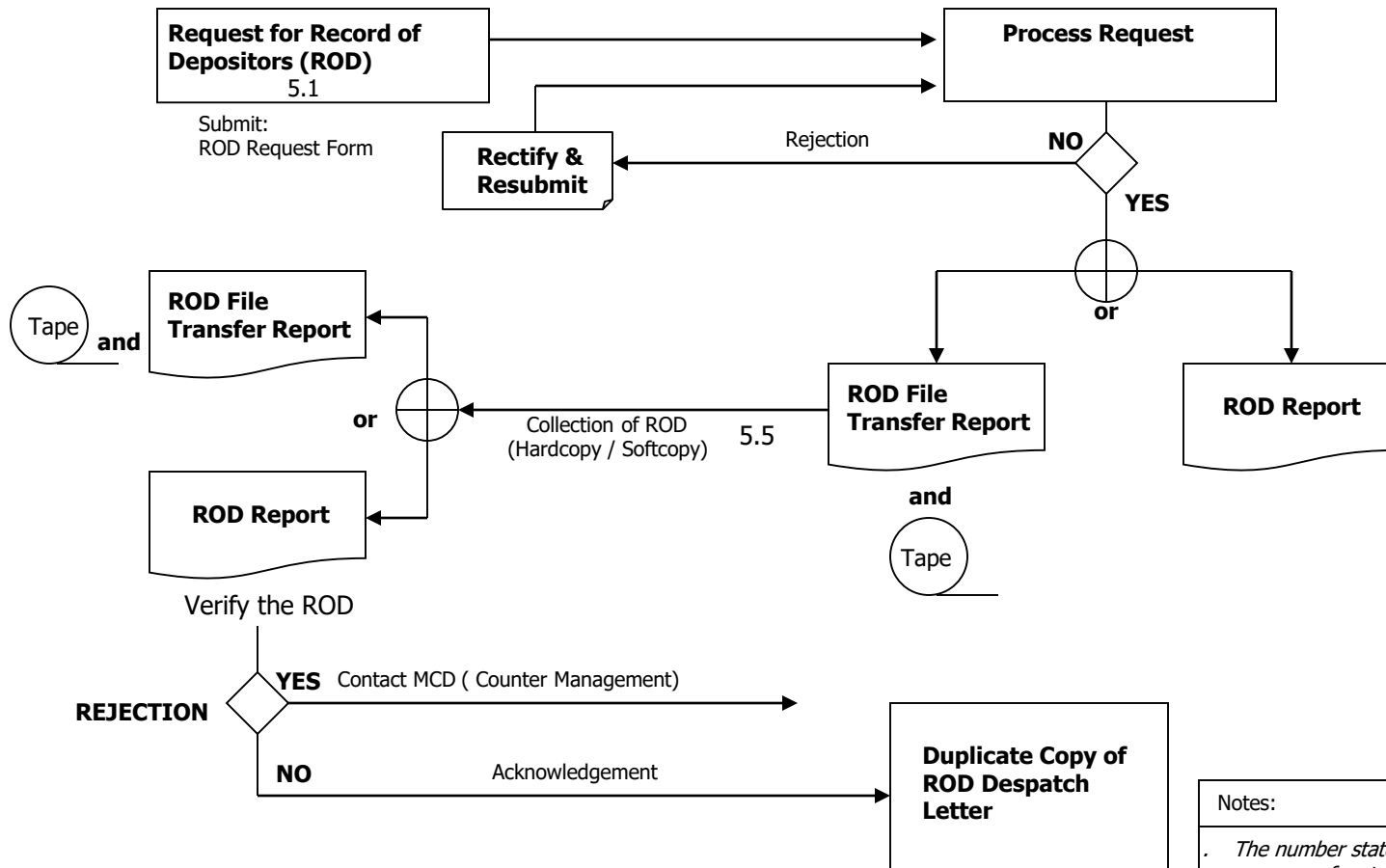


ROD PROCESS WORKFLOW

SHARE REGISTRAR

MCD

Request for ROD



Notes:
The number stated by each process refers to the section where the topic can be found in the procedures manual.

This chapter describes the tasks involved in requesting for the Record Of Depositors (ROD), in order to ascertain the shareholders of a company as of a particular lodgement date. The ROD contains a list of shareholders' names, addresses, CDS account numbers, NRIC/Company Registration numbers and their shareholdings.

5.1 Types Of Non-Corporate Exercise ROD

- a. **General ROD**
This ROD is only generated upon confirmation from the share registrar on any deposit done as at a particular lodgement date. Failure to confirm the deposit by the share registrar will delay in the production of the ROD.
- b. **Backdated ROD**
This ROD captured the depositor's shareholdings as at a post dated lodgement date. The date of the Backdated ROD must be within the record retention period maintained by Bursa Depository.
- c. **Express ROD**
This ROD excludes any deposit, which have not been confirmed by the share registrar.
- d. **Foreign ROD**
This ROD is similar to General ROD except that only foreign shareholdings are extracted. The ROD can be used for statistical information on foreign ownership.
- e. **Mailing Labels (Appendix 6)**
The mailing labels contain information such as names of depositors and their correspondence addresses as at a particular lodgement date. The **Mailing Label ROD Summary Report** (Appendix 7) or (Appendix 7A)(for mailing label with Depositor's email address file) is forwarded to the share registrar together with the mailing labels.

A file "Depositor's Email Address File" with email addresses of shareholders who have provided their email addresses in their CDS accounts, will be provided to facilitate issuer who wish to send notifications via email to their shareholders. The Depositor's Email Address File together with **Depositor's Email Address ROD Summary Report** (Appendix 44) can be downloaded from eRapid.

Note : Issuer and share registrar who does not wish to receive the Depositor's Email Address File can select the "Media Required" as Hardcopy" when submitting their request for Mailing Label at eRapid.

- f. **Statistical**
Information is used for statistical purposes only and comprises of **Analysis Of Equity Structure Report** (Appendix 8) and **Analysis Of Shareholders Report** (Appendix 9) as at a particular lodgement date.
- g. **Foreign Limitation Summary File (FLSF)** (Appendix 10)
This file shows the percentage of foreign ownership as at a particular date for securities that are under foreign limitation.
- h. **Foreign Shares Transaction Report / File (FSTR)** (Appendix 11)
In order to request for this report / file, share registrar is required to forward a **Letter** (Appendix 12) to Counter Management Department. The Letter must contains the following information:-
- Stock name and stock code
 - Lodgement date
 - The period for the request, i.e. From dd/mm/yyyy To dd/mm/yyyy

Note:

- (i) *The period should not exceed one year*
- (ii) *The “To” date must be the lodgement date*
- (iii) *Share registrar must request for a Corporate Action ROD or a General ROD prior to requesting for the FSTR.*

Bursa Depository may transmit the FSTR electronically or copied into a tape/diskette/cartridge. In this instance, Bursa Depository will produce a **Summary Report** (Appendix 13) which reflects the total of foreign shareholders' accounts and securities.

Note: *All the Non-Corporate Exercise ROD can be requested in two (2) formats, i.e. hardcopy or electronically or both except for Mailing Labels and Mailing Label ROD.*

5.2 Request For Non-Corporate Exercise ROD

5.2.1 Login to eRapid to request for Non-Corporate Exercise ROD.

5.2.2 Key-in the following particulars into the Non-Corporate Exercise ROD Request in the eRapid:-

- a. Stock code
- b. Type of ROD
- c. Lodgement date

Note: Lodgement date is defined as the date where the ROD will reflect the shareholders and their holdings for a particular company as at that particular date.

- d. Required media, i.e. electronic or hardcopy
- e. Record format, i.e. Carriage Return or Continuous or none
- f. Disclose account no., i.e. Suppress or Account.

Note: The requestor has the option to choose either to display the CDS account numbers or to suppress whereby the CDS account numbers are not displayed.

5.2.3 CDS Reference Number will be generated by eRapid after creation of each of the ROD request.

5.2.4 If a particular company has more than one (1) type of securities, in the form of Ordinary, Warrant etc., the requestor must indicate the specific stock code of the securities requested.

Note:

- (i) *The requestor must ensure that sufficient Security Deposit is maintained with Bursa Depository prior to the requisition of the ROD*
- (ii) *The request for the ROD will not be processed if there is insufficient Security Deposit.*

- 5.2.5 Each ROD request is to be used to request for one (1) type of security and one (1) type of media only. Please key-in a separate request if more than one (1) type of media is requested.

5.3 Access To Non-Corporate Exercise ROD Request

- 5.3.1 ROD can be requested from Monday to Friday, 8.30 am to 6.00 pm, or any other time prescribed by Bursa Depository.

- 5.3.2 Any amendments to the ROD request must be made before 6.30 pm on the lodgement date or any other time prescribed by Bursa Depository.

- 5.3.3 Any request for amendments after 6.30 pm on the lodgement date may be rejected by eRapid.

5.4 Downloading Of ROD

5.4.1 In general, ROD will be made available in the eRapid server within three (3) market days from the lodgement date.

5.4.2 The share registrar may download the ROD record from the eRapid. The ROD record will consist of the following:-

- a. ROD data
- b. **ROD File Transfer Report** (Appendix 14).

Note: *The share registrar will be able to download ROD file in the eRapid server from Monday to Sunday, 8.30 a.m. to 7.00 p.m. or any other time prescribed by Bursa Depository.*

5.4.3 The ROD file will be maintained in the eRapid server for seven (7) calendar days.

Note: *The ROD will be removed from the server after seven (7) calendar days or any other period decided by Bursa Depository.*

5.4.4 The share registrar to verify the electronic ROD for the following:-

- a. Stock name and stock code
- b. Lodgement date
- c. Type of ROD requested
- d. Details of shareholders
- e. Total shares.

5.4.5 Ensure the summary total appearing in ROD File Transfer Report matches with the securities held and issued in the name of Bursa Malaysia Depository Nominees Sdn Bhd in the Register Of Members (ROM).

5.4.6 Should there be any discrepancies, contact Bursa Depository's Counter Management Department immediately.

5.5 Collection Of Hardcopy ROD

5.5.1 For hardcopy ROD, the share registrar may collect the ROD from Bursa Depository within three (3) market days from the lodgement date.

Note: The share registrar is advised to make arrangement with Counter Management Department prior to coming to Bursa Depository to collect the ROD report and inform Counter Management via a letter, on the personnel responsible for collecting the ROD.

5.5.2 The share registrar may also request Bursa Depository to deliver the hardcopy ROD via external courier appointed by Bursa Depository. The courier charges will be borne by the share registrar.

5.5.3 The share registrar will receive the following for hardcopy ROD:-

- a. **ROD Despatch Letter** (Appendix 15), in duplicate
- b. **Confirmed ROD Report** (Appendix 16).

5.5.4 The share registrar must acknowledge receipt on the duplicate copy of the ROD Despatch Letter.

5.5.5 The share registrar to verify the electronic / hardcopy ROD for the following:-

- a. Stock Name and Stock Code
- b. Lodgement Date
- c. Type of ROD Requested
- d. Details of Shareholders
- e. Total shares.

5.5.6 Ensure the summary total appearing in Confirmed ROD Report matches with the securities held and issued in the name of Bursa Malaysia Depository Nominees Sdn Bhd in the Register Of Members (ROM).

5.5.7 Should there be any discrepancies, contact Bursa Depository's Counter Management Department immediately.

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