

Alfred Shum, CPA, CA, MAcc

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SUMMARY OF QUALIFICATIONS

- Strong deal and investment related background refined through providing deal advisory support such as assisting with financial models, due diligence, structuring, funding, and ongoing investment monitoring across an array of investment mandates
- Excellent breadth and depth in accounting and tax knowledge through involvement in audits, a variety of compliance and consulting projects in industries including Asset Management, Banking, Consumer Products, Mining, Technology, and Pharmaceuticals
- Solid experience in the Private Equity and Asset Management industries through providing support in investment acquisitions, auditing and providing tax assistance to various types of funds in Toronto, New York and Hong Kong
- Strong research and writing skills cultivated through drafting investment memorandums, opinion letters, and technical memos to clients
- Exceptional leadership and team-oriented skills developed through managing teams and coaching of junior team members while demonstrating excellent interpersonal and communication skills to build and sustain relationships
- Proficiency in Microsoft Office including Microsoft Excel
- Fluent in both English and Cantonese

PROFESSIONAL AFFILIATIONS

The Institute of Chartered Accountants of Ontario (ICAO)

- A registered Chartered Professional Accountant - Canada (CPA) and Chartered Accountant (CA) since April 2012

EDUCATION

University of Waterloo, Waterloo, Ontario

September 2005 – 2010

Master of Accounting (MAcc)

- Obtained advanced post-graduate knowledge in the areas of Accounting, Audit, Taxation and Finance

Bachelor of Accounting and Financial Management Co-op, Area of interest in Economics

- Recipient of the University of Waterloo President's Scholarship for achieving an average of 90%+ in graduating year, 2005

PAST EMPLOYMENT EXPERIENCE

Jynwel Capital Limited, Hong Kong, Hong Kong

November 2014 - Present

Private Equity Finance Executive, Finance Division

- Performing financial reporting and tax functions of the firm and portfolio companies including updating the financial budget and forecast and reviewing management accounts, cash flow statements, payments and expenses
- Ensuring the firm satisfies all requirements outlined by the Securities and Futures Commission of Hong Kong including meeting liquid capital ratio tests and other regular, periodic and ad-hoc filing requirements
- Maintaining and tracking investor capital commitments, funding requirements and all fund-flow related activities on ongoing deals as well as with portfolio companies
- Monitoring the performance of all portfolio companies and investment structures from a finance perspective including reviewing financial reports on a monthly, quarterly and annual basis as well as assisting in investment valuations and preparing investment memorandums to update investors
- Enriching M&A experience through working with investment and legal teams in all stages of an acquisition process including financial, tax and operational due diligence, tax structuring, reviewing legal agreements, funding and other finance related issues
- Facilitating and managing communication with all professional advisors including accounting firms and financial advisors on accounting, tax and funding related issues with respect to ongoing deals
- Managing the investment structuring process including entity formation, bank account set-up, funding and all accounting related activities

PricewaterhouseCoopers Limited, Hong Kong, Hong Kong

January 2014 – October 2014

Manager, Global Structuring Services

- Enhancing knowledge in PRC hedge fund and asset management industry by providing consulting to top multinational asset managers on PRC implications associated with QFII / RQFII / Shanghai-HK Stock Connect regimes
- Improved understanding of businesses in various industries and countries (including Malaysia, Japan, Indonesia, Thailand, Taiwan, India, Vietnam, and Singapore) through performing buyer and vendor tax due diligence reviews and deal related support such as advising on a tax efficient acquisition model and reviewing legal agreements
- Developing project management skills through assisting clients with managing the planning, implementation and integration phases of the planned restructuring arising from acquisitions, divestitures and other reorganizations
- Effectively managing, leading and coaching numerous associates and senior associates on a wide range of engagements at a given time and completion on time and within budget

PricewaterhouseCoopers LLP, Toronto, Ontario

April 2011 – December 2013

Manager, *International Tax Services*

- Gained international experience and general knowledge of U.S. Income Taxation in the hedge fund and asset management sector through a secondment to the **PricewaterhouseCoopers LLP Asset Management Group in New York, New York**
- Enhancing financial services tax technical through overseeing mutual fund tax compliance projects and review of corporate actions for asset management clients
- Delivering value added services to large and medium-sized multinational companies by assisting in developing different tax planning opportunities and corporate reorganizations such as implementation of European holding company structures, hybrid debt structures, and IP migrations, among others
- Providing audit and review support to the audit and M&A teams through assistance in audit of tax provisions and performing tax due diligence on proposed deals

PricewaterhouseCoopers LLP, Toronto, Ontario

January 2007 – April 2011

Senior Associate, *Audit and Assurance Group, Financial Services*

- Responsible for taking part in the planning and completion phase of audit engagements for companies in the investment management and financial services sector
- Built strong knowledge and understanding of the mutual fund industry (and operations) through performing audits of several international asset managers (i.e. Morgan Stanley Funds, SEI Investment Funds, TD Funds, ATB Financial, Fidelity Investment Funds, CI Investment Funds) which utilized investment strategies such as fund of funds, among others
- Developed audit approach, established budgets, executed and monitored testing on audit engagements in accordance with international standards of auditing (ISA)
- Application of technical financial accounting knowledge and auditing standards in solving complex matters encountered during engagements

CAREER ACHIEVEMENTS

- Exceptional performance ratings throughout career at PwC in both audit and tax and attained a manager position within four years
- Selected by PwC New York for a secondment to the New York firm
- Nominated and participated in presenting at several conferences and internal training seminars to speak on various topics (i.e. inspirational presentations to new staff and tax technical topics)
- Participated and led teams in the audit of several industry leading financial services companies including top asset managers, insurance companies and private equity funds
- Leading team member responsible for ongoing tax assistance and post-deal tax integration and structuring for clients' USD4.9B acquisition of target
- Main clients at PwC included Fortune 500 companies in the financial services, real estate, mining, pharmaceutical, media, entertainment and consumer products industries
- Experience in several regions and countries globally including but not limited to Canada, Luxembourg, Netherlands, UK, United States and the APAC region