

# Barry Eller

## BRANCH EXAMINER

### CAREER HIGHLIGHTS

#### ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

##### BRANCH EXAMINER

- Conduct hundreds of abbreviated and routine inspections nationally.
- Support clients on a range of additional outsourced compliance engagements, including advertising review and electronic communications review.

#### CAMBRIDGE INVESTMENT RESEARCH, INC, Phoenix, AZ

##### REGIONAL DIRECTOR

- Provided compliance consultation to more than 130 advisory firms and advisors, resulting in a 23% reduction in paperwork errors.
- Developed best practices and training materials for financial advisors, enhancing operational efficiency.
- Promoted business continuity strategies leading to the retention of 6 advisory firms.

#### DENALI FINANCIAL AND BENEFIT PLANNING, Phoenix, AZ

##### PRINCIPAL

- Recruited and trained advisors in financial products and sales strategies, preparing for firm acquisition.

#### BBVA COMPASS BANK, Denver, CO

##### SVP INVESTMENT SALES /REGIONAL INVESTMENT SALES MANAGER

- Restored team reputation, achieving 80% bonus qualification among branch managers for investment sales.
- Increased referrals and cross-collaboration with HNW clients, resulting in a 100% increase in joint engagements.

#### ING/VOYA FINANCIAL, Phoenix, AZ

##### REGIONAL VP – TAX EXEMPT RETIREMENT MARKETS

- Led continuous improvement initiatives in recruiting and sales processes, resulting in profitable territory performance.
- Achieved the largest educational retirement plan acquisition in Arizona through targeted training and relationship building.



### REGISTRATIONS & CREDENTIALS

- Series 6 - Investment Company and Variable Contracts Products Representative
- Series 7 – General Securities Representative
- Series 24 – General Securities Principal
- Series 51 – Municipal Fund Securities Limited Principal
- Series 53 – Municipal Securities Principal
- Series 63 – Limited Representative – Equity Trader
- Series 65 – Securities Trader Representative
- Series 66 – Uniform Combined State Law
- Accredited Investment Fiduciary
- Life Underwriter Training Council Fellow

### AREAS OF EXPERTISE

- Compliance Oversight (OSJ)
- Business Planning & Strategy
- Team Development & Coaching
- Relationship Management
- Project Management
- Regulatory Compliance

**METLIFE RESOURCES, Phoenix, AZ**

**REGIONAL MANAGING DIRECTOR**

- Developed a robust training program for compliance personnel, enhancing advisor relations and sales performance.
- Implemented strategic systems that led to a 40% increase in business.

**EDUCATION**

**BRIGHAM YOUNG  
UNIVERSITY — PROVO, UT**

Bachelor of Arts

**CITY UNIVERSITY OF  
SEATTLE — SEATTLE, WA**

MBA (Finance)

