

Vicky Ka Kei Chan

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Qualification

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| Level 1 CFA Program, CFA Institute | June 2017 |
| Qualification Programme, Hong Kong Institute of Certified Public Accountant | December 2015 |
| § Completed and passed four modules and final examination | |

Education

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| The Chinese University of Hong Kong (CUHK) | Sept 2010 - Aug 2014 |
| Bachelor of Business Administration in Professional Accountancy | |
| § Cumulative GPA: 3.21 / 4.00 | |
| High School, Hang Seng School of Commerce | Sept 2008 - Aug 2010 |
| § HKALE: 1A 3Bs , with A in Business Studies | |

Work Experience

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| Ernst & Young | July 2015 – Present |
| Senior Associate, Assurance, Financial Services | |

- § Job engagements:
 - CITICPE Funds Management Co., Ltd, Top 10 Private Equity Management in Greater China.
 - D. E. Shaw & Co (Asia Pacific) Limited, subsidiary of D.E. Shaw Group, a global investment management firm based in U.S., Top 6 in 2016 Hedge Fund 100 Ranking
 - HSBC Securities Services (HSS), one of the world's leading providers of fund and securities services include fund accounting and administration, transfer agency services
- § Experienced in compliance audit on SFC licensed corporation and Private Equity Funds audit under IFRS/USGAAP
- § Reviewed valuation methodology on Private Equity, evaluated tax impact on withholding tax on investment in China and liaised with clients, valuation team and tax team on the investment
- § Performed audit on behalf of the Funds on HSS's internal control system for processing clients' transactions and on the suitability of the design and operating effectiveness of controls in a capacity of Fund Administrator

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| PricewaterhouseCoopers Hong Kong | Oct 2014 – Jun 2015 |
| Associate, Assurance, Institutional Group | |

- § Job engagements: COSCO (H.K.) Shipping Co., Ltd, China Power New Energy Development Co., Ltd
- § Evaluated the internal control process and performed validations on control cycles
- § Performed analytical procedures including fluctuation analysis and test of details on 30+ statutory accounts

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| The Hongkong and Shanghai Banking Corporation (HSBC) | Sept 2012 - May 2013 |
| Operations, Client Onboarding and Account Maintenance, GB&M | |

- § Provided operational support, performed due diligence including documents verification and accounts follow-up for Global Banking and Markets (GBM) client onboarding
- § Worked with risk control, compliance ,KYC and offshore teams to fulfill the regulatory requirements including AML on accounts openings for GBM clients and facilitate successful clients onboarding on a timely basis
- § Acquired knowledge of the procedures on client onboarding, including KYC and client manager functions and participated in projects aimed at mitigating operational risks

Leadership Experience and Social Services

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| Joint University Outstanding Marketing Award, Finalist (JUOMA) | 2011 – 2012 |
| CUHK New Asia College Social Service Association, Executive | 2010 – 2011 |

Skills and Abilities

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| Languages: | Native in Cantonese; Fluent in English and Mandarin Chinese |
| IT skills: | Excel, PowerPoint, Word, Outlook |
