



**VIRTUAL**



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# **EMPOWER YOUR CAPITAL MARKET INTERMEDIARY BUSINESS**

**WITH SC GUIDELINES FOR  
GOOD BUSINESS CONDUCT AND  
CORPORATE CULTURE**



**5 JULY 2023**

**10:00 AM - 12:30 PM**

**REGISTER NOW TO SECURE YOUR SPOT!**

## PROGRAMME OVERVIEW

The Securities Commission Malaysia in its Annual Report 2022 reported a total of 118 administrative sanctions involving various market misconduct and breaches such as knowingly causing the furnishing of information that is false or misleading to Bursa resulting in a penalty of RM11.999 million.

It is well noted that financial market misconduct is costly and may compromise the integrity of the market and its ecosystem. Furthermore, investors need to feel confident when participating in an investment and require trustworthy professionals.

Therefore, it is hoped that this programme will help the CMSRL holders and professionals dealing in capital market activities understand the requirements of the guidelines and its expectations and implications to promote good conduct and elevate compliance culture within the capital market intermediaries.

## PROGRAMME OBJECTIVE

This programme will provide participants with an overview and insights into the Guidelines on Conduct for Capital Market Intermediaries with the objective to foster good business conduct and corporate culture within all capital market intermediaries.

## LEARNING OUTCOMES

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

- identify the rationale behind the implementation of SC Guidelines on Conduct for Capital Market Intermediaries
- describe the important requirements and expectations of the guidelines
- examine the obligations and expectations of a license person in carrying out capital market-related services
- discuss the recommended best practices in applying good conduct and governance within business organisations

## METHODOLOGY

Interactive presentations, case studies discussions and Question-and-Answer (Q&A) sessions

## COMPETENCIES

**Foundational (Regulatory)** - Capital Market Intermediaries (Proficiency Level 3)

**Foundational (Regulatory)** - Capital Market Products Regulation (Proficiency Level 3)

**Functional (Process)** - Compliance (Proficiency Level 3)

**Core** - Ethics and Integrity (Proficiency Level 3)

## TARGET AUDIENCE

### Individual

Capital Market Representative's Licence (CMSRL) Dealing in Securities and Derivatives, Fund Managers, Compliance Officers, Financial Planners, Wealth and Legal Advisors, Risk Management Officers, Lawyers, , Internal Auditors, Governance Officers, Professionals undertaking corporate advisory work

### Institutions

Capital Market Intermediaries, Public Listed Companies (PLs), Regulatory and Supervisory Bodies





# AGENDA

10.00 am - 12.30 pm  
(2 hours 30 mins)

## **SC Guidelines on Conduct for Capital Market Intermediaries for Good Business Conduct and Corporate Culture**

- Overview and rationale of the guidelines
- Who does it apply to?
- Highlights on differences between Guidelines on Market Conduct and Business Practices for Stockbroking Companies vs Guidelines on Conduct for Capital Market Intermediaries
- Key requirements of the guidelines
- Minimum standard requirements of conduct expected from the capital market intermediaries
- The obligations of a license person in carrying out capital market-related services
- How the guidelines promote the building of trust and effective relationships between capital market intermediaries and clients
- Lesson learned in identifying and managing issues of conflict of interest in capital market intermediaries
- Recommended practices in applying good conduct and governance in business organisations

### **Moderator**

**Shazana Mokhtar**

Radio Presenter – BFM 89.9

### **Panellists**

**Devanesan Evanson**

Chief Executive Officer, Minority Shareholders Watch Group

**Sharmila Sharma**

Chief Executive Officer, SIDREC

**Maheswari Kanniah**

Group Chief Regulatory and Compliance Officer, Kenanga Investment Bank Berhad

**Philip Koh**

Senior Partner, Mah-Kamariyah & Philip Koh

12.30 pm

End of webinar



## PANELLISTS



### **DEVANESAN EVANSON**

CEO, Minority Shareholders Watch Group (MSWG).

Devanesan Evanson is the CEO of the Minority Shareholders Watch Group (MSWG) and a qualified Accountant (FCCA) and Chartered Member of the Malaysian Institute of Accountants. With a law degree (LLB Hons) from the University of London, he is also an adjunct professor at Universiti Kebangsaan Malaysia and a member of the Industry Advisor Panel of International University of Malaya Wales. Devanesan's extensive experience includes serving on the Integrated Reporting Steering Committee of the Malaysian Institute of Accountants and holding positions such as Chief Regulatory Officer and Chief Market Operations Officer at Bursa Malaysia. He is also a Past-President of the ACCA Advisory Committee and the Institute of Internal Auditors Malaysia.



### **MAHESWARI KANNIAH**

Chief Regulatory and Compliance Officer, Kenanga Investment Bank.

Mahes is the ED, Group Chief Regulatory and Compliance Officer of Kenanga Investment Bank. She serves on the Board of Institute of Corporate Directors Malaysia ("ICDM") and Member of their Audit and Risk and Chairman of Members Disciplinary Committee. She is also a Member of Risk Management Committee of University Malaya, Council Member of the Malaysian Association of Certified Fraud Examiners, Member of the Curriculum Review Committee of the SIDC, Member of the Membership Committee of Malaysian Institute of Chartered Secretaries and Administrators. Mahes is a Fellow of ICDM, Fellow Chartered Secretary and Chartered Governance Professional of Chartered Governance Institute, UK/Malaysia. She is also a Certified Fraud Examiner US/Malaysia, Chartered Banker, Certified Capital Market Professional – Compliance and Certified Expert in ESG and Impact Investing.



### **SHARMILA SHARMA**

CEO, SIDREC

Sharmila Sharma is the CEO of SIDREC. She has a background in law, human rights, and sustainable finance. She has worked with SUHAKAM and the UNHCR and played a key role in developing the FSPB Code of Ethics for the Financial Services Industry. Prior to joining SIDREC, she was Head of Strategy, Mergers & Acquisitions, focusing on investments that reduce carbon footprints in Southeast Asia. Sharmila holds a degree in Economics and Law from the University of Durham. She has been called to the Bar of England & Wales and the Malaysian Bar. She has also completed all three levels of the CFA examinations.



## PANELLISTS



### **PHILIP TN KOH**

Senior Partner, Mah-Kamariyah & Philip Koh

Philip is the Senior Partner at MKP and brings to the firm over 30 years of expertise in three worlds: the academic, the professional and the industry. His specialisation includes contract & investment laws, mergers & acquisitions, financial services & securities industries, corporate law & governance, commercial & civil litigation and public law.

Philip is also Adjunct Professor at Universiti Malaya and Monash Malaysia University. He contributes regularly Op-Ed columns in media on areas of public law and corporate governance. He is elected Vice President of PARFUM (UM Law Alumni) and Trustee of Tun Suffian Foundation.

## MODERATOR



### **SHAZANA MOKHTAR**

Radio Presenter

Shazana Mokhtar is a producer and presenter with the Morning Run on BFM 89.9, Malaysia's independent business radio station. She also hosts Pressing Matters, the weekly programme on media industry issues and current affairs. Prior to her leap into media, she served with the Ministry of Foreign Affairs Malaysia for seven years, including two years in New York when Malaysia was a member of the United Nations Security Council. She graduated in law from the London School of Economics.



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Get in touch and speak to our friendly team via mobile / e-mail

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\* The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice.