

CAROLINE HERTRICH

11 Abbots Avenue West

AL1 2JH St Albans, UK

Phone: +447821 110 865

Chertrich05@gsb.Columbia.edu

EXPERIENCE OVERVIEW

- **Head of UKI and Netherland Index Sales managing team (hybrid) to commercialise FTSE Russell index data**
- **19 years experience in client facing capital markets positions, both on the sell-side (Morgan Stanley 7 years, Deutsche Bank 3 years) and on the buy side (BlackRock 8 years, Lufthansa Treasury 1 year) in different countries (Germany, US, UK)**
- **Over 7 years experience equity investing and portfolio management/construction**
- **7 years of equity and equity derivatives execution and equity financing experience in EMEA and US markets**

Details

2022 – present	FTSE Russell, London	2022 - present
	<i>Head of UKI Index Sales, Co-Chair WIN UK</i> • Leading a diverse team selling the full suite of FTSE Russell indices (equity, fixed income, alternatives etc), data and analytics to buy and sell side clients in UK, Ireland, Netherlands and Nordics, France • Responsible for business development strategy and execution for over 2/3 of FTSE EMEA revenue • Leading strategic client account review program	<i>London, UK</i>
2017 – 2022	BLACKROCK Investment Management	2014 - 2022
	<i>Senior Director, Index Product Strategist, EMEA clients institutional and wealth</i> • Represent BlackRock index equity portfolio management and client solutions internally and externally across pooled funds and bespoke solutions for institutional and retail clients in EMEA • Structuring ESG/SFDR/EU taxonomy index equity solutions • Structure, price, pitch, and review index equity solutions and performance • Product development strategy for pooled funds and new fund platforms (UCITS, ACS, Life • Advise on security selection and portfolio construction; working with custodians and administrators to resolve valuations and settlement enquiries for securities and derivative trades • Member of Women in Investments Board, Women Initiative Network EMEA officer	<i>London, UK</i>
20014 – 2017	<i>Senior Director, ETF Sales for corporates and OIG (doubled revenues in 2 years</i>	<i>Frankfurt, Germany</i>
	• Build up corporate, OIG and consultant coverage in Germany selling investment and treasury solutions (ETFs, money market funds, index solutions, Model Portfolio Solutions across equities, fixed income, alternatives) • Doubled revenues in 2 years; established strong relationships with DAX 30 companies, pioneering investment solutions/applications with clients such as Lufthansa, Daimler, Uniper; closed largest pensions transactions in EMEA for BLK with German clients • Marketing treasury and investment solutions at events, as speaker, round-tables and conferences	
2013 - 2014	LUFTHANSA AirPlus International, Frankfurt	2013-2014
	<i>Assistant Treasurer</i> • Lead of special projects supported by cross-departmental team. Projects included: securitization of account receivables; funding of operations in EMEA and China, automation of international bank transactions working with local and international banks and with Lufthansa group treasury, negotiate collateral terms for US Joint Venture with JP Morgan Chase	
2010 – 2012	MORGAN STANLEY	2005-2012
	<i>Vice President, Prime Brokerage Sales</i> • Sole coverage and budget responsibility for emerging hedge fund managers and established funds focusing long short equity and convertible funds • Facilitate complete prime brokerage offering including custody, administration and cross sell Morgan Stanley offerings electronic trading, fixed income, FX and equity solutions. Focus on stock loan capabilities, cash and derivative execution • Coordinate and prepare account reviews for largest clients of the firm for senior relationship managers	<i>New York, USA</i>

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PROFESSIONAL EXPERIENCE (CONTINUED)

- 2008 – 2010 *Vice President, Equity Index Derivative Specialist and Swap Trader* *New York, USA*
- Structure and sell and sales-trade equity swaps to institutional clients and hedge funds. Product range:
 - Custom equity basket solutions for access, hedging and stake building purposes (ETF replacement strategies)
 - Tax efficient structures (for example gain deferral and loss harvesting strategies)
 - Structured, custom solutions, UCITS compliant structures (swap and note form)
 - Structure equity baskets using Barra Aegis, Excel and internal hedging tools
 - Devise optimal trading strategy using Morgan Stanley's Program Trading model
 - Trade hedge for electronic long swap book, match trades and settlement instructions
- 2005 – 2007 *Associate, Equity Structured Products Sales (Germany/Austria)* *London, UK*
- Sell multi-asset structures products to German speaking clients (Wealth and Institutional)
 - Product focus: Equities derivatives (delta-one, plain vanilla options and structured notes and swaps); trading OTC and listed derivatives for clients
- 1999 – 2002 **DEUTSCHE BANK**
- Senior Analyst, Corporate Finance (2001 – 2002)* *London, UK*
- Cover luxury goods consumer/retail sector; managed sector and company specific pitch books
 - Responsible for DCF, comparable company analysis, merger analysis, sale and leaseback models
- Credit Analyst, Risk Management (1999 – 2001)* *London, England/New York, USA*
- Manage bank's second tier Spanish and Italian financial institutions portfolio (\$2bn); conducting in depth counterparty reviews (incl. review of director remuneration, holding company structure, detailed financial and peer analysis) to maximize risk/return, using legal covenants, setting margins, collateral and tenure.
 - Write internal industry credit strategy review for board of directors on global consumer goods industry
 - Global Fixed Income Trading and investment banking bootcamp (bonds, MBS, rates, credit derivatives etc)

EDUCATION

- 2004 – 2005 **COLUMBIA BUSINESS SCHOOL** *New York, USA*
MBA, Finance (Corporate Finance, Capital Markets, Investment Management)
- 1995– 1999 **UNIVERSITY OF KENT** *Canterbury, UK*
- *Master of European Management Science with Honors, GPA: 4.0; Integrated studies in both languages English and Spanish*
 - *Awards: Prize for Best Performance in Management Science and for Best Final Year Project in Social Statistics*
- 1997 – 1998 **UNIVERSITY OF GRANADA** *Granada, Spain*
Administration de las Empresas, integrated year abroad

INTERNSHIPS/OTHER WORK EXPERIENCE

- 2004 **MORGAN STANLEY** *London, UK*
Summer Internship in Institutional Equity Sales
- 2003 **BEAUTYPOOL** *Bonn, Germany*
Consultant, start-up in wholesaling medical-dermatological products for plastic surgery industry
- 1998 **GERMAN-ARGENTINEAN CHAMBER OF COMMERCE** *Buenos Aires, Argentina*
Summer Internship

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ADDITIONAL INFORMATION

Other: Registered Securities Representative, UK, Securities Representative, US,
Pilotlight charity advisor
Head of UK Women's Initiative Network at LSEG
Studying for CFA certificate in ESG investing

Languages: German (native), English, Spanish, (advanced), Italian (beginner)

Work authorization: Held for European Union, Germany Citizen , UK

Personal interests: Travelling, amateur body building competitor, poultry keeping