**Chai Yang**

Homebush, NSW \* 0433 9191 54 \* y185058722@gmail.com \* English/Mandarin/Cantonese

**To Whom It May Concern**

My name is Chai, it is appreciating for me to explain my enthusiasm for the **Risk & Compliance Analyst role**.

For a brief introduction about myself, my future objective is to be as a risk analyst by figure out insights and taking accountable researches for mutual benefit opportunities. If I could have this opportunity to join this dynamic group as an analyst or any relevant supporting role, which will be significantly matching my short and long career goal.

Based on my qualified experience, working for Deloitte and AMP have fulfilled my career path with qualified compliance & risk management skills. In addition, I am also qualified for FRM and RG 146 certificates that have numerical and literally strengthened my risk & compliance knowledge.

As an experienced consultant, multi-language communication skills are also one of my strengths according to my experience recognition.

Always welcome challenges, facing them and solving them is my working vision and mission, and my objectives are keeping my organization working in a way within risk and compliance boundaries together maximizing mutual profits, for the group and the stakeholders.

If I could have the opportunity to discuss about the possibility to join this dynamic team, I will fully utilize my business and technical experience, together with concentration on the processes and relationship building, to provide detailed and qualified report to the leaders.

Looking forward to hearing from you.

Kind regards,

Chai Yang

**Chai Yang**

Homebush, NSW \* 0433 9191 54 \* y185058722@gmail.com \* Australian PR \* Language: English/Mandarin/Cantonese

Education &Certificates

* The University of Sydney

Master of Commerce (Finance) Sydney, NSW 2017-Not expire

* **Macquarie University**

Bachelor of Applied Finance (Average Credit) Sydney, NSW 2014-Not expire

* Monarch

Diploma of Financial Planning Sydney, NSW 2019-Not expire

* **GARP** (Global Association of Risk Professionals)

FRM Level 1 & Level II Passed Sydney, NSW 2019-Not expire

**Career Objective**

Enthusiastic analytical candidate with 2+ years of experience working in Australia financial industry, with basic knowledge of SQL who is aiming to leverage my skills to successfully fill this role;

Soft & technique Skills

\* Excel \* SQL (Basics)

\* Adaptability \* Risk management

\* MS Office \* Teamwork

\* Compliance \* Customer Service

Professional Experience

1. **AMP, Sydney NSW *Consultant****,* ***Oct******2019 – present***

• Analyzing clients’ needs and enquiries;

• Focus on global and macro news to keep up-to-date market trends;

• Risk and Compliance working manner, and completing regular compliance and quality trainings and assessments;

• Collect insights and obvious trends and update new insights / opinions (if applicable) to leaders;

• Take accountable research for financial market according to different risk level investment portfolio, asset allocation, and risk profile;

• Provide professional recommendations on investment opportunities, products and services based on clients’ needs;

• Keep up-to-date knowledge of financial products, portfolio performance and compliance requirement;

• Positive feedback from clients (Achieved + 17.5 score during first half year of 2020);

• Proactively and positively work with the team and other departments to achieve business outcomes;

2. **Deloitte, Sydney, NSW *Remediation* *Case Assessor, Mar 2019 – Jun 2019***

• **Analytical***:* Review data and assess appropriateness of financial planning advice including superannuation, insurance, equity, fees and all relevant instances on daily basis;

• **Investigating** clients' complaints through each indicator;

•Apply standard guidelines and appropriate regulatory policies;

• **Teamwork:** Liaising with administrative and calculations teams;

• **Risk & Compliance***:* Strong understanding of compliance and regulatory requirements within Financial Services industry;

• **Target/KPI***:* Ability to meet KPI and maintain levels of quality in target-driven environment essential.

**3.** **Self-Investment Analyst, Sydney, NSW *CFD & Property Jul******2017 –******Jun 2019***

• Research market changes;

• Devised approaches to take advantage of emerging opportunities in commodity and real estate market;

• Maintain close watch on financial and operational performance of different assets:

• Made proactive adjustments to keep portfolios in conformance with plans, under risk management;

• Collect up-to-date global market indicator to predict commodity and real estate (interest rate) markets trend.

**4.**  **Global Trade Holding Pty Ltd, Sydney, NSW *Business Development, Sept 2017 – Mar 2018***

• ***Research:*** Devise SWOT analysis to create and execute business plan supporting achievement of established quotas;

• ***Teamwork:*** Work with advertising teams to create, deploy and optimize marketing initiatives for Foreign Exchange and Real Estate Fund customers;

• ***Sales:*** Manage around 30 incoming calls, emails, 10 onsite visiting and 20 leads top up on daily basis;

• ***Administration****:* Complete and submit monthly performance reports to enhance executive decision making;

• ***Develop*** new business by networking with prospects and valuable customers at conferences and social events;

• ***Engagement:*** Establish new program with Macquarie University (MGSM) for mutual benefit;

• ***Engagement:*** Collaborate with peers in other company departments;

• ***KPI:*** Negotiate, prepare and sign contracts with clients;

*Foreign Exchange Teller,* ***Sept 2017 – Mar 2018***

• ***Account management:***Open and close accounts for foreign exchange products for customers;

• ***Compliance:*** Ensure all activities carried out are under Compliance, Confidential and AML policies;

• ***Detailed:*** Adhere to strict guidelines regarding financial and customer data to avoid breaches and information misuse;

• ***Administration:*** Daily performance spreadsheet upload and reconciliation.

• Collect data and performed customer needs analysis;

• Prospect new daily leads with diverse strategies, including cold calling and customer referral;

• Research and customized service proposals for clients to meet requirements;

• Make outbound calls to existing customers to up-sell advertising packages;

• Coordinate innovative strategies to accomplish objectives and boost long-term profitability.

**5.**  **Ascot Security, Sydney, NSW *Equity Analyst Internship****,* ***Jul 2016***

• Fundamental knowledge for FX trading analysis through Macro, Technical skills;

• Simulate “Road Show” – Merger and Acquisition “Pfizer and Allergan”;

• Financial Report Analyzing;

• Morning and Afternoon News Presentation and Reporting.