

# BARRY P. JAMES

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**EQUITIES TRADER** with 15+ years' experience trading equity futures, index arbitrage, and ETFs. Series 63, 7, 24, and 55 Licensed Portfolio Strategist. Championed development of training platforms to interface with market dynamics; proficiently executes client and proprietary desk options and futures; builds and leads high frequency trading teams.

- Equity Program Trading
  - Business Planning
  - Regulatory Margining / Haircuts
  - ETF Baskets / Arbitrage
  - Risk Management / Compliance
  - Securities Lending Experience
  - Flextrade / Portware / Tethys
  - Multi-Platform Technology
  - Cost & Carry Aspects of Arbitrage
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## EXPERIENCE and ACHIEVEMENTS

**Superior Securities, USA**, New York, NY

11/05-Present

Leading global full-service securities investment bank.

### **Executive Director, Equity Trading**

Recruited to introduce bank to U.S. equity trading.

- Implemented U.S. equity trading platform by working with IT to install Tethys and Flextrade.
- Captured \$3M+ annual savings by redirecting IT staff focus on equity trading.
- Hired and directed activities of ETF traders.
- Developed working relationships with sales traders and bankers.
- Conceived, developed, and delivered U.S. client and proprietary trading strategies.
- Harnessed high frequency and statistical arbitrage trading strategies in an effort to drive corporate profit revenues.
- Established capital and risk systems for proprietary books. Launched AP agreements.
- Executed ETF versus basket, ETF versus futures trades, client basket trades, and 10b-18 corporate buy back orders.

**Excellent Trading Group**, Jersey City, NJ

7/00-11/05

Leading capital markets firm providing market access and trade execution services.

### **Vice President, Program Trading, Risk Trading Group**

Recruited to create group to manage and hedge client orders; developed company's high frequency trading strategy.

- Enhanced client order flow, reduced buy-side exposure risk, and captured cost savings by optimizing automated market analytics and futures, fostering existing Flextrade alliance.
- Implemented full cycle Flextrade installation, inception to delivery.
- Expanded firm-wide trader product knowledge base from traditional products to include program trading.

**Bank of Absolutely Best Corporation (formerly ABC & Company)**, New York, NY

8/94-7/00

Leading global financial institution with full range of banking, investing, asset management and other financial and risk-management products and services.

### **Director, Equity Swaps** - 7/99-7/00

Worked with hedge and large pension funds to expand SWAP transactions.

- Innovated synthetic multi-currency ADR / ordinary hedge transactions for large convertible security.

### **Managing Director, Algorithmic and Program Trading** - 2/97-7/99

Directed team of 6 quantitative, IT, and trading specialists in creating security algorithms to favorably position firm for acquisition, then guided newly-created business unit in expanding algorithmic order flow.

- Executed blind large GVWAP program trades for major buy-side client base.

### **Director, Program Trading Desk** - 1/96-2/97

Managed both client programs and proprietary trading book.

- Forged partnerships with senior finance and risk management specialists to direct large buy-side transactions, including billion dollar transition trades.

### **Vice President, Futures & Options Group** - 8/94-1/96

Managed U.S. proprietary and client index arbitrage hedging transactions.

- Pioneered Chicago-based Institutional Equity Futures and Options Group.
  - Hired and directed activities of CME Equity F&O staff.
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## EDUCATION

**BS, Finance**, Fordham University, New York, NY