



Compliance officer

f/m/d,

with a proven track record for our office in Singapore.

Overview of functions

We are a CMS licensee and are in the business of Fund Management / External Asset Management (EAM) / Independent Wealth Manager (IWM). Our clients include HNW, UHNW, Accredited Investors and Family Offices. In this role, you are responsible for:

- Day-to-day compliance needs, information finding, reporting and educating business units and staff on compliance issues, covering major regulatory aspects on AML and financial advisory.
- Perform regular review and controls to ensure adherence to regulatory requirements and internal policies and guidelines.
- Developing appropriate compliance framework, policies and procedures and performing relevant review and updates to the policies and procedures to meet regulatory compliance and Company standards.
- Working closely with internal and external parties to ensure compliance and timely regulatory reporting.
- Contribute as brand ambassador to the overall professionalism of the organization and represent the business in relevant industry forums and community activities.
- Ensuring completion of ad-hoc projects, etc.

Duties and responsibilities

- Develop and implement appropriate compliance framework, policies and procedures; maintain, review and perform updates to the policies and procedures.
- Ensure smooth handling and timely completion / submission of regulators' returns, surveys and questionnaires, etc.
- Manage regulatory compliance and non-AML work, including timely renewal of relevant licences; provide day to day support to business units on compliance issues, including client on-boarding and review of KYC processes.
- Keep abreast on all regulatory updates, attend to the necessary implementation and advise Management accordingly.
- Manage trigger events and reviews, ensure appropriate actions are taken in accordance with the AML / CFT policies and procedures.
- Conduct name screening of clients; review and clearing of daily name screen alerts.
- Conduct investigation into suspicious transactions / activities and file STR and other regulatory reporting as needed.
- Coordinate internal audit, external audit and inspection; review audit findings from internal and external reviews to assess adequacy of controls and facilitate formulation of correction actions.
- Conduct compliance training to raise awareness on AML / CFT controls and typologies.
- Undertake scheduled compliance and operational review and liaise with the compliance officer of other Group entities in order to establish a common understanding of compliance requirements within Marcuard Heritage (MH) Group.
- Continually assess regulatory risk, potential compliance issues relating to the Company's compliance related matters and raise material items to Management.
- Manage and monitor personal account dealing of advisors and staff.
- Perform any other ad-hoc tasks and project work as assigned.

Your Qualifications

- Solid educational background with specialization in Compliance from an accredited institution.



- 3-5 years of compliance experience in the financial industry, preferably in EAM / IWM.
- Excellent knowledge of SFA, FAA and other relevant MAS regulations and guidelines.
- Trustworthy, discreet with the highest level of integrity and loyalty.
- Leadership skills that combine assertiveness, diplomacy and collaboration.
- Self-motivated and dynamic with an ability to work independently as well as in an entrepreneurial team-oriented environment.
- Ability to manage multiple priorities efficiently and to maintain self-control while under pressure.
- Strong written and oral communication skills.

By applying for this position, you consent to the collection, recording and processing of your personal data and grant Marquard Heritage Singapore and its affiliates permission to use your data to perform tasks related to staffing this position. Your data will be stored and processed in our IT system in line with applicable data protection laws.

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