

Sun Hung Kai Financial Limited (“SHKFL”), founded in 1969, is a wholly-owned subsidiary of Sun Hung Kai & Co. Limited (Stock Code: 86).

Operating under the Sun Hung Kai Financial brand as well as the SHK Private and SHK Direct sub-brands, SHKFL has three core business segments, which are Wealth Management and Brokerage, Capital Markets and Asset Management. They offer customised financial solutions for retail, corporate and institutional clients.

SHKFL has an extensive branch and office network in Hong Kong, Mainland China and Macau, and offers a diversified financial trading platform to its customers. SHKFL, through its subsidiaries, currently has over HK\$56 billion* in assets under management, custody and/or advice. (*Figures as of 31 December 2011)

To cope with our business needs, we are now looking for candidates with good potential to apply for the following position in the Compliance Department:

Vice President, Compliance

Ref: VP/COM/160512IN

Responsibilities

- Assists the Head of Compliance to perform the compliance functions related to equities and futures & options
- Advises management and relevant business units on all compliance-related matters/issues
- Designs compliance surveillance programs and conducts compliance reviews and ad-hoc investigations. Reports non-compliance issues and suggests resolution and improvement plan
- Reviews and establishes compliance policies & procedures and related guidelines
- Liaises with regulators, auditors, business and functional units on compliance issues
- Handles Securities and Futures Commission enquiries and conduct related investigations
- Reviews and comments on new products/services, policies & procedures, marketing materials, advertisements prepared by other departments to ensure compliance with the 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
- Promotes general compliance awareness and culture of the Group including development and delivery of compliance training programs

Requirements

- Degree holder in Accounting, Business, Law or any related disciplines
- Minimum 7 years of solid experience in compliance, audit and/or related experience in the financial services industry or with regulatory authorities
- Experience in development of compliance policies & procedures and related guidelines, conducting compliance review, monitoring or investigation, performing compliance trainings
- Experience in dealing with regulatory issues in relation to equities, or futures & options.
- 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. If you are interested in the post, please send your resume together with your **present and expected salaries** through online application by clicking the “QUICK APPLY” button.

QUICK APPLY

For more information about Sun Hung Kai Financial, please visit www.shkf.com.

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.

Under the Personal Data (Privacy) Ordinance, you may request access to, and / or correction of your personal data in relation to your application. If you wish to do so, please email to hr@shkf.com.