



**DURATION**  
(6 FAA/SFA  
CPD Hours)



# RULES, REGULATIONS AND ETHICAL CHALLENGES IN THE NEW DIGITAL AGE

## COURSE OVERVIEW

This intensive 6-hour workshop is designed for financial advisors and representatives to appreciate the rules, regulations and ethical challenges presented in the volatile, uncertain, complex and ambiguous (VUCA) business environment caused by the new digital era. Participants will learn through case studies and group discussions through behavioural finance concepts and framework to identify the causes to potential rules, regulations and ethical misconduct and non-adherence to the firm's and/or regulators' policies.

## LEARNING OBJECTIVE

- Update on the latest rules and regulations impacting the financial advisory and capital markets industry in Singapore
- Keep financial advisors and representatives abreast of latest digitalisation trends and development impacting the financial advisory and capital markets businesses
- Made aware of rules, regulations and ethical challenges in the new digital age
- Invoke the works of behavioural finance to identify potential rules, regulations and ethical misconduct
- Make use of behavioural finance concepts & understanding to avoid potential rules, regulations and ethical misconduct

## TARGET AUDIENCE

Suitable for relationship managers, treasury marketing personnel, financial advisors, product advisors, capital markets arrangers, traders, advisors and back-end staff. It will also be suitable for any executive who would like to be more informed of this topic.

## COURSE METHODOLOGY

Lecture, discussion and end of workshop MCQ and short answer assessment (passing mark is 65%). A certificate of completion will be issued for those who have attended the full workshop and passed the assessment.