

**Name:** Ms. LAI, Christine Wai Chi (黎慧芝)

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**Availability:** 3 Month Notice

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## **EDUCATION**

- 11 Sep – 13 Nov 2012      **Kaplan Language Centre - Intermediate Practical Putonghua Course for Finance**
- Mar 2003 – Jul 2004      **Monash University**, Australia, Victoria - *Master of International Business*
- Feb 2000 – Dec 2002      **Monash University**, Australia, Victoria - *Bachelor of Business (Major in Banking and Finance, Minor in Economics)*
- Feb 1998 – Dec 1999      **Mater Christi College**, Australia, Victoria - *Victorian Certificate of Education (Year 11 – Year 12) [Ranking: 81.20 / 100]*  
Subjects studied: Accounting, Economics, English (ESL), Mathematical Methods, and Specialist Mathematics
- Sep 1993 – Dec 1997      **Ho Tung Technical School for Girls**, Hong Kong (*Form 1 – Form 4*)

## **WORK EXPERIENCE**

### **15 Oct 2013 - Present**

**Company:** StateStreet AIS IFS Hedge

**Title:** *Hedge Fund Middle Office - Operations AVP (01 Mar 2016 – Present)*

*Title: Hedge Fund Middle Office - Operations Manager (01 Oct 2014 – 29 Feb 2016)*

*Title: Hedge Fund Middle Office – Operations Assistance Manager (15 Oct 2013 to 30 Sep 2014)*

- Responsible for the day to day running of a team that performs the middle office function to clients. This involves the trade capture of the clients' trades, confirmation, settlement monitoring, corporate action, query resolution and pricing. Products include Equity, Futures, Options, Fixed Income Cash/Repo, FX (spot/outright/FX Swaps/NDF) and Swaps (IRS, NDIRS, Single Currency Swaps, Swaption, CDS, TRS etc) (Both Cleared and Non-Cleared).
- Review/coordinate with managers/supervisors the day to day tasks and ensure the daily is completed and accurate in HK, also offshore units in Hangzhou and Sydney
- The team works in co-ordination with a global Middle Office team to ensure round the clock service for globally based clients, and provides both event level and client level support.
- Liaise with clients re ad hoc issues, establish and maintain good relationships with clients and other external parties: counterparties/brokers, prime brokers, custody, clients' front end providers, CTM Omgeo, Markit, Reuters, IDC and Bloomberg etc.
- Co-ordinate system enhancements or new requirements on behalf of the team. Responsible for the co-ordination of system testing and sign off.
- Work closely with Operation Managing Director on projects like new clients on boarding,
- Supporting the Operation Managing Director in their role. Ensure Managing Director is kept up to date with relevant issues, escalating problems to the manager as they arise. Work with Director on capacity issues
- Involve in new clients take-on, liaising with prime brokers / custody, and internal system set up, initialization of funds, new team building etc, also involve system enhancement, UAT testing.
- People Management –interviewing, perform staff appraisals; address any staff performance issues etc
- Manage training needs of team/weekly APAC meeting, ensure training gaps are identified and addressed.
- Systems – PBs Portal(s), Traiana, CTM Omgeo, MarkitWire/Markitserv, Markit Trade Manager, DTCC/DS Match, Reuters, IDC and Bloomberg etc.
- Projects – Cleared Trade flows / work with Clearing houses (ICE/LCH/CME) / Clearing Brokers / Markit / Executing Brokers

### **21 May 2010 – 11 Oct 2013**

**Company:** BGC CAPITAL MARKETS (HONG KONG) LIMITED

**Title:** *Operations Officer (Middle Office / Trade Support)*

- Timely trade processing and day-to-day operational support for various instruments including FX, money market (deposit, spot, fx swap), principal bonds, convertible bonds, credit default swaps (CDs), Interest Rate Swaps, NDF, Hang Seng Index Futures & options, and stock options.
- Trade Confirmation and pre-matching: investigation and prompt resolution of issues
- Monitor interface between the front office and middle office systems for trade breaks.

- Alert straight away the brokers of any trade/price discrepancies, in order to correct. Demonstrate the ability to quickly escalate problems to management and stakeholders for error trades, trade positions and system performance issues.
- Prepare client's End of Day trading reports
- Prepare daily trade volume report to HKMA
- Error free operational environment from FTB offices by conducting on-going review/control and enhancement of workflow procedures
- Quality client service to resolve any trade breaks and transaction enquiries from front office, middle office investment bankers, and back office settlement
- Perform a liaison role to bridge between counterparties and dealers/traders to help facilitate good dealing processing.
- Fulfillment of regulatory compliance and corporate governance by working closely with compliance and operational risk teams
- Communicate with dealing desks, banks, other BGC subsidiaries (New York, London, Singapore, Tokyo, Seoul and Sydney) and relevant third parties to assist in executing complex or special transactions.
- Review/update procedural manuals - to update on the new/changes in process flow
- Involve system enhancement, UAT testing and traders RTNS testing
- Instruments setup static in Proprietary system database
- Dealing with all phone and email inquiries
- Help the support of opening accounts with clients
- Fulfills any additional/ad hoc duties as required to meet the needs of the business
- Maintain and update client contact details in the client contact database

**12 Jul 2007 – 11 Apr 2010**

**Company: HSBC Global Asset Management (Hong Kong) Ltd**

*Title: Officer – Business Support Unit Trust Operation*

- Prepare Daily P&L - reconciling settlement accounts daily to resolve breaks and discrepancies in any trade to be settled, ensure all settlements have been reconciled accurately
- Handle day-to-day fund processing work in a timely and accurate manner. Process trades for subscription, redemption and transfer
- Follow-up all outstanding/unsettled subscription and redemption deals
- To collaborate closely with Risk Team, Compliance Team, Sales Team for after sales service, and coordinating account openings, KYC (know your client) review, asset transfer, closures and daily maintenance
- Confirming deals, organizing and approving payments, and reconciliations of coupon/dividend and maturities.
- Provides other fund operation functions, such as distribute dividend, maturities, handle corporation actions (fund merger), etc.
- Co-ordinate with internal clients (such as sales team, performance team and fund managers), trustee, distributors, brokers, trustee and custodians for trade confirmation and handing adhoc queries
- Cross checking settlement instruction: To make sure correct instructions send to the all investors
- Commission report preparation
- Assist to streamline and implement efficient and effective operational procedures with risk control policies in compliance with regulatory requirements and internal policy; while ensuring delivery of high quality services for external and internal clients.
- To ensure the trading activities and the company are always comply with the SFC regulations such as Client Money Rule.
- Work closely with internal Traders, FX dealers, custodians, trustee, sales team and dealing team
- Place FX order with Global Market and perform FX Trade Settlement
- Send out settlement notifications to custodians, distributors, nominees etc in timely basis, and also chasing redemption instructions
- Follow up unmatched instructions and failed trades with the relevant parties
- Prepare cash flow for fund managers daily, i.e. subscription and redemption
- To liaise, coordinate and work closely with overseas offices (such as Luxemburg, UK, France, Japan, Singapore and Taiwan).
- Participate in UAT (User Acceptance Test) on related systems/projects and business contingency planning (including the drills and disaster rehearsals)

**20 Feb 2006 – 09 May 2007**

**Company: AIA Pension and Trustee (Co) Ltd**

*Title: Account Executive – Client Servicing Department [MPF & Occupational Retirement Schemes Ordinance (ORSO)]*

- Provident One-stop services to all corporate clients and MNCs.
- Provide effective, efficient, quality and timely services to AIA members, employers and brokers/agents by handling complex cases and performing account management and problem resolution.
- Ensure the adherence of procedures, policy, regulations and trust deeds within the team
- Liaise with clients, including employers, fund managers, external trustees and authorities
- Handle inbound and outbound calls within the Administrative Team and Call Centre
- Handle special cases such as labour cases and liquidation cases
- Deliver presentation and briefing to Employers and Employees for fund introduction and fund performance review

**14 Dec 2004 – 4 Nov 2005**

**Company: Hong Kong Business Intermediary Co. Ltd (HKBI) (Full-time)**

*Title: Franchise Consultant*

- Responsibility: Report to the Franchise Director; Deliver quality consultancy franchising services to new / existing clients; Provide Customer Services to all clients (in HK, in PRC or even to other countries); Provide administrative support to the franchise team; Handling all incoming enquiries from Hong Kong, China and other countries; Support the organization and running of seminars for all brands; Coordinate the participation of exhibitions in China; Communicate with Franchisors for all investment information updates; and Any other duties assigned from time to time by the Franchise Director.

**Dec 2003 – Feb 2004**

**Company: NetDimensions (Summer Job)**

*Title: Receptionist/Administrator*

**Nov 2000 – Feb 2001**

**Company: Tugu Insurance Company Ltd (Summer Job)**

*Title: Temporary non-marine underwriting clerk*

**SKILLS**

Computing	Microsoft Office (Word, Excel, Powerpoint, Access, Internet Explorer, Outlook and FrontPage)
Language	Cantonese (Fluent), English (Fluent) and Mandarin (Fluent)
Typing Skill	English (50 words per minutes); Chinese (速成輸入法 30words per minutes)