



28 October 2021
(Thursday)



9:00am to 3:30pm
6 training hour



Zoom, Online

COURSE FEE

CFA Society Singapore member :
S\$500* (Standard fee)

Non member :
S\$580* (Standard fee)

**Price subject to 7% GST*

TRAINER :

Chan Fook Leong, CFA

This programme is
Under the
IBF-STIS and ,
Core FAA / SFA CPD
Scheme

Eligible for SkillsFuture Credit

Programme code :
P200828BMP
6 CPD hours

Professional Learning Credits
(CFA Institute)
6 PL hours

Updated on 7/9/2021

CFA Society Singapore

Ethics Workshop (Individual)

Uphold ethical standards during performance of individual duties and responsibilities

CFA Society Singapore is a member of the CFA Institute global network of societies. This ethics curriculum has been adapted and customised from the CFA Institute Code of Ethics and Standards of Professional Conduct for investment professionals in Singapore.

CFA Institute is the global, not-for-profit association of investment professionals that awards the CFA® designation – the gold standard designation in the investment management industry. CFA Institute is also a champion of ethical behaviour in investment markets and a respected source of knowledge in the global financial community.

An integral part of the CFA Institute mission is to develop and administer codes, best practice guidelines, and standards that guide the investment industry and help ensure all investment professionals place client interests first.

Overview :

The 6-hour course will deepen your understanding of ethical issues to uphold ethical standards during performance of individual duties and responsibilities.

At the end of this module, you should be able to:

- Demonstrate a thorough knowledge of the Code of Ethics and Standards of Professional Conduct by interpreting the Code and Standards in various situations involving issues of professional integrity
- Recommend practices and procedures designed to prevent violations of the Code and Standards of Professional Conduct

Who should attend ?

This training course is designed for investment professionals who want to better understand dealing with ethical dilemmas in a more structured manner.

This course is also specifically designed to meet the Core Continuous Professional Development (CPD) requirement - 6 training hours in respect of Ethics; or Rules and Regulations, or both, as the case may be:

- *With effect from 1 January 2016 as per MAS Notice FAA-N13 for all appointed representatives of licensed and exempt financial advisers; and*
- *With effect from 1 January 2019 as per MAS Notice SFA 04-N09 for all appointed representatives of capital markets services licensees and exempt financial institutions. .*

Requirements :

- Participants **are not required** to have specific prior experience of any of the subject areas. More experienced individuals will be able to build on their knowledge through the case studies used in the workshop.
- Participants are required to completed **ALL 3 modules** and **pass the assessment** .
- Lecture and discussion with case studies
- Participants are expected to participate

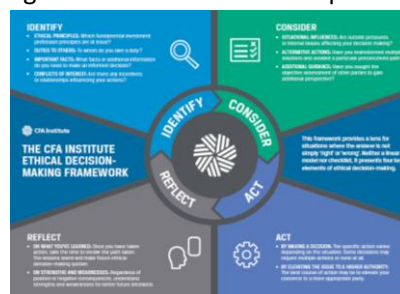
Course Outline :

This Ethics workshop consists of 3 modules:

Module 1: Two-hours workshop on the CFA Institute Code of Ethics and Standards of Professional Conduct. High ethical standards are critical to maintaining the public's trust in financial markets and in the investment profession. Since their creation in the 1960s, the Code and Standards have promoted the integrity of CFA Institute members and served as a model for measuring the ethics of investment professionals globally, regardless of job function, cultural differences, or local laws and regulations. Module 1 comprises of:

- Code of Ethics
- Standards of Professional Conduct (guidance including some recommended procedures for compliance)
 - Material non-public information
 - Suitability
 - Knowledge of law
 - Misconduct
 - Preservation of confidentiality

Module 2: Three-hour workshop on CFA Institute *Ethical Decision-Making (EDM) Framework*.



This framework provides a lens for situations where the answer is not simply 'right' or 'wrong'. Neither a linear model nor checklist, the EDM Framework presents four key elements of ethical decision-making as illustrated above.

This is also a step-by-step structured framework to identify ethical principles and important facts of a particular ethical dilemma. The participant will then be asked to consider situational influences before acting. In closing, the participant will be prompted to reflect on their actions when resolving ethical dilemmas in the best interests of their clients.

Using case studies to illustrate real-world situations, CFA Institute have designed the ethics course to help you apply this framework with confidence.

Module 3: One-hour multiple choice question assessment after the workshop. Participants should be able to apply the knowledge acquired with confidence.

Accreditation of IBF-STs and, Core SFA and FAA CPD by Institute of Banking & Finance :

This programme has fulfilled the accreditation requirements and can be recognised as IBF-STs and, Core FAA CPD course for Ethics / Rules and Regulations for **Financial Advisory representatives**, as provided in MAS notice FAA-N13.

This programme has fulfilled the accreditation requirements and can be recognised as a IBF-STs and, Core SFA-CPD course for Ethics / Rules and Regulations for **Capital Market Services representatives**, as provided in MAS notice SFA04-N09

The IBF Standards Training Scheme ("IBF-STs") provides course fee subsidies to eligible company-sponsored individuals and self-sponsored individuals who complete training and assessment courses accredited under the Skills Framework for Financial Services.

- funding support of up to 90% of direct training cost for all Singapore Citizen and Permanent Residents
- Eligible for All Singapore Citizens and Permanent Residents

Note : CFA Society Singapore in under the full Fee scheme with IBF.

Claims for self-sponsored individuals of IBF Standards Training Scheme (IBF-STs) courses will be submitted by the training provider on your behalf upon confirmation of class commencement. IBF will credit the course fee subsidy to your NRIC-linked PayNow bank account. Please ensure that you have linked your NRIC to your PayNow bank account to facilitate disbursement by IBF.

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. Please refer to www.ibf.org.sg for more information

Trainer's Bio



Chan Fook Leong, CFA
Executive Director, Advocacy
CFA Society Singapore

Mr Chan Fook Leong, CFA is responsible for ethics education in CFA Society Singapore. He puts together ethical courses for practitioners based on the CFA Institute Code of Ethics and Standards of Professional Conduct. He also conducts training on ethics for financial institutions and writes on ethical issues for the CFA Singapore Insights Column in the Business Times.

In his current role, Mr Chan is also involved in thought leadership projects, sector analysis, investor education and protection, undergraduate outreach on ethics and issues relating to ESG and market integrity. He is also the representative in Singapore for Asia Pacific Research Exchange (ARX), a dedicated repository for Asia Pacific specific research and materials. Prior to joining CFA Society Singapore, Mr Chan co-authored a market manipulation research report on Singapore-listed companies.