

## **Senior Manager / Associate Director, Compliance (Business Compliance)**

### **Job Description:**

- Assist the Chief Compliance Officer in a broad area of responsibilities in compliance
- Handle day-to-day compliance duties to ensure regulatory compliance in HK
- Handle corporate and individual license application and regulatory notification (including SFC, MPFA etc)
- Deliver compliance training to employees, including compliance orientation training for employees newly joined the Company, and routine compliance training for all the employees
- Advise on cross-border transactions and marketing activities, work closely with overseas offices compliance team to ensure regulatory compliance in overseas jurisdictions (namely Singapore, China, UK, Korea and ASEAN)
- Assist to handle and advise on cross-border regulatory matters (e.g. MiFid, FATCA etc)
- Review of fund distribution activities, including approval of marketing materials
- Conduct due diligence on service providers and handling client reporting
- Design and conduct regular compliance monitoring & surveillance procedures and checking
- Prepare regulatory reporting and internal reporting to the Group
- Handle enquiries and act as central contact point for regulators inspections and visits, internal and external audit reviews etc
- Report on a regular basis to management on any compliance issues and / or regulatory changes which may impact the company
- Tracking regulatory changes (both local and overseas) and inform the relevant business divisions on a timely basis
- Provide regulatory advice to senior management and handle enquiries from different departments on compliance matters
- Update compliance policies and procedures to adhere to new regulatory or group requirements
- Handle other tasks assigned and ad-hocs projects from compliance / regulatory perspective

### **Requirements:**

- Bachelor Degree with major in Accounting, Finance or related discipline
- Minimums 8 years of experience in handling compliance matters in fund houses, relevant experience with regulatory bodies (e.g. SFC) is preferred, regional experience in monitoring Singapore and China offices is an advantage.

- Familiar with MPF regulations, SFC codes and guidelines and Securities and Futures Ordinance, knowledge and work experience related to US Investment Advisors Act is an advantage;
- Solid experience in handling enquiries from regulators, such as SFC, SEC and MPFA
- Good analytical and communication skills and able to work independently
- Self-motivated, good leadership skill and a team player
- Able to handle multiple-tasking
- Excellent command of spoken and written English and Chinese is required. Proficiency in Putonghua is a plus

Interested candidates please send your full resume with current and expected salary in MS Word format at [career@vp.com.hk](mailto:career@vp.com.hk). Personal data will be used for recruitment purpose only.

Only shortlisted candidates will be notified.