

# ETHICAL STANDARDS AND HOW TO RECOGNISE MARKET DISTORTIONS DUE TO MANIPULATION

**6 May 2026**

**9:00 a.m. – 5:00 p.m.**

**Concorde Hotel,  
Kuala Lumpur**

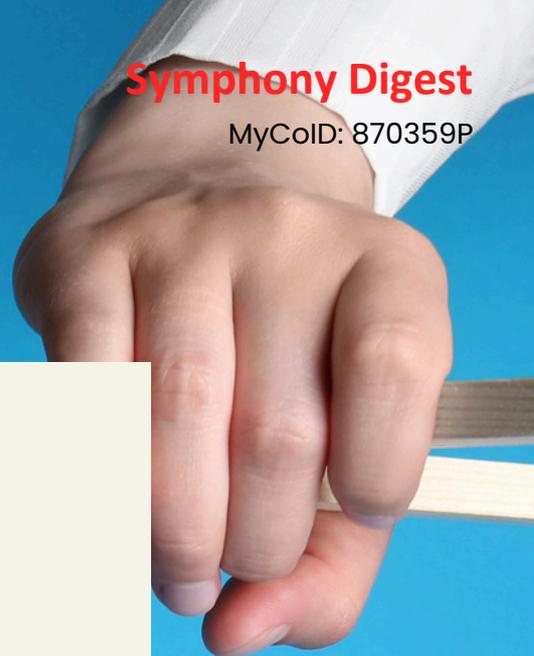
Understand how unethical practices distort markets and learn how to uphold integrity and compliance in line with regulatory expectations.

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**Early Bird: RM1,660**

Normal Fee: RM1,960

*\*including 8% SST*



# Ethical Standards and How to Recognise Market Distortions Due to Manipulation



## Module 1: Introduction to Ethics in Finance

- Definition and Importance of Ethics
- Establishing the moral compass for Malaysian capital market participants
- Overview of Ethical Standards in Financial Professions
- The Malaysian Regulatory Landscape under the CMSA 2007

## Module 2: Characteristics of Financial Fraud

- Types of Financial Fraud
- Identifying signs and “red flags” of potential financial fraud
- Deep dive into CMSA provisions on fraud
- Case Studies of Notable Financial Fraud
- Real-life case studies of notable SC Enforcement Cases to understand the impact of financial fraud on the Malaysian capital market

## Module 3: Stock Market Manipulation

- Definition and types of market manipulation under the CMSA 2007
- Identifying “red flags” of market manipulation and Bursa Malaysia’s Unusual Market Activity (UMA) alerts
- Real-life case studies of notable SC Enforcement Cases and Bursa Malaysia’s surveillance practices

## Module 4: Prevention and Detection

- Implementing Ethical Guidelines in Organizations aligned with the Industry Competency Framework (ICF)
- Best Practices for Preventing Financial Fraud and adhering to Malaysian reporting obligations
- Regulatory Measures including the Whistleblower Protection Act 2010
- Overview of how AI and data analytics are used to detect market distortions.

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## TRAINER'S PROFILE

The Trainer is an HRDF-accredited trainer who regularly delivers high-impact investment seminars for Malaysia's leading financial institutions. His expertise spans a wide spectrum of finance, including economics, portfolio management, fundamental and technical analysis, ethics, fraud prevention, insider trading, digital assets, and artificial intelligence.

A Certified Public Accountant (California, U.S.A.) with more than 30 years of experience in the financial sector, he began his career as an auditor with Ernst & Young in Washington, D.C. He now serves as a licensed equity dealer with a major Malaysian stockbroker, bringing practical market insights to his teaching and training.

He holds a PhD in Finance from Monash University Malaysia. He also earned a Master of Science in Accounting from the University of Delaware and a Bachelor of Science in Accounting from the University of Louisiana at Lafayette.

## REGISTRATION DETAILS

### PARTICIPANT DETAILS

Name:
Position:
Department:
Contact Number:
Email:
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Name:
Position:
Department:
Contact Number:
Email:

### ADMIN DETAILS

Name:
Position:
Department:
Company:
Contact Number:
Email:
Address:
<b>Payment Method:</b> <input type="checkbox"/> Direct Payment <input type="checkbox"/> Claim HRD

#### Notes:

- Cancellations made less than 14 days before the training date or non-attendance on the day of training are non-refundable. Substitution is allowed.
- Once registration is confirmed, the client is fully liable for the course fee, regardless of whether payment is made directly or through the HRDC grant, and even if participants do not attend the training.
- Clients who opt for direct payment must ensure full payment is made before the training date.
- HRDC grant applications must be submitted and approved before the training day. The maximum claimable amount is RM1,750 per participant per day. Any shortfall between the approved grant and the course fee must be topped up by the client.
- Should the number of confirmed participants be too low to ensure a meaningful learning experience, Symphony reserves the right to postpone or cancel the training.