

# KATHRYN (KATE) JOSEPH

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## QUALIFICATIONS PROFILE

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Skillful and dedicated **Financial Industry Professional** with demonstrated success in operations, trading, and business process improvement. Proven capacity to streamline all phases of trading from initial entry through broker checkout. Highly analytical problem solver with a talent for liaising with cross-functional teams to optimize systems, tools, and techniques. Motivated leader and team builder.

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## AREAS OF EXPERTISE

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- Exceptional ability to bridge the gap between technical and operational teams; able to clearly translate business area requirements into technical language for IT teams.
- Superior communication and interpersonal strengths with a solid background building and sustaining dynamic, high-performance teams.
- Advanced knowledge of the Financial Industry with in-depth knowledge of operations, trading, SEC / FED / CFTC compliance and reporting, and data flow management.
- Proficient with Microsoft Office Suite, Microsoft Project, Erwin Logical Modeling Tool, McGregor, OMR Trading Assistant, Advent Geneva, Citco Aexeo System, Paladyne, BMC ControlM, Pervasive Software, Real World, Navision, and others.

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## PROFESSIONAL EXPERIENCE

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CALEDONIAN FUND SERVICES

**Head of Operations and Orlando office**

**Director of CFS (AVIT) LLC (2007 –current)**

Successfully achieved goal on hire of setting up the new Orlando office and CFS (AVIT) LLC as the operational hub for the Caledonian Fund Services Group. Established proper business procedures according to established best practices. Created trade processing, pricing and middle office teams to enable CFS to increase their service level offering and compete for the larger and broader range of clients. Responsible for hardware and software purchase, use and backup related to the fund services, pricing, and reconciliation and accounting teams.

- Successfully built fully automated trade feeds from ftp servers into Geneva by integrating the systems using BMC ControlM scheduling software, Pervasive mapping tools and Paladyne Security Master and Trade loads. Tested and loaded 50K trades in a few minutes with no adverse impact.
- Introduced multiple pricing options for clients both by adding Market Data vendors, automated pricing based on fund timing requirements, and introducing pricing hierarchies by product.
- Added a Middle Office team to do daily reconciliations of multiples products building team towards trade settlements and other standard MO functionality.
- Tightened security of data access and centralized control and documentation of data changes.
- Created policies and procedures for all aspects of NAV production in the Orlando office (Accounting, pricing, and reconciliation) and helped in the preparation of the CFS group for the SAS70.

*Continued...*

- Analyzed, updated and enhanced DR and Business Continuity procedures for Caledonian Fund Services Group which included investigating Data Centers in US and Canada, writing procedures and making recommendations to CEO to ensure complete hardware and data security.
- Member of the Caledonian Operations and Risk Committee, New Business Committee and Oversight Committee.
- Introduced monthly IT Project review with CEO, Head of IT and Head of Business IT to prioritize and monitor projects.
- Rapidly became familiar with new software as required, Advent Geneva, Paladyne System modules, Pervasive Software and ControlM.

## CITCO

### **Senior Project Manager**

#### **NY/NJ Training Manager (2006-2007)**

Part of a team to analyze and enhance Citco in-house Aexeo system for data processing efficiencies and new product functionalities. Project was re-evaluated during which time I became the Training manager responsible for product and industry training for the IT teams in preparation for new systems design, but also trained new recruits in use of Aexeo. Responsible for client training in system use.

- Successfully learnt very rapidly internal systems to the level of training IT and client teams in the use of the system.
- Part of a team writing product and functionality specifications for system re-write.
- Extensive UAT and QA test plans prepared for test teams and monitored their execution.
- Trained QA team and Production and Development IT teams in both product knowledge and the corresponding functionality in Aexeo
- Created new training materials for use by Citco both for new recruits and for more advanced training of Accounting and Investor Services teams.
- Visited new and established clients to show basic and more complex use of the Aexeo front office system. Responded to user queries regarding specific functionality.

## CAXTON ASSOCIATES LLC (formerly Caxton Corporation)

### **Director of Business Integration (2001-2005)**

Analyze business practices and develop strategies to improve trading operations and overall efficiency for hedge fund with approximately \$10 billion under management. Identify performance gaps, and advise senior management on solutions. Achieve consensus and support for complex IT/business projects. Create applications to automate processes and streamline data flows. Serve as trusted liaison to cross-functional teams. Monitored compliance of traders and support teams. Design reports.

- Successfully designed and revamped all data mapping and data flow processes for the company.
- Created a data logical model and participated in developing the data warehouse.
- Led the migration of proprietary systems to UNIX, and transferred trading platforms to new software on three separate occasions.
- Improved security and resolved vulnerabilities as member of the Disaster Recovery Committee; wrote procedures and implemented six monthly disaster recovery test scenarios.
- Created new back-office trace processes, methods, and applications for the Operations, Treasury, Compliance and Accounting & Tax departments.

### **Director of Operations (1996-2001)**

Oversaw mid/back-office functions for all products including Foreign and U.S. Equities, Futures, Fixed Income, Options, Foreign Exchange, Swaps, Derivatives, Mortgages, and Bank Debt. Directed all aspects of trade entry, settlement, and position recording. Managed compliance issues. Performed SEC reporting.

- Designed and developed a logical model for a new relational database.
- Established trading and accounting systems, and created new checkout and automated General Ledger (GL) journal entry systems.

### **Operations Control Supervisor (1995-1996)**

Promoted to implement and facilitate operational controls to support organizational change and ongoing improvement. Identified and resolved inefficiencies by developing automated procedures. Interacted with brokers to assess needs and introduce new tools/methods.

- Conceived and executed new end-of-day control procedures, redesigned checkout processes, and introduced new GL feed for Securities.
- Coordinated and supervised the seamless closing of a Domestic Fund (due to downsizing).

### **Trade Supervisor (1991-1995)**

Managed team of 12-16 traders and support staff in the Futures and Options Area. Supervised all phases of trading from initial entry through broker checkout. Maintained accountability for the accuracy and integrity of all data; corrected GL DTB Reconciliation errors.

### **Supervisor, Broker Reconciliation (1990-1991)**

Oversaw the activities of 6-8 back office reconciliation staff for all financial products. Pinpointed and resolved data/GL errors. Provided planning and implementation support to migrate trading systems and data from IBM to DEC platforms.

### **Broker Checkout (1988-1990)**

Created GL journal entries for approximately 100 Futures and FX accounts. Performed daily and monthly broker reconciliation processes. Provided a level of service and commitment that resulted in numerous promotions, and in-depth knowledge of the financial industry.

*Prior experience includes Domestic Department Manager for Bloomberg L.P. and Accountant IB (State of Colorado Grade) for the University of Colorado Department of Housing.*

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## **EDUCATION**

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### **Bachelor of Science, Math and Chemistry (*Graduated with Honors*)**

UNIVERSITY OF LONDON, KINGS COLLEGE – London, UK

### **Statistics, Economics, Bookkeeping, Audit Principles**

ACCOUNTANCY TUITION, LONDON, UK

### ***Selected Professional Development***

**Harvard College** – Negotiation, Dealing with Difficult People in Difficult Situations

**Massachusetts Institute of Technology (MIT)** – Management Complex Product Development Projects

**Rutgers University** – Project Management

**New York University** – Intensive Arabic I/II (Standard I,II,III & IV)

**Data Warehouse Institute**- Multiple courses in database design and data storage

**Certified ESL Teacher**