

MEMORANDUM
FOR YOUR FEEDBACK

ASCM
Association Of Stockbroking Companies Malaysia

Ref No : 0039 of 2018/PO
Date : 26 September 2018

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

From : The Secretariat, ASCM

By Email

No. of pages : As per attachment

RE : **Market Surveillance Engagement with POs**

Dear Members,

Bursa Market Surveillance team will be hosting a breakfast briefing session with POs to share relevant updates on front office monitoring and other surveillance issues. Details of the session are as follows:

Event : Market Surveillance Engagement with POs

Date : 18 October 2018

Time : 8.30am – 10.30am

Venue : Media Room, Bursa Malaysia

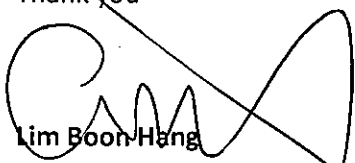
To facilitate the organization of this event, Bursa has extended an invitation to our members through ASCM to attend the briefing. Bursa is pleased to invite 2 representatives from each member, preferably staff from Compliance or Front Office Monitoring of trading activities.

At the same time, Bursa Market Surveillance team would be pleased to invite members to raise and discuss any pertinent market surveillance issues that members may encounter in their scope of work.

In light of this, kindly register your representatives and also provide issues pertaining to front office monitoring or surveillance activities that you may wish to bring up during the meeting. ASCM will collate the issues for submission to the Bursa Market Surveillance team.

Please use the attached reply form and forward to secretariat@ascm.org.my by 8th October 2018.

Thank you



Lim Boon Hang
Executive Director, ASCM Secretariat