

Chief Operations Officer – Financial Services

Structured Credit Products & Trading | Alternative Credit | Fixed Income | Commercial Real Estate

Sought out executive by global business heads in the financial industry to oversee strategies in risk, compliance, control, operations, and business management. Brings a reputation of enabling double digit growth without increased operating expenses by utilizing effective alignment of cross functional groups and strategic business requirements. Strong fixed income product knowledge and strong, trusted, industry-wide relationships. Skilled at conceptualizing, developing, and promoting transformational changes in an effort to provide exceptional products and services with a low cost basis in today's highly regulated environment.

“As a global leader I have been challenged with the daily responsibility of matrix managing large groups of employees to produce results. Clearly the COO role requires an ability to align and empower staff while holding them accountable for assigned initiatives and timelines. My management style is to build strong “win-win” partnerships with teams to drive timely results in a budget constrained environment.”

Mary Jones, Chief Operating Officer

AREAS OF EXPERTISE

Products: CLOs ▪ CDOs ▪ Credit Facilities ▪ Private Placements ▪ Commercial Real Estate ▪ RMBS ▪ Whole Loans
Off Balance Sheet Financing ▪ Distressed Loans
Accounting: Budgeting ▪ Forecasting ▪ Financial Reviews ▪ Balance Sheet ▪ Expense Management ▪ Internal Audit
Legal & Compliance: FINRA Audits ▪ Compliance Manuals ▪ Compliance Training ▪ KYC ▪ Representative Registration
SEC Reporting ▪ Capital Statement Calculation Review
Risk: Basel III Regulatory Framework ▪ Operational Risk
Operations: Back Office ▪ Middle Office ▪ Trade Support Platforms ▪ Reconciliation
Global Project Management: Change The Bank (CTB) ▪ Run The Bank (RTB) ▪ Technology Implementations
New Business Integration ▪ Corporate Investment Portfolio Unwind ▪ Real Estate Development Oversight

PROFESSIONAL EXPERIENCE & ACCOLADES

Capital Markets Company New York, NY2013 – 2014
Chief Operating Officer

Hired by former Citigroup and UBS Global Business Heads and charged to oversee all internal business support functions including Finance, Legal, Human Resources, Marketing, and Operations. Key accomplishments include, working with principals to develop a firm branding strategy, facilitating the launch of a Commercial Real Estate unit and South Korea office, and managing the first FINRA examination yielding satisfactory results with no findings. Identified key operational opportunities and executed strategies to improve efficiencies and reporting by implementing Salesforce.com, and mitigated operational risk by enhancing data security and implementing a business continuity plan.

Citigroup, New York, NY 2000 - 2013

Thirteen years of demonstrated COO success managing key global business lines under the structured finance umbrella of products. Continuously tapped by global heads to manage new product initiatives, drive global change initiatives, implement business integrations, and oversee cost control and risk for proprietary investments. Recruited and hired by former manager during tenure at Bank of New York.