

**APPLICATION FORM FOR REGISTRATION OF BURSA MALAYSIA SECURITIES BERHAD
PARTICIPANTSHIP**

1. Applicant's Category (Please tick relevant category)

Investment Bank		1+1 Broker	
Universal Broker		Special Scheme Broker	
Non-Universal Broker		Standalone	

2. Particulars of the Applicant's Corporation

Corporation's Name (in Full)			
Date of Incorporation			
Country of Incorporation			
Company Registration Number	(New)	(Old)	
Principal Business			
Registered Address (please notify us of any changes of address immediately)			
Official Website			
Tel			
Fax			
E-mail			
Business Address (please notify us of any changes of address immediately)			
Tel			
Fax			
E-mail			
Paid-Up Capital (RM)			
Shareholder's fund unimpaired by losses [Refer to Guidance Notes 3 (i)]			

3. List of Shareholding in other Corporations

(please do include in as attachment if there are more than column provided)

Name of Corporation	Nature of Business	% Shareholding

4. Shareholders' Profile

Full Name	Country of Incorporation	Number of Shares	Percentage Holdings (%)

5. Directors

Full Name	NRIC/ Passport Number	Proposed Designation

6. Point of Contact

Full Name (& E-mail address)	Designation	Office Contact Number	Fax

7. Declaration

Has the applicant or its shareholders been: -

- (a) licensed or registered in any capacity in any place in and/or outside Malaysia under any law which requires licensing or registration to deal or trade in securities? YES NO
- (b) refused membership of any stock exchange? YES NO
- (c) suspended and/or expelled from membership of any stock exchange? YES NO

8. Certification from Director and Company Secretary

We declare that all the information given herein and the attached documents(s) (if any) are true and correct.

Full Name and Signature of Authorised Director	Full Name and Signature of Company Secretary

Dated this

UNDERTAKING FOR ADMISSION AS PARTICIPATING ORGANISATION

In consideration of the Exchange approving at our request our application for admission as a Participating Organisation of the Exchange in accordance with the Rules of Bursa Malaysia Securities Berhad ("Rules") and the Directives (as defined in the Rules) (collectively, "Exchange's Requirements" and includes all amendments and supplements to the Rules and Directives), we hereby irrevocably and unconditionally undertake and agree as follows: -

- (1) that the (name of Applicant) satisfies all the conditions for admission as a Participating Organisation set out in Chapter 3 of the Rules;
- (2) that the information and documents accompanying the application for admission as a Participating Organisation are complete and accurate;
- (3) that the Exchange may obtain from or provide to any regulatory authority (whether in or out of Malaysia) any information directly or indirectly relating to the (name of Applicant) for any purpose relating to or in connection with discharging any function of the Exchange or that regulatory authority;
- (4) to notify the Exchange immediately in writing of any changes in the information given together with the application for admission as a Participating Organisation;
- (5) to abide by the decision of the Exchange in relation to the application for admission as a Participating Organisation;
- (6) to be bound in all respects by and to comply with the Exchange's Requirements in so far as they apply directly or indirectly to a Participating Organisation;
- (7) to indemnify and keep the Exchange fully indemnified from and against all losses, damages, costs, expenses, actions and claims or otherwise which the Exchange may incur arising out of any act or omission on our part or failure by us to comply with any provisions in the Rules; and
- (8) notwithstanding our ceasing to be a Participating Organisation of the Exchange for any reason whatsoever, to continue to be bound by the Exchange's Requirements in so far as they may relate to any act or omission that we may, in the opinion of the Exchange have committed or omitted to do during our tenure as a Participating Organisation of the Exchange.

We acknowledge that:

- (a) the approval of our application for admission as a Participating Organisation; or
- (b) any indulgence or delay in making any demand or instituting any action by the Exchange,

will not constitute or be deemed to operate as a waiver by the Exchange of any of its rights under this undertaking or under the Rules.

We further acknowledge that shall remain a Participating Organisation of the Exchange at the discretion of the Exchange.

The above undertaking has been signed by me/us as
 [specify designation] of
 [name of Applicant] pursuant to authority granted to me by resolution of the board of directors of
 [name of Applicant] on

Signature	
Full Name of Authorised Person(s)	
Designation	
Date	
Company stamp	
In the presence of:	

GUIDELINES FOR APPLICATION FOR REGISTRATION AS PARTICIPATING ORGANISATION

1. PLEASE DO SUBMIT THE APPLICATION AND ITS SUPPORTING DOCUMENTS TO THE FOLLOWING:

Hard Copy Submission

Head, Participants Affairs
Participants Supervision
Regulation
Bursa Malaysia Berhad
11th Floor, Exchange Square
50200 Kuala Lumpur
pa@bursamalaysia.com

General Correspondence

Tel: (603) 2732 4999 or (603) 2034 7000
Fax: (603) 2026 3691

2. DOCUMENTATIONS REQUIRED

The applicant shall submit to Bursa Malaysia Securities Berhad the following:

a) **Completed application** (Please complete all sections of the form in full. **This document must be typewritten**):

- i. Application Form
- ii. Undertaking for Admission as Participating Organisation
- iii. Confirmation of payment of application fee
- iv. Supporting documents

b) **Company's Information** (Supporting Documents)

Attached together with the forms certified true copies of the applicant's of which inclusive of the following (or equivalent) but not limited to the list below:

- 1) Duly certified true copy of the latest Memorandum and Articles of Association/Constitution/Written confirmation signed by a director confirming that the Company does not have Constitution;
- 2) Duly certified true copy of the Certificate of Incorporation of Company;
- 3) Duly certified true copy of latest Certificate of Incorporation On Change of Name of Company, if relevant;
- 4) Duly certified true copy of the latest Return of allotment of shares;
- 5) Duly certified true copy of latest Notice of Situation of Registered Office And Of Office Hours And Particulars Of Change, if relevant;
- 6) Duly certified true copy of latest Particulars of Directors, Managers and Secretaries;
- 7) Duly certified true copy of latest Annual Returns;
- 8) Duly certified true copy of the resolution of the Board of Directors of the applicant authorising the making of this application;
- 9) Duly certified true copy of its previous two (2) financial year's audited statements; if applicant is a new setup, holding company to provide latest two (2) Audited Financial Statements; and
- 10) Any other documents that may be required by Bursa Malaysia Securities Berhad from time to time.

3. GUIDANCE NOTES

All applicants are requested to carefully study the Rules and Directives of Bursa Malaysia Securities Berhad before submitting their application. The Rules and Directives set out the rights and obligations of all Participating Organisation of Bursa Malaysia Securities Berhad.

i) Minimum paid-up capital and minimum shareholders' funds unimpaired by losses

A Participating Organisation must maintain its paid-up capital and shareholders' funds unimpaired by losses, at a level not less than the minimum set out below:

- (a) for an Investment Bank, as the Central Bank and the Commission may stipulate;
- (b) for a Universal Broker, RM100,000,000; and
- (c) for any other Participating Organisation, RM20,000,000.

ii) Locally Incorporated

The applicant shall be a locally incorporated company.

iii) Initial Approval from the Ministry of Finance or the Securities Commission Malaysia

The applicant shall in the first instance be granted with an initial approval by the Ministry of Finance or the Securities Commission Malaysia to set up and establish a stockbroking company in Malaysia.

iv) Approval-in-Principle

Where the application is successful, Bursa Malaysia Securities Berhad will grant its approval-in-principle for the registration of the company as Participating Organisation of the Exchange subject to the applicants' meeting among others, the following:

- a) being issued with a valid Capital Market Services License ("CMSL") issued by the Securities Commission Malaysia pursuant to the Capital Markets and Services Act 2007 and has satisfied or will satisfy upon registration, the terms and conditions of, or imposed by the Securities Commission Malaysia related to, such license;
- b) have satisfied or will satisfy upon registration, all the financial requirements prescribed in Chapter 13 of the Rules of Bursa Malaysia Securities Berhad, as may be amended, varied, modified, supplemented or substituted thereto from time to time;
- c) have or will maintain facilities and personnel adequate for the expeditious and orderly carrying out of its business of dealing in securities (including those activities which are normally ancillary and closely related thereto as envisaged in the Rules of Bursa Malaysia Securities Berhad) and such other businesses as may be permitted by the Securities Commission Malaysia from time to time.
- d) have at least three (3) heads, namely the Head of Dealing, Head of Operations and Head of Compliance, registered with the Exchange in accordance with the Rules of Bursa Malaysia Securities Berhad;
- e) complying with such other requirements as prescribed in Chapter 3 of the Rules of Bursa Malaysia Securities Berhad and/or as may be prescribed by Bursa Malaysia Securities Berhad from time to time;
- f) successfully undergoing the relevant readiness assessment pursuant to the requirement of Bursa Malaysia Securities Berhad;
- g) payment of the relevant Participantship and other related fees; and
- h) complying with the requirement of the Rules of Bursa Malaysia Securities Berhad including any directives, notices, circulars, guidelines and schedules issued by Bursa Malaysia

Securities Berhad and with other laws, rules and procedures that are applicable to it.

v) **Readiness Assessment**

The applicant is required to undergo a Readiness Assessment, which scope, criteria and manners will be prescribed by Bursa Malaysia Securities Berhad. After the completion of the Readiness Assessment, the Exchange will submit its recommendation to the Securities Commission Malaysia.

vi) **Application to the Securities Commission for CMSL**

The applicant is required to submit an application to the Securities Commission Malaysia in the prescribed manner. Kindly refer to the Licensing Handbook issued by the Securities Commission Malaysia for more information.

vii) **Issuance of CMSL**

The Securities Commission Malaysia will issue the successful applicant with the relevant CMSL.

viii) **Registration with Bursa Malaysia Securities Berhad**

Once the applicant has been duly licensed, it will be registered as a Participating Organisation of Bursa Malaysia Securities Berhad.

ix) **Fees applicable for Participating Organisation**

Type	Amount
Application Fee (one off non-refundable)	RM2,500.00
Registration Fee (one off non-refundable)	RM10,000.00
Annual Fee	RM12,000.00

x) **Note:**

- a) Rule 3.04 states a Participating Organisation to notify Bursa Malaysia Securities Berhad if the Participating Organisation changes status from one category to another based on the categorization stipulated under Rule 3.02(5).
- b) The following procedures apply in respect of the relevant notification required under this Rule.

Change of status to Investment Bank

If a Participating Organisation obtains approval to operate as an Investment Bank, the Participating Organisation must notify Bursa Malaysia Securities Berhad in writing.

The notification must be given prior to the Participating Organisation commencing business as an Investment Bank.