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

17 MAY 2024

9.00AM-12.30PM | SECURITIES COMMISSION OF MALAYSIA





**CPE Points Earned:** 







Webinar Event.

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### PROGRAMME OVERVIEW

capital market ecosystem. The growth or decline of the capital market is influenced by, among others, the success and failure of these institutions. Hence, the quality of leadership at these institutions is paramount. Kiel et

Experience in and knowledge of the industry in which the organisation operates **Industry:** 

Technical:

Governance: The essential governance knowledge and understanding all directors should possess or develop if they are to be effective

**Behavioural:** The attributes and competencies enabling individual board members to use their knowledge and skills to function well as team members and to interact with key stakeholders

#### PROGRAMME OBJECTIVE

The Capital Market Director Programme is an exclusive platform for directors and other strategic personalities of licensed intermediary institutions to equip themselves with new and relevant knowledge, skills and abilities (basic to intermediate level). The programme is also designed to allow them to explore and deliberate on pertinent issues affecting the industry from multi-stakeholders' perspectives.

The specific objectives of the programme are as follows:

- and oversight of the running of the licensed intermediary institutions;
- Assist directors of licensed intermediary institutions to be an effective challenges, business and governance, in the capital market; and
- 3) Promote a thorough understanding of the role of the Securities Commission in regulating a dynamic and competitive capital market.

# ICF COMPETENCY LEVEL



- Core Corporate Governance, Ethic & Integrity, Risk Management (Proficiency Level 4)
- Intermediaries, Capital Market Products Regulations (Proficiency Level 4)
- Foundational (Product) Capital Market Environment (Proficiency Level 4)
- Behavioural (Organisation Leadership) Strategic Thinking

# **TARGET AUDIENCE**

**Individuals** Newly appointed directors and directors of CMSL holders.

#### WHAT WILL YOU LEARN?

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

- Understand and articulate the emerging issues potentially affecting the Identify and understand the red flags of potential misconducts; and
- Exercise judgement appropriately in ensuring (i) proper conduct of licensed intermediaries and (ii) effective dealings with the regulator
- the Securities Commission Malaysia.

## PROGRAMME OUTLINE

- 09.00 am Recognise the emerging issues potentially affecting the business of licensed intermediaries:
  - o Systemic risk, prudential standards, capital adequacy and
  - o Reputation risks arising from counterparties and/or service
    - Remuneration driving malpractices;
    - Not adhering to KYC protocols;

    - Churning customer accounts;
  - o Dealing with customer complaints and alternative dispute resolutions;
  - o Use of social media (e.g. Facebook, Tik Tok and Twitter) by between advice and guidance;
  - o 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.
- 10.45 am Understand the role of the Securities Commission Malaysia as primary stakeholder in ensuring proper conduct through
  - sound appreciation of: o SC's supervisory objectives and philosophy;
    - o Eleven core principles of SC supervision -
      - Integrity Skill, care and diligence
      - Supervision and control
      - Financial requirements

      - Priority to client's interests

    - No conflicts of interests
    - Safeguarding clients' assets Compliance culture
    - Dealing with regulators o Importance of strong compliance framework and culture of
    - compliance
    - o Spectrum of supervision including risk posed to the intermediaries from the perspective of conduct, microprudential, AML/CFT and systemic issues; and o Common supervisory findings in the areas of
    - Compliance framework and culture;
    - Awareness and understanding of regulatory
    - Adequacy of resources and controls.
    - o Based on interactive discussions regarding red flags identify indicators of possible market misconduct.

12.30 pm End of Programme

# **SPEAKER**



# **NIZAM ISMAIL**

Nizam is CEO and Founder of Ethikom Consultancy, a compliance-focused consultancy based in in Singapore.

Nizam draws upon his previous regulatory experience as Head of the Market Conduct Policy Division at the Monetary Authority of Singapore, his compliance background as Head of Compliance for Southeast Asia at Lehman Brothers and Morgan Stanley, and his legal background as Deputy Public Prosecutor/State Counsel at the Commercial Affairs Department and Senior Legal Counsel at Citigroup, to assist global financial institutions, FinTech firms and corporate clients with licence applications and various regulatory compliance issues.

Nizam is the founding Chairman of the Regulatory and Compliance Sub-Committee of the Blockchain Association of Singapore. He is also a Fellow at the Singapore University of Social Studies.



Past 14 years, Zaidatul has been with the SC's Supervision Department which carries out supervision functions of regulated entities in the Malaysian Capital Market. Her work includes supervision of the investment management industry including supervisory engagements and audits, enforcement of regulatory requirements and assisting in the development of new policies and regulation to promote market confidence

Prior to joining the SC, she gained extensive experience in assurance and advisory of public listed and multinational companies during her 4 years in Deloitte and Ernst & Young, Kuala Lumpur.

Zaidatul is a Fellow of the Association of Chartered Certified Accountants (ACCA), UK.

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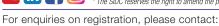
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\*The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice.

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