James Koester

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About Me

I am a finance professional with a strong background in operations, data analysis, and client service. My experience spans major financial institutions, where I have automated reporting processes, managed quality assurance, and contributed to the successful distribution of millions of tax documents. I am skilled in SQL, advanced Excel functions, and financial data management. Currently, I am planning to take the Series 7 exam to further advance my career in the financial industry and expand my expertise in securities and investment operations.

Professional Experience

Wells Fargo Advisors

Senior Operations Associate (Cost Basis) — January 2024 - Present

- Oversaw updates to retail brokerage client accounts for Corporate Actions and Wash Sales, ensuring accurate 1099 form distribution and meeting amended deadlines. Contributed to the successful import and distribution of 6.2 million tax documents to clients.
- Automated the reporting process using optimized SQL queries, reducing report generation time by 30% and enabling faster, data-driven decision-making across teams.
- Managed quality assurance for offshore work related to option premiums, ensuring error-free and QA reporting.
- Developed and implemented updates for round up shares, reclass, QADJs, and corporate events by using firm-approved VBA-MACRO.
- Conducted data analysis to resolve escalated issues arising from system updates, utilizing Excel and SQL to streamline issue resolution and improve overall system stability.
- Provided insight and feedback on operational metrics, directly contribution to the improvement of cost basis procedures and client satisfaction.

Operations Associate (Cost Basis) — March 2022 - January 2024

- Utilized advanced Excel functions (Pivot Tables, VLOOKUP, Macros) and SQL to automate updates, reducing manual errors and improving process efficiency by 25%.
- Created and researched corporate action files, ensuring timely and accurate updates for tax season.
- Audited client 1099s during tax season, ensuring compliance with regulatory requirements.
- Conducted internal training sessions on cost basis procedures, enhancing team knowledge and driving better performance.
- Collaborated with cross-functional teams to resolve complex cost basis issues, contribution to high levels of client satisfactions.

Stifel Financial

Operations Associate (Trade Support) — August 2021 - January 2022

- Used specialized investment account software (BETA) to cover the trade resolutions for an equity and options trading desk ($50MM daily trading volume) for a broker/dealer. Assisted over 30 Financial Advisors and multiple SMA Managers daily for trade resolution questions, rejected trades, and other complex trading issues. The result of my action led to ensuring minimal disruption to clients’ portfolios and a high standard of customer service.

Frito-Lay

Customer Service Specialist — May 2012 - August 2021

- Serviced two major retail vendors and created strong relationships with company management and employees. Through my efforts, the vendors generally reached an average $20k weekly sales goal approximately 95% of the time due to high levels of customer retention and satisfaction.

Education

Master of Business Administration, Master of Science: Finance
Webster University
Bachelor of Science
Dominican University, Major: Mathematics, Minor: Business Administration

Certifications

Securities Industry Essentials (SIE): Issued: May 2025
Data Science: TripleTen Bootcamp: Expected in December 2025

Skills

- **Software & Tools:** Microsoft Office (Excel, Word, Powerpoint, Access), Oracle Database, BETA, Intraday BULK, Python (Developing), Jupyter Notebook (Developing)
- **Data Analysis:** SQL Query writing & Optimization, Excel (Advanced Functions: Pivot Tables, VLOOKUP, Macros)