

Alan J. Brochstein, CFA

AlanJBrochstein@gmail.com

713-858-4657

Core Competencies

Portfolio Management | Equity & Debt Research | Valuation Modeling | Risk Management | AI Data Analytics Certified | Financial Writing | SEC Filings Review ETFs | Treasury Inflation-Protected Securities | Investor Relations | Performance Attribution | Capital Markets Research | Leadership | Behavioral Finance | Communications | Portfolio Construction | Model Portfolios | Social Media Platforms Investor-facing Communication | Author | Digital Content Creator | Fluent Spanish

Selected Accomplishments

- Generated measurable reader engagement for subscriber financial platform.
- Managed institutional and HNW portfolios within a **\$500M mid-cap** equity strategy.
- Grew weekly newsletter to 60,000+ subscribers.
- Created and maintained four proprietary stock indexes, one featured on CNBC.

Professional experience

Contributor | Seeking Alpha | Houston, TX | 2007 to Present

(An investment research platform that aggregates stock market news, analysis, and data).

- Built an audience of over 72,000 followers through 1,600+ articles and blog posts covering stocks and ETFs.
- Engage with readers by responding to questions and fostering discussion on investment topics.
- Develop original investment analysis of Exchange Traded Funds across a variety of asset classes.
- Educate investors on risk assessment and potential returns.

Founder & Portfolio Manager | 420 Investor | Houston, TX | 2013 to 2026

(An educational company that provides information about companies that legally sell or service cannabis around the world).

- Built and managed institutional-style cannabis equity portfolios with consistent benchmark outperformance.
- Produced actionable stock research, valuation models, and portfolio strategy commentary.
- Created ten videos per week to update subscribers on technical analysis.
- Delivered clear investor communications through monthly institutional-style research and weekly market updates.

Founder & Managing Partner | New Cannabis Ventures | Houston, TX | 2015 to 2026

(Easy-to-read news and information platform highlighting promising companies and influential investors in legal cannabis).

- Founded and scaled the cannabis sector's primary financial news platform.
- Developed proprietary market indexes and revenue-tracking databases.
- Built a large audience, with more than 100K NCV News App downloads and 1.1 million page-views in a month.

Previous Career Experience

- Provided custom equity research analysis to investment managers and advisory firms.
- Performed due diligence for a research firm focused on the skill and quality of management.
- Managed institutional and HNW portfolios within a **\$500M mid-cap equity strategy**.
- Directed Technology and Healthcare research coverage.
- Member of team managing **\$10B+** in institutional assets and Invested **\$1B+** in CMBS.
- Supported IC reporting, portfolio construction, and performance review.
- Sole PM for residential and commercial mortgage portfolios.
- Executed institutional fixed-income trades for \$5B AUM portfolios.
- Served as internal research filter for portfolio managers.

Education & Credentials

Northwestern University — B.A. Economics & Mathematical Methods in the Social Sciences (Phi Beta Kappa)

Chartered Financial Analyst (CFA)

Babson College — Certificate in AI and Data Analytics for Business Leaders

Anthropic — Claude 101 Certification