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HRD CORP REGISTERED COURSE / PROGRAMME
NO: 10001152105

MALAYSIAN CAPITAL MARKET INSIGHTS (MCMI) SERIES



Learning Hours:
4.2 hours



CPE Points Earned:
10 CPE Points



Mode:
e-Learning
(45 days Access Period)



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EXPERIENCE SIDC'S MALAYSIAN CAPITAL MARKET INSIGHTS SERIES ONLINE

- User friendly and easy to understand learning contents
- Access to downloadable acts, guidelines and checklists
- Guided by recommended learning hours for you to plan your learning-time efficiently
- Recommended Listening, for example from BFM Radio station to support your learning
- Frequently Asked Questions (FAQs) section to reinforce your understanding on certain subjects
- You may gauge your understanding of the subjects by taking a short assessment known as "Knowledge Check" at the end of each module. In the same session, you can also assist Adrian, a fictional Marketing Representative to complete his tasks and assignments while you are putting into practice what you have learned previously. Not to mention, you get to play a "Market and Cycle" game to further strengthen your understanding of certain subjects

ABOUT MALAYSIAN CAPITAL MARKET INSIGHTS SERIES

The Malaysian Capital Market Insights Series consists primarily of eight (8) modules for Capital Market Service Representative's Licence (CMSRL) holders.

- Overview of the Malaysian Capital Market
- Malaysian Capital Market Regulatory Landscape
- Regulatory Framework Governing the Malaysian Capital Market Regulated Activities
- Legal Relationship Between a Capital Market Intermediary and a Client
- Know Your Client and Anti Money Laundering
- Market and Business Misconducts, and the Offences
- Customer Service Excellence
- Marketing Excellence

The programme will conclude with an interactive quiz aimed at assessing participants' understanding of the modules they have just completed in accordance with recommended learning hours.

LEARNING OUTCOMES

This is a structured and interactive programme series designed to provide the participant with key take-aways of important capital market concepts, products and services in the context of the Malaysian Capital Market regulatory framework and environment. Upon completion of this programme, participants will be able to:

- Determine relevant capital market products and services to serve specific objectives considering the associated risks
- Describe the regulatory landscape of the Malaysian Capital Market and the roles and functions of the relevant regulatory bodies related to capital market activities
- Distinguish capital market activities that are allowed and restricted, including limitations for allowed activities
- Outline the obligations of licensed persons to their clients as prescribed by the rules, regulations and ethical sales best practices
- Perform client identification and profiling to establish the risks of doing financial business with the client in accordance to the regulatory requirements and standard practices for KYC and Anti-money laundering activities
- Identify and outline the rules and guidelines related to market misconduct, offences and unethical business conduct and take the necessary precautions in executing their obligations to prevent such conduct
- Outline customer service practices that will enable the delivery of product and services that meet the needs of customers (internal/external) in a professional, efficient and ethical manner to create value to stakeholders
- Distinguish appropriate techniques and solutions to gain customer's acceptance for proposed products or services

ICF COMPETENCY LEVEL



- Foundational (Regulatory) - FOR01 Anti-Money Laundering, FOR02 Capital Market Institutions, FOR03 Capital Market Intermediaries and FOR05 Islamic Capital Market Regulations
- Foundational (Product) - FOP01 Capital Market Environment FOP02 Capital Market Fundamentals FOP03 Capital Market Products and FOP04 Islamic Capital Market Products
- Functional (Technical) - Competency: FUT02 Client Advisory (Investment)
- Functional (Process Skills) – FUP14 Know Your Client FUP15 Sales and Marketing KYC
- Core Competency - CC01 Customer Focus

All at ICF Proficiency Level 3

WHO SHOULD REGISTER?

Designed for those who perform or undertake functions relevant to Dealing in Securities, mainly CMSRL Dealing in Securities, CMSRL in other regulated activities and employees of regulatory and enforcement agencies.

WHAT WILL YOU LEARN?

Module 1: Overview of the Malaysian Capital Market

Overview of the Malaysian Capital Market is the first module of the Malaysian Capital Market Insights (Dealing in Securities) programme. The module will provide the participants with a concise overview of the Malaysian Capital Market.

The course comprises 6 topics:

- The Capital Market Environment, Components, Role and Importance
- Capital Market and Economics: The Relationship and Economic Indicators
- The Capital Market Participants and Intermediaries
- Capital Market Products and Services
- Understanding the Risk and Returns Relationship
- Introduction to Islamic Capital Market

At the end of this course, the participants will be able to determine relevant capital market products and services to serve specific objectives considering the associated risks.

Recommended Learning Hour: 60 minutes

Module 2: Malaysian Capital Market Regulatory Landscape

This programme is designed with the aim to explore components of the Malaysian Capital Market regulatory landscape including the roles and functions of the relevant regulatory bodies in the Malaysian capital market.

The course will cover the following topics:

- Development of the Malaysian Capital Market
- The Malaysian Capital Market
- The Malaysian Stock Market
- The Malaysian Islamic Capital Market
- The Malaysian Derivatives Market

At the end of this course, the participants will be able to describe the regulatory landscape of the Malaysian Capital Market and the roles and functions of the relevant regulatory bodies related to capital market activities

Recommended Learning Hour: 40 minutes

Module 3: Regulatory Framework Governing the Malaysian Capital Market Regulated Activities

Series 3 that you will be able to describe types of regulated activities in the capital market in greater detail - be it in Dealing in Securities, Dealing in Derivatives, Fund Management, Dealing in Private Retirement Schemes, Advising in Corporate Finance, Investment Advice, Financial Planning as well as Clearing for Securities or Derivatives.

By the end of this series, you will be able to distinguish between capital market activities that are allowed and restricted, including limitations for the allowed activities.

Recommended Learning Hour: 30 minutes

Module 4: Legal Relationship Between a Capital Market Intermediary and a Client

In Series 4, you will be able to interpret the guidelines on sales practices for unlisted capital market products as well as understand how to market capital market products ethically.

By the end of this series, you will be able to outline the obligations of licensed persons to their clients as prescribed by the rules, regulations and ethical sales best practices.

Recommended Learning Hour: 30 minutes

Module 5: Know Your Client and Anti Money Laundering

This course sets out the principles and regulatory requirements for Know Your Customer (KYC) and prevention of Money Laundering and Terrorism Financing (ML/TF).

At the end of this course, the participants will be able to perform client identification and profiling to establish the risks of doing financial business with the client in accordance to the regulatory requirements and standard practices for KYC and Anti-money laundering activities.

Recommended Learning Hour: 30 minutes

Module 6: Market and Business Misconducts and the Offences

This course provides a comprehensive introduction to the prohibition of market misconduct, offences and unethical business conduct as prescribed by the capital market rules and regulations. The course is split into the following topics:

- prohibited conduct under CMSA 2007
- prohibited conduct under Guidelines on Compliance Function for Fund Management Companies
- prohibited conduct under the Code of Ethics and Rules of Professional Conduct (Federation of Investment Managers Malaysia (FIMM))

At the end of this course, the participants will be able to identify and outline the rules and guidelines related to market misconducts, offences and unethical business conduct and take the necessary precautions in executing their obligations to prevent market misconduct.

Recommended Learning Hour: 30 minutes

Module 7: Customer Service Excellence

The course is designed to develop the participants' skills and behaviours to offer exceptional customer experience. It provides participants with effective customer/client-facing practices and solutions to customer issues .

The course comprises 5 topics:

- Good Customer Service
- Customer Service Programmes
- Building Customer Relationships
- Presentation
- Customer Experience

At the end of this course, the participants will be able to outline customer services practices that would enable the delivery of product and services that meet the needs of customers (internal/external) in a professional, efficient and ethical manner to create value to stakeholders.

Recommended Learning Hour: 20 minutes

Module 8: Foundation for Marketing Excellence

The Foundation for Marketing Excellence course is designed to set out the sales and marketing processes and solutions for establishing customer requirements, analysing market trends and demands and gaining customer's acceptance of the products or services.

The course will cover the following topics:

- Prospecting
- Questioning
- Positioning
- Active Listening
- Speaking - Elevator Pitch
- Neuro-linguistic Programming (NLP)

At the end of this course, the participants will be able to distinguish appropriate techniques and solutions to gain customer's acceptance for proposed products or services.

Recommended Learning Hour: 20 minutes

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Find us on Youtube, LinkedIn, Facebook & Instagram at Securities Industry Development Corporation - SIDC
* 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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