



10 SIDC CPE Points
8 FIMM CPD Points

CODE OF ETHICS AND MARKET MANIPULATION

EARLY BIRD: RM1,100
NORMAL FEE: RM1,300

Prices are inclusive of SST

DATE: 18 JULY 2024

TIME: 9AM - 5PM

VENUE: THE MAJESTIC HOTEL, KL

An essential course for all financial professionals - join us to understand what defines market manipulation and other prohibited market conduct. Equip yourself with the knowledge and ethical principles necessary to safeguard the integrity of financial markets and build a responsible and trustworthy career in the financial industry.

CODE OF ETHICS AND MARKET MANIPULATION



TOPICS

- Market Manipulation and Market Forces
 - Concept of market efficiencies
- Different Types of Market Manipulation
 - Information-based and Transaction-based
- Consequences of Market Manipulation
 - Market conducts prohibited in Malaysia
 - Examples and cases of market manipulation
 - How to protect yourself
 - Code of ethics and insider trading – what is prohibited by the SC

TRAINER'S PROFILE

A Certified Public Accountant in California, U.S.A, with over 30 years of experience in the financial sector, the trainer began his career as an auditor with Ernst & Young in Washington, D.C. and is currently working as a licensed equity dealer with a major stockbroker in Malaysia.

The trainer obtained his PhD in Finance from Monash University Malaysia. He also has a Master of Science in Accounting from the University of Delaware as well as a Bachelor of Science in Accounting from the University of Louisiana at Lafayette.

His areas of expertise include portfolio management, fundamental analysis, technical analysis and market forecasting.

PARTICIPANT DETAILS

Name:

Position:

Department:

Contact Number:

Email:

Name:

Position:

Department:

Contact Number:

Email:

ADMIN DETAILS

Name:

Position:

Department:

Company:

Contact Number:

Email:

Address:

Terms & Conditions:

1. For cancellation less than 14 days before or non-arrival on the training day, no refund will be given. Substitution is allowed.
2. 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 training.
3. HRDC grant application shall be applied and approved before the training day. Maximum claim from HRDC is RM1,300. The balance, if any, is to be topped up by client.