|  |
| --- |
| Mobile: (852) 9014-0702  Email: [bigapplejohn@hotmail.com](mailto:bigapplejohn@hotmail.com) |

## **Ricky Hau**

## **SUMMARY OF QUALIFICATIONS**

* Solid working experience and product knowledge in respect of Fund administration, Global custodian and Trustee services. Familiar with the daily trade operation and fund valuation processes with hedge funds, Mutual funds, Unit Trusts and ORSO schemes.
* Possess team leading roles in several top tier financial institutions, including HSBC, Citibank, Macquarie and Alter Domus.
* Significant exposures and involvements in Client relationship management, Workflow standardization, Change management, Application enhancement and System implementation.
* Strong knowledge of Money market, Cash equity, Fixed Income, Derivatives and Structure products; hand on experience on operational procedures and interbank communication protocol.
* Proficient communication skills with fund managers, investment advisors, individual/institutional investors, bank custodians, prime brokerages, fund administrators and auditors.
* Demonstrate analytical, rational and problem-solving capabilities. Perform task-oriented with strong sense of team work and modest project management skills.
* A student candidate of ACCA

## **CAREER OBJECTIVE**

To obtain a challenging operational and managerial position which I can utilize my working experience, product knowledge and lean management skills with a growing company to achieve optimum utilization of its resources and profit maximization.

## **PROFESSIONAL QUALIFICATION**

Holder of SFC’s Type 4 representative license (Advising on Securities) ; Principles and Practice of Insurance (Paper I); General Insurance (Paper II); Long Term Insurance (Paper III); Mandatory Provident Fund Schemes Examination (MPFE); Investment-linked (Paper V)

## **EDUCATION**

**Rutgers University - The State University of New Jersey, Newark, NJ, U.S.A.**  May/2000  
**Bachelor of Arts, May 2000  Major:  Economics  Cumulative GPA: 3.18**

RELEVANT COURSES: Principles of Accounting I & II, Money and Banking, Corporate Finance, Finance, Managerial Economics, Financial Economics, Industrial Organization, History and Economics thoughts, Intermediate Microeconomics, Intermediate Macroeconomics, Seminar in Economics, Labor Seminar, Economics of Labor, Econometrics I, Management Information Systems, Principles of Marketing, Contemporary Business, Calculus, and Statistics.

## **EMPLOYMENT HISTORY**

|  |  |  |  |
| --- | --- | --- | --- |
| **HSBC Institutional Trust Services (ASIA) Limited (HTHK/ BBCL/ SNFE)–Hong Kong** Aug/2015 – Present  **Assistant Manager ­(HSS/ Services Delivery)**   * High-level checking on daily and weekly NAV from Unit trusts, Mutual funds, and ORSO schemes and signoff fund prices to Bloomberg and fund managers. * Conduct daily cash and securities reconciliation, trade processing and Corporate action monitoring. * Intensively work with different oversea outsourcing teams within HSBC group to identify and resolve issues raised from the fund valuation process. * Liaise with fund managers, funds auditors to ensure the daily operation processing and year end audit practices. * Perform investment compliance reporting and documentation. * Conduct interim and annual financial reporting preparation for Unit trusts, Mutual funds, and ORSO schemes.   *Data and Change Management*   * Review and implement new workflows for daily operation in regard to fund administration process, group’s global compliance policy and latest market requirements. * Assist the senior management for administrative & procedure control/ planning and ad hoc project. * Budgeting and cost analysis for client portfolios. * Account review and preparation, class action processing, compliance check, cash and securities reports to Fund managers; Facility arrangement, Global standard, Setting up new trust AC, Portfolio valuation. Financial statement reporting * Assis   **Alter Domus Alternative Asset Fund Administration HK Ltd (ADAAFA) – Hong Kong** Mar/2008 – Jul/2015  **Manager ­(Trade support and fund valuation operation)**  *Operation level*   * Supervised middle office and fund valuation teams in regard of trade processing and monthly fund valuation processes. Maintained control over our daily operation in accordance with the company operation compliance guidelines. (dual control, checklist and override procedures…) * Conducted checker/ authorizer function within the delegated client’s bank accounts to approve cash payments in regard to FX transactions, fund redemptions, monthly fee payments and trade file upload on behalf of our hedge fund clients. * Handled direct daily inquiries from fund managers/fund advisors, prime brokers, executing brokers, custodians, auditors, fund administrators and others service vendors. * Coached new team members/intern to learn, adapt and handle new tasks in respect to our fund valuation process and middle office support tasks   *Compliance level*   * Ensured the completeness and validity of our clients' transaction records in order to comply with regulatory requirements and company's compliance standards. (KYC, Anti-money launching, sanction checks, gift policy, insider trading policy, etc) * Reviewed and updated the operation procedures periodically and ensured that our standards meet up the new business environments and clients' needs. * Assisted with headquarter IT and overseas’ branch teams with regular/ad hoc projects & related client servicing activities. (FATCA, AIFMD…) * Assisted with our recruitment process, internship program and other HR related issues.   *Client level*   * Interacted with our hedge fund clients and their vendors in regard to new account implementation, bank account setup and others operational procedure finalization. * Attend the due diligence meeting for our hedge fund clients and their potential institutional investors; and demonstrated our current operation procedures which complied with regulatory and internal compliance standards. * Conducted phone conference/ business visit to our prospect clients to promote our Fund admin services and provide them tailor-made mid to back operational support package along with our regular fund services. * Account opening referral is to assist with our startup hedge fund clients to open new bank accounts with our allied banking partners.   *Project level*   * Handled and coordinated the ad hoc IT projects in regard to our new system implementation, application upgrade, UAT testing and others application migration projects. (Rainbow Trade and Rainbow data are our in-house developed applications which create trade file in designated format for prime brokerage and custodian; and also extract pricing and corporate action data from the info vendor. * Communicated and coordinated between local HK teams and headquarter IT to implement and test our BCP and DRP in regard to potential disaster situation.   **Macquarie Equities Asia Ltd (MEAL) - Hong Kong** Mar/2006 – Aug/2007  **Executive**   * Performed derivatives settlement for HK, JP, and US markets. * Conducted transactional verification for OTC option, swap, structure note derivative products and FX. * Engaged general corporate actions in term of coupon payment, redemption, and new issue payment. * Responsible for product database maintenance and consistency for all OTC products’ records. * Periodically reviewed of daily operation processing among with front desk and middle office. * Examined the daily cash reconciliation reports for our own department accounts. * Supported external counterparties and customers regarding to all settlement, funding, billing, reporting and reconciliation issues. * Participated system upgrading project and system testing.   **Citibank N. A Taipei (GSS and CSTL) - Taipei, R.O.C** Sep/2003 - Mar/2006 **Banking Associate**   * Performed trade settlement for Fixed Income instruments including local Government bond, Corporate bond, Commercial paper, Bank acceptance and Cross boarder Structure products. * Conducted corporate actions for the CSTL' own portfolio and for our customers. * Liaised with front office and other support teams to resolve problems in term of product MIS, credit line review and internal procedure update. * Monitored Fixed Income Trading desk to ensure compliance with local regulations and internal compliance policies. Monthly reported to the Central Bank and Brokerage association. * Participated system enhancement in term of planning, outsourcing and testing in accordance to the new guideline in timely and accurate manner. * Supervised the daily routines among with the settlement team makers.  Also conducted monthly Billing processing, Account opening, Vault custodian, New Business applications implementation and Projects budgeting (SDLC management records). * Managed the daily local settlement operation; control customers' instructions pre-matching against brokers' confirmations. * Oversee the Deposit Receipt (DR) and ECB conversion; authorized exceptional trade processing procedures in accordance with local regulations and Citigroup compliance policies. * Participated the Citigroup's regional Business Continuing Plan (Business Recovery operation); attended the country level compliance meeting (BUCO); engaged the periodic system testing (UAT) with our Regional servicing centre in Singapore.   **Citibank N.A. Hong Kong, Global Security Services (WWSS/GSS)- Hong Kong** Mar/2001 - Aug/2003  **Securities Settlement Administrator**   * Handled the Securities Settlement in the following categories - Global Equities and Bond Settlement Services, Securities and Bonds Safekeeping, Name Registration, Income Collection, International Remittance, Foreign Currency Exchange, Stock Reconciliation, Securities and Cash Account Maintenance and Securities Lending Assistance. * Communicated with foreign brokers and counter parties to clarify the settlement discrepancy.  Resolved the long outstanding settlement or cash discrepancy issue with third parties.  Reported the unusual cash and security moments towards client's ac to internal audit. * Assisted the customer service in resolving any settlement discrepancy issues. * Participated in new system conversion testing (UAT)and attended periodically training to enhance the market and technology knowledge to perform the best service to our clients. * The markets that I have primarily supported are Japan- BOJ & JASDEC, USA- DTC/FEDWIRE , Spain, Finland, Sweden, Switzerland, Philippine, ETC   **Reuters Hong Kong Limited, Marketing Department - Hong Kong**  Dec/2000 - Mar/2001  **Marketing Project Assistant**   * Conducted the research regarding to the online stock trading companies in Hong Kong E-commerce sector. * Analyzed the patterns and characteristics of online trading service providers in HK. * Examined our service subscribers' web sites and ensured the Reuters' real-time data and financial news have been re-distributed accurately and legally. * Assisted with general marketing department's routines.   **Rutgers University, Rutgers Accounting Research Center – Newark, NJ, U.S.A.** Oct/98 - Jan/2000  **Research Assistant**   * Created, maintained and updated HTML/CGI files of the Accounting and Information Department, such as websites for distance learning, academic programs and professors' publications. * Edited, organized and posted the updated information regarding to School of Management's academic requirements and state requirements of CPA examinations. * Responded to inquires of web users regarding Rutgers Accounting Programs at the School of Management. * Assisted with the design of a corporate funded Rutgers website that allowed their corporate employees to participate in distance learning programs. <http://accounting.rutgers.edu/raw/Accounting/A_reas.htm>   **Chase Manhattan Bank, Lockbox Services - New York City, NY, U.S.A.** Jul/1998 - Sept/1998  **Intern**   * Inspected and encoded all incoming checks, money orders and other money payments in order to transfer funds among clients' accounts without any error. * Reported and mailed updated summary lists to clients to demonstrate recent account activities. * Assisted the customer service department in returning and reporting payment problems.  **SPECIAL SKILLS AND FAMILIAR BANKING APPLICATIONS** Familiar with banking and middle office applications, including IMS, GHSS, GTAP, HSBCnet, Citibanking, Bloomberg, Imagine, Paxus, Frontend, Secore, Flexcube, Oleca, Peachtree, Wall street, Ronin, CMG, Merva, Euroclear and standard Microsoft applications as Server 2003, Word, Excel, Access, PowerPoint, Outlook. Trained in word processing (Type 40 wpm).  Fluent in English, Cantonese and Putonghua.   |  |  | | --- | --- | |  |  |  **REFERENCES** Available upon request |  |