

SUSAN H. BURTON
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FINANCIAL CERTIFICATIONS

Certified Financial Planner® (CFP®)
Certified Fund Specialist® (CFS®)
General Securities Representative (Sr. 7 and 63)

General Securities Principal (Sr. 24)
Municipal Securities Principal (Sr. 53)
Registered Options Principal (Sr. 4)

SUMMARY

With a breadth of industry experience that enables me to understand the complexity of each side of the financial services business (asset management, retail broker-dealer and clearing services) and how each interacts with their end client, I am committed to a smart sustainable solution rather than a quick fix. This is a reflection of my willingness to do extensive research on the corporate big picture before addressing the immediate challenge. I have established proven records in coaching/mentoring both internal and external wholesale teams and key account teams, hands on sales training, team building, strategic planning, problem –solving, negotiating and budget and project management.

PROFESSIONAL EXPERIENCE

SUSAN BURTON CONSULTING, LLC., ADDISON, TX

February 2008 to PRESENT

FINANCE COMMISSION OF TEXAS, AUSTIN, TX

October 2011 to PRESENT

Commissioned Member

Appointed by Governor Rick Perry to the Finance Commission of Texas, pursuant to Senate Bill 249 of the 82nd Legislative Session. The commission ensures banks, savings institutions, consumer credit grantors and other state regulated financial entities operate responsibly to enhance the financial well-being of Texans. Appointed for a term to expire Feb. 1, 2016

ALLIANCEBERNSTEIN, INC., NEW YORK, NY

July 2004 to February 2008

Director, Senior Vice President, Global Business Development

Recruited to build and establish a presence in the independent financial planning channel where ABI had previously failed to support. Represented mutual funds, SMAs, variable annuity sub accounts, both domestic and international.

- Increased sales at key broker/dealers an average of 100% year over year and increased sales at a key bank broker/dealer over 400% within two years.
- Increased market share 107%, in the independent channel, over a two year period.
- Effectively negotiated all revenue share arrangements. Effectively renegotiated several dealer compensation packages saving the firm over \$2,000,000 in revenue share and dealer service charges.
- Managed an unlimited budget to grow exposure in independent and bank channels.
- Traveled with all independent channel Regional Vice Presidents to introduce to top producing advisors throughout their regions.
- Within six months of hire ABI had become a focus partner with all major independent firms, one major bank and one major RIA platform. Re-established relationship, within two months of hire, with the largest independent broker/dealer, this relationship had previously been damaged beyond repair.
- Secured a recommended slot for ABI mutual funds and SMAs on all platforms and within all proprietary products with the largest independent broker/dealer. No other firms had accomplished prior. Able to secure recommended slots for 5 SMAs and 4 mutual funds on a major bank platform and 3 SMAs on a major RIA platform.
- Successfully trained:
 - Executive and senior management on the success drivers of the independent financial planner channel.
 - Divisional Managers, Regional Vice Presidents (external), Regional Sales Representatives (internal) on how to build partnerships/consultative relationships with the independent advisor.
 - Key Account Managers and Associate Key Account Managers.
 - Eight (8) variable annuity company external and internal sales forces on how to work with major independent broker/dealers.

OPPENHEIMERFUNDS DISTRIBUTORS, INC., NEW YORK, NY**October 1994 to July 2004**Vice President, Manager of National Accounts, Financial Advisor Division

Recruited to manage and enhance relationships with executives and senior management at eight key independent broker/dealers, five secondary independent broker/dealers and one key bank broker/dealer. Accomplishments include:

- Increased sales at key broker/dealers an average of 17% year over year.
- Managed \$17.5 million budget.
- Effectively renegotiated several dealer compensation packages saving the firm in excess of \$1,000,000.
- Responsible for attaining preferred partner status at a major bank previously not open to adding the OppenheimerFunds product line-up.
- Responsible for attaining OppenheimerFunds mutual funds and hedge funds approval on all partner platforms.
- Developed marketing strategies to help integrate all OppenheimerFunds products into broker/dealers focus line-up (mutual funds, SMAs and hedge funds).
- Managed and trained key account managers and associate key account managers.
- Responsible for training new SVP, Director of Strategic Planning for National Accounts.

H.D. VEST FINANCIAL SERVICES, INC., DALLAS, TX**July 1989 to August 1994**Director of Representative Development

Managed three corporate divisions: Product Sponsor Relations; Representative Field Training; and Meetings and Events. Developed critical success factors, policies and procedures for three divisions as follows:

- Product Sponsor Relations:
 - Negotiated financial support for various marketing initiatives, educational programs, and nationally recognized industry speakers and due diligence trips for representatives.
 - Created marketing strategies and campaigns for new/revised financial products.
- Representative Field Training:
 - Implemented new field training programs through 175 workshops and specialized two-day training programs.
 - Supported continuing education requirements for field sales force of 5,000 representatives.
 - Produced monthly Product Sponsor Information/Matrix used to disseminate marketing information to the field.
- Meetings & Events:
 - Increased attendance at national conference in 1990 by 100%. Increased attendance by an average of 20% in 1991, 1992, 1993 and 1994.
 - Developed and implemented unique conference formats focusing on sponsor relationships and product knowledge.
 - Improved teamwork and enhanced internal training for staff.

SOUTHWEST SECURITIES, INC., DALLAS, TX**September 1982 to July 1989**

[NOTE: Institutional Equity Corp. was merged into Southwest Securities; David Ellis Investments, Inc. was a spin-off of Institutional Equity Corp.; DH Miller Investments was a spin-off of David Ellis Investments, Private Brokers Clearing Corp. was a spin-off of DH Miller Investments, Inc.] Eventually opened and managed ten independent broker-dealers (1 to 10 person firms) clearing through Southwest Securities and then Private Brokers Clearing Corp, when established. Operated as General Securities, Municipal and Options Principal for each firm (until appropriate hires made) and responsible for all reporting and engagements with the SEC and NASD. Such firms include:

- **BURTON CONSULTING, DALLAS, TX** **September 1988 to July 1989**
 - Developed and implemented a tracking program to locate lost mutual fund dividends, capital gains and bond coupon payments.
 - Clients included Southwest Securities and VanNostrand and Beck Securities Corporation.
- **PRIVATE BROKERS CLEARING CORPORATION** **October 1986 to September 1988**
Vice President, Senior and Compliance Registered Options Principal
 - Opened ten broker-dealer firms to clear all transactions through Southwest Securities, Inc.
 - Filed for and acquired NASD membership as an introducing broker-dealer at four brokerage firms.
 - Filed for and was certified for operation as a fully automated, self-clearing broker-dealer clearing omnibus through The Chicago Corporation.

- Served as compliance officer for four broker-dealers monitoring all transactions and client inquiries and trades of mutual funds, stocks, bonds and options.
 - Contracted services to two major outside brokerage firms.
- **DAVID ELLIS INVESTMENTS, INC./DH MILLER INVESTMENTS** **October 1984 to October 1986**
- Vice President, Senior and Compliance Registered Options Principal
- Responsible for relationships with traders at clearing firms and traders on the floor of all exchanges.
 - Responsible for relationships with NASD and SEC auditors.
 - Filed for membership for new broker-dealer to spin-off from David Ellis Investments, Inc.
 - Administered all Focus IIA, SIPC reports and operations management for four brokerage firms.
- **INSTITUTIONAL EQUITY CORPORATION** **September 1982 to July 1984**
- Responsible for executing all client inquiries and trades of mutual funds, stocks, bonds and options.
 - Helped spin-off David Ellis Investments and set- up DH Miller Investments.

RAUSCHER, PIERCE, REFSNES, INC., DALLAS, TX

August 1980 to September 1982

Direct Participation Programs

- Marketed direct participation programs to representatives. •Monitored progress on these programs.
- Processed money market and mutual fund transactions and balanced daily records.

BURTON CONSULTING, DALLAS, TX

May 1980 to May 1981

- Developed and drafted marketing and servicing manual for TOCOM, Inc., a first version of cable TV to the D/FW metroplex.
- Worked with all engineers and management to assure quality of end product.

EDUCATION AND PROFESSIONAL TRAINING

Bachelor of Science - Southwest Texas State University
 CERTIFIED FINANCIAL PLANNER® - The College for Financial Planning
 Certified Fund Specialist ® - Institute of Business and Finance
 Winning Communications - Colin County Community College
 The Corporate Athlete - Human Performance Institute - Orlando, FL
 Speaking Intensive - Alan Parris - Boulder, CO

PROFESSIONAL ORGANIZATIONS

Finance Commission of Texas - Commission Member appointed by Governor Rick Perry
 The Board Connection - Member
 Financial Services Industry - FSI, Associate Sponsor
 Financial Planners Association - FPA
 Northwood Woman's Club, Charitable - Board of Directors, 2010 – 2013
 Worldwide Who's Who - Member