

CORE EXECUTIVE ASSETS

C-Level Executive Leadership
 Strategic Planning & Execution
 Business Plan Development
 Forecasting & Budgeting
 P&L Management
 Margin & EBITDA Improvement
 Project & Program Leadership
 Cross-Functional Collaboration
 Client Relationship Management
 Leading Multiple Departments
 Executive Coaching & Mentoring
 Mergers & Acquisitions (M&A)
 Financial Sector Compliance
 FINRA Series 7/63/24/99 Licenses

C-LEVEL EXECUTIVE

Financial Services Sector • Long-Range Planning • Profitability & Growth

An established C-Level Executive with proven experience in leading multiple growth-oriented companies within the financial services industry. An expert in building strategic plans that position companies to reach near-term and long-range goals and objectives. Adds value by creating corporate cultures built upon collaboration, communication, and delivering measurable results.

- **Strategic Planning & Vision Definition:** Wrote the company's 5-year strategic plan, providing a roadmap for five separate lines of business.
- **Mergers & Acquisition Events:** Drove the end-to-end project management of a \$7.4B merger with ultimate listing on the NYSE.
- **Turnarounds & Restructures:** Achieved a \$7B annual run rate in the wake of the 2008 economic collapse (sales had fallen from \$10B to \$3B).
- **Streamlining Operations:** Identified systems and processes necessary to increase efficiency and improve service levels; implemented the first API integration at Prospera Financial Services.

EXECUTIVE CAREER PROGRESSION**DYNAMIC CAPITAL INVESTMENTS**

2023 – Present

Chief Executive Officer

Once the purchase of the broker-dealer was completed, took over as CEO to lead the strategic vision.

- o Established the Holding Company LLC for Dynamic Capital and registered it in Delaware.
- o Registered DCI in all 50 states, the US Virgin Islands, Puerto Rico, and Washington DC.
- o Oversee all budgeting, expenses and capital raises for the firm.
- o Built all internal systems and procedures.
- o Conducted all due diligence on vendors and integration with our clearing firm.
- o Responsible for hiring and managing the firm's CCO, COO, FinOp and Legal Counsel
- o Directed interaction with Finra on two Continuing Membership Applications to define business lines.

FOUNDATIONS INVESTMENT ADVISORS

2022 – 2024

EVP

Recruited, relocated, and hired to buy and build an affiliated broker-dealer for FIA.

- o Successfully identified and purchased a clean, shell broker-dealer for the firm.
- o Oversaw all regulatory approvals through Finra for the purchase of the firm.

PROSPERA FINANCIAL SERVICES

2018 – 2021

Chief Operating Officer

Recruited to the institution to develop and lead the strategic direction of the Operations, Transitions, and Technology departments. Lead a 3-member, Director-level team and 20+ indirect cross-functional reports. Served as a key member of the Executive Committee making critical decisions regarding processes, procedures, workflows, and systems. Maintain cost structure while continuing to drive customer satisfaction.

- o Facilitated \$2B+ in AUM to the platform by leading 23 new advisor transitions; owned the first Signix Runsub transition on the First Clearing platform.
- o Streamlined processes by developing and implementing the first API integration for New Account Opening, Service Requests, and Document Transfers.
- o Delivered a significant improvement to service levels by leveraging Salesforce to implement a system of accountability for all departments, which ensured adherence to all service level standards.

EVERY INCOME CAPITAL DISTRIBUTORS

2017 – 2018

Sr. Advisor to the Executive Committee

Strategic advisor to the Executive Committee of Every Income Capital Distributors, providing guidance and recommendations on all product sourcing, as well as research and development. Established the company's long-term corporate strategy, as well as the broker-dealer and product due diligence process.

EVEREST MEDICAL REIT

2016 – 2017

Board of Directors

Former Member of the Board of Directors providing strategy, guidance, and recommendations to the Executive Committee on fundraising, development, and long-term strategy.

COLE CAPITAL

2011 – 2015

Chief Operating Officer (2013 – 2015)

Promoted to Chief Operating Officer following the merger, and listing of, Cole Credit Property Trust III and Cole Real Estate Investments. Oversaw multiple departments for Cole Capital, including Marketing, Operations, Strategic Planning, Events, Sales Strategy and Analytics.

- Generated \$5B in annual sales by leading the strategic planning and launch of Cole Credit Property Trust IV, V, VI and Cole Credit Income Trust II and III.
- Improved operating efficiency by placing a strong focus on effective management, as well as frequent and transparent communications.
- Led a 5-member team at the SVP-level, as well as 60+ indirect reports across 5 separate departments.
- Delivered strong increases to employee morale and work-life balance by building a culture with a foundation of collaboration and communication.
- Achieved higher earnings by developing and rolling out numerous programs focused on cost management, as well as sales efficiency.
- Ensured 100% compliance with the new FINRA rule 15-02, taking the lead as Project Manager through the end-to-end planning and implementation to conform to new pricing rules on alternative investments.
- Built and implemented a \$60M annual budget with complete decision-making authority for P&L management, forecasting, and budget allocation.

SVP, Strategic Planning (2011 – 2013)

Recruited to drive the company's growth by identifying and analyzing the competitive landscape, market trends, and product and distribution opportunities. Increased efficiency and overall sales performance by streamlining existing processes, as well as by introducing new programs and initiatives designed to properly allocate resources.

- Authored the 5-year strategic plan; a 65-page document impacting all areas of the organization.
- Capitalized on emerging trends to achieve a strong leadership position in the industry and maintained that position through varying market conditions.
- Selected by the C-level executive team as Lead Project Manager for the Cole Credit Property Trust III and Cole Merger, listing on the NYSE for \$7.4B.
- Provided nearly \$10B in liquidity events for investors through effective project management.
- Drove the end-to-end project management for the M&A event between Cole Credit Income Trust and Spirit Realty, valued at more than \$2.4B in market value.
- Generated \$350M in new sales by leading the development, and launch of INAV, Daily NAV non-listed REIT.
- Recaptured approximately 60% of assets through liquidity events by outlining both new and future product development efforts.

ING FUNDS

2004 – 2010

SVP, Head of Client Relations and Services (2008 – 2010)

Promoted to provide executive leadership with complete decision-making ownership for the ING Funds Client Relations and Service Group. Held additional ownership and oversight for Business Analytics, Fulfillment, and SMA Operations departments.

- Stabilized revenue following the 2008 economic collapse; reestablished an annual sales run rate of \$7B, after falling from \$10B to less than \$3B.

- Improved margin performance by managing a \$54M P&L, providing financial guidance that aligned multiple lines of business.
- Effectively managed and maintained 900+ selling group agreements and relationships, partnering with the Head of Distribution to build and manage a client-focused organization.
- Member of the Board of Directors for ING Investments Distributor Board, acting as the primary liaison from to multiple department heads from Legal, Compliance, Finance, Accounting, and Operations.
- Selected as a key member of the development team for the ING Clarion Non-Listed REIT, a first-of-its-kind product due to its daily pricing mechanism.

SVP, Head of National Accounts (2004 – 2008)

Promoted to build and lead the ING Funds National Accounts Group, including establishing and maintaining key distribution relationships in the Independent, Bank, and Wirehouse channels. Built effective strategies and business plans that increased production among core firms at home office, research, and divisional levels.

- Increased sales 70% to achieve a \$10B annual run rate by driving programs that improved product placement, as well as exposure of ING products.
- Generated \$2.5B in new assets raised by coordinating the syndicate build and road shows for 4 of ING's closed-end offerings.
- Consistent top performer, receiving the Circle of Excellence Award for delivering a \$1.7B raise in the ING Global Equity Dividend and Premium Opportunity closed-end fund.

EDUCATION

THUNDERBIRD SCHOOL OF GLOBAL MANAGEMENT | Master of Business Administration (MBA) in International Finance
COLLEGE OF THE HOLY CROSS | Bachelor of Arts (BA) in Political Science