

## **PROGRAMME PROSPECTUS**

### **FALCO ACADEMY – CPD ETHICS, RULES & REGULATIONS**

#### **Programme Structure:**

- 6 hours of Ethics and Rules & Regulations training with assessments.
- Designed for FA Reps to enhance their understanding of ethical practices and rules & regulations governing the Financial Advisory practices in Singapore.

#### **Content Outline:**

- Independent Financial Adviser [Guideline on the Use of Independent]
- Fit & Proper – Honesty, Integrity and Reputation
- Discharging Conflict of Interest
- Fair Dealing Outcomes
- Ethics in Marketing & Business Conduct
- The Financial Advisers Act [FAA] and FA Regulations
- Financial Advisers Industry Review [FAIR]
- Anti-Money Laundering [AML] and Countering the Financing of Terrorism [CFT]
- Balanced Scorecard [BSC] Framework
- Personal Data Protection Act [PDPA] and Do-Not-Call [DNC] Provision

#### **Learning Objectives & Outcomes:**

Upon completion of the programme, the FA Representative will be able to understand:

- The importance of Ethics in financial advisory practice
- The difference between IFA and FA
- Fair Dealing Outcomes
- FAA and its Regulations
- FAIR and its impact on the FA industry
- The obligations under AML and CFT
- The mechanism of BSC
- The application of PDPA and DNC in the FA Industry