

No	Parties Involved	Nature of Misconduct	Brief Description of Misconduct	Action Taken	Date of Action
1.	Afyan Bin Mat Rawi, UTC of Phillip Mutual Berhad ("Afyan")	<p>Breach of the following provisions:</p> <ul style="list-style-type: none"> <li>• <b>Clause 3.1.3(a)</b> and <b>Clause 3.1.6</b> of the Federation of Investment Managers Malaysia ("FIMM")'s <b>Code of Ethics and Rules of Professional Conduct (Unit Trust Funds)</b>, Second Edition as at 22 January 2013 ("Code").</li> </ul>	<ul style="list-style-type: none"> <li>• Afyan was found to be in breach of <b>Clause 3.1.3(a)</b> of the Code for making misleading statements in an article entitled "<i>Pilih Pelaburan Selamat</i>" dated 6.3.2017 published in newspaper Sinar Harian; and</li> <li>• Afyan was also found to be in breach of <b>Clause 3.1.6</b> of the Code for making negative statements concerning unit trust industry on Facebook with the account name "<i>Neraka Wang</i>" on 3 June 2017.</li> </ul>	<ul style="list-style-type: none"> <li>i. Public Reprimand</li> <li>ii. Afyan is required to attend courses relating to "Ethics and Professional Conduct" and the Securities Commission's "Guidelines on Unit Trust Scheme Advertisement and Promotional Materials".</li> </ul>	18 December 2017