

To : All Dealer's Representatives
From : The Management
Date : 7 March 2022
Subject : Guidelines on Conduct for Capital Market Intermediaries
(Conduct Guidelines)

Please take note that Securities Commission Malaysia (SC) has issued the abovementioned Conduct Guidelines which comes into effect on 1 April 2022.

The Conduct Guidelines sets out the minimum standards of conduct that the SC expects from its Capital Market Intermediaries (CMIs) and its representatives with the aim to foster good business conduct and a good corporate culture within all CMIs.

CMIs and its representatives are required to carry on any capital market related service –

- (a) with honesty and fairness;
- (b) with care, skill and diligence;
- (c) by managing or mitigating any actual or potential conflicts of interest that may affect its clients' interest;
- (d) with proper safeguards in place to protect clients' assets and information; and
- (e) in a manner which promotes open and effective communication with clients and regulators at all times.

The Guidelines and Frequently Asked Questions (FAQ) have been posted in TCPRO for your attention.

Please be guided accordingly.

Thank you.

