



HRD CORP REGISTERED COURSE  
PROGRAMME NO: 10001382509



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10  
CPE POINTS

# FUNDS MANAGEMENT REGULATIONS PROGRAMME



Learning Hours:  
2 Days



Fees:  
MYR 1,750  
(fee is not inclusive of SST)



Mode:  
Webinar

18-19 MAY 2024

9.00AM-6.00PM

## PROGRAMME OVERVIEW

Funds Management Regulation is a 2-day programme designed to provide insights into funds management, regulatory structure, fund management industries, licensing requirements, compliance and corporate governance relating to fund management.

## PROGRAMME OBJECTIVE

This programme is designed as a refresher course for CMSRLs or ERPs who would like to refresh themselves in funds management regulation. Apart from this, the programme also serves to support those preparing to sit for the Securities Commission Licensing Examination (SCL) Module 9 on Funds Management Regulation. It's highly recommended that participants put in a minimum of 120 self-study hours using study aids such as SCL Module 9 e-guide, practice set questions, reading list and latest market updates for maximum benefit and reinforced learning.

## LEARNING OUTCOMES

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

- recognise the fund management industry and 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

## PROGRAMME METHODOLOGY

This programme will be delivered using effective learning methods including presentations, discussions and Q&A

## PROGRAMME OUTLINE

### DAY 1

9:00 am	The Fund Management Industry in Malaysia <ul style="list-style-type: none"> <li>• What is fund management industry?</li> <li>• Significance of the fund management industry</li> <li>• Providers of the fund management services</li> <li>• Fund structures in Malaysia</li> <li>• Support services providers</li> <li>• Why does the fund management industry need to be regulated?</li> <li>• Industry bodies</li> </ul>
	Laws and Organisations Regulating the Fund Management Industry <ul style="list-style-type: none"> <li>• Overview of law</li> <li>• The securities industry laws</li> <li>• Other relevant laws and regulations</li> <li>• Organisations regulating the fund management industry</li> <li>• Industry regulation</li> </ul>
10:30 am	Break
10:45 am	The Law of Contract <ul style="list-style-type: none"> <li>• What is the law of contract?</li> <li>• Essential elements of a contract</li> </ul>
12:30 pm	Lunch Break
2:00 pm	Negligent Misstatement <ul style="list-style-type: none"> <li>• What is negligence?</li> <li>• Elements of the tort of negligence</li> <li>• Negligent conduct – The duty and standard of care</li> <li>• Negligent misstatement</li> <li>• Statutory liability</li> </ul>

Relationship between the 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

3:30 pm Break

3:45 pm Conduct of a Fund Management Company's Business

- Responsibilities of the organisation
- 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 the CMSL holders

6:00 pm End of Day 1

### DAY 2

9:00 am 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
- Authority of the compliance officer

Topical Issues in Funds Management Regulation

- Corporate governance
- Performance presentation standards
- Key elements of performance presentation standards

10:30 am Break

10:40 am Related Guidelines for Fund Management Regulation

1. Guidelines on Compliance Function for Fund Management Companies
2. Guidelines for Public Offerings of Securities of Closed-end Funds
3. Guidelines on Conduct for Capital Market Intermediaries

1:00 pm Lunch Break

2:00 pm Related Guidelines for Fund Management Regulation (cont')

1. Guidelines on Prevention of Money Laundering and Terrorism Financing for Reporting Institutions in the Capital Market
2. Guidelines on Implementation of Targeted Financial Sanctions Relating to Proliferation Financing for Capital Market Intermediaries
3. Guidelines on Unlisted Capital Market Products Under the Lodge and Launch Framework
4. Lodgement Kit: Unlisted Capital Market Products Under the Lodge and Launch Framework

3:30 pm Break

3:45 pm Related Guidelines for Fund Management Regulation (cont')

1. Guidelines on Unit Trust Funds
2. Guidelines on Sales Practices of Unlisted Capital Market Products
3. Guidelines on Exchange-Traded Funds
4. Guidelines on Islamic Capital Market Products and Services
5. Guidance Note on Managing Environmental, Social and Governance for Fund Management Companies

6:00 pm 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.*

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