

Alicia Adams

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CLIENT SERVICE LEADER

Client servicing and self-driven leader with extensive financial servicing experience; well-versed in banking industry regulations, standards, and best practices. Leveraged as a subject matter expert for global training, strategic development, and risk management assignments.

AREAS OF EFFECTIVENESS

Relationship Building | Staff Management | Training and Development | Process Implementation
Solution-Oriented | Account Reconciliation | Interpersonal Communication | Multitasking Abilities | MS Office

PROFESSIONAL EXPERIENCE

NORTHERN TRUST COMPANY, Tempe, AZ

Trade Settlements Manager

01/2016 - 04/2023

Hired and managed ten employees supporting Corporate Action events, Book Entry, MBS Factor Adjustments, TMPG Claims, Fed Settlements, Book Entry and CBRS functions. Developed and mentored employees into a robust and competent team. Collaborated with senior management to develop strategic initiatives and long-term goals.

- Effectively migrated Trade Settlements to Tempe, AZ.
- Researched and reconciled general ledgers, cash, and stock breaks to ensure accounts were balanced and in line.
- Redefined procedures to improve productivity and efficiency, eliminating 2 FTEs.
- Conducted semiannual business resiliency testing with the Federal Reserve to ensure continued operations during system failure.
- Conducted semiannual SOX and internal financial audits to test internal controls for compliance.
- Resolved repetitive settlement issues and recommended actions and system enhancements to increase automation.
- Identified opportunities to improve workflows and turnaround times by mitigating unnecessary handoffs.

Trade Settlements Manager, Chicago, IL

10/2013 - 01/2016

Supervised staff of 6 partners responsible for intake, trade execution, and safekeeping of physical securities valued at over \$200MM.

- Performed annual audits of 300+ physical certificates at Depository Trust company to ensure compliance.
- Oversaw teams in Bangalore, India responsible for Book Entry and Cost Basis Reporting.
- Reviewed and approved large cash wires daily.

2nd VP, Consultant/Senior Consultant

06/2005 - 10/2013

Partnered with technology to identify, develop, and negotiate strategic solutions, increasing straight-through processing by 10%. Assisted business units with user testing and implementing new products and processes. Collaborated directly with business partners at all levels to identify areas of improvement.

- Successfully migrated three functions, Trade Processing, Book Entry, and Cost Basis Reporting, from the U.S. to Bangalore, India, resulting in significant cost savings.
- Assessed current and future client needs and priorities through monthly service calls between business units and client servicing teams.

ADDITIONAL RELEVANT EXPERIENCE

NORTHERN TRUST CORPORATION, Chicago, IL | Earlier Roles (1994-2005) Team Leader

Monitored team performance and provided constructive feedback to increase productivity and maintain quality standards. Built strong relationships with internal partners and clients through a positive attitude and attentive responses. Communicated with Investment Managers and Brokers to resolve complex settlement issues.

- Collaborated with Investment Managers and Client Servicing Teams to identify areas of improvement and devise solutions based on findings.
- Monitored workflow queues to ensure timely and accurate processing of 1000+ trades per day.
- Helped meet changing demands by recommending process improvements for business systems and procedures.

Security Analyst

Conducted new hire training. Collaborated with peers to increase straight-through processing.

- Manually initiated and repaired 200+ trades per day received from various trade communication methods (SWIFT, FTP and Fax).

EDUCATION

Pursuing Bachelor of Arts in Management

Loyola University Chicago | Expected graduation: June 2026

AWARDS

Diversity and Inclusion

Signature Service

ADDITIONAL ORGANIZATIONAL LEADERSHIP EXPERIENCE

Business Resource Councils

Women in Leadership