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Robert N. Oram

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| Bio |  | Bob advises brokerage firms, brokers, investors and legal counsel on regulatory matters pertaining to securities transactions and brokerage accounts. He conducts reviews of all documents to assist in identifying potential infractions such as, but not limited to, excessive trading (churning), excessive markups (commissions) and unsuitable recommendations. Bob’s experience as a retail branch manager includes supervision and oversight of registered representatives and client accounts. His supervisory responsibilities included the following: review of all trading activity to assist in identifying potential infractions such as excessive trading, excessive markups and unsuitable recommendations. Branches managed by Bob underwent successful internal audits as well as audits performed by the NYSE, SEC and CBOE. He has testified in broker arbitrations at FINRA arbitrations as well as in civil cases and has a spotless Form U4 after 32 years of working on Wall Street. |
| Areas of expertise |  | Branch Management  Registered Representative and Registered Investment Adviser Supervision  Compliance  Suitability  Excessive trading  Excessive commissions  Disclosure Issues with regard to Firm Underwritings  Client Communications  Operations |
| EDUCATION |  | **BBA,** Adelphi University- - *Cum Laude*, 1972 |
| professional training and Licensing |  | Securities Industry Institute-Management Track- Wharton School- University of Pennsylvania  Smith Barney Sales Leadership Program  Dale Carnegie Sales Training Program  Securities Training Institute- Technical Analysis I  Merrill Lynch Registered Representative Training Program  Previously Licensed: Series 3, 5, 7, 8, 63 & 65 |
| Previous Experience |  | **H Papa & Associates (2018–2022)**  ***Director – Securities Industry Practice***   * Advises brokerage firms, brokers, investors and legal counselors on regulatory matters pertaining to securities transactions and brokerage accounts * Conducts forensic evaluations of securities related to unauthorized trading, excessive trading, margin, suitability, supervision, compliance, FINRA and SEC regulations, compliance manuals, and asset allocation * Provides expert testimony on securities industry dispute resolution issues |
| PREVIOUS EXPERIENCE |  | **THG Consultants (2015–2018)**  ***Director – Securities Industry Practice***   * Advises brokerage firms, brokers, investors and legal counselors on regulatory matters pertaining to securities transactions and brokerage accounts * Conducts forensic evaluations of securities related to unauthorized trading, excessive trading, margin, suitability, supervision, compliance, FINRA and SEC regulations, compliance manuals, and asset allocation * Provides expert testimony on securities industry dispute resolution issues   **Wellington Shields & Co., LLC, Sarasota, FL (2013-2014)**  ***Senior Vice President – Assistant Branch Manager***  **Wunderlich Securities, New York, NY (2010–2012)**  ***Senior Vice President - Institutional Equity Sales***   * Leveraged personal relationships with Portfolio Managers/Analysts to increase market share with existing institutional clients and penetrate new accounts for the firm. * Covered a number of major institutional clients - hedge funds, mutual funds, sovereign wealth fund and other long-only managers. * Increased commission matrix tenfold at major institutional client.   **FTN Equity Capital Markets, New York, NY (2005–2010)**  ***Managing Director - Institutional Equity Sales***   * Leveraged strong relationships with analysts to maximize market share with institutional clients. * Covered an array of institutional investors - hedge funds, mutual funds and other long-only managers including state pension funds. * Increased commission dollars by approximately 400% from major hedge fund account over 24 month time period making it a top tier account.   **Citigroup Smith Barney, Stamford, CT (2003–2005)**  ***Senior Vice President - Middle Market Institutional Sales***   * Developed middle market institutional accounts as well as high net worth individual business through referrals. * Managed $20mm in assets as a Registered Investment Advisor * Qualified for the Chairman’s Council   **Credit Suisse First Boston, New York, NY (1997–2003)**  ***Vice President - Institutional Equity Sales***   * Developed middle market institutional account business leveraging research and block trading. * Improved profitability at reassigned account- increased commissions by 1000% to over $1 million over 36 months. * Trained and qualified to market Holt Advisory stock analysis service. * Served on committee tasked with developing new stock rating system.   **Dillon Read, New York, NY (1996)**  ***Vice President - Private Client Sales***   * Developed middle market institutional business as well as high net worth business.   **Alex Brown & Sons, New York, NY (1990-1996)**  ***Managing Director - Administrative Manager***   * Administrative manager for NYC office complex consisting of 235 people in Investment Banking, Institutional Sales & Trading, and Private Client Sales. * Profit & Loss responsibility for 90 people in Private Client Sales * Raised Private Client Sales commission revenues from $9 million to $25 million. * Helped launch Torrey Funds one of the first "Fund of Funds" on Wall Street. * Assisted in negotiation, design and move to larger location.   **Oppenheimer & Co, New York, NY (1987-1990)**  ***Principal - Manager of Model Cities program***   * Revamped Model Cities program. Increased the number of brokers from 23 to 45 and doubled commissions from $10 to $20 million. * Implemented a number of new marketing disciplines, including telemarketing support in lead generation.   **Smith Barney, New York, NY (1983-1987)**  ***Senior Vice President - Branch Manager***   * Tripled branch commissions from $3milion to $10million. * Recruited a number of top producing, quality brokers. * Featured speaker at Sales Leadership and Sales Training Classes. * One of three managers tasked with reviewing RR turnover and making recommendations to senior management on how to reduce it.   **Lehman Brothers, New York, NY (1981-1983)**  ***Vice President - Private Client Sales***   * Led 1981 Class in production with $750,000 in 1983.   **Merrill Lynch, New York, NY (1980-1981)**  ***Registered Representative***   * Completed Merrill Lynch training program and passed Series 7 & 63 exam. |