

MICHELE K. MORAN

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SUMMARY

Equity Trading Executive with extensive experience in risk management, equity trading, building relationships, negotiating, training and supervision.

- Recognized for clear decision-making under pressure.
- Quickly analyzes complex information, identifies areas needing improvement and resolves critical issues (especially audit and trade discrepancies).
- Develops collaborative customer and vendor relationships.
- NASD Series 7 and 63 registered.

PROFESSIONAL EXPERIENCE

ARTIMOS CAPITAL, NEW YORK, NY

2001 – 2007

Vice President, Equity Trading

Charlotte-based investment bank, wholly owned by Dixiebank, with full range of investment banking and capital markets services serving institutional investors throughout the United States.

Managed risk capital. Initiated long and short positions and committed capital on trades. Managed institutional order flow from position traders.

- Reduced commission bills from independent brokers by approximately \$500,000 by renegotiating more favorable terms and efficiently using house brokers.
- Increased order flow over 20% by anticipating client needs and consistently providing timely market information.
- Achieved 90% reduction in error-account losses by training and supervising five employees to ensure compliance with policies and procedures.
- Achieved 25% reduction of variable costs by implementing hybrid market-trading model that increased efficiencies.
- Achieved “exemplary” audits for six consecutive years by maintaining complete and accurate books and records.

LEZZARD GROUP, NEW YORK, NY

2001

Vice President, Equity Trading

Institutional Stock Brokerage serving the institutional investor community throughout the United States.

Managed sales coverage of several block trading desks including Jefferies, Bear Stearns, and Knight Capital.

- Increased firm revenues by \$400,000 in less than nine months by bringing in two new accounts from former position.
- Reduced commission bills more than 20% by using floor brokers more efficiently.

RX BROKERAGE CORPORATION, NEW YORK, NY

1995 – 2001

Vice President, Equity Trading

Discount brokerage subsidiary of RX Trust Company, focused on soft-dollar business (Fortune 100 clients of RX Trust and several large mutual fund companies).

Executed institutional order flow exceeding three million shares per day. Managed order flow and monitored performance of three brokers against Volume Weighted Average Price (VWAP). Minimized risk by constant monitoring of firm's open positions on NYSE online comparison system.

- Reduced firm's commission expenditures over 30% by efficiently using firm's resources and negotiating more favorable terms with vendors.
- Maintained employee retention above 90% by training, supervising, and monitoring activities of three trading assistants.

EDUCATION

BBA, Management, George Washington University, Washington, DC