

Course Outline

(A SIDC CPE approved course)

Title : AMLA, Market Misconduct, Chinese Wall & Prevention of Insider Trading

Date : 14th December 2017

Venue Moffett Training Centre, E-3-2 , Plaza Kelana Jaya, Jalan SS7/13 A, Kelana Jaya, 47301, Petaling Jaya, KL

CPE : 10 Points

Speaker : Dr Ch'ng Huck Khoon

Objectives

1. To discuss AMLA / Insider Trading and its implications on capital market
2. To explain why Chinese Wall Defense is important to prevent insider trading.
3. To state the purpose, objectives, key characteristics of the CMSA 2007 and Bursa Rules on insider trading and s. market misconduct activities

Time	Descriptions
9 : 00 - 10 : 30	Market Surveillance and Market Misconduct - Front running, Short Selling, False Trading /Market Rigging, Stock Market Manipulation - Offences relating to false trading and market rigging, stock market manipulations
10 : 30 - 10 : 45	Coffee Break
10 : 45 - 13 : 00	Unethical Market Conduct • Action based manipulation • Trade-based manipulation • Painting the tape • Rollover • Marking the close • Scalping • Spoofing • Pump and dump • Trash and cash • Stacking • Wash orders and excessive orders withdrawals at opening phase of the market • Recent actions taken by Bursa / SC
	Lunch Break
14 : 00 - 15 : 15	AMLA and The Insider Trading Prohibitions • AMLA • Impact of Insider trading to capital market • Prohibition against dealing or procuring • Prohibition against tipping • Material effect on price or value
15 : 50 - 16 : 00	Coffee Break
15 : 30 - 17 : 00	The Chinese Wall Defense • Corporate Chinese Walls Exception • Dealer's Chinese Wall Exception • What are "Reasonable Arrangements"? • Other exceptions and defense

TRAINING COURSE REGISTRATION FORM

COURSE TITLE	AMLA, Market Misconduct, Chinese Wall & Prevention of Insider Trading
COURSE DATE	14th December 2017
VENUE	Moffett Training Centre, E-3-2 , Plaza Kelana Jaya, Jalan SS7/13 A, Kelana Jaya, 47301, Petaling Jaya, KL
REGISTRATION	8.30AM - 9.00AM
TIME	9.00AM - 5.30PM
FEES	RM 398 for Banker, member of professional associations [early bird by 14 Nov. 2017] RM 448 for Banker, member of professional associations RM 518 for Public [early bird by 14 Nov. 2017] RM 588 for Public <i>Fees are inclusive of coffee breaks, lunch, program materials and a Certificate of Attendance</i>
SIDC CPE Points	10 (Ten)
Instructions	Complete this form and fax to 03-76104234 or email to cpeseminar@chkconsultancy.com.my
Payment Details	1. Cheque made payable to "CHK CONSULTANCY SDN BHD". 2. Or bank in to MAYBANK A/C #. 557063320872 3. Scan and email bank in slip to cpeseminar@chkconsultancy.com.my or fax to 03-76104234
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FULL NAME	
DESIGNATION	
NEW NRIC/PASSPORT NO.	
EMAIL ADDRESS	
PHONE NO.	
MOBILE	
SC LICENCE / CMSRL NO.	
PROFESSIONAL ASSOCIATIONS MEMBERSHIP NO.	

ADMINISTRATOR DETAILS

COMPANY	
CONTACT PERSON	
EMAIL ADDRESS	
PHONE NO.	
FAX NO.	
BUSINESS POSTAL ADDRESS	