

Lo Jun Jie Rainer

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WORK EXPERIENCE

Credit Suisse AG

Aug 15 – Present

Trade Surveillance Analyst

- Perform surveillance over proprietary and agency trading activities in the Bank
- Detect potential market manipulation or unfair treatment of clients
- Proficient in NICE Actimize, SMARTS Broker, GOMAN Breakfinder, Bloomberg
- Draft business delivery requirements and manage Book of Work projects
- Prepare monthly Management Information (MI) reports

Control Room Analyst

- Safeguarded the integrity of Chinese Wall and monitoring MNPI flow within the Bank
- Conducted information barrier analysis and wall-crossing of public-side employees
- Responsible for pre-clearance of unpublished research by IB and PB analysts
- Performed surveillance over trades against restricted list breaches and insider dealing
- Implemented Designated Broker Policy for the Bank in Dec 2015 for CS APAC employees

Regulatory Shareholding Reporting Analyst

- Performed daily Substantial Shareholding & Short Selling Reporting
- Participated in Take-overs and Mergers related reporting for Singapore (SIC)
- Advised on disclosure issues to trading desk regarding thresholds permissible
- Imposed in-house trading restrictions for purposes of Position Limit Monitoring

Center for Governance, Institutions and Organizations (CGIO)

Sep 14 – May 15

Data Analyst

- Screened annual reports and identifying potential corporate governance red flags
- Promoted research on corporate governance issues pertinent to Asia
- Scored 644 SGX Listed Companies on Governance Transparency Index 2015

Life Tree Pediatric & Child Development Centre

May 14 – Dec 14

Consultant

- Developed corporate governance framework and policies for the Charity
- Conducted research on comparable organizations (local and overseas) to identify relevant key performance indicators and devised impact measurement methodologies

CERTIFICATION

CFA Institute

- CFA Level III Candidate

International Compliance Association

- Advanced Certification in GRC

Institute of Singapore Chartered Accountants

- Associate

Institute of Banking & Finance Singapore

- CMFAS Module 1B
- CACS Level 1

EDUCATION

National University of Singapore

- Bachelor of Business Administration (B.B.A Honors)
- Double Specialization in Accountancy and Finance

Korea University

- International Summer Exchange Program
- Awarded NASA Enhanced Scholarship