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EDUCATION

2008 – 2011: University of Hertfordshire, UK.

B. Arts in Financial Planning

Core Subject: Corporate Finance, Derivatives, Financial Management, Investment Planning etc.

PROFESSIONAL CERTIFICATE

SIDC Module 6 (by Securities Commission Malaysia)

SIDC Module 7 (by Securities Commission Malaysia)

Lean 6 Sigma White Belt (by Great Eastern Life Assurance (M) Bhd)

PKMC Pasaran Kewangan Malaysia Certificate (jointly awarded by FMAM & AICB)

Advanced Certificate in Regulatory Compliance (AICB) - pursuing

SKILL SUMMARY

Language:	Computer Skills:	Project Lifecycle:
<ul style="list-style-type: none">• English• Chinese• Malay• Cantonese• Hakka	<ul style="list-style-type: none">• Ms Office (Including Advanced Level of MS Excel)• Bloomberg	<ul style="list-style-type: none">• Gap Analysis• Impact Analysis• Requirement Analysis• Process Improvement

WORKING EXPERIENCES

Manager, Compliance Control Room – Hong Leong Bank Bhd (Sep 2022 – Present)

- Primary responsibility is to set up monitoring and surveillance team by ensuring adequate framework, processes and procedures are in place, including ongoing monitoring processes.
- Project management including tendering process, negotiation, stakeholder managements, agreement review, business impact analysis, vendors selections, policy development, and etc. The process also includes developing project charter, tender list memo, user requirement specification, functional requirement assessment, RFP process, presentation decks for Project Steering Committee and Tender Review Committee for management and etc.
- Performed digital & IT checklist include Cloud Adoption Due Diligence Checklist, Cloud Initial Assessment, IT Compliance Checklist to address risk and compliance requirements in accordance with regulator guidelines, i.e. PDPA, AML/CFT, MCIPD, RMIT for the adoption of cloud solution.
- Developed PDPA consent form, privacy notice for the solution.
- Developed e-learning modules for staff training purposes.
- To conduct periodic review on the surveillance and monitoring of trading activities.
- To perform periodic review on Control Room framework, processes and procedures.
- To compile responses, data, evidences or supporting documents for senior management and regulators at their request.

Treasury Dealer – AIA Bhd (Sep 2018 – Sep 2022)

- All fixed income assets trade activities including both foreign and local bonds, CCS, money market, REPO, FX etc – to deal efficiently and transact on the best price basis.
- Daily cash management – to manage liquidity in a healthy level with timely funding allocation and maximizing return based on approved investment mechanism.

- Involved for readiness from all aspects on transacting new type of instrument.
- Performed regional macroeconomic analysis, including Malaysia, US, China, and SEA markets.
- Provided latest economic data and market development in daily morning meeting and weekly fixed income meeting
- Good collaboration and good with external and internal stakeholders.
- Well covered all process improvement and enhancement for all areas of investment dealing to minimize risks and handled audit or compliance queries or issues for trades related.

Assistant Manager, Investment– AmGeneral Insurance Bhd (Mar 2016 – Sep 2018)

- Board Paper - Prepared for all papers including ad-hoc and various analysis that requested by Board of Directors on investment portfolio.
- SAA & TAA – Reviewed, proposed and recommended SAA & TAA of investment.
- Stress Testing - Performed various scenario stress testing on periodic basis, as well as ad-hoc basis.
- Performance Attribution – Performed MTM analysis on the impact of yield curve and credit spread movement to portfolio, monitor the investment performance attribution, track asset liability matching function, monitor the credit news related to the Company fixed income exposure etc.
- Revamped SOP and internal policies, including investment fund mandatory.

Investment Compliance Project – AIA Bhd (Aug 2015 – Mar 2016)

- Person-in-charged of Project Sweep for post integration of AIA and ING on Bloomberg Compliance module (“CMGR”) for investment pre and post trades monitoring.
- Reviewed the process and identify gaps in accordance to the regulatory guidelines– BNM and SC policies/guidelines/frameworks.
- Defined processes and tools best suited to the project, tracked progress, developed UAT test plan, developed process & procedures documents post integration.

Investment Compliance & Financial Crime Intervention – Great Eastern Life Assurance (M) Bhd (Apr 2014 - Aug 2015)

- Performed the quarterly examination/audit/assessments on the areas of Investment Management, Trade Settlement, Pricing and Valuation, Fund Administration & Reporting by identifying compliance and risk management issue and provides value-added recommendation to enhance the process flow.
- Annual review of Operating Manual for Investment Department by assessing the current process and risks.
- Rule setting in Bloomberg Compliance Module in accordance to regulatory guidelines/policies/framework to mitigate manual time/risk and improved efficiency and effectiveness of processes.
- Accountable to monthly, bi-monthly and quarterly reports to Group Risk Management & Compliance, Board Risk Committee, and Senior Management Team.
- Identify modus operandi, review and submit STRs to FIED of BNM.
- Monitoring and screening of High-Risk persons listed under UNSC, OFAC, DPP, Media Sweeps.
- Perform review of scenario and threshold-based transactions captured in application to identify suspicious transaction as on-going due-diligence and reporting to regulator.

AML Analyst – Citigroup Transaction Services (M) Sdn. Bhd (Jan 2013- Apr 2014)

- Investigated and monitored financial activities and transactions that appear to be suspicious.
- Present findings of investigation to senior managers of AML Compliance and other units.

REFERENCES

Name : Alex Chin Ka Fai
Company : AXA AFFIN Life Insurance Bhd
Position : Country Chief Investment Officer
Contact : +6016 – 2639019

Name : Eve Tsen Yi Wei
Company : CIMB Bank Bhd
Position : Senior FCC Officer
Contact : +6012 – 3348813