

# *Etti Simon*

240 East Millington Drive ♦ Harrington, New York 11011

631-385-0797

aalia@net.net

---

## **FINANCIAL MANAGER**

Asset & Wealth Management / Strategy and Planning / Lean/Six Sigma

Multilingual, global Financial Manager with proven expertise in increasing productivity, planning and implementing improvement processes, using DMAIC, Six Sigma and Lean principles, compliance related to exchange and trading requirements and offshore relationship controls. A diverse background with strengths in managing \$50 trillion in assets for businesses; increasing sales for investment companies by 20%; and regulating international investment managers. Fluent in English and Gujarati, conversant in Hindi; reads French and Italian. Licensed: Series 7, 63 and 66. Expert in Axys 3.0, Bloomberg, Dun and Bradstreet, Reuters, Project, Visio, Microsoft Office Suite. Willing to travel and relocate.

---

## **CORE COMPETENCIES**

Operations Management . . . Offshore . . . Transactions . . . Analysis and Strategy

Internal Consulting . . . Capital Markets . . . Fundraising

Patriot Act Compliance . . . Project Management . . . Due Diligence

---

## **CAREER ACCOMPLISHMENTS & PROFICIENCIES**

- ♦ 12 years of high-performance in the global financial market.
  - ♦ Achieved highly sustainable gains annually; despite market conditions.
  - ♦ Cultivated and managed a client base in excess of 250.
  - ♦ Demonstrated competencies in team and project management, problem solving, decision making, negotiating and utilization of state-of-the-art trading applications.
  - ♦ Performed personal financial analysis, which encompassed net worth, cash flow, investment, portfolio and retirement analysis.
  - ♦ Created a linear process for strategic planning & decision making to increase market share by 50% and 10% profit margin; solid understanding of strategy evolution.
  - ♦ Directed and operating firm's offshore trusts and Cayman Island entities including Smith Brothers Trust, Trust Directors, Trust Secretaries and Trust Nominees; special training in emerging markets, international treaties and settlements.
  - ♦ Managed the seamless transition of Smith Brothers Trust Co. (Cayman) Ltd. from main Trust Co. to operate as an offshore business entity in New York, with full autonomy and functionally centralization.
- 

## **PROFESSIONAL EXPERIENCE**

SMITH BROTHERS & CO., New York, New York 1999-2005

America's largest partnership bank, providing investment, commercial & financial advisory services.

Account Manager, 2002-2005

- Regulated portfolio managers by authorizing 100% of transactions in offshore investment accounts.
- Defined \$50 trillion in assets under all offshore relationships as a final controlling authority over business line including field managers, partners, investment managers, portfolio administrators and secretaries.
- Strategically increased revenues by five times on all offshore associations through collaborating fee agreement structure to market competition.
- Authored and implemented policy in accordance with the monetary authorities and audit requirements; led cross-functional teams serving direct and indirect stakeholders.

Relationship Assistant, 1999-2002

- Partnered with designated Relationship Managers for asset class under municipals, fixed income, equities, international and proprietary funds; promoted to assist an influential Discretionary Relationship Manager for prospectuses with assets in excess of \$130 million.
- Organized charitable endowment fund meetings, raising funds for its business and charitable activities for this \$6 million cooperation.
- Streamlined processes, achieved at least 98% accuracy in the areas of cost accounting, accretion, yields, principal, interest, price to market on portfolio and custody.
- Set up equities, balanced and fixed income portfolios totaling over \$20 million in assets, using the BBH operating system, BIDS 2000, PCICS and Keystone.

GLOBAL MANAGEMENT CORPORATION, New York, New York  
A \$50 billion worldwide asset management organization.

1998-1999

Portfolio Administrator

- Realized over \$100,000 in daily trading volume.
- Assisted American and Japanese Investment Advisors; used Axys 3.0, the portfolio management system to research, develop and review management reports.
- Organized and facilitated weekly senior management meetings, roundtable discussions amongst sales, marketing, operations and accounting.

BARNES COMPANY, New York, New York  
A financial investment boutique with over 500 locations throughout the world.

1994-1998

Partner, 1996-1998

- Managed trading accounts under two Vice Presidents in Investments; monitored the daily activity and ensured industry compliance of over \$60 million in assets.

Registered Sales Assistant, 1995-1996

- Served as a valued partner to a Vice President, sharing intricate involvement with clients and ensuring timely execution of every market order.
- Recognized for leadership in product and operations management; evaluated market risk for principal and client by preparing weekly portfolio analysis on hedging, income, profit and loss.

Mutual Fund Coordinator, 1994-1995

- Decreased the repetition of trade orders through facilitating systematic investment and liquidation plans, showing a 10% volume increase in sales.
- Served as the branch's mutual funds investment and operations trainer, providing product information and sales motivation.
- Increased efficiencies to 90% through the development of operational procedures designed to reduce trade errors; organized meetings with managers and brokers; provided product expertise.

---

## EDUCATION

NEW YORK UNIVERSITY, New York, New York  
Bachelor of Arts in Business Administration, Specializing in International Business, 1993