



PROFILE

Executive leader in the financial services sector with a proven background in building profitable firms. Strong leadership skills employed in developing staff through coaching, mentoring, and providing suitable training. Utilizes creative marketing abilities to increase firm recognition and branding in the community.

PROFESSIONAL EXPERIENCE

2005 – 2009

Regional Vice President

- ♦ Responsible for all aspects of business in local Region including profitability, expansion, recruitment, local marketing, and compliance.
- ♦ Reported directly to the Executive Vice President and President.
- ♦ Facilitated the recruitment and transition of four Advisor Teams totaling \$440 Million.
- ♦ Grew office assets under administration (AUA) from \$250 million to \$870 million.
- ♦ Grew recurring fee-based business from \$20 million in 2004 to almost \$200 million
- ♦ Increased number of employees in Region from 11 to 29.
- ♦ Created and hosted monthly National Sales Call for Advisor Teams. Invited guests including Portfolio Managers, Insurance Specialists, and others, which provided advisors with tools and resources to generate revenue and provide clients with timely ideas.
- ♦ Assisted with design, construction, and opening of the Montreal office. Worked with design consultants, timing for build-out process, and ensured office was opened and operational on schedule.
- ♦ Successfully transitioned a book of business from large brokerage house to another large brokerage house), moving 90% of previous business and then transitioning the book to a new advisor.

2003 – 2005

Sales Manager/Investment Advisor

- ♦ Responsible for sales and marketing development of over 90 investment advisors in National Company's flagship office.
- ♦ Developed and presented cost efficient business plans to senior management to assist in raising the profile, image, and perception of advisors and the office.
- ♦ Initiated formal Performance Improvement Program in partnership with Human Resources Department to assist struggling advisors in achieving minimum asset and revenue targets.
- ♦ Implemented and maintained regular branch meetings. Invited guest speakers to assist advisors in growing their business in accordance with the firm's focus on high net worth clients and fee-based business.
- ♦ Responsible for the recruitment and selection of all new investment advisors for the branch.
- ♦ Responsible for branch participation in Children's Miracle Foundation 2004. Through implementation of awareness campaign and marketing strategies, year-over-year branch contributions increased by 181%.

1999 – 2003

Branch Manager/Investment Advisor

- ♦ Branch passed firm audit in 2000 for the first time in history. The branch passed every subsequent firm audit.
- ♦ Increased revenues by 45% and profitability by 50% in first year under management.

- ♦ Transitioned branch from predominantly transaction based with less than 1% of assets in fee-based products to greater than 17% (1st quintile ranking for National Bank owned Firm).
- ♦ Initiated and supervised major reconstruction of office to facilitate hiring of additional advisors. Created appropriate work space for exiting large teams and incoming new advisors.
- ♦ Increased number of advisors in the office from 14 to 21 through selective hiring, internal recruitment, and competitive recruiting.
- ♦ Implemented initial stages of High Net Worth strategy in the branch through purging of smaller accounts.
- ♦ Fostered a team-based approach to managing wealth through seminars, written articles, coaching and counseling, and presentations outlining the merits of this model. 80% of the advisor teams evolved to a horizontal structure allowing partners to complement each other's relative strengths and weaknesses.
- ♦ In partnership with fund companies, organized numerous professional development days and seminars providing advisors with the necessary skills to service high net worth clients.
- ♦ Hosted numerous branch client appreciation events for high net worth clients (e.g. private showing of Vatican art, wine tasting, and Sotheby's presentation).

1997 – 1999

Branch Manager/Investment Advisor

- ♦ Grew branch revenues over 200% and assets over 100% within a two-year period.
- ♦ Built the branch from three advisors to seven in a two-year period through recruitment and organic growth.
- ♦ Through mentoring and coaching, the senior branch advisor evolved into a valuable revenue producer for the firm and positive influence in the office.
- ♦ Initiated and managed a substantial office renovation. Created space for more advisors, and ultimately a stronger bottom line.

1994 – 1997

New Financial Consultant

- ♦ Grew book of business to \$18 million in three years.
- ♦ Grew revenues to \$225,000 in three year period.

1993 – 1994

EDUCATION**Honours Degree of Bachelor of Arts**

York University

1985 – 1988

ACHIEVEMENTS

- ♦ Member, Alberta District Council of the Investment Dealers Association 2005 - 06
- ♦ Leadership Co-Chair for United Way Campaign 2003
- ♦ Vice Chair Leadership Cabinet for Local Charity 2003 - 04
- ♦ Varsity Football Player, University of Western Ontario 1988 – 1989
- ♦ Varsity Football Player, York University 1984 - 1986