

KELLY PAXTON, CFE, PI

Financial CaseWorks LLC

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ASSETS

- Strong investigative skills in all areas including financial fraud investigations, money laundering and asset identification.
- Excellent communication and interpersonal skills.
- Diverse skills in the financial industry, including sales, analysis and operations.
- Top Secret Security Clearances issued by Office of Personnel Management – January, 1993, April, 2002 and August, 2007.

EMPLOYMENT HISTORY

Principal | Financial CaseWorks LLC | August, 2009 to present

- Principal for investigative firm specializing in employee thefts, embezzlements, background investigations and due diligence.

Special Investigator | Kroll Government Services | Loveland, CO | April, 2005 to present

- Conduct federal background investigations to include subject interviews, local police checks, employment references.

Analyst | Washington County Sheriff's Office | Hillsboro, OR | August, 2007 to August, 2009

- Financial Analyst for the Fraud Identity Theft Enforcement Unit. Responsible for investigating, analyzing and preparing evidence for Detectives for prosecution. Grand Jury testimony.

Special Investigator | US Investigations Services LLC | Minneapolis, MN | April, 2002 to July, 2005 (see above)

Private Investigator | Diversified Investigations | Appleton, WI | October, 2004 to July, 2005

- Conducted surveillance on workers compensation and domestic relations cases.

Special Agent | US Customs Office of Investigations | Seattle, WA | January, 1993 to August, 1998

- Assigned to money laundering, currency and narcotics group.
- Successfully investigated financial fraud cases including narcotics, money laundering and wire fraud cases.

- Responsible for operating undercover business in office, including establishing covert bank accounts and preparing monthly reports for headquarters.
- Organized first fictitious financial instruments conference for US Customs Service, New York, 1998.
- Liaison with other federal agencies regarding investigations and training.

Trader/Contract Negotiator | Morley Capital Management | Lake Oswego, OR | July, 1991 to November, 1992

- Negotiated client investments of over \$1.5 billion annually in Guaranteed Investment Contracts.
- Continuously monitor fixed income markets, economic indices and climate.
- Identify and act upon inefficiencies in the marketplace.
- Work directly with portfolio managers regarding specific investment strategies.
- Initiate various credit research projects reviewing life insurance companies, economic trends and asset allocation programs.
- Member of Investment and Credit Research Committees.

Registered Sales Assistant | Piper Jaffray | Lake Oswego, OR | June, 1989 to June, 1991

- Increased total sales production by over 20% in 18 months.
- Extensive client contact including sales, research, portfolio valuation and proposals.
- Developed and computerized direct marketing program.
- Responsible for day to day management of over 500 retail accounts.

Account Executive | Dean Witter Reynolds | Portland, OR | May, 1998 to April, 1989

- Completed training programs including passing Series 7, 63 and Life Insurance Licenses.
- Prospected clients and developed a marketing program, including personalized investment programs.
- Marketed equities, government bonds, corporate bonds, municipal bonds, mutual funds and insurance products.

Registered Commodity Broker | Hunt and Associates | Portland, OR | April, 1987 to May, 1988

- Worked directly with senior institutional commodity trader in various commodity markets.
- Responsible for taking and placing orders on commodity exchanges in the U.S.
- Provided hedging strategies, market coverage and account compliance information.
- Hiring and managing of support staff.

EDUCATION

- Oregon Association of Certified Fraud Examiners | Spring Conference | May, 2009
- Linking the Dots – Intelligence Training | March, 2009
- Financial Crimes and Digital Evidence Conference | September, 2008
- Reid Advanced Interviewing | November, 2007
- US Investigations Services Contract Investigators Training | Boyers, PA | 2002
- National Association of Securities Dealers Approved Public Arbitrator | January, 2000

- Asset Forfeiture/Financial Investigations | Federal Law Enforcement Training Center | 1997
- Strategic Investigations | Federal Law Enforcement Training Center | 1997
- Undercover School | Federal Law Enforcement Training Center | 1995
- Undercover Managers Training Class | Federal Law Enforcement Training Center | 1995
- Criminal Investigator Training | Federal Law Enforcement Training Center | 1993
- Customs Basic Enforcement | Federal Law Enforcement Training Center | 1993
- University of Oregon | B.A. International Studies (emphasis in Economics) | 1985
- Series 3 (CFTC), Series 7, Series 63 licenses (all currently void)

PRESENTATIONS

- Senior Provider Information Network | Elder Financial Fraud | November, 2009
- Money-Wise Women | CSI Fraud | November, 2009
- Oregon State CPA Association | Fraud in the Workplace – Background Investigations | September, 2009
- Institute of Internal Auditors | Fraud in the Workplace – Background Investigations | September, 2009
- National Association of Credit Managers CFDD | Fraud in the Workplace – Background Investigations | June, 2009
- Oregon State Bar Association | Fraud in the Workplace – Background Investigations | June, 2009
- Oregon Association of Certified Fraud Examiners' Spring Conference | Fraud in the Workplace – Background Investigations | May, 2009

REFERENCES

Available on request.