

# Course Outline

## (A SIDC CPE approved course)

Title : Ethics, PDPA, AMLA and Compliance Requirements

Date : 10th December 2019

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. Describe the AMLA and regulatory framework governing the capital market intermediaries; .
2. Distinguish capital market activities that are allowed and restricted, including limitations for the allowed activities; and
3. Apply the Rules learn on conducting business

Time	Descriptions
9 : 00 - 10 : 30	Ethics and Corporate Governance <ul style="list-style-type: none"><li>- Code of Ethics for the Financial Services Industry by Financial Services Professional Board</li><li>- Malaysian Code of Corporate Governance 2017</li><li>- Theories on business ethics</li><li>- Ethical principles and issues related to ethics- Ethics &amp; corporate social responsibility</li><li>- Case Studies</li></ul>
10 : 30 - 10 : 45	<b>Coffee Break</b>
10 : 45 - 13 : 00	Permitted Disclosure and Secrecy Provisions <ul style="list-style-type: none"><li>- Personal Data Protection Act 2010</li><li>- Personal Data Protection Code of Practice for The Banking and Financial Sector</li><li>- Financial Services Act 2013</li><li>- Bank Negara Malaysia</li><li>- Management of Customer Information and Permitted Disclosure</li><li>- SC – Guidelines on Management of Cyber Risk</li><li>- Offences and Liability</li><li>- Penalties</li><li>- Enforcement Mechanisms- Case Studies</li></ul>
13 : 00 - 14 : 00	<b>Lunch Break</b>
14 : 00 - 16 : 00	AMLA <ul style="list-style-type: none"><li>- Schedule 2 of AMLA</li><li>– Serious Offences</li><li>- On-going monitoring</li><li>- Reporting and record keeping</li><li>- Recognise suspicious transactions as defined by AML laws and regulations.</li><li>- Enforcements and Penalties</li><li>- Case Studies</li></ul>
16 : 00 - 16 : 15	<b>Coffee Break</b>
16 : 15 - 18: 30	Compliance Requirements on AMLA by BNM and SC <ul style="list-style-type: none"><li>- Latest amendments / guidelines by BNM and SC and its implications on reporting institutes</li><li>- Adopt the risk-based approach to manage and mitigate potential money laundering activities</li><li>- Effective Customer Due Diligence (CDD)</li><li>-Important of CDD compliance and procedures</li></ul>

# TRAINING COURSE REGISTRATION FORM

COURSE TITLE	Ethics, PDPA, AMLA and Compliance Requirements
COURSE DATE	10th December 2019
VENUE	Moffett Training Centre, E-3-2 , Plaza Kelana Jaya, Jalan SS7/13 A, Kelana Jaya, 47301, Petaling Jaya
REGISTRATION	8.30AM - 9.00AM
TIME	9.00AM - 5.30PM
FEES	<b>RM 395 for Banker, member of professional associations [early bird by 10 Nov 2019]</b> RM 445 for Banker, member of professional associations <b>RM 515 for Public [early bird by 10 Nov. 2019]</b> RM 585 for Public <i>Fees are inclusive of coffee breaks, lunch, program materials and a Certificate of Attendance</i>
SIDC CPE Points	<b>10 (Ten)</b>
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 04-2299327
Terms & Policies	1. submission of this document would imply agreement to our terms and policies. 2. CHK Consultancy Sdn Bhd only recognizes either payment or Letter of Undertaking and this form to confirm reservation for the participant. 3. 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. 4. Cancellation made within 7 calendar days before the event date will incur a fee of 50% of the program fee. 5. Payment made any time AFTER the program date will result in an additional collection fee amounting to 15% of the original invoiced amount. 6. Registration is on a first-come-first-served basic. Walk-in participant/s will be admitted on the basic of space availability. 7. 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.

## MODE OF PAYMENT

PLEASE TICK

1. By cash, please bank into MAYBANK, "CHK CONSULTANCY SDN BHD"	
2. Cheque made payable to CHK CONSULTANCY SDN BHD	

## 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	

last update 19 Jan 2015