Numan

**Compliance Professional**

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**PROFILE**

* A Compliance Officer with 10 years of experience in a venture capital firm that is regulated by the Monetary Authority of Singapore (“MAS”) under the Capital Market Services (CMS) Licence scheme
* Strong understanding and knowledge of the Securities and Futures Act and other fund management regulations in Singapore
* Analytical mind with clear, logical thought process
* Excellent communication and written skills

**EXPERIENCE**

**Compliance Officer at Vickers Financial Group (S) Pte Ltd**

July 2013 to Present (10 years 7 months)

Compliance Duties:

* Establishing and updating of the fund manager's policies and procedures to comply with all the relevant MAS regulations
* Conducting of on-boarding due diligence for investors, ongoing Know Your Customer (KYC) monitoring, annual Anti-Money Laundering (AML) enterprise risk assessment and compliance training for all staff
* Performing of ongoing compliance procedures such as the monitoring of Base Capital and Licensing Conditions
* Submission of quarterly and annual MAS returns
* Performing of Enterprise Risk Assessment on an annual basis
* Performing of due diligence and annual reviews on outsourced service providers
* Corresponding with the MAS Officer
* Python Developer

Other Duties:

* Checking of the completeness of all investment documents after each round of funding
* Preparing the agreements and other paperwork for share transfers, subscription of shares and transfer of partnership interest across all related entities and funds
* Handling of company secretarial matters such as the preparation of board resolutions and liaising with the corporate secretarial agents
* Filing of FATCA returns for the group and fund entities on an annual basis

**EDUCATION**

**University of London Singapore**

Bachelor of Science (Banking & Finance) 2013

*2nd Class Honours (Lower)*

**Nanyang Junior College Singapore**

GCE “A” Levels 2007

**LANGUAGES**

**English** Native & Bilingual Proficiency

**Mandarin Chinese** Minimum Business Proficiency

**SKILLS**

**Microsoft Word, Excel & Powerpoint** Professional Proficiency