



Hiroshi Bautista

VP Wealth Management Advice and Product Specialists

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STRENGTHS

- 🎯 **Enterprise Strategy**
A three year roadmap connected specialist services with advisor needs, platform adoption, and profitable growth. Leaders gained a shared direction.
- 🏢 **Governance Design**
Created forums, service standards, and executive scorecards for complex enablement work. Clear decision rights made escalation easier.
- 👥 **Talent Leadership**
Built succession plans and development assignments for directors and senior managers. Several leaders became trusted partners for broader work.
- 💬 **Consultative Support**
Integrated planning, investment, lending, and platform expertise into practical consultation paths. Advisors received clearer guidance during difficult cases.
- ♥️ **Transformation Delivery**
Used utilization data and field feedback to simplify specialist access during platform change. Adoption improved without losing control discipline.

SKILLS

Wealth Management

Advisor Enablement

Advisory Platforms

Managed Accounts

Investment Solutions

Retirement Planning

Lending Solutions

Financial Planning

Product Consulting

SUMMARY

Wealth management executive with 18 years of progressive financial services experience, including more than 12 years leading managers, specialists, and enterprise **advisor enablement** organizations. Builds operating models, governance frameworks, service standards, workforce strategies, and performance scorecards that improve Financial Advisor capability, solution adoption, client outcomes, and profitable growth. Brings deep expertise in advisory platforms, managed accounts, **investment solutions**, retirement planning, lending solutions, **financial planning methodologies**, product consulting, and **client growth enablement**. Leads transformation across subordinate leaders and partners with Investments, Product Management, Technology, Operations, Marketing, Risk Management, Compliance, and Learning and Development. FINRA Series 7, Series 24, and Series 66 licensed, FINRA fingerprinted, CFP certified, and supported by an MBA.

EXPERIENCE

Senior Vice President, Advisor Enablement and Solutions

Northstar Private Wealth Group 📅 January 2022 - Present 📍 Denver, CO

Leads an enterprise advisor enablement organization through five directors, supporting more than 1,400 **Financial Advisors** across national markets. Owns strategy, governance, workforce planning, transformation, budgeting, and executive partnership across **wealth management** capabilities.

- Led five directors supporting product specialists, planning consultants, and platform strategists across national markets.
- Built a three year roadmap linking **advisory platforms**, managed solutions, retirement planning, lending, and **financial planning**.
- Created governance forums and scorecards connecting advisor engagement, consultation quality, adoption, outcomes, and organizational capacity.
- Directed annual planning, **budgeting**, **workforce planning**, succession management, and investment prioritization for specialist capacity.
- Simplified consultation workflows with utilization analytics and advisor feedback, preserving supervisory and compliance controls.
- Advised executives across Investments, Product, Technology, Operations, Marketing, Risk, Compliance, and Learning and Development.

Vice President, Wealth Management Product Consulting

Pinnacle Advisory Platforms 📅 July 2018 - December 2021 📍 Chicago, IL

Directed managers responsible for advisory platform specialists and investment product consultants serving complex, multi region **wealth management** practices. Shaped service delivery, performance management, platform change, regulatory readiness, and leadership continuity.

- Directed managers supporting advisory platform specialists and investment product consultants across multiple regions.
- Redesigned consultation pathways for **managed accounts**, **investment solutions**, retirement strategies, lending, and financial planning.
- Built quarterly scorecards combining engagement, consultation effectiveness, platform utilization, responsiveness, and risk indicators.
- Led platform change with product education, field consultation, readiness planning, and escalation practices.
- Embedded **regulatory requirements** and supervisory expectations into documented **product positioning** standards with Compliance and Risk.
- Developed directors and senior managers through succession plans, leadership calibration, and targeted development assignments.

Managing Director, Advisory Platform Strategy

Meridian Capital Advisory 📅 March 2014 - June 2018 📍 Boston, MA

Client Growth Enablement

Organizational Strategy

Enterprise Transformation

Governance Frameworks

Operating Models

Performance Scorecards

LANGUAGES

English Native

Spanish Proficient

MY CAREER



● Senior Vice President, Advisor Enablement and Solutions at Northstar Private Wealth Group (4.8 Years)

● Vice President, Wealth Management Product Consulting at Pinnacle Advisory Platforms (3.4 Years)

● Managing Director, Advisory Platform Strategy at Meridian Capital Advisory (4.2 Years)

● Director, Financial Planning and Advisor Consulting at Lakeview Financial Partners (3.5 Years)

● Senior Wealth Management Consultant at Harbor Point Investments (1.8 Years)

Owned strategy for managed account and advisory platform capabilities serving affluent and high net worth households. Led platform managers and advisor consultants through subordinate leaders while balancing field needs, investment priorities, operational capacity, growth, and risk.

- Owned managed account and advisory platform strategy for affluent and high net worth households.
- Translated advisor feedback into prioritized product enhancements and service improvements through structured governance routines.
- Evaluated competitive offerings, regulatory developments, utilization trends, and market insight for roadmap decisions.
- Integrated **financial planning** with investment, retirement, and lending consultation through repeatable advisor frameworks.
- Coordinated Technology and Operations on releases, readiness, training, and post launch issue management.
- Presented business cases and operating results to governance committees, balancing growth, capacity, **advisor experience**, and risk.

Director, Financial Planning and Advisor Consulting

Lakeview Financial Partners 📅 August 2010 - February 2014 📍 Minneapolis, MN

Managed **financial planning** consultants supporting advisors with complex retirement, investment, cash flow, and lending conversations. Established consultation standards, service measures, coaching routines, and feedback channels that strengthened planning quality and internal talent.

- Managed consultants supporting retirement, investment, cash flow, and lending conversations for affluent relationships.
- Introduced consultation standards linking discovery, goal analysis, **product positioning**, and implementation follow through.
- Established case review routines measuring demand, turnaround, escalation needs, and **advisor experience**.
- Partnered with investment, lending, and compliance specialists on complex planning cases and supervisory expectations.
- Coached consultants on executive presence, advisor engagement, planning methodology, and documentation quality.
- Used advisor feedback and case themes to recommend planning tools, training topics, and process changes.

Senior Wealth Management Consultant

Harbor Point Investments 📅 October 2008 - July 2010 📍 Phoenix, AZ

Consulted with Financial Advisors on portfolios, **retirement planning**, managed accounts, and **financial planning** for affluent households. Delivered education, compliant comparison materials, documented consultation, and field insight across product, operations, and compliance partners.

- Consulted with **Financial Advisors** on portfolios, retirement planning, **managed accounts**, and financial planning.
- Applied structured discovery methods to frame objectives, risk considerations, time horizons, and solution tradeoffs.
- Analyzed investment and managed account options for compliant comparison materials and supervisory review.
- Delivered education sessions translating **investment solutions** and retirement strategies into practical advisor guidance.
- Coordinated complex questions with product, operations, and compliance partners, documenting clear next steps.
- Identified recurring advisor needs and product use patterns that informed training and service improvements.

PROJECTS

Enterprise Advisor Enablement Roadmap 📅 2025

Set a multi year roadmap connecting advisory platforms, managed solutions, retirement planning, lending, and financial planning with scalable specialist support.

Specialist Governance Scorecard 📅 2024

Created governance routines and performance measures linking advisor engagement, consultation effectiveness, adoption, client outcomes, productivity, and business growth.

LEADERSHIP & AWARDS

- Executive Sponsor, Advisor Development Council, 2023 - Present
- Mentor, Wealth Management Leadership Development Program, 2020 - Present
- Leadership recognition for enterprise advisor enablement transformation and succession planning

EDUCATION

Master of Business Administration

University of Colorado Denver 🎓 GPA: 0 📅 2012 📍 Denver, CO

Coursework: Strategic planning, financial management, organizational leadership, executive communication

Bachelor of Science in Finance

Arizona State University 🎓 GPA: 0 📅 2008 📍 Tempe, AZ

Coursework: Investment analysis, financial planning, economics, business administration

CERTIFICATIONS

- Certified Financial Planner 📅 2011
- FINRA Series 7 📅 2009
- FINRA Series 24 📅 2013
- FINRA Series 66 📅 2009
- FINRA Fingerprinting 📅 2026

TECHNICAL SKILLS

- **Wealth Management Products:** Managed Accounts, Investment Solutions, Lending Solutions
- **Advisory Platforms:** Advisory Platforms, Platform Strategy, Platform Enhancements
- **Financial Planning:** Financial Planning, Retirement Planning, Planning Methodologies
- **Leadership Planning:** Workforce Planning, Succession Planning, Organizational Design
- **Performance Management:** Performance Scorecards, Key Performance Indicators, Operating Metrics
- **Governance:** Governance Frameworks, Service Standards, Supervisory Expectations
- **Business Management:** Annual Business Planning, Budgeting, Resource Allocation
- **Risk and Compliance:** Risk Management, Regulatory Requirements, FINRA Fingerprinting
- **Advisor Consulting:** Product Consulting, Advisor Enablement, Client Growth Enablement
- **Enterprise Transformation:** Organizational Change, Transformation Roadmaps, Operating Models
- **Executive Partnership:** Executive Communication, Strategic Planning, Governance Committees
- **Enterprise Functions:** Investments, Product Management, Technology
- **Operations and Learning:** Operations, Learning and Development, Marketing
- **Analytics:** Advisor Experience, Product Utilization, Market Trends

PROFESSIONAL AFFILIATIONS

- Advisor Development Council, Executive Sponsor
- Wealth Management Leadership Development Program, Mentor
- Financial Planning and Advisor Consulting Leadership Network

ADDITIONAL INFORMATION

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

REFERENCES

AVAILABLE ON REQUEST