



CURRICULUM VITAE

SUMMARY OF ACCOMPLISHMENTS

- Broker/dealer executive with 14 years experience in management
- Financial planning practitioner since 1987
- Led one firm and built another
- Evaluated advisors needs, negotiated contracts with vendors or supervised development of tools and resources, deployed, trained and drove adoption
- Authored or sourced practice management articles in trade journals (For recent articles, see Addendum).
- Experienced in all aspects of operations and compliance

EMPLOYMENT HISTORY

President, The Client Driven Practice, LLC

2010 – date

- Consulting practice to financial advisors on structured client feedback, positioning and marketing
- Program on client advisory boards "Role Reversal" has been presented at one national and three regional conferences

President, Ensemble Financial Services, Inc.

2002 – 2010

- Grew a brokerage department with \$1.7M revenue to a separate independent business unit with \$10.5M in revenue and a national reputation
- Led market research and rebranding campaign to create Ensemble from AM&M Investment Brokers
- Built the largest brokerage firm in the local market
- Recruited more CFP asset managers than any other firm in the market
- Consummated purchases of another broker dealer and an insurance agency
- Created virtual services to support independent advisors including virtual staffing, asset rebalancing service, and financial plan outsourcing
- Established study and peer groups for independent advisors to advance their professional development
- Funded growth through current cash flow
- Supervised the development of the firm's operations, systems and technology suite

Chief Operating Officer, Wall Street Financial Group, Inc.

1996 - 2002

- Operational responsibility over national independent broker-dealer with 250 representatives
- Supervised recruiting, marketing, processing, commissions, trading, and information technology
- Created the firm's first formal marketing and recruiting programs

District Manager, Division Manager, Waddell & Reed

1989 - 1994

- Managed Western New York Division of national financial services company
- Responsibilities included supervision of financial practitioners, marketing, recruiting and training

EDUCATION AND QUALIFICATIONS

- Bachelor of Science, Business Administration, Rochester Institute of Technology, Rochester, NY
- NASD Securities Licenses: Series 7, 24, 4, 55, 65, 63, 79
- Insurance licenses: Life, Accident and Health, multiple states
- Certified Financial Planner®, awarded 7/8/91

RELEVANT PROFESSIONAL AND COMMUNITY EXPERIENCE

Financial Planning Association of Greater Rochester New York

Member, Board of Directors, 1998 – date

President – 2006 – 2009, Chairman - 2010

Advisor Products, Westbury, NY

Member, Newsletter Editorial Board 2007 – date

RIA Central

Thought Leader, 2010

Plan Your Legacy

Advisory Board, 2010

Member, Board of Directors, Hochstein School of Music and Dance

2010 – date

Trustee, Susan B Anthony House, Rochester, NY

2007 – date

Governance Chairman – 2008 – 2009

Member, Town of Henrietta Board of Assessment Review

2002 – date

Critical Care Technician, Henrietta Volunteer Ambulance

1986 – 1992



Addendum

SELECTED SPEAKING ENGAGEMENTS

Role Reversal – Making Your Clients Your Advisors
FPA Business Solutions 2011, Boston, MA, March 2011
Annual Symposium, FPA of Northeastern NY, Albany NY, May 2011
Annual Symposium, FPA of Greater Rochester NY, June 2011
Regional Practice Management Conference, FPA of Georgia, Atlanta, GA, July 2011

Social Media – The Forbidden Fruit?
Financial Planning Association Annual Symposium
Rochester, NY, June 2010

Panelist, Complying with new Books and Records requirements under SEC 17a-3 and –4
The Investment Advisor Compliance Summit
Palm Beach Gardens, FL, February 2004

Panelist, Succession and Business Planning Roundtable
The Wealth Advisor Summit
Palm Beach Gardens, FL, December, 2002

Panelist, Compliance versus Operations, Where Are the Boundaries?
Financial Planning Association Annual Broker-Dealer Conference
Orlando, FL, January, 2001

SELECTED PUBLISHED ARTICLES

Referrals 2.0
Practice Management Solutions Supplement
Journal of Financial Planning, July/August 2011

What is Your Strategic Differentiator?
Transitions Magazine, September, 2009

Do You Need A Client Advisory Board?
Transitions Magazine, April, 2009

How to Choose the Right Technology for Your Practice, Parts 1-3
Transitions Magazine, December, 2008 – February, 2009

Wershing also actively blogs at the following websites:

www.theclientdrivenpractice.com

www.riacentral.com

www.advisors4advisors.com