared internationally more than 100 times since 2012. Mr. Epstein is a key contributor to Nasdaq's *Amplify* small-cap content initiative, a mentor at the Nasdaq Entrepreneurial Center, and a National Association of Corporate Directors (NACD) Board Leadership Fellow and faculty member. He is the small-cap contributing editor for *Directorship* magazine, author of *The Perfect Corporate Board: A Handbook for Mastering the Unique Challenges of Small-Cap Companies* (New York: McGraw Hill, 2012), and contributing author to *The Handbook of Board Governance: A Comprehensive Guide for Public, Private and Not for Profit Board Members* (New Jersey: Wiley, 2016). In June 2017, *The Perfect Corporate Board* was the "#1 Best Seller" in the corporate governance vertical on Amazon.com, and in June 2016, *The Handbook of Board Governance* was the "#1 New Release" in corporate governance on Amazon.com.

Previously, Mr. Epstein was lead independent director, then chairman of OCZ Technology Group, Inc., a designer and manufacturer of solid-state drive storage and

computer components. Prior to founding Third Creek, he co-founded and was a principal of Enable Capital Management, LLC (ECM). During his tenure, ECM's special situation hedge funds invested in more than 500 small-cap financings in the United States, the European Union, and Australasia. Before ECM, Mr. Epstein held senior operating roles with Enable Capital, LLC, a merchant bank, Surge Components, Inc., a vendor of discrete capacitors and semiconductors, MailEncrypt.com, Inc., a provider of encrypted email services, Tickets.com, Inc., an entertainment ticketing company, and Achilles' Wheels, Inc., an operator of skate and snowboard retail locations. He started his career as an attorney at Brobeck, Phleger & Harrison, after having been a law clerk at Willkie Farr & Gallagher.

Mr. Epstein has been featured in *The Wall Street Journal*, *Bloomberg Businessweek* and on CNN Presents, and has been quoted in, among others, *Forbes*, *Agenda (Financial Times)*, *Compliance Week*, *CBS Marketwatch*, *San Francisco Chronicle*, *Reuters*, and *American Bar Association Journal*.

He is an active supporter of U.S. veterans and their families; all of his royalties from *The Perfect Corporate Board* are donated to Fisher House Foundation, and he serves as a mentor to retired military officers seeking board of directors positions through NACD's "From Battlefield to Boardroom" initiative.

Mr. Epstein earned a Juris Doctor from Boston University School of Law, and a Bachelor of Arts, *cum laude*, from Vassar College. Preceding undergraduate study, he graduated from the American School in London.