

Jessie Foxworthy

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Financial Advisor ■ Stockbroker ■ Securities Principal

- Series 7, 24, 63, and 66 licensed financial professional with experience as a financial advisor, stockbroker, and trader. Currently manage \$3.6 million in portfolio assets and serve as principal of brokers with \$55.76 million in portfolio assets.
- Adept in creating, developing, and executing short- and long-term financial strategies customized to meet client needs in profit-driven, customer-focused environments.
- Expert in establishing consensus across cross-functional lines and divergent levels of risk tolerance, with keen instincts to quickly affect change or improvement.
- Respected leader—oversee geographically dispersed teams and high-volume trading environments averaging 250+ trades weekly.
- Proficient in Advanced Order Management, SciVantage Trading System, and MS Office.

AREAS OF EXPERTISE

- Investment Strategies
- Portfolio / Account Management & Growth
- Financial Modeling / Analysis / Hedging
- Stocks / Bonds / Mutual Funds / Options
- Financial Trading
- Market Trending & Analysis
- Risk Assessment
- New Business Development
- Team Supervision
- SEC / NASD Compliance
- Project Management
- Client Relations

PROFESSIONAL EXPERIENCE

ABC BROKERAGE / DEF COMPANY – Washington, D.C.

Full-service brokerage firm that acquired DEF Company (a full-service discount brokerage) in 2007.

Account Executive / Principal (2005 to Present)

Supervise daily trading activity of team of five outside brokers, with ultimate accountability for the management of 1,000+ accounts and portfolio assets of \$55.76 million. Monitor, ensure legal compliance of, and approve incoming/outgoing broker correspondence, email, and advertising. Serve as outside broker liaison for maintaining client relationships and arbitrate customer conflicts regarding market or service dissatisfaction. Manage 247 client accounts valued at \$3.6 million and prepare financial proposals for new prospects. Enter, track, and review daily trading activity. Analyze client margin balance and buying power.

Selected Accomplishments:

- Delivered annual growth on assets of at least half a million dollars for personally managed client portfolios during the past four years.
- Grew customer base year over year, adding approximately 100 new clients for firm. Earned a reputation for expert financial advice and superior customer service that resulted in strong referral business.
- Commended for flawless performance in the monitoring and execution of 250+ trades weekly within high-volume, timeline-critical environment.
- Ensure trades are booked properly and provide ongoing follow up with brokers to communicate specifics of each transaction.
- Handle transactions involving mutual funds, stocks, bonds, and options for clients from diverse backgrounds.
- Perform hedging, financial modeling, financial analysis, and risk-tolerance assessment to advise both high-net-worth and low-income clients on best-option investment strategies meeting their specific needs.
- Manage a geographically dispersed outside broker team based across the U.S.
- Initiated regular client mailings to solicit feedback and maintain high client satisfaction.

PROFESSIONAL EXPERIENCE

– Continued –

ADVANCED SYSTEMS, INC. – Washington, D.C.

Construction and maintenance company.

Project Manager (2002 to 2005)

Provided lifecycle management of complex projects under aggressive timelines, overseeing the design, installation, inspection, and code compliance of lifesaving apparatus and systems in residential and commercial buildings. Interfaced with contractors/subcontractors/superintendents and scheduled entire crew.

Selected Accomplishments:

- Met all project timeline and budgetary objectives. Finished complex initiatives on or ahead of schedule and on or below budget by as much as 25%.
- Managed dozens of jobs and crews at any given time.
- Delivered thousands of dollars in savings by closely monitoring costs and maintaining high team productivity.

INTERNATIONAL COURRIER UNLIMITED – Washington, D.C.

International freight delivery service.

Swing Courier / Dangerous Goods Specialist (2000 to 2002)

Provided efficient pickup/delivery of customer packages. Inspected labels and prepared packages containing dangerous or fragile goods (e.g., dry ice, Class "C" explosives) for safe air and group transport.

Selected Accomplishments:

- Repeatedly recognized for superior performance. Honored as three-time recipient of Top Gun award—the company's highest award for outstanding service.

EDUCATION

ABC UNIVERSITY – Washington, D.C.

BA Coursework in Business (completed half of degree requirements), 1998 to 2000

- *Course Highlights:*
 - Economics
 - Accounting I & II
 - Advanced Microeconomics
 - Advanced Macroeconomics
 - Economics of Poverty & Discrimination
 - Economic History of the U.S.
 - International Economics
 - Business Statistics
 - Business Law

LICENSURE

- Series 7 General Securities Registered Rep
- Series 63 Uniform Securities Agent State Law Exam
- Series 65 Uniform Investment Advisor Law Exam
- Series 24 General Securities Principal Exam

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