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### ***Background and Experience***

**2012-**

**Present Thornapple Associates, Inc., Associate**

Provide forensic analysis and create damage models in connection with trials, arbitrations, mediations and other regulatory proceedings relating to equity finance and prime brokerage. Expertise spans from equity finance (front and back office), portfolio margin, asset allocation, security clearance, security industry practices and standards, NSCC and CNS settlement.

**2016-**

**Present Sampson Funding, Funding Specialist**

Conduct customer needs analysis to ascertain customer goals. Assess financing requirements and recommend available financing solutions for small business owners.

**2016 Overstock (t0.com), Independent Financial Consultant**

Assisted in the research and development of blockchain technology to be delivered to global financial markets.

**2010-**

**2012 Stein & Lubin LLP, Financial Consultant**

Conduct extensive document searches. Provide attorneys with substantial research while summarizing financial documents. Present key data to attorneys both verbally and through presentations. Work closely with attorneys in order to meet key deadlines. Assist with trial preparation. Attend depositions. Prepare legal documents according to the requirements of the attorneys. Maintain, organize and track files in an efficient and effective manner. Interacted professionally with clients and attorneys, as well as outside representatives.

**2006-**

**2009 Union Bank of Switzerland, Director of Securities Lending**

Held strong working relationships with numerous Hedge Funds, Institutions, and Broker/Dealers. Managed a \$20 billion ETF product - covering daily house needs, conduit book, creating ETFs to protect customer shorts and increase P&L. Maintained and protected Hedge Fund short positions, negotiating rates daily. Worked closely with our creation desk, swap desk and prop traders providing them with market color while looking for new business opportunities to generate P&L. Provided daily locates and market color for various internal and external trading desks. Coordinated with IT in implementing system upgrades and enhancements. Evaluated and priced exclusive portfolios. Worked closely with senior level professionals to adapt to the constantly changing business landscape, maximizing revenue while protecting the firm's balance sheet.

**2005-**

**2006 Bank of America, Vice President of Securities Lending**

Serviced Hedge Funds, Prime Broker, and corresponding clearing accounts by providing locates and managing position risk to prevent buy-ins. Managed all special situation borrows such as mergers and acquisitions, convertible and arbitrage deals. Expanded stock loan business by increasing trade volume in existing accounts and aggressively pursuing new business. Acted as a liaison by assisting in creating and improving systems to streamline the business. Assisted in implementing new ways to track Regulation SHO violations. Actively researched fully paid positions in search of lost opportunities. Negotiated rates daily on all borrow and loan contracts to maximize profit. Maintained lender balances to maximize hot stock allocations.

**2001-  
2005**

**Morgan Stanley, Securities Lending Analyst**

Solely responsible for hot stock conduit book, while covering Hedge Funds daily. Built and maintained hot stock equity balance with institutions. Covered daily house needs while continuously upgrading all open borrows. Worked closely with IT department in the development and enhancement of new technology. Assisted London and New York prime brokerage offices in dealing with client recalls and buy-in pressure. Served as a back up for the ETF and ADR desk. Trained and developed new hires on all desk functions

**1998-  
2001**

**Morgan Stanley, Operations Analyst**

Managed London ADRs and agent deals. Reconciled breaks on Contract Comparison with Loanet and non-Loanet clients to maintain the integrity of our business. Balanced DTC vs. Loanet positions at close of business. Perform clearance and settlement activities within DTC. Investigate and resolve cash and stock reconciliation issues. Identify, prioritize, escalate and manage risk. Work directly with margin department representatives and trading counterparties to resolve transaction discrepancies and coordinate settlement for DTC eligible products. Maintain daily cash, position and accrual reconciliations for DTC and OTC derivative products. Liaise with traders and analysts regarding corporate actions (tender, reorgs, offerings..etc)/ Assess corporate actions and communicate with analysts and prime brokers to make sure elections are processed. Assist with daily trade management including trade entry and allocation. Work closely with management to identify and resolve complex issues related to the resolution of the fail and identify trends. Reviewing and processing exceptions. Handled market to market to ensure all securities are priced properly. Managed monthly billing reports.

***Education***

St. John's University, New York – BS Finance May 1998