

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

Relevant to : Rules 3.02(1)(a), 3.04, 3.10, 3.20 ~~and~~ 3.08, 3.18(3), ~~Rule~~ 3.51, 3.52 and 3.53  
Introduced with effect from : 2 May 2013  
Amended : N/A  
POs' Circular No(s). : R/R 12 of 2012  
Refer also to Directive No(s). : N/A

### **Introduction**

This Directive sets out the procedures for making applications to the Exchange under Chapter 3 of the Rules.

## **1. Rule 3.02(1)(a)**

- (1) To become a Participating Organisation, Rule 3.02(1)(a) requires an applicant to apply to the Exchange in accordance with the requirements the Exchange stipulates.
- (2) The following sets out the details of the Exchange's requirements, amongst others, in relation to the application.

### **1.1 Participating Organisation**

An applicant must complete and submit an application to the Exchange in the form set out in **Appendix 1A** of this Directive, accompanied by:

- (a) copies of the applicant's memorandum and articles of association or other constituent documents evidencing the applicant's:
  - (i) directors and shareholders; and
  - (ii) authorised and paid-up capital;
- (b) evidence that the applicant's application for a Capital Markets Services Licence for dealing in securities has been approved;
- (c) any additional document required for an application for admission to a specific category of Participating Organisation;
- (d) payment of the non-refundable application fee set out in Schedule 1 (if any);
- (e) an undertaking in the form set out in **Appendix 2A**; and
- (f) such evidence the Exchange regards as satisfactory to show that, at the time of the application, the Participating Organisation is able to comply with the financial requirements in Chapter 13 of the Rules.

## **2. Rule 3.04**

Rule 3.04 requires a Participating Organisation to notify the Exchange if the Participating Organisation changes status from one category to another based on the categorisation stipulated under Rule 3.02(5).

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

The following procedures apply in respect of the relevant notification required under this Rule.

**2.1 Change of status to Investment Bank**

- (1) If a Participating Organisation obtains approval to operate as an Investment Bank, the Participating Organisation must notify the Exchange in writing.
- (2) The notification must be given prior to the Participating Organisation commencing business as an Investment Bank.
- (3) A Participating Organisation must submit to the Exchange, the following documents together with the above notice:
  - (a) copies of the applicant's memorandum and articles of association or other constituent documents evidencing the applicant's:
    - (i) directors and shareholders; and
    - (ii) authorised and paid-up capital;
  - (b) a copy of the Participating Organisation's Capital Markets Services Licence for dealing in securities;
  - (c) a copy of the merchant banking licence issued by the Central Bank pursuant to Section 5 of BAFIA; and
  - (d) the relevant documents required under the Companies Act to evidence the change of name of the Participating Organisation (if any).

**3. Rule 3.1~~10~~**

- (1) ~~Rule 3.11(1) imposes an obligation on a Participating Organisation to register with the Exchange sets out the registration procedures for the~~ persons enumerated under Rule 3.10.
- (2) The following procedures apply in respect of applications for registration of ~~the following~~ Registered Persons.

**3.1 Registration Procedures for Registered Persons**

- ~~(1) The Participating Organisation of the person who is to be registered as a Registered Person is required to make only one submission through the Commission's Electronic Licensing Application ("ELA") System for the purpose of licensing or approval by the Commission and registration with the Exchange.~~
- ~~(2) For the purpose of the registration with the Exchange, a Participating Organisation must submit through the ELA System:~~
  - ~~(a) the duly completed application in the form set out in **Appendix 1B** of this Directive to the Exchange;~~
  - ~~(b) an undertaking in the form set out in **Appendix 2B** of this Directive; and~~

**ANNEXURE 1**  
**AMENDED DIRECTIVE**

**in relation to the registration procedures for Registered Persons**

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

(c) if more than 1 Head is appointed by the Participating Organisation in the areas of dealing, operations or compliance respectively, a description of the area and responsibility of each Head.

(referred to collectively as “the Exchange’s Information”)

(3) A Participating Organisation must make payment to the Exchange of the non-refundable registration fee set out in **Schedule 1** of this Directive (if any) concurrently with the submission of the documents in paragraph 3.1(2).

(4) By making the submission through the ELA, the Participating Organisation agrees that although the submission is directed to the Commission, it forms part of the submission to the Exchange. The Participating Organisation agrees that the relevant information in the submission made through the ELA System (together with the Exchange’s Information) may be transmitted into the Exchange’s system for approval, upon the Commission’s approval of the application.

(5) The Exchange will send a notification to the Participating Organisation if the application is approved by the Exchange.

(6) A Participating Organisation must retain possession of the original copies of the Exchange’s Information and must produce such original copies to the Exchange at the Exchange’s request.

**3.1 Chief Executive Officer**

~~(1) A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~

~~(a) a copy of the Capital Markets Services Representative’s Licence for dealing in securities or evidence that the application for a Capital Markets Services Representative’s Licence for dealing in securities has been approved, in the event the Chief Executive Officer is a Capital Markets Services Representative’s Licence holder or intends to hold one;~~

~~(b) a copy of the Commission’s approval of the Chief Executive Officer’s appointment as a Chief Executive Officer of the Participating Organisation;~~

~~(c) a copy of the Central Bank’s approval of the Chief Executive Officer’s appointment as a Chief Executive Officer of the Investment Bank, in the event the Participating Organisation is an Investment Bank;~~

~~(d) a copy of the Chief Executive Officer’s identification card (for Malaysian) or passport (for non-Malaysian);~~

~~(e) 2 identity card sized photographs of the Chief Executive Officer;~~

~~(f) payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any); and~~

~~(g) an undertaking in the form set out in **Appendix 2B** of this Directive.~~

~~(2) The application to register the Chief Executive Officer must be made on the same day the approval referred to in Paragraph 3.1(1)(b) is given by the Commission.~~

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

~~(3) The effective date of registration of a Chief Executive Officer will be the date the Chief Executive Officer was appointed by the Participating Organisation.~~

**~~3.2 Head of Dealing~~**

~~(1) A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~

~~(a) a copy of the proposed Head of Dealing's Capital Markets Services Representative's Licence for dealing in securities or evidence that the proposed Head of Dealing's application for a Capital Markets Services Representative's Licence for dealing in securities has been approved;~~

~~(b) evidence of the Commission's approval of the proposed Head of Dealing's appointment as a Head of Dealing of the Participating Organisation;~~

~~(c) a copy of the proposed Head of Dealing's identification card (if Malaysian) or passport (if not Malaysian);~~

~~(d) 2 identity card sized photographs of the proposed Head of Dealing;~~

~~(e) payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any);~~

~~(f) an undertaking in the form set out in **Appendix 2B** of this Directive; and~~

~~(g) if more than 1 Head of Dealing is appointed by the Participating Organisation, the respective area and scope of responsibility of each Head of Dealing.~~

~~(2) The effective date of registration of a Head of Dealing will be the date that is entered into the Exchange's register.~~

**~~3.3 Head of Operations~~**

~~(1) A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~

~~(a) evidence of the Commission's approval of the proposed Head of Operations' appointment as a Head of Operations of the Participating Organisation;~~

~~(b) a copy of the proposed Head of Operation's identification card (if Malaysian) or passport (if not Malaysian);~~

~~(c) 2 identity card sized photographs of the proposed Head of Operations;~~

~~(d) payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any);~~

~~(e) an undertaking in the form set out in **Appendix 2B** of this Directive; and~~

~~(f) if more than one Head of Operations is appointed by the Participating Organisation, the respective area and scope of responsibility of each Head of Operations.~~

~~(2) The effective date of registration of a Head of Operations will be the date that is entered into the Exchange's register.~~

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

**3.4 — Head of Compliance**

- ~~(1) — A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~
- ~~(a) — evidence of the Commission's approval of the proposed Head of Compliance's appointment as a head of compliance of the Participating Organisation;~~
  - ~~(b) — a copy of the proposed Head of Compliance's identification card (if Malaysian) or passport (if not Malaysian);~~
  - ~~(c) — 2 identity card sized photographs of the proposed Head of Compliance;~~
  - ~~(d) — payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any);~~
  - ~~(e) — an undertaking in the form set out in **Appendix 2B** of this Directive; and~~
  - ~~(f) — if more than 1 Head of Compliance is appointed by the Participating Organisation, the respective area and scope of responsibility of each Head of Compliance.~~
- ~~(2) — The effective date of registration of a Head of Compliance will be the date that is entered into the Exchange's register.~~

**3.5 — Director**

- ~~(1) — A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~
- ~~(a) — a copy of the Participating Organisation's notification to the Commission of the Director's appointment as a Director of a Participating Organisation;~~
  - ~~(b) — a copy of the Director's identification card (if Malaysian) or passport (if not Malaysian);~~
  - ~~(c) — 2 identity card sized photographs of the proposed Director;~~
  - ~~(d) — payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any); and~~
  - ~~(e) — an undertaking in the form set out in **Appendix 2B** of this Directive.~~
- ~~(2) — The application to register the Director must be made on the same day the approval referred to in Paragraph 3.5(1)(a) is given by the Commission.~~
- ~~(3) — The effective date of registration of a Director will be the date the Director was appointed by the Participating Organisation.~~

**3.6 — Dealer's Representative**

- ~~(1) — A Participating Organisation must complete and submit to the Exchange the form set out in **Appendix 1B** of this Directive, accompanied by:~~
- ~~(a) — a copy of the Dealer's Representative's Capital Markets Services Representative's Licence for dealing in securities or evidence that the proposed Dealer's Representative's application~~

**ANNEXURE 1  
AMENDED DIRECTIVE**

**in relation to the registration procedures for Registered Persons**

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

~~for a Capital Markets Services Representative's Licence for dealing in securities has been approved;~~

~~(b) a copy of the Dealer's Representative's identification card (if Malaysian) or passport (if not Malaysian);~~

~~(c) 2 identity card sized photographs of the Dealer's Representative;~~

~~(d) payment of the non-refundable fee set out in **Schedule 1** of this Directive (if any); and~~

~~(e) an undertaking in the form set out in **Appendix 2B** of this Directive.~~

~~(2) The effective date of registration of a Dealer's Representative will be the date that is entered into the Exchange's register.~~

**3.27 Registration of a person falling within 2 or more categories of Registered Person**

(1) A Participating Organisation must register the Participating Organisation's proposed Registered Person under all categories applicable to that proposed Registered Person.

(2) The Participating Organisation must pay the fees the Exchange stipulates (if any) for the category with the highest total fees charged, instead of fees stipulated for each applicable category.

For example:

A Head of Dealing must be registered as both a Head of Dealing and a Dealer's Representative.

The total ~~admission, application, registration~~ and monthly subscription fees (for the first month) for the registration of a Head of Dealing and Dealer's Representative is set out below.

	Total fees payable for the first month of registration	Head of Dealing (RM)	Dealer's Representative (RM)
<del>(a)</del> <del>Application fee</del>		<del>1,000.00</del>	-
<del>(ab)</del> Registration fee		2,500.00	500.00
<del>(be)</del> Monthly subscription fee		300.00	-
Aggregate fees payable		<b>23,800.00</b>	<b>500.00</b>

As the amount payable for the registration of a Head of Dealing (which is RM~~2,3800~~) is higher than a Dealer's Representative (which is RM500), that person must pay the fees for the registration of a Head of Dealing (which is RM~~2,3800~~). That person need not pay any fees for registering as a Dealer's Representative.

**4. Rules 3.08 and 3.20**

(1) Rule 3.08 requires a Participating Organisation to pay the Exchange all fees and charges the Exchange stipulates in the manner and within the period the Exchange specifies.

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

(2) Rule 3.20 requires a Participating Organisation to pay the Exchange all fees and charges the Exchange stipulates for the registration of a Registered Person in the manner and within the period the Exchange specifies.

(3) In connection with the above Rules, a Participating Organisation must, amongst others, comply with the requirements set out below.

**4.1 Admission or registration fees**

(1) The fees payable to the Exchange in connection with any application for admission or registration under Chapter 3 are set out in Schedule 1 of this Directive.

(2) Unless the Exchange decides otherwise, subscription fees will be charged on a monthly basis.

**4.2 System maintenance fee**

A Participating Organisation must pay to the Exchange a fee at the rate of 0.0025% of the Contract Value (as defined in Rule 11.01) for maintaining and managing the ATS.

**4.3 Bursa Access Fees**

A Participating Organisation must pay to the Exchange the fees applicable in relation to access to the ATS ("Bursa Access Fees") as set out in **Schedule 3** of this Directive.

**4.4 Other fees or charges**

The Exchange may require a Participating Organisation to pay such monthly or other fees or charges the Exchange stipulates for the trading on the Exchange and the use of the Exchange's trading facilities.

**5. Rule 3.18(3)**

(1) Rule 3.18(3) requires a Participating Organisation to register with the Exchange a person temporarily assuming responsibility for the functions of a vacated office under Rule 3.18(2).

(2) The following procedure applies in respect of an application to register a person temporarily assuming responsibility for the functions of a vacated office under Rule 3.18(2).

**5.1 Registration pursuant to vacancy**

A Participating Organisation must complete and submit an application to the Exchange in the form set out in **Appendix 1B** of this Directive, accompanied by:

- (a) any applicable fee the Exchange stipulates; and
- (b) an undertaking in the form set out in **Appendix 2B** of this Directive.

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

**6. Rule 3.52**

- (1) Rule 3.52 requires a Participating Organisation to notify the Exchange of any re-designation of any of the Participating Organisation's Dealer's Representatives between the different categories of Dealer's Representatives.
- (2) The following procedures apply in respect of a notification to the Exchange of any re-designation of any of the Participating Organisation's Dealer's Representatives.

**6.1 Re-designation**

A Participating Organisation may re-designate a Proprietary Day Trader to a Commissioned Dealer's Representative or a Salaried Dealer's Representative but must notify the Exchange 3 days prior to the effective date of the re-designation and make payment of the non-refundable fee as set out in **Schedule 1** of this Directive.

**7. Rule 3.53**

- (1) This Rule requires a Participating Organisation to apply to the Exchange for approval to transfer the registration of a Dealer's Representative:
  - (a) who is employed or engaged by another Participating Organisation; or
  - (b) who, not more than 6 months prior to the intended date of employment or engagement with the Participating Organisation, was employed or engaged by another Participating Organisation.
- (2) The following procedure applies in respect of an application for approval to transfer the registration of a Dealer's Representative under this Rule.

**7.1 Transfer of Dealer's Representative**

- (1) A Participating Organisation must submit to the Exchange a written application in the form the Exchange stipulates accompanied by:
  - (a) The forms set out in **Appendix 3A** and **3B** of this Directive;
  - (b) a letter of release from the Participating Organisation with whom the transferring Dealer's Representative is presently employed or engaged;
  - (c) a copy of the transferring Dealer's Representative's Capital Markets Services Representative's Licence for dealing in securities; and
  - (d) payment of the transfer fee in the amount set out in **Schedule 2** of this Directive or such other amount the Exchange determines.
- (2) After the third transfer, the Exchange may:
  - (i) refuse any further application for transfer in respect of the Dealer's Representative; or
  - (ii) approve the same subject to payment of a fee at twice the rate applicable on the third transfer.



**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

- (3) A Commissioned Dealer's Representative intending to transfer to another Participating Organisation within 6 months of the re-designation of that Commissioned Dealer's Representative's status from a Salaried Dealer's Representative to a Commissioned Dealer's Representative is subject to the transfer fee of a Salaried Dealer's Representative.
- (4) If at any time during the period of 6 months prior to the application for transfer, the Proprietary Day Trader was a Commissioned Dealer's Representative or a Salaried Dealer's Representative, the transfer fee for that Proprietary Day Trader will be:
- (i) if the Proprietary Day Trader was a Commissioned Dealer's Representative, as that specified in paragraph (a) in **Schedule 2** of this Directive; or
  - (ii) if the Proprietary Day Trader was a Salaried Dealer's Representative, as that specified in paragraph (b) in **Schedule 2** of this Directive.

**8. Rule 3.51**

- (1) A Participating Organisation must notify the Exchange in writing of any transfer of a Dealer's Representative within the different offices of the Participating Organisation.
- (2) Pursuant to the above Rule, a Participating Organisation must, amongst others, comply with the requirements set out below.

**8.1 Requirements**

- (1) A Participating Organisation must notify the Exchange within 14 days from the effective date of the transfer of a Dealer's Representative from one location to another location within the Participating Organisation by submitting the following details:
- (a) Name of Dealer's Representative
  - (b) Location whereby he/she is moving from,
  - (c) Location whereby he/she is moving to, and
  - (d) Effective date of such movement.
- (2) A Participating Organisation is not required to get prior approval-in-principle from the Exchange for the transfer.

[End of Directive]

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

**Schedule 1**

**Fees for Participating Organisations and Registered Person**

	<b>Description</b>	<b>Application Fee (RM)</b>	<b>Registration Fee (RM)</b>	<b>Subscription Fee (RM) (per month)</b>	<b>Re- designation Fee (RM)</b>
(a)	Participating Organisation	2,500.00	10,000.00	1,000.00	Nil
(b)	Chief Executive	Nil	Nil	Nil	Nil
(c)	Head of Dealing	<del>1,000.00</del> Nil	2,500.00	300.00	Nil
(d)	Head of Operations	Nil	Nil	Nil	Nil
(e)	Head of Compliance	Nil	Nil	Nil	Nil
(f)	Director	<del>500.00</del> Nil	2,500.00	100.00	Nil
(g)	Dealer's Representative: Commissioned Dealer's Representative and Salaried Dealer's Representative	Nil	500.00	Nil	Nil
(h)	Dealer's Representative: Proprietary Day Trader	Nil	500.00	Nil	500.00*
(i)	Registration of a person temporarily assuming responsibility for the functions of a vacated office under Rule 3.18(3)	Nil	Nil	Nil	Nil

\* Does not apply the first time either a Commissioned Dealer's Representative or a Salaried Dealer's Representative is re-designated as a Proprietary Day Trader. In such case, no re-designation fee will be imposed.

[End of Schedule 1]

**ANNEXURE 1  
AMENDED DIRECTIVE**

**in relation to the registration procedures for Registered Persons**

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

**Appendix 1B**

**Registration Form for Registered Person**

Name of Participating Organisation:

Company No.:

Address:

Date:

To: Bursa Malaysia Securities Berhad ("the Exchange")

Dear Sirs,

**Appointment and Registration of a <sup>#</sup>[Chief Executive Officer / Head of Dealing / Head of Operations / Head of Compliance / Director / Dealer's Representative]**

We, [*name of Participating Organisation*], are desirous of appointing and registering the following person as a <sup>#</sup>[Chief Executive Officer / Head of Dealing / Head of Operations / Head of Compliance / Director / Dealer's Representative (<sup>#</sup>Commissioned Dealer's Representative/Salaried Dealer's Representative/Proprietary Day Trader)] of [*name of Participating Organisation*] upon the terms and subject in all respects to the Rules of the Exchange and the Directives (as defined in the Rules of the Exchange).

Name of proposed Registered Person:

NRIC:

Address:

In support of this submission, we enclose:

~~(1) a duly completed registration form together with the required supporting documents;~~

~~\*(2) the non-refundable fee of RM[specify amount];~~

~~\*(3) a copy of the proposed Registered Person's Capital Markets Services Representative's Licence for dealing in securities or evidence that the proposed Registered Person's application for a Capital Markets Services Representative's Licence for dealing in securities has been approved;~~

~~\*(4) evidence of the Securities Commission's ("SC") approval of the proposed Registered Person's appointment as a <sup>#</sup>[Chief Executive Officer / Head of Dealing / Head of Operations / Head of Compliance];~~

~~\*(5) a copy of the notification given by [*name of Participating Organisation*] to the SC of the proposed Registered Person's appointment as a Director;~~

~~\*(6) a copy of the Central Bank of Malaysia's approval to the proposed Registered Person's appointment as a Chief Executive Officer (if applicable);~~

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

\*(~~71~~) the respective area and scope of responsibility of each of the #[Chief Executive Officers / Heads of Dealing / Heads of Operations / Heads of Compliance] of [*name of Participating Organisation*]; and

(~~82~~) an undertaking by the proposed Registered Person in the form the Exchange stipulates.

\* The non-refundable fee of RM [*specify amount*] stipulated by the Exchange will be paid to the Exchange concurrently with this submission.

Yours faithfully,

Signed by Authorised Signatory(ies) )  
for and on behalf of [*name of Participating Organisation*] )  
in the presence of: )

# Delete whichever inapplicable.

\* Delete if inapplicable

[End of Appendix 1B]

**ANNEXURE 1**  
**AMENDED DIRECTIVE**  
in relation to the registration procedures for Registered Persons

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
PURSUANT TO CHAPTER 3 OF THE RULES**

**No. 3-001**

**Appendix 2B**

**Undertaking – Registered Person (all categories)**

....., 20.....

To:

**Bursa Malaysia Securities Berhad** (“the Exchange”)

In consideration of the Exchange approving the application for my registration with the Exchange as a [*specify category of Registered Person*] in accordance with the Rules of Bursa Malaysia Securities Berhad (“Rules”) and the Directives (as defined in the Rules) (collectively, “Exchange’s Requirements” and includes all amendments and supplements to the Rules and Directives), I hereby irrevocably and unconditionally undertake and agree as follows:-

- | # (1) that I satisfy the qualification criteria for a [*specify category of Registered Person*] set out in Chapter 3 of the Rules;
- | ~~(2) that I \**[am/am not]* a holder of the relevant Capital Markets Services Representative’s Licence;~~
- | ~~(32)~~ that the information and documents accompanying the application for registration as [*specify category of Registered Person*] are complete and accurate;
- | ~~(43)~~ that the Exchange may obtain from or provide to any regulatory authority (whether in or out of Malaysia) any information directly or indirectly relating to me for any purpose relating to or in connection with discharging any function of the Exchange or that regulatory authority;
- | ~~(54)~~ to notify the Exchange immediately in writing of any changes in the information given together with the application for my registration as a [*specify category of Registered Person*];
- | ~~(65)~~ that until and unless I have been duly registered by the Exchange as a [*specify category of Registered Person*], not to act in any manner for and on behalf of [*name of Participating Organisation*];
- | ~~(76)~~ to abide by the decision of the Exchange in relation to the application for my registration as a [*specify category of Registered Person*] of [*name of Participating Organisation*];
- | ~~(87)~~ to be bound in all respects by and to comply with the Exchange’s Requirements in so far as they apply directly or indirectly to a [*specify category of Registered Person*];
- | ~~(98)~~ to indemnify and keep the Exchange fully indemnified from and against all losses, damages, costs, expenses, actions and claims or otherwise which the Exchange may incur arising out of any act or omission on my part or failure by me to comply with any provisions in the Exchange’s Requirements; and
- | ~~(109)~~ notwithstanding my ceasing to be registered as a [*specify category of Registered Person*] with the Exchange for any reason whatsoever, to continue to be bound by the Exchange’s Requirements in so far as they may relate to any act or omission that I may, in the opinion of the Exchange, have committed or omitted to do during the period of my registration with the Exchange.

**ANNEXURE 1  
AMENDED DIRECTIVE**

**in relation to the registration procedures for Registered Persons**

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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I acknowledge that:

- (a) the approval of the application for my registration as a [*specify category of Registered Person*] with the Exchange; or
- (b) any indulgence or delay in making any demand or instituting any action by the Exchange,

will not constitute or be deemed to operate as a waiver by the Exchange of any of its rights under this undertaking or under the Exchange's Requirements.

I further acknowledge that I will remain registered as a [*specify category of Registered Person*] with the Exchange at the discretion of the Exchange.

Signed by [*name of proposed Registered Person*]                     )  
in the presence of   )

<sup>#</sup> Delete if inapplicable. Inapplicable if the proposed Registered Person is the Chief Executive Officer or Director.

| ~~\* Delete if inapplicable.~~

[End of Appendix 2B]