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*Canadian Investor Relations professional seeking an opportunity to build upon the existing financial services skill set in both client servicing and reporting in order to gain employment within the Alternative Investments industry in Hong Kong.*

- 8+ years of financial services experience, 5+ of which within the hedge fund / private equity industry
- Proven record of building and maintaining client relationships, 12+ years of customer services experience
- Outstanding sales records obtained during 4 year employment at a large retail bank
- Excellent communication, organizational and time management skills
- Detail oriented and passionate about quality improvement in investor relations processes
- Hedge fund administration subject matter expert with the ability to resolve technical and analytical problems

**Excel ▪ Power Point ▪ Investran ▪ Bloomberg ▪ CRM ▪ Clienteer ▪ Trade Management Systems ▪ Moxie**

## PROFESSIONAL EXPERIENCE

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### **STATE STREET FUND SERVICES LIMITED (Hong Kong)**

Nov 2016 – Present

*State Street Corporation (NYSE:STT) is one of the world's leading providers of financial services to institutional investors, including investment servicing, investment management, and investment research and trading. State Street Fund Services Limited is part of its Alternative Investment Solutions group which is the largest alternative funds administrator in the world with combined over \$600 Billion of AUA.*

#### **Private Equity Investor Services Manager**

- Managing a team of three which provides investor services to 30 private equity clients comprised of 103 funds with approximately 2300 investors in total (~\$160 Billion AUA)
- Responsible for execution of limited partners on-boarding, obtaining KYC/AML documents, reviews and approvals
- Processing of all investor activity, CRM maintenance and FATCA/CRS reporting
- Spearheaded various records collection, maintenance and retention projects resulting in increased transparency and efficiency of processes
- Additional services include facilitation of bank account openings for the funds and advisory on fund subscription documentation

### **WEST FACE CAPITAL (Toronto, Canada)**

Jul 2014 – Apr 2016

*West Face Capital Inc. is a Toronto-based asset management firm with AUM of \$1.7 billion. The firm focuses on distressed, event-driven, opportunistic and special situations investments. West Face has experience of investing across the capital structure in public and private opportunities in both Canadian and international markets.*

#### **Investor Relations Associate**

- Reported to Managing Director of Investor Relations, handling of the existing 450+ investor base
- Responsible for day-to-day investor correspondence, updating investor records, completing DDQs/RFIs and audit confirms
- Reviewed trade documentation, collected investor identification documents (KYC/AML/FATCA) to ensure compliance
- Updated two pitch books, drafted and designed various marketing materials
- Distributed the quarterly investor letters, statements and performance estimates
- Created and reconciled custom financial reports (P&L/Exposure)
- Worked closely with data analyst to streamline investor reports resulting in increased efficiencies on common queries
- Conducted research on worldwide marketing legislations and organized all supporting documents
- Created a process manual and continuously coached one junior investor relations staff

### **CITCO FUND SERVICES (Toronto, Canada)**

Nov 2011 – Jul 2014

*The Citco Fund Services companies are the world's pre-eminent hedge fund administrators and have over 40 years experience in the provision of administration and other services to their hedge fund clients, many of whom are leading names in the industry.*

#### **Senior Investor Relations Specialist**

- Promoted out of team of nine based on timely and accurate deliverables and consistently exceeding clients' expectations when acting as the main point of contact
- Developed four junior team members through effective management, mentorship, and training
- Responsible for approval of cash movements, NAV reconciliations, investor and financial reporting for five clients, 42 onshore/ offshore feeders with approximately \$20 Billion AUM
- Coordinated hedge fund administrative processes, such as: trades completion, investor verification (KYC/AML), audit confirms, financial market value statements and ERISA reporting, and K-1 distributions
- Tested in-house CRM software in the development environment resulting in improved efficiency and controls
- Created process manuals for the investor relations department training purposes by collaborating with senior management
- Ensured flawless operations through efficient communication with accounting, treasury and support team departments

## TD CANADA TRUST (Toronto, Canada)

Jan 2008 – Nov 2011

*TD Bank Group is the largest bank in Canada by market capitalization and a top-10 bank in North America. Globally, it ranks as the 19th largest bank in the world, according to Forbes. In Canada, the bank operates as TD Canada Trust and serves more than 11 million customers at over 1,150 branches.*

### Financial Services Representative

- Promoted out of seven people based on providing outstanding customer service and exceeding sales goals
- Developed financial planning strategies based on an analysis of unique client needs
- Met and exceeded sales targets by effectively consulting on a range of personal investment and credit products and services
- Increased client retention by identifying and resolving issues effectively
- Built a thorough understanding of retail banking by processing a wide range of day-to-day transactions
- Responsible for the timely and accurate management of daily cash shipments

## EDUCATION

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| ▪ <b>CAIA Association</b> , Chartered Alternative Investment Analyst Program      | Apr 2016 |
| ▪ <b>Ryerson University</b> , Bachelor of Commerce in Finance with a Minor in Law | Jul 2011 |
| ▪ <b>Canadian Securities Institute</b> , Canadian Securities Course (CSC)         | Oct 2009 |

## PERSONAL INTERESTS

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- Enthusiastic traveler - enjoy backpacking through Europe, sailing the Adriatic Sea and hiking in Hong Kong
- Fascinated by history, psychology and behavioral economics
- Passionate about photography (see [kikhard.com](http://kikhard.com))
- Toastmasters Club Member – seeking to enhance public speaking abilities by strategic practice and feedback
- Volunteering: Karen Leung Foundation Sohn Conference 2016 – raising awareness about HPV & cervical cancer in HK
- Volunteering: 100 Women in Finance – Event Coordinator starting Sept 2016