


# PLC SERIES: PERMITTED AND NON-PERMITTED DEALINGS BY DIRECTORS



 Seremban Cultural Complex, Negeri Sembilan

## COURSE INTRODUCTION

Bursa Malaysia imposes stringent requirements governing dealings in listed securities by Directors and Principal Officers ("Affected Persons") of listed companies, both during Closed Periods and outside Closed Periods, as well as the associated disclosure obligations. Responsibility for compliance with these requirements rests squarely with the Directors and Principal Officers concerned. Accordingly, a clear and practical understanding of the applicable rules is essential to ensure continuous compliance.

This course also provides an overview of the insider trading regime under the Capital Markets and Services Act 2007 ("CMSA"), including the prohibited conduct of persons in possession of price-sensitive information, and how these provisions intersect with the rules on dealings in listed securities.

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## COURSE OBJECTIVES

- Understand the regulatory framework governing dealings in listed securities under the Bursa Malaysia Listing Requirements;
- Identify "Affected Persons" within a listed company and their respective compliance obligations;
- Recognise common non-compliance issues arising from dealings during and outside Closed Periods;
- Understand the procedures and requirements applicable to permitted dealings during and outside Closed Periods;
- Appreciate the scope of prohibited conduct under the insider trading provisions of the CMSA; and
- Apply practical guidance on how insider trading laws relate to dealings in listed securities, enabling participants to avoid common pitfalls, including those arising from exempt dealings.

## LEARNING OUTCOMES

By attending this course, the participants will be able to:

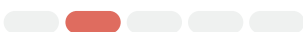
- Determine when dealings in listed securities are permitted or prohibited, understand the applicable approval and disclosure requirements, and avoid insider trading and common compliance pitfalls.
- Enhance their understanding of the Bursa Malaysia Listing Requirements and the insider trading provisions under the Capital Markets and Services Act 2007 as they relate to dealings in listed securities, thereby strengthening compliance, governance and risk management practices.
- Equip directors and principal officers with a clear and practical understanding of the regulatory requirements governing dealings in listed securities, including Closed Period restrictions, disclosure obligations and insider trading laws, in order to enable informed decision-making and ensure ongoing compliance.
- Provide practical guidance on permitted and non-permitted dealings in listed securities to ensure compliance with Bursa Malaysia Listing Requirements and insider trading laws.

## COURSE CONTENTS

1. Regulatory Overview and Compliance Obligations.
  - Overview of Bursa Malaysia Listing Requirements on dealings in listed securities.
  - Who is regulated: directors, principal officers and connected persons.
  - Responsibilities and consequences of non-compliance.
2. Closed Periods and Dealings in Listed Securities.
  - Meaning and triggers of Closed Periods.
  - Prohibition on dealings during Closed Periods.
  - Permitted dealings and exemptions.
  - Dealings outside Closed Periods: key principles and controls.
  - Common non-compliance issues.
3. Disclosure Requirements and Procedures.
  - Announcement and disclosure obligations.
  - Timing and content of disclosures.
  - Roles of the company and affected persons.
  - Typical disclosure mistakes.
4. Insider Trading Laws under the CMSA.
  - Insider trading framework and key concepts.
  - Price-sensitive information and who is an insider.
  - Prohibited conduct and penalties.
5. Best Practices and Key Takeaways.
  - Internal controls and dealing policies.
  - Compliance checklist for directors and principal officers.
  - Key dos and don'ts.

## WHO SHOULD ATTEND

Company directors, company secretary, accountants and persons dealing with listed securities.



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## ABOUT THE TRAINER

**Leong Oi Wah** is a Fellow Member of the Malaysian Institute of Chartered Secretaries and Administrators (MAICSA) and has more than 30 years of experience in handling corporate secretarial matters in the profession and the corporate sector.

Oi Wah is also involved in advisory on corporate secretarial requirements including corporate restructuring and compliance with various regulatory bodies such as the Registrar of Companies, Bursa Malaysia Securities Berhad, Securities Commission and other authorities. She is an approved trainer with HRD Corp and does regular training for the Companies Commission Malaysia Training Academy and other professional bodies. She is also co-author of "Company Meetings, Minutes and Resolutions in Malaysia" published in 2021 by the Malaysian Current Law Journal.

## ADMINISTRATIVE DETAILS

<b>Date</b>	02 April 2026
<b>Venue</b>	Virtual platform
<b>Time</b>	09.00 am – 05.00 pm
<b>Training Methodology</b>	Lecture and case discussion
<b>Fee</b>	RM550.00    Standard RM450.00    Licensed Secretary Member of MAICSA, MIA, Malaysian Bar, MACS, MICPA, Sabah Law Society & Advocates Assoc. of Sarawak.
<b>SSM CPE Points</b>	8 points

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## HOW TO REGISTER?

### STEP 1

Strictly via online registration at [www.ssm4u.com.my/ecomtrac](http://www.ssm4u.com.my/ecomtrac)

### STEP 2

#### NEW USER (First Time Login)

- Click on **SIGN UP**
- Key in **REGISTRATION INFORMATION**
- Click on **REGISTER**
- Key in **USERNAME** and **PASSWORD**

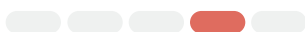
#### EXISTING USER

- Key in **USERNAME** and **PASSWORD**
- Click on **SIGN IN**

### STEP 3

- Select training
- Check on Available Seat
- Click on Add Participant
- Key in participant's information
- Click on Submit
- Check participant's details
- Click on Submit Payment

Note: Please submit your application within 15 minutes. Otherwise the system will automatically cancel your transaction and you will lose your seat(s). Please re-apply if you wish to proceed. Full payment shall be made at the point of registration.



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## TERMS & CONDITIONS FOR TRAINING PROGRAMMES

### PROGRAMME FEE

- Fee is payable to SURUHANJAYA SYARIKAT MALAYSIA.
- Admittance to training programme shall be granted only upon registration and full payment is received.

### PAYMENT MODE

- Registrations and payment for training programmes MUST be made through online at e-COMTRAC ([www.ssm4u.com.my/ecomtrac](http://www.ssm4u.com.my/ecomtrac)). Upon submitting the registration application, participants are deemed to have read and accepted the terms and conditions herein.
- Payment by cash and cheque is not acceptable effective from January 2021.

### CLASSROOM TRAINING

- For classroom-based training, a confirmation e-mail will be sent to participants at least 1 working day prior to the programme.
- Participants are required to present Malaysia's identification card and foreign participants are required to present passport at the registration counter for verification and admission to training programme.
- Admittance may be denied upon failure to present identification card / passport.

### LIVE WEBINAR TRAINING

- A notification e-mail with the webinar access link will be sent to participants at least 1 working day prior to the webinar.
- The access link is unique for registered participants and should not be forwarded or shared with others.

### E-LEARNING TRAINING

- Upon successful registration, an email will be sent containing the access link to the pre-recorded webinar and accompanying material will be sent on the start date of the programme.
- Access will be available for a fixed duration of seven (7) days starting from the session's commencement date. After this period, the link will expire, and access to the webinar and materials will no longer be available.

### CERTIFICATE OF ATTENDANCE

- Upon full attendance of the programme and payment is received, participants will be issued an e-Certificate of Attendance.
- Participants can download the e-Certificate of Attendance from e-COMTRAC platform in three (3) working days after the programme or in seven (7) working days for conference / symposium. Please take note that the certificate is available for download up to 30 days from the conclusion of the programme. An administrative fee of RM30.00 per copy is chargeable for downloading the certificate after the 30th day. Any replacement of certificate due to errors in name or identification card number wrongly filled by participant / representative during registration or loss of certificate, etc will incur a fee of RM30.00 for reissuance.

### CANCELLATION / ABSENT

- No refund will be given to participants who failed to attend the programme.
- Replacing registered participant is not allowed.

### TRANSFER

Transfer of registration fee to another training programme is not allowed.

### PERSONAL DATA PROTECTION NOTICE

Your personal data and other information provided in this application and including any additional information you may subsequently provide, may be used and processed by COMTRAC/SSM as a reference in future to communicate with you on our training programmes/events. In line with the Personal Data Protection Act 2010, we wish to obtain your agreement and consent for using your personal data. If you do not consent to the processing and disclosure of your personal data, you should send an e-mail to us at [comtrac@ssm.com.my](mailto:comtrac@ssm.com.my).

### HUMAN RESOURCES DEVELOPMENT CORPORATION

SSM is registered as a training provider with HRD Corp under GOV1000117857. All trainings are claimable under SBL Scheme subject to HRD Corp approval. Participant's employer needs to apply for grant at least one day before the commencement of training.

### COPYRIGHTS

The materials of the training programme are solely for participants' personal use. No part of these materials may be stored, reproduced or transmitted in any form or by any means, including photocopying, e-mailing and recording, without the written permission of the author or SSM. Information contained in these documents is understood to be correct at the time of writing. The assessments and views expressed in these materials shall be treated/ regarded purely for public information and discussion and it does not constitute formal advice. The views provided are for general information to provide better clarity and understanding of the subject matter. It should not be relied upon as an alternative to specific legal advice from your lawyer or other professional service provider. If you have any specific issues and/ or questions about any legal matter, you should consult your lawyer or other professional service provider. In no event shall the SSM be liable for any damages, whether in an action of contract, negligence or other tort, arising from the contents in these materials.

### EXCLUSION OF LIABILITY

The speaker(s) or trainer(s) is independent and shall not represent SSM, act as its agent or otherwise represent that their personal views are endorsed by SSM. The assessments and views expressed during the programme are entirely the speakers'/trainers' own. SSM shall not be liable for whatever circumstances arising from any engagement between the speaker(s) or trainer(s) and the participant(s).

### DISCLAIMER

SSM reserves the right to cancel the programme, change date(s), venue(s), speaker(s) or any other changes due to any unforeseen circumstances that may arise without prior notice to participants. SSM also reserves the right to make alternative arrangements without prior notice. SSM accepts no responsibility for death, illness, injury, loss or damage of any property belonging to, or financial loss by any persons attending the programme, whatever the cause. SSM shall not be responsible for any costs, damages or losses incurred by participants due to the changes and / or cancellation. SSM is not responsible for the integrity of participants' computer or device, your internet signal bandwidth, or any other consideration outside of the control of SSM.

SSM shall not be responsible for any problems or technical malfunction, including, without limitation, the acts, omissions, problems or malfunctions of any telephone network or lines, computer online systems, servers, computer equipment, software, failure of e-mail, traffic congestion on the internet or at any web or combination thereof.

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