

MIA WEBINAR SERIES

Conduct of Directors and Common Breaches of Listing Requirements

Directors of a company listed on the Main Market of Bursa Malaysia are expected to ensure that the listed company complies strictly with the various rules in the Listing Requirements. The first step in the discharge of such duty as expected of a director is perhaps an awareness and understanding of various rules in the Listing Requirements.

This programme is designed to create awareness of various rules in the Listing Requirements through discussion of case studies on common breaches of the Listing Requirements, and to provide guidance to directors of their expected conduct to detect red flags and taking the necessary actions to address/rectify such red flags to prevent a breach of the Listing Requirements.

This programme will also explore the pre-requisites for directors' enforcement actions taken by Bursa Malaysia, as well as the Securities Commission Guidelines on Conduct of Directors of Listed Corporations and their Subsidiaries (issued on 30 July 2020).

OBJECTIVES

This programme seeks to help you:

- Understand the powers and roles of regulators in governing a listed company, namely Securities Commission (SC) and Bursa Malaysia (Bursa)
- Review recent trends in enforcement actions taken by Bursa
- Understand the pre-requisites for directors' enforcement actions taken by Bursa
- Be aware of recent trends in insider trading cases
- Understand common breaches of the Listing Requirements, the expected conduct of directors in oversight of compliance issues, and avoid common pitfalls
- Review key take-aways from SC's recently published Guidelines on Conduct of Directors of Listed Corporations and their Subsidiaries (issued 30 July 2020)

METHODOLOGY

A highly interactive learning session with trainer/speaker-led facilitation, live Q&As, quick polls/surveys, self-assessment quizzes and participant's feedback on learning outcome achievement.

WHO SHOULD ATTEND

- Directors, Chief Executive Officers and Chief Financial Officers
- Corporate Finance Managers and Finance Managers
- Accountants and Company Secretaries



26 October 2021 (Tuesday)
9.00 am to 1.15 pm

PROGRAMME OUTLINE

8.30 am – 9.00 am	Participants login to join the webinar
9.00 am – 11.00 am	<ul style="list-style-type: none"> • Regulatory Framework <ul style="list-style-type: none"> > Roles of SC and Bursa > Powers of SC and Bursa > Recent trends in Bursa's enforcement actions > SC's Guidelines on Conduct of Directors > Pre-requisites for enforcement actions > Factors considered in enforcement actions • Common Breaches of Listing Requirements <ul style="list-style-type: none"> > Financial Reporting > Corporate Disclosure
11.00 am – 11.15 am	Break
11.15 am – 12.45 pm	<ul style="list-style-type: none"> • Common Breaches of Listing Requirements (cont'd) <ul style="list-style-type: none"> > Related party transactions > Provision of financial assistance > Dealings in listed securities during/outside closed period > Insider Trading
12.45 pm – 1.15 pm	Q&A Session
1.15 pm	End of Webinar

Conduct of Directors and Common Breaches of Listing Requirements

With immediate effect, enrolment for all CPE programmes will be **STRICTLY VIA ONLINE REGISTRATION ONLY**

REGISTRATION PROCESS



- To view more events and download the full brochure, please visit: pd.mia.org.my
- Search and select the event
- Click 'Register' to experience the new system by continuing with the respective steps below:

EXISTING USER



NEW USER



For any assistance, please call (8.45am-5.30pm, Monday-Friday)
MIA Help Desk @ 603-2722 9000

TERMS & CONDITIONS FOR WEBINAR

WEBINAR FEE

- Fee is payable to MALAYSIAN INSTITUTE OF ACCOUNTANTS
- For selected webinars, the fee includes e-materials.
 - Individual Registration:** Full payment shall be made at the point of online registration.
 - Corporate Registration:** Full payment shall be made within thirty (30) days from the date of the Invoice or 1 day before the webinar, whichever earlier.
- Access to join the webinar shall be granted only upon full payment as per the above requirement.

WEBINAR ACCESS LINK

- The Access Link will be emailed at least 24-hours before the commencement of the webinar.
- The Access Link is unique and should not be forwarded/shared with others.

CANCELLATION

Should the participant decide to cancel his/her enrolment, a cancellation policy shall be applied as follows:

- For written cancellation received with minimum seven (7) days' notice from the date of the webinar, no penalties will be imposed and full refund will be made to participants who have paid.
- For written cancellation received less than seven (7) days from the date of the webinar, an administrative charge of 20% of the registration fee will be imposed. Unpaid registrations will also be liable for a 20% administrative charge.
- No refunds will be made for written cancellations received on the day of the webinar or for participants who failed to join the webinar. Unpaid registrations will also be liable for full payment of the registration fee.
- Replacing registered participants is not allowed.

PARTICIPANT'S CLASSIFICATION AND INFORMATION

Category: Corporate/Individual

- Please select the participant classification carefully as it determines the fee payable. No alteration will be allowed upon registration.
- The information on Corporate/Individual provided shall be deemed true and correct. No alteration will be allowed upon registration.

METHODOLOGY, CERTIFICATE OF ATTENDANCE AND CPE CREDIT HOURS

- Live Q&As, quick polls/surveys will be carried out throughout the webinar.
- For selected webinars, pre and/or post course materials will be shared with participants.
- Self-assessment quizzes at the beginning as well as at end of the webinar will be given to enable participants to self-evaluate themselves on their learning performance and level of understanding of the programme content.
- Participants will be issued with an e-certificate of attendance and awarded CPE credit hours upon strict compliance of the following terms:
 - Remain logged in at least 80% of the time allocated for the webinar,
 - Submit the post-course evaluation on learning outcome within 3 days after the completion of the webinar (late submission of the post-course evaluation will not be entertained).
- CPE credit hours will be credited into the MIA Member Services Portal within 14 days of the webinar for participants who have complied with all terms and conditions stipulated herein.
- Listening to pre-recorded webinar and/or reading from past webinar e-material shall not qualify as structured CPE credit hours.

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EXCLUSION OF LIABILITY

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SPEAKER

CHEE KAI MUN ACMA, CGMA

Kai Mun is Director cum Principal Trainer of CKM Advisory Sdn Bhd, a company providing training on Listing Requirements (LR), and has over 25 years' experience in advisory work relating to LR. Prior to this, he was Head and Vice President of Listing Advisory & Development at Bursa Malaysia, and Director of Compliance & Advisory at a corporate advisory firm. His experience is from 3 perspectives: as a Bursa Malaysia regulator, an advisor-in-practice, and corporate finance experience with a listed company. He has conducted training in LR for directors and officers of listed companies and corporate finance personnel of investment banks, in his capacity as a Bursa Officer and a professional corporate trainer.

WEBINAR FEES

Member/Member Firm	RM 430
Non-member	RM 560

Preferred Payment: Pay with MIA-CIMB Affinity Credit Card.

WEBINAR DETAILS & REGISTRATION

26 October 2021 (Tuesday)

Session 1 : 9.00 am – 11.00 am

Session 2 : 11.15 am – 1.15 pm

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