

**PI ETA CONSULTING COMPANY**

# **Regulatory Compliance**

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The Alpha, #03-16A, 10 Science Park Road, Singapore Science Park II  
Singapore 117684, Republic of Singapore  
Tel: +65 634 100 10 | Fax: +65 634 100 20 | Email: [marketing@pi-eta.com](mailto:marketing@pi-eta.com)

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## **OUTLINE FOR REGULATORY COMPLIANCE PROGRAM, A 1-DAY PROGRAM**

- **Regulatory Framework**
  - Central Banking and Regulatory Framework
  - Supervisory Framework
  - Objective and Principles of Financial Supervision
  - Regulations Applicable to the Financial Industry
    - Acts
      - MAS Act, Banking Act, Subsidiary Legislation, Financial Advisors Act, Company, Insurance Act, Security and Futures Act
    - Subsidiary Legislation
    - MAS Instruments
      - Directives / Notices
      - Guidelines
      - Circulars
      - Codes
      - Practice notes
      - Circulars
      - Policy statements
  - Recent Enforcement Actions
  
- **Changes in Trends that Impact Future Regulatory Framework**
  - Changes in Accounting Standards
  - Financial Stability Forum
  - Gaps in Global Regulatory System
  
- **BIS Basel Committee Implementation**
  - Introduction to Risk Management
  - Overview of The Basel II Capital Accord
    - The 3 Pillars
  - Basel II Implementation in Singapore

**For more information, please contact PI ETA Engagement Resource (PEER) Group at**  
Tel: +65 634 100 10 | Fax: +65 634 100 20 | Email: [marketing@pi-eta.com](mailto:marketing@pi-eta.com) | Website: [www.pi-eta.com](http://www.pi-eta.com)

## **PROGRAM FACILITATORS**

### **Mr. Adam K. K. Wong**

**B.Acc., FCPA, Certified Professional Trainer**

**Mr. Adam K. K. Wong** is a Business Domain Expert Facilitator with PI ETA Consulting Company. He is also an adjudicator of the Financial Industry Disputes Resolution Centre in Singapore.

Prior to his current appointments, he was a General Manager with Standard Chartered Bank and other international banks with 22 years of successful track record in Cash Management, eCommerce, Corporate Banking and Trade Finance and Small & Medium Enterprises. Having strong strategic orientation and regional exposure in South East Asia and Hong Kong, he is credited with significantly growing global banks' SME assets by 450% and net profit by 140% over a 3-year period in Singapore. He also started a new cash management business for a leading bank in Asia and grew it to a multi-billion business annually.

Adam is a very experienced trainer who has a gift of making complicated subjects simple. He has conducted numerous workshops for banks in Singapore, Hong Kong, Shanghai, Taiwan, Bahrain, Sri Lanka, Vietnam, Indonesia, Malaysia, and Pakistan with consistently good appraisals. He is one of the few successful developers of training programmes accredited under the Institute of Banking and Finance Standards

Mr. Wong is a Fellow Chartered Accountant (Singapore) and a Fellow Certified Public Accountant (Australia). He is also a Certified Credit Risk Management professional, a Certified Professional Trainer and member of the Singapore Institute of Directors.

**Dr. Jeffrey C. K. Lim**  
**Ph.D., C.Sci., C.Math., FIMA, FCPS, FRM, PRM, B.Fel.**

**Dr. Jeffrey C. K. Lim**, certified Financial Risk Manager (FRM<sup>1</sup>) and certified Professional Risk Manager (PRM<sup>2</sup>), is currently the Managing Director of PI ETA Consulting Company, a Treasury & Financial Risk Management Consulting Company.

A Chartered Scientist (C.Sci.<sup>3</sup>), a Chartered Mathematician (C.Math.<sup>4</sup>) and an elected Fellow of the Institute of Mathematics and Its Applications (IMA), U.K. (FIMA), Jeff earned his Ph.D. in Stochastic Financial Modeling from the University of Cambridge in England. Jeff's research interest at Cambridge was in the area of Arbitrage Opportunities occurring in the Mispricing of Financial Options, and his original research culminated in the publication of his doctoral dissertation entitled: "Multi-period Mean-Variance Option Portfolio Strategies".

Jeff was an authorized Securities & Financial Derivatives Representative in London, having been certified by The Securities and Futures Authority (SFA) in England, where he started his career as a Derivatives Analyst with Nomura International in London, England. He subsequently joined NatWest Markets from London, England to become its Head of Currency Structured Products for South and South-East Asia. Jeff then moved to American Express Bank to become its Director of Structured Products, prior to assuming his current position.

Jeff has also contributed to the development and enhancement of talent and infrastructure for Singapore's financial center as a guest Professor at the National University of Singapore's Center for Financial Engineering, where he was responsible for the curriculum of its Master of Science degree program's core modules in Financial Derivatives and Treasury Management. In addition, Jeff has also been invited by the Nanyang Technological University and the Singapore Management University to share his expertise in a similar capacity. In recognition of Jeff's expertise and experience in the field of Treasury and Financial Risk Management, the University of New South Wales Asia appointed Jeff to be its first Adjunct Professor with the university's Division of Business and Humanities.

At PI ETA Consulting Company, Jeff was Principal Inventor in two of the Patents that the company currently holds – one in Treasury & Financial Risk Management Systems, and the other in Knowledge Management Systems.

Professionally, Jeff is a Fellow of both The Global Association of Risk Professionals (GARP), U.S.A. and The Professional Risk Managers International Association (PRMIA), U.S.A. He is also an elected Fellow of the Cambridge Philosophical Society, U.K. (FCPS) and a Life-time Member of The Cambridge Society, U.K. Jeff is also honoured to be a Fellow of The Cambridge Commonwealth Society, U.K., having been previously awarded the Cambridge Commonwealth Trust and the Shell Group of Companies Doctoral Research Scholarship.

As a special recognition of Jeff's professional achievements, on 9 April 1999, Barons Who's Who conferred Jeff with the Barons Fellowship status, making him a Barons Fellow (B.Fel.). This award by their Charter, is limited to only the top 10% of those selected for publication in Barons Who's Who International.

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<sup>1</sup> The *Financial Risk Manager* (FRM) designation is awarded by The Global Association of Risk Professionals (GARP), U.S.A.

<sup>2</sup> The *Professional Risk Manager* (PRM) designation is awarded by The Professional Risk Managers International Association (PRMIA), U.S.A.

<sup>3</sup> The *Chartered Scientist* (C.Sci.) designation is awarded by The Science Council, U.K.

<sup>4</sup> The *Chartered Mathematician* (C.Math.) designation is awarded by The Institute of Mathematics and Its Applications (IMA), U.K.