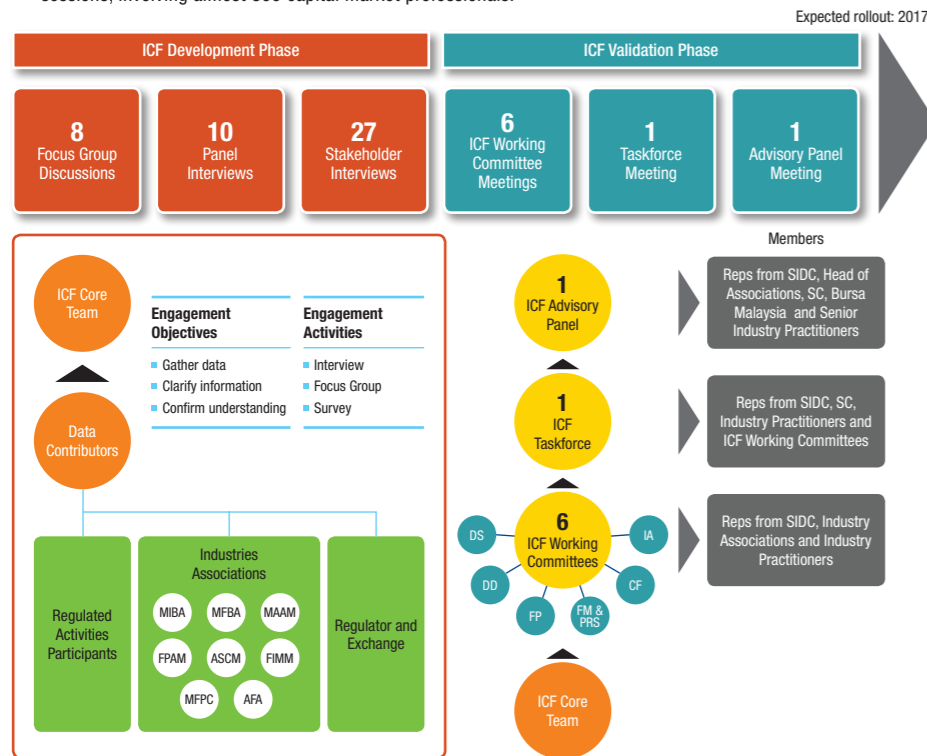


## INDUSTRY COMPETENCY FRAMEWORK (ICF)

- The ICF for the Malaysian capital market serves as a guide to raise the standards in human capital development to further support the creation of competent capital market participants and facilitate the career development of capital market professionals.
- It sets out the required knowledge, skills and attributes for all seven regulated capital market activities.
- In coming up with the framework, SIDC conducted a series of data collection and industry consultation sessions, involving almost 300 capital market professionals.



## CORPORATE SOCIAL RESPONSIBILITY (CSR)



As part of its CSR programme for 2016, the SIDC Family conducted a 'Kids & Cash' financial education session for children of Rumah Nur Kasih in Langkawi, and embarked on a *gotong-royong* session at the home. SIDC also contributed school bags and stationery for the children, and presented bedding sets, a computer, fan, vacuum cleaner and washing machine to the home.

## PROGRAMMES FOR 2016

### Training Programmes

NO.	PROGRAMME	NO. OF PARTICIPANTS*
1	Industry Transformation Initiative (ITI)	1,851
2	SCLE Preparatory Courses	237
3	Advanced Business Management Programme (ABMP)	25
4	APEC Capacity Building Programme	53
5	Global Emerging Markets Programme (GEMP)	192
6	Islamic Markets Programme (IMP)	63
7	Customised Programmes (CP)	336
8	Compliance Series	169
9	ASEAN Market Series	149
10	Shariah Professional Programme Series	28
11	Corporate Governance Programmes	379
12	Toronto Centre Partnership: Crises Management Series	93
13	SEBON Partnership: Development of the Primary Market	17
14	International Institutional Investor Series (IIS) 2016: Strategies to Navigate through Volatile Markets	132
15	Breakfast Talk: Driving Performance Through Human Governance	97
16	Creating a Better World: The Role of Corporate ASEAN in Driving the Sustainable Development Goals	105
17	Integrity at Work	80
18	Capital Market Director Programme (CMDP)	1,351
19	SIDC's CMDP Alumni	97
20	Anti-Money Laundering and Anti-Terrorist Financing (AMLATFPUAA) 2001	13
21	Familiarisation Programme For Registered Representatives (FPRR)	174
22	Islamic Capital Market Graduate Training Scheme (ICMGTS)	81
23	Preparatory Grooming and Interviewing Skills (PGI)	57
<b>TOTAL</b>		<b>5,779</b>

### SCLE Preparatory Courses

Designed for candidates preparing for the SC Licensing Examinations, the courses are led by experienced speakers and the topics covered are in line with the module's respective examination.

NO. MODULE	PROGRAMME	NO. OF COURSES	NO. OF PARTICIPANTS
1	Module 6 Malaysian Stock Market & Securities Law Preparatory Course	2	31
2	Module 7 Financial Statement Analysis and Asset Valuation Preparatory Course	3	59
3	Module 9 Funds Management Regulations Preparatory Course	2	25
4	Module 10 Asset and Funds Management Preparatory Course	2	43
5	Module 12 Investment Management and Corporate Finance Preparatory Course	2	33
6	Module 19 Advisory Services: Rules & Regulations Preparatory Course	3	46
<b>TOTAL</b>		<b>14</b>	<b>237</b>

### Industry Transformation Initiative (ITI)

A structured continuing education programme to develop or increase the capital market knowledge, problem-solving skills and technical skills of CMSRL holders, and to broaden their professional competence, enabling them to provide better service to their clients.

NO. MODULE	PROGRAMME	NO. OF COURSES	NO. OF PARTICIPANTS
1	EQ01 Economics and Capital Markets I: Forces Shaping the Global Capital Markets	5	487
2	EQ02 Essential of Fundamental Analytics I: Analysing Company Performance	6	404
3	EQ03 Corporate Strategic Analytics I: Essentials of Corporate Proposal Analysis	7	445
4	EQ04 Corporate Governance and Ethics: Strengthening Professionalism Through Ethics	5	443
5	PM01 Portfolio Management: Designing an Equity Strategy	1	72
<b>TOTAL</b>		<b>24</b>	<b>1,851</b>

### Breakdown of Customised Programmes

Customised programmes are designed to suit specific talent development needs of our corporate clients, providing capital market professionals with fit-for-purpose learning from beginner to advanced levels.

NO.	PROGRAMME	NO. OF PARTICIPANTS
1	Mastering the Boardroom Programme	11
2	Securities and Investment Banking – Latest Developments in Rules and Regulations & Industry Practices	28
3	The Malaysian Securities Market: Infrastructure and Mechanics	18
4	2016: Economic and Market Outlook for Investment Strategy	35
5	Valuation of Equities: Concepts and Tools	44
6	Beginners' Workshop: Investment Management 1	52
7	Wealth Creation through Mergers and Acquisitions (M&A)	77
8	Portfolio Management Techniques	71
<b>TOTAL</b>		<b>336</b>

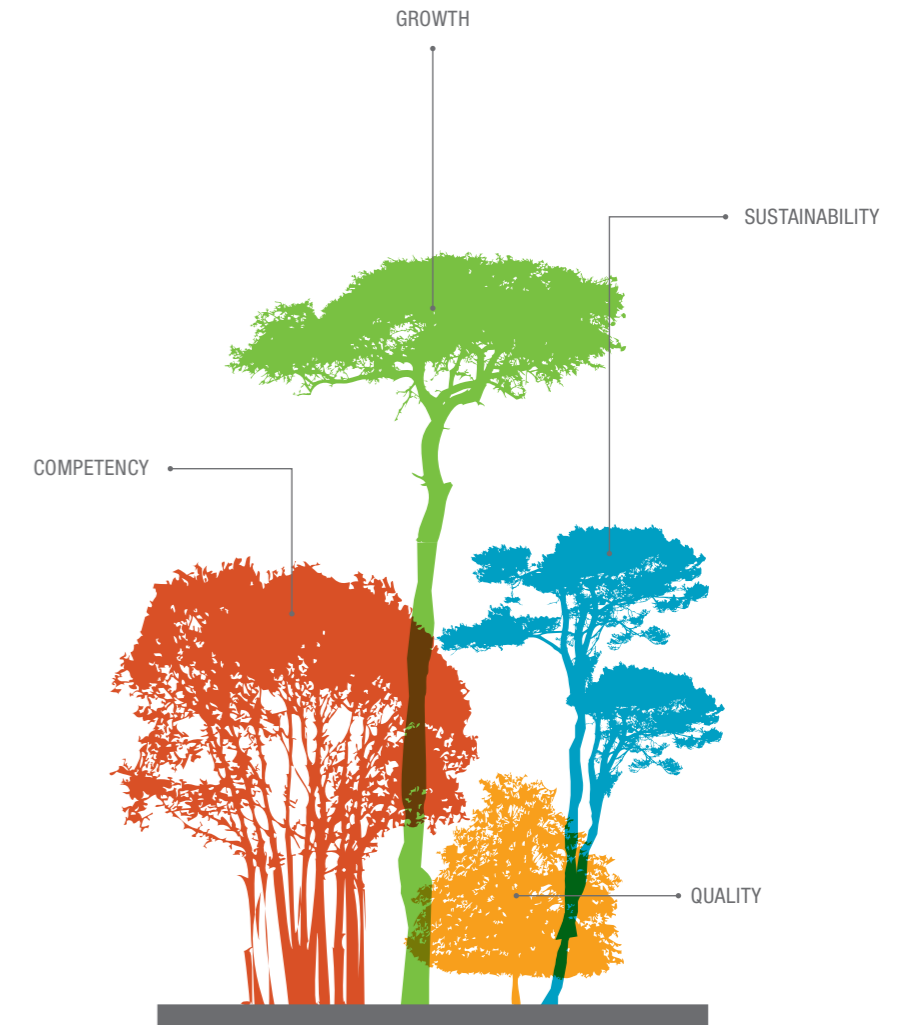
### INDUSTRY ENGAGEMENT INITIATIVES

During the year, SIDC undertook various industry engagement initiatives with leading professional organisations in an effort to understand different stakeholders' needs, build rapport, and identify effective ways to promote SIDC's programmes and services.

NO.	ENGAGEMENTS/EVENTS	ORGANISER(S)	NO. OF PARTICIPANTS
1	Crowdfunding 101	SIDC & CPA Australia	150
2	Driving Performance through Human Governance	SIDC & Putra Business School	85
3	Women Power Network	SIDC & Lead Women Sdn Bhd	120
4	The Role of Corporate ASEAN in Driving Sustainable Development Goals	SIDC, UNGC Malaysia and Nottingham University	115
5	Talk on Leadership in a Networked World	SC, SIDC & IMD	80
6	CMDP Alumni Programme on Companies Bill 2	SIDC	53
7	Industry Competency Framework: HR Engagement	SIDC	105
8	Talk on Integrity at Work	SIDC, Help University & CISI	70
9	CMDP Alumni Programme on Changing Capital Markets Landscape	SIDC	44



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# RAISING COMPETENCIES & DRIVING SUSTAINABLE VALUES

SECURITIES INDUSTRY DEVELOPMENT CORPORATION (SIDC) ANNUAL HIGHLIGHTS 2016



## KEY INITIATIVES FOR 2017

- Rolling out the Industry Competency Framework for the Malaysian capital market
- Development of a structured qualification for the Malaysian capital market
- Development of an online competency assessment portal

## MARKET INTERMEDIARIES

### SC LICENSING EXAMINATIONS (SCLE)

In 2016, SIDC conducted 216 examination sessions for the 13 SCLE modules. A total of 2,919 candidates sat for the examinations (2015: 3,984 candidates), of which 1,418 candidates passed, reflecting an overall passing rate of 49% (2015: 46%).

#### SCLE Modules Conducted in 2016

SC LICENSING EXAMINATIONS	NO. OF CANDIDATES
Module 6 Stock Market and Securities Law	575
Module 7 Financial Statement Analysis and Asset Valuation	768
Module 9 Funds Management Regulation	197
Module 10 Asset and Funds Management	180
Module 11 Fundamentals of Compliance	63
Module 12 Investment Management and Corporate Finance	408
Module 14 Futures and Options	157
Module 16 Rules and Regulations of Futures and Options	150
Module 17 Securities and Derivatives Trading (Rules and Regulations)	15
Module 18 Securities and Derivatives Trading (Products and Analysis)	13
Module 19 Advisory Services (Rules and Regulations)	302
Module 19A Advisory Services (Rules and Regulations) - Part A	84
Module 19B Advisory Services (Rules and Regulations) - Part B	7
<b>TOTAL</b>	<b>2,919</b>

SIDC is the Secretariat for CPE, BTF and BDREF.

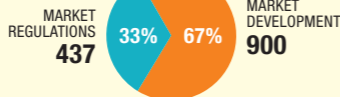
### CONTINUING PROFESSIONAL EDUCATION (CPE)

CPE is a mandatory programme for all holders of the Capital Markets Services Representative's Licence (CMSRL) and the Employees of Registered Persons (ERPs) to consistently improve and acquire new technical knowledge, skills and best practices. Through CPE, it is hoped that investors will gain assurance that these capital market professionals do not only satisfy the 'fit and proper' criteria but are also capable of performing their functions effectively, efficiently and fairly.

#### Processed CPE-Approved Courses

96 active CPE training providers recorded in the Tracker System

Total courses approved **1,337**



Total no. of participants\* **48,634**



#### Registered Employees of Registered Persons (ERPs)

5,466 registered ERPs from 41 RPs recorded in the Tracker System (8.8% increase from 2015)

4,316 (79% of these ERPs remain active)

### BUMIPUTERA TRAINING FUND (BTF)

BTF seeks to encourage active Bumiputera participation and improve trading knowledge and skills of all employees in the stockbroking industry.

- In 2016, a total of RM500,000 was allocated, benefitting 619 participants who underwent BTF-funded courses.

### BUMIPUTERA DEALER REPRESENTATIVES EDUCATION FUND (BDREF)

BDREF equips the capital market with professionally qualified Bumiputera dealer's representatives by financing relevant professional qualification courses and short courses to improve their technical knowledge and skills.

- In 2016, the BDREF Education Committee approved 67 applications to enrol into professional courses (CFA, MSTA, MIFP and CMT) and between 2003 and 2016, 181 participants have completed various professional courses.
- 794 Bumiputera remisers and dealer's representatives took part in non-examination-based programmes or short courses approved under BDREF.

## DIRECTORS TRAINING

### CAPITAL MARKET DIRECTOR PROGRAMME (CMDP)

CMDP is an exclusive platform for board directors and senior leaders of licensed intermediaries to obtain the knowledge, skills and attributes to influence and fully contribute to the pursuit of excellence in corporate governance.

In 2016: **14 batches with 282 participants** (523 participants completed requisite modules since May 2015)

### ADVANCED BUSINESS MANAGEMENT PROGRAMME (ABMP)

Themed 'Global Trends and Value Creation in a Technologically and Socially Transformed World', the 9th ABMP focused on rapid and non-cyclical global challenges and how business leaders of best-in-class organisations manage them.

9th ABMP **11 May, Langkawi 25 participants** (comprising companies' senior management)

## TALENT PIPELINE DEVELOPMENT

SIDC supports SC's ICM initiatives

### ISLAMIC CAPITAL MARKET GRADUATE TRAINING SCHEME (ICMGTS)

From a total of 748 qualified applicants, 204 attended the assessment sessions, and 80 applicants were selected.

5 Aug: Batch 14 completed course

26 Nov: Batch 15 completed course

As at 30 November, 461 (80%) of the total graduates have been employed in various industries such as capital market, commercial banking and consulting companies.

### SHARIAH PROFESSIONAL PROGRAMME (SPP)

SPP has been exclusively developed to integrate the theoretical and practical aspects of the industry for Shariah Advisers, academicians and Islamic Finance practitioners.

2011 – 2016: **692 participants\* attended various SPP modules**

## INVESTOR EDUCATION

### InvestSmart

SIDC continued to be the Implementing Partner for SC's InvestSmart Initiative, the comprehensive investment literacy outreach campaign to enable more confident and informed retail participation in the capital market.

#### InvestSmart Seminars

Overall, SIDC reached out to a combined 14,389 participants through its seminars where prominent subject matter experts and industry practitioners shared their experience.

**kids & cash** **TEENS & CASH**  
Kids & Cash and Teens & Cash **240 pax**

**cash@campus** **Cash@Campus**  
**1,166 pax**

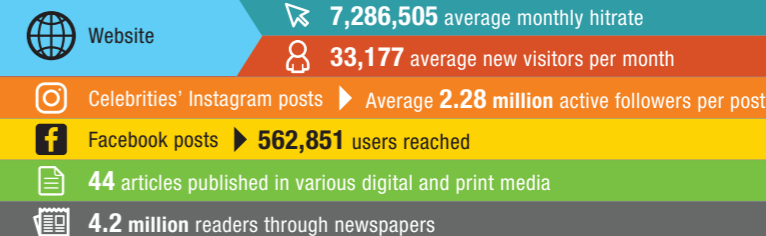
**Unit Trust Seminar for Retail Investors**  
**4,363 pax**

**Stock Market Seminar for Retail Investors**  
**7,571 pax**

**bmw** **Be Money Wise (B.M.W.)**  
**1,049 pax**

**invest smart**  
**InvestSmart Seminars**  
**14,389 pax**

## InvestSmart Print, Digital and Social Media Achievements Total Reach: 14.2 million



### InvestSmart Fest (ISF) 2016 (23-25 September 2016, MidValley Exhibition Centre)

ISF 2016 is the third edition of InvestSmart's biggest ever retail investor event, gathering capital market institutions, associations, industry players and relevant agencies under one roof.

### InvestSmart Fest 2016 Achievements



## INTERNATIONAL REGULATORS PROGRAMME AND CONSULTANCY

### ISLAMIC MARKETS PROGRAMME (IMP) 2016

- With the theme 'Enhancing Sustainability of Global Businesses: Role of the Islamic Capital Market', the IMP 2016 was held at SC on 10-12 September 2016.
- This SC flagship conference saw participation from 63 attendees including 10 representatives from the Securities Commission or Exchange of Indonesia, Cambodia, Kenya and Iran.

### CONSULTANCY – INTERNATIONAL PROGRAMMES

#### APEC CAPACITY BUILDING PROGRAMME

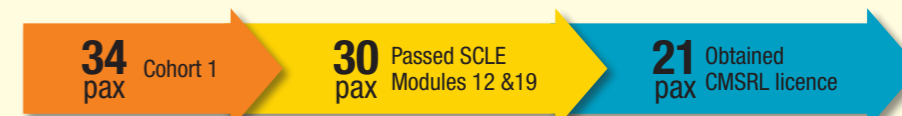
DATE	VENUE	PROGRAMME TITLE	NO. OF PARTICIPANTS
5-8 Apr	Kuala Lumpur	Regulation and Supervision of the Fund Management Industry in Vietnam (Part 2)	12
5-7 Apr	Kuala Lumpur	Developing Human Capital for Vietnam's Securities Market and its Potential to Join Asia Region Funds Passport (ARFP) (Part 2)	6
27, 28, 30 Sept	Hanoi, Vietnam	Progressing the Development of the Fund Management Industry in Vietnam for the Facilitation of Cross-Border Issuances (Part 3)	16
27, 28, 30 Sept	Hanoi, Vietnam	Developing Human Capital for Vietnam's Securities Market and its Potential to join ARFP	19
29 Sept	Hanoi, Vietnam	Building a Closer Relationship with the Industry We Regulate	38
22-25 Nov	Kuala Lumpur	Progressing the Development of the Fund Management Industry in Indonesia for the Facilitation of Cross-Border Issuances	20

#### OTHER PROGRAMMES

DATE	VENUE	PROGRAMME TITLE	NO. OF PARTICIPANTS
26-28 May, 31 Oct-2 Nov	Kuala Lumpur	Crisis Preparedness Workshop – Smart Strategies for Managing Crises	105
7-8 June	Kuala Lumpur	Securities Board of Nepal (SEBON) Development of the Primary Market: A Programme for Merchant Bankers in Nepal	17
28 Nov	Maldives	Corporate Governance Workshop for Capital Market Development Authority (CMDA) Maldives	50

### CMSRL IN CORPORATE FINANCE & INVESTMENT ADVICE (CCOFIA) PROGRAMME

In partnership with Yayasan Peneraju Pendidikan Bumiputera, SIDC successfully developed and implemented the Capital Markets Services Representative's Licence (CMSRL) in Corporate Finance & Investment Advice, or CCOFIA programme. Comprising 3 cohorts, the programme aims to establish 90 qualified Bumiputera talents as CMSRL holders in Corporate Finance and/or Investment Advice.



\* Where applicable, these figures include the multiple counting of participants who attended more than one course/module.