

COMPANY BACKGROUND

CITIC Securities International Investment Management (HK) Limited (“**CSIIM**”) was incorporated in Hong Kong in 2007 and is licensed under the Securities and Futures Commission (“**SFC**”) to carry on securities advisory and asset management business. It is a joint venture company and the parent companies are CITIC Securities International Company Limited which is a wholly-owned subsidiary of CITIC Securities Co., Ltd, a leading investment bank based in China and listed on the Shanghai Stock Exchange, and China Alpha Fund Management Limited which is the lead manager of China focused offshore hedge funds.

CSIIM acts as the investment manager and advisor of various hedge funds, a listed fund and an authorized fund approved by the SFC.

The Compliance department of CSIIM is responsible for ensuring that there are adequate internal control procedures in compliance with the relevant rules and regulations, that the compliance manual is strictly followed by all staff and that all relevant laws, rules and regulations are updated and abided by.

CSIIM is currently looking for a compliance officer. The job description for the position is as follows :

Responsibilities:

- Assist in overseeing and managing the compliance functions;
- Perform regular compliance checking and review and ad hoc duties, provide regular updates to management on changes in regulations and procedures;
- Liaise with external regulators (including all necessary notifications and disclosures to the SFC and HKEx) and advisers;
- Handle account opening with brokers;
- Enhance the compliance awareness of all employees;
- Assist in the review and update of compliance manual, and the establishment and implementation of programs to ensure all applicable legal and regulatory requirements are complied with;
- Provide advisory compliance support to management, business & support units; and
- New products ad hoc research and review
- Ad hoc legal / compliance projects

Requirements :

- University graduate with major in Accounting, Law, Business or related discipline
- Familiar with SFO and its subsidiary legislation, and rules & regulations of HKEx an advantage
- Analytical, proactive, independent, strong analytical, problem solving, good interpersonal and communication skills
- Good command of written and spoken English, Cantonese & Mandarin
- Self-motivated and able to work independently with full responsibility and initiative
- 2-3 years' relevant experience in fund houses; fresh graduate will be considered

Interested parties can send applications to both craiglindsay@citics.com.hk (Attn : Mr Craig Lindsay) and josephinetang@citics.com.hk (Attn : Ms Josephine Tang).