

RANDALL L. CICCATI

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FINANCIAL SERVICES EXECUTIVE

Senior Manager with over 25 years experience in the financial services industry. Full P&L, sales, sales management, strategic planning, operations, finance, compliance and IT responsibility.

- Effective leadership and vision – team builder.
- Strong project development, execution and presentation skills.
- Superior strategic planning skills.
- Managed an internal staff of 800 along with over 8,000 registered representatives.
- Elected to ING Management Council – top 200 executives world wide.

CAREER HISTORY

ING

1998 - 2011

ING is a global financial services company providing banking, investment management, life insurance and retirement services.

President / CEO, ING Wealth Solutions Group - Windsor, CT (2008-2011)

Managed the ING broker-dealers, registered investment advisors and national trust company servicing the retirement services, rollover and life insurance markets.

- Full P&L responsibility for all ING Wealth Solutions Group businesses.
- Created strategic direction for ING broker-dealers, registered investment advisors and National Trust services supporting 3,300 registered representatives.
- Developed and executed strategy for increasing rollover capture rate from ING defined contribution plans.
- Integrated broker-dealer operations and technology platforms into one shared services group.
- Drove 100% growth in the defined contribution managed account program.

President, ING Advisors Network - El Segundo, CA (2006-2008)

Managed four broker-dealers servicing the independent, insurance and financial institution marketplace. Managed clearing operations for ING's exclusive self-clearing platform along with the broker-dealer network correspondent clearing relationship.

- Created strategic direction for ING broker-dealer network of 8,000 registered representatives.
- Led the ING broker-dealer network to record sales of \$26 billion and revenue of \$1 billion.
- Developed value propositions and executed strategic initiatives for each broker-dealer market niche.
- Developed improved advisory platform and drove 30% annual increase assets under management.
- Created shared service operations, technology and financial reporting platform to drive 15% expense efficiencies.
- Grew ING National Trust's assets under management by 20% annually.

President / CEO, PRIMEVEST Financial Services – Saint Cloud, MN (1998-2006)

PRIMEVEST Financial Services, ING's exclusive self-clearing broker-dealer, is one of the nation's leading broker-dealers servicing over 600 financial institutions. Responsible for all broker-dealer functions, including operations, compliance, sales, finance and technology.

- Developed and executed strategic plans to drive nine consecutive years of revenue growth.
- Developed internet base registered representative workstation to drive efficiencies for both the field sales team and operations platform.
- Developed broker-dealer ownership strategy to maintain a long-term relationship with largest financial institutions.
- Led the development and implementation of on-line brokerage services.
- Implemented a plan for cross selling products and services between ING divisions.

RCJ CONSULTING – Irvine, CA**1996 - 1998**

Consulting firm focused on supporting the financial services industry.

President

Provided sales, sales management, compliance, training, operations and marketing consulting within the financial services industry. Created strategic business plans supporting investment and trust sales teams of a financial institution.

- Developed compensation plans for integrated sales team selling retail, trust and investment management services.
- Led strategic planning for team sales approach between retail branches and trust department.
- Developed training for selling retail investment products, investment management and trust services.
- Analyzed product development process for expanding existing family of proprietary mutual funds.

ASB FINANCIAL SERVICES – Irvine, CA**1995 - 1996**

Exclusive broker-dealer for American Savings Bank.

President

Managed 80 registered representatives who provided financial planning services through the financial institution branch network. Full P & L responsibility for ASB Financial Services. Responsible for relationship management between ASB Financial Services and the American Savings Bank board of directors.

- Developed strategic business plan to drive increased profitability of 20% annually.
- Created strategic marketing plans to focus on financial institution market niches.
- Defined sales strategy to focus on integrating life insurance sales into registered representative financial planning process.
- Implemented point of sale technology for all investment specialists.
- Reorganized operations department and decreased staffing while increasing daily productivity.
- Initiated operations conversion to expand clearing services.

GE CAPITAL – New York, NY**1990 - 1995**

GE Capital (Division previously named Great Northern Insured Annuity Corporation-GNA) focused on providing insurance and broker-dealer services through the branch network of financial institutions.

National Sales Director, Chase Manhattan Bank, PNC Bank

Led the sales team that provided financial planning services for branch-based investment programs. Managed relationship between the broker-dealer and senior management of the financial institution. P&L responsibility for investment programs.

- Created strategic plans that drove a record \$20 million in sales revenue from 145 registered representatives.
- Initiated sales training program to integrate new investment and insurance product solutions.
- Developed strategic plans to integrate broker-dealer services into each financial institution.
- Initiated point of sale technology to all investment specialists.
- Implemented life insurance sales strategy that increased sales by 50%.

LIBERTY FINANCIAL SERVICES – New York, NY**1987 - 1990**

Liberty Financial Services (Division previously named PAMCO) was focused on providing broker-dealer services through the branch network of financial institutions.

Assistant Vice President / Senior Account Manager (1988-1990)

Implemented and managed the branch-based investment programs within Anchor Savings, American Savings Bank, N.Y. and First Federal of Waterbury, CT.

- Implemented strategic planning process resulting in \$60 million in annual sales.
- Recruited, hired and trained investment executives.
- Developed second leading sales team within Liberty Financial Services.
- Awarded sales manager of the year 1989.

Investment Executive (1987-1988)

Provided financial planning services to the customers of Great American Bank. Financial planning products included mutual funds, fixed and variable annuities and SPWL insurance.

- Sales in the top 10% of all registered representatives nationwide.
- Achieved President's Club status for sales results.
- Trained and motivated bank branch staff to increase financial planning leads.

EDUCATION / PROFESSIONAL DEVELOPMENT**SAN DIEGO STATE UNIVERSITY**

Bachelor of Science in Business Administration, with an emphasis in Finance

AMERICAN MANAGEMENT ASSOCIATION, Sales Management, Hiring and Recruiting Courses

NASD LICENSES - Series 7, 22, 24 and 63