

TASNEEM NASRULLA

PROFESSIONAL EXPERIENCE

- Apr 2016 – Present **Compliance Officer - Reliance Asset Management (S) Pte Ltd, Singapore**
Responsible for the Regulatory and Investment Compliance of a Capital Market Services licensed Fund Manager.
- Mandating and ensuring Regulatory Reporting & Compliance. Liaising with regulators and authorities on all compliance/regulatory matters in different jurisdictions.
 - Preparing monthly Compliance Report to the Board of Directors & Risk Report to CRO of Parent Company.
 - Keeping the company abreast of regulatory developments with the Monetary Authority of Singapore(MAS), U.S. Securities and Exchange Commission, Financial Industry Regulatory Authority (FINRA) & Securities and Exchange Board of India (SEBI). Periodic SEC,, SEBI, GABRIEL (FCA) and FATCA reporting
 - Managing ongoing AML/CFT monitoring
 - Reviewing of all Customer Due Diligence/ KYC documentations, onboarding and ongoing monitoring of clients & contract agreements
 - Facilitating semi-annual internal and external audits, addressing concerns highlighted & ensuring follow up with Audit Committee and Board of Directors
 - Reviewing, enhancing and implementing new policies and processes to enhance compliance & ensure proper internal control, segregation of functions, mitigation of conflicts of interest
 - Identifying & reporting risks to the Risk Management Committee. Implementing risk approved mitigation measures and updating the risk bank.
 - Preparing board resolutions & coordinating with Company Secretary with respect to periodic filings like MAS & ACRA
 - Reviewing ongoing marketing materials and newsletters
 - Successfully wrapped up MAS Audit upon joining the Company.
 - Updated and implemented all company manuals (i.e Compliance, AML, Risk Management, Investment, IT Policy & Procedures, Employee Handbook) as well as CDD Onboarding & Review Forms.
 - Liaising with distributors of various Funds from reviewing distribution agreements to onboarding and review of all distributors and platforms.
 - Overseeing all Audit Committee, Risk Management Committee & Board of Directors Meetings including drafting of all minutes of the meetings.
- Dec 2013 – Mar 2016 **Compliance Manager (Reinsurance) – RKH Specialty Asia Pacific Pte Ltd, Singapore**
Responsible for overseeing the Corporate Compliance Program for the company
- Working in association with Group Compliance in London to ensure policies and procedures are implemented effectively within RKH. Adhering to FCA regulations in like with parent company in UK. Taking ownership of certain aspects of the firm's policies and procedures that address RKH's regulatory risks, including drafting and implementing new policies and procedures.
 - Acting as the liaison officer with the MAS and to support the CEO in the submission of all MAS returns, applications and notifications.
 - Supporting the anti-money laundering / sanctions/ financial crime function as stipulated by Singapore regulations and in line with RKH's policies and procedures. Working closely with the Operations and Compliance Representatives (OCRs) from the respective business lines with regards to approval process for Security, Third Parties Producers
 - Conduct monthly internal audit / file reviews on all RKH placements in Singapore & London.
 - Providing assistance to the business on compliance/ regulatory matters and client due diligence (CDD) process.
 - Responsible for continuous compliance training of RKH Singapore Staff
 - Providing compliance advice and assistance to Howden Korea (Retail Insurance) with respect to CDD and sanctions.
- Aug 2013 – Oct 2013 **Compliance Manager – Global Financial Consultants Pte Ltd, Singapore**
Responsible for overseeing the Corporate Compliance Program for the company.
- Represented the firm in communication and interaction with the Monetary Authority of Singapore (MAS)
 - Maintained all regulatory requirements for the Exempt Financial Advisory (EFA) license awarded by MAS
 - Created the new organization structure for the company in adherence with the Corporate Governance Guidelines by Monetary Authority of Singapore (MAS)
- Jan 2012 – Feb 2013 **VP – Compliance, LVP Premier Asset Management Pte Ltd, Singapore**
Responsible for overseeing the Corporate Compliance Program for the company.
- Represented the firm in communication and interaction with the Monetary Authority of Singapore (MAS) & external auditors.

	<ul style="list-style-type: none"> - Maintained all regulatory requirements for the Exempt Fund Manager (EFM) & Exempt Financial Advisory (EFA) licenses awarded by MAS, this includes designing the compliance manual for the business. - Aligned processes & procedures to ensure compliance, for the transition to the Registered FMC Regime. - Successfully set up an in-house open-ended fund from reviewing the Private Placement Memorandum (PPM) to creating processes for valuations, trading and receipt of client monies.
May 2010 – Dec 2011	<u>Compliance Manager, Calypso Capital Pte Ltd, Singapore</u> Responsible for overseeing not only the regulatory compliance but also the overall operation of the business. <ul style="list-style-type: none"> - Played an integral role in setting up the company, with specific responsibility for licensing (Exempt Fund Manager & Exempt Financial Advisory) - Successfully completed the MAS Audit with KPMG, the MAS appointed external auditor. - Designed & codified key policies – account opening & KYC documentation, compliance, HR & accounting - Successfully managed the operational administration of the company
Sept 2009 – Apr 2010	<u>Associate Vice President, IIFL Private Wealth, Singapore</u> Responsible for Business Development with Wealth Management Institutions & Clients in South East Asia. <ul style="list-style-type: none"> - Developed ties with various product team heads – Key emphasis being empanelment of IIFL's Fund. - Successfully handled firm & product marketing with relationship managers & product teams at leading private banks in Switzerland & Dubai.
June 2007 – June 2009	<u>Relationship Manager (Consumer Banking), Standard Chartered Bank, Singapore</u> Responsible for providing financial advice, maintenance & growth of existing customer base. <ul style="list-style-type: none"> - Structured product portfolios for new & existing clients (250 clients, SGD 70 million AUM), based on needs assessment - Successfully managed client relationships, resulting in increased AUM for existing clients & acquisition of new clients. Consistently achieved or exceeded personal sales target of SGD 180K per quarter.
Nov 2005 – June 2007	<u>Associate Banker, Citibank Non-Resident Indian (NRI) Business, Singapore</u> Responsible for management of on-going client servicing & supporting RM's heading up the Indonesian Segment. <ul style="list-style-type: none"> - Successfully handled the flow of information between middle & back offices, and clients, management & relationship managers, to enable timely decision making and risk management - End-to-end interface for clients in the trades of investment products i.e. mutual funds, bonds and structured notes. In-charge of the order placement for Indonesian Team and maintained log of Investments/Revenues.

EDUCATION

Certified Anti-Money Laundering Specialist - CAMS	Examination in March 2017
Online FATCA Course - Association of Certified Financial Crime Specialists (ACFCS)	Currently Studying
Certificate in Reinsurance - Singapore College of Insurance	May 2014
FICS Accredited - Specialist Diploma in Compliance	June 2013
International Compliance & Training Academy Pte Ltd, Singapore	
Module 1 – Merit Pass; Module 2 – Distinction Pass; Module 3 – Distinction Pass; Module 5 – Distinction Pass	
Certificate in Fund Administration - Nanyang Polytechnic, Singapore	Apr 2013
Understanding The Financial Advisers Act (Cap 110) - Singapore College of Insurance	Mar 2013
International Certificate in AML Awareness - International Compliance Association, Singapore	Jan 2013
Capital Markets & Financial Advisory Services (CFMAS) Modules – 9A	July 2012
Module 1; 5; 9; HI	July 2007
Bachelor of Science in Banking & Finance - University of London (External Programme), Singapore	2000 - 2006
Graduated with Honors; Scored in Principles of Banking, Corporate Finance & Banking Operations & Risk Analysis	
Diploma in Accounting & Finance - Temasek Polytechnic, Singapore	1997 - 2000

COMPETENCIES & SKILLS

- Communication skills – particularly detailed report writing & the ability to assimilate and present complex information simple and accurately. Relationship Building with key stakeholders.
- Stakeholder relationship management and inter-personal skills
- Technical problem solving abilities
- Accuracy and attention to detail
- Negotiation skills