

AFFIQ NAQUIDDIN BIN OSMAN



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WORKING EXPERIENCE

MANAGER - MARKET OVERSIGHT (DERIVATIVES)

INTERCONTINENTAL EXCHANGE (ICE) Abu Dhabi, UAE | January 2024- Present

- Manage investigation and surveillance activity.
- Preparation guideline monitoring and policies following to the regulator requirement.
- Monitoring all the updates and changes of policies to comply with the regulator adherence
- Generating pre and post trade alert and analysis
- Involve in a new product testing and data testing
- Advising the organization with the regulator requirement
- Preparation of procedure for market surveillance
- Escalate issues as appropriate to senior management/IT.
- Ensure KYC and AML process perform correctly for member onboarding.
- Execute Risk Metric Assessment for each aspect for market oversight.
- Ensure new product in occupied and comply each aspect from the Exchange and local and global Regulator
- Monitor Market Maker Program in promoting volume for the exchange
- Perform and Review policies for Market Oversight related according to the risk metrics.
- Work close with counterpart all around the globe to make sure policy is met with the global regulator
- Performing system control check with members for KYC process
- Interact directly with regulator compliance provider regarding guideline, monitoring and market surveillance

MANAGER - TRADING AND SURVEILLANCE (DERIVATIVES)

DUBAI GOLD AND COMMODITIES EXCHANGE (DGCX) | February 2023 – December 2023

- Manage Analysts to ensure all tasks defined in daily process schedule are undertaken correctly, and that issues are properly escalated and dealt with on a timely basis
- Preparation guideline morning and policies following to the regulator requirement.
- Monitoring all the updates and changes of policies to comply with the regulator adherence
- Revision of market surveillance parameter
- Escalate issues as appropriate to senior management/IT.
- Ensure all alerts generated on a daily basis are investigated and followed-up.
- Undertake random sample checking to ensure that alerts closed have followed the relevant procedures.
- Refer to Compliance those alerts that are prima facie breaches of relevant By- Participate Laws.

- in projects relating to Trading & Surveillance, acting as Project Manager where appropriate. This will include drafting business requirements, test cases, overall project plan, undertake internal testing and participate in external testing.
- Review existing policies and procedures on (at least) annual basis to ensure they remain fit for purpose, identifying areas for improvement.

MANAGER - DERIVATIVES MARKET SURVEILLANCE

Bursa Malaysia (Malaysia Exchange) | September 2021 – February 2023

- Monitor market participation, deliveries, news, and economic performance of assigned products, and must
- Demonstrate a solid understanding of the fundamental factors that influence the price of their assigned contracts
- Conduct investigations in connection with the departments monitoring of compliance with ex-pit transaction, position limit, delivery, and reporting rules
- Prepare written reports that are reviewed by management staff and, in situations involving material rule violation.
- Communicate surveillance analyses and findings to department management and to other members of the department
- Working with the stakeholder with to implement T+1 session as new session into market.

ASSISTANT MANAGER - DERIVATIVES (DUAL LICENSED)

CGS-CIMB Futures Sdn Bhd | Dec 2013 – August 2021

- Assisted in the front office's administration and operation function: trade checks (derivatives)
- Familiarise with local (BMD) and global(CME,ICE, HKEX and etc) futures in contract specification.
- Actively participated in Sales Development project for company
- Actively participated in Symposium for Bursa Malaysia Derivatives
- Implemented product of Contract of Differentiate CFD) to the Market.
- Educate, assisting and managing opening of client's accounts
- Understand the nature and the structure of the futures market, products knowledge and keep abreast of the current market (commodities and index) developments to develop analytical skills
- Participated in Bursa's (exchange) Business Continuity Plan.
- Performed 24 hours' duty to manage global derivatives and execute the trades for institutional and retail clients.
- Trained new junior dealer for the work flow of the department.

EDUCATION

BACHELOR BUSINESS ADMINISTRATION MAJOR IN ENTREPRENEUR DEVELOPMENT / 2009 - 2013

TECHNICAL SKILLS

Microsoft Office Application

NASDAQ Market Surveillance (SMARTS)

Bloomberg

Reuters Terminal

Trading Platform (TCPPro, QST, J-Trader, TT, Fidessa and Cinnober EOS Trader)

Platts

REFERENCE

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