

Andre L. Rampono, MBA

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SUMMARY

I have ten years of financial services experience working in roles across front, middle and back office encompassing Business Analytics, Trade Operations and Compliance. My demonstrated strengths include:

- Analysis, development and implementation of processes
- Operational risk and management
- Compliance risk and management
- Team leadership
- Trading (equities, derivatives, NDF, IRS and CDS)
- Developing and mentoring staff

PROFESSIONAL EXPERIENCE

➤ **Relocated to N. America. Primary care of elementary grade kids.** **October 2017 –** ⏪

Trade Operations & Compliance

August 2014 – September 2017

Argonaut Securities, Perth

Argonaut Securities is a full service advisory, stockbroking, research and investment house focused on natural resource and agri-business sectors

Reported to the Desk Manager and oversaw the trade lifecycle for wholesale and institutional trades on the Australian Stock Exchange, analysis and compliance of trades for both the equity and derivative markets.

- Delivered weekly analysis and review of internal surveillance to ensure compliance with market rules
- Improved reports for the Compliance Committee through data enrichment
- Maintained, integrated and generated financial data models for client research

Operations Executive

February 2011 – May 2013

NEX Group (Reset), Singapore

NEX Reset is a fintech that provides a proprietary trading platform to better execute trades and manage risk in interest rates swap and non-deliverable forwards

Reported to the Chief Operating Officer with the primary responsibility of providing specialist risk mitigation services relating to interest rate, credit default and currency swap markets for clients throughout Asia, Europe and the US. Other key responsibilities included trade flow management, process improvement, post trade queries and user acceptance testing on proprietary software.

- Initiated procedures to mitigate operational risk, improve efficiencies and better fit client risk profiles
- Developed the operating guide to integrate a third party participant into the trading platform
- Migrated operations desk from London to Singapore

➤ **Postgraduate studies – Master of Business Administration**

March 2009 – December 2010 ⏪

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Trade Operations

January 2008 – November 2008

HDH Capital Management, Singapore

HDH is an event-driven fund dedicated to making investments in the Asia Pacific region

Liaise with the portfolio managers and external regional sales trading desks to manage exchange traded orders, price discovery of block trades and collate market information. Responsible for executing equity trades across the Asia-Pacific region and preparing trade reports.

- Deliver daily report summarising market activity, news flow and analysis of overnight markets
- Price discovery of block trades, short trades and OTC derivatives

Manager - Trade Operations

August 2005 – January 2008

Macquarie Group - Singapore, Sydney & Perth

Capital Securities

Macquarie is a diversified financial group providing clients with asset management and finance, banking, advisory and risk and capital solutions across debt, equity and commodities

Reported to the Head of Sales Trading in this position and was responsible for the management of a team of five people focused on operating institutional trades against a range of benchmarks. Other key aspects of this role involved pre-market order flow meetings, end-of-day reporting and user-acceptance testing.

- Increased overall effectiveness of the desk by workload management and reduced error trades
- Fostered a significant improvements in team dynamics
- Trained three junior staff in the role all of whom were later promoted to international desk

Private Wealth Management

A division of the Macquarie Group offering advice on wealth planning, superannuation, retirement planning and insurance

Reported to the Head of Derivatives and was responsible for the facilitation of equity, ETO and warrant orders. Key aspects of the role was to liaise with market makers to obtain the best available price range against which to execute orders and identify and report suspicious trading activity or breaches to the Compliance Department. Also heavily involved in all aspects of user acceptance testing and education and training in respect of IRESS Order System and CLICK trading software.

- Senior member of a team that grew Private Wealth into the largest retail traders in the ETO market.
- Successfully transitioned the Perth office, from a paper-based trading system to an electronic order management system in response to compliance requirements
- Engaged to work on the national rollout of the OMX CLICK trading platform with the ASX

EDUCATION AND ACCREDITATION

Masters of Business Administration

Curtin Graduate School Of Business, WA

Bachelor of Commerce - International Business

Curtin University, WA

Bachelor of Arts - Japanese & Korean

Curtin University, WA