

# NAVIGATING BUSINESS RESILIENCE

## AND THE FUTURE OF FUND MANAGEMENT

22 APRIL 2024

9.00AM - 5.15PM

CONFERENCE HALL 2, SECURITIES COMMISSION MALAYSIA



FACE-TO-FACE

### PROGRAMME OVERVIEW

In the contemporary tapestry of the global financial ecosystem, fund management companies find themselves navigating technological advancements and an evolving risk panorama highlighting the critical interplay between compliance and resilience. In today's world, these twin imperatives are not only integral components of sound corporate governance but also fundamental pillars supporting the sustainable success and credibility of fund management companies.

The Securities Commission Malaysia (SC) through the Guidelines on Compliance Function for Fund Management Companies to establish controls and compliance, ensuring investor protection and market confidence. Additionally, the Guidance Note on Managing ESG Risks for Fund Management Companies which was issued on 30 June 2022, aims to assist the fund management companies in establishing a responsible investment framework. It provides clarity and outlines the regulator's expectations regarding the development and implementation of practices, policies and procedures towards effective analysis and management of material ESG risks and risk-related considerations. Furthermore, it facilitates meaningful disclosures to investors while driving positive impact and change.

Furthermore, recent global events have demonstrated the need for robust business continuity plans. Whether facing a global pandemic, natural disasters, or market volatility, fund management companies must be equipped to weather unforeseen storms. Resilience measures not only provide a shield against disruptions but also position companies to emerge stronger from adversity.

This programme explores the symbiotic relationship between compliance and resilience, highlighting their interconnected nature. It extends beyond fulfilling legal obligations, focusing on strategically mitigating risks to foster a culture of resilience within fund management entities.

### PROGRAMME OBJECTIVE

This programme will equip participants with the knowledge and tools needed to thrive in an environment where adaptability, ethical conduct, and operational stability are paramount. Together, compliance and resilience form the bedrock upon which fund management companies can build a future-proofed, trustworthy, and successful enterprise in today's rapidly evolving world.

### ICF COMPETENCY LEVEL

- Functional (Process) – Fund Management, Compliance (Proficiency Level 3)
- Core – Corporate Governance, Customer Focus, Risk Management (Proficiency Level 3)
- Behavioural (Organisational Leadership) – Business Acumen (Proficiency Level 3)

### TARGET AUDIENCE

#### Individuals

Fund Managers, Investment Professionals, and Executives working within the fund management industry, Financial Analysts, Risk Management Professionals, Institutional Investors, Pension Funds and Wealth Management Professionals and Academics and Researchers specialising in finance.

#### Institutions

Capital Market Intermediaries, Digital Investment Management Companies, Public Listed Companies (PLCs), Regulatory and Supervisory Bodies who are keen to learn on compliance, risk management and business continuity planning

### WHAT WILL YOU LEARN?

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

- describe the relevant guidelines governing the fund management regulatory framework
- explain the strategic leadership roles in ensuring corporate governance is upheld through compliance and eventually business resilience
- analyse how policies and procedures is designed in building an effective organisational compliance
- assess the compliance risks unique to the Malaysian fund management sector
- examine the importance of robust business continuity plans in the face of global events, natural disaster and market volatility for fund management companies
- discuss the communications approaches and mitigation strategies in times of crisis

### PROGRAMME OUTLINE

#### Moderator

**Tehmina Kaoosji** Independent Broadcast Journalist & Communications Consultant

9.00 am **Regulatory Framework for Fund Management Compliance in Malaysia**

- Overview of the Securities Commission Malaysia (SC) and its role in regulating fund management companies.
- Guidelines on Compliance Function for Fund Management Companies
- Guidance Note on Managing ESG risks for Fund Management Companies

#### Speaker

**Amardeep Kaur** General Manager, Investment Management Development, Securities Commission Malaysia (SC)

10.30 am Coffee Break

10.45 am **Strategic Synergy: Elevating Corporate Governance through Compliance Excellence and Business Resilience**

- Establishing compliance and resilience governance structure
- Leadership responsibilities in ensuring regulatory adherence
- Integrating compliance and resilience into corporate governance

#### Building Effective Compliance Policies and Procedures

- Designing comprehensive compliance policies tailored to the Malaysian context
- Implementing robust compliance procedures and controls
- Training and educating staff on compliance policies

#### Speaker

**Reinushini Chandrasegaram** Managing Director, RC Compliance Sdn. Bhd.

12.15 pm Lunch Break

2.00 pm **Managing Compliance Risks in the Malaysian Fund Management Sector**

- Identifying and assessing compliance risks specific to the fund management industry
- Conducting a comprehensive risk assessment
- Identifying and prioritising operational, financial, and regulatory risks
- Developing risk mitigation and management strategies

#### Panellists

**Khairul Azwa Kamalul Bahrin** Head of Risk Management & Compliance, Kumpulan Wang Persaraan (Diperbadankan) [KWAP]

**Farhan Nor Diyana Samsudin** Chief Compliance Officer, Maybank Investment Banking Group (MIBG) & Officer-in-Charge (Compliance), Maybank Investment Bank Berhad (MIBMY)

3.30 pm Coffee Break

3.45 pm **Business Continuity and Resilience Planning**

- Developing and implementing business continuity and resilience plans
- Testing and exercising resilience and continuity plans
- Use of Artificial Intelligence (AI) and Machine Learning (ML)
  - Impact and associated risks in ensuring business resilience and continuity

#### Crisis Management and Communications

- Developing a crisis communication framework
- Internal and external communication protocols during a crisis
- Learning from previous incidents and improving response strategies
- Approaches and mitigation strategies in addressing conflict of interest scenarios
- Lesson learned in identifying and managing issues of conflict of interest in capital market intermediaries.

#### Panellists

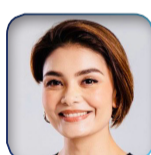
**Gayathri Jaganathan** Director, Risk Assurance Services, PwC Malaysia

**Azlina Izhar** Head, Group Business Continuity Management & Risk Controls, AFFIN Group

5.15 pm End of Programme

**PRICE: RM1300 (before SST)**

### MODERATOR



#### TEHMINA KAOOSJI

Tehmina Kaoosji has a decade of live breaking news and current affairs programming experience across public, private and online broadcast sectors in Malaysia. She is an IMLP alumni, nominated by the US Embassy KL in 2022 for the annual State Department's programme for broadcast journalists. She currently anchors 'Niaga Spotlight', Astro Awani's weekly business analysis and future affairs show. Tehmina is Partner & Communications Director of The Big Picture (TBP) Communications - TBP specialises in advocacy and policy-based outcomes for gender and social development issues.

### SPEAKER / PANELLIST



#### AMARDEEP KAUR

Amardeep Kaur serves as the General Manager and Head of Investment Management Development at Securities Commission Malaysia (SC), leading policy formulation and developmental initiatives for fund management and advisory landscapes since 2004. Her expertise spans various investment products, particularly in venture capital and private equity within the private markets ecosystem. Prior to joining SC, she held roles within Bursa Malaysia group of companies. With an LL.B from the University of Leicester and an LL.M from the London School of Economics, she's also certified by the University of Malaya and admitted to the High Court of Malaya. Notably, she's a recipient of the British Chevening Scholarship.



#### REINUSHINI CHANDRASEGARAM

Reinushini Chandrasegaram is the Managing Director of RC Compliance Sdn. Bhd., specialising in anti-corruption compliance, ESG/sustainability assurance, and corruption risk management. With over 30 years of leadership experience, she holds certifications as a Certified Integrity Officer (CeIO), Certified Sustainability Assurance Practitioner (ACSAP), and serves as a Director of the Malaysian Alliance of Corporate Directors (MACD). Reinushini is a Chartered Certified Accountant (FCCA), Certified Internal Auditor, and Certified Anti-Money Laundering & Counter Financing of Terrorism Compliance Officer (CAMCO). She has led professional reviews and training sessions globally and is a speaker at national and international forums. Reinushini also contributes to ESG Exchange and the Global Network of Director Institutes (GNDI), notably shaping the GNDI Global Survey 2023 on Future of Board Governance. She is appointed as a speaker, writer, and trainer for the Securities Industry Development Corporation (SIDC) and has moderated significant events like the National Anti-Corruption Summit 2024 (NACS 2024) and the National Integrity Forum 2023. Reinushini is an alumnus of the International Anti-Corruption Association (IACA), Austria.



#### KHAIRUL AZWA KAMALUL BAHARIN

Khairul Azwa has a Bachelor of Laws, LL.B (Hons) from the University of Liverpool and an MBA from the University of Wales, Cardiff. Professionally he is a Certified Financial Risk Manager (FRM) from the Global Association of Risk Professionals (GARP) and a Chartered Professional in Islamic Finance (CPIF) from the Chartered Institute of Islamic Finance Professionals. Has over 30 years of financial sector experience. Starting his career as a Treasury Dealer before progressing into Financial Institution Risk Management in 1997. He joined KWAP in 2009 where he has built the Risk Management and Compliance function from a team of 2 person to 30 strong in 2024.



#### FARHAN NOR DIYANA SAMSUDIN

Farhan is the Chief Compliance Officer for Maybank Investment Banking Group (MIBG) and Officer-in-Charge (Compliance) for Maybank Investment Bank Berhad (MIBMY) since August 2023, previously serving as Chief Compliance Officer for Maybank Asset Management Group (MAMG). With over 10 years' experience in compliance, legal, and financial capital, Farhan has played pivotal roles in various global compliance initiatives at Maybank, including regulatory projects like the US Dodd-Frank Act, MiFID II, and GDPR. A qualified lawyer with degrees from the International Islamic University Malaysia and the University of Reading, UK, Farhan also serves as Diversity, Equity & Inclusion (DEI) Allies and Women Council for Maybank Group.



#### GAYATHRI JAGANATHAN

Gayathri Jaganathan is a Director at PricewaterhouseCoopers Risk Services Sdn Bhd, specializing in Risk Assurance Services. She holds certification as a Certified Business Continuity Professional (CBCP) from DRI International and is pursuing her Certified Business Continuity Lead Auditor (CBCLA) certification from DRII. Gayathri received the 'Consultant of the Year' award at the 2022 Disaster Recovery Institute (DRI) Awards of Excellence for her outstanding work in Business Continuity Management (BCM). With over 15 years of experience, she has led various BCM and IT Disaster Recovery projects globally for public and private sectors, including regulators, financial institutions, government agencies, telco operators, and more. Gayathri is also a speaker on BCM topics at universities and corporate seminars and has participated in the Risk Assurance Leadership Programme in London, focusing on Enterprise Resilience.



#### AZLINA IZHAR

Driven by perfection, Azlina Izhar is a results-oriented leader with over 15 years of experience in operational risk management, business continuity management (BCM), global banking and markets, and financial markets operations. Specializing in operational risk management, technology and cyber risk management, Business Process Outsourcing (BPO), project management, process improvement, and transitions, Azlina is recognized for her expertise in MIS and reconciliations. An approachable, highly motivated problem solver, she brings a positive attitude and a passion for continuous improvement to every role.

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