
SENIOR GLOBAL OPERATIONS MANAGEMENT EXECUTIVE

Dynamic take-charge change agent offering striking success propelling entrepreneurial startups and turning around mid-size companies through major global corporations with multiple locations worldwide. Directly managed up to 1,500+ employees with operating budgets over \$150 million. Broad experience leading multiple technical and operational system conversions.

Leadership Brand – A stealth leader and synergist, I connect downward, upward, and across to design business models and systems conversions that actualize the value. Maximizing “management by walking around”, I champion, energize, and unify all stakeholders. My strength is delivering the highest possible ROI, banking on the best cost basis.

Expertise & Critical Contributions

Strategic Planning & Execution
Executive Leadership Coaching & Mentoring
Budget Planning, Development & Control
Cost Reductions with Quality Improvement
Staff Development & Turnover Reduction
Client Value-Focused Business

Crisis & Turnaround Management
Best-In-Class Customer Service Models
Operational & Financial Risk Management
Continuous Process Improvement
Knowledge Programs
Consolidations & Integrations

- **Spearheading continuous process improvements across all global business units (IT, HR, P&L, accounting, administration, legal, customer service).** Increased revenue by 20%; improved quality metrics 23%; improved profit margin from 0 to 15% in 3 years; reduced costs over 25%; and increased net profit of operating divisions by 15 - 20%.
- **Benchmarking customer-focused organizations that truly understand the customer and exceed their needs.** Increased customer base while improving service quality beyond expectations. Won “Best in Class” for telephone service and correspondence 3 years straight.
- **Pioneering value-added staff models to incentivize and engage everyone in the mission.** Mentor young through senior talent, aligning organizational needs with each player’s needs. Reduced employee turnover by 50% while greatly improving metrics.
- **Delivering outstanding P&L / financial / fiscal planning and control.** Reduced YOY cost per production unit while increasing quality per unit. Established few but meaningful fiscal metrics. 30+ years financial services industry experience. Certified Mutual Fund Specialist. Previously held securities licenses: 6, 7, 24, 26, 27 and 63.

OPERATIONS MANAGEMENT EXPERIENCE

CEO – Summit Business Strategies, Atlanta, GA

2006 to Present

Delivering management consulting and organizational strategy development to drive change management and improvements in communications, strategic execution, leadership development, corporate governance, risk management, and procedural compliance. Specializing in Financial Services.

Propelling entrepreneurial ventures, corporations of all sizes, C-Officers, and Boards of Directors to thrive and reach the next level of success.

- **Business Center of Excellence Parthenon** – design the planks and pillars that create thriving, profitable organizations. Integrate customer service programs, leadership/vision planning, meaningful metrics, employee tools, and marketing programs, complemented by the resources, assets, and talent to execute winning models.

WORLDWIDE INVESTMENT, Inc.

1993 to 2005

Global Partner - Special Global Projects for CEO/CFO

Worldwide Investment Group Services, Atlanta, GA (2005)

Designed and launched Operational Risk Management Framework for retail mutual fund companies across North American region, in conjunction with Global Risk Officer.

COO/Vice Chairman, Worldwide Investment UK/Ireland (2003-2004)

Directed all transfer agency, fund accounting, investment administration, and middle office functions for domestic, institutional, and pensions pooled investment products for UK domestic fund range and Dublin/Luxembourg offshore products. Aligned separate functions into single top-performing administrative group, managing 6 direct reports with staff of 500 and P&L of \$54 million.

- ***Created “Operations Centre of Excellence” built on ethics, people, process, and value supporting strengths of knowledge, accuracy, responsiveness, attitude, timeliness, and ease of doing business. Realigned operating model after lift out by predecessor failed.***

President, Pinnacle Investment Services, Inc., Houston, TX (1997-2003)

Introduced technology initiatives to increase controls, improve service and reduce costs. Directed shareholder processing, servicing financial controls/compliance for retail/retirement funds and institutional money funds from broker dealer operations and manual shareholder processing of direct investments. Managed 7 direct senior vice president reports with staff up to 1,200 in two cities. P&L of \$150 million.

- ***Decreased costs \$14 million in 3 years without staff layoffs, while improving operating profit from \$600,000 with 0.6% margin to \$15 million with 14.4% margin.***
- ***Masterfully transitioned and reorganized failing operations through 1997 corporate merger of Worldwide Investment division into Pinnacle. Introduced Change Management to all management personnel. Stabilized fragile workforce while achieving unprecedented growth and greatly improved customer service quality.***

Achieved the impossible, dramatically improving processes and functionality across the board:

- Saved \$7 million annually to funds leading selection and negotiations for new transfer agency systems provider for conversion of 6.5 million active shareholder accounts.
- Drove implementation of Balanced Scorecard Process and Malcolm Baldrige Self-Assessment to better communicate company's vision/strategy and customer satisfaction while increasing productivity.
- Managed, mentored and unified 7 independent, non-collaborating managers into a highly integrity-based, accountable, and cohesive senior management team.

Senior Vice President - Director of Administration and Secretary (1993-1997)

Worldwide Investment Services, Inc., Atlanta, GA

Led staff of 8 in P&L, accounting, legal and outsourced transfer agent and fund accounting functions. Tripled size of fund while increasing client service level tenfold.

EDWARD JONES, Jackson, MS

1978 to 1993

Partner of Operations

Directed home office operations for: Equity Trading, Securities Clearance and Settlement, Trade Processing and Reconciliation, Mutual Fund Operations, and Customer Reporting. Built platforms to support growth from 200 branch offices to over 8,000.

- Integrated procedures and controls for Mutual Fund Operations that reduced booked liabilities by \$10 million and ultimately reduced full time staff by 30%.
- Collaborating with IT, designed and launched one of first true online, real time new systems for account, trade entry, and execution, moving directly between market of execution and branch office.

EDUCATION

Certificates – Masters of Business Management and Business/Marketing
Tulane University Freeman School of Business (2007)

See attached **Education, Accreditations, and Community Leadership Addendum** for complete list.