David Adams

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SENIOR EXECUTIVE – INVESTMENT ADVISORY PRODUCT MANAGER

PROFESSIONAL PROFILE

20-year tenure reflects an accomplished, multi-dimensional, break-through thinking Senior Vice President, recognized as a respected, influential voice, possessing a strong leadership presence, balanced with intuitive– visionary talent in executing complex, multi-tiered cross-functional business initiatives and processes that augment financial performance and optimize efficiency and effectiveness within a global wealth management environment. Combine sophisticated investment advisory program expertise with the marketing, sales and administration of such programs. Embrace change and welcome new challenges. Offer commitment, uncompromising focus, accountability and a passion to excel.

Intimate knowledge of investment advisory programs including Unified Managed Accounts, Separately Managed Accounts, Mutual Fund Wraps, Rep Advised and Rep Managed programs.

An advanced understanding of sales and marketing, with an ability to architect strategic marketing agendas that drive company image and visibility including building brand awareness and capturing market share.

Proactive in leading members of the engagement team in strategic planning, analysis, design, implementation and conversions of systems. Ability to keep the mission and all components on track. Amicably mitigate the magnification of divergent interests; shape a cohesive unit.

Key player in forming an industry-leading wealth management joint venture, resulting in offering a broader spectrum of financial intelligence, products and services.

Mission driven; results-focused, exhibiting strong surveillance, systematic and critical thinking skills, with a facility to concurrently manage dissimilar projects and demonstrate swift, critical decision making capability within an accelerated environment.

Charismatic, persuasive, articulate communicator, accustomed to high visibility.

CORE STRENGTHS

Strategic Vision & Mission Planning
Product Development
Sales – Marketing Campaigns
Abreast of Latest Technologies, Trends, Industry Changes
Global Market Modeling
Interpret /Translate Complex Concepts
Facilitate Legal / Compliance Review
Presentations & Consultations

PROFESSIONAL EXPERIENCE

CITI PERSONAL WEALTH MANAGEMENT, Long Island City, New York 11/89 – Present

SELECTED ACCOMPLISHMENTS

→ Coordinated and planned the impacts of the joint venture between Morgan Stanley and Citigroup, as it related to the investment advisory program.

→ Led the integration of a re-engineered opinion based research model for Separately Managed Accounts, Mutual Funds and ETF's across investment advisory programs; managed effects to brokerage accounts.

→ Conceived, developed and implemented a program that automatically converted retail share classes to institutionally priced mutual funds in advisory accounts, resulting in converting $8 billion and a saving of $7 million in expenses to clients.

→ Led the integration of mutual funds in Legg Mason and Smith Barney's advisory channels.

→ Re-engineered the Consulting Group's client proposal system. Used Integrated Investment Services, a revolutionary new platform providing asset allocation advice as well as unifies and automates monitoring and reporting for separately managed accounts, mutual funds and exchange traded funds.

→ Managed the successful rollout of major enhancements to the firm's Mutual Fund Wrap trading system.

→ Directed an inter-departmental team to undertake the development of a company internal and external website mutual fund search tool.

→ Developed the Auto-Reallocate feature for the Mutual Fund Wrap program, designed to automatically rebalance client's mutual fund position in response to a change in asset allocation models.

→ Planned, managed and implemented Year 2000 project. Delegated project requirements to staff, set goals, established timetables.

→ Key team member in the implementation of firm's mutual fund asset allocation program, utilizing outside no-load mutual funds.

Senior Vice President – Investment Advisory Product Manager [6/09 – Present]

- Co-lead team in spearheading the investment advisory system conversion to a superior platform, offering expansive resources, managed account solutions and reliable operational support. Assess business requirements; perform gap analysis; formulate product platform design.
- Develop and implement strategic marketing campaigns and action plans, targeting financial advisors. Assess and rebrand documents; update product programs.
- Facilitate legal and compliance review, ensuring transparency and accuracy.
- Collaborate with technology team; enhance system and provide requirements. Ensure team is on track. Monitor project progression, confirming that objectives dovetail with appropriate sequence of events.

Senior Vice President, Manager, Product Services, Consulting Group [3/03 – 6/09]

- Directed the Product Management team in the development and administration of Smith Barney's Consulting Group's mutual fund advisory platforms.
- Provided direction, long-range planning and oversight to financial consultants; formulated and implemented improvement of processes and introduced innovative training initiatives.
- Originated and navigated ambitious business plan including the strategic positioning and marketing of the core investment set and the creation of a new product sales plan.
- Established and maintained procedures for each product and a project progress reporting system.
- Identified changes in project direction; implemented adaptability and oversaw required modifications.
- Provided technical assistance for printed and electronic collateral.
- Supported road shows and company-sponsored seminars.
- Scripted news updates for an internal newsletter–The Financial Consultant.
- Identified new product opportunities through additional distribution channels.
- Researched and defined market and legal requirements; packaged the features into new product releases, or enhancements to existing products. Monitored the implementation of a product project.
- Prepared business case documents including feasibility and technology assessments.
- Facilitated training in company-wide product roll-out. Served as product contact for development teams.

Vice President, Consulting Group [formerly TRAK Marketing and Sales] [11/95 – 3/03]

- Interfaced with IT in the management of product enhancements.
- Worked with senior management, product managers, legal and compliance to prioritize systems request.
- Prepared the business case; generated required business documents; coordinated user acceptance, testing and implementation. Acted as the department's Business Information Security Officer.

Sales Desk Manager, TRAK Marketing and Sales [11/95 – 12/99]

Sales Liaison, TRAK Marketing and Sales [6/93 – 11/95]

Senior Examiner, Compliance Department [9/91 – 6/93]

EDUCATION BARUCH COLLEGE, New York, New York
BBA in Finance and Investments, cum laude – 1991

LICENSES Series 7 and 63, Broker/Dealer Sales Agent licensed