

YU MORIKUNI

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PROFILE

- Fluent in Mandarin Chinese, Japanese and English, reading and writing.
- Strong oral and written communication skills; efficiently communicate with senior management and peers.
- Multilingual client service representative focus on off shore alternative investment funds.
- Comprehensive knowledge of regulations related to Sales and Research activities on sell side and the applicable monitoring control framework from role of Internal Audit.
- In-depth understanding of retail mutual fund sales distribution process.

EDUCATION

Imperial College Business School

MSc Management

London, UK

2012/10-2014/10

Finance, Business Economics, Accounting. Optional pathway Energy Business

King's College London, University of London

International Pre-Master's Programme, Business Management and Marketing

London, UK

2010/9-2011/6

Waseda University

Bachelor of Education in Media Culture & Society

Tokyo, Japan

2006/4-2010/3

- **GPA 3.6**; Graduated with the second highest ranking in a class of 50 students

WORK EXPERIENCE

Apex Fund Services (HK) Ltd.

Hong Kong

Client Services Officer - Japan coverage

2016/5-Present

- Responsible for client service operation of 9 Japanese Hedge Fund and Private Equity clients with 13 off shore funds of approximately 1 billion USD in AUM.
- Apply comprehensive knowledge of investment strategies to compile fund accounting and NAV reports for wide range of alternative investment funds. Effectively interface with Japanese portfolio managers and investment professionals.
- Develop and translate in Japanese for the first time marketing material, company website, NAV statements and contract notes.
- Review KYC and AML documents to ensure all compliance measures and investor guidelines are strictly met during onboarding process.
- Actively building relationships with intermediaries and referral sources by attending industry conference and company events to identify potential business opportunities.

Societe Generale Securities, Hong Kong Branch.

Hong Kong, 2015/5-2016/4

Societe Generale Securities, Tokyo Branch.

Tokyo, Japan, 2014/9-2015/4

Business Internal Auditor

- Assisted head of mission in planning and fieldwork in various jurisdictions in APAC.
 - Identified key risks and controls embedded in business line processes or lack thereof by working closely with various stakeholders, constructed testing regimens.
 - Planned and executed the sampling phrase, conducted the analysis on the result in order to identify potential findings and recommendations. Eg, analyzed more than 6000 trade alerts of smartbroker reports for 7 exchanges relating to DMA/SDMA activities.
 - Presented findings to regional and global head of audit as well as business line owners.
- Performed regulatory watch exercise; keep team updated regarding market news or significant regulatory changes which associated with SG business operations, integrated with mission work or risk assessment process.
- Facilitated 2016 risk assessment process of more than 500 entities in APAC in order to develop the 2017 annual audit plan.
- Managed and published 28 issues of regional weekly internal newsletter.
- Took leadership initiative by arranging various team building events, boosted the engagement and interaction of the department
- Audit involved: Capital Markets Sales, Asset Management, Research Activities, Compliance, Prime Brokerage Service, Accounting, FSA Inspection Business Improvement Plan.

Nikko Asset Management Co., Ltd.**Tokyo, Japan**

Internship at Investment Trust Sales Planning & Management Dept.

2014/2-2014/7

- Assisted sales team by preparing presentation material, providing market data, forecasts, new product information relating to distributors or client service requests.
- Performed weekly/monthly analysis of marketing strategies and KPI reporting to meet changes in distributors and clients trends or company measures.
- Facilitated monthly regional meeting by scheduling with senior management in other locations, preparing the meeting materials and outcome documents, enhanced transparency of the Division's objectives and achievements.
- Conducted analysis and presented the review of the investment approach by formulating the firm's FY2013 annual investment outcome, resulting in convincing evidence that managers should be given more time to improve local banks distribution performance.
- Coordinated the semi-annual product demonstration event for more than 100 prospective clients, including local and remote attendees, organized all logistic, confirmed facility arrangements, managed catering needs.

SKILLS, ACTIVITIES & INTERESTS

Languages: *Native in* Mandarin Chinese and Japanese, Fluent in English.

Member of HKFSA, HKSI and 100 Women in Hedge Funds.

Certifications: CFA Level 1 candidate, JSDA Sales Representatives Class 1, JSDA Internal Administrator.

IT Skills: Proficient in MS Word, Excel, Power Point, Access, SAP, Paxus.

Interests: Toast Masters, Traveling, Yoga and Salsa.