

INFORMATION ON APPLICATION FOR REGISTRATION AS ADA OF BURSA MALAYSIA DEPOSITORY SDN BHD (“BURSA DEPOSITORY”)

All applicants are requested to carefully study the Rules of Bursa Depository before submitting their application. The Rules set out the rights and obligations of Participants of Bursa Depository.

1. Eligibility

Any of the following persons may in writing apply to the Bursa Depository to be appointed as its authorised depository agent:

- (a) a Stock Exchange;
- (b) a Clearing House;
- (c) a participating organisation of Bursa Malaysia Securities Berhad (Bursa Securities);
- (d) a bank licensed under the Islamic Banking Act 1983;
- (e) a bank, merchant bank or finance company licensed under subsection 6(4) of the Financial Services Act 2013;
- (f) a bank established under an Act of Parliament; or
- (g) a body corporate of a type prescribed by the Minister under the Securities Industry (Central Depositories) Act 1991.

2. Minimum Financial Requirement

The applicant has a minimum amount of capital funds of not less than twenty million ringgit (RM20,000,000.00) unimpaired by losses or in the case of a participating organisation, the minimum paid-up capital and shareholders' funds unimpaired by losses as may be prescribed from time to time under the Rules of the Stock Exchange;

3. Application to Bursa Depository

3.1 The applicant shall submit to Bursa Depository the following:

- i) Cover letter detailing the approval sought addressed to Bursa Depository accompanied with:
 - (a) 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); copies of the applicant's constitution, if any or other constituent documents evidencing the applicant's:
 - (i) directors and shareholders; and
 - (ii) paid-up capital;
 - (b) such documents and information as may be appropriate in respect of its financial standing such as:
 - Auditor's Certification;
 - Balance Sheet; and
 - i) Notice of registration;
 - ii) Notification of change in the Register of Directors, Manager and Secretaries;
 - iii) notice of registration of the new name;
 - iv) Return of allotment of shares;
 - v) Notification for change in the registered address (if relevant);
 - vi) Particulars of change or alteration relating to foreign company (if relevant);or similar documents of its nature.
- (c) Certified true copy of the applicant's previous two (2) years audited accounts;
- (d) Payment of a non-refundable processing fee of RM2,500.00,

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- ii) Any other approvals from any other relevant authorities as the case may be; and
- iii) Any other documents that may be required or relevant to the application.

4. Approval-in-Principle

4.1 Where the application is successful, Bursa Depository will grant its approval-in-principle for the registration of the applicant as ADA of Bursa Depository subject to the applicant meeting among others, the following:

- i) In the case of the applicant being a Participating Organisation, its registration as a Participating Organisation of Bursa Securities;
- ii) The applicant submitting the following:
 - Specimen signature card;
 - relevant account opening form; and
 - duly executed two (2) sets of the ADA Agreement;
- iii) The applicant’s satisfactory completion of the readiness assessment to be conducted by Bursa Depository;
- iv) The applicant complying with the requirement of the Rules of Bursa Depository including any directives, notices, circulars, guidelines and schedules issued by Bursa Depository and with other laws, rules and procedures that are applicable to it; and
- v) Payment of the relevant fees i.e. RM2,500 processing fee (if not already paid), RM5,000 appointment fee and RM5,000 annual fee.

5. Readiness Assessment

The applicant is required to undergo a Readiness Assessment, which scope, criteria and manners will be prescribed by Bursa Depository.

6. Registration with Bursa Depository

Once the applicant has fulfilled all conditions imposed by Bursa Depository, it will be registered as an ADA of Bursa Depository.

7. Fees applicable for ADA

Type	Amount
Processing Fee	RM2,500.00
Appointment Fee	RM5,000.00
Annual Fee	RM5,000.00

8. Contact

- Participants Affairs Department
Participants Supervision Division

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Regulation
Bursa Malaysia Berhad
2nd Floor, Exchange Square
50200 Kuala Lumpur

Tel: (603) 2034 7000, (603) 2034 4999 (General Line)

Fax: (603) 2026 3685 / 2732 8362

Website: www.bursamalaysia.com

e-mail: IAD@bursamalaysia.com