

ANNEXURE 2
AMENDED DIRECTIVE
In relation to the revision of the uptick rule and
SBL-NT failed trade proposal

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS	No. 2.01(2)-004
---	------------------------

Relevant to : Rule 2.01(2)(k)
Introduced with effect from : 2 May 2013
Amended : N/A
POs' Circular No(s). : R/R 10 of 2011
Refer also to Directive No(s). : N/A

1. Rule 2.01(2)(k)

- (1) Rule 2.01(2)(k) empowers the Exchange to require the Participating Organisations or Registered Persons to provide reports, information, Documents, Books and Records to the Exchange in relation to any matter under these Rules or Directives.
- (2) Pursuant to the above Rule, the Exchange requires the Participating Organisations to submit periodic reports to the Exchange, the details of which are set out below.

1.1 Reporting Requirements

- (1) The Participating Organisation must submit the periodic reports prescribed in the Schedule of this Directive ("Schedule") to the Exchange:
 - (a) in the format prescribed in the appendices to the Schedule ("Templates");
 - (b) via the Exchange's File Information Exchange System ("FIX System"); and
 - (c) not later than the times and days stipulated in the Schedule.
- (2) A Participating Organisation and the relevant Heads must ensure that all periodic reports transmitted via the FIX System ("Periodic Reports"), are reviewed by the relevant authorised officer and the reports are factual, accurate, comprehensive and not misleading. In this respect, the respective Heads will be held accountable for the Periodic Reports submitted notwithstanding that the Reports may be submitted by a person other than the Heads.
- (3) If a Participating Organisation is, for any reason whatsoever, unable to transmit by the stipulated times all or any of the Periodic Reports via the FIX System, the Participating Organisation must submit the duly completed and printed hard copy of such Periodic Report by way of facsimile, courier or by hand no later than the times and days set out in the Schedule for the duration of its inability to transmit electronically via the FIX System.
- (4) If having submitted the Periodic Reports via the FIX System a Participating Organisation amends any of the Periodic Reports for any reason whatsoever, the Participating Organisation must re-submit the duly amended Periodic Report by way of facsimile not later than the times and days set out in the Schedule, and deliver the hard copy of the amended Periodic Report by courier or by hand as soon as possible.

ANNEXURE 2
AMENDED DIRECTIVE
In relation to the revision of the uptick rule and
SBL-NT failed trade proposal

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS	No. 2.01(2)-004
---	------------------------

- (5) The Exchange may at any time prescribe any other periodic reports to be submitted via the FIX System or vary the times, frequency and manner for submission of any Periodic Report prescribed in the Schedule.
- (6) The Participating Organisation must comply with the operational procedures and guidelines on the use of the FIX System as may be prescribed from time to time.

[End of Directive]

ANNEXURE 2
AMENDED DIRECTIVE
In relation to the revision of the uptick rule and
SBL-NT failed trade proposal

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS	No. 2.01(2)-004
---	------------------------

Schedule

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports pursuant to paragraphs 1.1(3) and 1.1(4) of the Directive
1.	Market Positions of Participating Organisations	Appendix 1a	Weekly (WK.xls)	Weekly report By 5.30 p.m., of the first Market Day of the week following the date of the report	Weekly report By 8.30 p.m., of the first Market Day of the week following the date of the report
2.	Margin Account Positions of Participating Organisations	Appendix 1b			
3.	Clients' Trust Monies, Commissioned Dealer's Representatives' / Salaried Dealer's Representatives' Deposits and Overpledging of Shares	Appendix 1c			
4.	Investment, Proprietary Day Trader (PDT) & Error or Mistake Accounts of Participating Organisations	Appendix 1d			
5.	Securities Borrowing & Lending – List of Clients with collateral below 102%	Appendix 1e			
6.	Securities Borrowing & Lending for potential failed trades [Deleted]	Appendix 1f [Deleted]			
7.	Additional Explanatory Notes (for report item no. 1 to 65)	Appendix 4g 1f			
8.	Gearing Ratio, Margin Financing and Shareholders' Funds	Appendix 2a	Monthly (MTH.xls)	By 5.30 p.m., not later than 10 Market Days from the last day	By 8.30 p.m., not later than 10 Market Days from the last day of the reporting month

**ANNEXURE 2
AMENDED DIRECTIVE
In relation to the revision of the uptick rule and
SBL-NT failed trade proposal**

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS	No. 2.01(2)-004
---	------------------------

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports pursuant to paragraphs 1.1(3) and 1.1(4) of the Directive
9.	Maintenance of Margin Accounts – Equity Value <130% of the Outstanding Balance	Appendix 2b		of the reporting month	
10.	Interest In Suspense and Provision for Bad & Doubtful Debts	Appendix 2c			
11.	Additional Explanatory Notes (<i>for report item no. 8 to 10</i>)	Appendix 2d			
12.	Profit & Loss Statement Of Participating Organisations	Appendix 3a	Quarterly (QTR.xls)	<u>Quarterly report</u> By 5.30 p.m., before the end of the second month following the reporting quarter	<u>Quarterly report</u> By 8.30 p.m., before the end of the second month following the reporting quarter
13.	Additional Explanatory Notes (<i>for report item no. 12</i>)	Appendix 3b			
14.	Failure to Deliver (Buying-in without notice)	Appendix 4	As and when there is a buying-in without notice (Bia.xls)	By 12.30 p.m. on the buying-in day (T+3)	By 3.30 p.m. on the buying-in day (T+3)
15.	Failure to Deliver (Manual Buying-in)	Appendix 5	As and when there is a manual buying-in (Bim.xls)	By 5.30 p.m. on the buying-in day	By 8.30 p.m. on the buying-in day
<u>16.</u>	<u>Securities Borrowing & Lending for potential failed trades</u>	<u>Appendix 6</u>	<u>As and when SBL is utilised for potential failed trades</u>	<u>By 5.30 p.m. on the next Market Day</u>	<u>By 5.30 p.m. on the next Market Day</u>

ANNEXURE 2
AMENDED DIRECTIVE
In relation to the revision of the uptick rule and
SBL-NT failed trade proposal

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS	No. 2.01(2)-004
---	------------------------

[End of Schedule]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
MARKET POSITIONS OF PARTICIPATING ORGANISATIONS
(Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>

Position As At : month/date/year
(last market day of the week)i) **Clients' accounts (excluding Discretionary Financing & Margin Accounts)**

Transaction	Days Outstanding			Total at cost RM	Total at marked to market value RM
	T to T+3 RM	T+4 to T+8 RM	T+9 and beyond RM		
Outstanding Purchases	0.00	0.00	0.00	0.00	0.00
Contra Losses	0.00	0.00	0.00	0.00	Not applicable
Outstanding Sales	0.00	0.00	0.00	0.00	Not applicable
Contra Gains	0.00	0.00	0.00	0.00	Not applicable
Net Balance	0.00	0.00	0.00	0.00	Not applicable

For the purpose of reporting, the above should include "Clearing Accounts" and "Short-Selling Position" for clients.

ii) **Clients' accounts classified under Discretionary Financing (excluding Margin Accounts)**

Transaction	Days Outstanding				Total at cost RM	Total at marked to market value RM
	T to T+3 RM	T+4 to T+7 RM	T+8 to T+12 RM	T+13 and beyond RM		
Outstanding Purchases	0.00	0.00	0.00	0.00	0.00	0.00
Contra Losses	0.00	0.00	0.00	0.00	0.00	Not applicable
Outstanding Sales	0.00	0.00	0.00	0.00	0.00	Not applicable
Contra Gains	0.00	0.00	0.00	0.00	0.00	Not applicable
Net Balance	0.00	0.00	0.00	0.00	0.00	Not applicable

iii) **Margin Accounts, Clearing Accounts And Short-Selling Positions**

Transaction	Days Outstanding				Total at cost RM
	T RM	T+1 RM	T+2 RM	T+3 and beyond RM	
Outstanding Purchases In Clearing Accounts	0.00	0.00	0.00	0.00	0.00
Outstanding Sales In Clearing Accounts	0.00	0.00	0.00	0.00	0.00
Outstanding Net Short-Selling Position	0.00	0.00	0.00	0.00	0.00
Outstanding Purchases In Margin Accounts	0.00	Not applicable	Not applicable	Not applicable	Not applicable
Outstanding Sales In Margin Accounts	0.00	Not applicable	Not applicable	Not applicable	Not applicable

[End of Appendix 1a]

Appendix 1b

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
MARGIN ACCOUNT POSITIONS OF PARTICIPATING ORGANISATIONS
(Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>

Position As At : month/date/year
(last market day of the week)

Percentage of Equity Value Over Outstanding Balance	No. of Accounts	Approved Limit RM	Outstanding Balance RM	Value of Equity RM
<130%	0	0.00	0.00	0.00
130%-150%	0	0.00	0.00	0.00
>150%	0	0.00	0.00	0.00
TOTAL	0	0.00	0.00	0.00

[End of Appendix 1b]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
 CLIENTS' TRUST MONIES, COMMISSIONED DEALER'S REPRESENTATIVES'/SALARIED DEALER'S REPRESENTATIVES'
 DEPOSITS AND OVERPLEDGING OF SHARES
 (Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position As At : month/date/year
 (last market day of the week)

1. CLIENTS' TRUST ACCOUNT	No. of Clients	Total amount	Remarks
Clients' monies not banked into trust account		RM	
		0	
2. COMMISSIONED DEALER'S REPRESENTATIVES' / SALARIED DEALER'S REPRESENTATIVES' NET DEPOSITS	No. of Commissioned dealer's representatives / Salaried dealer's representatives	Total amount	Remarks
Amount or commissioned dealer's representatives / salaried dealer's representatives' net deposits (note 1) not deposited into trust account (to compute on the basis of each commissioned dealer's representatives /dealer's representative) (note 1 :- cash deposits less contra losses and other relevant charges)		RM	
		0	
3. OVERPLEDGING OF SHARES	No. of Clients	Total amount	Remarks
Amount of margin clients' securities (at market value) mortgaged, pledged or hypothecated by Participating Organisation to Participating Organisation's financiers in excess of the corresponding client's outstanding balance in the client's margin account (to compute on the basis of client by client)		RM	
		0	

[End of Appendix 1c]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
INVESTMENT, PDT AND ERROR OR MISTAKE ACCOUNTS OF PARTICIPATING ORGANISATIONS
(Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position As At : month/date/year
(last market day of the week)

Company's Investment In Quoted Shares (Shares Listed on Bursa Malaysia and Recognised Stock Exchanges)

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

Trades of PDTs

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

Company's Other Investments (eg. Money market instruments, Unit Trust & Private Debt Securities)

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

Company's Error or Mistake Account

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Addition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

[End of Appendix 1d]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
SECURITIES BORROWING & LENDING - (CLA and SBLNT where the PO is the Approved Borrower)
(LIST OF CLIENTS WITH COLLATERAL BELOW 102%)
(Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position as at : month/date/year
(last market day of the week)

No	Name of Client	Value of borrowing	Value of collateral (after haircut)	Ratio	Actions Taken
1				#DIV/0!	
2				#DIV/0!	
3				#DIV/0!	
4				#DIV/0!	
5				#DIV/0!	
6				#DIV/0!	
7				#DIV/0!	
8				#DIV/0!	
9				#DIV/0!	
10				#DIV/0!	

[End of Appendix 1e]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
SECURITIES BORROWING & LENDING FOR POTENTIAL FAILED TRADES
(Weekly Submission)**

Participating Organisation : _____ <<insert name of Participating Organisation>>

For the reporting week ending on : _____ month/date/year

Date of Borrowing	Contract Date	Counter / (Stock Code)	Quantity	Contract Price	Name of Client / (CDS A/C No)	Dealer's Representative's Name	Remarks
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-

[End of Appendix 1f]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD
(Weekly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
For the reporting week ending : month/date/year

Additional Explanatory Notes (if any)

	ISSUES	ADDITIONAL EXPLANATORY NOTES
1	Clients' accounts (excluding discretionary financing & margin accounts)	
2	Clients' accounts classified under discretionary financing	
3	Margin Accounts, Clearing Accounts And Short-Selling Positions	
4	Margin Account Positions	
5	Clients' Trust Monies	
6	Commissioned Dealer's Representatives'/ Salaried Dealer's Representatives' Net Deposits	
7	Overpledging Of Shares	
8	Company's Investment, PDT and Error Or Mistake Accounts	
9	Securities Borrowing & Lending - List of clients with collateral below 102%	
10	Securities Borrowing & Lending for potential failed trades	
11	Others	

[End of Appendix 1gf]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
GEARING RATIO, MARGIN FINANCING
AND SHAREHOLDERS' FUNDS
(Monthly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position as at : month/date/year
(as at last reporting date of the month)

1. GEARING RATIO

Utilised Level	Effective Shareholders' Funds	Gearing Ratio
(a) RM	(b) RM	(c=a/b) times
0.00	0.00	#DIV/0!

2. MARGIN FINANCING - Limit Of Outstanding Balance

Total Outstanding Balance	Effective Shareholders' Funds	Total Outstanding Balance / Effective Shareholders' Funds
(a) RM	(b) RM	c=(a/b)x100% %
0.00	0.00	#DIV/0!

3 SHAREHOLDERS' FUNDS - Investment Banks Only

Shareholders' Funds (note 1)
RM
0.00 (note 2)

Note 1 - Reference extracted from Investment Bank Guidelines

5.0 Minimum capital requirement as stipulated in the IB Guidelines

5.1 Pursuant to Section 14 of BAFIA, investment banks that are part of banking groups will be required to comply with the minimum capital funds unimpaired by losses requirement of RM2 billion on a banking group basis, while investment banks that are not part of banking groups will be required to comply with a minimum capital funds requirement of RM500 million.

Note 2 - The requirement is to report the shareholders' funds for the previous month. For example for monthly submission for the month of November 2011, the information of the shareholders' funds should be as at 31 October 2011.

[End of Appendix 2a]

Appendix 2b

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
MAINTENANCE OF MARGIN ACCOUNTS OF PARTICIPATING ORGANISATIONS
(Monthly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position As At : month/date/year
(last market day of the month)

List of Margin Accounts with Equity Value < 130% of Outstanding Balance

No	Name of Clients	Approved Limit RM	Outstanding Balance RM	Value of Equity RM	Percentage (%) of Equity Value over Outstanding Balance
1		0.00	0.00	0.00	#DIV/0!
2		0.00	0.00	0.00	#DIV/0!
3		0.00	0.00	0.00	#DIV/0!
4		0.00	0.00	0.00	#DIV/0!
5		0.00	0.00	0.00	#DIV/0!
6		0.00	0.00	0.00	#DIV/0!
7		0.00	0.00	0.00	#DIV/0!
8		0.00	0.00	0.00	#DIV/0!
9		0.00	0.00	0.00	#DIV/0!
10		0.00	0.00	0.00	#DIV/0!
11		0.00	0.00	0.00	#DIV/0!
12		0.00	0.00	0.00	#DIV/0!
13		0.00	0.00	0.00	#DIV/0!
14		0.00	0.00	0.00	#DIV/0!
15		0.00	0.00	0.00	#DIV/0!
16		0.00	0.00	0.00	#DIV/0!
17		0.00	0.00	0.00	#DIV/0!
18		0.00	0.00	0.00	#DIV/0!
19		0.00	0.00	0.00	#DIV/0!
20		0.00	0.00	0.00	#DIV/0!
21		0.00	0.00	0.00	#DIV/0!
22		0.00	0.00	0.00	#DIV/0!
	Total	0.00	0.00	0.00	#DIV/0!

[End of Appendix 2b]

Appendix 2c

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
INTEREST-IN-SUSPENSE AND PROVISION FOR BAD & DOUBTFUL DEBTS
(Monthly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position as at : month/date/year
(As at last reporting date of the month)

INTEREST-IN-SUSPENSE	Opening balance	Addition	Reversal	Written-off	Closing balance
ITEM	(RM)	(RM)	(RM)	(RM)	(RM)
Contra Losses	0.00	0.00	0.00	0.00	0.00
Overdue Purchase Contracts	0.00	0.00	0.00	0.00	0.00
Margin Accounts	0.00	0.00	0.00	0.00	0.00
Others <i>(if any)</i>	0.00	0.00	0.00	0.00	0.00
TOTAL	0.00	0.00	0.00	0.00	0.00

IMPAIRMENT PROVISION	Opening balance	Addition	Reversal	Written-off	Closing balance
ITEM	(RM)	(RM)	(RM)	(RM)	(RM)
Contra Losses	0.00	0.00	0.00	0.00	0.00
Overdue Purchase Contracts	0.00	0.00	0.00	0.00	0.00
Margin Accounts	0.00	0.00	0.00	0.00	0.00
Others <i>(if any for e.g. collective impairment etc)</i>	0.00	0.00	0.00	0.00	0.00
TOTAL	0.00	0.00	0.00	0.00	0.00

[End of Appendix 2c]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD
(Monthly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
Position As At : month/date/year
(As at last reporting date of the month)

Additional Explanatory Notes (if any)

	ISSUES	ADDITIONAL EXPLANATORY NOTES
1	Gearing Ratio	
2	Margin Financing - Limit of Outstanding Balance	
3	Shareholders' Funds - Investment Banks Only	
4	Margin Accounts with Equity Value <130% of Outstanding Balance	
5	Interest in Suspense / Provision	
6	Others	

[End of Appendix 2d]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS
(Quarterly Submission)**

Participating Organisation: <<insert name of Participating Organisation>>
For the quarter ending on: month/date/year

Item	Retail A RM	Institutional B RM	Inter-broker C RM	Other s D RM	Total E = A + B + C+ D RM
VALUE OF TRADES DONE					
1. Online routed trades	0.00	0.00	0.00	0.00	0.00
2. Other trades	0.00	0.00	0.00	0.00	0.00
3. Trades in Recognised Stock Exchanges	0.00	0.00	0.00	0.00	0.00
TOTAL VALUE OF SECURITIES TRADES DONE (1+2+3)	0.00	0.00	0.00	0.00	0.00
NUMBER OF DERIVATIVES CONTRACTS					
4. Online routed trades	0.00	0.00	0.00	0.00	0.00
5. Other trades	0.00	0.00	0.00	0.00	0.00
6. Trades in Specified Exchanges	0.00	0.00	0.00	0.00	0.00
TOTAL NO. OF DERIVATIVES CONTRACTS DONE (4+5+6)	0.00	0.00	0.00	0.00	0.00
REVENUE					
Gross brokerage for equities	0.00	0.00	0.00	0.00	0.00
Less : Commission/incentives/salary/bonus to dealer's representatives	0.00	0.00	0.00	0.00	0.00
Net brokerage for equities	0.00	0.00	0.00	0.00	0.00
Gross brokerage for derivatives	0.00	0.00	0.00	0.00	0.00
Less : Commission/incentives/salary/bonus to futures broker's representatives	0.00	0.00	0.00	0.00	0.00

DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS

No. 2.01(2)-004

Net brokerage for derivatives	0.00	0.00	0.00	0.00	0.00
Total Net Brokerage					
Bank interest					0.00
Margin interest and rollover fees					0.00
Advisory fees					0.00
Management fees income					0.00
Underwriting fees					0.00
Interest on amount due from holding / related company					0.00
Proprietary gain and write back provision of diminution in value of investment					0.00
Gains from Proprietary Day Traders					0.00
Bad debts recovered					0.00
Provision for bad & doubtful debts written back					0.00
Others (to specify if more than 5% of total revenue) - please provide in the attached worksheet in Page 2					0.00
TOTAL REVENUE					0.00
EXPENSES					
Staff cost					0.00
Financing cost					0.00
Management fees expenses					0.00
Professional / legal fees					0.00
Rental paid					0.00
Computer and office maintenance					0.00
Bad debts written off					0.00
Impairment for bad & doubtful debts					0.00
Loss from Proprietary Day Traders					0.00
Proprietary loss and provision for diminution in value of investment					0.00
Depreciation and amortisation of goodwill					0.00
Others (to specify if more than 5% of total expenses) - please provide in the attached worksheet in Page 2					0.00
TOTAL EXPENSES					0.00
PROFIT / (LOSS) BEFORE TAX					0.00

[End of Appendix 3a]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS
(Quarterly Submission)**

Participating Organisation : <<insert name of Participating Organisation>>
For the quarter ending on : month/date/year

Additional Explanatory Notes - Other Revenue & Expenses

	Name of Other Revenue (if more than 5% of total revenue)	RM	
1			0.00
2			0.00
3			0.00
4			0.00
5			0.00
6			0.00
7			0.00
8			0.00
9			0.00
10			0.00
11			0.00
12			0.00
	Total		0.00

	Name of Other Expenses (if more than 5% of total expenses)	RM	
1			0.00
2			0.00
3			0.00
4			0.00
5			0.00
6			0.00
7			0.00
8			0.00
9			0.00
10			0.00
11			0.00
12			0.00
	Total		0.00

[End of Appendix 3b]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
FAILURE TO DELIVER (BUYING-IN WITHOUT NOTICE)**

Participating Organisation : <<insert name of Participating Organisation>>
Reporting date : month/date/year

CONTRACT DATE	BUYING-IN DATE	COUNTER	NAME OF DEFAULTING CLIENT	CDS A/C NO.	DEALER'S REPRESENTATIVE'S NAME	TOTAL NO. THAT FAILED TO DELIVER	CONTRACT PRICE	REASONS FOR FAILING TO DELIVER

[End of Appendix 4]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
FAILURE TO DELIVER (MANUAL BUYING-IN)**

Participating Organisation : <<insert name of Participating Organisation>>
Reporting date : month/date/year

CONTRACT DATE	BUYING-IN DATE	COUNTER	NAME OF DEFAULTING CLIENT	CDS A/C NO.	DEALER'S REPRESENTATIVE'S NAME	TOTAL NO. THAT FAILED TO DELIVER	CONTRACT PRICE	REASONS FOR FAILING TO DELIVER

[End of Appendix 5]

Appendix 6

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON
SECURITIES BORROWING & LENDING FOR POTENTIAL FAILED TRADES**

Participating Organisation : <<insert name of Participating Organisation>>
For the reporting day ending on : month/date/year

<u>Date of Borrowing</u>	<u>Contract Date</u>	<u>Counter / (Stock Code)</u>	<u>Quantity</u>	<u>Contract Price</u>	<u>Name of Client / (CDS A/C No)</u>	<u>Dealer's Representative's Name</u>	<u>Remarks</u>
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-

[End of Appendix 6]