



RHT Academy a subsidiary of VRSE Asia Holdings

1 Paya Lebar Link, PLQ2
Unit 06-08
Singapore 408533

G.R.A.C.E
SERIES



IBF PROGRAMME CODE : TGS-2024046721

IBF PROGRAMME SCHEME : FTS &, CORE FAA / SFA CPD

ETHICS, RULES & REGULATIONS

6 HOURS CORE FAA and 6 HOURS CORE
SFA CPD Programme

For Singaporean & PRs

Funding Support*

*(Subject to all eligibility criteria being met)

This Course Is Designed For

Insurance - Brokers, Account Managers, Placement Managers, Placement
Executive, Product Specialist. Retail Banking/Corporate Banking/Investment
Banking - Head of Product Sales.

CONTACT US TO REGISTER

+65 6381 6373

admin@vrseasia.com

www.vrseasia.com



S\$ 688 PER PAX

*Funding Support**

*(Subject to all eligibility criteria being met)



6 HOURS ON-LINE

*(Including Assessment,
Excluding Networking &
Breaks)*

WHY ENROL FOR THE COURSE ?

CURRENT & RELEVANT PROGRAMMES

Our content are always fresh, never generic and continually updated to ensure you keep abreast of the current trends and changes across industries.

INDUSTRY- EXPERT LED

Our suite of programmes are led by seasoned specialists, subject matter experts, and experienced professionals in their respective fields.

We offer a wide range of professional training programmes designed to sharpen your skills, boost your productivity, effectiveness and strategic edge your industry demands.

IBF FINANCIAL SCHEME (FTS) AND CORE FAA / SFA CPD ELIGIBLE

- This course 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 course. Participants are advised to assess the suitability of the course and its relevance to his/her business activities or job roles.
- The FTS is available to eligible entities based on the prevalent funding eligibility, quantum and caps. FTS provides up to 70% course fee subsidy support for direct training costs subject to a cap of S\$500 per candidate per course subject to all eligibility criteria being met.
- Find out more on www.ibf.org.sg

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LEARNING OBJECTIVE & OUTCOMES

OVERVIEW

This programme is designed for Financial Institutions' business conduct requirements under the Securities and Futures Act (SFA) and the Financial Adviser Act (FAA). The course is meant to provide guidance on the industry' applicable Rules and Regulations and Ethics Standards of Singapore. With experienced trainers in the areas of Ethics and Compliance, the ERR course will use lecture materials along with case studies to provide continuing education for appointed representatives to keep abreast of developments in the industry and update their skills and knowledge relevant to the activities they conduct. Participants who successfully complete this 1-Day compliance training programme will be deemed to have completed the mandatory structured CPD training and be accorded with 6 CPD hours as stipulated under the Financial Adviser Act (FAA) and the Securities & Futures Act (SFA).

LEARNING OBJECTIVES AND OUTCOMES

Upon completion of the programme, appointed representatives of CMS Licence Holders, Exempt FIs and Financial Advisers will be able to:

- Define, identify, understand the regulatory frameworks
- Apply knowledge of local and international trends and developments to daily work practices
- Maintaining awareness of trends and developments in the regulatory landscape.

COMPETENCY STANDARDS

- Analyse local and international industry trends and developments in the capital markets, banking and insurance industry
- Advance awareness of Singapore Legal and Regulatory Framework
- Apply knowledge of capital markets, banking and insurance industry from a compliance perspective and how its products meet customer' needs and the associated risks involved.

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COURSE OUTLINE

MODULE 1: RULES & REGULATIONS

- Introduction
- Singapore Framework – policy evolution & strategy
- Practical Analysis
- Regulatory Focus AML CFT GRC
- Overview of Rules & Regulations
- FAA Act
- SFA and SFA Amendment Act
- CDD & KYC guidelines
- Preventing of ML and CFT
- Outsourcing and 3rd party risk
- Financial advisory industry review and BSC Framework
- Data protection and privacy challenges
- Regulations

MODULE 2: ETHICS

- Ethics: definition, the pressure factor and ethical
- Issues Analysis
- Compliance & Ethics
- Conduct Risk
- Conflict of Interest
- Reporting Misconduct
- Trust & Leadership
- Regulatory Tools and IACG framework
- Conclusion

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ABOUT THE TRAINER



EKTA SINGH

Ekta Singh is Regional Head of compliance at ShuttleOne. She brings wealth of knowledge and awareness of ethics, compliance, business management, current industry trends and technological advancement in the Fintech, RegTech area. Ekta Has forward looking approach to manage compliance and operational challenges.

Ekta has been in Financial Industry for more than a decade and in her professional career she adorned the role of Financial advisor, supervisor, Sales management, business head, Risk & Compliance head

EDUCATIONAL QUALIFICATIONS & CERTIFICATES

- M.A in political Science
- M.Phil in International relations
- MBA from Nanyang Technological university.
- CMFAS papers (M5, M9,M9A,M8A, BCP,HI, PGI) M4B (IBF, Singapore)
- SMU FICS Certificate: Essentials of Trade Finance (IV)
- ICA Advance Certification on Governance, Risk & Compliance (Regulatory Compliance) FCC specialization.
- Digital asset course by Blockchain Association of Singapore, Global Fintech Institute & elliptic.
- A member of GDF working group, Volunteers and participates in various webinars.

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ABOUT THE ACADEMY

The Academy is a subsidiary of **VRSE Asia Holdings (VRSE Asia)**. VRSE Asia is part of **ONERHT**, an integrated multidisciplinary professional services firm with a network of trusted partners and market specialists across 16 countries.

We pride ourselves on having a successful track record over the years in conducting cutting-edge professional training, seminars, and corporate conferences that connect our customers to information and meaningful business connections. Our priority is to provide our customers with the latest trends, insights and best practice solutions giving them the edge for their job.

The Academy is a training provider of cutting edge courses to help professionals and organizations with the skills and competencies for their continuing professional development and competitive advantage. The Academy runs the **G.R.A.C.E (Governance, Risk, AML Compliance, Ethics), Workplace & Employment Law, and Sustainability programmes** based on industry best practices, practical knowledge, and structured frameworks for developing strategies.

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BOOKING TERMS & CONDITIONS

CANCELLATION, POSTPONEMENT AND SUBSTITUTION POLICY

- Once we have received your registration, the place(s) are confirmed. No refunds will be made for any cancellations, however, program credits of equivalent value only applicable for RHT events will be provided. Credits can only be redeemed for 1 program and is valid for only one (1) year from date of issue.
- In the event that RHT postpones an event for any reason and the delegate is unable or unwilling to attend in on the rescheduled date, you will receive a credit for 100% of the contract fee paid. You may use this credit for another RHT event vent to be mutually agreed with RHT, which must occur within one year from the date of postponement. Except as specified above, no credits will be issued for cancellations. There are no refunds given under any circumstances.
- All cancellations must be received in writing.
- Substitution with a qualified candidate is allowed by providing at least 5 working days of advance notice to RHT. One-time substitution is allowed with no charges. Subsequent substitutions will be charged 10% admin fee.
- RHT is not responsible for any loss or damage as a result of a substitution, alteration or cancellation/postponement of an event. RHT shall assume no liability whatsoever in the event this conference is cancelled, rescheduled or postponed due to a fortuitous event, Act of God, unforeseen occurrence or any other even that renders performance of this conference impracticable, illegal or impossible. For purposes of this clause, a fortuitous event shall include, but not be limited to war, fire, labour strike, extreme weather or other emergency.
- Please note that while speakers and topics were confirmed at the time of publishing, circumstances beyond the control of the organizers may necessitate substitutions, alterations or cancellations of the speakers and/or topics. As such, RHT reserves the right to alter or modify the advertised speakers and/or topics if necessary, without any liability to you whatsoever. Any substitutions or alterations will be updated on our web page as soon as possible.

DATA PROTECTION

- Any information provided by you in relation to this event is being collected by RHT and will be held in the strictest confidence. It will be added to our database for the primary purpose of providing you with information about future events and services.
- If you do not wish to receive these offers, please tick the box below.
[] Please do not pass my information to any third party.

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