

Parties Involved	Nature of Misconduct	Brief Description of Misconducts	Action Taken	Date of Action
<p>Norhashikin binti Mohamad Sofi ("Norhashikin") (FIMM No: 054-0-51740)</p> <p>Former Unit Trust Consultant ("UTC") of Principal Asset Management Berhad ("Principal")</p>	<p>Breach of Clause 3.1.3(a) of the Code of Ethics and Rules of Professional Conduct (Unit Trust Funds), Second Edition dated 22 January 2013 ("FIMM's Code") – for failure to act with honesty, dignity and integrity.</p> <p>Breach of Clause 3.3.5 of the FIMM's Code. Clause 3.3.5 which requires a UTC not to accept cash nor have it credited into their personal bank accounts from the investors for purposes of investment in unit trust funds.</p>	<p>Norhashikin was found to be in breach of Clause 3.1.3(a) and Clause 3.3.5 of FIMM's Code for committing three misconducts as follows:</p> <ol style="list-style-type: none"> I. Misappropriating investor's money by investing in Principal only RM9,000 out of RM38,000; II. Providing a falsified investment ledger to the investor; and III. Accepting cash amounting to RM38,000 from the investor. 	<ol style="list-style-type: none"> i. Public Reprimand; and ii. Barred from future registration with FIMM as a unit trust consultant. 	10 July 2019.