

Rand Lim Kian Siang

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EDUCATION

Royal Melbourne Institute of Technology	May 2010 – May 2012
• Bachelor of Science (Economics & Finance)	
Singapore Polytechnic	Apr 2005 – Apr 2007
• Diploma in Banking & Financial Services (Majored in Banking)	

PROFESSIONAL QUALIFICATIONS

Obtained the following Capital Markets & Financial Advisory Services (“CMFAS”) qualifications in:

Module 1A – Rules and Regulations for Dealing in Securities (for members of SGX-ST)

Module 2A – Rules and Regulations for Trading in Futures Contracts (for members of SGX-DT)

Module 3 – Rules and Regulations for Fund Management

Module 5 – Rules and Regulations for Financial Advisory Services

Module 8A – Collective Investment Schemes II

WORK EXPERIENCES

Associate, China International Capital Corporation (Singapore) Pte. Limited (“CICC”)	Jan’2014 – Present
Analyst, China International Capital Corporation (Singapore) Pte. Limited (“CICC”)	Jul’2013 – Jan’2014
<ul style="list-style-type: none">• Handle all MAS correspondences including questionnaires, surveys, requests for information etc.• Provide regulatory and compliance advice for Sales & Trading, Investment Banking department• Maintain, review and update policies and procedures• Review new client account opening documentation and conduct periodic review of existing clients for KYC purposes• Co-ordinate employee background screening checks and individual licence applications• Oversee corporate governance matters including appointments/resignations of members of the CICC Board of Directors, internal Business and Operations committee• Respond to regulatory updates and developments, review all regulatory reports and submissions• Manage regulatory inspections, internal and external audits, ad-hoc inquiries and investigations• Establish, maintain and execute compliance monitoring programme covering review of staff transactions, voice recording etc• Review, approve and monitor employee personal trading activities• Liaise with company secretary on corporate secretarial matters and maintain board resolutions/minutes• Participate in ad-hoc projects and provide inputs to regional/global requests	
DBS Vickers Securities (Singapore) Pte Limited (“DBSV”) / DBS Bank Limited (“DBS”)	Jul’2009 – Jul’2013
Executive, Compliance <ul style="list-style-type: none">• Provide advice and support to business and support units• Respond to regulatory updates, analyzing impact to units and implementing changes• Handle Production Orders by regulators (MAS, SGX, CAD, SFC etc) and conduct investigations• Anti-Money Laundering (“AML”) for Securities• Renewal of Corporate Licenses for DBSV• Perform surveillance work and highlight exceptions to stakeholders• Investigation of escalated complaints• Co-ordinate with external and internal auditors for audits and inspections	

LANGUAGE, PERSONALITY, AND VALUE-ADDING SKILLS

- Working knowledge of Securities & Futures Act (“SFA”), Financial Advisers Act (“FAA”), MAS, SGX rules and regulations
- Fluent in English and Mandarin (both written & spoken) and able to converse in local dialects
- Self-motivated individual who exudes maturity, responsibility and composure
- Analytical Skill – Able to analyze and assess situations, pro-actively seeking out solutions
- Interpersonal Skill – Able to understand and meet the needs and expectations; has strong ability to communicate with people effectively
- 'Sunny' personality; never put down by hectic work or commitments
- MS Excel (Intermediate), MS Word (Intermediate), MS PowerPoint (Intermediate)