



Nicole V. James

Senior Vice President

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Nicole James, a senior vice president of Multi-Bank Securities, Inc. (MBS), joined the Firm in 2014. She has been involved with fixed-income trading since 1997.

Nicole is experienced in trading, brokering and underwriting brokered certificates of deposit (CDs) in both the new-issue and secondary CD market. Nicole's current responsibilities at MBS include helping her bank and credit union clients meet their funding and investment needs and collaborating with the CD Trading Desk to distribute the product to the broker-dealer community. She assists her clients in accomplishing their funding objectives by underwriting DTC-eligible (brokered) CDs for them. Additionally, she assists her clients in managing their investment portfolios by providing them access to a broad range of products, including CDs, U.S. government agency bonds, corporate bonds, municipal bonds and a wide range of mortgage-backed securities, including Community Reinvestment Act (CRA)-eligible mortgage-backed securities. Prior to joining the MBS team, Nicole worked from 1997 to 2008 at LaSalle Bank, where she served as a vice president of trading, and from 2008 to 2013 at Incapital, where she served as a vice president of trading and funding.

Nicole received a Bachelor of Science from Furman University and a Master of Business Administration from Florida Atlantic University. She holds a General Securities Representative License (Series 7) and a Uniform Securities Agent State Law Representative License (Series 63).

Nicole and her husband, Todd, have two daughters. In her free time, she enjoys exercising and spending time with her family. Nicole is also active at her church and the school her children attend.

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