Client Service/Operations — MBA — Dale S. Sobol

Proven record of client satisfaction and retention – 16 years

✓Problem Solver ✓Strong Communicator ✓Ability To Work With High Net Worth Clients

Wealth Management International *www.wealthmanagementint.com* **2006 – Present**

Investment Operations Manager

- Developed and implemented procedures and management systems for department
  - Manual for trading, compliance & portfolio management
  - Client portfolio tracking system for holdings and cash positions
- Increased clients' yield by adding new money market fund
- Saved over $100,000 annually by negotiating a contract with new custodian
- Responsible for executing and maintaining investment programs for high net worth clients
- Perform all trading activities with hundreds of trades/month
- Prepare and present presentations to prospects of $1million and over
- Provide investment expertise at Client Meetings or Investment Seminars
- Aid Investment Advisors on analyzing & improving existing portfolios

Vanguard Group *www.vanguard.com* **2004 – 2006**

Account Executive

- Assisted clients through portfolio reallocation and diversification process
  - Added new or closed existing positions to align portfolios with security market line
- Increased client base by presenting appropriate mutual funds for their portfolio

Bank of America *www.bankofamerica.com* **2000 – 2004**

Portfolio Manger

- Customized client's portfolios to meet their needs and goals
- Responsible for maintaining long term client relationships
  - Solved problems for high net worth and trust portfolios

Security Trust Company *www.securitytrustcompany.com* **1997 – 2000**

Portfolio Manger

- Performed all multi-asset class, asset allocation optimization modeling and management
- Responsible for all annual and initial Regulation 9 reviews
- Handle all company multi-product trading

Shearson Lehman Brothers *www.lehman.com* **1991 – 1997**

Stockbroker

- Built a revenue producing book of business through cold calling & marketing

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MBA **Keller Graduate School of Management** **2005**

B.A. Business **Northeastern Illinois University** **1978**

- *Minor: Accounting*

Licenses: Series 7 and Securities 63; Level 1 CFA exam

Proficiencies

- *Microsoft:* Office, Excel, Outlook, PowerPoint, Word, Windows
- *Other Software:* Advent/Axys, Internet Research

Happily married, willing to travel and relocate, excellent health, outstanding professional appearance

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