

# JOHN S. THOMAS

info@skilledresumes.com

123 Main Street  
City, State, 12345

Home 888.858.7545  
Cell 888.858.7545

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## PORTFOLIO MANAGEMENT & BUSINESS DEVELOPMENT PROFESSIONAL MANAGING DIRECTOR / SENIOR VICE PRESIDENT / GLOBAL TEAM LEADERSHIP

Portfolio Management and Business Development professional consistently successful in defining key business strategies, analyzing portfolios, managing client relationships, and driving domestic and international revenue growth. Combines exceptional business, investment, relationship management, analytical, and portfolio management skills with a track record of delivering strong and sustainable financial results. Expert performance in cultivating key relationships and identifying lucrative investment opportunities. Built an extensive network of key contacts within the investment community.

### Areas of Expertise

**Executive Sales & Marketing**  
**Competitive Market Positioning**  
**Global Investor Communications**

**Portfolio Management Analytics**  
**Executive-Level Negotiations**  
**Key Account Management**

**P&L Management**  
**Risk Management**  
**Corporate Legal Affairs**

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## PROFESSIONAL EXPERIENCE:

**XYZ Capital Securities, LLC**, City, State 2005 to Present  
*Investment Banking Firm serving small and mid-sized clients in the life sciences, alternative energy, technology, and software industries across the Central United States.*

### **SENIOR MANAGING DIRECTOR / FOUNDER**

Built new venture from start-up to multi-million dollar operation; achieved and maintained profitability for 7 consecutive years. As founder; hold full strategic planning, marketing, sales, business development, operating, legal, financial, and P&L responsibility. Successfully direct team of 25+ and serve as both Compliance Principle and Selection Committee member. Selected accomplishments include:

- Secured more than \$2 million in start-up financing to launch operations; developed strategic business plan and leveraged high-net-worth contacts to obtain equity.
- Performed full range of prospecting, qualifying, needs assessment, data gathering, and presentations to entrepreneurs, securities attorneys, and commercial banks; personally generated \$7 million in new revenue by sourcing/capturing accounts and cultivating existing relationships.  
—**Investment banking transactions included; M&A's, Capital Formations, Advisory & Private.**
- Independently managed complex, high-dollar sales process from initial client consultation through all phases of negotiation. Developed relationships with VC and Private Equity firms to facilitate closings.
- **Increased sales by an average of 29% annually for 7 consecutive years.** Personally structured and negotiated multi-million dollar contracts with corporate accounts throughout the U.S. and Europe; total contract value to date exceeds \$150 million.

**COMPANY CAPITAL, LLC**, New York, NY 2001 to 2005  
*10<sup>th</sup> largest banking & financial services group with nearly 48 million customers and operations in 50 countries – Established in 1690.*

### **Director**

Recruited as key member of 5-person team to build the organization's Leveraged CLO business. Worked in cooperation with team members to structure, market, and select assets to create and manage a \$550 million portfolio consisting of CLO structures and Ventures.

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**COMPANY CAPITAL LLC** (Continued):

- Instrumental in facilitating operations and obtaining investor financing to establish new Leveraged Loan and CLO business; team accomplished first deal amidst severe economic downturn (aftermath of 9/11/01). —Grew LCD Leveraged Loan Index by 11.1% and 47.7%.
- Successfully performed detailed bottoms-up issuer analysis to accurately determine valuations and investment viability.

**MAJOR BANK, INC.**, New York, NY

1996 to 2001

*One of the world's largest financial services companies with approximately 260,000 global employees and \$80B+ in annual revenue.*

**Portfolio Manager**, Alternative Investment Strategies (1998 to 2001)

**Senior Analyst, Bank Securities, Inc.**, Global High Yield Research Group (1997 to 1998)

**Associate**, Global High Yield Research Group (1996 to 1997)

Hired to provide Telecom, Broadcasting, and Publishing sector analysis. Promoted rapidly based on strong performance. As Portfolio Manager, was lead analyst covering bond and loan investments across multiple sectors and successfully transitioned bank's AIS. Additionally, developed and marketed new structured vehicles in cooperation with underwriters, ratings agencies, and potential investors.

- Key member of 15 person group that managed external leveraged loan and high-yield vehicle (included loan funds, structured hybrid vehicle, and market value/cash flow CDO's) and **increased Assets-Under-Management from \$750M to \$2.5B+** (return-on-funds averaged 8.9% during 3-year period).
- Directed funds' cash management to ensure requirement/ratio/investor compliance and actively traded par and distressed credits on the secondary market for leveraged/high-yield bonds.
- **Personally managed \$575 million portfolio** (pass-through/leveraged vehicle) and successfully conceived and developed high-yield trading strategies for the Group's proprietary desk.

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**EDUCATION / BOARD AFFILIATIONS**

**MBA – Management**

**KELLOGG SCHOOL OF MANAGEMENT**  
Northwestern University, Evanston, Illinois

**BBA – Marketing / Finance**

**KRIEGS SCHOOL OF BUSINESS**  
Texas A&M University, Dallas, Texas

**Advisory Board Member**

XYZ Capital Bank (2004 to Present)

**Board Member**

Ohio Tech Economic Research Group (2000 to Present)

**Board Member**

National XYZ Association (2000 to 2005)

**Board Member**

Ohio Economic Development Board (1999 to 2003)