



DURATION
(4 FAA/SFA
CPD Hours)

ETHICAL CHALLENGES IN THE NEW DIGITAL AGE FOR FINANCIAL ADVISORS AND CAPITAL MARKETS REPRESENTATIVES

COURSE OVERVIEW

This intensive 4-hour workshop is designed for financial advisors and capital markets representatives to appreciate the 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 ethical misconduct and non-adherence to the firm's and/or regulators' policies.

LEARNING OBJECTIVE

1. Keep financial advisors and capital markets representatives abreast of latest digitalisation trends and development impacting both financial advisory industry and capital markets businesses
2. Update on the latest regulations impacting both financial advisory and capital markets advisory industries in Singapore
3. Invoke the works of behavioural finance to identify potential ethical misconduct in both financial advisory and capital markets industry
4. Make use of behavioural finance concepts to avoid potential ethical misconduct and pitfalls

TARGET AUDIENCE

Suitable for relationship managers, treasury marketing personnel, financial advisors, private bankers, product advisors, capital markets arrangers, IPOs arrangers, M&A advisors, REITs managers, treasury traders, debts arrangers, asset and fund managers and back-end staff. It will also be suitable for any executive who would like to be more informed of this topic.

COURSE METHODOLOGY & ASSESSMENT

Lecture, case 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.