

## EXECUTIVE SUMMARY

**Over 20 years length of service with 17 years extensive experience in Malaysian capital markets serving 3 reputable organizations** specializing in initial public offerings, secondary offerings, restructuring schemes and collective investment schemes. Exposed to various capital markets related activities including capital markets developmental works, promoting Bursa Malaysia listing platforms, licensing, regulatory audit and advisory.

Recommended over 100 proposals relating to listing on Bursa Malaysia, restructuring of distressed listed companies and collective investment schemes. Participated in at least 5 capital market development works which benefited over 900 listed companies, collective investment schemes and investors. Currently, managing offering documents/deeds for over 150 collective investment schemes.

Experienced in recognising material issues to manage risks and impacts to stakeholders. Equipped with technical experience and a skilled communicator in providing strategic direction.

## CAREER HIGHLIGHTS

- Expedited recommendation of 95% listing proposals vis-à-vis client time charter to facilitate companies to implement proposals.
- Issued Guidance on Disclosures in Notes to Quarterly Report which benefited listed companies in improving their financial quarterly reports.
- Built foundation for LEAP Market transfer of listing framework and formulated consolidated prospectus guidelines to ease establishment of at least 15 listed funds.
- Achieved 100% success rate in obtaining SC's approval for new funds over the past 3 years.

## PROFESSIONAL EXPERIENCE

### AHAM ASSET MANAGEMENT BERHAD

(2019 – Present)

#### Head, Fund Submission

Manage products compliance matters and provide regulatory advice. Handle submission of new funds (about 10 funds per year), submission of proposals to SC (extension of time, variation to guidelines, online transactions) and ad-hoc matters (such as consultations with SC and FIMM). In charge of offering documents/deeds for at least 138 funds. A liaison between SC, external parties and internal departments on product matters, lead due diligence process and give guidance on issues. Previously, managed regulatory license matters of the company and related submission of proposals.

- Spearhead an exercise in 2022 to assess and recommend enhancements to offering documents/deeds (for unit trust funds, wholesale funds, private retirement schemes and exchange traded funds) to concurrently reflect (i) changes to the various guidelines; (ii) changes to the company's shareholding structure; and (iii) best practices in the interests of investors and the company. Achievements include registered prospectuses/deeds for 47 unit trust funds in April 2023 (ahead of timeframe imposed by the SC and the company) and attained cost savings for the company given concurrent review.
- Completed conversion of private retirement scheme's Islamic non-core funds to Islamic core funds in November 2022 (including resolving regulatory hurdles) to improve marketability of funds.
- Simplified and enhanced internal processes for new/existing funds enabling a shorter timeframe to market products and manage risk to the company and investors.

## **BURSA MALAYSIA BERHAD**

**(2012 – 2019)**

### **Senior Manager, IPO Marketing, Securities Market**

Promoting Bursa Malaysia listing platforms. Engaged companies/advisers to identify quality companies for listing and advised on regulatory matters. Involved in developing capital market to improve listing process and proposed changes to regulatory requirements.

- Built foundation for LEAP Market transfer of listing framework to ACE Market/Main Market.

### **Senior Manager, Restructuring, Listing**

Monitored corporate developments of at least 20 distressed companies and cash companies. Recommended at least 40 corporate restructuring proposals including fund raising, acquisition and reverse takeover exercises. Involved in at least 3 developmental works relating to listing.

- Recommended 80% within timeline to facilitate listed companies to implement proposals.
- Formulated post-listing disclosures requirements for LEAP Market companies.

## **SECURITIES COMMISSION**

**(2003 – 2012)**

### **Senior Manager, Investment Management Supervision**

Monitored development and performed regulatory audit on 2 fund management companies. Participated in selection process for private retirement schemes providers.

### **Manager, Equities**

Facilitated fund raising activities through review of initial public offerings/secondary offerings corporate proposals. Ensured proper disclosures in prospectuses to enable investors to make informed decisions. Assessed qualitative/quantitative aspects of proposals and recommended at least 30 substantive corporate proposals.

- Achieved reviewing 95% proposals within timeline. Received **letters of appreciation** from investment banks.
- Secretary to Recommendation Committee to deliberate corporate proposals on a monthly basis and engaged officers to resolve issues.
- Carried out special audit on the largest asset management company.

### **Senior Executive, Managed Investment Schemes**

Facilitated establishment of new funds. Recommended at least 50 proposals, including listed closed-end fund and listed real estate investment trusts. Involved in at least 3 developmental works to promote growth to unit trust industry.

- Achieved assessing 95% proposals within timeline enabling a shorter time to market products.
- Introduced requirements for innovative funds such as feeder funds and fund of funds.
- Introduced consolidated prospectus guidelines to ease establishment of listed funds.

## **PRICEWATERHOUSECOOPERS**

**(1999 – 2003)**

### **Senior Associate, Assurance and Advisory Business Services**

Performed financial audit (including drafting of financial statements).

## EDUCATION, AWARDS

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- Passed Association of Chartered Certified Accountants examination (2002)
- 2<sup>nd</sup> class upper Bachelor in Accounting & Finance (Honours), South Bank University, UK (1998)
- Distinction in Accounting Foundation - Bellerbys College, Brighton, UK. Received Bellerbys College Distinction Award (1995)
- 9As in SPM and awarded Tenaga Nasional Berhad scholarship (1994)