

EXECUTIVE VICE PRESIDENT ■ OPERATIONS
CHIEF COMPLIANCE OFFICER ■ CHIEF OPERATING OFFICER

- DELIVER BEST-IN-CLASS RESULTS, INSTILLING TRUST *and* DEPENDABILITY
- HANDS *on* KNOWLEDGE *of* EQUITY & OPTION EXECUTION

EXPERTISE & APPLIED KNOWLEDGE

Operations – Management/Support ■ Accounts Payable/Receivable – Superintendence
 Retail Order Desk – Management/Operation ■ Margin Requirement – Calculation/Analysis
 Problem – Identification/Resolution ■ Vendor/Clearing Firm – Contract Negotiations
 Costs Reductions ■ Business Units – Liaising

AML (Anti-Money Laundering)/Internal/External Rules & Regulations – Compliance/Facilitation
 Regulatory Policy/Procedure Guideline – Formulation/Preparation/Implementation
 FINCENS/ACATs ■ Rule 606 Reporting – Business Continuity ■ Risk & Trade Evaluation
 Regulatory Audits ■ Providing *of* Transparency/Fairness & Governance
 Continued Education – Creation/Proctoring

Equity ■ Equity Options ■ Fixed Income (Corporate/Municipal/Mortgage Backed – Bonds)

Bloomberg ■ Tradestation ■ Thomas Reuters ■ Adobe PDF Pro
 Microsoft Office (Word ■ Excel ■ PowerPoint ■ Outlook ■ Access)

PROFESSIONAL EXPERIENCE

ALPHA SECURITIES – *New York, NY* ■ 08/2004 ► Present

EVP Operations ■ CCO ■ COO – 08/2010 ► Present

Manage day-to-day operations including regulatory compliance/documentation with emphasis on Anti-Money Laundering. Monitor/supervise 25+ Account Executives with total AUM \$150 million (at peak), oversee clients' accounts, and trade in-pur methodologies ensuring alignment with company guidelines/policies and procedures. Lead and operate retail order desk, facilitate 100 +/- trade executions per diem, evaluate risk, calculate margin requirements, and ascertain proper settlement of all trades and funds.

CHRONOLOGICAL ACHIEVEMENTS

- Recipient of two promotions, from initial role of **Executive Assistant/Registered Representative (08/2004 ► 08/2007) → Vice President (08/2007 ► 08/2010) → Executive Vice President of Operations ■ Chief Compliance Officer & Chief Operating Officer (08/2010 ► Present).**
- Reduced office operating expenditures by **55%** via elimination of redundancy and institution of competitively priced hardware.
- Realized **30% cost savings** in trade clearance and **15% decrease** in vendor/order execution transactions via astute contract formulation/facilitation and renegotiation.
- Accomplished two FINRA **audits with no infractions** incurred, for the first time since 2004.
- Successfully arbitrated 20+/- contracts and/or agreements, to date.
- Simplified daily operations and improved efficiency allowing CEO/Senior Partner to exponentially **grow assets under management by 100% and double revenue generated.**
- Seamlessly transitioned and on-boarded top-producer with 100+ accounts and required technology.

EDUCATION ■ INDUSTRY LICENSES

Master of Business Administration (MBA) ■ Finance & Investments – 2012

Bachelor of Business Administration (BBA) ■ Finance & Investments – 2007

New York University ■ Stern School of Business – *New York, NY*