Press Release

For Immediate Release.

Kuala Lumpur, 6 August 2026

PUBLIC REPRIMAND AGAINST ONE (1) ACTIVE UNIT TRUST SCHEME CONSULTANT

The Federation of Investment Managers Malaysia (FIMM) recently reprimanded **One (1)** Unit Trust Scheme (UTS) Consultant pursuant to FIMM's By-Laws Relating To The Procedure For Disciplinary Proceedings, Second Edition dated 3 September 2007 (FIMM's By-Laws) for her misconduct/breach of Paragraph 6(a) of FIMM's Code of Ethics and Standards of Professional Conduct for the Unit Trust Industry, First Edition dated 1 September 2001 (FIMM's Code) as follows:

A. Unauthorised Transaction

No.	Person Reprimanded	Distributor	Brief Description of Misconduct	Sanctions
1.	Chua Sye Yin (Chua) (FIMM No.: **F02004374**)	UTS Consultant of Eastspring Investments Berhad (Eastspring)	• Performed an unauthorised transfer of investment units belonging to an Investor of Eastspring to her own account; and • Failed to disclose a material fact pertaining to the Investor's status in relation to the transfer of the investment units.	• Public reprimand pursuant to Clause 5.8(b)(i) of FIMM's By-Laws; and • Suspended from registration with FIMM for a period of six (6) months pursuant to Clause 5.8(b)(iii) of FIMM's By-Laws, effective 2 July 2026.

The Disciplinary Committee's decision was imposed after factoring in the various mitigating and aggravating factors applicable to the case.

Applicable FIMM Rule:

FIMM's Code:

Paragraph 6(a):
"In addition to the rules relating to Guidelines For Marketing and Distribution of Unit Trust issued by the Securities Commission, this part of the Code shall be applicable to all PDUT.

FEDERATION OF INVESTMENT MANAGERS MALAYSIA (199301017839 (272577-P))
19-06-1, 6th Floor, Wisma Capital A, No. 19, Lorong Dungun, Damansara Heights, 50490 Kuala Lumpur, Malaysia
• Tel: +603 7890 4242 • www.fimm.com.my

A PDUT should at all times act with honesty, dignity and integrity. He should conduct himself and should encourage others to market and distribute units in a professional and ethical manner that will bring credit to himself, his fellow PDUT and the industry. A PDUT shall maintain a high standard of personal ethical behaviour, present himself professionally in appearance and not engage in activity that may bring discredit to the industry.

In particular, the PDUT must not misrepresent or recklessly represent: -

i. his qualifications or that of the management company he represents;
ii. the products and/or its characteristics offered by the management company he represents; and
iii. the past investment performances of the unit trust fund he is marketing.

Conduct which is dishonest would include any omission of a material fact. A material fact includes a fact, which if made known to a client, will cause that client to appreciate that the unit trust fund is materially different from what was represented to him."

This Public Reprimand is imposed to send a strong message that FIMM will take action against those who fail to comply with any rules issued by FIMM. This is to deter UTS and/or Private Retirement Scheme (PRS) Consultants from committing any misconducts and to remind them that it is crucial to observe FIMM's Rules when marketing and distributing Unit Trust Scheme and/or Private Retirement Scheme in Malaysia to protect the interests of the investing public.

The misconducts of Chua were detected by her Distributor and notified to FIMM by a member of the public.

For more information on matters related to UTS, PRS and investor protection, please visit www.fimm.com.my.

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Media Enquiries

Corporate Communications Department
03-7890 4242
corpcomm@fimm.com.my

Note to Editors

About Federation of Investment Managers Malaysia

The Federation of Investment Managers Malaysia (FIMM) was established on 7 August 1993. By a gazette order dated 20 January 2011, FIMM was recognised by the Securities Commission Malaysia (SC) as a Self-Regulatory Organisation (SRO).

As an SRO, FIMM regulates and supervises its members and registered persons to strive for the highest level of integrity and standards of practice that will best serve the investment management industry and promote investor protection.

FIMM's Code of Ethics, FIMM's By-Laws and FIMM's Consolidated Rules

FIMM's Code of Ethics (**COE**), FIMM's By-Laws and FIMM's Consolidated Rules (**FCR)** can be downloaded from our website www.fimm.com.my.