

**PARTICIPATING ORGANISATIONS' CIRCULAR****Date : 24 November 2011****R/R No. : 10 of 2011****DIRECTIVES ON SUBMISSION BY PARTICIPATING ORGANISATIONS OF PERIODIC REPORTS BY ELECTRONIC TRANSMISSION TO BURSA MALAYSIA SECURITIES BHD ("EXCHANGE")****A) DIRECTIVES**

Kindly be informed that the following directives are issued pursuant to Rule 201.1(2) of the Rules of Bursa Malaysia Securities Bhd.

**1. APPLICATION AND EFFECT**

- 1.1 These directives supersede the directives in Participating Organisations' Circular R/R 2 of 2007. Participating Organisations ("POs") are to note that changes in obligations as compared to R/R 2 of 2007 are as set out in the Schedule and appendices of this circular, in respect of the types of periodic reports to be submitted, the frequency and the templates to be used.
- 1.2 Words and expressions defined in the Rules of Bursa Securities bear the same meaning in these directives unless the context otherwise requires or they are otherwise defined in these directives.

**2. REPORTING REQUIREMENTS**

- 2.1 POs must submit the periodic reports prescribed in the Schedule attached ("Schedule") to the Exchange –
- (a) in the prescribed format attached as appendices to the Schedule ("Templates");
  - (b) via the Exchange's File Information Exchange System ("FIX System"); and
  - (c) not later than the times and days stipulated in the Schedule.
- 2.2 A PO and the relevant Heads must ensure that all periodic reports transmitted via the FIX System ("Periodic Reports"), are reviewed by the relevant authorised officer and the reports are factual, accurate, comprehensive and not misleading. In this respect, the respective Heads will be held accountable for the Periodic Reports submitted notwithstanding that the Reports may be submitted by a person other than the Heads.
- 2.3 If a PO is, for any reason whatsoever, unable to transmit by the stipulated times all or any of the Periodic Reports through the FIX System, the PO must submit the duly completed and printed hard copy of such Periodic Report by way of facsimile, courier or by hand not later than the stipulated times and days set out in the Schedule for the duration of its inability to transmit electronically via the FIX System.
- 2.4 If having submitted the Periodic Report through the FIX System a PO amends any of the Periodic Reports for any reason whatsoever, the PO must re-submit the duly amended Periodic Report by way of facsimile not later than the stipulated times and days set out in the Schedule, and deliver the hard copy of the Periodic Report by courier or by hand as soon as possible.
- 2.5 The Exchange may at any time prescribe any other periodic reports to be submitted via the FIX System or vary the times, frequency and manner for submission of any Periodic Report prescribed in the Schedule.

2.6 POs must comply with the operational procedures and guidelines on the use of the FIX System as may be prescribed from time to time.

**B. EFFECTIVE DATE**

The directives are effective from 1 January 2012.

**C. CONTACT PERSONS**

In the event of any queries in relation to the directives, kindly contact the following persons:

Name	Contact Details
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This circular is available at  
[http://www.bursamalaysia.com/website/bm/rules\\_and\\_regulations/bursa\\_rules/bm\\_securities.html](http://www.bursamalaysia.com/website/bm/rules_and_regulations/bursa_rules/bm_securities.html)

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**REGULATION**

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports pursuant to paragraphs 2.3 & 2.4
1.	Market Positions of Participating Organisations	Appendix 1a	Weekly (WK.xls)	Weekly report By 5.30 p.m., of the first market day of the week following the date of the report	Weekly report By 8.30 p.m., of the first market day of the week following the date of the report
2.	Margin Account Positions of Participating Organisations	Appendix 1b			
3.	Clients' Trust Monies, Remisiers'/ Salaried Dealer's Representatives' Deposits and Overpledging of Shares	Appendix 1c			
4.	Investment, PDT & Error or Mistake Accounts Of Participating Organisations	Appendix 1d			
5.	Securities Borrowing & Lending – List of clients with collateral below 102%	Appendix 1e			
6.	Securities Borrowing & Lending for potential failed trades	Appendix 1f			
7.	Additional Explanatory Notes ( <i>for report item no. 1 to 6</i> )	Appendix 1g			
8.	Gearing Ratio, Margin Financing and Shareholders' Funds	Appendix 2a	Monthly (MTH.xls)	By 5.30 p.m., not later than ten (10) market days from the last day of the reporting month	By 8.30 p.m., not later than ten (10) market days from the last day of the reporting month
9.	Maintenance of Margin Accounts – Equity Value <130% of the Outstanding Balance	Appendix 2b			
10.	Interest In Suspense and Provision for Bad & Doubtful Debts	Appendix 2c			

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports pursuant to paragraphs 2.3 & 2.4
11.	Additional Explanatory Notes ( <i>for report item no. 8 to 10</i> )	Appendix 2d			
12.	Profit & Loss Statement Of Participating Organisations	Appendix 3a	Quarterly (QTR.xls)	<u>Quarterly report</u> By 5.30 p.m., before the end of the second month following the reporting quarter	<u>Quarterly report</u> By 8.30 p.m., before the end of the second month following the reporting quarter
13.	Additional Explanatory Notes ( <i>for report item no. 12</i> )	Appendix 3b			
14.	Failure to Deliver (Auto Buying-in)	Appendix 4	As and when there is an auto-buying-in  (Bia.xls)	By 12.30 p.m. on the buying-in day (T+3)	By 3.30 p.m. on the buying-in day (T+3)
15.	Failure to Deliver (Manual Buying-in)	Appendix 5	As and when there is a manual buying-in  (Bim.xls)	By 5.30 p.m. on the buying-in day	By 8.30 p.m. on the buying-in day

[End of Schedule]

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MARKET POSITIONS OF PARTICIPATING ORGANISATIONS  
(Weekly Submission)**

Participating Organisation:

&lt;&lt;insert name of Participating Organisation&gt;&gt;

Position As At:

month/date/year

(last market day of the week)

i) **Clients' accounts (excluding discretionary financing & margin accounts)**

Transaction	Days Outstanding			Total at cost RM	Total at marked to market value RM
	T to T+3 RM	T+4 to T+8 RM	T+9 and beyond RM		
Outstanding Purchases	0.00	0.00	0.00	0.00	0.00
Contra Losses	0.00	0.00	0.00	0.00	Not applicable
Outstanding Sales	0.00	0.00	0.00	0.00	Not applicable
Contra Gains	0.00	0.00	0.00	0.00	Not applicable
<b>Net Balance</b>	0.00	0.00	0.00	0.00	Not applicable

*For the purpose of reporting, the above should include "Clearing Accounts" and "Short-Selling Position" for clients.*

ii) **Clients' accounts classified under discretionary financing (excluding margin accounts)**

Transaction	Days Outstanding				Total at cost RM	Total at marked to market value RM
	T to T+3 RM	T+4 to T+7 RM	T+8 to T+12 RM	T+13 and beyond RM		
Outstanding Purchases	0.00	0.00	0.00	0.00	0.00	0.00
Contra Losses	0.00	0.00	0.00	0.00	0.00	Not applicable
Outstanding Sales	0.00	0.00	0.00	0.00	0.00	Not applicable
Contra Gains	0.00	0.00	0.00	0.00	0.00	Not applicable
<b>Net Balance</b>	0.00	0.00	0.00	0.00	0.00	Not applicable

iii) **Margin Accounts, Clearing Accounts And Short-Selling Positions**

Transaction	Days Outstanding				Total at cost RM
	T RM	T+1 RM	T+2 RM	T+3 and beyond RM	
Outstanding Purchases In Clearing Accounts	0.00	0.00	0.00	0.00	0.00
Outstanding Sales In Clearing Accounts	0.00	0.00	0.00	0.00	0.00
Outstanding Net Short-Selling Position	0.00	0.00	0.00	0.00	0.00
Outstanding Purchases In Margin Accounts	0.00	Not applicable	Not applicable	Not applicable	Not applicable
Outstanding Sales In Margin Accounts	0.00	Not applicable	Not applicable	Not applicable	Not applicable

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MARGIN ACCOUNT POSITIONS OF PARTICIPATING ORGANISATIONS  
(Weekly Submission)**

Appendix 1b

**Participating Organisation:** <<insert name of Participating Organisation>>

**Position As At:** month/date/year  
*(last market day of the week)*

<b>Percentage of Equity Value Over Outstanding Balance</b>	<b>No. of Accounts</b>	<b>Approved Limit RM</b>	<b>Outstanding Balance RM</b>	<b>Value of Equity RM</b>
<130%	0	0.00	0.00	0.00
130%-150%	0	0.00	0.00	0.00
>150%	0	0.00	0.00	0.00
<b>TOTAL</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
CLIENTS' TRUST MONIES, REMISIERS/SALARIED DEALER'S REPRESENTATIVES'  
DEPOSITS AND OVERPLEDGING OF SHARES  
(Weekly Submission)**

**Participating Organisation:-** <<insert name of Participating Organisation>>

**Position As At:-** month/date/year  
*(last market day of the week)*

1. CLIENTS' TRUST ACCOUNT	No. of Clients	Total amount	Remarks
		RM	
Clients' monies not banked into trust account		0	

2. REMISIERS' / SALARIED DEALER'S REPRESENTATIVES' NET DEPOSITS	No. of Remisiers/ Salaried dealer's representatives	Total amount	Remarks
		RM	
Amount or remisiers' / salaried dealer's representatives' net deposits (note 1) not deposited into trust account (to compute on the basis of each remisier/dealer's representative) <i>(note 1 :- cash deposits less contra losses and other relevant charges)</i>		0	

3. OVERPLEDGING OF SHARES	No. of Clients	Total amount	Remarks
		RM	
Amount of margin clients' securities <i>(at market value)</i> mortgaged, pledged or hypothecated by Participating Organisation to Participating Organisation's financiers in excess of the corresponding client's outstanding balance in the client's margin account (to compute on the basis of client by client)		0	

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
INVESTMENT, PDT AND ERROR OR MISTAKE ACCOUNTS OF PARTICIPATING ORGANISATIONS  
(Weekly Submission)**

**Participating Organisation:** <<insert name of Participating Organisation>>

**Position As At:** month/date/year

*(last market day of the week)*

**Company's Investment In Quoted Shares (Shares Listed on Bursa Malaysia and Recognised Stock Exchanges)**

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

**Trades of PDTs**

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

**Company's Other Investments (eg. Money market instruments, Unit Trust & Private Debt Securities)**

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Acquisition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00

**Company's Error or Mistake Account**

COST				Marked To Market Value As At End Of The Week RM
Position As At Beginning Of The Week RM	Addition During The Week RM	Disposal During The Week RM	Position As At End Of The Week RM	
0.00	0.00	0.00	0.00	0.00



**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON**

**Appendix 1e**

**SECURITIES BORROWING & LENDING - (CLA and SBLNT where the PO is the Approved Borrower)**

**(LIST OF CLIENTS WITH COLLATERAL BELOW 102%)**

***(Weekly Submission)***

Participating Organisation: <<insert name of Participating Organisation>>  
Position as at : month/date/year  
*(last market day of the week)*

No	Name of Client	Value of borrowing	Value of collateral (after haircut)	Ratio	Actions Taken
1				#DIV/0!	
2				#DIV/0!	
3				#DIV/0!	
4				#DIV/0!	
5				#DIV/0!	
6				#DIV/0!	
7				#DIV/0!	
8				#DIV/0!	
9				#DIV/0!	
10				#DIV/0!	



**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD**  
**(Weekly Submission )**

Participating Organisation:

<<insert name of Participating Organisation>>

For the reporting week ending:

month/date/year

**Additional Explanatory Notes (if any)**

	<b>ISSUES</b>	<b>ADDITIONAL EXPLANATORY NOTES</b>
1	Clients' accounts (excluding discretionary financing & margin accounts)	
2	Clients' accounts classified under discretionary financing	
3	Margin Accounts, Clearing Accounts And Short-Selling Positions	
4	Margin Account Positions	
5	Clients' Trust Monies	
6	Remisiers'/ Salaried Dealer's Representatives' Net Deposits	
7	Overpledging Of Shares	
8	Company's Investment, PDT and Error Or Mistake Accounts	
9	Securities Borrowing & Lending - List of clients with collateral below 102%	
10	Securities Borrowing & Lending for potential failed trades	
11	Others	

**GEARING RATIO, MARGIN FINANCING  
AND SHAREHOLDERS' FUNDS  
(Monthly Submission)**

**Participating Organisation:** <<insert name of Participating Organisation>>

**Position as at:** month/date/year  
(as at last reporting date of the month)

**1. GEARING RATIO**

Utilised Level	Effective Shareholders' Funds	Gearing Ratio
(a) RM	(b) RM	(c=a/b) times
0.00	0.00	#DIV/0!

**2. MARGIN FINANCING - Limit Of Outstanding Balance**

Total Outstanding Balance	Effective Shareholders' Funds	Total Outstanding Balance / Effective Shareholders' Funds
(a) RM	(b) RM	c=(a/b)x100% %
0.00	0.00	#DIV/0!

**3. SHAREHOLDERS' FUNDS - Investment Banks Only**

Shareholders' Funds (note 1)
RM
0.00 (note 2)

**Note 1 - Reference extracted from Investment Bank Guidelines**

5.0 Minimum capital requirement as stipulated in the IB Guidelines

5.1 Pursuant to Section 14 of BAFIA, investment banks that are part of banking groups will be required to comply with the minimum capital funds unimpaired by losses requirement of RM2 billion on a banking group basis, while investment banks that are not part of banking groups will be required to comply with a minimum capital funds requirement of RM500 million.

**Note 2 -** The requirement is to report the shareholders' funds for the previous month. For example for monthly submission for the month of November 2011, the information of the shareholders' funds should be as at 31 October 2011.

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MAINTENANCE OF MARGIN ACCOUNTS OF PARTICIPATING ORGANISATIONS  
(Monthly Submission)**

**Participating Organisation:** <<insert name of Participating Organisation>>  
**Position As At:** month/date/year  
*(last market day of the month)*

**List of Margin Accounts with Equity Value < 130% of Outstanding Balance**

No	Name of Clients	Approved Limit RM	Outstanding Balance RM	Value of Equity RM	Percentage (%) of Equity Value over Outstanding Balance
1		0.00	0.00	0.00	#DIV/0!
2		0.00	0.00	0.00	#DIV/0!
3		0.00	0.00	0.00	#DIV/0!
4		0.00	0.00	0.00	#DIV/0!
5		0.00	0.00	0.00	#DIV/0!
6		0.00	0.00	0.00	#DIV/0!
7		0.00	0.00	0.00	#DIV/0!
8		0.00	0.00	0.00	#DIV/0!
9		0.00	0.00	0.00	#DIV/0!
10		0.00	0.00	0.00	#DIV/0!
11		0.00	0.00	0.00	#DIV/0!
12		0.00	0.00	0.00	#DIV/0!
13		0.00	0.00	0.00	#DIV/0!
14		0.00	0.00	0.00	#DIV/0!
15		0.00	0.00	0.00	#DIV/0!
16		0.00	0.00	0.00	#DIV/0!
17		0.00	0.00	0.00	#DIV/0!
18		0.00	0.00	0.00	#DIV/0!
19		0.00	0.00	0.00	#DIV/0!
20		0.00	0.00	0.00	#DIV/0!
21		0.00	0.00	0.00	#DIV/0!
22		0.00	0.00	0.00	#DIV/0!
	Total	0.00	0.00	0.00	#DIV/0!

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
INTEREST-IN-SUSPENSE AND PROVISION FOR BAD & DOUBTFUL DEBTS  
(Monthly Submission)**

Appendix 2c

**Participating Organisation** : <<insert name of Participating Organisation>>

**Position as at** : month/date/year

(As at last reporting date of the month)

INTEREST-IN-SUSPENSE	Opening balance	Addition	Reversal	Written-off	Closing balance
ITEM	(RM)	(RM)	(RM)	(RM)	(RM)
Contra Losses	0.00	0.00	0.00	0.00	0.00
Overdue Purchase Contracts	0.00	0.00	0.00	0.00	0.00
Margin Accounts	0.00	0.00	0.00	0.00	0.00
Others (if any)	0.00	0.00	0.00	0.00	0.00
<b>TOTAL</b>	0.00	0.00	0.00	0.00	0.00

IMPAIRMENT PROVISION	Opening balance	Addition	Reversal	Written-off	Closing balance
ITEM	(RM)	(RM)	(RM)	(RM)	(RM)
Contra Losses	0.00	0.00	0.00	0.00	0.00
Overdue Purchase Contracts	0.00	0.00	0.00	0.00	0.00
Margin Accounts	0.00	0.00	0.00	0.00	0.00
Others (if any for e.g. collective impairment etc)	0.00	0.00	0.00	0.00	0.00
<b>TOTAL</b>	0.00	0.00	0.00	0.00	0.00

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD**  
**(Monthly Submission)**

Appendix 2d

Participating Organisation : <<insert name of Participating Organisation>>  
Position As At : month/date/year  
(As at last reporting date of the month)

**Additional Explanatory Notes (if any)**

	ISSUES	ADDITIONAL EXPLANATORY NOTES
1	Gearing Ratio	
2	Margin Financing - Limit of Outstanding Balance	
3	Shareholders' Funds - Investment Banks Only	
4	Margin Accounts with Equity Value <130% of Outstanding Balance	
5	Interest in Suspense / Provision	
6	Others	

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS  
(Quarterly Submission)**

Appendix 3a

Participating Organisation:  
For the quarter ending on:

<<insert name of Participating Organisation>>  
month/date/year

Item	Retail	Institutional	Inter-broker	Others	Total
	A	B	C	D	E = A + B + C+ D
	RM	RM	RM	RM	RM
<b>VALUE OF TRADES DONE</b>					
1. Online routed trades	0.00	0.00	0.00	0.00	0.00
2. Other trades	0.00	0.00	0.00	0.00	0.00
3. Trades in Recognised Stock Exchanges	0.00	0.00	0.00	0.00	0.00
<b>TOTAL VALUE OF SECURITIES TRADES DONE (1+2+3)</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>NUMBER OF DERIVATIVES CONTRACTS</b>					
4. Online routed trades	0.00	0.00	0.00	0.00	0.00
5. Other trades	0.00	0.00	0.00	0.00	0.00
6. Trades in Specified Exchanges	0.00	0.00	0.00	0.00	0.00
<b>TOTAL NO. OF DERIVATIVES CONTRACTS DONE (4+5+6)</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>REVENUE</b>					
Gross brokerage for equities	0.00	0.00	0.00	0.00	0.00
Less : Commission/incentives/salary/bonus to dealer's representatives	0.00	0.00	0.00	0.00	0.00
Net brokerage for equities	0.00	0.00	0.00	0.00	0.00
Gross brokerage for derivatives	0.00	0.00	0.00	0.00	0.00
Less : Commission/incentives/salary/bonus to futures broker's representatives	0.00	0.00	0.00	0.00	0.00
Net brokerage for derivatives	0.00	0.00	0.00	0.00	0.00
Total Net Brokerage					0.00
Bank interest					0.00
Margin interest and rollover fees					0.00
Advisory fees					0.00
Management fees income					0.00
Underwriting fees					0.00
Interest on amount due from holding / related company					0.00
Proprietary gain and write back provision of diminution in value of investment					0.00
Gains from Proprietary Day Traders					0.00
Bad debts recovered					0.00
Provision for bad & doubtful debts written back					0.00
Others (to specify if more than 5% of total revenue) - please provide in the attached worksheet in Page 2					0.00
<b>TOTAL REVENUE</b>					<b>0.00</b>
<b>EXPENSES</b>					
Staff cost					0.00
Financing cost					0.00
Management fees expenses					0.00
Professional / legal fees					0.00
Rental paid					0.00
Computer and office maintenance					0.00
Bad debts written off					0.00
Impairment for bad & doubtful debts					0.00
Loss from Proprietary Day Traders					0.00
Proprietary loss and provision for diminution in value of investment					0.00
Depreciation and amortisation of goodwill					0.00
Others (to specify if more than 5% of total expenses) - please provide in the attached worksheet in Page 2					0.00
<b>TOTAL EXPENSES</b>					<b>0.00</b>
<b>PROFIT / (LOSS) BEFORE TAX</b>					<b>0.00</b>



**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS  
(Quarterly Submission)**

**Appendix 3b**

**Participating Organisation :** <<insert name of Participating Organisation>>  
**For the quarter ending on :** month/date/year

**Additional Explanatory Notes - Other Revenue & Expenses**

	<b>Name of Other Revenue</b> (if more than 5% of total revenue)	RM
1		0.00
2		0.00
3		0.00
4		0.00
5		0.00
6		0.00
7		0.00
8		0.00
9		0.00
10		0.00
11		0.00
12		0.00
	<b>Total</b>	<b>0.00</b>

	<b>Name of Other Expenses</b> (if more than 5% of total expenses)	RM
1		0.00
2		0.00
3		0.00
4		0.00
5		0.00
6		0.00
7		0.00
8		0.00
9		0.00
10		0.00
11		0.00
12		0.00
	<b>Total</b>	<b>0.00</b>



