

# Jonathan Leong, CFA

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## EXPERIENCE

### **Aumakua Capital Management, Albany, Oregon**

**Oct 2012 – Present**

*Founder/Chief Investment Officer*

- Founding Partner & Chief Investment Officer of US based asset management company that oversees multiple strategies including a catalyst based multi-strategy equity strategy, a long only equity strategy, cross asset multi-algorithmic strategy and advises in other alternative asset investments
- Built and developed the firm's operations, legal structure/documentation and investment framework and continue to lead its business development and marketing
- Oversee all investment operations, managing total firm risk and ensuring risk adherence of all portfolio managers
- Manage team of seven direct reports overseeing the company's overall functions ranging from operations to investments

### **Oregon State University, Corvallis, Oregon**

**Apr 2015 – Present**

*Instructor/Program Development Coordinator/Faculty Advisor*

- Developed and instruct in advanced finance courses in Portfolio Management, Investments and Financial Statement Analysis for senior undergraduates and MBA students
- Developed online/hybrid courses in Portfolio Management, Investments and Introduction to Financial Management
- Oversee and manage external corporate relationships with the finance department and the student body to expand potential job and internship opportunities for students, cooperative programs with companies and college wide events
- Faculty advisor to the College of Business's Finance Club, bringing in additional funding, speakers, developing events, etc
- Spearheaded the development of the College's first Bloomberg program to be integrated with curriculum across multiple departments and acquired the \$25,000 grant to fund the program's first year as well as ongoing funding into the future
- Determining the economic feasibility of vertical value chains in the hemp industry along the Route 97 by developing financial models under sponsorship of a USD 10 mm grant from the USDA
- Engaged as a representative and guest speaker for multiple conferences for organizations including Bloomberg, the OSU Foundation and the Portland Alternative Investment Association

### **Claremont Graduate University, Claremont, California**

**Aug 2018 – Present**

*Adjunct Professor*

- Co-developed and taught graduate level course in Asset Management as the acting practitioner professor for the school's Master's of Financial Engineering Program

### **West 22<sup>nd</sup> Capital Advisors, Hong Kong**

**Jul 2018 – Present**

*Managing Director/Responsible Officer*

- Oversee PIPE and Special Situation investments for Hong Kong based Private Equity Fund overseeing a team of six direct reports
- Oversee all capital deployment by the firm as one of three investment committee seat holders
- Act as company's responsible officer (Type 4 & 9) contributing to company's licensing with the SFC while also managing company's operational workflow and compliance in accordance with SFC regulations

### **Santa Monica College, Santa Monica, California**

**Feb 2019 – Present**

*Instructor (Kinesiology)*

- Teach courses in Karate (PE 34 A,B,C & D) Boxing for Fitness (PE 17)
- Developed online course for Boxing for Fitness during COVID-19 pandemic

### **Solitude Limited, Hong Kong, China**

**July 2015 – Aug 2017**

*President, COO & Responsible Officer (Type 9)*

- Oversaw setup of fund structure, risk policies, investment process, operational workflow and licensing with the SFC
- Managed company's risk allocations and investment policies as a member of the investment committee
- Acted as one of the founding Type 9 Responsible Officers, President and COO which included managing two direct reports

### **Pivotal Investments Limited, Hong Kong, China**

**Jun 2010 – Oct 2012**

*Vice President*

- Founding member of one of the top 5 best performing Asian hedge funds in 2011 which incorporated volatility, event driven/special situation, and fundamental strategies across the Greater China region, Japan and US markets
- Managed own event and fundamental portfolios comprising 10-20% of fund AUM incorporating strategies including risk arbitrage, IPOs, secondary placements, privatizations, delisting/relistings, CBs and other catalyst driven investment themes
- Developed new strategies, managed fund risk, performed origination/due diligence/analysis on principal investments, assisted structuring private deals, established key broker relationships and managed communications between senior management and junior employees overseeing three direct reports
- Key member in setting up operations, technology and marketing for the fund as well as ongoing member of the marketing team and head of IT

## **Evolution Capital Management, Los Angeles, CA**

**Jun 2005 – Jul 2009**

*Investment Associate - Special Opportunities Fund*

*May 2006 - Jul 2009*

- Member of the Special Situations/Opportunities Group which involved principal investing, PIPEs and other special situations
- Performed due diligence, deal structuring, negotiation, financial analysis, modeling and post deal monitoring for both public and private companies in the US, Hong Kong, China, Japan, Taiwan, Singapore and Malaysia ranging across several sectors including Medical Technology, Enterprise Software, Online Gaming and Telecommunications
- Sole collaborator with managing director on the due diligence, structuring, closing and monitoring of the largest position in the company for 2006 which also was the single largest contributor to profit for the entire fund that year
- Oversaw investment portfolio of former managing director after he left the company including both principal investments and PIPE investments which included taking over one board seat and one board observer seat for two private PRC companies

*Trader - Single Stock Volatility Group/M Fund*

*May 2006 - May 2007*

- Traded a multi-million USD Single Stock Volatility Book in the Hong Kong and Japanese Equity Markets which included trading equities, equity options and major index Futures with avg of USD10mm daily notional per market
- Oversaw the Hong Kong portion of the Single Stock Volatility Book and was given almost full discretion on the book
- Managed profit and loss reporting as well as overall position tracking for the Single Stock Volatility Book and Volatility Book
- Originated and executed Long/Short Trades in the Hong Kong, Taiwan, Singapore and India Equity Markets
- Added valuable new broker/trading relationships to expand the company's trading and research

*Junior Trader - M Fund*

*Jun 2005 – Apr 2006*

- Assisted in monitoring and assessing the overall Fund's positions, Profit and Loss and total risk
- Performed analysis for Asia Ex-Japan trades including pre trade fundamental analysis, liquidity analysis, and position monitoring.
- Originated and executed trade ideas for Senior Portfolio Managers
- Excel design in VBA macros, risk management, market monitors, borrow, trade studies, volatility studies, reconciliation, etc
- Helped transition and implement new company wide risk management systems

## **EDUCATION**

**Chartered Financial Analyst Institution**

**June 2010**

*Chartered Financial Analyst*

**The Robert Day School of Economics and Finance, Claremont McKenna College, Claremont CA**

**May 2010**

*Master's in Finance*

**Harvey Mudd College, Claremont, CA**

**May 2005**

*Bachelor of Science, Molecular Biology and Economics (Claremont McKenna College)*

**Chinese University of Hong Kong, Hong Kong SAR, China**

**Spring 2004**

*NA, Molecular Biology and Economics (study abroad)*

## **NON-PROFIT WORK**

**Cascadia Wildlands, Eugene, OR**

**Mar 2015 - Present**

*Board Director, Chair of Finance Committee*

- Acting chair of finance committee for the board of directors for a non-profit organization that seeks to protect illegal operations impacting the environment and wildlife in the Cascade Range
- Oversaw revision of Cascadia's financial monitoring system and implemented new policies to strengthen the company's financial situation
- Established endowment fund for Cascadia to provide for its needs on a more permanent basis

**SOW Asia, Hong Kong, China**

**Jun 2013 – Present**

*Advisor*

- Advised non-profit organization that invests in Asia based startup companies focused on creating sustainable and positive social/environmental impact
- Provided investment and risk analysis for both current and potential portfolio companies including recycling companies, organic farm collectives, online retail sites and environmental building supply aggregators
- Asked to come onboard full time as both the Portfolio Manager as well as a Director for the organization's accelerator program

## **INTERESTS AND SKILLS**

- Bloomberg, Monis Analyzer, Citrix Front, Capital IQ, Tora Trading Systems, Tradescree, EMSX, Microsoft Office Suite, Imagine Risk Systems, ACT!, Programming in Java, C, Perl and VBA, Spanish (semi-fluent), Mandarin (introductory), Canvas, Blackboard, Kaltura, Adobe Presenter
- Credentials: CFA, NASD Series 65 (Exempt), NASD Series 3 (Expired), Hong Kong Paper 1, 2 & 6, Hong Kong SFC Type 1, 4 & 9 licenses, Hong Kong SFC Type 4 & 9 Responsible Officer, FINRA Registered Investment Advisor, Training the Street including LBO and M&A modeling
- Interests: Okinawan Karate, MMA, Surfing, Triathlons, Weightlifting, Swimming, Running, Winemaking/Tasting, Travel, Writing and Photography

## REFERENCES

- Aumakua Capital Management: Scott Huan (Founding Partner), [huan@aumakuafund.com](mailto:huan@aumakuafund.com), +1-415-828-8535
- West 22<sup>nd</sup> Capital Advisors: Chris Shen (Founding Partner), [christopher.shen@west22capital.com](mailto:christopher.shen@west22capital.com),
- Oregon State University: Dan Lykins (Emeritus Dean of Faculty), [lykinsd@oregonstate.edu](mailto:lykinsd@oregonstate.edu), +1-541-737-4139
- Pivotal Investments Limited/Evolution Capital Management: Brian Yeh (Partner), [byeh1@yahoo.com](mailto:byeh1@yahoo.com), +1-415-233-3300