



DANIEL NOLE

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Finance & Operations / Business Development / Team Building / Strategic Planning / Forecasting & Risk Assessment / Compliance

My approach to leading with today's talent is a player/coach style. Lead by example. They appreciate the "trench warfare" willingness when appropriate. An effective leader is then able to build an intimate team environment while still effectively business managing, able to alternate between a ten-thousand-foot group perspective and a ground-level Individual perspective.

My path has allowed me to build an incredibly diverse network of business leaders across many sectors, while navigating the most complex financial environment in history, providing me with a unique level of expertise rarely matched in the capital markets. We won regulatory approval for the first SEC approved ATS "Dark Pool," turned around & sold the first independent algorithmic agency trading firm. I've been fortunate to hone my skills while working for both traditional public companies and smaller hyper-growth firms. My strengths are in understanding the macro vision, while maintaining a firm grasp of the details needed to turn that vision into reality, through savvy business development, complex financial modelling & practical application.

EXPERIENCE SUMMARY

Executive Business Leader: A motivated "Hands On" individual with strong organizational & managerial skills, gained over twenty-five years in executive management. A strong team leader & motivator with broad experience, a progressive approach & a track record of getting it done under budget and in record time. A technology-minded, forward-thinking problem solver, possessing sales moxie, complex financial modelling skills and the operational experience to back them up.

*BA in Economics & Geography
Colgate University*

*MS in Accounting
New York University, Stern School of Business*

CORE PROFICIENCIES

- Sales Leadership / Business Development Expertise
- Team Leader / Mentor / Coach
- Complex problem-solving skills
- Project management, forecasting & business modelling
- Continuous process and goal refinement
- Budget management attaining revenue & margin goals

SELECTED ACHIEVEMENTS & SKILLS

- **Successfully project managed and earned regulatory approval for the first SEC approved Alternative Trading System ("Dark Pool").** At NYFIX Millennium, we won regulatory approval and brought the ATS to market in 6 months, under budget and in record time.
- **Modelled & managed initiatives, instrumental in company turnaround.** At Vie Financial, we retooled our product set, cut costs and were able to create a marketable algorithmic agency trading firm that was successfully sold to Piper Jaffray.
- **Project managed the creation of a new transaction services broker/dealer and a new clearing corporation.** At NYFIX, we created a transactional broker dealer and a clearing corporation, won regulatory approval and brought those subsidiaries operational in 8 months, under budget and in record time.
- **Successfully Introduced New Product lines.** At Xasax, FTEN and NYFIX Millennium, created financial models and business plans to introduce new product lines that expanded the revenue potential of those companies.
- **Expanded operations into Europe, India & the Pacific Rim.** At Portware, created financial models, successfully expanded operations, opening offices in London, UK, Hyderabad, India & Hong Kong to support new business model.
- **Successfully merged two businesses.** At Cortel, created financial models, leading to the successful purchase and merger of two competing interests into a leading market presence.

EXPERIENCE

Nole Consulting, Randolph, NJ (7/2020 – Present)

Business Compliance & Operations Consultant

Consulting on Sales team building; Broker/Dealer Compliance & Operations; Start Up formation & Structure; and Hedge Fund Operations.

- Consulted in the formation of companies. Installed policies & procedures; set up the systems & hired the initial staff.
- Consulted on business startup, Initial sales launch strategies and growth through business development.

Nole Consulting, Continued

- Searched for and located businesses as investment opportunities for hedge fund portfolio managers.
- **Pelleton Renewables Inc.**, Randolph, NJ (9/2022 - Present)
Renewable Energy Company. Contracted as CFO of Delaware, US affiliate in R&D Phase of Development.
 - Managing all aspects of US business Operations.
 - Project Managed the relocation of the Dover, NH Wastewater facility to storage in Lebanon, PA, staged for transportation to production environment.
- **Manger Square Equity Partners**, Randolph, NJ (8/2023 - Present)
Boutique Private Fund & Hedge Fund Incubator.
 - Managing all aspects of business operations.
 - Business provides white glove services (Accounting/Operations) to serial entrepreneurs and certified financial analysts.
- **Premier Implant Center**, Randolph, NJ (2/2022 - 11/2022)
Dental Implant Sales. Contracted to Initiated Sales Effort & Prepare Sales Infrastructure.
 - Built sales methodology; wrote & implemented sales literature, sales plan, & sales representative agreement.
 - Launched sales email advertising campaigns and established a healthy sales pipeline.
 - Filled online training system with a wealth of case study material, documenting all customer interactions, through captured audio files & written notes during six months stretch of hyper engagement.
 - Interviewed sales manager candidates, provided hiring & timing recommendations.

Antarctica Capital, New York, NY (7/2019 – 6/2020)

Director of Broker/Dealer & Credit Operations

Antarctica is an investment firm headquartered in New York specializing in real assets & insurance.

- Project Managed two credit hedge funds including entity formation, system set up and launch preparations.
- Utilized personal contacts to engage and liaise with all needed Fund counterparties (Bank/Audit/Custodial).

Cortel Business Solutions, New York, NY (5/2010 – 6/2018)

Vice President of Finance and Administration

Cortel was a provider of both Telecommunication Products & Services and Access Control Products & Services.

- Prepared financial models leading to a merger of competitors, creating a stronger market presence.
- Managed all aspects of business operations: bank, legal, insurance & network, interacting with key stakeholders.
- Oversaw all financial & administrative functions, including negotiating vendor and customer contracts.
- Searched for and managed the successful replacement & deployment of a new operating CRM and accounting system.

Xasax Corporation, New York, NY (6/2008 – 8/2009)

Chief Operations Officer / Chief Financial Officer

Xasax was providing ultra-low latency financial network solutions to high-frequency traders, hedge funds, & service providers.

- Prepared models projecting revenue & costs of new extensions of our fiber optic network (under construction).
- Managed business relationships, local & abroad: bank, legal, insurance & network, interacting with key stakeholders.
- Oversaw all financial, operational & administrative functions, including negotiating vendor & customer contracts.

FTEN, Inc., New York, NY (8/2007 – 3/2008)

Chief Operations Officer

FTEN is a technology firm providing high speed risk management & compliance reporting solutions to financial markets.

- Prepared financial models for the successful European expansion.
- Oversaw implementation management and technical support.

Portware, LLC, New York, NY (1/2005 – 8/2007)

Chief Operations Officer

Portware is a leading developer of broker-neutral, automated trading software for equities, futures, options & FX.

- Prepared financial models which lead to the eventual expansion to Europe, India and the Pacific Rim.
- Oversaw all operational & administrative functions of Company.

Vie Financial Group, New York, NY (5/2003 – 12/2004)

Chief Operations Officer / Chief Financial Officer / Compliance Director

Vie Financial Group provided high performance trading services, to institutional investors and broker-dealers, that was fast, efficient, and nearly invisible to the market. A merger of Ashton Technologies and Optimark Technologies, Vie eventually sold to Piper Jaffray, merged with Sandler O'Neill, becoming Piper Sandler.

- Prepared financial models and managed the cost cutting moves that facilitated the turnaround.
- Managed business relationships, local & abroad: bank, legal, insurance & network, interacting with key stakeholders.
- Oversaw all financial, operational, compliance & administrative functions of Company.
- Managed all legal issues and negotiated the terms & conditions of all vendor and customer contracts.
- Acted as firms Executive Representative to all Regulatory Organizations; Prepared & submitted all regulatory reporting documents; completed all regulatory audits and oversaw all external audits.
- Supervised the handling of incoming customer orders, trading activity & all back office clearing functions.
- Revised & maintained Firm Supervisory Procedures to ensure compliance with applicable laws, rules & regulations.
- Supervised, trained & provided continued education programs for all Registered Representatives.

NYFIX Millennium, NYFIX Transaction Services, & NYFIX Clearing Corp, New York, NY (1/2001 – 5/2003)

Chief Financial Officer, Vice President of Broker/Dealer Operations, Compliance Director

NYFIX Millennium, LLC is an Alternative Trading System (ATS) and NASD registered broker/dealer operating an online securities trading platform that matches institutional buyers & sellers electronically.

NYFIX Transaction Services, Inc. is a Direct-Access provider to medium and small Broker/Dealers.

NYFIX Clearing Corporation is the Clearing facility of the broker/dealer subsidiaries and their customers.

- Managed business relationships, local & abroad: bank, legal, insurance & network, interacting with key stakeholders.
- Oversaw all financial, operational, compliance & administrative functions.
- Was responsible for negotiating the terms & conditions of all vendor and customer contracts, submitted all necessary agreements to ACT & NSCC for proper trade reporting & transaction clearance.
- Acted as firms Executive Representative to all Regulatory Organizations; Prepared & submitted all regulatory reporting documents; completed all regulatory audits & oversaw annual audits by external auditors.
- Member, Sarbanes/Oxley Committee of NYFIX, Inc. Implemented controls, policies & procedures for BD Subs. Supervised the handling of incoming orders, the Help Desks, any trading activity, & all back office clearing functions.
- Created & maintained Firm Supervisory Procedures to achieve compliance with applicable laws, rules & regulations.
- Supervised, trained & provided continued education programs for all Registered Representatives.

CHARITABLE WORK

Autism New Jersey, Robbinsville, NJ (5/2015 – 3/2018)

Member, Board of Trustees; Chairman, Board Finance Committee.

DLC Church, Jersey City, NJ (2/2006 - 9/2008)

Member of the Church Finance Committee.

Sensory Kids, Jersey City, NJ (7/2009 - 9/2009)

Installed a new accounting system, policies, and procedures for capturing and processing all business transactions, including the handling & processing of insurance claims and payments.

EDUCATION

Colgate University, Hamilton, NY

Bachelor of Arts, Economics & Geography

Dean's List Honors, Varsity Football & Lacrosse, Sigma Chi Fraternity

New York University, Stern School of Business, New York, NY

Master of Science, Accounting

PROFESSIONAL LICENSES

Professional Licenses formerly Held: Financial Industry Regulatory Authority Licenses -Series 7, 9, 10, 24, 27, 55 & 63.