

Dear Sir/Madam,

I am a qualified Accountant of the Hong Kong Institute of Certified Public Accountants and CPA Australia. I have a Master degree in Applied Finance and two Bachelor degrees in Business - majoring in Banking and Finance, and Accounting.

I am an Assistant Fund Operations Manager in an SFC licensed investment management firm specializing in alternative investments. I have extensive financial product knowledge in both listed and unlisted investments. The types of products include long/short equities, private equities and OTC markets such as options, derivatives, futures and swaps as well as forex. My main duties involve the preparation of fund's Net Asset Value, review and reconciliation of fund administrator's valuation reports, preparation and compilation of monthly management reports, reconciliation and maintaining investor transaction records, compliance-related issues and project management. Previously, I worked at Standard Bank and HSBC in the Operations Control Division and Alternative Fund Services Department respectively. My duties included preparation of MIS report, KRI report and monthly operations updates, monitoring the reconciliation of cash & holdings, fund administration, client relationship management, fund valuations and implementing ad-hoc projects. Before HSBC, I was an auditor working in PricewaterhouseCoopers and Ernst & Young for more than four and a half years, with over 1 year of IPO related experience.

In my previous positions, I have demonstrated creativity, strong analytical skills, and good interpersonal skills. I have been rewarded by several promotions over the course of my career. I have solid accounting, fund & banking knowledge and interact successfully with various parties such as portfolio managers, fund administrators, prime brokers, legal consultants, corporate secretaries and auditors. I am confident that I have the qualities and capabilities to fulfill the duties required by the position. In my next role, I am looking for a position where I can continue to exercise those skills.

Sincerely,

Anne Leung

**NAME** Anne Leung  
**STATUS** Married  
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**NATIONALITY** Chinese, Hong Kong  
**RESIDES** Hong Kong  
**LANGUAGE** Fluent English and Cantonese  
Conversational Mandarin

## **EDUCATION**

	<b>Monash University, Australia</b>
2001	Master of Applied Finance
2000	Bachelor of Business in Accounting
2000	Bachelor of Business in Banking and Finance

## **QUALIFICATION**

**Hong Kong Institute of Certified Public Accountants (HKICPA)**  
Qualified Accountant since 2005

**CPA, Australia**  
Qualified Accountant since 2004

## **CAREER HISTORY**

**JAN 2010 - MAR 2017**      **WARD FERRY MANAGEMENT**  
**Assistant Operations Manager – Middle and Back Office**

- ☐ Handle fund administration, settlements, fund transfer, fund accounting and NAV calculation for both hedge funds, long only funds with private equities investments as well as managed accounts.
- ☐ Private Equities include Online Music Stores, Mining Companies, Food Chains, and Unlisted Stock Exchange.
- ☐ Perform reconciliation of trade details, daily and monthly statements of the funds, maintenance of cash balances and management of P&L and NAV reporting.
- ☐ Monitor margin requirements for Futures, OTC positions, control the cash positions of the funds and coordinate any upcoming corporate actions with portfolio managers.
- ☐ Prepare weekly risk report, monthly attribution analysis, ad-hoc investor reports, and other fund reports for portfolio analysis
- ☐ Liaise with various parties, such as fund managers, prime brokers, executing brokers, auditors, custodians, fund administrators and other service providers for any operational issues
- ☐ In collaboration with risk, operations and compliance departments, formulate and implement proper internal controls and procedures for managing operational and fiduciary risks

- Provide technical support and guidance to resolve operational issues including valuation, pricing, custody related issues as well as that of those in accounting, reporting, audit and client relationship
- Maintain the operating procedures are adhered to regulatory and company requirements
- Ensure the efficient ongoing administration of funds and ensure compliance of provisions as defined in the funds documents such as monitoring the restricted trading list
- Keep abreast of accounting standards, investment instruments, market and regulatory changes

**FEB 2009 – JAN 2010**

**ELMORE CAPITAL LIMITED**

**Fund Operations Manager – Middle and Back Office**

- Setup and monitored the Operations Department to ensure a smooth, efficient and effective operational workflow
- Acted as a project manager in ad-hoc assignments including setting up financial modeling, analysis and forecast
- Reviewed key agreements before execution, including PPM, prime brokerage agreement, fund manager agreement, transfer agent agreement and administrator agreement
- Updated the Operations, Accounting, Staff and Compliance Manuals
- Appointed as a Deputy Compliance Officer to ensure the firm complies with all the relevant rules and regulations (e.g. Investment restrictions in the PPM, Financial Resources Rules of the SFC, computation & submission of eFRR to the SFC)
- Responsible for the financial year-end audit including the preparation of the management account, responding to audit queries, and finalizing the financial statements to be submitted to the SFC
- Prepared funds internal NAV on a daily basis
- Familiar with investment activities, including equity, currency & commodity products
- Cash management including fund transfer, execution of FX orders to minimize interest expense
- Supervised the trade support functions, monitored the reconciliation processes on cash and holdings accounts and followed up and investigated any exception items
- Worked with marketing team on information for marketing materials, due diligence requests and any investor enquiries

**JUN 2007 – NOV 2008**

**STANDARD BANK**

**Head of Operations Control**

- Acted as a project manager for operations-related projects from thought to finish, which involved:
  - Performing cost vs. benefit analysis, user acceptance testing and parallel run
  - Understanding needs of end-users and objectives of the projects
  - Acted as a bridge between end-users and other departments (e.g. IT)
- Projects managed included:
  - Auto-matching project – system to perform reconciliation process of internal record against external record with aim to reduce human errors and enhance efficiency
  - Automation project – aim to have data auto-generated from various systems for MIS purpose
  - Streamline project – studied the daily workflows of staff with aim to eliminate duplicate tasks
- In addition to Hong Kong, monitored the operations control of other Asia branches including Sydney, Tokyo, Shanghai, Taipei and Singapore and reported directly to the London Head Office
- Prepared Key Risk Indicator (“KRI”) and Management Information System reports (“MIS”)
- Monitored the reconciliation processes on bank and custodian accounts
- Reviewed and updated the operations procedures

**APR 2006 – JUN 2007**

**HSBC**

**Assistant Manager – Alternative Fund Services**

- Managed daily, weekly and monthly fund valuations for over 20 sizable funds including hedge funds, traditional funds, master-feeder funds, fund of funds, limited partner funds, private equities funds with different calculation methods such as series accounting and equalization accounting
- Led a team of over 10 staff and reporting directly to the Vice President
- Nominated as a mentor to share valuable experience and knowledge to junior staff for their career development
- Dealt closely with fund managers, fund advisors, prime brokers, existing and potential investors, auditors as well as various internal departments such as the new business group, portfolio administration unit and the compliance department.
- Major responsibilities included fund valuation, fund administration, trade settlement, cash management, FX execution, client relationship management, financial reporting, due diligence, know-your-client (KYC) verification, investors and potential investors issues, releasing fund prices to press and giving accounting advice to fund managers

**FEB 2004 – MAR 2006**

**PRICEWATERHOUSECOOPERS**

**Jul 2005 – Mar 2006**

**Senior Associate Year III – Assurance & Advisory Business Services**

**Jul 2004 – Jul 2005**

**Senior Associate Year II – Assurance & Advisory Business Services**

**Feb 2004 – Jul 2004**

**Senior Associate Year I – Assurance & Advisory Business Services**

- Team Leader for IPO projects
- Dealt closely with all levels of management on client sites
- Led multiple on-field engagements from start to finish, with extensive involvements in planning, managing team effort and training subordinates
- Prepared audited financial statements for companies listed on both the main board and the growth enterprise market board of the HK Stock Exchange

**NOV 2001 – FEB 2004**

**ERNST & YOUNG**

**Oct 2003 – Feb 2004**

**Staff Accountant III – Assurance & Advisory Business Services**

**Oct 2002 – Oct 2003**

**Staff Accountant II – Assurance & Advisory Business Services**

**Nov 2001 – Oct 2002**

**Staff Accountant I – Assurance & Advisory Business Services**

- Performed financial analysis and the full range of financial audit tasks, dealt closely with all levels of management on client sites
- Analysed clients' accounting and information systems, performed risk assessments and tested for reliability
- Worked with multiple engagements located in PRC and understood the necessary significance regarding accounting practices issues involved with companies in Mainland China