

No	Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
1.	Mitchell Raji a/p A. Jaya Raju, Unit Trust Consultant of Kenanga Investors Berhad (Kenanga) ("Mitchell")	Breach of Clause 3.1.2 of the Code of Ethics and Rules of Professional Conduct (Unit Trust Funds) , Second Edition as at 22 January 2013 (Second Edition Code) in Part 3 – Code of Ethics and Professional Responsibility and Rules of Professional Conduct for Unit Trust Consultant (UTC) for failure to act with a sense of responsibility, integrity and professionalism.	Mitchell was found to be in breach of Clause 3.1.2 of the Second Edition Code for making arrangement with UTC of Apex Investment Services Berhad namely, Nurul Shima binti Mohd Noh (Nurul Shima) between 25 August 2014 and 9 November 2015 for the purpose of marketing and distributing unit trust funds of Kenanga by allowing Nurul Shima to submit and register the investments of unit trust funds of Kenanga under her name as a UTC of Kenanga.	Public Reprimand via FIMM's website	19 December 2016

2.	Gurmeet Kaur @ Jamie a/p Gurmukh Singh, former Unit Trust Consultant of Kenanga Investors Berhad (Kenanga) ("Gurmeet")	Breach of Clause 3.1.2 of the Code of Ethics and Rules of Professional Conduct (Unit Trust Funds) , Second Edition as at 22 January 2013 (Second Edition Code) in Part 3 – Code of Ethics and Professional Responsibility and Rules of Professional Conduct for Unit Trust Consultant (UTC) for failure to act with a sense of responsibility, integrity and professionalism.	Gurmeet was found to be in breach of Clause 3.1.2 of the Second Edition Code for making arrangement with UTC of Apex Investment Services Berhad namely, Sakilah Bibi Binti Sardara (Sakilah Bibi) between 25 August 2014 and 9 November 2015 for the purpose of marketing and distributing unit trust funds of Kenanga by allowing Sakilah Bibi to submit and register the investments of unit trust funds of Kenanga under her name as a UTC of Kenanga.	Public Reprimand via FIMM's website	19 December 2016
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