

Assistant Vice President, Compliance

Ref: AVP/C/160112IN

Responsibilities

- Advises management and relevant business units on compliance-related issues
- Promotes compliance awareness and culture of the Group including development and delivery of compliance trainings
- Performs compliance monitoring and ad-hoc compliance review or investigation, e.g. customer complaint cases and suspicious transactions. Reports non-compliance issues and suggests resolution and improvement plan
- Develops, updates and reviews compliance policies & procedures and guidelines
- Liaises with business, operations, auditors and regulatory authorities on compliance issues
- Reviews policies and procedures prepared by other departments and provides input to ensure compliance with applicable legal and regulatory requirements
- Performs follow-up reviews to verify the implementation of recommendations from regulators, external auditors and internal auditors, to resolve compliance related findings/ issues identified by them

Requirements

- Degree holder in Accounting, Business, Law or related disciplines
- Minimum 4 years of relevant experience, preferably in audit, accounting or related field in the financial services industry and/or with regulatory authorities
- Sound knowledge of the Securities and Futures Ordinance and its subsidiary rules, rules and guidelines of the Securities and Futures Commission as well as rules & regulations of the Hong Kong Stock Exchange & the Hong Kong Futures Exchange
- Strong self-motivation and personal integrity, with good communication, analytical, presentation, problem solving and leadership skills
- Good command of both written and spoken English and Chinese

We offer a competitive remuneration package to the right candidate. Please send your resume with **present and expected salaries** to **Human Resources Department** via email to hr@shkf.com (Please quote reference number for the job application).

(We are an equal opportunity employer and welcome applications from all qualified candidates. All applications will be treated in the strictest confidence. Personal data provided will be used for recruitment purposes only. We do not assume any risks of disclosure of personal information prior to receipt of applications.)

