

Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
<p>Noorliana Binti Abdul Razak (“Noorliana”), (FIMM No: 030-0-20472) Former Unit Trust Consultant of BIMB Investment Management Berhad</p>	<p>Breach of Clause 3.1.3 (a) of the <b>Code of Ethics and Rules of Professional Conduct (Unit Trust Funds)</b>, Second Edition 2013 (Second Edition Code) – for failure to act with honesty, dignity and integrity.</p>	<p>Noorliana was found to be in breach of Clause 3.1.3 (a) of the Code for committing two misconducts as follows:</p> <p>i) forging the signature of an investor on a unit trust investment transaction form and submitting the same to BIMB, causing an unauthorised switching of the investor’s investment from BIMB i-Dividend Fund to BIMB Arabesque i-Global Fund; and</p> <p>ii) forging the signature of another investor in a unit trust redemption request form and made an unauthorised redemption of the investor’s unit trust investment with BIMB.</p>	<p>i. Public Reprimand;</p> <p>ii. Noorliana’s registration as a unit trust consultant with FIMM has been suspended for a period of one (1) year effective 26 September 2018 to 25 September 2019</p>	<p>26 September 2018</p>