

This chapter stipulates the procedures for the ADA to comply with to enable depositors to provide their email addresses and if the same is available, handphone number under eStatement. Under eStatement, depositors will be able to receive electronic instead of hardcopy notification or communication in relation to the following:

- i. CDS statements of accounts, CDS notices and other communication from Bursa Depository; and
- ii. as and when the service becomes available and the relevant persons such as issuers of securities or Participating Organisations (“POs”) elect to use such service, notices and communication in relation to the depositors’ deposited securities from such issuers, POs or other entities within Bursa Malaysia Berhad’s Group of Companies

The above stated notification or communication will be sent electronically to the depositors at the email address and, if the same is available, handphone number registered in Bursa Depository’s records. Additionally, this chapter also stipulates the procedures for ADA to update depositor’s email address and handphone number as well as submission of the related documents to Bursa Depository.

For the purposes of this Chapter, the reference to email address wherever it appears will also refer to handphone number, if applicable.

## **12.1 Receiving eMail Address For eStatement**

### **12.1.1 Accepting eServices Form**

#### **Individual And Corporate Depositor**

12.1.1.1 Receive the following documentation in relation to a depositor providing the depositor’s email address to Bursa Depository for eStatement:-

- a. A completed and duly signed eServices Form (FMN060) (Appendix 86)

#### **ADA’s Principal Account(s) And Wholly Owned Nominees Account(s)**

12.1.1.2 ADAs and their wholly owned nominee companies, in respect of the ADA’s principal account(s) and wholly-owned nominees account(s), are **allowed** to provide an email address for eStatement, though the electronic notifications to such accounts will be confined to the following:-

- a. Communication from Bursa Malaysia Berhad's Group of Companies related to capital market matters,
  - b. Notices and other communication from the listed issuers and Participating Organisations ,
- as and when the services become available.

Note : ADA and wholly owned nominee companies will receive CDS Statement of Account and Notices via eFIX in respect of the ADA's principal and wholly owned nominee accounts.

The ADA and/or its wholly-owned nominee companies are **exempted** from completing the eServices Form when registering email address together with eDividend. Otherwise, the eServices Form will need to be completed when the email address is provided to Bursa Depository for the purposes as stated above.

### **12.1.2 Verification Of eServices Form**

- 12.1.2.1 Verify the details in the eServices Form, i.e. name, identification number and CDS account number.
- 12.1.2.2 Verify the applicant's signature on the eServices Form against the ADA's records of specimen signature(s).
- 12.1.2.3 Reject the eServices Form if the form is not signed, the signature differs or if there are any discrepancies.
- 12.1.2.4 For corporate body, ensure that the eServices Form is executed by the signatory(ies) as authorised by the corporate body's Board Resolutions / Power of Attorney / approved Minutes of Meeting.
- 12.1.2.5 Affix the ADA's company rubber-stamp at the column marked "to be completed by ADA/ADM" on the eServices Form.
- 12.1.2.6 Ensure that the "verified by" and "approved by" columns of the eServices Form are signed by two (2) different Authorised Signatories of the ADA before data entry.
- 12.1.2.7 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and make the correction.

12.1.2.8 Any amendments made on the “for office use only” column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA’s name affixed.

12.1.2.9 Where the amendments are signed by the depositor, verify the signature against the ADA’s records of specimen signature(s).

### **12.1.3 Keying-In eMail Address For eStatement Into The CDS**

12.1.3.1 Key-in the email address via the CDS “Account Maintenance” screen.

**12.1.3.2 If the Name and Investor ID differ from that in the system, do not proceed further. Reject the eServices Form back to the depositor.**

12.1.3.3 Ensure the details of the email address as per eServices Form have been keyed-in correctly before confirming the data entry.

12.1.3.4 Ensure that the “data entry by” column in eServices Form is completed by the ADA personnel who performed the data entry.

12.1.3.5 The data entry personnel must not be the same person approving the request.

#### ***Important Note:***

- (i) *In respect of the depositor’s email address in Bursa Depository’s records, all communication from Bursa Depository including CDS statements of accounts and CDS notices will be sent electronically to such email address. In addition, as and when the service becomes available and if the relevant persons such as issuers of securities or Participating Organisations (“POs”) elect to use such service, all relevant communication from such issuers, POs and other entities within Bursa Malaysia Berhad’s Group of Companies will be sent electronically to the depositor. The depositor will no longer receive hardcopies of such communication.*
- (ii) *If a depositor (excluding the ADA’s wholly owned nominee company) has registered his/her email address for a particular CDS account, the same email address will be automatically linked to all CDS accounts of the same depositor which will also include any new CDS accounts that may be opened by the same depositor in the future.*

- (iii) *In respect of the ADA's wholly owned nominee company that has registered its email address for a particular CDS account, the same email address will be automatically linked to the same nominee account(s) at a particular ADA's branch.*
- (iv) *All completed eServices Forms for eStatement lodged by a depositor before 12.00 pm on any market day must be keyed-in into the CDS terminal on the same market day.*
- (v) *Where the completed eServices Form for eStatement is lodged after 12.00 pm on any market day, subject to the ADA's discretion, this request may be keyed-in on the same market day or at the very latest the next market day.*

#### **12.1.4 Acknowledge Receipt Of eServices Form**

- 12.1.4.1 Return the **Applicant's Copy** of the eServices Form to the depositor as acknowledgement only after the ADA has updated the email address details into CDS.

#### **12.1.5 Generate And Verify eServices Registration Report**

- 12.1.5.1 Print the eServices Registration Report (Appendix 94).
- 12.1.5.2 Verify the eServices Registration Report against the eServices Form to ensure that the data entry has been performed correctly.
- 12.1.5.3 The ADA personnel who checked and verified the report against eServices Form must sign on the report.
- 12.1.5.4 If there is(are) any data entry error(s), proceed with the Updating Of eStatement Request from item 12.2 onwards.

**Note:** *Please ignore any records appearing on this report without the corresponding User ID details as such transaction was done on line via Bursa Malaysia website.*

### 12.1.6 Sorting And Packing Of Forms

12.1.6.1 Pack according to date of data entry of the email address into the CDS and within such date, by ascending account number, the following:-

- a. Bursa Depository's copies of the eServices Forms

12.1.6.2 Each package must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Form by date of application.

**Note:** *ADAs are allowed to pack eServices Forms used for the purpose of eDividend or eStatement together in with one parcel when submitting to Bursa Depository*

12.1.6.3 The covering letter must be signed by the authorised signatory(ies) of the ADA.

### 12.1.7 Submission Of eServices Forms and Relevant Documents To Bursa Depository

12.1.7.1 ADA and ADA's branches located in Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the first (1st) market day of the following week or any such other day as instructed by Bursa Depository.

12.1.7.2 ADA and ADA's branches located outside Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the second (2nd) market day of the following week or any such other day as instructed by Bursa Depository.

12.1.7.3 Send the following to Bursa Depository:-

- a. Bursa Depository's copy of the completed eServices Forms.

12.1.7.4 All the Bursa Depository's copies of eServices Forms must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Form by date of application.

12.1.7.5 The covering letter must be signed by the authorised signatory(ies) of the ADA.

12.1.7.6 Bursa Depository will acknowledge receipt on the duplicate copy of the covering letter upon receipt of eServices Forms.

### **12.1.8 Filing Of Documents**

12.1.8.1 File the following documents:-

- a. ADA/ADM copy of the eServices Forms for individual and corporate depositors

12.1.8.2 File the eServices Registration Report according to date.

## **12.2 Updating Of Depositor's eMail Address**

A depositor is allowed to update his/her email address.

### **12.2.1 Accepting Request For Updating Of eMail Address**

12.2.1.1 Receive the following documentation for updating of email address request:-

- a. A completed and duly signed eServices Form

### **12.2.2 Verification Of Request For Updating Of eMail Address**

12.2.2.1 Receive the eServices Form from the depositor.

12.2.2.2 Verify the details in the eServices Form, i.e. name, identification number and CDS account number.

12.2.2.3 Verify the applicant's signature on the eServices Form against the ADA's records of specimen signature(s).

12.2.2.4 Reject the application if the form is not signed, the signature differs or if there are any discrepancies.

12.2.2.5 For corporate body, ensure that the eServices Form is executed by the signatory(ies) as authorised by the corporate body's Board Resolutions / Power of Attorney / approved Minutes of Meeting.

12.2.2.6 If the update of the depositor's email address is due to data entry error committed by the ADA personnel:-

- a. Compare the eServices Form and perform the update in CDS. Submit the Bursa Depository's copy of eServices Form to Bursa Depository.
- b. Affix the form with the designated "Updating of account particular(s) due to data entry error request" rubber-stamp.
- c. The ADA must justify the data entry error by providing Bursa Depository with the relevant supporting documents furnished by the depositor showing the discrepancy in data entry.

12.2.2.7 Affix the ADA's company rubber-stamp on eServices Form at the space marked "to be completed by ADA".

12.2.2.8 Ensure that the "verified by" and "approved by" columns are signed by two (2) different authorised signatories of the ADA before data entry.

12.2.2.9 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and make the correction.

12.2.2.10 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.

12.2.2.11 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

### **12.2.3 Keying-in The New eMail Address Into The CDS**

12.2.3.1 After verification of the completeness and validity of the eServices Form, update the email address into the CDS via the CDS "Account Maintenance" screen.

12.2.3.2 Compare the particulars in CDS against the eServices Form.

12.2.3.3 Proceed with the updating in CDS.

12.2.3.4 The ADA's Authorised Signatory(ies) must sign on the eServices Form on behalf of the depositor in cases where the update is due to a data entry error by the ADA.

12.2.3.5 Ensure that the "data entry by" column of the eServices Form is completed by the ADA personnel who performed the data entry.

*Note: The data entry personnel must not be the same person approving the Updating Request.*

### **12.2.4 Acknowledge Receipt Of Request To Update eMail Address**

12.2.4.1 Return the Applicant Copy of the eServices Form to the depositor as acknowledgement only after the ADA has updated the email address details into CDS.



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**12.2.5 Generate And Verify The eServices Audit Report**

12.2.5.1 Print the eServices Audit Report (Appendix 95).

12.2.5.2 Verify eServices Audit Report to ensure that the updates made to the eStatement details for the day are correct.

12.2.5.3 The ADA personnel who checked and verified the reports must sign the reports.

12.2.5.4 If there are any data entry errors in the updates, the ADA must perform the update procedures again mentioned in item 12.2.2.

**12.2.6 Sorting And Packing Of Forms**

12.2.6.1 Pack according to date of updating and within the date of updating by ascending CDS account number, the following:-

- a. Bursa Depository's copies of the eServices Forms

12.2.6.2 Each package must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Form by date of updating.

**Note:** *ADAs are allowed to pack eServices Forms used for the purpose of eDividend or eStatement together in with one parcel when submitting to Bursa Depository*

12.2.6.3 The covering letter must be signed by the authorised signatory(ies) of the ADA.

**12.2.7 Submission Of Updating Depositor's Email Address Documents To Bursa Depository**

12.2.7.1 ADA and ADA's branches located in Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the first (1st) market day of the following week or any such other day as instructed by Bursa Depository.

12.2.7.2 ADA and ADA's branches located outside Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the second (2nd) market day of the following week or any such other day as instructed by Bursa Depository.

12.2.7.3 Send the following to Bursa Depository:-

- a. Bursa Depository's copy of the completed eServices Forms

12.2.7.4 All the Bursa Depository's copies of eServices Forms must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Forms by date of updating.

12.2.7.5 The covering letter must be signed by the authorised signatory(ies) of the ADA.

12.2.7.6 Bursa Depository will acknowledge receipt on the duplicate copy of the covering letter upon receipt of eServices Forms and the related supporting documents.

## **12.2.8 Filing Of Documents**

12.2.8.1 File the following documents:-

- a. ADA/ADM copy of the eServices Forms for individual and corporate depositors

12.2.8.2 File the eServices Audit Report according to date.

### **12.3 Removal of Email Address**

This section stipulates the procedures to be complied with by the ADA with respect to accepting, verifying, keying-in and filing of the Removal of Email Address as requested by the depositor via the eServices Form (“Removal of Email Address Request”).

Once the depositor has removed his/her email address from Bursa Depository’s records, the relevant electronic notifications or communication will cease to be sent to the depositor’s email address).

Instead, depositor will be receiving the hardcopies of such notices, statements of accounts and any other communication where applicable, which will be mailed to the depositors’ correspondence address in Bursa Depository’s records.

The requirements of this section must be complied with at all times by the ADA.

Note:

- a. *If the depositor prefers to receive the hard copy of the correspondences listed in the first paragraph of this Chapter, the depositor is required to request that his/her email address is removed from Bursa Depository’s records.*
- b. *In removing his/her email address from Bursa Depository’s records, the depositor will no longer receive electronic notifications in connection with cash dividend or other cash distributions paid directly into the depositor’s bank account.*

#### **12.3.1 Accepting Removal of Email Address Request**

12.3.1.1 Receive the completed and duly signed eServices Form from the depositor.

#### **12.3.2 Verification Of Removal of Email Address Request**

12.3.2.1 Verify the details in the eServices Form, i.e. name, identification number.

12.3.2.2 Verify the depositor’s signature on the eServices Form against the ADA’s records of specimen signature(s).

12.3.2.3 Reject the application if the form is not signed, the signature differs or if there are any discrepancies.

- 12.3.2.4 Affix the ADA's company rubber-stamp on the eServices Form at the space marked "to be completed by ADA".
- 12.3.2.5 Ensure the "verified by" column is completed by the ADA personnel who performed the verification.
- 12.3.2.6 Ensure the "approved by" column is completed by the ADA's Authorised Signatory(ies) before performing the data entry.
- 12.3.2.7 Amendment made on the eServices Form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and make the correction.
- 12.3.2.8 Any amendment made in the "for office use only" column in the eServices Form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.
- 12.3.2.9 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

### **12.3.3 Keying-In The Removal of Email Address Request**

- 12.3.3.1 Key-in the depositor's CDS account number using the "Account Maintenance" screen. Retrieve the depositor's details and verify against the details stated in the eServices Form.
- 12.3.3.2 Reject the Removal of Email Address Request if the particulars of the depositor in Bursa Depository's records differ from eServices Form and state the reason(s) for rejection.
- 12.3.3.3 Proceed to update the Removal of Email Address into the CDS account if the particulars of the depositor are the same in the eServices Form and Bursa Depository's records.
- 12.3.3.4 Ensure that the "data entry by" column of the eServices Form is completed by the ADA personnel who performed the data entry.

*Note: The data entry personnel must not be the same person approving the Revocation Request.*

**12.3.4 Acknowledgement Of Receipt Of The Removal of Email Address Request**

12.3.4.1 Return a copy of the eServices Form to the depositor as acknowledgement only after the ADA has completed items in 12.3.3.

**12.3.5 Generate And Verify eServices Audit Report**

12.3.5.1 Print the eServices Audit Report for depositors that have removed their email address.

12.3.5.2 Verify the eServices Audit Report against the eServices Form to ensure that data entry has been performed correctly.

12.3.5.3 The ADA personnel who checked and verified the reports against the eServices Form must sign on the report.

**12.3.6 Sorting And Packing Of Forms**

12.3.6.1 Pack Bursa Depository's copies of the eServices Forms according to date of removal of email address and within the date of revocation by ascending account number.

12.3.6.2 Each package must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Forms by date of removal.

**Note:** *ADAs are allowed to pack eServices Forms used for the purpose of eDividend or eStatement together in with one parcel when submitting to Bursa Depository*

12.3.6.3 The covering letter must be signed by the authorised signatory(ies) of the ADA.

**12.3.7 Submission Of Removal of Email Address Documents To Bursa Depository**

12.3.7.1 ADA and ADA's branches located in Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the first (1st) market day of the following week or any such other day as instructed by Bursa Depository.

12.3.7.2 ADA and ADA's branches located outside Klang Valley must submit Bursa Depository's copies of eServices Forms to Bursa Depository by the second (2nd) market day of the following week or any such other day as instructed by Bursa Depository.

12.3.7.3 Send Bursa Depository's copies of the completed eServices Forms to Bursa Depository.

12.3.7.4 All the eServices Forms must be accompanied with a covering letter addressed to Bursa Depository stating the breakdown of eServices Forms by date of the form.

12.3.7.5 The covering letter must be signed by the authorised signatory(ies) of the ADA.

12.3.7.6 Bursa Depository will acknowledge receipt on the duplicate copy of the covering letter upon receipt of eServices Forms and the related supporting documents.

### **12.3.8 Filing Of Documents**

12.3.8.1 File the following documents:-

- a. ADA/ADM copy of the eServices Forms for individual and corporate depositors
  - b. eServices Audit Report.
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## **12.4 Inter Branch Transactions For eStatement**

Inter Branch Transactions are transactions performed at the branch office of an ADA.

### **12.4.1 Inter Branch Transactions With Regards To Receiving eMail Address For eStatement**

- 12.4.1.1 Ensure the depositor completes the eServices Form.
- 12.4.1.2 Receive the completed eServices Form from the depositor.
- 12.4.1.3 Verify the details in the eServices Form, i.e. name, identification number.
- 12.4.1.4 Verify the applicant's signature on the eServices Form against the ADA's records of specimen signature(s).
- 12.4.1.5 Ensure the signature on the form corresponds with that on the ADA's records of specimen signature(s).
- 12.4.1.6 Reject the eServices Form if the form not signed, signature differs or if there are any discrepancies.
- 12.4.1.7 Affix the ADA's company rubber-stamp on eServices Form at the space marked "to be completed by ADA".
- 12.4.1.8 Ensure that the "verified by" and "approved by" columns are signed by two (2) different authorized signatories of the ADA before data entry.
- 12.4.1.9 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and made the correction.
- 12.4.1.10 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.
- 12.4.1.11 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

12.4.1.12 Ensure that all eServices Forms are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.

12.4.1.13 Ensure that the ADA/ADM copies of eServices Forms bearing the IBT rubber-stamp are properly filed at the ADA.

12.4.1.14 All the other relevant procedures detailed in Section 12.1 are also applicable for Inter Branch Transaction With Regards To Receiving Email Address For eStatement.

#### **12.4.2 Inter Branch Transactions With Regards To Updating Of Depositor's Email Address**

12.4.2.1 Ensure the depositor completes the eServices Form.

12.4.2.2 Receive the completed eServices Form from the depositor.

12.4.2.3 Verify the details in the eServices Form, i.e. name, identification number.

12.4.2.4 Verify the applicant's signature on the eServices Form against the ADA's records of specimen signature(s).

12.4.2.5 Ensure the signature on the form corresponds with that on the ADA's records of specimen signature(s).

12.4.2.6 Reject the application if the form not signed, signature differs or if there are any discrepancies.

12.4.2.7 If the change of depositor's details is due to data entry error made by the ADA personnel:-

- a. Complete and submit to Bursa Depository the eServices Form
  - b. Affix the form with the designated "Updating of account particular(s) due to data entry error request" rubber-stamp
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- c. The ADA must justify the data entry error by providing Bursa Depository with the relevant supporting documents furnished by the depositor showing the discrepancy in data entry.

12.4.2.8 Affix the ADA's company rubber-stamp on eServices Form at the space marked "to be completed by ADA".

12.4.2.9 Ensure that the "verified by" and "approved by" columns are signed by two (2) different authorized signatories of the ADA before data entry.

12.4.2.10 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and made the correction.

12.4.2.11 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.

12.4.2.12 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

12.4.2.13 Ensure that all eServices Forms are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.

12.4.2.14 Ensure that the ADA/ADM copies of eServices Forms bearing the IBT rubber-stamp are properly filed at the ADA.

12.4.2.15 All the other relevant procedures detailed in Section 12.2 are also applicable for Inter Branch Transaction With Regards To Updating Of Depositor's Email Address.

### **12.4.3 Inter Branch Transactions With Regards To Removal of Email Address**

12.4.3.1 Ensure the depositor completes the eServices Form.

12.4.3.2 Receive the completed eServices Form from the depositor.

- 12.4.3.3 Verify the signature on the eServices Form from depositor against the ADA's records of specimen signature(s).
- 12.4.3.4 Ensure the signature on the form corresponds with that on the ADA's records of specimen signature(s).
- 12.4.3.5 Reject the application if the form not signed, signature differs or if there are any discrepancies.
- 12.4.3.6 Affix the ADA's company rubber-stamp on eServices Form at the space marked "to be completed by ADA".
- 12.4.3.7 Ensure that the "verified by" and "approved by" columns are signed by two (2) different authorized signatories of the ADA before data entry.
- 12.4.3.8 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Instead cancel the error and made the correction.
- 12.4.3.9 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.
- 12.4.3.10 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).
- 12.4.3.11 Ensure that all eServices Forms are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.
- 12.4.3.12 Ensure that the ADA/ADM copies of eServices Forms bearing the IBT rubber-stamp are properly filed at the ADA.
- 12.4.3.13 All the other relevant procedures detailed in Section 12.3 are also applicable for Inter Branch Transaction With Regards To Removal of Email Address.

