

Miss. Pui Ying Chan, Kate
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E-Mail: chan.puiying@hotmail.com

Driven and determined individual who brings experience in Financial Operations and Client Relationship, possessing excellent oral and written communication skills.

PROFESSIONAL EMPLOYMENT

SERES ASSET MANAGEMENT LIMITED, HEAD OF OPERATIONS & COMPLIANCE

JANUARY 2017- PRESENT

SERES ASSET MANAGEMENT LIMITED, OPERATIONS MANAGER

AUGUST 2015 – DECEMBER 2016

Pan Asia, Equity Long/ Short Absolute Return Equity Strategy

Roles and Responsibilities:

- End-to-End Trade Management; including trade allocation and end of day trade communication to Prime Broker and Fund Administrator. Daily Broker and Prime Broker liaison and management on trade matching and settlement issues
- Traded Products: Equity, CfDs, NDFs, Listed and OTC Derivatives (Futures and Options)
- Cash balance monitoring and related FX placement in compliance with market restrictions, payment instruction and authorisation
- Monitoring and resolution of cash, asset and income activity/ variances with Prime Broker and communication to Fund Administrator on the same to pre-exempt month end issues.
- Daily Risk/ Performance and Compliance report rendering inline with Investor expectations and regulatory requirements
- Render accurate and timely monthly newsletters in compliance with client and potential expectations, including reconciliation and release of Fund Administrator valuation.
- Participation and Management of regulatory responsibilities, including Audit and SFC inspections, FATCA and CRS Filings, Stamp Duty Stock Loan Notification, Short Position Reporting etc
- Customised Index and Benchmark rendering, incorporating annual re-balancing
- Client/ Service Provider Management and Communication:
 - Ensure client expectations are managed; to deliver high quality client services to Investor and Institutional clients, including daily and monthly deliverables, ad-hoc requests/ queries and regulatory implementations (including Investor and Regulator communication and liaison), client on –boarding/ off boarding and client education
 - Prompt Investigation and resolution of internal and external queries to and from Service Providers, including those from the Portfolio Manager, Fund Administrator, Prime Broker, Broker and Auditors etc.
- Operational on-boarding / off-boarding, including Fund, Broker, Cash accounts etc
- Continuous development of in-house systems and operational procedures. Operation re-engineering; workflow automation, process enhancements and periodic service provider reviews

JPMORGAN CHASE & CO. FUND ACCOUNTING ANALYST, ASSOCIATE

FEBRUARY 2014 – AUGUST 2015

JPMORGAN CHASE & CO. SENIOR FUND ACCOUNTING SPECIALIST

AUGUST 2011 - JANUARY 2014

JPMORGAN CHASE & CO. FUND ACCOUNTING SPECIALIST (CONTRACT)

JANUARY 2011 - AUGUST 2011

J.P. Morgan is a leading financial services firm with global scale and reach.

Roles and Responsibilities:

- Render accurate and timely accounting valuations/ statements in compliance with client expectations and departmental standards; monitoring and resolution of cash, asset and income activity/ variances

- Investment/ Fund Types covered: Fund of Fund, Mutual Fund, Pension, Multi-Manager; Fixed Income, Equity, OTC Derivatives (Swaps, Futures, Options), Forward FX etc.
- Client/ Service Provider Management and Communication, attendance in client meetings, both at on-boarding and launched stages
- Participation of global location strategy and multiple client on-boarding / transitions and middle office functions, including process and system enhancements to exceed client experience.
- Ensuring best practices are adopted and improving processes to gain operational efficiencies through process enhancements and oversight functions, periodic procedure reviews and risk control documentation.
- Coaching and development of staff, including formal objective setting, performance review and providing feedback
- Provide technical knowledge and support to resolution of operational issues in internal and external relationships

Achievements

- Promotion to Associate level, February 2014, Exceeds in 2013 Performance Review, High Meets Expectations (M+) in 2012 Performance Review.
- Successful completion and management of numerous Individual/ Team Projects and Global Initiatives
- Participation of successful department/ process outsourcing

BANK OF NEW YORK MELLON, SENIOR FUND ACCOUNTANT (MANCHESTER, UK)

MARCH 2008 – DECEMBER 2010

BNY Mellon is a leading asset management and securities services company

Roles and Responsibilities:

- Completion of accurate and periodic Net Asset Valuation, timely in highly deadline driven environment.
- Accurate and Timely Cash, Stock, Income, Derivative, Unit and Expense Reconciliation,
- Error-checking the work of colleagues and sign-off of NAVs for market dissemination
- Administered a variety of fund types; Bond funds, Equity funds, Fund-of-Fund, Multi-Manager, OEICs and Unit Trusts
- Analysing and reconciling various market instruments, including equities, bonds, fund-of-funds, exchange traded funds, real estate investment trusts, forward currency contracts, futures, interest rate and credit default swaps, leveraged loans and structured notes
- Participation of successful department transition from London to Manchester and outsourcing to Pune, India

ACADEMIC CREDENTIALS

UNIVERSITY OF MANCHESTER

SEPTEMBER 2004- JUNE 2007

BA (Hons) International Business, Finance and Economics: 2.2

Modules Business Economics, Globalisation & the Third World, International Business Analysis, International Direct Investment & Multinational Enterprise, International Finance, Marketing, Managerial Economics

Projects Business Case Study: FORD, Extended Essay: TESCO, Problem Based Learning

ASHTON SIXTH FORM COLLEGE

SEPTEMBER 2002- JULY 2004

3 A Levels: Business Studies (B), Economics (B), General Studies (C), I.T (A)

1 As Levels Mathematics (E)

DROYLSDEN HIGH SCHOOL

SEPTEMBER 1997 – JUNE 2002

11 G.C.S.E's 1 A*, 6 A, 4 B including English Language / Literature (B/A) and Mathematics (A)

TECHNICAL SKILLS

- Computer literate; intermediate Microsoft user (including Excel); intermediate Enterprise, Spectra user. Bloomberg
- Languages: Cantonese (fluent: G.C.S.E (A*)), English (fluent), Mandarin (basic)

TRANSFERABLE SKILLS

- **Logical Thinking/ Problem Solving:** Bring both analytical and creative approach to problem solving; the earlier developed through degree, which required practical assessment and thinking on feet, where the latter is related to professional roles which required flexibility and innovation towards project management and development of operation efficiencies
- **Communication:** Degree modules developed the ability to write clear, powerful and persuasive prose. Ability to build relationships with people at all levels evidenced by supervisory/ management role
- **Team Work:** Enthusiastic individual contributor and team leader especially in competitive environment, wide experience achieved through various working experiences and evidenced through senior/ management role
- **Time Management** project management and organisational skills developed whilst scheduling for business as usual and on-going projects at work, study and recreation, whilst efficiently prioritising tasks in pressurised environments.

PERSONAL DETAILS

DATE OF BIRTH: 17th February 1986
GENDER: Female
NATIONALITY: Chinese, British
CONTACT NUMBER: +85291721301

REFERENCES AVAILABLE UPON REQUEST