

# TECHGUARD: EMPOWERING CAPITAL MARKETS WITH RESILIENT TECHNOLOGY RISK FRAMEWORK

## PROGRAMME OVERVIEW

The evolving digital landscape presents growing opportunities for capital market entities to expand their services. The Securities Commission Malaysia (SC) observes a rising trend where more entities within the capital market are utilising technology in their business operations. While supportive of this trend, the SC acknowledges the accompanying risks posed by these technological advancements.

With more entities adopting new innovative technologies like artificial intelligence (AI), machine learning (ML), and distributed ledger technology (DLT), numerous technological risks arise from the use of information technology (IT), systems, and the internet, including cyber risks. These dangers stem from IT system failures or breaches, potentially resulting in financial losses, service disruptions, or damage to the reputation of a capital market entity, significantly impacting the market's integrity.

To bolster risk management concerning these innovations, the SC issued the Guidelines on Technology Risk Management in August 2023 and expected to come into force by the third quarter of 2024. The Guidelines aim to further strengthen the ability of capital market entities to detect and mitigate risks associated with increased technology adoption, covering a comprehensive regulatory framework for the management of technology risk, data handling, and principles guiding the adoption of AI and ML.

## PROGRAMME OBJECTIVE

The programme provides practical insights on the Guidelines on Technology Risk Management in identifying and mitigating risks while complying with regulations. It also clarifies data governance, empowering participants with actionable knowledge for strategic management and equip businesses to fortify against technological risks and bolster cyber resilience in today's evolving digital landscape.

## ICF COMPETENCY LEVEL

- Core – Risk Management (Proficiency Level 3)
- Core – Corporate Governance (Proficiency Level 3)
- Functional (Technical) – Digital Technology Application (Proficiency Level 3)

## TARGET AUDIENCE

### Individuals

Board of Directors, Senior Management, IT and Information Security Officers, Compliance Officers, Data Governance Officers, Risk Management Officers, and Internal Auditors

### Institutions

Capital Market Intermediaries, Public Listed Companies (PLCs) and Academia who are interested to learn how technology potentials and risks impact businesses

## WHAT WILL YOU LEARN?

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

- recognise the evolving business landscape with technology adoption of capital market entities
- explain the technology risks and its impact on the capital market
- discuss the Guidelines on Technology Risk Management and of its requirements
- discover new technologies in the capital market and the potential technology-related risks that come with them
- discuss the oversight roles and responsibilities of the board and senior management in overseeing TRM and cybersecurity
- demonstrate an understanding of compliance requirements concerning data governance and management ensuring adherence and privacy measures

## PROGRAMME OUTLINE

	<b>Moderator</b> <b>Khoo Hsu Chuang</b> Managing Director, KHC Ventures Sdn Bhd
9:00 am	<b>The Evolving Business Landscape</b> <ul style="list-style-type: none"> <li>• The digital revolution in capital markets</li> <li>• Opportunities and challenges in the changing business environment</li> <li>• Overview of technology adoption in capital market entities</li> </ul> <b>Speaker</b> <b>Krishna Rajagopal</b> Group Chief Executive Officer AKATI Security
10:15 am	Coffee Break
10:30 am	<b>Technology Risks and Impact in the Capital Market</b> <ul style="list-style-type: none"> <li>• Technology risks: IT systems, internet, and cyber risks</li> <li>• Impact of technology risks on financial loss, services, and reputation</li> <li>• Threats to the integrity of the capital market</li> </ul> <b>11:30 am</b> <b>SC's Guidelines on Technology Risk Management</b> <ul style="list-style-type: none"> <li>• Overview of the Guidelines on Technology Risk Management and its requirements</li> <li>• Technology Risk Management (TRM) framework and its key components</li> <li>• Benefits of implementing a TRM framework</li> <li>• Challenges in technology risk management</li> </ul> <b>New Technologies in the Capital Market</b> <ul style="list-style-type: none"> <li>• Exploring new technologies - <ul style="list-style-type: none"> <li>o Artificial Intelligence (AI) in capital market activities</li> <li>o Machine Learning (ML) applications</li> <li>o Distributed Ledger Technology (DLT) and its role in capital markets</li> </ul> </li> <li>• Regulatory framework for new technologies</li> <li>• Managing technology risks: Strategies and best practices</li> </ul> <b>Panellists</b> <b>Sarbi Sandhu</b> General Manager, Technology Supervision, Securities Commission Malaysia <b>Krishna Rajagopal</b> Group Chief Executive Officer AKATI Security
12:30 pm	Lunch break
2:00 pm	<b>Board's and Senior Management's Oversight Roles and Responsibilities in TRM and Cybersecurity</b> <ul style="list-style-type: none"> <li>• The link between technology risks and overall business objectives</li> <li>• Board and senior management oversight roles and responsibilities in TRM and Cybersecurity</li> <li>• Enhancing cyber resilience through advanced technological measures</li> </ul> <b>Speaker</b> <b>Mohammad Ridzuan Abdul Aziz</b> Founder & Chief Executive Officer, CS Tech Solutions
3:30 pm	Coffee Break
3:45 pm	<b>Data Governance and Management for Capital Market Entities</b> <ul style="list-style-type: none"> <li>• Data ownership and stewardship</li> <li>• Compliance and privacy: The need for compliance with data protection regulations</li> <li>• Data lifecycle management and best practices</li> </ul> <b>Panellists</b> <b>Mohammad Ridzuan Abdul Aziz</b> Founder & Chief Executive Officer, CS Tech Solutions <b>Rodney Lee</b> Chief Executive Officer, Cybots <b>Chari TVT</b> Independent Non-Executive Director and Chairman, Board Governance & Risk Committee, UEM Sunrise Berhad
5:00 pm	End of Programme

**PRICE: RM1300 (before SST)**

## MODERATOR



### KHOO HSU CHUANG

Khoo Hsu Chuang, a seasoned financial journalist, boasts 25 years of expertise covering financial and capital markets across Asia and UK/Europe. With a career spanning notable media outlets like The Edge Communications, Bloomberg LP, Thomson-Reuters Plc, and BFM Radio, he's adept at reporting on diverse topics including tech, banking, mergers/acquisitions, and renewables. Chuang has co-hosted The Morning Run on BFM and served as a Contributing Editor at The Edge Media Group in KL, Malaysia. Notably, he spent nine years advocating for corporate governance as an analyst at the Minority Shareholders Watchdog Group. Chuang also runs the 'Do More' podcast focusing on investment, entrepreneurship, and personal development.

## SPEAKER / PANELLIST



### KRISHNA RAJAGOPAL

Krishna is a well renowned expert, recognized internationally as one of the best in the Cybersecurity industry for over two decades. Krishna's passion for Information Technology has kept him active in the field for two decades. He particularly focuses in Defence in Depth framework strategy formulation for corporates that encompasses areas such as Penetration Testing, Computer Forensics, SIEM, and DLP. Krishna has contributed extensively in helping numerous Governments and Global Banks to adapt to the Information Technology era. He has provided consultation and advice for banks including a prominent bank in Aruba when they were about to enter into the Online Banking scenario. The standards and procedures he has set for them are being used by all banks in Aruba today.



### SARBI SANDHU

Sarbi Sandhu, Head of Technology Supervision at Securities Commission Malaysia, brings over two decades of international security expertise. Leading initiatives to bolster cybersecurity within Malaysia's capital market, he shapes regulatory frameworks and drives technology agendas. Sarbi's leadership ensures entities meet stringent standards through policy development and assessments. Actively engaging with regulators and government agencies, he fosters strategic partnerships to enhance industry resilience. His proactive approach and unwavering dedication have solidified his role as a key player in advancing technology and cybersecurity practices, safeguarding Malaysia's financial landscape.



### MOHAMMAD RIDZUAN ABDUL AZIZ

Mohammad Ridzuan Abdul Aziz, with over 25 years of expertise in regulatory compliance and technology in Asia-Pacific, serves as Malaysia Country Director and Head of ASEAN Business for WorldRemit. He holds board positions in ACS Digital Berhad, AKRU robo-advisory, and Dear Time InsureTech. Ridzuan is a Fintech Association of Malaysia board advisor, focusing on Malaysia's fintech ecosystem and Islamic Digital Economy. He co-founded regulatory technology firms and served as CEO of Sedania As-Salam Capital Sdn Bhd. Ridzuan's career spans from regulatory roles during the Asia financial crisis to advisory positions in academia. He holds a BSc in Economics and an MBA specializing in Management Information System.



### RODNEY LEE

Rodney Lee, CEO of Cybots Pte Ltd, leads the group's cybersecurity division, providing cutting-edge solutions across ASEAN and Australasia. With over 30 years of experience in the ICT industry and 20+ years specializing in IT security, Rodney has built SOC practices and assessed across diverse sectors including Government, Finance, and Telcos. A cybersecurity thought leader, he shares expertise at industry forums and seminars, addressing trends and practices. Rodney advocates for Compromise Assessments aligned with Central Bank directives and runs a Cyber Security Threat and Incident Notification Broadcast, educating over 200 CIOs/CISOs since 2015 on mitigating cyber risks.



### CHARI TVT

CHARI TVT is a seasoned business and financial consultant with extensive experience across various industries, including telecommunications, high-tech infrastructure, aviation, and semiconductor manufacturing. He has held prominent positions such as Group CFO at Malaysia's Axiata Group and Celcom Telecommunication. With over two decades at Hewlett Packard, he transitioned from finance roles to sales and marketing, eventually becoming Vice President of Sales for Asia Pacific and Japan. Chari holds an MBA from the State University of New York at Buffalo and is affiliated with esteemed accounting institutes. He actively participates in conferences, addressing topics like analytics, digital transformation, and leadership. Additionally, he contributes as an advisory member and mentor in professional and entrepreneurial spheres.

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