**LEE YI SHENG KELVIN**



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Date of Birth: 25th April 1984

Nationality: Singaporean

**Profile**

A committed, self-motivated and results-oriented professional who possesses excellent inter-personal skills, good understanding of local capital markets regulatory requirements (ie SFA, FAA, AML, etc), risk and control assessment in financial institutions operations and process change management. As a certified Chartered Accountant of Singapore and experienced in the field of regulatory compliance, I look forward to an opportunity which offers new challenges for me to progress my career to greater heights in the area of compliance, where it encourages the utilization of my knowledge, strengths and skills which I have acquired over the years.

**Business Skills**

* Proven ability to excel as an individual contributor and as well as an excellent manager for both project teams and operational groups
* Appreciation of the complex regulatory landscape, in particular capital markets
* Skilled in risk-based audit and controls deficiencies identification
* Ability to drive operational excellence while achieving regulatory compliance and mitigation of key risks
* Possess excellent interpersonal, communication and presentation skills
* Proficient in Microsoft Office (Word, Power Point, Excel)

**Work Experience**

**Compliance Analyst, Nikko Asset Management Asia Pte Ltd Nov 2014 – Present**

* Provide independent and timely advice to business functions on issues such as cross-border, outsourcing and new business initiatives
* Engaged in the implementation of Global compliance initiatives such as Cross-Border marketing control framework
* Reviewed marketing materials in accordance to the Code on Collective Investment Schemes and internal company policies and procedures
* Assessed new regulatory requirements such as AML/KYC and ensure compliance risks and control gaps are identified, reported and monitored
* Conducted firm-wide trainings on regulatory developments (ie FATCA)
* Advised licensed representatives on MAS licencing requirements (ie examination requirements, continuous professional development requirements) and ensured strict compliance
* Acted as the Risk Champion of the department and led colleagues in firm-wide Enterprise risk management initiatives to promote a strong risk and compliance culture
* Maintenance of proper documentation and records of employees’ personal trading accounts, pre-trade requests and fit and proper declarations.
* Liaised with MAS on ad-hoc queries in relation to regulatory issues or industry surveys
* Performed quarterly review on phone recordings of business units (ie Portfolio managers, Dealing and Client services) as part of fraud controls
* Engaged with internal and external auditors on reviews and inspections and coordinated with relevant stakeholders in the resolution of any audit issues

**Assistant Finance and Operations Manager, Nov 2013 – Nov 2014**

**Markel International Singapore Pte Ltd**

* Managed outsourcing project which aims to achieve operational efficiency and building a platform to support business expansion and market changes with regards to cost, capacity and client services
* Acts as an advisory resource to outsource company in ensuring smooth transition of processes while ensuring internal controls are not compromised
* Analyzed and reviewed credit position of Asia pacific entities to provide management an accurate reflection of the financials
* Ensure strict compliance with Lloyd’s Asia/MAS requirements in terms of underwriting business and financial reporting
* Worked closely with business managers, internal and external auditors to resolve any audit issues
* Establish and formulate GST reporting process to ensure the accuracy and validity of data for reporting purposes

**Senior Auditor, Deloitte & Touche L.L.P, Singapore Aug 2010 – Oct 2013**

* Led teams of 4-6 members in the conduct of statutory audits for clients in various financial institutions. Client portfolio includes UOB-Kay Hian Holdings Limited, Marsh and McLennan, Cathay United Bank, Standard Chartered IL & FS Fund Company, Capital International Inc. etc.
* Good understanding of trade lifecycles and operational processes in Asset Management Companies and Securities Brokerage firms
* Analyzed the operational and credit risks involved in financial institutions and provide sound recommendations to management
* Understand the reporting processes of various financial institutions and determine the accuracy, classification and completeness of their statutory returns
* Designed and performed audit testing to assess client’s compliance with relevant regulations such as MAS notices/guidelines, SFA and AML
* Reviewed MAS and SGX audit reports and conducted follow-up actions with the client to ensure compliance with SGX regulatory requirements
* Managed a team of 4 in a MAS remediation compliance project to ensure adequacy of client’s internal systems and process controls based on MAS and SGX regulations
* Presented accurate and precise management letter points to clients on their controls and compliance issues, and proposed feasible business enhancements and additions to their accounting and reporting processes.

**Compliance Intern, Sony Gulf FZE, Dubai May 2008 - July 2008**

* Identified and assessed the various possible risks associated with the company’s business processes through the conducting of risk assessments such as a walk-through
* Provided recommendations to mitigate process risks identified and presented the implementation plans and results of the risk assessments to senior management
* Instrumental in the implementation of the new Anti-Money Laundering (AML) Policy

**Education / Professional Affiliations**

**Institute of Singapore Chartered Accountants Nov 2013 - Present**

* Certified Chartered Accountant

**Singapore Management University (SMU) Aug 2006 – Jun 2010**

* Bachelor of Accountancy, Second Major in Finance
* Managed a team of 5 student auditors from the SMU Student Assurance and Advisory Team in performing financial and operational audit procedures on various CCA clubs and societies

**Interests**

* Reading business news to stay abreast with the latest events and investment opportunities
* Participating in friendly soccer matches on a weekly basis to maintain good physical health
* Certified PADI Advanced diver and enjoys travelling and enlarging my social circle