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Make **Compliance**  
Your **Strength**

# **CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) - COMPLIANCE 1**



MyCoID: 765264K

**HRD CORP REGISTERED COURSE/PROGRAMME NO: 10001372681**

# OVERVIEW OF CCMP - COMPLIANCE

There are 3 levels of Compliance Certifications

## COMPLIANCE 1

For aspiring compliance professionals and all employees in the capital market. Covers essential compliance concepts, functions, approaches, tools, and skill sets related to capital market laws, principles, and regulatory requirements, technical areas, and general activities of intermediaries.

### Essentials of Compliance

- Regulatory & Technical Modules
  - E-Learning
  - Assessment (Knowledge Checks)

### Compliance & Other Control Functions

- Behavioural Modules
  - Assessment (Assignments)

- Collaborative Learning
  - Assessment (Facilitator Rating)

### Compliance & Business

Summative Assessment

## CERTIFICATION ENTRY AND COMPLETION REQUIREMENTS

### COMPLIANCE 1

#### Entry Requirements \*

- Degree / professional qualification from recognised institution; or
- Diploma from recognised institution with a minimum of 3 years relevant capital market experience

#### Completion Requirements

- Completed and passed CCMP-Compliance 1 learning and assessment

\* Note: For CCMP certifications, you must be at least 21 years old, which is in line with the requirements for a Capital Market Services Representative's Licence. The age requirement does not apply for those pursuing modular learning





# **CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) - COMPLIANCE 1**

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## **ESSENTIALS OF COMPLIANCE**

Benefit from a Purposeful Career  
in Compliance

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Are you seeking a long-term career with a clear career path and skills which are in high demand?

Do you want to have skill sets and competencies which are transferable across industries?

Embark on a purposeful career in Compliance, the ethical heart of an organisation.





# Programme Overview

## **CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) - COMPLIANCE 1**

**Certified Capital Market Professional (CCMP) - Compliance 1** is a programme for aspiring compliance professionals and all employees in the capital market. Covers essential compliance concepts, functions, approaches, tools, and skill sets related to capital market laws, principles, and regulatory requirements, technical areas, and general activities of intermediaries.



# CERTIFICATION ROADMAP - COMPLIANCE 1

## ENROLMENT



## E-LEARNING



- 01 | Essentials of Capital Market Regulations: Intermediaries & Conduct
- 02 | Essentials of Capital Market Regulations: AMLA
- 03 | Essentials of Compliance
- 04 | Essentials of Customer Service: Know Your Client
- 05 | Compliance, Corporate Governance Risk and Ethic
- 06 | Introduction to Capital Markets: Economics, Products & Services
- 07 | Securities Trading, Derivatives Dealing and Settlement, and Client Advisory In Malaysia (Part 1, 2 & 3)
- 08 | Fundamentals of Fund Management and Client Advisory in Malaysia

## BEHAVIOURAL MODULES



### MODULE 01



Insights into the Compliance Role and Essential Skillsets

### MODULE 02



Thinking & Communication Skills for Compliance Officers

### MODULE 03



Networking & Relationship Building in Compliance



## COLLABORATIVE LEARNING

## SUMMATIVE ASSESSMENT

## COMPLETE COMPLIANCE 1 CERTIFICATION



ESTIMATED DURATION TO COMPLETE - UP TO 4 MONTHS

## eLEARNING OVERVIEW

Today's compliance function is not just about ticking the boxes in a checklist and ensuring that everyone is abiding by laws, rules, and regulations. It's also about making positive impact on the organisation and its business through a robust and ethical compliance programme to prevent reputational and economic nightmares.

CCMP 1 is an introductory programme that gives a solid understanding of the core compliance issues to aspiring compliance professionals and all employees in the capital market. Here they will learn more about compliance, the capital market regulatory environment, and the role played by compliance, and for those considering embarking on a new career in compliance.

## PROGRAMME OBJECTIVE

This e-learning programme is designed to equip and provide participants in the capital market with a deeper understanding of the essential compliance concepts, functions, approaches, tools and skillsets on capital market laws, principles and regulatory requirements, technical areas, and general activities of intermediaries.

## LEARNING OUTCOMES

Upon completion of this e-learning, participants will be able to:

1. explain the importance of compliance and the regulatory requirements applicable to specific regulated activities in the capital market
2. identify the roles and responsibilities of the compliance function and factors to consider in creating an effective compliance framework
3. recognise emerging risks issues and trends in the capital market industry and the effects of economic changes, monetary and fiscal policies on the capital market environment and businesses
4. describe the regulations and processes related to dealing in securities and derivatives in Malaysia, ranging from advising clients to trading and settlement
5. outline the regulatory requirements and procedures to comply with fund management practices

## COMPETENCIES

- Capital Market Institutions (L3)
- Capital Market Intermediaries (L3)
- Anti-Money Laundering (L3)
- Capital Market Products Regulations (L3)
- Anti-Money Laundering (L3)
- Compliance (L3 - L4)
- Digital Technology Application (L2)
- Customer Focus (L2)
- Communication (L3)
- Networking and Relationship Building (L3)
- Ethics and Integrity (L2)
- Corporate Governance (L2)
- Risk Management (L2)
- Capital Market Environment (L2)
- Capital Market Products (L3)
- Securities Trading (L3)
- Settlement of Securities Trades (L3)
- Derivatives Dealing (L3)
- Settlement of Derivatives Deals (L3)
- Client Advisory (L3)
- Know Your Client (KYC) (L3)
- Fund Management (L3)
- Client Advisory (L3)

# BEHAVIOURAL MODULE 1 - Insights into the Compliance Role and Essential Skillsets

## PROGRAMME OVERVIEW

The changes in today's regulatory and business environments demand different skills on compliance officers. There is a pressing need to upgrade their skills and influence to manage the ever-evolving regulatory changes in the increasingly competitive business landscape.

This course provides comprehensive, practical insights and strategies for enhancing the behavioural skills relevant to participants starting out as compliance officers in the capital market. This course focuses on practical strategies in demonstrating the essential behavioural skills to enable them to discharge their functional and advisory roles effectively.

## PROGRAMME OBJECTIVE

This programme will enable participants to recommend an action plan to mitigate compliance issues while anticipating challenges from the business units and communicating with the regulator.

## LEARNING OUTCOMES

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

- identify the must-have skillsets for compliance officers
- describe the role of compliance officers in intermediaries
- determine individual competency gaps to work on based on the skillset and role
- interpret the big picture in determining business and regulatory needs
- identify issues and challenges surrounding the responsibilities of compliance officers
- discuss the elements of good judgement in dealing with issues of business challenges and regulatory expectation
- develop an action plan to affect change towards system improvement

# BEHAVIOURAL MODULE 2 - Thinking & Communication Skills for Compliance Officers

## PROGRAMME OVERVIEW

The key roles Compliance Officers need to focus on are advising, educating, and monitoring. Practical skills necessary to carry out the compliance function effectively are thinking and communication skills to interact with all levels of the organisation.

This course focuses on participants embarking on the compliance function where they will be exposed to problem solving approaches which would be useful in their roles and responsibilities. Participants will also be able to convey ideas and information by applying the communication process to ensure clarity, persuasiveness, and confidence.

## PROGRAMME OBJECTIVE

This programme will enable participants to recommend a solution for a problem or issue supported by possible options in a given situation related to the compliance function.

## LEARNING OUTCOMES

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

- describe thinking and problem-solving frameworks and fundamentals
- determine the steps to enhance thinking skills to assess compliance matters
- explain the concept and process of problem-solving and decision-making in overseeing the compliance of the relevant rules and regulations
- identify potential decision-making strategies in dealing with possible misconduct
- develop effective communication techniques to manage compliance conversations



# BEHAVIOURAL MODULE 3 - Networking & Relationship Building in Compliance

## PROGRAMME OVERVIEW

The compliance unit is essential in any capital market intermediary as it serves to ensure that everyone working in the capital market intermediaries adheres to laws and regulations. In order to carry out its function effectively, the compliance unit should establish a strong network and relationship with internal and external parties to ensure the smooth running of the business and at the same time comply with laws and regulations.

The course will enable participants to create networking opportunities and build relationships with both internal and external parties to enable meaningful conversations on compliance to be carried out. This course introduces techniques and strategies to build confidence in networking among various stakeholders. Participants will take part in discussions, interactive tasks and role plays to immediately put into practice the techniques and strategies taught.

## PROGRAMME OBJECTIVE

Participants will be able to build effective networks between the compliance unit and various stakeholders and avoid common pitfalls when building business relationships.

## LEARNING OUTCOMES

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

- describe the general concept of business networking and its importance in the compliance fraternity
- explain the process of starting effective networking relationships and building up a rapport with counterparties
- discuss the common pitfalls when building business relationships among different stakeholders
- apply the appropriate techniques when asking questions to counterparties
- articulate the importance of establishing meaningful business relationships and effective stakeholder engagement

# COLLABORATIVE LEARNING

## PROGRAMME OVERVIEW

Today's compliance function is not just about ticking the boxes on a checklist and ensuring that everyone is abiding by laws, rules, and regulations. It's also about making a positive impact on the organisation and its business through a robust and ethical compliance programme to prevent reputational and economic nightmares. CCMP-C1, Essentials of Compliance: Case Study Series & Communities of Practice (Real-Life Scenarios) will feature real-life case studies and scenarios to discuss and explore the core compliance issues and their implications faced by businesses today. Through discussions participants will deliberate on the approaches taken when faced with similar situations, the rationale behind the decision made, consider the best compliance practices, as well as learn from others within the industry.

## PROGRAMME OBJECTIVE

This programme is designed to give insights and equip participants in the capital market with an in-depth understanding and approaches to dealing with compliance issues through real-life case studies and scenarios ranging from essential compliance concepts, functions, approaches, tools and skillsets on capital market laws, principles and regulatory requirements, technical areas, and general activities of intermediaries.

## LEARNING OUTCOMES

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

- identify the core compliance issues faced in the capital market industry, its implications and the approaches that can be taken to mitigate them
- explain the importance of compliance and the regulatory requirements applicable to specific regulated activities in the capital market
- discuss the roles and responsibilities of the compliance function and factors to consider in creating good compliance practices within an organisation and capital market industry
- develop critical thinking, problem-solving, and communications skills needed by compliance professionals in handling compliance issues and stakeholders involved.



# SUMMATIVE ASSESSMENT

## REGULATORY & TECHNICAL MODULES

### REQUIREMENTS:

Completion of 8 modules and knowledge checks

## BEHAVIOURAL MODULE

### REQUIREMENTS:

- Completion of 3 webinars
- Submission of Assignments

## COLABORATIVE LEARNING

### REQUIREMENTS:

- Completion of Case Studies webinar
- Submission & presentation of assignment based on scenarios

### ASSESSMENT STRUCTURE:

- 100 points
- 70 points (content)
  - 30 points (presentation)

## SUMMATIVE ASSESSMENT

### REQUIREMENTS:

- Completion of:
- Regulatory & Technical Modules
  - Behavioural Modules
  - Collaborative Learning

### ASSESSMENT STRUCTURE:

- 60 points (60 questions)
- Regulatory & Technical Modules
    - 40 questions
  - Behavioural Modules
    - 20 questions

SUMMATIVE ASSESSMENT 70%

COLLABORATIVE LEARNING 30%

TOTAL MARKS 100%  
(PASSING MARK 70%)



AWARD  
CCMP-COMPLIANCE 1

For enquiries on registration, please contact: **+603 6204 8439 / 8274**

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Register today at **www.sidc.com.my**

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