

## LI SHUT WING VICTOR

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### PERSONAL PROFILE

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- Certified Public Accountant with 9+ years of experience in global top tier investment bank and accounting firm.
- Experienced product controller and Finance business partner with managerial background.
- Strong knowledge in business processes and regulatory requirements of clients in the financial service industry.

### EXPERTISE AND RELEVANT SKILLS

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- International/Hong Kong Accounting Standards and Financial Reporting Standards.
- Regulatory reporting to Securities and Futures Commission (SFC) and compliance with SFC Ordinances.
- Regulatory reporting to Hong Kong Monetary Authority (HKMA) and compliance with Banking Ordinances.
- Product Control; Management reporting; Financial analysis; Budgeting and Cost allocation.
- Fluent in English, Mandarin and Cantonese.

### PROFESSIONAL QUALIFICATION

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#### **Hong Kong Institute of Certified Public Accountants**

*Member – Certified Public Accountants (CPA)*

January 2012 – Present

### EDUCATION HISTORY

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#### **The University of Hong Kong**

*Bachelor of Business Administration in Accounting and Finance*

2005 – 2008

### WORKING EXPERIENCE

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#### **Morgan Stanley**

*Manager, Finance Control Group – Fixed Income Product Control*

February 2014 – Present

- Review and ensure the proper execution of the routine control process performed by Mumbai team.
- Deliver daily revenue and attribution reports for business units to sign off.
- Handle daily ad hoc queries on revenue and balance sheet from clients, internal teams and external parties.
- Substantiate revenue, balance sheet and valuation adjustment for monthly, quarterly and yearly reporting.
- Monitor the desk's trading strategy and risk positions to provide information for analysis.
- Act as the point of contact for all Finance and downstream related issues.
- Discover and come up with suggestions for improvement on control and attribution deficiencies.

*Associate (contractor), Finance Control Group – Corporate Services Finance*

June 2012 – January 2014

- Managed Space and Occupancy, and Corporate Services related expenses in Asia Pacific, including budgeting and preparation of financial analysis for client facing.
- Liaised with Budapest Fixed Assets team and Legal Entity controllers in monthly fixed assets maintenance.
- Liaised with Corporate Service teams in preparing on-going client presentation and cost savings review.
- Prepared capital planning and financial analysis for Asia Pacific real estate strategies.
- Managed cost allocation from Corporate Services and Equity Research to business units.

## KPMG

September 2008 – April 2012

### *Assistant Manager, Audit – Financial Services*

- In-Charge of different teams to perform statutory audit on and provide ad hoc financial services for a portfolio of clients including corporate and investment banks, hedge funds, retail banks and securities dealing companies.
- Planned and prepared overall audit approach, timeline, resources allocation and budget.
- Reviewed the operation processes and tested the internal controls of different clients' business functions.
- Assisted clients in timely regulatory reporting to HKMA including review on Liquidity Position Return and Return of Large Exposure, and assessed clients' compliance with Banking Ordinances.
- Assisted clients in timely regulatory reporting to SFC including review on Financial Return and Assessed clients' compliance with applicable SFC Rules.
- Performed review on Banking Return and assessed clients' compliance with South African Bank Acts.
- Performed valuation tests on investments and derivatives including fixed income, equities, forwards, options and swap.
- Performed walkthrough tests on specialized activities including trade finance, index and dividend arbitrage, stock borrowing and lending, clearing services and security dealing, etc.

## MAJOR CLIENTS IN KPMG

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- **Investment Banks:** ABN AMRO, China International Capital Corporation
- **Corporate Banks:** HSBC, Bank of China, Standard Bank Asia, Fubon Bank
- **Hedge Fund:** Wharton Group
- **Asset Management:** SWM Asia
- **Others:** Community Chest of Hong Kong

## ACCOMPLISHMENTS AND ACTIVITIES

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### **Deloitte Club, Deloitte Touche Tohmatsu**

2005 – 2008

#### *Club Member*

- Exclusive for selected university students with high potential, proven performance on academic studies and extra-curricular activities.
- In-Charge of an accounting forum to provide career information for over 150 students.

### **Business Association, The University of Hong Kong**

2005 – 2006

#### *Current Business Affairs Secretary*

- In-Charge of an annual academic function focusing on the investment banking industry in China; Organized firm visits and discussion forum for over 200 students.
- In-Charge of a joint-university function for over 130 students from different universities.
- Prepared marketing proposal and negotiated with corporations to raise funds for The 10<sup>th</sup> Anniversary Program.

## AVAILABILITY

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- One month notification

## REFERENCE

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- Available upon request