

# FINANCIAL SERVICES COMPLIANCE ADMINISTRATION (FCA)

## About the Program

There is a growing need for compliance and risk management professionals in the financial services industry, particularly due to the rise in identity theft, money laundering and securities fraud.

In this eight-month graduate certificate program, you will gain the technical and professional skills that are necessary to become a compliance officer. This program covers Canadian regulatory requirements for the banking, insurance and securities industries. You will acquire critical skills such as policies and procedures management, privacy management, and Anti Money Laundering (AML) investigation.

As part of this program, you will be able to take a course that qualifies you for the Canadian Securities Course (CSC)® licensing examinations. As a student, you will register with the Canadian Securities Institute (CSI)® at an additional cost.

## Credential Awarded

Ontario College Graduate Certificate

## Duration

2 Semesters (8 Months)

## Start

September

## Program and Course Delivery

This program is offered in Seneca's flexible delivery format. Using interactive learning spaces, professors teach in person to students in a physical classroom or lab and stream to students online at the same time. In courses delivered in the flexible format, students have a choice of coming to campus for an in-person experience or learning online.

## Skills

Throughout this program you will develop the following skills:

- Research
- Communications
- Relationship building
- Hands-on industry software experience

## Work Experience

The Financial Services Compliance Administration program does more than just equip graduates with the tools of the trade. It provides you with the opportunity to gain important experience. You are required to complete a compliance administration field placement or industry-related project as part of the program requirements. A co-ordinator will work with you to match you with a placement or project opportunity. Upon completion of the program, you will have begun the important first step in the networking process that is critical to finding the position to launch a career in financial services compliance.

## Your Career

Graduates of the program can explore the following career options:

- Compliance administrator
- Compliance analyst
- Privacy officer
- Regulatory reporting associate
- AML investigator
- AML analyst
- Registration officer
- Anti-Corruption & anti-bribery officer

## Affiliations/Associations

This program is supported by the following partners. Seneca students receive discounts for memberships and certifications.

- Association of Certified Anti-Money Laundering Specialists (ACAMS) (<https://www.acams.org/en/>)  
ACAMS is the largest global membership organization dedicated to fighting financial crimes. Their CAMS certification is considered to be the global gold standard for anti-money laundering.
- Association of Certified Financial Crime Specialists (ACFCS) (<https://www.acfcs.org/>)  
ACFCS offers robust financial crimes prevention and mitigation training to address cybercrimes, fraud, bribery and corruption. The CFCS certification provides professionals with diverse skills and broad-based knowledge in financial crime.
- Toronto Compliance & AML Enterprise (TCAE) (<https://tcae.ca/>)  
TCAE connects, empowers and educates professionals in the compliance and anti-money laundering industry. It also offers professional networks around the world.

## Program of Study

Course Code	Course Name	Weekly Hours
<b>Semester 1</b>		
FCA102	Anti-Money Laundering Administration	3
FCA111	Law and Governance	3
FCA120	Financial Services Product Knowledge	3
FCA125	Understanding Investments & Investment Strategies	3
FCA151	Project Management and Policies and Procedures	3
FCA291	Career Development for Compliance Professionals	2
<b>Semester 2</b>		
FCA202	Privacy Management and Identity Theft	3
FCA210	Risk Management and Market Conduct	3
FCA221	Compliance Communication and Complaints Management	3
FCA225	Investment Strategies and Tactics	3
FCA231	Ethics/Professional Conduct and Liability	3

FCA295	Regulatory Compliance Administration	3
FPL290	Field Placement	1

## Program Learning Outcomes

This Seneca program has been validated by the Credential Validation Service as an Ontario College Credential as required by the Ministry of Colleges and Universities.

As a graduate, you will be prepared to reliably demonstrate the ability to:

- Display a knowledge of the Canadian legal and regulatory system (and to some extent, international systems).
- Demonstrate knowledge of the financial services industry.
- Understand and apply the principles of ethics and rules of market conduct which govern the industry.
- Apply the basic skills used in the areas of investigative research principles and techniques.
- Communicate clearly and expressively, in both written and oral forms.
- Understand the workings of a financial institution and the role that the regulatory compliance department plays within it.
- Develop strategies for ongoing professional development to enhance competence.
- Collaborate with colleagues to enhance professional working relationships.

## Admission Requirements

- Ontario university or college degree or college diploma or equivalent  
Applicants with an equivalent combination of partial postsecondary and/or three to five years related work experience may be considered for admission. A relevant resumé and references must be provided.

- English proficiency (<https://www.senecapolytechnic.ca/registrar/canadian-applicants/admission-requirements/english-proficiency.html>) for graduate certificates

Canadian citizens or permanent residents educated outside of Canada must provide a World Education Services (WES) or ICAS Canada credential evaluation.

## Notes

A good understanding of mathematics and financial concepts is recommended for your success in the program.

## International Student Information

International admissions requirements vary by program and in addition to English requirements (<https://www.senecapolytechnic.ca/international/apply/how-to-apply/admission-requirements/english-requirements.html>), programs may require credits in mathematics, biology, and chemistry at a level equivalent to Ontario's curriculum, or a postsecondary degree or diploma, equivalent to an Ontario university or college. Program-specific pre-requisite courses and credentials are listed with the admission requirements on each program page. To review the academic requirements please visit: Academic Requirements - Seneca, Toronto, Canada ([senecapolytechnic.ca](https://www.senecapolytechnic.ca)) (<https://www.senecapolytechnic.ca/international/apply/how-to-apply/admission-requirements/academic-requirements.html>).

## Pathways

As a leader in academic pathways, we offer a range of options that will allow you to take your credential further in another Seneca program or a program at a partner institution.

To learn more about your eligibility, visit the Academic Pathways (<https://www.senecapolytechnic.ca/pathways.html>) web page.

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