

Vinodev

Compliance and AML professional

Kuala Lumpur
Malaysia

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Summary

Was selected to attend the first ever Graduan Aspire Corporate Luncheon 2015 at KLCC.

Having obtained experience in AML and compliance over the last few years cultivating in undertaking compliance reviews of high risk branches of my bank coupled with areas of expertise as mentioned below, I am keen in growing and develop my career involving compliance, AML, risk, governance, advisory related roles be it Malaysia or overseas. These are the areas being exposed to:

- Identifying, assessing and mitigating money laundering and financing terrorism risks for the Group.
- Developing, reviewing and enhancing the AML/CFT policy and procedures.
- Ensuring proper implementation of the AML/CFT policy and procedures.
- Supporting the staff in the Bank to comply with Anti-Money laundering and countering terrorist Financing through continuous awareness and training programs
- Maintaining effective relationship with regulators/enforcement agencies by attending to information/document requests or orders i.e., freeze, seizure, forfeiture etc.
- Reporting suspicious transactions to BNM.

Employment History

Senior Associate Financial Crime Compliance (contract) Kenanga Investment Bank.

May 2017- present

Key Roles and Responsibilities:

- Establish and develop New Policies / Procedures / Guidance / Framework
- Review of Existing Policies / Procedure / Guidance / Framework
- Review of transactions that triggered AML/CFT exception reports for any suspicious transaction and verification of clients AML/CFT risks profile for Kenanga.
- Review internal suspicious transactions reported for appropriateness/reasonableness/completeness and perform background and transactions assessment for to confirm suspicious for KIBB and KCSB.
- Perform reviews on High Risk Areas and Regulatory Non-Compliance.
- Provide AML/CFT regulatory requirements.

- Respond to regulators / Enforcement Agencies requests / alerts / reports / report and ensure complete submission on information requested.
- Review and assess counterparties / third party Anti-Money Due Diligence Questionnaires and provide feedback on the incoming AML/CFT due diligence by counterparties on KIBB AML/CFT framework
- Perform background assessment and transactions review for suspicious transaction reporting and recommend to the AML/CFT DCO for submission to FIED, BNM

**Senior Compliance Specialist
Capco**

August 2015 – February 2016(project basis)

Key Roles and Responsibilities:

- Support the implementation of global standards, regulatory and strategic policies;
- Ensures that money laundering/sanctions/bribery and corruption deterrence procedures and controls and systems infrastructure are adequate to cover RBWM business units by providing inputs from anti-money laundering (AML) / sanctions / bribery and corruption (ABC) perspective on business operations/infrastructure initiatives and services launches;
- Manages/maintains HSBC's internal AML/sanctions systems and controls standards, including ensuring the timely and proper implementation of Group driven initiatives;
- Provide guidance to business units on the interpretation of policies and implementation of control procedures;
- Review Compliance/audit reports to detect gaps in money laundering/sanctions/ABC controls and to ensure all gaps are duly rectified;
- Develop new policies and procedures to meet new regulatory requirements;
- Perform reviews of customer due diligence profiles to ensure financial crime risks are addressed and acceptable to business;
- Provide the necessary training to inculcate the compliance culture and AML/sanctions/ABC awareness among the employees;
- Working closely with Regulators, Group Offices, Security and Fraud Risk (SFR) and Branches in the investigation of suspicious accounts/customers

**Assistant Manager
Hong Leong Bank**

January 2014 – August 2015

Role : Group Integrated Risk Management & Compliance Division

Key Roles and Responsibilities:

Investigation/Monitoring:

- Investigate alerts generated by the automated AML/CFT detection system as well as internally generated suspicious transaction reports submitted by business/support units and/or branches/centres (review 80 valid cases per month per investigator) ;
- Monitoring of high risk customers during the onboarding and/or ongoing review of customers (review all alerts generated on daily basis)
- Attend to Orders/Requests by Regulators/Law Enforcement Agencies
- Respond to request for more information by the Financial Intelligence & Enforcement Department and/or other law enforcement agencies (50 orders) ;
- Ensure that freeze, seizure or forfeiture orders are attended to on prompt basis ;
- Liaise with the relevant units and/or branches/centres to ensure that all document requests are being attended to within deadline imposed by regulators/law enforcement agencies ;
- Review the information/documents provided by the units and/or branches/centres to ensure accuracy of information/documents prior to its submission to the law enforcement agencies ;

**Operations Analyst
Citi Group**

March 2013 – December 2013

- **Key Roles and Responsibilities:**
 - Process and review transactions undertaken by Citi Singapore. ;
 - Undertake key checklists and perform the 'Know Your Customer' principle to understand and monitor transactions incurred.
 - To request further information and documentations from respective branch to better understand transactions incurred. ;
 - Cleared all tests at the first attempt in various banking modules after classroom training;
 - First in batch to pass the 25 case assignments as a requisite to proceed on to live cases;
 - Mentored new batch intakes immediately after proceeding on to live cases;
 - Exposed to senior analyst role
 - Pioneer for new team set-up.

Education History

ACCA UK

Jan 2004 – Dec 2007 (4 years)
ACCA Fundamentals Scheme

Oxford Brookes University

Jan 2008 – Feb 2009 (1 year 2 months)
Bachelors Degree Accounting honours

Skills

- compliance
- anti money laundering
- risk management
- investigation
- analysis
- dealing with regulators
- advisory
- financial crime compliance
- CDD
- consulting

Languages

English Fluent

Malay Conversational

Personal Interests

Playing Badminton, reading, researching information

Highly interested in compliance, advisory/consulting, management, governance, supervision, monitoring and risk related roles

Additional Information

Armed with experience gained over AML and compliance, I see myself growing in to these roles and would welcome opportunities related to Group Risk Compliance, investment as well as advisory/consulting within banking/financial services, oil and gas/energy, accounting firms, government sector and MNCs