

NAME: Kai Berlick

CONTACT: (+65) 8504 4480 / kai.berlick@hotmail.com
University of New South Wales, 2002 - Master of Technology Management

EDUCATION: University of New South Wales, 2000 - Bachelor of Engineering (Mining)
The Sydney Boys High School, 1995 – Higher School Certificate

PROFESSIONAL QUALIFICATIONS: Advanced Certificate in Operational Risk (2008, SII UK)
Investment Administration Qualification (2008, SII UK)
Securities and Derivatives Industry Accreditation - PS 146 (2002)
ASX Options Accredited Adviser Level 1 and Level 2 (2002, Expired)

TRANSFERABLE SKILLS: Account & Relationship Management, Lean techniques, client & staff presentations and training, operations team leading, project management, ad-hoc business analysis and procedure writing, strong technical aptitude.

SYSTEMS EXPERIENCE: MS Office, Excel (Advanced) and basic VBA coding, Outlook (advanced), SharePoint (intermediate). User acceptance testing. Mainframe systems, SWIFT and cash processing.

CAREER HISTORY:

Nov 2015 – Current **Morgan Stanley Asia - Cleared Derivatives, Singapore**

- **Client Service Team Leader / Client Service Manager**
 - Manager/team-lead of Client Service Support (CSS) team. CSS performs daily controls and processing within the overall Client Service Group, supporting exchange traded derivatives (ETD), OTC derivatives and FX Prime Brokerage.
 - Responsible for the implementation of the CSS team in 2016, designing cross-training plans and functional coverage.
 - Daily controls checklist design and implementation (200+ daily control points across 2 products and multiple functions).
 - Drafted departmental procedures aligned with daily controls checklist, supervisory procedures, and associated ad-hoc procedures.
 - Lean Change Agent / Champion for Singapore - delivering Lean training to the Singapore cleared derivatives department, guiding teams through Root Cause Problem Solving and Standard Work analyses. Ongoing SME for lean process queries for Singapore office.
 - Identification, design, testing and implementation of multiple end-user computing tools (SharePoint, Excel & VBA based).
 - Supervision of client margining processes and controls, review and reporting of fails and aging calls, maintenance of systemic controls, approvals of payments, monitoring of automated internal 'bridge' margin system and upstream margin calculation processes.
 - Supervision of position expiry notification processes covering pre/post event expiry result notifications and associated controls, and statement accuracy control processes covering static data, manual bookings, out-of-range prices.
 - Tactical management of live issues impacting client service, interfacing with IT to prioritise, mitigate and perform root cause analysis of issues.
 - Requirements analysis and implementation of custom client reporting, liaising directly with clients to scope requirements.
 - BRD and UAT reviews for global projects.

Mar 2011 – Oct 2015 **JP MORGAN CHASE – Investor Services, Sydney, Australia**

- **Client Service Account Manager** (Oct 2012 – Oct 2015)
 - Management of client SLA's and deliverables for custody and fund services clients.
 - Client service reviews, scorecards, metrics analysis, due diligence responses and presentations.
 - Partnering with clients to review strategic direction and requirements, managing client service change requirements and communicating JPMC developments.

- Escalation point for service issues and product/service queries.
- Coordinating virtual teams across multiple departments to effectively respond to client requests, system issues and reporting delays due to data requirements.
- Coordinating financial year end timetables between virtual teams and clients.
- Custody SME and joint lead coverage for 3rd party investment manager clients.

- **Client Service Administrator** (Contract March 2011 – Sept 2012)

- Institutional client service focusing on equities, fixed interest and custody products.
- Risk managing breaks and unmatched trades, investigating missing income distributions, coupons, dividends and failed payments.
- Custody metrics scorecards and trend analysis, root cause analysis and remediation.

Apr 2010 – Dec 2010 **Travelling**

Feb 2005 – Apr 2010 **MORGAN STANLEY INTERNATIONAL PLC London, United Kingdom**

- **Listed Derivatives Client Relationship Manager** (Sept 2009 – Apr 2010)

- Developing and retaining high revenue and strategic institutional clients of the listed derivatives division of the firm (hedge funds and investment managers), including on-boarding and identification of systems and product opportunities.
- Managing bespoke client requirements & technical connection requests, client meetings, root cause analysis of service issues.
- Assisting in client pitches and designing / reviewing marketing material.
- Value-add services including proactive client market advice and MS market analysis.
- Business analysis and project management of implementation of workflow system covering primary departments of the LD division.
- Training staff and clients on listed derivatives products and systems, writing and delivering seminars, training sessions and workshops

- **Listed Derivatives Client Service Representative** (Feb 2005 – Sept 2009)

- Back-up coverage for European head of client service.
- Client relationship management – liaising with clients and internal business divisions (including risk management, compliance, traders, sales and marketing)
- Team leader, including resource management, service escalations and performance management in a high-pressure environment.
- Transition manager for new off-site client service team (Glasgow), ensuring risk management, escalation and service during transition period, including final training of team and local manager.
- Oversight of daily process including margining and position risk management, trade and product queries, break investigations and root cause analysis, complaints investigation and resolution.
- Risk Management – identifying and implementing risk reduction measures around margin trade communication and processing. Process and control design for European client service teams.
- Design and coordination of client confidentiality audits, local management of audit process.
- Software testing and development; client relationship management system, trade allocation system. Derivative expiry tracking system, multiple SharePoint sites.
- Design and implementation of E-mailbox system and email flow (multiple team mailboxes and mail-groups, including access control mail-groups. Overall saving of >1 hour per person per day.
- Training/Mentoring New Staff

Jun 2004 – Feb 2005 **Travelling**

Aug 2001 – May 2004 **COMMONWEALTH SECURITIES LIMITED, Sydney, Australia**
(Commonwealth Bank of Australia),

- Client relationship management – professional clients (loans, credit needs, mortgage issues and discharges).
- Trade order entry & monitoring – equities, options and warrants via IRESS and Reuters.
- Software testing of firm-wide client relationship management and risk analysis system
- Development and maintenance of email contact system and Outlook Forms development.