

# JAMES W. BALASSONE

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## Profile

An executive with sustained achievements in sales, fund raising, and business development. Maintain a consulting practice focused on building an organization's ethical culture, business practices, and leadership skills. Major strengths in developing client programs and capabilities for ethics, compliance, business conduct, and leadership.

## Summary of Experience

### **Markkula Center for Applied Ethics, San Jose, CA** **2002-present**

*A center of excellence at Santa Clara University; the largest applied ethics center in the United States.*

#### Executive in Residence

Market and conduct the Business and Organizational Ethics Partnership, a multi-year program of 12 organizations and 10 faculty. Teach and lead seminars on business ethics. Plan and lead the development efforts in support of the Center's \$2 million annual operating fund and endowment goal of \$20 million. Exceeded annual giving goals by 20% in 2009.

- Initial seven years of the Partnership have exceeded all financial, operational and quality goals.
- Successful outreach and client engagements focused on both corporate values and compliance.
- Established metrics, process, and programs for the Center's annual fundraising and endowment campaigns

### **The Pasha Group, Corte Madera, CA consulting activity** **2004-present**

*Engaged as the Ombudsman for Pasha's Compliance Agreement with the Department of the Army 2004-2007*

- Developed and implemented multi-year ethics and compliance program for 600 global employees
- Designed and conduct case study-based, face-to-face classroom and teleconference training seminars
- Established Risk Management procedures and led employee assessment mechanisms

### **Marine Fenders International, Wilmington, CA consulting activity** **2007-present**

*Engaged as the Ethics Advisor for MFI's Compliance Agreement with the Department of the Navy*

- Developed a multi-year implementation of an Administrative Agreement for a 28 employee organization
- Created a meaningful and cost effective ethics and compliance program for a small business

### **Open-Source, Milpitas, CA consulting activity** **2010-present**

*Engaged as the Ethics Advisor to implement an Ethics and Compliance Program for DOD contracting purposes*

- Develop and implement a program for 190 employees, representing 17 nationalities
- Creating a best practices, "clean sheet" approach to managing values and behaviors for a private company

### **Akira Technologies, Novato, CA** **2001**

*An early stage software start-up developing an authoring and deployment middleware platform for mobile phones*

#### Senior Vice President of Sales and Marketing

Created the Business Plan, led efforts to close strategic business deals, and raised VC funding. Generated value propositions and marketing strategy for large enterprise, B2B target markets, and 'go-to-market' plans.

### **Advanced TelCom Group, Santa Rosa, CA** **1999-2001**

*A pre-public, late-stage Integrated Communications Provider with 700 employees and annual revenues of \$60 Million*

#### Executive Director

Reporting directly to the President, led the new market and business development efforts. Successfully identified, proposed, investigated, and launched four new markets with \$100 Million in CAPEX. Chapter 11 filed in 3Q2001.

### **GetSmart.com, Burlingame, CA** **1998-1999**

*An e-commerce start-up acquired by Providian Financial, matching consumer requests with lender offerings.*

#### Senior Vice President

Developed and led the direct sales and customer support organization. Managed the introduction of Internet credit leads into our lenders' origination processes. Increased Gross Revenue, and achieved major improvements in Net Revenue by:

- Recruiting, training, and coaching an effective team to transform the performance and behavior of the organization, focusing on customer success metrics, improving sales productivity and customer loyalty.
- Implementing a sales and account management process to improve customer retention rate

### **ParcPlace-Digitalk (ObjectShare), Sunnyvale, CA**

**1996-1997**

*A \$40 million public company providing client/server/web tools and professional services.*

#### Vice President and General Manager

Led a 75-person sales and field support organization with 50% of revenue generated outside the USA.

- Implemented the field sales component of the 'turnaround' strategy; development of large account marketing, territory management, and sales support to build market share.
- Achieved revenue and gross margin targets for Japan, and Europe against severe competitive pressures by extensive coaching, strategic account focus, and new accounts sales.

### **Hitachi Data Systems, Santa Clara, CA**

**1989-1995**

*A joint venture with EDS, delivering systems, software, and services to Global 1000 enterprises.*

#### Executive Vice President, Sales (1991-95)

- General Manager with sales, services, finance, customer service, and marketing support functions for North and Latin Americas, and Pacific Rim. Focused on improving profitability and revenue growth.
- Successfully achieved \$1.1 billion revenue plan and 20% CGR by leading 1,300 field professionals.
- Attained or exceeded Operating Profit objectives for twelve consecutive fiscal quarters.
- Pioneered a Professional Services business, attaining \$50 million in revenue with 35% margins.

#### Executive Vice President, Marketing (1989-91)

Worldwide responsibilities for product marketing and customer development functions.

- Designed and staffed a 70-person product management and marketing organization in nine months.
- Launched new product lines that transformed the company's market share to 30%+ and profitability.
- Introduced profit-based compensation to the sales organization. Instituted the company's Masters Program (recognition event), Employee Opinion Survey, Skip Interview and Open Door Policies.

### **IBM Corporation**

**1965-1988**

#### Director, AS/400 Application Systems Group, White Plains (1987-88)

Implemented comprehensive, precedent-setting packaging, creative lease offerings and pricing for the direct sales force and VAR channels, which contributed to the overwhelming market acceptance of the AS/400.

#### Director of Business Practices, Systems Product Group (1981-83), Europe, Middle East, Africa, Paris (1984-86)

- Created a small team to develop and implement innovative business offerings to drive market share and profit: pioneered volume discounts, term leases via IBM Credit Corp, up-front charges and discounts for software, and VAR offerings. Department of the Year Award.
- Managed a multinational group responsible for development, implementation, and control of European business offerings increasing revenue by 25% per year. Highest appraisal rating.

#### Data Processing Division, Large Systems, New York City (1965-80)

- Regional Marketing Manager developing support programs for 400 field personnel.
- Marketing Manager for IBM's largest customer; ranked first of 44 sales managers.
- Recognition: (2) Significant Contribution Awards; (7) 100% Clubs; (3) Golden Circles.

### **Personal Data**

Princeton University, BA Economics, 1964

New York University, MBA Finance, 1972

Harvard Business School/IBM Executive Training, 1981-4

Executive Seminar, Corporate Leadership Forum, Aspen Institute

USMC Reserve (Retired)

Chairman, Princeton Annual Giving, Class President, and Alumni Council Member