2017

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| No | Parties Involved  | Nature of Misconduct | Brief Description of Misconduct | Action Taken | Date of Action  |
| 1.  | Nurul Hikmah binti Abd Ghafar (“Nurul Hikmah”), former unit trust consultant (“UTC”) of CIMB-Principal Asset Management Berhad (“CPAM”)  | Breach of Clause 3.1.3 (a) 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 for failure to act with honesty, dignity and integrity. | Nurul Hikmah was found to be in breach of Clause 3.1.3 (a) of the Second Edition Code for dealing with the investment of the complainant between 16 March 2015 and 26 March 2015 after her resignation as UTC of CPAM by way of submitting the Transaction Forms of the complainant through another UTC’s name i.e Azurin Izean Binti Ramli without the consent of the complainant. | 1. Public Reprimand via FIMM’s website;
2. Suspension of Nurul Hikmah’s registration as a UTC with FIMM for 1 year period effective from 3 March 2017; and
3. Nurul Hikmah is required to attend courses relating to “Compliance to ethics and professional conduct” and “Compliance with Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 focusing on “Know Your Customer”.
 | 3 March 2017  |
| 2. | Muniza Binti Abdul Jalil (“Muniza”), former unit trust consultant (“UTC”) of CIMB-Principal Asset Management Berhad (“CPAM”) | Breach of Clause 3.1.11 (g) 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 requesting investor to pre-sign investment forms. | Muniza was found to be in breach of Clause 3.1.11 (g) of the Second Edition Code for requesting the complainant to pre-sign Transaction Forms between 9 April 2012 and 15 October 2015 for the purpose of investment. | i. Public Reprimand via FIMM's website and publication in a widely circulated daily Bahasa Malaysia and English newspaper; andii. Revocation of Muniza’s registration as a UTC with FIMM with the effect of barring her from future registration with FIMM as a UTC. | 3 March 2017 |
| 3. | Syed Mahadzir Fadaak Bin Syed Jamil Fadaak (“Syed Mahadzir”), former unit trust consultant (“UTC”) of Phillip Mutual Berhad. | Breach of Clause 3.1.3 (a) 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 honesty, dignity and integrity. | * Syed Mahadzir was found to be in breach of Clause 3.1.3 (a) of the Second Edition Code for submitting 4 forms to Phillip Mutual between 21 May 2015 until 18 August 2015 for 5 switching fund transactions without the consent of the complainant.
* Syed Mahadzir was also found to be in breach of Clause 3.1.3 (a) of the Second Edition Code for appointing Encik Shahrulnizam Bin Atan, an unregistered person between May 2014 and 3 September 2015 to market and distribute unit trust funds.
 | 1. Public Reprimand via FIMM's website; and

ii. Revocation of Syed Mahadzir’s registration as a UTC with FIMM with the effect of barring him from future registration with FIMM as a UTC. | 9 March 2017  |