

## **Associate, Compliance**

### **Job Description:**

- Perform pre-trade and post trade compliance monitoring to ensure the trades are in line with the investment restrictions guideline
- Handle disclosure of interest and other regulatory reporting and filing for the group
- Handle licensing related matters and other regulatory filing for the group and liaise with SFC and MPFA on their enquiries
- Handle staff dealing approval, monitoring and review staff dealing-related reports
- Coordinate with IT on system enhancement and user-acceptance testing for features related to compliance
- Handle client reporting
- Assist in other tasks assigned and ad-hoc projects

### **Job Requirements:**

- Bachelor Degree with major in Accounting, Finance or related discipline
- Minimum 4 years' experience in handling compliance matters, experience with fund house is preferred
- Familiar with SFC coders and guidelines, Securities and Futures Ordinance and other relevant regulatory requirements (including UCITS and MPFA investment guideline)
- Good analytical and communication skills and able to work independently
- Familiar in using Charles River System, Bloomberg
- Extremely details oriented
- Team player
- Able to multi-tasking
- Proficient in Cantonese, English, Mandarin
- Immediate available or with short notice is highly preferred