

# Jennifer Rouse

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## Education

### Bachelor of Science in Business Administration

*Western International University*

Graduated summa cum laude

## Skills

- **Microsoft Office Suite:** Advanced proficiency in Excel, Word, PowerPoint, and Outlook.
- **Tamarac CRM:** Experienced in client relationship management, service requests, data management.
- **Tamarac Rebalancer:** Skilled in portfolio rebalancing, trade execution, and performance tracking.
- **AdvisorView:** Proficient in client reporting templates and reporting, Billing and reconciliation, composites
- **Salesforce:** Expertise in CRM, lead management, and workflow automation.

Dedicated Director of Operations and Chief Compliance Officer seeking a similar role to support a growing organization to improve operational efficiently and maintain a strong culture of compliance.

During my tenure, I am most proud of being responsible for receiving a "no further action" notice from the SEC after an exam. This is due to the processes and procedures and testing, oversight and training programs I put into place.

I was responsible for overseeing the teams that managed several changes in CRM, portfolio management software and document management solutions.

## Work History

### Director of Operations

*Summitry, LLC (formerly Golub Group) | January 2008 - Current*

- Developed, implemented, and monitored operational systems and processes to provide visibility into the goals, progress, and obstacles of key initiatives for the trading, IT, operations, finance and client support functions.
- Collaborated with other members of the executive leadership team on strategic planning.
- Designed new processes to improve quality or increase productivity & ensured staff were aware of operational best practices.
- Responsible for the evaluation, implementation and training on new technologies and software.
- Accountable for the overall finances of the firm, including budget and forecasting, compensation benchmarking and tracking, incentive compensation calculations, payroll, Invoices and expense reimbursement.
- Created the process and was responsible for the composite performance calculations and reporting.
- In charge of HR related functions including benefits, 401K administration and review, employee relations, performance improvement plans and other associated functions.
- Led the design and delivery of monthly and quarterly business metrics and KPI reporting, ensuring accuracy, consistency, and actionable insights for leadership and cross-functional teams.
- Owned end-to-end incentive compensation reporting, including bonus, profit-sharing, and commission calculations, aligning with organizational goals and compliance standards. Developed and maintained dynamic dashboards and custom reports in Salesforce to support real-time visibility into performance metrics and compensation data. Streamlined data workflows and reporting processes, improving efficiency and reducing manual effort through automation and system enhancements.

- Managed the client services, trading, finance, IT, compliance, and administration teams; responsible for mentoring and coaching direct reports, developing future leaders and fostering a team culture.

## **Chief Compliance Officer**

*Summitry, LLC (formerly Golub Group) | January 2008 - Current*

- Developed and monitored the Firm's compliance program, ensured that all activities met the requirements of state and federal regulatory agencies. Acted as liaison with regulatory agencies on compliance related issues in response to complaints.
- Coordinated all the SEC regulatory filings, including the ADV and 13F.
- Provided continued training and education for compliance and cyber security concerns.
- Tracked and documented all compliance processes and ensured firm-wide preparation for any examination, disaster or cyber incident.
- Participated in the ongoing implementation and execution of the risk assessment and tested program, including assessment of key business processes and critical business risk and controls, developed and updated risk matrix, documented and tested internal controls.
- Helped to foster an environment and culture of integrity, compliance, and honesty.

## **Client Service Manager**

*Summitry, LLC (formerly Golub Group) | December 2005 - December 2007*

- Served as a primary liaison between the Firm and the custodians.
- Completed daily administrative tasks and updates to internal systems.
- Coordinated client requests such as money movement, account opening, general reporting.
- Responsible for the quarterly reporting and billing.
- Investigated and answered operationally driven client and advisor inquiries.

## **Portfolio Administrator**

*Stafford Capital Management | September 1998 - December 2005*

- Updated internal systems.
- Reconciled, allocated and traded all accounts.
- Billing and quarterly reporting.
- Completed 13F filings.
- General office operations, including office supplies, vendor management and office equipment.
- Accounts receivable and payable.