**Robert E. Graham**

**REG Consulting, LLC**

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**Present-**

2013 REG Consulting, LLC, Robert E. Graham Consulting, Founder

Provide expert witness consultation and testimony for securities dispute resolution related to wealth management involving investors, FINRA brokers and registered investment advisors. Areas of emphasis are supervision, suitability, and employment. Consultant for business growth and professional development, personal coach for building and sustaining a professional and productive business.

2016 Great Lakes and Atlantic Wealth Management LLC President and CCO

2013 Co-Founded, with talent acquired from Haven Capital a startup RIA with no assets, an SEC Registered Investment advisory firm with 14 locations and 17 investment advisors. GLA began with no assets in 2013 and grew to over $700 million in aum by June 2016 exclusively by recruiting existing advisors or brokers. GLA is registered with FINRA and the SEC; Robert E Graham maintained his broker dealer licenses, indivually with Allen Ewing in Jacksonville then moving the license to Uhlmann Price in Chicago. Independent advisors manage wealth, for the high net worth family, endowment or philanthropic organizations, on a fee only basis with assets held at custodians, Raymond James and Schwab. The respective broker dealer for brokerage transactions and commissions holds registrations for the RIA principles and the hybrid advisor. GLA was rebranded as Hayden Royal in 2018.

2009-2013 UBS Financial Services Inc. Wealth Management Americas

2013- UBS Wealth Management, Managing Director Investments.

2012 Portfolio management and balance sheet strategy for family offices, foundations, nonprofit organizations and small businesses.

2012- UBS Wealth Management, Managing Director, Midwest Region, Chicago

2009 Responsible for all wealth management offices in the Midwest, providing wealth management supervision and market leadership for 30 branch offices and managers, 600 brokers in 6 states, while entrusted with $60 billion in client assets and $20 billion in Institutional cash management. Additional areas of responsibility included managing the largest office in Chicago, developing leadership talent for branch managers, recruiting, and assisting managers with their recruiting goal performance, historically exceeding objectives and ranked 4th out of 14 regions. Recruited 15 first or second quintile advisors, average per year from major competitors.

Robert E. Graham [Regraham@mac.com](mailto:Regraham@mac.com)

1980-2009 Merrill Lynch, Pierce, Fenner & Smith Inc. New York

2009- Merrill Lynch Wealth Management, Managing Director, Midwest Regional

1999 Managing Director for regional and branch leadership for 1200 employees in 5 states with 35 locations with $80 billion in assets under management and revenue in excess of $500 million. Responsible for market share growth in AUM,

Broker headcount, revenue and profitability for the region and the branch. Involved, on a national level, with structuring financial advisor and branch manager

compensation. Leadership development instructor to train new and existing branch managers on successful recruiting, leadership attributes, building and developing a professional and profitable branch, philanthropic involvement and civic engagement. Built Chicago/Midwest Private Wealth via recruiting existing UHNW brokers, from competitors in the market, adding almost $50 million in new revenue. Recognized as a top 10-branch manager for a record 13 years.

2006 Merrill Lynch Institutional Advisory, Regional Director

2007 Responsible for fixed income sales and trading, Equity research sales and trading, options and institutional cash management. Far exceeding objectives for strategic growth initiatives through targeted acquisition and select recruiting from competitors. Fostered culture of collaboration between Investment Banking, Institutional capabilities and Private Wealth Advisory.

1999- Merrill Lynch Wealth Management. National Sales Director, Central U.S.

1997 Involved with senior leadership for strategic planning, market strategy, compensation, recruiting and concise communication between the branch system and home office. Instructor and trainer for leadership development, building a professional, ethical and productive business. Participated in the successful integration of U.K. asset management firm into U.S. domestic market, assisted regional directors with their critical growth and recruiting objectives.

1997- Merrill Lynch Wealth Management, Branch Manager, Chicago

1991 Restructured and rebuilt low productivity and low performing branch offices both were initially in the 5th quintile in every critical measurement, after 2 years they both are consistently 1st quintile. Primary area of growth was successfully recruiting producers and top talent. Recognized as one of the firms top 5 recruiting branch managers every year. Added 4 new branch offices, through recruiting in the Chicago suburbs. Active participant with the firm’s leadership and management development training programs. Trained managers including operations and compliance partners on building a productive culture thru strategic recruiting and retention. Key in elevating the reputation and civic presence in the market through philanthropic board involvement. Recognized as one of the top performing branch managers for 7 consecutive years.

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1991- Merrill Lynch Wealth Management, District Sales Manager, IL/IA/WI

1990 Assisted brokers building and maintaining a professional practice. Performance evaluation consistently far exceeding firm goals in revenue and asset growth, recruiting, client service. Led effort to build a managed fee based advisory business, away from a commission business.

Developed the market plan to expand branches and capture targeted market share objectives and strategically acquire top quintile talent.

1990- Merrill Lynch Wealth Management, Financial Advisor, New York

1980 Started building and developing a wealth management business. Top Quintile broker in new accounts, new assert and revenue every year while in production. Product coordinator for options, and Fixed Income, Producing Sales Manager charged with sales growth, marketing with clients and hiring new brokers.

1980- E.F. Hutton, Registered Representative, New York

Education

B.S. Marketing, St John’s University, New York, 1976

Executive Leadership Development, Wharton School, Philadelphia, 1997-1998

Securities Institute, University of Pennsylvania, 1997-1999

Co-wrote with business partners the Masters Degree Program for DePaul University, MS in Wealth Management, DePaul University, Chicago

Past Series 3, 5, 7, 8, 15, 63, 65 Registered

Professional Organizations

Thompson Reuters Expert Witness

Global Economics, Chicago

Securities Expert Roundtable

ForensisGroup

Robert E. Graham Regarham@mac.com

Current or Former Civic and Philanthropic

Member of the Advisory Board for A Safe Haven Foundation

Chairman of the finance council, St Michaels Church, Old Town, Chicago

Vice-Chairman of the board for the Joffrey Ballet, Chicago 1999-2012

Chairman for advisory board for Chicago Police Memorial Foundation

Member of the board of directors of the 100 Club, Chicago

Advisory board member for Cardinal George, Chicago Archdiocese

Member of the board of directors for Gateway for Cancer Research, Chicago

Member of the board for Chicago United, Chicago

Member of the advisory board for the Graduate school of business, DePaul

Trustee for Elgin Academy, Elgin IL

Member of the board for American Cancer Society, NW Chicago

Participant in Dancing with Chicago Celebrities for breast cancer awareness

Pro bono consulting to the securities arbitration clinic at St John’s law school

Pro bono consulting to the mediation clinic at Fordham law school

Media

Smart Business Chicago, Cover Story, Chicago

Chicago Avenue Magazine, Featured and Recognized as “Wealth Watcher”

Today’s Chicago Women Magazine Named Man of the Month for Civic involvement

Crain’s Chicago Business, Who’s Who in Business Leader’s 2007, 2008, 2009, 2010, 2011

Former writer for Advisor Hub for ethics, professionalism and suitability