

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:

Vice President, Compliance

Ref: VP/C/IN

Responsibilities

- Responsible for the compliance advice to the general business, including the new business, integration process, gap analysis and policies and procedures review and drafting
- Liaise with various stakeholders on the operational process improvement for the integration project
- Advise management and relevant business units on compliance-related matters
- Work closely with both internal and external parties including auditors and regulatory authorities on compliance issues
- Design compliance surveillance programs and conduct compliance reviews / monitoring including ad-hoc investigations
- Keep abreast of the latest legal and regulatory requirements and promote the compliance awareness within the Group
- Participate in any ad-hoc projects / assignments when required

Requirements

- Degree holder in Accounting, Business, Law or related discipline
- Minimum 7 years' relevant experience in compliance, audit or related field in the financial services sector with regulatory authorities
- Solid experience in development of compliance policies & procedures and related guidelines, conducting compliance reviews/ monitoring or investigation and performing compliance trainings are preferred
- Sound knowledge of the Securities and Futures Ordinance and its subsidiary regulations as well as rules and regulations of the Hong Kong Stock Exchange, Hong Kong Futures Exchange, CIB and MPFA
- Enthusiasm, strong self-motivation, personal integrity and ethics
- Good leadership, analytical, problem solving, communication, interpersonal and presentation 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.