

COURSE TITLE : 2019 EDUCATION PROGRAM FOR REPRESENTATIVES OF PARTICIPATING ORGANISATIONS AND TRADING PARTICIPANTS - CREATING AN ETHICAL FRAMEWORK FOR THE CAPITAL MARKET SERVICES INDUSTRY

Organiser : Bursa Malaysia Berhad

Programme Objectives

1. Create awareness on regulatory issues, code of ethics and promote higher standards of business conduct of Representatives .
2. Improve the standard of compliance to the requirement of the rules and regulation particularly on trading activities as well as instill a culture of self-regulation amongst the Participating Organisations / Trading Participants and their registered persons.
3. Understanding the existing regulations, rules, directives and guidance issued by the Bursa, Securities Commission (SC) and Bank Negara Malaysia (BNM).

Learning outcomes

1. Describe the Code of Ethics and regulatory framework governing the capital market intermediaries;
2. Apply appropriate techniques to gain customer's acceptance for the proposed products or services; and
3. Identify capital market activities that are allowed and restricted, including limitations for the allowed activities.

SIDC - Continuing Professional Education (CPE)

This seminar is SIDC Accredited and carries 10 CPE points

Target Audience

Dealer's Representatives, Futures Broker's and Registered persons of Participating Organisations / Trading Participants

Attendance Fee

Free of Charge

Programme Outlines

8.30am to 9.00am	Registration
9.00am to 10.30am	<p>Role of Ethics in Governance</p> <ul style="list-style-type: none"> - Code of Ethics for the financial services industry by Financial Services Professional Board - Regulatory framework & historical development of the Malaysian Code of Corporate Governance - Theories on business ethics - Ethical principles and issues related to ethics Ethics & corporate social responsibility
10.30am to 10.45am	Coffee Break
10.45am to 12.30pm	<p>Creating an Ethical Framework for the Capital Market Services Industry</p> <ul style="list-style-type: none"> - What does an ethical capital services industry look like? - Professional ethics, best practices and management of conflict of interest - Discussion: Is enforcement the right focus point? <p>Discussion: Ethical Issues in usage of Financial Technology (FinTech) and digitalisation of trading</p>
12.30pm to 1.30pm	Lunch
1.30pm to 2.30pm	<p>Update of Rules/ Directive/ Guidelines/Industry Communication from Bursa / SC</p> <ul style="list-style-type: none"> - Update of AMLA/AMLATFAPUA and case study on recent enforcement cases by Bursa and SC - Rules of Bursa Malaysia on Conduct of Business - Conflict of interest and risk management - Structures, internal controls, policies and procedures - Chinese wall and prevention of insider trading <p>Company internal policies on ethics, integrity and professionalism</p>

2.30pm to 3.45pm	<p>Market Misconduct and Ethical Issues for Dealer Representative</p> <ul style="list-style-type: none"> - Industry Communications on Supervision of Trading and Electronic Trading (ICON-ST & ICON-ET) - Unauthorised trade and Misuse of Client Accounts - Sharing of User IDs and passwords - Front running, spoofing, stacking, wash order, marking the close, churning, rolling etc - Offences, liability and penalties
3.45pm to 4.00pm	Coffee Break
4.00pm to 5.00pm	<p>Developing Successful Marketing Strategies</p> <ul style="list-style-type: none"> - KYC, effective customer due diligence and customer risk assessment - Customer needs analysis and know your product - Application of Industry 4.0 concepts (Customization) in customer service and retention - Gaining a competitive advantage through Digital Marketing - Discussion: Value added service (Such as update to date knowledge of economy/ capital market outlook) vs Misconduct/ Mis-selling - Market Outlook

Registration Form

Please tick []

Kuala Lumpur / JW Marriott	16.3.2019		Johor Bahru/ Renaissance Hotel	20.7.2019	
Penang / The Wembley Hotel	6.4.2019		Kuala Lumpur / JW Marriott	27.7.2019	
Ipoh / Weil Hotel	20.4.2019		Penang / The Wembley Hotel	3.8.2019	
Kuching / Hilton Hotel	27.4.2019		Kota Kinabalu / Le Meridien Hotel	24.8.2019	
Melaka / Novotel Hotel	13.7.2019		Kuala Lumpur / JW Marriott	21.9.2019	

*** The above is subject to change**

Company Name: _____

Contact Person: _____

Designation: _____

Emails: _____

Tel (Mobile/Office) : _____

Item	Name Of Participant	Designation	NRIC. No.	Licensed No.	Contact no.	Email Address
1						
2						
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***Please fill in separate form if more than 10 participants**

Kindly email or WhatsApp or WeChat the registration form to Ms Joanne:

H/P or WhatsApp: 017-4187 988 /010-3722727

Email: cpeseminar@chkconsultancy.com.my / joanne@chkconsultancy.com.my