

**Learning Hours:**  
2 Days

**Fees:**  
MYR 1,800  
*(fee is not inclusive of SST)*

**Mode:**  
Webinar

**Aligned with SCLE M6**

**1-2 NOVEMBER 2025**  
9.00AM-6.00PM

# STOCK MARKET AND SECURITIES LAW PROGRAMME

## PROGRAMME OVERVIEW

Stock Market and Securities Law is a 2-day programme designed to provide insights on Malaysian securities market, regulatory structure and its governing laws, duty and standard care of dealing in securities, various offences and stock market operations.

## PROGRAMME OBJECTIVE

This programme is designed as a refresher course for CMSRLs or ERPs who would like to refresh themselves in stock market and securities law. Apart from this, the programme also serves to support those preparing to sit for the Securities Commission Licensing Examination (SACLE) Module 6 on Stock Market and Securities Law. It's highly recommended that participants put in a minimum of 120 self-study hours using study aids such as SACLE Module 6 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 securities industry and its significance to the Malaysian economy
  - outline the regulatory structure of the securities industry in Malaysia
  - identify the main laws and regulations governing the operation of the securities industry in Malaysia
  - describe the activities and current trends connected to money laundering and terrorism financing and the Malaysian regulatory approach towards them
  - distinguish the relationship between the stockbroking company and its client
  - explain the duty and standard of care applicable to person(s) who carries (carry) on the business of dealing in securities
  - describe the licensing requirements of person(s) who carries (carry) on the business of dealing in securities and their representatives
  - discuss the various securities offences and describe how they are regulated
  - explain the operations of the stock market in Malaysia

## PROGRAMME METHODOLOGY

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

## PROGRAMME OUTLINE

### DAY 1

9:00 am	<b>Overview of the Malaysian Stock Markets</b> <ul style="list-style-type: none"> <li>Securities</li> <li>The Malaysian Stock Market</li> <li>Islamic Capital Market</li> <li>Participants and Intermediaries in the Stock Market</li> <li>Development and Impact of Technology on Securities Trading</li> </ul>
	<b>Regulation of the Securities Industry</b> <ul style="list-style-type: none"> <li>Overview of the Law</li> <li>Regulatory Bodies in Malaysia</li> </ul>
	<b>Business Structures</b> <ul style="list-style-type: none"> <li>Range of Business Structures</li> <li>Companies</li> <li>A Company's Constitution</li> <li>General Management and Administration</li> <li>Administration and Management of a Participating Organisation</li> </ul>
10:30 am	Break
10.45 am	<b>Capital Raising on the Primary Market</b> <ul style="list-style-type: none"> <li>Primary Issues of Ordinary Shares</li> <li>Post Listing Requirements</li> <li>Securities Issues in the Secondary Market</li> <li>Debt Securities and Derivative Product</li> <li>Structured Products</li> <li>Bursa Malaysia Securities Berhad Main Market Listing Requirements</li> <li>Bursa Malaysia Securities Berhad ACE Market Listing Requirements</li> <li>Bursa Malaysia Securities Berhad LEAP Market Listing Requirements</li> <li>Guidelines on Unlisted Capital Market Products under the Lodge and Launch Framework                             <ul style="list-style-type: none"> <li>Section A: General Requirements</li> <li>Section B: Part 2: Structured Products</li> <li>Lodgement Kit: Unlisted Capital Market Products</li> </ul> </li> </ul>
	under the Lodge and Launch Framework
12.30 pm	Lunch Break

2:00 pm	<b>Trading on the Secondary Market</b> <ul style="list-style-type: none"> <li>The Trading System</li> <li>Rules of Bursa Malaysia Securities Berhad on Trading</li> <li>Bursa Malaysia Securities Berhad Participating Organisations' Trading Manual</li> <li>Guidelines on Prevention of Money Laundering, Countering Financing of Terrorism, Countering Proliferation Financing and Targeted Financial Sanctions for Reporting Institutions in the Capital Market</li> </ul>
3:30 pm	Break
3:45 pm	<b>Trading on the Secondary Market (Continued)</b> <ul style="list-style-type: none"> <li>Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives: Part I, II &amp; III</li> <li>Guidelines on Conduct For Capital Market Intermediaries                             <ul style="list-style-type: none"> <li>Chapter 1 – Introduction</li> <li>Chapter 2 – Applicability</li> <li>Chapter 3 – Related Provisions</li> <li>Chapter 4 – Definitions</li> <li>Chapter 5 – Role of Board and Senior Management</li> <li>Chapter 6 – Treatment of Clients</li> <li>Chapter 7 – Treatment of Vulnerable Clients</li> <li>Chapter 8 – Care, Skill and Diligence</li> <li>Chapter 9 – Personal Advice</li> <li>Chapter 10 – Conflict of Interest</li> <li>Chapter 11- Client's Asset and Information</li> <li>Chapter 12 - Communication with Clients and Regulators</li> <li>Chapter 13 – Online Platforms</li> </ul> </li> </ul>
	<b>Clearing, Delivery, Settlement and Corporate Actions</b> <ul style="list-style-type: none"> <li>Clearing</li> <li>Delivery and Settlement</li> <li>Corporate Actions</li> <li>Other Matters</li> </ul>
6:00 pm	End of Day 1

### DAY 2

9:00 am	<b>Law of Contract</b> <ul style="list-style-type: none"> <li>What is the Law of Contract?</li> <li>Essential Elements of a Contract</li> <li>Contracts entered on Bursa Malaysia Securities Berhad</li> </ul>
10:30 am	Break
10:45 am	<b>Relationship between Stockbroking Company and Client</b> <ul style="list-style-type: none"> <li>Stockbroking Company and Client</li> <li>Rules Governing the Stockbroking Company and Client Relationship</li> <li>Buying Securities on the Market</li> <li>Direct Business Transaction (DBT)</li> <li>Participating Organisation's Duties to Clients'</li> <li>Participating Organisation's Rights</li> <li>Client's Rights</li> <li>Keeping of Records</li> </ul>
	<b>Negligent Misstatement</b> <ul style="list-style-type: none"> <li>Essential Elements of the Tort of Negligent Misstatement</li> <li>Statutory Liability</li> </ul>
12.30 pm	Lunch Break
2:00 pm	<b>Licensing</b> <ul style="list-style-type: none"> <li>Licensing Framework</li> </ul>
	<b>Guidance Note on Provision of Investment Advice</b> <ul style="list-style-type: none"> <li>Part I – Introduction</li> <li>Part II – Guidance Note on Provision of Investment Advice</li> <li>General</li> <li>Illustrations</li> </ul>
	<b>Securities Offences</b> <ul style="list-style-type: none"> <li>Trading in Securities: Prohibited Conduct Under the CMSA</li> <li>Other Offences Relating to Dealing</li> <li>Other Offences Relating to False and Misleading Statements</li> <li>Other Offences</li> </ul>
3:30 pm	Break
3:45 pm	<b>Take-overs and Mergers</b> <ul style="list-style-type: none"> <li>Introduction of Take-Overs</li> <li>General Principles and Rules on Take-Overs and Mergers</li> <li>Types of Take-overs Offers</li> <li>Processes and Procedures of Take-Over Offers</li> <li>Roles and Responsibilities of a Capital Markets Services</li> </ul>
	<b>Representative's Licence (CMSRL) Holder</b> <ul style="list-style-type: none"> <li>Penalties for contravention of the Code</li> </ul>
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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**Securities Industry Development Corporation (765264K)**  
3, Persiaran Bukit Kiara, Bukit Kiara, 50490 Kuala Lumpur, Malaysia  
Email: [sidc@sidc.com.my](mailto:sidc@sidc.com.my) Website: [www.sidc.com.my](http://www.sidc.com.my)



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For enquiries on registration, please contact: **+603 6204 8439 / 8274** | Register today at [www.sidc.com.my](http://www.sidc.com.my)

Get in touch and speak to our friendly team:

**Farith Jamal** | +6014 653 2578 | [Farith.Jamal@sidc.com.my](mailto:Farith.Jamal@sidc.com.my)

**Sarah Dalina** | +6011 2711 9658 | [Sarah.Dalina@sidc.com.my](mailto:Sarah.Dalina@sidc.com.my)

**Wan Mohd Farid** | +6012 641 7589 | [FaridK@sidc.com.my](mailto:FaridK@sidc.com.my)

**Abdul Qaiyum** | +6017 871 3242 | [Qaiyum.Ghazali@sidc.com.my](mailto:Qaiyum.Ghazali@sidc.com.my)

**Nur Hanis Hidayah** | +6010 543 7702 | [HanisM@sidc.com.my](mailto:HanisM@sidc.com.my)