

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:

## Assistant Vice President, Compliance (Regulatory)

Ref: AVP/C/IN

### Responsibilities

- Advise management and relevant business units on compliance-related matters, including the review of new products/services from a compliance perspective
- Manage FATCA/ CRS compliance and other reporting standards
- Handle enquiries / investigations from SFC and other authorities
- Develop policies and procedures and related guidelines; review and comment on P&P, marketing materials, advertisements, etc. prepared by other departments / business units, to promote compliance with applicable legal and regulatory requirements
- Liaise with management, business, operations and other relevant departments, auditors and regulatory authorities on compliance matters and issues
- Perform follow-up reviews to verify the implementation of recommendations from regulators, external and internal auditors, assist to resolve compliance-related findings and issues identified
- Design compliance surveillance programs and conduct compliance monitoring and reviews on products and business units under the VP's responsibility area. Handle ad-hoc investigations, customer complaints, suspicious transactions reviews etc. Report any non-compliance in accordance with protocols and suggest actions for resolution, compliance improvement planning etc.
- Keep abreast of the latest legal and regulatory requirements and promote compliance awareness and culture of the Group including preparation of training materials and delivery of compliance trainings

### Requirements

- Degree holder in Accounting, Business, Law or related discipline
- Minimum 5 years' relevant experience, preferably in compliance, audit or related experience in the financial services industry or regulatory authorities
- Experience in performing compliance or similar training, development of policies and procedures (and related guidelines) and the conduct of compliance review and investigations
- Sound knowledge of the Securities and Futures Ordinance
- Familiar with guidelines and regulations of the SFC
- Organized, diligent and attentive to details, with a strong sense of responsibility
- Strong self-motivation and personal integrity, with good leadership, communication, interpersonal, analytical 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.ebshk.com](http://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](mailto:hr@ebshk.com).*