



## DIPLOMA PROGRAMMES

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# Graduate Diploma in Compliance in Financial Services



## ABOUT WMI

### We have come a long way

Wealth Management Institute (WMI) was established in 2003. Founded by GIC and Temasek, we are the leading training provider for wealth and asset management in Asia.

### We build capabilities for investing in a better tomorrow

Our programmes serve wealth managers, asset managers, investment advisors, lawyers, trust professionals, wealth planners, high net-worth families and financial regulators across Asia.

We deliver innovative learning and research that connect the best of theory and practice, based on the work of the world's best thought leaders in finance.

Through our work, we will build a community of learners and leaders, through excellence in practice-led education.

## OUR VISION

To be Asia's Centre of Excellence for wealth and asset management education and research

## OUR MISSION

To build capabilities for investing in a better tomorrow

## OUR APPROACH

We are a practice-based education and research institute, connecting rigorous academic theory with current industry best practices to ensure we provide global perspectives with an Asian focus.



### World Class Curriculum

Best-in-breed course content and pedagogy, rigorous methodology, striving for excellence



### Advanced Expert Skills

Connecting theory with practice, case-based, learning, industry exposure and immersion, connecting people with opportunities



### Forward Looking Insights and Thinking

Proprietary research, partnering with industry pioneers and thought leaders, innovating new approaches



### Sense of Purpose

Discovering personal/professional purpose, values-based learning, ethics/governance mindset, sustainable outcomes

# GRADUATE DIPLOMA IN COMPLIANCE IN FINANCIAL SERVICES

As the financial sector grows in size and complexity and we operate in an increasingly volatile, uncertain, complex and ambiguous environment, the role and demands of the compliance function have broadened significantly. The changing regulatory landscape, rate of increase in regulatory changes and consequential regulatory scrutiny and enforcement actions weigh heavily on financial institutions' reputations and business prospects. Skilled compliance professionals are in demand to navigate ongoing advancements in technology, data analytics, regtech as traditional compliance roles evolve to provide higher value functionalities as business enablers.

Developed to support the financial sector in raising capabilities in the Compliance Risk management function, the Compliance in Financial Services Graduate Diploma provides a structured learning pathway for compliance and risk professionals in financial services, including those in operational risk, audit and legal profession advising financial institutions.

## Who should apply?

This course is designed for compliance professionals within the financial services sector with at least 3 years of relevant experience, including legal, enterprise/operational risk, audit professionals and those in control functions in the first line of defence. It is also relevant for external lawyers, consultants and accountants advising financial services sector.

### Minimum Entry Requirements

- Minimum Education: Degree or equivalent
- Minimum Work Experience: 3 years relevant experience
- Minimum English Language requirement (only if English was not the medium of instruction used at the highest qualification): TOEFL score > 100; IBT or IELTS score > 6.5.
- WMI will consider exceptions on a case-by-case basis and if needed, an interview may be requested.

## Principal Programme Director



### Ms Sharon Craggs

**Senior Teaching Fellow (Compliance)**

**Director, Programme Development, Wealth Management Institute**

**IBF Distinguished Fellow**

Sharon's professional experience includes appointments as global head of compliance for Abu Dhabi Islamic Bank in the UAE, Bank ABC in Bahrain and DBS Bank, with global responsibility across all lines of businesses and markets and all regulatory and compliance disciplines. She has held senior roles at JPMorgan and Standard Chartered Bank, started her career at the Monetary Authority of Singapore, and was also appointed to the MAS Appeals Panel. Sharon holds a law degree from Cambridge University, UK and is qualified to practice law in England and Wales, the State of New York, USA, and Singapore. She has a MSc in Financial Technology and Digital Innovation and holds the CFA and CAIA charters.

## Accreditation & Certification



### WMI Certification

Participants who successfully complete the programme will be awarded WMI Certificate of Achievement.



### SILE

Participants who wish to obtain CPD Points are reminded that they must comply strictly with the Attendance Policy set out in the CPD Guidelines. For participants attending the face-to-face activity, this includes signing in on arrival and signing out at the conclusion of the activity in the manner required by the organiser, and not being absent for more than 15 minutes on each day of the activity. For those participating via the webinar, this includes logging in at the start of the webinar and logging out at the conclusion of the webinar in the manner required by the organiser, and not being away for more than 15 minutes on each day of the activity. Participants who do not comply with the Attendance Policy on any particular day of the activity will not be able to obtain CPD Points for that day of the activity. Please refer to <http://www.sileCPDcentre.sg> for more information.



### IBF Certification

IBF Certification is an industry endorsed mark of quality for finance professionals in Singapore. The IBF Certification is awarded to practitioners who have attained the required skills for the selected industry segment and function, and are expected to uphold values of professional excellence, integrity and commitment to the industry.

Eligibility for IBF Advanced Level 2 includes successfully completing the required modules for each certification, having the required role experience, and being employed by financial institute in a compliance role at time of application.

Please visit <https://www.ibf.org.sg/certification/Pages/Why-be-Certified.aspx> for more information on the IBF Certification.



## Curriculum & Modules

This programme is conducted on a part-time basis and you may select any module or complete the programme in a schedule that best fits you. Modules are delivered through a blended learning pedagogy, building on interactive pre-class online learning for foundation concepts and knowledge, reserving classroom for skills application and topics that have higher complexity. Modules feature assessments to check for learning transfer covered in online and classroom sessions.

Participants who wish to attend individual modules may do so. Please note that individual modules can only be selected before the respective module's date of commencement. You will receive a confirmation of acceptance if seats are available for the particular module.

No	Module	Online Hours	Classroom Hours	CPD Hours
1	<b>Compliance Risk And Compliance Culture</b> Compliance risks have become the biggest risks for global financial institutions, and may threaten the existence of these firms. This module will enable participants to identify and distinguish the major compliance issues and risks, outlining regulators' expectations of core ethical values of regulated institutions and their compliance systems.	-	13	13 Core FAA/SFA - 13
2	<b>Compliance Strategy, Policy and Advice</b> Developing, establishing and driving the Compliance strategy and programme, risk appetite and overall compliance direction for the organization is fundamental, as is ensuring and assuring compliance with applicable rules, regulations and codes of conduct. This module will enable participants to understand approaches to undertake this and roles and responsibilities.	-	13	13 Core FAA/SFA - 0
3	<b>Retail Banking And Fintech Regulation</b> A deep understanding of permissions under different banking licences and their policy intent is critical for operating in the banking industry. This module will enable participants to grasp Singapore's regulatory framework and regulatory expectations for retail banks, including Consumer and Data protection risks and issues relating to Fintechs and Digital banks, current and forward looking.	-	13	13 Core FAA/SFA - 13
4	<b>Financial Crime Regulation</b> Financial Crime Compliance is a key focus area for regulators locally and globally with significant fines and penalties applied. This module will provide participants with an understanding of Singapore regulations, overview of key financial crime risks and design of financial crime programmes including in the context of a changing technological landscape.	-	13	13 Core FAA/SFA - 0

## Curriculum & Modules

No	Module	Online Hours	Classroom Hours	CPD Hours
5	<b>Private Client Compliance Lifecycle And External Asset Managers</b> Private banking and wealth management are a substantial sector within financial services, with the range of services, particular risks and sensitivities creating particular challenges in dealings with private clients. This module will equip participants to understand such challenges, regulations and regulatory expectations for private banking and wealth management and the roles of different actors.	-	13	13 Core FAA/SFA - 6.5
6	<b>Wholesale Banking And Capital Markets Regulation</b> A sound understanding of the rules and regulations governing capital markets and ethical conduct is key for operating in wholesale bank markets. This module will equip participants with the ability to analyse the business and operational impact of regulations, recommend industry best practices, and identify changes to policies and procedures to meet regulatory requirements.	-	13	13 Core FAA/SFA - 13
7	<b>Compliance In Asset Management And Financial Advisory Services</b> The asset management and investment advisory businesses comprise core components of the financial services industry. This module will equip participants with technical skills, indepth knowledge of applicable rules and regulations and how they should be interpreted and applied, to understand and manage compliance risks in this segment in line with regulatory requirements and expectations.	-	13	13 Core FAA/SFA - 8
8	<b>Compliance Monitoring, Surveillance And Controls</b> Compliance professionals are required to balance roles as advisor, and to provide challenge and independent oversight through robust compliance monitoring and surveillance. This module will enable participants to design, establish and operate effective and efficient monitoring and surveillance programmes and control processes leveraging the use of technology.	-	13	13 Core FAA/SFA - 0
9	<b>Compliance Data Analytics</b> Data and data analytics, data governance, data lineage and data quality are critical enablers of effective and efficient customer risk management and compliance monitoring. This module will equip participants with awareness of these components, and address the impact of current digitization trends on the compliance landscape from a KYC/AML perspective.	-	13	13 Core FAA/SFA - 0

## Curriculum & Modules

No	Module	Online Hours	Classroom Hours	CPD Hours
<b>10</b>	<b>Compliance/Regtech and Project Management</b> Today's technologies are able to transform traditional legal and compliance activities (regulatory technology), but require the knowledge to understand such technologies and select appropriate tools for distinct tasks. This module will equip participants with the skills to critically assess different technologies available, define business requirements, implement robust project management and successfully deploy respective tools in the organisation.	-	<b>13</b>	<b>13</b> <b>Core FAA/SFA - 0</b>
<b>11</b>	<b>Handling Serious Compliance Incidents &amp; Performance Management</b> Despite best efforts to adhere and comply with applicable regulations, compliance incidents occur. Robust management and ensuring lessons learnt are internalized are key. This module will equip participants with the skills and requirements to handle serious compliance incidents in line with regulatory requirements and expectations, including disciplinary sanctions and performance management.	-	<b>13</b>	<b>13</b> <b>Core FAA/SFA - 0</b>
<b>12</b>	<b>Capstone Project: Integrated Compliance View</b> This module guides participants in a collaborative project with leading financial institutions. Drawing on perspectives of the standalone modules, practical application of skills and work experience, participants will provide researched, practical and actionable recommendations for complex, real-world compliance issues.	-	<b>13</b>	<b>26</b> <b>Core FAA/SFA - 0</b>



### **Wealth Management Institute**

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### **Contact Us**

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**IBF** The Institute of  
Banking & Finance  
Singapore

This programme has been accredited by The Institute of Banking and Finance Singapore (IBF).  
**[ibf.org.sg](http://ibf.org.sg)**

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