

FIRST NAME LAST NAME

Address • Mobile Phone • Email

PROFILE

Investment Professional with 15 years *Equity* Investment Management experience for both *Institutional* and *High Net Worth* clients across *Small, Mid, and Large Cap Growth Asset* classes and strategies. Articulate investment philosophy, process, and performance. Has partnered with domestic and international clients to identify and develop investment strategies that both satisfy client needs and support overall growth of company. Has broadened existing client relationships through effective evaluation and the presentation of multiple investment strategies and solutions.

SELECTED ACCOMPLISHMENTS

- Opened new regional territory, securing \$50MM in AUM from *X Trust* for Corporate 401K mandate.
- Managed *Humane Association Account* with \$40MM in AUM for three-years with inline market returns.
- Realigned over 70% of AUM from Personal Trust Accounts to Fund Strategy with large embedded capital gains while minimizing taxes and eliminating principal erosion.
- Secured two \$50MM *Emerging Market Mandates* from State Pension Funds of Texas and Illinois.
- Selected as junior member to support five Senior Fund Managers to create *Funds Management Group* tasked to realign trust commingled funds into a mutual fund business model.

PROFESSIONAL EXPERIENCE

COMPANY ONE, Wilton, CN (2008 – Present)

Independent Respiratory Therapist

- Fulfill long- and short-term assignments at top-tier, regional hospitals and healthcare facilities for this nationally recognized, Joint Commission Certified Healthcare Staffing system.
- Consistently requested by clients for long-term and repetitive assignments due to professionalism, competency, knowledge and skill in modalities, and ability to assimilate procedures quickly.

COMPANY TWO, New York, NY

2005 – 2006

Sales/Investment Consultant, Investments

Researched and discovered zones and patterns of potential investment sales opportunities within Southeastern territory. Provide consultation to Advisors and Investment Managers on investment strategies, asset classes and product mix.

- Secured place of Large Cap Growth Fund on Morgan Keegan's Mutual Fund Preferred List. Established relationship with Director of Fund Research. Provided timely insight of market trends indicating shift into large cap asset class.
- Captured over \$25MM in assets by helping to secure Small Cap Opportunity Fund on preferred list for three new relationships.
- Opened new regional territory, securing \$50MM in AUM from *X Trust* for Corporate 401K mandate. Established relationship and consensus on Investment Strategy with internal Advisor, Corporate Trust Representative and Investment Director. Identified additional \$25MM mandate opportunities throughout territory.
 - Surveyed and identified major Investment Advisory Firms including *Morgan Keegan, Morgan Stanley, Merrill Lynch, and Wachovia Securities* as well as top producing Advisors. Organized and ranked by level of AUM.
 - Profiled over 50 A-list Advisors to assess nature of business and present optimal investment class strategy, products and solutions to meet mandate requirements and client objectives.
 - Worked closely with investment management team and client services to complete RFP documents.
 - Negotiated optimal institutional pricing and trading method for client with internal Group Manager.

INDIVIDUALIZED CONSULTING, Philadelphia, PA

2002 – 2005

- Developed investment strategies and pricing models for established clients.

ELIZABETH EDWARDS

COMPANY THREE, Plymouth Meeting, PA

2004 – 2005

Respiratory Therapist

- Worked directly with physicians, nurses, and other health care team members to provide quality patient care and therapies.
- Provided a variety of assessment and therapeutic respiratory care services including, but not limited to: oxygen therapy, therapeutic gas administration, chest physiotherapy, aerosol therapy, airway management, CPR, ventilation management and acute respiratory care services to patients.
- Provided disease treatment/management education to patients and families to encourage timely recovery.
- Developed knowledge of equipment, processes, and technology and benefits of their use.

COMPANY FOUR, Wilmington, DE

1999 – 2002

Portfolio Manager

Structured investment portfolios with \$250MM in assets for family groups and charitable foundations. Advised clients on interest rate environment, stock market conditions and tax laws. Coordinated commercial banking transactions.

- Realigned over 70% of AUM to Fund Strategy by analyzing individual account holdings, selling off positions with large embedded capital gains while minimizing taxes and eliminating principal erosion.
 - Ensured client understanding of short-term income reduction and future income stream enhancement.
 - Actively managed timing of large additions and withdrawals from Fund minimizing impact on quarterly performance. Worked directly with Investment Manager for Growth and Income Fund.
- Managed *Humane Association Account* with \$40MM in AUM for three-year period with inline market returns and positive effective relationship with 15 Board members.
 - Selected by Group Investment Manager and approved by Board of Directors
 - Evaluated each holding with Domini Social Investing Research Team to verify that animal non-cruelty criteria were met. Conducted second level assessment to determine if stock performed from monetary point of view.

PRIMARY CAREGIVER FOR ELDERLY PARENT, Savannah, GA

1996 – 1998

COMPANY FIVE, Johannesburg, SA and Durham, NC

1994 – 1996

Investment Analyst/Group Manager

Established an international investment boutique in South Africa that managed US\$ 202MM for state pension fund emerging market mandates for joint effort between NCM Capital and Calvert New Africa – South Africa Fund. Selected as group manager by Chairman of NCM Capital and Chairman/President of Calvert group.

- Co-lead International Project to create South Africa Mutual fund. Leveraged academic knowledge and prior field work for Senior Thesis to understand how labor markets were designed to support key industry development.
- Convinced investors of stability of capital markets, and structure of economy by assessing overall economic stability, marketplace conditions, and share availability and consulting with political, social, and economic organizations.
- Secured two \$50MM mandates from state pension fund investors of Texas, Illinois, and Washington, DC. Met with committee to assess investment team's professional background, experience and marketplace knowledge.
- Managed multidisciplinary team of ten, including economist and listed market/private equity analysts, in daily management and structuring of international emerging market mutual fund. Uncovered investment opportunities by fostering transfer of knowledge and leveraging individual strengths among team.
- Identified and selected unique and top caliber small growth companies not listed on US Market as ADR or on London stock exchange to build and structure portfolio. Conducted on-site investment research visits to assess top 30-companies business approach and processes. Interviewed management to gain insight on capabilities and skills.
- Purchased blocks of shares not previously released to marketplace by developing relationships with and gaining access to key stakeholders including political leaders, mine owners, government steel plant owners.

COMPANY SIX, Philadelphia, PA

1987 – 1993

ELIZABETH EDWARDS

Investment Officer, Trust Division (1989 – 1993)

Managed investment portfolios totaling \$90 million in assets for personal trust clients. Formulated investment strategies, determined asset allocation and structured portfolios to meet client risk tolerance and return objectives.

Investment Associate, Trust Division (1987 – 1989)

- Selected as junior member to support five Senior Fund Managers in creating the *Funds Management Group* tasked to realign trust commingled funds into a mutual fund business model.
 - Created pro-forma data for allocating commingled fund units into shares; made appropriate decisions for number of shares to each individual account owner; provided investment ideas to Fund Managers that were included in initial structuring of Small Cap Fund; wrote equity research investment briefs to satisfy SEC compliance; completed one-year Trust investment management training program.

EDUCATION / TRAINING

BA, Economics, Bryn Mawr College

Bryn Mawr, PA

Licenses: Series 7, and 63

PROFESSIONAL ASSOCIATIONS / COMMUNITY

CFA Institute - Member, New York Society of Security Analysts

Former mentor: Minority Literacy Program, City of Philadelphia