

# MEMORANDUM



**Ref No** : 036 of 2023/PO  
**Date** : August 25, 2023  
**Mode** : **By Email**  
**To** : Executive Director / Head of Dealing  
Executive Director / Head of Operations  
**From** : The Secretariat, ASCM  
**Subject** : Invitation to Surveillance-Focused Educational Workshop by Nasdaq and ASCM

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Dear Members,

We are delighted to extend a warm invitation to you from Nasdaq, in collaboration with the Association of Stockbroking Companies Malaysia (ASCM), to participate in an insightful educational workshop centered around trade surveillance systems. This event aimed at enhancing your understanding of trade surveillance systems and their significance in the evolving market landscape.

#### Details of the Surveillance Workshop:

Date : 7 September 2023  
Time : 2:30 - 4:30 PM MYT  
Venue : Theatre, Level LG, Bursa Malaysia Berhad  
Address: Exchange Square, Bukit Kewangan, 50200 Kuala Lumpur

#### Workshop Highlights:

The workshop agenda is aimed to provide you with a comprehensive understanding of trade surveillance systems, their operational significance, and their alignment with evolving market regulations. The session will cover essential topics including:

- Introduction to Trading Regulations for Bursa Malaysia
- Overview of Nasdaq Alerts
- Demo of the Nasdaq Surveillance System
- What is the focus of the MY regulators – Enforcement News
- Case study: Retail Brokers and DMA/HFT
- How to set up on Bursa Malaysia market
- Pricing for Nasdaq Trade Surveillance

While the ASCM is committed to facilitating informative events for our members, it is important to note that the association neither endorses nor recommends any specific trade surveillance system. The ASCM aims to offer educational opportunities to its members while also keeping them informed about available products and services so that members can make informed decisions that best suit your organization.

To ensure your participation, kindly register for the event using the following QR Code or the given registration link **by September 5th, 2023**. Please note that each broker may nominate three participants for this workshop.

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## QR CODE



Scan to Register

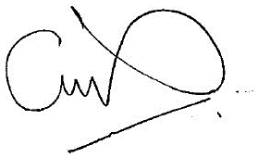
## Or Workshop Registration Link

<https://nd.nasdaq.com/Nasdaq-ASCM-Event.html>

Should you have any questions or require further assistance, please feel free to reach out to Francesca Chan at [francesca.chan@nasdaq.com](mailto:francesca.chan@nasdaq.com) or Secretariat at [secretariat@ascm.org.my](mailto:secretariat@ascm.org.my).

We encourage your operational, compliance/legal and surveillance teams to take full advantage of this educational opportunity and look forward to your active participation.

Sincerely,

A handwritten signature in black ink, appearing to read 'Lim Boon Hang'.

**Lim Boon Hang**  
Executive Director