

PARTICIPATING ORGANISATIONS' CIRCULAR
Date: 29 October 2021
No : R/R 6 of 2021
AMENDMENTS TO THE FOLLOWING DIRECTIVES OF BURSA MALAYSIA SECURITIES BERHAD:

- (I) DIRECTIVE ON COMPLIANCE FUNCTION (“DIRECTIVE NO. 3.36-001”);
- (II) DIRECTIVE ON COMPLIANCE REPORT (“DIRECTIVE NO. 3.36-002”);
- (III) DIRECTIVE ON COMPLIANCE FUNCTION FOR DEALING IN DERIVATIVES (“DIRECTIVE NO. 6.07(1)-001”); AND
- (IV) DIRECTIVE ON THE RESPONSIBILITY OF THE PARTICIPATING ORGANISATION AND BOARD OF DIRECTORS FOR COMPLIANCE FUNCTION (“DIRECTIVE 6.08-001”), (COLLECTIVELY, “BMS DIRECTIVES”).

1.0 AMENDMENTS TO THE BMS DIRECTIVES

1.1 Bursa Malaysia Securities Berhad (the “**Exchange**”) has amended Directives No. 3.36-001 and 3.36-002 with the aim to achieve, amongst others, the following objectives:

- (a) to re-organise and enhance the current compliance guidelines to streamline with the current rules, directives and market practices;
- (b) to synchronise the compliance guidelines and compliance reports between Participating Organisations, Trading Participants and Clearing Participants, where appropriate; and
- (c) to enhance the reporting of critical areas in the compliance reports.

1.2 Additionally, consequential amendments were made to Directive No. 6.07(1)-001 and Directive No. 6.08-001 to align them with the amended Directive No. 3.36-001 and Directive No. 3.36-002.

1.3 The detailed amendments to the BMS Directives are as set out in **Annexures 1, 2, 3 and 4** respectively.

2.0 EFFECTIVE DATE

2.1 The amendments to the BMS Directives take effect on **30 November 2021**.

3.0 CONTACT PERSONS

In the event of any queries in relation to the above matter, kindly contact us at the following:

Name	Contact
Participants Supervision (Compliance)	isd3@bursamalaysia.com
Regulatory Policy & Advisory (Rules and Directives)	rpa@bursamalaysia.com

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Regulation