

FAMILIARISATION PROGRAMME FOR MARKETING REPRESENTATIVES

PROGRAMME OVERVIEW

This two-day programme is designed as a learning and assessment programme that covers the knowledge and skills areas relevant for Marketing Representatives (as defined under the Guidelines for Marketing Representatives) (MR) to carry out their duties competently and in compliance with the law.

The programme provides a broad yet comprehensive introduction to the capital market in Malaysia, the overview of the regulatory framework, regulations, capital market products and services and the techniques and skills applicable to MR in marketing capital market products and closing the deal with prospective clients.

The 45 minutes assessment will be conducted at the end of the 2nd day of the programme to gauge participants' knowledge, understanding and application of the areas covered in the programme.

PROGRAMME OBJECTIVE

The programme aims to assist the participants towards becoming competent Marketing Representatives in delivering their professional services to their clients by facilitating the acquisition of knowledge, understanding and abilities of the prescribed learning areas covered in the Programme Outline.

LEARNING OUTCOME

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

- Identify the components, role and importance of a capital market;
- Identify the relationship between capital market performance and economic indicators;
- Outline the relationship between participants of the capital market;
- Outline the regulatory framework of the Malaysian capital market industry;
- Describe the organisation and structure of the relevant regulatory bodies and its roles and functions of regulatory bodies responsible for the various capital market laws and regulations;
- Identify laws and regulations applicable to the Malaysian capital market;
- Define the roles and functions of intermediaries in the capital market industries and the rules and regulations applicable to capital market intermediaries;
- Describe the types of products and services, the activities that are regulated and permitted by the relevant laws and regulations in the capital market;
- Recognise the offences related to market misconduct and prohibited conducts;
- Elaborate on the requirements for reporting institutions to comply with as imposed under the Securities Commission Malaysia's Guidelines on Prevention of Money Laundering, Terrorism Financing and Proceeds of Unlawful Activities for Capital Market Intermediaries;

- Apply the procedures to conduct customer due diligence and techniques to detect clients' unusual behaviour;
- Explain risk-based approach application, record-keeping, suspicious transactions and confidentiality of reporting;
- Recognise the importance of effective communication in establishing customer relationships;
- Demonstrate the relevant marketing techniques products and services;
- Identify prospect's needs through effective questioning in uncovering prospective clients' objectives; and
- Discover the essential knowledge and skills required to present, convince and close the deal with prospective clients.

For enquiries on programme, please contact:
+603 62048664 / 8263 / 8857

Fee: **RM1,166.00** (including 6% GST)

For enquiries on registration, please contact:
+603 62048644 / 8665

Online registration - logon to **www.sidc.com.my**



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PROGRAMME

DAY 1

- 9.00AM **INTRODUCTION OF THE MALAYSIAN CAPITAL MARKET**
- THE CAPITAL MARKET ENVIRONMENT, COMPONENTS, ROLE AND IMPORTANCE
 - THE RELATIONSHIP BETWEEN THE CAPITAL MARKET AND ECONOMICS
 - THE CAPITAL MARKET PARTICIPANTS AND INTERMEDIARIES
 - CAPITAL MARKET PRODUCTS AND SERVICES
 - TYPES AND CHARACTERISTICS OF CAPITAL MARKET PRODUCTS AND SERVICES
 - UNDERSTANDING THE RISKS AND RETURNS TRADE-OFF
 - INTRODUCTION TO ISLAMIC CAPITAL MARKET PRINCIPLES AND CONCEPTS- Fiqh AL MUAMALAT AND SHARIAH PRINCIPLES/CONCEPT

10.45AM COFFEE BREAK

- 11.00AM **OVERVIEW OF THE MALAYSIAN CAPITAL MARKET REGULATORY LANDSCAPE**
- DEVELOPMENT OF THE MALAYSIAN CAPITAL MARKET
 - THE MALAYSIAN CAPITAL MARKET
 - THE MALAYSIAN STOCK MARKET
 - OVERVIEW, BURSA SECURITIES AND THE CLEARING HOUSE
 - PARTICIPANTS IN STOCK MARKET
 - THE MALAYSIAN ISLAMIC CAPITAL MARKET
 - ICM LEGAL AND REGULATORY FRAMEWORK
 - SC, BURSA, SHARIAH ADVISORY COUNCIL, LABUAN INTERNATIONAL FINANCIAL EXCHANGE
 - ROLES OF SHARIAH ADVISORS
 - THE MALAYSIAN DERIVATIVES MARKET
 - OVERVIEW, BURSA DERIVATIVES AND THE CLEARING HOUSE
 - PARTICIPANTS IN THE DERIVATIVES MARKET

THE LAWS AND REGULATIONS GOVERNING MALAYSIAN CAPITAL MARKET REGULATED ACTIVITIES

- DEALING SECURITIES
 - DEFINITIONS, ROLES AND FUNCTIONS
 - OVERVIEW OF THE LAW AND THE REGULATORY BODIES IN MALAYSIA
- DEALING IN DERIVATIVES
 - DEFINITIONS, ROLES AND FUNCTIONS
 - OVERVIEW OF DERIVATIVES INDUSTRY REGULATION
 - CLEARING ACTIVITIES IN DERIVATIVES
- FUND MANAGEMENT
 - DEFINITIONS, ROLES AND FUNCTIONS
 - FUND MANAGEMENT INDUSTRY IN MALAYSIA AND ITS SIGNIFICANCE
 - PROVIDERS OF FUND MANAGEMENT SERVICES AND SUPPORT SERVICES PROVIDERS
 - FUND STRUCTURES IN MALAYSIA
 - LAWS AND ORGANISATIONS REGULATING THE FUND MANAGEMENT INDUSTRY
 - OTHER RELEVANT LAWS AND REGULATIONS
 - ORGANISATIONS REGULATING THE FUND MANAGEMENT INDUSTRY
- PRIVATE RETIREMENT SCHEME
 - DEFINITIONS, ROLES AND FUNCTIONS
 - INTRODUCTION TO THE PRS INDUSTRY
 - PRS PROVIDER
 - REGULATORY FRAMEWORK
 - PRIVATE RETIREMENT SCHEME DISTRIBUTOR AND CONSULTANT

1.00PM LUNCH BREAK

- 2.00PM **THE LAWS AND REGULATIONS GOVERNING MALAYSIAN CAPITAL MARKET REGULATED ACTIVITIES (CONT)**
- FINANCIAL PLANNING
 - DEFINITIONS, ROLES AND FUNCTIONS
 - INTRODUCTION TO FINANCIAL PLANNING, NATURE AND SCOPE OF FINANCIAL PLANNING IN MALAYSIA
 - REGULATORY FRAMEWORK FOR FINANCIAL PLANNING INDUSTRY
 - LAWS AND REGULATIONS IN RELATION TO FINANCIAL PLANNING
 - ADVISING ON CORPORATE FINANCE
 - INVESTMENT ADVICE
 - DEFINITIONS, ROLES AND FUNCTIONS
 - INTRODUCTION TO INVESTMENT ADVICE
 - NATURE AND SCOPE INVESTMENT ADVICE IN MALAYSIA
 - REGULATORY FRAMEWORK INVESTMENT ADVICE INDUSTRY
 - LAWS AND REGULATIONS IN RELATION TO INVESTMENT ADVICE

3.45PM COFFEE BREAK

- 4.00PM **GUIDELINES ON MARKETING REPRESENTATIVES**
- INTRODUCTION
 - REGISTRATION BY PRINCIPAL
 - PERMITTED ACTIVITIES AND OBLIGATIONS OF A MARKETING REPRESENTATIVE
 - REQUIREMENTS FOR REGISTRATION
 - ENTRY REQUIREMENTS
 - DUTIES OF THE PRINCIPAL
 - FIT AND PROPER CRITERIA FOR APPLICANTS TO BE REGISTERED AS A MARKETING REPRESENTATIVE

5.00PM END OF DAY ONE

DAY 2

- 9.00AM **RELATIONSHIP BETWEEN MRS AND CLIENTS**
- RULES GOVERNING THE RELATIONSHIP BETWEEN MRS AND CLIENTS
 - MRS' DUTY TO CLIENTS
 - MRS' RIGHT AND OBLIGATIONS
 - CLIENTS' RIGHTS AND DISPUTE RESOLUTIONS
 - SALES PRACTICE GUIDELINES
 - SALES AND MARKETING ETHICAL CONDUCT

10.15AM COFFEE BREAK

- 10.30AM **KNOW YOUR CLIENT (KYC), ANTI-MONEY LAUNDERING AND TERRORISM FINANCING LAWS AND REGULATIONS**
- DEFINITIONS AND GENERAL DESCRIPTION OF MONEY LAUNDERING
 - SECURITIES COMMISSION MALAYSIA'S GUIDELINES ON PREVENTION OF MONEY LAUNDERING, TERRORISM FINANCING AND PROCEEDS OF UNLAWFUL ACTIVITIES FOR CAPITAL MARKET INTERMEDIARIES
 - CUSTOMER DUE DILIGENCE AND KNOW YOUR CLIENTS (KYC) PROCEDURES
 - RISK-BASED APPROACH APPLICATION
 - OBLIGATION ON PROTECTION OF CLIENTS' INFORMATION AND COMMON ABUSES OF CONFIDENTIALITY

- 11.30AM **MARKET MISCONDUCTS, OFFENCES AND UNETHICAL BUSINESS CONDUCT**
- TRADING IN SECURITIES: PROHIBITED CONDUCT UNDER THE CMSA
 - PROHIBITED CONDUCT - SECURITIES, DERIVATIVES, FUND MANAGEMENT, PRIVATE RETIREMENT SCHEME
 - OTHER OFFENCES RELATING TO FALSE AND MISLEADING STATEMENTS
 - OTHER OFFENCES

1.00PM LUNCH BREAK

- 2:00PM **EFFECTIVE MARKETING SKILLS**
- UNDERSTANDING YOUR PROSPECT NEEDS FROM THEIR PERSPECTIVE AND CREATE A CLIENT'S PROFILE
 - HOW TO ASK THE RIGHT QUESTIONS AT THE RIGHT TIME AND ADAPTING YOUR APPROACH BASED UPON WHAT THEY WANT
 - MARKETING TECHNIQUES AND MODELS
 - HOW TO POSITION YOURSELF AND YOUR COMPANY IN LIGHT OF WHAT THEY WANT AND HOW THEY WANT IT
 - HOW TO LISTEN ATTENTIVELY AND USE THE INFORMATION THAT THE PROSPECT GIVES YOU TO YOUR ADVANTAGE
 - HOW TO USE 3RD LEVEL QUESTIONING SKILLS TO GET THE ANSWER YOU WANT
 - WHAT AND HOW TO USE THE ELEVATOR PITCH
 - NEURO-LINGUISTIC PROGRAMMING (NLP) IN MARKETING

EFFECTIVE CUSTOMER SERVICE

- PLAN OUT CUSTOMER SERVICE AND RETENTION STRATEGIES
- HOW TO BUILD EFFORTLESS RAPPORT WITH YOUR PROSPECT
- WHAT TO FOCUS ON AND WHAT STYLE TO USE TO DELIVER YOUR PRESENTATION
- OVERCOMING NEGATIVE RESPONSES THAT YOU RECEIVE FROM YOUR PROSPECT
- RE-PHASING TECHNIQUES: TURN NEGATIVE SITUATIONS TO POSITIVE SITUATIONS

3.30PM COFFEE BREAK/REVISION

4.30PM ASSESSMENT

5.15PM END OF PROGRAMME