chrispon@gmail.com

Chris Pon

510-703-6021

Summary: 7 years of financial service experience, including 4 years operations. Formerly sales, seeking non-sales administration or analytical role. Brokerage, bank, boutique experience.

Skills: investment advice, portfolio administration, securities trading, Excel, Word, public speaking

Experience:

Monroe Personnel Service, LLC & Temptime — **Since March 2015**
Temporary Employee — ***San Francisco, CA***

-- IT Telecom Operations @ Sephora HQ
-- Office Coordinator @ Tableau Software, The Presidio Trust
-- Conference Staff @ Sales 2.0
-- Securities Data Analyst @ Applied Financial Analytics

Merrill Edge — **2012 - 2014**
Assistant Vice President, Financial Solutions Advisor — ***Berkeley, CA***

-- Obtained NFA Series 30, 31, and CA Life & Health Insurance licenses
-- Bridged bank-to-brokerage service and face-to-face advice on accounts up to $250,000
-- Sold equity/fixed securities, non-discretionary portfolios, online brokerage, Merrill Lynch
-- Presented retirement planning seminars to groups up to 150 people
-- Served as licensed advisor for multiple retail branches and as own operations assistant

Charles Schwab & Co., Inc. / Charles Schwab Bank — **2011 - 2012**
Client Service Specialist — ***San Ramon, CA***

-- Obtained FINRA Series 7, NASAA Series 63 licenses
-- Supported online brokerage, packaged accounts, and seminars to Mass Affluent clients
-- Operations: application approval, ACATs, deposit reconciliation, compliance ad hoc
-- Cashiering: check and stock certificate deposits, journals, disbursements, daily reports

Rayner & Haynor Investment Counselors — **2008 - 2011**
Portfolio Administrator — ***Mill Valley, CA***

-- Obtained NASAA Series 65 license
-- RIA Operations: Reconciliation, performance servicing for HNW accounts up to $40MM
-- Traded securities using Schwab systems, bond brokers, Bloomberg
-- Cost basis, tax returns, proxies, class actions, phones, reports using Advent Axys
-- Compliance: Forensic testing, office calendar scheduling, documents, reports
-- Supported Owner, President, VPs: client presentations, IT support, newsletter editing

Education: University of California, Berkeley
-- Bachelor of Arts in Mass Communications, 2004
-- Professional Certificate in Personal Financial Planning (CFP education), 2008

Community:

-- Volunteer at SF SPCA, North Berkeley Senior Center, Berkeley Humane
-- Member of Human Awareness Institute, Toastmasters International
-- Blood Donor, hiker