

CAPITAL MARKET DIRECTOR PROGRAMME

CMDP MODULE 3: RISK OVERSIGHT AND COMPLIANCE – ACTION PLAN FOR BOARD OF DIRECTORS

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



JAS BIR KAUR
SSN Consult



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



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



CPE Points Earned:
5 CPE Points Per Webinar

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ICF COMPETENCY LEVEL

- Core – Risk Management (Proficiency Level 4)
- Foundational (Regulatory) – Capital Market Intermediaries (Proficiency Level 4)
- Behavioural (Organisational Leadership) – Strategic Thinking (Proficiency Level 4)

WHO SHOULD REGISTER?

Individuals

Newly appointed directors and directors of CMSL holders

SPEAKER

Jas Bir Kaur

Jas Bir Kaur has had a long career in the financial services and capital market industry. She spent just over 25 years in the Securities Commission Malaysia (SC), being involved in many areas of oversight including supervision, product development and the formulation of policies for the capital market, particularly in investment management and stockbroking.

In 2019, she was briefly attached to Value Partners Ltd, Hong Kong focussing on integration of ESG policies and procedures within the investment management process as well as various processes in client servicing and product development.

During her tenure in SC, she was involved in the supervision of the investment management industry including supervisory audits, risk assessments of fund management companies and enforcement of relevant guidelines and requirements. In addition, she oversaw the authorisation and licensing of capital market intermediaries and individuals involved in the capital market, as well as development of new policies and requirements in response to changing business models in the capital market. During her stint with the SC, she was also seconded to a leading fund management house where she had direct exposure to the operations and management of a fund management business. Her last post in the SC was as Deputy Director.

Prior to the SC, she also worked with Bank Negara Malaysia in the area of banking regulation and was seconded to the Capital Issues Committee, under the Ministry of Finance (Treasury).

Through the course of her work, Jas Bir has developed strong stakeholder engagement skills, having worked with relevant associations and capital market intermediaries to identify risks and challenges and to recommend policies and measures to develop the industry. She was also involved in change management projects within the SC involving people and organisation development.

She holds a Bachelor of Economics degree in Business Administration from University of Malaya and a Master of Science degree in Finance from Strathclyde University, Glasgow, Scotland. In addition she has a Masters in Managerial Psychology from HELP University College, Kuala Lumpur. She has also participated in the Women Directors Onboarding Training Programme (WDOTP), an initiative under National Institute of the Empowerment of Women and Malaysian Institute of Directors (MINDA) and the Ministry of Women, Family and Community Development. She also completed the Women Directors Mentoring Programme 2017 under MINDA.

She is a Certified Business and Executive Coach (Malaysian Academy of Corporate Coaches) and qualified as a Mediator under the Mediation Skills Training Programme conducted by the Bar Council of Malaysia. She is currently on the panel of mediators for Securities Industry Dispute Resolution (SIDREC) as well on the directors' registry of FIDE and Institute of Corporate Directors of Malaysia.

WHAT WILL YOU LEARN?

SESSION 1

Outline

- Role of the board of directors in building and sustaining an effective ethics and compliance framework that aims to meet the directors' fiduciary duties
- The board's role in managing conflicts of interest situations, including:
 - Connected/related party transaction;
 - Insider information;
 - Liquidity and risk management; and
 - Customer complaints and dispute resolution.
- What happens when there is compliance failure? How to prevent compliance failure?
 - Best practices in compliance for capital market intermediaries; including monitoring compliance as an important part of directors' oversight responsibilities;
 - Board's rights and obligations to demand the right information;
 - Relationship between compliance and internal audit function and the impact on board's functions; and
 - Case studies - Compliance functions and activities

Learning Outcomes

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

- Review a framework that identifies, assesses and manages key strategic and operational risks associated with the conduct of licensed intermediaries;
- Explain the importance of risk oversight, ethical and compliance programmes and the consequences of failures in such programmes; and
- Discuss how to exercise judgement appropriately in dealing with issues of risk oversight and compliance 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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