

**GRACE G. BAPTIST**  
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## **EXPERIENCE**

**Securities Processing and Corporate Action Specialist** **May, 2017 – Present**  
**RockIt Solutions/Fi-Tek LLC, Stamford, CT (Family Office Opsourcing)**

- Interpret and process mandatory and voluntary corporate actions including mergers, spin-offs, rights offerings, stock splits, municipal bond refunding, calls and exchanges, all in accordance with audit requirements.
- Review event details and processing to ensure reconciliation and compliance with taxability.
- Post trades, interest, dividends and other security transactions.
- Ensure shares and cash reconcile between system and custodian and all transactions are processed by established deadlines.

**Certified Bookkeeper Consultant** **January 2016 – December 2017**

- Full charge bookkeeping (Quickbooks): maintained general ledger, payroll, financial statements.
- Managed quarterly RIA fee billing (PortfolioCenter, Excel).
- Budget administration, financial analysis, account reconciliation, online bill-pay processing.

**Clients:**

Hascoe Associates (Family Office), Greenwich, CT  
Abby M. Taylor Fine Arts, New York, NY  
RDM Financial Group/Hightower Advisors, Westport, CT  
Visual Impact LLC, Danbury, CT

**V.P. Financial Planning & Reporting** **August, 2005 – January, 2016**  
**RDM Financial Group - Hightower Advisors (RIA), Westport, CT**

- Maintained the PortfolioCenter<sup>®</sup> database of 2400+ client accounts ensuring accurate daily download and reconciliation of trades, positions and cost basis.
- Supported senior financial planners with preparation of financial plans.
- Produce client deliverables: Portfolio holdings, performance, projected income, gains/losses.
- Supervised the quarterly advisory fee billing of \$800M AUM. Implemented procedural improvements resulting in reduction of processing time by 70%.
- Tracked 12b-1 commissions for rebate processing.
- Produced SEC Form 13F regulatory filings for compliance officer.
- Processed corporate actions and researched mutual fund capital gains distributions for year-end tax planning.

**Staff Accountant** **October, 1997 – July, 2005**  
**Hascoe Associates, Inc. (Family Office), Greenwich, CT**

- Posting transactions for family entities into Advent's integrated G/L accounting and portfolio reporting system.
- Reconcile cash and investment activity between system and custodian.
- Reviewed trial balances for accurate flow from investment module to general ledger.
- Processed monthly closes for all entities including individuals, trusts, partnerships and corporation.
- Generated monthly financials and performance reports for submission to partners and management.
- Processed wire transfers and monitored daily cash balances of personal and business checking accounts.
- Researched municipal bonds and security related corporate actions on Bloomberg system.

## **EDUCATION**

**Bachelor of Science in Accounting, Sacred Heart University, Fairfield, CT** **June 2007**

## **PROFESSIONAL DEVELOPMENT**

**Certified Bookkeeper**, American Institute of Professional Bookkeepers (AIPB.org) **Current**  
Financial Planning Coursework, Sacred Heart and Fairfield Universities, Fairfield, CT **Completed 2014**