**Emily Brock**

Motivated by first-class client service and client relationships

## Core Competencies

8+ years of professional experience in Finance / Business / Client Relationship. Active participation, interest, passion and knowledge in Client Relationships. Excellent communication and writing skills Self-motivated, determined, creative and organised.

## Qualifications

- CFA ESG Investment Exam: 2023 (Pass - 1st attempt)
- Chartered Institute of Securities & Investments: Level 7: Financial Markets (Pass - 1st attempt)
- Level 4: Investment Advice Diploma UK Regulation & Professional Integrity (Pass - 1st attempt)
- Securities (Pass - 1st attempt)
- Investment, Risk & Taxation (Pass - 1st attempt)

## Education

**Newcastle University** 2012-2016
*BA (Hons) Business Management with Marketing First Class Honours with 'Best Dissertation Award' 2016: 85%*

## Experience

**Daymer Bay Capital** April 2021 – February 2025
*Investor Services*

- Responsible for the investor service function for all invested holders across 6 partner fund managers (c$3bn invested assets).
- Primary point of contact for all investor queries and ad-hoc requests. Prepare and distribute monthly and quarterly reporting
- Support 4 sales members including two founders with RFI's / DDQ's, fund and platform onboarding. Ensure there is a safe and diligent pair of hands when sales members are travelling and in meetings.
- Key contact for client fund managers.
- Host annual "Women in Fund Selection" lunch with female keynote speakers
- Sales support: assist with roadshow organisation for strategic partner fund managers, maintain details of business inflows and outflows, maintain database of datafiles
- Marketing: oversee marketing materials, creation of presentation materials, website, production of video interviews

**Cazenove Capital** August 2019 - April 2021
*Executive - Client Services*

- Assist in the management of a large book (£1 billion +) of clients with a focus on individuals, large families and related trusts, companies and charitable funds, both abroad and in the UK.
- First point of call for client queries. Deal with all administrative enquiries from clients, intermediaries, solicitors, trustees and accountants etc. Ensure clients receive an exceptional quality or service on a day to day basis

- Support Portfolio Managers and Directors in preparation of presentation and meeting packs. Assist Portfolio Managers and Directors and support the team in the development and maintenance of spreadsheets, preparation of reporting and meeting materials and maintain key product and team statistics.
- Collate client data, prepare and directly distribute monthly and quarterly reports
- Ensure that new client accounts are set up correctly and efficiently. Knowledge of offshore, trust, corporate, SIPP, ISA's, OIB's & GIA accounts.
- Interact with various business units or custodians and assist with the management of the service to ensure seamless client relationships. Active participation in internal working groups to improve internal processes
- Ensure operation of clients portfolios and accounts are in line with FCA regulations

**Rothschild & Co** November 2018 - July 2019

*Analyst - Corporate Access*

- Key projects including Shareholder Register Analysis, direct communication with fund managers and clients. Including detailed analysis of share register data to produce target lists of buy-side investors.
- Producing high quality new business and pitch documents
- Relationship management with FTSE100, FTSE250 & AIM listed corporates and direct communication with Fund Managers and buy-side analysts

**Deloitte Hong Kong** September 2016 - November 2018

*Senior Associate - Forensic Financial Advisory Services*

- Forensic Project Work Example: Worked closely with the Client on a large scale independent KYC remediation for a large global financial institution, focusing on the on-boarding and periodic review standards of over 300 clients in relation to the HKMA Guidelines and both global and local bank policy. Was promoted to Quality Assurance team with timely deliverables.
- Business Development: Developed close client relationships with multiple Global Law firms. Organized two international visits from Deloitte Japan and Shanghai to develop and maintain relationships between senior partners.

*Associate - Forensic Financial Advisory Services*

- Forensic Project Work Example: Seconded to a major financial institution, working on a large scale Financial Crime investigation across multiple fields such as Sanctions, Transaction Monitoring, Monitor team where we worked closely with the bank's Financial Crime team.During the engagement, I predominantly worked closely with the Client in developing their Transaction Monitoring processes. Formerly worked at an international private bank on another large KYC/Remediation.
- Business Development: Provided support to internal and external training. Worked closely with Law firms to develop monthly cross-functional training. Training sessions saw over 30 people attend from Deloitte and were followed by Networking Events between Deloitte and strategic Law Firms. External conferences and client events: Assisting with development and production of large conferences, including MC speaking at Anti-Bribery and Corruption Conference. Average response rate was 80% and attendance 60%, expanded the database by over 100 new clients.