

No	Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
1.	Mohammad Effendi bin Iskandar, former Unit Trust Consultant (UTC) of CIMB-Principal Asset Management Berhad (CPAM) ("Effendi")	Breach of Clause 3.1.3 (a) of the <b>Code of Ethics and Rules of Professional Conduct (Unit Trust Funds)</b> , 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 honesty, dignity and integrity.	Effendi was found to be in breach of Clause 3.1.3 (a) of the Second Edition Code for allowing unregistered persons to use his name in marketing and distributing unit trust schemes.	i. Public Reprimand via FIMM's website; and ii. Suspension of Effendi's registration as a UTC with FIMM for 1 year period effective from 11 May 2017	11 May 2017