

No	Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
1.	Mohamad Rahmad bin Shaheri, Former Unit Trust Consultant (UTC) of CIMB-Principal Asset Management Berhad ("CPAM") (FIMM No: 031-0-28629)	Breach of the following provisions:  Clauses <b>3.1.3(a)</b> , <b>3.1.11(g)</b> and <b>3.1.15</b> of FIMM's Code of Ethics and Rules of Professional Conduct (Unit Trust Funds), Second Edition dated 22 January 2013 ("FIMM's Code").	<ul style="list-style-type: none"> <li>• Rahmad was found to be in breach of Clause 3.1.3(a) of FIMM's Code of Ethics and Rules of Professional Conduct (Unit Trust Funds), Second Edition dated 22 January 2013 ("FIMM'S Code") for facilitating the submission of investment transaction form to CPAM on behalf of his client and the withdrawal of the Employees Provident Fund Account 1 of the client for purposes of the said investment, all of which was done through another unit trust consultant and without the authorisation of his client.</li> <li>• Rahmad was found to be in breach of Clause 3.1.11(g) of FIMM's Code for allowing his client to pre-sign and/or pre-thumbprint on the forms related to the client's investment.</li> <li>• Rahmad was also found to be in breach of Clause 3.1.15 of FIMM's Code for disclosing his client's personal and financial information to other unit trust consultants by allowing them to submit unit trust investment forms on behalf of his client for various transactions.</li> </ul>	<ul style="list-style-type: none"> <li>i. Public Reprimand;</li> <li>ii. Mohamad Rahmad bin Shaheri is barred from future registration with FIMM as a unit trust consultant.</li> </ul>	26 June 2018.