



Malaysian Stock Market & Securities Law (Module 6) Preparatory Course
❖ *Conference Hall, Securities Commission Malaysia*

INTRODUCTION

This 2½-day Preparatory Course is an intensive course specifically designed for candidates preparing for the **Module 6 licensing examinations**.

The topics covered are in accordance with the licensing examination outlines for Module 6: Malaysian Stock Market & Securities Law. It provides a basic understanding of the rules and regulations governing the Malaysian equity market.

WHY YOU CANNOT MISS THIS COURSE

Upon completion of the course, you will be able to:

- **Understand** the key areas covered in the Module 6 licensing examination: Malaysian Stock Market & Securities Law
- **Experience** computer-based examinations with a sample set

WHO SHOULD ATTEND

- Candidates preparing for the Module 6 licensing examination
- New entrants to the capital market industry and staff of stockbroking firms.

Note: Participants are required to bring to this course:

- Securities Commission Act 1993
- Capital Markets & Services Act 2007
- Rules of Bursa Malaysia Securities Berhad
- Rules of Bursa Malaysia Securities Clearing Sdn Bhd
- Listing Requirements of Bursa Malaysia Securities Berhad
- Listing Requirements of Bursa Malaysia Securities Berhad for the MESDAQ Market
- Licensing Handbook
- Guidelines on Prevention of Money Laundering and Terrorism Financing for Capital Market Intermediaries

PROGRAMME - DAY ONE	
8.30am	Registration
9.00am	Overview of the Malaysian Stock Markets <ul style="list-style-type: none">• Securities• Financing and Investing• The Malaysian Stock Market• Participants and Intermediaries in the Malaysian Stock Market
10.00am	Regulation of the securities industry <ul style="list-style-type: none">• Overview of the Law

	<ul style="list-style-type: none"> • Regulatory Bodies in Malaysia
11.00am	Refreshment
11.15am	Business Structures <ul style="list-style-type: none"> • Range of Business Structures • Companies, Companies Constitution, General Management and Administration • Administration and Management of a Stockbroking Company Capital Raising on the Primary Market <ul style="list-style-type: none"> • Primary Issues of Ordinary Issues • Post-listing Requirements • Securities Issues in the Secondary Market • Listing Requirements of Bursa Malaysia Securities Berhad • Listing Requirements of Bursa Malaysia Securities Berhad for the MESDAQ Market
1.00pm	Lunch
2.00pm	Trading on the Secondary Market <ul style="list-style-type: none"> • Debt Securities and Derivatives Products • The Trading System • Rules of Bursa Malaysia Securities Berhad on Trading • Guidelines on Prevention of Money Laundering and Terrorism Financing for Capital Market Intermediaries
4.00pm	Refreshment
4.15pm	Clearing, Delivery, Settlement and Corporate Actions Summary and Quiz
5.30pm	End of Day One

PROGRAMME - DAY TWO	
9.00am	Relationship between Stockbroking Company and Client <ul style="list-style-type: none"> • Rules governing the Stockbroking Company and Client Relationship • Buying Securities on the market • Direct Business • Stockbroking Company's Duties to Clients • Stockbroking Company's Rights • Client's Rights • Keeping of records
10.45am	Refreshment
11.00am	Law of Contract <ul style="list-style-type: none"> • What is the law of contract? • Essential Elements of a contract Negligent Misstatement <ul style="list-style-type: none"> • Tort of Negligent Misstatement • Statutory Liability
1.00pm	Lunch
2.00pm	Licensing Securities Offences <ul style="list-style-type: none"> • Trading in Securities: Prohibited Conduct Under the CMSA • Other Offences Relating to Dealing • Other Offences Relating to False and Misleading Statements • Other Offences
4.00	Refreshment
4.15	Take-overs <ul style="list-style-type: none"> • What are take-overs? • The legal framework • Penalties for Contravention of the Code Summary and Quiz
5.30pm	End of Day Two

PROGRAMME - DAY THREE	
9.00am	Simulation with sample set
10.00am	Refreshment
10.15am	Revision and feedback session on sample sets
12.30pm	End of Day Three