

DIRECTIVES ON THE USE OF DAY TRADING ACTIVITIES ACCOUNT	No. 7.05(1)-001
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Appendix 1(a)

Form MSD/PDT
Report Name PDT position reporting

Part A Exceptional reporting – Short sale carried forward (>T)

Submission by (PDT dealer) _____ (e.g Dealer ID – XYZ) _____ (e.g. Dealer Name – Tan Ah Kow)

PDT Account - - - (e.g 012-001-123456789)

#	Stock Code	Stock Name	Date (dd/mm/yy)	Quantity (in shares)			Reasons for not closing off positions	Mitigation/Action Plan
				Shorted	Bought Back	Carry Forward		
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

(Kindly insert new rows if the above is insufficient)

We hereby acknowledge that the above has been verified and accurately reported as stipulated in accordance with **paragraph 3.4(4)(a)**

Reported by
Signature _____
Name _____
Position Authorised person
Dated _____
Contact Number _____
Email Address _____

Verified and reviewed by
Signature _____
Name _____
Position Authorised Person
Dated _____
Contact Number _____
Email Address _____

[End of ~~Directive 1(a)Appendix~~]

DIRECTIVES ON THE USE OF DAY TRADING ACTIVITIES ACCOUNT	No. 7.05(1)-001
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Appendix 1(b)

Form MSD/PDT
Report Name PDT position reporting

Part B Exceptional reporting – Long position carried forward (>T+2)

Submission by (PDT dealer) _____ (e.g Dealer ID - XYZ) _____ (e.g. Dealer Name - Tan Ah Kow)

PDT Account _____ (e.g 012-001-123456789)

#	Stock Code	Stock Name	Date (dd/mm/yy)	Quantity (in shares)			Reasons for not closing off positions	Mitigation/Action Plan
				Shorted	Bought Back	Long Positions		
1								
2								
3								
4								
5								
6								
7								
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9								
10								
11								
12								
13								
14								
15								

(Kindly insert new rows if the above is insufficient)

We hereby acknowledge that the above has been verified and accurately reported as stipulated in accordance with **paragraph 3.4(4)(b)**

Reported by Signature _____ Name _____ Position <u>Authorised person</u> Dated _____ Contact Number _____ Email Address _____	Verified and reviewed by Signature _____ Name _____ Position <u>Authorised person</u> Dated _____ Contact Number _____ Email Address _____
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[End of Appendix 1(b)]

**ANNEXURE 1
AMENDMENTS TO THE DIRECTIVES
in relation to the Exceptional Reporting templates**

DIRECTIVES ON THE USE OF DAY TRADING ACTIVITIES ACCOUNT	No. 7.05(1)-001
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Appendix 1(c)

Form Report Name MSD/PDT
PDT position reporting

Part C Exceptional reporting – ACE Market / LEAP Market securities

Submission by (PDT dealer) _____ (e.g Dealer ID - XYZ) _____ (e.g. Dealer Name - Tan Ah Kow)

PDT Account - - - (e.g 012-001-123456789)

#	Stock Code	Stock Name	Date (dd/mm/yy)	Quantity (in shares)			Reasons for not closing off positions	Mitigation/Action Plan
				Shorted	Bought Back	Long Positions		
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

(Kindly insert new rows if the above is insufficient)

We hereby acknowledge that the above has been verified and accurately reported as stipulated in accordance with **paragraph 3.4(4)(c)**

Reported by
Signature _____
Name _____
Position Authorised person
Dated _____
Contact Number _____
Email Address _____

Verified and reviewed by
Signature _____
Name _____
Position Authorised person
Dated _____
Contact Number _____
Email Address _____

[End of ~~Directive 1(c)~~Appendix]

DIRECTIVES ON INTRADAY SHORT SELLING	No. 8-003
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APPENDIX 4(a)

Exceptional Reporting template

Form MSD/IDSS
Report Name IDSS Position Reporting
PART A EXCEPTIONAL REPORTING – SHORT SALE CARRIED FORWARD (>T)

Submission By:
Dealer-in-charge : _____ (Dealer ID – XYZ123)
Dealer Name : _____
CDS A/C No. : _____ - _____ - _____ (e.g. xxx-xxx-xxxxxxxxx)
Client Name : _____

#	Stock Code	Stock Name	Date (dd/mm/yy)	Quantity (in shares)			Reasons for shorting non-IDSS stock	Mitigation/Action Plan
				Shorted	Bought Back	Carry Forward		
1								
2								
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9								
10								

(Kindly attach in extra sheet if the above is insufficient)

We hereby acknowledge that the above has been verified and accurately reported as stipulated in accordance with **paragraph 3.1(2)(a)**.

Reported by:	Verified and Reviewed By:
<u>Signature</u>	<u>Signature</u>
<u>Name</u>	<u>Name</u>
<u>Position</u>	<u>Position</u>
<u>Dated</u>	<u>Dated</u>
<u>Contact No.</u>	<u>Contact No.</u>
<u>Email address</u>	<u>Email address</u>

[End of Appendix]

DIRECTIVES ON THE USE OF DAY TRADING ACTIVITIES ACCOUNT	No. 7.05(1)-001
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APPENDIX 4(b)

Exceptional Reporting template

Form MSD/IDSS
 Report Name IDSS Reporting
PART B EXCEPTIONAL REPORTING – INTRA-DAY SHORT SALE CARRIED IN NON-IDSS PERMISSIBLE STOCK

Submission By:
 Dealer-in-charge : _____ (Dealer ID – XYZ123)
 Dealer Name : _____
 CDS A/C No. : _____ (e.g. xxx-xxx-xxxxxxxx)
 Client Name : _____

#	<u>Stock Code</u>	<u>Stock Name</u>	<u>Date (dd/mm/yy)</u>	<u>Quantity (in shares)</u>			<u>Reasons for shorting non-IDSS stock</u>	<u>Mitigation/Action Plan</u>
				<u>Shorted</u>	<u>Bought Back</u>	<u>Carry Forward</u>		
1								
2								
3								
4								
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7								
8								
9								
10								

(Kindly attach in extra sheet if the above is insufficient)

We hereby acknowledge that the above has been verified and accurately reported as stipulated in accordance with **paragraph 3.1(2)(b)**.

<u>Reported by:</u>	<u>Verified and Reviewed By:</u>
<u>Signature</u>	<u>Signature</u>
<u>Name</u>	<u>Name</u>
<u>Position</u>	<u>Position</u>
<u>Dated</u>	<u>Dated</u>
<u>Contact No.</u>	<u>Contact No.</u>
<u>Email address</u>	<u>Email address</u>

[End of Appendix]