





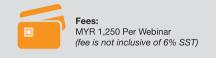
# MODULE 6: STOCK MARKET AND SECURITIES LAW

LIVE WEBINAR AVAILABLE ON

3 & 4 JULY 2021 9.00AM - 6.00PM







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### **PROGRAMME OVERVIEW**

This 2-day course is designed to match the licensing study outline for Module 6 on stock market and securities law. It covers the securities industry with specific focus on Malaysian market, regulatory structure and its governing laws, duty and standard care of dealing in securities, various offences and stock market operations.

### PROGRAMME OBJECTIVE

This course equips participants with comprehensive understanding and knowledge based on the Module 6 Study Outline. Participants will advance their knowledge and comprehension further via an interactive teaching and learning experience while increasing their confidence in sitting for the examination. This course will be facilitated by an experienced and qualified trainer.

### **LEARNING OUTCOMES**

Candidates are expected to have good knowledge, understanding and ability to apply in the following areas:

- 1. The securities industry and its significance to the Malaysian economy
- 2. The regulatory structure of the securities industry in Malaysia
- The main laws and regulations governing the operation of the securities industry in Malaysia
- The activities and current trends connected to money laundering and terrorism financing and the Malaysian regulatory approach towards them
- The relationship between the stockbroking company and its client
- The duty and standard of care applicable to person(s) who carries (carry) on the business of dealing in securities
- The licensing requirements of person(s) who carries (carry) on the business of dealing in securities and their representatives
- 8. The various securities offences and describe how they are regulated
- 9. The operations of the stock market in Malaysia

# **CANDIDATES' PREREQUISITES**

It is estimated that this module will require a minimum of 80 hours of study time. Candidates are expected to have relatively strong capability in the application and analysis of information provided in this outline and its reference. The amount of study hours needed depends on the education background and work experience of the candidates. Candidates are also expected to update themselves with the latest changes relevant to this module as all questions will be continuously updated to reflect these changes.

# **METHODOLOGY**

This course will be delivered using effective learning methods which include presentations, discussions and review examination questions.

# **PROGRAMME**

# DAY 1

### Overview of the Malaysian Stock Markets Securities

- The Malaysian Stock Market
- Participants and Intermediaries in the Malaysian Stock Market

# Overview of the Law

- Regulatory Bodies in Malaysia
- Range of Business Structures Companies
- A Company's Constitution General Management and Administration
- Administration and Management of a Participating Organisation

# Break

# Primary Issues of Ordinary Shares

- Post Listing Requirements Securities Issues in the Secondary Market
- Structured Products
- Bursa Malaysia Securities Berhad Main Market Listing Requirements
- Bursa Malaysia Securities Berhad ACE Market Listing Requirements
- Bursa Malaysia Securities Berhad LEAP Market Listing Requirements

# Lunch Break

# Guidelines on Unlisted Capital Market Products under the Lodge and

- Launch Framework Section A: General Requirements
  - Section B: Part 2: Structured Products
  - Lodgement Kit: Unlisted Capital Market Products under the Lodge and Launch Framework

### **PROGRAMME**

- The Trading System
- Rules of Bursa Malaysia Securities Berhad on Trading
- Bursa Malaysia Securities Berhad Participating Organisations' Trading
- Guidelines on Prevention of Money Laundering and Terrorism Financing for Capital Market Intermediaries
  - Part I: Introduction and Applicability
  - o Part II: Risk-Based Approach Application Part III: Customer Due Diligence (CDD)
  - Part IV: Retention of Records
  - Part V: Suspicious Transactions
  - Part VI: Compliance and Training Programmes
  - o Part VII: Combating Terrorism Financing

### Break

Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives: Part I, II & III

### Clearing, Delivery, Settlement and Corporate Actions

- Clearing
  - Delivery and Settlement
- Corporate Actions
- Other Matters

End of Day One

### DAY 2

- What is the Law of Contract?
- Essential Elements of a Contract
- Contracts entered into on Bursa Malaysia Securities Berhad

### Break

- Stockbroking Company and Client
- Rules Governing the Stockbroking Company and Client Relationship Buying Securities on the Market
- Direct Business Transaction (DBT) Participating Organisation's Duties to Clients' Participating Organisation's Rights
- Client's Rights
- Keeping of Records
- Negligent Misstatement Essential Elements of the Tort of Negligent Misstatement
- Statutory Liability

# Lunch Break

Licensing Framework

- Trading in Securities: Prohibited Conduct Under the CMSA Other Offences Relating to Dealing
- Other Offences Relating to False and Misleading Statements Other Offences

- What are Take-overs?
- The Legal Framework Penalties for Contravention of the Code

# End of Programme

**SPEAKER** 



### **WONG LOKE LIM** Wong Loke Lim has almost thirty years of banking and

finance-related experience. Currently, he is a director of several private companies which he founded, including i-Biz Concept Sdn Bhd, a financial training and management resources provider. He is also a director of a Bursa Malaysia-listed company and sits on the Board of Governors of the Financial

Planning Association of Malaysia, where he was the Deputy President from 2011-2013. Previously, he was the Chief Executive/Licensed Representative of a fund management company, a general manager at KAF Investment Bank Berhad and the Group Chief Internal Auditor of a KLSE (now Bursa Malaysia)-listed company. He speaks regularly on topics relating to capital market, treasury, accounting and wealth management, and conducted training programmes for capital market professionals, private bankers and wealth managers in various financial centres in the Asia-Pacific region. He is a chartered accountant, a fellow of the Association of Chartered Certified Accountants and a Certified Financial Planner.

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\*The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice. For enquiries on registration, please contact +603 6204 8439 / 8274 | Register today at www.sidc.com.my