

CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) in Compliance 2



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MyCoID: 765264K



HRD CORP REGISTERED
COURSE/PROGRAMME NO:
10001498825

Make Compliance Your Strength



OVERVIEW OF CCMP IN COMPLIANCE 2

COMPLIANCE 2

For compliance professionals with relevant experience looking to further upskill their competencies to be more effective as a compliance officer.

Effective Compliance

- Regulatory & Technical Modules
 - E-Learning
 - Assessment (Knowledge Checks)

Compliance & Other Control Functions

- Behavioural Modules
 - Assessment (Assignments)

- Collaborative Learning
 - Assessment (Facilitator Rating)

Compliance Advisory & Business

Summative Assessment

CERTIFICATION ENTRY AND COMPLETION REQUIREMENTS

Entry Requirements

- CCMP-Compliance 1 holder; or
- Registered as a Compliance Officer/Head of Compliance with the Securities Commission Malaysia with a minimum of two (2) years of relevant capital market experience.

Completion Requirements

- Completed and passed CCMP-Compliance 2 learning and assessment

* Note: For CCMP certifications, you must be at least 21 years old, which is in line with the requirements for a Capital Market Services Representative's Licence. The age requirement does not apply for those pursuing modular learning



CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) in Compliance 2

EFFECTIVE COMPLIANCE

Enhance Your Compliance Toolbox,
Become an Effective Compliance
Professional

Looking for ways to enhance your
Compliance toolbox and stay ahead
when navigating the increasingly complex
Compliance role?

Want to acquire cutting-edge skills,
be progressive, and an asset to your
organisation?

Develop the skill sets which will help
to accelerate business, and to provide
guidance to business leaders to make
more informed decisions.

A group of four business professionals (three men and one woman) are gathered around a table, looking at and discussing documents. They are all dressed in business attire (suits and a blazer). The scene is brightly lit with a warm, yellowish-orange glow, suggesting an indoor office environment with large windows in the background. The woman on the left is smiling and looking down at a document. The man next to her is also smiling and looking towards the right. The man in the center is looking down at a document. The man on the far right is looking towards the center. The overall atmosphere is professional and collaborative.

Programme Overview

CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP) in Compliance 2

Certified Capital Market Professional (CCMP) in Compliance 2 is designed for compliance professionals with relevant experience looking to further upskill their competencies to be more effective as a compliance officer.

CERTIFICATION ROADMAP - COMPLIANCE 2

ENROLMENT



E-LEARNING



- 01 | Effective Compliance: Regulatory Perspective and Principles (Part 1 & 2)
- 02 | Effective Compliance: AMLA/ Fraud/ Practical CDD
- 03 | Effective Compliance: Compliance in Action (Part 1 & 2)
- 04 | Essentials of Customer Service: Know Your Client
- 05 | Compliance, Corporate Governance, Risk and Ethics (Part 1 & 2)
- 06 | Effective Compliance and the Capital Market
- 07 | Introduction to Islamic Capital Market (Part 1 & 2)
- 08 | Financial Technology (Fintech) and Its Impact to the Capital Market
- 09 | Algorithm Trading & High-Frequency Trading
- 10 | Digital Innovation in the Malaysian Capital Market
- 11 | Cybersecurity Compliance

BEHAVIOURAL



MODULE 01



Fundamentals of Stakeholder Management

MODULE 02



The Highly Effective Compliance Officer

MODULE 03



Technical Writing for the Capital Markets



COLLABORATIVE LEARNING

SUMMATIVE ASSESSMENT

COMPLETE COMPLIANCE 2 CERTIFICATION



ESTIMATED DURATION TO COMPLETE - UP TO 4 MONTHS

A group of four business professionals (three men and one woman) are gathered around a table, looking at and discussing documents. They are all dressed in business attire (suits and a blazer). The scene is brightly lit with a warm, yellowish-orange glow. The woman on the left is writing in a notebook. The man in the center is smiling and looking at a document. The man on the right is wearing glasses and looking down at a document. The man on the far right is also looking at a document.

Programme Overview

**CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP)
in Compliance 2**

BEHAVIOURAL MODULES

Behavioural Module 1 - Fundamentals of Stakeholder Management

PROGRAMME OVERVIEW

The role of compliance necessitates an awareness of market and business challenges along with associated opportunities that can be derived successfully by engaging with a multitude of stakeholders. This will allow the merging of regulatory expectations, industry knowledge, experience and the needs of stakeholders to effectively execute the compliance function in the organisation.

In this course, participants will learn how to identify stakeholders, perform stakeholder analysis, and analyse communications plans and organisational requirements. Participants will also learn different methods of stakeholder engagement and when to utilise them to perform the compliance role effectively. One of the perennial issues for the compliance team is balancing their role between board reporting and communications with senior management. This is in addition to communicating horizontally across the organisation, namely keeping communication channels open to drive and foster a compliance-savvy organisation.

PROGRAMME OBJECTIVE

This programme will enable compliance professionals to utilise appropriate strategies, influencing and persuasive techniques and communication tools for stakeholder management in managing compliance matters based on their organisations' strategies and overall objectives.

LEARNING OUTCOMES

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

- describe the fundamental components of stakeholder management and its importance to the compliance function
- identify strategies to gain cooperation and support from various stakeholders to meet compliance requirements
- discuss the importance of maintaining continuous communication with stakeholders in dealing with compliance issues
- develop a plan for building relationships and networking in the field of compliance
- determine the success factors of stakeholder engagement in the compliance role

Behavioural Module 2 - The Highly Effective Compliance Officer

PROGRAMME OVERVIEW

In today's dynamic and complex regulatory/business landscape, responding to trends and risks necessitates having highly effective compliance officers equipped with the tools and resources to enhance their skills and influence. Compliance officers are integral to the pursuit of an organisation's business objectives in supporting and empowering the business to achieve them in an ethically and compliant manner as well as embedding ethics and compliance within the organisation's culture.

Highly effective compliance officers are able to position themselves and their compliance programmes as an enabler towards successful realisation of the business objectives whilst ensuring and maintaining compliance. This requires a wide-ranging and advanced skillset that includes knowing the business, stakeholder relations, analytical and strategic thinking and engagement and communication with the regulators.

PROGRAMME OBJECTIVE

This course covers knowledge and skillsets for compliance professionals with relevant experience looking to further upskill to enhance effectiveness as a compliance officer. This includes going beyond compliance concepts and frameworks by enabling the compliance professionals to take a practical approach to real-life issues encountered in discharging their functions, managing the business of the intermediaries and engaging and communicating with the regulators.

LEARNING OUTCOMES

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

- explain the role of a compliance officer in today's business and regulatory landscape
- examine the skillsets and attributes that make a compliance officer highly effective in discharging the functions and managing the business of the intermediaries
- discuss the elements of good judgement in dealing with issues of business challenges and regulatory expectation
- discuss the approach to dealings, engagement, and communication with the regulators

Behavioural Module 3 - Technical Writing for the Capital Markets

PROGRAMME OVERVIEW

This course primarily provides participants with the techniques to prepare different types of documentation for different purposes according to capital market activities in accordance with regulatory requirements, industry standards and best practices focusing on compliance documentation and reporting. Quality technical writing for compliance purposes requires a deep understanding of how the capital market works, how regulations are administered and updated, how normal business practices are done by the capital market players, and ideas of how compliance is bypassed by perpetrators. This helps to uphold a high standard of capital market compliance and to continue best practices in order to reduce the possibilities of non-compliance. Compliance officers need the ability to interpret the regulation, ability to do their own research, more proactiveness on compliance sensitivity, communication with clear information, and avoid any misleading info.

PROGRAMME OBJECTIVE

Participants will be able to prepare different types of documents intended for capital market stakeholders in accordance with regulatory requirements, industry standards and best practices focusing on compliance documentation and reporting.

LEARNING OUTCOMES

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

- Collate required information to be included in the compliance documents to meet specific objectives
- Prepare different types of related documents in compliance with industry standards and regulations
- Organise information in written formats using language that can be understood by intended readers
- Examine best practices for technical reports towards improvement of organisational and regulatory reporting



Programme Overview

**CERTIFIED CAPITAL MARKET PROFESSIONAL (CCMP)
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COLLABORATIVE LEARNING

PROGRAMME OVERVIEW

Today's compliance function is not just about ticking the boxes on a checklist and ensuring that everyone is abiding by laws, rules, and regulations. It's also about making a positive impact on the organisation and its business through a robust and ethical compliance programme to prevent reputational and economic nightmares.

CCMP-C2, Essentials of Compliance: Case Study Series & Communities of Practice (Real-Life Scenarios) will feature real-life case studies and scenarios to discuss and explore the core compliance issues and their implications faced by businesses today. Through discussions participants will deliberate on the approaches taken when faced with similar situations, the rationale behind the decision made, consider the best compliance practices, as well as learn from others within the industry.

PROGRAMME OBJECTIVE

This programme is designed to give insights and equip participants in the capital market with an in- depth understanding and approaches to dealing with compliance issues through real-life case studies and scenarios ranging from essential compliance concepts, functions, approaches, tools and skillsets on capital market laws, principles and regulatory requirements, technical areas, and general activities of intermediaries.

LEARNING OUTCOMES

Upon completion of this e-learning, participants will be able to:

- identify the core compliance issues faced in the capital market industry, its implications and the approaches that can be taken to mitigate them
- explain the importance of compliance and the regulatory requirements applicable to specific regulated activities in the capital market
- discuss the roles and responsibilities of the compliance function and factors to consider in creating good compliance practices within an organisation and capital market industry
- develop critical thinking, problem-solving, and communications skills needed by compliance professionals in handling compliance issues and stakeholders involved

SUMMATIVE ASSESSMENT

REGULATORY & TECHNICAL MODULES

REQUIREMENTS:

Completion of 11 modules and knowledge checks

BEHAVIOURAL MODULE

REQUIREMENTS:

Completion of 3 webinars
Facilitator rating

COLABORATIVE LEARNING

REQUIREMENTS:

Completion of

- 3 case studies (webinar)
- Submission & presentation of 3 scenarios (discussion forum & webinar)

Facilitator rating

Assessment structure

- 100 points
- 70 points (content)
- 30 points (presentation)

SUMMATIVE ASSESSMENT

REQUIREMENTS:

Completion of:

- Regulatory & Technical Modules
- Behavioural Modules
- Collaborative Learning

Assessment structure

40 points (40 questions)

- Regulatory & Technical modules - 30 questions
- Behavioural modules - 10 questions

SUMMATIVE ASSESSMENT 70%

COLLABORATIVE LEARNING 30%

TOTAL MARKS 100%
(PASSING MARK 70%)



AWARD
CCMP in COMPLIANCE 2



Price (excluding SST): **RM4,800**

For enquiries on registration, please contact: **+603 6204 8439 / 8274**

Register today at **www.sidc.com.my**

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

Disclaimer: SIDC reserves the right and discretion to change the content, time and date of the programmes without prior notice.