

Insider Trading Case Studies and Global Developments

14 November 2018

**HRDF SBL
Claimable**

Symphony Digest

Centre for Knowledge and Financial Mastery

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Insider trading scandals have rocked the worldwide capital market and are unfortunately no longer considered uncommon. This course aims to provide an overview of the elements of insider trading and types of offences. Several case studies will be discussed to highlight implications of insider trading and the elements involved. By attending this course, participants will understand what constitutes insider trading so that they can avoid any unnecessary trouble.

Who Should Attend?

- ✓ Investment Bankers
- ✓ Corporate Finance Managers
- ✓ Corporate Bankers
- ✓ Commercial Bankers
- ✓ Fund Managers
- ✓ Research Analysts
- ✓ Credit Analysts
- ✓ Treasury
- ✓ CEOs
- ✓ Directors
- ✓ CFOs

Course Outline

Background of Insider Trading

- Market inefficiencies of insider trading
- Security fraud and its enforcement
- Economic and ethical look at insider trading
- Insider trading in transition economies
- Credit derivatives and insider information
- Case study: ImClone Systems and Martha Stewart

Regulating insider trading (Illegal insider Trading)

- Inside information and the European Market Abuse Directive
- Hedge fund fraud
- Insider trading in emerging markets
- An investigation of the whistleblower
- Case Study: Insider trading cases in Malaysia

Regulating insider trading (Legal insider trading)

- A middle ground position in the insider trading.
- Positive and negative information: Insider trading rethought
- Legal insider trading and stock market reaction

Economic consequences of insider trading

- Economic and financial features of insider trading
- Insider trading, news releases, and ownership concentration
- Incentives to acquire information.

Biggest insider trading cases in the history

- Background of the cases
- What went wrong
- The consequences

Trainer's Profile

With over 25 years of experience in the financial sector, he is a seasoned financial advisor who started his career as an auditor with Ernst & Young in Washington, D.C. where he was a member in both the financial audit and computer audit teams. He joined the investment industry as an equity dealer upon his return to Kuala Lumpur in the early 1990s.

In 2003, He was appointed as a mentor by Bank Simpanan Nasional for its Micro Credit program. In 2007, he was appointed by the Health Minister to the Board of Visitors of Hospital Kuala Lumpur.

He has also contributed greatly to the financial literacy education in the country where he has been providing financial seminars specifically in the area of accounting, finance and investment since 2008. He has conducted many classes as a guest lecturer at various local colleges and universities throughout the country. In addition, he conducts corporate training and preparatory classes for ACCA examination and Real Estate License examination.

He had his higher education in the United States, where he graduated with a Bachelor of Science in Accounting from University of Louisiana and Masters of Science in Accounting from University of Delaware. He is also a Certified Public Accountant in the state of California, U.S.A.



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Insider Trading Case Studies and Global Developments (14 November 2018)

Name:	Name:
Designation:	Designation:
Department:	Department:
Company:	Company:
Address:	Address:
Tel:	Tel:
Fax:	Fax:
Email:	Email:

Contact for administrative matters if different from above

Name:	Department:
Tel:	Fax:
Email:	

Date: 14 November 2018

Workshop duration and time: 1 day, 9.00 am to 5.00 pm

Venue: Hotel Istana, Kuala Lumpur City Centre, 73, Jalan Raja Chulan, 50200 Kuala Lumpur

Course fee (inclusive of course materials, lunch and 2 tea breaks):

For registration before and on 31 October 2018: **RM1,000**

For registration after 31 October 2018: **RM1,200**

(Please note that prices do not include GST or SST)

Registration is confirmed upon receipt of payment, unless otherwise notified.

Payment Options

Cheque Bank _____ Cheque No. _____ Amount RM _____
Payable to **Symphony Digest Sdn. Bhd.**

**Please write company name and programme at the back of the cheque and mail to 69-3, Block F, Zenith Corporate Park, Kelana Jaya, 47301 Petaling Jaya, Selangor.*

Bank Transfer Account holder: Symphony Digest Sdn. Bhd.
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**Please e-mail or fax (03-7806 2800) us the bank-in slip / transfer confirmation together with the completed registration form.*

Note: For cancellations less than 14 days before event or non-arrival on the training day, no refund will be given. Substitution is allowed. Should the number of participants be too low to make the course a meaningful learning experience, Symphony reserves the right to postpone or cancel the course.