

# Ryan Tang

## Compliance Professional

Email: ryantangt19@gmail.com

url: <http://sg.linkedin.com/pub/ryan-tang/58/ba5/496>

Mobile: (65) 97580537



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### PROFILE

- A Compliance Officer with 3.5 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

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### EXPERIENCE

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

July 2011 to Present (5 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

##### 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

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### EDUCATION

#### University of London

Bachelor of Science (Banking & Finance)

2<sup>nd</sup> Class Honours (Lower)

Singapore

2013

#### Nanyang Junior College

GCE “A” Levels

Singapore

2007

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### LANGUAGES

English

Native & Bilingual Proficiency

Mandarin Chinese

Minimum Business Proficiency

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### SKILLS

Data Scientist, Python, data analytics, Microsoft Word, Excel & Powerpoint

Professional Proficiency