

BARRY P. JAMES

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Equities Trader / Licensed Portfolio Strategist

Recruited by top investment firms throughout 8-year career in trading equity futures, index arbitrage, and ETFs. Championed development of training platforms to interface with market dynamics. Proficiently executes client and proprietary desk options and futures; builds and leads high frequency trading teams. **Series 63, 7, 24, & 55 licensed.**

Core Competencies

- Equity Program Trading
 - ETF Baskets / Arbitrage
 - Flextrade / Portware / Tethys
 - Business Planning
 - Risk Management / Compliance
 - Multi-Platform Technology
 - Regulatory Margining / Haircuts
 - Securities Lending Experience
 - Cost & Carry Aspects of Arbitrage
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Experience & Achievements

Superior Securities, USA, New York, NY

1/09-Present

Leading global full-service securities investment bank. Promoted rapidly through a series of increasingly responsible positions during a period of accelerated corporate growth and global expansion.

Vice President, Equity Trading • 9/11-Present

Promoted to introduce bank to the U.S. equity trading arena.

▶ **Captured \$3M+ annual savings by redirecting IT staff to focus on equity trading.**

- Orchestrated U.S. equity trading platform infrastructure, working with IT to install Tethys and Flextrade.
- Conceived, developed, and delivered U.S. client and proprietary trading strategies, hired and directed activities of ETF traders, and developed lucrative partnerships with sales traders and bankers.

▶ **Ignited corporate profit revenues, harnessing high frequency and statistical arbitrage trading strategies.**

- Executed ETF versus basket, ETF versus futures trades, client basket trades, and 10b-18 corporate buy back orders; established capital and risk systems for proprietary books; launched AP agreements.

Senior Director, Algorithmic and Program Trading • 2/11-9/11

Promoted to direct team of 6 quantitative, IT, and trading specialists in creating security algorithms to favorably position firm for acquisition, then guided newly-created business unit in expanding algorithmic order flow.

▶ Executed blind large GVPAP program trades for major buy-side client base.

Managing Director, Program Trading Desk • 3/10-2/11

Promoted to manage both client programs and proprietary trading book.

- Forged partnerships with senior finance and risk management specialists to direct large buy-side transactions, including billion dollar transition trades.

Director, Futures & Options Group • 1/09-3/10

Recruited to manage U.S. proprietary and client index arbitrage hedging transactions.

▶ **Pioneered the Chicago-based Institutional Equity Futures and Options Group; orchestrated infrastructure and staffing initiatives.**

Excellent Trading Group, Jersey City, NJ

7/08-1/09

Leading capital markets firm providing market access and trade execution services.

Vice President, Program Trading, Risk Trading Group

Recruited to create group to manage and hedge client orders; developed company's high frequency trading strategy.

▶ **Optimized client order flow, reduced buy-side exposure risk, and captured firm-wide cost savings by enhancing automated market analytics and futures, strengthening existing Flextrade alliance.**

- Implemented full-cycle Flextrade installation project, inception to delivery.
- Expanded trader product knowledge base from traditional products to include program trading.

Bank of Absolutely Best Corporation (formerly ABC & Company), New York, NY

6/04-7/08

Leading global financial institution with full range of banking, investing, asset management and other financial and risk-management products and services.

Director, Equity Swaps

Hired to work with hedge and large pension funds to expand SWAP transactions.

▶ **Introduced synthetic multi-currency ADR / ordinary hedge transactions for large convertible security.**

Education

BS, Finance, Fordham University, New York, NY • May 2004