

Course Outline

(A SIDC CPE approved course)

Title : Creating an Ethical Framework for the Financial Services Industry

Date : 20th March 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 : Mr Pankajkumar Bipinchandra / Dr Ch'ng Huck Khoon

Objectives

1. Recognise the importance of leadership in an ethical financial services industry;
2. Discuss the role of ethics in governance;
3. Explain market misconduct activities listed in Rules of Bursa Malaysia and ethical issues for dealer representatives; and
4. Apply Rules of Bursa and CMSA 2007 on conducting business

Time	Descriptions
9 : 00 - 10 : 30	Leadership, Ethics and Values <ul style="list-style-type: none">• What does an ethical financial services industry look like?• Leadership Is a process, not a Position• Is enforcement the right focus point?• Ethics and Pakatan Harapan manifesto pillar 2 - institutional and political reform
10 : 30 - 10 :45	Coffee Break
10 : 45 - 13 : 00	Role of Ethics in Governance <ul style="list-style-type: none">• Regulatory framework & historical development of the Malaysian Code of Corporate Governance• Code of Ethics for the financial services industry by Financial Services Professional Board• Theories on business ethics• Ethical principles and issues related to ethics• Ethics & corporate social responsibility
13 : 00 - 14 : 00	Lunch Break
14 : 00 - 15 : 30	Market Misconduct and Ethical Issues for Dealer Representative / Financial Services Professional <ul style="list-style-type: none">• Schedule 2 of AMLA – Serious Offences• Unauthorised trade• sharing of User IDs and passwords• Front running, spoofing, stacking, wash order, marking the close, churning, rolling etc• AMLA and the Important of Know Your Client (KYC)• Offences, liability and penalties
15 : 30 - 15 : 45	Coffee Break
15 : 45 - 17 : 00	Rules of Bursa Malaysia on Conduct of Business <ul style="list-style-type: none">• Conflict of interest and risk management• Structures, internal controls, policies and procedures• Chinese wall and prevention of insider trading• Company internal policies on ethics, integrity and professionalism

TRAINING COURSE REGISTRATION FORM

COURSE TITLE	Creating an Ethical Framework for the Financial Services Industry
COURSE DATE	20th March 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	RM 395 for Banker, member of professional associations [early bird by 20 March 2019] RM 445 for Banker, member of professional associations RM 515 for Public [early bird by 20 March 2019] 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 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	