JANE SMITH

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FINANCIAL SERVICES PROFESSIONAL WITH 20+ YEARS OF INDUSTRY EXPERIENCE

Account & Relationship Management/New Business & Lead Development/Financial & Investment Planning

PROFESSIONAL PROFILE

An innovative and results-driven Financial Services Professional with a 20+ year career demonstrating visionary leadership, outstanding performance, and progressive experience with leading wealth management firms and investment brokerage houses. Recognized as a top producer increasing revenues and profits through expertise in business development, relationship management, and unparalleled service delivery. Articulate communicator, presenter, and facilitator adept in creating unique approaches and programs that drive business growth, deliver measurable results, and achieve customer satisfaction. A catalyst for positive change with a proven ability to develop constructive relationships and teams with a broad and diverse group of cross-functional business partners, influence key internal/external stakeholders, and establish a cooperative climate across multiple departments/divisions. Superior interpersonal, organizational, critical-thinking, and analytical skills. Exceptional written, oral, and technical aptitude.

CORE COMPETENCIES

- ***Financial/Investment Planning***
- ***Profit & Market Share/Growth***
- ***Portfolio/Wealth Management***
- ***Federal/Regulatory Compliance***
- ***Key Account Management***
- ***Relationship/Alliance-Building***
- ***Client Retention/Loyalty***
- ***Profit/Quota/Goal Attainment***
- ***Sales/New Business Cultivation***
- ***Performance Monitoring/Analysis***
- ***Long & Short-Term Goal Setting***
- ***Networking/Referral Generation***

LICENSURES

▪ NASD (FINRA) Series 7 and 63

PROFESSIONAL EXPERIENCE

ABC Company **Any Town, USA** **May 2011 – Mar. 2012**
Investment Advisor

Partnered with one of the premier broker-dealers in the Midwest to market, promote and sell a broad range of investment advisory services.

- Fostered strong client relationships; cultivated, interacted with, and managed a variety of portfolios.
- Conducted sales and marketing of fee-based, ongoing investment advice services including gathering of new assets, maximizing client retention, optimizing yield on current assets, and opening of new accounts and general client services.
- Performed risk tolerance assessments and reviewed investment accounts; advised clients on optimal investment strategies in order to achieve immediate and long-term financial goals.

Selected Accomplishments:

- Outstanding success in building and maintaining relationships with key accounts; established large volume, high-profit accounts with superior client loyalty/retention rates.

ABC Company **Any Town, USA** **Jan. 1992 – Jan. 2009**
Senior Vice President, Investments

Provided personal, customized, financial counsel and wealth management services for an established full-service investment firm.

- Managed and retained full-service investment relationships for over 400 clients; provided and administered investment portfolio management, financial planning, wealth management, custodial, trust, and brokerage accounts, and retirement and 401K planning.
- Coordinated and oversaw entire client relationship; served as the single point of contact, monitored changing client investments/financial objectives and periodically re-evaluated clients' needs.
- Developed, expanded, and administered relationships with existing and potential wealth management clients.
- Identified, generated, and managed new business opportunities through prospecting, lead utilization, and local market and community involvement.
- Provided expert financial counsel to clients, guaranteed a consistently high level of service, achieved company profitability, and exceeded fiduciary standards.
- Mentored junior account representatives; provided leadership and direction on investment services and new business generation.

PROFESSIONAL EXPERIENCE (CONTINUED)

Selected Accomplishments:

- Consistently recognized as a top producer among the team throughout company tenure.
- Brokers Club Winner, 2008, 2006, 1998, 1997, 1996, 1995, and 1994.
- ABC Company Club Winner, 2002, 2001, 2000, and 1999.

Additional Experience:
Day Trader, Self-Employed, Feb. 2009 - Apr. 2011
Broker's Assistant, ABC Company, Any Town, USA, Dec. 1989 - Feb. 1992

EDUCATION

Coursework Completed Toward a Bachelor of Business Administration in Finance
DePaul School of Business, Chicago, Illinois

Associate of Arts in General Studies
Holy Cross Junior College, South Bend, Indiana

References Furnished Upon Request