AARON M. SMITH

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FINANCIAL SERVICES • INVESTMENT PLANNING • RELATIONSHIP MANAGEMENT
PRODUCT & SALES TEAM LEADERSHIP & DEVELOPMENT • EXECUTIVE & MANAGEMENT COACHING

Senior-level executive with comprehensive knowledge and “hands-on” experience in financial services and planning, business turnaround, employee training, and team building. Distinctively combines analytical skills, business expertise, and project management abilities to deliver strong and sustainable results. Business and financial planning computer systems literate and available for relocation.

“Aaron has a thorough knowledge of retirement income market, especially rollover capture by advisors. He is an innovative and strategic thinker who incorporates cutting-edge thinking on retirement income. Aaron is a pragmatic implementer who leverages existing resources and outside vendors to promote investor focus.”
– R. McMann, Executive Vice President, XYZ International

PERFORMANCE QUALIFICATIONS

- Effectively led financial services, business development, and sales initiatives, identifying tactical business opportunities to grow business volume for the **world’s largest** discount brokerage firm and **Fortune 50 Company**
- Recognized by peers for strength and ability to anticipate business needs, recommend changes, and seize opportunities; communicate product and service benefits conveying return on investment while forming solid client relationships and building corporate value
- Highly proficient in business strategy development, program execution, problem solving, productive employee development, and key project management
- Well developed listening, interpersonal, oral, and written skills; effectively communicate with senior executives, colleagues, team members and clients, achieving optimal outcomes for all parties
- MBA • Learning Systems & Professional Selling Skills Certified Facilitator • Licensed: NASD Series 7, 8, 24, 63, 65, 66 (Registered Investment Advisor)

CAREER HISTORY

RETIREMENT MANAGEMENT CORPORATION • Denver, CO

DIRECTOR – Retirement Planning, **6/20XX – Present**

Serve as subject matter expert and institute new client distribution channel, overseeing entire learning development programs to enhance sales and advice strategies as well as initiatives. Provide retirement case consulting to sales team, advisors, and licensed call center personnel. Direct project initiatives including sales coaching to grow sales, drive revenue, increase assets and manage vendor contract negotiations. Assigned high net-worth and complex retirement cases due to expertise. Hired, developed, and led team members, supporting 16 direct reports.

SELECT ACHIEVEMENTS

Positioned corporation to provide open and non-proprietary product offering adoption opportunities by plan sponsors

- Structured specialized task team to formulate a multi-tier product offering that utilized open product architecture
- Partnered with Compliance and Legal teams to ensure conformity with industry regulations and performed industry competitive analysis to build business case and garner support
- Product offering currently adopted by outside credit unions and being presented to additional prospective organizations working with diversified investment advisors and retirement services.

AMCO INVESTMENTS (Financial Services) • Trenton, NJ

VICE PRESIDENT PRODUCT MANAGEMENT MANAGER, **10/20XX – 6/20XX**

Oversaw all aspects pertaining to the development and management of financial planning adoption offers in conjunction with retirement products, IRAs, and small company retirement plans to broaden and strengthen client relationships. Facilitated debriefing and roadmap conference meetings, established and led Planning Advisory Board, and drove financial planning strategy and adoption within the $1M-$5M segment. Managed project assignments for 10 direct reports.

SELECT ACHIEVEMENTS

Heightened advisor usage of financial planning software 40% – increased assets for planning clients 100% vs. non-planning clients, making a significant impact for AMCO Investments

- Determined low usage rates due to inadequate financial planning software, teamed with internal technology group, and created business proposal to incorporate planning software with client data systems, and led project efforts
- Negotiated with potential vendors and presented plan to 3 compliance departments, gaining corporate approval to move $30K project forward through to completion

Repositioned mindset of corporate executives concerning client services financial planning adoption to reap lucrative economic benefits

- Along with 2 financial experts, conducted comprehensive data mining and assessment of client database, organized funding efforts, and dedicated financial and staffing resources to convey what clients receive with a financial plan during a specific time period
- Revealed to corporate executives with findings of 67% greater wallet share for AMCO Investments, allowing company to manage 74% more assets compared to non-planning clients, in addition to 104% more in fees and commissions and at significantly higher retention rates

NELSON & COMPANY (Investment / Financial Services) • Trenton, NJ

VICE PRESIDENT – Advice Marketing & Initiatives, **2/1999 – 10/20XX**

Recruited to direct sales and acquisition efforts of potential high net worth clients through investment advice programs. Composed change initiatives and sales programs correspondence and drafted executive speeches and corporate presentations. Led and mentored 10 senior managers overseeing responsibilities of 50 employees.

SELECT ACHIEVEMENTS

Co-created "XYZ" program applicable toward the Accredited Asset Management Specialist (AAMS) certification and College for Financial Planning designations

- Structured program to provide distinct courses in services, products, and processes for new hires, including management positions, to prepare individuals for career advancement
- Web-based program tracking ability prevents NASD regulation fines, verifies course selection and completion to ensure quality program maintenance, and provides online testing, eliminating off-site training costs

Devised financial planning viability test pilot model, proving existence of untapped market and ultimately became Nelson & Company's revenue and asset generator element of sales to retail clients with net worth averaging $1.2M

- Championed cause to thrive as a full-time practice in key markets, utilized market research to build business case and strategize planning methods, and developed team of experts to deliver plans via phone for clients in markets without local planners
- Planning methods increased potential of add-on product and service sales by retained clients

CAREER DEVELOPMENT

NELSON & COMPANY – COURSE INSTRUCTOR / FACILITATOR (Class Size Average 20)

Professional Selling Skills (PSS) Training, 20XX – 20XX
Performance PDI Program Suite; DDI Program Suite; Leadership & Organizational Development
Management Training; Core Competency Training, 20XX – 20XX

SPEAKING ENGAGEMENTS / COMMUNITY INVOLVEMENT

Wealth Management Conference, 20XX
Anywhere State University: Financial Planning (Certified Financial Planning Students), 20XX
United Way Community Campaigns: Donated Financial Planning Services, 20XX
Jack Cramer Industry Roundtable 20XX, 20XX
Retirement Think Tank 20XX

CONFERENCES / SEMINARS ATTENDED

CFP Study Program, 20XX, 20XX
LIMRA International Inc. Research Conference, 20XX
FPA Conference, 20XX – 20XX
Gallup Strengths Finder Program, 20XX
Sales Training – Nelson & Company, 20XX
Long-Term Care Insurance – Pathfinder, Corporation, 20XX
Employee Stock Options – Net Worth Strategies, 20XX
Motivating & Managing Your Sales Team – University of Wisconsin, 20XX

SPECIAL RECOGNITION

AMCO INVESTMENTS COMPANY AWARDS

Team Leadership Award – (**2-Time** Team Award Winner), 20XX, 20XX

"Best Shot" Award – (**3-Time** Winner), 20XX, 20XX, 20XX
Special Project / Technology Integration / Leadership Role

NELSON & COMPANY AWARDS

Leading the Change Award – Noted for Education Advice Development Leadership (**3-Time** Winner), 20XX, 20XX, 20XX

Excellence in Service Award (**2-Time** Winner – Annual Team Award), 20XX, 20XX
Innovation Award – Noted for Development of New Business Services, 20XX
Chairman's Club Award – Noted for Exceeding 125%+ of Asset Target (**2-Time** Winner), 20XX, 20XX
Partner of the Year Award – Noted for Significant Business Development Contributions, 20XX

EDUCATION

UNIVERSITY OF NOTRE DAME – South Bend, IN
MBA – Cum Laude

OCCIDENTAL COLLEGE – Los Angeles, CA
BA – Political Science