

Course Title: 2017 EDUCATION PROGRAM FOR REPRESENTATIVES OF PARTICIPATING ORGANISATIONS AND TRADING PARTICIPANTS - “Conduct of Representatives”

Organiser : Bursa Malaysia Berhad

Programme Objectives

- Create awareness on regulatory issues, promote higher standards of business conduct of Representatives.
- Improve the standard of compliance to the requirement of the rules and regulation particularly on trading activities as well as instil a culture of self-regulation amongst the Participating Organisations / Trading Participants and their registered persons.
- Understanding the existing regulations, rules, directives and guidance issued by both the SC and Bursa.
- Understanding CMSA 2007 and Bursa Rules on market misconduct activities and KYC.

Learning outcomes

Upon completion of the conference, participants would be able to:

1. To explain the step-by-step how to get to Know Your Client.
2. To state the purpose, objectives, key characteristics of the CMSA 2007 and Bursa Rules on insider trading, Know Your Clients and market misconduct activities.

SIDC - Continuing Professional Education (CPE)

This seminar is SIDC Accredited and carries 5 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 10.15am	Advantages of Know Your Client (KYC) and Customer Due Diligence
10.15am to 10.30am	Coffee Break
10.30am to 12.15pm	Market Surveillance, Market Misconduct and Unethical Market Conduct, Ethics and Conflict of Interest (COI)
12.15pm to 1.00pm	Requirements of Bursa, SC & BNM
1.15pm to 2pm	End and Lunch

Registration Form

Please tick [✓]

Kuala Lumpur / Bursa Malaysia	25.3.2017		Penang / The Wembley Hotel	5.8.2017	
Ipoh / The Haven Resort Hotel	8.4.2017		Melaka / Hatten Hotel	12.8.2017	
Johor Bahru / Thistle Hotel Johor Bahru	22.4.2017		Kuala Lumpur / Bursa Malaysia	19.8.2017	
Kuching / Hilton Hotel	29.4.2017		Kuantan / The Zenith Hotel	9.9.2017	
Kota Kinabalu / Le Meridien Hotel	29.7.2017		Kuala Lumpur / Bursa Malaysia	14.10.2017	

*** 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 fax or WhatsApp or WeChat the registration form to Ms Joanne:

H/P or WhatsApp: 017-4187 988

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

WeChat: chkcpeseminar

Fax: 03-76104234