

**APPLICATION FOR REGISTRATION OF PARTICIPATING ORGANISATION  
PURSUANT TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD**

Please complete all sections of the form in full.

**THIS FORM MUST BE TYPEWRITTEN.** Please type using black ink as the form will be photocopied.

Read the *Guidance Notes* carefully before completing the form.

**For office use only**

Exchange's reference number .....

Date of Ministry of Finance's / Securities Commission's Approval:  
(Delete whichever not applicable)

**1. Particulars of the applicant Corporation**

Corporation's name in full

Date of incorporation  
(see Note 2 in the Guidance Notes)

Place of incorporation

Company No.

Principal Business

**Registered address for correspondence**  
(Please notify us of any change of address immediately)

**Business address (if different)**  
(Please notify us of any change of address immediately)



Telephone no.

Telephone no.

Facsimile no.

Facsimile no.

E-Mail Address

E-Mail Address

**2. State the names of shareholders in the Corporation and their respective shareholdings: -**

Name	No. of Shares	% of shareholding

**3. Proposed Issued Share Capital** (see Note 3 in the Guidance Notes)

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**4. Net Worth of Corporation** (see Note 4 in the Guidance Notes)

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**5. Name of Banker(s)**

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(To whom the Exchange may refer)

**6. Is the applicant a shareholder of any corporation incorporated in Malaysia or elsewhere?**

(Answer "Yes" or "No". If "Yes", name the corporations concerned, give dates and nature of business and shareholding percentage.)

Yes

No

(you may use a separate sheet)

Name of Corporation	Nature of Business	Shareholding percentage

**7. Name and Identity Card No. (IC No.) / Passport No. (for non-Malaysian citizen only) of Proposed Directors**

(see Note 5 in the Guidance Notes)

Proposed Director's Name	I.C. No. / Passport No.	Proposed Status: - (Executive Director Dealing / Executive Director Operations / Executive Director Compliance/ Non-Executive Director)

**8. Corporation's Declaration**

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Has the applicant or its shareholders been:-

- (a) licensed or registered in any capacity in any place in and/or outside Malaysia under any law which requires licensing or registration to deal or trade in securities?  Yes  No
- (b) refused membership of any stock exchange?  Yes  No
- (c) suspend and/or expelled from membership of any stock exchange?  Yes  No

**9. Certification from Director and Company Secretary**

We declare that all information given herein and the attached document(s) (if any) are true and correct.

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Director of Corporation authorised to sign on its behalf

Company Secretary

Dated this .....of .....

## Guidance notes

### Please read before completing application forms

These guidance notes are to be used as a generic guide to the registration of a Participating Organisation with the Bursa Malaysia Securities Berhad.

### 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 this document: -

“applicant” means a corporation applying for registration as Participating Organisation of the Exchange;

“Participating Organisation” means 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.

“stockbroking company” means a holder of a CMSL for the regulated activity of dealing in securities and is registered as a participating organisation under the rules of the stock exchange and the terms "stockbroker" or "broker" shall be construed accordingly.

### Note 2: Certificate of Incorporation.

Applicant Corporation to provide a certified true copy of certificate of incorporation.

### Note 3: Capital Requirement

Rule 13.03 stipulates that: -

#### Minimum paid-up capital and minimum shareholders’ funds unimpaired by losses

A Participating Organisation must maintain its paid-up capital and shareholders’ funds unimpaired by losses, at a level not less than the minimum set out below:

- (a) for an Investment Bank, as the Central Bank and the Commission may stipulate;
- (b) for a Universal Broker, RM100,000,000; and
- (c) for any other Participating Organisation, RM20,000,000.

### Note 4: Certificate of Net Worth of Corporation

Applicant Corporation to provide a certificate duly certified by a practising Public Accounting firm must accompany this application)

### Note 5: Rule 3.24 Minimum number of Heads

A Participating Organisation must have at least 3 Heads, namely Head of Dealing, Head of Operations and Head of Compliance. No other person other than these Heads is permitted to discharge the respective functions of the Heads as stipulated in these Rules.