

Private Client Compliance Lifecycle and External Asset Managers

8 & 9 MAY 2023 | ONE MARINA BOULEVARD

Private banking and wealth management are substantive sectors within financial services. The wide range of services, special risks and sensitivities create specific challenges in dealing with private clients. This course aims to equip participants with a clear understanding of the challenges as well as relevant regulations and regulatory expectations in wealth management, and the role of different actors in this space. This includes the different business models and regulations applicable for discretionary versus advisory asset management, execution-only services, use of external asset managers and risk management throughout the lifecycle of private clients.

This course is the fifth module in the modular series for the Compliance in Financial Services Graduate Diploma. Participants will be admitted to this module on a stand-alone basis based on availability.

SUBJECT MATTER EXPERTS



Mr Rolf Haudenschild

Co-founder, Ingenia Consultants Pte Ltd

Rolf Haudenschild heads Ingenia Consultants Pte. Ltd., a leading compliance and internal audit provider to external asset managers, fund management companies and fintech companies in Singapore. Before establishing a compliance consultancy, Rolf worked with FINMA, the Swiss financial services regulator, and in legal and compliance at international and regional private banks. Rolf is a qualified attorney-at-law and holds an MLaw from the University of Berne, Switzerland, as well as an LLM in International Financial Law from King's College London, United Kingdom. He is regularly speaking on compliance in conferences and conducting courses for industry associations.

FEES & FUNDING

This module has been accredited by The Institute of Banking and Finance (IBF). Singaporeans and Permanent Residents are eligible for enhanced funding support of 70% course fee subsidy under the IBF Standards Training Scheme (IBF-STs).

	Fees <u>before</u> Subsidy (incl. of GST)	Fees <u>after</u> IBF Subsidy (incl. of GST)	
		Singaporeans Aged Below 40 & Permanent Residents	Singaporeans Aged 40 & Above
Module Fees:	S\$2,808	S\$1,508.00	S\$988.00

TO REGISTER

To register, click **APPLY NOW** below. For any enquiries, please contact us at govaccred@wmi.edu.sg or call 6995 5619 / 6994 5632.

APPLY NOW