



## PATRICK M. JONES

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### FINANCIAL SERVICES PROFESSIONAL

Talented, profit driven management professional offering a history of financial performance excellence within the trading and financial services arena. Possess effective combination of negotiation, closing, customer management and teambuilding skills that consistently contribute to operational objectives, even within volatile markets. **Hold Series 7, 24, 55 and 63 Licenses. Current CFA Candidate.** Key qualifications include:

- Significant achievement in **analyzing current market conditions, monitoring volatile market activities and understanding industry comparisons.** Superior knowledge of NASDAQ Level II and NASDAQ Workstation.
  - Proven ability to **consistently maintain composure and remain productive in extremely high-pressure, time-sensitive environments;** experienced developing market-making operations.
  - Demonstrated competencies in **customer service management; adept in developing and maintaining long-term, high-profit client relationships.**
  - Recognized for strong work ethic and respected as contributing team player through consistent collaboration with co-workers, integrity and **commitment to success in both personal and professional endeavors.**
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### RELEVANT EXPERIENCE

THE TRADING COMPANY - New York, NY  
SUPERVISOR TRADER/ ACCOUNT EXECUTIVE

4.2002 to Present

Charged with leading company's market-making operation project including development of all procedures, testing and implementation before transitioning to institutional trade desk as an Account Executive. Continually monitored all systems, manage customer inquires, cultivate new accounts and lead system usage training for clients. Established strategic sales plans, performed risk management and conducted extensive investment research to provide clients with optimum choice, service and product knowledge.

#### Key Achievements

- **Built both market making and soft routing operations** from scratch, based on knowledge of all NASD, SEC and compliance department rules/regulations.
- **Realized market share improvement** and increased sales within market making operations by accumulating and managing higher number of stocks.
- Delivered cost savings (**\$5K to \$15K per day**) associated with market making operations by devising "pecking order" of firms to access least expensive products first.
- Attained **personal sales increases of up to 75%** by reactivating older accounts and assuming management over client trades vs. client making their own grades.

ABC ONLINE BROKERAGE SERVICES - Patterson, NJ  
POSITION CONTROL MANAGER/ EQUITIES TRADER

6.1998 to Apr. 2002

Initially hired as equities trader before promotion to Position Control Manger with accountability for 24 traders and the expeditious order delivery. Produce risk / position surveillance reports and perform comprehensive end-of-day and monthly analysis. Provide system operations troubleshooting and frequently observe trader activity throughout the day. Trading responsibilities include management of proprietary account in high-volume, error-free environment.

**Key Achievements**

- Improved tracking of trader losses by creating automated monthly report.
- Researched and identified order delay problems, **slashing free stock trades from 5% to 2.5%**.
- **Led "side by side" training** for new hires to determine their potential for working in pressure situations.
- Spearheaded introduction of **significantly improved customer order routing project**.
- Introduced employee evaluation program and **identified improvements for NASDAQ and SEC internal procedures**.

NATIONS FINANCIAL SERVICES, INC. - Neptune City, NJ  
SALES REPRESENTATIVE

5.1996 to 6.1998

Charged with offering term life insurance and Nation's mutual funds as member of the XX Group. Assisted customers in selection of mutual funds and insurance products consistent with clients' overall investment plan.

**Key Achievements**

- **Developed new clients** through by capitalizing on referrals and aggressive account prospecting.
- **Researched and evaluated mutual funds** and performed comparisons with funds not offered.
- **Maintained knowledge of all funds** offered, educating clients on tax issues, legalities and IRS policies.

SMITH ROCKS - Red Bank, NJ  
CLIENT SUPPORT REPRESENTATIVE

2.1994 to 6.1995

Provided extensive customer support, developed new account leads, administrative tracking and follow-up. Primarily presented fixed income products to small business owners and arranged client opportunities for V.P. *First position directly out of college.*

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**BS, Accounting** - Monmouth, University - West Long Branch, NJ