

2023

CONTINUING EDUCATION PROGRAMME FOR DEALERS & REMISIERS

The Society of Remisiers (Singapore)

www.remisiers.org



Introduction

This SGX-accredited programme offers Trading Representatives a wide array of relevant and practical short courses. Through this programme, we aim to raise the level of professionalism and competency of Dealers and Remisiers.

Courses

Each course is approximately 3 hours unless otherwise stated and is delivered through e-learning, live via a conventional classroom within the Central Business District or online (Zoom). The course schedule and course synopsis are detailed in the following pages. The course lecturers' bio data are also provided for your reference. The dates and lecturers are subject to change. Registered participants will be informed of any changes in venue/date at least 10 business days before the commencement of the course, where possible.

MAS and SGX Training Credits

All participants of in-person courses have to sign in before commencement, and participants who are more than 10 minutes late will not be allowed to mark their attendance, and no training credits would be awarded. In addition, participants also need to sign out after the completion of the course. Participants who did not sign in/out within the stipulated time will have to appeal in order to receive their training credits. The appeal will be subjected to the Education Committee's approval. Courses conducted online will have attendance records captured via a time-stamped screenshot and/or video recording.

MAS and SGX requirements on minimum training hours per calendar year, punctuality, signing of attendance register, attendance, attire, and other rules will be strictly adhered to.

Course Registration

The Enrolment Form is enclosed in this catalogue and is also available from the administrative departments of all SGX-Securities Trading Member Companies. Please enrol through your respective administration departments.

Applications should reach our Education Centre at least 10 business days before the commencement of the applied courses. The fee is S\$150 per course unless otherwise specified. Corporate Discounts are available. For changes, refunds or cancellations, terms and conditions in the enrolment form apply.

Information & Feedback

We welcome any ideas or suggestions that could help us improve on this Continuing Education Programme for Dealers and Remisiers (CEPDR).

Education Centre, the Society of Remisiers (Singapore)
c/o 7 Temasek Boulevard, #12-07 Suntec Tower One, Singapore 038987
Tel: 6327-5912 Email: trainingadmin@abmaximus.com

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2023 E-Learning (Online) (ver. 2 Jan 2023)

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Course Code	Course Title	Duration (Hr)	Trainer(s)
SRS23-E01	Ethics for Representatives of Financial Firms	Core (3)	Ms Gladys Ng
SRS23-E02	Rules & Regulations for Financial Advisory Services	Core (3)	Mr Chong Lock Kuah
SRS23-E03	Introduction to Anti-Money Laundering and Terrorist Financing Legislation	Core (3)	Mr Daniel Chee
SRS23-E04	Introduction to Customer Due Diligence (CDD) for Capital Markets Intermediaries (CMI) and Financial Advisers (FA)	Core (3)	Mr Daniel Chee
SRS23-E05	How To Make Sense Of Returns, Risk, Diversification And Other Core Concepts Of Investing	3	Mr Puah Soon Lim
SRS23-E06	Introduction to Special Purpose Acquisition Companies (SPACs)	3	Mr Tolmas Wong
SRS23-E07	Laws & Regulations in Asset Management	Core (7)	Mr Chong Lock Kuah
SRS23-E08	Digital Marketing Essentials for Financial Services Professionals (via Zoom)	9	Mr Andrew Chow

Amendment to the Securities and Futures Act (SFA 04-N09) v5 Oct 2018:

- With effect from 1 Jan 2019, all appointed representatives of Capital Market Services (CMS) licence holders and exempt Financial Institutions (FIs) are required to fulfil nine hours of mandatory Continuing Professional Development (CPD) training annually, of which six hours of training have to be **Ethics** or **Rules & Regulations** programmes that have been accredited by IBF. You may refer to MAS Notice SFA 04-N09 for more details on the amendment to the SFA.

Accreditation of Core SFA CPD Courses:

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

Note:

- In order to qualify for Continuing Education credits, please complete all quiz questions found at the end of each section (a 70% pass rate is required) by the end of the access period or end of the calendar year whichever is earlier.
- Access to the e-learning materials is valid up to 90 days from the date the access is issued. Trading Representative who requires Continuing Education Credit and registered during the last quarter of 2023, access is valid till 31 December 2023 (i.e. access given on 24 November 2023, access is valid till 31 December 2023).
- To sign up, Trading Representatives and company sponsored individuals should use the form found at the back of this brochure and submit it through your company's training coordinator. Other Individuals may register using the same form by emailing it to trainingadmin@abmaximus.com.
- Upon successful registration, an email with the access details and password would be sent to you within 5 working days.

Eligible for
SFA CPD & FAA CPD
Hours

Course Code: SRS23-E01

Fee: \$150 (No GST)

Duration: 3 Hours (Core)

3

Ethics for Representatives of Financial Firms

By Ms Gladys Ng

Objective: To introduce and explain ethical principles to finance professionals who provide or support trading and financial advisory services.

Learning Outcomes:

Ethical Principles

- Ethical Principles from the Society of Remisiers, and covering placing clients interest before own, professional integrity and objective judgment, acting with competence and diligence
- Types of prohibited market conduct, market manipulation, use of material non-public information.
- Standards of Professional Conduct - duties to clients, duties to employer, conflicts of interest and responsibilities
- Implications, and examples of local cases

Execution & Operations

- Describe Best Execution principles and discuss how it can be achieved in the local Singapore context.
- State the responsibilities of Representatives when executing the order in the client's interests.

Conflicts of Interest

- Circumstances of potential conflict
- Circumstances of actual conflict, commission and additional compensation arrangements
- Local cases, including discussion of particular cases of front running, insider trading, suitability of recommendations to clients
- Discussion on resolving these conflicts via disclosure, escalation to designated personnel or other measures.

Eligible for
SFA CPD & FAA CPD
Hours

Course Code: SRS23-E02

Fee: \$150 (No GST)

Duration: 3 Hours (Core)

4

Rules & Regulations for Financial Advisory Services

By Mr Chong Lock Kuah

This course covers the latest amendments to Financial Advisers Act (FAA) and Financial Advisers Regulations (FAR) as well as the FAA Notices and Guidelines in respect of Recommendations on Investment Products. It is specially designed for Trading Representatives who were exempted from taking CMFAS Module 5 and had completed non-examinable course on Module 5, to have better understanding on provision of execution-related advice.

This course focuses on the statutory requirements of providing execution related advice and legal implications of providing financial advice without reasonable basis and will cover the following areas:

- Updates on changes to Financial Advisers Act and Financial Advisers Regulations
- Representative Notification Framework (RNF)
- Appointed Representative and Provisional Representative
- Notification Procedure
- Power Of The MAS To Refuse Entry Or Revoke Or Suspend Status Of Appointed Representative
- MAS Notice No: FAA-N16 On Recommendations On Investment Products
- Guidelines On Conduct Of Business For Execution-Related Advice (Guideline No: FAA-G08)
- Retaking Of CMFAS Module 5

Eligible for
SFA CPD & FAA CPD
Hours

Course Code: SRS23-E03

Fee: \$150 (No GST)

Duration: 3 Hours (Core)

5

Introduction To Anti-Money Laundering & Terrorist Financing Legislation

By Mr Daniel Chee

Objective: To gain basic understanding of money laundering and terrorist financing and the legal obligations imposed by anti-money laundering legislation

Section A

- Understanding money laundering and offences under anti-money laundering legislation
- What is money laundering
- Three stages of money laundering
- Obligations imposed by anti-money laundering legislation
- Offences under anti-money laundering, including failure to report suspicious transactions and tipping off

Section B

- Understanding terrorist financing and offences under anti-terrorist financing legislation
- What is terrorist financing
- Difference between money laundering and terrorist financing
- Offences under anti-money laundering

Section C

- Understanding your responsibilities in compliance with anti-money laundering and terrorist financing legislation
- Customer due diligence
- Record keeping and retention
- Reporting suspicious transactions
- Avoid tipping off

Eligible for
SFA CPD & FAA CPD
Hours

Course Code: SRS23-E04

Fee: \$150 (No GST)

Duration: 3 Hours (Core)

6

Introduction to Customer Due Diligence (CDD) for Capital Markets Intermediaries (CMI) and Financial Advisers (FA)

By Mr Daniel Chee

The objective of the seminar is to provide an understanding of the responsibilities of CMI and FA to conduct customer due diligence on customers as required by legislations in relation to the prevention of money laundering and countering the financing of terrorism.

The topics covered will be the CDD guidelines according to the MAS Notice SFA04-N02 and MAS Notice FAA - N06

- Anonymous account (CMI)
- Fictitious account (CMI)
- Customers who are portfolio manager (FA)
- When CDD is to be performed
- Identification of customer
- Verification of identity of customer
- Identification and verification of identity of natural person appointed to act on a customer's behalf
- Identification and verification of identity of beneficial owner
- Identification of beneficiary
- Information on the purpose and intended nature of business relations
- Ongoing monitoring
- CDD Measures for Non-Face-to-Face Business Relations
- Reliance by Acquiring CMI on Measures Already Performed
- Measures for Non-Account Holder
- Timing for Verification
- Where Measures are Not Completed
- Existing Customers
- Screening
- Simplified Customer Due Diligence
- Enhanced Customer Due Diligence
 - Politically Exposed Persons
 - Other Higher Risk Categories
- Reliance on third parties

Course Code: SRS23-E05

Fee: \$150 (No GST)

Duration: 3 Hours

7

How To Make Sense Of Returns, Risk, Diversification And Other Core Concepts Of Investing By Mr Puah Soon Lim

For many, investment is a subject that is mysterious and quite intimidating. This unfortunate outcome is no coincidence. Many in finance like to speak in a different language. The language is intimidating to outsiders. But if you want to progress in your career, you'll need to engage deeply in investment lingo –it is the language of business, the lifeblood of the economy, and increasingly a dominant force in capitalism. So neglecting the language used in investing and hoping to survive in the industry is increasingly difficult as the client becomes more sophisticated.

This course aims to provide you with the most central foundation of investing so that you will never find finance intimidating again. Mastering these six numbers won't make you a financial engineer—there are likely more than enough of those. Instead, internalizing these six concepts will provide the foundation for addressing financial issues with confidence and gain trust with your client.

Through these six concepts, this workshop provides the foundation towards understanding the financial markets

This short course will help participants ask the right questions to guide them in their investment decisions. It is not a blueprint for beating the market but a common sense approach for understanding the conceptual basics of investing.

Course Outline:

The six concepts that will be covered include:

1. Return
2. Risk
3. Diversification
4. Valuation
5. Leverage
6. Expense

Course Code: SRS23-E06

Fee: \$150 (No GST)

Duration: 3 Hours

8

Introduction to Special Purpose Acquisition Companies (SPACs)

By Mr Tolmas Wong

Are Special Purpose Acquisition Companies (SPACs) an opportunity for investors to get in early on startups?

We will examine the typical SPAC structure, the likely benefits and challenges to key stakeholders, and the essential checks for potential investors. We will also draw reference from selected US SPACs to learn about their pitfalls and success factors.

The e-learning course will cover the following:

- How are SPACs structured?
- The SPAC landscape, opportunities and challenges.
- Case studies from other SPAC markets.
- An overview of governance mechanisms for SPACs in Singapore

Eligible for
SFA CPD & FAA CPD
Hours

Course Code: SRS23-E07

Fee: \$300 (No GST)

Duration: 7 Hours (Core)

9

Laws & Regulations in Asset Management

By Mr Chong Lock Kuah

The e-learning course will cover the following:

- Regulatory bodies, fund management rules, regulations and guidelines.
- Regulatory requirements for conduct of business.
- Regulatory requirements for market conduct.
- Collective investment schemes.
- Central Provident Fund Investment Scheme (CPFIS)

Course Code: SRS23-E08

Fee: \$600 (No GST)

Duration: 9 Hours

10

Digital Marketing Essentials for Financial Services Professionals

By Mr Andrew Chow

This Digital Marketing Course is designed to provide individuals with the knowledge and practical skills to implement a digital marketing plan using social media and electronic mailers. This interactive training course, conducted over 1.5 days, is tailored to combine the fundamentals of marketing and its application using digital tools to leverage and apply in the marketing financial professional's services and expertise.

The Impact of Digital Marketing

- Digital landscape and its uniqueness
- Digital evolution
- Positive vs Negative

Digital Marketing Mix

- Types of channels
- Online vs Offline
- Importance of the right selection

Fundamentals of Social Media Marketing

- What's is social media marketing?
- Types of social media networks
- Invest in right channels
- Social listening
- Social Media advertisement

Facebook Marketing

- Understand how Facebook works
- Building your Facebook page

- Build your audience
- Facebook posts
- Engage your audience
- Promote your business on Facebook
- Understanding Facebook insights

LinkedIn Profiling for Personal Selling

- Powerful Headline
- Comprehensive Summary
- Skill Sets
- Extensive Networking
- Recommendation

Email Marketing

- Database marketing
- Tools of email marketing
- Data analysis and consumer insights

Trainer's Profile

Ms. Gladys Ng started her legal career in private practice and then at HDB and NOL. Her finance career as a venture capital fund manager was with Rothschild and UOB. Until recently, she was a senior professional at the largest research think-tank of Singapore Management University.

She has taught as adjunct at NUS on business law and at UniSIM on financial statement analysis. She volunteers with the Singapore International Foundation's mobile library project in Vietnam and was volunteer trainer on financial literacy for women.

As a triple professional, she is subject to ethics for CA (Singapore), CFA charterholders and lawyers. Gladys holds ACTA and DACE and is a Specialist Adult Educator (Curriculum Development).

Mr. Daniel Chee (FCA Singapore, FCPA Australia) has more than 15 years of professional experience in the financial sector and more than 5 years of senior management experience in multinational corporations. His academic experience includes eight years with the business school of the National University of Singapore as an adjunct associate professor and he is currently an adjunct professor with the Singapore University of Social Sciences. He is a regular trainer for the continuing professional education programmes run by the Institute of Singapore Chartered Accountants.

Mr. Chong Lock Kuah, CFA is a trading representative/registered representative at UOB Kay Hian Pte. Ltd. Mr. Chong graduated from University of London (Queen Mary College) with an honours degree in Mechanical Engineering in June 1981 and earned his CFA designation in 2003. He is currently an associate faculty at SIM University teaching BSc (Finance) undergraduate programmes and also a part-time lecturer at NUS Business School. Mr. Chong also taught FICS Accredited courses at Financial Training Institute@ SMU and has been teaching CFA Level 2 Examination Review Courses at CFA Singapore since 2004. Mr. Chong has more than 10 years' experience in teaching finance and investment related courses. Mr. Chong conducts on a regular basis, in-house preparatory courses for Capital Markets & Financial Advisory Services (CMFAS) examination as well as in-house Continuing Education Programmes for Foreign Investment Banks and Stock Broking Firms since 2004. Mr. Chong conducted "Option Trading" course for Bursa Malaysia in 2011 before the exchange launched the option contract on crude palm oil futures

Mr. Puah Soon Lim, CFA has a Bachelor degree in Business Administration majoring in Finance from the National University of Singapore. Mr. Puah has more than 23 years of experience in the investment and financial industry. For the past 7 years, he has participated actively in investment education and delivered on a series of popular workshops, particularly on value investing. He is currently an Associate Director of an independent financial advisory firm. He works with both individual and institutional investors to provide customised advice on optimal asset allocation. His extensive experience and thorough knowledge in wealth management enables him to break apart complex concepts into easy-to-understand components for the individual investors.

In his spare time, Mr. Puah is a keen endurance athlete and has completed several marathons and international triathlons. He is married with two school-going children.

Trainer's Profile

Mr. Tolmas Wong, CFA is currently a Director (Sales), Private Clients Services with CIMB Securities (S'pore) & an adjunct lecturer at the Singapore Management University. He has over 20 years of experience in fund management and stock broking, and has held various positions at United Overseas Bank, Citicorp Vickers and Schroder Securities. Tolmas has graduated with a Bachelor of Business Administration at the National University of Singapore and Master of Applied Finance at the Macquarie University, Australia. He is a CFA charter holder, and is formerly a Board Member of CFA Singapore and the Asian Securities Analysts Federation.

Mr. Andrew Chow is known to be pragmatic, visionary, competitive, intuitive and giving. While he is a successful social media and public relations strategist, entrepreneur and speaker based in Singapore, he is also the best-selling author of a highly popular series of books: Social Media 247, Public Relations 247 and Personal Branding 247.

Andrew has spoken in over 15 countries within 5 years and addressed more than 20,000 people on Digital Marketing, Personal Branding, Enneagram, Public Relations and Branding. Andrew's career of 30 years; has seen him work with an array of clients including AXA Insurance, Abbot Medical Optics, Singtel and Sony Pictures, M1, Starhub, and Sennheiser. Andrew had more than 300 interviews and features about him or his business since 2005 from more than 40 local and regional media. He is listed as the Top 10 Most Influential Speaker in Singapore in 2013 by the Singapore Business Review. He won the Spirit of Enterprise in 2008 and the Successful Entrepreneur in 2010. Before he served as the President of the Asia Professional Speakers – Singapore (APSS), he also won the coveted Spirit of Service Award from the Industry. He loves travelling and held his solo Photo Art Exhibition for 3 days in Singapore to raise funds for a charity – Teen Challenge. Andrew is known by the moniker @ideasandrew in all his social media platforms

Mr. Th'ng Beng Hooi, CFA is the Chairman and Founder of A.B. Maximus & Co Pte Ltd, a firm which since 1997 conducts and develops investment related courses including the CFA programme, securities licensing and continuing education programmes in Malaysia, Singapore, Brunei, Vietnam and Indonesia. He is also Director of Alumni Engagement at his alma mater, Nanyang Technological University. He was formerly a director and substantial shareholder of a Singapore-based Fintech company dealing in cross-border remittance.

He has over two decades of experience in the training and development in the securities industry in Southeast Asia as well as serving as an active alumnus in engaging alumni at his alma mater. He has a Chartered Financial Analyst qualification and a Bachelor of Accountancy degree.


Name (Full Name as in NRIC): _____

Trading Representative License #: _____

Company: _____

Coordinator / TR Tel: _____ TR Email: _____

Bank: _____ Cheque #: _____ Total Fees Paid (No GST): _____

 Fees are S\$150 per course (No GST) unless stated otherwise specified.
Please refer to page 2 for the list of courses

I wish to register for:

	Course Code	Course Title
1		
2		
3		

Live courses are subject to availability on a "First-Come, First Served" basis
For updated information about the above courses,
Please contact 6327-5912 or visit www.remisiers.org

Terms & Conditions

- Enrolment forms, submitted through your Company's administrative departments, should reach us at least 10 business days before commencement
- All fees must be paid before the commencement of the course.
- An official receipt will be issued after receiving full payment and the completed enrolment form.
- Live courses: A confirmation letter detailing the course details will be sent to participants at least 1 week prior to commencement of the course. The dates/lecturers indicated are subject to change. If participants wish to make any changes to their applications or request for refund, written notice should be given 10 business days before the commencement of the course. There will be an administrative fee of 15% of the fees paid. There will be no changes or refunds if notice is given less than 10 days before the start of the programme.
- E-learning courses: Upon successful registration, an email with the access details and password would be sent to you within 5 working days. There will be no changes or refund if notice is given after commencement of programme or if the access has been utilised.
- Payment and Refund Policy: Any notice of withdrawal must be given in writing via mail/email:
 - Full refund, less administrative fee (10% of course fee before funding), if notice is given 10 business days before commencement date.
 - 50% refund of programme fee if notice is given between 1-2 weeks before commencement date.
 - No refund if notice is given less than 1 week before commencement, or after commencement of programme.
 - Study materials if issued, are refundable only when the packaging remains intact and before commencement of programme.
- The Society of Remisiers, Singapore reserves the right to cancel courses due to unforeseen circumstances and make a full refund of fees paid by each participant.
- This continuing professional development programme is subjected to the existing Monetary Authority of Singapore (MAS) requirements on minimum training hours, punctuality, signing of attendance register, attendance, attire and other rules or regulations prescribed by MAS.

For Official Use
Dbase _____
Bank _____
Branch _____
Qtr _____
Audit _____

I hereby agree by terms and conditions stipulated above:

Signature: _____

Date: _____

Continuing Education Programme & CMFAS Licensing Examination Preparation Courses

Education Centre:

7 Temasek Boulevard, #12-07 Suntec Tower One,
Singapore 038987

Tel: 6327-5912

Email: trainingadmin@abmaximus.com

Website: www.remisiers.org

Membership & General Enquiries

Secretariat:

271 Bukit Timah Road #03-04 Balmoral Plaza,
Singapore 259708

Tel: 6735-1772 Fax: 6735-1773

Email: secretariat@remisiers.org