



Owner / Managing Director of
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Managing Director of
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Skills and Expertise

Functional areas:

- Operations
- Finance
- Compliance
- Risk
- Project management
- General management & strategy setting

Financial Industry experience:

- Asset Management, in particular alternative investments (hedge funds and private equity)
- Wealth management
- Retail and commercial banking

Professional Qualifications

Roland Moser holds a Bachelor of Science in Business Administration (major: Finance and Accounting) from the University of Applied Sciences, School of Business and Administration, Berne, Switzerland.

He is a Chartered Financial Analyst Charterholder (CFA), a certified Financial Risk Manager (FRM), and holds the Project Management Professional (PMP) credential as well as the HERMES Foundation and Advanced Certificates.

He speaks English and German fluently and is able to communicate in French.

Roland is hands-on and detail-oriented but with the ability to think out-of-the-box and seeing the bigger picture. He is able to adapt culturally and organizationally and experienced in translating between and hence bringing together different 'worlds', such as business, investment, compliance, IT, and client-oriented mindsets.

Background

Roland has extensive experience in regulatory topics, operations, finance, compliance, and risk management as well as a broad know-how acquired during more than 25 years in the financial industry (banking, asset management, hedge funds).

He worked across multiple jurisdictions and cultures (Switzerland, Asia, U.S., offshore domiciles).

During his career, Roland covered a broad range of functions, spanning from operations, compliance, risk management, and finance all the way to general management and strategy setting.

He successfully led, managed, and contributed to various interdisciplinary projects as well as coordinated and managed internal and external service providers and cross-cultural teams across multiple locations.

Relevant Experience

Experience

Roland has gained broad experience across financial services through his responsibilities on senior management level both in Switzerland and abroad, as well as through his involvement and leadership in a large number of projects. He likes to perform the role of an enabler, such as by building up / re-structuring a business or department with solid operations to support it or by managing and coordinating interdisciplinary projects.

Relevant Project Experience

Global Wealth Manager – AEI (Automatic Exchange of Information) Implementation
Project manager front-to-back for the implementation of AEI (Automatic Exchange of Information) for the locations Hong Kong and Singapore.

Global Wealth Manager – Platform Replacement Project
Support of the Compliance Stream 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.

Singaporean Independent Advisor – Private Equity Offering
Analysis and presentation of structuring options for client offshore private equity investments to senior management.

U.S. Investment Advisor – Transition of Fund Accounting
Project lead for the relocation of accounting function from the US and build up of new team in SG.

U.S. Investment Advisor – Overhaul of Compliance Program
Project lead ensuring compliance with US, Singaporean, and Cayman regulations.

U.S. Investment Advisor – Complex Sales Transaction / Wind Down
Coordinated completion of complex sales transaction of single manager hedge fund business. Planned and executed the independent wind-down of the operations of a Singapore based management company.

Singaporean Asset Manager – Re-engineering of Operations
Project lead for the firm's transition process from a research house to an asset manager. Built up group and fund structures, re-engineered and implemented 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.

Large Swiss Private Bank – Setup of Hedge Funds Platform
Project manager for set-up of operations and platform launch. Responsible for fund operations and consultant in hedge fund related topics.

Relevant Management Experience

Responsible for all company and fund operations, organization, and finances, globally (Switzerland, Singapore, U.S., offshore), for several financial services companies in the role of Chief Operating Officer.

Built up group and fund structures, re-engineered and implemented operational, compliance, and risk procedures and established in-depth internal manuals and external documentation.

Responsible for operational due diligence in fund of hedge fund research processes.

Participation on top management level in the definition, structuring, and implementation of product offerings at several financial services companies.

Acting as Chief Compliance Officer for financial services companies. Thereby responsible for group-wide compliance, particularly ensuring compliance with all relevant U.S. regulations as well as those of the Monetary Authority of Singapore (MAS) and the Cayman Islands Monetary Authority (CIMA).

Responsible for re-engineering to stabilize and further improve the company's operations. Led the business side in the conception and setup of fund of hedge fund data management and valuation software, successfully implemented the system and developed it further.

Design, redesign, and implementation of strategy, structure, operational procedures, and compliance as well as ongoing full management responsibility for a listed Swiss investment company, acting as its Chief Executive Officer.

Consultant to and responsible for operations of single-manager hedge funds platform of a large Swiss private bank, Business Line Trading and Sales, as well as specially qualified member of the investment committee for Swiss Funds with Special Risks of the same banking group.