# Robert B. Spawn

rob@stellaconsultllc.com // 415.888.2333

*Wealth Management professional that has successfully served in multiple client-facing and field leadership and supervisory roles. Demonstrated achievement in business and profitability growth, building collaborative teams and community engagement.*

**April 2020 - Present**

**Wedbush Securities**

***Managing Director – Regional Executive;*** *San Francisco CA*

Recruited to increase Wealth Management market share in the Pacific North for an established broker-dealer with an unfamiliar brand.

*Areas of Engagement*

- Field Leadership assessments
- Leading organizational changes during transition
- Cutting expenses while improving organizational efficiency and advisor productivity
- Advisor and Manager compensation plans
- Recruiting
  - Experienced Financial Advisors: *employee and independent platforms*
  - Equity and Joint Venture: *RIA and Broker-Dealer opportunities*
  - Process and marketing collateral

*Scope of Business*

- 2019 Revenue: *$25mm*
- Financial Advisors / Admin-Support: *44 / 23*
- Branch locations: *7 offices in Northern California, Oregon, Washington and Alaska*

**March 2018 - Present**

**Stella Consulting, LLC**

***Principal;*** *San Francisco CA*

- Expert Witness appointments with Bates Group and Eleven Canterbury; specialty areas include
  - ✓ Recruiting, Hiring and Employment
  - ✓ FA Compensation and Note Obligations
  - ✓ FA Practice Management
  - ✓ Client Suitability and KYC
  - ✓ Branch/Complex/Regional financial results and reporting
- FA Coaching and Transitions
- Organizational Consulting
  - ✓ Engagements: *Affiliated Wealth Advisors (2018-19) and Rubicon Advisors*
  - ✓ Activities: *build or buy; framing mission, values and purpose; initial budgeting and defining scope of services; assessing service providers*
  - ✓ Experienced Advisor Recruiting: *process, deal structure, onboarding, etc.*

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**December 2015 - April 2018**

**JPMorgan Securities**

***Managing Director – Regional Director;*** *San Francisco, CA*

Recruited to lead a group of high-producing advisors, with a diverse business mix including Corporate Cash Management, Venture Distribution, Carry-Trade and UHNW Wealth Management.

*Scope of Business:*

- 2017 Revenue: *$86mm (19.8% CAGR)*
- Assets Under Management: *$15.1B (26% CAGR)*
- Financial Advisors / Admin-Support: *33 / 38*
- Branch locations: *San Francisco and Seattle*

*Key Achievements Include:*

- Revenue per FA growth from $1.3mm to $2.2mm
- AUA per FA growth from $197mm to $337mm (ex-CCM)
- Recruited 1 EFA (@$1.9mm), 1 Junior FA and 3 managers
- Recognized by OnWallStreet as a Top 100 Branch Manager (2017)

**October 2013 - December 2015**

**RBC Wealth Management**

***Senior Managing Director – Complex Director;*** *San Francisco, CA*

Recruited to lead a turnaround business in a key growth market; primary challenges include establishing a cohesive culture, connecting our employees with the Firm, and aligning expenses and investments to maximize efficiency.

*Scope of Business:*

- 2015 Revenue: *$54mm*
- Assets Under Management: *$10.5B*
- Financial Advisors / Admin-Support: *63 / 46*
- Branch locations: *7 (Northern California)*

*Key Achievements Include:*

- Revenue per FA Growth from $640m to $759m
- Achieved 21% profitability (normalized)
- Recruited 2 EFAs and 1 Junior FA
- Established Community Engagement Board and Community Leadership Council and invested $345m in 37 local organizations
- Recognized as 2014 CD National Diversity Leader
- Served on Complex Director Advisory Council (2014, 2015)

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**August 2006- October 2013** — **<u>UBS Financial Services,</u> *Executive Director***

*Associate Complex Director; Phoenix, AZ (2013)*

*Northwest Regional Sales Manager; Houston, TX (2012)*

*August 2011- May 2012* — ***Complex Director;*** *Houston TX*

Promoted to assume leadership of a top-ten business in a major market. Aside from low morale, primary challenges included assessing Branch Managers and centralizing Infrastructure, in accordance with Firm processing protocol.

*<u>Scope of Business:</u>*

- 2012 Revenue: *$101mm*
- Assets Under Management: *$16.8B*
- Financial Advisors / Admin-Support: *94 / 69*
- Branch locations: *3*

*<u>Key Achievements Include:</u>*

- Increased Complex business results from bottom decile to second quintile, ranked 29 of 82
- Organic Revenue growth: *6.3%*
- Re-organized 3 branch Admin / Supervision staff to Complex Team
- Net Headcount growth: *3*
- Expense reduction: *5.2% to 4.2% of revenue*
- Established employee boards to allocate marketing budget within our community and monitor ROI as well as organize volunteer activities
- Served on inaugural Corporate Advisory Board (one of two CDs)
- Assessor for CD Assessment Center (one of eight CDs)

*March 2008- July 2011* — ***Complex Director,*** *Las Vegas NV*

Selected to build our franchise in Las Vegas; responsibilities expanded to include the Reno, NV and Salt Lake City, UT markets. Organization was comprised of 65 FAs, with 35 Infrastructure with AUM of $9.5B in 6 branches; assumed responsibility for an $8.2mm business.

*<u>Key Achievements Include:</u>*

- Increased Las Vegas market share from 7.6% to 26.5%
- Increased Net FA headcount from 21 to 37
- Doubled revenue per FA from $300m to $600m
- Recruited 29 EFAs and 18 staff
- Recruited/Promoted 6 managers
- 2011 Revenue $42.6mm (+12%, annualized-through July)
- Initiated ACTM and CLC to engage employees in a Leadership role
- Established active culture of community engagement

*2006-2008* — ***Director and Sales Manager,*** *New York NY*

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|---|---|
| **1995-2006** | **Merrill Lynch and Company,** *New York, NY* |
| *2001-2006* | *Vice President and Producing Sales Manager* |
| *1995-2001* | *Vice President and District Trust Manager, ML Trust Company* |
| **1991-1995** | First Fidelity Bank, *Vice President and Regional Trust Manager, Millburn, NJ* |
| **1982-1991** | Oppenheimer and Company, *Financial Advisor*, *New York, NY* |
| | Cowen and Company, *Financial Advisor*, *New York, NY* |
| | Merrill Lynch and Company, *Financial Advisor, New York, NY* |
| **Licenses and Certifications** | Series: *7, 9, 10, 66 and 63* |
| | California Insurance: *Life, Health and Variable Annuity* |
| | Chartered Trust & Financial Advisor (CTFA), *American Bankers Association* |
| | Chartered Advisor in Philanthropy (CAP), *College for Financial Planning* |
| **Professional Associations** | **FINRA,** *Arbitrator* |
| | **Public Investors Advocate Bar Association (PIABA),** *Member* |
| **Community Leadership** | Delbarton School, *1982 – Present* |
| | The Rex Foundation, *2014 – 2019* |
| | SFJazz, *2014 – 2019* |
| | Oak Knoll School, *2002 – 2009* |
| | New Jersey Ski Racing Association, *2000 – 2008* |
| **Education** | Saint Michael's College, Winooski Park VT 05404; B.A, Business Administration |
| **Interests** | Alpine Skiing, Hiking, Surfing and Live Music |