

PENNY LIM

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WORK EXPERIENCE

PricewaterhouseCoopers Risk Services Pte. Ltd.

Risk Assurance Assistant Manager – Governance, Risk and Controls

Jul 2014 - Present

- Experience in regulatory compliance by assessing companies against MAS regulatory framework for related compliance requirements such as KYC, AML monitoring, Fit and Proper, Outsourcing arrangements for Fund Management Companies
- Provide assurance services and assessment of controls in place to propose possible process improvement points for financial performance and operations of businesses including management structures, information systems and control environment
- Experience in a wide range of projects including Internal Audit Review, Business Process Review, Sarbanes Oxley 404 and J-SOX Compliance Review, Control Self Assessment Implementation and SSAE 16 internal control reviews
- Delivering a broad range of innovative and cost-effective solutions for financial control regulatory reporting, shareholder value and technology issues
- Specialization: Asset Management, Real Estate, Construction, Manufacturing, Shipping, Retail, Financial Institutes
- Key clients: Effissimo Capital Management, Tokai Tokyo Investment Management Singapore, Tahan Capital Management, VisVires Capital Asia Pte Ltd, The Institute Of Banking & Finance, United Engineers Limited, Wheelock Properties, Straits Construction Group Pte. Ltd., Hi-P International. Ltd, APL Logistics, Miclyn Express Offshore, Pan-United Corporation, Eu Yan Sang International, Toyota Motors Asia Pacific Ltd

PriceWaterhouseCoopers LLP

Assurance Senior Associate – External Audit Services

Sep 2012 – Jun 2014

- Assisted the clients to ensure that their financials were stated in a true and fair manner for their stakeholders and were also in compliance to the required regulatory standards
- Involved in the review of financial performance and control environment to assess the effectiveness of these existing controls, with the aim to propose process improvement points to help the organization achieve its objectives
- Performed special audits which includes agreed upon procedures to test specific areas as requested by client
- Specialization: Asset Management, Brokerages, Financial Institutes, Real Estate, Manufacturing and Retail
- Key clients: NTUC Income Insurance Co-operative, CLSA (Credit Lyonnais Securities Asia), Skandinaviska Enskilda Banken AB, Mapletree Industrial Fund, Singapore Land Limited, Johnson Controls Holding (S) Pte. Ltd., Brenntag Pte. Ltd., Sumitomo Chemical Singapore Pte Ltd, Asia Pacific Breweries Ltd, The Boston Consulting Group, PropertyGuru, Performance Premium, Cold Storage Singapore

KPMG LLP (Singapore)

Audit Intern- Financial Services

Dec 2011 - Feb 2012

- Worked on 4 major audit projects to analyze the health of these companies' financial statements
- Performed substantial testing on these financial statements and process walk-through to ensure that the accounts are complete and accurate

KPMG LLP (Singapore)

IT Advisory Intern- Enterprise Resource Planning

Jun 2011 - Aug 2011

- Ensured adequacy and effectiveness of the mitigating controls in client's IT systems
- Assisted in the implementation of SAP GRC (Governance, Risk and Compliance) Access Control system
- Completed post-implementation reviews and negative testing of client's system, to ensure proper segregation of control

SBA Stone Forest Corporate Advisory (Beijing) Co. Ltd

Accounts and Advisory Intern

Apr 2010 - Aug 2010

- Liaised with banks and clients on accounts transactions
- Provided risk assurance to corporations in accordance with Basel II regulations
- Provided advisory services and assisted foreign enterprises to set up Regional Offices (ROs) and Wholly Foreign Owned Enterprises (WFOEs)

OTHER QUALIFICATIONS

- Certified Public Accountant (CPA) Singapore

Since September 2015

- Currently pursuing Certified Internal Auditor (CIA)

ACADEMIC QUALIFICATIONS

Singapore Management University (SMU)

Completed Bachelor in Accountancy, Second Major in Corporate Communication

Aug 2008 - Aug 2012

Rouen Business School (France)

Completed an exchange semester under the Master Grande Ecole Programme with 3 distinctions

Aug 2010 - Dec 2010

CO-CURRICULAR ACTIVITIES

AIESEC Romania – Global Community Development Programme

Volunteer English Lesson Instructor

- Plan, prepare and deliver instructional and classroom activities to facilitate active learning of the English language for 30 pre-school students over a period of 6 weeks in Brasov, Romania

Jun 2012 - Aug 2012

Singapore Chamber of Commerce and Industry (China)- SingCham Shenyang Business Visit

Participant representing SMU

- Invitation by Shenyang Municipal Government to study the city's business environment and explore opportunities in areas including real estate, retail, professional services, trading, etc.

Jun 2010

Business Study Mission to Scandinavia (Sweden, Norway, Denmark)

Participant representing SMU

- 13-day trip to established companies such as Lego, Vestas and Novo Nordisk
- Gained essential knowledge of the importance of national branding in Scandinavian firms, business opportunities and challenges present through networking events

Jun 2009

SMU Peer Helpers

Senior Peer Helper

- Promote mental well-being among the student community and run events during school term to proactively reach out to the school community to educate them on physical and mental wellness

Aug 2009 - Aug 2012

SMU Banking and Finance Interest Group

Analyst

- Analyzed portfolios of banks in the private banking and wealth management sector and synthesizing these materials for presentation to fellow analysts
- Participated in Finance and Business Strategic case competitions to obtain essential understanding and knowledge of the financial sector

Dec 2009 - Aug 2011

Project Kinabuhi (The Philippines)

Head of Education Department

- Organized and participated in the 21-day Overseas Community Project to The Philippines
- Led the Education Department to plan and schedule Mathematics, Science, Drama and Creativity and IT knowledge classes to 500 Grade 5 and 6 students

Sep 2008 - Dec 2008

Community Involvement Programme

Team Representative

- Started CIP programme for fellow students at the Singapore Zoological Gardens and the Jurong Birdpark, organized and liaised with representatives from various organizations to ensure smooth running of programmes

Jan 2007 - Dec 2007

AWARDS/ACHIEVEMENTS

- PwC Risk Assurance Star Awards Winner
- PwC Experience Award Winner
- Top 3 teams at the Credit Suisse Business Case Competition

Dec 2015
2013, 2014, 2015
Nov 2011

SKILLS/LANGUAGES

- Excellent in spoken and written English and Business Mandarin
- Proficiency in Microsoft Office, Excel

OTHERS

- Valyrian Thinking Business Consulting Workshop by Dragonfly LLC Alumnus
- Mental Health First Aid (Singapore) Course by Changi General Hospital, SingHealth
- First Aid Course, Singapore Red Cross Society
- Kayaking Proficiency 1 Star Personal Skill Award, Council of the Singapore Canoe Federation