

**APPLICATION AS A LOCAL PARTICIPANT
PURSUANT TO THE RULES OF BURSA MALAYSIA DERIVATIVES BERHAD**

Name of Trading Participant

Affix recent
passport size
photo here

Please complete all sections of the form in full.
Please type or use black ink, as the form will be photocopied.
Read the *Notes* carefully before completing the form.

For office use only

Exchange's reference number

1. Particulars of the applicant

Applicant's name in full
(as stated in identity card/passport (for non-Malaysian citizen))

Other name in full (if any)

Title (Mr., Miss, Mrs., Others)

Sex (M or F)

Date of birth (d/m/y)

Place of birth

Nationality

Bumiputera/Non-Bumiputera
(see Note 2 of the Notes)

Country of permanent residence
(for non-Malaysian citizen only)

NRIC No. (old)

NRIC No. (new)

Passport no.
(for non-Malaysian citizen only)

Place of issue
(for non-Malaysian citizen only)

Current address for correspondence

Telephone no.

Facsimile no.

E-Mail Address

Home address (if different)

Telephone no.

Facsimile no.

Handphone no.

2. Particulars of applicant's spouse

(to be filled only if the applicant is a married person)

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Spouse's name in full

Occupation

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NRIC No. (old)

NRIC No. (new)

Passport no.
(for non-Malaysian citizen only)

Place of issue
(for non-Malaysian citizen only)

Name and address of the employer

Telephone. No.

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3. Relative(s)

Do you have any relative(s) working in a Trading Participant or Bursa Derivatives or the Securities Commission?

Yes

No

If yes, please provide details. (you may use a separate sheet)

Name of the relative

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Relationship

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Name of the employer

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Designation & Department

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4. Tertiary or professional qualifications

(Attach a copy each of the relevant documents. See Note 4 in the Notes)

Qualification	Institution	Date Completed

5. Work Experience

Do you have any experience in performing the functions related to a registered representative?

Yes

No

Name of Employer	Designation	Period of Employment (dd/mm/yyyy – dd/mm/yyyy)

6. Present Income (p.a)

RM

7. Total Estimated Net Worth

RM

8. Bank Account Information

Name of Bank	Branch	Account No.

9. How much capital do you intend to commit to your trading?

RM

10. Registration No. (Sole Proprietorship)

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11. Declarations

Interest in Securities						
Has the applicant purchased/sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes purchases/sales through his own nominees for/on behalf of his relatives) for his own account during the 12 months immediately preceding the date of this application?						
<input type="checkbox"/> No <input type="checkbox"/> Yes (please select one of the options below)						
<input type="checkbox"/> Information is attached as supporting document(s) with this submission						
<input type="checkbox"/> Information is as outlined in the table below (please type "N/A" if it is not applicable)						
Name of securities	No of securities	Description of securities	Price	Acquisition / disposal	Other consideration	Date of agreement

Directorship				
Is the applicant a director of any other corporation, wherever incorporated?				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)				
Name of corporation	Nature of business	Place of incorporation	Date of the appointment as a director (dd mmm yyyy)	Nature of appointment (executive or non-executive)

Ownership				
Does the applicant own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated?				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)				
Name of corporation	Nature of business	Place of incorporation	% of ownership	Paid-up capital

Others		
1) Has the applicant been-		
a.	licensed or registered in any capacity in any place outside Malaysia under any law or regulation which requires licensing or registration to deal or trade in securities or futures? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
b.	licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
c.	refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
2) Has the applicant ever been a member or partner in a member firm or a director of a member company of any exchange apart from that currently applied for? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details) <input type="checkbox"/> N/A		
	Name of company	Place of business
		Nature of business
a.	Has any of the corporation(s) stated above been refused membership of any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
b.	Has any of the corporation(s) stated above been expelled or suspended from trading on or the membership of any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
c.	Has any of the corporation(s) stated above been subjected to any other form of disciplinary action by any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
3) Has the applicant in Malaysia or elsewhere-		
a.	been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence involving fraud or other dishonesty or violence? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
b.	had judgment involving findings of fraud or other dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him, as the case may be, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	
c.	contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice by persons concerned in the provision of financial services or the management of companies or against financial loss due to the conduct of discharged or undischarged bankrupts? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)	

<p>d. been declared a bankrupt or entered into a composition or arrangement with creditors?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>e. been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>4) Has the applicant been involved in the management of a corporation in Malaysia or elsewhere which at the time of his involvement, the corporation-</p>
<p>a. been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence, involving fraud or other dishonesty or violence?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>b. had judgment involving findings of fraud or other dishonesty, or violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against it in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>c. contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice by persons concerned in the provision of financial services or the management of companies, or against financial loss due to the conduct of discharged or undischarged bankrupts?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>d. had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>e. entered into a compromise or arrangement with creditors or members?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>f. had a petition presented in a court for its winding up?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>
<p>g. been subjected to any form of disciplinary proceedings or action by any professional or regulatory body?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)</p>

12. Additional relevant information to this application

13. Referees (see Note 5 in the *Notes*)

Name of Referee I

Name of Referee II

Designation

Designation

Name of Employer

Name of Employer

Address of Employer

Address of Employer

Telephone no.		Telephone no.	
Email Address		Email Address	

The Exchange may require further information in addition to that prescribed by this form.

Declaration

I,.....NRIC No./Passport No..... solemnly declare that all information given in this application and the documents submitted hereto are true and correct. I hereby undertake to notify the Bursa Derivatives immediately in writing of any changes hereafter in the information given.

Dated thisof

.....
(Signature of the applicant)

Certification By Trading Participant

On the basis of due and diligent enquiry made on the background of the applicant, NRIC No./Passport No.who is acting for our behalf, and other information available, we believe him/her to be of good character and reputation and to have the competence and experience to perform the functions of the position applied for in this form. We undertake and declare that the above information furnished and the documents submitted with this application are true and correct.

Dated thisof

.....
(Signature of Executive Director)
For and on behalf of the Board of Directors

.....
(Name of Executive Director)

Name of Trading Participant:.....

Notes

Please read before completing application forms

These guidance notes are to be used as a generic guide to the registration of a Local Participant of a Trading Participant with Bursa Derivatives.

Reference for gender

Words denoting the masculine gender shall include the feminine gender.

Filling in the application form

You should ensure that you complete all required information on the application form in full.

If the space provided is insufficient, applicant may attach a separate sheet for the required information provided each piece of paper attached is initialed by the applicant.

Note 1: Definition

In these Directives:

“**applicant**” means a person designated to be a Local Participant in a Trading Participant of Bursa Malaysia Derivatives Berhad (“Bursa Derivatives”);

“**Local Participant**” means a person who is admitted as a Local Participant under Rule 3.02

“**Participant**” means, unless otherwise specified, a participant of the Exchange for the time being falling within any of the classes of participation set out in Rule 3.01;

“**Rules of Bursa Derivatives**” means the Rules of Bursa Malaysia Derivatives Berhad and any amendment that may be made.

“**Trading Participant**” means a company that carries on the business of dealing in derivatives and is admitted as a Trading Participant under Rule 3.20

Note 2: Bumiputera/Non-Bumiputera Status

Applicant to provide supporting documents as evidence of Bumiputera status, for example Bumiputeras from Sabah, can provide a certified true copy of Borang II – Pengumuman Yang Dibuat Oleh Mahkamah Anak Negeri to be attached with the application form.

Note 3: Certification of identity card and passport

A copy of the identity card/passport attached to this application for the purposes of item 1 of this application shall be certified as a true copy by:

- (a) a Commissioner for Oaths; or
- (b) an advocate or solicitor.

If the passport referred to is in a language that is neither the national language or the English language, there shall be attached to this application, in addition to a duly certified copy of the certificate, a translation that has been certified as a correct translation of the certificate by an Embassy or High Commission of a country of which the language is an official language.

Note 4: Certification of academic and professional certificates

A copy of the academic or professional certificates attached to this application for the purpose of item 3 of this application shall be certified as a true copy by:

- (a) a Commissioner for Oaths; or
- (b) an advocate or solicitor.

If the certificate referred to is in a language that is neither the national language or the English language, there shall be attached to this application, in addition to a duly certified copy of the certificate, a translation that has been certified as a correct translation of the certificate by an Embassy or High Commission of a country of which the language is an official language.

Note 5: Referees (Reference in writing must be enclosed)

For the purpose of item 13 of this application, a referee shall be a person:

- (a) with whom the applicant has had regular contact for the past 5 years;
- (b) who has no interest in the success or otherwise of this application;
- (c) who is not from the applicant's company, group of companies or subsidiaries;
- (d) who is not a relative of the applicant;
- (e) who:
 - (i) is a government officer; or
 - (ii) is a member of a professional body; or
 - (iii) is a member of the academic staff of a university or other tertiary educational institution; or
 - (iv) occupies a managerial position in any body corporate; and
 - (f) of whom the Exchange or Securities Commission may enquire regarding the character and reputation of the applicant.

Note 6: Application to the Exchange

- (a) Cover letter detailing the approvals sought addressed to Bursa Derivatives (D)
- (b) Completed Application Form;
- (c) Two Passport Size Colour Photographs;
- (d) Certified True Copy (“CTC”) of IC / Passport;
- (e) CTC of Academic/Professional Certificates Qualifications
- (f) Copy Of Statements to Savings and Deposits
- (g) Referral Letters From 2 Referees (which should either be on the employer's or Company letterhead and should include Designation, Qualification, Address and Contact Numbers);
- (h) Undertaking By Trading Participant; and
- (i) To attend an interview and 2-day familiarisation programme

1) An applicant must fulfil the following requirements pursuant to Rule 3.15(h):

- (a) attend an interview with the Exchange for the Exchange to assess the eligibility and suitability of the applicant to be a Local Participant; and
- (b) attend a 2-day familiarisation programme that is carried out by the Exchange (“Familiarisation Programme”).

The objectives of the Familiarisation Programme are as follows:

- (i) to equip an applicant with the knowledge of regulatory and operational requirements; and
 - (ii) to provide an applicant with the relevant training for the keying-in of orders into the ATS.
- (2) The Exchange will only register an applicant upon completion of the Familiarisation Programme.
- (a) The applicant complying with the requirement of the Rules of Bursa Derivatives including any directives, notices, circulars, guidelines and schedules issued by Bursa Derivatives and with other laws, rules and procedures that are applicable to it.

Note 7: Registered with New Trading Participant

- (a) Cover letter detailing the approvals sought addressed to Bursa Derivatives (D)
- (b) Completed Application Form;
- (c) Two Passport-Sized Colour Photographs;
- (d) Certified True Copy ("CTC") of Passport (for foreigner);
- (e) Copy of Statements to Savings and Deposits
- (f) Undertaking by Trading Participant; and
- (g) The applicant complying with the requirement of the Rules of Bursa Derivatives including any directives, notices, circulars, guidelines and schedules issued by Bursa Derivatives and with other laws, rules and procedures that are applicable to it.

Note 8: Documents to be submitted before commencing trading

- (a) Agreement Between Local Participant & Trading Participant;
- (b) Maximum Order Form (to be signed by authorized signatory, to state name and designation); and