

Name: Connie (Sin Yu) Phillips

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Fully qualified accountant since **2007** as ACA from ICAEW, UK

I am an aspiring CFO and looking to consolidate my management experience within the finance function in Asset Management. I pride myself with a can-do attitude and always looking to make a positive difference.

Career experience

August 2016 – Present

BFAM Partners (Hong Kong) Limited, Hong Kong
Finance Officer

BFAM Partners is a multi-strategy hedge fund with **AUM** of around **\$2.3bn**, it allocates capital dynamically amongst three core investment strategies: Equity-Linked trading strategies including convertible bonds; Volatility trading strategies focused on regional Equity and FX markets; and Credit trading strategies.

Since I joined BFAM Partners in August 2016 and reporting directly to the COO, I brought the Cayman, Hong Kong and **Consolidated** management accounts, which were outsourced to an accountancy firm back **in house**, the responsibilities included selecting an accounting software, setting up all the necessary controls and processes, writing up the **Finance Manual**. The process has helped to speed up the reporting timeline and to improve the accuracy of the accounts.

In addition to producing the monthly management accounts for the corporate entities, I am responsible for all the day to day running of the accounts including bookkeeping, making payments to third parties including the payroll firm. I also carry out **Corporate Treasury** function managing liquidity between the entities.

Further, I have set up a model to examine our tax position potentially restructuring **Transfer Pricing** model as the business grows.

Aside from the Corporate entities, my responsibilities for the Cayman based investment fund are as below:

- As part of the routine NAV production cycle, I work closely with the Middle Office team and the Administrator in Mumbai to ensure the **P&L is correct**, and ensure capital movements and expenses are accounted for correctly and that the **allocation** between the investors are correct. I am responsible for **issuing estimated performance** to investors on a weekly basis.
- Ensuring compliance and tax filings are completed such as K1s for the US investors and FAR for CIMA
- As the Finance Officer, I attend board calls from Cayman and answer directors' queries. Attend investors due diligence meetings to represent Finance.

As for the annual **Audit** on both Corporate and the Fund, I am very much involved reviewing the **statutory accounts** under IFRS, liaising with the Auditors and Administrators to get the accounts audited and signed off.

July 2011 – July 2016

Cantab Capital Partners LLP, Cambridge, UK
Fund Controller

My role as a Fund Controller at Cantab Capital is a varied one covering many aspects of financial control and reporting functions for the Cayman funds, the Managed accounts and the Partnership account.

Prior to maternity leave, I **led** the finance team which involved **training** up new employees, setting and reviewing their work, defining the finance function and pushing forward the finance projects.

As I have become more experienced within the firm, I devoted most of my time **improving** various in-house built systems which are widely used by the Operations and the Finance teams. As Cantab is a systematic trading platform and trades large volume on Forwards, Futures and Equities on a daily basis, it is essential to maximise output of the systems by way of **automating** the work flow.

The **key projects** and implementations I have worked on

- Equities Corporate Actions - Implementing **alerts and reconciliation** system for over 2,000 cash equities and CFDs between two Prime Brokers;
- Cash Reconciliation system – Continual improvement on cash flow for futures commissions, realised cash from trading, margin calls, interest, financing costs and Corporation Actions;

- NAV Database system – **System migration** from Excel to the Database and enhance reporting for Investor Relations; Automation of Forwards hedging calculation and execution from the Database;
- Maintaining relationship with Data Provider – Thomson Reuters, ongoing monitoring and negotiation of cost
- Oversee the administration of the UCITS fund

I am currently leading a project to switch AIFMD Depositary provider.

The key responsibilities for the Cayman funds and Managed accounts are:

- **Review and approve** monthly NAVs prepared by Administrator by performing reconciliation of P&L to internal accounting system. This includes review of fund expenses, perform FX hedge trades, calculate management fees and calculate performance fees using equalization and series accounting
- Review the year end **statutory accounts** under IFRS and liaise with auditors
- Assist with Tax queries and liaise with external Tax advisors for German Tax Reporting, UK Reporting Funds, K1s and PFICs
- Issuance of Transparency Report, weekly and monthly fund NAVs estimates
- Monitor investments dealings and outstanding AML, provide support to investor relations for investors queries on fees and performance
- Prepare regulatory filings including BlueSky, CPO-PQR, Annex IV

Mar 2010 – July 2011	Barclays Capital, Canary Wharf, London Analyst
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I worked for Barclays Capital for 1 year and 4 months. My focus for the first six months was to test an in-house developed accounting system, called MOTIF, which the derivatives business went live in Sep 2010. I lead the migration effort from the financial controller prospective during Go Live phase in Sep 2010. My role had developed to reporting the live business from MOTIF alongside with testing for continuing development.

Nov 2004 – Feb 2010	PricewaterhouseCoopers LLP, Cambridge, UK Assistant Manager, Audit & Assurance
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Responsibilities on each audit client.

- Audit of financial statements under UK GAAP and IFRS
- Management of audit team (tasks allocation and review work of junior staff)
- Management of timetable to meet tight deadlines
- Preparation of reporting documents (reporting to audit committee and group auditors)

Qualifications and Educations

Professional qualifications

2007	ICAEW - Institute of Chartered Accountants England and Wales, UK	ACA – Accredited Chartered Accountant
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Educations

2016 – Present	Chinese University of Hong Kong	Part Time MBA (Saturdays only)
2004 – 2000	Imperial College, UK	MSci Physics – Degree Class 2:1
2000 – 1998	Brighton College, UK	A Levels: Physics A , Maths A , Further Maths B Chemistry B , Chinese A
1998 - 1995	The Towers Convent School, UK	11 GCSES (2A*s, 3As, 2Bs & 4Cs)

Languages English and Cantonese – Bilingual; Mandarin – Intermediate; Spanish – Basic

IT Advance use of Microsoft Excel and basic use of Microsoft Access (creating table and simple queries)