

# SAM SMITH

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## FINANCIAL SERVICES PROFESSIONAL WITH 5 YEARS OF INDUSTRY EXPERIENCE

Performance Monitoring & Analysis/Risk Assessment & Mitigation/Client Service & Trade Support

### PROFESSIONAL PROFILE

Client-focused and results-driven Financial Services Professional contributing 5 years of documented achievements and progressive industry experience working within two (2) of the nation's leading institutions. Quick learner demonstrating a high-level of accuracy and thoroughness, recognized for ability to thrive in both independent and collaborative work environments, field and resolve internal issues, and manage multiple responsibilities simultaneously. A performer with an innate ability to combine time/resource-management proficiencies and implement strategic administrative and operational initiatives to meet established goals and objectives and enhance productivity, client service, and overall bottom-line performance. An articulate communicator with a demonstrated propensity to establish and maintain solid relationships with Financial Advisors, Branch Office Managers, Senior Business Leaders, and support staff. Exceptional written, oral, and technical aptitude. Strong interpersonal, organizational, and analytical skills. Proficient in Microsoft Office Suite, Magic, and Customer Relationship Management (CRM).

### CORE COMPETENCIES

- *Strategic Market Planning*
- *Liquidity/Asset Verification*
- *Data/Trend Analysis & Reporting*
- *Issue Resolution/De-Escalation*
- *Risk Mitigation/Management*
- *Relationship/Alliance-Building*
- *Sales/Business Development*
- *Group/Team Collaboration*
- *System & Process Enhancement*
- *Performance Review/Monitoring*
- *Federal/Regulatory Compliance*
- *Records/Database Administration*

### DESIGNATIONS

- NASD (FINRA) Series 7 and 66 • North Carolina Life & Health Insurance and Long-Term Care Insurance

### EDUCATION

**Bachelor of Science in Business Administration; Concentration in Finance**  
Elon University, Elon, North Carolina; Graduated: May 2005

### PROFESSIONAL EXPERIENCE

**Entertainment Consultant** Any Town, USA Feb. 2010 - Sept. 2011  
*ABC Entertainment*

Managed a nationwide sales portfolio for one of the largest full service entertainment agency in the country; consulted with clients to coordinate and produce events and arrange entertainment.

- Initiated relationships with new clients; grew assigned revenue base, converted new customers to clients, and maintained existing buyer accounts.
- Created and executed effective marketing campaigns to increase bookings.
- Orchestrated small and large-scale events from initial stage of selling, contractual negotiations, pre-planning, budget forecasting, cost analysis, on-site execution, and post-program evaluation.
- Brokered entertainment for public/private events; researched new artists and oversaw current artists' booking schedules.

#### **Selected Accomplishments:**

- Served as the Head of Production for numerous indoor/outdoor concerts with up to 5K attendees.

**Financial Advisor** Any Town, USA Feb. 2006 - Jan. 2010

*ABC Advisors (May 2007 - Jan. 2010)*

*ABC Financial (Feb. 2006 - Apr. 2007)*

Provided a full-range of investment products and services for two (2) of the nation's premier financial service institutions.

- Generated a wide variety of analytical reports and surveys and formulated future market trends; distilled data into actionable ideas and meaningful reports through data analysis, management, and reporting.
- Collaborated closely with internal business partners; identified opportunities to address long-term strategic business needs and eliminate redundant processes.
- Maintained up-to-date knowledge of industry and government policies and regulations.
- Executed solicited and unsolicited trades and transactions.

**PROFESSIONAL EXPERIENCE (CONTINUED)**

- Performed effective life-cycle planning and developed marketing strategies for targeted clients; identified new business opportunities, researched individuals for suitability, developed relationships, and generated client appointments.
- Consulted with customers to create custom financial plans based on clients' values, goals, and financial situations; advised clients on investments, accounts, and financial planning.
- Created personal financial plans addressing cash and liabilities, protection, investment, and tax strategies.
- Developed a close working relationship and sales plan for a diverse client base; provided a broad range of services including retirement and education planning, protection planning, and sheltering assets from taxes.

**Selected Accomplishments:**

- Consistently acquired new clients, increased assets under management, and generated revenue.
- Developed and managed excellent working relationship with all clients; built a solid reputation for exceptional service which generated repeat business.
- Continuously grew customer base through cross-selling products and services to existing clients.
- Identified and acquired over thirty (30) new clients in first year of company employment, 2006.
- Secured and maintained Series 7, Series 66, Life & Health Insurance, and Long-Term Care Insurance designations, 2006.

**Bank Representative****Any Town, USA****Dec. 2003 - Aug. 2004****ABC Company**

Served as a front-line teller for an independent, community-based bank.

- Processed customer transactions within established guidelines.
- Initiated sales referrals, cross-sold bank products and services, and provided excellent customer service.
- Worked in tandem with loan officers to prepare loan documents for customers; researched financial qualifications and credit histories and ensured efficient processing.
- Inspected residential and commercial properties; ensured loan schedule was up to date and accurate.

**INTERNSHIPS**

- Financial Intern, ABC Company, Any Town, USA (Summer 2004)

**SPECIALIZED TRAINING/PROFESSIONAL DEVELOPMENT**

*Extensive Training in the Areas of:*

- Business Development ▪ Customer Service ▪ Financial Services ▪ Marketing ▪ Sales

**COMMUNITY INVOLVEMENT**

- Volunteer, ABC Church, Any Town, USA
- Volunteer, Art in the Park, Any Town, USA

*References and Supporting Documentation Furnished Upon Request*