



KIMBERLY ODANIEL

kimberly.odaniel@yahoo.com | 817-881-5100 | Euless, USA 76039

Summary

Accomplished Vice President at Atria Wealth Solutions, adept in regulatory compliance and staff development. Spearheaded licensing for multiple entities, enhancing efficiency and compliance. Proven leader in project management and team leadership, fostering employee engagement and driving significant improvements. Expert in navigating complex regulatory environments, demonstrating exceptional problem-solving and communication skills.

Skills

- Staff Development
- Project Management
- Regulatory compliance
- Time management
- Team leadership
- Employee Engagement
- Employee training
- Performance monitoring
- Problem solving
- Work planning
- Strong communication
- Process analysis

Experience

Atria Wealth Solutions | Dallas, TX
Vice President, Licensing & Registration Manager
09/2023 - Current

- Oversee the licensing and registration of six (6) broker-dealers, and five (5) insurance agencies.
- Lead a team of seven (7) licensing and registration coordinators remotely by making staffing decisions, completing annual performance reviews, providing coaching, and developing/ coordinating new hire and cross-training.
- Implement policies and procedures to ensure efficiency and compliance.
- Coordinate the implementation of annual registration renewals with a third-party vendor for broker-dealers.
- Review firm candidates' backgrounds, including criminal and financial history, prior to employment.
- Oversee and coordinate U4s, U5s, branch filings, agency license renewals, appointment requests, and book of business moves.
- Collaborate with legal counsel to update Form BD, U4s, U5s, and insurance agency licenses, including disclosures in NIPR.
- Monitor FINRA regulatory CE and IAR CE for advisors to ensure timely completion.
- Serve as a point of contact for advisors to resolve escalations and foster a positive partnership.
- Respond to regulatory disclosure letters on behalf of firm and/or representatives.

Schwab Charitable Fund |
Westlake, TX
Team Lead
09/2016 - 12/2022

- Serve as a dedicated liaison to donors/financial advisors providing immediate, articulate and thorough responses pertaining to financial contributions to a donor advised fund
- Inform potential clients the benefits and services provided by Schwab Charitable

- Work with clients and charities to facilitate donor directed grants & facilitate contributions
- Interview potential employees and provide development & growth opportunities
- Provide ongoing training, coaching and support to team members and implement annual engagement plan
- Handle escalations pertaining with donors and advisors to resolve concerns and minimize risk
- Collaborate with management to improve procedures and workflow
- Drafted policies and procedures while participating in development of Donor Relation expectations

FIDELITY INVESTMENTS | Westlake, TX

Compliance Advisor

04/2012 - 03/2015

- Implemented audit procedures while acting as a liaison with insurance licensing vendor to improve processes and lower costs to the Firm
- Audited files to ensure that all required documents are being maintained in the applicant files/records
- Verified employee database information is current and accurate
- Review vendor contracts and make recommendations for negotiated pricing
- Prepared and submit Forms U4 and U5 Regulatory Element Continuing Education, and amendments for Broker Dealer and Investment Adviser Associates
- Tracked and communicated the status of Associate registrations
- Provided guidance to business management and compliance contacts on all registration matters including policy, process, and regulatory requirements
- Maintained complete and accurate records by monitoring assigned incoming work, updating the registration database, maintaining Associate files and execute annual firm renewals
- Ensured compliance with internal policies regarding registration and supervision; rejected cases based on own interpretations in line with company guidelines
- Reviewed applicants for criminal arrests, charges and convictions to avoid firm liability in registering statutorily disqualified individuals
- Handled extremely sensitive and confidential information on behalf of any Fidelity broker-dealer and its employees
- Coordinated with the Compliance Analyst supporting FBS to ensure the timely completion of all internal reports created to monitor and review the registrations of individual registered representatives as well as the Supervisory Principals of the firm

STREAM INTERNATIONAL

Licensing Manager

08/2010 - 12/2011

- Coordinated hiring and pre-licensing of 500 agents in Rio Rancho NM and Watertown NY for Medicare contract
- Implemented companywide licensing procedures according to nationwide regulatory requirements
- Collaborated with licensing vendors for the state of New York and New Mexico to coordinate onsite testing of all licensed agents
- Coordinated licensing of all agents in resident state and client dedicated states via Sircon
- Participated in weekly meeting with internal customers and client
- Served as compliance SME from satellite offices nationwide
- Managed two (2) licensing coordinators remotely

HEALTHMARKETS

Product Compliance Supervisor

- Provided direction for Product Compliance Analysts and Technicians regarding difficult state objections, course of action and/or priorities in

08/2007 - 05/2009

accordance with Company and Regulatory standards

- Assisted manager with the maintenance of Analysts' product/form filing statuses; aided in the development and implementation of process changes as well as assisted in the drafting of new health products for filing with state insurance departments; participated in brainstorming sessions with Manager/Director of Product Compliance; attended meetings as needed on behalf of the Corporate Product Compliance Department
- Supervised 11 employees, provided daily coaching, weekly priorities/objectives and prepared performance evaluation reviews bi-annually
- Provided in annual budgeting and staffing recommendations

CAMBRIDGE INTEGRATED SERVICES
GROUP, INC/ AON CORPORATION

Licensing Manager

06/1997 - 08/2007

- Filed and maintained third party administrator licenses for four (4) corporations, adjuster licensing (firm and individuals), and agent/agency licenses
- Maintained Continuing Education database for 2000 agents and adjusters
- Prepared annual report filings for third party administrators, work with various departments to secure required data for timely submission
- Monitored, reviewed and analyzed legislation relating to licensing and all lines of insurance administration
- Registered and renewed corporate filings with Secretaries of State; prepare corporate minutes, merge subsidiaries into parent
- Worked with state regulatory agencies to resolve inquiries and coordinated regulatory audits
- Collaborated with vendor in development of licensing program to meet company needs
- Supervised three (3) employees, provide daily coaching and prepare performance evaluation reviews bi-annually
- Prepared annual budget proposals
- Panelist at SILA national conference multiple years as SME for regulatory compliance licensing
- Assisted company offices nationwide with compliance issues, reviewed state statutes
- Reviewed pending/new regulations for business impacts with communications to principal with procedure implementations

Education

University of North Texas | Denton, TX

Bachelor of Arts (B.A.) in Political Science