

Shawn Peterson

Senior Manager, Operations

Shawn-Peterson.com

 Shawnpeterson.tda@gmail.com

 402.679.5969

 Keller, TX

 [Linkedin.com/in/shawn-peterson-50162261](https://www.linkedin.com/in/shawn-peterson-50162261)

EDUCATION

Bachelor of Science Finance
Southern New Hampshire
University, 2021

Distinguished Scholar Winner
(Top of my class)

FINRA Series 7, 63, 24, 4
Completed in less than 5
months on my own time

LEAN Certified (August 2017)

ACHIEVEMENTS

3-time TOPS winner

30+ TOPS nominations

20+ Professionals hired,
mentored, and promoted to Sr.
Manager level or higher

1st Manager/Sr. Manager to
complete LEAN certification in
Operations

Highest performing team
productivity for 12+ years
straight

Among highest engaged teams
in firm never below 94%
sustainable engagement

PROFESSIONAL EXPERIENCE

Sr. Manager, Tax & Cost Basis

November 2011- Present

TD Ameritrade/Charles Schwab, Westlake, TX

- Supervised teams with 25+ direct reports
- Engineered BCP planning tests and established documentation testing for Government Reporting, Tax Services, Cost Basis, and Retirement Accounts
- Implemented mock testing for Tax Services conversion from TD Ameritrade to Charles Schwab
- Directed engagement survey follow up for entire Managing Director organization of over 20 teams and over 150 individuals
- Oversaw various projects and rollouts to accommodate new reporting requirements to meet IRS standards
- Established relationships across different business units to effectively collaborate and problem solve efficiency and client experience related issues
- Resolved and advised on escalated high net worth client related inquiries
- Mitigated risk through oversight, sign-off and development of key department controls
- Compiled and analyzed key performance data to establish targets for ensuring tax season service levels were met
- High level experience with change management including combining of teams within Tax Services, leadership changes, and our firm being acquired by a competitor with 0% attrition rate to date
- Coaching and mentoring individuals across all business units to achieve firm and personal career objectives
- Established a culture of high performance and fun, which has led to recruiting and retaining top talent, while maintaining amongst the highest engagement scores across the firm during my tenure
- Established offshore processing in India through onsite supervision, training, and support
- Designed my own licensing training program that has helped over 500 individuals with brokerage licensing exams
- Developed the IDP Assistant Tool (Individual Development Plan) which is an interactive application that has a decision tree that helps provide guidance to associates and leaders to help facilitate career development discussions enterprise wide
- Experienced with public speaking in large venues with senior leadership
- Partnered with peers at Charles Schwab after acquisition was announced to establish relationships and create a shared vision of the combined firm through Ops Activators and Ambassadors programs
- Forecasted volumes for capacity planning and analyzed that data to provide scalability assessments

Team Manager, Retirement Account Services

September 2008 - November 2011

TD Ameritrade/Charles Schwab, Fort Worth, TX

- Established Operations Quality Assurance programs
- Oversaw a team of reconciliation and processing specialists
- Developed reporting to manage associate performance within Retirement Account Services
- Coordinated efforts for maintaining and testing our written supervisory procedures
- Founding member of our Operations President's leadership council
- Implemented BPO for Retirement Accounts through over 20 weeks in India of onsite support and training
- Analyzed and forecasted monthly departmental volumes
- Spearheaded departmental business continuity testing
- Conducted six sigma analysis for process improvement efforts within the organization