**Profile**

I am a mature, proactive and diligent individual who always strives to achieve the highest standard possible at the tasks assigned to me. I am meticulous in my work and have developed an analytical mind as well as a well-tuned problem solving skill set in my current role as a legal and compliance assistant. I am also an open-minded and cooperative team player with excellent coordination and communication skills who is able to work with various personalities.

**Work Experience**

**July 2011 – Present**

**PIMCO Asia Ltd.**

**July 2011 – Present**

**Senior Legal Assistant, Legal & Compliance**

**Associate role in Legal & Compliance team and provide senior secretarial support to the office**

**Legal**

* Review and amendment of vendor contracts including those related to PIMCO’s corporate events, sponsorships, licenses, IT systems, HR contracts and other general service agreements
* Settle legal invoices for APAC offices through CounselLink and advise law firms on their enquiries as the sole contact point
* Upkeep and management of the company’s legal and regulatory records database, including but not limited to IMAs, DAs, SFC licenses and regulatory meetings and correspondence
* Supporting aspects of institutional take on process such as verification of authorized signatures, coordinating and processing IMA amendments, LCD intranet upload, execution of documents, etc.).
* Arrange for the benchmark change of client accounts, draft account termination letters and provide other back-end support for client accounts
* Coordinate Board Meetings
* Maintain PIMCO’s intranet website including updating/uploading PIMCO’s fund fact sheets and internal legal newsletters

**Compliance**

* Coordinate and handle all SFC licensing applications/filings including but not limited to  (i) applications to the SFC for appointment of new representatives, (ii) cessation of representatives, (iii) notification of changes in personal particulars of representatives, (iv) annual return of PIMCO and (v) the annual returns of each licensed representative of PIMCO
* Manage and coordinate regulatory exams and both internal and external audits including the provision of logistical support for the regulatory exam teams and internal stakeholders of both PIMCO Hong Kong and PIMCO Singapore
* Review and comment on standardized business marketing materials from a regulatory perspective
* Coordinate and handle filings for PIMCO Singapore to MAS, including notification to MAS of appointment of representatives, application for new joiners, changes, cessation of representatives, changes in personal particulars of representatives, and annual declaration of nil misconduct report
* Coordinate with Finance and Business to prepare and submit the monthly financial returns (FRR) to the SFC
* Instruct PIMCO’s corporate secretarial agent for the settlement of corporate secretarial matters, upkeep of statutory records, and the arrangement for execution of work documents
* Upkeep of regulatory records for colleagues’ professional training
* Provide advisory support on G&E and S&D enquiries and requests for approval

**Administration**

* Provide executive level secretarial support to the General Counsel of PIMCO APAC and Head of Business Strategy APAC
* Work closely with Regional Office Manager on various projects (ie. office renovations, mentor and coach junior Administrators)

**Event Coordination**

* Organize conferences and road shows from conception to reconciliation which includes event preparation, budget management, ticketing, hotel booking, execution onsite, staff management and attendees’ control
* Work as a Visitor Coordinator for PIMCO Asia offices by providing full spectrum travel and logistic support to Visitors across the globe.

**18 Oct 2010**

**UBS AG**

**Contract Conference Assistant (IB Event Marketing)**

* Manage the client registration process to include RSVPs, vetting, confirmation note mailings and general queries
* Liaise with hotels and maintain hotel rooming lists. Handle queries related to hotel bookings/UBS room block
* Liaise with the design agency on conference website updates
* Distribute corporate meeting schedules
* Arrange lunch and dinner venues along with necessary F&B
* Prepare and update various conference collateral
* Generate various lists and reports for management
* Support the project manager on areas related to signage and premium sourcing for the conference
* Provide general conference support

**2 Jul 2009**

**Investors Trust Asia**

**Administration Officer (Taiwan Desk- New Business Team)**

**Customer Service Representative**

* Asia Pacific branch in HK to support the headquarter in Miami, USA.
* Operate the help desk support to General Agents and Internal Clients.
* Handle all incoming inquiries from Taiwan via email, live chat and hotline enquiries and complaints.
* Experiencing difficulties & complaints with products & services provided.
* Responsible for maintaining, checking & processing payments in relation to products & services provided. Establish checklists for better internal controls in relation to these payments
* Work closely with other department to proactively seek effective solution to solve problem-solving payments or funding.
* Ensure client database are properly and adequately maintained.
* Underwriting new business application.

**Summer Internship 2005**

**Grand Hyatt Hotel Hong Kong**

* Gather social experience in a 5-star hotel
* Trained in various outlets in the Food & Beverage, Catering Department

**Education**

**HKU School of Professional and Continuing Education**

**Diploma in Legal Studies**

**University of Honolulu, Hawaii**

**Bachelor of Business Administration**

**Caritas Bianchi College of Careers (Hong Kong)**

**High Diploma in Hospitality Management**

**Qualifications**

* Member of Institute of Paralegals

**Legal Pro-Bono Work**

* Legal documentations and preparation work for Civil Celebrant
* Legal documentations for Hong Kong Tennis Association – Hong Kong Tennis Open Year 2014 and 2015