

Ocvia Freriana

Singapore

Compliance professional focusing on regulatory compliance, AML, KYC, due diligence, anti-corruption, data research

Experience

Compliance Lead at Vertex Venture Management Pte Ltd

September 2016 - Present (7 months)

Compliance Manager at Edelweiss Alternative Asset Advisors Pte Limited

July 2014 - September 2016 (2 years 3 months)

- Create and update compliance policies, such as Compliance Manual, AML/CFT Policy, Screening Policy, Data Privacy Policy, Anti-Corruption Policy, and Record Retention Policy
- Ensure compliance with regard to ongoing obligations, required filings, notifications, and declarations as per Monetary Authority of Singapore (MAS) requirements
- In charge of MAS correspondences and regulatory filings
- Handle AIFMD applications/notifications to EU and UK Regulators for marketing funds to professional investors in EU countries and UK
- Handle Switzerland foreign fund marketing requirements for qualified investors by appointing a Swiss representative and a Swiss Paying Agent
- Review fund subscription agreements signed by Investors and KYC documents provided as well as perform AML/CFT checks, Accredited/Institutional Investor checks, Professional Investor Checks, US/Non US Persons checks, and collect IRS W-9/W-8 forms for FATCA purposes
- In charge of Enhanced-tier fund (ETF) Scheme applications to MAS for several funds and ongoing obligations once approved
- Ensure compliance of ongoing obligations for Financial Sector Incentive – Fund Management (FSI-FM) Scheme awarded to the Company by MAS
- Respond to queries relating to fund marketing compliance for International Operations
- Provide monthly report on compliance status of Singapore operations to Senior Management of the Company as well as Senior Management of the Parent Company
- Act as main point of contact for all compliance audit queries from both internal and external auditors
- Liaise with Company Secretary and Fund Administrators in Singapore and Mauritius

Compliance Consultant at ComplianceAsia Consulting Pte Ltd

February 2013 - July 2014 (1 year 6 months)

Work with companies in the fund management and financial advisory services which are regulated by the Monetary Authority of Singapore (MAS)

- Handle the applications for a Capital Markets Services (CMS) License in Fund Management and Registered Fund Management Company (RFMC) to MAS
- Ensure compliance policies and procedures are up to date
- Provide a compliance monitoring plan taking into account the Company's internal policies and MAS requirements
- Advise the Senior Management on compliance matters
- Handle MAS correspondences and regulatory filings
- Review the Customer Due Diligence measures and processes in place (including AML/CFT checks)
- Review the due diligence performed on fund distributors upon appointment and periodically
- Review marketing materials such as advertisements, presentation decks, factsheets etc. in accordance with the MAS Advertising Guidelines, IMAS Code and other applicable rules and regulations
- Monitor staff activities with regard to the Company policy on conflict of interest (e.g. personal trading, external directorships and employments, gifts and entertainment)

Compliance Analyst, Global Anti-Corruption Team (1 year contract role - renewed annually) at American Express

July 2011 - February 2013 (1 year 8 months)

Work with General Counsel Office, Market Compliance Officers, and Lines of Business to implement an effective global anti-corruption program

- Conduct analysis on entities (i.e. companies/organizations/charities) to determine whether they are State Owned Entity (SOE) or Non-SOE
- Perform research on the company executives to identify Politically Exposed Person (PEP) and screen them against the sanction lists
- Review payments made via invoice, Corporate Purchasing Card (CPC), and wire transfer to SOE and Non-SOE in all markets
- Update the list of high risk markets based on Corruption Perceptions Index (CPI) and Office of Foreign Assets Control (OFAC) sanctioned countries
- Perform the Intermediary Certification Process (ICP)
- Conduct research on the latest news and development on global anti-corruption for quarterly newsletter distributed enterprise-wide
- Identify and resolve compliance gaps and issues in each market
- Drive completion for enterprise training, high risk employees training, vendors training, and specific program training
- Consolidate quarterly and year-end reporting on the status and progress of the global anti-corruption program for Senior Management
- Document policies and guidelines, communications, exceptions, change management as well as representation letters made in all markets and lines of business

Content Quality Analyst at Dow Jones & Company

January 2009 - July 2011 (2 years 7 months)

- Support quality testing prior to the launch of the data in Production
 - o Perform quality checks to determine if responses are appropriate
 - o Proactively identify data problems and related bugs
 - o Liaise with Technology and Product departments to resolve data issues

- Responsible at post-launch to ensure ongoing data quality
 - o Use internal data quality tools to research and resolve data quality issues
 - o Conduct research on companies and executives based on company filings, Internet, and other reliable sources
 - o Resolve both internal and external queries escalated by Customer Service Officers in a timely and efficient manner

- Prepare data quality report that monitors how well the products are meeting and exceeding specified quality metrics and goals

- Work with Technology Department on internal data mapping, third-party data, and other data in connection to Product Development

Market Analyst (1 year contract role) at Thomson Reuters

November 2007 - November 2008 (1 year 1 month)

- Company Fundamental Reports (CFR) Analyst in charge of 8 Markets (Japan, India, China, Taiwan, Philippines, South Korea, Pakistan, and Sri Lanka)
 - o Ensure that all data flow successfully through several databases and displayed properly on the end products
 - o Meet the standard Service Level Agreement (SLA) in resolving service queries from both internal and external customers
 - o Responsible for data quality, accuracy, timeliness and completeness
 - o Seek efficiencies in work practices to achieve automation
 - o Provide feedback on new database/application releases

- Company Fundamental for Indonesia and Thailand
 - o Provide customers with financial data of all companies listed on Indonesia Stock Exchange and all Thailand listed companies which file their reports in English
 - o Keep abreast of daily market activity to ensure that financial information is accurate, timely, and complete
 - o Build up knowledge of financial regulations and market practices

- Documentation Library for Indonesia Stock Exchange
 - o Source financial reports of all companies listed on Indonesia Stock Exchange

- o Keep track on upcoming IPOs and ensure that reports will be available in Product by the time the company is officially listed on the exchange
- o Document policies, procedures, and work processes

Education

Nanyang Technological University

Bachelor's Degree, Banking & Finance and Information Technology, 2004 - 2007

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Profile Notes and Activity (2)

3/3/2017—View by Ayyaz Ahmad

3/7/2017—View by Ayyaz Ahmad