

### **Investment Strategy, Securities Trading, Investment Banking for Wall Street Firm: Paine Webber**

Awarded securities licenses, public trading and invested for investors and personal portfolio.

Series 7 and Series 63 Licenses from the Financial Industry Regulatory Authority and the Securities and Exchange Commission; the general securities (GS) License. Licensed to provide advice, strategy and trade for purchase, holding and sale all types of publicly traded securities including:

- Common and preferred stocks, call and put options, spreads and straddles, ethics, margins, bonds;
- All types of fixed income investments, mutual funds, packaged products;
- Real estate and oil and gas syndications, bond trusts and other money management investments for own portfolio and high-income investments and investors.

### **Awards and Recognition**

- ❖ Awarded Series 7 License (FINRA) Financial Industry Regulatory Authority
- ❖ Awarded Series 63 License Commission of Securities State of Missouri to transact securities business in the State of Missouri
- ❖ Awarded Series 3 License National Futures Association (NFA) and Commodities Future Trading Commission (CFTC) publicly traded investments in commodity futures contracts including hedging and margin transactions.
- ❖ Awarded. License from the Missouri Insurance Department to provide advice and invest in life insurance and annuity products.
- ❖ Awarded and managed union pension fund investments for Building/Constructions Trades Council, Bottlers Union, Carpenters Union, and Pipe Coverers Unions.

### **Awards and Recognition: Continued**

- Awarded “Best Builder in St. Louis” “Homer Award” from St. louis Home Builder’s Association/St. Louis Post-Dispatch
- Appointed: Board Member and Design of 2018 Lawrence Livermore National Laboratory’s Development of Standards ISO 50001 for Energy Management Systems” Livermore California