

Course Outline

(A SIDC CPE approved course)

Title : Chinese Wall & Prevention of Insider Trading

Date : 25 Jun 2015

Venue Moffett Training Centre, H-7-3 , 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 state the compliance requirements on AMLA by Bank Negara Malaysia and Securities Commission
2. To describe the function of international Money Laundering organizations' (such as FATF and APG) functions
3. To discuss The Insider Trading and its implications on capital market
4. To explain why Chinese Wall Defense is important to prevent insider trading.

Time	Descriptions
9 : 00 - 10 : 00	The Insider Trading Prohibitions <ul style="list-style-type: none">• Background• Impact of Insider trading to capital market• Prohibition against dealing or procuring• Prohibition against tipping• Material effect on price or value
10 : 00 - 10 : 10	Coffee Break
10 : 10 - 11 : 30	The Chinese Wall Defence <ul style="list-style-type: none">• Corporate Chinese Walls Exception• Partnership Chinese Walls Exception• Dealer's Chinese Wall Exception• What are "Reasonable Arrangements"?• Other exceptions and defence
11 : 30 - 13 : 00	Capital Markets and Services Act 2007 <ul style="list-style-type: none">• Prohibited conduct – Securities• Offences relating to false trading and market rigging, stock market manipulations, etc• Insider trading• Prohibited conduct – Derivatives
13 : 00 - 14 : 00	Lunch Break
14 : 00 - 14 : 30	Continuous Disclosure Rules <ul style="list-style-type: none">• Main Market Listing Requirements - Chapter 9• ACE Market Listing Requirements - Chapter 9

Time	Descriptions
14 : 30 - 15 : 30	Market Surveillance <ul style="list-style-type: none"> • Business Rules of Bursa Malaysia Securities Berhad • Capital Markets and Services Act 2007 ("CMSA") - Market Misconduct • Front running, Short Selling, False Trading /Market Rigging, Stock Market Manipulation
15 : 30 - 15 : 40	Coffee Break
15 : 40 - 17: 30	Issues for Discussion <ul style="list-style-type: none"> • Examples of market abuses and unethical business conduct • Competition act 2010 • Personal Data Protection Act 2010

TRAINING COURSE REGISTRATION FORM

COURSE TITLE	Chinese Wall & Prevention of Insider Trading
COURSE DATE	25 Jun 2015
VENUE	Moffett Training Centre, H-7-3 , Plaza Kelana Jaya, Jalan SS7/13 A, Kelana Jaya, 47301, Petaling Jaya
REGISTRATION	8.30AM - 9.00AM
TIME	9.00AM - 5.30PM
FEES	RM 300 for Banker, member of professional associations [early bird by 25 May 2015] RM 360 for Banker, member of professional associations RM 390 for Public [early bird by 25 May 2015] RM 460 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
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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	

last update 19 Jan 2015