

Michael Jones

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EXECUTIVE SUMMARY

High performing financial professional with 13 years of proven experience in investment sales and sales force management. Adept at understanding the complex financial situations pertaining to portfolio management through synthesizing information and determining optimal investment and financial solutions. Expertise in advanced financial planning, risk management, formulating portfolio strategy, fixed income, equity investments, retirement plans, annuities and life insurance. Broad-based background with experience in corporate finance, budgeting, forecasting, variable compensation, and recruiting. Strong understanding of the financial industry's retail advisor channels.

PROFESSIONAL EXPERIENCE

Overton Financial, Minneapolis, MN

2004 to Present

Western Divisional Sales Director

Responsible, for leading the sales force to position and promote initiatives aimed at growing RiverSource Investments asset flows within wirehouses, independents, banks, RIA's and institutions. Collaborate with Marketing partners, Portfolio Managers, Product Specialists and Sales Management to position, support and increase RiverSource's wealth management business. Created and delivered seminars, sales training, presentations, communications, and conference calls for sales force and third party advisors. Influential in positioning the company at national and regional conferences. Responsible for the Western division P&L, compliance, recruiting, retention, and sales.

- Recruited experienced advisors to build wholesaling sales force within RiverSource Distributors.
- Led the Western Division to produce \$228 million in sales in our first year of operation, thus exceeding our annual goal by 130%.

Regional Sales Director

Accountable for the field sales of RiverSource Investments within the Overton Financial Advisor channel. Built new relationships and managed existing ones within the territory to close business through consultative selling; utilizing meetings, seminars, training workshops, client meetings, client appreciation functions, etc. Strategically planned and managed territory rotations and rep focus lists to maximize territory sales while managing the territory budget and expenses.

- Raised \$335 million in new assets into RiverSource funds, thus increasing my sales in territory by 119%.
- Helped 91 Ameriprise Advisors, many of whom have never sold RiverSource funds in the past, to sell over a million dollars in RiverSource mutual funds in a single year, exceeding my goal by 127%.
- Partnered with Overton Advisors to create successful value-add programs that increased their HVC acquisitions.

Retirement Manager

Provided day to day sales leadership and oversight to 24 Financial Consultants in a highly competitive retirement sales environment. Successfully recruited Financial Advisors, creating a sales force that reached 148% productivity through a structured, high quality client experience. Led the implementation and execution of policies, sales practices and operational processes to reach and exceed sales goals. Created a positive and motivating sales culture through effective communication, coaching, recognition, monitoring of sales activity and performance management. Provided oversight of FINRA/ SEC regulations, as well as firm requirements as a Registered Principal.

Michael Jones continued

- Recruited and built a new sales desk in a call center model that exceeded our first year goal by 148%.
- Led the sales desk to achieve half a billion in sales, surpassing our second year sales goal by 115%.

ONLINE INVESTMENTS, LLC. Minneapolis, MN

2002 to 2004

Mid-West Regional Manager

Managed Financial Advisors' daily sales and operational activities in the Northern Region to ensure that sales quotas and NASD/ SEC compliance requirements were met. Trained and developed Financial Advisors in all aspects of the sales cycle, as well as client management. Provided personal and corporate investment services to individual investors, founders and senior executives of corporate clients. Service offerings included comprehensive wealth management, restricted stock trading, and strategic management for concentrated stock positions, corporate cash management, individual equities, mutual funds, bonds, annuities and life insurance.

- Started up and recruited advisors for the Northern Sales Region which consisted of 5 branches in Nebraska, Minnesota and Indiana.
- Led the Northern Region to exceed sales goal by 127%, making the Northern Region the number one sales producing region out of eight US regions.
- In less than two years, all five new branches were ranked in the top 15 of the company's 43 US Retail Sales Branches. Their following ranks were #1, #7, #8, #11, and #13.

MORGAN STANLEY. Wayzata, MN

2000 to 2002

Financial Advisor

Acquired and advised high net worth individuals and family offices in formulating portfolio strategies, comprehensive wealth management, restricted stock trading, managing concentrated stock positions, and corporate cash management. Product offerings included individual equities, mutual funds, bonds, options, annuities and life insurance. Developed business relationships for Morgan Stanley's Investment Bank in Minnesota to secure corporate financing deals with local companies.

Fickle Financial. Minneapolis, MN

1998 to 2000

Financial Advisor

Investors Financial Group. Minneapolis, MN

1996 to 1998

Financial Advisor

EDUCATION

B.A., Corporate Communications & Business Administration

College of Charleston, South Carolina

LICENSES AND CERTIFICATION

Series 24, Series 7, Series 63