

# Stephen Rivers

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## Objective

After suffering a stroke in 2001, I decided contribute to awareness, support, and advocacy of disability issues.

## Work experience

1994 – 2001 Janney Montgomery Scott Philadelphia, PA

### First Vice President - Sales

- Handling Appropriate transactions of stocks, bonds, other securities and insurance
- Financial Management

1983 – 1994 Smith Barney Philadelphia, PA

### First Vice President - Sales

- Financial Management
- Handling Appropriate transactions of stocks, bonds, other securities and insurance

### Assistant Regional Manager / Regional Administrator

- Participated in supervision of approximately 2000 broker-dealers employees
- Involved in setting up and running branch offices, including back office operations, personnel, sales, compliance, as well as other functions.

1972 – 1982 Securities and Exchange Commission Washington D.C.

### Senior Attorney

- Worked in a program that inspected Broker-Dealer and self regulatory agencies
- Responsible for visiting of Regional Offices to participate to review investigations and litigations
- Reviewed and discussed the handling of cases before the S.E.C.

## Education

1958 University of Connecticut Storrs, CT

### School of Business

- B.S. Business

1961 New York University New York City, NY

### Law School

- Juris Doctorem

