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**Professional Experience:**

**Phillip Capital Management (S) Limited**

**April 2016 - Present**

**Risk and Compliance Manager**

- Stand-alone Risk and Compliance officer reporting directly to Chief Operating Officer, overlooking regulatory compliance , Investment compliance and Operational risk.
- Monitors pre-trade and post-trade transactional activities of fund managers to ensure compliance with regulatory and investment guidelines.
- Translates new investment fund mandates into rules that can be coded onto Bloomberg Asset and Investment Manager (AIM).
- Reports of non-compliances to fund manager, trustee, head office group compliance and related authorities.
- Prepares risk and compliance reports to Investment Committee and Board of Directors.
- Ensures operation memorandums and operating procedures manual are up to date.
- Reviews and close off gap in AML/compliance issue.
- Liaises with MAS, Legal counsel, external auditors, internal auditors and head office group compliance team, fund manager and operation.
- Assists and ensure the smooth transition in the transfer of trustee.
- Participates in first Exchange Traded Fund (ETF) issued by Phillip Capital Management and it is first REIT ETF focusing on Asia Pacific REITs listed on SGX.

## **Citibank NA**

### **October 2009 – April 2016      Trustee Operations Officer**

- Reviewed funds to ensure compliance with laws and regulations, in particular CIS Code, CPFIG and SFA using MIG21 on a post trade basis.
- Reviewed compliance rules, in accordance with Investment guidelines and compliance criterion by fund manager.
- Investigated, monitored and reported breaches accurately & timely to client, wherever required.
- Liaised with global custodian agent, fund managers and registrar to ensure timely recording and settlement of investment and unit holders' transactions.
- Liaised with external auditors/tax agents in all financial reporting and tax matters.
- Reviewed semi-annual and annual audited reports in accordance with FRS, particularly RAP7.
- Provided operational support to Agency & Trust deals, such as escrow agent/account bank/paying agent.
- Participated in the Lean program for work improvement/risk reduction initiatives, promote information sharing among different departments and other business groups.

### **July 2007 – September 2009      Transaction Services Analyst**

- Seconded to Kuala Lumpur Centre of Excellence, Citibank Berhad from May 2009 to September 2009 to impart the technical knowledge to the new team.
- Validated global trade instructions of corporate clients from Asia Pacific region.
- Assisted in UAT (User Acceptance Testing) for new client to allow STP (Straight Through Processing).
- Prepared MIS (Management Information System) reports and STP reports for internal and external clients to improve STP rate which is 98.6% at regional level.
- Liaised with technology team to solve system issues.

- Liaised with different departments (Safekeeping, Local and Global Custody, Corporate Action and Compliance) to facilitate processing of trade instruction Assists in the Auditing process.

#### **August 2006 – June 2007                      Financial Analyst**

- Prepared customized financial reports for Bankers and clients in Asia Pacific region.
- Assisted Bankers and Associate Bankers, in Asia Pacific region, with retrieval of financial statements and data.
- Participated in trial test of upgraded programme in website to ensure its smooth launch.
- Liaised with representatives from Compliance for new report format.

#### **United Overseas Bank Travel Planners**

#### **May 2004 - May 2005                      Executive (Leisure)**

- Handled inquiries (telephone, mail and walk-in) of clients who are from Wealth Management Centre (Infinite and Platinum credit cardholders).
- Handled feedbacks and follow up on inquiries and turns 90% of inquiries into sales.
- Responsible for sales process from receiving booking form, making reservation for flight and/or hotel, confirmation and payment.
- Worked closely with the operational team; utilize relationships to ensure that requests of customers are met.
- Led a tour group of 30 people from Singapore, Malaysia and Indonesia to Japan for 7 days.

#### **Academic Qualification :**

**National University of Singapore**  
Bachelor of Arts with Merit, 2000-2003  
(Major in Economics & Geography)

**Jurong Junior College**  
G.C.E 'A' Level, 1998-1999

**Swiss Cottage Secondary School**  
G.C.E 'O' Level, 1994-1997

**Proficiency in system applications:**

- Bloomberg Asset and Investment Manager (Financial information provider system)
- MIG 21 (Fund compliance system)
- Multifonds (Fund accounting system)