**Agnes Chen**

**CEO, Asia - The Winterbotham Group**

**Agnes Chen's Summary**  
Operational and management experience, Board of director of the companies and Resident Manager of the Trust Company in Singapore.  
  
Competent in the fields - Finance, Trust and Compliance; Trust Estate Practitioner under the Society of Trust and Estate Practitioner (STEP) and Qualified Practitioner in International Compliance and Anti-Money Laundering.  Private Equity and Real Estate Structuring Deals and Negotiation.  
  
Conversant in Corporate and Private Trusts, Unit Trust Funds, Funds, Portfolio Valuation, REITs, Structuring for Wealth Management, Corporate Services, Escrows, Corporate Actions, Paying Agent, Bonds, Debt Restructuring, Settlements and various banking instruments. Private Equity and Real Estate Fund administration and Fund Lawyer.   
  
Expertise:- Fund Administration for Hedge, Private Equity and Real Estate Funds (Listed and non-listed), Corporate and Private Trusts Structuring and Administration, Compliance and Client Onboarding, Corporate Secretarial Services, Office and Operational Management, Review of documention and procedures, Legal documentation

**Agnes Chen's Experience**

**Chief Executive Officer, Asia**

**The Winterbotham Group**  
Privately Held; 250 employees; Financial Services industry

January 2016 - Present (11 months)

Management and Profile:-

- Executive Management Committee, Senior Management of Winterbotham Group

- Growth and Management of Winterbotham Hong Kong  
- Strategy Planning

- Business Development and Expansion Plans, Asia

- Product Creation

**Director – Funds, Corporate and Trust Services**

**Orangefield Group**

* **Formerly the Trust Arm of ING Bank prior to Management Buyout in 2007**
* **46 Physical Offices in Major Financial Jurisdictions**

Privately Held; 550 employees; Financial Services industry

August 2010 – November 2015 Singapore

Career Growth

* Manager – Corporate and Trusts (August 2010 to April 2011)
* Head – Funds, Corporate and Trusts (April 2011 to April 2012)
* Director – Funds, Corporate and Trusts (April 2012 to November 2015)

Management and Compliance Scope of Duties   
- On board as Management Team, Director on Board of Directors

- Direct report to the Head office aside from Managing Director

- Assistant Managing Director of an office of 25 (organic growth achieved from 4 employees since Aug 2010 – 25% year on year increase over last 4 years)

- Operational and Management of Singapore Office for the managing director

- Registered as Resident Manager with the Monetary Authority of Singapore for Trust license as main manager

- Business Development for all services, Expansion of office/ team, services and networks

- Primary focuses:-

* Introduce, Re-align, review of product as well as creation of processes in line with   
  Group Policies which were brought down, adopted and enhanced from ING Bank Group policies
* Oversee, enforce processes in all Operational aspects as well as ensuring day to day deliverables for all products and clients
* Ensuring all Group and local policies (such as MAS’) are being met and enforced
* Client Services and Main contact point for ALL clients
* Ensuring understanding and handling of operations and day-to-day activities of all client work
* Direct report for all - Fund administrators, Legal and Secretarial, Accounting, Business Development Teams
* Managing client relationships with clients – Fund Managers, Private Bankers, Clients (Institutional and Private)
* Managing relationships with Business partners – Auditors, custodians, Agents, etc
* Managing revenue numbers, client inflows and revenue targets are being met and exceeded, managing cost and work efficiency of the office

Product and Operational Focus

* Hedge funds, Private Equity and Real Estate Fund Administration
* Legal structure and documentation review for all aspects
* Fund Investor Admission Closings, Investments Closings
* Custodial Services for Listed and Non-listed assets, equities
* Transfer Agency, Shareholder Services, Limited Partnership listings – depending on Jurisdiction
* Focus in Jurisdiction – Cayman Island Funds, Singapore licensed Funds, Labuan Funds
* Escrow and Trust services as part of structure
* Corporate Secretarial Services on Investment vehicles, General Partners, Funds
* Nominee, Resident directorships for General Partners, MAS Approved Funds, Investment vehicles
* Compliance/ KYC of investors (200 investors on a single fund)
* Investor Relations – main contact for investor relations for closings
* Liaison with legal counsels, investment directors, Investor’s counterparts and lawyers on as representative of the Fund Managers
* Cash management and payment services – authorised signatories
* Dealing with securities settlement and brokerage arrangements, Trade matching
* Account openings with Banks and Custodians

* Corporate management services
* Corporate Secretarial
* Virtual CFO services
* Resident Director services
* Compliance services
* Payment services
* Trust Formation, Structuring and Wealth Management services (Private and Institutional Clients), Escrows, Paying agency, Debt restructuring and Employee Share ownership scheme

Achievements:

* Built the business and products along with Managing Director from an office of a Single client and loss making before taking over to Fund Administration Company and Trust Company to Profit making with year on year growth of 25%
* Built the team from 4 to 25, together with a major increase in portfolio of clients and services
* Implemented all processes and policies in the office from none

**Compliance, Operations and Client Services - Manager**

**Lion Trust (Singapore) Limited**

December 2007 – July 2010

-Compliance functions of the Trust Company

-Resident Manager registered with the MAS of the Trust Company

-Wealth Management, Trust structuring

-Fund Management/ Administration Services

- Business Development

- Management of Hong Kong and Taiwan office/ Branch

**Fiduciary Services, Operations and Client Services - Associate**

**DBS Bank**

Public Company; 10,001+ employees; DBSDY; Banking industry

October 2004 – December 2007

- Corporate Trust Services

- Unit Trust Fund Management

- Bonds, Escrows

- Debt Restructuring

- Paying Agencies

**Corporate Trust, Operations and Client Services – Management Trainee**

**HSBC Institutional Trust Services (Singapore)**

Public Company; 10,001+ employees; HBC; Financial Services industry

July 2003 – October 2004

- Corporate trustee services

- Trades processing

- Escrows, Pension and Employee Ownership Schemes and Funds

- Fund Administration

- Dealing with operations back office in Hong Kong for Cash Management and Custodian services

**Agnes Chen's Languages**

 English

 Chinese

**Agnes Chen’s Education**

**Central Law Training**

Practitioner, Trust and Estate

*Activities and Societies:* Society of Trust and Estate Practitioner (STEP)

**Central Law Training**

Qualified Practitioner, Compliance and Anti-Money Laundering

**Singapore Institute of Management**

Bachelor of Science, Finance