

## **OBJECTIVE**

My objective is to serve as the primary relationship contact delivering comprehensive wealth management services for private individuals, families, and institutions. I am seeking a long-term career with a reputable and progressive organization that operates with integrity and the highest ethical standards.

## **EDUCATION**

**Master's of Science, Personal Financial Planning**  
**Bachelor's of Business Administration, Finance**

Texas Tech University at Lubbock, Texas  
Texas Tech University at Lubbock, Texas

## **PROFESSIONAL QUALIFICATIONS**

- CERTIFIED FINANCIAL PLANNER™ Professional
- Candidate for Level III of the Chartered Financial Analyst® (CFA®) Program
- Proven client relationship development and management
- Extensive experience developing and presenting comprehensive financial plans
- Portfolio design, implementation, and monitoring pursuant to an Investment Policy Statement
- Experience conducting periodic financial planning, investment, and performance reviews
- Provide strategic asset allocation and income tax management of investment portfolios
- Effective communication (both written and verbal), problem solving and creative abilities
- Advanced Microsoft Office skills with emphasis in Excel and PowerPoint
- Experience with a variety of financial and tax planning software and modeling applications
- H&R Block Income Tax Course in the field of Tax Theory and Return Preparation
- NASD Licenses: Series 66 NASAA-Uniform Combined State Law Exam (active), Series 4 Registered Options Principal (not active), and Series 7 General Securities Representative (not active)

## **PROFESSIONAL EXPERIENCE**

### **Senior Financial Planner / Portfolio Manager**

**Stoker Ostler Wealth Advisors** – Scottsdale, Arizona

05/05 – *Current*

- Serve as the primary relationship contact for a diverse high-net-worth clientele (> \$1 million investable assets)
- Work closely with prospective clients and referral sources to educate them about our financial planning services and investment philosophy and process
- Conduct extensive new client interviews to determine financial and personal objectives and constraints with the purpose of developing written comprehensive financial plans and Investment Policy Statements

*Continued on next page*

- Coordinate and direct a team (including clients' existing CPA and estate plan attorneys) in order to develop comprehensive financial plans
- Design suitable investment programs and strategies consistent with the financial plans and objectives and constraints of each client
- Provide ongoing monitoring and rebalancing of portfolios as outlined in the Investment Policy Statements
- Conduct periodic financial planning and investment reviews to determine suitability and effectiveness of financial plans and investment strategies (and recommend appropriate adjustments in light of a client's changed circumstances)
- Communicate regularly with clients through phone calls, emails, and newsletters regarding recent economic and market events and financial planning opportunities they should be considering
- Explain complex financial planning and investment related concepts in a way that is easy to process and understand
- Participate as a member of the firm's investment committee responsible for defining company investment policies and providing guidance for portfolio strategies and administration
- Write our firm's monthly Market Update for dissemination to all clients, prospects and referral sources
- Write 2-3 annual newsletters on relevant financial planning and investment related topics
- Serve on a team responsible for developing the firm's service proposal presentation to be delivered to prospective client and referral sources
- Serve on a team responsible for writing our firm's policy for the management of fixed income (i.e., an Investment Policy Statement for Fixed Income Portfolio Management)
- Function as a key resource for tax and other financial planning issues
- Determine tax strategies, including tax loss harvesting, minimizing tax impact of transactions, and account location strategies of particular asset classes that have less favorable tax characteristics
- Provide comprehensive and modular financial planning services to non-investment-managed clients for an hourly fee
- Provide financial education for clients and prospects in group settings

**Senior Financial Analyst / Portfolio Manager**

**DeGreen Financial Inc.** – Scottsdale, Arizona

08/02 – 05/05

- Developed and presented financial plans as well as implemented and monitored recommendations. Served as a point of contact for clients with questions regarding investments and diverse planning issues. Identified planning opportunities and recommended solutions. Conducted regularly scheduled client service meetings and presented updated financial plans.
- Served as portfolio manager and strategist for a \$25 million equity and option portfolio. Developed the trading and allocation systems and programs used for the management of this portfolio. Presented educational seminars and participated in live radio show appearances on topics related to the use of derivatives in portfolios.
- Served as the manager for a \$200 million fixed income portfolio. Designed fixed income allocations to accomplish individual client needs and goals.
- Participated in the investment planning committee to discuss market strategies and allocations
- Served as the Senior and Compliance Registered Options Principal overseeing all option trading

*Continued on next page*

**Associate Financial Planner**

**Seacat Financial Services** – Tempe, Arizona

06/02 – 08/02

- Provided client services and support in financial planning process. Interviewed prospects and gathered pertinent data for construction of financial plan. Responsible for implementing and monitoring recommendations as well as tending to client service issues. Provided organization and technological solutions for office.

**Associate Financial Planner**

**Kanaly Trust Company** – Houston, Texas

08/01 – 03/02

- Served as primary data and fact gatherer for preparation of comprehensive financial plans. Collaborated with other financial, legal and tax professionals to acquire correct and sufficient data for construction of financial plan. Developed comprehensive financial plans and prepared primary planner with materials for presentation. Implemented and monitored financial plan recommendations. Participated in client service meetings, and reviewed and updated financial plans. Served on a team to improve in-house financial planning and reporting software. Prepared materials for monthly Advisory Committee meetings.

**Internship**

**Balasa Dinverno & Foltz LLC** – Itasca, Illinois

05/00 – 08/00

- One of six selected to participate in the Financial Planning Association’s Pilot Program for Internships with the objective to promote and stimulate career path development and industry exposure. Participated in client interviews, gathered client data, analyzed and evaluated financial status, and prepared cash flow and income tax projections. Emphasis was given to a variety of projects involving investment research and analysis using Excel, Morningstar, Monte Carlo and the Internet. Gained other invaluable insight while working with one of the “Best Financial Advisors” in the U.S. as named by Worth magazine.

**AFFILIATIONS, INTERESTS, AND ACTIVITIES**

- **CFA Institute** ~ Member
- **Phoenix CFA Society** ~ Member
- **Financial Planning Association (FPA) Greater Phoenix Chapter** ~ Past Member
- **The National Association of Personal Financial Advisors (NAPFA)** ~ Affiliated through Stoker Ostler Wealth Advisors
- **Pancreatic Cancer Action Network** ~ Volunteer and Fund Raiser
- **Trout Unlimited** ~ Member
- **Other** interests include active membership in church, camping, fly fishing, golfing and hiking

**REFERENCES**

- Available upon request