

At Everbright Sun Hung Kai, we serve with professional integrity. More than a claim, this describes the way we do business. A subsidiary of Everbright Securities Company Limited (SSE: 601788, HKEX: 6178), with Sun Hung Kai & Co Limited (HKEX: 86) as its substantial shareholder, Everbright Sun Hung Kai offers a full-fledged financial platform that provides excellent cross-border and world-class financial products, and superior solutions for our clients. As one of the leading financial institutions with a solid foundation and history of excellence since 1969, Everbright Sun Hung Kai operates four core businesses, Wealth Management and Brokerage, Corporate Finance and Capital Markets, Asset Management, and Investment and Financing, serving individual, corporate and institutional clients in Hong Kong, Macau, Mainland China and the U.K.

Our all rounded product and service suite, and our solid track record of delivering a steady return on equity while being committed to staff development, present enormous prospects for talents.

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

Associate, Compliance (Central Compliance)

Ref: ASSO/C/IN

Responsibilities

- Assist in coordination of integration matters for EBSHK
- Assist in retrieving the latest legal and regulatory requirements and prepare necessary compliance reminders or compliance training materials for promoting compliance awareness and compliance culture
- Handle SFC licence applications and notifications for both corporate and individual level and related enquiries
- Monitor SFC licence approval progress and keep licensee updated of approval status, record keeping of licence-related documentation including update of internal SFC Licence Report, monitoring of licensed staff on completion of required CPT hours
- Assist in conducting compliance monitoring/ reviews and escalate any non-compliance issues in accordance with procedures and suggest remedial and/or compliance improvement plan to senior Compliance staff
- Assist in drafting of and reviewing Compliance policies and procedures and ensure compliance with applicable internal, legal and regulatory requirements
- Handle staff declarations in relation to Personal Account Trading, Outside Directorship/ Interest/ Activity, Gift and Entertainment and Annual Declarations
- Assist in handling Anti-Fraud enquiries
- Assist in arranging meetings with business, operations and other support departments/units, auditors and regulatory authorities to discuss compliance related matters/issues
- Perform general administrative work for the Department

Requirements

- Degree holder in Accounting, Business, Law or related discipline
- Minimum 2 years' solid experience in compliance, audit or related field in the financial services sector or with regulatory authorities
- Experience in handling SFC licence applications for both corporate and individual level
- Experience in performing compliance or similar training, development of policies and procedures (and related guidelines) and the conduct of compliance review and investigations
- A team player with good interpersonal, analytical and presentation skills
- Proficiency in MS Office applications
- 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.ebshk.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@ebshk.com.