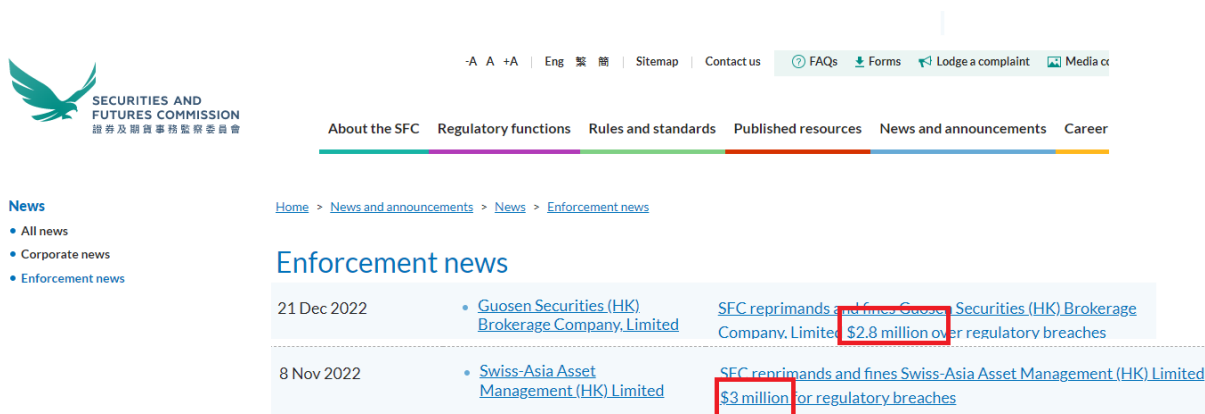


Non Compliance can be very costly!

Check out our Web Portal Trade Surveillance Module

WPTS Today

Ongoing market misconduct enforcement actions have been carried out by SFC and the fines can be massive:



The screenshot shows the SFC website's 'Enforcement news' section. It lists two recent enforcement actions:

Date	Company	Details
21 Dec 2022	Guosen Securities (HK) Brokerage Company Limited	SFC reprimands and fines Guosen Securities (HK) Brokerage Company Limited \$2.8 million over regulatory breaches
8 Nov 2022	Swiss-Asia Asset Management (HK) Limited	SFC reprimands and fines Swiss-Asia Asset Management (HK) Limited \$3 million for regulatory breaches

eBroker's Web Portal Trade Surveillance Module (WPTS) is a post trade surveillance module designed to help you screen out potential misconduct trade activities.

WPTS lets your compliance team users define their own breach parameters and system will automatically screen out corresponding suspicious misconduct trade activities when preset rules are breached.

● Highlights of eBroker's Web Portal Trade Surveillance Module WPTS :

- ✧ Supports Post Trade controls, **Screening and Analysis**
- ✧ Preset parameters can be defined by users for each control
- ✧ Seamless integration with eBroker's OMS
- ✧ Flexibility to integrate with other OMS
- ✧ Web interface, no installation needed for user interface



Our WPTS red flags suspicious trades, the basic module includes the followings:

Red Flag---Pump & Dump

1. Possible Misconduct Activities with Unusual Price Movement

Screens out Suspicious Pump & Dump Activities:

Misconduct Price Movement

Single board lot OR non-single board lot with order amount <= % of BOD position value

Interval = min Order Frequency >=

Encounter Frequency >= Report Date:

Client Code: Runner Code:

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Account Code: 100001 Symbol: 00005 Occurrence: 3

Order No.	Account Code	Account Name	User	Symbol	Side	Status	Type	Order Price	Order Quantity	Exec Qty	Exec Price	Exchange	Ex Time	Source	Create Time	Runner	Last Modify Time
200214000002	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	400	63.85	SEHK	11:33:58	AE	11:33:57	EB001	11:34:02
200214000003	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:11	EB001	11:34:16
200214000004	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:13	EB001	11:34:18
200214000005	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:14	EB001	11:34:19
200214000006	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:15	EB001	11:34:20
200214000007	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:20	EB001	11:34:25
200214000008	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:22	EB001	11:34:27
200214000009	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:23	EB001	11:34:27
200214000010	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:23	EB001	11:34:28
200214000011	100001	Acc: 100001	60002	00005	Buy	Queue	Limit	63.85	400	--	--	SEHK	--	AE	11:34:23	EB001	11:34:28
200214000012	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:34:21	EB001	11:34:29
200214000013	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:17	EB001	11:41:49
200214000014	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:17	EB001	11:41:49
200214000015	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:18	EB001	11:41:49
200214000016	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:18	EB001	11:41:49
200214000017	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:19	EB001	11:41:49

2. Possible Misconduct Activities with Frequent Order Cancellations

Screens out Suspicious Scaffolding Activities:

Misconduct Order Cancellation

Cancelled Exchange Order for the Same Stock under Same Account Code

Interval = min Cancel Frequency >=

Encounter Frequency >= Report Date:

Client Code: Runner Code:

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Account Code: 100001 Symbol: 00005 Occurrence: 2

Account Code: 100002 Symbol: 00005 Occurrence: 2

Order No.	Account Code	Account Name	User	Symbol	Side	Status	Type	Order Price	Order Quantity	Exec Qty	Exec Price	Exchange	Ex Time	Source	Create Time	Runner	Last Modify Time
200214000013	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:17	EB001	11:41:49
200214000014	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:17	EB001	11:41:49
200214000015	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:18	EB001	11:41:49
200214000016	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:18	EB001	11:41:49
200214000017	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:19	EB001	11:41:49
200214000018	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.85	400	--	--	SEHK	--	AE	11:40:19	EB001	11:41:49
200214000019	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	11:40:26	EB001	11:41:49
200214000020	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	11:40:26	EB001	11:41:49
200214000021	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	11:40:27	EB001	11:41:49
200214000022	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:19	EB001	12:04:04
200214000023	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:27	EB001	12:04:04
200214000024	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:29	EB001	12:04:04
200214000025	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:29	EB001	12:04:04
200214000026	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:30	EB001	12:04:04
200214000027	100001	Acc: 100001	60002	00005	Buy	Comp	Limit	63.80	400	--	--	SEHK	--	AE	12:03:31	EB001	12:04:04

We will be building more rules into our WPTS, stay tuned and ask your Account Manager for more information.

For more information, please send email to marketing@ebrokersystems.com
<http://www.ebrokersystems.com>

