

# Stephanie Claire Rodrigues

## Personal Profile



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05-08-08, Brem Park Condo,  
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Gembira, 58200, Kuala  
Lumpur  
0166329797  
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## SKILLS & ABILITIES

- ✓ Licensed Compliance  
Officer certified by the  
Securities Commission  
Malaysia(SC)
- ✓ Passed Module 9, 10, and 11  
of the SC Licensing  
Examinations
- ✓ Microsoft Word : 10/10
- ✓ Microsoft Excel : 7/10
- ✓ Microsoft Outlook : 7/10
- ✓ Lotus Note : 5/10
- ✓ Algo : 5/10
- ✓ Murex: 5/10
- ✓ Bloomberg: 5/10

## LANGUAGE PROFICIENCY

- ✓ English: Written and Spoken
- ✓ B.Malaysia: Written & Spoken
- ✓ Mandarin: Spoken

## REFERENCES

- ✓ Adlin Aazhar  
Manager, Intermediaries  
Supervision Department  
Bursa Malaysia

## PROFESSIONAL SUMMARY :

Driven Compliance Manager, oversees corporate compliance programs and function as a neutral body to review and evaluate compliance issues. Competent in implementing compliance programs and ensuring adherence to them through delivery of well-placed directives. Ability to develop, initiate, maintains and revise policies and procedures for the operational success of compliance programs. Recognized for reviewing standards of conduct to ensure continuous relevance in providing guidance to employees. Currently seeking roles within the regulatory and supervision environments.

## EDUCATION

- 2002 to 2006 (SPM)  
SMK Seri Saujana
- 2007 to 2008 (STPM/MUET)  
SMK Sri Sentosa
- 2009 to 2012 - Degree in Law [LLB Hons]  
University of London International Programme

## EXPERIENCE

### Manager, Intermediaries Supervision | Bursa Malaysia

#### June 2020 – Present

- Performing annual audits on Participating Organisations and Trading Participants
- Reporting to Securities Commission on a daily/monthly/quarterly/ad hoc basis
- Officer in charge for selected portfolios
- Reviewing submissions by the Participating Organisation/Trading Participants

### Compliance Manager | Apex Investments Services Berhad

#### May 2018 – May 2020

- Monitor and assess current projects for compliance risks.
- Provide teach-ins and training on understanding the guidelines.
- Key liaison between company and all Financial Regulators (Bank Negara, Securities Commission Malaysia, Employee's Provident Fund, Inland Revenue Board Malaysia, Federation of Investment Managers Malaysia)
- Evaluate all business activities relating to compliance, including policies, investments, partnerships, etc.
- Audit processes and procedures as well as capital market service providers
- Create and implement company policies and procedures
- Establish reliable internal controls and good corporate governance within the Board of Directors and various committees within the Company
- Manages and leads compliance executives; oversee team work flow
- Develop plans for crisis events or compliance violations
- Present audits, data, and procedures to other teams; advise on compliance issues across the company
- Work with company leadership to review potential future compliance red flags or risks.
- Collaborate and create strong interpersonal relationships between departments and teams for total compliance monitoring and audits
- Proactive in understanding and educating changing regulations, laws, and best practices, as they apply to the business and industry
- Ensuring all regulatory reporting are completed.

- ✓ Mr Tan Keah Huat,  
Executive Director,  
Apex Investments,  
0192327911
  
- ✓ Satvinder Kaur,  
Compliance Manager,  
Amara Investment  
Management,  
03- 21625688  
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ments.com
  
- ✓ Shantini Asohan,  
Manager, Standard  
Chartered Scope  
International,  
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- ✓ Mohd Syafiee Zainoordin,  
Manager, HSBC Electronic  
Data Processing (HDPM)  
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### **Compliance Manager | Amara Investments Management**

#### May 2016 – May 2018

- Implement revised compliance controls which resulted in increased consistency of work processes
- Identify key areas prone to vulnerability and addressed correlating issues, resulting in smoothness of project progress
- Determine loopholes in compliance programs and create and implement corporate compliance modules
- Oversee and monitor the implementation of compliance programs across all platforms
- Develop, initiate and devise policies and protocols for operation of compliance programs to prevent illegal and unethical conduct
- Respond effectively to alleged incidents of non-compliance and violations and implement system for uniform of handling of violators
- Monitor and coordinate compliance activities of all departments and stay abreast of statuses of associated activities
- Liaison between company and all Financial Regulators (Bank Negara, Securities Commission Malaysia, Employee's Provident Fund, Inland Revenue Board Malaysia)

### **Team Lead | Collateral Data Control | Standard Chartered Scope International**

#### June 2015 – May 2016

- Pioneer team to handle data migration project in Singapore. Key migration data includes process implementation, compliance to regulator policies and standards
- Team Management-Ensuring team meets all deadlines and SLA of Standard Chartered Asia Division
- Daily Maintenance of data quality within systems, ensuring that trade processes runs smoothly throughout business hours
- Reconciliation of daily trades
- Daily Management Reporting

### **Global Support Executive | Global Data Quality | HSBC Electronic Data Processing ( HDPM )**

#### September 2012 – June 2015

- Assisting in the Collateral Process Migration from KL to Manila to ensure its smoothness and success
- Received Yellow Belt for automation of a Manual Upload process
- Best GSE in Collateral Management team for July 2014
- Received multiple compliments for work done for FX Prime clients
- Main point of contact for Priority Client Queries (Blackrock & PIMCO) and FXPB Client Queries
- Able to process for all 4 regions which includes London, New York, Paris and Hong Kong.
- Performs daily Reporting work for all regions
- Maintenance of Static Data in Algo which covers setups of CSA, GMRA, SBL and FXPB