

REGULATORY OUTREACH PROGRAMMES CALENDAR 2019 FOR BROKERS

| NO | FOCUS AREA | PROGRAM | TARGET AUDIENCE | NUMBER OF SESSIONS OFFERED | DATE | TIME | VENUE | SPEAKER | REGISTRATION – CONTACT PERSON |
|-----------|-----------------------|--|---|-----------------------------------|---|-------------|--|---|---|
| 1 | INTERMEDIARIES | Series of joint programmes with professional bodies or industry subject matter experts on Cyber Security | <ul style="list-style-type: none"> • Directors • Head of Operations • Head of IT • Head of Compliance | 2 | 6 & 7 August 2019 | 9am – 5pm | Grand Hyatt, Kuala Lumpur | <ul style="list-style-type: none"> • Thio Tse Gan, • Dr. Paul Sin • Megat Mohd Faisal • Ho Siew Kei | Deloitte Risk Advisory / Leong Huoc Yan Tel:03-7610888 |
| 2 | | Education programme for representatives of POs and TPs - Creating on Ethical Framework for the Capital Market Services Industry | <ul style="list-style-type: none"> • Head of Dealing • Dealers' Representatives • Futures Broker Representatives | 10 | <ul style="list-style-type: none"> • 16 Mar 2019 (KL) • 6 Apr 2019 (PG) • 20 Apr 2019 (IPOH) • 27 Apr 2019 (KCH) • 13 Jul 2019 (MLK) • 20 Jul 2019 (JB) • 27 Jul 2019 (KL) • 3 Aug 2019 (PG) • 24 Aug 2019 (KK) • 21 Sept 2019 (KL) | 9am – 5pm | <ul style="list-style-type: none"> Kuala Lumpur / JW Marriot Hotel Penang / The Wembley Hotel Ipoh / The Weil Hotel Kuching / Hilton Hotel Melaka / Novotel Hotel Johor Bahru / Renaissance Hotel Kuala Lumpur / JW Marriot Hotel Penang / The Wembley Hotel Kota Kinabalu / Le Meridien Hotel Kuala Lumpur / JW Marriot Hotel | <ul style="list-style-type: none"> • Dr Ch'ng Huck Khoon • Mr. Pankaj Kumar a/l Bipinchandra • Mr. Clement Almaide a/l A M Francis | CHK Consultancy / Dr Ch'ng Huck Khoon E-mail: cpeseminar@chkconsultancy.com.my Tel: 017-4187988 |

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| 3 | | Collaboration with MIBA Seminar on "Anti-Money Laundering Compliance in the Capital Market" | <ul style="list-style-type: none"> • Directors • Head of Operations • Head of IT • Head of Compliance • Head of Dealing • Management Staff • Dealer's Representatives • Futures Brokers' Representatives | 1 | <ul style="list-style-type: none"> • 8 Oct 2019 (KL) | 9am – 5 pm | JW Marriot Hotel | <ol style="list-style-type: none"> 1. Ms Radish Singh 2. Mr BC Tan 3. Mr Lee Min On | Malaysian Investment Banking Association (Please fax to 03-2711 3998 or email to education@miba.com.my) |
| 4 | | Collaboration with MIBA Seminar on "Advancing the Stockbroking Industry through Digitisation" | <ul style="list-style-type: none"> • Directors • Head of Operations • Head of IT • Head of Compliance • Head of Dealing • Management Staff • Dealer's Representatives • Futures Brokers' Representatives | 1 | <ul style="list-style-type: none"> • 29 Oct 2019 (KL) | 9am – 5 pm | Hilton Hotel | <ol style="list-style-type: none"> 1. Mr Ridzuan Aziz 2. Ms Tancy Tan 3. Mr David Quah | Malaysian Investment Banking Association (Please fax to 03-2711 3998 or email to education@miba.com.my) |
| 5 | | Collaboration with ASCM - Seminar on "Differentiating Real vs. Fake Trading Activities through Technical Charting" | <ul style="list-style-type: none"> • Head of Operations • Internal Audit • Head of Compliance • Head of Dealing • Management Staff • Dealer's Representatives • Futures Brokers' Representatives | 4 | <ul style="list-style-type: none"> • 20 Apr 2019 (KL) • 10 Aug 2019 (PG) • 7 Sep 2019 (KL) • 5 Oct 2019 (JB) | <ul style="list-style-type: none"> 9am – 5pm 9am – 5pm 9am – 5pm 9am – 5pm | <ul style="list-style-type: none"> Sime Darby Convention, KL Grand Paragon, JB Jen Hotel, Penang Sime Darby Convention, KL | <ol style="list-style-type: none"> 1. Ooi Kok Hwa – MRR Consulting | Association of Stockbroking Companies Malaysia (ASCM) e-mail: secretariat@ascm.org.my Tel: 03-77327768 & 03-77327769 |