

Marianne Leone

Principal

mleone@techpargroup.com

Operational Process & Project Management – Risk Reduction- Operations Management

Ms. Leone is an Operations Business professional who enjoys leveraging the power of technology to improve process efficiencies and mitigate risks. An experienced manager able to make decisions based on need, changing regulations, new product offerings and optimizing productivity within the organization. A senior business professional with a unique blend of business and project management experiences, effective in liaising between business, operations and IT as well as communicating with integrity to all levels of an organization. Responsible for Strategic Business Plans, cost reduction initiatives, P&L oversight, KPI's and benefits analysis.

Highly effective in:

- Process re-engineering
- Workflow Design
- Project Governance
- Strategic Planning
- Risk Mitigation
- Audit Resolution
- Metrics Reporting (KPIs)
- Operations/Business Process Management
- Change Management
- Project Management
- Talent Development
- Business Requirements
- Analytical Skills
- Critical Thinking
- Problem Solving
- Presentation Skills
- Communication Skills

HIGHLIGHTED CAREER ACHIEVEMENTS

- SEC Audit Response required an in-depth review of the Billing process eligibility calculations and provide assurance that both the Business and Operations had controls in place to attest to the accuracy of client billing. (Morgan Stanley)
 - Transformation of the Billing System, Process and Policies to increase transparency to Clients and Revenue Capture for the firm by moving from Quarterly Billing to a Monthly Billing Cycle improving Client and FA experience.
 - In lieu of an SEC monitor, created a Fee Accuracy and Remediation team responsible for periodic testing of all Billing Scenarios, reporting systemic, manual and branch related issues affecting more than one account internally and to the SEC for a period of 3 years.
 - Developed increased controls, analytics and reports for variable scenarios allowing the team to analyze large volumes of accounts and address billing inconsistencies and issues through remediation and changes in process.
 - Partnered with the Product and Tech teams in Mutual Funds, Alternative Investments and Annuities on system improvements to create a monitoring tool of changes to security eligibility, providing oversight and possible impact to account billing, correcting multiple system inefficiencies, directing changes to policies and disclosures and eliminating risk in response to Audit finding.
- Internal and Compliance Audits of the Institutional Graystone Consulting process which provides a highly complex level of service to 60 prestigious FA teams, performing billing and oversight for more than 30K large Corporations, Unions, Charitable Foundations, ERISA and 401K plans required that the firm move to an automated process for account enrollment, receipt of data on held away assets and billing of Client asset fees. (Morgan Stanley)

- Created a business case for and secured funding on this mandatory “Change the Bank” process
 - Developed along with Business and Tech Teams a contract onboarding tool allowing the capture of contract attributes and mapping of Custodial and Record Keeper information associated with held away Institutional Advisory Clients.
 - Streamlined the capture of asset value information by onboarding a Data Aggregation Vendor enabling the capture directly from Custodian feeds or Statements via the firms OCR capability
 - Allowed for the intake of position values and eligibility checks of assets, calculation of asset-based fees, thus eliminating paper statement and attestations by the FA and reducing risk of potential billing inaccuracies
 - Instituted additional oversight and testing as part of the Fee Accuracy process for Retail Advisory accounts to ensure accuracy of data used for client billing.
- As part of the DOL Best Interest proposed ruling several changes were required. In response to the pending ruling additional oversight and financial changes were required. (Morgan Stanley)
 - Partnered with Business and a Vendor solution for the firms Revenue Share Billing of Fund Partners in response to the DOL Best Interest ruling streamlined the contracts for 400+ Partners to create consistent billing rates and introduced a client Platform Fee to preserve the \$450M in revenue for the firm.
 - Created a 6-month lookback to ensure that clients moved from Brokerage to Advisory were advantaged by the move testing to ensure that they met certain criteria such as Increased Assets, Traded periodically, Plan Reviews were Performed and Fees were proportionate to the commissions previously charged while in Brokerage status
 - Implemented a Rollover attestation and client communication process to ensure solicited movements of 401K assets were to the clients’ advantage.
- Participated in numerous internal and external audits inclusive of the firms SSAE18, FICA and 10K reviews.
 - Responsible for the walk through or Controls, KPI’s, Desktop and Supervisory Oversight Procedure review
 - Worked with Auditors to create Action plans on deficient systems, used Audit to secure funding for changes Operations required for efficiency and risk reduction measures on manual processes often resulting in the ability to downsize staff or reallocate to other areas.
- Speed to market resolution for multiple manual billing components required the integration of a Billing Vendor System which incorporated the billing processes for various Product Areas. (UBS)
 - Partnered with Tech and Business to perform an RFP on Billing Vendor Systems
 - On-boarded Vendor System for UBS to use internally on the calculation of Revenue Sharing fees for Mutual Funds and Annuities, Trails & Commission processing for Insurance & Annuities, Financial Plan Client Billing, DVP and Asset Held Away billing for Institutional Consulting Advisory accounts incorporating automated files for FA compensation and Firm Accounting of revenue.

EMPLOYMENT SUMMARY

TechPar Group, LLC
Morgan Stanley
UBS Financial Services
Reserve Management Corporation
Thomson McKinnon Securities

2020 - Present
2014 – 2020
2000-2014
1989-2000
1980-1989