



Aleksandar Pratt

Director, Participant Engagement

☎ (704) 555-2863 ✉ aleksandar.pratt@example.com

🌐 linkedin.com/example/aleksandarpratt 📍 Charlotte, NC 28202

STRENGTHS

- 📈 **Regional Growth Planning**
Built market plans around sponsor priorities and engagement patterns. Teams gained clearer focus, and advisers knew where effort mattered most.
- 👤 **Coaching And Development**
Used observation, feedback, and career plans with advisers. One conversation often turned a stalled goal into a practical next step.
- ❤️ **Supervisory Compliance**
Reviewed records and field activity as Supervising Principal. Consistent controls gave partners confidence during sensitive participant conversations.
- 🔗 **Sponsor Partnership**
Translated participant activity into useful sponsor recommendations. Relationship teams valued clear guidance that connected service with business priorities.
- 💬 **Participant Counseling**
Explained savings, diversification, and income choices in plain language. Participants left meetings with clearer actions and greater confidence.

SKILLS

Participant Engagement

Retirement Services

Defined Contribution Plans 401(k)

403(b) 457(b)

Managed Accounts

Advisory Services

Retirement Income Planning

Wealth Accumulation

SUMMARY

Participant **engagement** and **retirement services** leader with 10 years of **financial services** experience across regional field leadership, **defined contribution plans**, advisory solutions, and regulated supervision. Directs advisers and counselors supporting 401(k), 403(b), and 457(b) participants, with practical focus on participation, savings behavior, diversification, managed accounts, retirement income, wealth accumulation, and distribution planning. Builds accountable teams through coaching, field observation, performance feedback, training, and career development. Serves as a Supervising Principal with disciplined FINRA, fiduciary, corporate policy, and counseling controls. Develops plan sponsor relationships, prospective account strategies, regional growth plans, sales presentations, expense management, and cross functional execution. Combines persuasive leadership with technology adoption and performance management to strengthen participant outcomes, advisory utilization, and sustainable business growth.

EXPERIENCE

Regional Director, Participant Engagement

SummitPath Retirement Services 📅 January 2024 - Present 📍 Charlotte, NC

Leads a regional field organization serving defined contribution participants, plan sponsors, prospective accounts, and advisory partners. Owns growth planning, supervisory controls, team development, stakeholder alignment, expense oversight, and sales support.

- Directed advisers across regional priorities, strengthening participation, savings behavior, advisory use, and **retirement** readiness.
- Built **401(k)**, **403(b)**, and 457(b) growth plans from sponsor priorities and engagement patterns.
- Reviewed field records as **Supervising Principal**, reinforcing FINRA, fiduciary, policy, and counseling controls.
- Coached advisers through observation, feedback, goal reviews, and development plans that supported consistent service.
- Connected sponsors, **prospective accounts**, sales leaders, product partners, and operations around strategic engagement initiatives.
- Managed regional expenditures and supported senior **sales presentations** linking advisory solutions with sponsor priorities.

Senior Manager, Retirement Engagement

ClearBridge Workplace Financial 📅 July 2021 - December 2023 📍 Raleigh, NC

Led managers and field counselors supporting employer sponsored **defined contribution plans**. Shaped market engagement strategy, training, compliance review, sponsor presentations, operating rhythms, succession planning, and **professional development**.

- Led **engagement** managers and counselors through outreach rhythms that improved service quality and adviser productivity.
- Designed market plans connecting sponsor objectives with education, savings conversations, **diversification**, and **managed accounts**.
- Reviewed field practices, documentation, communications, and escalations using Series 26 supervisory knowledge.
- Facilitated training on retirement products, counseling practices, compliance expectations, and technology workflows.
- Partnered with relationship managers and sales teams on sponsor reviews and finalist presentations.
- Developed managers and senior counselors through **coaching** and succession planning for broader responsibility.

Retirement Plan Engagement Manager

Oakstone Defined Contribution Group 📅 June 2018 - June 2021 📍 Richmond, VA

Distribution Strategy

Supervising Principal

FINRA Compliance Coaching

Budget Management

LANGUAGES

English Native

Spanish Intermediate

MY CAREER



● Regional Director, Participant Engagement at SummitPath Retirement Services (2.8 Years)

● Senior Manager, Retirement Engagement at ClearBridge Workplace Financial (2.4 Years)

● Retirement Plan Engagement Manager at Oakstone Defined Contribution Group (3 Years)

● Retirement Education Counselor at HarborPoint Retirement Solutions (1.6 Years)

Managed participant engagement programs across multiple markets, coordinating adviser coverage, education campaigns, sponsor relationships, consultations, sales support, and counselor development for 401(k) and 403(b) plans.

- Managed **401(k)** and **403(b)** engagement programs across adviser coverage, education campaigns, and sponsor priorities.
- Analyzed participation, savings, and engagement patterns to focus outreach on **retirement** readiness needs.
- Conducted consultations under Series 6, 63, and 65 registrations, explaining investments and distributions.
- Translated participant activity into practical sponsor recommendations and dependable service plan execution.
- Supported prospective account meetings and **sales presentations** with field insight on **participant engagement**.
- Mentored counselors on preparation, documentation, communication, and follow up, building future leaders.

Retirement Education Counselor

HarborPoint Retirement Solutions 📅 October 2016 - May 2018 📍 Norfolk, VA

Delivered individual and group retirement education for employer sponsored plans while building regulated counseling knowledge, sponsor coordination skills, participant follow through, and readiness for future **management** responsibility.

- Delivered group and individual education on contributions, **diversification**, plan features, and **retirement** income.
- Reviewed plan provisions before meetings, supporting accurate conversations for each employer program.
- Documented counseling interactions and follow up through approved processes and technology tools.
- Earned Series 6 and 63 registrations while **learning** regulated communications and investment products.
- Supported enrollment events with sponsor contacts, maintaining organized logistics during high volume interactions.
- Built dependable goal attainment and participant follow through that supported expanded account responsibility.

PROJECTS

Regional Participant Growth Program 📅 2024

Created a regional planning model connecting plan sponsor priorities, participant engagement patterns, advisory services, and field coaching across defined contribution markets.

Counselor Development Framework 📅 2023

Built repeatable coaching, observation, feedback, and succession routines that helped counselors improve service consistency and prepare for broader responsibility.

LEADERSHIP & AWARDS

- Senior Mentor, Retirement Services Mentor Program, 2022 to Present
- CRPC designation recipient, recognized for retirement planning knowledge, 2023
- Expanded account responsibility through dependable participant follow through, 2018

EDUCATION

Bachelor's Degree in Finance

Old Dominion University 🎓 GPA: 3.5 📅 2016 📍 Norfolk, VA

Coursework: Financial Management, Investments, Retirement Planning, Business Strategy

CERTIFICATIONS

- FINRA Series 6 📅 2017
- FINRA Series 63 📅 2017
- FINRA Series 65 📅 2018

- FINRA Series 26 📅 2021
- Chartered Retirement Planning Counselor, CRPC 📅 2023

TECHNICAL SKILLS

- **Retirement Plans:** 401(k), 403(b), 457(b)
- **FINRA Registrations:** Series 6, Series 63, Series 65
- **Supervisory Controls:** Series 26, FINRA records, fiduciary rules
- **Microsoft Office:** Word, Excel, PowerPoint, Outlook
- **Advisory Services:** Managed accounts, advisory products, participant counseling
- **Retirement Planning:** Retirement income, wealth accumulation, distribution planning
- **Engagement Analytics:** Participation trends, savings rates, engagement patterns
- **Sales Enablement:** Sales presentations, finalist presentations, prospective accounts
- **People Management:** Coaching, training, performance feedback
- **Compliance Training:** Corporate policies, service procedures, industry policies

PROFESSIONAL AFFILIATIONS

- Retirement Services Mentor Program, Senior Mentor, 2022 to Present
- Professional participant engagement and retirement counseling networks, active contributor

ADDITIONAL INFORMATION

Work Status : Authorized to work in United States. No sponsorship required.

REFERENCES

AVAILABLE ON REQUEST