

OPERATIONS MANAGER, OSJ DESIGNEE, FINANCIAL ADVISOR

Summary

Dedicated financial professional with 5 years of experience combining management, compliance, and operations skills in a growing OSJ branch. Seeking a position as a Compliance Professional in an established broker dealer with the opportunity for professional growth and upward mobility.

Highlights

- FINRA Series 7 License
- FINRA Series 24 License
- FINRA Series 66 License
- FL 2-15 Insurance License
- Registered Tax Preparer

Accomplishments

Successfully built, from the ground up, the Operations and Compliance departments for OSJ office of a leading Independent Broker Dealer in Boca Raton.

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Experience

08/2011 to Current

Operations Manager, OSJ Designee, Financial Advisor Bickford Senior Living 1/4 Moline , IL

- Develop and maintain operations procedures within the office.
- Develop and maintain compliance procedures within the office.
- Trade and Correspondence review.
- Train new support staff to provide effective support to the advisors.
- Provide day to day administrative support to the representatives.
- Transition all new representative books of business into the group.
- Maintain a small book of clients as an advisor.
- Continued auditing of office expenditures.

01/2012 to 05/2014

Pcc Natural Markets 1/4 Bellevue , WA

- Prepare or assist in preparing simple to complex tax returns for individuals or small businesses.
- Consult tax law handbooks or bulletins to determine procedures for preparation of atypical returns.

04/2009 to 04/2011

Dairy Buyer Bickford Senior Living 1/4 Marion , IA

- Provide leadership and training to store associates working within the department.
- Maintain proper inventory levels utilizing several local and regional suppliers.
- Achieve and exceed required profit and loss and sales levels.

11/2002 to 08/2008

Glazier Classic Etch Glass 1/4 City , STATE

- On site installation of high end stained and etched glass.
- Daily warehouse maintenance and space efficiency needs.
- In store sales and customer service.

Education

Undergraduate Studies Florida Atlantic University 1/4 City , State

Skills

Compliance experience. Operations experience. Insurance experience. Leadership and Training experience. Tax experience. Sales experience. Administrative experience. Customer Service experience.