

To : All Dealer's Representatives  
From : The Management  
Date : 28 May 2021  
Subject : Revised Guidelines on Market Conduct and Business Practices for  
Stockbroking Companies and Licensed Representatives

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Please take note that Securities Commission Malaysia (SC) has issued the revised ***Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives*** ("**Guidelines**") which took effect immediately on 20 May 2021.

Among the significant changes in the revised Guidelines include:

- a) Prohibition against accessing or using a customer's online trading account, i.e. Outright prohibition against accessing any customer's online trading account, irrespective of whether the customer authorizes it or not.
- b) Enhancement to the governance of the compliance function.
- c) Enhancement to data governance.

The Guidelines and summary of the amendments have been posted in the TCPRO for your attention.

Please be guided accordingly.

Thank you.

