

Paul Brodhead - work [at] paulbrodhead [dot] com
San Francisco Bay Area

Summary

A relentlessly hardworking MBA graduate and honors student with experience and training in deliveries and settlements, reconciliations, finance, statistical analysis, business forecasting, risk management, asset management, trading, marketing, and operations.

A gifted communicator, critical thinker, and seeker of collaborative solutions.

Education

California State Polytechnic University, Pomona, CA March 2008
Master of Business Administration, Finance Concentration, 3.64 GPA
Culminating Project: Financial Modeling (Acquisition of BellSouth by AT&T)
Honors: Beta Gamma Sigma Honor Society, Graduate Presidential Scholarship 2006 & 2007,
CFA Society Scholarship 2007
Leadership / Volunteerism: Covenant House Young Professionals
Relevant Coursework: operations, financial modeling, business forecasting, corporate finance, financial accounting, managerial accounting, project management, quantitative methods, portfolio theory

University of Michigan, Ann Arbor, MI May 1996
Bachelor of Arts, Comparative Literature

Professional Experience

Union Bank, San Francisco, CA November 2010 – present
Domestic and Global Reconciliations Supervisor

- Responsible for 13 distinct reconciliations and certifications between domestic and global depository agencies, agent banks, gain/loss accounts, and domestic and global systems of record for \$80+ billion in assets in custody (domestic and global currency, securities, special assets, and derivatives) across 60+ markets worldwide using Intellimatch, Bloomberg, SEI, DTC, Global Plus, ad-hoc and proprietary reporting methods.
- Supervised seven direct reports (five FTEs and two contractors): conducted counseling and performance reviews, set work hours, orchestrated and oversaw training and cross-training, recommended salary changes.
- Spearheaded Options Processing and Reconciliation task force: analyzed the process from start to finish. Implemented improvements and increased scalability and transparency, reduced errors and risk.
- Designed, documented, and modified procedures and workflows in accordance with requirements of bank business units, Trust Policy Manual, internal and external auditors, Statement on Auditing Standards (SAS) No. 70, Sarbanes–Oxley Act of 2002, Options Clearing Corporation, and the Office of the Comptroller of the Currency.

Union Bank, San Francisco, CA June 2008 – November 2010

RemX Financial Staffing, San Francisco, CA March 2008 - June 2008
Securities Lending Operations Analyst

- Implemented, documented, and managed buy-in procedures for custodial and non-custodial lending programs in accordance with SEC rules and dictates of senior management. Prevented losses to the bank and protected relationships with borrowers and bank clients. Reported buy-ins status to senior management daily.
- Earned Risk Visionary recognition for "outstanding achievement and excellence in the mitigation of risk in support of Union Bank's Risk Vision through teamwork, innovation, and inspiration during the extraordinary liquidity and capital market crisis of 2008."
- Earned Outstanding Performance recognition for "saving Union Bank thousands in hard-dollar costs by minimizing and preventing third-party sale fails."
- Collected, organized, analyzed and presented risk management and cost data for risk management, securities processing, and securities lending.
- Using Business Objects, created reports to streamline securities delivery process and reporting.
- Coordinated third-party securities lending operational support, billing, and unit technology quality controls.
- Monitored and resolved daily exceptions for new loans, loan returns, and marks to market.
- Identified and executed streamlining and cost-saving measures via improvements in workflows, reporting, monitoring, and controls.
- Represented Union Bank in Risk Management Association (RMA) contract compare and rights committees.

- Reconciled registration and location, cash trades, contract comparison, and historical audit confirmation using SEI trust management, Loanet and SunGard Global Explorer software, and managed settlement and deliveries via DTC, Fed, and SWIFT.
- Researched price and price trends, trading volume, and open interest information for securities via Bloomberg.

Morgan Stanley, Ontario, CA

July 2005 - Dec 2007

Registered Client Service Associate

- Supported a successful financial consulting practice with trading, reporting, portfolio re-balancing, and research in mutual funds, equity and fixed income securities.
- Obtained FINRA/NASD Series 7 (General Securities Representative) and NASAA Series 66 (Uniform Combined State Law) licenses.
- Conducted securities analysis, market conditions reporting, strategic planning, due diligence, and risk management.
- Responded to client requests, questions, and concerns.
- Coordinated transfer of Rule 144 securities and physical certificates between clients, back office, and transfer agents.
- Implemented and analyzed a client survey with an excellent response rate (50+%).
- Produced educational and prospecting events for high net worth clientele.

Various

Jan 2001 – July 2005

Consultant

- As Head of Informational Architecture, reorganized and redesigned The Inventors Museum, an educational website which received over two million visitors per month.
- Wrote website content for eMarketed, a Los Angeles based web development and search engine optimization firm.
- Built websites for an Oakland, California based professional session drummer, teacher, and producer.
- Business manager to a successful San Francisco music group which won Outstanding Rap Album at the 2004 California Music Awards.
- Produced a well-received charity concert for Covenant House in Los Angeles.

NorthPoint Communications, Emeryville, CA

Jan 1999 – Dec 2000

Operations Web Developer/Business Analyst

- Supported provisioning and subscriber installation organizations as part of Operations Development Team.
- Awarded "Star of NorthPoint" recognition for building an online telecom glossary.
- Built and maintained several intranet sites to increase clarity, productivity, and understanding within Operations.
- Participated in multidisciplinary teams dedicated to improving back-end office systems and order management.
- Trained new inside wiring provisioners, managed work processes, and beta tested back-end software.
- Created and analyzed daily, weekly, and monthly reports for senior management.

Infoseek Corporation, Sunnyvale, CA

Jan 1998 – Jan 1999

Customer Support Supervisor

- Wrote Customer Support Department employee manual.
- Tracked, assigned, and monitored resolutions of email messages to Customer Support Department with required 24 hour turnaround time.
- Supervised and trained new and veteran employees.
- Created and QA'd responses for common queries and complaints.

Technical Skills

Financial modeling; Forecasting and statistical analysis; Securities trading: stocks, mutual funds, fixed-income; Deliveries and settlements: domestic, fed, international; Securities analysis and research; Project planning and management; Advanced writing, editing and creative communications skills; Loanet, DTC, SEI, Global Plus, Intellimatch, Global One/ Global Explorer; Microsoft Office suite (Word, PowerPoint, Access and Excel); Database, Reporting, Analysis: Business Objects, Crystal Reports, Access, EViews, ForecastX; Business Analysis: Visio, back-end office systems; Intranet/Internet Development and Graphics: FrontPage, Dreamweaver, Fireworks, Photoshop, Illustrator; CRM Software (Bill Good Marketing Gorilla CRM System, Remedy)