
	PAGE
1. INTRODUCTION	1-1
2. OVERVIEW	2-1
3. SYSTEM ADMINISTRATION FOR CDS	
System Administration Process Workflow	3-0
3.1 Authorised Signatory For System Access	3-1
3.2 CDS Data Entry Supervisors List	3-2
3.3 Application For User ID	3-3
3.4 Application For CDS Task	3-4
3.5 Application To Activate / Deactivate / Remove CDS User ID	3-5
3.6 Application To Reset Password	3-6
3.7 Application To Change Printer Location	3-7
3.8 Request To Configure CDS Terminal / Printer	3-8
3.9 Request To Activate / Deactivate / Terminate CDS Terminal / Printer	3-9
3.10 Request To Relocate CDS Terminal / Printer	3-10
3.11 Application To Use CDS Terminal/Printer At Bursa Depository	3-11
3.12 Printing And Submission Of Report To Bursa Depository	3-12
4. ACCOUNT MANAGEMENT	
Account Management Process Workflow	4-0
4.1 Opening Of Account Applications	4-1
4.1.1 Accepting Account Opening Requests	
4.1.2 Verification Of Application For Opening Of CDS Accounts	

4.1.3	Keying-In Account Opening Data Into The CDS	
4.1.4	Bank Account Information For ADM's Principal Account(s) And Wholly-Owned Nominees Account(s)	
4.1.5	Email Address For ADM's Principal Account(s) And Wholly Owned Nominees Account(s)	
4.1.6	Generate And Verify Participant Accounts Listing And eServices Registration Report	
4.1.7	Generation Of Principal And Nominees Account Report	
4.1.8	Generation Of Principal And Noms eDividend Registration Report	
4.1.9	Transmitting Principal And Nominee Account Report To Depository	
4.1.10	Transmitting Principal And Nominees eDividend Registration Report To Depository	
4.1.11	Sorting And Packing Of Documents	
4.1.12	Filing Of Documents	
4.2	Updating Of Signature / Signatories	4-11
4.2.1	Verification And Updating Of Signature(s) For ADM's Principal And Its Wholly Owned Nominees' Authorised Signatory(ies)	
4.2.2	Filing Of Documents	
4.2.3	Sorting And Packing Of List Of Authorised Signatory(ies)	
4.2.4	Submission Of Documents To Depository	
4.3	Updating Of Depositor's CDS Account Particulars	4-15
4.3.1	Updating Of CDS Account Particulars of ADM Principal And Wholly Owned Nominee Accounts	
4.3.2	Accepting Updating Of ADM Principal And Wholly Owned Nominee Accounts	
4.3.3	Verification Of Updating Of ADM Principal And Wholly Owned Nominee Accounts	
4.3.4	Keying-In Updating Of CDS Account Data Into The CDS	
4.3.5	Generate And Verify The Account / Investor Audit Report And eServices Audit Report	
4.3.6	Sorting And Packing Of Forms	
4.3.7	Submission Of Account Updating Documents To Depository	
4.3.8	Filing Of Documents	
4.4	Application For Closing Of CDS Accounts	4-25
4.4.1	Accepting CDS Account Closure Requests	
4.4.2	Verification Of CDS Account Closure Requests	
4.4.3	Keying-In CDS Account Closure Data Into The CDS	
4.4.4	Status Of CDS Account Closure	
4.4.5	Rejection Of CDS Account Closure Requests	

4.4.6	Packing And Submission Of CDS Account Closure Documents To Depository	
4.4.7	Filing Of Documents	
4.4.8	Automatic Closure Of Dormant Accounts	
4.5	Suspension / Release Of Suspension Of Securities	4-31
4.5.1	Types Of Suspension	
4.5.2	Categories Of Persons Requesting For Suspension / Release Of Suspension	
4.5.3	Verification Of Application For Suspension / Release Of Suspension Of Securities Requests	
4.5.4	Packing And Submission Of Suspension / Release Of Suspension Documents To Depository	
4.5.5	Acknowledgement Of Receipt Of Suspension / Release Of Suspension Of Securities Requests By Depository	
4.5.6	Filing Of Documents	
4.6	Reactivation Of Dormant Account Requests	4-35
4.6.1	Accepting Reactivation Of ADM Principal / Depositors' CDS Accounts	
4.6.2	Verification Of Reactivation Requests	
4.6.3	Keying-In Reactivation Requests	
4.6.4	Generate And Verify The Reactivated Account Report	
4.6.5	Filing Of Documents	
4.7	Reactivation Of Inactive Account Requests	4-39
4.7.1	Accepting Reactivation Of Inactive Account Request	
4.7.2	Verification Of Reactivation Requests	
4.7.3	Keying-In Reactivation Requests	
4.7.4	Generate And Verify Reactivated Account Report	
4.7.5	Filing Of Documents	
4.8	Inter Branch Transactions	4-42
4.8.1	Inter Branch Transactions With Regards To Updating Of Depositors' CDS Accounts Particulars	
4.8.2	Inter Branch Transactions With Regards To Closing Of CDS Accounts	
4.8.3	Inter Branch Transactions With Regards To Reactivation Of Inactive Account Request	
4.8.4	Inter Branch Transactions With Regards To Reactivation Of Dormant Account Request	
4.9	Codes	4-47

5. DEPOSIT

Deposit Process Workflow	5-0
5.1 Accepting Securities Deposit Requests	5-6
5.2 Verification Of Securities Deposit Requests	5-7
5.2.1 Verification Of FDE010, Scrip And External Form 32A	
5.2.2 Verification Of FDE010 And Scrip (With Preprinted Form 32A On The Reverse Of Scrip)	
5.2.3 Verification Of FDE010, Scrip (With Preprinted Form 32A On The Reverse Of Scrip) And External Form 32A	
5.2.4 Verification Of FDE010 And Moratorium Securities	
5.3 Keying-In Deposit Data Into The CDS	5-12
5.4 Acknowledge Receipt Of Deposit Requests	5-13
5.5 Processing The Transferee Part Of Form 32A	5-14
5.6 Generate And Verify Deposit Report	5-15
5.7 Sorting And Packing Of Scrip And Forms	5-16
5.8 Submission Of Deposit Requests To Bursa Depository	5-17
5.9 Acknowledgement Of Receipt Of Deposit Requests By Bursa Depository	5-19
5.10 Rejection Of Deposit Requests By Bursa Depository	5-20
5.11 ADM Returning Rejected Deposit Requests To The Depositor	5-21
5.12 Inter Branch Transactions With Regards To Deposit Requests	5-22
5.13 Bursa Depository Reports	5-23
5.14 Filing Of Documents	5-24
5.15 Deposit Of Provisional Allotment Letters (PALs) / Provisional Letters Of Offer (PLO)	5-25

-
- 5.15.1 Accepting PALs/PLO For Deposit
 - 5.15.2 Verification Of FDE010 And PALs/PLO

6. TRANSFER

Transfer Process Workflow	6-0
6.1 Accepting Transfer Of Securities Requests	6-1
6.2 Verification Of Transfer Of Securities Requests	6-2
6.3 Keying-In Transfer Data Into The CDS By First (1st) Level User	6-3
6.4 Acknowledge Receipt Of Transfer Requests	6-4
6.5 Generate And Verify Transfer Report	6-5
6.6 Confirmation Of Transfer Requests By Second (2nd) Level User	6-6
6.7 Generate Unattended Transfer Report	6-8
6.8 Transfers From Principal Or Wholly-Owned Nominee Account(s) Of The ADM	6-9
6.9 Inter Branch Transactions With Regards To Transfer Requests	6-10
6.10 Transmitting Transfer Confirmation Report To Bursa Depository	6-11
6.11 ADM Returning Rejected Transfer Requests To The Depositor	6-12
6.12 Filing Of Documents	6-13

##

7. WITHDRAWAL

Withdrawal Process Workflow	7-0
7.1 Accepting Withdrawal Requests	7-1
7.2 Verification Of Securities Withdrawal Requests	7-2
7.3 Keying-In Withdrawal Data Into The CDS	7-3

7.4	Acknowledge Receipt Of Withdrawal Requests	7-4
7.5	Generate And Verify Withdrawal Report	7-5
7.6	Sorting And Packing Of Forms	7-6
7.7	Submission Of Withdrawal Requests To Bursa Depository	7-7
7.8	Acknowledgement Of Receipt Of Withdrawal Requests By Bursa Depository	7-9
7.9	Rejection Of Withdrawal Requests By Bursa Depository	7-10
7.10	ADM Returning Rejected Withdrawal Requests To The Depositor	7-11
7.11	Inter Branch Transactions With Regards To Withdrawal Requests	7-12
7.12	Bursa Depository Reports	7-13
7.13	Filing Of Documents	7-14
8.	TRANSMISSION OF TITLE OF SECURITIES	
	Transmission Of Title Process Workflow	8-0
8.1	Transmission Of Title From A Nominee Account For A Beneficial Owner Who Is Deceased	8-1
9.	WITNESS & CERTIFICATION	
9.1	List Of Acceptable Witnesses	9-1
10.	FILE INFORMATION EXCHANGE (FIX)	
	File Information Exchange (FIX) Workflow	10-0
10.1	Request For Access To File Information Exchange (FIX) Facility	10-1
10.2	Daily Information Available In FIX Facility	10-2
10.3	Weekly Information Available In FIX Facility	10-3

10.4	Ad-Hoc FIX Requests	10-4
10.4.1	Request For Full Downloading Of Account Stock Balance File (CFT003)	
10.4.2	Request For Account Information File (CFT010)	
10.4.3	Request For Dormant Account Information File (CFT011)	
10.4.4	Request For Backdated Data Files And/Or Reports	
11.	## (Deleted)	
12.	## (Deleted)	

APPENDICES

1.1 Purpose

This Procedures Manual stipulates the procedures to be applied by the Authorised Direct Members (ADM) in performing the following functions:-

- a. System Administration
- b. Account Management
- c. Deposit
- d. Transfer
- e. Withdrawal
- f. Transmission Of Title
- g. Witness & Certification
- h. File Information Exchange (FIX).

Every ADM shall be bound by the procedures, which include the appendices and checklists in every chapter and any amendments / inclusions thereto from time to time, issued by Depository. The requirements of the above chapters and its related appendices and checklists must be complied with at all times by the ADM.

1.2 Scope

All the requirements and procedures in this manual have been defined in the context of the Central Depository System – 2+ (CDS-2+) as implemented in September 1999. Any changes to this system may have a bearing on the requirements and procedures.

Only the requirements and procedures related to the above functions have been described. It is not intended to include requirements or procedures of any other function.

Within each function itself, procedures having computer interaction via terminal have not been described in detail. These are provided for in the technical User Guide manual.

Procedures in relation to collection of charges and billing are covered in the Billings Procedures Manual.

It is left to the ADM to define their own organisational structure to carry out the procedures defined here to meet Depository's requirements. ADM is hereby reminded that the procedures defined in this manual are to be strictly carried out by its designated staff and accordingly, must not be delegated to its agents or anyone else.

1.3 Organisation

Chapter 2 gives an overview of the functions and describes the activities associated with each of the CDS functions.

Chapter 3 describes the function of “System Administration For CDS”.

Chapter 4 describes the function of “Account Management”.

Chapter 5 describes the function of “Deposit”.

Chapter 6 the function of “Transfer”.

Chapter 7 describes the function of “Withdrawal”.

Chapter 8 describes the function of “Transmission Of Title”.

Chapter 9 describes the function of “Witness & Certification”.

Chapter 10 describes the function of “File Information Exchange (FIX)”.

Chapter 11 ## (Deleted)

Chapter 12 ## (Deleted)

APPENDICES contain different CDS forms, reports and checklists which are used during the operations of different CDS transactions.

NOTE: “ ## ” to denote that the procedure has been deleted.

A vertical black line on the right, beside the affected paragraph(s) as shown here is to denote that certain changes have been made to the procedure.

◆◆◆◆

This chapter gives an overview of the different CDS functions of System Administration For CDS, Account Management, Deposit, Transfer, Withdrawal, Transmission Of Title, Witness & Certification, File Information Exchange and Electronic Dividend (eDividend).

2.1 System Administration For CDS

This chapter stipulates the procedures to be complied with by the ADM with respect to system administration functions such as authorised signatory for system access, application for User ID, application for CDS task, activate / deactivate / remove CDS User ID, change printer location, reset password.

2.2 Account Management

This function consists of opening of CDS accounts by depositors as well as ADM's own Principal and wholly-owned Nominee accounts. Updating of specimen signatures and depositor's particulars, suspension / release of suspension of securities and account closures are also mentioned.

2.3 Deposit

This chapter deals with the acceptance of physical share certificates for the purposes of depositing securities into a CDS account. Exemptions to the mandatory deposit exercise are also discussed.

2.4 Transfer

Procedures on how to accept, verify the transfer request and to check on the supporting documents (if any) are discussed.

2.5 Withdrawal

This chapter describes the procedures to be complied with by the ADM with respect to the acceptance and processing of withdrawal requests by the depositors and their subsequent submission to Bursa Depository.

2.6 Transmission Of Title

This chapter describes functions relating to shares residing in an authorised nominee account for a beneficial owner who is deceased. Procedures have been laid out to deal with the transfer of such securities into the account of the executor/administrator.

2.7 Witness & Certification

This chapter is introduced by Bursa Depository to provide a list of acceptable witnesses, who may perform, amongst others, witnessing and certification functions for the depositor / ADM.

2.8 File Information Exchange (FIX)

Procedures on how an ADM should request for the FIX facility is discussed. This facility will enable ADM to download certain information which may be used by the ADM's back office system.

2.9 ## (Deleted)

2.10 ## (Deleted)

◆ ◆ ◆ ◆

SYSTEM ADMINISTRATION PROCESS WORKFLOW

ADM

BURSA DEPOSITORY

- Submit request ^{3.3 - 3.11}
- Ensure request duly signed by Authorised Signatory ^{3.3 - 3.11}

- Receive participant's request ^{3.3 - 3.11}
- Check / verify participant's request ^{3.3 - 3.11}

Rectify error & resubmit ^{3.3 - 3.5, 3.7}

NO
YES

Receive notification from
Bursa Depository ^{3.3, 3.5, 3.8 - 3.11}

- Process request ^{3.3 - 3.11}
- Prepare letter / documentation ^{3.3, 3.5, 3.8 - 3.10}
- Send notification ^{3.3, 3.5, 3.8 - 3.10}

Note:

The number stated by each process refers to the section where the process can be found in the procedures manual.

This chapter stipulates the procedures to be complied with by the ADM with respect to authorised signatory for system access, CDS data entry supervisors list, application for User ID, application for CDS task, activate / deactivate / remove CDS User ID, change printer location, reset password, submission of report to Bursa Malaysia Depository Sdn Bhd ["Bursa Depository"] and application to use CDS terminal/printer at Bursa Depository.

The requirements of this chapter and its related appendices must be complied with at all times by the ADM.

3.1 Authorised Signatory For System Access

3.1.1 ADM is required to submit an **Authorised Signatories For System Access List** (Appendix 1) to Bursa Depository.

3.1.2 The List should contain the following:-

- a. Name(s) of the authorised signatory(ies)
- b. Designation of the authorised signatory(ies)
- c. Specimen signature(s) of the authorised signatory(ies).

***Note:** ADM is allowed to furnish maximum five (5) authorised signatories only.*

3.1.3 The List must be signed by the Executive Director or General Manager of the ADM.

3.1.4 Submit the original List to Bursa Depository.

3.1.5 The effective date will be the date receipt of the List from ADM or the effective date stated in the List, whichever is later.

3.1.6 If there is changes to the authorised signatory(ies), submit a fresh List to Bursa Depository. The new List will supersede the previous List submitted to Bursa Depository.

3.2 CDS Data Entry Supervisors List

- 3.2.1 ADM is required to submit a **CDS Data Entry Supervisors List** (Appendix 2) to Bursa Depository.
- 3.2.2 The responsibilities of the CDS Data Entry Supervisors are as follow:-
- a. Administer and monitor access(es) to CDS terminal(s)
 - b. Supervise data entry(ies) at CDS terminal(s)
 - c. Report erroneous entry(ies) to Bursa Depository
 - d. Monitor communication with Bursa Depository through CDS terminal(s)
 - e. Perform such other function(s) as may be directed by Bursa Depository from time to time.
- 3.2.3 The List should contain the following:-
- a. Primary Data Entry Supervisor's name, designation, direct telephone number and specimen signature
 - b. Alternate Data Entry Supervisor's name, designation, direct telephone number and specimen signature.
- 3.2.4 The List must be signed by one (1) of the authorised signatories appearing in the Authorised Signatories For System Access List.
- 3.2.5 Submit the original List to Bursa Depository.
- 3.2.6 The effective date will be the date receipt of the List from ADM or the effective date stated in the List, whichever is later.
- 3.2.7 If there is changes to the Primary Data Entry Supervisor or Alternate Data Entry Supervisor, submit a fresh List to Bursa Depository. The new List will supersede the previous List submitted to Bursa Depository.

3.3 Application For User ID

3.3.1 Applicant duly completes and signs **User ID Application Form** (Appendix 3).

Note:

- (i) *A user can only has one User ID / Password maintain in the system at any point of time*
- (ii) *User name cannot be numeric or in the form of code such as UT4088. It should be reflective of the applicant's name.*

3.3.2 ADM's Authorised Signatory duly completes and signs at the approval column of the form.

Note: *Backdated form should not exceed one (1) month from the date received by Bursa Depository.*

3.3.3 Submit the original form to Bursa Depository.

3.3.4 If the form is not in order, Bursa Depository will reject the form to the ADM for rectification.

3.3.5 Receive the following from Bursa Depository upon successful assignment of the User ID by Bursa Depository:-

- a. Applicant to receive **Notification Letter** (Appendix 4) of User ID and password
- b. The Authorised Signatory who approved the application to receive **User ID/Password Application Acknowledgement Slip** (Appendix 5).

3.3.6 The Authorised Signatory who approved the application has to acknowledge the User ID/Password Application Acknowledgment Slip and return it to Bursa Depository within one (1) week from date received.

3.3.7 Upon receiving the User ID and password, the applicant is required to login into the system to change the password as soon as possible.

3.4 Application For CDS Task

- 3.4.1 Applicant duly completes and signs **Task/Printer Assignment Sheet** (Appendices 6a and 6b).
- 3.4.2 ADM's Authorised Signatory duly completes and signs at the approval column of the form.
- 3.4.3 Submit the original form to Bursa Depository.
- 3.4.4 If the form is not in order, Bursa Depository will reject the form to the ADM for rectification.
- 3.4.5 Ensure that the task assigned do not violate the **Task Grouping** as set out in Appendix 7.

***Note:** Group 1 task is assigned to personnel who perform monitoring and approval functions whereas Group 2 task is assigned to personnel who perform data entry.*

- 3.4.6 User having tasks from Group 1 is not allowed to have any tasks from Group 2 and vice versa. Other tasks not specified in the grouping may be assigned to any of the groups.
- 3.4.7 Applicant may check the status of his/her request from the system, two (2) market days after Bursa Depository received the form.

3.5 Application To Activate / Deactivate / Remove CDS User ID

3.5.1 ADM's Authorised Signatory duly completes and signs **Application To Activate / Deactivate / Remove CDS User ID Form** (Appendix 8).

3.5.2 Submit the form to Bursa Depository.

3.5.3 The form is to reach Bursa Depository at least two (2) market days before the effective date.

***Note:** The effective date to activate, deactivate or remove CDS User ID can be postdated.*

3.5.4 If the form is not in order, Bursa Depository will reject the form to the ADM for rectification.

3.5.5 If the form is faxed to Bursa Depository, ensure the original copy reach Bursa Depository within three (3) market days for Klang Valley's ADM and one (1) week for outstation ADM.

***Note:** System Administrator will suspend the user's User ID if the original form is not received within the stipulated time.*

3.5.6 The ADM's Authorised Signatory to receive the following for deactivation and removal of CDS User ID only:-

a. **Removal Of CDS User ID Letter** (Appendix 9)

b. **Deactivation Of CDS User ID Letter** (Appendix 10).

3.6 Application To Reset Password

- 3.6.1 Applicant duly completes and signs **Reset Password Application Form** (Appendix 11).
- 3.6.2 ADM's Authorised Signatory duly completes and signs at the approval column of the form.
- 3.6.3 Submit the form to Bursa Depository.
- 3.6.4 If the form is faxed to Bursa Depository, ensure the original copy reach Bursa Depository within three (3) market days for Klang Valley's ADM and one (1) week for outstation ADM.

***Note:** System Administrator will suspend the user's User ID if the original form is not received within the stipulated time.*

- 3.6.5 Call System Administrator in order for him/her to authenticate the applicant's identity.
- 3.6.6 System Administrator will assign a new password and inform the applicant immediately.

3.7 Application To Change Printer Location

3.7.1 Applicant duly completes and signs Task/Printer Assignment Sheet.

Note:

(i) *Part A on Printer Assignment is to be completed*

(ii) *Part A on Task Assignment is to be left blank.*

3.7.2 ADM's Authorised Signatory duly completes and signs at the approval column of the form.

3.7.3 Submit the original form to Bursa Depository.

3.7.4 If the form is not in order, Bursa Depository will reject the form to the ADM for rectification.

3.7.5 Applicant may check the status of his/her request from the system, two (2) market days after Bursa Depository received the form.

3.8 Request To Configure CDS Terminal / Printer

- 3.8.1 The Authorised Signatory writes to Bursa Depository, requesting for configuration of CDS terminal and/or printer.
- 3.8.2 The letter must contains the following information:-
 - a. Type of equipment (terminal or printer) affected and quantity
 - b. Effective date
 - c. Contact person and telephone number.
- 3.8.3 The letter together with the relevant document (if any) is to reach Bursa Depository at least seven (7) market days before the effective date.
- 3.8.4 Receive acknowledgement letter from Bursa Depository informing that the request has been received and will be processed by Bursa Depository.
- 3.8.5 ADM will be notified on the status or progress of the request accordingly.

3.9 Request To Activate / Deactivate / Terminate CDS Terminal / Printer

- 3.9.1 The Authorised Signatory writes to Bursa Depository, requesting for activation (A) / deactivation (I) / termination of CDS terminal and/or printer.
- 3.9.2 The letter must contains the following information:-
- a. Type of equipment - terminal or printer
 - b. Number of affected terminal or printer
 - c. Terminal or printer address
 - d. Action required (activation, deactivation or termination)
 - e. Effective date
 - f. Contact person and telephone number.
- 3.9.3 The letter together with the relevant document (if any) is to reach Bursa Depository at least two (2) market days before the effective date.
- 3.9.4 Receive acknowledgement letter from Bursa Depository informing that the request has been received and will be processed by Bursa Depository.
- 3.9.5 ADM will be notified on the status or progress of the request accordingly.

3.10 Request To Relocate CDS Terminal / Printer

- 3.10.1 The Authorised Signatory writes to Bursa Depository, requesting for relocation of CDS terminal and/or printer.
- 3.10.2 The letter must contains the following information:-
- a. Type of equipment - terminal or printer
 - b. Number of affected terminal or printer
 - c. Terminal or printer address
 - d. Location of existing CDS terminal / printer
 - e. New location for CDS terminal / printer
 - f. Effective date
 - g. Contact person and telephone number.
- 3.10.3 The letter together with the relevant document (if any) is to reach Bursa Depository at least fourteen (14) market days before the effective date.
- 3.10.4 Receive acknowledgement letter from Bursa Depository informing that the request has been received and will be processed by Bursa Depository.
- 3.10.5 ADM will be notified on the status or progress of the request accordingly.

3.11 Application To Use CDS Terminal/Printer At Bursa Depository

ADM can apply to Bursa Depository to use the CDS terminal/printer at Bursa Depository's office in the event of minor disruption to the ADM's lease line or breakdown of CDS terminal/printer at the ADM's office.

Note: *CDS terminal/printer at Bursa Depository's office is provided by Bursa Depository "on best effort" and temporary basis and it is never intended to be used as the ADM's permanent Disaster Recovery Centre (DRC) or Business Continuity Plan (BCP) centre.*

3.11.1 ADM is required to call Head of Depository (HOD) to notify their problem and obtain HOD's approval.

3.11.2 Submit letter and **Application To Use The CDS Terminal/Printer Form** (Appendix 12) to HOD requesting to use the CDS terminal/printer at Bursa Depository.

3.11.3 The letter must contain the following:-

- a. Details of the problem encountered by the ADM
- b. User's name and User ID of authorised personnel who will be using the CDS terminal/printer at Bursa Depository
- c. Number of day(s) required.

3.11.4 Ensure letter is signed by ADM's Authorised Signatory.

3.11.5 ADM's Authorised Signatory duly completes and signs at the approval column of the form.

3.11.6 System Administrator will notify the ADM via telephone once the CDS terminal/printer has been set-up and ready to be utilised.

Note: *New or additional User ID is not required for this request.*

3.12 Printing And Submission Of Report To Bursa Depository

- 3.12.1 ADM is required to print the Tasks Assigned To A User Report (UT520RA) on half-yearly basis, in the months of June and December.
- 3.12.2 ADM is to verify the report for accuracy of tasks assigned to correct and valid personnel.
- 3.12.3 Ensure ADM's Authorised Signatory has signed the report and affix the company's rubber-stamp prior to submission.

***Note:** Failure to do so will result in the report being rejected by Bursa Depository.*

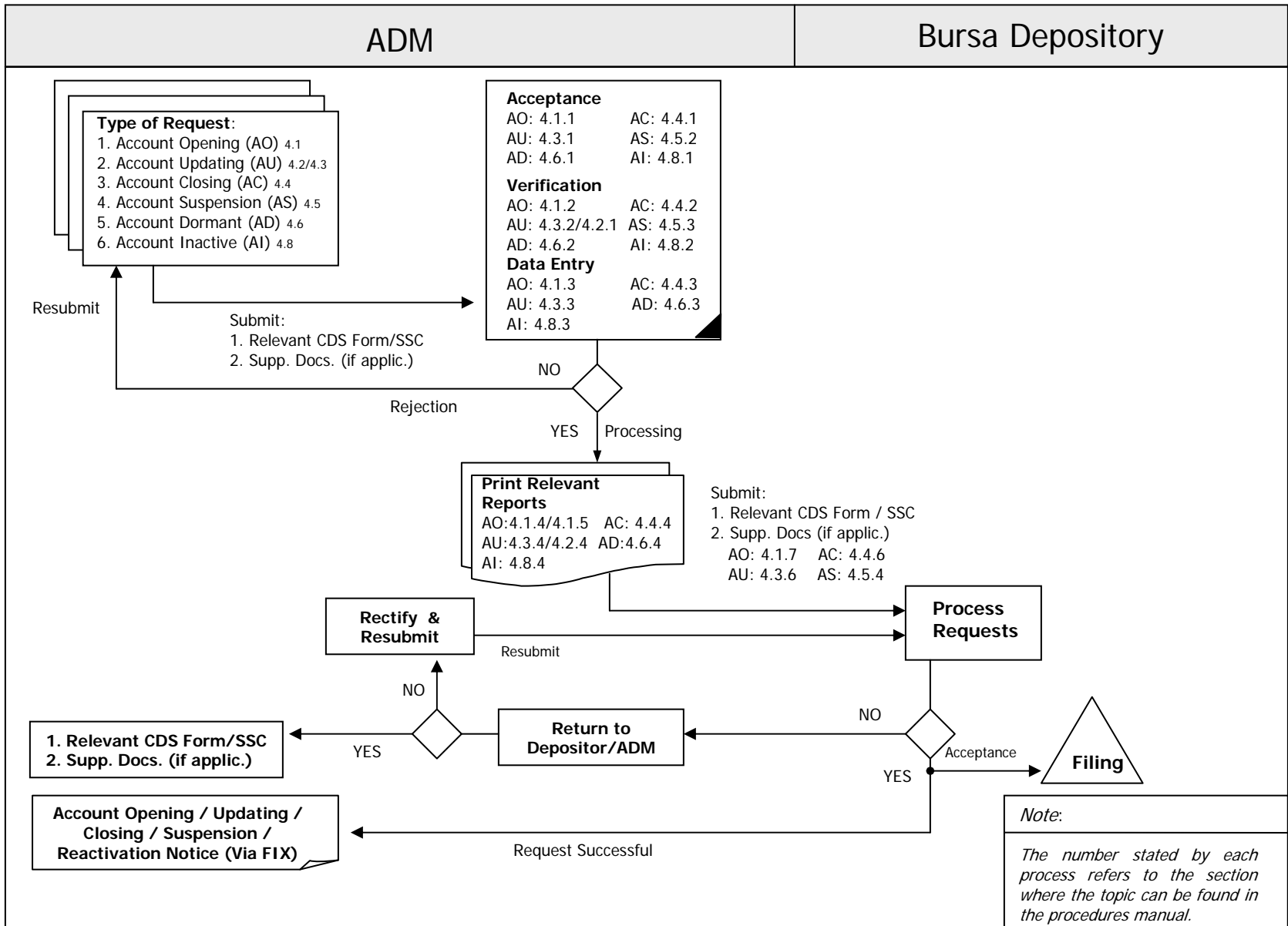
- 3.12.4 The report is to reach Bursa Depository latest by 30th June and 31st December respectively.

***Note:** Failure to do so will result in ADM's User IDs being suspended.*

- 3.12.5 Receive acknowledgement from Bursa Depository.



ACCOUNT MANAGEMENT PROCESS WORKFLOW



This chapter stipulates the procedures for the ADM with respect to the following activities that includes submission of the related documents to Depository:-

- i. Opening of CDS accounts
- ii. Updating of signatories
- iii. Changing of depositor's CDS account particulars
- iv. Suspension / release of suspension of securities
- v. Reactivation of dormant / inactive accounts
- vi. Closing of CDS accounts

The requirements of this chapter and its related appendices (checklists) must be complied with at all times by the ADM.

It is mandatory for Malaysian incorporated/registered entities to provide its bank account information during account opening. ADM and its wholly owned nominee company are required to indicate whether they would like to have the same bank account information to be used for all their CDS accounts ["Consolidated Bank Account Information"] which will also include new CDS accounts that may be opened in the future. In respect of the Consolidated Bank Account Information for ADM's wholly owned nominee account(s), only those CDS accounts maintained at a particular ADM or its branches will be affected.

Effective 1 September 2019, it is mandatory for the ADM and its wholly owned nominees company to provide their email address for new account opening. By providing the email address, ADM and its wholly owned nominees company will be able to receive electronic notification instead of hardcopy notification or communication in relation to the ADM's and its wholly owned nominees company's deposited securities from issuers of securities, Participating Organisation ("PO") or other entities within Bursa Malaysia Berhad's Group of Companies as and when the service becomes available and the relevant persons such as issuers of securities, Participating Organisations ("POs") elect to use such service.

The above stated notification or communication will be sent electronically to the ADM and its wholly owned nominees company's email address and, if the same is available, to the handphone numbers that have been registered in Depository's records.

Note:

- 1. Pursuant to Securities Commission's Directive dated 12 July 2019, with effect from 1 September 2019, all depositors opening new CDS accounts must register their email address in CDS.**
- 2. The ADM and its wholly owned nominee companies will receive CDS statements of account, CDS notices and other communication from Depository via eFIX.**

4.1 Opening Of Account Applications

4.1.1 Accepting Account Opening Requests

4.1.1.1 Receive the following for each account opening request:-

- a. Two (2) original or certified true copy of the following or its equivalent:-
 - i. Board Resolution (for authorised signatories)
 - ii. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
 - iii. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or annual return
- b. The list of authorised signatory(ies) and specimen signatures
- c. Power of Attorney (if applicable).

Note:

- (i) *Section under 4.1.1.1 need not be submitted for subsequent account opening provided the authorised signatory(ies)/information stated in them remain unchanged. However, where there is a change in the authorised signatory(ies)/information stated in the supporting documents, ADM is required to furnish Depository with the updated copies of the supporting documents.*

4.1.1.2 Verify the below particulars of the following documents:-

- a. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
 - i. Company's name
 - ii. Company's registration number (where the company name has been changed)

b. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or annual return

i. Ownership of the company

4.1.2 Verification Of Application For Opening Of CDS Accounts

4.1.2.1 Verify all applications against the **Checklist For Verification Of Opening An Account** (Appendix 14) and if applicable, **Guidelines On Account Qualifier** in Appendix 15.

4.1.2.2 Ensure the relevant documentation is executed with the authority of the corporation and in the manner specified in the applicant's Board Resolution / Power Of Attorney / Minutes of Meeting.

4.1.2.3 Where the Board Resolution states that the applicant's common seal shall be affixed on the relevant documentation, the applicant's common seal should affixed accordingly in the relevant documentations.

4.1.2.4 Refer to Appendix 16, **Criteria For Board Resolution** and ensure that the applicant's Board Resolution complies with Depository's requirements.

4.1.2.5 Whereby applicant is using Power Of Attorney, refer to **Usage Of Power Of Attorney** (Appendix 17) and ensure that:-

a. The Power Of Attorney has been registered in the High Court of Malaya

b. The Power Of Attorney document specifies the Donee's power to deal in securities

c. The Donee produces two (2) copies of his NRIC which must be verified against the original. Also ensure that the name of the Donee corresponds with the NRIC.

4.1.2.6 For all relevant documentation that are to be executed by Power Of Attorney, the ADM is to affix the following rubber-stamp above the authorised signatories:-

"I/We as stated here below hereby affirm that the Power of Attorney dated _____ bearing Registration No. _____ pursuant to which this form is executed has not been revoked and I/We undertake to notify Depository of any revocation of this Power of Attorney".

Name of Donee(s)	NRIC / Passport No. / Reg. No.

Ensure that the Donee(s) complete(s) the above rubber-stamp.

4.1.2.7 The ADM must maintain one (1) of the two (2) originals or certified true copies of the list of authorised signatory(ies) and specimen signatures in its records.

4.1.2.8 Where facsimile signatures are used by the applicant, the ADM is to:-

- a. Obtain two (2) original or certified true copies of the Board Resolution containing:-
 - i. Authorisation to use the facsimile signature(s)
 - ii. A clause stating that the Letter Of Indemnity will be furnished to Depository
 - iii. The names of the authorised signatories who will be signing the Letter Of Indemnity
- b. Obtain the specimen facsimile signature(s) of the authorised signatory(ies)
- c. Obtain the original stamped copy of the **Letter Of Indemnity For Facsimile Signatures** from the applicant addressed to Depository (Appendix 18).

4.1.2.9 Forward the original stamped copy of the Letter of Indemnity from the applicant to Depository together with copies of the supporting documents.

4.1.2.10 The ADM must file the duplicate copy of the Letter of Indemnity together with the original supporting documents for record and verification purposes.

4.1.3 Keying-In Account Opening Data Into The CDS By First (1st) Level User

4.1.3.1 Key-in the particulars using the CDS “Account Maintenance” screen. Comply with the Depository’s **Standard Identification Guidelines On Data Entry Of Depositor’s Identification Number In CDS** (Appendix 19).

Note: If there is prior approval from Depository to waive the account opening fee, ADMs are required to click on the fee waived and enter the letter reference number. Failing to enter both the information, may result in the billing for the account opening.

- 4.1.3.2 If the name and investor ID differ from that in the system, do not proceed further. Inform Account Management of Depository immediately.
- 4.1.3.3 In the case of registered address, if the address of the depositor differs from that in the system, the ADM may proceed to update the registered address only upon sighting the original or certified true copy of the identification document, i.e. notice of change of registered address lodged with the Registrar of Companies.
- 4.1.3.4 Ensure that the CDS Account Form (FMN070) (Appendix 76) is also completed to give effect to the new update of the registered address.
- 4.1.3.5 Ensure all the particulars of the depositor have been keyed-in correctly before the request is forwarded to the 2nd level user (Approver).

Note:

- (i) All application received before 12.00 p.m. on any market day must be keyed-in into the CDS terminal on the same market day
- (ii) Where application is received after 12.00 p.m. on any market day, subject to the ADM's discretion, the request may be keyed-in on the same market day or the very latest the next market day.

4.1.4 Bank Account Information For ADM's Principal Account(s) And Wholly-Owned Nominees Account(s)

4.1.4.1 FMN070 is not required to be completed to provide bank account information with regards to ADM's principal account(s) and wholly owned nominees account(s).

4.1.5 Email Address For ADM's Principal Account(s) And Wholly Owned Nominees Account(s)

ADMs and their wholly owned nominee companies, in respect of the ADM's principal account(s) and wholly-owned nominees account(s), is required to provide an email address to receive electronic notification in connection with their deposited securities, although such electronic notification will be confined to the following:-

- a. Communication from Bursa Malaysia Berhad's Group of Companies related to capital market matters; and
- b. Notices and other communication from the issuers of securities and Participating Organisations ("POs").

as and when the service to enable such electronic notification becomes available and the relevant persons such as the issuers, POs or other entities within Bursa Malaysia Berhad's Group of Companies elect to use such service.

- Notes :
- i. ADM's principal and wholly owned nominee companies accounts will receive CDS statement of account and notices from Depository via eFIX.
 - ii. The ADM and/or its wholly-owned nominee companies need not complete the FMN070 when providing the email address and bank account information together that need to be keyed into CDS. However, FMN070 will need to be completed when providing separately only the email address that need to be keyed into CDS.

4.1.6 Confirmation Of Account Opening Data By Second (2nd) Level User

- 4.1.6.1 2nd level user to retrieve the account opening data via the Unattended Request List and link to Verifier's Details Page to verify against the FMN070.
- 4.1.6.2 Alternatively, 2nd level user may verify the data entry using Pending Approval Listing (Appendix 77) to verify against the FMN070.
- 4.1.6.3 Verify and ensure the data keyed in is correct before approving the account opening.

- Note:*
- a) *Once the 2nd level user confirmed the data entered by the 1st level user, Depository considered the 2nd level user has verified and confirmed the accuracy of the data entered.*
 - b) *2nd level user is required to confirm the data entered by the 1st level user latest by next market day. Failing which, the data entered will be removed from CDS and will be reflected in the Account Rejected/Expired Control Report (Appendix 78).*

4.1.6.4 If there is any data entry error or discrepancies on the applicant's information, return the FMN070 to the 1st level user to amend the data. If the data entered is required to be removed from CDS, the 2nd level user to reject the data entered by the 1st level user and provide the reason for rejection. The rejected transaction will be reflected in the Account Rejected/Expired Control Report.

4.1.6.5 If the account opening data entry is free from error, the 2nd level user is to confirm the data entry and sign on the "Approved by" column of the FMN070.

4.1.6.6 Upon completion, record the CDS account number generated on the appropriate column in FMN070.

4.1.6.7 The ADM is to print and provide the applicant the invoice (Appendix 72) from the CDS in respect of the fee for the opening of account unless the applicant indicates he does not require the same.

Note : *In the event there is a request from a depositor to reprint the invoice, the ADM is to reprint the invoice from CDS and endorse it with a rubber stamp bearing the word "COPY" on the top section of the reprinted invoice before forwarding it to the depositor.*

4.1.6.8 On the next market day, ADM has the option to print the CDS Transaction Invoice Report (Appendix 73) from CDS. The purpose of this report is to assist the ADM to reconcile the amount collected for all the CDS transactions initiated on previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

4.1.7 Verifying Account Maintenance Control Report (Optional)

- 4.1.7.1 Printing and verifying the Account Maintenance Control Report (Appendix 80) on a daily basis is optional. This report is a summary report that would contain information of all account opening, updating and closure requests that have been confirmed and attended to.

4.1.8 Generate And Verify Participant Accounts Listing And eServices Registration Report

- 4.1.8.1 Print the Participant Accounts Listing (Appendix 20)
- 4.1.8.2 Print the eServices Registration Report (Appendix 74)
- 4.1.8.3 Verify the data contained in the reports.
- 4.1.8.4 The ADM personnel who checked and verified the reports must sign on the respective reports.
- 4.1.8.5 If there is (are) any data entry error(s), proceed with the Updating Of Account Particulars under Section 4.3.1.

4.1.9 Generation Of Principal And Nominees Account Report

- 4.1.9.1 Upon verifying the correctness of details for all accounts opened for the day under Section 4.1.7 or 4.1.8, to print the **Principal And Nominees Account Report** (Appendix 21).
- 4.1.9.2 The Principal And Nominees Account Report will reflect the details of all principal and wholly owned nominee accounts opened for the day.
- 4.1.9.3 This report will be sorted by principal and wholly owned nominee accounts.
- 4.1.9.4 ADM and its wholly owned nominee company's authorised signatory(ies) as per the Board Resolution is(are) required to sign the relevant "Declaration Clause" that will be reflected on every page of the Principal And Nominees Account Report.
- 4.1.9.5 Where the Board Resolution states that the company's Common Seal will be used, the company's Common Seal will need to be affixed at the "Declaration Clause" on the Principal And Nominees Account Report.

- 4.1.9.6 Please refer to Section 4.1.12 for further details relating to the execution of the Declaration Clause on the reports.

4.1.10 Generation Of Principal And Noms eDividend Registration Report

- 4.1.10.1 Upon verifying the correctness of details for all accounts opened for the day under Section 4.1.7 or 4.1.8, print the Principal and Noms eDividend Registration Report (Appendix 69).
- 4.1.10.2 The Principal And Noms eDividend Registration Report will reflect the bank account information of all principal and wholly owned nominee accounts registered for the day.
- 4.1.10.3 This report will be sorted by principal and wholly owned nominee accounts.
- 4.1.10.4 ADM and its wholly owned nominee company's authorised signatory(ies) as per the Board Resolution is(are) required to sign the relevant "Declaration Clause" that will be reflected on every page of the Principal And Noms eDividend Registration Report.
- 4.1.10.5 Where the Board Resolution states that the company's common seal will be used, the company's common seal will need to be affixed at the "Declaration Clause" on the Principal and Noms eDividend Registration Report.
- 4.1.10.6 Please refer to Section 4.1.12 for further details relating to the execution of the Declaration Clause on the reports.

4.1.11 Transmitting Principal And Nominees Account Report To Depository

- 4.1.11.1 ADMs are to submit the Principal and Nominees Account Report accompanied with the relevant declaration on a weekly basis. This report will be submitted on the first market day of the following week by initiating the following processes in CDS:-
- a. Print the Principal and Nominees Account Report for the whole of previous week transactions by indicating on start date as the first market day of the previous week and on end day as the last market day of the previous week

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- b. Proceed to the Declaration Module and select the Principal/Nominee Account Report and press the “Search” button. View the report to ensure it is the correct report containing the transactions for the whole of previous week
 - c. Click the “Submit To Bursa” button upon confirming the contents of the report is correct. The Declaration clause will appear and ADMs are required to press the “Submit” button to transmit the report to Depository
 - d. ADMs are allowed to enquire on their submission of report to Depository via the Submitted Principal/Nominee Account Report Enquiry.

Note: *No signature is required for the declaration appearing on this report that is being submitted electronically to Depository.*

4.1.12 Transmitting Principal And Nominees eDividend Registration Report To Depository

4.1.12.1 ADMs are to submit the Principal And Nominees eDividend Registration Report accompanied with the relevant declaration on a weekly basis. The report will be submitted on the first market day of the following week by initiating the following processes in CDS:-

- a. Print Principal And Nominees eDividend Registration Report for the whole of previous week’s transactions by indicating the first market day of the previous week at the “start date” and the last market day of the previous week at the “end date”
- b. Proceed to the Declaration Module and select the Principal And Nominees eDividend Registration Report and press the “Search” button. View the report to ensure it is the correct report containing the transactions for the whole of previous week
- c. Click the “Submit To Bursa” button confirming the contents of the report is correct. The Declaration Clause will appear and ADMs are required to press the “Submit” button to transmit the report to Depository.
- d. ADMs are allowed to enquire on their submission of report to Depository via the Submitted Principal and Nominees eDividend Registration Report Enquiry.

***Note:** No signature is required for the declaration appearing on this report that is being submitted electronically to Depository.*

4.1.13 Sorting And Packing Of Documents

4.1.13.1 For ADM's principal and wholly owned nominee account, send the following to Depository:-

- a. FMN070 (if applicable)
- b. Board Resolution
- c. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number, if applicable
- d. One (1) original or certified true copy of the list of authorised signatory(ies) and specimen signature(s), if applicable.

4.1.13.2 Do not submit the documents required under section "b" to "d" for subsequent account opening unless the authorised signatory(ies) / information contained in the above documents have been updated,

4.1.14 Filing Of Documents

4.1.14.1 File the following documents:-

- a. FMN070 (if applicable)
- b. The duly signed and stamped Principal And Nominees Account Report.
- c. The duly signed and stamped Principal and Noms eDividend Registration Report.
- d. Account Rejected/Expired Control Report
- e. Copy of original or certified true copy of the list of authorised signatory(ies) and specimen signature(s)

- f. Certified true copies of:-
 - i. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
 - ii. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares (Appendix 24)/annual return
 - iii. Board Resolution
- g. Power Of Attorney (if applicable).

4.1.14.2 File the Participant Accounts Listing and eServices Registration Report according to date if the ADM printed these two reports.

4.1.14.3 Printing and filing the following reports are optional to the ADM:

- a. Pending Approval Listing
- b. Unattended Account Maintenance Report
- c. Account Maintenance Control Report (if printed on daily basis)

4.2 Updating Of Signature / Signatories

Depositor may at one time or another, update their authorised signatory(ies). The depositor is required to submit a board resolution / authorisation letter expressing its intention to update its authorised signatory(ies). In doing so, the list of authorised signatory(ies) must be updated to reflect the change.

4.2.1 Verification And Updating Of ADM's Principal And Its Wholly Owned Nominee's Authorised Signatory(ies)

4.2.1.1 Updating of signatory(ies) for ADM's principal and its wholly owned nominee's CDS account may be done by way of:-

- a. Submitting an authorisation letter containing the name(s) of the new authorised signatory(ies), or
- b. Submitting a new Board Resolution containing the name(s) of the new and existing authorised signatory(ies).

4.2.1.2 For an update via an authorisation letter from the ADM's principal or its wholly owned nominee, ensure that the existing Board Resolution authorises the ADM's principal or its wholly owned nominee to do so.

4.2.1.3 If the existing Board Resolution does not authorise an update via an authorisation letter from the ADM's principal or its wholly owned nominee, then a new Board Resolution containing the name(s) of the authorised signatory(ies) must be submitted.

4.2.1.4 The certified true copy of the Board Resolution is signed by the Company Secretary, Director or other persons empowered to do so.

4.2.1.5 Where update of facsimile signatures is required, the ADM is to obtain the following supporting documents:-

- a. Two (2) original or certified true copies of the Board Resolution authorising the update of the facsimile signature of the respective authorised signatories on the said forms with the effective date stated

Note: *The effective date will be the date of receipt of the Board Resolution or the effective date as stated in the Board Resolution, whichever is later*

- b. The specimen facsimile signatures of the authorised signatories
 - c. An updated original stamped copy of the Letter Of Indemnity For Facsimile Signatures from the depositor addressed to Depository (as per Appendix 18).
- 4.2.1.6 Forward the original updated copy of the Letter Of Indemnity from the depositor to Depository together with copies of the supporting documents.
- 4.2.1.7 The ADM must file the duplicate copy of the updated Letter Of Indemnity together with the original supporting documents for record and verification purposes.
- 4.2.1.8 For updating of signature(s), ensure the particulars on two (2) original or certified true copies of the list of authorised signatory(ies) are provided, and that:-
 - a. The name(s) of the signatory(ies) are stated beside the signature(s), and if applicable,
 - b. The designation(s) of the authorised signatory(ies) are stated
- 4.2.1.9 The operating instructions of the specimen signatures as per the Board Resolution should be stated on the original or certified true copy of the list of authorised signatories and specimen signatures.
- 4.2.1.10 Ensure that the updates are verified and signed by the authorised signatory(ies) of the ADM and marked with the word “Cancelled” when applicable.
- 4.2.1.11 Ensure that the updates are marked with the words “Effective dd/mm/yyyy” where dd/mm/yyyy is defined as the effective date.

Note: *The effective date of the updated signature(s) must not be earlier than the current date.*

4.2.2 Filing Of Documents

- 4.2.2.1 File the following documents:-
 - a. New list of authorised signatory(ies) and specimen signature(s), stapled in front of the old specimen signature card/old list of authorised signatory(ies) (if any), or

b. Original or certified true copy of the list of authorised signatory(ies) and specimen signature(s)

c. Authorisation letter / Board Resolution from ADM Principal / depositor

4.2.2.2 The new list of authorised signatory(ies) and specimen signature(s) must be used for future references.

4.2.3 Sorting And Packing Of List Of Authorised Signatory(ies)

4.2.3.1 Pack the following by CDS account number:-

a. All the second copies of original or certified true copy of the lists of authorised signatory(ies) and specimen signature(s)

b. A duplicate copy of the ADM's principal or its wholly owned nominee's authorisation letter / Board Resolution.

4.2.3.2 Send the documents to Depository together with a covering letter that is signed by the authorised signatory(ies) of the ADM.

4.2.3.3 Depository will acknowledge receipt on the duplicate copy of the covering letter.

4.2.4 Submission Of Documents To Depository

4.2.4.1 ADM and its branches must submit the documents mentioned under section 4.2.3.1 "a" and "b" together with a covering letter to Depository by the fifth (5th) market day of the following month or such other day as instructed by Depository.

4.2.4.2 The covering letter to Depository must state the number of request for updating of signature.

4.2.4.3 The covering letter must be signed by the authorised signatory(ies) of the ADM.

4.3 Updating Of Depositor's CDS Account Particulars

Depositor can choose to update any of its particulars by submitting its request to the ADM.

If the depositor updates any of the following particulars, such update will be a global impact that will result in the changes requested being reflected in all the other CDS accounts of the same depositor in the system:

- a. Name
- b. NRIC/Company Registration Number
- c. Registered Address
- d. Nationality/Place of Incorporation
- e. Race/Ownership
- f. Handphone number
- g. Email Address
- h. Consolidated bank account information

Additionally, these CDS account particulars will also be replicated into any new CDS account that may be opened by such depositor:

Whereas any changes to CDS account particulars such as correspondences address, telephone number, account qualifier, account type and beneficiary details will only effect the CDS account at that particular ADM where the change was made.

In relation to bank account information, depositors have the option to maintain the same bank account information across all its CDS accounts including any new CDS accounts by updating their bank account information and opting for the "Consolidation" feature. Otherwise, depositors can maintain separate bank account information for each of their CDS accounts. As such, depositors have the choice to either opt for the "Consolidation" feature or revoke the "Consolidation" feature in terms of managing their bank account information reflected in respect of their CDS accounts. This is applicable for depositors changing the particulars of their existing bank account information in CDS or an existing depositor that is providing its bank account information to Depository for the first time.

In respect of the ADM's wholly owned nominee company that has provided its email address and opted for "Consolidation" of bank account information feature, the same email address and bank account information will be automatically linked to the same nominee account(s) at a particular ADM's branch. It will not affect the same nominee CDS account maintained with other ADM branches.

Updating Of Investor Particulars

The investor ID, registered address, investor type, nationality / place of incorporation, name and race / ownership particulars, email address, handphone number and consolidated/unconsolidated bank account information fields are known as “**investor particulars**”.

Updates Of Investor Particulars and the Supporting Documents Required

Types Of Changes	Corporate Depositor
1. Investor ID	Two (2) certified true copies of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number (if applicable) or letter of confirmation from Companies Commission Of Malaysia (CCM) or any other confirmation letter from relevant authority.
2. Registered Address	One (1) certified true copy of notice of changed of registered address lodged with the Registrar of Companies or its equivalent.
3. Investor Type	Two (2) certified true copies of notice of conversion to a private company/public company issued by the Registrar of Companies or its equivalent.
4. Nationality / Place of Incorporation	One (1) certified true copy of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number or its equivalent.
5. Name	One (1) certified true copy of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number or its equivalent.
6. Race / Ownership	One (1) certified true copy of document(s) evidencing the ownership of the company e.g. return of allotment of shares or if unavailable, the latest annual return or its equivalent.

<p>7. Bank Account Information</p> <p>a. name of bank b. bank account number</p> <p>(Also applicable for existing depositor providing its bank account information in its CDS account for the first time)</p>	<p>Two (2) certified true copy of any of the following supporting documents that captures applicant's name, bank account number and bank's name:</p> <ol style="list-style-type: none"> Front page of bank savings book; or Bank statement; or Confirmation letter from the bank; or Bank statement extracted from the bank's online account portal; or Bank-in receipt; or Cheque deposit receipt; or Debit invoice; or Bank identification card; or Cheque book or Any other document evidencing the name of the depositor, bank account number and bank's name. <p><i>Note: The above supporting documents are applicable in the case of updating of existing bank account number/name to another bank account number/name.</i></p>
<p>8. Consolidation / Revoke Consolidation (Bank Account)</p>	<p>The update will be according to the declaration made by the depositor in FMN070.</p>
<p>9. Joint Bank Account</p>	<p>The update will be according to the declaration made by the depositor in FMN070.</p>
<p>10. Email Address/ Handphone Number</p>	<p>The update will be according to the declaration made by the depositor in FMN070.</p>
<p>11. Remove handphone number</p>	<p>To indicate "Remove Handphone Number" at the "Handphone Number column</p>

Note:

- (i) ADM to complete the FMN070 in case of data entry error

- (ii) *For ADM's wholly owned nominee account, where it has opted for consolidation feature, the same bank account information will be used across all its CDS accounts maintained at the particular ADM or ADM's branches and any subsequent update on the bank account information will also be updated across all the CDS accounts of the wholly owned nominee maintained at the particular ADM or ADM's branches.*
- (iii) *Updates on the investor type and investor ID can only be performed by Depository.*

Updating Of Account Particulars

The correspondence address, account type, account qualifier, telephone number and beneficiary fields are known as “**account particulars**”.

Any update made to the account particulars of a depositor will only affect the CDS account at that particular ADM where the change was made.

Type Of Changes

1. Account qualifier

- a. Replacing the existing beneficial owner's full name with another beneficial owner's name in the account qualifier field is not permitted. However, changes to the beneficial owner's name are permitted for those arising from the due process of the law, i.e. change of company name (these changes must be supported by relevant legal documentation)
- b. Other forms of updating may be a misspelling or abbreviation of an intermediary's name

2. Account Type

3. Tagging code

4. Correspondence address

5. Telephone number.

Note:

- (i) *Except for the account qualifier, i.e. the beneficial owner's name, other account particulars' changes do not require any supporting documents*
- (ii) *For a complete list of **Permitted Updates Of Account Qualifier By Authorised Nominees** please refer to Appendix 26.*

4.3.1 Updating Of CDS Account Particulars Of ADM Principal And Wholly Owned Nominee Accounts

- 4.3.1.1 In relation to an ADM's principal and wholly owned nominee account(s), the ADM and wholly owned nominee company are required to complete the FMN070 and submit the relevant supporting document (if applicable) when performing changes to their CDS account particulars.

Verify FMN070 for completeness before proceeding to key-in the changes in CDS. Upon executing the relevant updates in CDS, the ADM is required to submit Depository's copy of FMN070 and the relevant supporting documents (if any) as per those required for investor and account particulars updates.

- 4.3.1.2 For bulk updating of **correspondence address** and **telephone number**, the ADM's principal or its wholly owned nominee may utilise a single FMN070. The following are required to be submitted to Depository:

- a. A letter from the ADM if the request is related to its principal accounts or from the appropriate nominee if the request is related to any of its wholly owned nominee accounts. The letter needs to state the ADM's or the appropriate nominee company's intention to update particulars of multiple CDS accounts using a single FMN070 together with an attached listing detailing the following:
 - i. The number of CDS accounts to be updated
 - ii. CDS account numbers
 - iii. Account Qualifiers
- b. A duly completed FMN070. Indicate "To update all CDS accounts as per the authorised list attached" at the "CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the updating form.

- 4.3.1.3 The request letter, FMN070 and each page of the listing must be signed by the authorised signatories as stated in the ADM's principal or its wholly owned nominee's Board Resolution.

- 4.3.1.4 All the other updating of particulars in CDS account procedures detailed in section 4.3 (if relevant) are also applicable for updating account particulars of ADM's principal and wholly owned nominee accounts.

4.3.2 Accepting Updating Of ADM's Principal And Wholly Owned Nominee Accounts

- 4.3.2.1 Ensure the ADM's principal and wholly owned nominee completes the FMN070.

4.3.3 Verification Of Updating Of ADM Principal And Wholly Owned Nominee Accounts

- 4.3.3.1 Receive the FMN070 from the ADM's principal or wholly owned nominee.
- 4.3.3.2 Verify the details in the FMN070 against the relevant supporting documents.
- 4.3.3.3 Ensure the signature on the FMN070 corresponds with that on the ADM's records of specimen signature(s).
- 4.3.3.4 Reject the application if the signature differs. Return the form to the ADM's Principal or wholly owned nominee.
- 4.3.3.5 Obtain copies of the relevant supporting documents, obtain certified true copies signed by any persons empowered to do so.
- 4.3.3.6 Any changes required by an ADM's principal or wholly owned nominee must be accompanied by the relevant supporting documents as stated in the matrix found in Section 4.3.
- 4.3.3.7 If the change of depositor's particulars is due to an error made by the ADM personnel:-
- a. Complete FMN070 and initiate the update in the CDS. Submit the appropriate copy of the FMN070 to Depository.

- b. Affix the form with the designated “Updating of account particular(s) due to data entry error request” rubber-stamp
 - c. The ADM must justify the error by providing Depository with the relevant supporting documents showing the discrepancy in data entry.
- 4.3.3.8 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.3.3.9 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.3.3.10 Any amendments made in the “for office use only” column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 4.3.3.11 Where the amendments are signed by the authorised signatory(ies) of the wholly owned nominee, verify the signature against the ADM's records of specimen signature(s).

4.3.4 Keying-In Updating Of CDS Account Data Into The CDS By First (1st) Level User

- 4.3.4.1 After verification on the completeness and validity of the FMN070, update the details into the CDS via the “Account Maintenance” screen
- 4.3.4.2 ADM is allowed to change all depositors' particulars except for change of “Investor ID” and “Investor Type”.
- 4.3.4.3 Compare the particulars on the CDS terminal against the particulars on the FMN070.
- 4.3.4.4 Proceed with the updating via the CDS terminal.
- 4.3.4.5 For update of “Investor ID” and “Investor Type”, the ADM should verify the signature on FMN070 against the ADM's records of specimen signature(s) before forwarding the completed FMN070 and all relevant supporting documents to Depository.

4.3.4.6 For update of "Investor ID" and "Investor Type" due to data entry error by the ADM, the ADM must complete the FMN070, affixed it with the rubber-stamp "Updating of account particular(s) due to data entry error request".

4.3.4.7 The ADM's authorised signatory(ies) must sign on the FMN070 on behalf of the depositor in cases where the update is due to data entry error made by the ADM.

- Note:**
- a. **A fee of RM10 will be imposed on an existing depositor providing its bank account information to the Depository for the first time.**
 - b. **The ADM is to print and provide such depositor with the invoice from CDS in respect of this fee unless such depositor indicates it does not require the tax invoice.**
 - c. **In the event Depository has waived the fee for providing for bank account information, ADMs are required to click the "Fee Waived" field on the Account Maintenance screen and thereafter to key in the reference number of the approval letter from Depository.**

4.3.5 Confirmation of Updating Of Depositor's Particulars By Second (2nd) Level User

4.3.5.1 2nd level user to retrieve the new depositor's particulars via the Unattended Request List and link to Verifier's Details Page to verify against the FMN070.

4.3.5.2 Alternatively, 2nd level user may verify the data entry using Pending Approval Listing to verify against the FMN070.

4.3.5.3 Verify and ensure the data keyed in correctly before confirming and approve the updating of investor/account particulars.

- Note:*
- a) *Once the 2nd level user confirmed the data entered by the 1st level user, Depository considered the 2nd level user had verified and confirmed the accuracy of the data entered.*
 - b) *2nd level user is required to confirm the data entered by the 1st level user latest by next market day. Failing which, the data entered will be removed from CDS and will be reflected in the Account Rejected/Expired Control Report.*

4.3.5.4 If there is any data entry error or discrepancies on the depositor's particulars, return the FMN070 to the 1st level user to amend the depositor's particulars. If the data entered is required to be removed from CDS, the 2nd level user is to reject the data entered by the 1st level user and provide reason for rejection. The rejected transaction will be reflected in the Account Rejected/Expired Control Report.

4.3.5.5 If the updated depositor's particulars is free from error, the 2nd level user is to confirm the data entry and sign on the "Approved by" column of the FMN070.

4.3.7 **Verifying Account Maintenance Control Report (Optional)**

4.3.7.1 Print and verifying the Account Maintenance Control Report on a daily basis is optional. This report is a summary report that would contain information of all account opening, updating and closure requests that have been confirmed and attended to.

4.3.8 **Generate And Verify The Account / Investor Audit Report And eServices Audit Report**

4.3.8.1 Print the **Account / Investor Audit Report** (Appendix 28) and eServices Audit Report which highlights the update of depositor's particulars.

4.3.8.2 Verify that the update made to the CDS account(s) for the day is correct against the relevant reports.

4.3.8.3 The ADM personnel who checked and verified the reports must sign the reports.

4.3.8.4 If there are any data entry errors in the updates, ADM must initiate the update procedures again as mentioned in Section 4.3.4 and 4.3.5.

4.3.9 Sorting And Packing Of Forms

4.3.9.1 For updating of “Investor ID” and “Investor Type”, pack according to descending account number, the following:-

- a. The **ADM and Depository copies** of the FMN070

***Note:** The depositor copy of the FMN070 is to be forwarded to the depositor as acknowledgement.*

- b. Letters from depositors (if applicable)
- c. Photocopies of supporting documents.

4.3.9.2 For updating of depositors' particulars not including those in section 4.3.9.1, pack the following according to the Account Maintenance Control Report printed for the whole month period: -

- a. **Depository copies** of the FMN070
- b. Letters from depositors (if applicable)
- c. Photocopies of supporting documents.

4.3.9.3 The Account Maintenance Control Report must be declared and signed by the authorised signatory (ies) of the ADM.

4.3.10 Submission Of Account Updating Documents To Depository

4.3.10.1 FMN070 together with the relevant supporting documents in relation to updating of “Investor ID” and “Investor Type” to Depository latest by the next market day.

4.3.10.2 All the documents mentioned in sections 4.3.9.1 must be accompanied with a covering letter addressed to Depository stating the number of FMN070 being submitted to Depository.

4.3.10.3 The covering letter must be signed by the authorised signatory(ies) of the ADM.

4.3.10.4 Depository will acknowledge receipt on the duplicate copy of the covering letter upon receipt of the FMN070s and the relevant supporting documents.

4.3.10.5 For updating of “Investor ID” and “Investor Type”, Depository will return the ADM copies of the FMN070 to the ADM once the update has been done.

4.3.10.6 For updating of depositors' particulars initiated by the ADM, ADM and its branches must submit Depository's copies of FMN070 with the relevant supporting documents (if any) to Depository by the fifth (5th) market day of the following month or such other day as instructed by Depository.

4.3.10.7 All the documents mentioned under section 4.3.9.2 must be accompanied with a Account Maintenance Control Report which has been declared and signed by the authorised signatory(ies) of the ADM before sending to Depository.

4.3.11 Filing Of Documents

4.3.11.1 File the following documents:-

- a. The **ADM/copies** of the FMN070
- b. Letters from depositors (if applicable)
- c. Any supporting documents
- d. Account Rejected/Expired Control Report
- e. The duly signed and stamped Account Maintenance Control Report
- f. Account / Investor Audit Report
- g. eServices Audit Report

4.3.11.2 Printing and filing the following reports are optional to the ADM:

- a. Pending Approval Listing
- b. Unattended Account Maintenance Report
- c. Account Maintenance Control Report (if printed on daily basis).

4.4 Application For Closing Of CDS Accounts

The following parties can authorise the closure of an account:-

- a. The depositor
- b. Depository.

4.4.1 Accepting CDS Account Closure Requests

4.4.1.1 A CDS account may be closed by way of:-

- a. Depositor completing the **CDS Account Form (FMN070)** , or
- b. A letter of authorisation from Depository

4.4.1.2 For section “b”, the FMN070 must be completed by the ADM with the words “Account Closure Due To Depository’s Authorisation” stated on the signature column.

4.4.1.3 ADM may use a single FMN070 to close multiple CDS accounts of the ADM’s principal or its wholly owned nominee accounts. The following are required to be submitted to Depository:

- a. A letter from the ADM if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to state the ADM’s or the appropriate nominee company’s intention to close multiple CDS accounts using a single FMN070 together with an attached listing detailing the following:
 - i. The number of CDS accounts to be closed
 - ii. CDS account numbers
 - iii. Account qualifiers
- b. A duly completed FMN070. Indicate “To close all CDS accounts as per the authorised list attached” at the ‘CDS Account Number’ column and “Refer to authorised list attached” at the “Account Qualifier” column of the FMN070.

- 4.4.1.4 The request letter, FMN070 and each page of the listing must be signed by the authorised signatories as stated in the respective board resolution of the ADM or its wholly owned nominee company(ies).

4.4.2 Verification Of CDS Account Closure Requests

- 4.4.2.1 Verify the signature on the FMN070 against the ADM's records of specimen signature(s).
- 4.4.2.2 Verify the details against the **Checklist For Verification Of Closing Of Account** (Appendix 30).
- 4.4.2.3 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.4.2.4 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.4.2.5 Any amendments made in the "for office use only" column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 4.4.2.6 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

4.4.3 Keying-In CDS Account Closure Data Into The CDS By First (1st) Level User

- 4.4.3.1 Proceed to the Account Maintenance Screen and key-in the CDS account number stated in FMN070 to retrieve the depositor's details.
- 4.4.3.2 Ensure the details displayed correspond with the details stated in FMN070.
- 4.4.3.3 If the details differ from that in the system, reject the account closure request.
- 4.4.3.4 Proceed to close the depositor's account
- 4.4.3.5 Ensure the "data entry by" column is completed by the ADM personnel who performed the data entry.

***Note:** The person who performed the data entry must not be the same person approving the request.*

4.4.4 Confirmation Of Account Closure Data By Second (2nd) Level User

4.4.4.1 2nd level user to retrieve the account closing data via the Unattended Request List and link to Verifier's Details Page to verify against the FMN070.

4.4.4.2 Alternatively, 2nd level user may verify the data entry using Pending Approval Listing to verify against the FMN070.

4.4.4.3 Verify and ensure the data entry is keyed in correctly before confirming and approve the account closing.

Note: a) Once the 2nd level user confirmed the data entered by the 1st level user, Depository considered the 2nd level user had verified and confirmed the accuracy of the data entered.
 b) 2nd level user is required to confirm the data entered by the 1st level latest by next market day. Failing which, the data entered will be removed from CDS and it will be reflected in the Account Rejected/Expired Control Report.

4.4.4.4 If there is any data entry error or discrepancies on the applicant's CDS account number, reject the account closing transaction and provide reason for the rejection. Return the FMN070 to the data entry staff to initiate the account closing transaction again. The rejection will be reflected in the Account Rejected/Expired Control Report.

4.4.4.5 If the account closing data entry is free from error, the 2nd level user is to confirm the data entry and sign at the "Approved by" column of the FMN040.

4.4.5 Verifying Account Maintenance Control Report

4.4.5.1 Printing and verifying the Account Maintenance Control Report on a daily basis is optional. This report is a summary report that would contain information of all account opening, updating and closure requests that have been confirmed and attended to. the Account Maintenance Control Report .

4.4.7 Status Of CDS Account Closure

Account closure status are divided into two (2) categories:-

- a. Temporarily closed
- b. Permanently closed.

4.4.7.1 Account closures initiated and confirmed for the day will be under the temporarily closed status. This is indicated with a small “c” at the account status column.

4.4.7.2 The system will further proceed to permanently close the account if there are no outstanding trade transactions and corporate exercises. This is indicated with a capital “C” at the account status column.

4.4.7.3 Keep both ADM and Depository copies of the FMN070 together with any supporting documents in a “Keep In View” file.

4.4.7.4 Obtain and check the **Confirmed Closed Account Report** and the **Rejected Closed Account Report** extracted from **Daily Finalised Account Closure File (CFT015)** against the ADM and Depository copies of FMN070 in the “Keep In View” file.

Note:

- (i) *The Confirmed Closed Account Report shows the details of accounts that have been confirmed closed on that particular business date*
- (ii) *The Rejected Closed Account Report shows the details of accounts for which the application for closure has been rejected due to the existence of outstanding transactions.*

4.4.7.5 Retrieve the specimen signature card (if any) / list of authorised signatory(ies) and the specimen signature(s) and the **ADM copies** of the FMN070 for all accounts that appear on the Confirmed Closed Account Report.

4.4.7.6 Ensure that the “Account Closed On” date is completed in the ADM and Depository copies of the FMN070.

4.4.7.7 Ensure that the specimen signature card (if any) / list of authorised signatory(ies) and the specimen signature(s) is marked “Account Closed” and signed by the ADM’s authorised signatory(ies) with the words “Effective dd/mm/yyyy” stated where dd/mm/yyyy is defined as the effective date.

- 4.4.7.8 For those using a signature verification system (SVS), ensure that the account closure status is updated accordingly.

4.4.8 Rejection Of CDS Account Closure Requests

- 4.4.8.1 Retrieve both the **ADM and Depository copies** of the FMN070 from the “Keep In View” file.
- 4.4.8.2 Check if there are any outstanding transactions for the affected accounts.
- 4.4.8.3 If there are no outstanding transactions in this account, proceed to Section 4.4.3 and 4.4.4 for keying-in account closure data and confirmation of account closure data respectively into the CDS.

4.4.9 Packing And Submission Of CDS Account Closure Documents To Depository

- 4.4.9.1 For closing of depositor’s account, pack the documentation according to the Account Maintenance Control Report , the following:-
- a. Depository copies of FMN070
 - b. Letters from depositors / Depository (if applicable)
- 4.4.9.2 All the above mentioned documentation must be accompanied with Account Maintenance Control Report ..
- 4.4.9.3 The Account Maintenance Control Report must be signed by the authorised signatory(ies) of the ADM.
- 4.4.9.4 ADM and its branches to deliver FMN070s with the relevant supporting documents to Depository by the fifth (5th) market day of the following month or such other day as instructed by Depository.

4.4.10 Filing Of Documents

4.4.10.1 File the following:-

- a. The **ADM copies** of the FMN070
- b. Any supporting documents
- c. Cancelled specimen signature cards (if any)
- d. Cancelled original or certified true copies of the list of authorised signatory(ies) (if applicable)
- e. Confirmed Closed Account Reports extracted from CFT015
- f. Rejected Closed Account Reports extracted from CFT015.
- i. Account Rejected/Expired Control Report
- j. The duly signed and stamped Account Maintenance Control Report

4.4.10.2 Printing and filing the following reports are optional to the ADM:

- a. Pending Approval Listing
- b. Unattended Account Maintenance Report
- c. Account Maintenance Control Report (if printed on daily basis)

4.4.11 Automatic Closure Of Dormant Accounts

Pursuant to Rule 26.06A(1), Bursa Malaysia Depository may proceed to close a dormant account with Nil balance as defined in Rule 26.10(1)(a) upon the expiry of the 4th year of such account being designated as dormant. Automatic Closure of Dormant Accounts is a yearly exercise undertaken by Bursa Malaysia Depository to automatically close dormant accounts maintained in the Central Depository System (CDS) which fulfil the following criteria:

1. There are no securities in such account; and
2. there have not been any debit or credit entries in such accounts for at least seven (7) consecutive years prior to the date of the closure.

ADMs will receive the following two (2) files for the closure of dormant accounts:

a. Pending Closing Dormant Account File (CFT050)

This file will be sent one (1) month prior to the closure of the affected dormant accounts. Depository will send CFT050 via eFIX to all the affected ADMs detailing the dormant accounts that will be subjected to this automatic closure exercise.

b. Confirmed Closed Dormant Account File (CFT051)

This file will be sent upon successful closure of the affected dormant accounts. Depository will send CFT051 via eFIX to all the affected ADMs. The file will contain all the affected dormant accounts that have been closed by Depository which are maintained with the respective ADMs.

4.4.11.1 Housekeeping of Account Opening Related Documentations (Optional)

ADMs are provided an option whether to retrieve all the account opening related documents of the affected dormant accounts that have been closed and have it destroyed or to continue to retain such documents in its current manner.

4.4.11.2 Filing Of Documents

4.4.8.2.1 File the following:

- a. Reports extracted from the Confirmed Closed Dormant Account File i.e. CFT051.(optional)

◆ ◆ ◆ ◆

4.5 Suspension / Release Of Suspension Of Securities

The deposited securities in a particular depositor's account can be suspended under any one of the circumstances stipulated under Rule 36.02 of the Rules of Depository.

The request for suspension / release of suspension of deposited securities in a securities account may be made by the following persons:-

- a. The Authorised Direct Member (ADM), subject to prior approval from Depository unless the suspension / release of suspension is for the ADM's own Principal account(s)
- b. The depositor
- c. Such other persons stated under Rule 36.02 of the Rules of Depository.

The ADM / depositor must complete the **Application For Suspension / Release Of Suspension Of Securities Form (FMN030)** (Appendix 33).

4.5.1 Types Of Suspension

- 4.5.1.1 Freeze/hold on a particular securities account or on all securities accounts of a particular depositor.
- 4.5.1.2 Freeze/hold of deposited securities of a particular securities in all securities account held by Depository or a particular ADA or ADM.
- 4.5.1.3 Freeze/hold on all deposited securities in a particular securities account.
- 4.5.1.4 Freeze/hold of a particular security of deposited securities in a particular depositor's securities account.
- 4.5.1.5 Freeze/hold of a particular quantum of deposited securities in a particular depositor's securities account

Note: *Suspension of securities in the account does not affect trade settlement for trades committed prior to the suspension of securities date. However, the suspended shares may not be used for outward CDS transactions and for trade settlement if the trade is committed after the suspension of securities date.*

4.5.2 Categories Of Persons Requesting For Suspension / Release Of Suspension

4.5.2.1 Request by the ADM.

4.5.2.1.1 For applications made by the ADM, prior approval must be obtained from Depository unless the suspension / release of suspension is for the ADM's own principal account(s). Once approval in writing has been obtained, forward the completed FMN030 to Depository Operations Department.

4.5.2.2 Request by the depositor.

4.5.2.2.1 The ADM is to verify the details stated in FMN030 against the **Checklist For Verification Of Suspension / Release Of Suspension Of Securities** (Appendix 34). Once verified, the ADM is to forward the FMN030 to Depository Operations Department.

4.5.2.2.2 For requests from depositors made in writing, by way of letter / completed FMN030 (if applicable), in addition to complying with Appendix 34, the ADM is to verify the signature on the letter / completed FMN030 against the ADM's records of specimen signature(s) and forward to Depository Operations Department.

Note:

- (i) In cases where the letter is not accompanied by a completed FMN030, the ADM is to complete the FMN030 on the depositor's behalf and forward the same to Depository Operations Department*
- (ii) At the signature column of FMN030, the ADM must state "Suspension / Release Of Suspension Due To Depositor's Written Request".*

4.5.3 Verification Of Application For Suspension / Release Of Suspension Of Securities Requests

4.5.3.1 Verify the details on the FMN030 against the Checklist For Verification Of Suspension / Release Of Suspension Of Securities (Appendix 34).

4.5.3.2 Reject the FMN030 if the particulars on the form differ from supporting documents provided.

- 4.5.3.3 Where the application is made by the depositor, verify the depositor's signature in FMN030 / letter against the ADM's records of specimen signature(s).
- 4.5.3.4 Reject the application if the depositor's signature in FMN030 / letter differs.
- 4.5.3.5 Ensure that the reason(s) for suspension of securities is stated on the form (if applicable).
- 4.5.3.6 The effective date of suspension / release of suspension will be the date stated in the Account Suspension Notice / Release Of Account Suspension Notice or the Securities Suspension Notice / Release Of Securities Suspension Notice (whichever is applicable).
- 4.5.3.7 Verify and ensure that the "checked by" and "verified by" columns in the space "to be completed by ADA/ADM" are completed by two (2) different authorised signatories of the ADM.
- 4.5.3.8 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.5.3.9 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.5.3.10 Any amendments made in the "for office use only" column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 4.5.3.11 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

4.5.4 Packing And Submission Of Suspension / Release Of Suspension Documents To Depository

- 4.5.4.1 Pack **all copies** of the FMN030 and any supporting documents together with a covering letter stating the number of FMN030s being submitted to Depository. This covering letter must be signed by the authorised signatory(ies) of the ADM.

4.5.4.2 All FMN030s received by the ADM for submission to Depository must be forwarded to Depository immediately.

4.5.5 Acknowledgement Of Receipt Of Suspension / Release Of Suspension Of Securities Requests By Depository

- 4.5.5.1 Depository will acknowledge receipt of the suspension / release of suspension of securities requests by acknowledging the duplicate copy of the covering letter upon receipt of FMN030s.
- 4.5.5.2 The **Depositor copy** of the FMN030 will be returned to the ADM when the suspension / release of suspension of securities has been initiated.
- 4.5.5.3 A notice will be sent by Depository if the suspension / release of suspension of securities request is successful.

4.5.6 Filing Of Documents

- 4.5.6.1 The **ADA/ADM copy** of the FMN030 will be returned to the ADM, once the suspension / release of suspension of securities request is initiated by Depository.
- 4.5.6.2 File the following:-
 - a. The **ADA/ADM copy** of the FMN030.

Reactivation Of Dormant Account Requests

4.6.1 Accepting Reactivation Of ADM Principal / Depositors' CDS Accounts

- 4.6.1.1 Receive the completed and duly signed **Application For Reactivation Of CDS Account Form** (Reactivation Form) (Appendix 35) from depositor for each request.
- 4.6.1.2 Ensure that the Reactivation Form /letter is submitted together with payment.
- 4.6.1.3 ADM may use a single Reactivation Form to reactivate multiple CDS accounts of the ADM i.e. its principal or its wholly owned nominee accounts. The following are required to be submitted to Depository:
 - a. A letter from ADM if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to state the ADM's or the appropriate nominee company's intention to reactivate multiple dormant CDS accounts using a single Reactivation Form together with an attached listing detailing the following:
 - i. The number of dormant CDS accounts to be reactivated.
 - ii. CDS account numbers
 - iii. Account Qualifiers
 - b. A duly completed Reactivation Form. Indicate "To reactivate all CDS accounts as per the authorised list attached" at the CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the Reactivation Form.
 - c. The request letter, Reactivation Form and each page of the listing must be signed by the authorised signatories as stated in the ADM's principal or its wholly owned nominee's Board Resolution..

4.6.2 Verification Of Reactivation Requests

- 4.6.2.1 Verify the depositor's signature on the Reactivation Form against the ADM's records of specimen signature.

- 4.6.2.2 Reject if the signature in the Reactivation Form differs or if payment is not received.
- 4.6.2.3 Affix the ADM's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".
- 4.6.2.4 Ensure the "verified by" column is completed by the ADM personnel who received the payment and performed the verification.
- 4.6.2.5 Ensure the "approved by" column is completed by the ADM's authorised signatory(ies) before data entry.
- 4.6.2.6 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.6.2.7 Any amendments made in the "for office use only" column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 4.6.2.8 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

4.6.3 Keying-In Reactivation Requests

- 4.6.3.1 Key-in depositor's CDS account number through the "Account Maintenance" screen. Retrieve the depositor's details and check against the details stated in the Reactivation Form / letter.

Note: If there is prior approval from Depository to waive on the reactivation of the dormant account fee, ADMs are required to click on the fee waived and enter the letter reference number. Failing to enter both the information, may result in the billing for the reactivation of the dormant account.

- 4.6.3.2 Reject if the particulars differ and state the reason(s) for rejection.
- 4.6.3.3 Proceed to update the status of the depositor's account.

- 4.6.3.4 Ensure that the “reactivated by” and “reactivated on” columns are completed by the ADM personnel who performed the data entry.

Note: *The data entry personnel must not be the same person approving the reactivation request.*

- 4.6.3.5 Forward a copy of the Reactivation Form to the depositor upon completion of the updating process.

- 4.6.3.6 Do not send the completed Reactivation Form to Depository.

- 4.6.3.7 The ADM is to print and provide the depositor the tax invoice (Appendix 72) from the CDS in respect of the fee for the reactivation of dormant account unless the depositor indicates he does not required the same.

Note: **In the event there is a request from a depositor to reprint the original tax invoice, the ADM is to reprint the tax invoice from CDS and endorse it with a rubber stamp bearing the word “COPY” on the top section of the reprinted tax invoice before forwarding it to the depositor.**

- 4.6.3.8 On the market day, ADM has the option to print the CDS Transaction Invoice Report (Appendix 73) from CDS. The purpose of this report is to assist the ADM to reconcile the GST amount collected for all the CDS transaction initiated on the previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

4.6.4 Generate And Verify The Reactivated Account Report

- 4.6.4.1 Print the **Reactivated Account Report** (Appendix 36) which highlight all the accounts reactivated for the day.
- 4.6.4.2 Verify the reactivation made on CDS account(s) for the day is correct.
- 4.6.4.3 The ADM personnel who checked and verified the report must sign the report.

4.6.5 Filing Of Documents

- 4.6.5.1 File the completed Reactivation Form.
- 4.6.5.2 Letters from depositor or listing of affected accounts (if applicable)

4.6.5.3 Reactivated Account Report.

Reactivation Of Inactive Account Requests

4.7.1 Accepting Reactivation Of Inactive Account Request

- 4.7.1.1 Receive the completed and duly signed Application For Reactivation Of CDS Account Form (Reactivation Form) (Appendix 35) from depositor for each request.
- 4.7.1.2 ADM may use a single Reactivation Form to reactivate multiple CDS accounts of the ADM's principal or its wholly owned nominee accounts. The following are required to be submitted to Depository:
 - a. A letter from the ADM if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to states the ADM's or the appropriate nominee company's intention to reactivate multiple inactive CDS accounts using a single Reactivation Form together with an attached listing detailing the following:
 - i. The number of inactive CDS accounts to be reactivated.
 - ii. CDS account numbers
 - iii. Account Qualifier
 - b. A duly completed Reactivation Form. Indicate "To reactivate all CDS accounts as per the authorised list attached" at the CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the reactivation form.
 - c. The request letter, Reactivation Form and each page of the listing must be signed by the authorised signatories as stated in the ADM's principal or its wholly owned nominee's Board Resolution.

4.7.2 Verification Of Reactivation Requests

- 4.7.2.1 Verify the depositor's signature on the Reactivation Form against the ADM's records of specimen signature(s).
- 4.7.2.2 Reject if the signature in the Reactivation Form differs.
- 4.7.2.3 Affix the ADM's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".

- 4.7.2.4 Ensure the “verified by” column is completed by the ADM personnel who performed the verification.
- 4.7.2.5 Ensure the “approved by” column is completed by the ADM’s authorised signatory(ies) before data entry.
- 4.7.2.6 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.7.2.7 Any amendments made in the “for office use only” column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed.
- 4.7.2.8 Where the amendments are signed by the depositor, verify the signature against the ADM’s records of specimen signature(s).

4.7.3 Keying-In Reactivation Requests

- 4.7.3.1 Key-in depositor’s CDS account number through the “Account Maintenance” screen. Retrieve the depositor’s details and check against the details stated in the Reactivation Form / letter.
- 4.7.3.2 Reject if the particulars differ and state the reason(s) for rejection.
- 4.7.3.3 Proceed to update the status of the depositor’s account
- 4.7.3.4 Ensure that the “reactivated by” and “reactivated on” columns are completed by the ADM personnel who performed the data entry.

Note: *The data entry personnel must not be the same person approving the reactivation request.*

- 4.7.3.5 Forward a copy of the Reactivation Form to the depositor upon completion of the updating process.
- 4.7.3.6 Do not send the completed Reactivation Form to Depository

4.7.4 Generate And Verify Reactivated Account Report

- 4.7.4.1 Print the **Reactivated Account Report**, which highlight all the accounts reactivated for the day.
- 4.7.4.2 Verify the reactivation made on CDS account(s) for the day is correct.
- 4.7.4.3 The ADM personnel who checked and verified the report must sign the report.

4.7.5 Filing Of Documents

- 4.7.5.1 File the completed Reactivation Form.
- 4.7.5.2 Letters from depositor or listing of affected accounts (if applicable)
- 4.7.5.3 Reactivated Account Report.

4.8 Inter Branch Transactions

Inter Branch Transactions are transactions initiated at the branch office of an ADM.

4.8.1 Inter Branch Transactions With Regards To Updating Of Depositor's CDS Accounts Particulars

- 4.8.1.1 Complete FMN070.
- 4.8.1.2 For change in investor particulars, verify the details in the form against the relevant supporting documents.
- 4.8.1.3 Ensure the signature on the form corresponds with that on the ADM's records of specimen signature(s).
- 4.8.1.4 Reject the application if the signature differs.
- 4.8.1.5 Obtain copies of the relevant supporting documents. In the case of a corporate body, obtain certified true copies signed by any persons empowered to do so.
- 4.8.1.6 Any changes requested by depositor must be accompanied by the relevant supporting documents as stated in the matrix found in Section 4.3.
- 4.8.1.7 If the change of depositor's particulars is due to data entry error made by the ADM personnel:-
 - a. Complete FMN070 and initiate the update in the CDS. Submit the appropriate copy of FMN070 to Depository
 - b. Affix the form with the designated "Updating of account particular(s) due to data entry error request" rubber-stamp
 - c. The ADM must justify the data entry error by providing Depository with the relevant supporting documents furnished by the depositor showing the discrepancy in data entry.
- 4.8.1.8 Affix the ADM's company rubber-stamp on FMN070 at the space marked "to be completed by ADM".

- 4.8.1.9 Ensure that the “verified by” and “approved by” columns are signed by two (2) different authorised signatories of the ADM before data entry.
- 4.8.1.10 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.8.1.11 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.8.1.12 Any amendments made in the “for office use only” column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed.
- 4.8.1.13 Where the amendments are signed by the depositor, verify the signature against the ADM’s records of specimen signature(s).
- 4.8.1.14 Ensure that all FMN070s are stamped with the rubber-stamp bearing the words “IBT” and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.
- 4.8.1.15 Ensure that the ADA/ADM copies of FMN070 bearing the IBT rubber-stamp are properly filed at the ADM.
- 4.8.1.16 All the other relevant procedures detailed in Section 4.3 are also applicable for Inter Branch Transactions With Regards To Updating Of Depositor’s CDS Accounts Particulars.

4.8.2 Inter Branch Transactions With Regards To Closing Of CDS Accounts

- 4.8.2.1 Verify the signature on the FMN070 from depositor against the ADM’s records of specimen signature(s).
- 4.8.2.2 Verify the details against the Checklist For Verification Of Closing Of Account (Appendix 30).
- 4.8.2.3 Verify and ensure that the “verified by” and “approved by” column are completed by two (2) different authorised signatories of the ADM before data entry.

- 4.8.2.4 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.8.2.5 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.8.2.6 Ensure that all FMN070s are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.
- 4.8.2.7 Ensure that the ADA/ADM copies of the FMN070 bearing the IBT rubber-stamp are properly filed at the ADM.
- 4.8.2.8 All the other relevant procedures detailed in Section 4.4 are also applicable for Inter Branch Transactions With Regards To Closing Of CDS Accounts.

4.8.3 Inter Branch Transactions With Regards To Reactivation Of Inactive Account Request

- 4.8.3.1 Complete the Reactivation Form.
- 4.8.3.2 Verify the signature on the Reactivation Form against the ADM's records of specimen signature(s).
- 4.8.3.3 Reject the request if the signature differs.
- 4.8.3.4 Affix the ADM's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".
- 4.8.3.5 Ensure the "verified by" column is completed by the ADM personnel who performed the verification.
- 4.8.3.6 Ensure the "approved by" column is completed by the ADM's authorised signatory(ies) before data entry.

- 4.8.3.7. Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.8.3.8 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.8.3.9 Any amendments made in the "for office use only" column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 4.8.3.10 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).
- 4.8.3.11 Ensure that the Reactivation Form is stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.
- 4.8.3.12 Do not send the completed Reactivation Form to Depository.
- 4.8.3.13 File the completed Reactivation Form.
- 4.8.3.14 All the other relevant procedures detailed in Section 4.7 are also applicable for Inter Branch Transactions With Regards To Reactivation Of Inactive Account Request.

4.8.4 Inter Branch Transactions With Regards To Reactivation Of Dormant Account Request

- 4.8.4.1 Ensure the depositor complete the Reactivation Form.
- 4.8.4.2 Verify the signature on the reactivation Form against the ADM's records of specimen signature(s).
- 4.8.4.3 Reject the request if the signature differs.
- 4.8.4.4 Affix the ADM's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".

- 4.8.4.5 Ensure the “verified by” column is completed by the ADM personnel who performed the verification.
- 4.8.4.6 Ensure the “approved by” column is completed by the ADM’s authorised signatory(ies) before data entry.
- 4.8.4.7 Every amendment made on the form must be countersigned by the depositor and the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.8.4.8 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 4.8.4.9 Any amendments made in the “for office use only” column in the form must be signed by the authorised signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed.
- 4.8.4.10 Where the amendments are signed by the depositor, verify the signature against the ADM’s records of specimen signature(s).
- 4.8.4.11 Ensure that the Reactivation Form is stamped with the rubber-stamp bearing the words “IBT” and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of these documents.
- 4.8.4.12 Do not send the completed Reactivation Form to Depository.
- 4.8.4.13 File the completed Reactivation Form.
- 4.8.4.14 All the other relevant procedures detailed in Section 4.6 are also applicable for Inter Branch Transactions With Regards To Reactivation Of Dormant Account Request.

4.9 Codes

- 4.9.1 Please refer the **Codes For ADM** in Appendix 37 for a listing of all codes used by the ADM

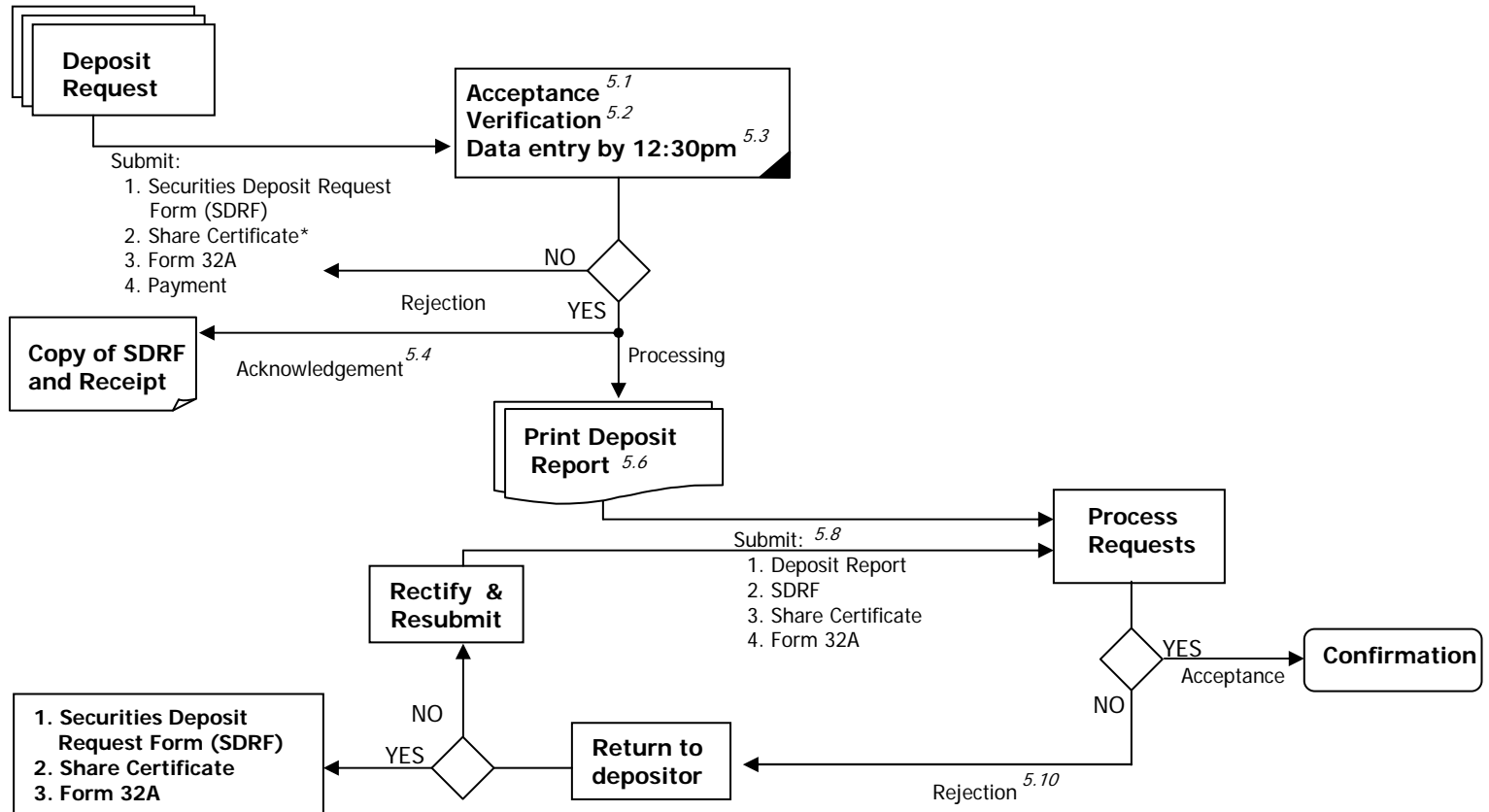
- 4.9.2 The country names in Appendix 37 are sorted in alphabetical order.

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DEPOSIT PROCESS WORKFLOW

ADM

BURSA DEPOSITORY



* or any other securities that may be prescribed into Bursa Depository

Note:

The number stated by each process refers to the section where the topic can be found in the procedures manual.

This chapter stipulates the procedures to be complied with by the ADM with respect to accepting, verifying, keying-in, filing and rejecting Securities Deposit Request Forms (FDE010), scrips, external instrument of transfer for the relevant securities or any other instruments of transfer accepted by the Exchange as well as submission of these documents to Bursa Depository. All deposit procedures detailed in this chapter are also applicable for deposit of unlisted securities.

All the activities of the ADM with respect to the treatment of new scrip and instruments of transfer in the deposit functions are stipulated here below.

The requirements of this chapter and its related appendices (checklists) must be complied with at all times by the ADM.

EXEMPTION FROM MANDATORY DEPOSIT

Pursuant to Rules 6.01A(3)(a)(iii) and 27.01A(3)(a)(iii), the following four (4) classes of securities are exempted from the requirement of mandatory deposit:-

A. Securities or class of securities of an issuer, which is subject to an existing court order that restrains any dealing in the securities obtained:-

- Prior to 1st December 1998; or
- On or before the prescribed date

***Note:** Prescribed date, in relation to any prescribed security means the date specified in a notice given by a stock exchange under subsection 14(3) as being the last day on which the prescribed security may be traded on a stock market of the stock exchange unless such security has been deposited with the Central Depository.*

(collectively referred to as “the relevant date”)

provided that the respective share registrars have been properly served with a copy of that court order on or before the relevant date and an undertaking is given to Bursa Depository and the share registrar by the parties to the proceedings stating that the person entitled to the securities as per the decision of the court shall deposit the securities with Bursa Depository within six (6) months from the date of the final disposal of all claims in the relevant suit

1. The following are provisions for the deposit of securities where the suit is finally disposed:-

- a. The depositor, i.e. the person entitled to the securities as stipulated in the documents stated below, must deposit all the certificates into the depositor's CDS account or an authorised nominee's CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- i. **Securities Deposit Request Form (FDE010)** (Appendix 38)
- ii. Certified true copy (certified by a solicitor) of the documents evidencing the final disposal of all claims in the relevant suit (for example the settlement agreement / court order / notice of discontinuance)
- iii. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (ii) above.

Note: *The depositor must deposit the certificates with Bursa Depository within six (6) months from the date of the final disposal of all claims in the relevant suit..*

- B. Securities or class of securities of an issuer, belonging to a deceased person, in respect of which an application for a Grant of Probate or Letters of Administration is made or an application to reseal the same pursuant to the Probate and Administration Act 1959 has been filed in the Courts of Law in Malaysia or with any other relevant authorities in Malaysia:-

- Prior to 1st December 1998; or
- On or before the prescribed date

Note: *Prescribed date, in relation to any prescribed security means the date specified in a notice given by a stock exchange under subsection 14(3) as being the last day on which the prescribed security may be traded on a stock market of the stock exchange unless such security has been deposited with the Central Depository.*

(collectively referred to as "the relevant date")

provided that the petitioner submit to the respective share registrar:-

1. Certified true copy (certified by solicitor) of the death certificate

2. Certified true copy (certified by solicitor) of the Petition (duly acknowledged receipt by the Court)

The petitioner shall also submit to Bursa Depository and the respective share registrar before the relevant date, a Letter of Undertaking executed by the proposed executor or administrator stating that, the securities will be deposited with Bursa Depository within six (6) months from the date of extraction of the Grant of Probate or Letters of Administration or the resealed Grant of Probate or Letters of Administration.

3. The following are provisions for the deposit of securities which fall within the above category where the Grant of Probate or Letters of Administration or resealed copies of the same have been extracted:-

- a. All certificates of the deceased person must be deposited by the executor(s) / administrator(s) into the executor / administrator's CDS account by submitting the following documents:-

- i. FDE010
- ii. Certified true copy (certified by a solicitor) of the Grant of Probate or Letters of Administration (as the case may be)

Note: *The executor / administrator must deposit the certificates with Bursa Depository within six (6) months from the date of the extraction of the Grant of Probate or Letters of Administration or resealed copies of the same.*

- C. Securities or class of securities of an issuer, which have been seized or confiscated by any person duly authorised under any written law

1. The following are provisions for the deposit of securities where the authorities have released the certificates after seizure or confiscation:-

- a. All certificates must be deposited into the depositor's CDS account or an authorised nominee's CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- i. FDE010
- ii. Certified true copy (certified by a solicitor) of the original letter from the relevant authorities confirming the release of the certificates to the depositor.

- iii. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (ii) above.

Note: *The depositor must deposit the share certificates with Bursa Depository within six (6) months from the date of issuance of the letter(s) stated in clause 1a(ii) above.*

D. Securities or class of securities of an issuer, which is subject to Section 583 of the Companies Act 2016.

1. The following are provisions for the deposit of securities subject to Section 583 where the owner claims for the certificates before the expiry of ten (10) years:-

a. All certificates must be deposited into the depositor's CDS account or an authorised nominee's CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- i. FDE010
- ii. Certified true copy (certified by a solicitor) of the original letter from the respective registrars confirming the release of the share certificates to the depositor
- iii. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (ii) above.

2. The following are provisions for the deposit of securities by the Minister charged with the responsibility for finance ("Minister of Finance") pursuant to Section 583 (2) of the Companies Act 2016 where the owner does not claim for the certificates within ten (10) years:-

a. All certificates must be deposited into the Minister of Finance's CDS account by submitting the following documents:-

- i. FDE010

- ii. Certified true copy (certified by a solicitor) of the original letter from the respective registrars confirming that the whereabouts of the shareholder remain unknown resulting in the deposit of securities into the Minister of Finance's CDS account pursuant to Section 583 (2) of the Companies Act 2016.

***Note:** The depositor or the Minister of Finance, where applicable, must deposit the certificates with Bursa Depository within six (6) months from the date of issuance of the letter(s) in clause 1a(ii) and 2a(ii) above.*

##

Final reminder

- i. All share certificates must be deposited with Bursa Depository via the ADA or ADM
- ii. Where the share certificates are not deposited with Bursa Depository within the time frame prescribed above, the depositor shall be in breach of Section 9 of the Securities Industry (Central Depositories) Act 1991 and therefore guilty of an offence punishable under Section 51 of the Securities Industry (Central Depositories) Act 1991
- iii. For securities falling within the above categories, in the event that there is more than one beneficial owner to the securities in the form of physical share certificates, the splitting of share certificates according to their distribution is required before the deposit of share certificates into their respective CDS account.

EXEMPTION FROM MANDATORY DEPOSIT (DOES NOT REQUIRE ANY PROCESSING BY ADAs)

There are two (2) other classes of securities that are exempted from the requirement of mandatory deposit and if a deposit of such securities are required to be made, such deposit will be processed by the issuer or its share registrar. These two (2) categories are:

- I. Securities or class of securities of an issuer, which are listed on a Foreign Stock Exchange whereby:
 - (a) the holders of that securities have invested in the securities of the issuer in that Foreign Stock Exchange; and
 - (b) such holdings are recorded in the Foreign Register.

In this paragraph (I) -

“Foreign Register” means the register of holders maintained by an issuer which is listed on a Foreign Stock Exchange in the jurisdiction of that Foreign Stock Exchange; and

“Foreign Stock Exchange” means a foreign stock exchange on which an issuer is listed or approved to be listed.

1. The following are provisions for the deposit of securities into the relevant CDS account of depositor as the result of a request from the holder of securities of an issuer listed or approved to be listed on other foreign stock exchange for transmission of securities in accordance with the listing requirements and/or rules of the relevant stock exchange from the register maintained by the issuer in the jurisdiction of the other foreign stock exchange to the register maintained by the issuer in Malaysia:-

a. The request for crediting the transmitted securities into the CDS account of the depositor i.e. registered holder of the transmitted securities or into an authorised nominee account's CDS account where the depositor is indicated as the beneficial owner will be processed by the local share registrar upon receiving amongst others the following documents:-

- i. Duly executed instrument of transfer, whereby the transferor's column of instrument of transfer has been duly completed and signed by the registered holder of the transmitted securities
- ii. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation from the EAN that the beneficial owner of the EAN account is the registered holder of the transmitted securities.

II. Securities or class of securities of an issuer, which are deposited and settled in the Real Time Electronic Transfer of Funds and Securities (RENTAS) system which is operated by the Malaysian Electronic Clearing Corporation Sdn. Bhd. (a subsidiary of Bank Negara Malaysia)

Important Note:

Please be advised the normal procedures for deposit of certificate as stated in this chapter is NOT applicable for Category (E) of Exemption From Mandatory Deposit.

5.1 Accepting Securities Deposit Requests

5.1.1 Receive the following for each deposit request:-

- a. FDE010 duly completed for each security and scrip and external instrument of transfer with the Transferor Part duly completed; or
- b. FDE010 duly completed for each security and scrip and pre-printed instrument of transfer on the reverse of the scrip with the Transferor Part duly completed; or
- c. FDE010 duly completed for each security and scrip and pre-printed instrument of transfer on the reverse with attached external instrument of transfer, the Transferor Part duly completed.

5.1.2 Where two (2) or more types of securities are lodged, ensure that a separate FDE010 and external instrument of transfer (if applicable) for each type of security is completed.

5.2 Verification Of Securities Deposit Requests

5.2.1 Verification Of FDE010, Scrip And External Instrument of Transfer

- 5.2.1.1 Verify the signature of the depositor on the FDE010 against the ADM's records of specimen signature(s).
- 5.2.1.2 Verify every scrip and external instrument of transfer against the **Checklist for Verification of Deposit Request** (Appendix 39).
- 5.2.1.3 Reject the deposit if there is (are) error(s) or discrepancy(ies) or non-compliance with Appendix 36. Return the FDE010, scrip and external instrument of transfer to the depositor.

Postdated FDE010s are not allowed and backdated FDE010s are only acceptable up to 6 months from the deposit date.

- 5.2.1.4 If the deposit consists of more than one (1) scrip of the same security and with the same registered holder, only one (1) external instrument of transfer may be completed for that deposit.
- 5.2.1.5 Affix the ADM's company rubber-stamp on FDE010 at the space marked "to be completed by ADA/ADM".
- 5.2.1.6 Ensure the "verified by" and "approved by" columns are completed by two different Authorised Signatories of the ADM before data entry.
- 5.2.1.7 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 5.2.1.8 Where the signature(s) of the depositor and the Authorised Signatory(ies) are the same, the amendment made on the form need only be signed by that signatory(ies).
- 5.2.1.9 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.

5.2.1.10 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

5.2.1.11 Proceed to Section 5.3, i.e. the procedure for Keying-In Deposit Data Into The CDS.

5.2.2 Verification Of FDE010 And Scrip (With Pre-printed Instrument of transfer On The Reverse Of Scrip)

5.2.2.1 Verify the signature of the depositor on the FDE010 against the ADM's records of specimen signature(s).

5.2.2.2 Verify every scrip (with pre-printed instrument of transfer on the reverse of the scrip) and the duly completed instrument of transfer on the reverse of scrip, against the Checklist for Verification of Deposit Request (Appendix 36).

5.2.2.3 Reject the deposit if there is(are) error(s) or discrepancy(ies) or non-compliance with Appendix 36. Return the FDE010, and scrip (with pre-printed instrument of transfer on the reverse of the scrip) to the depositor.

Post-dated FDE010s are not allowed and backdated FDE010s are only acceptable up to 6 months from the deposit date.

5.2.2.4 Affix the ADM's company rubber-stamp on FDE010 at the space marked "to be completed by ADA/ADM".

5.2.2.5 Ensure the "verified by" and "approved by" columns are completed by two different Authorised Signatory(ies) of the ADM before data entry.

5.2.2.6 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.

5.2.2.7 Where the signature(s) of the depositor and the Authorised Signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).

5.2.2.8 Any amendments made in the “for office use only” column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM’s name affixed.

5.2.2.9 Where the amendments are signed by the depositor, verify the signature against the ADM’s records of specimen signature(s).

5.2.2.10 Proceed to Section 5.3, i.e. the procedure for Keying-In Deposit Data into The CDS.

5.2.3 Verification Of FDE010, Scrip (With Pre-printed Instrument of Transfer On The Reverse Of Scrip) And External Instrument of transfer

5.2.3.1 Verify the signature of the depositor on the FDE010 against the ADM’s records of specimen signature(s).

5.2.3.2 Verify every scrip (with pre-printed instrument of transfer on the reverse of the scrip) and the duly completed external instrument of transfer, against the Checklist for Verification of Deposit Request (Appendix 36).

5.2.3.3 Reject the deposit if there is(are) error(s) or discrepancy(ies) or non-compliance with Appendix 36. Return the FDE010, scrip (with pre-printed instrument of transfer on the reverse of the scrip) and external instrument of transfer to the depositor.

Post-dated FDE010s are not allowed and backdated FDE010s are only acceptable up to 6 months from the deposit date.

5.2.3.4 If the deposit consists of more than one (1) scrip of the same security and with the same registered holder, only one (1) external instrument of transfer may be completed for that deposit.

5.2.3.5 Affix the ADM’s company rubber-stamp on FDE010 at the space marked “to be completed by ADA/ADM”.

5.2.3.6 Ensure the “verified by” and “approved by” columns are completed by two different Authorised Signatories of the ADM before data entry.

- 5.2.3.7 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 5.2.3.8 Where the signature(s) of the depositor and the Authorised Signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 5.2.3.9 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 5.2.3.10 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).
- 5.2.3.11 Proceed to Section 5.3, i.e. the procedure for Keying-In Deposit Data Into The CDS.

5.2.4 Verification Of FDE010 And Moratorium Securities

- 5.2.4.1 Verify the signature of the depositor on FDE010 against the ADM's records of specimen signature(s).
- 5.2.4.2 Ensure the moratorium certificates are correctly stated in FDE010 using the appropriate stock code. These certificates are denoted by the existing stock code of that particular counter followed by an "MM" after the stock code.
- 5.2.4.3 Moratorium securities may be deposited into:-
- a. The CDS account of the registered holder of the moratorium certificates, or
 - b. A pledged securities account under the name of an authorised nominee. However, the account qualifier must have the word "Pledged Securities Account" followed by the fullname of the registered holder of the moratorium certificate. This request must also be accompanied by a **Moratorium Shares Declaration** (Appendix 40) signed by

the CDS depositor, i.e. the authorised nominee, stating that the deposit of shares will not result in any change in the beneficial ownership of the said certificate.

- 5.2.4.4 Any request to deposit moratorium securities into a CDS account other than the above is not permitted.

Post-dated FDE010s are not allowed and backdated FDE010s are only acceptable up to 6 months from the deposit date.

- 5.2.4.5 Affix the ADM's company rubber-stamp on FDE010 at the space marked "to be completed by the ADA/ADM".
- 5.2.4.6 Ensure the "verified by" and "approved by" columns are completed by two different Authorised Signatories of the ADM before data entry.
- 5.2.4.7 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 5.2.4.8 Where the signature(s) of the depositor and the Authorised Signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 5.2.4.9 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 5.2.4.10 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

5.3 Keying-In Deposit Data Into The CDS

- 5.3.1 Enter all deposit data using the CDS "Deposit Maintenance" screen. Ensure that alphabets or beginning zeroes of the scrip number are keyed-in as per **Standard Guidelines For Keying-In Share Certificate Numbers** (Appendix 41).

Note: If there is prior approval from Bursa Malaysia Depository to waive on the deposit fee, ADAs are required to click on the fee waived and enter the letter reference number. Failing to enter both the information, may result in the billing for the deposit transaction.

- 5.3.2 Ensure the "data entry by" column in FDE010 is completed by the data entry personnel.

Note: The data entry personnel must not be the same person approving the deposit request.

- 5.3.3 When details of a scrip reported lost/stolen is keyed-in, the system will send an appropriate error message to the terminal. Re-enter the data in case of a data entry error, otherwise reject the scrip.

- 5.3.4 Ensure that scrip numbers in running order to be keyed-in using the block scrip entry facility, are made up of at least four (4) digits. Key-in individually, scrip numbers in running order which are of three (3) digits or less.

- 5.3.5 Upon completion, the deposit reference number will be generated and displayed on the CDS terminal.

- 5.3.6 Record the deposit reference number on the FDE010

Note:

- (i) *All accepted deposit requests lodged by the depositor before 12.00pm on any market day must be keyed-in to the CDS terminal before 12.30pm on the same market day*
- (ii) *Where deposit requests are lodged after 12.00pm, and are not keyed-in for value the same day, these requests must be keyed-in before 12.30pm on the following market day*
- (iii) *Any data keyed-in 12.30pm and after will be considered as deposit requests for the next market day*

- (iv) *Amendment cut-off time for deposits keyed-in to the CDS terminal before 12.30pm, is 3.00pm or any specific time decided by Bursa Depository.*

5.3.7 The ADM is to print and print and provide the depositor the tax invoice (Appendix 72) from the CDS in respect of the fee for the deposit transaction unless the depositor indicates he does not required the same.

Note: **In the event there is a request from a depositor to reprint the original tax invoice, the ADM is to reprint the tax invoice from CDS and endorse it with a rubber stamp bearing the word “COPY” on the top section of the reprinted tax invoice before forwarding it to the depositor.**

5.4 Acknowledge Receipt Of Deposit Requests

- 5.4.1 Receive the deposit fee and the relevant GST amount.

- 5.4.2 Return the **Depositor copy** of the FDE010 to the depositor as acknowledgement **only after the deposit reference number has been generated and recorded on the form.**

- 5.4.3 The ADM must maintain proper records of all deposit fees received.

5.5 Processing The Transferee Part Of Instrument of Transfer

- 5.5.1 Complete the transferee part of instrument of transfer (on the reverse of the scrip or on the attached external Instrument of transfer, as the case may be) on behalf of Bursa Depository by affixing the designated rubber-stamp bearing the words "Certificates Lodged For Registration In The Name Of Bursa Malaysia Depository Nominees Sdn Bhd".
- 5.5.2 Ensure that the form is signed by the ADM's Authorised Signatories at the space provided by the rubber-stamp bearing the words "Certificates Lodged For Registration In The Name Of Bursa Malaysia Depository Nominees Sdn Bhd".
- 5.5.3 The consideration sum need not be inserted in instrument of transfer as stamp duty has been waived.

Note:

- (i) *Please take note that items 5.5.1 and 5.5.2 in relation to processing of the transferee part of Instrument of transfer is not applicable when processing deposit request relating to unlisted securities*
- (ii) *When processing deposit request relating to unlisted securities ensure the transferee column of instrument of transfer is not completed*
- (iii) *The transferee column of instrument of transfer relating to unlisted securities will be completed by Bursa Malaysia Depository Nominees Sdn Bhd before forwarding the certificate to the relevant share registrar.*

5.6 Generate And Verify Deposit Report

- 5.6.1 Print the **Deposit Report** (Appendix 42) in hardcopy or alternatively view the softcopy of this report after all deposits have been keyed-in for the day.
- 5.6.2 Verify the FDE010s and scrip against the Deposit Report in hardcopy or alternatively view the softcopy of this report in CDS.
- 5.6.3 Ensure that data has been keyed-in correctly.
- 5.6.4 Make the necessary amendments if there is(are) any discrepancy(ies) or data entry error(s).
- 5.6.5 Print the **Deposit Amendment Report** (Appendix 43).
- 5.6.6 Verify the report to ensure that amendment(s) made is(are) correct.
- 5.6.7 Print the **final Deposit Report** in duplicate after amendments have been made.
- 5.6.8 Affix the ADM's company rubber-stamp on the final Deposit Report.
- 5.6.9 Ensure that the final Deposit Report is verified and signed by the ADM's Authorised Signatories as evidence of approval for such deposits.
- 5.6.10 If the ADM is unable to print the Deposit Report from the computer system, prepare a letter using the ADM's letterhead, addressed to Bursa Depository with the following:-
 - a. Reason for failure to print the Deposit Report (if due to printer failure, indicate time and name of the person(s) from Bursa Depository/Bursa IT contacted)
 - b. Securities name, CDS account number and name of depositor for all securities deposited
 - c. Total scrip count and quantity of scrip for each security
 - d. Company rubber-stamp affixed and signed by the ADM's Authorised Signatories.

5.7 Sorting And Packing Of Scrip And Forms

- 5.7.1 Verify and ensure that the transferee part of instrument of transfer is completed on behalf of Bursa Depository.

***Note:** For unlisted securities ensure the transferee part of instrument of transfer is not completed. The transferee's column will be completed by Bursa Malaysia Depository Nominees Sdn Bhd instead.*

- 5.7.2 Sort and pack **Bursa Depository copy** of the FDE010, scrip and the external Instrument of transfer, or scrip with pre-printed instrument of transfer on the reverse, together with the final Deposit Report in the following order:-

- a. By security, in sequence of ascending securities code
- b. Within each security, in sequence as appearing on the final Deposit Report.

- 5.7.3 Ensure that the scrip are attached to the corresponding external instrument of transfer (if applicable).

- 5.7.4 Each package must be accompanied by the final Deposit Report duly verified and approved by the ADM's Authorised Signatories.

- 5.7.5 Ensure that the Authorised Signatories affixed the company rubber-stamp on the final Deposit Report.

5.8 Submission Of Deposit Requests To Bursa Depository

- 5.8.1 Klang Valley ADM and ADM's branches must submit one (1) copy of the duly signed and their companies' rubber-stamps affixed on the final Deposit Report, all the packed deposit requests and scrip with external instrument of transfer, or scrip with pre-printed instrument of transfer, to Bursa Depository before 4.00pm on deposit day.
- 5.8.2 ADM and ADM's branches located outside Klang Valley must submit one (1) copy of the duly signed and their companies' rubber-stamps affixed on the final Deposit Report, all the packed deposit requests and scrip with external instrument of transfer, or scrip with pre-printed instrument of transfer, to Bursa Depository before 4.00pm on deposit day.
- 5.8.3 ADM and ADM's branches located outside Klang Valley can apply for exemption from Procedure 5.8.2, by writing to Bursa Depository and enclosing the following documents:-
- a. **Deed Of Indemnity** (Appendix 44)
 - b. **List Of Authorised Personnel For Telephone Confirmation** (Appendix 45).
- 5.8.4 Once the request for exemption from Procedure 5.8.2 is approved by Bursa Depository, the requesting ADM and ADM's branches need to adhere to the Prescribed Procedures, defined in this Section as follows:-
- 5.8.4.1 For all deposit transactions keyed into the CDS terminal for value the same day, ADM must fax one (1) copy of the duly signed and stamped final Deposit Report, all FDE010s and scrip with external Instrument of transfer, or scrip with pre-printed instrument of transfer, to Bursa Depository before 4.00pm on deposit day.
- 5.8.4.2 The faxed documents must be accompanied by a cover letter, containing details on the number of transactions done and the number of pages faxed, to be signed by an authorised personnel as stated in the List Of Authorised Personnel For Telephone Confirmation submitted by the ADM to Bursa Depository previously.

5.8.4.3 Following this, confirmation via telephone must be made by the same authorised personnel who signed the cover letter with an authorised personnel at Deposit Section of Bursa Depository before 4.00pm on the same day, confirming receipt of the faxed documents.

5.8.4.4 For all deposit requests which have been faxed, copy of the duly signed and stamped final Deposit Report, all the packed deposit requests and scrip with external Instrument of transfer, or scrip with pre-printed instrument of transfer must be sent to Bursa Depository before 12.30pm the following market day.

5.9 Acknowledgement Of Receipt Of Deposit Requests By Bursa Depository

Bursa Depository will acknowledge receipt of the ADM's deposit requests on the Deposit Report printed at Bursa Depository after 3.00pm on deposit day

Note: *In the event that Bursa Depository is required to acknowledge receipt of the ADM's Deposit Report, the acknowledgement is only for the receipt of the Deposit Report and not the transaction details in the supporting documents nor the scrip. The acknowledged Deposit Report printed at Bursa Depository will be forwarded to the ADM upon further checking of the transaction details in the supporting documents of the ADM's Deposit Report. Alternatively, the acknowledgement will be placed at the designated collection centre.*

5.10 Rejection Of Deposit Requests By Bursa Depository

Bursa Depository shall reject any deposit request that does not comply with the Rules of Bursa Depository, provisions of this chapter including the appendices and any other directive issued by Bursa Depository from time to time.

5.10.1 For deposit requests rejected by Bursa Depository, the ADM will receive the following:-

- a. **Rejection Of Scrip Deposited Letter From Bursa Depository** (Appendix 46) in duplicate and the rejected FDE010 (if any)
- b. Rejected scrip and external Form instrument of transfer or scrip with pre-printed instrument of transfer on the reverse
- c. Deposit Amendment Report or **Settlement Value Reversal Report** (Appendix 47) as the case may be.

5.10.2 For Klang Valley ADM and ADM's branches, sign to acknowledge receipt of the rejected deposits from Bursa Depository. Return the duplicate copy of the Rejection Of Scrip Deposited Letter From Bursa Depository on the same market day.

5.10.3 For ADM and ADM's branches outside Klang Valley, sign to acknowledge receipt of the rejected deposits. Return the duplicate copy of the Rejection Of Scrip Deposited Letter From Bursa Depository by the next market day following the date of receipt of the rejection of deposit.

Re-submission Procedure

Where a rejected deposit is returned to the ADM and is rectifiable by the ADM, the ADM may rectify the error(s), rekey-in the deposit data and re-submit the original or photocopy of the FDE010 to Bursa Depository with the new deposit reference number and a rubber-stamp bearing the ADM's name affixed.

5.11 ADM Returning Rejected Deposit Requests To The Depositor

- 5.11.1 Collect the rejected FDE010 (if any), scrip with external instrument of transfer or scrip with pre-printed instrument of transfer on the reverse, to be sent to the depositor latest by the next market day and:-
- a. Prepare a Rejection of Securities Deposited Letter in duplicate, stating the reason(s) for rejection
 - b. Attach the rejected FDE010 (if any), scrip and external instrument of transfer or rejected scrip with pre-printed instrument of transfer on the reverse
 - c. Include the two (2) copies of the Rejection of Securities Deposited Letter issued by the ADM, to the depositor.
- 5.11.2 Obtain acknowledgement of receipt by the depositor on the second copy of the Rejection Letter.
- 5.11.3 File the acknowledgement together with the Deposit Amendment Report or Settlement Value Reversal Report, as the case may be.

5.12 Inter Branch Transactions With Regards To Deposit Requests

Inter Branch Transactions are transactions initiated at the branch office of an ADM.

- 5.12.1 Verify the depositor's signature on the FDE010 against the ADM's records of specimen signature(s).
- 5.12.2 Reject the request if the signature differs.
- 5.12.3 Ensure that all FDE010s are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each copy of the FDE010.
- 5.12.4 Ensure that the ADA/ADM copies of the FDE010 bearing the IBT rubber-stamp are properly filed at the ADM.

5.13 Bursa Depository Reports

5.13.1 Print the following reports at the beginning of the next market day:-

- a. **Deposit Amendment By Depository Report** (Appendix 48) (Only if there was deposit of certificate the previous market day)
- b. **Deposit Confirmation Report** (Appendix 49) (Optional)
- c. **Good Value Confirmation Report** (Appendix 50) (Optional).
- d. Participant CDS Transaction Invoice Report (Appendix 73) (Optional)

Note: The purpose of this report is to assist the ADM to reconcile the GST amount collected for all the CDS transactions initiated on previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

5.13.2 Ensure these reports stated in item 5.13.1 (a) – (c) are verified and signed by the Authorised Signatory(ies) of the ADM as evidence of approval. Check any discrepancies with the Deposit Section of Bursa Depository.

5.13.3 Deposit Confirmation Report and Deposit Amendment by Bursa Depository Report will reflect all the deposit request(s) accepted and amended (including deleted) by Bursa Depository on deposit day.

5.13.4 Good Value Confirmation Report will reflect all the deposits that have been given good value confirmation (free balance) by Bursa Depository for that particular market day.

5.14 Filing Of Documents

File the following documents:-

- a. **ADA/ADM copy** of the FDE010
- b. A copy of Deposit Report
- c. The acknowledged Deposit Report printed at Bursa Depository
- d. Deposit Amendment Report or Settlement Value Reversal Report, as the case may be
- e. Deposit Confirmation Report (optional)
- f. Deposit Amendment by Bursa Depository Report (if applicable)
- g. Good Value Confirmation Report (optional).

5.15 Deposit Of Provisional Allotment Letters (PALs) / Provisional Letters Of Offer (PLO)

This section stipulates the procedures to be applied by the ADM arising from a deposit of PALs/PLO.

5.15.1 Accepting PALs/PLO For Deposit

The deposit of PALs/PLO may arise from the following provisions:-

- A. Securities or class of securities of an issuer, which is subject to an existing court order (obtained prior to 1 December 1998) that restrains any dealing in the securities, where the suit is finally disposed

5.15.1.1 The depositor, i.e. the person entitled to the securities as stipulated in the documents stated below, must deposit all the PALs/PLO arising from such securities into the depositor's CDS account or an authorised nominee's CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- a. Securities Deposit Request Form (FDE010)
- b. Certified true copy (certified by a solicitor) of the documents evidencing the final disposal of all claims in the relevant suit (for example the settlement agreement / court order / notice of discontinuance)
- c. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (b) above.

Note: *The depositor must deposit the PALs/PLO with Bursa Depository within six (6) months from the date of the final disposal of all claims in the relevant suit.*

- B. Securities or class of securities of an issuer, belonging to a deceased person, in respect of which an application for a Grant of Probate or Letters of Administration is made or an application to reseal the same

pursuant to the Probate and Administration Act 1959 has been filed in the Courts of Law in Malaysia or with any other relevant authorities in Malaysia prior to 1 December 1998, where the Grant of Probate or Letters of Administration or resealed copies of the same have been extracted

5.15.1.2 All PALs/PLO of the deceased person must be deposited by the executor(s) / administrator(s) into the executor / administrator's or the beneficiary's CDS account by submitting the following documents:-

- a. FDE010
- b. Certified true copy (certified by a solicitor) of the Grant of Probate or Letters of Administration (as the case may be)

Note: *The executor / administrator or beneficiary must deposit the PALs/PLO with Bursa Depository within six (6) months from the date of the extraction of the Grant of Probate or Letters of Administration or resealed copies of the same.*

- C. Securities or class of securities of an issuer, which have been seized or confiscated by any person duly authorised under any written law, where the authorities have released the certificates after seizure or confiscation

5.15.1.3 All PALs/PLO must be deposited into the depositor's CDS account or an authorised nominee's CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- a. FDE010
- b. Certified true copy (certified by a solicitor) of the original letter from the relevant authorities confirming the release of the certificates to the depositor
- c. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (b) above.

Note: *The depositor must deposit the PALs/PLO with Bursa Depository within six (6) months from the date of issuance of the letter(s) stated in 5.15.1.3 “b”.*

D. Securities or class of securities of an issuer, which is subject to Section 583 of the Companies Act 2016, where the owner claims for the certificates before the expiry of ten (10) years

5.15.1.4 All PALs/PLO must be deposited into the depositor’s CDS account or an authorised nominee’s CDS account where the depositor is indicated as beneficial owner by submitting the following documents:-

- a. FDE010
- b. Certified true copy (certified by a solicitor) of the original letter from the respective registrars confirming the release of the share certificates to the depositor
- c. Deposit of certificate into an Exempt Authorised Nominee (EAN) account must be accompanied by confirmation that the beneficial owner of the EAN account is the same beneficial owner as stated in the supporting document mentioned in item (b) above.

Note: *The depositor must deposit the PALs/PLO with Bursa Depository within six (6) months from the date of issuance of the letter(s) stated in 5.15.1.4 “b”.*

E. Deposit of PALs/PLO by the Minister of Finance pursuant to Section 583 (2) of the Companies Act 2016 where the owner does not claim for the securities within ten (10) years

5.15.1.5 All PALs/PLO must be deposited into the Minister of Finance’s CDS account by submitting the following documents:-

- a. FDE010
- b. Certified true copy (certified by a solicitor) of the original letter from the respective registrars confirming that the whereabouts of the

shareholder remain unknown resulting in the deposit of securities into the Minister of Finance's CDS account pursuant to Section 583(2) of the Companies Act 2016.

Note: *Minister of Finance must deposit the PALs/PLO with Bursa Depository within six (6) months from the date of issuance of the letter(s) stated in 5.15.1.5 "b".*

5.15.1.6 Receive the FDE010 duly completed for each PAL/PLO with the Renunciation Form of PAL/PLO duly signed.

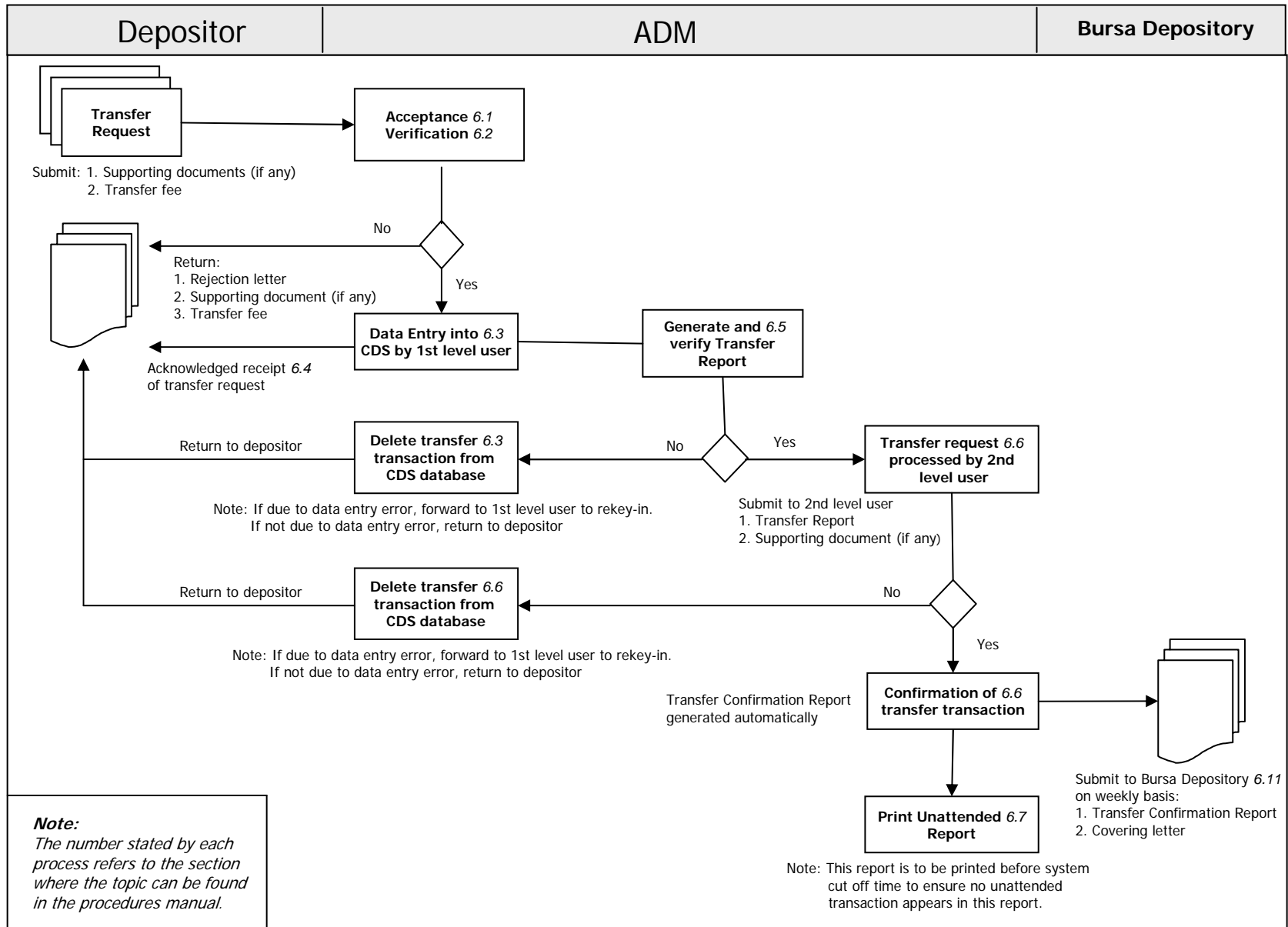
5.15.1.7 Where two (2) or more PALs/PLO representing different issuers of securities are lodged, ensure that a separate FDE010 for each PAL/PLO is completed.

5.15.2 Verification Of FDE010 And PALs/PLO

- 5.15.2.1 Verify the signature on the FDE010 against the ADM's records of specimen signature(s).
- 5.15.2.2 Ensure the PAL/PLO serial number and stock code is correctly stated on FDE010.
- 5.15.2.3 Ensure the Renunciation Form of PAL/PLO has been duly executed.
- 5.15.2.4 Affix the ADM's company rubber-stamp on FDE010 at the space marked "to be completed by ADA/ADM".
- 5.15.2.5 Ensure the "verified by" and "approved by" columns are completed by two (2) different Authorised Signatories of the ADM before data entry.
- 5.15.2.6 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 5.15.2.7 Where the signature(s) of the depositor and the Authorised Signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 5.15.2.8 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 5.15.2.9 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).
- 5.15.2.10 In addition to the above requirements, ADM is to strictly comply with all other procedures and requirements governing deposit transactions as stated in this procedures manual.

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TRANSFER PROCESS WORKFLOW



This chapter stipulates the procedures to be complied with by the ADM with respect to accepting, verifying, keying-in, filing and rejecting Transfer Requests and submission of documents to Bursa Depository.

The requirements of this chapter and its related appendices (checklists) must be complied with at all times by the ADM.

6.1 Accepting Transfer Of Securities Requests

6.1.1 Receive the following for **each** transfer request:-

- a. Document relating to transfer request
- b. Relevant documents supporting the reason for transfer, if any
- c. Transfer fee and the relevant GST amount to be based on the number of securities requested for transfer.

6.2 Verification Of Transfer Of Securities Requests

6.2.1 Verify all the particulars on the transfer request document against the **Checklist For Verification Of Transfer Request** (Appendix 51).

6.2.2 Ensure transfer transactions fall under the **Approved Reasons For Transfer** and that it is supported by relevant documents, if applicable. See Appendix 52 for more details.

***Note:** Approved Reasons for Transfer is not applicable for unlisted / delisted securities.*

6.2.3 Reject the transfer request if there is(are) error(s) or discrepancy(ies) or non-compliance with Appendix 51 and Appendix 52. Return the transfer request document and supporting documents (if any) to the depositor.

6.2.4 When everything is in order, hand over the transfer request document and supporting documents (if any) to the first (1st) level user to perform the data entry into the CDS.

6.3 Keying-In Transfer Data Into The CDS By First (1st) Level User

6.3.1 The first (1st) level user is to enter all transfer data using the CDS “Transfer Maintenance” screen.

6.3.2 The first (1st) level user is also required to enter the following:-

- a. Appropriate code denoting the reason for transfer
- b. Reference number as appearing in Bursa Depository’s letter approving the transfer (if applicable).

Note: *The security to be transferred is now earmarked and may not be used for any other purposes.*

6.3.3 If the transfer data is rejected by the system, verify to ensure that there is(are) no data entry error(s). If there is(are) no data entry error(s), return the transfer request document to the depositor immediately, stating the reason(s) for rejection.

6.3.4 Upon completion, the transfer reference number will be generated and displayed on the CDS terminal.

Notes:

- (i) *All accepted transfer requests lodged with the ADM before 3.00pm on any market day must be keyed-in to the CDS terminal before 4.00pm on the same market day.*
- (ii) *Transfer requests lodged after 3.00pm must be keyed-in before 4.00pm on the following market day.*
- (iii) *All transfer requests that have been successfully keyed into CDS by 4.00pm shall be either deleted or confirmed by the ADM by 4.30pm on the same day.*
- (iv) *Transfer requests that have been successfully keyed-in into the CDS can only be confirmed from 10.00am and onwards except for securities that are being traded as Designated Securities under the Rules of Bursa Malaysia Securities Bhd.*
- (v) *Securities that are traded as Designated Securities under the Rules of Bursa Malaysia Securities Bhd, the transfer requests can be confirmed*

from 8.30am and onwards or such time as may be prescribed by Bursa Depository.

- (vi) *Transfer request relating to unlisted / delisted securities, key-in “B5” at the Approved Reason column and enter the word “Unlisted / Delisted” at the Approval Ref. No column.*

6.4 Acknowledge Receipt Of Transfer Requests

- 6.4.1 Acknowledge receipt the transfer requests only after the transfer reference number has been generated and recorded on the transfer request document.

6.5 Generate And Verify Transfer Report

- 6.5.1 Print the **Transfer Report** (Appendix 53) after the transfer requests have been keyed into the CDS database. This report can be printed either by:-
- a. Specific account; or
 - b. All accounts.
- 6.5.2 Verify the Transfer Report and ensure that the following details have been entered correctly into the CDS:-
- a. Transferor's CDS account number, name and account qualifier (if any)
 - b. Transferee's CDS account number, name and account qualifier (if any)
 - c. Securities' code and name
 - d. Quantity of securities
 - e. Transfer reference number and transfer date
 - f. Approved reason for transfer.
- 6.5.3 Make the necessary cancellation(s) if there is(are) any discrepancy(ies) or data entry error(s).
- 6.5.4 Print the **Transfer Cancellation Report** (Appendix 54) to verify the cancellation(s) made and ensure that the cancellation(s) made is(are) correct.
- 6.5.5 Repeat the data entry procedure under Section 6.3 – Keying-In Transfer Data Into The CDS By First (1st) Level User, if there is(are) error(s).
- 6.5.6 Ensure the “verified by” column in the Transfer Report is completed by the authorised signatory(ies) of the ADM as evidence of verification of such transfers.
- 6.5.7 Hand over the following to second (2nd) level user:-
- a. Duly verified and signed transfer report
 - b. Transfer request document and relevant supporting documents (if any).

6.6 Confirmation Of Transfer Requests By Second (2nd) Level User

6.6.1 Verify the Transfer Report and ensure that the following details have been entered correctly into the CDS:-

- a. Transferor's CDS account number, name and account qualifier (if any)
- b. Transferee's CDS account number, name and account qualifier (if any)
- c. Securities' code and name
- d. Quantity of securities
- e. Transfer reference number and transfer date
- f. Approved reason for transfer.

6.6.2 Make the necessary cancellation(s) if there is(are) any discrepancy(ies) or data entry error(s).

6.6.3 Print the Transfer Cancellation Report to verify the cancellation(s) made and ensure that the cancellations(s) made is(are) correct.

6.6.4 Return the rejected transfer request and related documents (if any) to the first (1st) level user and repeat procedures under Section 6.3 – Keying-In Transfer Data Into The CDS By First (1st) Level User.

6.6.5 If the transfer transaction(s) is(are) free from error(s), the second (2nd) level user is to sign at the “approved by” column in the Transfer Report.

6.6.6 Before the ADM confirms the transfer transaction(s), check whether the transfer has any approval from Bursa Malaysia Depository for fee waiver, if there is no approval, confirm the transfer either by:

- a. Specifying transfer reference number; or
- b. Specific account.

Note: *If there is prior approval from Bursa Malaysia Depository to waive on the transfer, ADMs are required to click on the fee waived and enter the letter reference number. Failing to enter both the information, may result in the billing for the transfer.*

- 6.6.7 Ensure that the quantity transferred being confirmed is **within the authorised confirmation limit**.

***Note:** Transfer Confirmation Limit Maintenance task enables the holder to set the transfer confirmation limit for each of the ADM's authorised personnel. This task is only assigned to senior authorised personnel at the principal office of the ADM.*

- 6.6.8 If the transfer transaction is confirmed using the transfer reference number via the Transfer Confirmation Maintenance screen and the quantity transferred exceed the authorised confirmation limit, this transfer transaction will be rejected.

***Note:** The appropriate rejection message will be reflected on the CDS screen.*

- 6.6.9 If one (1) or more transfer transactions for the same CDS account are confirmed using the Bulk Transfer Confirmation screen, the transactions that are within the authorised confirmation limit will be confirmed and reflected in the **Transfer Confirmation Report** (Appendix 55) that will be generated automatically.

***Note:** ADM would still have the flexibility of printing this report as and when required.*

This report can also be printed at the ADM's principal office by its authorised personnel for transfer transactions entered and confirmed by all its branches for the purpose of monitoring the transfer activities at the branches.

- 6.6.10 If one (1) or more transfer transactions for the same CDS account are confirmed using the Bulk Transfer Confirmation screen, the quantity transferred that exceed the authorised confirmation limit will be rejected and reflected in the **Transfer Confirmation Exception Report** that will be generated automatically.

- 6.6.11 Ensure that the Transfer Confirmation Report is verified and signed on the same day by an authorised signatory of the ADM who is not the person that verified, keyed-in or approved the transfer requests.

- 6.6.12 The ADM is to print and provide the depositor the tax invoice (Appendix 72) from the CDS in respect of the fee for the transfer transaction unless the depositor indicates he does not require the same.

Note: In the event there is a request from a depositor to reprint the original tax invoice, the ADM is to reprint the tax invoice from CDS and endorse it with a rubber stamp bearing the word "COPY" on the top section of the reprinted tax invoice before forwarding it to the depositor.

- 6.6.13 On the next market day, ADM has the option to print the Participants CDS Transaction Invoice Report (Appendix 73) from CDS. The purpose of this report is to assist the ADM to reconcile the GST amount collected for all the CDS transactions initiated on previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

6.7 Generate Unattended Transfer Report

- 6.7.1 Print the **Unattended Transfer Report** (Appendix 56) before system cut-off time, after all transfer transactions for the day have been attended by the second (2nd) level user.
- 6.7.2 Check the report to ensure that there are no unattended transfers that have yet to be attended.
- 6.7.3 If any unattended transfers appear in this report, either confirm or cancel the transfers before the system cut-off time.
- 6.7.4 Print the final Unattended Transfer Report to ensure that there are no unattended transfers.
- 6.7.5 The report is to be verified and signed by the authorised signatory(ies) of the ADM.

Note: *All unattended transfer transactions will be deleted during End-Of-Day (EOD) processing at Bursa Depository.*

*These unattended transfers that are deleted during EOD will be reflected in the **Transfer Deleted At EOD Report** (Appendix 57) that can be printed by the ADM the next market day.*

6.8 Transfers From Principal Or Wholly-Owned Nominee Account(s) Of The ADM

- 6.8.1 Transfer Of Securities Request Form (FTF010) **is not required** to be completed for transfers from the Principal or Wholly-owned Nominee account(s) of the ADM.
- 6.8.2 ADM's authorised signatory(ies) as per the Board Resolution is(are) required to sign the declaration clause, **"We hereby affirm and declare that the information represented in this report on whether the transfer falls under Category A (no change in beneficial ownership) or Category B (change in beneficial ownership) and the reason thereto is true"** that is reflected on the Transfer Confirmation Report. This is to confirm that the transfer transactions initiated by the ADM's Principal or Wholly-owned Nominee account(s) are in accordance to the approved reasons for transfer.
- 6.8.3 All other transfer procedures detailed in this chapter (if relevant) are also applicable for transfers from the Principal or Wholly-owned Nominee account(s) of the ADM.

6.9 Inter Branch Transactions With Regards To Transfer Requests

Inter Branch Transactions are transactions initiated at the branch office of an ADM.

- 6.9.1 All transfer procedures detailed in this chapter are also applicable for inter branch transactions with respect to transfer requests.

6.10 Transmitting Transfer Confirmation Report To Bursa Depository

6.10.1 ADMs are to submit the Transfer Confirmation Report accompanied with the relevant declaration on a weekly basis. This report will be submitted on the first market day of the following week by initiating the following processes in CDS:-

- a. Submit the Transfer Confirmation report for the whole of previous week transactions via a reporting task namely Weekly Transfer Confirmation Report (TF153RC). Submit this report by indicating on start date as the first market day of the previous week and on end day as the last market day of the previous week
- b. Proceed to the Declaration Module and select the Transfer Confirmation Report and press the “Search” button. View the report to ensure it is the correct report containing the transactions for the whole of previous week
- c. Click the “Submit To Bursa” button upon confirming the contents of the report is correct. The Declaration clause will appear and ADMs are required to press the “Submit” button to transmit the report to Bursa Depository
- d. ADMs are allowed to enquire on their submission of report to Bursa Depository via the Submitted Transfer Confirmation Report Enquiry.

Note: *No signature is required for the declaration appearing on this report that is being submitted electronically to Bursa Depository.*

6.11 ADM Returning Rejected Transfer Requests To The Depositor

- 6.11.1 Rejected transfer request document and supporting documents (if any) to be returned to the depositor(s) latest by the next market day and:-
- a. Prepare a Rejection of Transfer Request Letter in duplicate stating the reason(s) for rejection
 - b. Attach the rejected transfer request document together with the supporting documents (if any).
- 6.11.2 Obtain acknowledgement of receipt by the depositor on the second copy of the Rejection Letter.
- 6.11.3 File the acknowledgement letter together with the Transfer Cancellation Report.

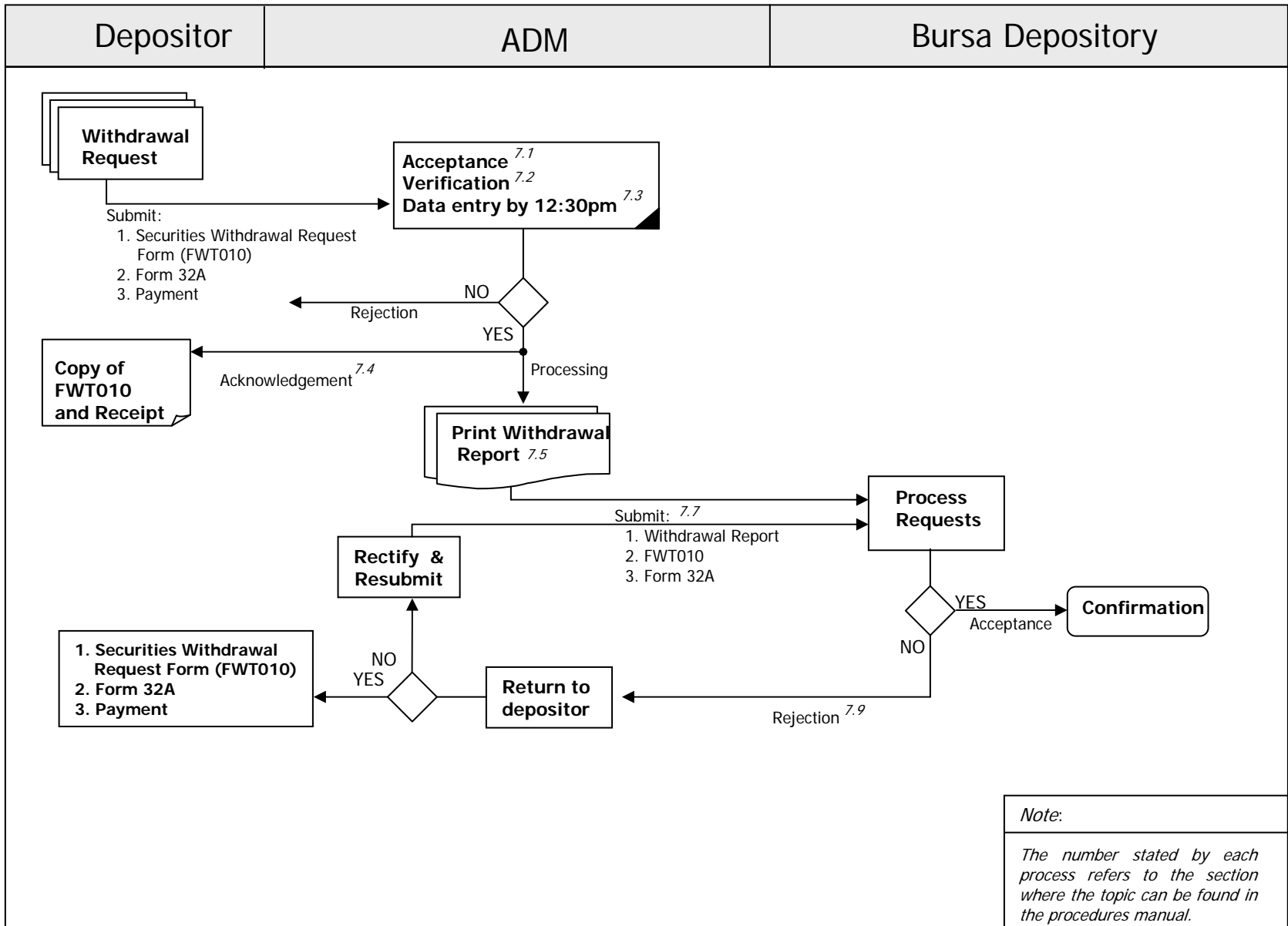
6.12 Filing Of Documents

6.12.1 File the following documents:-

- a. Transfer request document
- b. Supporting documents (if any)
- c. The duly signed copy of Transfer Report
- d. The duly signed copy of Transfer Confirmation Report
- e. Final Unattended Transfer Report
- f. Transfer Deleted At EOD Report
- g. Rejection Letter to depositor.

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WITHDRAWAL PROCESS WORKFLOW



These withdrawal procedures are only applicable under certain circumstances as stated in the Rules of Bursa Malaysia Depository Sdn Bhd.

This chapter stipulates the procedures to be complied with by the ADM with respect to accepting, verifying, keying-in, filing and rejecting the Securities Withdrawal Request Forms (FWT010) and submission of these documents to Bursa Depository.

The requirements of this chapter and its related appendices (checklists) must be complied with at all times by the ADM.

Note: For withdrawal request relating to transmission of securities of a dual listed corporation from Malaysia to a foreign country where the corporation is dual listed, ADM is required to verify the signature of the depositor on the relevant request form that will be completed by the depositor prior to submitting such request to the relevant share registrar. This form is prescribed by the share registrar and need to be completed by the depositor for request to withdraw securities from his CDS account in order for the said securities to be transmitted to the foreign country. ADM is only required to verify the signature of the depositor that maintained CDS account with them. The other procedures relating to withdrawal request contained in this chapter is not applicable for withdrawal of such nature.

7.1 Accepting Withdrawal Requests

7.1.1 Receive the following for **each** withdrawal request:

- a. **Securities Withdrawal Request Form** (FWT010) (Appendix 58) duly completed in triplicate by the depositor for each security
- b. External instrument of transfer with the Transferee part duly completed

***Note:** Ensure instrument of transfer is franked with sufficient revenue stamp.*

7.1.2 Where two (2) or more types of securities are withdrawn, ensure that a separate FWT010 and instrument of transfer for each type of security is completed.

7.2 Verification Of Securities Withdrawal Requests

- 7.2.1 Verify the signature on the FWT010 against the ADM's records of specimen signature(s).
- 7.2.2 Verify all the particulars on every FWT010 against the **Checklist For Verification Of Withdrawal Request** (Appendix 59).
- 7.2.3 Ensure the "verified by" and "approved by" columns are completed by two (2) different Authorised Signatory(ies) of the ADM after verification prior to data entry.
- 7.2.4 Reject the withdrawals if there is(are) error(s) or discrepancy(ies) or non-compliance with Appendix 59. Return the FWT010 and the external instrument of transfer to the depositor.

Post-dated FWT010s are not allowed and backdated FWT010s are only acceptable up to 6 months from the withdrawal date.

- 7.2.5 Affix the ADM's company rubber-stamp at the space marked "to be completed by ADA/ADM".
- 7.2.6 Every amendment made on the form must be countersigned by the depositor and the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 7.2.7 Where the signature(s) of the depositor and the Authorised Signatory(ies) of the ADM are the same, the amendment made on the form need only be signed by that signatory(ies).
- 7.2.8 Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADM with a rubber-stamp bearing the ADM's name affixed.
- 7.2.9 Where the amendments are signed by the depositor, verify the signature against the ADM's records of specimen signature(s).

7.3 Keying-In Withdrawal Data Into The CDS

- 7.3.1 Enter all withdrawal data using the CDS “Withdrawal Maintenance” screen. The security to be withdrawn is now earmarked and may not be used for any other purpose.

Note: If there is prior approval from Bursa Malaysia Depository to waive on the withdrawal fee, ADMs are required to click on the fee waived and enter the letter reference number. Failing to enter both the information, may result in the billing for the re-activation of the dormant account.

- 7.3.2 Ensure the “data entry by” column in FWT010 is completed by the data entry personnel.

Note: The data entry personnel must not be the same person approving the request.

- 7.3.3 If the withdrawal data is rejected by the system, verify to ensure that there is(are) no data entry error(s). If there is(are) no data entry error(s), return the FWT010 to the depositor immediately, stating the reason(s) for rejection.

- 7.3.4 Upon completion, the withdrawal reference number will be generated and displayed on the CDS terminal and at the top right hand corner of the external instrument of transfer.

- 7.3.5 Record the withdrawal reference number on the FWT010.

Note:

- (i) *All accepted withdrawal requests lodged by a depositor before 12.00pm on any market day must be keyed-in to the CDS terminal before 12.30pm on the same market day*
- (ii) *Where withdrawal requests are lodged after 12.00pm, and are not keyed-in for value the same day, these requests must be keyed-in before 12.30pm on the following market day*
- (iii) *Any data keyed-in 12.30pm and after will be considered as withdrawal requests for the next market day*
- (iv) *Amendment cut-off time for withdrawal keyed-in to the CDS terminal before 12.30pm is 3.00pm or any specific time decided by Bursa Depository.*

- 7.3.6 The ADM is to print and provide the depositor the tax invoice (Appendix 72) from the CDS in the respect of the withdrawal transaction unless the depositor indicates he does not require the same.

Note: In the event there is a request from a depositor to reprint the original tax invoice, the ADM is to reprint the tax invoice from CDS and endorse it with a rubber stamp bearing the word “COPY” on the top section of the reprinted tax invoice before forwarding it to the depositor.

7.4 Acknowledge Receipt Of Withdrawal Requests

- 7.4.1 Receive the withdrawal fee and the relevant GST amount.

- 7.4.2 Return the **Depositor copy** of the FWT010 to the depositor as acknowledgement only after the withdrawal reference number has been generated and recorded on the form.

- 7.4.3 The ADM must maintain proper records of all withdrawal fees received.

7.5 Generate And Verify Withdrawal Report

- 7.5.1 Print the **Withdrawal Report** (Appendix 60) in hardcopy or alternatively view the softcopy of this report after all withdrawals have been keyed-in for the day.
- 7.5.2 Verify the FWT010s against the Withdrawal Report in hardcopy or alternatively view the softcopy of this report in CDS.
- 7.5.3 Ensure that data has been keyed-in correctly.
- 7.5.4 Make the necessary amendments if there is(are) any discrepancy(ies) or data entry error(s).
- 7.5.5 Print the **Withdrawal Amend/Cancel Report** (Appendix 61) to determine if any amendments have been made.
- 7.5.6 Verify the report to ensure that the amendments made is(are) correct.
- 7.5.7 If cancellations have been made, print the final Withdrawal Report in duplicate.
- 7.5.8 Affix the ADM's company rubber-stamp on the final Withdrawal Report.
- 7.5.9 Ensure that the final Withdrawal Report is verified and signed by the ADM's Authorised Signatory(ies) as evidence of approval of such withdrawals.
- 7.5.10 If the ADM is unable to print the Withdrawal Report from the computer system, prepare a letter using the ADM's letterhead, addressed to Bursa Depository with the following:-
 - a. Reason for failure to print the Withdrawal Report (if due to printer failure, indicate time and name of the person(s) from Bursa Depository/Bursa IT contacted)
 - b. Securities name and securities code of all securities with an indication of quantity withdrawn for each security and certificate option
 - c. Details of withdrawals such as depositor's name, depositor's account number, withdrawal code and withdrawal reference number
 - d. Company rubber-stamp affixed and signed by the ADM's Authorised Signatory(ies).

7.6 Sorting and Packing Of Forms

- 7.6.1 Sort and pack the Bursa Depository copy of the FWT010, the relevant external instrument of transfer documents together with the final Withdrawal Report in the following order:
- a. By security in sequence of ascending securities code
 - b. Within each security, in sequence as appearing on the final Withdrawal Report.
- 7.6.2 Each package must be accompanied by the final Withdrawal Report duly verified and approved by the ADM's Authorised Signatory(ies).
- 7.6.3 Ensure that the Authorised Signatory(ies) affixed the company rubber-stamp on the final Withdrawal Report.

7.7 Submission Of Withdrawal Requests To Bursa Depository

- 7.7.1 Klang Valley ADM and ADM's branches must submit one (1) copy of the duly signed and their companies' rubber-stamps affixed on the final Withdrawal Report, external instrument of transfer and all forms to Bursa Depository before 4.00pm on withdrawal day.
- 7.7.2 ADM and ADM's branches located outside Klang Valley must submit one (1) copy of the duly signed and their companies' rubber-stamps affixed on the final Withdrawal Report, external instrument of transfer and all forms to Bursa Depository before 4.00pm on withdrawal day.
- 7.7.3 ADMs and ADM's branches located outside Klang Valley can apply for exemption of Procedure 7.7.2, by writing to Bursa Depository and enclosing the following documents:
- a. Deed of Indemnity (Appendix 44)
 - b. List of Authorised Personnel For Telephone Confirmation (Appendix 45).
- 7.7.4 Once the request for exemption of Procedure 7.7.2 is approved by Bursa Depository, the requesting ADM and ADM's branches need to adhere to the Prescribed Procedures, defined in this Section as follows:
- 7.7.4.1 For all withdrawal transactions keyed into the CDS terminal for value the same day, ADM must fax one (1) copy of the duly signed and stamped final Withdrawal Report, external instrument of transfer and all forms to Bursa Depository before 4.00pm on withdrawal day.
- 7.7.4.2 The faxed documents must be accompanied by a cover letter, containing details on the number of transactions done and the number of pages faxed, to be signed by an authorised personnel as stated in the List of Authorised Personnel For Telephone Confirmation submitted by the ADM to Bursa Depository previously.
- 7.7.4.3 Following this, confirmation via telephone must be made by the same authorised personnel who signed the cover letter with an authorised personnel at Transfer Section of Bursa Depository before 4.00pm on the same day, confirming receipt of the faxed documents.

7.7.4.4 For all withdrawal requests which have been faxed, copy of the duly signed and stamped final Withdrawal Report, external instrument of transfer and all forms must be sent to Bursa Depository before 12.30pm the following market day.

7.8 Acknowledgement Of Receipt Of Withdrawal Requests By Bursa Depository

Bursa Depository will acknowledge receipt of the ADM's withdrawal requests on the Withdrawal Report printed at Bursa Depository after 3.00pm on withdrawal day

Note: *In the event that Bursa Depository is required to acknowledge receipt of the ADM's Withdrawal Report, the acknowledgement is only for the receipt of the Withdrawal Report and not the transaction details in the supporting documents. The acknowledged Withdrawal Report printed at Bursa Depository will be forwarded to the ADM upon further checking of the transaction details in the supporting documents of the ADM's Withdrawal Report. Alternatively, the acknowledgement will be placed at the designated collection centre.*

7.9 Rejection Of Withdrawal Requests By Bursa Depository

Bursa Depository shall reject any withdrawal request that does not comply with the Rules of Bursa Depository, provisions of this chapter including the appendices and any other directives issued by Bursa Depository from time to time.

7.9.1 For withdrawal requests rejected by Bursa Depository, the ADM will receive the following:

- a. **Rejection of Withdrawal Request Letter From Bursa Depository** (Appendix 62) in duplicate
- b. Rejected FWT010
- c. Rejected external instrument of transfer (if any).

7.9.2 For Klang Valley ADM and ADM's branches, sign to acknowledge receipt of the rejected withdrawals from Bursa Depository. Return the duplicate copy of the Rejection of Withdrawal Request Letter from Bursa Depository on the same market day.

7.9.3 For ADM and ADM's branches outside Klang Valley, sign to acknowledge receipt of the rejected withdrawals. Return the duplicate copy of the Rejection of Withdrawal Request Letter from Bursa Depository by the next market day following the date of receipt of the rejection of withdrawal.

Re-submission Procedure

Where a rejected withdrawal is returned to the ADM and is rectifiable by the ADM, the ADM may rectify the error(s) and re-submit the original / new FWT010 with supporting documents (if any) to Bursa Depository with the new withdrawal reference number and a rubber-stamp bearing the ADM's name must be affixed.

7.10 ADM Returning Rejected Withdrawal Requests to The Depositor

- 7.10.1 Collect the rejected FWT010s and external instrument of transfer (if any) from Bursa Depository to be sent to the depositor(s) latest by the next market day and:
- a. Prepare a Rejection of Withdrawal Request Letter in duplicate stating the reason(s) for rejection
 - b. Attach the rejected FWT010's together with external instrument of transfer.
- 7.10.2 Obtain acknowledgement of receipt by the depositor on the second copy of the Rejection Letter.
- 7.10.3 File the acknowledgement letter together with the **Withdrawal Cancellation Report** (Appendix 63).

7.11 Inter Branch Transactions With Regards To Withdrawal Requests

Inter Branch Transactions are transactions initiated at the branch office of an ADM.

- 7.11.1 Ensure that the depositor is present in person to perform the CDS transaction request(s).
- 7.11.2 Verify the signature of the depositor on the FWT010 against the ADM's records of specimen signature(s).
- 7.11.3 Reject the request if the signature differs.
- 7.11.4 Ensure that all FWT010s are stamped with the rubber-stamp bearing the words "IBT" and the branch code where the transaction was executed. The rubber-stamp is to be stamped on the top right hand corner of each of the FWT010.
- 7.11.5 Ensure that the ADA/ADM copies of the FWT010 bearing the IBT rubber-stamp are properly filed at the ADM.

7.12 Bursa Depository Reports

7.12.1 After initiating the withdrawal transactions, print the following reports for ADM reconciliation at the beginning of the next market day:-

- a. Withdrawal Cancellation Report (Appendix 63) (Only if there was withdrawal transaction the previous market day)
- b. **Withdrawal Confirmation Report** (Appendix 64) (Optional)
- c. Participant CDS Transaction Invoice Report (Appendix 73) (Optional)

Note: The purpose of this report is to assist the ADM to reconcile the GST amount collected for all the CDS transactions initiated on previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

7.12.2 Ensure these reports stated in item 7.12.1 (a) – (b) are verified by the designated Officer(s) of the ADM. If there is (are) any discrepancy(ies), check with the Depository Division of Bursa Depository.

7.12.3 These reports detail the withdrawal requests cancelled and confirmed by Bursa Depository on the date of withdrawal.

7.13 Filing Of Documents

7.13.1 File the following documents:-

- a. ADA/ADM copy of FWT010
- b. A copy of Withdrawal Report
- c. The acknowledged Withdrawal Report printed at Bursa Depository
- d. Withdrawal Amend/Cancel Report (if applicable)
- e. Withdrawal Cancellation Report (if applicable)
- f. Withdrawal Confirmation Report (optional)
- g. Rejection Of Withdrawal Request Letter From Bursa Depository (if any).

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TRANSMISSION OF TITLE PROCESS WORKFLOW

ADM

BURSA DEPOSITORY

Transmission Of Title On:

1. Death Of Beneficial Owner

Submit:

1. Request Form
2. Supporting Documents

Process Request

NO

Rejection

Acceptance

YES

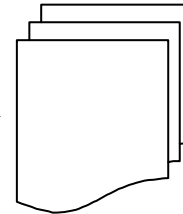
Issue:
1. Bursa Depository
Approval Letter

Initiate Transfer

Instruct ADM to transfer shares

Submit:

1. Transfer Report
2. Transfer Request Form
3. Supporting Documents



This chapter attempts to simplify and standardise the verification process at the ADM. To this end, Depository sets out the list of people, termed “acceptable witnesses”, who may perform, among others, witnessing and certification functions for the depositor / Authorised Direct Member.

Any one of these acceptable witnesses may witness / certify relevant CDS forms and supporting documents which are required by Depository. These may include:-

- a. Witnessing / certification of certain CDS forms and supporting documents, except as otherwise stated in this procedures manual**
- b. Certified translated copies of documents in a foreign language**

Where a supporting document in a foreign language has been provided, it must be accompanied with an English translated copy. Both documents, i.e. the foreign document and the English copy, must be certified by an acceptable witness prior to submission to the ADM / Depository.

Please note that the examples cited above are for illustration purposes only and are not meant to be exhaustive in nature. Depository may, from time to time, introduce new procedures which require the witnessing and certification functions of an acceptable witness.

9.1 List Of Acceptable Witnesses

9.1.1 The following are a list of acceptable witnesses who may witness/certify relevant CDS forms and supporting documents submitted by depositor / authorised signatory(ies) except as otherwise stated in this procedures manual:-

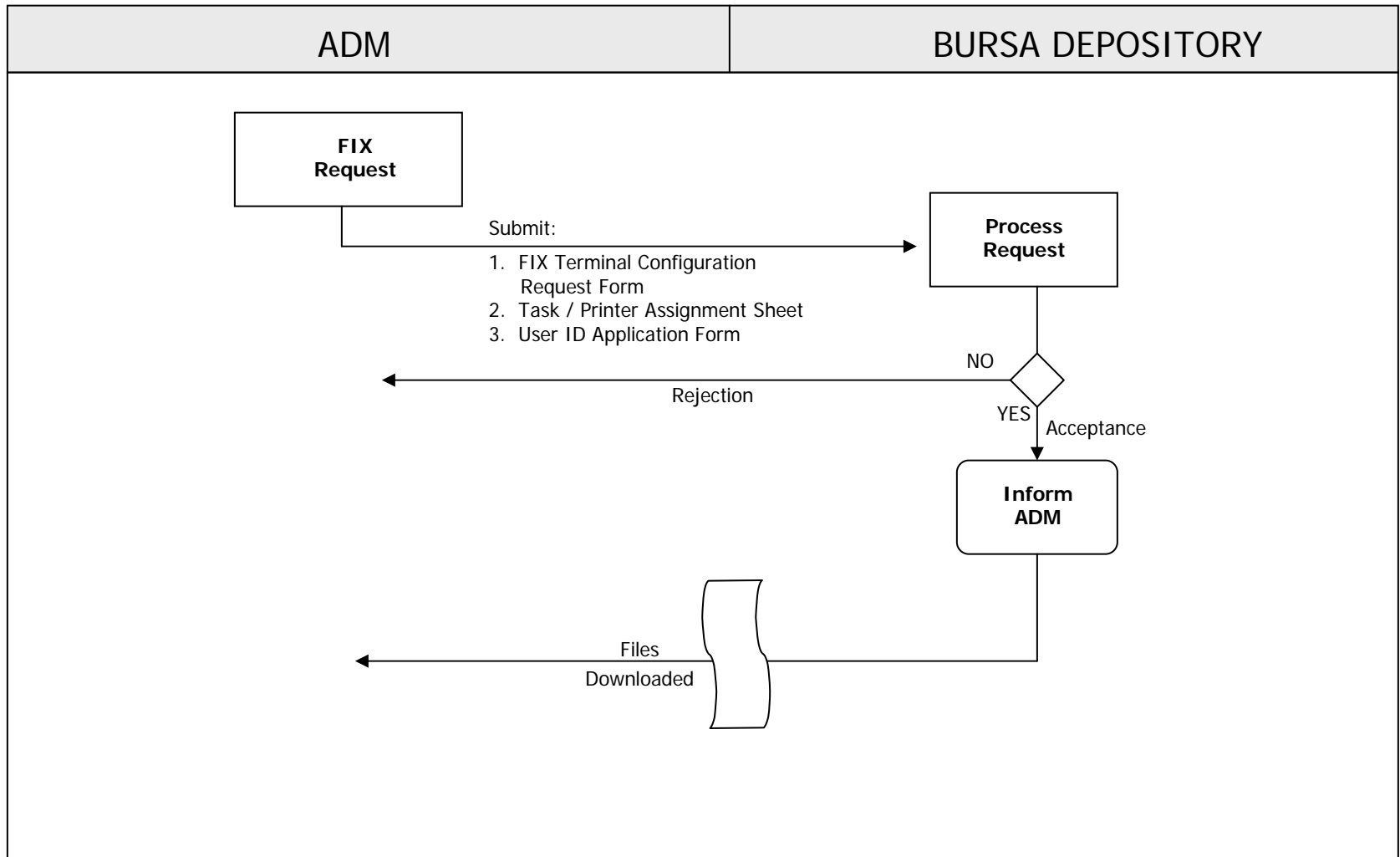
- a. Authorised officer of the ADA/ADM
- b. Individual who holds a Capital Markets Services Representative’s licence pursuant to section 59(1) of the Capital Markets and Services Act 2007 to act as a representative for dealing in securities;
- c. Authorised officer of a Malaysian Embassy / High Commission Consulate
- d. Notary Public in any jurisdiction;
- e. Lawyer in any jurisdiction who has a valid licence to practice law in that jurisdiction;

- f. In relation to a stockbroking company licenced or approved to trade on a recognised stock exchange as defined in the Rules of the Stock Exchange, any person who holds a licence held by a dealer's representative or any other person authorised by such licenced stockbroking company;
- g. Authorised officer of
 - a. a licenced bank as defined in the Financial Services Act 2013; or
 - b. an Islamic bank licenced under the Islamic Financial Services Act 2013,and with which the individual holds an account;
- h. Registered Representative registered pursuant to the Guidelines for Registered Person (Registered Representative) issued by the Securities Commission;
- i. Officer of a registered person referred to under the third column of Item 1(b) of Part 1 of Schedule 4 to the Capital Markets and Services Act 2007, who is authorised by such registered person to perform the activities referred to under the second column of the said item 1(b);
- J District Officer / Assistant District Officer
- k. Such other person as may be approved by Depository from time to time.

9.1.2 The name and designation of the witness must be stated by the person witnessing the depositor / authorised signatory(ies)' signature(s).

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FILE INFORMATION EXCHANGE (FIX) PROCESS WORKFLOW



File Information Exchange Facility, otherwise known as FIX, is a facility available upon request and is designed to provide flexibility for participants to receive data from CDS. Its aim is to provide for an easy exchange of information between Bursa Depository and its participants. Participants will now have the flexibility to use data transferred to them for their back office system and not depend on the available online reports. Only users assigned with the FIX task are allowed to operate the FIX facility.

This chapter contains procedures involved in downloading data and submission of documents to the relevant parties. This document is directed to all external users in an effort to streamline the FIX procedures. Users must comply with the procedures stated to ensure that data are received and processed correctly.

All FIX requests must be accompanied by the original request forms. Requests sent via facsimile will not be entertained.

10.1 Request For Access To File Information Exchange (FIX) Facility

- 10.1.1 To request for the FIX facility, obtain **File Information Exchange (FIX) Terminal Configuration Request Form** (Appendix 66) from the FIX Coordinator.
- 10.1.2 The FIX terminal will only be available for use at the earliest after two (2) market days upon submission of the FIX Terminal Configuration Request Form.
- 10.1.3 Submit the completed form, duly signed by the ADM's System Access Authorised Signatory(ies) with the company rubber-stamp affixed, to the FIX Coordinator.
- 10.1.4 The following completed forms are to be signed by the ADM's System Access Authorised Signatory(ies) as evidence of approval and submitted to the System Administration Unit for users to access the FIX facility:-
 - a. **Task / Printer Assignment Sheet (Group One)** (Appendix 6a)
 - b. **User ID Application Form** (Appendix 3)

***Note:** Appendix 3 is only applicable for new User ID applications. New users will only receive at least one (1) market day after submission, a **Notification Letter** (Appendix 4) containing their new User ID and initial password.*

10.1.5 Upon receipt of File Information Exchange (FIX) Terminal Configuration Request Form, the FIX Coordinator will forward the following:-

- a. FIX User's Guide – ADM Operations
- b. FIX PC Link Diskette

Note: *In addition, the FIX Technical Specification made available to the ADMs upon their appointment should be used to set up the ADM's back office system.*

10.2 Daily Information Available In FIX Facility

10.2.1 Shareholding Consolidated Transaction File (CFT002)

This file contains extraction of all CDS transactions and Institutional Settlement Services (ISS) excluding trade settlement only for accounts with transactions for a particular business date. Accounts without any transactions will not be downloaded.

10.2.2 Account Stock Balance File (CFT003)

This file contains only extraction of balances from Principal and wholly-owned Nominee account(s). Accounts having zero balances will not be provided in the file. Account balances that are not affected by any transactions on the business date are not extracted and will not be downloaded.

10.2.3 Account Status File (CFT007)

This file contains extraction of account status for Formalised Account, Bulk/Centrally Reactivated Dormant Account, Reactivated Dormant Account and Dormant Account for a particular business date.

10.2.4 Finalised Account Closure File (CFT015)

This file contains extraction of information of accounts being successfully closed or rejected close for a particular date.

10.3 Weekly Information Available In FIX Facility

10.3.1 Account Opening Fee File (CFT004)

This file contains records of the account opening fee for the week. The fee is charged during online opening or upon formalisation.

10.3.2 Deposit Fee File (CFT005)

This file contains records of the deposit fee. The fee is charged when the scrip have been given good value during the week.

10.3.3 Transfer Fee File (CFT006)

This file contains records of the transfer fees. The fee is charged upon confirmation of the transfer requests during the week.

10.3.4 Reactivation Fee File (CFT014)

This file contains records of reactivated dormant account fees. The fee is charged upon confirmation of the reactivation requests during the week.

10.4 Ad-Hoc FIX Requests

10.4.1 Request For Full Downloading Of Account Stock Balance File (CFT003)

10.4.1.1 Ad-Hoc requests for full downloading of the Account Stock Balance File is for the opening balances of the ADM's Principal and wholly-owned Nominee accounts as of a particular **future date**.

10.4.1.2 Submit the completed **CDS FIX Request Form** (Appendix 67) to the FIX Coordinator at least three (3) market days prior to date of downloading of data.

10.4.1.3 Complete the following in the CDS FIX Request Form:-

- a. ADA / ADM Code
- b. Telephone number
- c. Type of request
- d. Reason for request
- e. Media type
- f. Date required.

10.4.1.4 Ensure the "requested by" and "approved by" columns in the CDS Fix Request Form are completed and duly signed by the ADM's System Access Authorised Signatory(ies) with the company rubber-stamp affixed.

10.4.1.5 The FIX Coordinator will notify the ADM when the file is ready to be downloaded.

10.4.2 Request For Account Information File (CFT010)

10.4.2.1 This file contains information on all depositors' CDS accounts still opened and maintained at a particular ADA / ADM. These are:-

- a. Depositor's CDS account number

- b. NRIC No. / Passport No. / Reg. No.
- c. Name of depositor
- d. Account qualifier
- e. Correspondence address
- f. Date account opened.

10.4.2.2 Submit the completed CDS FIX Request Form to the FIX Coordinator.

10.4.2.3 Complete the following in the CDS FIX Request Form:-

- a. ADA / ADM Code
- b. Telephone number
- c. Type of request
- d. Reason for request
- e. Media type
- f. Date required (backdated).

10.4.2.4 Ensure the “requested by” and “approved by” columns in the CDS Fix Request Form are completed and duly signed by the ADM’s System Access Authorised Signatory(ies) with the company rubber-stamp affixed.

10.4.2.5 This request will take at least fourteen (14) market days from the date of submission to Bursa Depository to complete.

10.4.2.6 This request is only available in diskette form.

10.4.2.7 The FIX Coordinator will forward the diskettes to the ADM when the process is completed.

10.4.3 Request For Dormant Account Information File (CFT011)

10.4.3.1 This file contains information on all depositors' dormant accounts maintained at a particular ADA/ADM. These are:-

- a. Depositor's CDS account number
- b. NRIC No. / Passport No. / Reg. No.
- c. Name of depositor
- d. Account qualifier
- e. Correspondence address
- f. Date account dormant

10.4.3.2 Submit the completed CDS FIX Request Form to the FIX Coordinator.

10.4.3.3 Complete the following in the CDS FIX Request Form:-

- a. ADA / ADM Code
- b. Telephone number
- c. Type of request
- d. Reason for request
- e. Media type
- f. Date required (backdated).

10.4.3.4 Ensure the "requested by" and "approved by" columns in the CDS Fix Request Form are completed and duly signed by the ADM's System Access Authorised Signatory(ies) with the company rubber-stamp affixed.

10.4.3.5 This request will take at least fourteen (14) market days from the date of submission to Bursa Depository to complete.

10.4.3.6 This request is only available in diskette form.

10.4.3.7 The FIX Coordinator will forward the diskettes to the ADM when the process is completed.

10.4.4 Request For Backdated Data Files & Reports

10.4.4.1 Requests for backdated files for Sections 10.2.1 to 10.2.4 are only available for a period of not more than one (1) month from the current date.

10.4.4.2 Requests for backdated data files and reports for Sections 10.3.1 to 10.3.4 are only available for a period of not more than one (1) week from the current date.

10.4.4.3 For backdated requests, submit the completed CDS FIX Request Form to the FIX Coordinator.

10.4.4.4 Complete the following in the CDS FIX Request Form:-

- a. ADA / ADM Code
- b. Telephone number
- c. Type of request
- d. Reason for request
- e. Media type
- f. Date required (backdated).

10.4.4.5 Request Form is completed and duly signed by the ADM's System Access Authorised Signatory(ies) with the company rubber-stamp affixed.

10.4.4.6 The FIX Coordinator will notify the ADM when the request is completed.

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ELECTRONIC DIVIDEND PROCESS WORKFLOW

