John "Gene" Perez

Houston, TX
-Email me on Indeed: http://www.indeed.com/r/John-%22Gene%22-Perez/c04bcde37a3d569c

OBJECTIVE: Obtain a career position in financial services where I may enrich and utilize my education and extensive professional experience.

Authorized to work in the US for any employer

Work Experience

High Net Worth Financial Advisor

The Vanguard Group - Plano, TX
December 2021 to June 2023

• Present by phone and virtual meetings the Personal Advisor Service planning and enrollment process by creating financial plans and explaining additional financial planning topics that are covered by the service.
• Financial advisor servicing transition and book of clients with inquiries, annual reviews, portfolio allocations, retirement income planning, and Social Security analysis.
• Document all trading and meeting notes into firm CRM.
• Participate in firm training and learning opportunities.

Financial Advisor – Chief Compliance Officer - Head Trader

DFW Retirement Planners - Dallas, TX
February 2020 to December 2021

● Financial advisor servicing existing clients with inquiries, annual reviews, portfolio allocations, retirement income planning, and Social Security analysis
● As Chief Compliance Officer review and approve firm advertising and correspondence
● Responsible for regulatory updates and maintaining suitability information of investment portfolios and alternative investments
● Approve client profiles and trading activity
● Assist with letter writing on alternative investment updates and presenting financial seminars on virtual webinars
● As part of the sales team responsible for the planning process, gathering assets under management and sale of fixed insurance products.
● As head trader responsible for quarterly portfolio rebalancing, daily trade requests, and monitoring algorithmic data sheet outputs utilized for tactical investment portfolios.

Financial Planner

Gene Perez CFP - College Station, TX
March 2009 to January 2020

● Certified Financial Planner™ offering goal based, comprehensive financial planning services to individuals, families, and businesses
● Providing financial planning solutions utilizing an extensive platform of investment and insurance products

Proprietary Equity Trader
Bright Trading - Las Vegas, NV
August 2009 to July 2010

● Managed an arbitrage portfolio of stocks with firm capital utilizing fundamental analysis, technical analysis, and automated trading software
● Traded personal portfolio of stocks utilizing firm capital and trading software applications
● Provided education as a mentor lead for a group of proprietary traders

Vice President Investments
JP Morgan Chase Bank - College Station, TX
July 2008 to June 2009

● Provided financial advisory services for bank customers utilizing a portfolio of insurance products, mutual funds, individual securities, and fee based managed accounts
● . Utilize financial analysis software to analyze customer investment portfolios and make portfolio recommendations accordingly
● Responsible for training and education of bank staff regarding investments and the financial markets

Owner/Financial Representative
Gene Perez Insurance and Financial Services - Houston, TX
April 2003 to July 2008

● Responsible for sales, finances, and management of a full-service insurance and financial service agency
● Offered fee based financial planning, insurance, and financial service products to individuals and businesses

Equity Trader
Dayson Capital - Houston, TX
March 2007 to January 2008

● Utilized quantitative model data, technical analysis, and fundamental analysis to trade a portfolio of exchange-traded equities for a private equity fund
● Reviewed positions and used established parameters to make discretionary equity trading decisions

General Manager
Gabby’s Hall - Houston, TX
September 2000 to April 2003

● Responsible for the operations of Gabby’s banquet hall in southeast Houston
● Maintained record keeping for the hall, paid bills and taxes, and oversaw the use of contract labor
● Managed full liquor bar service and assisted in the promotion and sales of hall rental packages

Production Coordinator
Variable Annuity and Life Insurance Company - Houston, TX
July 1999 to September 2000

● Researched annuity and mutual fund product offerings, then coordinated the design of contracts/applications, maintenance forms, and client profile forms to coincide with the product specifications
● Coordinated meetings with project teams and analysts, as needed to review project details
● Fielded questions and documented feedback from management and field office personnel concerning administrative forms and other marketing communications materials

● Consulted with all levels of the company to complete improvement projects and special assignments
● Communicated project reports and results with management daily

Analyst

Variable Annuity and Life Insurance Company - Houston, TX
June 1998 to July 1999

● Responsibilities included the quality review and approval of processing items for the minimum distribution unit in customer service
● Researched and resolved complex cases assigned by management. Assisted internal and external customers with retirement plan and minimum distribution related issues
● Participated in training of and providing assistance to unit personnel

Client Services Representative

AIM Family of Funds - Houston, TX
March 1997 to June 1998

● Answered incoming phone inquiries from shareowners and brokers about financial markets, tax issues, and AIM mutual fund accounts
● Developed marketing and cross selling techniques to inform clients and potential clients of investment products offered by AIM mutual funds
● Research and resolved work flow issues to the mutual satisfaction of all parties involved
● Processed buy and sell orders upon request from shareowners and brokers
● Documented all transactions and correspondence between shareowners and brokers

Education

Certificate of Financial Planning

Rice University at Houston - Houston, TX
2007

Bachelor of Science in Meteorology

Texas A&M University - College Station, TX
1994

Skills

- Computer operation
- Sales
- Communication skills
- Project management
- Financial planning
- Marketing
- Portfolio Management

Certifications and Licenses

Series 65

CFP

Series 7
February 2022 to Present

Series 63
March 2022 to Present