

# Anne Vincent

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## CEO • Senior Executive • Group General Manager • Divisional Manager *Associate, Securities Institute of North America*

**S**trategic senior executive accustomed to large-scale global operations in diverse cultural environments. Expert in distilling and managing processes, enhancing internal structures, and promoting multi-skilled team competencies via nurturing mentorship and inspirational leadership. Engagements have spanned operational, strategic, technological, and change management roles, culminating in executive directorship of a global investment bank and regional leadership of operations in Hong Kong, Singapore, Indonesia and Korea.

### Professional strengths include

- Multi-site, Multicultural Operational Management
- Global Vision Planning
- Strategic Planning
- Customer Relationship Management
- Process Reengineering
- Productivity Improvements
- Project Management
- Team Leadership
- Issues Management
- Expectations Management
- Change Management
- Risk Assessments
- Cost Optimization and Containment
- Consensus-Building/Mediation
- Government Compliance Issues

### Business Experience

BANK OF HONG KONG, Hong Kong

7/2003–Present

#### **Regional Head of Asian Equity Operations/ Head of Hong Kong Security Operations**

Promotion to steer security operations in Hong Kong, quickly expanded into a dual operational role across a vast geographical area negatively impacted by a globally “flat” finance industry and the negative impact of SARS. Compounding these issues was a steep decline in regional office morale and executive directors openly voicing policy concerns.

These external and internal forces became the catalyst for embarking upon a comprehensive program as a corporate imperative to reduce costs, improve efficiencies, support sales with new product development for revenue growth, and repair relationships.

#### **Major Project Contributions:**

Devised business case summarizing efficiency, cost, and productivity benefits of a proposed technology upgrade poised to transition existing financial settlement systems to a standardized global platform.

Winning the green light from the Board of Directors, delivered the multi-phased technology project from concept through successful implementation. With any error having the potential to cost millions in lost revenue, the project impacted 13 Asian markets, global clients, and the bank’s Asian equity business globally, necessitating meticulous testing and implementation.

Managed stakeholder expectations and communications, juggled pre- and post-implementation resources, analyzed alternate options, drove project timelines, and reinforced the critical need for “plug-in” components to meet the unique needs of the region. The project delivered on all key criteria:

- Cut \$1 million in technology costs annually through reduced need for redundant hardware and elimination of maintenance contracts.
- Saved \$5 million through reduced headcount and improved efficiencies.
- Elevated customer satisfaction via faster, streamlined electronic services that surpassed output from the previous system. Clients now experience receipt of rapid electronic contracts, with less administrative input required.

#### **SNAPSHOT:**

**The Company:** Leading investment bank and asset manager.

**Clients:** include global fund managers, hedge funds, large corporate entities, governments, and private banks worldwide.

#### **Report to:**

- Global Head of Equity Operations (UK-based)
- Regional Head of Operations (Tokyo-based)

**Staff:** 85 across Hong Kong and regional offices.

**Direct Reports:** 13 (Hong Kong and regionally)

#### **Summary:**

- Steer operations across Asia Pacific satellite offices including Singapore, India, Korea, Taiwan, and Thailand.
- Head network management and business development and initiatives teams.

## Business Experience

BANK OF HONG KONG, Hong Kong (Continued)

### Other Contributions/Highlights

- Delivered service improvements and reduced errors through a role consolidation process that eliminated the duplication of tasks between London and Asia for clearing and settling Asian market trades. Time zone advantages of centralizing the processing to Asia offered clients improved and faster service, cut duplicated information flows, and reduced labor costs.
- Conducted comprehensive review into the organization's compliance with Eurobank directives for managing equity business. Scrutinized client locations, communication methods, local market constraints, tax implications, and costs of compliance to deliver a set of alternate options.

### Responsibilities:

- Staff management
- Strategic visions: global and local
- Cost containment: labor, discretionary expenditures, and technology
- Risk management

### Regional Head of Client and Trade Date Services (C&TDS)

(11/2000–7/2003)

Presided over daily "middle office" operations, controlled information flows, reconciled trades, and measured performances as a basis for continuous improvement. Nurtured client relationships, assessed risk, and ensured compliance with labor costs and productivity targets.

### Key contributions:

- Identified operational inconsistencies between New Zealand, United States, Australia, Taiwan, Korea, and India and initiated a definitive case for changing to the Asian booking model that would seamlessly integrate with the proposed transition to a global platform and meet all legal and compliance issues.

With no additional resources allocated for the project, won buy-in from stakeholders in London, United States, and Australia to support the initiative. Personally reengineered processes, sought and achieved sign-off from tax, legal, and compliance experts, and influenced acceptance for change from clients.

Results were impressive:

- Client service improved through a global operation.
- Generated savings of \$50K annually through reduced need for staff supporting business in United States and London.
- Spearheaded new quality initiative designed to identify and resolve issues surrounding systems in London and Hong Kong that impacted clients or controls. Instigated process for categorizing issues, producing reports, and established a forum for prioritization and resolution. Secured additional \$2.2 million in funding to develop protocols fully.
- Analyzed, developed, and won widespread stakeholder acceptance for implementing significant cultural and organizational change via the *Follow the Sun* model. Initiative exploited opportunities to provide service globally through the concept of one operation on three "shifts" in Hong Kong, London, and Stamford, replacing three separate enterprises operating individually with duplicated processes. The project was an outstanding success reducing the time to forward contract notes alone, by 60%.

### SNAPSHOT:

#### Reported to:

- Global Head of Client & Trade Date Services (London)
- Regional Head of Security Operations (Hong Kong)

**Staff:** 23 in Hong Kong (23) and 20 across Tokyo, Singapore, and Sydney

#### Summary:

- Managed client and trade date services operations in Tokyo, Singapore, Sydney, and Hong Kong.

#### Responsibilities:

- Client relationship management
- Overseeing transaction capture and processing
- Information management services control
- Risk management

### Head of Sales Support

(1/2000–11/2000)

Role created specifically to provide an "introduction" to Hong Kong operations prior to senior-level appointment.

- Established new CRM program designed to support traders and sales staff in Asia Pacific, London, and United States for Asian equity business. Central point of contact for client-specific needs, and operational issues.
- Eliminated potential for error, and reduced task duplication, by launching the implementation of an STP link that automated the production of contract notes and trade settlements. Productivity improvements prompted 30% reduction in labor costs through staff reductions. Identified 350+ non-standard "exceptions" cut to 10 just prior to the implementation.

**Reported to:** Regional Head of Operations

**Staff:** 2

#### Responsibilities:

- Client relationship management
- New product development
- Technology enhancements

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## Business Experience

POTTER MARBURN SECURITIES PTY LTD, California 9/1994–1/2000  
**Head of Private Client Operations** (4/1998–1/2000)  
**Chairperson of Private Client Operations** (3/1996–10/1997)  
**Head of Operations / Associate Director** (8/1995–3/1998)

### Summary of major accomplishments (1994–2000)

- Restructured operations for greater efficiencies and compliance. Personally produced the first money laundering policy for the company—a [then] revolutionary change that eliminated ad hoc accounts opening by sales teams, complete with strict and documented internal controls.
- Devised process that leveraged capabilities of Singapore to prepare Australia for future global business growth subsequent to a takeover by the Bank of Hong Kong.
- Completed separation of two distinct equity operations within ten days of merger, with no loss of business due to system or process failures. Divided staff to appropriate areas, communicated with the Stock Exchange to ensure no loss of priority for open orders, changed systems, and allocated clients.
- Delivered a series of cost savings through the centralization of operations, re-negotiation of information services contracts, and astute management of working capital.
- Established management systems and processes to ensure segregation of duties, controls, and management reporting for operations.
- Launched the “Private Client Operations and Risk Committee” to address divisional management void.
- Managed risk exposure overseeing policy formulation, compliance enforcement, credit, and business.
- Formulated and steered future operational visions for systems, processes, and procedures.
- Cut administrative costs subsequent to comprehensive review of credit control protocols.

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## Prior Engagements

- Equityman Ltd, Senior Research Analyst
- Cruickshank, Melon & Co, Senior Research Analyst: Industrial Sector
- National Securities Corporation, Project Officer
- Target Pty Ltd, Merchandise Manager, Personnel Manager
- California Department of Education, High School Mathematics & Science Teacher

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## Education & Training

**Master of Business Administration**  
University of California

**Bachelor of Science**  
University of California

**Graduate Diploma of Securities**  
The Securities Institute of Hong Kong

**Graduate Diploma of Education**  
University of California

### Additional Training:

Power of Process, Warwick University (UK) • Leading a Winning Team • Senior Executive Program • Harassment / Discrimination Prevention Program • Managing Strategic Change • Alchemy Program for Senior Executives (INSEAD, France) • Hedge Fund Fundamentals • Global Leadership and Diversity Program • Leadership in a Global Organization • Leadership • Strategic Influencing & Networking • World Competitive Management

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## Directorships

Marketplace Showcases Limited  
Agribusiness Services California Limited  
NARW Pty Ltd  
Toward & Company Pty Ltd

## **DEVELOPMENT STRATEGY**

Anne Vincent is a senior executive with a wealth of business skills developed through a diversity of career roles.

Commencing as a high school mathematics and science teacher, Anne progressed through a short stint in retail, re-aligned her career to research analyst and IT roles, and transitioned into the banking sector excelling in operational management. Her successes in steering departmental technology improvements prompted her last appointment—a dual role that distinguished her as one of the few females worldwide to achieve an executive directorship position within a major banking institution, while simultaneously steering technology operations across a vast geographical area.

### **Format**

Anne specifically requested a format that, as she said, “didn’t look like it was written for a man.”

She was proud of her executive directorship and wanted the résumé to reflect that while she was a serious executive, she was also a woman, sophisticated and creative—in a conservative sense.

I opted to display her name and address details in a bold format using color in the name area and a black/white text box as an attractive opener. I used burgundy borders to encase the document’s contents, and chose a combination of burgundy and black text in the “Snapshot” areas to highlight each role’s main components.

Please note that there is no zip code for addresses in Hong Kong. This is not an omission.

### **Page Number Strategy.**

A three-page presentation was considered optimum as Anne was able to carry through end-on-end achievements in each role she had held. To remove any of the achievements from her résumé was to cut Anne’s story short and that, it was considered, would be doing Anne, and her next employer, a disservice.

The strategy was to “dot” information in easy-to-review text boxes so that the reader could either read the résumé from first word to last, or simply run an eye over the résumé by reviewing eye-catching sidebar information.

### **Content Information**

The opening statement places Anne’s experience in context and introduces her wealth of diversified business skills as her key attributes. The statement touches on Anne’s ability to build and mentor a team, and immediately underneath, the “Value Offered” section contains keywords appropriate to her experience for at-a-glance information to recruiters.

Immediately following is a recount of her current role that presents information from the Challenge Action Results questions I posed to her. Once again, the “SnapShot” sidebar area provides the recruiter or employer with a quick run down of the position in terms of hierarchy, general accountabilities, and the scope and size of the company. This sidebar is useful for providing “just the facts” to someone reviewing a document quickly.

Page two continues to build on other positions held by Anne during her rise to the top, and as page three draws to a close, the document provides valuable information of Anne’s education. To finish on a high note, I elected to place “Directorships” at the conclusion of the document to reinforce her expertise with Boards of Directors.