

Course Outline

(A SIDC CPE approved course)

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

Date : 22nd April 2020

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 activitie

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 : 45	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 :45 - 16 : 00	Coffee Break
16 : 00 - 18 : 30	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	22nd April 2020
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 428 for Banker, member of professional associations [early bird by 22 March 2020] RM 478 for Banker, member of professional associations RM 548 for Public [early bird by 22 March 2020] RM 578 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 04-2299327 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

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PARTICIPANT DETAILS (COMPLETE ALL DETAILS)

FULL NAME	
DESIGNATION	
NEW NRIC/PASSPORT NO.	
EMAIL ADDRESS	
PHONE NO.	
MOBILE NO.	
CMSRL LICENSED NO.	
ERP LICENSED NO.	
AICB LICENSED NO.	
FIMM LICENSED NO.	
PROFESSIONAL ASSOCIATIONS MEMBERSHIP NO.	

ADMINISTRATOR DETAILS

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

last update 19 Jan 2015