

BLUE CHIP RECRUITING

placement services for the Investment and Legal industries

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PROFILE:

Readily inspire confidence and trust; conscientious, responsible, diligent and thorough; excellent verbal and written communication skills; high ethical standards, solid commitment to customer service and professionalism

WORK EXPERIENCE:

International Investment Firm Ltd. – June 2008 – Present

Financial Associate (IIROC License – RR)

Support to senior team. Process all client documentation and follow up on all client administration issues, investigate and resolve client inquiries, update, review and monitor client accounts to comply with IIROC changes and best practices procedures, prepare portfolio review materials, book client review meetings and update accounts as required, execute trades, monitor and respond to Reorg notices, administer the ESPP & RRSP transactions for the employees of two corporate clients.

National Securities Firm. – November 2006 – May 2008

Senior Sales Assistant (IDA License – IR)

Support for Branch Manager and Senior Wealth Manager. Process all client documentation and follow up on all client administration issues, investigate and resolve client inquiries, pro-actively develop and implement new client service initiatives, execute unsolicited trades, process deal flow - private placements & CPC's, re-assign house accounts and follow-up for head office, assorted branch administration projects as required, assist additional brokers when required, assist with cash/margin calls for credit department, quarterback corporate move, branch cheque signing authority, participate in branch compliance issues, assist the Branch Manager with daily trading reviews and credit issues, develop and maintain complaint records and files, review new accounts and update documentation for Branch Manager approval, create and maintained branch A/P system.

National Bank-owned Firm - May 2006 – October 2006

Investment Assistant (IDA License - IR)

Support two Investment Advisors in the administrative management of their client books. Provide efficient service to clients, maintain client files, account documentation & maintenance, provide quotes, take and enter unsolicited orders, enter and track corporate actions & re-orgs, investigate and resolve inquiries and complaints related to accounts, and liaison on behalf of clients with accountants and lawyers.

Local Private Wealth Management Firm. – April 2004 to October 2005

Private Client Portfolio Administrator (MFDA License)

Supported of three portfolio managers to provide accurate and superior client service; liaison on behalf of clients with accountants, custodians and advisors. Administer estates, trust and retirement plans. Duties included new account

processing; account transfers; client correspondence; managed client account cash positions & initiated money market trades. Preparation and verification of trade orders; response to complaints & client requests; analyzed client performance returns for accuracy; prepared client asset summary reports; closed accounts and produced capital gains reports; coordinated & maintained client contact and investment policy system.

Bank-owned Full Service Brokerage firm – July 2002 – January 2004

Securities Clerk (contract position December 2003 to January 2004)

Cage/Operations – Reception relief, mail & couriers, contracts, bank deposits deposits & cheque reconciliation, mutual fund and new issue prospectus.

Marketing Associate – Researched service delivery opportunities in city; gathered advertising information and requirements & wrote ads, invitations and handouts for seminars (topics included bonds, preferred shares, income trusts), wrote, developed & delivered presentation on widow's issues; completed telephone survey with current investment clients; created client data base; developed referral rewards system.

Discount Brokerage firm – 1999 – 2000

Investment Representative – Trader

IDA licensed; call centre customer service, execution of client trading instructions and response to client inquiries.

EDUCATION:

Branch Managers Course (BMC)	- Completed 2006
Financial Management Advisor (FMA)	- Achieved Designation 2004
Wealth Management Techniques (WMT)	- Completed 2004
Professional Financial Planning (PFPC)	- Completed 2002
IR 90 Day Training Program	- Completed 1999
Conduct & Practices Handbook (CPH)	- Completed 1999
Certified Financial Planner (CFP)	- Completed 1998
The Canadian Securities Course (CSC)	- Completed 1997

Additional Education: CSI –4th cycle CE credits completed.

Excel, Windows & Advanced Windows. Software used includes Microsoft Outlook, Word & Excel, Corel, Quicken, Raison, and Goldmine, Thomson One – Trade Innovator, ISM, Croesus, Dataphile.

References available upon request