

FINANCIAL SALES MANAGER / INVESTMENT CONSULTANT

Self-directed, goal-driven financial professional with a history of consistently meeting or exceeding aggressive growth goals as both a manager and individual producer. Hands-on leader and motivator with a proven record of increasing team productivity, strengthening client relationships, and driving new levels of sales and revenue growth. Skilled and knowledgeable advisor who excels at providing clients with advanced investment strategies based on asset allocation, efficient frontier, and modern portfolio theory methodologies. Highly effective and influential communicator who excels at leading employee training programs and client education seminars.

Key areas of strength and competency include:

*Team Leadership & Development • Client Acquisition & Retention • Relationship Management
Branch Operations • Training Program Development • Regulatory Compliance • Policies & Procedures
Investment Strategies • Client Needs Analysis • Group Presentations • Needs-Based Selling*

PROFESSIONAL EXPERIENCE

CHARLES SCHWAB, New York, NY

1996 to 2010

One of the nation's largest online brokerage firms, with more than 6million U.S. clients and more than \$225 billion in client assets under management.

INTERIM BRANCH MANAGER / INVESTMENT CONSULTANT I (2006-2010)

Selected by Regional Manager for this hybrid leadership role in this flagship branch located in mid-town Manhattan. In addition to maintaining personal production goals and servicing a base of more than 400 clients, assisted Branch Manager with all aspects of branch operations and staff supervision. This included reviewing all work, resolving client issues, and providing ongoing training and development for 5 investment consultants. Held full decision-making authority when Branch Manager is away from the office.

Leadership & Supervision:

- Served as Interim Branch Manager for a period of approximately 2 years, providing the essential branch leadership and direction until a full-time manager was brought on board.
- Co-led quarterly regional training workshops on fixed income strategies. Provided ongoing input to continually modify the curriculum to create a more engaging and rewarding learning experience.
- Collaborated with upper management on the development of best practices for new consultants.

Sales & Business Development:

- Consistently exceeded personal standard performance measurements (SPMs) for new assets, advisory (investment plan) strategies, and investment strategies; maintained 200-300% of goal across all SPMs.
- Raised an average of \$15M in new assets per quarter from both existing and prospective clients.

Performance Awards:

- *MVP for the Manhattan Region*, out of approximately 40 investment consultants in region: Q1, Q2, Q3 – 2010.
- *President's Club Member*, one of Top 100 producers nationwide: Q3 – 2006; Q3, Q4 – 2007; Q1, Q2, Q3 – 2010.
- *Member of Sales Academy*, awarded to the Top 10% of producers: 2010 (first year of program).

BRANCH SUPERVISOR / INVESTMENT CONSULTANT (2001-2006)

Hand-picked by Branch Manager and approved by Regional Manager for this second-in-charge branch leadership role. In addition to personal production activities, conducted weekly sales meetings for staff of 6 investment consultants to ensure that sales goals were consistently met. Assisted Branch Manager with quarterly strategies and plans for motivating team sales performance in addition to personally mentoring peers to achieve their individual objectives.

Leadership & Supervision:

- Selected to fill in as Interim Branch Manager at various branch locations on an as-needed basis. This included a 2-week assignment at the Wilmington office after sudden resignation of the Branch Manager.
- Developed and facilitated client educational seminars on retirement planning.

Sales & Business Development:

- Recognized by senior management as a regional sales leader and consistently ranked as one to the top producers in the office, exceeding expectations across all performance metrics.

NATIONAL CLIENT RETENTION TEAM MANAGER (2000-2001)

One of 12 top producers in the New Jersey / New York Metro region selected for this special team tasked with saving relationships with clients in the process of transferring assets out of the firm. Shortly after joining team, named as one of two team leaders by the Regional Vice President, based high level of effectiveness and performance. Provided senior management with written feedback on a bi-weekly basis.

Leadership & Supervision:

- Led team in the successful retention of more than \$45 million in client assets by developing and executing high-performance strategies for all team members.
- Optimized team performance by creating and implementing a performance-based incentive system based on weekly results.
- Conducted Asset Retention Seminars throughout the entire New York Metro district.

ACCOUNT EXECUTIVE (1996-2000)

Assisted clients by telephone with all aspects of account management. This included placing stock trades, quoting stock prices, resolving problems, and informing clients about margin maintenance requirements. Partnered with trade desk to resolve order discrepancies. Managed a high volume of calls on a daily basis.

EDUCATION & LICENSURE

Bachelor of Science – PRINCETON UNIVERSITY
Major: Finance • Minor: Economics

Securities Licenses:

Series 7 – General Securities Representative

Series 63 – Uniform Securities Agent License

Series 66 – Uniform Securities Agent / Financial Advisor

Series 9, 10 – General Supervisors License