

<b>Job Description</b>	
Position Title	Regulatory and Compliance Senior Officer
Reporting	Internal Control and Compliance Manager

<b>Main Tasks and Duties</b>	
1	Lead/Manage/Guide the regulatory team to ensure the implementation of the branch compliance plan
2	Respond to regulatory authorities' routine queries and coordinates completion of survey and other request for information
3	Develop and perform periodic compliance reviews
4	Investigates compliance breaches and customer complaints.
5	Draft the annual compliance plan for HOD and management approval.
6	Conducts compliance training and provides advisory on Banking Act, SFA and FAA and other compliance matters
7	Implement and update compliance policies and procedures based on Head Office, and local regulatory requirements.
8	Prepares/reviews periodic reporting to local regulatory authorities, Head office and Management.
9	Tracks/monitor changes and updates on local regulations, conducts briefing and discussions on implementation with relevant departments and post implementation review.
10	Conducts annual regulatory risk assessment
11	Any other tasks or duties assigned by Head of Department or Company from time to time

<b>Job Requirements</b>	
Education	Recognised bachelor degree or above , preferably in Business or related discipline
Working Experience	<ul style="list-style-type: none"> <li>• At least 3 years of relevant experience in a regulatory compliance role.</li> <li>• Experience in SFA/FAA advisory</li> <li>• Performed compliance review/compliance testing such as Balanced Scorecard Review, Private Banking Sales Advisory Review, Continuing Professional Development review, Fit and Proper Review etc OR Due diligence for New Product onboarding/Product variation of existing products</li> <li>• Working Knowledge of Banking Act would be an advantageous</li> </ul>
Language	<ol style="list-style-type: none"> <li>1. English</li> <li>2. Mandarin to liaise with Chinese speaking employees</li> </ol>
Others	<ol style="list-style-type: none"> <li>1. Singaporeans and Permanent Residents welcomed to apply</li> <li>2. Strong knowledge in local rules and regulations (i.e Banking Act, SFA and FAA)</li> <li>3. Strong authority and capability to guide the team</li> <li>4. Good interpersonal skills to handle stakeholders across</li> </ol>

	multiple departments
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