

DIANA L. MCCAULEY
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Summary: Over 10 years experience on a trading desk. Wire operator and assisted traders. Operations duties including opening and processing all new accounts. Ensure compliance with all laws & regulations.

Job Objective: OPERATIONS SPECIALIST, 4 years experience

SECURITIES CLERK (financial), 9 years experience

ADMINISTRATIVE EXECUTIVE SECRETARY, 5 years experience

BUSINESS MANAGER, OPERATIONS, 4 years experience

Experience:

Job Title: **Portfolio Manager**

Employer: HoyleCohen, San Diego, CA

Dates: 7/07 to 5/09

Duties: Managing portfolios, trading, correspondence with clients. Working directly with Advisors and implementing Fund Rebalancing as needed. Managed 401(k) accounts and worked with the Third Party Administrators along with Trustees of the plans. Answered phones as needed for the receptionist and worked with Client Relationship Managers by providing Custodian forms and daily reports.

Job Title: **Executive Assistant**

Employer: JLB Financial & Ins. Svcs, San Diego, CA

Dates: 7/06 to 6/07

Duties: Performed Administrative functions including answering phones, email, coordinating the calendar, greeting clients, gathering information for applications for Life Ins., Annuity business and do a follow up with the Product Vendor. Maintained client files, scheduling appointments, office supplies, and various duties.

Job Title: Executive Assistant/Operations

Employer: Mercator Associates, LLC, La Jolla CA

Dates: 10/04 to 7/06

Duties: Organize/prioritize days events, manages all operations including AR, AP, banking, account set up process and flow. Supplier record management. Provide impeccable customer service to our clients. Strong ability for multitasking.

Job Title: Asst. V.P.-Administration

Employer: Hampton Securities, San Diego, CA

Dates: 5/03 to 5/04

Duties: Assisted Hedge Fund Traders/Stock/ Option Traders by creating & updating commission spreadsheets. Also prevented House/Fed calls by supplying client w/Buying Power and moving contracts/stock purchase to correct type. Phones & Administrative.

Job Title: Assistant Trader

Employer: Pacific American Securities, LLC, SAN DIEGO CA

Dates: 7/91 to 10/02

Duties: Assisted traders, wire operator, operations specialist-have used systems such as Instinet, Bloomberg,ILX,Trinitech

Skills: TRADING ASSISTANT, WIRE OPERATOR, OPERATIONS SPECIALIST, ADMINISTRATIVE ASST.

Education: Caldwell College / Associates degree

Additional Comments: Proficient in MS Word, Excel for Windows with a typing speed of 120 wpm. Excellent verbal and written communication skills. Exceptional customer service skills. Multi-tasked, fast learner and ability to adapt to various departmental needs.

References: Available on request