



**Your name  
and address here**

Enthusiastic, resourceful, and skilful administrative professional with expertise in daily business operations, finance, administrative support, and staff development. Proficient in policy and procedure development, data maintenance, and office management. Demonstrated ability to efficiently meet deadlines, manage priorities, multi-task, and work with little supervision. Excellent communication skills.

---

**Professional Experience:**

**Company Name**, Calgary, Alberta  
**Branch Administrator** (Dates worked)

- Provide operational and administrative support to branch staff, including Sales Assistants, Investment Advisors and the Branch Manager
- Act as liaison between the branch and operations support areas of the firm
- Assist the Branch Manager with efficient and effective office management, and help monitor branch adherence to audit and compliance related policies
- Process invoices and complete the monthly branch expense report
- New Issue Coordinator
- Process cheques, securities certificates and deposits
- Reconcile bank accounts and securities transit accounts
- Check re-org notices daily and distribute to branch
- Maintain branch marketing/correspondence file
- Monitor any incoming leads on the internal referral system
- Retain branch files and records for the periods of time required by the regulators
- Maintain personnel files and provide necessary documentation for Human Resources
- Coordinate repair and maintenance of all office equipment
- Track compliance queries in a Daily Trade Review Queries Log
- Order office supplies and stationery as required
- Control incoming and outgoing mail
- Control the issuance of New Account numbers
- Assist the Branch Manager with updating and maintaining the Business Recovery Planning (BRP) file
- Act as a resource regarding workstation applications, operational policies and administrative procedures
- Meet regularly with the Branch Manager and the Sales Assistants

**Company Name**, Calgary, Alberta  
**Sales Assistant** (Dates worked)

- Provide a professional level of client service, sales and administrative support to Investment Advisors and clients
- Assist with the management of client accounts by executing and following up on trading instructions, short positions and margin calls
- Maintain client files
- Verify and correct any errors or omissions in the daily transaction summaries
- Process client applications prepared by the Investment Advisor and ensure industry regulations and firm policies are complied with
- Process corporate action instructions
- Prepare transfer forms and submit to transfer department

---

**Education And Industry Training:**

- Canadian Securities Course (2000)
- Conduct and Practices Handbook (2001)
- Options Course (2002)
- Branch Managers Course (2005)

References available on request.



## Your name (big)

Address

Contact info

### Objective

A position as a financial analyst in the insurance industry.

### Education

Expected Spring 2001: B.S. in economics, Hartford University, Hartford, CT.

### Related Work Experience

#### **Common Stock Intern**

**Hobbs Insurance Co., Providence, R.I.**

Summer 2000

- Performed an in-depth analysis on Grandview Corp., including a review of its history, management, financial information, and business strategy.
- Wrote a report recommending that Hobbs Insurance Co. keep its holdings in Grandview Corp.
- Made presentation to department members on research in the common-stock area.

#### **Aide**

**Hartford University Computing Center Help Desk**

Spring 2000-present

- Assist users from economic classes with various software programs.

### Related Course Work

- Macroeconomic Analysis
- Managerial Economics
- Investment Analysis
- International Finance
- Statistics

### Other Work Experience

#### **Waiter**

**Irene's Family Diner, Lakewood, N.J.**

Summer of 1998 and 1999

### Professional Honors and Activities

- Samuel Shedlock Prize for achievement in economics, Spring 2000.
- Member, Student Investment Club, Hartford University, Fall 1997-present.



**Your name (big)**

**Address**

**Contact info**

**OBJECTIVE:**

Position as financial or investment advisor with a leading investment firm, specializing in the management of large corporate assets.

**CREDENTIALS:**

CFP Certified Financial Planner  
CSC Canadian Securities Course  
CPH Conduct and Practices Handbook  
PFP Professional Financial Planning Course

**EXPERIENCE:**

**Financial Advisor**

**L.T.D. Consultants**, Calgary, AB  
1995 - Present

Managed a six-figure diversified portfolio that has experienced at least 20% annual growth over the course of seven years. Conducted company research and analyzed profiles, identifying a number of startups that have yielded significant returns. Monitored account activity online.

**Investment Analyst**

**Hoover Associates**, Toronto, ON.  
1989 - 1994

Prepared investment analyses for clients, including several with more than \$500M in total assets under management. Communicated with sell-side analysts and company management. Assessed economic trends. Selected and monitored investments in bonds, banks, automotives, and biotech.

**EDUCATION:**

**M.B.A., Finance**

University of Calgary  
June 1994

**B.S., Accounting**

University of Lethbridge  
June 1988



**Sample Resume**

**Your name**

Address

Contact info

**ACADEMIC TRAINING**

- 2006 Portfolio Management Techniques Course (PMT)
- 2005 Ethics Module and Case Study Course (FCSI)
- 2003 Investment Management Techniques Course (IMT)
- 2002 Wealth Management Techniques Course (WMT)
- 2002 Professional Financial Management Course (PFPC)
- 2001 Certificate in Financial Analysis, UQAM
- 2000 Conduct and Practices Handbook Course (CPH)
- 2000 Canadian Securities Course (CSC)
- 1998 Certificate in Administration, UQAM
- 1996 College Diploma in Administrative Techniques, Small Business major, Major University

**SOFTWARE KNOWLEDGE**

Word	Excel	Access	PowerPoint	Berton
Lotus Notes	Outlook	ISM	Bridge	Dataphyle
Starquote	Bloomberg	Croesus	Bellcharts Plus	
Maximizer	VersaPath (BTS)	OSS	Act!	

**PROFESSIONAL EXPERIENCE**

2006-present IDA Member Firm  
Sales Assistant for four financial advisers

Customer service; providing quotes to customers; conducting purchase and sale transactions; filling out account opening forms, transfer forms and other forms required by the compliance department; depositing physical securities, cheques, proxies, etc.; following up account transfers and cheque issues; checking commission, account credit and account debit reports; filing, correspondence and data entry

2004 - 2006 IDA Member Firm  
Strategic Capital department

- Licensed Representative and Executive Assistant to the Senior Vice-President
- Full-Service Representative: Customer service; meeting customers; determining investment goals; conducting trades; building portfolios; cheques, account openings, account transfers
- Business financing: Capital Pool Companies, IPOs, private placements
- Syndication: managing books and tickets, sending prospectuses, providing reports to the IDA
- Announcing new issues and other information to the distribution network (currently by e-mail), obtaining and quickly distributing all information and documentation on each new issue to the distribution network
- Making presentations in Desjardins Securities branches to make our products known
- Keeping internal order books: taking firm orders from brokers and compiling them in appropriate order books; obtaining all orders from each branch and balancing them by allotment
- Coordinating the closing of issues, including transfers of funds and securities between Desjardins Securities and issuers, legal advisers, etc



Sample Resume

Continued...

2002-2004                    IDA Member Firm  
Associate to an investment adviser

Duties: Customer service; receiving and executing purchase and sale orders from customers (individuals and institutions); checking customer trades; preparing trade confirmations and following up operations with institutional customers; preparing investment portfolio and financial planning proposals; checking commission, expense and overdrawn account reports; coordinating activities such as presentation seminars; meeting and welcoming prospects and customers

2002                            IDA Member Firm (8-week contract)  
Assistant Branch Coordinator

Duties: Providing support to assistants, preparing account error and commission reports; completing surveillance reports; ensuring the processing of new issues.

2000-2002                    IDA Member Firm  
Assistant to two investment advisers

Duties: Customer service; providing quotes to customers; conducting purchase and sale transactions; filling out account opening forms, transfer forms and other forms required by the compliance department; depositing physical securities, cheques, proxies, etc.; following up account transfers and cheque issues; checking commission, account credit and account debit reports; writing prospecting letters; filing, correspondence and data entry. Research and analysis of securities or mutual funds; registration of representatives with the stock exchange; filling out account opening forms, transfer forms and other forms required by the compliance department; depositing cheques at banks; following up account transfers and cheque issues; developing and writing weekly and monthly reports

1995-2000                    IDA Member Firm  
Assistant to two investment advisers

Duties: Customer service; providing quotes to customers; conducting purchase and sale transactions; filling out account opening forms, transfer forms and other forms required by the compliance department; participating in the sale of initial public offerings (IPOs) and of flow-through shares; depositing physical securities, cheques, proxies, etc.; following up account transfers and cheque issues; checking commission, account credit and account debit reports; writing prospecting letters; filing, correspondence and data entry.



## Sample Resume

### Your name

Address

Contact info

### Career Profile:

Financial Manager with over twenty years experience leading the financial functions of manufacturing operations with up to 300 employees and \$50 Million in sales. Recognized for ability to identify continuous change actions to reduce cost, enhance quality, and increase margins. Supervised up to 13 direct reports with responsibilities in financial reporting, planning, forecasting, information systems, accounts payable, payroll, fixed assets, and general ledger. Led several IS conversions bringing in new systems on or ahead of schedule and on or below budget. Enjoy driving new improvements.

### Key strengths include:

- Process Improvement
- Leadership
- Financial and Operations Management

### Management Philosophy:

In today's competitive world, the best way to ensure organizational success is to delight the customer. Today's customers -- and tomorrow's -- want responsiveness, low cost and high quality. If a company does not meet or exceed the customers needs, their competition will.

It's no longer enough for employees to simply "embrace" change: continuous improvement must become a way of doing business, where people actively seek improvements and where systems and processes support and drive initiative. Trust is the key. The work environment must be such that people work without fear, within a culture that encourages pride in both personal and organizational accomplishments.

### Accomplishments: Process Improvement

- Facilitated team charged with the improvement of inventory record accuracy: team results included improved on-time delivery from 45% to 95%, eliminated annual inventory losses exceeding \$200,000, reduced freight costs by 1%, and improved record accuracy by 83%.
- Reduced new bill of material (BOM) cycle time from several weeks to one day and improved BOM accuracy to 100%.
- Developed a financial modeling system to evaluate multiple "what-if" scenarios; system reduced forecast and budget preparation time by 80%, increased process accuracy, and improved staff's awareness of actions needed to reach production and financial goals.
- Implemented automated financial reporting process to download data, reducing annual overtime by \$25,000 and enhancing accuracy and timeliness.
- Developed and installed automated back flushing system to support JIT initiative.

### Leadership:

- Led several cross-functional TQC teams and coached team members, as appropriate, to develop skills and confidence in their ability to examine work processes, create solutions, and measure improvements.
- Participated in management team process to develop vision and mission statements.
- Recognized for ability to develop consensus for strategic planning among all stakeholders.
- Communicated with managers and coordinated the financial reporting of fifteen locations to consolidate financial data.
- Facilitated numerous learning programs on new reporting systems.
- Decentralized accounts payable to facilitate transition from cost centers to profit centers, and trained employees in the new system.
- Identified ABM as a key strategy to drive process improvements.



## Sample Resume

Continued.....

### Financial and Operations Management:

- Developed financial modeling system that reduced turnaround time from five days to one day.
- Directed the movement of IS to Winterset plant with only one day of downtime.
- Converted to new payroll and accounting systems that reduced and improved tax reporting and corporate consolidations.
- Directed several IS conversions to increase accuracy and reduce time for financial recording and reporting.
- Developed cost estimating process for quoting new business that was adapted by entire division.
- Assisted in closing one office that reduced costs by over \$500,000.
- Installed LAN to enhance communication and information-sharing capacity.

### Career History:

#### Controller/IS Manager, 1991 - Present

Invensys Appliance Controls (formerly Siebe Appliance Controls, formerly Eaton Corporation), Winterset, Iowa

- Responsible for financial management in a manufacturing plant with up to 225 employees and annual sales exceeding \$34 Million.
- Recognized for efforts to identify new processes to improve quality, reduce costs, and increase margin.

#### General Accounting Manager, 1985 - 1991

Eaton Corporation - Division Office, Carol Stream, Illinois,

- Coordinated the financial reporting functions of fifteen locations and supervised accounts payable for entire division.
- Trained plants in the use of corporate reporting systems.
- Assisted several acquired plants in converting to corporate reporting systems, and assisted with due diligence reviews for new business acquisitions.

#### General Accounting Supervisor, 1980 -1985

Eaton Corporation - Division Office, Carol Stream, Illinois

- Supervised up to 13 people.
- Directly involved in forecasting and planning, budgeting, and product line reporting for up to 15 locations.

#### Accountant, 1976 - 1980

Eaton Corporation - Division Office, Carol Stream, Illinois

- Prepared product line financial statements, month-end closing, and product budgets.

### Education:

#### Bachelor of Science, Comprehensive Major: Accounting

Northern Illinois University, 1974

#### Associate of Science, Major: Accounting, Lettered in Football

Rock Valley College, 1972

Certified Management Accountant: Certificate 4314, 1984

Certified Public Accountant: Certificate 20394, 1977

Complete 30 Hours of Continuing Education annually to maintain certifications.