

NAME

Address • City, State Zip

Phone • Email

INVESTMENT SPECIALIST / TRADER

Meticulous investment specialist with more than 20 years of experience managing multi-million dollar asset accounts while administering trades for stocks, bonds, and mutual funds. Strategic financial professional with proven success in improving transaction accuracy and efficiency by developing new review processes and generating account reports. Impeccable in directing special projects including conversions to new portfolio management systems and transitions to new office locations.

Investment Portfolio Management • Trades • Financial Analysis • Asset Management • Capital Budget
Account Management • Quality Control • Profit / Loss • Compliance Management • Equity Financing
Due Diligence • Audits • Risk Management • Strategic Planning • Financial Information Systems
Cost Controls • Project Management • Proxy Voting • Trade Settlements • Documentation

PROFESSIONAL EXPERIENCE

COMPANY, Location • 2003-Present

Financial services company specializing in investment wealth management. Employs 14 people.

Investment Specialist / Trader

Administer trades for stocks, bonds, mutual funds, and ETFs in Moxy Trade Order Management System while managing 350 accounts with nearly \$840 million in assets. Generate account breakdown and reports while ensuring quality control for trades, omnibus trades, and top holdings. Direct proxy voting as appropriated through management by sustaining comprehensive files per holding and aligning with proxy voting policies / procedures as well as IDCC guidelines. Coordinate trade settlement and affirmation process.

Oversee Fund of Funds documentation by distributing Limited Partnership (LP) acceptance letters, maintaining database for each LP, collaborating with tax accountants and auditors, and developing spreadsheets for capital calls, distributions, and valuations. Maintain numerous groups in APX and update APX and Moxy with investment information. Develop reports for assets under management and asset allocation letters. Deliver technical support to employees as needed and initiate purchase of hardware / software licensing for IT budget. Spearhead special projects as needed.

Operational Achievements:

- Developed account review sheet that is still utilized by company.
- Decreased trade errors for approximately 14,000 annual trades by restructuring trading processes with new Trade Order Management System and implementing cross check on trades prior to transactions.
- Enhanced reporting accuracy by adjusting incorrect transaction codes while developing 10 year performance histories for client accounts.
- Optimized mock trial audits by creating reports requiring specific information in Report Writer Pro utilized for SEC and management.
- Initiated seamless transfer to new portfolio management system and provided in-depth knowledge on best ways to utilize system while distributing written procedures to employees.

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COMPANY, Location • 2000-2003

Registered investment advisor managing more than \$600 million in assets.

Investment Assistant

Developed customized client reports and maintained client financial statements. Administered updates to approximately 30 holdings with weekly earnings estimates and financial information. Created and issued bond maturity reports. Evaluated reports related to account contributions and withdrawals. Wrote trade tickets detailing gain and loss for 2 advisors. Managed documentation including setup and filing of ADV forms and U4s.

Operational Achievements:

- Successfully established investment advisory firm by developing procedures and preparing documentation to ensure compliance with SEC.
 - Seamlessly coordinated transition of 100 employees to new location.
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ADDITIONAL EMPLOYMENT

COMPANY

Legal Assistant

- Managed Fleet / Bank Boston merger with Sovereign Bank.
- Implemented monthly closings for Fleet credit card.

COMPANY

Office Manager

- Developed and implemented employee policies and procedures.
 - Produced new filing system for records management.
 - Administered quarterly mailing to investors.
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EDUCATION

Coursework in Business Administration
University, Location