Last Updated: 12 Jun 2017

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| Expected Salary :  **SGD 7,500** | **Sharon Lee**  Internal Audit and Compliance at Taurus Wealth Advisors Pte Ltd   |  |  | | --- | --- | | Experience | 10 years | | Previous | Investee Internal Audit, VP  The Asian Entrepreneur Legacy (TAEL) Partners | | Education | CPA Australia  Master's (2011)  Multimedia University  Prof Degree (2007) | | Nationality |  | | Mobile No. | 91026743 | | Email | slsx84@gmail.com | | Age | 32 years old | |

**Experience**

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| 2016 - Present  (1 year 10 months) | **Internal Audit and Compliance**  Taurus Wealth Advisors Pte Ltd |  Position level Higher Sec |
| May 2014 - Dec 2015  (1 year 7 months) | **Investee Internal Audit, VP**  The Asian Entrepreneur Legacy (TAEL) Partners |  Position level Higher Sec  Monthly Salary SGD 5,700  Seconded to audit in Malaysia  - Planned and executed audit procedures at portfolio company (investee of TAEL), including understanding and evaluation of industry and business risk  - Assessed the quality of risk management processes, systems of internal controls and corporate governance processes across the business processes of the investee company  - Identified significant emerging risks through on-going surveillance and monitoring of the investee company  - Performed compliance review to ensure the company is adhering to relevant statutory regulations and guidelines  - Discussed with management on the findings together with its relevant risks  - Provided adequate recommendations for improvements and ensured appropriate prompt follow through of remedial actions on issues, gaps and deficiencies noted  - Prepared audit reports and ensured that all significant issues and relevant recommendations are highlighted  - Managed and maintained professional communication and relationships with various levels of management |
| Jan 2013 - Feb 2014  (1 year 1 month) | **Senior Associate, Compliance**  Singapore Mercantile Exchange |  Position level Cerf/Dip  Monthly Salary SGD 5,550  Member Compliance  - Ensured regulatory compliance by Members and market participants across the Securities and Futures Act [SFA], Securities and Futures (Financial & Margin Requirements for Holders of Capital Markets Services Licences) Regulations [SF(FMR)], Securities and Futures (Licensing and Conduct of Business) Regulations [SF(LCB)R], Singapore Exchange rulings [SGX] , SMX/SMXCC rulings in a timely and regular manner  - Handled Monetary Authority of Singapore [MAS] queries – relating to Members, SMX and SMXCC and provided responses to MAS on an immediate and prompt basis  - To be the liaison with the MAS on all regulatory matters such as approvals, notifications, and submissions  - Performed regulatory duties that covers Anti-Money Laundering and Countering the Financing of Terrorism [AML/CFT] requirements, which includes Know Your Customer [KYC], customer on-boarding due diligence, verification of identity, reporting and record keeping  - Performed enhanced customer due diligence on an ongoing basis (monthly, quarterly and annually review of Members’ profile and financials) to monitor for risks introduced by Members to the Exchange/ Clearing Corporation as a result of adverse changes in financial resources or status  - Conducted on-site reviews on clearing members in order to assess their on-going compliance with laws and regulations in the SFA, SF(FMR), SF(LCB)R, SMX/SMXCC rulings and to assess adequacy of their system of internal controls and management oversight  - Discussed with management the non-compliance findings together with its relevant risks  - Provided recommendations and ensured appropriate and prompt follow through of remedial actions on issues, gaps and deficiencies noted during on-site inspections  - Conducted off-site reviews based on periodic financial and non-financial returns submitted by Members to ensure that they comply with the minimum capital and financial requirements imposed by the Exchange and relevant Regulations  - Facilitated and provided guidance to Members on any compliance related issues and requirements under the SMX/SMXCC Rules, Notices and Circulars  - Performed reviews on notifications and other requests received from Members requiring the Exchange/Clearing Corporation’s approval  Membership Application Review  - Conducted independent vetting and evaluation of all membership applications submitted to SMX/SMXCC to ensure that the application pack is complete and the applicant meets the admission criteria, including KYC and customer on-boarding due diligence  - Processed requests for transfer or resignation of membership status  - Maintained a registry of Nominated Representatives and Authorized Users and ensured that persons appointed meet the stated requirements  - Attended to external and internal queries regarding membership applications that are currently being processed, and appointments of Nominated Representatives and Authorized Users |
| Nov 2011 - Nov 2012  (1 year) | **Assistant Manager**  PricewaterhouseCoopers LLP |  Position level Cerf/Dip  Monthly Salary SGD 5,100  Industries covered: Investment Properties and Leasing of Commercial Retail Space, Oil and Gas, Telecommunications and retail.  Key roles and responsibilities:  - As an experienced senior auditor in charge, I have led teams to carry out various aspects in financial audit effectively, and provided proper guidance and supervision to junior team mates.  - Developed engagement approach which includes both quantitative and qualitative analysis, and understanding and evaluation of industry and business risk.  - Performed audit works which includes, audit planning, budgeting, controls testing, substantive work, reporting and completion in accordance with approved auditing standards and accounting standards.  - Understand, evaluate and test client’s business processes from front office to back office, including controls, and provide adequate recommendations for improvements.  - Managed and maintained professional communication and relationships with various levels of client.  - Communicated and report findings and recommendations to managers, partners and client.  - Reviewed and assessed consolidated adjustment entries and reporting packs prepared by client.  - Demonstrated strong analytical review skill/financial analysis on the companies through the examination of their financial performance, accounting and financial practices against industry benchmark.  - Reviewed full set of financial statements and consolidated financial statements in accordance with IAS and SFRS.  - Performed certification work for charity organization in relation to the compliance of Charities Act, (Chapter 37, section48), Charities (Fund-Raising Appeals for Foreign Charitable Purposes) Regulations.  - Performed sales certification for the purpose of assisting client in submission of Statement of gross sales to the lessors. |
| Jul 2007 - Dec 2010  (3 years 5 months) | **Senior Associate**  KPMG Singapore |  Position level Cerf/Dip  Monthly Salary SGD 4,800  Industries covered: Hospitality, Hotel Ownership and Management, Provision of Hospitality Solutions, Facilities Management, Real Estate Development and Investment, Investment Properties, Leasing of Residential and Commercial Retail Space  Key roles and responsibilities:  - Identified accounting issues especially for impairment of assets, revenue recognition, recognition of operating and finance lease and disclosure requirements and utilized comprehensive knowledge of accounting standards to resolve the issues.  - Reviewed and evaluated the soundness of the Company’s accounting policies and procedures.  - Reviewed group reporting package, consolidation worksheet and financial statements and notes to the financial statements in accordance with relevant IASs and SFRSs.  - Assessed financial risk and identified controls mitigating the risk, evaluate the appropriateness of the design of controls and testing the effectiveness of controls. Communicated the deficiencies or gaps and provided recommendations on internal controls.  - Performed agreed upon procedures in accordance with the Singapore Standard on Related  Services applicable to agreed-upon procedures engagements for assisting client in the reporting to the Licensing Division of the Singapore Police Force.  - Performed special purpose audit in accordance with the Singapore Standards on Auditing applicable to special purpose audit engagements in connection with the examination of the Statement prepared in accordance with the requirements of Money-changing and Remittance Businesses Act (Chapter 187) and related MAS notices. |

**Education**

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| 2011 | **CPA Australia**  Master's  Major Accounting  Grade Asc Degree |
| 2007 | **Multimedia University**  Prof Degree  Major Accounting (Hons)  Grade Higher Sec |

**Languages**

**(Proficiency level: 0 – Poor, 10 - Excellent)**

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| Language | Spoken | Written | Relevant Certificates |
| - | 10 | 10 | SPM - A1 |
| Secondary Sch | 9 | 4 | - |
| Other Language | - | | |

**Additional Info**

Expected Salary SGD 7,500

Preferred Work Location , ,

**About Me**

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| Gender | Unknown |
| Address |  |