

Roland C. Moser, CFA, FRM, PMP

Burgstrasse 23, 5634 Merenschwand, Switzerland | +41 (0)79 249 15 41 | rolandcmoser@me.com

Profile

I am a senior manager with extensive experience in regulatory topics, operations, finance, compliance, and risk management as well as broad expertise, gained in more than 25 years in the financial industry (banking, asset management, hedge funds) across multiple jurisdictions and cultures (Switzerland, Asia, U.S., offshore domiciles).

Throughout my career, I have covered a wide range of functions and roles, up to general management and strategy setting on the top management level. I have successfully led various interdisciplinary projects and coordinated and managed cross-cultural teams as well as internal and external service providers across multiple locations.

I am a reliable and diligent person with good analytical, structuring and problem-solving skills. While being hands-on and detail-oriented, I am able to think out-of-the-box and seeing the bigger picture. With my long and international experience, I am in a position to adapt both culturally and organizationally. I am capable of translating between different 'worlds', such as business, investment, compliance, IT, and client-oriented mindsets – hence bringing these together.

Work Experience

July 2019 –
today

Shiok AG, Switzerland

Co-owner, Senior Consultant

Shiok Consulting provides Advisory, Execution, Development, and Mediation services to businesses and executives.

- Provides consulting services (advisory, project and interim management) to the company's clients.
- Responsible for accounting, financial reporting, regulatory and tax filings for the company as well as for business development.

June 2013 –
today

Gecco Pte. Ltd., Singapore

Senior Consultant

Business and management consulting company, also offering executive coaching, leadership development, and mediation services to its clients.

- Provides business consulting and project management services to the company's clients:
 - responsible front-to-back project manager for the implementation of AEI (Automatic Exchange of Information) in the Hong Kong and Singapore locations for the wealth management arm of a leading Swiss bank;
 - supported the compliance stream of a large platform replacement project of a leading Swiss bank in specific areas such as the identification and mapping of impacted regulatory reports, ex-post controls, forms, authorizations, and regulatory outsourcing documentation requirements as well as maintenance of the stream's business transition inventory; and
 - conducted an analysis of the structuring options for client offshore private equity investments for a Singaporean independent wealth manager.
- Responsible for accounting, financial reporting, regulatory and tax filings for the company as well as for business development.

September 2010
– December 2012

J. H. Whitney Investment Management Asia Pte. Ltd., Singapore and

J. H. Whitney Investment Management, LLC, New York

Responsible for Group and Fund Operations, Finances, and Compliance

Boutique fund of hedge funds and single-manager hedge fund management and research company, specialized on investments in Asia.

- Responsible for all company and fund operations globally, including U.S. operations as well as all affiliated entities in the U.S., Singapore, and offshore.
- Responsible for group-wide compliance, particularly ensuring compliance with all relevant U.S. regulations (as investment adviser registered with the U.S. Securities and Exchange Commission SEC) as well as those of the Monetary Authority of Singapore (MAS) and the Cayman Islands

Roland C. Moser, CFA, FRM, PMP

Burgstrasse 23, 5634 Merenschwand, Switzerland | +41 (0)79 249 15 41 | rolandmoser@me.com

Monetary Authority (CIMA). Led a project to overhaul the overall compliance program of the group.

- Responsible for group finances. Led the relocation of the accounting function from the U.S. and built up a new team in Singapore. Co-ordinated the completion of a complex sales transaction of the single-manager hedge fund business of the group.
- Planned and executed the independent wind-down of the operations of a Singapore based management company.
- Responsible for operational due diligence in the fund of hedge funds research process.

March 2010 –
August 2010

Gecco Pte. Ltd., Singapore

Responsible for Company Finances

- Set-up accounting, financial reporting, regulatory and tax filings for the company.

May 2007 –
January 2010

GFIA Pte. Ltd., Singapore

Responsible for Group and Fund Operations, Finances, and Compliance;
Consultant from September 2009

Boutique hedge fund consulting, research und portfolio management company specializing in Asian and Emerging Markets hedge funds und skill-based managers.

- Responsible for the entire operations of GFIA and its group companies as well as for funds and mandates managed or advised by GFIA.
- Responsible for the financial management and reporting on group level.
- Led the strategic operations re-engineering project to transform the firm from a research house to an asset manager. Built up and restructured the group and fund structures, implemented efficient and stable operational and compliance procedures, and established in-depth internal manuals and external documentation. Selected and successfully implemented the data management and valuation system for all the firm's investment funds and mandates.
- Acted as GFIA's compliance officer with full responsibility for compliance with all regulatory and legal requirements as well as all disclosures, in particular to MAS and CIMA.
- Contributed to the research team in regard to operational due diligence.

July 1999 –
June 2006

creInvest Ltd., Zug, Switzerland

Responsible for Operations (1999 – 2001); Overall Management Responsibility from 2001 – 2006

Investment company focused on hedge fund investments; listed on the SWX Swiss Exchange.

- Responsible for all company operations in Switzerland and abroad, leadership and coordination of financial projects and corporate actions, as well as for the financial management and reporting.
- Responsible for reporting to the SWX Swiss Exchange and for compliance with all applicable laws and regulations. Responsible for national and international investor and public relations.
- Significantly involved in the establishment and implementation of creInvest's investment policy and guidelines as well as continuous monitoring of adherence thereto. Participant in all creInvest investment committee meetings with continuous and close contact to hedge fund research, portfolio management as well as risk management teams.

In addition from 2004 to 2006:

- Consultant in the set-up and launch as well as responsible for operations for the single-manager hedge fund platform of Bank Julius Baer & Co. Ltd., Zurich, Business Line Trading and Sales.
- Specially qualified member (recognized by the Swiss Federal Banking Commission) of the investment committee for Swiss Funds with Special Risks of the Julius Baer Group.

1998 – 1999

Julius Baer Asset Management Ltd., Zurich, Switzerland

Project Team Member Non-Traditional Funds (Hedge Funds)

1994 – 1995

Union Bank of Switzerland, Berne and Koeniz, Switzerland

Client Advisor Retail Banking

Roland C. Moser, CFA, FRM, PMP

Burgstrasse 23, 5634 Merenschwand, Switzerland | +41 (0)79 249 15 41 | rolandcmoser@me.com

- 1990 – 1992 **Swiss Bank Corporation, Berne, Switzerland**
Client Advisor Private Clients
- 1987 – 1990 **Swiss Bank Corporation, Grindelwald, Switzerland**
Commercial Apprenticeship

Education, Certifications & Accreditation

- 2020 **Expert for Certified Wealth Management Advisor (CWMA) examinations**
accredited by Swiss Association for Quality SAQ
- 2020 HERMES 5 Project Management Methodology (Certifications by TÜV SÜD Akademie GmbH)
- **HERMES 5 Advanced Certificate**
 - **HERMES 5 Foundation Certificate**
- 2015 **PMP (Project Management Professional) credential**
awarded by the Project Management Institute (PMI)
- 2007 **FRM (Financial Risk Manager) designation**
awarded by the Global Association of Risk Professionals (GARP)
- 2003 **Julius Baer Seminar “Leadership for the Future”**
IMD, International Institute for Management Development, Lausanne, Switzerland
- 2003 **CFA (Chartered Financial Analyst) designation**
awarded by the CFA Institute
- 1995 – 1998 **Bachelor of Science in Business Administration – Finance and Accounting**
Bern University of Applied Sciences, School of Business and Administration, Berne, Switzerland
First place final grades, top of class results in both economics and business administration, top score in intermediate examination
- 1987 – 1990 **Commercial School, Interlaken, Switzerland**
- 1986 – 1987 **Ecole Supérieure de Commerce, La Neuveville, Switzerland**
- 1977 – 1986 **Primary and Secondary School, Grindelwald, Switzerland**

Additionally, continuing education in the areas of project management, compliance, international taxation, media relations, leadership, and portfolio management.

Memberships

- Since 2015 Project Management Institute (PMI) and PMI Switzerland Chapter
- Since 2006 Global Association of Risk Professionals (GARP)
- Since 2003 CFA Institute and CFA Society Switzerland
- Since 2003 IMD Alumni Club, Lausanne, Switzerland
- Since 1998 Alumni BFH Wirtschaft, FH Schweiz

Roland C. Moser, CFA, FRM, PMP

Burgstrasse 23, 5634 Merenschwand, Switzerland | +41 (0)79 249 15 41 | rolandmoser@me.com

Languages

German	Native tongue
English	Fluent (Certificate of Proficiency in English, University of Cambridge)
French	Good skills
Italian / Spanish / Mandarin	Basic skills

Foreign Experiences

February 2019 – July 2019	Travel in Indonesia, Australia, South Pacific, South America
September 2007 – February 2019	Work in Singapore
April 2007 – August 2007	Work in Hong Kong
November 2006 – January 2007	Travel in Indochina (Laos, Cambodia, Thailand)
1992 – 1993	Extensive travel throughout Asia (Russia, Mongolia, China, South Korea, Japan, Nepal, India, Pakistan, and Hong Kong)

Personal Information

29 November 1970

Swiss Citizen

Married, 3 children (2009, 2011, 2014)