

# CAPITAL MARKET DIRECTOR PROGRAMME

## CMDP MODULE 2A: BUSINESS CHALLENGES AND REGULATORY EXPECTATIONS – WHAT DIRECTORS NEED TO KNOW (EQUITIES & FUTURES BROKING)

LIVE WEBINARS AVAILABLE ON  
**10 JUNE 2020 | 10.00AM - 11.30AM**



**LOK ENG HONG**  
Regional Head, Retail Brokerage, Regional Head,  
Dealing at Maybank Investment Bank,  
Maybank Kim Eng Group ("MKE")



**Learning Hours:**  
1.5 hours (including Pre & Post Assessments)



**Fees:**  
MYR 1500 Per Webinar  
(fee is not inclusive of 6% SST)



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### ICF COMPETENCY LEVEL

- Core – Risk Management (Proficiency Level 4)
- Foundational (Regulatory) – Capital Market Intermediaries (Proficiency Level 4)
- Foundational (Regulatory) – Capital Market Products Regulations (Proficiency Level 4)

### WHO SHOULD REGISTER?

#### Individuals

Newly appointed directors and directors of CMSL holders

### SPEAKER

#### Lok Eng Hong

Mr. Lok is the Regional Head, Dealing at Maybank Kim Eng Group ("MKE"). He has an oversight on stockbroking dealing activities and governance at MKE and Maybank Investment Bank in Malaysia. MKE has operations in Singapore, Thailand, Indonesia, Philippines, Vietnam, Hong Kong and India, with sales offices in UK and USA. He works closely with MKE institutional and retail equities teams, leads strategic initiatives and new product development. He also engaged regional regulators on capital market development initiatives.

He is the Chairman of the Stockbroking Committee of Malaysian Investment Banking Association ("MIBA"). He leads industry discussions on stockbroking and capital markets.

He graduated from the Pennsylvania State University, USA in 1994. He has 24 years of experience in capital markets. He has attended senior executive programs at Tsinghua University in Beijing, INSEAD in France and Singapore, and the Iclif Leadership & Governance Program in Bali.

### WHAT WILL YOU LEARN?

#### SESSION 1

##### Outline

- Nature of the relevant business (stockbroking, investment banking and futures broking), including its shifting trends and regulatory and competitive changes
- Overview of the expected competencies to understand the nature, conduct and performance of the relevant business, including
  - Duties to clients;
  - Types of risks associated with the relevant business;
  - Performance benchmarking and evaluation
- Challenges in the operations, systems and procedures in terms of minimum requirements and best practices to meet the expectations laid out in the applicable SC Guidelines with particular reference to the following areas of:
  - Customer due diligence;
  - Insider and/or price sensitive information;
  - Real or perceived conflicts of interest situations;
  - Market misconduct, including front running and scalping;
  - Compliance function and compliance officers;
  - Breaches of securities laws, rules and regulations;
  - AML/CFT framework;
  - Bursa Malaysia's approach to ensuring fair and orderly market intermediaries.

##### Learning Outcomes

By the end of this session, participants will be able to:

- Discuss the nature, challenges and opportunities in the relevant business (stockbroking, investment banking and futures broking);
- Evaluate the relevant provisions in the applicable guidelines that directors of licensed intermediaries need to be cognizant of;
- Assess the challenges facing directors of relevant business (stockbroking, investment banking and futures broking) in overseeing the application of and conformance with the applicable guidelines;
- Discuss the appropriate judgement exercise in dealing with issues of business challenges and regulatory expectations brought to the board's attention.

Recommended Learning Hours: 1.5 hours / 5 CPE points / Pre & Post Assessments

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