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WORKING EXPERIENCE & JOB DUTIES

Company name	Resources Asset Management Ltd
Working Period	02 Jan 2015 – present
Position	Manager of Fund Administration & Operations (private equity funds, segregated portfolio companies)
Job duties	Prepare Business Plan and Budget Prepare workflow/operating procedures Review fund documents, such as Offering Memorandum, PPM, Limited Partnership Agreements, Investment Management Agreements, Administrative Agreement, etc Contact fund's legal advisors/custodians/fund administrators/auditors/bankers for the set-up of offshore Funds; review fund documents and launching Keep track records of stock and cash Review subscription and redemption documents Review portfolio valuation reports Review account opening documents for discretionary/non-discretionary clients Review KYC and AML Reconcile cash and holdings with fund administrator's and custodian's reports Funding arrangements and cash management; payment of fees Contact auditor, fund administrators for interim and annual audit Handle FATCA registration for Funds and file annual return to CIMA Ad hoc reports/projects
Company name	GSI Management Ltd (fund management, research and administration)
Working Period	22 May 2006-30 June 2014 (over 8 years)
Position	Manager-Fund accounting and administration; Client services (unit trusts; hedge funds; L/S funds and institutional funds)
Job duties	<u>Fund administration</u> <ul style="list-style-type: none">- Monitor of cash and stock position for funds; corporate events for funds on daily and produce portfolio valuations- Monitor funding and funding arrangements- Issuance instructions of foreign exchange deals; trade settlements and payments; fees payments and corporate events to custodians- Monitor security trade orders given to brokers and matching trades done to orders- Monitor brokers' trade executions- Arrange brokers' accounts opening- Resolve trade settlement problems with custodians and brokers- Arrange documents for brokers' accounts opening- Proxy voting elections on behalf of the Funds- Review valuations and other reconciliation reports done by subordinates- Review custodians' valuations- Check interim and annual financial statements done by custodians- Resolve custodians' queries- Co-ordinate with auditors and custodians for annual audit

- Co-ordinate with auditors for special reports, such as UK Reporting Regime for UK unitholders and Passive Foreign Investment Company (PFIC) for US unitholders

Client Services

- Tracking the list of unitholders
- Keep records of the underlying client identities
- Keep full contact addresses and contact phone numbers of the underlying clients.
- Monitor the service progress of custodian in answering to subscriptions, redemptions, inquires and other requests.
- Resolve enquiries from investors
- Help the custodian to contact unitholders which ensure quality services is maintained at all time

Compliance

- Keep full records of daily trade orders given to brokers for all accounts in the computer system, and track records of order execution progress by brokers.
- Keep full records of correspondence sent by the president and his partner to clients and potential clients.
- Assist the president to ensure relevant colleagues (in compliance area) to conform to the US SEC registration requirements.
- Resolve queries for compliance purpose
- Assist the president to fill in the Due Diligence Questionnaire and Risk Management Report requested by clients

Company name	Bank Consortium Trust Company Limited
Working Period	01 May 2006-15 May 2006 (15 days)
Position	Officer-Funds accounting and valuation
Job duties	Check valuations and reports done by sub-ordinates

Company name	HSBC Institutional Trust Services (Asia) Ltd-HSBC Securities Services Ltd (formerly named: Bank of Bermuda HK Ltd)
Working period	01 May 1997 - 21 Apr 2006 (9 years)
Position	Senior Fund Accountant (Staff Officer) - Alternative Fund Services (traditional funds; mutual funds; unit trusts and hedge funds)

Job duties	<ul style="list-style-type: none"> - Check payment instructions prepared by subordinates - Check portfolio valuations prepared by subordinates - Prepare valuation for hedge funds, fund of funds and institutional funds - Prepare schedules and tailor-made reports for clients - Prepare interim and annual financial reports - Carry out various operational/administrative work incidentals to the valuation and administration for clients - Perform compliance work for designated Funds - Maintain Reuters pricing service - Assist the Manager in the daily work as required - Arrange funding, such as FX deals/deposit - Resolve clients' enquiries - Resolve trade settlement problems
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Company name	HSBC Asset Management (HK) Ltd
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Working period 20 July 1992 - 30 Apr 1997 (5 years)
 Position Supervisor of Client Servicing Section (unit trusts; mutual funds; pension and traditional funds)
 Job duties

- Prepare valuations and financial reports for clients
- Resolve trade settlement problems
- Arrange funding for clients' accounts
- Resolve clients enquiries
- Review valuations and financial reports prepared by subordinates

Company name Standard Chartered Equitor HK Trustee Ltd
 Working period 16 July 1990 - 10 Jan 1992 (2 years)
 Position Account Clerk II of Provident Fund Dept
 (pension funds; mutual funds; unit trusts and traditional funds)
 Job duties
 Pooled Fund clients

- Prepare annual accounts and monthly portfolio valuation for Independent Scheme and
- Calculate the terminated benefits to resigned and retired Provident Fund members
- Cash management
- Resolve clients enquiries
- Resolve the settlement problems

Company name Edward Wan & Co, Audit firm
 Working period 01 Nov 1987 - 28 Feb 1990 (3 years)
 Position Semi-Senior Account Clerk of Accounting Dept
 Job duties

- Audit clients' accounts
- Prepare accounting financial reports
- Resolve clients' enquiries
- Prepare company annual report and tax computation
- Book keeping for clients and prepare financial reports for audit purpose

Company name Lau Siu Wah & Co, Audit firm
 Working period 26 Aug 1986-30 Sept 1987 (1 year)
 Position Audit Assistant of Audit Dept
 Job duties

- Audit clients' accounts
- Prepare company annual report and tax computation
- Company search and Land search

PROFESSIONAL BODIES

20 Nov 2007	Institute of Financial Accountants, UK	Fellow Member, FFA
01 Apr 2015	Institute of Public Accountants, Australia	Fellow Member, FIPA
27 Apr 1999	Hong Kong Securities & Investment Institute, HK	Fellow Member

EDUCATION

2007	University of Bolton, England Degree of BA (Hon) in Accountancy
1986	HKCEE 3 Subjects (C)

4 Subjects (D)

QUALIFICATIONS

Year awarded	Institute/Issuing Authority
	Hong Kong Securities and Investment Institute
	Licensing Examination for Securities & Futures Intermediaries (LE)
31 Jul 2014	Paper 1-Fundamentals of Securities & Futures Regulation
18 Nov 2014	Paper 7-Financial Markets
20 Nov 2014	Paper 8-Securities
22 Dec 2014	Paper 12-Asset Management
04 Mar 2000	Certificate of MPF Intermediaries Examination
	The Hong Kong Management Association
29 Jun 2000	Distance Learning Certificate Programme on Foreign exchange & Financial Markets
	The HK Polytechnic University
3 Nov 98-24 Aug 99	Investment Analysis & Portfolio Management
	HKU-School of Professional & Continuing Education & HK Society of Accountants:
Jan 1993	Joint Accountancy Programme Level 1-1.1 Accounting
July 1993	Joint Accountancy Programme Level 1-1.4 (H) Law
	London Chamber of Commerce & Industry Examinations Board
	Accounting
1990	Higher Stage, Credit
1985	Intermediate Stage, Pass
1984	Elementary Stage, Pass
	Pitman Examination Institute, London
	Typing
Dec 1984	Intermediate Stage, Pass
Mar 1984	Elementary Stage, Pass

OTHER SKILLS

Computer Skills:	Microsoft Excel and Word, Power Point Outlook, IMS, Geneva and NTAS, Bloomberg, Reuters
Language Skills:	
English	Good command of spoken and written
Chinese	Excellent command of spoken and written
Mandarin	Fair command of spoken
Notice period:	one month notice