

**1157 West 7th Street
Erie, PA 16502**

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CORPORATE AND PROFESSIONAL EXPERIENCE:

**DEC 1984-
PRESENT**

PENNSYLVANIA INVESTMENTS, INC., PRESIDENT

Developed and placed Structured Asset Backed Loans and Revolving Credit Facility Syndications secured by Senior Capital Market Instruments within International Money Center Banks in Europe and Canada.

Developed and executed marketing strategies to promote the sale of Investment Advisory Asset Allocation and Risk Analysis, Mutual Funds, and Cash Management services to Pension Plan Sponsors.

Marketed Investment Advisory Services and Mutual Funds to Pension Plans (Low to Mid Size: \$10 Million - \$100 Million) while training Registered Representatives on the following techniques: cold calling approaches, sales presentation methods, and closes.

Marketed Investment Advisory Services and Products to NYSE Broker/Dealers in a Twenty-Five (25) State Region.

Conducted advanced sales seminars for Registered Representatives: Development and acceptance of "market timing," defined benefit/Contribution plans; 401(k) plans; third party performance verification (SEI); marketing methods for fixed income and Pooled GICs.

Developed, published, and marketed PENNSEARCH: RISK & ASSET ALLOCATION ANALYSIS; based on Sharpe's Single-Index Beta Model and Morley Capital's "Compass" program. Provided Investment Analysis / Advisory Services to Pension Plan Sponsors and TPAs.

**JAN 1990 -
MAY 1993:**

**NIAGARA SECURITIES, INC.,
PRESIDENT and GENERAL SECURITIES PRINCIPAL.**

General Securities Broker/Dealer approved by N.A.S.D. and S.E.C.. Securities Licensed Series 24, General Securities Principal.

Developed (with Pennsylvania Investments, Inc.) a Public/Private \$55 Million - \$60 Million AFFORDABLE HOUSING VENTURE CAPITAL LIMITED PARTNERSHIP for housing the Homeless, Mentally and/or Physically Challenged. Reviewed and endorsed by the Pittsburgh Regional Office of the Department of Housing and Urban Development.

Approved by Youngstown City Council (April 1990) for initial funding for WestWind Foundation.

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JUN 1984:

PENSION CONSULTANT / INSURANCE SPECIALIST.

Promoted E.F. Hutton Universal Life Products and implement training programs for the Account Executives to coordinate an effective program of capturing client assets.

1970-1976

**U.S. NAVY, ACTIVE DUTY, HONORABLY DISCHARGED.
AVIATION METEOROLOGY;**

Fleet Weather Central, NAS Norfolk, VA; USS AMERICA CVN-66

LICENSING AND ACADEMIC BACKGROUND:

N.A.S.D. & S.E.C. :

SERIES 24, November 1987

SERIES 7, November 1983

SERIES 63, December 1983

ASSOCIATE MEMBER:

**Association of Certified
Fraud Examiners (2003)**

MERCYHURST COLLEGE:

**Master of Science, 2002
Administration of Justice**

**National Criminal Justice
Honor Society (April 2001)**

PENN STATE UNIVERSITY:

Paralegal Certificate, 1998

PENN STATE UNIVERSITY:

B.A. Political Science, 1978

PUBLISHED MATERIAL:

“ELITE POWER & CAPITAL MARKETS” --

Master of Science Thesis identifying a topology of deviant financial activities that include: Political-Financial, Entity-Financial, and White-Collar (criminal) Financial activities. These activities illustrate political deviance evolution involving: wealth, access, knowledge, obfuscation, And denial.

“PENNSEARCH” --

A description of a portfolio/asset allocation and efficient frontier analysis system based on the client=s desired rate of return, the risk level, and various measurement standards used to evaluate the portfolio investment performance.

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