



Learning Hours:
2.5 Hours



CAPITAL MARKET DIRECTOR PROGRAMME (CMDP) 2.0

MODULE 3: RISK OVERSIGHT AND COMPLIANCE - ACTION PLAN FOR BOARD OF DIRECTORS

16 APRIL 2026 | 9.00AM - 12.30PM

CONFERENCE HALL, SECURITIES COMMISSION MALAYSIA



FACE-TO-FACE

PROGRAMME OVERVIEW

Strong institutions are the foundation of resilient and trustworthy capital markets. In today's environment defined by heightened regulatory scrutiny, rapid technological change and increasing stakeholder expectations, directors of licensed intermediaries face unprecedented levels of responsibility and personal accountability. This imperative is reinforced by the Capital Market Masterplan 2026–2030 (CMP4), which places governance at the core of capital market development and positions regulatory and governance excellence as a critical foundation for a vibrant, inclusive, sustainable and regionally connected capital market.

To lead effectively, directors must possess a deep understanding of their fiduciary duties, regulatory obligations and the evolving landscape of risks and opportunities. Building on the four levels of competence outlined by Kiel et al. (2012)—Industry, Technical, Governance and Behavioural, the UK Institute of Directors (IoD) Director Competency Framework (2024) expands these expectations to include **digital fluency, sustainability consciousness** and the **professionalisation of directorship**.

A future-ready board today must demonstrate not only technical expertise and ethical judgment, but also the agility and foresight needed to navigate shifts in market structure, regulatory direction, emerging technologies and global sustainability trends.

Industry Intelligence and Strategic Foresight

Ability to interpret market dynamics, anticipate emerging trends and position the organisation for long-term competitiveness in line with CMP4's strategic direction on market vibrancy, regional opportunities and future readiness.

Technical and Digital Competence

Fluency in digital innovation, data governance, and technology-driven decision-making to enhance oversight and resilience, reflecting CMP4's emphasis on digital and innovation capabilities as enablers of capital market development

Governance and Behavioural Agility

Strong interpersonal, ethical, and communication skills that foster collaboration, inclusivity, and trust supported by CMP4's focus on stronger stewardship, accountability, transparency and governance excellence across the capital market ecosystem.

Sustainability and ESG Stewardship

Integration of ESG principles into strategic decisions to ensure responsible conduct, long-term value creation and alignment with global sustainability priorities, consistent with CMP4's objective of mobilising capital towards national sustainability goals and advancing a more ethical and purpose-driven market.

PROGRAMME OBJECTIVE

The Capital Market Director Programme (CMDP) is an exclusive programme designed to support **newly appointed directors** and **senior leaders** in strengthening market stability, integrity and inclusivity across the capital market ecosystem. The programme equips participants with essential knowledge and practical **Board-level competencies** to effectively discharge their fiduciary duties and strengthen governance oversight, risk management, compliance and strategic foresight. It also serves as a platform for constructive dialogue on emerging issues, including evolving **regulatory requirements, sustainability priorities, digital innovation** and evolving **corporate governance practices**.

LEARNING OUTCOMES

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

- Evaluate the organisation's ethics, compliance and conflicts of interest frameworks in relation to regulatory requirements, controls and risk exposures in upholding fiduciary duties
- Assess the causes and consequences of compliance failures and how effective board-level oversight practices support strong governance

METHODOLOGY

Experiential learning via facilitated discussions and reflective observation of concepts, case studies and real-life experiences



ICF COMPETENCIES

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

Industry Competency Framework (ICF) <https://cms.sidc.com.my/competency-dictionary/competency-type>

PARTICIPANTS PROFILE

- Newly appointed directors and directors of Capital Markets Services Licence (CMSL) holders
- Public Listed Companies (PLCs) directors and C-Suites

PROGRAMME OUTLINE

- 9.00 am **Ethics, Compliance and the Board's Fiduciary Duties**
- Understanding the regulatory requirements and compliance of the relevant regime
 - Guidelines on Conduct for Capital Market Intermediaries
 - Companies Act 2016
 - Determining the key risks associated with organisation's activities
 - Evaluating impact assessment and gap analysis to determine what needs to be done to comply with the requirements of the relevant regime
- Discussions: Conflicts of Interest (COI) Scenarios**
- Connected/related party transaction
 - Insider information
 - Anti-corruption and bribery
 - Liquidity and risk management
 - Customer complaints and dispute resolution
 - Strategies and recommended practices in mitigating COI events
- 10.30 am Coffee Break
- 10.45 am **Effective Compliance Oversight and Governance**
- Best practices in compliance for capital market intermediaries; including monitoring compliance as an important part of directors' oversight responsibilities
 - Board's rights and obligations to demand the right information
 - Relationship between compliance and internal audit function and the impact on board's functions
 - What happens when there is compliance failure? How to prevent compliance failure?
- Case Study Discussions:**
Recent enforcement cases in relations to poor or failure in compliance functions and activities
- 12.30 pm End of Programme

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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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