John William Browning IV
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PROFESSIONAL PROFILE

Five years of experience in Asset Management industry. Knowledge of modern portfolio theory and advanced financial instruments. Progressively increased the sophistication of client base and transaction scale. Raised assets through the use of consultative sales approach. Series 7 and 63 licensed. CFA Level 1 candidate.

EXPERIENCE

3/2008-Present **J.&W. Seligman & Co. Inc.** **New York, NY**
Fixed Income Credit Analyst – Investment Grade

- Evaluate credit risk, economic return and relative value of fixed income securities
- Conduct research, develop financial models and complete various credit analysis
- Indentify relative value opportunities in the investment grade fixed income sector
- Contribute to assessment of economic outlook, monetary policy and sector trends
- Manage $500MM short-term portfolio for firm on a daily basis

12/2005-3/2008 **J. & W. Seligman & Co. Inc.** **New York, NY**
Regional Sales – Pacific Northwest

- Supported external representative to promote investment product sales
- Developed relationships with advisors from the wirehouse, RIA, and B/D channels
- Conducted online sales presentations using Webex technology over the internet
- Prospected for 401k plans in the small plan markets, from startup to $2MM in assets
- Helped increase territory sales from $32MM to $48MM in first year.

7/2004-12/2005 **UBS Wealth Management USA** **New York, NY**
Investment Associate

- Prospected for corporate retirement plans, 401k and Defined Benefit.
- Clients profiled using ACT database to create referral strategies for existing clients
- Created financial planning proposals for clients and prospects using firm software.
- Prepared competitive portfolio analysis using Morningstar data and firm research.
- Raised $15MM in 401k and Individual assets in a 1 ½ year period.

7/2003-7/2004 **Oppenheimer & Co.** **New York, NY**
Private Client Associate

- Marketed firm's Executive Services to Corporate Officers of public companies.
- Transitioned group's business model from transactional to fee-based.
- Liased between partnership and senior representatives within the firm.
- Raised $3MM in assets in a 6 month period.

EDUCATION

Sept 2007-June 2008 **The New School University – MSc of Finance** **3.92GPA** **New York, NY**
Concentration in Equity-Linked and LIBOR-based Structured Products.
Coursework in Quantitative Finance, Risk Management, Accounting and Portfolio Theory.

May 2003 **University of Vermont - BA – Political Science** **3.1GPA** **Burlington, VT**
Spent Junior Year abroad interning in Washington D.C. and studying in Berlin, Germany.

ACTIVITIES

2008 **Student Professor – Bloomberg Analytics – Equities and Fund Management**
The New School University – Certificate in Trading Strategies and Market Analysis
2002 **Field Operative** - Coordinated Campaign Committee for the Democratic Party of Iowa
2001 **VP Communication** - Sigma Phi Epsilon Fraternity

SPECIALIZED EXPERTISE

Bondhub, Bloomberg API, YieldBook, Factset, Thomson InvestmentView, Morningstar Principia