

# Course Outline

(A SIDC CPE approved course)

**Title :** Creating an Ethical Framework for the Financial Services Industry

**Date :** 18th September 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	<b>Leadership, Ethics and Values</b> <ul style="list-style-type: none"><li>• What does an ethical financial services industry look like?</li><li>• Leadership Is a process, not a Position</li><li>• Is enforcement the right focus point?</li><li>• Ethics and Pakatan Harapan manifesto pillar 2 - institutional and political reform</li></ul>
10 : 30 - 10 :45	<b>Coffee Break</b>
10 : 45 - 13 : 00	<b>Role of Ethics in Governance</b> <ul style="list-style-type: none"><li>• Regulatory framework &amp; historical development of the Malaysian Code of Corporate Governance</li><li>• Code of Ethics for the financial services industry by Financial Services Professional Board</li><li>• Theories on business ethics</li><li>• Ethical principles and issues related to ethics</li><li>• Ethics &amp; corporate social responsibility</li></ul>
13 : 00 - 14 : 00	<b>Lunch Break</b>
14 : 00 - 15 : 30	<b>Market Misconduct and Ethical Issues for Dealer Representative / Financial Services Professional</b> <ul style="list-style-type: none"><li>• Schedule 2 of AMLA – Serious Offences</li><li>• Unauthorised trade</li><li>• sharing of User IDs and passwords</li><li>• Front running, spoofing, stacking, wash order, marking the close, churning, rolling etc</li><li>• AMLA and the Important of Know Your Client (KYC)</li><li>• Offences, liability and penalties</li></ul>
15 : 30 - 15 : 45	<b>Coffee Break</b>
15 : 45 - 17 : 00	<b>Rules of Bursa Malaysia on Conduct of Business</b> <ul style="list-style-type: none"><li>• Conflict of interest and risk management</li><li>• Structures, internal controls, policies and procedures</li><li>• Chinese wall and prevention of insider trading</li><li>• Company internal policies on ethics, integrity and professionalism</li></ul>

# TRAINING COURSE REGISTRATION FORM

COURSE TITLE	Creating an Ethical Framework for the Financial Services Industry
COURSE DATE	18th September 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 18 Aug. 2019]</b> RM 445 for Banker, member of professional associations <b>RM 515 for Public [early bird by 18 Aug. 2019]</b> RM 585 for Public <i>Fees are inclusive of coffee breaks, lunch, program materials and a Certificate of Attendance</i>
<b>SIDC CPE Points</b>	<b>10 (Ten)</b>
Instructions	Complete this form and fax to 03-76104234 or email to cpe-seminar@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 cpe-seminar@chkconsultancy.com.my or fax to 03-76104234
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. <b>DISCLAIMER</b> : 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"	<input type="checkbox"/>
2. Cheque made payable to CHK CONSULTANCY SDN BHD	<input type="checkbox"/>

## 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