Client Name

Contact information

Summary of Qualifications

As a leader of Business Development in the financial advisory field, I have achieved significant success in attracting and retaining high-performing financial advisors in both employment and independent channels. My relationships with FAs are based on a love for wealth management strategy, a business I learned as the son of a financial advisor, leading to a career path that spans wealth management and sales leadership. When I speak to FAs, I have credibility because I've faced similar business-building and client relationship challenges; they know I understand what they need to succeed. I am as driven as they are, which is further demonstrated by my having completed the New York City Marathon three times.

Career Highlights

- Recruited affiliate FAs who produced >$12B in asset-based revenue from 2013 through Q1 2022
- Personally integrated $3B in assets in one transaction, while managing a sales team that brought in additional $5B in assets from FAs
- 4-time recipient of LPL's highest sales honor representing both institutional & core sales, as well as 5-time recipient of Net New Asset Award
- Selected by LPL's CEO to lead effort to win client with largest AUM in Firm's history
- As top producer, nominated to Emerging Leaders Program to lead performance-enhancing initiatives
- Led 5 sales team individuals who achieved 115% success rate by incentivizing FAs from acquired company to join LPL
- Created well-received initiative to enhance communications among national salesforce by establishing field-based advisory council & peer-to-peer sales meetings
- Established employee-centric branch culture at UBS with zero attrition from FAs who produced >$250K in revenues on trailing 12-month basis
- Developed training modules for new FAs at UBS that resulted in 85% improvement in new account growth & concurrent growth of total assets

Professional Experience

Client Name 2013 - present
Vice President, Business Development

- Lead institutional business development for FAs producing >$2M in annual revenue, throughout a 7 state mid-Atlantic territory, targeting advisory teams, enterprises, banks & broker/dealers
- Develop acquisition strategies to grow FA base by attracting high-performers while managing risk to Firm
- Liaise among legal, finance, product platform, relationship management & IT to showcase Firm's expertise to prospective FAs
- Conduct onsite due diligence symposiums for prospective FAs with >$100M AUM
- Evaluate business development initiatives & develop action plans as member of Business Development Leadership Council
- Establish relationships with large FA groups within Company to ensure robust pipeline of prospective clients
- Track sales team activity levels via Salesforce CRM

Company Name 2011 - 2013
Director of Business Development

- Led business development efforts for boutique institutional & high-net worth equity asset management firm focused on wire house & independent advisor platforms
- Forged relationships with institutional & high net worth financial intermediaries to generate asset flows, leading to #1 place for eastern region in gross flows
- Coordinated with Private Wealth Division to present investment strategy to ultra-high net worth investors
- Led presentations outlining investment strategies informed by market & economic environment to investment committees, wealth managers & FAs
- Broadened strategic alliance partnerships by leveraging personal relationships at firms outside Company ecosystem

Company Name 2011
Director of National Sales & Key Account Management

- Led national sales strategy across broker/dealer channel for boutique asset management firm
- Introduced Firm's strategy to financial advisors & branch managers in major markets, creating first-time significant asset flows from broker/dealers
- Elevated Firm's profile throughout speaking engagements to develop new business, including being featured speaker on Firm's direct broadcast system
- Brought in major broker/dealer distribution partner within first 30 days, continuing to leverage existing relationships to broaden partnerships

Company Name 2002 - 2010
Branch Manager

- Managed100 employees at major market branch with $5.5B AUM
- Grew total net new assets to $500M during 12-month period
- Coached FAs on pipeline development & closing strategies
- Mentored advisors to earn "excellent" ratings on client feedback scores, growing scores 68% to 82%
- In earlier role, established first branch in Delaware, recruiting 7 top FA teams within initial 10 months, achieving top 5 rank out of 150 branches for KPIs, & expanding UBS footprint from 0% market share to 10% in 18 months

Management Training Advisor

- Established training curriculum for new financial advisors within180 branches
- Created marketing materials to educate field management on departmental capabilities
- Completed UBS Management Development Program, voted "Most Inspirational" by program managers

Licensure & Certifications

Series 7, 63 (FINRA); Advanced Options Strategies & Trading Simulation (NY Institute of Finance)

Education

Providence College, B.A. - History