

Executive summary

I am an ex-Big 4 Manager who specialised in the audit of the asset management space now working in buy-side compliance at a top US hedge fund highly regarded in Asia/Singapore. I functioned in a managerial capacity and successfully led teams while in PwC and am now both the sole associate actively managing the compliance program in Singapore and lead manager of all external regulatory audits and internal audits for the company.

I have collectively 7+ years of experience in audit both from an external and internal perspective as well as regulatory compliance. I hope that I will be able to contribute to your organisation as much as I can. Thank you for your consideration and I look forward to hearing from you.

Areas of Expertise: External Audit, Internal Audit, Regulatory Compliance, Governance, Risk & Controls

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Experience

Compliance Associate Nov 2015 to Current
Graticule Asset Management Asia (spinoff from Fortress Investment Group) Singapore

- ❑ Best Asia-based Global Macro Hedge Fund (2017) EurekaHedge Awards
- ❑ ~US\$4.8 B AUM, top 2 in Singapore in terms of AUM; group auditor is EY
- ❑ Out of the top 200 hedge funds in the world, being 1 out of only 3 based in Asia/Singapore
- ❑ Dynamic Goldman Sachs alumni and colleagues from other well regarded US-based fund managers
- ❑ Am the sole audit-trained/CPA staff in the Legal and Compliance team, colleagues are legally-trained, hired for my audit background
- ❑ Work closely with all stakeholders (Operations, Execution, Finance, Investor Relations)
- ❑ Well-versed in FCA (UK), MAS (SG), SFC (HK) capital markets regulations
- ❑ Set the foundation of internal documentation utilised by all offices (US/UK/SG/HK)
- ❑ Build best practice culture in terms of streamlining processes, responsible for timely recordkeeping
- ❑ Execute and maintain the compliance monitoring program to ensure regulatory risks are effectively monitored and conduct of compliance training
- ❑ Perform desk's trade surveillance monitoring adhering to regulatory restrictions and guidelines; review hourly and daily equities, derivatives, futures etc. reports, potential violations, update of restricted and ban lists, review and record trade errors; capital markets activities clearance (primary, secondary and IPOs); ensure daily compliance operations run smoothly
- ❑ Advise, review and monitor employee personal trading, political contributions, and gifts/entertainment requests to be in compliance with policies and procedures in accordance with regulatory requirements and internal firm guidelines
- ❑ Assist in the review and tracking of investor relations and marketing materials, due diligence questionnaires, private placement memoranda, investor letters, and investor conference materials, etc., to ensure adherence with applicable rules and regulations
- ❑ Lead quarterly, annual compliance reviews; generate scope of review/testing; reporting to and providing recommendations to management, operating committee, compliance committee
- ❑ Lead internal audit, due diligence reviews, conduct regulatory compliance process reviews
- ❑ Main contact for regulatory inquiries and external audits; prepare and review documents to be audited
- ❑ Main contact with external firms (audit, legal, fund administrators, others)
- ❑ Maintain firmwide registers, logs, manuals, supporting records
- ❑ Prepare and review regulatory filings to various jurisdiction authorities
- ❑ Prepare and review AML/CFT and general risk assessments; potential STROs for various jurisdictions
- ❑ Assist with regulatory and compliance matters with respect to registrations in Singapore, the UK, HK
- ❑ Review relevant consultation papers & guidelines, consider impact to business
- ❑ Conduct additional ad hoc compliance tasks as assigned, including reviewing and updating policies and procedures (AML/Compliance manuals, outsourcing requirement, other policy documents)
- ❑ Involved where applicable costs and budgets for compliance activities be it for the local or global offices
- ❑ Involved in MiFID II project

Manager - Financial Services Assurance Dec 2010 to Nov 2015
PricewaterhouseCoopers LLP Singapore

Financial Audit

- ❑ Full scope statutory reporting audits conducted with traditional and alternative investment asset managers across private equity, equities, real estate
- ❑ Major clients include Legg Mason, Permal Group, Martin Currie, SEB Asset Management, Macquarie-State Bank of India, Wah Hin (United Overseas Bank), Resorts World Sentosa
- ❑ Highly proficient in IFRS/ISA Standards, worked extensively with offices that require US/UK GAAP reconciliation; as well as HKFRS and JGAAP
- ❑ Lead consolidation work relating to financial audits
- ❑ Review ISAE 3402 Assurance Reports on Controls at a Service Organization by Citibank, DBS, State Street and Wells Fargo to be in line with respective financial audits
- ❑ Assess risks and internal controls by identifying areas of non-compliance, evaluating manual and automated processes, identifying process weaknesses, inefficiencies and operational issues
- ❑ Prepare and present to management reports on audit findings, which include material misstatements of financial information and/or control deficiencies and provide recommendations on improving such

