

Programme Wholesale Conduct Risk for Control Functions

Tuesday, 4 August 2026 9:00 am – 5:30 pm
Bangunan AICB, Kuala Lumpur

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ABOUT THE PROGRAMME

Control functions play a critical role in identifying and overseeing conduct risks arising from treasury and wholesale market activities. As trading activities become more complex and technology-driven, risk, compliance, internal audit, legal, and operations professionals are expected to strengthen capabilities in managing conduct risks arising from trading and dealing practices through effective governance and control frameworks. The increasing regulatory focus on market integrity, conduct risk, and surveillance has further heightened expectations on financial institutions to maintain effective oversight of wholesale market activities.

This programme is designed to provide control functions with practical insights into wholesale market conduct risks, common forms of market misconduct, surveillance practices, and internal control measures. Participants will also gain deeper insights of treasury dealing activities, regulatory expectations, governance frameworks, and the respective roles of business units and control functions in supporting market integrity, regulatory compliance, and effective conduct risk management within wholesale financial markets.

LEARNING OBJECTIVES

- Explain the structure, functions and dealing practices within a treasury department in managing wholesale market conduct risks
- Analyse the eligibilities and responsibilities of dealers and brokers under Bank Negara Malaysia (BNM)'s Code of Conduct for Malaysia Wholesale Financial Markets
- Identify common forms of market misconduct and associated conduct risks
- Assess the internal control environment for mitigating conduct risks
- Analyse the wholesale conduct risk management framework and challenges in its implementation

LEVEL

Intermediate

FEE

MIBA Member : **RM2,300.00** per participant

Non-MIBA Member : **RM2,500.00** per participant

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

WHO SHOULD ATTEND

- Treasury Dealers and Brokers
- Middle and Back Office staff
- Compliance Officers and Internal Auditors
- Risk Management Practitioners
- Legal & Operations Officers and Asset Managers
- Investment Bankers and Financial Advisers
- Capital Market Practitioners

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 stint in New York financial markets.

He has worked in different banking institutions ranging from the 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 provide 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, Bangi in 1979. He is a committee member of the Persatuan Pasaran Kewangan Malaysia (PPKM) since 1997, of which he spent about 15 years holding the post of Honorary Treasurer. In 2011, as the head of the 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 relationship managers following the launch of the Guidelines on Investor Protection, which was jointly issued by the Securities Commission and BNM in the same year. In addition, he has also contributed extensively to the development of the overall Pasaran Kewangan Malaysia Certificate (PKMC) examination syllabus over the years. Yeo has been a trainer for Module I of the PKMC examination for more than 15 years.

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Closing Date for Registration : 28 July 2026

Registration will be closed once all the seats are fully booked