



ZHONG Xie Cheng Jason

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Objectives Summary

I would like to excel in this industry and to further my knowledge and gain hands-on experiences in all possible matters. A quick learner of complex concepts and process-oriented issues, I am eager to broaden these competencies. Given the opportunity, I believed I would be able to meet, or even exceed, what is required of me at work with my meticulous attitude and well-organized personality. Therefore, I would very much like to have the opportunity to grow with your company and to have the podium to execute what I have learnt.

Post Graduate

Current Pursuing	ICA Diploma in Governance, Risk & Compliance (IBF level 2) <i>International Compliance Association</i> -In midst of accreditation; Module 1 cleared
2014 – 2015	STEP Certificate in International Trust Management <i>Society of Trust & Estate Practitioners</i> STEP Affiliate Member, Singapore Branch

Educational Background

2007 – 2009	Bachelors Degree in Business (Economics & Finance) <i>Singapore Institute of Management; RMIT</i>
2001 – 2004	Diploma in Business Information Technology <i>Ngee Ann Polytechnic</i>
1996 – 1999	GCE 'O' Levels <i>Bukit Panjang Government High School</i>

Work Experiences

2014 – 2016	<p>Lion Trust Singapore Limited <i>Compliance Manager, Legal & Compliance</i></p> <ul style="list-style-type: none"> ➤ Support the management in developing the compliance function in the company ➤ Improve & establish controls and procedures, liaising with relevant authorities to ensure that the company is compliant with all relevant legal, tax and regulatory requirements & reporting. ➤ Develop, enhance and implement changes and improvements to the company's internal control and internal check processes. ➤ The preparation of and regular updating of the company's Compliance Manual. ➤ Prepare quarterly reports on risk & compliance findings and annual report on key compliance issues the company's Board of Directors for their review. ➤ Contribute to the promotion and development of a compliance culture within the company. ➤ Company Projects partaken / take charge; Enterprises Risk Management, Compliance System upgrades, CRM system integration
2012 – 2014	<p>Dairy Farm Singapore Pte Ltd <i>Legal Executive, Risk & Compliance</i></p> <ul style="list-style-type: none"> ➤ Conduct risk assessments & gap analysis on current business practices in compliance with existing corporate governance ➤ Issues procedures & guidelines on company policies & provides guidance to business units on compliance matters. ➤ Review & handles third party claims, directing insurers, adjustors, business units throughout the claim process ➤ Assist business units on contentious matters, (including debt recovery, property damage, supplier disputes, landlord tenant disputes, commercial disputes); conducting fact and evidence gathering, rendering advice on position and implications and propose formal or alternative resolutions. ➤ Provide contract reviews and recommendations to business units on contractual negotiations with external parties ➤ Handles IPR, trademarks and domain matters ➤ Partake in department's policies & projects for implementation across company level ➤ Provide directions in accordance and in compliance with new/changes in relevant Acts, Regulations and Guidelines management.

	<ul style="list-style-type: none"> ➤ Implement Company Group Projects; Personal Data Protection Act, Corporate rebranding, Lemon Law, <i>(Interpretation, Notification, Planning, Training, Auditing, Assessment of Results until Handover)</i>.
2011 – 2012	<p>Bank of China Officer, Business Department/Branches</p> <ul style="list-style-type: none"> ➤ Verification and approval of OTC applications and transactions ➤ Review account opening process and enhanced due diligence process ➤ Review high-risk accounts identified under the bank's risk-based approach applicable using enhanced due diligence Conduct sample checking to review completeness of KYC and customer due diligence documentations ➤ Conduct checks pertaining to specific aspects of the branch operations in compliance with Bank's policies and operational guidelines ➤ Review and maintain client information and account documentation ➤ Consolidation of account's data and statistics ➤ Assist management in producing metrics for reporting purposes ➤ Familiar with World Check, Dow Jones, AS400, CRM
2010 – 2011	<p>Bank of New York, Mellon Global Custody Ops Analyst, Asset Transfers</p> <ul style="list-style-type: none"> ➤ In charge of Asian Markets (Main: Japan, Covered: Hong Kong, China, India, Thailand,) ➤ Liaised with Global clients, Custodians & Business units in all trades matters ➤ Established good relationships with clients via quality advice & excellent service ➤ Ensured quick resolution of market failures and reports to management ➤ Reviewed operational procedures, liaised with other team leads on operational efficiency, and thereafter presentation to management for approval. ➤ Resolved trades queries, requests & discrepancies within stipulated datelines ➤ Ensured efficient & timely trade executions and asset transfers ➤ Ensured reports are in compliance with Standard Operating Procedures and to rectify all outstanding report errors ➤ Adhered to trade regulations, market procedures & Service Level Agreements ensuring timely accurate delivery of work

	<ul style="list-style-type: none"> ➤ Ensured compliance of relevant departments relating to Securities and Futures Act and other relevant legislations and requirements
2007- 2009	<p>United Overseas Bank <i>Officer, Branch Operations</i></p> <ul style="list-style-type: none"> ➤ Oversaw & ensured the smooth operation of the branch ➤ Main basis of duties; Cash Officer, Cheque Officer, Corporate Accounts Officer, Personal Account Officer ➤ Working as a team to achieve branch datelines and targets ➤ Coached junior staff on the importance of cross selling products and services and making referrals to other business units where applicable ➤ Handled new accounts acquisitions and maintain long term, profitable relationships ➤ Ensured compliance on Know Your Client (“KYC”) requirements, Anti Money Laundering (AML), Counter Terror Funding and other legislations as required by the relevant authority ➤ Understood and implemented Financial Action Task Force (“FATF”) requirements and FATF 40+9 recommendations ➤ Understand and implement the global standard on KYC and AML requirements and recommendations ➤ Reviewed & ensured Due Diligence by making sure transactions and documentation are performed efficiently and accurately without compromising the regulatory compliance standards set out by the bank or the relevant authority

Skills and Traits

- Communicates well in both English and Chinese; Mandarin. (Written and spoken)
- Good investigative skills & resourceful in fact finding, profiling & assessment of facts
- Strong analytical skills, problem solving ability
- Effective Negotiation and Presentation skills
- Ability to interpret new acts and communicates business impact

Professional Knowledge

- Regulatory reporting, Risk based approach (“RBA”) Compliance & Sanctions Compliance
- Well versed in compliance systems; World Check, World Check One, Accuity & Factiva

- Trained in MasNet, STRO, S.W.I.F.T, AS400, CRM, SAP, iBanking and Main Frame system
- Proficient in Microsoft Office Suite (Excel, Outlook, PowerPoint, Word etc)
- Good knowledge of assets management, banking & financial instruments
- Well versed in assets servicing, custody & trade operations systems

Courses & Achievements

- Industry Courses/Events attended (MAS & relevant board events & seminars, industry events (re: GRC & AML/CFT, ERM & Technology Risk), Personal Data Protection Act, Data Privacy)
- Certified in various other Operational Compliance certificates, Self Development (7 Habits of Highly Effective People) & Customer Service courses by United Overseas Bank, Singapore Quality Centre, Tourism Management Institute of Singapore
- UOB and BNY internal awards, complimentary letters & feedback from both internal & external customers
- SPRING Singapore; Excellent Service Award (EXSA) – STAR award 2009

Co-Curricular Activities

Basketball Activities (1998-2011)

- Represented the below clubs in inter-constituency and cup competitions
(Bukit Panjang Csc, Sembawang Csc, Bukit Batok Rc, Yee Tee Zone 5)
- Represented the below clubs in cup competitions (Milo cup, U17, U19)
(Tong Whye Basketball Club, Sheng Hong Temple)
- 2005 Adidas Open 3 on 3 Men – Top 16th Placing in Singapore
Bukit Panjang Government High School
- *School Team Player – B Boys Quarter Finalists 1998*

Referees

- Available upon request