

## Head of Compliance

- **Leading Global Brokerage Firm**
- **Excellent Career Advancement**
- **Circa HK\$1.4mil p.a.**

Our client is a leading Global Brokerage firm, widely acclaimed by the financial industry. With their aggressive growth plan, they are now looking for a high-caliber candidate to head their Compliance team in Hong Kong.

The incumbent will report to Regional Head of Compliance

### Responsibilities:

- Developing policies and procedures related to Compliance Mandates
- Advising on new product, ensuring Compliance with Compliance Mandates and of the rules and regulations of the regulators
- Fostering good relationship with other departments to develop and maintain a Compliance culture
- Developing and managing a pro-active program to help detect violations of the Compliance mandates. Assist in the development of purchase, implementation, and effective usage of software to help facilitate the foregoing.
- Responsible for the development and education of employees related to Compliance initiatives.

### Requirements:

- University degree holder in Law or other related disciplines
- Min 8 years of industry experience as a Compliance professional.
- Sound knowledge and understanding of brokerage pertaining to OTC products
- Familiar with SFC, HKMA and/or HKEx rules and regulations
- Strong interpersonal, communication, negotiation and analytical skills
- Self-motivated, initiative and able to work independently
- Proficient in both spoken and written English and Chinese

To apply, please forward your resume quoting reference no. GSI1002 to [andy.lin@gsiconsultants.com.hk](mailto:andy.lin@gsiconsultants.com.hk) or contact **Andy Lin** at +852 3755 5400. All applications will be treated with strict confidentiality. Only short-listed candidates will be notified.