

BEFORE

AFTER

Alex Hall

+(44) 3069 990181

alexhall@gmail.com

PERSONAL PROFILE

Energetic, motivated and highly experienced Director and investment operations professional with a proven track record in executive roles, building and managing startups and directing operational activities in established businesses. Responsible for all aspects of investment operations and business support functions, setting and delivering operations strategy, and directing change management and efficiency projects.

CAREER AND ACHIEVEMENTS TO DATE

COMPANY – DIRECTOR, PARTNER AND HEAD OF OPERATIONS – 9 YEARS TO DATE

Fiduciary Manager (investment Manager) to Defined Benefit Pension Schemes. 190 employees, £7bn assets under management in the UK, £50bn under advice, UK revenue of £35m and profits of £18m.

Responsibilities

Director, Partner and member of 8 strong Leadership Team. Responsible for:

- Setting and implementing the strategy of the business.
- Working across European locations to create a coherent and efficient operating model for the Group.
- Strategy setting and leadership of 25 strong UK Operations Team (investment back office, middle office, finance, HR, business support, legal and compliance, operational due diligence on funds, business continuity).

Member of 4 strong Management Team with delegated responsible for managing all activities of the business day to day.

Achievements

First operational hire of start-up business in 2008.

Leadership team member developing UK business from 12 people to 130 people.

Established, developed and lead key business functions - Investment Operations, Compliance, Finance, Legal, Operational Due Diligence, HR.

Designed and directed build of systems and process infrastructure of operational teams noted above.

Alex Hall

Senior Executive – Project Management & Start-up Operations

📍 UK (willing to relocate)

✉ alexhall@gmail.com

🔗 <https://www.linkedin.com/in/alexhall>

☎ +(44) 3069 990181

Professional Profile

A senior executive in the fast-paced investment operations field specialising in managing business critical operations in start-ups and established businesses. Effectively combines a logical and analytical approach to solving complex problems with the proven capacity to transition ideas from the creative concept to practical implementation. Successfully manages the complete lifecycle of projects and change initiatives that have substantially improved performance and profitability in hugely competitive sectors. Renowned as a motivational and inspirational manager with expertise in building and developing high performing teams with a shared commitment to top quality, fit for purpose service and solution delivery.

Career Summary

👤 Director, Partner & Head of Operations 2008-date
 🏢 Company Risk Management Ltd

KEY ACHIEVEMENTS

- Driving the business forward to achieve revenue of £35 million, and profits of £18 million, with £7 billion assets under management in the UK and £50 billion under advice
- Leading on the development of a coherent, efficient operating model for the Group, working across European locations, and designing robust systems and process infrastructure for UK operations
- Establishing and managing a number of key business functions and developing the UK business from 12 people to 130
- Managing the complete lifecycle of numerous business critical projects including implementations of portfolio management system, operational management information, work place pension and HR system
- Spearheading the implementation of people and performance management processes, driving cultural change and delivering senior management training
- Initiating and managing the Irish pooled common contractual fund for the business
- Project managing the seamless relocation of the business to new premises, delivered on time and in accordance with budget
- Successfully coaching and mentoring many employees who have gone on to enjoy hugely successful careers both within Company and outside the business
- Substantially improving morale and motivation by leveraging enormous profits to reward key players in the business
- Collaborating with the thought leaders who established the business and turning their often complex, theoretical concepts into reality

RESPONSIBILITIES

- Playing a pivotal role in defining and delivering the strategy of the start-up business operating as a fiduciary manager to defined benefit pension schemes
- Working in close conjunction with other members of the leadership and management teams, with full accountability for managing all business operations on a daily basis
- Providing strategic leadership to the 25 strong UK operations team comprising investment back office, middle office, finance, HR, business support, legal & compliance, operational due diligence and business continuity

👤 Head of Operations 2004-2008
 🏢 Company

KEY ACHIEVEMENTS

- Promoted to lead the Securities Administration Department (40 staff) of the core private banking business, including strategy definition for all aspects of middle, back office and custody
- Lifecycle management of key projects including the successful relocation of administration from Manchester to London and the implementation of Mifid
- Led the consolidation and restructuring of fund range from 16 to 6 funds with the closure of unprofitable funds and sale of non-core funds

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led key corporate projects:

- Operational change management project.
- 5 Year target operating model and efficiency project.
- Portfolio management system implementation.
- Business relocation to new premises.
- Implementation of operational management information.
- Work place pension implementation.
- HR system implementation.
- People and performance management process.

Led culture change and senior management training.

Responsible for the set up and management of Irish pooled common contractual fund.

COMPANY- HEAD OF OPERATIONS – 4 YEARS

Private Bank and fund management firm – member of the KBC/KBL group.

Responsibilities

Day-to-day management of all aspects of the management of the Solus range of funds, excluding investment management:

- Middle office.
- Back office.
- Selection and oversight of outsourced service providers – fund accounting transfer agency, custody and depository services.

Member of investment performance review committee.

Strategy setting and management of Securities Administration Dept. (40 staff) of Brown Shipley’s core private banking business – all aspects of middle, back office and custody.

Achievements

The Solus Funds were in danger of FSA sanction due to significant pricing breaches (287 in total over 4 years) caused by the failings of their outsourced service providers. I was recruited to manage the breach resolution, retendering, selection and migration of outsourced services to new providers and the building of an in-house risk and control function in London to oversee the selected service providers and manage and oversee the in-house processes such as prospectus updates, financial reporting etc.

Consolidation and restructuring of fund range from 16 to 6 funds – closure of unprofitable funds, sale of non-core funds.

Managed successful relocation of administration from Manchester to London.

Mifid implementation project.

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- Investigated and resolved serious failings of the outsourced service providers that had led to significant pricing breaches of the Solus funds, retendered and migrated outsourced services to new providers and established an in-house risk and control function in London to provide more robust oversight moving forward

RESPONSIBILITIES

- Managed the Solus range of funds for the private bank and fund management firm, excluding investment management but including middle office, back office and oversight of outsourced service providers
- Served as a key member of the Investment Performance Review Committee


 Manager Retail Operations 2001-2004
 Company

KEY ACHIEVEMENTS

- Played a key role in stabilising and improving service provision to key clients by establishing a dedicated team and introducing a recovery plan to address client concerns
- Identified client money breaches caused by historic system issues and developed appropriate solutions accordingly
- Project managed the seamless migration of teams from London to a new service centre in Peterborough
- Managed the successful transition of Investors unit trust business into Company operations
- Implemented new client money rules, including associated procedures and controls such as daily reconciliations

RESPONSIBILITIES

- Provided leadership and support to a team of 35 providing PEP and ISA administration to 12 clients whilst also managing call centre operations for 8 clients
- Managed banking and client money activities for 50 retail clients, including client money reconciliations, and simultaneously managed the Unit Trust Transfer agency teams

 Head of Third Party Administration 2000-2002
 Company

KEY ACHIEVEMENTS

- Awarded promotion to a UK group wide role following the acquisition of NPI by Company
- Project managed a successful initiative to investigate the risks associated with each process and remove controls with unacceptable levels of risk, resulting in 20% cost savings across the customer service division
- Led the retender process for the self-invested personal pension product and subsequent migration to a new provider following Capita’s withdrawal from the market within a challenging timeframe
- Managed the seamless migration of in-house aspects of PEP, ISA and units trust administration from Tunbridge Wells to a consolidated service centre in Peterborough
- Oversaw the successful legal redress claim against failed service providers

RESPONSIBILITIES

- Member of the customer service management team that set and implemented the customer service strategy for 3 million policies and 2,500 staff
- Led the selection and ongoing management of service providers to ensure optimum service quality and contract management for outsourced administration operations (PEP, ISA, unit trusts, self-invested personal pensions, group final salary and income protection contracts)

 Various Positions 1986-2000
 Company

KEY ACHIEVEMENTS

- Managed all finance aspects of a £40 million software conversion project from bull to IBM systems
- Introduced a new policy administration system and associated processes including building and training the operational team, system enhancement specification, UAT and delivery of system into production
- Successfully managed the accounting element of the Y2K project to facilitate full compliance

RESPONSIBILITIES

- Held a number of senior roles within the life and pensions business, including Head of Third Party Administration, Manager – Accounting Services, Finance Project Manager and Head of Financial Reporting & Policy Accounting
- Key responsibilities ranged from regulatory and management financial reporting, and financial management of 8 subsidiaries, to the service quality and contract management of outsourced administration

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Promoted to lead Securities Administration Dept. (40 staff) of Brown Shipley's core private banking business – back and middle office functions – custody, reconciliations, treasury and cash management.

COMPANY - MANAGER RETAIL OPERATIONS - 3 YEARS

Formerly the Cogent Investment Operations business purchased from AMP – Outsourced service provider to the fund management industry.

Responsibilities

Management of Team of 35 providing PEP and ISA administration to 12 clients.

Banking and Client Money activities for 50 retail clients including client money reconciliations.

Managing Unit Trust Transfer agency teams.

Management of call centre for 8 clients.

Achievements

Stablised and improved service to key clients.

Identified and resolved client money breaches caused by historic incorrect systems build.

Implemented new client money rules.

Migrated teams from London to new service centre in Peterborough.

Transition of Henderson Investors unit trust business to BNP.

COMPANY - HEAD OF THIRD PARTY ADMINISTRATION - 2 YEARS

Pearl, London Life, NPI and Henderson Investors - Life pensions and Investments - AMP purchased NPI in 2000.

Responsibilities

Customer service management team (10 Members) – setting and implementing customer service strategy for 3 million policies and 2500 staff.

Executive responsible for service quality and contract management for administration outsourced to third parties – PEP, ISA, unit trusts, self-invested personal pensions, group final salary and income protection contracts. Selection and ongoing management of service providers.

Achievements

Promotion to UK Group wide role following acquisition of NPI by AMP.

20% cost saving project across the Customer Service Division.

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RECOMMENDED LENGTH AND AS A RESULT IS
CLEARER AND MORE SUCCINCT.**

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Retendering and migration of Self Invested Personal Pension product to new provider at short notice following Capita's withdrawal from the market.

Managed the successful legal redress claim against failed service providers.

Migration of in-house aspects of PEP/ISA and Units Trust administration from Tunbridge Wells to consolidated service centre in Peterborough.

COMPANY - VARIOUS MANAGEMENT ROLES -15 YEARS

Life and Pensions business – 2500 staff, 600,000 policy holders.

Taken over by AMP in 2000.

HEAD OF THIRD PARTY ADMINISTRATION

Responsible for service quality and contract management for administration outsourced to third parties – PEP, ISA, unit trusts, self-invested personal pensions, group final salary and income protection contracts. Selection and ongoing management of service providers.

MANAGER, ACCOUNTING SERVICES

Regulatory and management financial reporting.

FINANCE PROJECT MANAGER

Finance aspects of £40m software conversion project from Bull to IBM systems.

SQL developer and introduction of SQL tools to non-IT users.

Implementation of new policy administration system – defining new processes, building and training operational team, system enhancement specification, user acceptance testing, delivery of system into production.

Accounting aspects of Y2K project.

HEAD OF FINANCIAL REPORTING AND POLICY ACCOUNTING

Financial Reporting for NPI Group companies –20 staff, including 5 qualified accountants - Report and accounts production, board papers preparation and presentation, financial control, management of general ledger, regulatory returns.

Financial management of 8 subsidiaries.

GENERAL ACCIDENT LINKED LIFE ASSURANCE - UNIT LINKED ACCOUNTANT - 18 MONTHS

Fund pricing and accounting for 12 unit linked funds.

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