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HRD CORP REGISTERED COURSE / PROGRAMME  
NO: 10001583880

# MALAYSIAN CAPITAL MARKET INSIGHTS (MCMI) SERIES



**Learning Hours:**  
5 hours



**CPE Points Earned:**  
10 CPE Points



**Mode:**  
e-Learning  
(45 days Access Period)



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## WHAT'S THE PROGRAMME ABOUT?

This programme offers a structured learning across nine modules. It is designed to equip participants with a thorough understanding of the Malaysian capital market covering its structure, core components and the role it plays in driving the country's economic growth.

Throughout the programme, participants will explore the regulatory framework that underpins the capital market including the functions of the regulatory authorities and legal provisions outlined under the Capital Markets and Services Act (CMSA). The programme also covers the responsibilities of capital market intermediaries especially in terms of professional conduct and client relationship management.

To support effective learning and retention, the programme integrates interactive quizzes and knowledge checks at the end of each module. These tools are designed to reinforce and assess participants' comprehension in line with the recommended learning hours.

Whether you're new to the capital market or looking to deepen your expertise, this programme provides a strong foundation in building competence and confidence in navigating the capital market landscape.

## WHY ATTEND THE PROGRAMME?

This programme is designed to enhance participants' understanding of the Malaysian capital market and the responsibilities of professionals operating within a regulated environment. It places strong emphasis on the role of the regulators particularly the Securities Commission Malaysia (SC) and how regulatory frameworks support the integrity, stability and growth of the market.



## ICF COMPETENCY LEVEL

- Foundational (Regulatory) - Capital Market Institutions (Proficiency Level 3)
- Foundational (Regulatory) - Capital Market Intermediaries (Proficiency Level 3)
- Foundational (Regulatory) - Capital Market Products Regulation (Proficiency Level 3)
- Foundational (Product) - Capital Market Environment (Proficiency Level 3)
- Foundational (Product) - Capital Market Products (Proficiency Level 3)
- Functional (Process Skills) - Know Your Client (Proficiency Level 3)
- Core Competency - Customer Focus (Proficiency Level 3)

## TARGET AUDIENCE

New hires, new capital market entrants, professionals seeking foundational knowledge on capital market, Sales and Marketing Executives, Employees of Registered Persons, Internal/External Audit Officers, Risk management Officers, employees from the government regulatory and enforcement agencies, and academia

## WHAT WILL YOU GAIN FROM THE PROGRAMME?

Upon completion of this programme, participants will be able to:

1. identify the relevant capital market products and services to serve specific objectives considering the associated risks
2. describe the regulatory landscape of the Malaysian Capital Market and the roles and functions of the relevant regulatory bodies related to capital market activities
3. distinguish between permitted and prohibited capital market activities, including their respective limitations
4. outline the obligations of licensed persons to their clients as prescribed by the rules, regulations and ethical sales best practices
5. perform client identification and profiling to establish the risks of doing financial business with the client in accordance with the regulatory requirements and standard practices in KYC and Anti-money laundering activities
6. explain the rules and guidelines governing market misconduct, offences and unethical business practices along with the necessary precautions to prevent such conduct
7. describe customer service practices that will enable the delivery of product and services that meet the needs of customers in a professional, efficient and ethical manner to create value to stakeholders
8. describe the appropriate techniques and solutions to gain customer's acceptance for proposed products or services.

## PROGRAMME OUTLINE

### Module 1: Overview of the Malaysian Capital Market

Kickstarting the Malaysian Capital Market Insights programme, this foundational module offers participants a comprehensive and structured introduction to the Malaysian capital market. It explores the core components, economic linkages and value of the capital market in nation-building and investment growth. Participants will also be introduced to the fundamentals of Islamic Capital Market.

The module 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

### Module 2: The Malaysian Capital Market Regulatory Landscape

This module dives into the regulatory ecosystem that underpins the Malaysian capital market. Participants will gain insights into how the market has evolved, the structural pillars of regulation and the functions of key governing bodies that maintain investors' confidence and market integrity.

The module comprises 5 topics:

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

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

Participants will gain insights into the licensing framework and regulatory oversight for various capital market activities. This module clarifies the roles and responsibilities tied to the eight regulated activities, offering clarity on compliance expectations and licensing requirements.

8 types of regulated activities:

- Dealing in Securities
- Dealing in Derivatives
- Fund Management
- Dealing in Private Retirement Schemes
- Advising in Corporate Finance
- Investment Advice
- Financial Planning
- Clearing for Securities or Derivatives

### Module 4: Legal Duties of Capital Market Intermediaries to Clients

This module delves into the legal duties and obligations between capital market intermediaries and their clients. Participants will gain a clear understanding of the duties and obligations that promote transparency, professionalism, and fair treatment in all capital market transactions and interactions.

The module comprises 5 topics:

- The Relationship: Principal and Client
- Client's Right
- Guidelines on Sales Practices for Unlisted Capital Market Products
- Ethical Conduct in Marketing

### Module 5: Private Markets

This module provides an overview of private equity and venture capital ecosystem. Participants will gain insights into the different types of private equity, the fundraising and investment processes, and how the funds are structured and managed. The module also covers the regulatory requirements, registration processes and insights into the future outlook of private equity in Malaysia.

The module comprises 9 topics:

- Private Equity Landscape in Malaysia
- What is Private Equity and Venture Capital?
- Types of Private Equity
- Fundraising Process
- Investment Process
- Fund Structuring
- Fund Management Operations
- Regulations and Registration
- Future of Private Equity in Malaysia

### Module 6: Know Your Client and Anti Money Laundering

This module introduces foundational understanding related to Know Your Client (KYC), money laundering, and terrorism financing. Participants will learn about the regulatory guidelines for capital market intermediaries, customer due diligence procedures, identifying and reporting suspicious transactions as well as applying a risk-based approach to compliance.

The module comprises 5 topics:

- Introduction to Know Your Client, Money Laundering and Terrorism Financing
- Guidelines on Prevention of Money Laundering/Terrorism Financing for Capital Market Intermediaries
- Customer Due Diligence
- Suspicious Transactions Report
- Risk-Based Approach

### Module 7: Offences Related to Market and Business Misconduct

This module 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 module comprises 3 topics:

- Prohibited conduct under CMSA 2007
- Prohibited conduct under the 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))

### Module 8: Customer Service Excellence

This module focuses on the core principles of good customer service and strategies in building strong customer relationships. Participants will learn about effective customer service practices such as presentation skills and techniques to enhance the overall customer experience.

The module comprises 5 topics:

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

### Module 9: Foundation of Marketing Excellence

This module will focus on the essential techniques in engaging potential clients, including prospecting strategies, effective questioning and crafting a compelling elevator pitch. Participants will also learn to develop active listening skills and the use of neuro-linguistic programming (NLP) for better communication and client engagement.

The module comprises 6 topics:

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

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

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