

John C. West
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My expertise comes from 35 years of securities industry leadership and management, seven years as a registered financial advisor and 28 years as a successful branch office manager. My knowledge is authoritative and up-to-date. My understanding of investment products, suitability, supervision, compliance, recruiting, ethics, elder and retiree issues, among other topics, is sophisticated. My experience as an arbitration panelist, a corporate representative and a fact witness in securities disputes is a source of my competency.

QUALIFICATIONS AND EXPERTISE

Trained Financial Industry Regulatory Authority (FINRA) arbitrator and chairperson
Former member, NASD District Business Conduct Committee, District 5
Seasoned participant, panelist, corporate rep and fact witness in securities disputes
Successful branch office supervisor and manager for 28 years
Supervised as many as 91 financial advisors in offices in three states
Extensive financial advisor recruiting experience
Strong track record of supervision and compliance with securities rules and regulations
Keen knowledge of characteristics and sales practices of all traditional investments
No reportable occurrences on my personal FINRA CRD record.

EMPLOYMENT

United States Air Force	U.S., Europe and Vietnam
E.F.Hutton & Co.	Financial Advisor
Paine, Webber	Financial Advisor
R. Rowland & Co	Branch Office Manger
Prudential Securities	Branch Office Manager
EVEREN Securities	Branch Office Manager
Wachovia Securities	Complex Manager

Rev. 6/8/09

MEMBERSHIPS AND ACTIVITIES

Member, Securities Industry and Financial Markets Association (SIFMA)
Trained FINRA arbitrator, including experience as panel chairperson
Past President, Memphis Securities Dealers Association
Past President, Memphis Grain and Hay (Memphis Board of Trade Affiliate)
Executive committee member, Branch Manager Advisory Council
Member, Branch Manager Advisory Council working with groups on compliance, best practices, service advisory and delegation
Two-time speaker at SIFMA annual national meetings on branch office supervision
Panelist at FINRA district regional meeting on branch office supervision

LICENSES AND REGISTRATIONS

All were valid and in good standing as of May, 2009

Series 1 General Securities (Series 7 equivalent)
Series 3 Commodities and Futures
Series 5 Interest Rate Options
Series 8 Branch Supervision Qualification (series 9 and 10 equivalent)
Series 15 Foreign Currency Options (obsolete)
Series 63 Uniform State Agent Law
Series 65 NASAA Investment Advisors Law
Life Insurance
Variable and Fixed Annuities
Mortgage lender qualification- State of Mississippi (no longer required)

EDUCATION

University of Tampa, Tampa, Florida
B.S. Business Administration

University of Memphis, Memphis, Tennessee
Masters level study of Economics at the Graduate School of Business at the University of Memphis

INDUSTRY AND CONTINUING EDUCATION

FINRA Arbitrator Training

FINRA Chairperson Training

Completed 133 Continuing Education courses since 2004 on topics including:

Compliance	Information Security
Privacy	Retiree Issues
Elder Issues	All typical investment products
AML	Electronic communications
Supervision	Work place HR issues
Ethics	Suitability Issues

Current on all FINRA Continuing Education requirements as of May 1st 2009