

# Compliance Change Transformation

Eligible for 8.5 CPD Hours

Up to 70% IBF Funding for  
Singaporeans and Permanent Residents



Course Date:  
5 September 2024

Wealth Management Institute  
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Compliance functions play a vital role financial institutions' risk management efforts. Such role has traditionally been to ensure that financial institutions operate with integrity and adhere to applicable laws, regulations, and internal policies.

Increasingly, compliance functions are challenged to maintain effective Compliance Management Programs ('CMP') which prevent and detect instances of non-adherence to internal & external regulations as well as inappropriate business conduct. International regulators responded to several high-profile cases in recent years, and further enhanced and clarified regulatory requirements and supervisory expectations. In many any cases, enforcement proceedings focused on the role of the compliance function and the effectiveness of the CMP. Digitalisation in the financial industry as well as the use of new technology and approaches, including but not limited to artificial intelligence ('AI') further accelerate the need for compliance functions to transform their traditional CMP into a comprehensive, technology and data driven operating model.

## Who should attend

Professionals with relevant experience in compliance, risk, audit, legal, or control functions seeking to understand, effect and implement compliance change transformation in their organisations will benefit from this programme.

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# Course Learning Outcomes

This course covers how to equip and transform conventional Compliance functions with know how, tools and understanding to utilize and leverage technology, data and processes. It is taught by senior Compliance management and seasoned practitioners with direct experience and demonstrated outcomes.

By the end of this module, participants will be able to

- Understand the elements for an effective and sustainable compliance framework and identify the drivers for a holistic compliance strategy commensurate with organisational strategy and relevant regulatory requirements.
- Assess the key elements and propose a target operating model facilitating an effective Compliance framework and efficient delivery of such framework.
- Understand the need for and develop a holistic technology strategy supporting a data-driven compliance organisation.
- Recognise the importance of a holistic response to develop enhance compliance AML risk management and assess and implement the transformation requirements of an effective control framework to combat money laundering.

This course is undergoing IBF accreditation.

## Fees

Programme Name	Full Fees (\$)		Fees after subsidies inclusive of 9% GST (With effect from 1 January 2023)	
	Before GST	After GST	Singaporean Aged Below 40 / PR	Singaporean Aged 40 & Above
Compliance Change Transformation	\$1,300.00	\$1,417.00	\$767.00	\$507.00

## Faculty



**Matthias Supper**

Global Head of Compliance, Bank Julius Baer & Co. Ltd.