

CMDP: MODULE 2B

BUSINESS CHALLENGES AND REGULATORY EXPECTATIONS – WHAT DIRECTORS NEED TO KNOW (FUND MANAGEMENT)

29 OCTOBER 2025 | 9.00AM-12.30PM



CPE Points Earned:
10 CPE Points



Mode:
Webinar



WEBINAR

Webinar Event.

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PROGRAMME OVERVIEW

Licensed intermediary institutions play an important systemic role in the 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 al., 2012 suggest four levels of competence required of a board. They are as follows:

- Industry:** Experience in and knowledge of the industry in which the organisation operates
- Technical:** Technical/professional skills and specialist knowledge to assist with ongoing aspects of the board's role
- Governance:** The essential governance knowledge and understanding all directors should possess or develop if they are to be effective board members
- 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:

- 1) Equip members of the board with knowledge and skills to provide leadership and oversight of the running of the licensed intermediary institutions;
- 2) Assist directors of licensed intermediary institutions to be an effective member of the board through latest developments in regulations and 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.

This programme aims to strengthen intermediation standards and capabilities as espoused by the Capital Market Masterplan 2 (CMP2).

ICF COMPETENCY LEVEL



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

TARGET AUDIENCE

Individuals

Newly appointed directors and directors of CMSL holders

WHAT WILL YOU LEARN?

MODULE 2B: BUSINESS CHALLENGES AND REGULATORY EXPECTATIONS – WHAT DIRECTORS NEED TO KNOW (FUND MANAGEMENT)

At the end of the module, participants will be able to:

- Identify and discuss the nature, challenges and opportunities in the fund management business;
- Evaluate the relevant provisions in the applicable guidelines that directors of licensed intermediaries need to be cognizant of;
- Assess the challenges facing directors of fund management companies in overseeing the application of and conformance with the applicable guidelines; and
- Exercise judgement appropriately in dealing with issues of business challenges and regulatory expectations brought to the attention of the board.

PROGRAMME OUTLINE

- 09.00 am
- Nature of fund management business, including:
 - o Shifting trends competitive changes; and
 - o Updates on latest changes of regulations/guidelines relevant to the industry.
 - Overview of the expected skillset of directors to understand the nature, conduct and performance of fund management business, including:
 - o Duties to clients;
 - o Duties in relation to risk management issues, especially regulatory risk and operation risk;
 - o Key internal controls;
 - o Types of investment assets and funds and their risk profiles; and
 - o Performance benchmarking and evaluation.
 - Challenges in the operations, systems and procedures in terms of minimum requirements and best practices to meet the expectations laid out in the applicable SC Guidelines with particular reference to the following areas of:
 - o Investment management agreement;
 - o Records and segregation of functions;
 - o Insider and/or price sensitive information;
 - o Real or perceived conflicts of interest situations;
 - o Market misconduct, including front running and churning;
 - o Issues of sales practices of unlisted capital market products;
 - o Business continuity plan;
 - o Compliance function and compliance officers;
 - o AML/CFT framework.
- 12.30 pm End of Programme

SPEAKER



GEOFFREY NG CHIN FUNG

Managing Director, Fund Management of UOB Kay Hian Wealth Advisors Sdn Bhd

Geoffrey Ng, Managing Director of Fund Management at UOB Kay Hian Wealth Advisors Sdn Bhd, has over 20 years of leadership in investment and wealth management. He has held senior roles at Fortress Capital, Hong Leong Asset Management, Dubai Investment Group, and Pacific Mutual Fund. He serves on the CFA Institute's board of governors, currently chairing its risk committee.

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



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

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