

## Biography of Mr. Alvin W.K. Ma



Hubbis 2016 Wealth THINK Discussion Panelist    AsiaMoney 2014 Private Banking Award Ceremony    Hubbis 2016 China Wealth Management Forum Discussion Panelist



The 13<sup>th</sup> Annual Wealth Management & Private Banking Asia 2018 Discussion Panelist

Mr. Ma has been involved in the wealth management & investment banking field for over 36 years. Mr. Ma received his Master of Science in Accounting and Finance from the Oklahoma State University, U.S.A. He is a PRC Hong Kong citizen & married with 1 child.

Alvin is now Senior Vice President & Head of Private Banking (EO of both Type 1 & 4 License under the HKMA), of East West Bank in HK responsible for HK, Macau & PRC wealth management business development & marketing.

Alvin Ma is also Managing Director & Partner {previously as Responsible Officer (RO) of both Type 4 & 9 License under the Securities Futures Commission (SFC) in HK} of Axiom Investment Management Limited, an asset protection and management advisory company opened since 1996 and licensed (ADC118) since 2004 under Type 4 Advising in Securities and 9 Asset Management Regulated Activity (RA) issued by the SFC in Hong Kong.

Prior to Axiom, Mr. Ma was Head of Private Banking, previously as Head of Emerging Wealth Private Banking {Executive Officer (EO) of Type 1, 4 & 9 License under the HK Monetary Authority (HKMA)}, EFG Bank in Hong Kong responsible for HK, Macau & PRC wealth management business development & marketing.

His last position was General Manager and Head of Private Banking (EO of both Type 1 & 4 License under the HKMA), China CITIC Bank International Limited (CNCBI) responsible for HK, Macau & PRC wealth management business development & marketing. Mr. Ma started up and built from scratch; supervised, managed and coached a group of Private Banking professionals inclusive of frontline and middle and back office members.

Prior to joining CNCBI as Head of Private Banking, Mr. Ma was Senior Vice President, Private Banking, EFG Bank in Hong Kong responsible for HK, Macau & PRC wealth management business development & marketing.

Prior to EFG, Mr. Ma was Executive Director & Team Head, Private Banking, Credit Suisse in Hong Kong responsible for HK, Macau & PRC wealth management business development & marketing.

Before moving to Credit Suisse, Mr. Ma has been engaged as Executive Director & Desk Head, Wealth Management & Business Banking, UBS AG in Hong Kong responsible for HK, Macau & PRC wealth management business development & marketing.

Prior to UBS, Mr. Ma has worked as Regional Head, Investment Sales, North East Asia, Wealth Management, Standard Chartered Bank in Hong Kong & Regional Head, Treasury Advisory, Asia Pacific Region, Standard Chartered Grindlays International in Jersey focusing on asset protection & management advisory, structured investor solutions, white-labeling of asset management advisory products. Mr. Ma has worked as Head, Corporate & Institutions Marketing, Greater China, Global Markets of the Standard Chartered Bank in Hong Kong responsible for exposure and asset management advisory for Hong Kong based Network, Multinational, Institutions and Local Corp. customers.

Prior to his engagement with Standard Chartered Bank, Mr. Ma was Executive Director & Treasurer of Bayerische Vereinsbank A.G. Hong Kong. Mr. Ma has also worked for Citibank N.A. Hong Kong as Vice President and Head of Treasury Marketing Division and was responsible for marketing and arranging various interest rate, forex risk management and investment products. Before Citibank Mr. Ma was Derivative Products Marketer in Origination and Distribution Group, the First National Bank of Chicago, Hong Kong and Dealer and Originator at Chase Manhattan Asia Ltd. Capital Markets Group. Mr. Ma had also worked in Deloitte Haskins & Sells and was Syndicated Loan Officer and Dealer at BA Asia Ltd. Capital Markets Group.

Mr. Ma is now a AIWM/ HKSI Certified International Wealth Manager (CIWM) Final Exam and CFA Institute Level 2 candidate. Mr. Ma is a licensed person registered under the Hong Kong Monetary Authority (HKMA). He has been successfully granted the Certified Private Wealth Professional (CPWP®) Certification under the Hong Kong Private Wealth Management Association (PWMA). He is also a Certified Financial Management Planner (CFMP™) & Certified AML Professional (CAMLPA) / Associate AML Professional (AAMLPA) member under The Hong Kong Institute of Bankers (HKIB).

Mr. Ma is now Principal Consultant of *CT Risk Solutions Limited (CT Risk)* on Wealth Asset Management (WAM) topical issues of Cross-border Do's & Don'ts; AML/KYC Client on boarding; Customer/Product Due Diligence; Selling & Suitability Processes & Procedures/New Professional Investor Regime (PIR); HKMA/SFC HK WAM Code of Conduct Principles; Management in Charge Regime (MICR); HKMA / PWMA Enhanced Competency Framework (ECF) CPWP Certification Training.

Mr. Ma is Principal Consultant, Wealth Asset Management (WAM) HKMA / PWMA Enhanced Competency Framework (ECF) CPWP Certification Training; *Hong Kong Society of Wealth Management (HKSWM)*.

Mr. Ma is Adjunct Assistant Professor and Guest Lecturer on "Exposure Risk Management" & "Asset Protection & Management" for Risk Management Science (RMS) 5004 – Studies on Selected Topics, Class of 2008 - 2018; *MSc. in Risk Management Science (RMS), Department of Statistics of the Chinese University of Hong Kong (CUHK)*.

Mr. Ma is also Adjunct Assistant Professor & Guest Lecturer on "Wealth Asset Management" & "Asset Protection & Management" for – Studies on Selected Topics, Class of 2017 - 2018 Bachelor of Finance (BFIN) in *Asset Management & Private Banking (AMPB), Faculty of Business & Economics of the University of Hong Kong (HKU)*.

CPT program co-ordinator & guest lecturer of the *Institute of the Professional & Knowledge (PEAK); Financial Services Development Centre (FSDC) of the Vocational Training Council (VTC) on Hong Kong Securities & Investment Institute (HKSI) Licensing Examination (LE) for Securities & Futures Intermediaries:-*  
Paper 1 - Fundamentals of Securities & Futures Regulation  
Paper 7 - Overview of Financial Markets  
Paper 8 - Understanding Securities  
Paper 9 - Understanding Derivative  
Paper 12 - Understanding Asset Management

CPT program co-ordinator & guest lecturer of the *Hong Kong Securities & Investment Institute (HKSI) on Certified Private Wealth Professional (CPWP®) Certification Exam Module 1 Part 2 Topic 1 - Overview of PWM Industry, Products and Services & Topic 13 – Mainland China and Asia-Pacific Financial and PWM Markets under the Hong Kong Private Wealth Management Association (PWMA)*.

CPT program co-ordinator & guest lecturer of the *The Hong Kong Institute of Bankers (HKIB)* on *Certified Private Wealth Professional (CPWP®) Certification* Exam Module 2 Part 1 - 4 – Ethics & Compliance under the *Hong Kong Private Wealth Management Association (PWMA)*.

Between Nov 90 till present Mr. Ma has been regular guest speakers & interviewees on various specialized topics among various professional & business social societies; journals & media publications inclusive of:

The Hong Kong Institute of Bankers (HKIB)  
The Hong Kong Securities & Investment Institute (HKSI)  
Chartered Alternative Investment Analyst Association (CAIAA)  
Association of International Wealth Management (AIWM)  
Institute of Certified Investment & Financial Analyst (ICIFA)  
Hubbis  
Business BVI  
BVI Asia  
Private Banking China.  
Capital Weekly  
The Hong Kong Economic Journal (HKEJ)  
South China Morning Post (SCMP)  
The Hong Kong Institute of Vocational Education (IVE)  
The HK General Chamber of Commerce (HKGCC)  
The HK Council of Social Services & Non-governmental Organizations  
Sun Hung Kai Property Ltd.  
The Australian Society of CPAs - HK Branch  
The HK Society of Accountants, and The HK Management Association