
Financial Executive

15+ years' success leading equities businesses through innovation for high-growth organizations

Driven Senior Executive with a proven track record of expanding market share and growing revenue as an innovator in institutional sales, trading, brokerage, asset management, and trading technology. Created award-winning trading platform by leveraging deep understanding of US equity market structure. Strong foundation in building global relationships with investors in the US, UK, EU, Asia, and Latin America.

Highlights of Expertise

- Strategic Business Planning
- Innovation and Collaboration
- Relationship Management
- Contract Development / Negotiations
- P & L Accountability
- Process Redesign / Change Management
- Staff Development Programs
- Team Building and Leadership

Career Experience

Open Door Securities, Jersey City NJ

Chief Operating Officer & Chief Compliance Officer (Sept 2019 to July 2020)

Responsible for day to day management of the company, including sales, finance, compliance, product development, operations, and technology. OpenDoor is a Fintech focused on trading US Treasury bonds.

State Street Global Markets, Boston MA

BUSINESS CONSULTANT (September 2018 to September 2019)

Leveraged subject matter expertise in institutional equities sales, trading, and product development while also utilizing competitive market intelligence to identify/rectify problem areas.

- ♦ Designed and effectively communicated a new strategic plan focused on achieving specific goals.

Fidelity Trading Ventures, Boston, MA

Drove ground-breaking initiatives for trading technology, building the first and only crossing network 100% owned and governed by the buy side, LUMINEX Trading & Analytics.

SENIOR VICE PRESIDENT, HEAD OF FIDELITY TRADING VENTURES (2012 to June 2017)

Luminex Trading & Analytics - Designed and oversaw the construction of patent-pending trading technologies and analytics for the company by leading cross-functional teams and establishing a consortium of the country's nine largest asset managers. Built the business plan and financing transactions, oversaw the technology development process and creation of real time analytics, started a new broker-dealer, secured space and infrastructure, and hired/trained all staff as company's first CEO, ultimately spinning company out as an independent entity. Only registered representative selling the platform to its first 100 clients.

- ♦ Received Markets Media's Annual Markets Choice Awards for "Best New Trading Venue" (2016) for LUMINEX, as well as "Best Emergency Equity Trading Platform" (2017), and "Best Dark Pool" (2018).

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Active Trader Pro - Designed real-time analytics for Fidelity's Active Trader Pro platform, leading to positive outcomes 78% of time and doubling daily average revenue trades vs. control group of non-users.

- ♦ Earned recognition for playing a major role in Fidelity's retail business achieving #1 ranking in *Barron's*, *Corporate Insight*, *Investor's Business Daily*, and *Stockbrokers.com*.

Securities Lending - Led the redesign and re-engineering of the securities lending platform for Fidelity's asset management unit. These technologies and processes now underpin Fidelity's agent lending unit.

Fidelity Capital Market Services, Boston, MA

Restructured high-and-low-touch-trading, CSA, transition management, corporate brokerage, and portfolio trading in both domestic and international equities and options, setting the division up for sustained profitability.

SENIOR VICE PRESIDENT, HEAD OF EQUITIES (2008 to April 2012)

Directed over 100 employees and oversaw the daily execution of 300m shares per day of Retail, RIA, and Institutional order flow.

- ♦ Achieved a return to profitability in three years from -26% operating margins.
- ♦ Improved efficiency and profitability across the division, increasing equity revenues from \$62M to \$94M in three years, at a CAGR of 14%.
- ♦ Expanded institutional trading volumes from 26M to 63M ADV in three years, while growing market share at a 43% CAGR from .27% to .80%, all while overall equity volumes suffered a -7% CAGR.

Additional Experience

Senior Managing Director (2006 to 2008) ▪ Bear Stearns and Company, Inc., New York, NY.

CEO and COO (2002 to 2005) ▪ Harborside Plus, Inc. and Harborside Securities, LLC, New York, NY.

Senior Managing Director, Head of Global Equity Sales (2000-2002) ▪ ABN AMRO, Inc., New York, NY.

Principal (1992-2000) ▪ Morgan Stanley and Co., Inc., New York, NY and London, England.

Education & Credentials

Bachelor of Art in English Literature

Saint Lawrence University, Canton, NY

Active Licenses

Series 7, 9, 10, 24, 55, 63, 99

Professional Affiliations

- Senior Advisor to CEO of Intelligent Cross, ATS utilizing AI and Machine Learning
- Former Board of Directors Member of Luminex, Level Trading, Harborside Plus, ESP Technologies, Okemo Mountain School
- Associate Member of Securities Expert Roundtable