

## CHAPTER 1 DEFINITION AND RELATED PROVISIONS

## PART A DEFINITION AND INTERPRETATION

## 1.01 Definition

The following terms have the following meanings unless the context requires otherwise:

<b>Term</b>	<b>Meaning</b>
ABFMY1	The ABF Malaysia Bond Index Fund that is an Exchange Traded Fund listed and quoted on the Exchange and bears the stock short name ABFMY1.
ACE Market	The Exchange's stock market referred to as the ACE Market.
Admission Guidelines	The admission guidelines for the registration of Participating Organisation, Registered Person, Market Maker or Derivatives Specialist which are made available on the Exchange Holding Company's website.
Adverse Event(s)	<i>[Deleted]</i>
Annual Report	<i>[Deleted]</i>
Approved Securities	In relation to Regulated Short Selling and Intraday Short Selling, any of the securities traded on the stock market of the Exchange that is declared by the Exchange as such under Rule 8.22(5).
ATS	The automated and computerised securities trading system established by the Exchange.
ATS Operator	In relation to a Participating Organisation, a Dealer's Representative, Trading Clerk or Trading Representative who is duly authorised by the Participating Organisation to enter orders into the ATS, to modify and cancel orders.
Authorised ISSBNT Participant	An entity approved to undertake ISSBNT under the Clearing House Rules.
Authorised Nominee	Same meaning as in the Securities Industry (Central Depositories) Act and the Depository Rules.
Authorised SBL Participant	The Clearing House or an entity approved by the Clearing House to undertake Securities Borrowing and Lending
Associated Corporation	A corporation that is deemed to be associated with the person by virtue of the person holding, directly or indirectly, not less than 20% and not more than 50% of the issued share capital of the corporation.
BAFIA	<i>[Deleted]</i>
Best Buy Price	The highest buy order price in the order book of the ATS.
Beneficial Owner	Same meaning as in the Securities Industry (Central Depositories) Act and the Depository Rules.

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Best Sell Price	The lowest sell order price in the order book of the ATS.
Board Lot	In relation to any securities quoted on the Official List, a parcel of securities comprising such number of units as determined by the Exchange.
Board of Directors	In relation to a Participating Organisation, the Participating Organisation's board of Directors.
BOCA Declaration	The Declaration on Cooperation and Supervision of International Futures Markets and Clearing Organisations.
Books	Same meaning as in the Capital Markets and Services Act.
Books Closing Date	The specified time and date set by an Issuer for the purpose of determining entitlements to dividends, interest, new securities or other distributions or rights of holders of its securities traded on the stock market of the Exchange.
Branch Office	A permanent location, identified by a Participating Organisation as its branch where it carries on its business of dealing in securities.
Capital Adequacy Requirements	The capital adequacy requirements in Chapter 13.
Capital Markets and Services Act	Capital Markets and Services Act 2007.
Capital Markets Services Licence	Same meaning as in the Capital Markets and Services Act.
Capital Markets Services Representative's Licence	Same meaning as in the Capital Markets and Services Act.
Central Bank	Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009.
Central Depository	A central depository established under the Securities Industry (Central Depositories) Act and includes any foreign central depository the Exchange may stipulate.
Chief Executive Officer	Same meaning as 'chief executive' in the Capital Markets and Services Act.
Clearing Account	A trading account opened in the name of a Participating Organisation and used by the Participating Organisation to facilitate the accumulation of an order given by a client to buy or sell a specific quantity of securities on T day.
Clearing House	BURSA MALAYSIA SECURITIES CLEARING SDN BHD or any other clearing house the Exchange prescribes for the purpose of clearing and settlement of Contracts and Direct Business Transactions.
Clearing House Rules	In relation to a Clearing House, the rules of the Clearing House and any amendment that may be made from time to time.

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Client	A person for whom a trading account is proposed to be opened or has been opened by a Participating Organisation under these Rules.
Closing Price	'closing price' for On-Market Transaction as stipulated by the Exchange.
Commission	The Securities Commission Malaysia established under the Securities Commission Malaysia Act.
Commissioned Dealer's Representative	A Dealer's Representative a Participating Organisation engages on a non-salaried basis.
Commission's Licensing Handbook	The licensing handbook the Commission issues pursuant to Section 377 of the Capital Markets and Services Act.
Companies Act	Companies Act 2016.
Constituent Securities	Any of the securities admitted on the Official List which forms the basket or part of the basket of securities required for the creation of an ETF unit and/or underlying an ETF unit.
Contract	A contract for a sale or purchase transaction of securities entered into on the stock market of the Exchange as described in Rule 8.08(3).
Contract Date	In relation to a sell or buy Contract of On-Market Transaction, the day the sell or buy order is matched in the ATS.
Contract Note	Same meaning as in the Capital Markets and Services Act.
Conversion Date	Same meaning as in the Demutualisation Act.
Corporate Action	Any action taken by an Issuer in relation to or arising from the Issuer's securities including payment of dividend, issue of bonus shares and other rights and interests associated with such securities, capital restructuring and share consolidation.
Counterparty	A person or Client with or for whom a Participating Organisation carries on, or intends to carry on, any dealings in securities.
Day Trading	<i>[Deleted]</i>
Dealer's Representative	A holder of a Capital Markets Services Representative's Licence for dealing in securities.
Demutualisation Act	Demutualisation (Kuala Lumpur Stock Exchange) Act 2003.
Depository	BURSA MALAYSIA DEPOSITORY SDN BHD or any other company approved by the Minister to act as a central depository under the Securities Industry (Central Depositories) Act.
Depository Rules	In relation to a Depository, the rules of the Depository and any amendments that may be made from time to time.
Derivatives Exchange	BURSA MALAYSIA DERIVATIVES BERHAD.

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Derivatives Exchange Rules	The rules of the Derivatives Exchange and any amendments that may be made from time to time.
Derivatives Specialist	A person prescribed under Part C of Chapter 4, who is registered with the Exchange.
DF Account	An account opened by a Client of a Participating Organisation, which allows the Client to utilise Discretionary Financing referred to in Rule 7.31.
DF Account Holder	A Client who has a DF Account with a Participating Organisation.
Direct Business Transaction	A contract for a sale and purchase of securities transacted on the stock market of the Exchange that is done outside the ATS but excludes ISSBNT.
Direct Market Access (DMA)	The process by which orders to buy or sell securities, or modifications or cancellations of the orders, are submitted for execution in the ATS by a Client without any intervention or keying-in by a Dealer's Representative.
Directives	<p>Instructions, rulings or guidelines the Exchange issues by whatever name called for or in connection with any of these Rules and any amendment that may be made from time to time, including:</p> <ul style="list-style-type: none"><li>(a) any decision or requirement the Exchange makes or imposes pursuant to any act or thing done under these Rules;</li><li>(b) any terms or conditions imposed pursuant to any act or thing done under these Rules; and</li><li>(c) any requirement the Exchange imposes for the proper operation and management of the Exchange's stock market and facilities.</li></ul>
Director	Same meaning as in the Companies Act.
Discretionary Account	An account for trades executed by a Participating Organisation on behalf of a Client pursuant to an arrangement where the Client authorises the Participating Organisation to trade on the Client's behalf on a discretionary basis.
Discretionary Financing	A financing that a Participating Organisation provides to a Client under Rule 7.31.
DMA Client	A person who is allowed to key-in DMA orders under Rule 8.18.
Document	Same meaning as in the Capital Markets and Services Act.
DR Security Deposit	<p>Any cash, bank guarantee, securities or other form of security acceptable to the Participating Organisation deposited with the Participating Organisation:</p> <ul style="list-style-type: none"><li>(a) to secure the Dealer's Representative's obligations to the Participating Organisation under the agreement</li></ul>

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setting out the Participating Organisation’s arrangement with the Dealer’s Representative; or

- (b) as security for the repayment of all monies that are or may be owing by the Dealer’s Representative or the Dealer’s Representative’s Client to the Participating Organisation arising from or in connection with transactions in securities.

Dual Licensed Dealer’s Representative	<i>[Deleted]</i>
Effective Date	<i>[Deleted]</i>
Effective Shareholders’ Funds	The Participating Organisation’s last audited shareholders’ funds less unaudited losses.
Electronic Access Facility	<i>[Deleted]</i>
1+1 broker	Same meaning as in the Commission’s Licensing Handbook.
Eligible Securities	Such securities as the Clearing House may prescribe as being eligible for Securities Borrowing and Lending in accordance with the Clearing House Requirements.
Equity	In relation to Margin Financing, the sum of Margin and securities purchased and carried in Client’s Margin Account.
Equity-based Exchange Traded Fund	<i>[Deleted]</i>
Exchange	BURSA MALAYSIA SECURITIES BERHAD.
Exchange Holding Company	BURSA MALAYSIA BERHAD.
Exchange Traded Bonds (ETB)	Sukuk or debt securities which are listed and quoted for trading on the Exchange.
Exchange Traded Fund (ETF)	Same meaning as in the Guidelines on Exchange Traded Funds.
Exempt Authorised Nominee	Same meaning as in the Depository Rules.
FDSS	The fixed delivery and settlement system established by the Exchange that fixes and regulates the day and time for the delivery and settlement of securities traded or reported on the Exchange’s stock market.
Forward Contract	A contract for the future delivery of securities at a pre-determined price and date.
FSA	Financial Services Act 2013.
Fund Management	<i>[Deleted]</i>
Fund Manager’s Representative	<i>[Deleted]</i>
Goods and Services Tax (GST)	<i>[Deleted]</i>

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Group	Same meaning as in the Commission’s Licensing Handbook.
Guidelines for Marketing Representatives	Commission’s Guidelines for Marketing Representatives
Guidelines on Exchange Traded Funds	Commission’s Guidelines on Exchange Traded Funds.
Guidelines on Investment Banks	Guidelines on Investment Banks jointly issued by the Central Bank and the Commission.
Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives	Commission’s Guidelines on Market Conduct and Business Practices for Stockbroking Companies and Licensed Representatives.
Guidelines on Outsourcing	<i>[Deleted]</i>
Guidelines for Registered Person (Registered Representative)	<i>[Deleted]</i>
Haircut	The deduction of certain amount of value of the collateral referred to in Rule 7.18(4)(a)(ii);
Heads	In relation to the Participating Organisation, persons who are the Head of Dealing, Head of Operations and Head of Compliance and “Head” means any one of these Heads.
Head of Compliance	A person who a Participating Organisation appoints under Rule 3.34(1).
Head of Dealing	A person who a Participating Organisation appoints under Rule 3.26(1).
Head of Operations	A person who a Participating Organisation appoints under Rule 3.30(1).
Immediate Basis Contract	<i>[Deleted]</i>
Income	In relation to Eligible Securities or ISSBNT Eligible Securities, any profits, dividends or other distribution of any kind whatsoever with respect to the Eligible Securities or ISSBNT Eligible Securities respectively.
Interest in securities	Same meaning as in the Capital Markets and Services Act.
Internal Guidelines for Permitted Short Selling	Written guidelines formulated by a Market Maker or a Derivatives Specialist setting out the Market Maker’s or the Derivatives Specialist’s internal policies, procedures, controls and requirements on compliance with laws and these Rules in relation to Permitted Short Selling activities.
Intraday Short Selling	The short selling of Approved Securities carried out in accordance with Part D of Chapter 8.
Introducing Representative	<i>[Deleted]</i>
Inverse ETF	Same meaning as in the Guidelines on Exchange Traded Funds.

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Investment Bank	An investment bank referred to under the Guidelines on Investment Banks and admitted as a Participating Organisation under Rule 3.02.
IOSCO MMOU	The International Organisation of Securities Commissions Multilateral Memorandum of Understanding.
Islamic Securities Selling and Buying - Negotiated Transaction or ISSBNT	Same meaning as in the Clearing House Rules.
ISSBNT Agreement	An agreement for the purpose of ISSBNT.
ISSBNT Eligible Securities	Such securities as the Clearing House may prescribe as being eligible for ISSBNT in accordance with the Clearing House Requirements.
Issuer	Same meaning as in the Capital Markets and Services Act.
Last Done Price	Last traded price of an On-Market Transaction.
LEAP Market	The Exchange's stock market referred to as the LEAP Market.
Leveraged ETF	Same meaning as in the Guidelines on Exchange Traded Funds.
Licensed Institution	<i>[Deleted]</i>
Listing Requirements	The rules governing the listing of securities and regulation of listed Issuers on the stock market(s) of the Exchange.
Lower Limit Price	The lowest price at which the securities can be traded from a Reference Price, as stipulated by the Exchange.
Main Market	The Exchange's stock market referred to as the Main Market.
Margin	The aggregate amount of cash and collateral deposited into a Client's Margin Account but excludes securities that are purchased and carried in the Client's Margin Account.
Margin Account	The account a Client maintains with a Participating Organisation for Margin Financing.
Margin Financing	A form of financing that a Participating Organisation provides to a Client under Rule 7.30.
Margin Securities	In relation to Securities Borrowing and Lending, any Eligible Securities carried in the Margin Account of a Client.
Market Day	A day on which the Exchange's stock market is open for trading in securities which may include a Surprise Holiday.
Market Maker	A person who performs Market Making.
Market Making	The act of entering bid and offer prices in the order book maintained in the ATS for a Specified Security based on the requirements stipulated by the Exchange.

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Marketing Representative	Same meaning as in the Guidelines for Marketing Representatives.
Member Company	A Participating Organisation who was a member of the Exchange Holding Company prior to the demutualisation of the Exchange Holding Company under the Demutualisation Act.
Minimum Paid-Up Capital	In relation to a Participating Organisation, the minimum paid-up capital specified in Rule 13.03.
Minimum Shareholders' Funds	In relation to a Participating Organisation, the minimum shareholders' funds unimpaired by the losses specified in Rule 13.03.
Minister	The Minister responsible for finance in Malaysia.
Net Short Position	In relation to Approved Securities, the quantity of Approved Securities short sold on a Market Day in accordance with Part C of Chapter 8 but which were not closed off within the same day.
New Rules	<i>[Deleted]</i>
Non-Universal Broker	A Participating Organisation that is not a Universal Broker and includes an Eligible Non-Universal Broker and Special Scheme Broker.
Odd Lot	In relation to any securities quoted on the Official List, any number of such securities that is less than the number of securities the Exchange determines as a Board Lot.
Off-Balance Sheet	<p>Includes:</p> <ul style="list-style-type: none"><li>(a) uncalled amounts on securities, options, other contingent liabilities and capital commitments (whether secured or not);</li><li>(b) all assets pledged as security, forward purchase or sale contracts (other than in securities);</li><li>(c) derivatives and other commitments that contractually oblige a Participating Organisation to perform certain actions that are transacted outside the ATS,</li></ul> <p>but excludes underwriting or sub-underwriting that are required to be reported under the Capital Adequacy Requirements.</p>
Official List	<p>The list of securities that:</p> <ul style="list-style-type: none"><li>(a) have been admitted by the Exchange and have not been removed by the Exchange; or</li><li>(b) are quoted and traded on the Exchange,</li></ul> <p>or both.</p>
Old Rules	<i>[Deleted]</i>



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On-Market Transaction	A transaction that is concluded by way of automated matching of orders entered into the order book maintained in the ATS under Rule 8.08 or an On-Market Married Transaction under Rule 8.14.
On-Market Married Transaction	A match of a buy order to a sell order for the same price and quantity made by the same Participating Organisation simultaneously entering and executing the buy and sell orders into the ATS under Rule 8.14 between:  (a) two Clients of the same Participating Organisation; or  (b) a Participating Organisation and its Client.
Opening Price	'Opening price' for On-Market Transaction as stipulated by the Exchange.
Outstanding Balance	The amount owed by a Client in the Client's Margin Account arising from the Client's transactions in securities traded on the stock market of the Exchange or Recognised Stock Exchanges, including all commission charges, interest, expenses and all other related expenses before deducting any cash deposited by the Client as Margin.
Participantship	Being a Participating Organisation of the Exchange.
Participating Dealer	Same meaning as in the Guidelines on Exchange Traded Funds.
Participating Organisation	A company that carries on the business of trading in securities on the Exchange's stock market and is admitted as a Participating Organisation under Rule 3.02 and includes all the Participating Organisation's Branch Offices.
Permitted Short Selling	The short selling of PSS Securities carried out in accordance with Part E of Chapter 4.
Principal Office	The principal office approved by the Commission as the principal office of a Participating Organisation. In the case of an Investment Bank, the principal office approved by the Central Bank as the principal office of that Investment Bank.
Proprietary Account	A trading account opened by a Participating Organisation for the Participating Organisation's own trades.
Proprietary Day Trader	<i>[Deleted]</i>
PSS Securities	Any of the securities traded on the stock market of the Exchange that is prescribed by the Exchange for the purposes of Permitted Short Selling under Rule 4.15(1).
Ready Basis Contract	A Contract where the date and time for delivery and settlement for the buying and selling of securities traded on the stock market of the Exchange are as stipulated in Schedule 2.
Recognised Stock Exchange	A foreign stock exchange the Exchange declares to be a Recognised Stock Exchange.
Record	Same meaning as in the Capital Markets and Services Act.

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Record of Depositors	Same meaning as in the Depository Rules.
Reference Price	<p>(a) Except for the situations stipulated in paragraph (b) below, the Last Done Price of securities:</p> <p>(i) in the previous trading day; or</p> <p>(ii) if no trade of such securities was effected on the previous trading day, the last trading day in which trades were effected; or</p> <p>(b) if for 2 consecutive trading sessions of 1 Market Day, no trading has been done for a particular securities:</p> <p>(i) the Upper Limit Price at market close, if there is an order to buy at the Upper Limit Price at the close of both the trading sessions and the Upper Limit Price is greater than the last Reference Price; or</p> <p>(ii) the Lower Limit Price at market close, if there is an order to sell at the Lower Limit Price at the close of both the trading sessions and the Lower Limit Price is less than the last Reference Price; or</p> <p>(c) for securities quoted ex-entitlement, as the Exchange determines; or</p> <p>(d) for securities that have been approved by the Exchange for listing and quotation on the Official List, on the first day of their listing and quotation, the issue or offer price of such securities or any other price as determined by the Exchange; or</p> <p>(e) in any other circumstances, as the Exchange determines.</p>
Register	The list or roll that the Exchange keeps of Participating Organisations, Registered Person(s) and such other persons determined by the Exchange.
Registered Person	A person stipulated under Rule 3.10, who is registered with the Exchange.
Registered Representative	A holder of a Capital Markets Services Representative's Licence for dealing in derivatives.
Regulated Short Selling	The short selling of Approved Securities carried out in accordance with Part C of Chapter 8, and "Regulated Short Sale" means the sale relating to the same.
Relevant Person	includes the Participating Organisation's Registered Person, agent and employee.
Retail Clients	Clients of a Participating Organisation who carry out Retail Trade as defined in Rule 11.01.
Related Corporation	Same meaning as in the Companies Act.
Salaried Dealer's Representative	A Dealer's Representative a Participating Organisation employs on a salaried basis.

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SBL Agreement	An agreement for the purpose of Securities Borrowing and Lending
Securities Account	Same meaning as in the Securities Industry (Central Depositories) Act.
Securities Borrowing and Lending or SBL	The borrowing or lending of securities pursuant to Part F of Chapter 7.
Securities Commission Malaysia Act	Securities Commission Malaysia Act 1993.
Securities Industry (Central Depositories) Act	Securities Industry (Central Depositories) Act 1991.
Securities Laws	As defined in the Securities Commission Malaysia Act 1993.
service provider	Same meaning as in the Commission’s Licensing Handbook.
Single Stock Futures Contract	A single stock futures contract traded on the Derivatives Exchange.
Sophisticated Investor	A person who is specified as a sophisticated investor in the Commission’s Guidelines on Categories of Sophisticated Investors.
Special Scheme Broker	Same meaning as in the Commission’s Licensing Handbook.
Specified Security	The securities specified by the Exchange as available for Market Making.  <i>[Refer to Directive No. 4-001]</i>
Standalone Broker	A Participating Organisation that has not complied with the Commission’s Policy Framework for Stockbroking Industry Consolidation as stated in the Commission’s Licensing Handbook.
Stock Option Contract	A stock option contract traded on the Derivatives Exchange.
sub-contractor	<i>[Deleted]</i>
Surprise Holiday	A day that is declared as a public holiday in the Federal Territory of Kuala Lumpur that has not been gazette as a public holiday at the beginning of the calendar year.
T	The day an On-Market Transaction is done on ATS, or a Direct Business Transaction is reported to the Exchange, as the case may be.
these Rules	The Rules of Bursa Malaysia Securities Berhad and any amendment that may be made from time to time.
Tick	The minimum change allowed in the price of securities, as stipulated by the Exchange.
Total Short Position	In relation to Approved Securities, the total quantity of Approved Securities short sold in accordance with Part C of

Chapter 8.

Tradeable Balance	<ul style="list-style-type: none"> <li>(a) Securities designated as “free securities” in the seller’s Securities Account; or</li> <li>(b) Securities that are due to be delivered to a seller’s Securities Account pursuant to an outstanding purchase Contract.</li> </ul>
Trading Clerk	A trading clerk referred to in Rule 5.14.
Trading Participant	A holder of a Capital Markets Services Licence for dealing in derivatives.
Trading Representative	Same meaning as in the Commission’s Licensing Handbook.
Universal Broker	<p>A Participating Organisation that has:</p> <ul style="list-style-type: none"> <li>(a) merged with or acquired 3 or more Member Company(ies) or Participating Organisations or both;</li> <li>(b) fulfilled the necessary qualifying criteria stipulated by the Commission to the satisfaction of the Commission; and</li> <li>(c) been approved in writing by the Commission to be a Universal Broker.</li> </ul>
Upper Limit Price	The highest price at which the securities can be traded from a Reference Price as stipulated by the Exchange.
VWAP	<p>The volume weighted average price of a particular securities calculated as follows:</p> $\frac{\text{the total value of securities transacted during a particular period of time (“the period”)}}{\text{the total number of securities transacted during the period}}$

**1.02 Interpretation**

- (1) Unless the context requires otherwise, terms or expressions defined in the following Acts, when used in these Rules have the same meaning as in the following Acts:
  - (a) Capital Markets and Services Act;
  - (b) Securities Industry (Central Depositories) Act;
  - (c) Securities Commission Malaysia Act; or
  - (d) Companies Act.
- (2) Apart from the above, certain other terms and expressions have also been defined in the respective Chapters. Such definitions only apply with respect to the respective Chapters in which they are contained and the Directives issued pursuant to the Rules in the respective Chapters.
- (3) The terms and expressions defined in Rule 1.01 are also applicable to any Directive or best practice, unless otherwise defined in the Directive or best practice.

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- (4) A reference to a statute is to that statute so modified, re-enacted or consolidated and includes regulations, rules or other statutory instruments made under that statute.
- (5) A reference to a rule, directive, guideline or requirement of the Exchange, Exchange Holding Company, Depository, Clearing House, the Commission or the Central Bank or other relevant party is to that rule, directive, guideline or requirement so amended, supplemented, consolidated or substituted.
- (6) The singular includes the plural and vice versa.
- (7) A reference to a person includes a firm, partnership and corporation.
- (8) A reference to writing includes any mode of representing or reproducing letters, figures or marks in a visible form.
- (9) A reference to "RM" or "Ringgit Malaysia" is to the Malaysian currency.
- (10) If a word or phrase is defined in these Rules, any other grammatical form in respect of such word or phrase has a corresponding meaning.
- (11) A reference to a rule, chapter, schedule or appendix is to the relevant rule, chapter, schedule and appendix to these Rules.
- (12) Headings and sub-headings are inserted for convenience of reference only and do not affect the interpretation and construction of the rule.
- (13) A reference to a day or month is to a calendar day or calendar month.
- (14) A reference to a time of day is a reference to Malaysian time.
- (15) A reference to "suspend" or "suspension" in relation to the trading of securities, where the context permits, includes "forbidden", "interrupted", "reserved", "suspended" or "frozen".

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**PART B APPLICATION AND EFFECT OF THESE RULES**

**1.03 Rules of the Exchange**

These Rules must be read together with:

- (a) the Directives;
- (b) the Securities Laws; and
- (c) any other laws or requirements of any relevant authority applicable to Participating Organisations or Registered Person.

**1.04 Binding effect of Rules**

These Rules are binding on Participating Organisations and Registered Persons in the manner set out in:

- (a) section 354(2) of the Capital Markets and Services Act; and
- (b) Rule 1.05.

**1.05 Covenants to observe Rules**

These Rules have the effect of a contract between:

- (a) the Exchange and Participating Organisations under which each Participating Organisation covenants with the Exchange to observe these Rules and the Directives and to perform the obligations that these Rules and the Directives purport to impose on the Participating Organisation in the manner set out by these Rules and the Directives; and
- (b) the Exchange and Registered Persons under which each Registered Person covenants with the Exchange to observe these Rules and the Directives and to perform the obligations that these Rules and the Directives purport to impose on the Registered Person(s), in the manner provided by these Rules and the Directives.

**1.06 Investment Banks**

If a provision in these Rules is expressed to be inapplicable to an Investment Bank or a Registered Person of an Investment Bank, the relevant requirements in the Guidelines on Investment Banks and any other requirement the Central Bank specifies on the matter (“the Relevant Guidelines and Requirements”) will apply instead.

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**PART C      TRANSITIONAL PROVISIONS**

**1.07      Transitional provisions in relation to the Conversion Date**

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**1.08      Transitional provisions in relation to the Old Rules**

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**PART D NOTICES**

**1.09 Notices**

- (1) The Exchange will send all notices required to be sent under these Rules in writing:
  - (a) to the address or facsimile number (or both) of the addressee contained in the records of the Exchange; or
  - (b) using any other mode of giving notice the Exchange thinks fit, including electronic mail, other electronic means and advertisement in newspapers.
- (2) A notice given under these Rules is regarded as received:
  - (a) if delivered by hand, at the time of delivery;
  - (b) if sent by post within Peninsula Malaysia, on the 3<sup>rd</sup> Market Day after posting;
  - (c) if sent by air mail to Sabah, Sarawak or outside Malaysia, on the 5<sup>th</sup> Market Day after posting;
  - (d) if sent by courier, on the 2<sup>nd</sup> Market Day after despatch;
  - (e) if sent by facsimile or other electronic media, at the time of transmission; and
  - (f) if published in any public media, at the time of publication.
- (3) All notices to the Exchange must be made in writing unless stated otherwise.

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**PART E            PERSONAL DATA NOTICE**

**1.10    Personal Data Notice**

- (1) Any person who provides or has provided personal data to the Exchange or the Exchange Holding Company pursuant to or in connection with these Rules should read and be aware of the relevant notification in relation to the Personal Data Protection Act 2010 (“PDPA”) available at the Exchange Holding Company’s website at [www.bursamalaysia.com](http://www.bursamalaysia.com) (“Personal Data Notice”).
- (2) Where the personal data provided is of another individual (“data subject”), the person providing such data must have notified the data subject in writing of the Personal Data Notice before providing the personal data unless:
  - (a) section 41 of the PDPA applies; or
  - (b) the Exchange otherwise specifies in connection with the PDPA.
- (3) For the purposes of this Rule 1.10, ‘personal data’ shall have the same meaning given in section 4 of the PDPA.

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**PART F**

**GOODS AND SERVICES TAX**

**1.11 Goods and Services Tax**

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**PART G                      CONFIDENTIALITY**

**1.12 Confidentiality of Findings**

If a finding or result of any inspection or investigation, or testimony or documentation in connection with a disciplinary proceeding or appeal under these Rules is disclosed to a Participating Organisation or a Relevant Person by the Exchange or any other person, the Participating Organisation and Relevant Person must keep the findings and results of such inspection or investigation, or testimony or documentation in connection with a disciplinary proceeding or appeal confidential and must not disclose the findings or results to any person except:

- (a) the Commission, any authorised officer of the Commission or any investigating governmental authority or agency; or
- (b) where necessary, for the procurement of legal or expert advice in relation to the inspection, investigation, disciplinary proceeding or appeal, provided that the disclosure is restricted to the relevant persons and strictest confidentiality is maintained.

[End of Chapter]