

Regulatory Compliance

Comment from past participant

“An interesting and beneficial course. I enjoyed myself for this training session.”

– Ms. Liau May May, Bank of Tokyo-Mitsubishi UFJ, Singapore.
[Class of April 2009]

“A very nicely presented and informative seminar for anyone who is keen to learn more about the financial industry compliance requirements.”

– Mr. Casey Lim Hak Yong, CIMB Bank Berhad, Singapore.
[Class of October 2014]

“The seminar was full of practical insights, presented in an effectively casual and common sense-stimulating manner. You'd come out from it feeling wiser.”

– Ms. Agcaoili Laarni Quitola, Rabobank Singapore Branch, Singapore.
[Class of April 2015]

PI ETA CONSULTING COMPANY

SEMINAR CODE: PCR06

Highlights

- Understand the regulatory framework governing the financial services industry
- Know essential regulations that have to be complied with
- Introduction to Risk Management and The Basel Capital Accord

Seminar Facilitators

Mr. Adam K. K. Wong, B.Acc, FCPA, Certified Professional Trainer

Dr. Jeffrey C. K. Lim, Ph.D., C.Sci., C.Math., FIMA, FRM, PRM, B.Fel.

Seminar Duration

1 Day, 9:00am to 5:00pm

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Seminar Background

This programme is designed to ensure that lenders are aware of the regulatory and compliance requirements of the financial services industry.

A key to sustainable growth in lending is regulatory compliance. Breaches of rules and regulations can lead to serious consequence which will hamper future growth. It is therefore important for lenders to be very familiar with the regulatory environment and the various compliance requirements

Seminar Content

- **Regulatory Framework**
 - Central Banking and Regulatory Framework
 - Supervisory Framework
 - Objective and Principles of Financial Supervision
 - Regulations Applicable to the Financial Industry
 - Acts
 - MAS Act, Banking Act, Subsidiary Legislation, Financial Advisors Act, Company, Insurance Act, Security and Futures Act
 - Subsidiary Legislation
 - MAS Instruments
 - Directives / Notices
 - Guidelines
 - Circulars
 - Codes
 - Practice notes
 - Circulars
 - Policy statements
 - Recent Enforcement Actions
- **Changes in Trends that Impact Future Regulatory Framework**
 - Changes in Accounting Standards
 - Financial Stability Forum
 - Gaps in Global Regulatory System
- **BIS Basel Committee Implementation**
 - Introduction to Risk Management
 - Overview of The Basel II Capital Accord
 - The 3 Pillars
 - Basel II Implementation in Singapore
 - Basel III Capital Accord

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Benefits of Attendance

Upon completion of this programme, participants will:

- Understand the regulatory framework for the financial services industry in Singapore
- Know the key regulations laid down by MAS
- Be aware of the penalties for non-compliance
- Have an overview of the Basel II requirements

Who should attend?

Credit and financial analysts, portfolio managers, credit officers, corporate bankers, commercial bankers, risk managers and analysts.

Seminar Facilitators

Mr. Adam K. K. Wong is a Business Domain Expert Facilitator with PI ETA Consulting Company. He is also an adjudicator of the Financial Industry Disputes Resolution Centre in Singapore.

Prior to his current appointments, he was a General Manager with Standard Chartered Bank and other international banks with 22 years of successful track record in Cash Management, eCommerce, Corporate Banking and Trade Finance and Small & Medium Enterprises.

Having strong strategic orientation and regional exposure in South East Asia and Hong Kong, he is credited with significantly growing global banks' SME assets by 450% and net profit by 140% over a 3-year period in Singapore. He also started a new cash management business for a leading bank in Asia and grew it to a USD35 billion business annually.

Mr. Wong graduated in Accountancy and is a Fellow Certified Public Accountant. He is also a Certified Credit Risk Management Professional and a Certified Professional Trainer.

Mr. Wong has contributed actively to the development and training of professionals in the financial services sector for the past 17 years by sharing his expertise regularly through The Institute of Banking and Finance, Singapore and various other organizations in Malaysia and Indonesia.

He has also conducted programmes in the area of banking and finance for Australian and local universities.

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Dr. Jeffrey C. K. Lim, certified Financial Risk Manager (FRM¹) and certified Professional Risk Manager (PRM²), is currently the Managing Director of PI ETA Consulting Company, a Treasury & Financial Risk Management Consulting Company.

A Chartered Scientist (C.Sci.³), a Chartered Mathematician (C.Math.⁴) and an elected Fellow of the Institute of Mathematics and Its Applications (IMA), U.K. (FIMA), Jeff earned his Ph.D. in Stochastic Financial Modeling from the University of Cambridge in England. Jeff's research interest at Cambridge was in the area of Arbitrage Opportunities occurring in the Mispricing of Financial Options, and his original research culminated in the publication of his doctoral dissertation entitled: "Multi-period Mean-Variance Option Portfolio Strategies".

Jeff was an authorized Securities & Financial Derivatives Representative in London, having been certified by The Securities and Futures Authority (SFA) in England, where he started his career as a Derivatives Analyst with Nomura International in London, England. He subsequently joined NatWest Markets from London, England to become its Head of Currency Structured Products for South and South-East Asia. Jeff then moved to American Express Bank to become its Director of Structured Products, prior to assuming his current position.

Jeff has also contributed to the development and enhancement of talent and infrastructure for Singapore's financial center as a guest Professor at the National University of Singapore's Center for Financial Engineering, where he was responsible for the curriculum of its Master of Science degree program's core modules in Financial Derivatives and Treasury Management. In addition, Jeff has also been invited by the Nanyang Technological University and the Singapore Management University to share his expertise in a similar capacity. In recognition of Jeff's expertise and experience in the field of Treasury and Financial Risk Management, the University of New South Wales Asia appointed Jeff to be its first Adjunct Professor with the university's Division of Business and Humanities.

At PI ETA Consulting Company, Jeff was Principal Inventor in two of the Patents that the company currently holds – one in Treasury & Financial Risk Management Systems, and the other in Knowledge Management Systems.

Professionally, Jeff is a Fellow of both The Global Association of Risk Professionals (GARP), U.S.A. and The Professional Risk Managers International Association (PRMIA), U.S.A. He is also a Fellow of the Cambridge Philosophical Society, U.K. and a Life-time Member of The Cambridge Society, U.K. Jeff is also honoured to be a Fellow of The Cambridge Commonwealth Society, U.K., having been previously awarded the Cambridge Commonwealth Trust and the Shell Group of Companies Doctoral Research Scholarship.

¹ The *Financial Risk Manager* (FRM) designation is awarded by The Global Association of Risk Professionals (GARP), U.S.A.

² The *Professional Risk Manager* (PRM) designation is awarded by The Professional Risk Managers International Association (PRMIA), U.S.A.

³ The *Chartered Scientist* (C.Sci.) designation is awarded by The Science Council, U.K.

⁴ The *Chartered Mathematician* (C.Math.) designation is awarded by The Institute of Mathematics and Its Applications (IMA), U.K.

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As a special recognition of Jeff's professional achievements, on 9 April 1999, Barons Who's Who conferred Jeff with the Barons Fellowship status, making him a Barons Fellow (B.Fel.). This award by their Charter, is limited to only the top 10% of those selected for publication in Barons Who's Who International.

For more information, please contact PI ETA Engagement Resource (PEER) Group at
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