

Webinar

“Wholesale Market Conduct Risk”

28 July 2022

9:00 am – 12:45 pm

ABOUT THE PROGRAMME

Bank Negara Malaysia (BNM) had issued the Wholesale Market Conduct Practices and Guidance Document on 31 December 2021 aimed at providing guidance on managing conduct risks arising from wholesale financial markets activities. Financial institutions (FIs) are required to maintain adequate oversight of staff conduct and implement mechanisms to manage market misconduct. Periodic reviews of market conduct practices and controls must also be undertaken by FIs to ensure robust internal controls in order to mitigate wholesale market conduct risk.

This webinar will provide insights in the role of FIs in managing conduct risks arising from their treasury dealers' activities through effective trade and communications surveillance programs to preserve market integrity. The structure and set up of treasury departments as well as segregation of duties among treasury staff will be discussed together with the eligibilities and responsibilities of dealers and their methods of dealing among market participants.

The webinar will also provide participants an understanding of conduct risk identification, assessment and how traded financial products are vulnerable to misconduct. In addition, the institution's internal control environment will be reviewed in order to preserve an ethical and honest market place from market misconduct.

WHO SHOULD ATTEND

- Treasury Dealers & Brokers and Middle & Back Office staff
- Risk Management Practitioners
- Compliance Officers
- Internal Auditors
- Individuals interested to understand market conduct risk

LEVEL

Intermediate

FEE

MIBA Member : **RM600.00** per participantNon-MIBA Member : **RM800.00** per participant

**10% discount applies for group registration of 5 or more from the same organization*

LEARNING OUTCOMES

- Review the treasury dealing room structure and segregation of duties between front, middle and back office
- Analyze dealers' eligibilities, responsibilities in preserving a reputable, ethical and honest market place and methods of dealing among market participants
- Assess conduct risks on financial products traded and susceptibility to different types of misconduct
- Review the internal control environment to mitigate exposure to conduct risks and the roles played by the business unit, risk, compliance and internal audit departments

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.

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Closing Date for Registration : 21 July 2022

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