

**AMENDMENTS TO THE DIRECTIVES IN RELATION TO THE INTRODUCTION OF THE E-REPORTING SYSTEM**

**(a) DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS – NO. 2.01(2)-004**

PARAGRAPH	CURRENT PROVISION	PARAGRAPH	AMENDED PROVISION
As set out in Appendix 1 below	Please refer to the current provisions of the Directive, as set out in Appendix 1 below.	As set out in Appendix 1 below	Please refer to the amendments to the Directive, as set out in Appendix 1 below.

**(b) DIRECTIVES ON OFF-BALANCE SHEET TRANSACTIONS – NO. 12-003**

PARAGRAPH	CURRENT PROVISION	PARAGRAPH	AMENDED PROVISION
As set out in Appendix 2 below	Please refer to the current provisions of the Directive, as set out in Appendix 2 below.	As set out in Appendix 2 below	Please refer to the amendments to the Directive, as set out in Appendix 2 below.

**(c) DIRECTIVES ON CAPITAL ADEQUACY REQUIREMENTS – NO. 13-001**

PARAGRAPH	CURRENT PROVISION	PARAGRAPH	AMENDED PROVISION
1.1(4)	<p><b>Information to be submitted and manner of submission</b></p> <p>(4) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for the truthfulness and accuracy of all the information and records contained in the submissions to the Exchange.</p>	1.1(4)	<p><b>Information to be submitted and manner of submission</b></p> <p>(4) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for <del>the truthfulness and accuracy of</del> <u>ensuring compliance with Rule 5.09(1) in relation to</u> all the information and records contained in the submissions to the Exchange.</p>

**(d) DIRECTIVES ON MANUAL WORKAROUND COMPUTATION FOR CAPITAL ADEQUACY REQUIREMENTS – NO. 13.04(4)-001**

PARAGRAPH	CURRENT PROVISION	PARAGRAPH	AMENDED PROVISION
<b>1.1(3)</b>	<p><b>Submission of Capital Adequacy Ratio</b></p> <p>(3) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for the truthfulness and accuracy of all the information and records contained in the submissions to the Exchange.</p>	<b>1.1(3)</b>	<p><b>Submission of Capital Adequacy Ratio</b></p> <p>(3) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for <del>the truthfulness and accuracy</del> <u>ensuring compliance with Rule 5.09(1) in relation to</u> all the information and records contained in the submissions to the Exchange.</p>

**(e) DIRECTIVES ON LIQUIDITY RISK MANAGEMENT FRAMEWORK – NO. 13.32-001**

PARAGRAPH	CURRENT PROVISION	PARAGRAPH	AMENDED PROVISION
<b>1.6(2)</b>	<p><b>Verification and mode of submissions to the Exchange</b></p> <p>(2) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for the truthfulness and accuracy of all the information and records contained in the submissions to the Exchange.</p>	<b>1.6(2)</b>	<p><b>Verification and mode of submissions to the Exchange</b></p> <p>(2) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for <del>the truthfulness and accuracy</del> <u>ensuring compliance with Rule 5.09(1) in relation to</u> all the information and records contained in the submissions to the Exchange.</p>

*[End of Amendments to Directives]*

**ANNEXURE 2**  
**AMENDMENTS TO THE DIRECTIVES OF BURSA MALAYSIA SECURITIES BHD**  
in relation to the introduction of the e-reporting system

<b>DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS</b>	<b>No. 2.01(2)-004</b>
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**APPENDIX 1**

**DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS – NO. 2.01(2)-004**

Relevant to	: Rule 2.01(2)(k)
Introduced with effect from	: 2 May 2013
Amended	: 27 February 2017 vide R/R 3 of 2017-, R/R 4 of 2017 and 12 December 2017 vide R/R 11 of 2017, 1 March 2018 vide R/R 3 of 2018, <u>2 January 2019 vide R/R 14 of 2018</u>
POs' Circular No(s).	: R/R 10 of 2011
Refer also to Directive No(s).	: N/A

**1. Rule 2.01(2)(k)**

- (1) Rule 2.01(2)(k) empowers the Exchange to require the Participating Organisations or Registered Persons to provide reports, information, Documents, Books and Records to the Exchange in relation to any matter under these Rules or Directives.
- (2) Pursuant to the above Rule, the Exchange requires the Participating Organisations to submit periodic reports to the Exchange ("**Periodic Reports**"), the details of which are set out below.

**1.1 Reporting Requirements**

- (1) The Participating Organisation must submit the ~~periodic reports~~ Periodic Reports prescribed in the ~~Schedule~~ schedule of this Directive ("**Schedule**") to the Exchange:
  - (a) in the format prescribed in the appendices to the Schedule (~~"Templates"~~);
  - (b) viaby way of electronic transmission as notified by the Exchange's ~~File Information Exchange System ("FIX System")~~; and
  - (c) not later than the times and days stipulated for submission of the Periodic Reports in the Schedule.
- ~~(2) A Participating Organisation 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) If a Participating Organisation subsequently amends any of the Periodic Reports submitted electronically to the Exchange, the Participating Organisation must re-submit the duly amended Periodic Reports no later than the timeframe stipulated for re-submission of Periodic Reports in the Schedule, in the same format and mode as set out in paragraphs 1.1(1)(a) and (b).~~
- (3) If a Participating Organisation is, for any reason whatsoever, unable to ~~transmit by the stipulated times~~ submit by electronic transmission all or any of the Periodic Reports ~~via the FIX System by the stipulated times~~, the Participating Organisation must submit the duly completed and printed hard copy of

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such Periodic Report by way of facsimile, courier or by hand no later than the times and days set out in the Schedule ~~for the duration of its inability to transmit electronically via the FIX System.~~

- ~~(4) If having submitted the Periodic Reports via the FIX System a Participating Organisation amends any of the Periodic Reports for any reason whatsoever, the Participating Organisation must re-submit the duly amended Periodic Report by way of facsimile not later than the times and days set out in the Schedule, and deliver the hard copy of the amended Periodic Report by courier or by hand as soon as possible.~~
- ~~(4) The Head of Compliance and the Head of Operations of the Participating Organisation will be held responsible for ensuring compliance with Rule 5.09(1) in relation to all the information and records contained in the submissions to the Exchange.~~
- (5) The Exchange may at any time prescribe any other periodic reports to be submitted ~~via the FIX System~~ in accordance with such mode of communication and/or vary the times, frequency and manner for submission of any Periodic Report ~~prescribed in the Schedule~~ as notified by the Exchange.
- ~~(6) The Participating Organisation must comply with the operational procedures and guidelines on the use of the FIX System as may be prescribed from time to time.~~

[End of Directive]

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**Schedule**

No.	Name of Report	Appendix	Frequency	Timing of submission <del>via</del> <b>FIX</b> transmission of periodic reports [paragraph 1.1(1)]	Timing of <del>re-</del> submission of periodic reports pursuant to [paragraphs 1.1(32) and 1.1(43)] of the Directive
1.	Market Positions of Participating Organisations	Appendix 1a	Weekly <del>(WK.xls)</del>	<del>Weekly report</del> By 5.30 p.m., of the first Market Day of the week following the date of the report	<del>Weekly report</del> 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, Commissioned Dealer's Representatives'/ Salaried Dealer's Representatives' Deposits and Overpledging of Shares	Appendix 1c			
4.	Investment, Proprietary Day Trader (PDT) & Error or Mistake Accounts of Participating Organisations	Appendix 1d			
5.	Securities Borrowing & Lending/ ISSBNT – List of Clients with collateral below 102%	Appendix 1e			
6.	[Deleted]	[Deleted]			
7.	Additional Explanatory Notes (for report item no. 1 to 5)	Appendix 1f			
8.	Gearing Ratio and Shareholders' Funds	Appendix 2a	Monthly <del>(MTH.xls)</del>	By 5.30 p.m., not later than 10 Market Days from the last day of the reporting month	By 8.30 p.m., not later than 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			

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No.	Name of Report	Appendix	Frequency	Timing of submission via <b>FIX</b> transmission of <b>periodic reports</b> [paragraph 1.1(1)]	Timing of <b>re</b> -submission of <b>periodic reports</b> pursuant to [paragraphs 1.1(32) and 1.1(43)] of the <b>Directive</b>
10.	Interest In Suspense and Provision for Bad & Doubtful Debts	Appendix 2c			
11.	Additional Explanatory Notes (for report item no. 8 to 10)	Appendix 2d			
12.	Profit & Loss Statement Of Participating Organisations	Appendix 3a	Quarterly (QTR.xls)	<u>Quarterly report</u> By 5.30 p.m., -on the last Market Day of the fifth week, following the reporting quarter	<u>Quarterly report</u> By 8.30 p.m., on the last Market Day of the fifth week, following the reporting quarter
13.	Additional Explanatory Notes (for report item no. 12)	Appendix 3b			
14.	Failure to Deliver (Buying-in without notice)	Appendix 4	As and when there is a buying-in without notice  (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
16.	Securities Borrowing & Lending/ ISSBNT for potential failed trades	Appendix 6	As and when SBL/ISSBNT is utilised for potential failed trades	By 5.30 p.m. on the next Market Day	By 5.30 p.m. on the next Market Day

[End of Schedule]

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**Appendix 1a**

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

Participating Organisation : <<insert name of Participating Organisation>>      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	Total at marked to market value
	T to T+3	T+4 to T+8	T+9 and beyond		
	RM	RM	RM	RM	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	Total at marked to market value
	T to T+3	T+4 to T+7	T+8 to T+12	T+13 and beyond		
	RM	RM	RM	RM	RM	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
	T	T+1	T+2	T+3 and beyond	
	RM	RM	RM	RM	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

[End of Appendix 1a]

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**Appendix 1b**

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

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

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

Percentage of Equity Value Over Outstanding Balance	No. of Accounts	Approved Limit RM	Outstanding Balance RM	Value of Equity RM
<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>	0	0.00	0.00	0.00

[End of Appendix 1b]



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**Appendix 1c**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON**  
**CLIENTS' TRUST MONIES, COMMISSIONED DEALER'S REPRESENTATIVES'/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)*

	No. of Clients	Total amount		Remarks
<b>1. CLIENTS' TRUST ACCOUNT</b>		RM		
Clients' monies not banked into trust account		0		
<b>2. COMMISSIONED DEALER'S REPRESENTATIVES' / SALARIED DEALER'S REPRESENTATIVES' NET DEPOSITS</b>	No. of Commissioned dealer's representatives / Salaried dealer's representatives	Total amount		Remarks
		RM		
Amount or commissioned dealer's representatives / salaried dealer's representatives' net deposits (note 1) not deposited into trust account (to compute on the basis of each commissioned dealer's representatives /dealer's representative)  <i>(note 1 :- cash deposits less contra losses and other relevant charges)</i>		0		
<b>3. OVERPLEDGING OF SHARES</b>	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		

[End of Appendix 1c]

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**Appendix 1d**

**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

[End of Appendix 1d]

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**Appendix 1e**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON**  
**SECURITIES BORROWING & LENDING - (CLA and SBLNT where the PO is the Approved Borrower) / ISSBNT**  
**(where the PO is the Approved User)**  
**(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/ purchase pursuant to ISSBNT	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!	

[End of Appendix 1e]

**ANNEXURE 2**  
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**Appendix 1f**

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

[End of Appendix 1f]

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**Appendix 2a**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON**  
**GEARING RATIO 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. [Deleted]

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

<b>Shareholders' Funds (note 1)</b>
<b>RM</b>
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.

[End of Appendix 2a]

**DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS**

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**Appendix 2b**

**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!

[End of Appendix 2b]

**DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS**

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**Appendix 2c**

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

**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 <i>(if any)</i>	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 <i>(if any for e.g. collective impairment etc)</i>	0.00	0.00	0.00	0.00	0.00
<b>TOTAL</b>	0.00	0.00	0.00	0.00	0.00

[End of Appendix 2c]

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**Appendix 2d**

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

**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	Shareholders' Funds - Investment Banks Only	
3	Margin Accounts with Equity Value <130% of Outstanding Balance	
4	Interest in Suspense / Provision	
5	Others	

[End of Appendix 2d]



**DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS**

**No. 2.01(2)-004**

**Appendix 3a**

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

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

Item	Retail A RM	Institutional B RM	Inter-broker C RM	Others D RM	Total E = A + B + C + D 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:					
1. Online routed trades	0.00	0.00	0.00	0.00	0.00
2. Offline	0.00	0.00	0.00	0.00	0.00
<b>Total Gross Brokerage for equities</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

<b>DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS</b>	<b>No. 2.01(2)-004</b>				
Less : Commission/incentives/salary/bonus to dealer's representatives:					
1. Online routed trades	0.00	0.00	0.00	0.00	0.00
2. Offline	0.00	0.00	0.00	0.00	0.00
<b>Total</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Net brokerage for equities:					
1. Online routed trades	0.00	0.00	0.00	0.00	0.00
2. Offline	0.00	0.00	0.00	0.00	0.00
<b>Total Net Brokerage for equities</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
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
<b>Net brokerage for derivatives</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Total Net Brokerage</b>					<b>0.00</b>
Interest Income:					
Placement & Deposit				0.00	
Share margin financing (SMF)				0.00	
Loans & advance (excluding SMF)				0.00	
Financial instruments				0.00	
Interest on amount due from holding / related company				0.00	
Other interest income				0.00	
<b>Sub Total</b>				<b>0.00</b>	
Interest expense:					
Interbank borrowing & deposit				0.00	
Loans & advances				0.00	
Other interest expense				0.00	
<b>Sub Total</b>				<b>0.00</b>	
<b>Net interest income</b>					<b>0.00</b>
<b>Fee Income:</b>					
Advisory & arranger (Corporate Finance related)				0.00	
Underwriting & Placement				0.00	
Other (specify if more than 5% of total operating income)				0.00	
<b>Total Fee Income</b>					<b>0.00</b>
<b>Proprietary:</b>					
Net gain/(loss) from proprietary day trading (PDT)				0.00	
Net gain/(loss) from quoted shares (excluding PDT)				0.00	
Net gain/(loss) from other financial instruments / diminution in value of investment				0.00	
<b>Total Proprietary</b>					<b>0.00</b>





**DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS**

**No. 2.01(2)-004**

**Appendix 3b**

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

**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>

[End of Appendix 3b]

<b>DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS</b>	<b>No. 2.01(2)-004</b>
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**Appendix 4**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
 FAILURE TO DELIVER (BUYING-IN WITHOUT NOTICE)**

**Participating Organisation :** <<insert name of Participating Organisation>>  
**Reporting date :** month/date/year

CONTRACT DATE	BUYING-IN DATE	COUNTER	NAME OF DEFAULTING CLIENT	CDS A/C NO.	DEALER'S REPRESENTATIVE'S NAME	TOTAL NO. THAT FAILED TO DELIVER	CONTRACT PRICE	REASONS FOR FAILING TO DELIVER

[End of Appendix 4]

<b>DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS</b>	<b>No. 2.01(2)-004</b>
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**Appendix 5**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
 FAILURE TO DELIVER (MANUAL BUYING-IN)**

**Participating Organisation :** <<insert name of Participating Organisation>>  
**Reporting date :** month/date/year

CONTRACT DATE	BUYING-IN DATE	COUNTER	NAME OF DEFAULTING CLIENT	CDS A/C NO.	DEALER'S REPRESENTATIVE'S NAME	TOTAL NO. THAT FAILED TO DELIVER	CONTRACT PRICE	REASONS FOR FAILING TO DELIVER

[End of Appendix 5]

<b>DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS</b>	<b>No. 2.01(2)-004</b>
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**Appendix 6**

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
SECURITIES BORROWING & LENDING / ISSBNT FOR POTENTIAL FAILED TRADES**

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

Date of Borrowing / Date of Purchase pursuant to ISSBNT	Contract Date	Counter / (Stock Code)	Quantity	Contract Price	Name of Client / (CDS A/C No)	Dealer's Representative's Name	Remarks

[End of Appendix 6]



**ANNEXURE 2**  
**AMENDMENTS TO THE DIRECTIVES OF BURSA MALAYSIA SECURITIES BHD**  
in relation to the introduction of the e-reporting system

<b>DIRECTIVE ON <del>RECORDS OF</del> OFF-BALANCE SHEET TRANSACTIONS</b>	<b>No. <del>7.12-004</del>12-003</b>
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**APPENDIX 2**

**DIRECTIVES ON OFF-BALANCE SHEET TRANSACTIONS – NO. 12-003**

Relevant to	: Rules <del>7.12</del> 12.07 and 12.08
Introduced with effect from	: 2 May 2013
Amended	: <del>N/A</del> 2 January 2019 vide R/R 14 of 2018
POs' Circular No(s).	: N/A
Refer also to Directive No(s).	: N/A

**1. Rule ~~7.12~~12.07**

- (1) Rule ~~7.12~~12.07 requires a Participating Organisation to maintain a Record that sufficiently explains Off-Balance Sheet ~~Transaction~~transactions entered by it.
- (2) In discharging the obligations under the said Rule, a Participating Organisation must, amongst others, comply with the requirements set out below.

**1.1 Records on Off-Balance Sheet ~~Transaction~~transactions**

A Participating Organisation must keep the following Records on Off-Balance Sheet ~~Transaction~~transactions:

- (a) the duly executed agreements relating to the Participating Organisation's entry into Off-Balance Sheet ~~Transaction~~transactions;
- (b) specific reasons for entering into the Off-Balance Sheet ~~Transaction~~transactions;
- (c) description of the counterparties to the Off-Balance Sheet ~~Transaction~~transactions, their identities, corporate profiles and background, in sufficient detail to apprise of the Participating Organisation's potential risks related or incidental to the Off-Balance Sheet ~~Transaction~~transactions;
- (d) description of the collateral intended to be provided in relation to the Off-Balance Sheet ~~Transaction~~transactions, if applicable;
- (e) the resolution of the Participating Organisation's board of directors at a meeting approving the entry into the Off-Balance Sheet ~~Transaction~~transactions by the Participating Organisation; and
- (f) such other documents and information as may be required by the Exchange.

**2. Rule 12.08**

- (1) Rule 12.08 requires a Participating Organisation to lodge with the Exchange a monthly report on Off-Balance Sheet transactions in the form as prescribed by the Exchange.
- (2) In discharging the obligations under the said Rule, a Participating Organisation must, amongst others, comply with the requirements set out below.

**ANNEXURE 2**  
**AMENDMENTS TO THE DIRECTIVES OF BURSA MALAYSIA SECURITIES BHD**  
**in relation to the introduction of the e-reporting system**

<b>DIRECTIVE ON <del>RECORDS OF</del> OFF-BALANCE SHEET TRANSACTIONS</b>	<b>No. <del>7.12-004</del>12-003</b>
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**2.1 Reporting on Off-Balance Sheet transactions**

- (1) A Participating Organisation must submit a monthly report to the Exchange in the form prescribed in **Appendix 1**.
- (2) A Participating Organisation must submit the monthly report referred to in paragraph 2.1(1) by the 10<sup>th</sup> Market Day of the immediately following month in respect of the following matters:
- (a) any Off-Balance Sheet transaction entered into by a Participating Organisation during the preceding month;
  - (b) any Off-Balance Sheet transaction performed or discharged by the Participating Organisation during the preceding month;
  - (c) any Off-Balance Sheet transaction which remains to be performed or discharged during the preceding month;
  - (d) any occurrence of an Adverse Event; and
  - (e) any change to the original terms and conditions of the Off-Balance Sheet transactions specified in paragraph 2.1(2)(a), (b) and (c).
- (3) For purposes of the reporting requirement under this Directive, “Adverse Event” refers to any one or more of the events specified in the Off-Balance Sheet Transaction(s) agreement that obliges a Participating Organisation to perform and discharge the Participating Organisation’s obligations under the Off-Balance Sheet transaction(s).
- (4) The monthly report must be submitted by way of electronic transmission as notified by the Exchange.

[End of Directive]

DIRECTIVE ON <del>RECORDS OF</del> OFF-BALANCE SHEET TRANSACTIONS	No. <del>7.12-001</del> <u>12-003</u>
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APPENDIX 1

OFF-BALANCE SHEET TRANSACTIONS  
MONTH OF: \_\_\_\_\_

PARTICIPATING ORGANISATION: \_\_\_\_\_

No.	Date of Transaction / Agreement	Nature of Transaction	Name of Securities (if applicable)	Quantity	Value (RM)	Counterparty	Transaction Period	Nature of Financial Arrangement and Financier (if applicable)

Note: 1. Report(s) on Adverse Events in relation to the abovementioned Off-Balance Sheet transaction(s) must be appended to this attachment.  
2. Report(s) relating to any changes, amendments, variations or supplements to the terms and conditions of the abovementioned Off-Balance Sheet transaction(s) must be appended to this attachment.