



E-LEARNING

CSIS is launching an e-learning course for participants to update themselves as part of Continuing Professional Education (CPE). CSIS, in collaboration with Thomson Reuters, brings you a total of ten (10) modules in the APAC Compliance Suite. The ten modules will be launched periodically throughout the year.

LEARNING OUTCOMES

A practical and interactive course which drives active learning and assists with retention and understanding of the areas most important to your business. This e-learning course uses real-life examples that are easy to relate to, enabling participants to recognise potential situations or issues and to respond accordingly.

MODULE DURATION AND CPE HOURS

- The duration of each module is estimated to be between 45 minutes to one hour.
- At the end of each module, there will be an assessment to evaluate your understanding of the topic.
- Each member will receive one (1) CPE hour and a certificate of participation upon completion of each module.

MODULES AND THEIR CONTENTS

(OL 1) Bribery and Corruption Asia Pacific

Now, more than ever before, regulators and law enforcement agencies worldwide are focusing on investigating and prosecuting bribery and corruption. The UK and US anti-bribery laws have extraterritorial reach, meaning that the offence of bribery can be prosecuted even if the individual or company is not a resident of that country – Asia being one of the highest risks. Developed by the Thomson Reuters Governance, Risk and Compliance experts, this e-learning course will help empower individuals and associates in preventing bribery and corruption within your firm.

By the end of the course, you will be able to:

- Recognise the damage caused by bribery and corruption
- Identify "Red Flags" that may indicate illegal payments or other corrupt activity
- Follow our firm's systems and controls to manage bribery and corruption
- Apply anti-bribery law to business scenarios

Table of Contents:

- Introduction
- Background
- Laws and Regulations
- Risks
- Systems and Controls
- Conclusion
- Test Your Understanding

(OL 2) Fraud Awareness (Global)

This module examines and explains the principles of fraud prevention by raising awareness of the global issue and defining UK fraud legislation. Different types of fraud are examined in depth with real life cases and scenarios illustrated throughout the training. An important aspect of the training is exploring how fraud is prevented and tackled within the workplace.

By the end of this module, you will understand:

- List examples of damage that fraud causes to organizations.
- Define what fraud is and the different types of fraud.
- Identify what causes people to commit fraud.
- Recognise your responsibilities in the prevention and detection of fraud.

Table of Contents

- Introduction
- Background
- What is Fraud?
- Who Commits Fraud?
- Why Do People Commit Fraud?
- How Can We Prevent and Tackle Fraud?
- Conclusion
- Test Your Understanding

MODULES AND THEIR CONTENTS

(OL 3) Conflicts of Interest – Global

This course provides an understanding of how potential conflicts of interest are managed by defining what is considered a potential conflict, the consequences of conflicts to the financial services industry, and examining conflict management techniques. The training then examines potential conflicts through a series of case studies and how they should be effectively managed.

(OL 4) Conflicts of Interest – Game-Based Assessment (Asia Pacific)

This is a scenario based module which presents the learner with several Conflicts of Interest scenarios and invites them to make a decision on the right approach for each scenario. Immediate constructive feedback is provided to the learner for each scenario so they can understand and learn from it.

(OL 5) Insider Trading – Game-Based Assessment (Asia Pacific)

This is a scenario based module which presents the learner with several Insider Trading scenarios and invites them to make a decision on the right approach for each scenario. Immediate constructive feedback is provided to the learner for each scenario so they can understand and learn from it. The module is developed as a game to make it interactive and interesting for the learner.

(OL 6) Market Conduct (Global)

This course covers the main types of market manipulation that can occur on stock markets around the globe. The efficient and ethical functioning of markets is fundamental to everyone's long term success. Markets that are corrupt risk damaging users, investors and communities.

By the end of this module, you will understand:

- Recognise what effect global market manipulation has on global markets
- Understand the principles of insider dealing
- Identify the types of prohibited behaviour that is considered to be market manipulation
- Apply the principles of the firm's Insider Dealing and Anti-Manipulation Policy
- Understand the consequences of failing to comply with the firm's Insider Dealing

and

- Anti-Manipulation Policy

MODULES AND THEIR CONTENTS

(OL 7) Information Security Awareness (Singapore)

With the increasing dependence on technology and information, security is consistently rated as a major concern amongst customers and corporations alike. The need to provide high levels of security and to create trusted business relationships is a priority for many organisations. This course provides details of the roles that employees play in protecting information from unauthorised access or loss and explores how some of the policies and procedures in Information security work in practice. The focus of the course is on your role in ensuring that information is kept secure within the firm.

By the end of the course, you will be able to:

- Recognise the reputational importance of effective information security
- Know the consequence of information being stolen or lost
- Understand your responsibilities in protecting information
- Apply risk management techniques to a number of scenarios
- Know where to go for further information

Table of Contents:

- Introduction
- Background
- Protecting Information
- At Your Desk
- Electronic Communications
- Portable Devices
- Conclusion

Test Your Understanding

(OL 8) Personal Data Protection Act (Singapore)

Private organisations that collect, use and disclose personal information within Singapore must comply with the Personal Data Protection Act (PDPA). This 30-minute course is designed to help employees understand the fundamental requirements of the PDPA, including the Data Protection Provisions and Do-Not-Call Registry Provisions. Among the topics discussed are (1) employee responsibilities related to the collection, use and disclosure of personal information, (2) physical, administrative and technical safeguards, and (3) the best practices for handling personal information and avoiding security breaches.

By the end of this module, you will understand:

- the background and purpose of the Personal Data Protection Act;
- the legal requirements for collection, using and disclosing personal information;
- the safeguards for protecting personal information from loss, theft and other unauthorised uses;
- the penalties for non-compliance.

Table of Contents

- Introduction
- Personal Data Protection Act
- Responsibility of Upholding the Personal Data Protection Act
- Handling Personal Information
- Personal and Security Incidents
- Test Your Understanding

MODULES AND THEIR CONTENTS

(OL 9) FATCA Essentials

This 25-minute course will provide an overview of the Foreign Account Tax Compliance Act (FATCA), a U.S. law intended to combat tax evasion by U.S. taxpayers who hold investments in offshore accounts. This course summarises the background and purpose of FATCA, explains the compliance requirements for both individuals and financial institutions, and outlines some of the costs, benefits and challenges that FATCA compliance entails.

This course covers the fundamentals of the U.S. Foreign Account Tax Compliance Act (FATCA). It is intended for employees of all financial institutions and other entities that make or receive payments of income arising from a source within the U.S. After completing this course, employees will understand (1) the background and purpose of FATCA, (2) the fundamental compliance requirements for both individuals and financial institutions, and (3) some of the most significant costs, benefits and challenges associated with FATCA compliance.

Table of Contents:

- Memorandum
- Overview
- Entities Impacted by FATCA
- FFIs and NFFEs
- FATCA Compliance by U.S. Taxpayers
- FATCA Compliance by FFIs
- Model 1 IGAs
- U.S. Accounts
- Reporting by FFIs
- Compliance Challenges

(OL 10) Financial Crime (APAC)

You are responsible for compliance with the relevant law and regulations, while ensuring you act ethically and in a manner that enhances the firm's reputation.

This course will help improve awareness of your regulatory and ethical responsibilities to safeguard against money-laundering and terrorist financing.

By the end of this module, you will understand:

- Identify the methods that criminals use to launder money and finance terrorism
- State the key relevant anti-money laundering and counter terrorist financing laws and regulations
- Apply risk-based due diligence procedures
- Explain sanctions regime and your responsibilities in relation to it.
- Identify examples of suspicious behaviour and know how to escalate any concerns

Table of Contents

- Introduction
- Personal Data Protection Act
- Responsibility of Upholding the Personal Data Protection Act
- Handling Personal Information
- Personal and Security Incidents
- Test Your Understanding

ADMINISTRATIVE DETAILS

ONLINE MODULE DATES

- 1) OL 1 - Bribery and Corruption Asia Pacific
- 2) OL 2 - Fraud Awareness (Global)
- 3) OL 3 - Conflicts of Interest (Global)
- 4) OL 4 - Conflicts Of Interest - Game-Based Assessment (Asia Pacific)
- 5) OL 5 - Insider Trading - Game-Based Assessment (Asia Pacific)
- 6) OL 6 - Market Conduct (Global)
- 7) OL 7 - Information Security Awareness (Singapore)
- 8) OL 8 - Personal Data Protection Act (Singapore)
- 9) OL 9 - FATCA Essentials
- 10) OL 10 - Financial Crime (APAC)

	Start Date	End Date	Duration
Session 1	13 February 2017	6 March 2017	3 weeks
Session 2	13 March 2017	3 April 2017	3 weeks
Session 3	13 June 2017	3 July 2017	3 weeks
Session 4	11 July 2017	31 July 2017	3 weeks
Session 5	8 August 2017	28 August 2017	3 weeks
Session 6	5 September 2017	25 September 2017	3 weeks
Session 7	3 October 2017	23 October 2017	3 weeks
Session 8	7 November 2017	27 November 2017	3 weeks

FEES

User / Module(s)	Fee is inclusive of prevailing 7% GST
Per User / Any One Module	\$64.20
Per User / Any Two Modules	\$107.00
Cheque should be made payable to "CSIS"	

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Terms & Conditions:-

1. Registration will only be confirmed upon receipt of the online registration form and payment.
2. Participants will need to make full payment of the module before the Start Date of each session.
3. No refund will be made.
4. An administrative fee of \$53.50 will be imposed for any changes to invoice, receipt or certificate of participation.
5. CSIS reserves the right to change the date(s) owing to unforeseen circumstances.