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<b>Marital Status:</b> Single	<b>Nationality:</b> Singapore

## **PROFILE SUMMARY**

An accomplished Legal & Compliance professional with more than 12 years of working experience in different leading financial institutions. Demonstrate core competence in compliance risk management. Dynamic with strong analytic and problem solving skill. A deep understanding of the operating and business environment of fund managers, having worked closely with management and various business stakeholders such as the product development, operations, marketing, investment and tax groups on the structuring of products for launch in various jurisdictions.

## **ACADEMIC QUALIFICATION**

Master of Laws (LL.M.) (GPA 3.71)  
Washington University in St Louis

Bachelor of Laws (LL.B)  
University of London

Nanyang Polytechnic  
Certificate in Fund Administration

Bachelor of Business (Economics and Finance)  
Royal Melbourne Institute of Technology (RMIT) Pass with High Distinction

Singapore Polytechnic  
Diploma in Banking and Financial Services (Financial Trading)

## **MEMBERSHIP**

Member of Singapore Corporate Counsel Association, Singapore

Member of Singapore Internal Audit Association

Associate Member of Association of Certified Fraud Examiners, USA

## **CAREER HISTORY**

### **PricewaterhouseCoopers**

#### **Senior Manager, Regulatory Advisory Services Team (November 2015 – Present)**

Coverage in PwC included the following projects and engagements:

- Compliance advisor to various leading asset managers
- Subject matter expert for licence application for Capital Markets Services Licence
- Subject matter expert on SFA and FAA for a leading investment bank
- Lead manager for regulatory audit support at Singapore based financial institutions, including banks and asset managers
- Compliance advisor to an internal client providing consultative guidance to corporate finance business on regulations.
- Developing new business opportunities among the local capital markets intermediaries

**PineBridge Investments Singapore Limited (July 2014 to October 2015)**

Manager, Legal and Compliance Department

- Member of the Asia Pacific ex Japan Compliance team
- Member of the Management Committee
- Main liaison officer with MAS, CPF Board and other regulatory agencies in Singapore
- Provide regulatory advice to the local business and regional management teams
- Design and execution of compliance monitoring program including recommending AML controls
- Draft and review offering documents
- Draft, revised and implement new regional and local policies and procedures
- Good working knowledge of cross-border marketing regulatory regime in Southeast Asia (Brunei, Indonesia, Malaysia, Thailand, Philippines)

**Allianz Global Investors Singapore Ltd (April 2013 to July 2014)**

Assistant Vice President, Legal and Compliance Department

- Perform compliance review on internal process and procedures to ensure compliance with regulatory requirements and internal policies
- Draft and review information memorandum and ancillary offering documents
- Review training materials & marketing documentation to ensure compliance with regulatory requirements
- Provide consultative advice to business and other departments on regulatory and compliance related matters in Southeast Asia
- Monitor changes in regulatory laws and regulations within the asset management industry and disseminate information to relevant units for practical compliance
- Provide training to internal staff on compliance matters
- Liaise with regulators on any regulatory matters
- Main compliance coordinator with auditors

**ING Investment Management Asia Pacific (Singapore) Ltd (March 2010 to March 2013)**

Compliance Manager / Legal Counsel

Compliance Function:

- Advise the board and management to ensure the business activities are conducted in accordance with legislations governed by the Monetary Authority of Singapore, other regulatory and contractual obligations
- Ensure the policies and procedures are up-to-date and effectively implemented by the business
- Act as a liaison person with regulator and facilitate any queries and inspection raised by regulator
- Key contact person with auditors (internal and external) addressing the audit findings and recommendations to the management
- Provide advice to various teams in their day-to-day business operations, including advice on products and new business initiatives
- Reviewing marketing materials
- Develop and conduct compliance monitoring surveillance programs
- Oversee licensing matters of the company and its representatives
- Deliver training to employees in accordance with the Group Compliance training programs
- Corporate compliance including, gifts and entertainment, personal accounts dealing, outside interest, Chinese wall maintenance for price sensitive issue
- Maintain and update policies and procedures

Legal Function:

- Oversee compliance on corporate governance, legal, statutory and regulatory requirements.
- Draft, review, negotiate and advise on a broad range of commercial contracts, in particular distribution/outsourcing agreements within a corporate environment.

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- Monitor the contract process to ensure that contracts comply with legal, regulatory and organization's contractual guidelines and policies, participate in pre-contract discussions, contract negotiations and contract changes.
- Oversee all product offering documents and ancillary documents with the business
- Liaise with external counsel on mutual fund-related matters
- Corporate secretarial matters, including checking the company register maintained by external company secretary, drafting of board resolutions, etc.
- Assist Regional Head of Legal and Compliance in litigation matters

Operation Control Function:

- Assist ING Regional team to conduct operation risk management review in the company such as High Level Risk Assessment, RCSA

Achievement: Successfully settled a claim with an ex-institutional client due to a fraud case committed by an ex-fund manager of the company

**United Overseas Bank - Group Compliance (June 2009 to February 2010)**

Assistant Manager

Compliance Function:

- Reviewed marketing materials and offering documents

**Fullerton Fund Management Company Ltd (January 2008 to March 2009)**

Compliance and Legal Manager

Compliance Function:

- Corporate compliance matters, including gifts and entertainments, personal account dealings, outside interest activities. Licensing matters and issues of directors and staffs
- Develop and implement testing of the compliance monitoring programme
- Reviewing marketing materials

Legal Function:

- Company secretarial matters
- Assisting and drafting offering documents

Investment Monitoring Function:

- Conducted pre-trade compliance monitor and post-trade compliance monitoring to ensure investment restrictions, limits and exposures were in-line with client mandates and/or Code on Collective Investment Schemes

Achievement: Successfully developed and implemented the automation project for personal account dealing

**Aberdeen Asset Management Asia Limited / Aberdeen Asset Management Limited, London (July 2005 to December 2007)**

Compliance Officer London/Singapore

Business Control Function:

- Conducted post-trade compliance monitor to ensure investment restrictions, limits and exposures were in-line with client mandates and/or Code on Collective Investment Schemes
- Trades monitoring including Best Execution Pro-rata Allocation and Timely Allocation

Compliance and Internal Audit Function:

- Conduct regular compliance and internal audit review to identify any gaps and recommendations to the management and business
- Developed robust compliance monitoring programmes using risk based matrix
- Effective coordinate internal audit checks and joint audit programme with officers from London and Asia Pacific region
- Marketing materials review
- Clients mandates review and reporting

- Maintain Compliance records, register and files

Achievements:

- Successfully developed and implemented the automation of substantial shareholding monitoring and disclosure framework for the Asia-Pacific region
- Successfully migrated the deals monitoring (equity) framework from London to Singapore

**TECHNICAL SKILLS**

Proficient in Bloomberg Asset and Investment Manager (AIM), Charles River Investment Management System, Microsoft Office Applications, SPSS, ACCPAC, and Bloomberg application.

**LANGUAGE**

Excellent communication skills in English and Mandarin. Able to converse in simple dialects like Teochew, Hokkien and Cantonese.

**INTERESTS AND HOBBIES**

On a more leisure tone, I love music and enjoy going to for an evening run.

**Current Salary: S\$12,800 per month**

**Expected Salary: Negotiable**

**Notice Period: 3 months**