

**WSO Monkey**  
**123 Main St, Westcoast 99999**  
**503-555-5555 – [monkey@email.com](mailto:monkey@email.com)**

**PROFESSIONAL SUMMARY:**

Senior Sales & Marketing Executive successful in distribution of investment products and services through broker dealers, investment advisors, and insurance groups. Experience cultivating relationships with executive leadership and major distribution partners; and skilled at identifying and executing key strategies required to drive sales growth.

**PROFESSIONAL EXPERIENCE:**

**ABC Mutual Fund Investments:** West Coast, 2014 to 2016

**Managing Director – National Sales:** Develop and maintain relationships for distribution of ABC tactical management products and portfolio solutions increasing AUM from \$130 Million to \$350 Million. Focus in prospecting and engagement through Broker Dealer and Investment Adviser distribution channels. Dedicated to advisor value added service and gaining an understanding of advisor and client needs for assisting development of relevant sales ideas.

**XYZ Insurance Marketing Group:** Midwest, 2009 to 2014

**Asset Based LTC Marketing Director:** Developed LTC distribution strategies with advisors and agents through key execution initiatives in Broker Dealer and FMO channels. Lead campaign to increase Asset Based LTC business by 50% through Broker Dealer distribution. Identify and execute sales opportunities to increase market share through insurance partners: Lincoln Money Guard, Genworth, and One America – State Life.

**RIA Investment Advisors:** Midwest, 2007 to 2009

**Vice President Advisor Services & Operations:** Managed Advisor Sales and Services growing to \$60 Million from \$5 Million start-up. Directed advisor recruiting and training initiatives and executed sales development program and advisor services to cultivate and maintain selling relationships. Established and managed Operations Desk including Trading, Cashiering and Account Transfer on multiple clearing platforms: Fidelity Institutional, Pershing, & TD Ameritrade Institutional Services.

**Bank BD Investments:** Midwest, 2006 to 2007

**Senior Investment Specialist:** Organized new advisor transitions and conversion to BancWest platforms; including advisor training with Pershing for trading and asset transfer. Developed and managed metrics and processes for Operations group for asset transfer functions (ACAT, NSCC, & Non-ACAT) and follow-up research.

**Independent BD Securities Inc:** Midwest, 2005 to 2006

**Manager Advisor Operations Research Group:** Coordinated and supported advisors to identify and resolve problems with brokerage and direct investment accounts for \$55 Billion Broker Dealer. Managed and trained group responsible for Advisor support and service on Operations, Trading, & Cashiering.

**Investment Co Financial Group:** Midwest, 2003 to 2005

**Financial Consultant:** Provided wealth management, investment, and insurance planning with focus on small to medium business owners and families. Directed consulting and cross-selling opportunities for new clients in Executive Benefits, Estate Planning, Special Needs Trust Planning, and Corporate Retirement Plans.

**Big Life Financial Services:** Midwest, 2002 to 2003

**Regional Manager Worksite Benefits:** Development of new Employee Benefits platform and strategic business planning. Directed and spearheaded implementation with advisor network throughout the Eastern US. Established and maintained relationships to execute sales growth through recruiting and cross-training agents to acquire new employee benefit clients.

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**PROFESSIONAL SUMMARY:**

**RIA Investment Firm:** Midwest, 1997 to 2002

**Project Manager:** Develop and maintain relationships with distribution partners and advisors groups for \$1 Billion RIA to increase selling agreements and revenue sources. Responsible for managing mutual fund and trust company operations with custodians; including trading, settlement, reconciliation, distributions, and advisor service.

**Big Bank Bankcard:** Midwest, 1994 to 1997

**Credit Analyst:** Analyze client personal and business financials for unsecured credit liability up to \$100,000. Coordinated with retail and investment bank clients to build and maintain bankcard business. Organized and responsible for fraud investigation and research within bankcard channel.

**Life Career Shop Financial:** Midwest, 1992 to 1994

**Financial Advisor:** Cultivated client relationships providing financial analysis and planning for insurance and investments. Focus on developing sales for life insurance, variable annuities and mutual funds through a focused campaign utilizing networking and marketing engagements, client presentations and client service.

**EDUCATION, CREDENTIALS, & ACTIVITIES:**

**Big 10 University; Midwest**

Bachelor's of Business Administration

**FINRA Series 7 & Series 66**