

Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
<p>Tan Tian Jwu ("Raymond"), (FIMM No: 547-I-22557) Former employee and Unit Trust Consultant ("UTC") of Public Bank Berhad ("PBB")</p>	<p>Breach of <b>Clause 3.3.1 of the Code of Ethics and Rules of Professional Conduct (Unit Trust Funds)</b>, Second Edition dated 22 January 2013 ("FIMM's Code")</p> <p><i>Clause 3.3.1 of FIMM's Code requires a UTC to only deal in unit trust funds of his principal or those distributed by his principal and which have been approved by the Securities Commission. The UTC should not make any arrangements, in whatever manner, to market and distribute unit trust funds of other Ordinary Members or those distributed by other IUTA or CUTA.</i></p>	<p>Raymond was found to be in breach of Clause 3.3.1 of FIMM's Code for dealing with the marketing and distribution of unit trust fund not distributed by PBB whilst he was registered as a UTC under the employment of PBB at the material time.</p> <p>Raymond's misconduct as mentioned above was identified and notified by PBB to FIMM which have resulted in FIMM taking a disciplinary action against Raymond.</p>	<p>i. Public Reprimand; and</p> <p>ii. Barred from future registration with FIMM as a unit trust consultant</p>	<p>29 January 2019</p>