ANDREW LEK

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Personal Particulars

Name	Andrew Lek Yong Chay
Identification number	S-8034745-F
Gender	Male
Race	Chinese
Date of Birth	2nd November
Nationality	Singaporean
Marital Status	Single
Contact number	+65 9846 4566 (Mobile); +65 6556 9345 (Residence)

Academic Qualifications

Jul-03	-	Jun-06	Singapore Institute of Management	BSc Banking and Finance
			University of London (London School of Economics)	(Honors)
Jul-97	-	Jun-00	Temasek Polytechnic Singapore	Diploma in Product Engineering

Computer Literacy

Software	-	Microsoft Office Applications
	-	Global One (stock loan application)
	-	Bloomberg / DTC / DTCC / Telekurs
	-	Euclid / Euroclear & Swift BIC Publication Portal / FTS
	-	Datawarehouse
	-	Intellimatch / TLM (nostro application)
	-	Mint (Swift messaging system)
	-	Trianna (FX trades clearing system)
	-	iGrafix (flowchart drawing application)
	-	FACTIVA (compliance application)
	-	SIDE SafeWatch (compliance application)

Job Experience

Nov-14 -	Current	BNP Paribas	Client Development Team
		Securities Services	Client Service Manager (AVP)

Department and role overview:

The client servicing role needs the individual to undertake responsibility to manage and further build positive working relationships with a portfolio of regional and global asset owners and asset managers.

He is required to be a senior escalation contact for a variety of operational and non-operational related queries, whereby he will work towards to ensure service delivery meets clients and business expectations. The individual will also be required to interact with the head of departments and occasionally engages directly with the c-suite executives.

Key Responsibilities:

Client

- Understand the client's strategy and requirements to enable BNP Paribas Securities Services to deliver on the client needs
- Create a strong understanding of the client needs throughout operations and across the business
- Manage the operational contact between client and operational areas by ensuring a full understanding of the client's needs and expectations across the organisation and providing clarity for the actions required to service the client
- Identify and produce appropriate key management information / business metrics (based on the global standards) to communicate and facilitate the client relationship
- Document, coordinate and oversee resolution of problems or issues affecting the quality of service delivery and the overall client experience
- Identify and coordinate service delivery modifications in response to changes in the client activities by raising change projects within the existing service scope
- Ensure proper coordination of relationships with third parties related to the client activity, including third party asset managers, auditors and external middle office service providers
- Host client service governance meetings and conduct client reviews and due diligence visits for existing clients

Organisation

- Engage the Operations teams in the pursuit of service quality delivery and improvement
- Facilitate the resolution of escalated operational issues across the organisation by establishing and overseeing a formal service governance framework
- Monitor the performance of the service delivery against the operating procedures and service levels agreed with the client
- Use issue logs (query database) for review both internally and with the client
- Manage process for formal complaints
- Maintain action plans and Service Level Agreements (SLAs) for each client relationship and ensure they are fit for purpose and up to date
- Manage the client contact for the on-boarding, account opening processes and coordinate activities with the business implementation, product team and various departments for new business take on.
- Work with internal stakeholders and client to conform to risk, compliance and regulatory requirement (including Outsourcing register, AML/ KYC, FATCA and PDPA)
- Ensure consistent messages are delivered to the client around business recovery incidents in accordance to issued guidelines
- Consolidate activity-specific information (including metrics and KPIs) provided by Operations
- Maintain individual client KPI and MI pack, and utilizing the data to identify service delivery improvement across all business lines

- Monitor invoice billing and payment by client
- Undertaking and successful delivery of RFP in a time constrained environment

Business

- Refer new business development opportunities
- Contribute to product / service development initiatives
- Contribute to client strategy meetings
- Contribute to the development of BNP Paribas Securities Services brand and market reputation

Achievements

- Review and alignment of MIS and KPI presentation pack to clients for global and local performance and service review. This results in a more intuitive and relevant representation of the data and measurement for both client and service provider.

- Developed, introduced and implemented the "Client Satisfaction Dashboard". This enables the different business lines to be reviewed periodically from a client's perspective. It also allows the senior management committee to track the performance of each business line. Trends can easily be extrapolated for improvement programme or strategic review. The project was presented to and endorsed by the CEO as well as the senior management committee.

- Committee member in rolling out and implementing job scope alignment / migration project. This enhances efficiency and effectiveness on issue resolution and escalation resulting in corporate alignment, additional capacity / cost saving (approx. 2 FTE).

Mar-10 -	Nov-14	Credit Suisse Investment Bank	Prime Services Middle Office Client Service

Department and role overview:

Prime Services Middle Office Asia require a high achieving individual who is capable of interacting directly with a variety of regional and global clients and acting as the client's go-to for all Prime Services operational queries.
He needs to maintain a positive working relationship with the front office Client Relationship Representative (CSR), and work alongside the front office / traders where required

He takes responsibility for a number of clients, acting as an operational contact for a variety of queries (includes asset servicing, collateral, stock loan, swap, settlements [NDF trades inclusive], payments, etc), being the client's primary operational point of contact. He would also be responsible for maintaining individual client MI, and utilizing the data in order to identify process improvements and cost/risk reduction for both the client and the firm.

Key Responsibilities:

- Build strong effective relations with global departments, driving change or perspective where appropriate.
- Interface with departments to glean information, disseminate, acting accordingly.
- Communicate effectively, responding to verbal and non-verbal inquiries.

- Initiating, documenting and maintaining procedures.

- Understand wider MO Rep responsibilities, effectively manage and build those 'account coverage' relationships for which you have responsibility.

- Understand areas of risk within the firm (within the middle office or other departments). Identify, document and implement change with tangible benefits realized.

- Communicate with other middle office reps to share information for the benefit of the wider team.

- First point of contact for clients providing expert knowledge in various operational duties (reconciliation inclusive) and to ensure delivery of quality customer service.

- Provide CSRs and MO management with detailed information about client operational activity, process enhancements, and feedback.

- Attend client meetings (with CSRs) where required to provide operational perspective.

- Maintain client information (key contacts, fund information/strategy) for MO group and secondary client cover.

- Business partners to peer operational groups – Settlements, Trade support, Strategic Change Group, Cash management, Cash processing team, Risk management, Margin team, Global Network management, Account opening, Asset Servicing, Custody teams, Onboarding & transition, Client valuation & collateral team.

He is required to offer direct and immediate assistance to our portfolio of global clients (mainly hedge funds), liaising with them directly while helping them build their business on a daily basis.

| Mar-07 - | Feb-10 | Credit Suisse Investment Bank | Prime Brokerage Asset Servicing |

Department and role overview:

Asset Servicing undertakes corporate action, dividend and coupon processing for the investment banking business i.e. proprietary trading, stock lending and prime brokerage business units.

The job involves accurately settling Asian & European Equities and Fixed Income transactions. Needing to maintain relationships with clients and working closely with key stakeholders. Developing an in-depth understanding of the market and supporting, resolving trade differences while adhering to a control framework are essential.

Key Responsibilities:
- Prime Brokerage Fixed Income / Fixed income accruals
- Liaison and support role for Fixed Income towards Middle office, Front office / desks and top tier prime clients (incl. PCs, prop traders and account owners) across APAC, EMEA and Americas.
- Accrual investigation & query support for more than 400 prop acc. (excl. Prime Brokerage).
- Verifying postings and client positions in PrimeView (Online platform to view & verify positions for clients)
- Reference Data analysis
- Manual ledger creation and reconciliation for Prime client accounts
- Reflection & amendment of entitlements due from corporate actions
- Liaising with Issuer, depositories, custodians and agents.
- Issuance of notifications for corporate action announcements to traders and clients
- Reconciliation of general ledger and activity across cash nostro, stock and control accounts

- FOBO investigation with clearing housing ie, Euroclear, DTC & domestic agents.
- Nostro and depot matching.
- Processing ad-hoc FX request from client (incl. sensitive currency ie. Argentine peso)

Achievements

- Successful clearance of multi-years aged breaks with analysis and reconciliation.
- Project collaboration with Static Change Group and Reference Data team to fix identified bug along with static data clean up. This resulted in a highly accurate and error free static database for trade processing and accrual, improving efficiency and capacity reduction on BAU.
- Successful UAT regression testing for system with patch / fix implemented.

Sep-06 -   Feb-07   UBS AG   Asset Servicing
                                     Investment Bank

Key Responsibilities:

Equities Dividend and Fixed Income Coupon claims

- Stock Loan /Vanilla Equity dividend
- Cash Trades (Receivables & Payables) and Interest Claims
- Franked and unfranked (Taxation)
- Appendix (C/D), MOD/MOD2 & Tax framework
- Corporate Actions: Drip; Stock / Cash / Currency Elections.
- Payment processing (incl. SSI & call-back process)
- Taking in of funds / Nostro matching, Breaks Investigations & Reconciliation
- Fore contact point for traders / clients and counterparties
- Repo Trades, Buy sell back
- Taking charge and handling list of tier one clients
- Point of escalation

Achievement

- Successful clearing of all aged items up to 3 years in receivable checklist via investigation and analysis in limited time constrain.

Jul-06   -   Aug-06   ING   Temp   Admin Executive
                                     (Structured Finance)

Key Responsibilities:
- Assisting a team of Relationship Managers
- Customer Due Diligence / KYC on International Corporate Clients including BVIs and multi hierarchy holdings
- World Check
- Registrar of Companies
- Client Regulatory Compliance
- PEP and sanctions screening