



**Address:** 38 Lorong N Telok Kurau #04-04 S(425163)

**DOB:** 12 September 1986

**Gender:** Female

**Citizenship:** Singaporean

**Race:** Chinese

**Marital Status:** Married

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## **Work History & Responsibilities**

**1. Company:** Lion Global Investors Limited

- **Duration:** October 2012 to Present
- **Position:** Assistant Manager, Investment Compliance
- **Job description:**
  - Monitor investment activities and implement controls to ensure company's policies and guidelines are adhered to.
  - Ensure compliance with investment guidelines, setting up and maintain rules in Bloomberg AIM.
  - Provide advisory on investment/regulatory guidelines and rule coding with regard to new and existing mandates.
  - Investigate trade breaches and follow-up with fund managers to ensure rectification within approved timeline.
  - Carry out daily trade approval and reporting.
  - Prepare scheduled reports according to the relevant investment guidelines.
  - Attend to compliance enquiries from investment team.
  - Provide investment compliance training to the investment team.
  - Carry out projects on enhancement of compliance processes on ad-hoc basis.

**2. Company:** Conocophillips Asia Ventures Pte Ltd

- **Duration:** March 2012 to October 2012
- **Position Held:** Compliance Analyst (Contract)
- **Job description:**
  - Ensure consistent execution of policies and procedures as part of global Compliance team.
  - Assist with the group business continuity planning and testing
  - Trade floor presence to monitor trading activities against various policies.
  - Carry out investigations upon receipt of alerts for trade violations from the transaction monitoring team.
  - Support daily process which enables traders to confirm the accuracy of their deals.

- Support the counterparty approval process by conducting appropriate due diligence on potential new trading counterparties.
- Provide advisory and compliance support to the trading floor.

**3. Company:** Bank of China

- **Duration:** April 2011 to March 2012
- **Position Held:** Compliance Officer (Retail Banking)
- **Job description:**
  - Assist in performing compliance monitoring and reviews.
  - Provide advisory for KYC issues and compliance support to business units.
  - Conduct inspection; generate report on findings and recommendations.
  - Prepare compliance checklist and assist in training on AML issues.
  - Review and revise policies, assure that the functions' policies and standards relating to regulatory compliance are effectively implemented.
  - Dissemination of information relating any change in regulation, AML/CFT update and any other information from Legal & Compliance Department to business units.

**4. Company:** CIMB Bank Berhad

- **Duration:** January 2010 to December 2010
- **Position Last Held:** Account Services Executive
- **Job description:**
  - Assess customer profile and documents to ensure compliance of bank policy and MAS626 before approval of account opening and reports.
  - Authorise updates of customer details, ensure accuracy and verification of customers' identity.
  - Supervise officers on daily operations; consistently ensure accuracy on account maintenance.
  - Liaise with Risk Management for project on operational risks, review current work processes and propose risks controls.
  - Liaise with project management team on evaluation of officers' productivity and daily volume of work load.
  - Train new staff on Individual and Corporate account openings.

## **Education Summary**

- **Aug 2006 - Jun 2009 – University of London (SIM), Singapore**  
BSC of Science (Business), 2<sup>nd</sup> Class upper honours
- **Jan 2003 - Dec 2004 – Serangoon Junior College (SRJC)**  
GCE 'A' level 3 credits
- **Jan 1999 - Dec 2002 – Tampines Secondary (TPSS)**  
GCE 'O' level 7 credits

## **Professional courses attended**

- **Year 2014:** Certificate in Fund Administration
- **Year 2012:** Bloomberg AIM

## **Skills**

- English and Chinese (Written and Spoken)
- MS Office, Excel and Powerpoint
- Bloomberg (AIM)

## **Personality**

- Eager to learn and seek self-improvement
- Proactive and team player