

10
CPE POINTS

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PROGRAMME NO: 10001375463



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STOCK MARKET AND SECURITIES LAW E-LEARNING PROGRAMME



Learning Hours:
12 Hours



Fees:
MYR 1,000
(fee is not inclusive of SST)



Mode:
e-Learning

Aligned with **SCLE M6**



PROGRAMME OVERVIEW

This e-learning programme is designed to focus on the Malaysian securities market, regulatory structure and its governing laws, duty and standard care of dealing in securities, various offences and stock market operations.

PROGRAMME OBJECTIVE

This e-learning programme is designed as a refresher course for existing Capital Market Representative Licence (CMSRL) and Employee of Registered Person (ERP) wishing to keep themselves up-to-date with the Malaysian stock market and securities market law, the required duty and standard of care expected of the licensed representatives when dealing in securities as well as various offences and misconducts. This self-directed programme consists of 12 modules enriched with interactive elements such as videos, quizzes and knowledge checks to ensure an engaging learning experience and enhanced learning.

LEARNING OUTCOMES

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

- recognise the securities industry and its significance to the Malaysian economy
- outline the regulatory structure of the securities industry in Malaysia
- identify the main laws and regulations governing the operation of the securities industry in Malaysia
- describe the activities and current trends connected to money laundering and terrorism financing and the Malaysian regulatory approach towards them
- distinguish the relationship between the stockbroking company and its client
- explain the duty and standard of care applicable to person(s) who carries (carry) on the business of dealing in securities
- describe the licensing requirements of person(s) who carries (carry) on the business of dealing in securities and their representatives
- discuss the various securities offences and describe how they are regulated
- explain the operations of the stock market in Malaysia

PROGRAMME METHODOLOGY

This programme is conducted online via SIDC's Learning and Assessment Management (LAMS) platform

PROGRAMME OUTLINE

Topic 1
Overview of the Malaysian Stock Markets

- The Malaysian Stock Market
- Bursa Malaysia Securities Berhad
- BMSB Indices
- Capital Market Products
- Types of Markets
- Islamic Capital Market
- Capital Market Participants
- CMSRL for Dealing in Securities (Dealer's Representative)
- Trading Representative and Marketing Representatives
- Type of Investors
- Development and Impact of Technology on Securities Trading

Topic 2
Regulation of the Securities Industry

- Regulatory Bodies in the Securities Market
- Functions of the Securities Commission Malaysia Under s. 15 of the SCMA
- Securities Law in Malaysia
- Other Key Regulatory Bodies
- Merit-based Regulation vs Disclosure Based Regulation
- Capital Market Master Plans

Topic 3
Business Structures

- Business Structures
- Companies
- Constitution of a Company
- Key Officers/Managers of Companies (Director, Company Secretary and External Auditor)
- Administration and Management of a Participating Organisation

Topic 4
Capital Raising in the Primary Market

- Public Issues – Initial Public Offering (IPO)
- Types of Market (Main Market, ACE Market and LEAP Market)
- Reasons for IPO
- Advantages and disadvantages of going public

- Primary Quantitative and Qualitative criteria for MAIN Market.
- Primary Quantitative and Qualitative criteria for ACE Market.
- Primary Quantitative and Qualitative criteria for LEAP Market.
- Special Purpose Acquisition Company (SPAC)
- Post-listing Requirements
- Continuing Disclosure Obligations
- Securities Issues in Secondary Market
- Debt Securities and Derivatives Products
- Structured Products

Topic 5
Trading in the Secondary Market (Rules of Bursa Malaysia Securities)

- Bursa Malaysia Securities Berhad's Trading System
- Rules of Bursa Malaysia Securities Berhad and Bursa Malaysia Securities Berhad Participating Organisation's Trading Manual on Trading
- Money Laundering and Terrorism Financing
- Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives

Topic 6
Clearing, Delivery, Settlement and Corporate Actions

- Delivery and Settlement
- BMSB Delivery and Settlement
- Corporate Actions

Topic 7
Law of Contract

- What is Law of Contract?
- Essential Elements of a Contract
- Contracts Entered into on Bursa Malaysia Securities Berhad

Topic 8
Relationship between Stockbroking Company and Client

- Stockbroking Company and Client
- Rules Governing the Stockbroking Company and Client Relationship
- Participating Organisation's Duties to Clients
- Buying Securities on the Market – Contract Note
- Direct Business Transactions (DBT)
- Participating Organisation's Rights
- Client's Rights
- Keeping of Records

Topic 9
Negligent Misstatement

- Essential Elements of the Tort of Negligent Misstatement
- Statutory Liability

Topic 10
Negligent Misstatement

- Introduction to Licensing
- Capital Market Regulated Activities
- Licensing and Regulations
- Licensing Criteria
- Conditions and restrictions in relation to a CMSL holder
- CMSRL Licensing Requirements
- Obligations of the Licensed Person
- Variation, Revocation and Suspension

Topic 11
Securities Offences

- Trading in Securities: Prohibited Conduct under the CMSA 2007
- Short Selling
- Offences Relating to False Trading and Market Rigging
- Stock Market Manipulations
- False or Misleading Appearance With Respect to The Market or The Price of Securities
- False or Misleading Statements in Relation to Securities
- Fraudulently Inducing Persons to Deal in Securities
- Use of Manipulative and Deceptive Devices
- Dissemination of Information About Illegal Transactions
- Insider Trading
- Prohibited conduct – Derivatives - Offences relating to false trading, bucketing,

Topic 12
Take-overs

- What are Take-Overs?
- Types of Take-Overs
- Degrees of Control
- Reason for Take-Overs
- Legal Framework
- General Principles and Rules on Take-Overs and Mergers
- Types of Take-Over Offers
- Penalties for contravention of the Code/Rules

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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:

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