**Address**: 38 Lorong N Telok Kurau #04-04 S(425163)

**DOB**: 12 September 1986

**Gender**: Female

**Citizenship**: Singaporean

**Race**: Chinese

**Marital Status**: Married

**Mobile**: +65 97954868

**Email**: [ivycgy@yahoo.com.sg](mailto:ivycgy@yahoo.com.sg)

**Work History & Responsibilities**

1. **Company:** Lion Global Investors Limited

* **Duration:** October 2012 to Present
* **Position:** Assistant Manager, Investment Compliance
* **Job description:**
* Monitor investment activities and implement controls to ensure company’s policies and guidelines are adhered to.
* Ensure compliance with investment guidelines, setting up and maintain rules in Bloomberg AIM.
* Provide advisory on investment/regulatory guidelines and rule coding with regard to new and existing mandates.
* Investigate trade breaches and follow-up with fund managers to ensure rectification within approved timeline.
* Carry out daily trade approval and reporting.
* Prepare scheduled reports according to the relevant investment guidelines.
* Attend to compliance enquiries from investment team.
* Provide investment compliance training to the investment team.
* Carry out projects on enhancement of compliance processes on ad-hoc basis.

1. **Company:** Conocophillips Asia Ventures Pte Ltd

* **Duration:** March 2012 to October 2012
* **Position Held:** Compliance Analyst (Contract)
* **Job description:**
* Ensure consistent execution of policies and procedures as part of global Compliance team.
* Assist with the group business continuity planning and testing
* Trade floor presence to monitor trading activities against various policies.
* Carry out investigations upon receipt of alerts for trade violations from the transaction monitoring team.
* Support daily process which enables traders to confirm the accuracy of their deals.
* Support the counterparty approval process by conducting appropriate due diligence on potential new trading counterparties.
* Provide advisory and compliance support to the trading floor.

1. **Company:** Bank of China

* **Duration:** April 2011 to March 2012
* **Position Held:** Compliance Officer (Retail Banking)
* **Job description:**
* Assist in performing compliance monitoring and reviews.
* Provide advisory for KYC issues and compliance support to business units.
* Conduct inspection; generate report on findings and recommendations.
* Prepare compliance checklist and assist in training on AML issues.
* Review and revise policies, assure that the functions’ policies and standards relating to regulatory compliance are effectively implemented.
* Dissemination of information relating any change in regulation, AML/CFT update and any other information from Legal & Compliance Department to business units.

1. **Company:** CIMB Bank Berhad

* **Duration:** January 2010 to December 2010
* **Position Last Held:** Account Services Executive
* **Job description:**
* Assess customer profile and documents to ensure compliance of bank policy and MAS626 before approval of account opening and reports.
* Authorise updates of customer details, ensure accuracy and verification of customers’ identity.
* Supervise officers on daily operations; consistently ensure accuracy on account maintenance.
* Liaise with Risk Management for project on operational risks, review current work processes and propose risks controls.
* Liaise with project management team on evaluation of officers’ productivity and daily volume of work load.
* Train new staff on Individual and Corporate account openings.

**Education Summary**

* **Aug 2006 - Jun 2009 – University of London (SIM), Singapore**BSC of Science (Business), 2nd Class upper honours
* **Jan 2003 - Dec 2004 – Serangoon Junior College (SRJC)**

GCE ‘A’ level 3 credits

* **Jan 1999 - Dec 2002 – Tampines Secondary (TPSS)**

GCE ‘O’ level 7 credits

**Professional courses attended**

* **Year 2014:** Certificate in Fund Administration
* **Year 2012:** Bloomberg AIM

**Skills**

* English and Chinese (Written and Spoken)
* MS Office, Excel and Powerpoint
* Bloomberg (AIM)

**Personality**

* Eager to learn and seek self-improvement
* Proactive and team player