



(SEHK Stock Code : 111)

**We are a fast growing listed financial group offering a comprehensive range of financial services covering corporate finance, securities trading, commodity and futures trading, fixed income, assets management and wealth management. To cope with business expansion, we invite high-calibre candidates to join us for the following position:**

### **COMPLIANCE & INTERNAL AUDIT DEPT – MANAGER / DEPUTY MANAGER**

#### ***Responsibilities:***

- Reviewing and handling all SFC licensing matters including regulatory enquiries and notifications
- Assisting in handling regulatory enquiries including SFC inspection visits and notifications
- Identifying key control areas and respective risks of existing operations and designing appropriate compliance and internal audit tests to test the effectiveness and efficiency of internal control systems and procedures especially related to fixed income and asset management business
- Assessing and improving the efficiency and effectiveness of existing operations and ensuring compliance with internal and external rules, policies and regulations
- Conducting compliance tests and compiling review reports
- Providing advice to respective business units regarding compliance, internal control and anti-money laundering issues
- Preparing business plan, audit summary and management reports
- Reviewing daily liquid capital computation of licensed corporations
- Handling ad hoc assignments

#### ***Requirements:***

- University graduate, major in Accounting or Business related fields
- At least 7-year compliance experience in financial institutions (compliance experience less than 7 years will be considered for Deputy Manager)
- Good command of English, Putonghua and Cantonese
- Good PC skills
- Good communication skills, self-motivated, responsible and independent
- Immediate availability preferred

Interested parties please send your full resume stating your present & expected salary to HR Dept, quoting the reference number via e-mail to [hr.recruit@cinda.com.hk](mailto:hr.recruit@cinda.com.hk) or fax to 2907 6012 or mail to HR Dept, 45/F, COSCO Tower, 183 Queen's Road Central, HK.

[www.cinda.com.hk](http://www.cinda.com.hk)

(All personal data will be used for recruitment purpose only)

