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| **Parties Involved**  | **Nature of Misconduct** | **Brief Description of Misconduct** | **Action Taken** | **Date of Action**  |
| TAN CHEE NUM (FIMM No: 022-0-21497)Former Unit Trust Consultant (“UTC”) of Kenanga Investors Berhad (“KIB”) | Breach of Clause 3.1.3(a), Clause 3.1.7(a) and Clause 3.3.5 of the **Code of Ethics and Rules of Professional Conduct (Unit Trust Funds)**, Second Edition dated 22 January 2013 (“FIMM’s Code”). Clause 3.1.3(a) of FIMM’s Code requires UTC, at all times, to act with honesty, dignity and integrity;Clause 3.1.7(a) of FIMM’s Code requires UTC to not misrepresent or recklessly represent his qualifications or that of the principal he represents; andClause 3.3.5 of FIMM’s Code requires UTC to neither accept cash nor have it credited into their personal bank accounts from investors for purposes of investment in unit trust funds. | Tan Chee Num (“Tan”) was found to be in breach of Clause 3.1.3(a), Clause 3.1.7(a) and Clause 3.3.5 of FIMM’s Code for misappropriating a potential investor’s money amounting to RM5000 that was credited to Tan’s personal bank account for purposes of investment in a unit trust fund. Further, Tan misrepresented himself by showing the potential investor a business card not related to Kenanga Investors Berhad (“KIB”) while being registered as a UTC of KIB.Tan’s misconduct as mentioned above was identified and notified by KIB to FIMM which have resulted in FIMM taking a disciplinary action against Tan.  | 1. Public Reprimand; and
2. Barred from future registration with FIMM.
 | 10 July 2019 |