

# CAPITAL MARKET DIRECTOR PROGRAMME

## CMDP MODULE 4: EMERGING AND CURRENT REGULATORY ISSUES IN THE CAPITAL MARKET

LIVE WEBINARS AVAILABLE ON  
**18 JUNE 2020 | 10.00AM - 12.30PM**



**NATALIE SYLVIA CHOW**  
Assistant General  
Manager, Intermediary  
and Fund Supervision of  
Securities Commission  
Malaysia



**DEVANESAN EVANSON**  
CEO, Minority Shareholders  
Watch Group (MSWG)



**Learning Hours:**  
2.5 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 (Product) – Capital Market Environment (Proficiency Level 4)
- Behavioural (Organisational Leadership) – Strategic Thinking (Proficiency Level 4)

### WHO SHOULD REGISTER?

#### Individuals

Newly appointed directors and directors of CMSL holders

### SPEAKER

#### Natalie Sylvia Chow Mong Yeon

Currently, Assistant General Manager with the Intermediary and Fund Supervision Business Group of Securities Commission, one of the Unit Head of Supervision Department, responsible for the supervision of investment banks and fund management companies.

Natalie has 22 years of working experience. Previously an Associate Director with PricewaterhouseCoopers, where she was with the Business Advisory Services for 15 years with vast consultancy experience on management, operations and finances of large scale, complex businesses from different industries such as hotels, manufacturing, pharmaceutical, property development and retail.

She has also worked in London for 4 years where she was involved in the project development of Green Homes as well as healthcare industry where she was responsible for the business development, operating policies and risk management whilst with Whipps Cross Hospital, NHS London.

Natalie graduated with Bachelor of Science degree from University Sains Malaysia and has an MBA from Portsmouth University, United Kingdom.

#### Devanesan Evanson

Devanesan Evanson is currently the CEO of the Minority Shareholders Watch Group (MSWG).

He is a qualified Accountant (FCCA) who is also a Chartered Member of the Malaysian Institute of Accountants. He also holds a law degree (LLB Hons) from the University of London. He is a Fellow member of the Institute of Internal Auditors Malaysia (FIAM).

Devanesan also sits on the Board of AKPK (Agensi Kaunseling dan Pengurusan Kredit) as an Independent Director and is also the Chairman of the Audit Committee. AKPK is an agency under the auspices of Bank Negara which provides Credit Counseling and Debt Management Services for customers of financial institutions.

He is also a Past-President of the ACCA Advisory Committee, a Past-President of the Institute of Internal Auditors Malaysia and a Past-Council Member of the Malaysia Institute of Accountants.

Devanesan retired from Bursa Malaysia in 2010 after serving Bursa Malaysia for eighteen years. He started his career at Bursa Malaysia as Head of Internal Audit and Risk Management. He was also, at one time, the Chief Regulatory Officer and later, the Chief Market Operations Officer of Bursa Malaysia.

### WHAT WILL YOU LEARN?

#### SESSION 1

##### Outline

- Recognise the emerging issues potentially affecting the business of licensed intermediaries:
  - Systemic risk, prudential standards, capital adequacy and stress test;
  - Reputation risks arising from counterparties and/or service vendors/providers;
  - Remuneration driving malpractices;
  - Not adhering to KYC protocols;
  - Conflict of interests;
  - Churning customer accounts;
  - Dealing with customer complaints and alternative dispute resolutions;
  - Use of social media (e.g. Facebook and twitter) by market participants and intermediaries to differentiate between advice and guidance;
  - Cyber-threats (including examples below) and the impact on the capital markets:
    - Loss of critical data or data leakage – whether caused by unintentional or deliberate act;
    - Social engineering in which customers are manipulated into disclosing confidential information which could lead to identity thefts, email frauds, and spams; and
    - Loss of control over internet protocol (ip) addresses resulting from distributed denial of service (ddos) attacks.

##### Learning Outcomes

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

- Discuss and articulate the emerging issues potentially affecting the business of licensed intermediaries;
- Identify and understand the red flags of potential misconducts; and

##### Speaker

Devaneson Evanson

**Recommended Learning Hours: 1.5 hours / 5 CPE points**

#### SESSION 2

#### The Securities Commission Malaysia: Regulatory Expectations

##### Outline

- Understand the role of the Securities Commission Malaysia as primary stakeholder in ensuring proper conduct through sound appreciation of:
  - SC's supervisory objectives and philosophy;
  - Eleven core principles of SC supervision
  - Importance of strong compliance framework and culture of compliance
  - Core supervisory process;
  - Spectrum of supervision including risk posed to the intermediaries from the perspective of conduct, microprudential, AML/CFT and systemic issues; and
  - Common supervisory findings in the areas of
    - Compliance framework and culture;
    - Awareness and understanding of regulatory requirements;
    - Adequacy of resources and controls.
  - Based on interactive discussions regarding red flags identify indicators of possible market misconduct.

##### Learning Outcomes

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

- Exercise judgement appropriately in ensuring (i) proper conduct of licensed intermediaries and (ii) effective dealings with the regulator – the Securities Commission Malaysia

##### Speaker

Natalie Sylvia Chow

**Recommended Learning Hours: 1 hour / 5 CPE points / Pre & Post Assessments**

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