

At Sun Hung Kai Financial, we serve with professional integrity. More than a claim, this describes the way we do business. We are committed to being a world-class financial services provider and delivering superior solutions to our clients. Our people act effectively in the global investment landscape to make this possible. Renowned as one of the leading financial institutions in Hong Kong, Sun Hung Kai Financial Limited (“SHKFL”) has been established with a solid foundation and history of excellence since 1969. Through its two core businesses, Wealth Management and Brokerage, and Capital Markets, the company has an extensive network of branches and offices in Hong Kong, Macau and Mainland China, which offer customised wealth management and investment solutions for retail, corporate and institutional clients. Backed by Shanghai-listed Everbright Securities Company Limited (SSE: 601788) and Hong Kong-listed Sun Hung Kai & Co. Limited (SEHK: 86), we have the pedigree to deliver a steady return on equity, while remaining profitable.

Now an exciting opportunity has arisen for a high-calibre professional to join our dynamic team for a rewarding career:

Assistant Vice President, Compliance

Ref: AVP/C/IN

Responsibilities

- Assist the team head to provide regulatory advisory on securities, futures, mutual fund, bonds, structured products, etc to management, front office and functional units on relevant compliance-related matters/issues
- Liaise with business and functional units, auditors and regulatory authorities on compliance related issues/ matters
- Design / revise compliance surveillance programmes and conduct compliance reviews and ad-hoc investigations. Report non-compliance issues and suggest resolution and improvement plan
- Develop, update and review compliance policies & procedures and related guidelines
- Review and comment on policies and procedures prepared by other departments from a compliance perspective
- Promote compliance awareness and culture of the Group including preparation of training materials and delivery of compliance training
- Perform follow-up reviews to ensure recommendations from regulators, external auditors and internal auditors, to resolve compliance related findings / issues identified, are promptly addressed and properly implemented

Requirements

- Degree holder in Accounting, Business, Law or related discipline
- Minimum 5 years’ relevant experience, preferably in compliance, audit, accounting or related experience in the financial services industry or with regulatory authorities
- Good knowledge of the Securities and Futures Ordinance and its subsidiary rules, as well as rules and guidelines of the SFC
- Good knowledge of AML / KYC related laws, regulations, guidelines and practices
- Good knowledge in financial products is a plus
- Organised, diligent and attentive to details, with a strong sense of responsibility
- Strong self-motivation and personal integrity, with good communication, interpersonal, analytical, presentation and problem solving 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.

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For more information about our company, 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. The job applicant will assume all or any risks arising out of or in connection with the job application transmission process prior to our actual receipt of the same including but not limited to accidental or unauthorized loss or disclosure of personal information, to which we will not be responsible in any way.

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.