**Jaeger, Sophie**

**Contact Number: 49 6100-5195**

**Email: jaegersophie.16@hotmail.com**

**CAREER OBJECTIVE**

To obtain a position in the investment and finance field, with potential for increased responsibilities and professional growth.

**EMPLOYMENT EXPERIENCE**

**Janus Henderson Investors (Apr 2016 to current)**

**Operation Specialist (Contractor)**

* Handling client onboarding and KYC processing on retail and institutional clients.
* Communicate with sales and product teams with client’s issues.
* Liaise with transfer agency for daily trading issues from clients’ requests.
* Answer operation questions and issue to clients by emails and phone calls.
* Handling ad hoc projects related to operation flow enhancement.
* Communicate with compliance and legal for account opening documentation.
* Handling regular shareholder notices and prospectus update with legal and sales team.

**Alliance Bernstein Hong Kong Limited (Jan 2015 – July 2015)**

**Senior Middle Office Associate**

* Daily support Traders and Fund Managers to execute Equities, Bonds, Futures, Swap
* Handling Corporate Actions (Equities, Bonds, Derivative products) for APAC markets
* Liaise with brokers, fund administrator (StateStreet) and front office for trade issues
* Reconcile daily and monthly cash and trade breaks
* Handle broker account openings
* Liaise with internal legal team and compliance for preparing broker account opening documentations
* Prepare manual FX instructions to custodians
* Assist a team to prepare operation procedures

**BlackRock Asset Management (Jan 2013 – Dec 24, 2014)**

**Analyst, Shareholder Service Team**

* Responsible for client on boarding, KYC procedures with Transfer agent (TA)’s AML team for retail distributors / institutional clients within Asia Pacific region (including Japan)
* Handle client on boarding documentations
* Assist a team to set up an operation procedure i.e. KYC procedures, check list.
* Handle daily trade orders execution with TA (offshore funds)
* Answer clients enquires on relevant fund products (offshore mutual funds) by phone and emails.
* Work with team members to coordinate clients' request for Proposal (RFP), including presentations, Offering Memorandum (OM), confirmation letters (side letters) and Service Level Agreements (SLA)
* Prepare and coordinate semi and yearly offering documentation such as prospectus, KFS.
* Coordinate corporate action event when there’s fund merger, fund closure. We need to working internal legal team, product team to consolidate the Shareholder Letters, and annual report for retail/ institutional clients.
* Handle fund reporting to particular clients regarding to the corporate action event.
* Participate in ad hoc project (i.e. New funds launch, operation procedure enhancement with Transfer agent)

**ChinaLife Franklin Asset Management Company Ltd (Jun 27, 2011 – Oct 26, 2012)**

**Senior Settlement Officer, Investment Operation**

* Liaise with different counter parties and service providers for resolving transaction discrepancies, trade breaks etc. e.g. contact with custodians for Cash balances, holding discrepancies, brokers and trustees on investigation of trade breaks.
* Support Front Office team members (FMs & Traders) for daily trade orders and issues,
* Supervising the daily operation flow processing (Euroclear, CCASS, and CMU) and setting up new fund operation flows.
* Responsible for trade pre-matching and settlement on HK Cash Equities (ETF, IPO, Private placement products, OTC, Options), Deposit, FX and Fix Income trades (US Corp Bonds, RMB Bonds, Convertible Bond Treasury Bonds, New Issue private placement).through CMT, Oasis, CMU and Euroclear platform
* Prepare of reconciliation reports such as, reconcile custodian bank statement against internal cash balance; Custodian daily holding reports against internal security holding positions and trade confirmation against internal trade record (trade breaks).
* Handle and follow up corporate action events, proxy voting and confirm with custodian bank under Fund Manager (FM) instructions
* Coordinating system testing and procedures enhancement with IT team (e.g. UAT, and parallel run, create some macros/VBA to streamline the process)
* Supervise and solving daily settlement issues with Front desk (FM & Trader) and counterparties (Trustees, Brokers and Custodians)
* Handling new fund set up project (SLA, OM) and accounts opening with Custodian, Brokers (OTC a/c opening and ISDA documentation), Fund Administrator, and Sales team.
* Liaise with Compliance for setting up new funds trading rules

**Penjing Asset Management (HK) Limited (Nov 10, 2010 to Jun 24, 2011)**

**Fund Accountant, Operation.**

* Prepare (Hedge fund’s fund of fund) Financial reports, reconciliation reports, e.g. Cash, holding, price reconciliations
* Cash management for cash flow and reconcile cash balance on weekly base vs. custodian records.
* Procedures improvement and automate some routine works with using some macros/VBA.
* Prepare spot FX and Forward under FM instructions
* Handle trade placement with counterparties (Administrator and Custodians)
* Handle fee settlement (Management, Performance fee) instructions
* Investment guideline monitoring (Risk Management report)
* Participate to internal back office system development, UAT and system testing in order to improve daily operation flows.

**Middle office operations**

* Handle trade enquiries with front office , custodians, brokers and counterparties
* Trades handling (Hong Kong, Singapore, Taiwan, Korea market) such as swaps, equities, bonds, etc.
* Prepare daily trade files and upload to online system and confirm with custodian before day end
* Reconcile daily cash and holding positions (trade breaks) between custodian records

**Manulife Asset Management (Asia) (2007 –May 20, 2010)**

**Officer, Regional Investment Operation**

* Undertake the responsibility to supervise the Assistant Officer for preparing ORSO & MPF Cash Flow report to Fund Managers of Fix Income, Equity(ETF, IPO), daily cash flow report & Reconciliation report to support UK office,
* Assist in various Regional projects with Philippine, Indonesia for system enhancements e.g. UAT and support other territories for new funds launch
* Provide support and system improvement for Reconciliation tools enhancement project within the Asia Pacific Region (Price, Position, NAV, etc.) to centralize some routine daily work flows

and prepare Daily Reconciliation for Price, Position, NAV, Dividend and Cash positions by running macro in excel spread sheet.

* Follow up and liaise with counterparties such as fund administrator, custodian and broker for transaction discrepancies and trade breaks
* Handle Cash Management for ON Balance Sheet Funds and OFF Balance Sheet Funds (Monitor each fund accounts daily cash balance and provide projected OD report to Fund Managers).
* Prepare re-balancing instructions under Fund Manager instruction
* Prepare and monitor a FX instruction for currencies shortfall, due to Redemption, Trade, and Expenses.
* Maintain the accuracy of system data base and the accuracy of On and Off Balance Sheet Funds of Cash, Position, Price and NAV Reconciliations with back office system (Portia).
* Prepare and supervise daily & Monthly Fund Valuation (NAV, Price) within the Asia Pacific Region (i.e. Philippine and Singapore)
* Assist in ad hoc fund transfer instruction to other Trustee Banks for confirm cash inflow from HK Controller
* Prepare Monthly Management Fee settlement report, AUM reports, Monthly Expense settlement Reports, Monthly Credit Bond Reports to various counter parties ( e.g. Toronto office, HK controller )
* Handle trade enquiries from FM and cash team in daily base.
* Work on Trade settlement on Cash Equities, Swaps, Options, FI and Corp.Actions – In Asian and global Market
* Daily download New Securities and handle Corp Actions events.
* Check the accuracy of daily trade settlement, trade confirmation and trade tickets before sending out trade tickets through CCASS, Euroclear, CMU
* Update FX transactions to back office system (Portia)
* Set up Security Masters from back office system
* Prepare and follow up Trade packages in Daily base

**EDUCATION**

University of Western Ontario (2006) *Bachelor of Economics*

Yorkland Secondary School (2003) *Ontario Secondary School Diploma*

**ADDITIONAL**

* Language: Fluent in Cantonese, English, and Mandarin
* IT Application: MS Window, MS Office, database and email applications

**REFERENCE**

***Availability: One Month Notice***