

**APPLICATION FORM FOR REGISTRATION AS DERIVATIVES SPECIALIST**

**Applicant's Category (Please tick relevant category)**

1	Individual (Please proceed to 1, 2, 8, 9 and 10)	
2	Corporation (Please proceed to 3, 4, 5, 6, 7, 8, 9 and 11)	
3	Foreign Corporation (Please proceed to 3, 4, 5, 6, 7, 8, 9 and 11)	

**1. Particulars of the Applicant**

<b>Full Name</b>		
<b>Date of Birth</b>		
<b>Nationality</b>		
<b>Gender</b>		
<b>NRIC (for Malaysian / Malaysian Permanent Resident)</b>	<b>(New)</b>	<b>(Old)</b>
<b>Passport No (for Non-Malaysian)</b>		
<b>Place of Issue</b>		
<b>Bumiputera / Non-Bumiputera</b>		
<b>Residential Address</b>		
	<b>Hp</b>	
	<b>E-mail</b>	
<b>Mailing Address</b>		

## 2. Employment History

Date		Name of Employer	Designation
From (MM/YYYY)	To (MM/YYYY)		

## 3. Particulars of the Corporation

<b>Corporation's Name</b> (in Full)		
<b>Date of Incorporation</b>		
<b>Country of Incorporation</b>		
<b>Company Registration Number</b>	<b>(New)</b>	<b>(Old)</b>
<b>Principal Business</b>		
<b>Registered Address</b> (please notify us of any changes of address immediately)		
	<b>Official Website</b>	
	<b>Tel</b>	
	<b>Fax</b>	
<b>Business Address</b> (please notify us of any changes of address immediately)		
	<b>Tel</b>	
	<b>Fax</b>	
	<b>E-mail</b>	
<b>Paid-Up Capital (RM)</b>		

**4. 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

**5. Shareholders' Profile**

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

**6. Directors**

Full Name	NRIC/ Passport Number	Proposed Designation

**7. Point of Contact**

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

**8. Declaration**

(Answer "Yes" or "No". If "Yes", please give details)

Has the applicant been:-

- |   |     |    |
|---|-----|----|
| (a) refused membership of or the right to participate in or admission to any stock exchange or futures exchange?                  | YES | NO |
| (b) expelled from or suspended from trading on any stock exchange or futures exchange?  | YES | NO |
| (c) subjected to any form of disciplinary action by any stock exchange or futures exchange?                                       | YES | NO |
| (d) convicted of any offence in or outside Malaysia or had disciplinary actions taken for breaches involving dishonesty or fraud? | YES | NO |

**9. Member or participant of a stock/futures exchange**

Is the applicant a member or partner in a member firm or director of a member company or participant of any stock exchange or futures exchange? YES NO

If yes, please elaborate:

**10. Undertaking from Individual Applicant**

I:-

- (a) acknowledge that I have declared that all information given herein and the attached document(s) (if any) are true and correct.
- (b) agree and undertake to at all times abide by the Rules of Bursa Malaysia Securities Berhad and all directives issued by Bursa Malaysia Securities Berhad ("the Exchange") upon being duly registered as a Derivatives Specialist by the Exchange.

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Full Name and Signature of Applicant

**11. Undertaking from Director and Company Secretary of the Applicant**

We:-

- (a) acknowledge that we the applicant declare that all information given herein and the attached document(s) (if any) are true and correct.
- (b) agree and undertake to at all times abide by the Rules of Bursa Malaysia Securities Berhad and all directives issued by the Exchange upon being duly registered as a Derivatives Specialist by the Exchange.

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

Dated this

**GUIDELINES FOR APPLICATION FOR REGISTRATION AS DERIVATIVES  
SPECIALIST**

**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  
11<sup>th</sup> Floor, Exchange Square  
50200 Kuala Lumpur  
[pa@bursamalaysia.com](mailto: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

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

For application which is **not** a Participating Organisation or a financial institution licensed under FSA 2013, the application shall be accompanied with 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;
- 10) Documentary evidence on the status of the applicant as a foreign securities broker or foreign derivatives broker or its related company as the case may be.
- 11) Documentary evidence on the requisite experience of the personnel of the applicant as required under the Rule; and
- 12) 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 Derivatives Specialist of Bursa Malaysia Securities Berhad.