

**PARTICIPATING ORGANISATIONS' CIRCULAR**

Date : 12 February 2007

No : R/R 2 of 2007

- A) **AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD (“RULES OF BURSA SECURITIES”) PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS FROM PARTICIPATING ORGANISATIONS TO BURSA MALAYSIA SECURITIES BERHAD (“THE EXCHANGE”)**
- B) **DIRECTIVES ON SUBMISSION BY PARTICIPATING ORGANISATIONS OF PERIODIC REPORTS BY ELECTRONIC TRANSMISSION TO THE EXCHANGE**

Participating Organisations are advised of the amendments and directives captioned above which are hereby issued by the Exchange. The amendments and directives shall take effect 2 weeks from 12 February 2007, i.e. **26 February 2007**. The details of the amendments and directives are as set out below.

- A) **AMENDMENTS TO THE RULES OF BURSA SECURITIES PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS FROM PARTICIPATING ORGANISATIONS TO THE EXCHANGE**

Pursuant to Section 9(3) of the Securities Industry Act 1983, amendments have been made to the Rules of Bursa Securities pertaining to the revision of frequency of reporting of periodic reports from Participating Organisations to the Exchange, as appended herewith as “**Annexure 1**”.

- B) **DIRECTIVES ON SUBMISSION BY PARTICIPATING ORGANISATIONS OF PERIODIC REPORTS BY ELECTRONIC TRANSMISSION TO THE EXCHANGE**

Participating Organisations are hereby informed that the following directives are issued pursuant to Rule 201.1(2)(l) of the Rules of Bursa Securities.

1. **APPLICATION AND EFFECT**

- 1.1 These directives shall revoke Members' Circular G 768 of 1994, R/R 22 of 1998, paragraph 2.2.5 of R/R 5 of 2001 and R/R 11 of 2001.
- 1.2 These directives shall remain in full force and effect until and unless amended, varied, supplemented, substituted therefore or revoked by the Exchange by way of any letters, circulars or directives issued by the Exchange from time to time.
- 1.3 Words and expressions defined in the Rules of Bursa Securities shall, save as otherwise defined herein or unless the context otherwise requires, bear the same meaning in these directives.

## **2. REPORTING REQUIREMENTS**

- 2.1 Participating Organisations are required to submit the periodic reports prescribed in the Schedule hereto by way of electronic transmission to the Exchange via the Exchange's File Information Exchange System ("FIX System") in the prescribed format annexed thereto and at the times stipulated thereunder.
- 2.2 Subject always to paragraph 2.4 hereof, Participating Organisations may cease their submission of the periodic reports which have been transmitted via the FIX System in hard copy form to the Exchange.
- 2.3 All periodic reports electronically transmitted by way of the FIX System, whether by a Participating Organisation, or any of its directors, officers, employees, servants or agents, are deemed to have been reviewed by the Compliance Officer and the information and records contained therein are deemed to be declared by the Executive Director Operations and any other director of the Participating Organisation to be true and accurate in all material aspects. In the event any information or records provided by any Participating Organisation in connection with the aforesaid transmissions are found to be false, misleading or inaccurate in any manner whatsoever, the Exchange shall be entitled to take such disciplinary or other action(s) as it deems necessary or expedient.
- 2.4 Notwithstanding paragraph 2.2 above:-
- (a) in the event a Participating Organisation is, for any reason whatsoever, unable to transmit by the stipulated times pursuant to paragraph 2.1 above all or any of the periodic reports prescribed to be transmitted electronically through the FIX System, the Participating Organisation shall be required to submit the duly completed and printed hard copy form of such periodic reports by way of facsimile, courier or by hand by the stipulated times set out in the Schedule hereto for the duration of its inability to transmit electronically via the FIX System; and/or
  - (b) in the event a Participating Organisation rectifies, amends and/or re-submits all or any of the periodic reports prescribed herein for any reason whatsoever, the Participating Organisation shall submit the duly rectified, amended and/or re-submitted periodic report by way of facsimile by the stipulated times set out in the Schedule hereto, and deliver the printed hard copy of the relevant periodic report by courier or by hand as soon as possible thereafter.
- 2.5 The periodic reports submitted by the Participating Organisation under paragraph 2.4 above shall be duly signed by the Executive Director Operations or any other director of the Participating Organisation and Compliance Officer or Executive Director Compliance, in the case of a Universal Broker, and in the case of an Investment Bank, the Head of Operations or any other authorised person(s) and the Head of Compliance,

confirming and undertaking that the information and records contained therein are true and accurate in all material aspects.

- 2.6 The Exchange may take disciplinary or other action(s) as it deems necessary or expedient in the event the periodic reports are submitted later than the stipulated times set out in the Schedule hereto.
- 2.7 The Exchange may in its absolute discretion and at any time prescribe any other periodic reports to be submitted via the FIX System and/or vary the times and manner for submissions of any periodic reports stipulated under paragraph 2.1.
- 2.8 Participating Organisations shall at all times comply with the operational procedures and guidelines on the use of the FIX System as may be prescribed from time to time.

All rules, directives and circulars in force which make references to or contain provisions relating to the above matters shall have effect as if such references or provisions relate to these directives.

Please be informed that these directives are available on Bursa Malaysia's website 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)

For further information or inquires on these directives, kindly contact the following persons at the following telephone numbers:-

1. Mr. Ng G-Ming (03-2034 7364)
2. Mr. John Yoong (03-2034 7266)
3. En. Amran Ayub (03-2034 7250)
4. En. Syahril Nizam (03-2034 7258)

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**Legal Advisory & Corporate Legal Affairs**

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD  
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS  
FROM PARTICIPATING ORGANISATIONS TO BURSA MALAYSIA SECURITIES BERHAD**

Existing Rule	Proposed Amendments
<p><b>RULE 1104.2 REPORTING ON SUSPENSION OF INTEREST AND PROVISIONS</b></p> <p>(1) A Participating Organisation shall submit, to Intermediary Supervision, a monthly return in the format set out in Appendix 8 or such other format as may be determined by the Exchange from time to time, not later than the tenth (10th) day of the following calendar month or as may be prescribed by the Exchange from time to time.</p> <p><b>APPENDIX 8 [pursuant to Rule 1104.2(1)] MONTHLY REPORT ON INTEREST IN-SUSPENSE AND PROVISION FOR BAD &amp; DOUBTFUL DEBTS</b></p>	<p><b>RULE 1104.2 REPORTING ON SUSPENSION OF INTEREST AND PROVISIONS</b></p> <p>(1) <b>[Deleted]</b></p> <p><b>APPENDIX 8 [Deleted]</b></p>
<p><b>SCHEDULE 7 GUIDELINES ON THE SUSPENSION OF INTEREST AND PROVISION FOR BAD AND DOUBTFUL DEBTS [pursuant to Rule 1104.1]</b></p> <p>24. A Participating Organisation must submit, to the Exchange for its notation, details of the amounts written-off in respect of a single client (as defined in Rule 1105 in respect of the rules relating to Capital Adequacy Requirements of Participating Organisation) where such amount singly or amounts in aggregate written off exceeds Ringgit Five Hundred Thousand (RM500,000.00), not later than fourteen (14) days after the date of such amounts having been written-off.</p>	<p><b>SCHEDULE 7 GUIDELINES ON THE SUSPENSION OF INTEREST AND PROVISION FOR BAD AND DOUBTFUL DEBTS [pursuant to Rule 1104.1]</b></p> <p>24. <b>A Participating Organisation shall ensure that it keeps proper records of all bad debts written-off in respect of a single client (as defined in Rule 1105 in respect of the rules relating to Capital Adequacy Requirements of Participating Organisation) which exceeds, either singly or in aggregate, Ringgit Five Hundred Thousand (RM500,000.00). Such records are to be made available to the Exchange for inspection forthwith upon request from the Exchange.</b></p>

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD  
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS  
FROM PARTICIPATING ORGANISATIONS TO BURSA MALAYSIA SECURITIES BERHAD**

Existing Rule	Proposed Amendments
<p><b>RULE 404.2 TRAINING SYSTEM</b></p> <p>(4) Every Participating Organisation shall -</p> <p>(a) <i>(existing provision)</i></p> <p>(b) <i>(existing provision)</i></p> <p>(c) at the end of every <u>half</u>-year, submit to the Exchange a complete report in respect of the training programmes carried out by it during the preceding <u>half</u>-year period.</p>	<p><b>RULE 404.2 TRAINING SYSTEM</b></p> <p>(4) Every Participating Organisation shall -</p> <p>(a) <i>(no change)</i></p> <p>(b) <i>(no change)</i></p> <p>(c) at the end of every year, submit to the Exchange a complete report in respect of the training programmes carried out by it during the preceding year period.</p>
<p><b>RULE 702.3 TRANSACTIONS BY DIRECTORS</b></p> <p>(3) <b>Notification:</b> Notwithstanding Rule 702.4, a Participating Organisation shall notify the Exchange where any of its directors intends to trade for his own account and/or account which he has an interest on a once-off basis prior to the earliest transaction intended to be effected by the director. The aforesaid notification shall contain, without limitation, the following –</p> <p>(a) particulars of the director’s account;</p> <p>(b) for Non-Executive Directors, particulars of the Participating Organisation, if other than the Participating Organisation to which he is appointed; and</p>	<p><b>RULE 702.3 TRANSACTIONS BY DIRECTORS</b></p> <p>(3) <b>Records:</b> The Participating Organisation shall keep proper records of all written consents from the board of directors referred to in Rule 702.3(1) in respect of each transaction executed on account of its directors, to be made available to the Exchange for inspection forthwith upon request from the Exchange.</p>

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD  
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS  
FROM PARTICIPATING ORGANISATIONS TO BURSA MALAYSIA SECURITIES BERHAD**

Existing Rule	Proposed Amendments
<p>(c) particulars of the Dealer's Representative assigned to or having charge on the director's account.</p> <p>The Participating Organisation shall be required to notify the Exchange from time to time of any changes to the notification above.</p>	
<p><b>RULE 201.1 EXERCISE OF POWERS</b></p> <p>(2) <b>Description of powers:</b> Subject to the provisions of the Securities Laws, the Exchange may exercise its powers in such manner and on such terms as it shall deem necessary or expedient and which powers shall include, without limitation, the following –</p> <p>(a) – (k) <i>(existing provisions)</i></p> <p>(l) to order an investigation into the affairs of a Participating Organisation or registered person(s), without giving any reason therefor, who it may suspect or having violated any of the provisions of these Rules, Depository Rules, Clearing House Rules and any rulings, directives or guidelines issued thereunder and for this purpose, to demand the production of all books, accounts, records or any other documents which he may deem necessary for inspection and to engage any accountant, advocate and solicitor or any other qualified person or persons to assist in the investigation; <u>and</u></p>	<p><b>RULE 201.1 EXERCISE OF POWERS</b></p> <p>(2) <b>Description of powers:</b> Subject to the provisions of the Securities Laws, the Exchange may exercise its powers in such manner and on such terms as it shall deem necessary or expedient and which powers shall include, without limitation, the following –</p> <p>(a) – (k) <i>(no change)</i></p> <p>(l) to order an investigation into the affairs of a Participating Organisation or registered person(s), without giving any reason therefor, who it may suspect or having violated any of the provisions of these Rules, Depository Rules, Clearing House Rules and any rulings, directives or guidelines issued thereunder and for this purpose, to demand the production of all books, accounts, records or any other documents which he may deem necessary for inspection and to engage any accountant, advocate and solicitor or any other qualified person or persons to assist in the investigation;</p>

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD  
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS  
FROM PARTICIPATING ORGANISATIONS TO BURSA MALAYSIA SECURITIES BERHAD**

Existing Rule	Proposed Amendments
<p>(m) to exercise all such other powers as may be necessary for purposes of monitoring compliance with and enforcement of these Rules.</p>	<p>(m) <b>to require the Participating Organisations to submit reports, information and/or documents to the Exchange; and</b></p> <p>(n) to exercise all such other powers as may be necessary for purposes of monitoring compliance with and enforcement of these Rules.</p>

**BURSA MALAYSIA SECURITIES BERHAD**  
**PARTICIPATING ORGANISATIONS' CIRCULAR NO. R/R 2 OF 2007**  
**Date: 12 February 2007**

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports via facsimile pursuant to paragraph 2.4(b)
1.	Market Review On Participating Organisations	Appendix 1a	Daily (DY.xls)	<u>Daily report</u> By 5.30 p.m., of the market day following the date of the report	<u>Daily report</u> By 8.30 p.m., of the market day following the date of the report
2.	Margin Accounts of Participating Organisations	Appendix 1b			
3.	Additional Explanatory Notes ( <i>for report item no. 1 and 2</i> )	Appendix 1c			
4.	Cash & Bank Balances and Banking Facilities Position	Appendix 2a	Weekly (WK.xls)	<u>Weekly report</u> By 5.30 p.m., of the first market day of the week following the date of the report	<u>Weekly report</u> By 8.30 p.m., of the first market day of the week following the date of the report
5.	Maintenance of Margins of Participating Organisations	Appendix 2b			
6.	Clients' Trust Monies, Remisiers'/ Dealer's Representatives Deposits and Overpledging of Shares	Appendix 2c			
7.	Investment & Error or Mistake Accounts On Participating Organisations	Appendix 2d			
8.	Securities Borrowing & Lending – Lists of clients with collateral below 102%	Appendix 2e			
9.	Report on Securities Borrowing & Lending for potential failed trades	Appendix 2f			
10.	Additional Explanatory Notes ( <i>for report item no. 4 to 10</i> )	Appendix 2g			



**BURSA MALAYSIA SECURITIES BERHAD**  
**PARTICIPATING ORGANISATIONS' CIRCULAR NO. R/R 2 OF 2007**  
**Date: 12 February 2007**

No.	Name of Report	Appendix	Frequency	Timing of submission via FIX transmission	Timing of submission of reports via facsimile pursuant to paragraph 2.4(b)
11.	Calculation Of Gearing Ratio and Margin Financing	Appendix 3a	Monthly (MTH.xls)	By 5.30 p.m., not later than ten (10) days from the last day of the reporting month	By 8.30 p.m., not later than ten (10) days from the last day of the reporting month
12.	Interest In Suspense and Provision for Bad & Doubtful Debt	Appendix 3b			
13.	Additional Explanatory Notes ( <i>for report item no. 13</i> )	Appendix 3c			
14.	Paid Dealer's Representatives and Remisiers	Appendix 4a	Quarterly (QTR.xls)	<u>Quarterly report</u> By 5.30 p.m., before the end of the next reporting quarter	<u>Quarterly report</u> By 8.30 p.m., before the end of the next reporting quarter
15.	Profit & Loss Statement Of Participating Organisations	Appendix 4b			
16.	Additional Explanatory Notes ( <i>for report item no. 16</i> )	Appendix 4c			
17.	Failure to Deliver (Auto Buying-in)	Appendix 5	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)
18.	Failure to Deliver (Manual Buying-in)	Appendix 6	As and when there is an 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



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

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

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

**Margin Account**

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

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MARKET REVIEW & MARGIN ACCOUNTS OF PARTICIPATING ORGANISATIONS**

Participating Organisation: \_\_\_\_\_

Position As At: \_\_\_\_\_

**Additional Explanatory Notes (if any)**

	<b>ISSUES</b>	<b>ADDITIONAL EXPLANATORY NOTES</b>
1	<b>Clients' Accounts under DFA (exclude margin)</b>	
2	<b>Clients' Accounts not under DFA (exclude margin)</b>	
3	<b>Clearing Accounts</b>	
4	<b>Margin Accounts</b>	
5	<b>Others</b>	

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
CASH & BANK BALANCES AND BANKING FACILITIES POSITION  
( Weekly Submission)**

Appendix 2a

**PARTICIPATING ORGANISATION:** <<insert name of Participating Organisation>>  
**POSITION AS AT:** month/date/year  
*(last market day of the week)*

Banking Facilities	Approved Facility Limit	Amount Available for Utilisation	Amount Utilised	Amount Unutilised
	RM	RM	RM	RM
Total Amount	0.00	0.00	0.00	0.00

Items	Non-Trust RM	Trust RM	Total RM
Cash & Bank Balances	0.00	0.00	0.00
Deposits - Banks and financial institutions	0.00	0.00	0.00
Deposits - Others	0.00	0.00	0.00
<b>Total</b>	0.00	0.00	0.00

*(Note : Information relating to the above is to be submitted weekly for the position as at the last market day of the corresponding week)*

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MAINTENANCE OF MARGINS 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) List of Margin Accounts with Equity Value < 130% of Outstanding Balance**

In respect of those accounts with equity value  $\leq 130\%$  of outstanding balance, kindly also provide the following information on a weekly basis for position as at last market day of the corresponding week:-

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!

**ii) List of Margin Accounts with Credit Facilities Exceed Approved Limit**

In respect of those accounts with credit facilities limit exceeding its approved limit, kindly also provide the following information on a weekly basis for position as at last market day of the corresponding week:-

No	Name of Clients	Approved Limit RM	Outstanding Balance RM	Excess Amount RM
1		0.00	0.00	0.00
2		0.00	0.00	0.00
3		0.00	0.00	0.00
4		0.00	0.00	0.00
5		0.00	0.00	0.00
6		0.00	0.00	0.00
7		0.00	0.00	0.00
8		0.00	0.00	0.00
9		0.00	0.00	0.00
10		0.00	0.00	0.00
11		0.00	0.00	0.00
12		0.00	0.00	0.00
13		0.00	0.00	0.00
14		0.00	0.00	0.00
15		0.00	0.00	0.00
16		0.00	0.00	0.00
17		0.00	0.00	0.00
18		0.00	0.00	0.00
19		0.00	0.00	0.00
20		0.00	0.00	0.00
21		0.00	0.00	0.00
22		0.00	0.00	0.00
	Total	0.00	0.00	0.00

## SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON

**CLIENTS' TRUST MONIES, REMISIERS'/ DEALER'S REPRESENTATIVES  
DEPOSITS AND OVERPLEDGING OF SHARES  
(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)*

1. CLIENTS' TRUST ACCOUNT	Range per client	No. of Clients	Total amount
	RM		RM
Clients' monies <i>(as required under Rule 405.1)</i> not banked into trust account	less than 50,000	0	0.00
	50,001 up to 100,000	0	0.00
	100,001 up to 1,000,000	0	0.00
	above 1,000,000	0	0.00
	TOTAL	0	0.00

2. REMISIERS' / DEALER'S REPRESENTATIVES NET DEPOSIT	Net deposit per remisier / dealer's representative	No. of Remisier / D.Rep	Total amount
	RM		RM
Amount or remisiers' /dealer's representatives net deposits (note 1) not deposited into trust account (to compute based on the basis of remisier/dealer's representative by remisier/dealer's representative) <i>(note 1 :- cash deposits less contra losses and other relevant charges)</i>	less than 50,000	0	0.00
	50,001 up to 100,000	0	0.00
	100,001 up to 1,000,000	0	0.00
	above 1,000,000	0	0.00
	TOTAL	0	0.00

3. OVERPLEDGING OF SHARES	Shares overpledged per client	No. of Clients	Total amount
	RM		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 based on the basis of client by client)	less than 50,000	0	0.00
	50,001 up to 100,000	0	0.00
	100,001 up to 1,000,000	0	0.00
	above 1,000,000	0	0.00
	TOTAL	0	0.00



**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
INVESTMENT AND ERROR OR MISTAKE ACCOUNTS ON 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 Account**

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**  
**SECURITIES BORROWING & LENDING -**  
**(LIST OF CLIENTS WITH COLLATERAL BELOW 102%)**

Participating Organisation: \_\_\_\_\_  
 Reporting Date : \_\_\_\_\_

No	Name of Client	Value of borrowing	Value of collateral (after	Ratio	Actions Taken
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	
				#DIV/0!	

Name of contact person(s) : *[The person(s) must be able to clarify queries raised]*

Telephone number(s) :

Name of Authorised Person :

Designation : *[Manager & above]*

# SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD

Appendix 2f

Participating Organisation: \_\_\_\_\_

Reporting Date : \_\_\_\_\_

## REPORT ON SECURITIES BORROWING & LENDING FOR POTENTIAL FAILED TRADES

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

Name of contact person(s) : *[The person(s) must be able to clarify queries raised]*

Telephone number(s) :

Name of Authorised Person :

Designation : *[Manager & above]*

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD**

Participating Organisation: \_\_\_\_\_

Position As At: \_\_\_\_\_

**Additional Explanatory Notes (if any)**

	<b>ISSUES</b>	<b>ADDITIONAL EXPLANATORY NOTES</b>
1	<b>Banking Facilities Position</b>	
2	<b>Margin Accounts with Equity Value &lt; 130% of Outstanding Balance</b>	
3	<b>Margin Accounts with Credit Facilities Exceed Approved Limit</b>	
4	<b>Company's Investment Accounts</b>	
5	<b>Clients' Trust Account</b>	
6	<b>Remisier's / Dealer's Representatives Net Deposit</b>	
7	<b>Overpledging Of Shares</b>	
8	<b>Securities Borrowing &amp; Lending - Lists of clients with collateral less than 102%</b>	
9	<b>Securities Borrowing &amp; Lending for potential failed trades.</b>	
10	<b>Others</b>	

**CALCULATION OF GEARING RATIO AND MARGIN FINANCING**  
*(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' Fund	Gearing Ratio
(a) RM	(b) RM	(c=a/b) times
0.00	0.00	#DIV/0!

**2. MARGIN FINANCING - Limit Of Outstanding Balance - Rule 703.4**

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!

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
MONTHLY REPORT ON INTEREST-IN-SUSPENSE AND PROVISION FOR BAD & DOUBTFUL DEBTS**

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

**Reporting Month :** month/date/year

<b>INTEREST-IN-SUSPENSE</b>	<b>Opening balance</b>	<b>Addition</b>	<b>Reversal</b>	<b>Write-off</b>	<b>Closing balance</b>
<b>ITEM</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>
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

<b>SPECIFIC PROVISION</b>	<b>Opening balance</b>	<b>Addition</b>	<b>Reversal</b>	<b>Write-off</b>	<b>Closing balance</b>
<b>ITEM</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>
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

<b>TOTAL</b>	<b>Total Trade Receivables</b>	<b>Interest-in-Suspense</b>	<b>Specific Provision</b>	<b>Net Trade Receivables</b>	<b>General Provision at 1%</b>
<b>ITEM</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>	<b>(RM)</b>
<b>GENERAL PROVISION</b>	0.00	0.00	0.00	0.00	0.00

**SUBMISSION TO BURSA SECURITIES BERHAD ON  
MONTHLY REPORT ON INTEREST-IN-SUSPENSE AND PROVISION FOR BAD & DOUBTFUL DEBTS**

**Participating Organisation:**

**Reporting Month :**

**Additional Explanatory Notes - Interest-in-Suspense, Specific Provision , General Provision and Others (if any)**

	ISSUES	ADDITIONAL EXPLANATORY NOTES
1	Interest In Suspense	
2	Specific Provision	
3	General Provision	
4	Others	

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
PAID DEALER'S REPRESENTATIVES AND REMISIERS  
(Quarterly Submission)**

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

**POSITION AS AT:** month/date/year

*(as at last market day of the quarter)*

**1. PAID DEALER'S REPRESENTATIVES**

**1.1 TOTAL PAID DEALER'S REPRESENTATIVES**

<b>PAID DEALER'S REPRESENTATIVES</b>	<b>Number of Paid Dealer's Representatives</b>
Bumiputra	0
Non-Bumiputra	0
Total	0

**1.2 SUSPENDED PAID DEALER'S REPRESENTATIVES**

<b>SUSPENDED PAID DEALER'S REPRESENTATIVES</b>	<b>Number of Suspended Paid Dealer's Representatives</b>
Bumiputra	0
Non-Bumiputra	0
Total	0

**2. REMISIERS**

**2.1 TOTAL REMISIERS**

<b>REMISIERS</b>	<b>Number of Remisiers</b>
Bumiputra	0
Non-Bumiputra	0
Total	0

**2.2 SUSPENDED REMISIERS**

<b>SUSPENDED REMISIERS</b>	<b>Number of Suspended Remisiers</b>
Bumiputra	0
Non-Bumiputra	0
Total	0



**PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS**  
(Quarterly Submission)

Participating Organisation:

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

For the period:

month/date/year

(for the quarter ended)

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>					
<b>1. Online routed trades [as defined in Rule 1001.1(7)]</b>					
1.1 Principal Office	0.00	0.00	0.00	0.00	0.00
1.2 Branch Office(s)	0.00	0.00	0.00	0.00	0.00
1.3 EAFs With Permitted Activities (based on DRs)	0.00	0.00	0.00	0.00	0.00
<b>Total for 1</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>2. Any other trades</b>					
2.1 Principal Office	0.00	0.00	0.00	0.00	0.00
2.2 Branch Office(s)	0.00	0.00	0.00	0.00	0.00
2.3 EAFs With Permitted Activities (based on DRs)	0.00	0.00	0.00	0.00	0.00
<b>Total for 2</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>TOTAL VALUE OF TRADES DONE (1+2)</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	0.00	0.00	0.00	0.00	0.00
Less : Commission to dealer's representatives					0.00
Bank interest					0.00
Margin interest and rollover fees					0.00
Advisory fees					0.00
Management fees					0.00
Underwriting fees					0.00
Interest on amount due from holding / related company					0.00
Proprietary gain					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					0.00
Professional / legal fees					0.00
Rental paid					0.00
Computer and office maintenance					0.00
Bad debts written off					0.00
Provision for bad & doubtful debts					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>

Note: DRs - Dealer's Representatives

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON  
PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS**

**Participating Organisation :**

<<insert name of Participating Organisation>>

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

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

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

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD**

**Appendix 5**

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

**FAILURE TO DELIVER (AUTO BUYING-IN) - [Insert Date of Auto Buying-In]**

CONTRACT DATE	BUYING-IN DATE	COUNTER	PARTICIPATING ORGANISATION	NAME OF DEFAULT CLIENT	ADDRESS OF DEFAULT CLIENT	CDS A/C NO.	DEALER'S NAME	TOTAL FAILED TO DELIVER	CONTRACT PRICE	REASON/S FOR FAILING TO DELIVER

Name of contact person(s) : *[The person(s) must be able to clarify queries raised]*  
 Telephone number(s) :

Name of Authorised Person :  
 Designation : *[Manager & above]*

**SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD**

**Appendix 6**

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

**FAILURE TO DELIVER (MANUAL BUYING-IN) - [Insert Date of Auto Buying-In]**

CONTRACT DATE	BUYING-IN DATE	COUNTER	PARTICIPATING ORGANISATION	NAME OF DEFAULT CLIENT	ADDRESS OF DEFAULT CLIENT	CDS A/C NO.	DEALER'S NAME	TOTAL FAILED TO DELIVER	CONTRACT PRICE	REASON/S FOR FAILING TO DELIVER

Name of contact person(s) : *[The person(s) must be able to clarify queries raised]*  
 Telephone number(s) :

Name of Authorised Person :  
 Designation : *[Manager & above]*