

THOMAS HANSON

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OPERATIONS AND GENERAL MANAGEMENT LEADER

Process Improvement · Project Management · Problem Resolution

***Hands-on operational leader** with over 10 years experience creating & implementing successful solutions while increasing efficiency, improving productivity and delivering unsurpassed customer service*

***Inventive business professional** with demonstrated ability to develop staff and supervise multiple departments, ensuring seamless workflow and communications throughout the organization*

***Comprehensive skills spanning operations management**, long-range planning for Human Resources and Finance and a proven ability to formulate effective policies and procedures that mitigate risk while maintaining compliance*

SUMMARY OF QUALIFICATIONS

- Proven Success Operating in Small, Fast-Paced Organizations to National Companies
 - Expertise in Operations, Finance & Human Resources
 - Strategic Planning & Policy Making
 - Executive-level Communication Skills
 - Budget Planning & Administration
 - Process Improvement
 - Compliance & Risk Controls
 - Problem Solving & Change Management
 - Significant Experience working for World-class Industry Leaders
 - Project Planning & Scheduling
 - Team Building, Leadership & Mentoring
 - Adept at Operating in Professional Services
 - History of Career Progression
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PROFESSIONAL EXPERIENCE

WFP SECURITIES CORPORATION, San Diego CA
Independent full service securities firm

June 2005 - Present

Vice President Operations

- In charge of day-to-day operations for 100 associates and multiple branch locations in Southern California
- Decision maker for corporate operations in the areas of finance, corporate governance, policies/procedures, regulatory compliance, payroll and human resources providing firm wide leadership, management, and vision necessary to ensure that the company has the proper operational controls and administrative support to implement internal and external processes
- Oversee accounts payables/receivables, human resources, and payroll for all associates within firm
- Evaluate, create and implement the corporate budget to assure profit margins meet objectives; spearheaded initiative to reduce overhead and streamline budget
- Review corporate financials including: revenue sources such as trading, sales credits, mutual funds and revenue sharing between WFP Securities and associated clearing firm; variable costs, encapsulating commissions and clearing discounts; expenses, spanning payroll, communication, legal, marketing and advertising, etc
- Create business expansion plan and implement short, medium and long term strategies to drive success
- Charged with negotiating contracts between the firm, wholesalers and outsourced partners reduced overnight delivery system costs by 30%, establishing streamlined partnership
- Work closely with auditors, compiling data to ensure timely and accurate filing of corporate financials
- Point person for all regulatory inquires, communications and audits serving as the firm's executive representative
- Collaborate with legal counsel in multiple areas of market regulations, financials, and corporate agreements

Successes:

- Designed and implemented new corporate intranet site to include forms, calendar of events, training materials, operational manuals, approved product list, and vendor contacts to streamline efficiencies for all associates

- Strategically planned relocation of headquarters and operations division to new location resulting in no disruption in day-to-day operations
- Created and maintain operational manuals for back office procedures, code of ethics, business continuity plan, anti-money laundering, and the written supervisory procedures for both the broker dealer and advisory division
- Developed and implemented new Employee Handbook communicating company policies, OSHA, medical, 401k other employment related information
- Researched and selected new clearing house firm; assured a seamless transition with paperwork and operations
- Implemented new electronic correspondence archiving system, "SMARSH"
- Spearheaded implementation of annual corporate annual broker dealer conference; Manager of program including all planning, budgeting, and organization detail since inaugural event in 2005

LPL FINANCIAL SERVICES, San Diego, CA

March 2005 - June 2005

Nation's largest independent financial services firm and a leading distributor of financial products in the United States

Home Office Supervision Manager

- Guided and supervised activities for 85 Financial Advisors; reviewed and approved trading activity for all representatives, employees and client accounts nationwide
- Managed entire process of monitoring and reviewing sales activities across each branch, nationwide
- Worked closely with the compliance department and consulted independently with branch Financial Advisors; devised and recommended action plan to prevent potential liabilities
- Communicated daily with all advisors regarding trading practices, compliance, and paperwork requirements

ABN AMRO FINANCIAL SERVICES, Chicago, IL

December 2003 - March 2005

One of the world's largest financial services organizations

Assistant Vice President of Operations

- Managed an operations team within the bank, brokerage and annuity industry consisting of 4 managers (2 direct, 2 indirect) and 33 employees (24 direct and 9 indirect) responsible for processing paperwork forwarded by ABN AMRO LaSalle and Standard Federal Banks in Illinois and Michigan, which included 134 financial consultants and 650 licenced bankers
- Oversaw operations for all new accounts, data entry (brokerage and annuity), margins, IRA distributions, ACAT/Non-ACAT, account maintenance, Asset Management Accounts, cashiering, Fed-wires, product vendor wires, and the mail room
- Re-energized multiple departments across the organization with a history of high turnover and significant attendance problems resulting in an increase in productivity, decrease in processing errors, sick time and tardiness and zero turnover during tenure
- Introduced career development meetings to groom new leaders from within departments
- Participated in weekly meetings with high-level executives to discuss, create and implement policies
- Worked with Sales Management Team, Financial Consultants and Licensed Bankers to create a seamless transition of work to be processed between the retail branches and the operations center

Successes:

- Recognized for efforts launching a new product responsible for bringing in over 650 new accounts and \$250 million in two months
- Served as Operations co-project manager, implementing a \$2 million new broker dealer system (Pandia) used company-wide
- Created online intranet operations website which included the development and documentation of 164 back offices SOP's, operational forms, procedures, and policies
- Introduced, wrote and edited monthly operations newsletter distributed to branch network, management, and ABN AMRO Financial Service
- Co-created the Company disaster recovery plan (*Utilized in 2005 due to fire*)

CHARLES SCHWAB & CO., INC., San Diego, CA

October 1996 - November 2003

Publically traded leading provider of brokerage and banking services

Operations & Compliance Manager/Client Services Supervisor

- Served as Operations Manager in charge of operations, compliance, audit, and problem resolution
- Minimized risk and ensured client-centered service focusing on operations, administrative and sales support
- Ensured accurate and efficient processing of operational work
- Served on CS Council team in California extending efforts to implement and create a seamless process between the retail branches and operations centers
- Conducted daily review of branch cashiering functions, e.g. incoming/outgoing funds, incoming stock certificates, outgoing wires and late deposits
- Reorganized back-office retention files and implemented a system for all branches in the Southern California Region
- Chartered new audit and compliance system for all new branches throughout Southern California region
- Trained new Client Service Specialist (CSS) throughout the region

ADDITIONAL EXPERIENCE

SHARP MEMORIAL HOSPITAL, San Diego, CA

November 2010 - Present

Leading provider of healthcare

Post Anesthesia Care Unit (PACU) Volunteer

- Liaison with the family-waiting keeping them informed of schedule and location changes, providing the opportunity for the family to visit the patient when appropriate
- Provide administrative and other support to staff as needed

EDUCATION & CERTIFICATIONS

Executive Education Program

FINRA Institute, Wharton, University of Pennsylvania

B.A. in Public Administration with Economics Emphasis

San Diego State University, San Diego, CA

Series 6, 7, 9, 10, 24, 27, 53, 63, 79 Licensing

NASD Institute at Wharton, Certified Regulatory and Compliance Professional (CRCP)

Nat'l Regulatory Services, Investment Adviser Compliance Certificate Program (IACCP) - IN PROCESS