

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

Application is hereby made to Bursa Malaysia Derivatives Berhad (“the Exchange”) for registration as a Trading Participant of the Exchange:

**PART 1: INFORMATION ON THE APPLICANT**

1.	INFORMATION ON THE APPLICANT	
(a)	Name of Company  (including former name (if any) and the date of change)  Full address of the place at which the business of the applicant is or proposed to be carried out.	
	Company No.	
	Principal Business	
	Telephone No.	
	Facsimile No.	
(b)	Place of incorporation	
(c)	Date of incorporation	
(d)	Registered office (full address)	
	Company Website	
	Telephone No.	
	Facsimile No.	
(e)	Email Add	
	The share and/or issued share capital of the applicant, including the type of shares issued or to be issued	
(f)	The nature of any business other than options and futures trading carried on or proposed to be carried on by the applicant	
(g)	Total paid-up share capital	
	Paid-up capital	

**2. SET OUT AS ANNEXURE HERETO THE FOLLOWING:**

- (a) The details of each shareholder of the applicant,
- i) If an individual: The full name, nationality, identity card or passport number, residential address, date of birth, number of shares being held and the date of acquisition and directorship in any other company.
  - ii) If a company: The full name, address, number of shares being held and the date of acquisition.

- (b) The details of each director, secretary and the chief executive officer of the applicant, including the full name, nationality, identity card or passport number, residential address, date of birth and date of appointment.

Please indicate if any of the shareholders are related. A shareholder ("first shareholder") will be regarded as being related to another shareholder ("second shareholder") if:

(a) in the case of an individual, the first shareholder is a spouse, father, mother, son or daughter of the second shareholder;

(b) in the case of a corporation, the first shareholder is a holding company or subsidiary of the second shareholder or a subsidiary of the same holding company of which the second shareholder is a subsidiary

- (c) The details of the person or person(s) who is or are having ultimate controlling interest of more than 50% in the applicant, including their full name, nationality, identity card number or passport number, occupation and directorship in any company (if applicable).

Where the number of shareholders in the applicant exceeds 20, please only provide particulars for those shareholders holding 5% or more of the issued share capital in their names.

- (d) The details of the person or person(s) who directly or indirectly exercise or has power to exercise a controlling influence over the management and policies of the applicant other than those shown as directors, including in the case of an individual his/her full name, nationality, identity card number or passport number, occupation and directorship in any company (if applicable) and in the case of a company, the name of the company, the date and place of incorporation of the company and the names of the directors of such company.
- (e) The details of the solicitors, auditors and accountants of the applicant, including, names and addresses.

**3. PLEASE ANSWER “YES” OR “NO” IN THE SPACE PROVIDED. IF THE ANSWER IS “YES”, PLEASE ATTACH ANNEXURE GIVING ALL RELEVANT PARTICULARS.**

(a) Has the applicant or any director or secretary of the applicant within the last five (5) years:

I. been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by the law in any place?

Yes

No

II. been licensed or registered in any place under any law which requires licensing or registration (whether as a broker, advisor or otherwise) in relation to options and futures trading?

Yes

No

(b) Has any director or secretary of the applicant within the last five (5) years:

I. been convicted of any offence, other than a traffic offence in Malaysia or elsewhere or are there any proceedings now pending which may lead to such a conviction?

Yes

No

II. had any judgement included findings in relation to fraud, misrepresentation or dishonesty given against him in Malaysia or elsewhere?

Yes

No

III. been declared bankrupt or compounded with or made an assignment for the benefit of his creditors in Malaysia or elsewhere?

Yes

No

IV. been refused a fidelity or surety bond in Malaysia or elsewhere?

Yes

No

**PART 2: INFORMATION ON THE APPLICANT'S HOLDING COMPANY\* (IF APPLICABLE)**

1.	INFORMATION ON THE APPLICANT'S HOLDING COMPANY	
	Name (and former names (if any) and the date of change) of the holding company.	
	Date and place of incorporation of the holding company.	
	Describe the nature of the principal activities of the holding company.	

\*As defined in the Companies Act 2016

**PART 3:**

**DECLARATION**

We:-

- (a) declare that all the information given in this application including the information contained in the attached annexures are true and correct.
- (b) acknowledge that the Exchange may in its absolute discretion accept or reject this application without giving any reasons for its decision.
- (c) agree, if our application is accepted:
  - (i) to apply at the appropriate time, as notified by the Exchange, for a Capital Markets Services Licence under the Capital Markets and Services Act 2007; and,
  - (ii) to at all times abide by the Business Rules of the Exchange upon being duly licensed to deal in derivatives and accepted for Trading Participantship by the Exchange.

Dated this                      day of

\_\_\_\_\_  
(Signature of Director)

\_\_\_\_\_  
(Signature of Director/Secretary)

\_\_\_\_\_  
(Name of Director)

\_\_\_\_\_  
(Name of Director/Secretary)

This declaration is to be signed by two (2) Directors or a Director and the Secretary of the applicant and to be stamped with the company's stamp.

**Note: Please omit where relevant**

**Notes:**

- (1) Where the space provided is insufficient, please attach annexure(s). Any annexure should be identified as such and signed by the signatories to this application.
- (2) This application must be accompanied by:
  - (i) certified true copies of the constitution, if any, or any other constituent documents, of the applicant company and if any, its corporate shareholders (if any);
  - (ii) such documents and information as may be appropriate in respect of its financial standing such as:
    - Auditor's Certification;
    - Balance Sheet; and
    - a) Notice of registration;
    - b) Notification of change in the Register of Directors, Manager and Secretaries;
    - c) notice of registration of the new name;
    - d) Return of allotment of shares;
    - e) Notification for change in the registered address (if relevant);
    - f) Particulars of change or alteration relating to foreign company (if relevant); or similar documents of its nature
  - (iii) a certified true copy of the resolution of the Board of Directors of the applicant authorising the making of this application;
  - (iv) a certified true copy of its previous two (2) financial year's audited statements and the latest audited financial statement of the holding company (including consolidated accounts), together with the Director's Report;
  - (v) If the applicant is a holding company or subsidiary of another company, a chart showing the group of companies with which the applicant is associated or related; and
  - (vi) The applicant's organisation chart setting out the number of employees at the company and the names, qualification and working experience of the management staff.