

ALLAN BROWN

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PERSONAL BANKER

Accomplished equities specialist transitioning to personal banking. Well-versed in financial services, client relationship management, risk management & business development. Highlights: Won, then managed clients through two (2) IPOs; member, New York Stock Exchange (NYSE); educated clients on performance & trends; regularly exceed sales / revenue quotas. Thrive in fluid, high-pressure scenarios. Proven ability in increasing revenues in underperforming products. Continually create and lead teams / environments fostering energy, enthusiasm, creativity, and explosive ideation. Skilled at harnessing people, resources, technology & creativity to provide clients with superb service, and performance. **Certifications:** Series 7, 55, 63 & 66 licenses. **Core Strengths Include:**

Market Trend Research ♦ Discovering Client Needs ♦ Key Account Management ♦ Client Relationship Management ♦ P&L Exploiting Opportunities ♦ Cross- / Up-Selling ♦ New Product Launches ♦ Team-Building ♦ Generating Referrals
Compliance Specialist ♦ Big Bank Experience ♦ Creating Sales Strategies ♦ Boosting Operational Processes

FINANCE SERVICES HISTORY

THE BEST BANK EVER New York, NY 1997 – 2014

Assistant VP, 2008 – 2014

Orchestrated trading & sustained 120+ NYSE equities, including Con Edison & Krispy Kreme. Ascertained market trends & followed global news impacting markets, while cultivating client relationships & continually growing book of business.

- Won two (2) IPOs: Rhino Resources & Nuveen. Aided clients throughout IPO process.
- Led client-tours of NYSE floor; educated them on trading processes & fielded queries.
- Apprised clients weekly on portfolio performance & macro-trends, via email & phone.
- Complied with all corporate & FINRA regulations.
- Boosted specialists' performance by creating team-first concepts, enhanced communications, IT partnerships.
- Contributed to biweekly staff meetings with specialists & upper management.
- Conducted significant research concerning equities markets, political and economic landscapes as well as industry analysis pertaining to each client company. Evaluate financial risks of foreign market conditions and correlations with the US equity market, basing trading process decisions on comprehensive assessment of macro / micro financial data.

Designated Market Maker / Specialist, Lehman Brothers; 2007 – 2008

Traded big cap stocks & maintained / grew current book of business—while advancing enhanced system facilitating client / market-maker communications. Promoted to Assistant VP.

- Researched and analyzed the industry in order to create a current, forward thinking understanding of financial services / corporate banking.
- Strengthen the company's technical infrastructure by testing and integrating new algorithmic systems. Enhanced operational capabilities by capitalizing on state-of-the-art software and systems, improving the efficiency of the firm's algorithmic deployment and performance.
- Established relationships with client's c-level executives, producing detailed reports and updates on stock performance and market fluctuations.

Specialist, Van der Moolen USA; 1997 -2007

Managed ADR (American Depository Receipts) trading. Became Member NYSE (2004). Grew profits & growth margins in lagging equities. Provided clients with enhanced marketplace.

- Initiated, won buy-in for & executed improved training on foreign-listed corporations.
- Promoted from **Clerk**. Worked in tandem with brokers & specialists: executed trades, added to tickertape, provided real-time bookkeeping / documentation.
- Unearthed errors in prior-day's trades. Worked from pit.

EDUCATION

BS Business Administration, Salisbury State University, Salisbury, MD

Technology: MS Office (Excel, PowerPoint, Access, Word), Bloomberg, various financial databases