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Objective: To fully utilize my skills and knowledge in a growth oriented and customer focused organization.

Functional Summary Experience in Regulatory and Investment compliance, Investment portfolio risk management, Operational risk management and Business control.

Summary

- Strong written and presentation ability
- Experienced in coordinating regional projects and work both independently or with team
- In-depth knowledge on financial products, portfolio risk management, operational risk reviews, and regulatory obligations.
- In-depth knowledge of MAS regulation, SFA, FAA, and various operational risk methodologies
- Skilled to learn new concepts quickly, working well under pressure and communicating ideas clearly and effectively

Education:	Masters in Business (Applied Finance) Queensland University of Technology, Australia	2009
	Bachelor in Business (Marketing) Queensland University of Technology, Australia	2008
	Diploma in Business Informatics (Business) Nanyang Polytechnic	2004

Certification: **Institute of Banking and Finance**
CMFAS Module 1A- Rules and Regulations for dealing in Securities

Singapore College of Insurance
M5- Rules and Regulations for Financial Advisory Services

Regulatory Compliance Associate, handling all regulatory compliance matters, AML/KYC matters, employee conducts, Internal/External/Regulatory Audit matters, and advising of businesses on the compliance risk matters.

Member of APAC Compliance Risk and Control Working group, responsible on conducting Thematic Reviews on Singapore entities and reporting back results to the APAC group.

Core Compliance activities

- Coordinating with regional offices, advising all employees on all Core Compliance issues like Staff Trading, Employee's conduct, Gift and Entertainment, declaration of outside activities etc.
- Active interaction with regulators and external parties to support compliance's active role in regulatory engagement and development.
- Conducting regular Compliance Monitoring Program (CMP) of BlackRock Singapore to ensure all regulatory and operational risk are addressed and reported.

Trade Surveillance

- Conducting daily checks on trade surveillance summary report done by traders.
- Investigate on any anomalies done by the traders from the report.

Marketing and Business conduct

- Responsible for Marketing and Business activities for entire BlackRock range of products (eg. Mutual funds, ETFs, Alternative Investments, Segregated Mandates)
- Reviewing of Marketing Materials for Singapore, Malaysia, Brunei, Thailand, and Philippines, to ensure business units and marketing are conducting business activities within the respective country's regulation.
- Advising of business units and marketing on regulatory issues relating to their business.

Regional and Firm Wide Training

- Conducted Cross border Marketing Training focusing on the Dos and Don'ts to APAC ETF business group.
- Conducted Annual Compliance Training to the entire BlackRock Singapore and Malaysia office to educate and refresh on the compliance policies and procedures.
- Conduct new hire training to educate new hires of the compliance policies and employee conduct.

Regional Project Involvement

- Conducted Risk Based Thematic Reviews on Singapore entity, focusing on-
 - o Risk of Hybrid Trading
Conducted reviews on BlackRock's Investment team, Trading team, Trade Support, and Trade Surveillance team to access the risk of Blackrock's Hybrid traders conducting unfair trading and allocation of trades to different portfolios, and the controls in place to prevent such activities.
 - o Regulatory Risk exposure.
Conducted Firm wide review on every function and business units of BlackRock Singapore to access the risk of regulatory breaches and identification high risk areas where BlackRock Singapore will have to address.
 - o Internal Outsourcing Review
Conducted firm wide review of BlackRock Singapore to access the risk of intra-group outsourcing and if the controls in place are enough to address the risk exposures.
- Completing risk matrix based on results gathered from conducting firm wide interviews and reviews of internal process and procedures and reporting of Risk Matrix to the APAC Compliance Risk and Control working group.
- Presenting and updating of findings and new regulatory initiatives to the APAC and EMEA Compliance Risk and Control committee.

Stand alone Compliance officer, overlooking all Regulatory, General and Investment compliance issues and Operational risk of DIAM Singapore.

Monitoring and reviewing of all kinds of compliance and risk control issues at DIAM Singapore.

- Daily monitoring on trading of discretionary fund including investment guideline, broker selection, trades done.
- Regular monitoring on investor client related compliance issues including KYC, AML.
- Regular monitoring on all compliance matters, policies and procedures.

Maintenance, improvement and introduction of all kinds of internal policies and guidelines at DIAM Singapore

- Maintenance and improvement of established internal policies and guidelines
- Introduced new internal policies and guidelines including updating of Compliance manual, Incident and error report, Conflict of Interest, Employee Transaction guideline, Entertainment and gift exchanges policy, Insider trading policy, BCP Plan, Risk operation and Control policy and Broker selection policy.

Committee and reporting

- Chairing of monthly Compliance and Risk Management committee
- Reporting of compliance report to related authorities and parties including regular monthly reporting to head office and submission of MAS regulatory reporting(Risk Base Capital Adequacy) through MASNET.

Identification of Operational risk gaps and closing of gaps

- Introducing of controls and implementation of new policies if needed.
- Ongoing monitoring and identification of existing risk gaps through risk scenario analysis and RCSA.

Due Diligence

- Conduct Due Diligence and onsite visiting on material outsourcing of vendors to make sure vendors have the ability to carry out SLA agreements and better understanding of vendor's operation.

Liaise with regulatory bodies and related partners

- Main liaison officer to MAS, Legal counsel, external auditors and head office internal control team.

Compliance training and Fit and Proper checks

- Ongoing training of employees on compliance issues and updates of internal policies and procedures
- Continuous monitoring of Fit and Proper criteria of employees

Internal and External Audit

- Ongoing liaising with external auditors on preparation on external annual audit and regulatory audits.
- Led the Company through Internal, External, and Regulatory visits. Passed both audits with outstanding performance.

Work
Accomplishments
(previous)

Senior Funds Compliance Analyst

Citibank N.A (Regional Funds Compliance Officer)

April 2010 to
April 2013

Compliance Risk Function

- Monitoring of portfolio transactions done by fund managers in regards to risk and compliance regulations.
- Analyzing and providing risk management information of investment portfolio.
- Perform risk evaluation and controls (Portfolio duration, portfolio credit ratings, exposure of issuer ect.) for investment portfolios with assortment of insurance companies and governmental pension funds.
- Analyse investment and transactional activities of fund managers to ensure compliance with investment guidelines (SFC, MPF, CIS/MAS).
- Report investment breaches to clients and regulatory reporting.
- Keep a close tab on market and regulatory developments
- Liaise with regulators to ensure mandate is up to date.
- Provide additional advisory to other department and client on portfolio compliance issues.

Client Servicing function

- Reporting of portfolio compliance reports to clients daily.
- Service and build relationship with regional clients, have frequent interaction with regional offices and regional clients
- Identify potential issues for discussion with fund managers
- Handling enquiries from internal/external clients, regulators and auditors.

Setting up compliance monitoring procedures

- Rule coding and implementation of new funds and rules into monitoring program.

Projects undertaken:

Thailand Remediation Project

- Review of checklists provided by auditors and comments made by them.
- Compare regulations in checklist against prospectus to confirm if there's any discrepancies
- Amend checklists and code/update monitoring system to fund specific checks.
- Answer any queries posted by Citi Thailand and help them understand on specific procedures.
- Project resulted in helping Thailand passing regulatory audit.

Australia RFP Project

- Provide reports to Australia RM to and help answer queries and to help clinch new clients from Australia market.
- Customized and review on reports requirement to gauge if certain requests can be done with existing system.

Leadership skills
and courses

- Mar to Jun 2005: Attended Reconnaissance Commander Course
- Dec 2004 to Mar 2005: Attended School of Infantry Specialist
- Sep 2004 to Dec2004: Attended Basic Military Training School
- Jun 1999,2000: Attended Outdoor Consultants Leadership Program for Councilors
- Dec 1998: Attended National Community Leadership Institute (Responsibilities of leadership)
- June 1996,1997,1998: Attended Camp Discovery Program For Leaders

IT Knowledge
& Skills

- Microsoft Office (Excel, Word, Powerpoint)
- VBA, SQL, C, C++, ASP.net
- Bloomberg knowledge
- Mig21 Monitoring System

Language Skills

Proficient in English and Mandarin