

# **GARY LAWRENCE**

## **PERSONAL DETAILS**

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Experienced Operations professional with extensive People Management skills accrued over 25 years in Investment Banking. A strong manager with exposure to Line Management roles in high pressure environments, where time management and risk / control awareness are hugely important. Excellent Customer Service and Client Relationship Management skills with the ability to motivate teams, and a commitment to staff development. Highly effective and professional communication skills, and able to challenge current processes and make difficult decisions.

## **CAREER HISTORY**

### **HSBC, London (Jun 2024 - Dec 2024)**

#### **Asset Servicing & Tax Support Specialist / Contract role**

- Employed in a team to review and reconcile USD 3.2 billion of outstanding cash balances within the Asset Servicing environment
- Worked on HSBC internal systems BaNCS and TLM
- Executed internal transfers between different Set ID's as a result of system upgrade caused by BaNCS Version 6 and Version 18
- Validated Claims with BAU staff before settling with external counterparts

### **FIS / Platform Securities, London (22 Apr 2024 - 7 June 2024)**

#### **Securities Operations Manager**

- Worked on CREST settlements and managed vendor relationship with Allfunds, Clearstream and Euroclear

### **Citibank, London (Apr 2022 – Dec 2023)**

#### **Senior Asset Servicing Specialist / Contract role**

- Employed as part of the Global Backlog Team of 10 persons tasked with reviewing / reconciling USD 100 million worth of aged debit breaks prior to 1st January 2022, ie funds due to Citibank
- Utilised TLM, internal and external systems, focused on complex aged dividend / coupon reconciliations and market claims across multiple global markets
- Executed Intercompany payments across various Citibank entities for all currencies to clear debit / credit balances
- Worked with BAU and Technology to fix underlying themes and documented them
- Liaised with Traders to get agreement to amend Tax Rates across entities
- Provided metrics and reporting for Aged and High Value items to Senior Management
- Managed calls and the relationship with an allocated quota of external counterparts for receivables and deliverables
- Collated reconciliation data within agreed timelines, and acted as a point of reference for reconciliation related matters

## **Scotiabank, London (Apr 2021 – Mar 2022)**

### **Operations Control / Contract role (Maternity cover)**

- Liaised with global wholesale operations teams to agree a new SLA monitoring monthly schedule covering services that have been outsourced from London to other regions
- Supervised reconciliations and regulatory reporting processes for the European entities of Scotiabank Europe and the London branch of Bank of Nova Scotia
- Ran analysis on late reporting under MIFID II post trade transparency reporting, worked with internal technology team and other stakeholders to remediate where possible
- Managed the operation with the Bank of England for Failed Files, and worked with technology team to fix and re-present the file, and also carried out root cause analysis
- Managed the Limit Monitoring Margin Balances to ensure that limits were adhered to and escalated if breached, and published this document to the key stakeholders daily

## **Clearstream Banking (formerly Swissscantto Funds Centre Ltd), London (Apr 2015 – Mar 2021)**

### **Asset Management / Custody Transfers & Client Services / Manager : Apr 2015 – Mar 2021**

- Managed a team of 8, recruited and trained new staff, carried out appraisals, agreed succession planning and career development, and maintained a matrix for skill-sets
- Continuously reviewed team procedures, policies, systems and issues to ensure that quality service levels to our clients were maintained
- Implemented new risk controls into daily tasks of Custody Transfers and Client Services
- Dealt with end to end process of a Receive Free and Deliver Free transfer and proficient with SWIFT MT540 / MT542 / MT544/ MT546 / MT548 message types
- Ensured execution of all SWIFT and Fax instructions into CMP system, completed Stock Transfer Forms, and followed transfers through until completion / settlement
- Serviced and responsible for 200 Swiss clients / Kantonalbanks and liaised with 180 Transfer Agents and Custodian Banks globally
- Managed regular service review visits to ensure the relationship with our Swiss clients was running smoothly, and provided support, operational assistance and being attentive to their requirements, whilst adhering to Service Level Agreements (SLA's)
- Managed around CHF 52 billion of client custody assets, executed 25,000 custody transfers annually and managed relationships with clients, resulting in resolution of over 20,000 client emails annually
- Produced Senior Management statistics for KPI's and KRI's and reported monthly metrics
- Completed all Risk of Incidents for Custody Transfers and Client Services Team
- Worked closely with the Reconciliations team to clear monthly stock breaks for Custody Transfers between Clearstream and our Transfer Agents and Custodian banks
- Migrated / off-boarded 200 Swiss clients with over 50,000 funds across 180 Transfer Agents and Custodian banks globally from Swissscantto to Clearstream and Allfunds

## **SEI Investments, London (Oct 2012 – Apr 2015)**

### **Asset Management / Custody Transfers / Manager : Oct 2012 – Apr 2015**

- Managed the outsourced operational service for our clients Bestinvest & True Potential
- Provided a superior level of customer service and managed through to effective resolution, all free movements of stock and cash from client portfolios
- Maintained client status reports to ensure current information is accurate for transfer issues, failed trades, ad-hoc transaction issues
- Strived continuously to identify and input process improvements, and defined and documented new procedures
- Worked off-site at clients office in client facing role addressing issues with Management

### **Barclays Capital, London (Jan 2012 – Sep 2012)**

#### **Finance / Production Support / Contract role (VP cover) : Jan 2012 – Sep 2012**

- Worked to standardise and integrate Finance processes across all business areas and regions with Global Finance Platform, ie MOTIF
- Produced weekly Management Reporting regarding Operations Production data with appropriate metrics and owner's commentary, and distributed to all relevant key stakeholders in Operations, Financial Controllers, Funding Desk, and Project team

### **Euroclear UK & Ireland, London (Jun 2007 – Nov 2011)**

#### **Operations / Settlements & Client Services / Senior Manager : Jun 2007 – Nov 2011**

- Managed 2 teams (20 staff), focused on delivery to clients to fully meet expectations
- Managed the CREST settlement system for UK equities and UK gilts
- Interacted with Bank of England and FSA for liquidity and outages for the CREST settlement system and provided escalation and Management support for all incidents
- Liaised with Clients and Payment Banks regarding funding / settlement

### **Morgan Stanley, London (Apr 1994 - May 2007)**

#### **Operational Risk & Control Group / Senior Manager : Jun 2002 – May 2007**

- Completed the update of key risk controls for all European Operations Sox packs

#### **International Private Client Group / Senior Manager : Nov 2000 – May 2002**

- Managed heavy workloads and adhered to time-critical deadlines, whilst monitoring key risk and controls, and training Frankfurt Operations staff

#### **Position Services / UK Corporate Actions / Manager : Apr 1994 - Oct 2000**

- Managed a team of 10, including recruitment, induction, agreeing objectives, performance management, succession planning and career development

### **Singer & Friedlander, London (Aug 1991 - Mar 1994)**

#### **Corporate Actions / Analyst & Manager : Aug 1991 - Mar 1994**

- Managed a team of 4, and conducted annual performance reviews
- Completed reconciliation and safeguard of certificates relating to Nominee Co

### **Bank of England, London (Aug 1983 - Jun 1991)**

#### **Transfer Office / Certification & Registration Dept : Feb 1985 – Jun 1991**

- Processed stock transfers and LSE Advices promptly and accurately

#### **Issue Office : Aug 1983 – Jan 1985**

- Initial training and clerical duties in both the Issue Office and Accounts Section

### **EDUCATION & QUALIFICATIONS**

North West Kent College of Technology (1982 - 1983)

Dartford West Boys Secondary School (1977 - 1982)

6 O-Levels : English Language (B), English Literature (C), Commerce (C), Mathematics (C), Law (C), Accountancy (C).

