PLV ACADEMY

LEARNING.
APPLIED.

11

NOVEMBER 2026

WEDNESDAY

10

SIDC CPE POINTS*

*Subject to SIDC CPE requirements

7

TRAINING HOURS

PROGRAMME CODE

PLVA-0007-R002

PLV ADVANCE BUSINESS CONSULTING SDN BHD

Professional learning and development

Capital Markets Ethics and Governance

in an AI-Driven Risk Management

11 November 2026 | 9:00am–5:30pm | Physical training

This programme provides participants with foundational knowledge of ethics, governance, and regulatory frameworks within the Malaysian capital market and financial services environment.

LEARNING OBJECTIVES

Upon completion of this course, participants will be able to:

1. Describe ethical conduct and governance principles under FSA, IFSA, and CMSA
2. Explain key regulatory expectations relating to market integrity, governance, and AML/CFT compliance in Malaysia
3. Identify the role of BNM policy documents and the Code of Conduct for Malaysia Wholesale Financial Markets in promoting ethical practices and risk management
4. Describe how ethics, governance, and compliance support regulatory compliance and risk awareness in financial institutions
5. Describe the role of AI, technology, and data analytics in supporting compliance monitoring and risk awareness functions in financial institutions

LEARNING EXPERIENCE

Delivery Medium: Instructor Led Course, Lectures, AI tools Illustration, Case studies, Group discussions, and illustrative examples.

TRAINER

Mr. Primus Lim

Managing Director and Principal Trainer

HRD Corp Accredited Trainer

Public programme | Refresher level | 7 training hours excluding breaks

PLV ACADEMY

PROGRAMME OUTLINE

05

TEACHING SESSIONS

7

TRAINING HOURS

11 NOVEMBER 2026

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COURSE OUTLINE

Capital Markets Ethics and Governance

in an AI-Driven Risk Management

Time: 9:00 – 10:30 - 1 hour 30 minutes Speaker: Mr. Primus Lim	**1. Introduction to Ethics & Governance in Malaysian Capital Markets** **Key Topics:** Capital market ecosystem • Role of licensed intermediaries • Ethical responsibilities • CMSA overview • Market conduct expectations
Time: 10:45 – 12:00 – 1 hours 15 minutes Speaker: Mr. Primus Lim	**2. Market Misconduct & Regulatory Compliance under CMSA** **Key Topics:** Insider trading • False trading • Market manipulation • Disclosure obligations • Case studies from Malaysian capital markets
Time: 12:00 – 13:00 – 1 hour 00 minutes Speaker: Mr. Primus Lim	**3. Governance, Risk Management & AML/CFT Awareness** **Key Topics:** Governance expectations • BNM and AML/CFT overview • Risk culture • Code of Conduct for Malaysia Wholesale Financial Markets • AI and compliance monitoring
Time: 14:00 – 15:30 – 1 hour 30 minutes Speaker: Mr. Primus Lim	**4. Ethics, Technology & AI-Driven Risk Awareness** **Key Topics:** AI use in compliance • Surveillance and monitoring • Ethical risks from AI • Data governance • Practical discussion
Time: 15:45 – 17:30 – 1 hour 45 minutes Speaker: Mr. Primus Lim	**5. Case Studies & Practical Applications** **Key Topics:** Ethical dilemma discussions • Capital market misconduct scenarios • Governance failures • Compliance response exercises

Time: Course Conclusion (17:30): • Recap of key takeaways • Open Q&A session, Evaluation Form • Distribution of certificates of attendance

Terms and conditions apply. Subject to change.

PLV ACADEMY

PLAN YOUR PARTICIPATION

11

NOVEMBER 2026

WEDNESDAY

PUBLIC PROGRAMME

REFRESHER LEVEL

KUALA LUMPUR

PROGRAMME CODE

PLVA-0007-R002

PLV ADVANCE BUSINESS CONSULTING SDN BHD

Professional learning and development

Course Information

Capital Markets Ethics and Governance

in an AI-Driven Risk Management | 11 November 2026

TARGET AUDIENCE

This programme is designed for capital market and financial services professionals who require knowledge of ethics, governance, and regulatory frameworks, including:

- Dealer representatives and licensed traders
- Fund managers and investment analysts
- Investment advisers
- Compliance and risk management officers in capital market intermediaries
- Employees of Capital Markets Services Licence (CMSL) holders
- Employees of Registered Persons (ERPs)

The programme is also relevant for professionals in banks and financial institutions who are involved in capital market-related activities and require awareness of Malaysian regulatory and ethical standards.

DATE AND VENUES

Wednesday 11 November 2026

Registration 8:30am–9:00am
Training 9:00am–5:30pm

MAIN VENUE

Emspaced @ KL Sentral, Menara Allianz Sentral, Level 23A, Menara Allianz Sentral, 203, Jalan Tun Sambanthan, Brickfields, 50470 Kuala Lumpur.

ALTERNATIVE VENUE

WORQ Menara 1 Sentrum @ KL Sentral, Level 20, Menara 1 Sentrum, 201, Jalan Tun Sambanthan, Brickfields, 50470 Kuala Lumpur.

FEES PER PARTICIPANT

RM1,600.00

Includes coffee breaks, lunch, programme materials and Certificate of Attendance.

HRD CORP CLAIMABILITY

Remarks: Fully HRD Corp claimable but subject to HRD Corp approval

HRD Corp Training Programme No.: 10001704029

HRD Corp Focus Area: FinTech • HRD Corp Skill Area: Digitalisation

Status: Active | Type: Public | Total Training Hours: 7 Hours | Location: KL Sentral, Brickfields, Kuala Lumpur.

Terms and conditions apply. Subject to change.

PLV ACADEMY

PROFESSIONAL DEVELOPMENT

11

NOVEMBER 2026

WEDNESDAY

10

SIDC CPE POINTS*

*Subject to SIDC CPE requirements

CMSRL AND ERP

PROGRAMME CODE

PLVA-0007-R002

PLV ADVANCE BUSINESS CONSULTING SDN BHD

Professional learning and development

Programme Justification

Capital Markets Ethics and Governance

in an AI-Driven Risk Management | 11 November 2026

Programme Overview and Course Justification:

This programme provides participants with foundational knowledge of ethics, governance, and regulatory frameworks within the Malaysian capital market and financial services environment. Participants will gain an understanding of key regulatory requirements under FSA, IFSA, CMSA, BNM policy documents, the Code of Conduct for Malaysia Wholesale Financial Markets, and AMLATFPUAA.

The programme also provides awareness of how financial institutions utilise AI, data analytics, and automation to support risk monitoring and compliance. The focus is on understanding the role of technology in enhancing governance and ethical standards, supported by illustrative examples. This programme supports participants in enhancing their knowledge of regulatory expectations and ethical conduct, in line with SIDC Continuing Professional Education (CPE) requirements.

HRD Corp Justification (FINTECH + INDUSTRY 4.0)

This training programme is designed to support Malaysia's digital transformation agenda by providing participants with knowledge of how Artificial Intelligence (AI), data analytics, and automation are used in financial risk management and regulatory compliance. In line with Industry 4.0 and FinTech developments, participants will gain awareness of how financial institutions utilise AI-driven tools for monitoring transactions, identifying anomalies, and supporting compliance functions.

The programme integrates capital markets regulatory frameworks such as FSA, IFSA, and CMSA with technology-enabled environments, enabling participants to understand how regulatory requirements are supported by digital tools and systems. Through illustrative examples and case-based discussions, participants will develop a clearer understanding of how AI and data analytics contribute to ethical conduct, governance, and compliance in financial institutions.

Participants will be exposed to examples of:

- Artificial Intelligence (AI) used for anomaly detection and behavioural analysis
- Data analytics tools used in monitoring trading patterns and compliance risks
- Automation systems used for reporting and regulatory monitoring

These applications reflect current FinTech practices used in financial institutions and support participants in building awareness of digital transformation in financial services.

PLV ACADEMY

TRAINER PROFILE

11

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CMSRL AND ERP

PROGRAMME CODE

PLVA-0007-R002

PLV ADVANCE BUSINESS CONSULTING SDN BHD

Professional learning and development

Trainer Profile

Mr. Primus Lim

Mr. Primus Lim is the Managing Director and Principal Trainer of PLV Advance Business Consulting Sdn Bhd, with over 20 years of experience in financial markets, treasury, banking, and professional training. His experience includes foreign exchange (FX), money markets, bonds, derivatives, structured products, and financial market operations within Malaysian financial institutions.

During his tenure with Affin Moneybrokers Sdn Bhd and MUFG Bank (Malaysia) Berhad (formerly Bank of Tokyo-Mitsubishi UFJ (Malaysia) Berhad), he was involved in treasury and wholesale financial market activities, including FX transactions, interest rate products, liquidity management, and money market operations. His industry exposure provided practical understanding of governance practices, market conduct expectations, risk management frameworks, and regulatory compliance within the Malaysian financial services environment.

Mr. Primus Lim has conducted professional training programmes relating to capital markets ethics, governance, financial markets, investment analysis, derivatives, treasury risk management, AML/CFT compliance, and AI-driven financial risk management for financial institutions, capital market intermediaries, corporations, and industry professionals in Malaysia. His training programmes cover areas relating to market conduct, governance, compliance, risk management, and ethical practices relevant to capital market practitioners and CMSL holders.

He is familiar with key Malaysian regulatory frameworks including the Financial Services Act 2013 (FSA), Islamic Financial Services Act 2013 (IFSA), Capital Markets and Services Act 2007 (CMSA), AMLATFPUAA, Bank Negara Malaysia (BNM) policy documents, and the Code of Conduct for Malaysia Wholesale Financial Markets.

Mr. Primus Lim is also actively involved in training and advisory engagements relating to Malaysian capital market regulations, governance practices, financial market risk management, and the application of AI and technology in compliance and financial decision-making environments.

TRAINING PROVIDER APPROVALS

PLV Advance Business Consulting Sdn Bhd is an SIDC-approved CPE training provider. This programme carries 10 CPE points, subject to SIDC CPE requirements. PLV is an HRD Corp registered training provider.

PLV is also a FIMM-approved CPD training provider. FIMM CPD points are not currently confirmed for this programme. Applications are subject to early application and FIMM approval.

Professional Memberships & Certifications:

HRD Corp Accredited Trainer
Member, Malaysian Institute of Accountant CA(M)
Member, Persatuan Pasaran Kewangan Malaysia (PPKM)
Associate Member, Asian Institute of Chartered Bankers (AICB)

ENQUIRIES AND REGISTRATION

Mr. Primus Lim / Ms. Yong
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