

REVISED ADVERTISING & INVESTMENT ADVICE GUIDELINES – WHAT YOU NEED TO KNOW

10 JULY 2025 | 9.00AM-1.15PM
CONFERENCE HALL, SECURITIES COMMISSION MALAYSIA



FACE-TO-FACE

HRD CORP REGISTERED
COURSE PROGRAMME NO:
10001549877

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WHAT'S THIS ABOUT?

New Rules, New Risks: Understanding the Latest Advertising and Investment Advice Guidelines

As digital content and financial promotions continue to evolve, so too do the rules that govern them. With the release of the **updated Guidelines on Advertising for Capital Market Products and Related Services** (effective 1 November 2025) and the **revised Guidance Note on the Provision of Investment Advice** (updated 18 July 2024), it's more important than ever to understand what's allowed—and what could land you or your organisation in trouble.

This **half-day programme** breaks down what you need to know about the latest regulatory developments, including:

- What's changed in the new advertising guidelines—and why it matters
- What qualifies as "investment advice" (even if you're not a licensed adviser)
- Key roles and responsibilities of advertisers, content creators, and intermediaries
- How the new guidelines affect collaborations with Finfluencers and other third parties
- Real-world enforcement examples: where others went wrong and what you can learn

Led by industry experts and regulators, this session will help you stay ahead of regulatory expectations and avoid common pitfalls. You'll gain practical clarity on how to communicate responsibly, ethically, and within the law—whether you're producing content, approving marketing materials, or managing third-party promotions.

Did you know that engaging in *unlicensed regulated activities* is an offence which is punishable under the *Capital Markets and Services Act 2007 (CMSA)*. *Any—person found guilty may be liable to a fine not exceeding RM10mil or imprisonment not exceeding 10 years or both.* Don't take the risk, get informed.

Whether you're in marketing, compliance, communications, legal, or content creation, this programme will equip you with the knowledge you need to navigate the shifting regulatory landscape with confidence.

WHY SHOULD YOU TAKE IT?

This programme is designed to equip participants with a clear and practical understanding of the latest regulatory expectations governing capital market advertising and the provision of investment advice. It aims to clarify the responsibilities of capital market intermediaries, content creators, including Finfluencers and other stakeholders involved in promotional activities.

Participants will gain the knowledge needed to navigate the updated guidelines confidently, ensure compliance, and uphold ethical standards in their communications and collaborations.

ICF COMPETENCY LEVEL

- Foundational (Regulatory) – Capital Market Institutions (Proficiency Level 3)
- Functional (Technical) – Client Advisory (Investment) (Proficiency Level 3)
- Core – Ethics and Integrity (Proficiency Level 3)

TARGET AUDIENCE

Individuals

Marketing Representatives, Compliance Officers, CMSRL Dealing in Investment Advice, Finfluencers, Financial Advisors, Financial Planners, Marketing Representatives, Lawyers, Corporate Consultants and Professionals undertaking corporate advisory work

Institutions

Stockbroking Firms, Investment Banks, Financial Advisory Companies, Legal Firms, Consultancy Firms, Fund Management Companies

WHAT WILL YOU LEARN FROM THIS?

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

- **Recognise** the key updates in the revised guidelines on advertising and investment advice, including the roles, responsibilities, and expected standards for all parties involved in capital market promotions.
- **Describe** the compliance obligations, enforcement measures, and ethical practices related to capital market advertising, with a focus on transparency, accountability, and investor protection—supported by real-world case studies.
- **Explain** the objectives and key provisions of the revised *Guidance Note on Provision of Investment Advice*, including the regulatory implications and consequences of non-compliance under the *Capital Markets and Services Act 2007 (CMSA)*.

PROGRAMME OUTLINE

9:00 am **Update: Revised Guidelines on Advertising for Capital Market Products and Related Services**
(Revised: 27 March 2025), (Effective Date: 1 November 2025)

- What is considered as advertisement?
- Who and what are the role of advertisers?
- Expected standards of information in an advertisement
- Conduct requirements for advertisers and Finfluencers

Guidance Note on Provision of Investment Advice

(Revised: 18/07/2024)

- Objectives of the Guidance Note in safeguarding investor's rights and enforcement framework
- Clarifications of what constitutes investment advice and practical examples
- Offences and enforcement – Penalties under the Capital Market Services Act (CMSA) 2007 and implications of non-compliance

Case Studies: Insights from local and global enforcement actions, penalties, and non-compliance

Moderator

Tehmina Kaoosji Independent Broadcast Journalist & Communications Consultant

Speaker

Mohamad Nor Azizi Mohd Nasir Deputy General Manager, Law Reform, Securities Commission Malaysia

10.30 am Coffee Break

10.45 am **The Rise of Finfluencers – Opportunities, Risks and Realities**

- The evolving role of Finfluencers in shaping retail investor behaviour and market trends
- Business models of Finfluencers and the impact of digitalisation on investment advice
- Promoting transparency, accountability, and ethical practices in financial content
- The role of social media platforms in promoting regulatory compliance, financial literacy, and platform accountability

Moderator

Tehmina Kaoosji Independent Broadcast Journalist & Communications Consultant

Speakers

Mohamad Nor Azizi Mohd Nasir Deputy General Manager, Law Reform, Securities Commission Malaysia

Choo Siew Fun Head, Group Compliance, Kenanga Investment Bank Berhad

1.15 pm End of Programme

MODERATOR



TEHMINA KAOOSJI
Independent Broadcast Journalist & Communications Consultant

Tehmina Kaoosji, anchor of Astro Awani's Niaga Spotlight, is an experienced journalist and advocate, leading communications efforts on gender and social development at TBP Communications.

SPEAKER



MOHAMAD NOR AZIZI B MOHD NASIR
Assistant General Manager of Law Reform Department, Securities Commission Malaysia

Mohamad Nor Azizi is an Assistant General Manager at the SC with 17 years' regulatory experience, specializing in policy, legal drafting, and reform of Malaysia's securities laws.



CHOO SIEW FUN
Head of Group Compliance, Kenanga Investment Bank Berhad

Siew Fun is Head of Group Compliance at Kenanga Group, with over 20 years at Bursa Malaysia. She specializes in regulatory frameworks, compliance, and market conduct across capital markets.

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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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