

HENRY HO HOU

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EDUCATIONAL BACKGROUND

CFA Institute (USA)

August 2017

- CFA Level 3 Examination completed
- CFA Charter Pending for approved working experiences

HKUST Business School

July 2017 – July 2019 (Expected)

- MSc in Investment Management / Financial Analysis
- Emphasis in CFA, CAIA, FRM curriculums and practical skills in investment management

City University of Hong Kong

September 2007 – May 2009

- BA (Hons) Integrated Strategic Communication (BAISC)
- Develop expertise in communication such as agencies specializing in advertising, public relations, and direct marketing along with the media and communication technology industries.

City University of Hong Kong

September 2005 – May 2007

- Associate of business Administration (Financial services)
- Distinction awarded upon graduation
- Emphasis in concept of financial services which help us pursue further studies in finance or business related program

EMPLOYMENT HISTORY

Harvest Global Investments Limited

September 2015 - Present

Harvest Global Capital Investments Limited (Alternative Investments)

Assistant Vice President, IT & Operation

- Our firm has SFC authorized long equity and fixed income funds, QFII & RQFII China product, Cayman domiciled private fund, UCITS funds, Harvest ETFs and Deutsche X-Trackers ETF in Luxemburg and US.
- **Operation Management**
 - Oversee the operation support team in Beijing for various fund administration functions including trade support, settlement, NAV calculation, performance fee calculation, reconciliation, performance attribution reporting etc.
 - Provide cash management support to the portfolio manager including FX and fee deduction etc.
 - Provide client service to the Institutional clients & high net worth clients.
 - Liaise with different service vendors including auditors, custodians, trustees, fund administrators, prime brokers.
 - Monitor the KPI of each service vendor and conduct DDQ & service review with them
 - Ensure the client on-boarding / KYC and AML processes are consistent to regulatory & company requirement
- **Project Management**
 - Coordinate with all internal and external parties for the different initiatives such as China & Swiss MRF scheme, Fund re-domiciliation, Trading system enhancement, broker scoring, soft dollar system etc.
 - Meeting with the client and work closely with product team for the new product launch
 - Formulate operation procedures and control policies on investor data, pricing variances etc. in order to minimize the operation risk and market risk
- **IT Management**
 - Work closely with compliance team to setup and test the investment restriction rules in front desk trading system
 - Work closely with IT support Team to build system alert for different products such as leverage limit & Quota
 - Maintain the front desk trading system such as Bloomberg AIMS
 - Maintain the index list for portfolio rebalancing.
 - Coordinate with clients and IT support team to enhance the file interface for better operation efficiency
- **Alternative Investment**
 - The subsidiary focuses on alternative investments such as Note Issuance, holding client's asset etc.
 - Meeting with the sales Team and clients to understand their requirement.
 - Placing the order for the high net worth client and book the trade record in Bloomberg
 - Establish the control policy to govern the operation activities and address to the SFC requirement
 - Liaise with different service vendors for alternative investment products.

HSBC Securities Service

Assistant manager, Transfer Agency, HSBC Fund Services.

December 2014 – September 2015

- Rebuild and manage the TA Team for Value Partners
- Participate in reengineering on the processing flow to fulfill the SLA with Value Partners Ltd
- Engage in VP fund migration project to GZ.

- Investor database review & prepare FATCA reporting to the Value Partners.

Officer, Transfer Agency, HSBC Fund Services

April 2013 – November 2014

- Act as primary contact for daily operation of ETFs and mutual funds on aspects of Transfer Agency
- Responsible account including Blackrock, CSOP, Credit Suisse, AXA Rosenberg etc.
- Liaise day to day communication with external parties.
- Conduct Customer Due Diligence on behalf of the fund during account opening & periodic review.
- Participate in new fund launching including documentation review, system setting, hot money testing
- Participate in system UAT including Flexcube, AWD, ETF Platform etc.
- Engage in service level agreement review for each fund and ensure that can be met.
- Assist on development of AWD workflow for order placement.
- Supervising junior colleague for the daily operation.
- Engage in fund migration project such as process investigation, staff training etc.
- Authorize the daily transaction and payment remittance.

Senior Fund Administrator, Transfer Agency, HSBC Fund Services

April 2012 – March 2013

- Engage in exchange traded fund operation
- Conduct Customer due diligence on participating dealer & Institutional client.
- Carry out investor registration and monitor their transaction record.
- Liaise with compliance and legal regarding PEP transaction and exceptional trade.
- Prepare relevant report for the service review with fund manager meeting.
- Engage in ad hoc project including AXA Compensation, Fraud case investigation.

Fund Administrator, Transfer Agency, HSBC Fund Services

March 2011 – March 2012

- Provide day to day administration of fund and respond to every inquiry made by both institutional and retail client.
- Carry out an actual processing on daily transaction.
- Prepare relevant documents to investor and report any suspected issue to the fund manager.
- Conduct Customer due diligence on individual and corporate investor. Ensure their documents are verified and met properly according to AMLO from HKMA & HSBC Group standard.
- Monitor the investment which is strictly followed with the internal compliance policy. Minimize the risk of any fraud case induced.
- Maintain daily reconciliation between the fund record and our record.
- Provide and file the confirmations and statements to or from the internal and external auditor.
- Review the procedure in operation memorandum during new fund setting.
- Monitor the liquidation of fund when the funds are declared to be terminated.

Bank of East Asia

September 2009 – February 2011

Senior Settlement Clerk, Investment Operation

- Carry out an actual processing of investment instructions from relationship manager. The products are included foreign security in different listed market, private placement linked with local security, qualified domestic institutional investor product, US treasury bond etc.
- Prepare relevant report to different parties e.g. Hong Kong Monetary Authority
- Monitor every investment instructions with different foreign broker. Ensure that the transaction or payment is completed properly.
- Review the orders and compute possible charges or fee due.
- Perform cash reconciliation with book statement which is requested by financial control department.
- Compute the custodian fee for QDII and the dividend amount paid by each QDII.
- Issue relevant confirmation or statement to investors.

HONORS AND ACTIVITIES

Standard Chartered Hong Kong Marathon

2008 – 2011, 2016

- Participated in 10km marathon and finished game in 50 mins.
- Participated in Half marathon in 2011 and finished in 2 hours 16 mins.

President of 15th Judo Club in City University of Hong Kong

2005 – 2006

- Coordinated with other Judo Clubs from other universities to setup the judo competition.
- Provide different activities for the member.
- Work closely with Hong Kong Kowloon Judo club to organize external Judo trainings for members