Stacy L. Hoag

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January 15, 2018

FINRA

99 High St, #9

Boston, MA 02110-2447

Dear Hiring Professional:

I am a compassionate and accomplished professional with extensive experience in the financial services industry. You will note from the enclosed resume that my background and experience correlates to the Examiner- Member Regulation, Sales Practice position found on your website.

Accustomed to compliance, risk, audit, and management responsibilities, I am now ready for a position offering me new opportunities and challenges. I can bring dynamic leadership, technical expertise, and decisive decision-making skills to the firm. A few highlights include:

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| **You Require:** | **I offer:** |
| Demonstrate working knowledge of risk analysis and proactive risk identification. | Working at Fidelity Investments, I supported service escalations regarding fraud and compliance related matters from advisor and end customers. I coordinated with the necessary internal business units to immediately address their concerns while limiting risk exposure. In addition, I have been responsible for compliance and risk reporting to regulatory entities.  |
| Possess excellent time management skills. | With Linsco/Private Ledger, I helped six litigation attorneys with the preparation for mediation and arbitration hearings. My responsibilities extended to coordinating the timely research and response to telephone inquiries from representatives, customers, other LPL departments, and state, federal regulatory agencies.  |
| Bachelor’s degree or an equivalent with minimum of one year of securities compliance or financial experience. | I hold my MBA in business management from Suffolk University. I also have sixteen years’ overall experience in the banking and brokerage industry.  |
| Knowledge of business conduct risk and industry practices securities.  | I helped in various audits including internal controls, branch, and regulatory. I demonstrated an in depth understanding of business practices along with the risks associated with those practices.  |

I have solid problem-solving skills, dedication to my job, and a proven ability to motivate others. If my qualifications meet a need in your organization, I would appreciate a personal meeting. I can be reached at (508) 904-8170 or via email, shoag74@gmail.com. Thank you for your interest and consideration. I look forward to your reply.

Sincerely,

Stacy L. Hoag

Enclosure