

Course Outline

(A SIDC CPE approved course)

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

Date : 11th Oct. 2018

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 <ul style="list-style-type: none">• 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 <ul style="list-style-type: none">• 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 <ul style="list-style-type: none">• 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	11th Oct. 2018
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 395 for Banker, member of professional associations [early bird by 11 Sept. 2018] RM 445 for Banker, member of professional associations RM 515 for Public [early bird by 11 Sept. 2018] RM 585 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 cpe-seminar@chkconsultancy.com.my
Payment Details	<ol style="list-style-type: none"> Cheque made payable to "CHK CONSULTANCY SDN BHD". Or bank in to MAYBANK A/C #. 557063320872 Scan and email bank in slip to cpe-seminar@chkconsultancy.com.my or fax to 03-76104234
Terms & Policies	<ol style="list-style-type: none"> submission of this document would imply agreement to our terms and policies. CHK Consultancy Sdn Bhd only recognizes either payment or Letter of Undertaking and this form to confirm reservation for the participant. CHK Consultancy Sdn Bhd implements a non-refund policy. Transfer to another program date incurs a 20% transfer fee and must be within 1 month from the effected month. However, we allow a replacement participant with no additional charge. Cancellation made within 7 calendar days before the event date will incur a fee of 50% of the program fee. Payment made any time AFTER the program date will result in an additional collection fee amounting to 15% of the original invoiced amount. Registration is on a first-come-first-served basic. Walk-in participant/s will be admitted on the basic of space availability. DISCLAIMER : CHK Consultancy Sdn Bhd reserves the right to change the venue, alter the speaker(s) without further notice, reserves the right to cancel/postpone this program. Administrators and participants will be notified and any payment received will be carried forward.

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PARTICIPANT DETAILS (COMPLETE ALL DETAILS)

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	