

ESG Risk Management and Controls

Eligible for 8.5 CPD Hours,
and 4 Core SFA/FAA Hours

Up to 70% IBF Funding for Singaporeans
and Permanent Residents



Course Start Date:
16 September

Wealth Management Institute
One Marina Boulevard, #16-01

Contact us at:
wmicompliance@wmi.edu.sg

The Monetary Authority of Singapore (MAS) shared that sustainable finance market in ASEAN over the next decade will amount to S\$4 to 5 trillion. More than 50,000 professionals in the financial services sector will see new sustainable finance-related tasks added to their jobs to a moderate to high degree, while new job roles will emerge, in areas such as Sustainability Risk and Sustainability Strategy.

The ESG (Environment, Social & Governance) landscape in Singapore and globally continues to evolve rapidly. This course equips participants with an understanding of ESG legal, regulatory and compliance risks, the issues and implications for financial services and institutions, and regulatory and compliance strategies and policies to evaluate and mitigate such risks.

Who should attend

This course is suitable for those who are keen to understand the broader legal, regulatory and compliance issues faced by the financial services industry and acquire the knowledge and skills to make informed decisions and manage associated risks and implications in adopting recognised ESG standards.

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Learning Outcomes

Through this course, you will:

- Identify and explain the key components of ESG, its relevance and application to financial institutions.
- Understand the legal and regulatory framework surrounding ESG and its impact on financial institutions.
- Analyse and assess the specific legal, regulatory and compliance risks associated with ESG for financial institutions.
- Evaluate the potential reputational and operational implications of ESG-related legal, regulatory and compliance risks.
- Develop strategies and policies to mitigate and manage ESG-related legal and compliance risks effectively.
- Recognise the importance of integrating ESG considerations into corporate governance structures and decision-making processes.
- Stay informed about emerging legal and regulatory developments in the ESG space and adapt compliance practices accordingly.
- Engage with stakeholders effectively to address ESG-related legal and compliance concerns.

Course Fees

Relevant Fees (S\$)	Full Fees (S\$)		Fees after subsidies inclusive of 9% GST (With effect from 1 January 2023)	
	Before GST	After GST	Singaporean Aged Below 40 / PR Company-Sponsored/ Self Sponsored	Singaporean Aged 40 & Above Company-Sponsored/ Self Sponsored
Per module per student	S\$1,300.00	S\$1,417.00	S\$767.00	S\$507.00

Meet Your Faculty



Hestie Reinecke

- Chief Compliance and Operational Risk Officer, Prudential PLC
- Ph.D. in Mathematical Statistics, North-West University (previously Potchefstroom University)



Ravi Chidambaram

- Founder, RIMM Sustainability and Adjunct Professor of Sustainability, Yale-NUS
- MBA from The Lauder Institute – University of Pennsylvania and MBA from The Wharton School

Family Office Risk Management and Controls

Part of WMI's Signature Certified Family Office Practitioner Programme

Up to 70% IBF Funding for Singaporeans and Permanent Residents

Eligible for 8.5 CPD Hours



Upcoming Intake:
September 2024

Take this Module Standalone
or Stacked with Other Modules

Contact us at
programmes@wmi.edu.sg

Programme Overview

This course will equip participants to grasp the regulatory environment for family offices, examine key regulatory and compliance risks, and identify solutions to address and mitigate these risks balancing robust risk management and innovation.

Accreditation & Fee Breakdown

Fees shown are after IBF-STF funding. Subsidised fees apply upon participants' successful completion of the programme, which includes (i) fulfilling minimum attendance requirements and (ii) passing all relevant assessments.

The information above is correct at the time of publication. Wealth Management Institute reserves the right to amend the fees and/or terms and conditions as appropriate.

Full Fees		Fees After IBF subsidy (Inclusive of 9% GST)	
Before GST	After GST	Singaporeans Aged Below 40/ Permanent Residents (50% IBF-STF Funding)	Singaporeans Aged Above 40 (70% IBF-STF Funding)
		Company & Self-Sponsored	Company & Self-Sponsored
S\$2,000	S\$2,180	S\$1,180	S\$780

Who should attend

- Trust Administrator/ Manager
- Wealth Planner and Estate Planner
- Trust Relationship Managers
- Lawyer
- Family Office Advisor
- Client Advisor
- Client Relationship Managers handling UHNW and Family Office segment
- External/ Independent Asset Manager
- Financial Planner

Apply Now



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
One Marina Boulevard, #16-01

Contact us at
wmicompliance@wmi.edu.sg

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	S\$1,300.00	S\$1,417.00	S\$767.00	S\$507.00

Faculty



Matthias Supper

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