

John Smith, CPA

Address, New York, NY Zip code

Phone: (XXX) XXX-XXXX E-Mail: XXX@XXX.com

Financial Planning Skill Set

- Custom financial plans for high net worth clients
- Expert in client relationship management
- Extensive needs analysis experience
- Skilled in working with clients' professional teams, including attorneys and advisors
- Team-oriented approach to management
- Diverse client experience across industries
- Insurance investment expertise and licensure

Career Progression

Financial Advisor, Private Client Group

2006-present

Merrill Lynch; New York, NY

- Work on client investment team responsible for approximately \$300 million in book business, including 125 high net worth clients averaging \$5-10 million
- Conduct financial needs analysis to determine solutions for meeting client goals
- Develop customized financial plans, including retirement, investment and education planning, using Wealth Outlook and Financial Foundation
- Manage relationships with clients in addition to all clients' professional advisors, including estate attorneys, tax advisors and others
- Perform due diligence on mutual fund and investment managers

Assistant Vice President, Transaction Costs/Equities Controlling

2003-2005

Deutsche Bank; New York, NY

- Prepared monthly reports and commentary distributed to equities traders and equities business COOs
- Responsible for monthly legal accounting close related to equities transaction costs (including expenses for clearing, exchange, specialist and market data fees)
- Developed models to allocate transaction costs across all equities desks

Assistant Vice President, Strategic Reporting/Equity Finance

2000-2003

Merrill Lynch; New York, NY

- Organization and oversight of annual budget process, including preparation of budgets, review of initiatives and reconciling of budget system
- Prepared reports for management, including forecasts, historical trends and various *ad hoc* financial analyses
- Supervised and reviewed daily procedures of B.A. and college interns, including daily funding report, risk analysis and stock market analysis
- Compiled monthly Global Equity Markets financial statements

Auditor/Accountant

1997-2000

Richard A. Eisner & Company; New York, NY

- Prepared quarterly and annual financial statements for mid-sized CPA firm
- Interfaced with all levels of client management
- Performed audit, review and compilation procedures for diverse client base
- Industry exposure included SEC clients, partnerships, broker-dealers, investment advisory firms, real estate companies, commercial clients and non-profit entities
- Tested, examined and evaluated internal controls and accounting systems
- Analyzed general ledger and proposed adjusting entries
- Developed working trial balance for cash and accrual basis financial statements
- Supported CFO and Controller with all facets of financial reporting
- Analyzed various balance sheet and profit-loss accounts
- Assisted in preparation of partnership tax return

Accountant

1996-1997

International Council of Shopping Centers; New York, NY

- Audited and supervised daily cash receipts entries
- Responsible for internal control procedures for advertising invoices
- Prepared bank reconciliations and calculated advertising sales commissions
- Reviewed and analyzed project/department budget forecasts

Licenses

- CPA
- CRPC
- Series 7
- Series 66
- NYS Insurance Licenses

Higher Education**B.S., Business Administration**

1995

*University of Buffalo; Buffalo, NY***Professional Organizations**

- BNI (Business Networking International), Manhattan Chapter XX – XX Position
Lead weekly professional networking meetings to garner new accounts and generate professional contacts.