

Dammam, Saudi Arabia
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CORE COMPETENCIES

- ✓ Compliance Management
- ✓ Corporate Governance
- ✓ Corporate Affairs
- ✓ Financial Risk Mitigation
- ✓ Regulatory Reporting
- ✓ Codes of Conduct and Ethics
- ✓ Company Meetings Coordination
- ✓ Investor Relations
- ✓ Shareholder Rights Protection
- ✓ Training and Knowledge Transfer
- ✓ Strategy Planning and Execution
- ✓ Formulation/Updating of Policies, Procedures, Rules and Regulations
- ✓ Anti-Money Laundering (AML), Combating the Financing of Terrorism (CFT), External Suspicious Transactions Reporting
- ✓ Stakeholder Relations
- ✓ Teamwork and Leadership
- ✓ Assisting co-workers social responsibilities relating to company environment, employee well-being, safety and health.

EDUCATION

- ✓ **Bachelor's Degree in Business Administration – Accounting,** Imam Mohammed Ibn Saud University, KSA, March 2006

PROFESSIONAL DEVELOPMENT

Training & Certification

- ✓ Certified Investor Relations Officer (CIRO), MEIRA, Abu Dhabi, 25th June 2019
- ✓ Board Secretary Governance, Saudi Governance Center, Riyadh, 2019
- ✓ Certificate of Compliance (COC), Financial Leaders Training Center, KSA, 2018
- ✓ Compliance Certificate, AXA Compliance Learning Academy, France, December 2015
- ✓ Certified Compliance Officer (CCO), Institute of Business, KSA, 2014
- ✓ Compliance and Anti Money Laundering, Thomson Reuters Institute, KSA, 2012
- ✓ Intensive English Program, Wayne State University English Language Institute, Detroit MI, USA, 2010
- ✓ Characteristics of a Successful Employee, Lawrence Technological University,

Sadiq Al Ali

Executive Management

Compliance | Corporate Affairs | Corporate Governance

PERSONAL STATEMENT

Versatile, result driven professional with 11+ years of rich experience in compliance, corporate affairs and corporate governance seeking a leadership position to leverage multifaceted competencies and deliver outstanding results aligned to corporate goals and objectives thus adding value to the organization.

EXECUTIVE SYNOPSIS

- Extensive hands-on management experience in the field of compliance, corporate governance and corporate affairs with reputable organizations in Saudi Arabia.
- Proven competence in developing, implementing, updating and sustaining effective framework of processes, policies, procedures and controls to maintain the highest standards of compliance and corporate governance adopting best practices.
- Deft in researching and updating the framework aligned to current legislation, rules and regulations to minimize program risks.
- Adept in coordinating productively with all stakeholders including multiple regulators to deliver win-win outcomes.
- Proactive, achievement driven manager with strong work ethic, integrity and excellent communication, analytical problem solving, decision making, planning and execution skills

PROFESSIONAL EXPERIENCE

Compliance Manager and Board Secretary

Feb 2017 to date

Gulf Lifting Financial Leasing Company, Dammam, KSA

GLFLC delivers financial leasing services through medium term asset financing to all productive sectors in Saudi economy

Responsibilities

Compliance Management

- Manage the upgrades of the company's compliance framework to mitigate program risks by minimizing vulnerability and supporting the management in implementing corrective and preventive measures and setting effective controls.
- Maintain and circulate regulatory updates from SAMA and MOCI among internal stakeholders and ensure its enforcement.
- Implement the enterprise compliance information system and ethics & compliance Education and training system.
- Coordinate identification of external suspicious transactions and submit reports to Saudi Financial Investigation Unit (FIU)
- Train employees on matters related compliance, code of ethics, financial crimes, anti-money laundering (AML), anti-bribery, sanctions and data privacy guidelines.
- Develop, implement and enforce compliance policies and procedures and support the management in implementing measures and controls for risk mitigation.
- Implement and sustain corporate governance processes meeting the requirements of regulators including SAMA and MOCI.
- Monitor and ensure consistent compliance with corporate governance principles as well as the organization's policies, procedures and quality standards.

Corporate Affairs – Board Secretary

- Organize AGMs, EGMs and Board meetings, ensure circulation of agenda to Board members in advance, take minutes of meetings and follow up on action points.
- Draft resolutions and recommendations for the Board of Directors, follow up to ensure compliance with decisions and enable information flow between the management and the Board.
- Prepare the reports for Board of Directors and manage shareholder relationships.

Southfield MI, USA, 2010

- ✓ Insurance Diploma, Bahrain Institute of Banking and Finance, Bahrain, 2008

Workshops

- ✓ Mergers and Acquisitions Governance – workshop, Saudi Governance Center, Riyadh 2019
- ✓ Responsibilities and regulatory requirements of Board of Directors, CMA, KSA, 2015
- ✓ Requirements of Listed Companies – workshop, Capital Market Authority (CMA), KSA, 2015
- ✓ Disclosures and Publication workshop, Saudi Stock Exchange (Tadawul), KSA, 2014

Professional Affiliation

- ✓ Member, Middle East Investor Relations Association (MEIRA), May 2019

PERSONAL INFORMATION

- ✓ Nationality: Saudi Arabia
- ✓ Date of Birth: 20 June 1982
- ✓ Languages: Arabic, English
- ✓ Marital Status: Married
- ✓ Volunteering: Awarded 3rd Degree Merit Medal for Blood Donation

Compliance and Corporate Affairs Manager

Mar 2012 – Feb 2017

AXA Cooperative Insurance Company, Riyadh, KSA

AXA Cooperative Insurance Company provides a diversified range of insurance products for individuals, SMEs and corporates across Saudi Arabia

Responsibilities

Compliance Management

- Established and maintained the company's compliance framework as well as anti-money laundering (AML) and Combating the Financing of Terrorism (CFT) policies.
- Served as the single point of contact (SPOC) with regulators including SAMA, CCHI, CMA and SAGIA, coordinated regulatory visits, developing and maintaining high quality, sustainable, substantive and productive relationships.
- Liaised with various regulatory bodies obtained and reviewed updates and advised the senior management on developments impacting internal compliance.
- Restructured the process for resolution of customer concerns enabling prompt and satisfactory addressing and resolution of issues.
- Gathered and reported data on external suspicious transactions to the Saudi FIU.
- Liaised continuously with regulators ensuring on time filing of all reports/returns to avoid significant financial risks.
- Conducted comprehensive training for employees covering compliance, code of ethics, financial crimes, AML, anti-bribery, anti-fraud and data privacy.

Corporate Governance

- Drove campaigns and initiatives to enhance awareness of and improve compliance with governance processes to strengthen protection of shareholders' rights.
- Implemented and maintained corporate governance processes as per requirements of SAMA, CMA and MOCI.
- Identified, adopted and ensured compliance with governance best practices.
- Assisted in methodology, internal rules, policies and procedures, code of ethics and code of conduct for effective implementation of corporate governance framework.

Corporate Affairs

- Organized AGMs, EGMs and Board meetings and prepared the Board of Directors report and forms as per regulatory requirements.
- Managed shareholder relations and ensured on time accurate updating of content on the IFSAH web portal of Tadawul.
- Monitored the portal of Capital Markets Authority (CMA) ensuring uploading of all information required by shareholders.

EARLY WORK EXPERIENCE

- **Business Support Assistant**, AXA Cooperative Insurance Company, Riyadh, KSA, September 2010 – February 2012 – Coordinated activities related to medical insurance products, acted as point of contact for customer complaints and enquiries. Gathered data for development of underwriting quotations.
- **Assistant Accountant**, AXA Cooperative Insurance Company, Riyadh, KSA, March 2007 – December 2008 – Dealt with cash and check collections, claim payments, credit card reconciliations, maintenance of the travel register, petty cash disbursements and transactional records. Liaised with bank branches for smooth processing of claim payments. Produced monthly collection reports of account executives.
- **Accountant/Cashier**, MACE, Dammam, KSA, August 2006 – January 2007