

Webinar

Conduct in Wholesale Financial Markets

14 July 2021

9:00 am – 12:30 pm

ABOUT THE PROGRAMME

Market participants in the wholesale financial markets, whether the sell-side or the buy-side, or across various money markets and foreign exchange products, are required to adopt the standards in the Code of Conduct for Malaysia Wholesale Financial Markets issued by Bank Negara Malaysia (BNM) on 22 April 2020. Upholding integrity and professionalism in the conduct of market participants' business, affairs and activities, including all aspects of treasury operations is necessary to preserve a reputable, ethical and honest market place. Any financial market misconduct or breaches of the relevant guidelines would result in a contravention of the Financial Services Act 2013 or Islamic Financial Services Act 2013.

As wholesale financial markets continue to evolve, market conduct and practices should be reviewed and updated to maintain the highest standards of integrity. Market participants are also required to ensure their employees carrying out permitted activities comply with the Guidelines on Investor Protection issued by BNM and the Securities Commission including the minimum 'fit and proper' criteria, examination requirements and continuing professional education requirements to promote confidence in the capital market.

This webinar will provide insights of the code of conduct and practices of the Malaysian wholesale financial markets as well as globally accepted minimum standards of conduct including the Model Code issued by ACI Financial Markets Association. The eligibility requirements, prohibited activities, and duties and responsibilities of dealers and brokers will also be discussed together with the fit and proper criteria and obligations of employees of registered persons. In addition, the Foreign Exchange (FX) Global Code (FX Global Code)'s leading principles such as ethics, governance, risk management and compliance will be examined to manage and mitigate risks from FX business activities for the effective functioning of wholesale markets.

LEARNING OUTCOMES

- Review the code of conduct, practices and globally accepted minimum standard of conduct for Malaysia's Wholesale Financial Markets and the role of dealers and brokers to preserve a reputable, ethical and honest market place.
- Analyze the eligibility requirements, prohibited activities and responsibilities of dealers and brokers in order to perform their duties in a professional and ethical manner.
- Review the fit and proper criteria for dealers and brokers and the relevant requirements of the Guidelines on Investor Protection and take necessary actions to meet the obligations of a registered person.
- Examine the FX Global Code and its expectations of market participants to promote the integrity and effective functioning of the wholesale FX markets.

WHO SHOULD ATTEND

- Treasury Dealers & Brokers and Middle & Back Office Staff
- Risk Management Practitioners
- Compliance Officers
- Individuals interested to understand conduct in wholesale financial markets

SPEAKER



Mr Yeo Chin Tiong
Trainer

Yeo is a seasoned banker with 40 years of Treasury and Financial Banking experiences, including a 3 year working experience in New York financial markets.

He has worked in different banking institutions ranging from central bank, commercial banks, discount house and investment bank and dealing in various products ranging from money, FX, Capital markets and derivatives instruments. Yeo has recently retired from his role as advisor at Industrial and Commercial Bank of China (M) Berhad, his main responsibility included providing advisory services to the CEO on areas involving treasury functions, asset and liability management and operational efficiency.

Yeo graduated with a Bachelor of Economics from Universiti Kebangsaan Malaysia (UKM) in 1979. He is a committee member of the Persatuan Pasaran Kewangan Malaysia (PPKM) since 1997, of which about 15 years holding the post of Honorary Treasurer. In 2011, as the head of sub-committee in charge of education, he, together with a few market participants designed the content of the Investor Protection Professional Certificate (IPPC) examination to meet the examination requirements of mainly relationship managers following the launch of the Guidelines on Investor Protection, jointly issued by the SC and BNM in the same year.

In addition, he had also contributed extensively in the development of the overall Pasaran Kewangan Malaysia Certificate (PKMC) examination syllabus over the years. Yeo is a trainer for Module I of the PKMC examination for more than 15 years.

FEE

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