Nathan Richardson

Financial Advisor

Phone:	(555) 234-7890
Address:	Chicago, IL
Website:	https://linkedin.com/in/nathanrichardson
Email:	nathan.richardson@email.com

- Licensed Financial Advisor with 4 years of progressive experience in wealth management and comprehensive financial planning
- Proven track record of growing client assets under management from $8M to $28M through strategic retirement and estate planning initiatives
- Specialized expertise in serving small business owners and medical professionals with complex financial needs
- Achieved 96% client retention rate by implementing proactive communication strategies and quarterly portfolio reviews
- Strong background in risk assessment, tax-advantaged investment strategies, and behavioral finance applications • Committed to fiduciary standard of care with active pursuit of CFP certification (completion expected March 2024)

LICENSES & CERTIFICATIONS

2021-Present

Series 7 & Series 66 Licensed

FINRA

Expected Completion: March 2024

Certified Financial Planner (CFP) Candidate

CFP Board

2020-Present

Life & Health Insurance License

State of Illinois

2024

Chartered Financial Consultant (ChFC) - In Progress

American College

PROFESSIONAL EXPERIENCE

March 2022 - Present

Midwest Wealth Partners

Financial Advisor

- Grew book of business from $15M to $28M AUM within 20 months through targeted outreach to medical professionals and small business owners
- Generated $380K in annual recurring revenue by developing comprehensive financial planning relationships with 45 high-net-worth clients
- Achieved 96% client retention rate by implementing quarterly portfolio reviews and proactive market volatility communication strategies
- Specialized in retirement income planning using Monte Carlo simulation modeling, resulting in 15% average increase in projected retirement security

- Collaborated with estate planning attorneys and CPAs to execute complex wealth transfer strategies for clients with $1M+ net worth
- Maintained Series 7 and 66 licenses while pursuing advanced CFP certification to enhance comprehensive planning capabilities

June 2021 - March 2022

First National Bank - Investment Services

Associate Financial Advisor

- Supported senior advisors in managing $45M in combined client assets while building personal book of business to $8M AUM
- Conducted comprehensive financial needs analyses for 30+ new clients, resulting in 85% conversion rate to ongoing advisory relationships
- Prepared detailed investment proposals and portfolio rebalancing recommendations under senior advisor supervision
- Achieved 120% of annual new account opening targets by leveraging existing bank relationships and referral programs
- Completed advanced training in estate planning documentation and tax-loss harvesting strategies

August 2020 - June 2021

First National Bank

Personal Banker II

- Identified investment planning opportunities for high-balance checking and savings account holders, generating 25+ investment services referrals
- Exceeded sales targets by 130% through consultative approach to understanding customer financial goals beyond basic banking needs
- Completed Series 7 and Series 66 licensing while maintaining full-time banking responsibilities
- Recognized as "Rising Star" for exceptional customer service scores and proactive financial needs identification

EDUCATION

May 2020

University of Illinois at Chicago

Bachelor of Science in Finance

GPA: 3.8/4.0 | Magna Cum Laude

Relevant Coursework: Investment Analysis, Portfolio Management, Personal Financial Planning, Risk Management, Estate Planning Fundamentals, Corporate Finance, Behavioral Economics

2022-2023

Continuing Education

Professional Development

- Advanced Estate Planning Strategies | American College | 2023
- Behavioral Finance Applications | CFA Institute | 2023
- Tax-Advantaged Retirement Planning | CFP Board Center | 2022

SKILLS

Technical Skills

- Financial Planning Software: eMoney Advisor, MoneyGuidePro, NaviPlan
- Portfolio Analysis: Morningstar Direct, Monte Carlo simulation modeling
- CRM Systems: Salesforce Financial Services Cloud, Redtail CRM
- Tax Planning: Tax-loss harvesting strategies, Roth conversion analysis
- Estate Planning: Trust structures, wealth transfer strategies, beneficiary planning
- Investment Platforms: Charles Schwab Institutional, Fidelity Institutional

Advisory & Client Skills

- Comprehensive financial planning and needs analysis
- Behavioral finance application in client counseling
- Risk tolerance assessment and portfolio construction
- Retirement income planning and withdrawal strategies
- Client education and financial literacy development
- Relationship building and trust establishment

Regulatory & Compliance

- FINRA regulations and fiduciary responsibility
- Know Your Customer (KYC) procedures
- Anti-money laundering (AML) compliance
- Investment adviser record-keeping requirements
- Suitability and best interest standards

AWARDS & ACHIEVEMENTS

2023

President's Club

Midwest Wealth Partners

Top 15% of advisors nationally

2021

Rising Star Award

First National Bank

Outstanding performance in first year

2016-2020

Dean's List

University of Illinois at Chicago

All semesters

2020

CFA Institute Research Challenge

CFA Institute

Regional Finalist

2020

Outstanding Student in Finance

UIC College of Business

PUBLICATIONS & PROFESSIONAL ACTIVITIES

September 2023

Retirement Planning for Healthcare Professionals

Financial Planning Magazine

2022-Present

Small Business Retirement Plans: Beyond the 401(k)

Company Newsletter

Quarterly column

Ongoing

Millennial Money Management Blog

Contributing Writer

25+ articles on financial planning

2023

Investment Basics for Young Professionals

Chicago Young Professionals Network

Speaker

REFERENCES

Michael Thompson, CFP®, ChFC

Senior Vice President - Wealth Management | Midwest Wealth Partners

Relationship: Direct Supervisor (2022-Present)

Phone: (555) 345-6789 | Email: mthompson@midwestwealth.com

Sarah Chen, CPA

Partner | Chen & Associates Tax Advisory

Relationship: Professional Collaborator on 40+ client tax strategies

Phone: (555) 456-7890 | Email: s.chen@chenassociates.com

Dr. Jennifer Martinez, MD

Client | Orthopedic Surgeon

Relationship: Long-term client willing to attest to advisory approach

Phone: (555) 567-8901 | Email: j.martinez@chicagoortho.com

PROFESSIONAL MEMBERSHIPS

2022

Financial Planning Association (FPA)

Member since 2022

National Association of Personal Financial Advisors (NAPFA)

Associate Member

Chicago Estate Planning Council

Associate Member

CFA Institute

Affiliate Member