



## Wan Sarah binti Wan Rusli

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Competent Compliance officer with 8 years of experience in the financial industry. Equipped with a broad background in compliance review, providing advisory, reporting, risk assessment and corporate governance. Experienced in leading the team in undertaking various projects and also a team player with strong analytical, communication, time-management and multi-tasking skills. Keen to take on a managerial role, expand my knowledge and contribute to the organization.

### Experience

**IB Compliance Officer, Capital Market Supervision (Assistant Manager)** 3/2022 – Present  
(2 years 3 months)

**RHB Investment Bank, RHB Center HQ, Kuala Lumpur**

- Provides advisory and acts as the liaison for conflict of interest matters related to capital markets for the business units under its purview (i.e. Client Coverage, Corporate Finance, Equity Capital Market, Debt Capital Market and Mergers and Acquisition departments).
- Assess prospectus and circulars for proposed issuance of IPO, amongst others to ensure the SC and Bursa Guidelines are adhered to (i.e. Listing Requirements).
- Monitor SC and Bursa website for any updates or amendments to the Listing Requirements and other laws related to capital markets on a daily basis.
- Evaluate and review internal policies and guidelines (i.e. Group IB Compliance Operations manual and Conflict of Interest Guidelines).
- Conduct annual compliance reviews and facilitate trainings for the Board of Directors and all relevant staffs.
- Prepare and consolidate the RHBIB Group Monthly Compliance Reports for management review.

**Compliance Review (Assistant Manager)** 12/2020 – 11/2021  
(1 year)

**Hong Leong MSIG Takaful, Petaling Jaya HQ**

- Acted as team lead for compliance monitoring reviews across business units on Bank Negara guidelines and policies on CDD AML/CFT, PDPA, etc.
- Updated the Compliance Assessment Risk (CRA) on a quarterly basis to mitigate emerging risk within all departments.
- Conducted review on Shariah Investment activities by Finance on a monthly basis.
- Supported and reported to the Chief Compliance Officer on all compliance review related activities.

**Monitoring and Testing, Group Compliance (Senior Executive)** 4/2017 – 1/2020  
(2 years 9 months)

**Ambank (M) Berhad, Kuala Lumpur HQ**

- Reviewed policies and conduct independent validation within banking Group ensuring adherence to guidelines of regulators.
- Performed branch visits nationwide and assessed proper KYC for customer onboarding and ensure branch operation is in accordance to relevant guidelines.
- Prepared compliance reports for management review.

**Securities Commission, Kuala Lumpur Corporate Finance and Investment, Equities (Senior Executive)** 4/2016 – 12/2016  
(9 months)

- Ensured proper and completed submission of documentation and compliance with Securities Commissions guidelines.
- Evaluated proposed issuance of IPO, Proposed Acquisition and Rights to ensure they are viable and interest of potential investors are protected.
- Assessed the Issuer's Financial Statements, Independent Market Research Report, the structure of the proposed facility, and the proposed utilization proceed.

### Education

**BSc Business Administration**  
Major: **International Business**  
*State University of New York Buffalo, United States*  
CGPA: 3.0/4.0

### Certificates/Licenses

- Certification in Regulatory Compliance by ICA/AICB
- Module 6: Malaysia Stock Market & Securities Law License (Securities Commission)
- Module 7: Financial Statement Analysis and Asset Valuation License (Securities Commission)

### Soft Skills

- Possess good presentation, influencing skills, and problem solving skills
- Independent and also a team-worker
- Strong organization and planning skill
- Critical, analytical and inquisitive thinking
- Detailed-oriented

### Technical Skills

Computer literacy: MS Office, MS Word, MS Excel, MS PowerPoint

### Languages

Fluent in professional writing and speaking in Bahasa Malaysia and English.

## Experience (cont'd)

**Licensed Dealer Representative, Equities**  
**Maybank Investment Bank, Kuala Lumpur**

**6/2014 – 2/2016**  
**(1 year 9 months)**

- Executed trades and managed client's investment or trading portfolio according to respective risk appetite and trading behavior.
- Acquired new clients and meet monthly sales brokerage and turnover target to help team deliver revenue.
- Constantly updated clients on market trend, keep up-to-date on daily global and local news while having a strong product knowledge.
- Sourced new clients through networking and cold calling.
- Accurately evaluated financial reports and investment ideas to clients (recommend stock picks, guide clients on how to trade).

**Non Advisory & Sales Improvement Specialist**  
**Ambank (M) Berhad, Kuala Lumpur HQ**

**12/2013 – 4/2014**  
**(5 months)**

- Strengthened company's business by leading the role function as a sales improvement specialist by monitoring sales of all branches and offices regionally in Non-Advisory products.
- Developed strategies for cross-selling of products and launched various projects to increase the sales productivity and reviewed sales operations involving AmGeneral and Wealth-Bancassurance.
- Reviewed and updated the number of licensed motor insurance CSR and top/low performing branches/CSR's weekly.
- Provided guidance to Branch Managers, Sales Manager Deposits/Wealth& Sales Staff on sales enhancement techniques.