# **Mok Lam Yan Grace**

Flat E, 14/F, Block 2, Tak Wai Mansion Email: gracemok77@hotmail.com

14-16 Man Fuk Road, Homantin, Kowloon, Hong Kong Mobile: (852) 9124 0818

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| EDUCATION |

**The Chinese University of Hong Kong 2005 - 2007**

##### Richard Ivey School of Business, The University of Western Ontario (Exchange Program)

##### Master of Business Administration – Finance

##### Dean’s List

**The University of Hong Kong 1999 – 2002**

##### Bachelor of Business Administration - Accounting and Finance

##### 2nd Upper Class Honours

##### Dean’s List

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| WORK EXPERIENCE |

**Sequoia Capital China Advisors (HK) Limited July 2012 – Aug 2015**

**Accounting & Finance – Assisting Financial Controller**

* Review financial statements and regulatory returns in compliance with financial regulations
* Coordinate the interim and year end audits and ensure all tax requirements in HK, China and US are compiled
* Review FRR returns to ensure compliance with SFC reporting requirements
* Responsible for all company secretarial matters, relevant statutory and regulatory matters in Hong Kong
* Initiate and prepare capital calls and distributions and maintain capital accounts
* Perform investment valuations, NAV calculations and review daily cash flow
* Review documents and provide support on any purchase and disposals of investments
* Prepare financial models and analyze historical and forecast performance of the Funds
* Assist investment team with financial analysis and performance assessment and prepare KPI’s and portfolio statistics
* Review fundraising materials and other presentations on the funds and the Asian market
* Provide professional business advices to investment and legal teams on structuring and tax arrangement of potential investments
* Liaise with external regulators such as CSRC, SAFE and tax departments in HK and China on any updates and issues
* Review and approve permanent establishment issues, transfer pricing and inter-company recharges to ensure that they are in line with global policy
* Ensure all rules in US, China, Cayman and HK are compiled with i.e. FATCA, FCPA
* Enhance control as well as efficiency improvements in process flows within the Finance team
* Provide training to and manage a dynamic and growing full-function Finance team
* Participate in UAT and new system implementation and projects
* Responsible for setting up an internal control system and writing internal control manual for requirements of the Securities and Futures Commission
* Provide financial insight to senior management for problem solving and better operating performance of the business
* Perform cost management, variance analysis and performance analysis for management decisions
* Participate in risk assessment and audit planning process

**Susquehanna Hong Kong Limited Dec 2009 – March 2012**

**Accounting and Finance – Financial Controller**

* Maintain system of accounts for the company’s Hong Kong, India and Mauritius operations
* Direct the preparation and production of monthly, quarterly and annual accounting reports. This includes consolidating financial information and preparing reports to Head Office using US GAAP and IFRS.
* Coordinate the interim and year-end audits with external auditors and regulators
* Analyse financial statements to appraise operating results in terms of profitability, performance against budget and operating effectiveness of the organization. Make recommendations for improvement
* Responsible for all finance issues including cash flow planning, budgeting and conduct financial analysis on all financial reports of the group
* Responsible for the integrity and accurate reporting of daily and monthly P&L and Balance Sheet Reporting
* Conduct financial analysis, financial projection and modelling to identify business drivers, perform KPI analysis as well as functional expenses analysis
* Conduct audits to identify and assess deficiencies in the internal controls and risk management, as well as operational efficiency of
* Supervise IT internal audit assignments to ensure the audits are completed to achieve the established goals and objectives
* Identify compliance risks or control deficiencies on any existing or new business initiatives and help management to find solutions to resolve these.
* Review SFC liquid capital requirement and ensure any material variances are fully explained and breach is reported and escalated on a timely manner
* Ensure all SEBI requirements are compiled
* Assist in reviewing tax provisions and tax returns
* Provide tax advisory and compliance support for Hong Kong and India regions
* Responsible for all company secretarial matters, relevant statutory and regulatory matters in Hong Kong and Mauritius
* Co-ordinate with government authorities, SFC and lawyers to ensure all compliance requirement is fulfilled
* Review and approve transfer pricing and inter-company recharges to ensure that they are in line with global policy
* Provide training to and manage a dynamic and growing full-function accounting team
* Set up accounting platform, chart of accounts and perform UAT

**Lunar Capital Management Limited Oct 2008 – Nov 2009**

**Accounting and Finance – Financial Controller**

* Assist in the preparation and approval of monthly investment valuations, financial statements, other fund and investor reports
* Create calculation models and prepare valuations on the private equity investments of the fund
* Manage and oversee various finance and accounting activities, including financial reporting, taxation, budgeting, cash-flow and internal controls
* Conduct regular audit, performance evaluation and variance review for strategic planning
* Formulate, develop, review and enhance the accounting system, policies and procedures and provide solutions for efficiency improvements
* Plan and manage corporate finance issues to support business planning and investment projects
* Monitor the treasury function, cash management and liquidity position
* Work closely with capital funding and regulatory groups to ensure compliance of key ratios
* Analyze market situations and risks and monitor the financial status of the company
* Reconcile differences between US GAAP and IFRS and ensure compliance under either books
* Prepare monthly FRR return to Securities Future and Commission and monitor daily FRR liquidity position
* Create platform for financial reporting and set up chart of accounts

**UBS Investment Bank Jan 2008 – Aug 2008**

**Fixed Income, Currencies and Commodities - Associate**

* Interpret client and market requirements to ensure effective and innovative structured product developments

##### Communicate with traders in relation to new issues, trading axes, and hedging of risks

##### Provide market information and trade ideas to and execute trades for clients

* Work closely with the traders and advise the FX market trends, quote pricing and make recommendations
* Conduct analysis of global economics and financial markets, focusing on the USA’s and Asia’s fixed income markets
* Analyze the whole foreign currency investment portfolio and make suggestions of asset allocation, duration, etc.
* Make a detailed analysis to the different asset class’ market move and relative value, including corporate bond, MBS and ABS which are used for making investment decisions
* Maintain cordial relationships with corporate clients and fund managers by providing efficient and professional services

**Ernst & Young Sept 2002 - Sept 2005**

**Global Financial Services Group – Assistant Manager**

*Assurance & Advisory Services*

##### Lead a team or assist audit-in-charge in carrying out quality audit and other assurance services to clients in the financial service sector

##### Perform audit to companies entering into IPO's, Secondary Offerings, Mergers & Acquisitions and Non-Audit US GAAP/IFRS Accounting Advisory Services

##### Visit client’s operations on-site to gain a further understanding of their businesses

##### Perform internal control reviews, analyze work processes, identify control weaknesses, make recommendations and monitor follow-up actions

##### Prepare, review and checking of FRR and HKMA return reporting

##### Client portfolio includes ICBC Asia, UOB, OCBC, AON Insurance, ING Insurance, China Travel International, Media Asia, etc.

*Tax Advisory Services*

##### Formulate corporate tax strategy, tax planning and advisory, tax reporting, transfer pricing, business review, compliance and risk management

##### Keep abreast of latest tax policies, monitor and mitigate tax risks

##### Provide guidance to clients to ensure they are in compliance with local tax rules and regulations

##### Advise clients different ways to optimize cash flow through minimizing taxes and reducing potential tax exposure by performing detailed tax audits assessment of current business practices

##### Make recommendations on the tax implications of restructuring, M&A, and conduct tax due diligence

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| ACTIVITIES |

Five-day Outward Bound Challenge 2005

Student Associate, AISEC Leadership Program 1999-2002

Group Leader, Peer Support Group Leadership Program 1997-1999

Editor, School Lion Magazine 1997-1999

Volunteer, Hong Kong Society for the Protection of Children 1997-1999

Group Leader, Environmental Club 1995-1999

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| QUALIFICATIONS |

Fellow, Association of Chartered Certified Accountants Sept 2010

Finalist of Level I Examination, CFA Institute June 2008

Student Member, Hong Kong Institution of Company Secretaries Apr 2008

Certified Public Accountant, Hong Kong Institute of Certified Public Accountants Mar 2006

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| AWARDS |

ExxonMobil Scholarship 2006

1st First runner up, ACCA Inter-tertiary Competition 2001

A-Level Accounting Prize 1999

Bronze Certificate, UK Mathematics Competition 1998

Top 25% ranking, Cayley Mathematics Contest 1997

Honour Roll 1994-1997

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| SKILLS |

Language Skills: Native in Cantonese, Fluent in English and Mandarin

Computer Skills: Proficient in Microsoft Word, Excel, PowerPoint, Macro, Oracle Accounting, Hyperion, Quickbook, Great Plains, FRX Dual Monitor, PhotoShop, Bloomberg and Reuters