**Bruce, Chun Fung** **Wong**

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**EDUCATION**

**City University of Hong Kong** **Hong Kong**

Bachelor of Business Administration in Finance Sep 2008 - July 2011

**WORK EXPERIENCE**

**PricewaterhouseCoopers HK |** Senior Associate, Financial Service **Hong Kong  
Assurance Engagement** 2011 – 2017

* Industries: Private equities (including real estate funds), SFC regulated funds, licensed corporations
* Reviewed different cycle of internal controls and assessed efficiency
* Performed due diligence on background of new investment to identify potential risks
* Assessed reasonableness clients’ investment valuation model (i.e. DCF, market comparable, etc.)
* Advised clients on accounting treatment on PE investments
* Conducted annual audits on the basis of IFRS, HKFRS, HKAS & USGAAP
* Fulfillled additional audit requiredment due to Securities and Futures Ordinance (SFO)
* Coordinated multi-national group audits (i.e. US, Japan, Brazil, China, Singapore & Cayman Island office)
* Managed teams of up to 8 people

**Non-audit exposure**

**China International Capital Corporation Limited (CICC)**  Nov 2016 to Jan 2017

• [Common Reporting Standard (CRS)](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/) implementation project  
- Dealt with external consultant to classify CRS status for CICC entities

- Assisted in updating internal policies and procedures to cover the scope of CRS

- Performed analysis on existing client data to assess the effects and established an action plan

- Communicated with business stakeholders on the requirement and effects (Sales, Traders, Ops, IT, etc)

**Coordinated SFC inspection on an investment bank client**Sep to Oct 2016

• Seconded to client Compliance team for below duties:

- Pre-submission review on client trades documents on bonds, funds and strcutured products

- Pre-submission review on investment suitability assessment for soliciated trade samples

- Filed the requested documents related to Product Due Diligence such as:

*Product Risk Ratings, Legal’s approval , Distribution Agreement, Final term sheets, Base prospectus*

- Participated in SFC’s interview sessions

**Citibank**[**APAC Anti-Bribery & Corruption Compliance**](https://www.linkedin.com/title/apac-deputy-regional-head-anti-bribery-%26-corruption-compliance?trk=pprofile_title)Aug to Dec 2015

• Worked closely with VPs and SVP with below duties:

- Prepared monthly performance metrics reporting to Compliance & Global Team   
- Assisted in approval of APAC requests covering areas of hiring, roadshow deal, business entertainment,etc.

- Surveillence on post-approval scenario and carried out investigation on exception noted

- Participated in arranging quarter A B & C training for over 2,500 APAC staff in different countries  
- Handled APAC staff’s queries related to the bank’s A B & C policies/specific cases

**UBS AG Wealth Management (Account Services)** Jun to Oct 2014

• Reviewed the onboarding documents with reference to HKMA Guideline & internal AML/KYC policies.

• Provided advisory to Client Adviser in complying with the new and changing AML policies andprocedures.

• Approved over 200 account opening cases for private banking high-net-worth clients (i.e. AUM >US$ 2m)

• Handling various types of account opening, i.e. individual, joint & simple-structured trust.

**Bank Julius Baer Compliance** May to Nov 2013

• Integration project for acquisition of wealth management business from an American bank

- Performed name screening & news search for beneficial owner & other related roles for accounts transferred

- Identified high risk customer/negativity and reported to compliance officer

- Analyzed company search (both HK and international) to quantify customers’ source of income

**Languages -** Native Cantonese, Fluent in English & Putonghua  
**Skills –** Bloomberg, FACTIVA, Thomson Reuters World-Check, Fidessa, Nasdaq SMARTS, Ms Office