



Angelena Joseph

Head Supervision

Federation of Investment Managers Malaysia

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Experience

August 2013 - Present

Head Supervision

Federation of Investment Managers Malaysia

- Oversee and manage staff that performs scheduled and/or ad-hoc supervisory and surveillance programs to ensure industry integrity and best practices are maintained at all times;
- Provide regulatory guidance to internal and external stakeholders regarding rules and regulations to assist them in complying with their obligations post registration;
- Provide oversight to the supervisory process as it relates to self-identified concerns and required action;
- Lead regulatory project initiatives to align with annual strategic plans set out by the organization;
- Interact directly with senior management and regulator regarding supervisory programs and status of such programs, and in response to any regulatory examinations and on-going requests for information;
- Develop key relationships with Board members, senior management team and regulator.

October 2011 –
January 2013

Senior Manager, Legal & Compliance

AmlInvestment Services Berhad

- Oversee and managed compliance team within the Legal, Compliance & Risk Department, specifically in ensuring regulatory requirements and internal processes in relation to new fund submissions are met, reporting to regulator and Group on periodic basis.
- Reviewed and approved staff work products from a compliance standpoint prior to submission to regulator for accuracy and consistency;
- Provided updates to Head of Department and senior management on current work assignments, projects in progress and ad-hoc research on jurisdictions outside Malaysia;
- Developed and managed an effective compliance testing/ self-assessment programs for the business units;
- Served as a central point of contact for internal and external stakeholders, including Regulator and oversee the accuracy of the information regarding regulatory requirements in the unit trust and fund management business;
- Provided coaching and counselling to team members on regulatory requirements and internal processes, when necessary.

**September 2010 –
September 2011**

Head, Legal & Compliance
Prudential Fund Management Berhad
(now known as Eastspring Investments Berhad)

Managed and oversight of the Legal & Compliance Department in ensuring compliance with all regulatory requirements, group compliance policies & guidelines, including regional compliance framework.

- Provide oversight on the development of compliance framework in line with regulations and regional requirements;
- Managed timely submissions of regulatory reports to regulator and regional;
- Provided legal advisory service to Board, senior management and respective department, which includes reviewing agreements involving the organization and form legal opinions;
- Reviewed and enhanced the standard documentation to be in line with applicable laws and regulations as well as regional practice;
- Provide oversight on the review of procedures for appointment of panel solicitors and managed the monitoring of the service level rendered by panel solicitors;
- Served as a main contact with regulator and regional office;
- Updated senior management on new regulatory initiatives, latest regulatory development /non-compliance relating to regulatory requirements;
- Served as a guide, mentor and coach to the Legal & Compliance team on compliance activities' to build knowledge on applicable laws and regulations and guidelines.

**February 2008 –
August 2010**

Manager, Legal & Compliance
AmlInvestment Services Berhad

- Assist the Head of Legal & Compliance on compliance related matters;
- Reviewed and managed completeness and timely submissions of new funds to the regulator;
- Reviewed agreements involving 3rd party distributors and fund managers on a timely basis;
- Effectively communicated with all business Heads, Committee members, regulator and trustees on regulatory issues/ any changes to regulations;
- Supported compliance team on development of compliance matrix for all business units and engaged with the respective business Heads to formalise the matrix;
- Served as a central point of contact for trustees and regulator.

**July 2007 –
January 2008**

Manager, Legal & Compliance
Standard Chartered Bank Berhad

- Supported the General Manager of Wealth Management Department and team in on-going development of compliance review plan for the Department;
- Proactively identified regulatory compliance risk, to feed into periodic review of the compliance plan;
- Effectively executed compliance programs and supported compliance activities, enhanced compliance programs as and when there are changes to regulations or Group direction;
- Delivered timely compliance reviews and reports, focused on areas of compliance risk and

management direction to the standards set out in the Group Compliance Manual;

- Managed issue tracking and periodic reporting of status/action plan; and
- Act as liaison with Group to ensure that reports and findings are reported timely and accurately for Management Reporting.

**November 2004 –
July 2007**

**Senior Executive, Legal & Compliance
CIMB-Principal Asset Management Berhad**

- Assisted the Head of Department in the development of compliance policy and procedures manual;
- Developed and ensured compliance to compliance programs;
- Monitored regulatory changes and communicated those changes to relevant business units and ensure business processes are revised accordingly;
- Monitored and submitted new/ renewals of licensed personnel in accordance with the SC Licensing Guidelines;
- Provided assistance to relevant business units on compliance and regulatory issues;
- Monitored investment limits for 26 unit trust funds daily and alert fund manager in the event of breach in limits;
- Effectively developed relationship with internal and external stakeholders i.e. product team, sales team, fund managers, trustees and regulator;
- Provided assistance in compliance training programs within the organization.

Education

1997	Bachelor's Degree in Law (LLB Hons.) University of Wolverhampton, United Kingdom	
	Major Grade	Legal Studies 3rd Class

Skills

Intermediate	MS Office
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Languages

Proficiency level: 0 - Poor, 10 - Excellent

Language	Spoken	Written
English	10	10
Bahasa Malaysia	7	7
Tamil	5	0

Additional Info

Expected Salary RM 14,000

Other Information

Personal Traits and Attitude

- Passionate for continuous learning and personal growth
- Highly motivated and driven, with strong desire to excel

Strengths

- Good managerial skills
- Dynamic team player and aptitude to multi-task
- Responsible and resourceful
- Good communication skills in both written and spoken English and Bahasa Malaysia
- Meticulous with attention to details

Reference References is available upon request