Lok Cheuk Wing (Vincent Lok)

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Experience

allianz global investors gmbh, investment operations (middle office),

operations manager, july 2017 - SEPT 2017

Managing daily operational activities and supervise day-to-day work of junior level employees

Liaising with outsourcing provider, broker, custodian and other service providers, resolve the settlement issues, corporate action events and conduct the valuation reports., etc.

Handling on-boarding accounts setup —- new institutional clients, in-house fund launch, brokerage accounts for equities, fixed income and derivatives instruments.

Actively involving the discussion with front office to plan and set the requirement for the operational support model with any new markets, new products initiatives and client’s specific requirements.

Performing the regular review of BAU issues with outsourcing provider, analyzing the root course and provide judgment on their improvement in order to minimal the operational risks.

Monitoring the on-boarding progress with outsourcing provider, brokers and custodian in order to achieve the operational readiness before the required deadlines (Appropriate escalation process if required). Keep regularly informing the status to front office.

Northern trust, Investment operations outsourcing, markets operations,

second vice president Apr 2012 - July 2017

Leading the team to provide the high standard of BAU operational service to IOO clients.

Handling clients’ escalation on all types of investment operational issues until fully resolved or settled (trade matching & settlement, corporate actions, cash management, reporting and transitions etc).

Performing the root cause analysis on the irregularities and work out the preventative actions.To co-ordinate and setup the requirement for the team in other regional offices to handle any changes / new requirements from clients.

To co-operate with clients to analysis and set up the workflow on any new products and markets.

Performing regular meeting with different external parties (custodians / brokers / financial vendors) for any BAU issues.

Fully involving the discussion and execution on the requirement for any transition events (new account setup / accounts re-structuring).

Assisting clients’ for any ad-hoc events or special reporting.

To keep regular review with different operational teams for increasing the productivity and operational smoothing.

To report any irregularities found to senior management and clients.

aLLIANZ GLOBAL INVESTORS ASIA PACIFIC GmbH, operations, settlement team,

assistant settlement manager, may 2007- apr 2012

Supervising sub-ordinates to perform the efficiency and error free on the trade matching and resolve any settlement issues till settled.

Timely submission of reconciliation of both stock and cash position.

To monitor changes in the marketplace and assess their implication on working practices.

Supporting all corporate actions processing and make sure the correct posting the entitlement on time.

Reporting to manager for any irregularities found or potential financial impacts on settlements.

HSBC, sec (securities execution center), SETTLEMENT DEPARTMENT,

ASSISTANT MANAGER, MAY 1998 — apr 2007

Performing the daily trade processing in a timely, accurate and professional manner.

Ensuring all pre / post failed trades are efficiently managed and follow up.

Performing the daily stock reconciliation and follow up with custodians for any discrepancies until cleared.

Ensuring compliance with internal and external regulatory procedure required.

The pacific group ltd (hedge fund), settlement officer — 1997 - 1998

Performing the daily trade matching and sending the trades to prime brokerages.

Education

The University of Newcastle, NSW, Australia — Bachelor of Commerce, 1996

TAFE, Sydney, Australia - Advanced Certificate (Commerce), 1992

Knowledge

Fluent speaking and writing in English and Chinese, macro programming in Excel, Omgeo application (CTM / ALERT), Bloomberg operations (AIMS)