

EMERGING COMPLIANCE EXPOSURES IN FINANCIAL INDUSTRY

CODE P190930XJG

VALIDITY PERIOD 15 Dec 2019 - 14 Dec 2021



Law



TRAINING FOCUS

Regulatory/Compliance Training (2 hrs)
Ethics (2 hrs)

With financial institutions exposing themselves to a diverse spectrum of compliance exposures, it is increasingly difficult for financial experts to keep on their toes. Financial experts may inadvertently cross the line for market abuse without realizing. Observing good business ethics beyond regulatory requirement is a core attribute of a financial expert. In a volatile financial environment, financial expert is a good prey for financial crimes. The increasing reliance of technology poses a challenge for financial experts to manage their exposure. This course will highlight the emerging risks faced by the financial experts who may be unaware of their existence.

WHO SHOULD ATTEND

- Financial advisers
- Relationship manager
- Private banker
- Research analysts
- Portfolio managers
- M&A specialists

½ DAY | 4 CPD HOURS

RECOMMENDED FOR
**PRIVATE BANKING &
WEALTH MANAGEMENT**

COURSE OBJECTIVES

- Identify, assess and manage compliance exposures from all fronts
- Emerging compliance exposures exposed to financial expert
- Understand ethics beyond regulatory requirements
- Understand the various types of financial crimes associated to activities in the financial industry
- Understand how different types of financial crimes such as market abuse can be a tipping point
- Understand the best defence on financial crimes

COURSE OUTLINE

Compliance Exposure Management

- Identify compliance exposures in financial adviser's space
- Quantify compliance exposures that is identified
- Manage compliance exposures using recommended techniques

Financial Crimes

- Characteristics of financial crimes
- Exposures to financial crime
- Industry's best defence to combat financial crime

Conflicts of Interests

- Situations of conflicts of interests
- Impact of conflicts of interests
- Best defence to manage conflicts of interests

Market Abuse

- Characteristics of non-public information
- Characteristics of price material information
- What constitutes market abuse
- Industry's best defence to prevent market abuse

Social Engineering

- Characteristics of social engineering
- What are the common social engineering events
- Industry's best defence to safeguard from social engineering

Phishing

- Characteristics of phishing
- What are the common phishing techniques used
- Industry's best defence to safeguard from phishing

Technology Reliance

- Emerging trend associated to financial advisers in utilizing technology
- Risk associated with technology reliance
- Best defence on technology reliance

ABOUT OUR TRAINER

TEO PUAY WEI BSC FINANCE

Puay Wei possessed 15 years of working experience in the financial industry. He started his career in the late 1990s and held roles as chief compliance officer and chief risk officer. He specializes in risk management and has exposure to many key Asia Pacific markets.

At his various capacity, he has to deal with complex and non-routine regulatory and risk related matters associated to anti- money laundering and financing of terrorism, code of conduct & ethics, conflict of interest, anti-bribery & corruption, technology risk management, information security, and risk management framework. He has also been involved in training on these subjects.

Puay Wei holds a Bachelor of Science (Finance) from National University of Ireland, and a Diploma in Compliance specializing in Fund Management from International Compliance Training. He is a Financial Industry Certified Professional awarded by The Institute of Banking and Finance.

Puay Wei left his role as a Head of Risk, Asia Pacific for Aberdeen Asset Management Asia Ltd to start consulting and training work in the financial industry for the Asia Pacific region.

FTS

FINANCIAL TRAINING SCHEME (FTS)

This programme is recognised under the Financial Training Scheme (FTS) and is eligible for FTS claims subject to all eligibility criteria being met.

Please note that in no way does this represent an endorsement of the quality of the training provider and programme. Participants are advised to assess the suitability of the programme and its relevance to participants' business activities or job roles.

The FTS is available to eligible entities based on the prevalent funding eligibility, quantum and caps. FTS claims may only be made for recognised programmes with specified validity period. Please refer to www.ibf.org.sg for more information.

CPD

SALMON THRUST CPD SERIES

The Salmon Thrust CPD Series is aimed at raising the competencies of the Covered Persons and satisfying their CPD hours in the most fruitful and entertaining way. Our trainers wastes no time on academic principles but dives straight into the practical applications of the subject.

Requirement

Audit

COMPLIANCE

ABOUT SALMON THRUST

Founded in 2004, Salmon Thrust is committed to delivering real-world banking and financial training to professionals working in banks, corporates, government agencies, and other financial institutions.

Based in Singapore, we offer our clients in the region a broad range of up-to-date financial topics, delivered via classroom training and e-learning. Our courses range from foundational programmes for new entrants, right through to the most complex and current topics in the industry.

At Salmon Thrust, we are attentive to our clients' diverse learning needs. We identify relevant courses to bridge the learning and skill gaps, empowering our clients to make better decisions and bring real value to both their customers and organisations.