

MEMORANDUM
FOR FEEDBACK



Ref No : 0034 of 2018/PO
Date : 12 September 2018

To : Executive Director/ Head of Dealing
Executive Director/ Head of Operations

From : The Secretariat, ASCM
No. of pages : As per attachment

By Email

RE : DIALOGUE WITH BURSA'S MARKET PARTICIPANTS COMMITTEE

Dear Members,

The Market Participants Committee (MPC) is a committee established by the Board of Bursa Malaysia Berhad. MPC is responsible to preside over matters relating to alleged breaches by Participating Organisations and matters related to registration and regulations of Participating Organisations, Registered Persons, Clearing Participants, Authorised Depository Agents and Authorised Direct Members (ADMs). Attached is the Terms of Reference of MPC for your ease of reference.

The MPC proposed to have a dialogue with ASCM tentatively on 2nd October 2017 on issues relating to regulatory and enforcement of the securities industry. ASCM has accepted MPC's proposal for the dialogue to raise regulatory and enforcement issues pertinent to the stockbroking fraternity.

In facilitating a fruitful dialogue for the stockbroking fraternity, we would appreciate members to provide feedback and share any regulatory and enforcement issues faced, together with suggestions to resolve the issues. For ease of reference, kindly refer to our Memo 0018 of 2018/PO dated 26th April 2018 on issues that had been deliberated with MPC and their responses thereof.

Kindly revert to us using the attached reply form and email to secretariat@ascm.org.my by 19th September 2018.

Thank you

Yours sincerely

Lim Boon Hang
Executive Director, ASCM Secretariat