

# KATHLEEN M. JACKSON

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## **FINANCIAL SERVICES EXECUTIVE**

*Transitioning Start-Up, Under-Performing & Emerging Operations into  
Rapid Growth Successful Wealth Management Enterprises*

**15+ years of experience** with a reputation for infusing dramatic, profitable growth by quickly determining the organization's strengths and weaknesses in its industry; crafting a strategic plan for future growth; driving "straight-talk, team-oriented" cultures; building strong senior teams; embedding knowledge of, and responsibility for, the P&L throughout the organization, and focusing on top and bottom line results.

## **CAREER HISTORY**

### **Wealth Management Industry Advisor**

2006 to Present

Through extensive network and personal reputation, secured engagements to share industry insights and expertise.

- Adjunct Faculty Member, Cannon Financial Institute, Inc. teaching courses on sales and building your business in the Wealth Management industry.
- Appointed Adjunct Professor at **DePaul University**, creating and teaching an undergraduate financial services sales course.
- Presented "Trust and Wealth Management in Banking" symposium at 2006 **Deloitte** Banking Conference
- Retained by **American Banking Association** to consult on creating a wealth management-training curriculum.

### **Senior Managing Director / Head, Wealth Management Group – B.C. ZIEGLER AND COMPANY**

2005 to 2006

*Full-service regional brokerage, investment banking and asset management firm with \$100 million in revenues in 2006.*

Recruited into the holding company as a top executive for \$26 million/yr revenue brokerage unit. Held full responsibility for 153 employees, 13 offices nationwide, and \$6B+ assets under management Reported to the President and served on an 11-member executive team.

#### **Business Diversification & Expansion**

- Delivered double-digit sales growth in just 10 months with 2006 revenues projected to reach \$30.6M by introducing cross-selling and client relationship management philosophies. Held expenses to 2005 levels.
- Created and launched a long-term business strategy to move organization from mail order bond sales to robust wealth management. Backed up strategies with department realignment, sales training and updated market research and promotions.

### **Managing Director & Head, Wealth Management & Trust – THE PRIVATEBANK & TRUST COMPANY**

2002 to 2004

*\$280M publicly held bank offering customized banking and money management services to wealthy individuals, family offices, business owners and commercial real estate investors*

Hired by the CEO to build a strong, growth-oriented Wealth Management business after proposing Chicago Trust (former employer) as a potential acquisition to open up the bank to a broader product offering and market segment. Held full P&L oversight for 29 people, \$1B+ under management, and 5M+ in revenue. Member of executive team.

- Grew assets under management by 40% from \$710M to \$1B+ while increasing revenue 82% in less than 2 years. Exceeded corporate and Board expectations for sales and asset growth performance.
- Instituted a banker referral system that led to the closing of 48% of new business in 2003.
- Achieved 250% higher average sales per relationship by offering customers "best of breed" solutions. (\$5.6M in assets vs. \$2.2M the previous year)
- Recruited qualified financial planners to transform a process-oriented culture into a progressive relationship sales approach "advising the wealthy on growing, preserving, and distributing their wealth."
- Broadened traditional products into a dynamic wealth management platform, which included Exchange Traded Funds (ETFs), enhanced in-house fixed income management, and broader asset allocation modeling.

**SVP & Director, Personal Trust & Investment Services- THE CHICAGO TRUST COMPANY**

1999 to 2001

*Wholly owned subsidiary of Alleghany Asset Management, a \$45B investment manager; acquired in 2001 by ABN AMRO*

Took an under-performing trust business and evaluated team members, operational processes, product offerings, 1.7K accounts and the marketplace. Delineated new strategies and opportunities to create a growth enterprise. Held full P&L oversight for 45 people, \$2.1B in personal trust and individual assets and \$14M+ in revenue. Reported to the COO.

- Drove 53% increase in sales to reach \$14.3M in revenue in just 1 year by instilling a high-performance mindset that raised the bar and provided market focus to the sales team.
- Delivered an immediate 19.5% bottom-line increase by raising fees to market competitive rates and tightening fiscal controls.
- Presented compelling business case for acquiring a regional bank to leverage synergies and create a strong distribution network. Alleghany's Board investigated proposed targets, but ultimately declined strategy due to onerous bank regulations.
- Devised a divestiture plan for the trust business to garner a premium as a scalable, value-added interest for a bank. Won ownership sponsorship, but halted sale process when ABN AMRO acquired the entire Alleghany portfolio.

**FIRST CHICAGO NBD / BANK ONE (now JPMORGAN CHASE & CO.)**

*A leading regional bank that underwent a merger of equals in 1995, was acquired by Bank One in 1998 and ultimately became part of the 2<sup>nd</sup> largest financial services company in US when acquired by JPMorgan Chase in 2004*

**Senior Managing Director, Product Management, Private Client Group**

1998 to 1999

Managed a 19-member professional staff and \$4.5M budget. Integrated/rationalized organizations, mobilized teams, created a best of breed product platforms, and engaged in value creating business development.

- Realigned retail trust marketing strategy, pricing matrix and product mix to establish a foundation for building a formal wealth management organization with goal of driving a 25% increase in annual revenue to reach \$1B+ for the \$850M business.
- Transformed an amalgam of products ranging from mutual funds to customized alternative investments into a simple matrix of solutions based on customer type, need and specific asset classes.

**National Sales Manager, Investment Management Group**

1995 to 1998

- In three years, drove a 400% increase in average annual revenue (to \$600k) per salesperson through clear and consistent objectives, a new competitive compensation system with strong incentives, and formal sales training and career development programs. 1998 sales results: \$1.5B new assets under management; \$8.5M in annual revenue.
- Built a cohesive team out of disparate sales and marketing organizations. Rationalized headcount nearly 40% (from 56 to 35) through internal transfers and selective outplacement while treating all exiting employees with dignity and respect.

**EARLY FINANCIAL SERVICES CAREER**

Parlayed early experience as an educator and Harvard MBA into a highly successful sales and marketing career with major insurance, mutual fund and money management firms. Key highlights:

- Advised **ARIEL CAPITAL MANAGEMENT** on developing optimum distribution channels and alliances resulting in termination of joint venture relationship and creation of an in-house marketing team. Additionally developed what-if scenarios for entering the 401(k) market through mutual fund sales and/or participation in larger pools of capital.
- Identified insurance industry market expansion strategies enabling **METROMAIL**, a direct marketing firm of R.R. Donnelley (now part of EXPERIAN), to capture and expand key account relationships with State Farm, AllState and others.

- Wrote a business plan enabling **SEABURY & SMITH, INC.**, a Marsh & McLennan Companies division, to capitalize on its existing relationships and create additional value by becoming one of the 1<sup>st</sup> property and casualty firms to diversify into life insurance.. Declined opportunity to head the business unit due to spouse job transfer.
- Conducted SWOT analysis of the 401(k) competitive landscape for **T. ROWE PRICE** as an Intern during business school.
- Positioned **AETNA** as a prominent forerunner in the emerging defined contribution market in the Pacific Northwest, with a 5-year record as a Top 10 agent out of 25,000 nationally in sales across the corporate and municipal markets.

### **EDUCATION & AFFILIATIONS**

**MBA – HARVARD BUSINESS SCHOOL**  
**BS, EDUCATION – PORTLAND STATE UNIVERSITY**

**NASD Series 7, 24 and 63 Licenses**

- Board Member & Former President – Harvard Business School Alumni Club of Chicago
- Founder and President – Harvard Business School Club of Chicago Charitable Fund (a non-profit corporation that supports “educating leaders who make a positive difference in the Chicago area” by financing local not-for-profit senior managers to attend leadership courses at the Harvard Business School)
  - Mentor – Bridge (homeless family advocacy/support group)