

CAPITAL MARKET DIRECTOR PROGRAMME

CMDP MODULE 2B: BUSINESS CHALLENGES AND REGULATORY EXPECTATIONS – WHAT DIRECTORS NEED TO KNOW (FUND MANAGEMENT)

LIVE WEBINARS AVAILABLE ON
16 JUNE 2020 | 10.00AM - 11.30AM



GEOFFREY NG
Director, Fortress Capital Asset Management (M) Sdn Bhd



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

Geoffrey Ng Chin Fung

Geoffrey brings an accomplished and award-winning career spanning more than 20 years in the field of investment management. He is a Director with Fortress Capital Asset Management (M) Sdn Bhd, having joined in February 2014 in the capacity of Adviser, Strategic Investments. He continues to be part of the core senior team in building the firm's investment reach into strategic public equity and private equity investments across the Asia-Pacific region.

Before Fortress Capital and since 2009, he was Executive Director/CEO with Hong Leong Asset Management Bhd where he steered diversification of the firm's assets under management (AUM) from a retail dedicated fund manager to a more balanced mix of retail and institutional clients - in the process growing AUM from RM1.8 billion to RM7.2 billion.

Between 2005 and 2009, Geoffrey was Senior Vice President with Dubai Investment Group where he firstly managed proprietary assets covering strategic investments in South East Asia before expanding his role to global emerging markets based in Dubai. In early 2009, Geoffrey was also Managing Director of Alioth Capital, a partnership that enabled cross-border capital investments between Asia and the Middle East.

Geoffrey last held the position of Chief Investment Officer with Pacific Mutual Fund Bhd between 2003 and 2005, where he oversaw RM1.6 billion across unit trust funds and private mandates. He started his career with Rashid Hussain Asset Management Sdn Bhd in 1996 and had been a speaker as well as examination writer for the SIDC in the early 2000s.

Geoffrey is a member of the Board of Governors of the CFA Institute, the premier global association for investment management professionals and is a member of the board's Audit and Risk Committee, where he is board liaison to the organisation's information technology and disciplinary review bodies. He was past Vice Chair of the Education Advisory Board of the CFA Institute and Treasurer / Board Member of CFA Malaysia. He also served on the CFA Institute's Council of Examiners from 2003 to 2009. He holds a Bachelor of Commerce (High Honours) with double majors in Accounting and Finance (Sprott School of Business, Carleton University, Ottawa, Canada), as well as the Chartered Financial Analyst and Certified Financial Planner designations. Geoffrey has also holds the certificate in Fintech: Future Commerce by the Massachusetts Institute of Technology.

WHAT WILL YOU LEARN?

SESSION 1

Outline

- Nature of fund management business
- Overview of the expected skillset of directors to understand their overall responsibilities, the nature, conduct and performance of fund management business, including:
 - Duties to clients;
 - Duties in relation to risk management issues, especially regulatory risk, investment and operational risks;
 - Key internal controls;
- 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:
 - Investment management agreement;
 - Safe keeping of clients' assets;
 - Records and segregation of functions;
 - Insider and/or price sensitive information;
 - Real or perceived conflicts of interest situations;
 - Market misconduct, including front running and churning;
 - Issues of sales practices of unlisted capital market products;
 - Business continuity plan;
 - Compliance function and compliance officers;
 - AML/CFT framework

Learning Outcomes

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

- Discuss the nature, challenges and opportunities in the fund management business;
- Evaluate the relevant provisions in the applicable guidelines that directors of licensed intermediaries need to be cognizant of;
- Assess the challenges facing directors of fund management companies in overseeing the application of and conformance with the applicable guidelines; and
- 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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*The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice.

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