CHRISTINA E. DESHAW

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# QUALIFICATIONS PROFILE

An exceptional leader with strong project management skills and substantial experience within all aspects of the financial services industry, including legal, compliance, operations, recruiting and training. An articulate communicator with outstanding interpersonal skills and the ability to interact effectively at all levels of an organization. Detail oriented with strong analytical skills and the ability to work independently and efficiently under tight deadlines.

# PROFESSIONAL EXPERIENCE

**Broker Dealer Financial Services 2013 - present**

***VP, Recruiting and Business Development***

Manage all aspects of the recruiting and onboarding process for new advisors, within each of the four business channels. Partner with existing advisors to ensure they have the support and resources they need to optimize their business strategy, better serve their clients and expand their practice. Manage continuous improvement team and coordinate development and implementation of improvements to recruiting process, onboarding process, training and transition. Lead and coordinate firm wide adoption and implementation of Salesforce.

**ING - Des Moines, IA 2004 – 2013**

***ING Financial Partners, Compliance Manager*** (October 2012 – July 2013)

***ING Enterprise, Compliance Manager*** (December 2010 – October 2012)

***ING Financial Partners, Senior Compliance Analyst*** (November 2004 – December 2010)

***ING Financial Partners, Compliance Analyst*** (November 2002 – November 2004)

Reported directly to Chief Compliance Officer(s) and independently managed all aspects of customer complaints, fraud investigations and regulatory inquiries from receipt to resolution. Highly organized with excellent project management skills and the ability to resolve complex compliance matters quickly and effectively. Researched and wrote detailed responses to SEC, FINRA and state regulatory inquiries. Outstanding customer service skills and extensive experience communicating and negotiating with customers and regulators. Worked with outside counsel to defend and resolve arbitration and mediation filed against registered representatives and the firm. Developed and conducted training highlighting hot topics, best practices, and policy changes for OSJ supervisors, registered representatives, office assistants, and home office employees.

# EDUCATION

### Juris Doctor May 2002

The University of Iowa College of Law - Iowa City, IA

### Bachelor of Arts May 1998

Mount Holyoke College - South Hadley, MA

# LICENSES

Iowa State Bar

FINRA Series 7 and Series 24