

Compliance Officer

Company: **Penson Financial Services Asia Ltd**

Location: Hong Kong

Remuneration: Negotiable

Position Type: Permanent

Employment type: Full time

The Compliance Officer oversees the Corporate Compliance Program, functioning as an independent and objective body that reviews and evaluates compliance issues/concerns within the organization.

Position Responsibilities:

Ensure compliance with the Securities and Futures Ordinance and other relevant rules and regulations.

Handle licensing applications, regulatory reporting and maintenance of company compliance register.

Monitor and keep records of continuous professional training requirements and assist licensed staff in choosing suitable training courses for CPT purposes.

Prepare internal and external compliance reports for senior management and regulators.

Assist in reviewing and updating of the company's compliance policies.

Perform KYC and account opening review.

Provide compliance advice to business and functional units.

Arrange and provide compliance training to staff.

Assist in handling of client complaints.

Participate in ad hoc projects.

Qualifications:

University graduate with three to five years experience in a securities or futures brokerage with experience in compliance. More experience an advantage.

Degree in law or accounting designation an advantage.

Familiar with the SFO and code and guidelines of the SFC.

Good knowledge of the HKEx's Trading and Clearing House Rules and with prevailing market practice.

Fluent in English. Fluency in other languages (especially Mandarin or Cantonese) would be an advantage.

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Disclaimer:

This job specification should not be construed to imply that these requirements are the exclusive standards of the position. Team members should follow any other instructions, and perform any other related duties, as requested by their manager.