
JAMES HOBSON

◆ C: _____ jchmoney1@gmail.com

PROFESSIONAL SUMMARY

Well-established OSJ/Financial Manager who leverages exceptional communication skills to build quality relationships, and is equipped with an in-depth working knowledge of the financial industry.

SKILLS

- Exemplifies integrity
- Special task forces
- De-escalation techniques
- Crisis intervention specialist
- Report writing
- Public speaking
- Customer service
- Client development
- Interpersonal skills
- Advanced computer proficiency
- Complex problem solving
- Strong conflict resolution skills

WORK HISTORY

Owner/OSJ Branch Manager, 01/2011 to Current

Hobson Investments Strategies – North Chesterfield, VA

- Owner/President of an independent financial services office.
- OSJ Branch manager for 80+ reps and four sub-OSJ offices around the country.
- Duties include overseeing the day-to-day compliance operations for the entire Branch to include: trade review, product suitability, email supervision, customer complaints and compliance education/firm element.
- Conduct Branch visits to ensure compliance standards are met.
- Manage a book of client business to include analyzing investment products and develop customized financial strategies for clients' financial needs.

Vice President Marketing/Registered Financial Rep, 07/2000 to 01/2011

Professionally Selected Programs – Midlothian, VA

- Managed project deadlines and monitored milestones through completion stage.
- Worked closely with clients to identify their needs and challenges.
- Facilitate branch meetings which covered multiple topics to include vendor presentations, product education, and compliance related issues and information.

- Cultivated relationships with key Broker/Dealer home office executives and staff to achieve expanded and seamless cross-functional organization and processes.
- Served on multiple advisory boards mostly geared towards compliance.

Police Officer, 03/1996 to 07/2000

Jacksonville Sheriff's Office – Jacksonville, FL

- Actively patrolled assigned areas.
- Talked regularly with citizens to establish rapport.
- Conducted preliminary investigations at crime scenes
- Conducted interviews and interrogations.
- Responded immediately to all calls for services.
- Gathered necessary information for court appearances
- Testified as a witness under oath in court.
- Led undercover sting operations.
- Assisted in special investigations and crime prevention programs such as the narcotic task force, the community policing program, and solving crime issues in specific areas of the City.

EDUCATION

Bachelor of Science: Criminology, 1994

Florida State University - Tallahassee, FL

CERTIFICATIONS

- Securities licenses 6,7,24,63,66
- Certified Wealth Strategist
- Hostage Negotiations Certification
- Interview Techniques Certification

ACCOMPLISHMENTS

- Multiple Branch Leader awards
- Police Commendation - Exceptional Performance of Duties - 2000

James Hobson

| jchmoney1@gmail.com

Financial Services Commission
Office of Financial Regulation
State of Florida

Dear Financial Services Commission:

I would like to submit my application to the State of Florida, for the Office of Financial Regulation Commissioner position.

I started in the financial services business 19 years ago. Prior to that I was police officer in Jacksonville, FL. My career has been built around the idea of compliance and doing what is right. I see this opportunity as an incredible way to put what I have learned and the experience I have into helping drive meaningful policies. Policies that are built on common sense, efficiencies, accountability, and are financially responsible.

Currently, I am a managing partner and Head of Compliance/OSJ for an organization representing 90 advisors and 5 sub-OSJ offices in multiple states with an independent broker dealer. The organization I am part of manages over \$2B in assets across multiple product lines. This has given me the experience to manage multiple business models, product vendors, a firm understanding of regulations, advisor and client personalities. As well as interact with executive management, business leaders and a few politicians along the way. I currently do and have sat on advisory boards for different broker dealers. I have been fortunate to attend many industry functions which lead me to forging great relationships with home office personnel, product sponsor companies, and many advisors around the country.

Since starting my professional career 23 years ago, I have learned that all business is as much about people as anything else. My mentor told me business is 2% product and 98% people. This position and all it entails is no different. As I grew up in Florida, I can not think of a better way than to move back and serve the great people of the state.

Sincerely,



James Hobson

Hobson, James (External Candidate)



✉ jchmoney1@gmail.com

▼ Application

Status: **New**

Country: **United States**

Attachments to be included in all Job Submissions: **📎 Submission Attachments 0 attached**

Attachments Added After Submission: **📎 Submission Attachments 0 attached**

Vacancy Source: **Agency Website**

Relatives: To your knowledge, do you have any relatives working in this agency? **No**

Gender: **No Selection**

Race (Check only one): **I do not wish to answer**

Ethnicity (Check only one): **Not Hispanic or Latino**

Date of Birth:

Right To First Interview: **Not Applicable**
 If you responded yes to the above statement, attach a copy of your official layoff letter when applying for this vacancy.

Veteran Status: **None of the Above**

ARE YOU CURRENTLY EMPLOYED WITH THE AGENCY TO WHICH YOU ARE CURRENTLY APPLYING? **No**

HAVE YOU RECEIVED A PROMOTIONAL APPOINTMENT WITHIN THE CAREER SERVICE, SUBSEQUENT TO ACTIVE MILITARY SERVICE, WITH THE AGENCY TO WHICH YOU ARE APPLYING? **No**

No Selection

▼ Comments

There are no items in this section.

▼ Correspondence

Date: 01/29/2019 User: **People First** Action: **Email**
Thank You for Your Interest in Job COMMISSIONER OF...

▼ Offer Letter

There are no items in this section.

▼ Application Status Audit Trail

Date: 01/29/2019 User: **People First** Status: **New**

▼ Tags

There are no items in this section.

▼ More Information

Alternate Phone Number:

* Mailing Address :

* City

* State:

People First Initial VP Review

People First Eligible VP Category (if different)

No Selection

Agency Final VP Eligibility Review

No Selection

Agency Final VP Category Determination

No Selection

Background Information

A "yes" answer to these questions will not automatically bar you from employment. The nature, job-relatedness, severity, and date of the offense in relation to the position you are applying are considered. [see 112.011, F.S.].

Have you ever been convicted of a felony or a first degree misdemeanor ?

No

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever pled nolo contendere or guilty to a crime which is a felony or a first degree misdemeanor ?

No

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever had the adjudication of guilt withheld for a crime which is a felony or first degree misdemeanor ?

No

* ZIP Code:

* Country

United States

* Exemption from public record: Are you a current or former law enforcement officer, other covered employee** or the spouse or child of one, whose information is exempt from public records disclosure under Section 119.071(4)(d), Florida Statutes (F.S)?

Yes

* Citizenship: The State of Florida hires only U.S. citizens and lawfully authorized alien workers. You will be required to provide identification and either proof of citizenship or proof of authorization to work in the U.S. Are you a U.S. citizen or legally authorized to accept employment with the specific hiring authority to which you are applying?

Yes

* Selective Service: Section 110.1128, Florida Statutes, prohibits employment by the state (including re-hire after a break in service) of any male born on or after October 1, 1962, who failed to register with the Selective Service System, under the provisions of the U.S. Military Selective Service Act, during the person's period of eligibility (ages 18 through 25). Additionally, if currently employed by the state, this law prohibits the promotion of such person. You may be required to provide documentation. If you are a male born on or after October 1, 1962, have you registered with the Selective Service or do you have proof of an exemption from this requirement?

Yes

If yes, what were the charges ?

Where ? (City/State)

Date

Signature

I am aware that any omissions, falsifications, misstatements, or misrepresentations above may disqualify me for employment and, if I am hired, may be grounds for termination at a later date. I understand that any information I give may be investigated as allowed by law. I consent to the release of information about my ability, employment history, and fitness for employment by employers, schools, law enforcement agencies, and other individuals and organizations to investigators, human resources staff, and other authorized employees of Florida state government for employment purposes. The consent shall continue to be effective during my employment if I am hired. I understand that applications submitted for state employment are public records. I certify to the best of my knowledge and belief all of the statements contained herein and on any attachments are true, correct, complete, and made in good faith.

If applicable, Complete Qualifying Questions prior to submitting your application.

By checking this box, I certify that I have read and agree with these statements

Yes

Interview Result

overdueInterviews

▼ **Screening Details**

Are you legally authorized to work in the United States?

Yes

Will you now or in the future require sponsorship for employment visa status (e.g. H-1B visa status)?

No

Do you have five (5) or more years of responsible private sector experience working full-time in areas

Yes

within the scope of the subject matter jurisdiction of the Office of Financial Regulation within the last ten (10) years?

If you answered "yes" to the previous question, please indicate the number of years of experience and elaborate in detail your experience. If no, please respond N/A.

I have had increasing responsibility since starting my professional career 23 years ago. This includes supervisory responsibilities while I was a member of the Jacksonville Sheriffs Office. In the financial services business I started out with product and business marketing which then led to compliance and audit functions. I continued down the compliance path which now has led me to managing all the compliance functions for our company. This includes, audits, trade review, supervision and surveillance of trades, client communications, advertising review, advisory council member and regulatory reviews.

Do you have five (5) or more years of experience as a senior examiner or other senior employee of a state or federal agency having regulatory responsibility over financial institutions, finance companies, or securities companies?

No

If you answered "yes" to the previous question, please indicate the number of years of experience and elaborate in detail your experience. If no, please respond N/A.

Not of a regulatory agency

Do you claim exemption from the public records law under the provision of the Florida Statutes 119.071(4)? If so, please provide exemption category.

No

▼ Periods of Employment

* Name of Employer	Hobson Investment Strategies
* Your Job Title	Owner/Branch manager
* Currently Employed	Yes
* Start Date	01/01/2011
* End Date	MM/DD/YYYY
* Hours Per Week	40
Employer's Address	557 Southlake Blvd. Ste A N. Chesterfield, Va 23236

Supervisor's Name	Self
Supervisor's Phone Number	
* Duties and Responsibilities	OSJ Branch Manager/ Head of Compliance for branch and partnership.
* Reason For Leaving	N/A
Your name, if different during employment	
* Name of Employer	PSP
* Your Job Title	VP Marketing/Compliance
* Currently Employed	No
* Start Date	07/03/2000
* End Date	01/01/2011
* Hours Per Week	40
Employer's Address	10620 Trade Rd. Richmond, Va 23236
Supervisor's Name	
Supervisor's Phone Number	
* Duties and Responsibilities	Marketing financial products/services to reps and worked on compliance for branch office.
* Reason For Leaving	New Position
Your name, if different during employment	
* Name of Employer	Jacksonville Sheriffs Office
* Your Job Title	Police Officer
* Currently Employed	No
* Start Date	03/26/1996
* End Date	07/01/2000
* Hours Per Week	40-50
Employer's Address	501 E. Bay St. Jax Fl
Supervisor's Name	n/a

Supervisor's Phone Number n/a

* Duties and Responsibilities street patrol, investigations, narcotics etc

* Reason For Leaving private sector

Your name, if different during employment

▼ Formal Education

* Name of School The Bolles School

* Location Jacksonville, FL

* Start Date 09/08/1986

End Date 05/31/1990

Course of Study

* Degree Earned (transcripts may be required) High School Diploma

Credit Hours – Quarter

Credit Hours – Semester

* Name of School Florida State University

* Location Tallahassee

* Start Date 08/17/1992

End Date 05/02/1994

Course of Study Criminology/Criminal Justice

* Degree Earned (transcripts may be required) Bachelors

Credit Hours – Quarter

Credit Hours – Semester 120

▼ Language Skills

There are no items in this section.

▼ **License, Registration or Certification**

* License, Registration or Certification multiple securities licenses 6,7,24,66

Number

State Licensing Agency

Received 07/01/2000

Expires MM/DD/YYYY

▼ **Job-Related Training or Course Work**

* Name of Institution Cannon Financial Institute

* Start Date 05/01/2012

End Date MM/DD/YYYY

* Training Course Certified Wealth Strategist

* Training Completed Yes

▼ **Knowledge, Skills and Abilities**

Knowledge, Skills and Abilities Interpersonal Skills

Knowledge, Skills and Abilities Problem Solving

Knowledge, Skills and Abilities Extensive Knowledge of Financial Securities and Compliance