Name: Geraldine Kuang Huimin

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Contact Number: 92711 926 (HP) 66560630 (H)

Email: [geraldinekuang@gmail.com](mailto:geraldinekuang@gmail.com)

Date of Birth: 20 April 1987

Nationality: Singaporean

Race: Chinese

Gender: Female

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| **EDUCATION** |  |
| **National University of Singapore (NUS)** | Aug 2007 – May 2010 |
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* Bachelor of Business Administration – Accountancy (*Merit*)
* Cumulative Average Point: 4.09/5
* Graduated in May 2010

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| **Singapore Polytechnic** | Jul 2004 – Feb 2007 |
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* Diploma (*with Merit*) in Business Administration (Tourism)
* Cumulative Grade Point Average: 3.779/4
* Placed on School’s Honour Roll for consecutive six semesters

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| **PROFESSIONAL EXPERIENCE** |  |
| **Lion Global Investors Limited** | June 2012 to date |
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Compliance Assistant Manager

* Developed an extensive understanding of how internal controls functions through the revision and execution of the entire Compliance Monitoring Programme for the company, covering areas such as Investment Management, Compliance, Business Development and Operations in the context of fund management
* Developed communication and critical thinking skills by vetting marketing materials submitted by other business units in relation to SFA, SFR and IMAS advertising requirements for a CIS
* Gained knowledge on AML/CFT notices and guidelines by executing ongoing AML screening and customer due diligence checks to ensure proper documentation is maintained in line with MAS Regulations
* Generate substantial shareholding monitoring reports to ensure that necessary filing is made to the relevant authorities (MAS and SGX)
* Learnt to enhance process controls and work with different teams by participating in various MAS Inspection audits, external and internal audits
* Facilitated and conducted compliance training for representatives in the company, with a particular focus on licensing requirements and internal policies
* Developed problem solving and organization skills by conducting gap analysis by developing the Compliance Risk Assessment which maps current applicable regulations such as SFA, SFR, IMAS Code, Code of Collective Investment Schemes, FAA and FAR to company’s internal procedures
* Obtained the Certification of Fund Administration in 2014

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| **UBS Singapore** | Feb 2011 – May 2012 |
| Investment Suitability Risk Analyst |  |

* Developed a good understanding on the investment suitability requirements under HKMA and Singapore requirements
* Acquired critical thinking skills by completing a gap analysis, summarizing requirements across different countries in relation to investment suitability
* Gained good communication skills by coordinating between Compliance and Business to enhance processes to meet regulatory requirements
* Facilitate training sessions by preparing training materials to client advisors

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| **Ernst & Young Singapore** | Mar 2010 – Jan 2011 |
| Financial Services Audit Assistant |  |

* Gained exposure to different financial institutions/banks operating procedures
* Performed walkthroughs, test of controls and analytical procedures to assure accuracy of financial statements
* Developed critical thinking and learnt to work under tight deadlines

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| **Ernst & Young Singapore** | Dec 2009 – Jan 2010 |
| Audit Intern (General services) |  |

* Helped to consolidate financial statements of various subsidiaries
* Gained a good understand of how internal controls function

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| **Panasonic Systems Asia Pacific** | Feb 2007 – June 2007 |
| Accounts Assistant |  |

* Worked with Oracle Accounting System to facilitate reimbursement of employees claims
* Provided timely and accurate information to ensure smooth flow of accounting procedures

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| **Walt Disney World (Orlando, Florida)** | Aug 2006 – Jan 2007 |
| Guest Service Associate |  |

* Gained diverse skills through constant interactions with guests by merchandising at Epcot Future World South
* Learnt to deliver excellent guest service to enhance guests Disney’s vaction
* Attended Disney Practicum and Disney Communication courses

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| **AWARDS AND ACHIEVEMENTS**   |  |  | | --- | --- | | * Passed M3 (Rules and Regulations for Fund Management) | 2014 | | * Certificate in Fund Administration (NYP) |  | |  |  |  |  |  | | --- | --- | | * Passed M5 (Rules and Regulations for FA Services) | 2009 | | * Passed M9 (Life Insurance and Investment-linked policies) |  | | * Passed Health Insurance Examination |  | |  |  | | * SB Achiever (Singapore Polytechnic School of Business) | 2007 | | * Certification of Commendation |  | | * Awarded Diploma Plus in Software Programming |  | |  |

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| **OTHER EXPERTISE**  **Computer Expertise**   * Microsoft (Excel, Word, Powerpoint, Access) * Bloomberg, Thomsons Reuters Screening Deployed (Worldcheck), Oracle Systems * Adobe Reader   **Language Expertise**   * English, Chinese, Cantonese |  |