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# MODULE 9: FUNDS MANAGEMENT REGULATION

LIVE WEBINAR AVAILABLE ON  
**24 & 25 SEPTEMBER 2022**  
9.00AM - 6.00PM

**HRD CORP REGISTERED COURSE/  
PROGRAMME NO: 10001152784**



**Learning Hours:**  
2 Days



**Fees:**  
MYR 1,250 Per Webinar  
(fee is not inclusive of 6% SST)



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## PROGRAMME OVERVIEW

This programme equips participants with comprehensive understanding and knowledge based on Module 9 study outline. Participants will advance their knowledge and comprehension further via interactive teaching and learning experience while increasing their confidence in sitting for the examination. This programme will be facilitated by an experienced and qualified trainer.

## PROGRAMME OBJECTIVE

This programme is designed to match the licensing study outline for Module 9 on funds management regulation. It covers comprehensive introduction to funds management, regulatory structure, fund management industries, licensing requirements, compliance and corporate governance relating to fund management.

## LEARNING OUTCOMES

Upon completion of this programme, participants should be able to:

- recognise the fund management industry and describe its significance to the Malaysian economy
- outline the regulatory structure of the funds management industry in Malaysia
- identify the main laws, regulations and guidelines governing the operation of the funds management industry in Malaysia
- distinguish the relationship between a fund management company and its client
- explain the duty and standard of care applicable to a fund management company
- describe the licensing requirements of fund management companies and their representatives
- discuss various securities offences and how they are regulated
- explain the purpose of an Investment Management Agreement and Investment Mandate
- explain the compliance and its significance to a fund management company
- discuss corporate governance and other issues affecting a fund management company

## CANDIDATES' PREREQUISITES

Candidates are expected to possess good knowledge and understanding of subject matter provided in the study outline and specified references. It is estimated that the SCLE Module 9 will require a minimum of 120 hours of study time. 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 the module as all questions will be continuously updated.

## METHODOLOGY

This programme will be delivered using effective learning methods including presentations, discussions and review of examination questions.

## PROGRAMME

### DAY 1

#### The Fund Management Industry in Malaysia

- What is Fund Management Industry?
- Significance of the Fund Management Industry
- Providers of Fund Management Services
- Fund Structures in Malaysia
- Support Services Providers
- Why Does the Fund Management Industry Need to be Regulated?

#### Laws and Organisations Regulating the Fund Management Industry

- Overview of Law
- The Securities Industry Laws
- Other Relevant Laws and Regulations
- Organisations Regulating the Fund Management Industry
- Industry Regulation

1.5 hours (9.00am – 10.30am)

Break

#### The Law of Contract

- What is the Law of Contract?
- Essential Elements of a Contract

1.5 hours (11.00am – 12.30pm)

Lunch Break

#### Negligent Misstatement

- What is Negligence?
- Elements of the Tort of Negligence
- Negligent Conduct – the Duty and Standard of Care
- Negligent Misstatement
- Statutory Liability

#### Relationship between Fund Management Company and Client

- Analysing the Relationship between a Fund Management Company and its Client
- Laws Governing the Fund Management Company/Client Relationship
- Ethical Considerations

1.5 hours (1.30pm – 3.30pm)

Break

## PROGRAMME (CONT')

#### Conduct of a Fund Management Company's Business

- The Investment Management Agreement
- Duties to Clients
- Records and Segregation of Assets
- Substantial Shareholders Notices
- Insurance Cover

#### The Licensing Handbook

- Chapter 1: Introduction
- Chapter 2: Licences under the CMSA
- Chapter 4: Licensing Criteria
- Chapter 7: Conditions and Restrictions of Licence
- Chapter 10: Outsourcing Arrangement by CMSL Holders

1.5 hours (4.00pm – 5.30pm)

End of Day One

### DAY 2

#### Securities Offences

- Short Selling
- Market Manipulation by Market Rigging
- Market Manipulation by Information
- Other Offences Relating to Dealing
- Other Offences Relating to False and Misleading Statements
- Insider Trading
- Other Offences

#### Compliance

- Compliance
- The Compliance System
- Implementing the Compliance Plan
- Requirement to Adopt Compliance Procedures
- Authority of the Compliance Officer

#### Topical Issues in Funds Management Regulation

- Corporate Governance
- Performance Presentation Standards
- Key Elements of Performance Presentation Standards

1.5 hours (9.00am – 10.30am)

Break

#### Related Guidelines for Fund Management Regulation

- Guidelines on Compliance Function for Fund Management Companies
- Guidelines for Public Offerings of Securities of Closed-end Funds

2 hours (11.00am – 1.00pm)

Lunch Break

#### Related Guidelines for Fund Management Regulation (cont')

- Guidelines on Prevention of Money Laundering and Terrorism Financing for Reporting Institutions in the Capital Market
- Guidelines on Unlisted Capital Market Products Under the Lodge and Launch Framework
- Lodgement Kit: Unlisted Capital Market Products Under the Lodge and Launch Framework

1.5 hours (2.00pm – 3.30pm)

Break

#### Related Guidelines for Fund Management Regulation (cont')

- Guidelines on Unit Trust Funds
- Guidelines on Sales Practices of Unlisted Capital Market Products
- Guidelines on Exchange-Traded Funds
- Guidelines on Islamic Fund Management

1.5 hours (4.00pm – 5.30pm)

End of Day Two

## 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](http://www.sidc.com.my)

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