

# NAME

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Address □ Location □ 555-555-5555 (c) 555-555-5555 (h) □ name@email.com

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Exceedingly detailed oriented and organized investment and banking professional seeking next chapter in highly accomplished career. The ability to multitask and undertake complex investment and technology related projects has and continues to be a long standing credit to my work ethic in both current and past work environments. With over 25 years of demonstrated experience in these areas, my multifaceted background only touches on some of my broad skill set.

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## EXPERIENCE

11/03 to Present

Company, Location

### **Investment Specialist/Trader**

- Place trades for stocks, bonds, mutual funds and ETFs in Moxy Trade Order Management System for 350 accounts with approximately \$840 million in assets
- Provide Brokers with account breakdown for omnibus trades and DTC/Fed Wire instructions
- Oversee Trade Settlement and affirmation process
- Maintain groups for Management Reporting, ADV and SEC
- Vote Proxy and Corporate Actions as directed by management
- Handle Partnership Documentation, Calls, Distributions and Valuations spreadsheets
- Troubleshoot technical problems as needed, handle purchasing of hardware and software licensing for IT budget, oversee projects handled by IT Professionals
- Special Projects such as; assisting in move across town and recent expansion in current office space, creating 10 year performance histories for all of our clients, etc.

9/00 to 11/03

Company, Location

### **Investment Assistant (Private Client Department)**

- Handled documentation, setup and filing of ADV forms and U4s
- Responsible for creation drafting and summarizing reports to clients
- Consolidated and organized client financial statements
- Extract client information from the trust system and produce customized reports to clients
- Update earnings estimates and financial data for weekly stock list
- Constructed and distributed bond maturity reports
- Reviewed and researched reports regarding account contributions and withdrawals
- Draft trade tickets for (2) advisors representing gain/loss
- Helped organize and oversaw move of entire floor representing approximately 100 employees from Downtown Boston to Back Bay

2/99 to 9/00

Company, Location

### **Legal Assistant (Banking, Mergers & Acquisitions)**

- Handled documentation for Fleet/Bank Boston Merger and Sovereign Bank
- Executed Monthly Fleet Credit Card Closings
- Edited and produced final bills for clients
- Executed expense reports
- Other administrative duties as assigned

1/97 to 2/99

Company, Location

**Office Manager**

- Assisted in creation of/maintain employee policies and procedures
- Administered compensation time
- Purchased or leased equipment as needed
- Reviewed invoices for accuracy
- Hired temps to ensure office coverage
- Organized and assisted in quarterly mailings to investors
- Complied and maintained loan files for pools, one-offs and dead files

5/91 to 1/97

Company, Location

**Investor Service Analyst (1/94 to 1/97)**

- Organized and monitored department work assignments
- Complied and analyzed investor services data
- Prepared reports for Senior Management
- Created and updated tax and distribution summaries for all investment programs
- Managed internal distribution of SEC filings

**Supervisor of Investor Services (9/92 to 10/93)**

- Supervised investor servicing staff of 5 which responded to operational and fund performance inquiries for 37 Real Estate Limited Partnership and 3 Real Estate Investment Trusts
- Reviewed annual and quarterly reports with the portfolio and accounting departments
- Assisted in production of tax information; Schedules K-1 and Forms 1099

**Investor Services Representative (5/91 to 9/92)**

- Communicated investment disclosures for programs involving 10,000 investors and brokers
- Wrote correspondence pertaining to legal/compliance issues
- Compiled and maintained department reference files for all investment programs

**SKILLS:** Outlook 2010, Windows 7, Advent Software; Axys, Qube, Moxy, Dataport, ACD, Settlement Recon, Telemet/Televista

**EDUCATION:** Class of 19xx, Attended University 19xx-19xx; Attended classes at University Night School

**OTHER ACTIVITIES:** Class Reunion Committee, Assist Current Class Fundraising Events