

**AMENDMENTS TO THE DIRECTIVES OF BURSA MALAYSIA SECURITIES BERHAD (“BMS DIRECTIVES”)  
 IN RELATION TO THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES, AND  
 FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013 AND OTHER CHANGES FOR CLARIFICATION**

(a) Directives on Exercise of Powers of the Exchange to require Supply of Reports, Information, Documents, Books and Records (No. 2.01(2)-002)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 1 below.		Please refer to Annexure 1 below.

(b) Directives on Submission of Statistical Reports of Investor Trading on the Exchange (No. 2.01(2)-003)

PARA GRAPH	CURRENT PROVISION			PARA GRAPH	AMENDED PROVISIONS		
Schedule 1	<u>Guidelines on Categories of Investors Trading on Bursa Malaysia Securities Berhad</u>			Schedule 1	<u>Guidelines on Categories of Investors Trading on Bursa Malaysia Securities Berhad</u>		
	No.	Investor Categories	Description		No.	Investor Categories	Description
	3	Institution	refers to trades conducted for an account belonging to a -legal entity as listed below: <ol style="list-style-type: none"> <li>1. Bank/Finance Company</li> <li>2. Investment Trust/Foundation</li> <li>3. Investment Banks</li> <li>4. Insurance Companies</li> <li>5. Venture Capital Companies</li> <li>6. Corporate Advisory/Investment Advisory</li> <li>7. Clubs/Associations/Societies</li> <li>8. Cooperatives</li> </ol>		3	Institution	refers to trades conducted for an account belonging to a -legal entity as listed below: <ol style="list-style-type: none"> <li>1. Bank/<del>Finance Company</del></li> <li>2. Investment Trust/Foundation</li> <li>3. Investment Banks</li> <li>4. Insurance Companies</li> <li>5. Venture Capital Companies</li> <li>6. Corporate Advisory/Investment Advisory</li> <li>7. Clubs/Associations/Societies</li> <li>8. Cooperatives</li> </ol>

**APPENDIX 2**  
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			<p>9. Private Limited Company (Sdn. Bhd./Pte. Ltd.)</p> <p>10. Limited Company (Bhd./Ltd.)</p> <p style="padding-left: 20px;">a) Trading</p> <p style="padding-left: 20px;">b) Share Buy Back</p> <p>11. Asset/Fund Management Companies</p> <p>12. Discount Houses</p> <p style="padding-left: 20px;">a) Sdn. Bhd. or Pte. Ltd.</p> <p style="padding-left: 20px;">b) Bhd. or Ltd.</p> <p>13. Clearing Houses</p> <p style="padding-left: 20px;">a) Sdn. Bhd. or Pte. Ltd.</p> <p style="padding-left: 20px;">b) Bhd. or Ltd.</p> <p>14. Foreign Broking house as the principal account owner with a Local Broking House</p> <p>15. Government Agencies</p>				<p>9. Private Limited Company (Sdn. Bhd./Pte. Ltd.)</p> <p>10. Limited Company (Bhd./Ltd.)</p> <p style="padding-left: 20px;">a) Trading</p> <p style="padding-left: 20px;">b) Share Buy Back</p> <p>11. Asset/Fund Management Companies</p> <p>12. Discount Houses</p> <p style="padding-left: 20px;">a) Sdn. Bhd. or Pte. Ltd.</p> <p style="padding-left: 20px;">b) Bhd. or Ltd.</p> <p>13. Clearing Houses</p> <p style="padding-left: 20px;">a) Sdn. Bhd. or Pte. Ltd.</p> <p style="padding-left: 20px;">b) Bhd. or Ltd.</p> <p>14. Foreign Broking house as the principal account owner with a Local Broking House</p> <p>15. Government Agencies</p>
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**(c) Directives on Submission of Periodic Reports (No. 2.01(2)-004)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
Appendix 2a	<p style="text-align: center;"><b>SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON GEARING RATIO AND SHAREHOLDERS' FUNDS (Monthly Submission)</b></p> <p><b>Note 1 - Reference extracted from Investment Bank Guidelines</b>                      5.0 Minimum capital requirement as stipulated in the IB Guidelines                      5.1 Pursuant to Section 14 of BAFIA, investment banks that are part of banking groups will be required to comply with the minimum capital funds unimpaired by losses requirement of RM2 billion on a banking group basis, while investment banks that are not part of banking groups will be required to comply with a minimum capital funds requirement of RM500 million.</p>	Appendix 2a	<p style="text-align: center;"><b>SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON GEARING RATIO AND SHAREHOLDERS' FUNDS (Monthly Submission)</b></p> <p><b>Note 1 - Reference extracted from Investment Bank Guidelines</b>                      5.0 Minimum capital requirement as stipulated in the IB Guidelines                      5.1 Pursuant to <u>paragraph 5.1 of the Guidelines on Investment Banks-Section 14 of BAFIA</u>, investment banks that are part of banking groups will be required to comply with the minimum capital funds unimpaired by losses requirement of RM2 billion on a banking group basis, while investment banks that are not part of banking groups will be required to comply with a minimum capital funds requirement of RM500 million.</p>

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Appendix 3a	SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS <i>(Quarterly Submission)</i>	Appendix 3a	SUBMISSION TO BURSA MALAYSIA SECURITIES BERHAD ON PROFIT & LOSS STATEMENT OF PARTICIPATING ORGANISATIONS <i>(Quarterly Submission)</i>																																																											
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Gross brokerage for derivatives</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> </tr> <tr> <td>Less : Commission/ incentives/ salary/ bonus to futures broker's representatives</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> <tr> <td>Net brokerage for derivatives</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> </table>	Gross brokerage for derivatives	0.00	0.00	0.00	0.00	0.00	Less : Commission/ incentives/ salary/ bonus to futures broker's representatives							0.00	0.00	0.00	0.00	0.00	Net brokerage for derivatives							0.00	0.00	0.00	0.00	0.00	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Gross brokerage for derivatives</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> <td style="width: 10%;">0.00</td> </tr> <tr> <td>Less : Commission/ incentives/ salary/ bonus to <del>futures broker's</del> <del>representatives</del> <u>Registered</u> <u>Representatives</u></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> <tr> <td>Net brokerage for derivatives</td> <td></td> <td></td> <td></td> <td>0.00</td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td></td> <td>0.00</td> </tr> </table>	Gross brokerage for derivatives	0.00	0.00	0.00	0.00	0.00	Less : Commission/ incentives/ salary/ bonus to <del>futures broker's</del> <del>representatives</del> <u>Registered</u> <u>Representatives</u>							0.00	0.00	0.00	0.00	0.00	Net brokerage for derivatives				0.00			0.00	0.00	0.00		0.00
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(d) Directives on Readiness Audit - Self Assessment Approach, Declaratory Approach and Green Lane (No. 2.01(2)-006)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
2(1)	<p><b>Circumstances in which a readiness audit is required to be undertaken by a Participating Organisation</b></p> <p>(1) An applicant wishing to commence new activities requiring the approval of the Securities Commission (“Commission”) and the Exchange must first undertake a readiness audit in accordance with these Directives. These activities are:</p>	2(1)	<p><b>Circumstances in which a readiness audit is required to be undertaken by a Participating Organisation</b></p> <p>(1) An applicant wishing to commence new activities requiring the approval of the <del>Securities</del> Commission (<del>“Commission”</del>) and the Exchange must first undertake a readiness audit in accordance with these Directives. These activities are:</p>

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<p>Appendix 1, item 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%; padding: 5px;"> <b>DIRECTIVES ON READINESS AUDIT - SELF ASSESSMENT APPROACH, DECLARATORY APPROACH AND GREEN LANE</b> </td> <td style="width: 20%; padding: 5px; text-align: center;"> <b>No. 2.01(2)-006</b> </td> </tr> </table> <p style="text-align: center;"><b>Appendix 1</b></p> <p><b>SAA PROCEDURES ON SUBMISSION AND REVIEW OF APPLICATIONS FROM PARTICIPATING ORGANISATIONS ON NEW ACTIVITIES</b></p> <p><b>1. Procedures For Submission and Approval in respect of SAA</b></p> <p>(1) The Participating Organisation intending to commence an activity is required to formally inform the Exchange in writing setting out the type of activity for which the approval is required.</p>	<b>DIRECTIVES ON READINESS AUDIT - SELF ASSESSMENT APPROACH, DECLARATORY APPROACH AND GREEN LANE</b>	<b>No. 2.01(2)-006</b>	<p>Appendix 1, item 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%; padding: 5px;"> <b>DIRECTIVES ON READINESS AUDIT - SELF ASSESSMENT APPROACH, DECLARATORY APPROACH AND GREEN LANE</b> </td> <td style="width: 20%; padding: 5px; text-align: center;"> <b>No. 2.01(2)-006</b> </td> </tr> </table> <p style="text-align: center;"><b>Appendix 1</b></p> <p><b>SAA PROCEDURES ON SUBMISSION AND REVIEW OF APPLICATIONS FROM PARTICIPATING ORGANISATIONS ON NEW ACTIVITIES</b></p> <p><b>1. Procedures For Submission and Approval in respect of SAA</b></p> <p>(1) The Participating Organisation intending to commence an activity is required to formally inform the Exchange <del>in writing</del> setting out the type of activity for which the approval is required.</p>	<b>DIRECTIVES ON READINESS AUDIT - SELF ASSESSMENT APPROACH, DECLARATORY APPROACH AND GREEN LANE</b>	<b>No. 2.01(2)-006</b>
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<b>DIRECTIVES ON READINESS AUDIT - SELF ASSESSMENT APPROACH, DECLARATORY APPROACH AND GREEN LANE</b>	<b>No. 2.01(2)-006</b>						
<p>Appendix 3, item 1</p>	<p style="text-align: center;"><b>Appendix 3</b></p> <p><b>DA PROCEDURES ON SUBMISSION AND REVIEW OF APPLICATIONS FROM PARTICIPATING ORGANISATIONS ON NEW ACTIVITIES</b></p> <p><b>1.</b> The Participating Organisation intending to commence an activity is required to formally inform the Exchange in writing setting out the type of activity for which the approval is required.</p>	<p>Appendix 3, item 1</p>	<p style="text-align: center;"><b>Appendix 3</b></p> <p><b>DA PROCEDURES ON SUBMISSION AND REVIEW OF APPLICATIONS FROM PARTICIPATING ORGANISATIONS ON NEW ACTIVITIES</b></p> <p><b>1.</b> The Participating Organisation intending to commence an activity is required to formally inform the Exchange <del>in writing</del> setting out the type of activity for which the approval is required.</p>				

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(e) Directives on the Powers of the Exchange and the Circumstances When the Exchange May Take Action under Rule 3.54 (No. 3.54-001)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1	<p><b>DIRECTIVES ON THE POWERS OF THE EXCHANGE AND THE CIRCUMSTANCES WHEN THE EXCHANGE MAY TAKE ACTION UNDER RULE 3.54</b></p> <p style="text-align: right;">No. 3.54-001</p> <p>Relevant to : Rule 3.54            Introduced with effect from : 2 May 2013            Amended : N/A            POs' Circular No(s). : N/A            Refer also to Directive No(s). : N/A</p> <p><b>Definition</b></p> <p>The term "Participant" means a Participating Organisation or Registered Person or both, unless the context requires otherwise.</p>	1	<p><b>DIRECTIVES ON THE POWERS OF THE EXCHANGE AND THE CIRCUMSTANCES WHEN THE EXCHANGE MAY TAKE ACTION UNDER RULE <u>3.542.07</u></b></p> <p style="text-align: right;">No. <u>3.542.07-001</u></p> <p>Relevant to : Rule <u>3.542.07</u>            Introduced with effect from : 2 May 2013            Amended : N/A            POs' Circular No(s). : N/A            Refer also to Directive No(s). : N/A</p> <p><b>Definition</b></p> <p>The term "Participant" means a Participating Organisation or Registered Person or both, unless the context requires otherwise.</p>
2	<p><b>Rule 3.54</b></p> <p>This Rule empowers the Exchange to take such action summarily as the Exchange thinks fit against a Participating Organisation or Registered Person to protect the interests of Clients, the public or the Exchange if the Exchange is of the opinion that:</p> <p>(a) the manner in which the Participating Organisation or Registered Person conducts the Participating Organisation's business is or is likely to be detrimental to Clients, the public or the Exchange;</p>	2	<p><b>Rule <u>3.542.07</u></b></p> <p>This Rule empowers the Exchange to take such action summarily as the Exchange thinks fit against a Participating Organisation or Registered Person to protect the interests of Clients, the public or the Exchange if the Exchange is of the opinion that:</p> <p>(a) the manner in which the Participating Organisation or Registered Person conducts the Participating Organisation's business is or is likely to be detrimental to Clients, the public or the Exchange;</p>

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	<p>(b) the Participating Organisation or Registered Person has committed an act or omission that is or is likely to be detrimental to Clients, the public or the Exchange;</p> <p>(c) the financial position or reputation of the Participating Organisation or Registered Person(s) has a detrimental effect or is likely to be detrimental to Clients, the public or the Exchange.</p> <p>The circumstances when the Exchange may take action against a Participant under Rule 3.54 include what have been set out below.</p>		<p>(b) the Participating Organisation or Registered Person has committed an act or omission that is or is likely to be detrimental to Clients, the public or the Exchange;</p> <p>(c) the financial position or reputation of the Participating Organisation or Registered Person(s) has a detrimental effect or is likely to be detrimental to Clients, the public or the Exchange.</p> <p>The circumstances when the Exchange may take action against a Participant under Rule <del>3.54</del><u>2.07</u> include what have been set out below.</p>
<b>2.1(1)</b>	<b>Circumstances and actions</b>	<b>2.1(1)</b>	<b>Circumstances and actions</b>
	<p>(1) If any of the following circumstances arise in relation to a Participant, the Exchange may take any one or more of the actions referred to in Paragraph 2.1(2) against that Participant:</p>		<p>(1) <del>If any of the following</del><u>The</u> circumstances <del>arise in relation to a Participant, when</del> the Exchange may take <del>any one or more of the</del> actions <del>against a Participant referred to in Paragraph 2.1(2) against that Participant under Rule 2.07</del> include the following:</p>

**(f) Directives on Disclosure of Information on Volume and Value of Securities Traded (including Direct Business Transactions) by Participating Organisations or Market Makers (No. ~~2.01~~2(2)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS				
	<table border="1" style="width: 100%;"> <tr> <td style="width: 80%;"> <b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b> </td> <td style="width: 20%; text-align: center;"> <b>No. <del>2.01</del>(2)-001</b> </td> </tr> </table>	<b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b>	<b>No. <del>2.01</del>(2)-001</b>		<table border="1" style="width: 100%;"> <tr> <td style="width: 80%;"> <b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b> </td> <td style="width: 20%; text-align: center;"> <b>No. <del>2.01</del><u>2</u>(2)-001</b> </td> </tr> </table>	<b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b>	<b>No. <del>2.01</del><u>2</u>(2)-001</b>
<b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b>	<b>No. <del>2.01</del>(2)-001</b>						
<b>DIRECTIVES ON DISCLOSURE OF INFORMATION ON VOLUME AND VALUE OF SECURITIES TRADED (INCLUDING DIRECT BUSINESS TRANSACTIONS) BY PARTICIPATING ORGANISATIONS OR MARKET MAKERS</b>	<b>No. <del>2.01</del><u>2</u>(2)-001</b>						

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<b>1(1)</b>	<p>Relevant to : Rule 2.01(2)(g)          Introduced with effect from : 2 May 2013          Amended : N/A          POs' Circular No(s). : R/R 4 of 2006          Refer also to Directive No(s). : N/A</p> <p><b>Rule 2.01(2)(g)</b></p> <p>(1) Rule 2.01(2)(g) empowers the Exchange to disclose the following information to the Participating Organisations or any other persons as the Exchange considers fit:</p> <p style="margin-left: 20px;">(i) without identifying the Client of the Participating Organisation to whom the information relates, the volume or value of On-Market Transactions and Direct Business Transactions transacted by all or any or each of the Participating Organisations or Market Maker(s); and</p> <p style="margin-left: 20px;">(ii) any action taken against a Participating Organisation or Registered Person by the Exchange under these Rules.</p>	<b>1(1)</b>	<p>Relevant to : Rule 2.<del>01</del><u>12</u>(2)(g)          Introduced with effect from : 2 May 2013          Amended : N/A          POs' Circular No(s). : R/R 4 of 2006          Refer also to Directive No(s). : N/A</p> <p><b>Rule 2.<del>01</del><u>12</u>(2)(g)</b></p> <p>(1) Rule 2.<del>01</del><u>12</u>(2)(g) empowers the Exchange to disclose the following information to the Participating Organisations or any other persons as the Exchange considers fit:</p> <p style="margin-left: 20px;">(i) without identifying the Client of the Participating Organisation to whom the information relates, the volume or value of On-Market Transactions and Direct Business Transactions transacted by all or any or each of the Participating Organisations or Market Maker(s); and</p> <p style="margin-left: 20px;">(ii) any action taken against a Participating Organisation or Registered Person by the Exchange under these Rules.</p>
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**(g) Directives on Applications to the Exchange and Fees pursuant to Chapter 3 of the Rules (No. 3-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 2 below.		Please refer to Annexure 2 below.

(h) Directives for Head of Compliance (No. 3.36-001)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1(1)	<p><b>Rule 3.36</b></p> <p>(1) Rule 3.36 provides that throughout the term of the Head of Compliance's registration, the Head of Compliance must:</p> <p>(a) continuously satisfy the qualification criteria stated in Rule 3.35; and</p> <p>(b) be responsible for the following compliance functions:</p> <p>(i) to supervise and direct overall compliance with these Rules, the Directives and the Securities Laws by the Participating Organisation and the Participating Organisation's Registered Person, employees and agents and in this respect, to carry out proper checks and reviews to monitor and ensure overall compliance; and</p> <p>(ii) to advise and guide the Participating Organisation and the Participating Organisation's Registered Person, employees and agents on requirements of these Rules, the Directives and the Securities Laws that the Participating Organisation and the Participating Organisation's Registered Person, employees and agents need to comply with in the conduct of the Participating Organisation's business.</p>	1(1)	<p><b>Rule 3.36<b>(b)</b></b></p> <p>(1) Rule 3.36<b>(b)</b> provides that throughout the term of the Head of Compliance's registration, the Head of Compliance must:</p> <p><del>(a) continuously satisfy the qualification criteria stated in Rule 3.35; and</del></p> <p><del>(b) be responsible for the following compliance functions:</del></p> <p><del>(i) to supervise and direct overall compliance with these Rules, the Directives and the Securities Laws by the Participating Organisation and the Participating Organisation's Registered Person, employees and agents and in this respect, to carry out proper checks and reviews to monitor and ensure overall compliance by; and</del></p> <p><del>(ii) to advise and guide the Participating Organisation and the Participating Organisation's Registered Person, employees and agents on requirements of these Rules, the Directives and the Securities Laws that the Participating Organisation and the Participating Organisation's Registered Person, employees and agents need to comply with in the conduct of the Participating Organisation's business.</del></p>



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<b>Appendix 1</b>	<b>1. <u>Introduction</u></b>  <i>This set of guidelines is no way exhaustive and the Exchange may from time to time, upon consultation with the Securities Commission, amend these guidelines or prescribe further guidelines.</i>	<b>Appendix 1</b>	<b>1. <u>Introduction</u></b>  <i>This set of guidelines is no way exhaustive and the Exchange may from time to time, upon consultation with the <del>Securities</del> Commission, amend these guidelines or prescribe further guidelines.</i>
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**(i) Directives on Monthly Compliance Report (No. 3.39(5)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 3 below.		Please refer to Annexure 3 below.

**(j) Directives in relation to Market Making and Specified Securities (No. 4-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
3.1	<b>Application Form and Undertaking</b>  An applicant for Market Maker must submit the application form together with the undertaking to comply with these Rules and Directives, as contained in Appendix 2 of this Directive	3.1	<b>Application Form and Undertaking</b>  An applicant for Market Maker must <u>complete and</u> submit <u>to the Exchange, an</u> <del>the</del> application form together with <u>a duly executed the</u> undertaking to comply with these Rules and Directives, <del>as contained in Appendix 2 of this Directive in accordance with the requirements relating to admission of a Market Maker as set out in the Admission Guidelines.</del>

**(k) Directives on Conduct of Business (No. 5-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
9.1(3)(h)	<p><b>Authentication of account opening application for individual Client</b></p> <p>(3) Pursuant to paragraph 9.1(2)(b)(i), the Client's identity and the authenticity of the application must be verified by any of the following persons ("Acceptable Witnesses"):</p> <p>(h) an authorised officer of:</p> <p style="padding-left: 40px;">(i) a licensed bank as defined under BAFIA; or</p> <p style="padding-left: 40px;">(ii) an Islamic bank as licensed under the Islamic Banking Act 1983,</p> <p style="padding-left: 40px;">and with which the Client holds an account;</p>	9.1(3)(h)	<p><b>Authentication of account opening application for individual Client</b></p> <p>(3) Pursuant to paragraph 9.1(2)(b)(i), the Client's identity and the authenticity of the application must be verified by any of the following persons ("Acceptable Witnesses"):</p> <p>(h) an authorised officer of:</p> <p style="padding-left: 40px;">(i) a licensed bank <del>as defined</del> under <u>the BAFIAFSA</u>; or</p> <p style="padding-left: 40px;">(ii) <del>ana licensed</del> Islamic bank <del>as licensed defined</del> under the Islamic <u>Financial Services Act 2013-Banking Act 1983</u>,</p> <p style="padding-left: 40px;">and with which the Client holds an account;</p>
9.1(4)	<p>(4) In conducting a Non Face-to-face Verification, a Participating Organisation must verify the Client's identity and the authenticity of the application through 1 or more of the following methods:</p> <p>(a) obtain confirmation of the Client's identity from an independent source, for example, by contacting the human resources department of the Client's employer on a listed business number to confirm his employment;</p> <p>(b) receive and encash a personal cheque of the Client for an amount of not less than RM100, where the name appearing on the cheque and the signature of the Client on the cheque must match the name and signature of the Client in the account opening application form;</p>	9.1(4)	<p>(4) In conducting a Non Face-to-face Verification, a Participating Organisation must verify the Client's identity and the authenticity of the application through 1 or more of the following methods:</p> <p>(a) obtain confirmation of the Client's identity from an independent source, for example, by contacting the human resources department of the Client's employer on a listed business number to confirm his employment;</p> <p>(b) receive and encash a personal cheque of the Client for an amount of not less than RM100, where the name appearing on the cheque and the signature of the Client on the cheque must match the name and signature of the Client in the account opening application form;</p>

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	<p>(c) initiate contact with the Client through video conference or a video recording of the Client;</p> <p>(d) obtain confirmation of the Client's identity and relevant details of the Client from another entity within the Participating Organisation's Group which is a reporting institution under the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 and has previously verified the Client's identity in accordance with such entity's standard operating procedures and ensure that the details of the Client obtained from such other entity match the information in the Client's account opening application form;</p> <p>(e) request the Client to make a nominal payment to the Participating Organisation from his own account with a licensed bank under the Financial Services Act 2013 or licensed Islamic bank under the Islamic Financial Services Act 2013 or the Participating Organisation transfers a nominal sum into the Client's account; or</p> <p>(f) use any other technology solution to verify the identity of a Client including, but not limited to, biometric technologies, which is able to verify the Client's identity effectively.</p>		<p>(c) initiate contact with the Client through video conference or a video recording of the Client;</p> <p>(d) obtain confirmation of the Client's identity and relevant details of the Client from another entity within the Participating Organisation's Group which is a reporting institution under the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 and has previously verified the Client's identity in accordance with such entity's standard operating procedures and ensure that the details of the Client obtained from such other entity match the information in the Client's account opening application form;</p> <p>(e) request the Client to make a nominal payment to the Participating Organisation from his own account with a licensed bank under the <del>Financial Services Act 2013</del> <b>FSA</b> or licensed Islamic bank under the Islamic Financial Services Act 2013 or the Participating Organisation transfers a nominal sum into the Client's account; or</p> <p>(f) use any other technology solution to verify the identity of a Client including, but not limited to, biometric technologies, which is able to verify the Client's identity effectively.</p>
<b>13.1(1)</b>	<p><b>Client's assets</b></p> <p>(1) A Participating Organisation must open or maintain at least 1 trust account with a licensed institution as defined in the BAFIA.</p>	<b>13.1(1)</b>	<p><b>Client's assets</b></p> <p>(1) A Participating Organisation must open or maintain at least 1 trust account with a licensed <del>institution as defined in the BAFIA</del> <b>bank or licensed investment bank under the FSA.</b></p>
<b>13.1(7)</b>	<p>(7) The trust account maintained with licensed institutions must be formally designated as "Clients' Trust Account" and duly approved by way of a Board of Director's resolution.</p>	<b>13.1(7)</b>	<p>(7) The trust account maintained with <del>licensed institutions</del> <b>the licensed bank or licensed investment bank under the FSA</b> must be formally designated as "Clients' Trust Account" and duly approved by way of a Board of Director's resolution.</p>

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<b>16.1</b>	<b>Notification of insurance policy</b>  The Participating Organisation must notify the Exchange in writing of the insurance policy being in place on an annual basis, no later than 31 January of each calendar year.	<b>16.1</b>	<b>Notification of insurance policy</b>  The Participating Organisation must notify the Exchange <del>in writing</del> of the insurance policy being in place on an annual basis, no later than 31 January of each calendar year.
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**(l) Directives on Opening Client Account (No. 5.15-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
<b>1.1(4)(e)</b>	<b>1.1 Requirements in opening a Client account</b>  (4) A Participating Organisation need not require from the corporation, an application form for opening account with the Participating Organisation, in relation to the following categories of corporate Clients:  (e) a person authorized as an operator of a designated payment system, a registered person or a licensed institution under the Financial Services Act 2013 or the Islamic Financial Services Act 2013;	<b>1.1(4)(e)</b>	<b>1.1 Requirements in opening a Client account</b>  (4) A Participating Organisation need not require from the corporation, an application form for opening account with the Participating Organisation, in relation to the following categories of corporate Clients:  (e) a person authorized as an operator of a designated payment system, a registered person or a licensed <del>institution</del> <u>bank, licensed investment bank or an approved money-broker</u> under the <del>Financial Services Act 2013</del> <u>FSA</u> or <u>a licensed Islamic bank under</u> the Islamic Financial Services Act 2013;

**(m) Directives on Compliance Functions of Participating Organisation (No. 6.07(1)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
<b>1.1</b>	<b>Compliance Functions for Dealing in Derivatives</b>  (1) If a Participating Organisation wants to undertake compliance functions for dealing in derivatives conducted at the Participating Organisation's Principal Office or Branch Office	<b>1.1</b>	<b>Compliance Functions for Dealing in Derivatives</b>  (1) If a Participating Organisation wants to undertake compliance functions for dealing in derivatives conducted at the Participating Organisation's Principal Office or

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<p>by its Related Corporation, the Participating Organisation must ensure that:</p> <p>(a) the carrying out of the compliance functions for the Participating Organisation's business in dealing in securities is not compromised or affected; and</p> <p>(b) all compliance reports pertaining to dealing in derivatives is submitted to the compliance officer of the Futures Broker.</p> <p>(2) The compliance officer of the Futures Broker and the Futures Broker are ultimately responsible for the compliance functions in relation to dealing in derivatives.</p>	<p>Branch Office by its Related Corporation, the Participating Organisation must ensure that:</p> <p>(a) the carrying out of the compliance functions for the Participating Organisation's business in dealing in securities is not compromised or affected; and</p> <p>(b) all compliance reports pertaining to dealing in derivatives is submitted to the compliance officer of the <u>Trading Participant</u><del>Futures Broker</del>.</p> <p>(2) The compliance officer of the <u>Trading Participant</u> <del>Futures Broker</del> and the <del>Futures Broker</del> <u>Trading Participant</u> are ultimately responsible for the compliance functions in relation to dealing in derivatives.</p>
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**(n) Directives on the Responsibility of the Participating Organisation and Board of Directors for Compliance Function (No. 6.08-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1(2)	<p><b>Rules 6.08 and 3.37(1)</b></p> <p>(2) Rule 3.37(1) provides that the Head of Compliance must report directly to the Board of Directors of the Participating Organisation.</p>	1(2)	<p><b>Rules 6.08 and <del>3.37(1)</del></b></p> <p><del>(2) Rule 3.37(1) provides that the Head of Compliance must report directly to the Board of Directors of the Participating Organisation.</del></p>
1(3)	<p>(3) Pursuant to the above rules, in discharging these obligations, a Participating Organisation and its Board of Directors must, amongst others, comply with the requirements set out in the Directives on the Responsibility of the Participating Organisation and Board of Directors for Compliance Function contained in Appendix 1 of this Directive.</p>	1 <del>(3)</del> (2)	<p><del>(2) (3)</del> Pursuant to the above rules, in discharging these obligations, a Participating Organisation and its Board of Directors must, amongst others, comply with the requirements set out in the Directives on the Responsibility of the Participating Organisation and Board of Directors for Compliance Function contained in Appendix 1 of this Directive.</p>

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**(o) Directives in relation to the Purchase of Islamic Exchange-Traded Fund (“Islamic ETF”) based on Gold and Silver (No. 7.02(1)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1(1)	<p><b>Introduction</b></p> <p>(1) Paragraphs 4.05 and 4.06 of the Shariah Parameters on Islamic Exchange-Traded Fund Based on Gold and Silver issued by the Securities Commission on 7 October 2014 (“the Shariah Parameters”), state that –</p>	1(1)	<p><b>Introduction</b></p> <p>(1) Paragraphs 4.05 and 4.06 of the Shariah Parameters on Islamic Exchange-Traded Fund Based on Gold and Silver issued by the <del>Securities</del> Commission on 7 October 2014 (“the Shariah Parameters”), state that –</p>
1(3)	<p><b>Introduction</b></p> <p>(3) The Shariah Parameters is available on the Securities Commission’s website at: <a href="https://www.sc.com.my/wpcontent/uploads/eng/html/icm/Shariah_Parameters_7October14.pdf">https://www.sc.com.my/wpcontent/uploads/eng/html/icm/Shariah_Parameters_7October14.pdf</a></p>	1(3)	<p><b>Introduction</b></p> <p>(3) The Shariah Parameters is available on the <del>Securities</del> Commission’s website at: <a href="https://www.sc.com.my/wpcontent/uploads/eng/html/icm/Shariah_Parameters_7October14.pdf">https://www.sc.com.my/wpcontent/uploads/eng/html/icm/Shariah_Parameters_7October14.pdf</a></p>
2(4)	<p><b>Rule 7.02(1)(d), Rule 9.09(2) and Rule 10.03(5)</b></p> <p>(4) In discharging the obligations in the above Rules in relation to a purchase of Islamic ETF based on gold or silver, instead of the day and time stipulated in Schedules 2 and 3 respectively for payment by the buying Client, a Participating Organisation must ensure that either –</p> <p style="padding-left: 40px;">(a) the buying Client makes payment via cash upfront; or</p> <p style="padding-left: 40px;">(b) the buying Client relies on margin financing to purchase the Islamic ETF based on gold or silver where the margin facility is provided by:</p> <p style="padding-left: 80px;">(i) the Participating Organisation;</p> <p style="padding-left: 80px;">(ii) licensed bank or licensed investment bank under the Financial Services Act 2013; or</p>	2(4)	<p><b>Rule 7.02(1)(d), Rule 9.09(2) and Rule 10.03(5)</b></p> <p>(4) In discharging the obligations in the above Rules in relation to a purchase of Islamic ETF based on gold or silver, instead of the day and time stipulated in Schedules 2 and 3 respectively for payment by the buying Client, a Participating Organisation must ensure that either –</p> <p style="padding-left: 40px;">(a) the buying Client makes payment via cash upfront; or</p> <p style="padding-left: 40px;">(b) the buying Client relies on margin financing to purchase the Islamic ETF based on gold or silver where the margin facility is provided by:</p> <p style="padding-left: 80px;">(i) the Participating Organisation;</p>

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	(iii) licensed Islamic bank under the Islamic Financial Services Act 2013.		(ii) licensed bank or licensed investment bank under the <del>Financial Services Act 2013</del> <u>FSA</u> ; or  (iii) licensed Islamic bank under the Islamic Financial Services Act 2013.
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**(p) Directives on Valuation of Collateral and Equity Margin (No. 7.30-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1.1(5)	<b>1.1 Collateral</b>  (5) For guarantees issued by banks, merchant banks or finance companies or standby letters of credit issued by commercial banks or merchant banks, the value must be their face value.	1.1(5)	<b>1.1 Collateral</b>  (5) For guarantees <u>or standby letters of credit</u> issued by <u>licensed</u> banks, <u>or merchant licensed investment</u> banks <u>under the FSA</u> , <del>or finance companies or standby letters of credit issued by commercial banks or merchant banks</del> , the value must be their face value.

**(q) Directives on Margin Financing for Subscription and Purchase of Securities on a Recognised Stock Exchange (No.7.30-002)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 4 below.		Please refer to Annexure 4 below.

**(r) Directive on Leveraged and Inverse Exchange Traded Funds (No. 7.40-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
2	Rule 7.40(2)	2	Rule 7.40(2)

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	<p>(1) Rule 7.40(2) provides that a Participating Organisation must not allow a Client to undertake trading in L&amp;I ETFs units unless it is satisfied that the Client fulfils all such conditions as prescribed by the Exchange for trading in L&amp;I ETFs units.</p> <p>(2) Pursuant to the above Rule, before allowing a Qualified Client to trade in L&amp;I ETF units, a Participating Organisation must ensure that the Qualified Client has:</p> <p>(a) submitted a written declaration confirming the fulfilment of one or more of the qualifying criteria in paragraph 1(2) above; and</p> <p>(b) executed a risk disclosure statement in the form prescribed in Appendix 1 of this Directive.</p> <p>(3) The conditions as stated in paragraph 2(2) do not apply to a Qualified Client who falls within the list in Appendix 2 of this Directive.</p>		<p>(1) Rule 7.40(2) provides that a Participating Organisation must not allow a Client to undertake trading in L&amp;I ETFs units unless <del>it is satisfied that</del> the Client fulfils all such conditions as prescribed by the Exchange for trading in L&amp;I ETFs units.</p> <p>(2) Pursuant to the above Rule, before allowing a Qualified Client to trade in L&amp;I ETF units, a Participating Organisation must ensure that the Qualified Client has:</p> <p>(a) submitted a written declaration confirming the <u>Qualified Client's</u> fulfilment of one or more of the qualifying criteria in paragraph 1(2) above; and</p> <p>(b) executed a risk disclosure statement in the form prescribed in Appendix 1 of this Directive.</p> <p>(3) The conditions as stated in paragraph 2(2) do not apply to a Qualified Client who falls within the list in Appendix 2 of this Directive.</p>
<p><b>Appendix 2</b></p>	<p><b>LIST OF CLIENTS WHO ARE EXEMPTED FROM THE CONDITIONS AS STATED IN PARAGRAPH 2(2)</b></p> <p>1. A licensed bank, licensed investment bank or approved money-broker institution as defined under the Financial Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p> <p>2. A financial institution established under any Act of Parliament and its wholly-owned subsidiary that is a nominee company.</p> <p>3. A licensed Islamic Bank as defined in the Islamic Financial and Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p>	<p><b>Appendix 2</b></p>	<p><b>LIST OF CLIENTS WHO ARE EXEMPTED FROM THE CONDITIONS AS STATED IN PARAGRAPH 2(2)</b></p> <p>1. A licensed bank, licensed investment bank or approved money-broker <del>institution as defined</del> under the <del>Financial Services Act 2013</del> and its wholly-owned subsidiary that is a nominee company.</p> <p>2. A financial institution established under any Act of Parliament and its wholly-owned subsidiary that is a nominee company.</p> <p>3. A licensed Islamic <del>B</del>bank as defined in the Islamic Financial <del>and</del> Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p>



(s) Directives on the List of Approved Securities (No. 8.22(5)-002)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 5 below.		Please refer to Annexure 5 below.

(t) Directive on Intraday Short Selling – No. 8-003

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
Appendix 2	<p style="text-align: center;"><b>LIST OF CLIENTS WHO ARE EXEMPTED FROM THE CONDITIONS AS STATED IN PARAGRAPHS 1.1(1)(b) AND 1.1(1)(c)</b></p> <p>1. A licensed bank, licensed investment bank or approved money-broker institution as defined under the Financial Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p> <p>2. A financial institution established under any Act of Parliament and its wholly-owned subsidiary that is a nominee company.</p> <p>3. A licensed Islamic Bank as defined in the Islamic Financial and Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p>	Appendix 2	<p style="text-align: center;"><b>LIST OF CLIENTS WHO ARE EXEMPTED FROM THE CONDITIONS AS STATED IN PARAGRAPHS 1.1(1)(b) AND 1.1(1)(c)</b></p> <p>1. A licensed bank, licensed investment bank or approved money-broker <del>institution as defined</del> under the <del>FS</del><del>Financial Services Act 2013</del> and its wholly-owned subsidiary that is a nominee company.</p> <p>2. A financial institution established under any Act of Parliament and its wholly-owned subsidiary that is a nominee company.</p> <p>3. A licensed Islamic <del>B</del>bank as defined in the Islamic Financial <del>and</del> Services Act 2013 and its wholly-owned subsidiary that is a nominee company.</p>

(u) Directive on Scheduled Settlement Time of Securities in relation to the Electronic Share Payment (“E-Share Payment”) (No. 9.09(1)-001)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1.1	1.1 Payment Made via e-Share Payment Facility	1.1	1.1 Payment Made via e-Share Payment Facility

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<p>For the purposes of payment made via e-Share Payment facility, a Participating Organisation and its client must make arrangements with the relevant licensed institution (as defined under BAFIA) who offers e-Share Payment facility to ensure that the payment is credited into the bank account of the client (where payment is made by the Participating Organisation to the client) or the bank account of the Participating Organisation (where payment is made by the client) as follows:</p>	<p>For the purposes of payment made via e-Share Payment facility, a Participating Organisation and its client must make arrangements with the relevant licensed <del>institution (as defined under BAFIA)</del> <u>bank or licensed investment bank under the FSA</u> who offers e-Share Payment facility to ensure that the payment is credited into the bank account of the client (where payment is made by the Participating Organisation to the client) or the bank account of the Participating Organisation (where payment is made by the client) as follows:</p>
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**(v) Directives on Direct Business Transactions (10.01(1)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
	Please refer to Annexure 6 below.		Please refer to Annexure 6 below.

**(w) Directives on Capital Adequacy Requirements (No. 13-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS								
Schedule 11	<b>COUNTERPARTY WEIGHTING</b> <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 70%;">Counterparty Exposure</th> <th style="width: 30%;">Weight</th> </tr> </thead> <tbody> <tr> <td> <b>Financial Institutions</b> <ul style="list-style-type: none"> <li>▪ Banks and financial institutions licensed under BAFIA</li> <li>▪ Banks licensed under the Islamic</li> </ul> </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> </tbody> </table>	Counterparty Exposure	Weight	<b>Financial Institutions</b> <ul style="list-style-type: none"> <li>▪ Banks and financial institutions licensed under BAFIA</li> <li>▪ Banks licensed under the Islamic</li> </ul>	20%	Schedule 11	<b>COUNTERPARTY WEIGHTING</b> <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 70%;">Counterparty Exposure</th> <th style="width: 30%;">Weight</th> </tr> </thead> <tbody> <tr> <td> <b>Financial Institutions</b> <ul style="list-style-type: none"> <li>▪ <u>Licensed banks, licensed investment banks and financial institutions licensed approved money-brokers under the FSABAFIA, in which the licensed</u></li> </ul> </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> </tbody> </table>	Counterparty Exposure	Weight	<b>Financial Institutions</b> <ul style="list-style-type: none"> <li>▪ <u>Licensed banks, licensed investment banks and financial institutions licensed approved money-brokers under the FSABAFIA, in which the licensed</u></li> </ul>	20%
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	Banking Act 1983		<p><u>investment bank is not also a Participating Organisation</u></p> <ul style="list-style-type: none"> <li>▪ <u>Licensed Islamic Banks licensed under the Islamic Financial Services Banking Act 2013/1983</u></li> </ul>												
<b>Schedule 18</b>	<b>DISCOUNTING FOR COLLATERAL</b>	<b>Schedule 18</b>	<b>DISCOUNTING FOR COLLATERAL</b>												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Type of Collateral</th> <th style="text-align: center;">Applicable Discount</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <b>Letters of Credit/Bank Guarantee</b>            Letters of credit or bank guarantees guaranteed by financial institutions licensed under BAFIA or the Islamic Banking Act 1983         </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> <tr> <td style="vertical-align: top;"> <b>Negotiable Instruments of Deposit</b>            Negotiable instruments of deposit guaranteed by financial institutions licensed under BAFIA or         </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> </tbody> </table>	Type of Collateral	Applicable Discount	<b>Letters of Credit/Bank Guarantee</b> Letters of credit or bank guarantees guaranteed by financial institutions licensed under BAFIA or the Islamic Banking Act 1983	20%	<b>Negotiable Instruments of Deposit</b> Negotiable instruments of deposit guaranteed by financial institutions licensed under BAFIA or	20%		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Type of Collateral</th> <th style="text-align: center;">Applicable Discount</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <b>Letters of Credit/Bank Guarantee</b>            Letters of credit or bank guarantees guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services Act 2013</u><del>Banking Act 1983</del> </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> <tr> <td style="vertical-align: top;"> <b>Negotiable Instruments of Deposit</b>            Negotiable instruments of deposit guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services</u> </td> <td style="text-align: center; vertical-align: middle;">20%</td> </tr> </tbody> </table>	Type of Collateral	Applicable Discount	<b>Letters of Credit/Bank Guarantee</b> Letters of credit or bank guarantees guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services Act 2013</u> <del>Banking Act 1983</del>	20%	<b>Negotiable Instruments of Deposit</b> Negotiable instruments of deposit guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services</u>	20%
Type of Collateral	Applicable Discount														
<b>Letters of Credit/Bank Guarantee</b> Letters of credit or bank guarantees guaranteed by financial institutions licensed under BAFIA or the Islamic Banking Act 1983	20%														
<b>Negotiable Instruments of Deposit</b> Negotiable instruments of deposit guaranteed by financial institutions licensed under BAFIA or	20%														
Type of Collateral	Applicable Discount														
<b>Letters of Credit/Bank Guarantee</b> Letters of credit or bank guarantees guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services Act 2013</u> <del>Banking Act 1983</del>	20%														
<b>Negotiable Instruments of Deposit</b> Negotiable instruments of deposit guaranteed by <del>financial institutions</del> licensed <del>banks and</del> <u>licensed investment banks</u> under <del>the FSABAFIA</del> or <u>licensed Islamic banks</u> under the <u>Islamic Financial Services</u>	20%														

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	the Islamic Banking Act 1983		<del>Act 2013—Banking—Act 1983</del>
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**BEST PRACTICES**

**(a) Recommendations on Compliance Reporting (No. 3.39(2)-001)**

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1(1)	<p><b>Rule 3.39(2)(b)</b></p> <p>(1) Rule 3.39(2)(b) requires a Participating Organisation to ensure that its Head of Compliance submits monthly written reports to the Participating Organisation’s Board of Directors on all matters pertaining to compliance with the Securities Laws, these Rules and the Directives.</p>	1(1)	<p>Rule <del>3.39(2)(b)</del><b>3.36(c)</b></p> <p>(1) Rule <del>3.39(2)(b)</del><b>3.36(c)</b> requires a <b>Participating Organisation</b><del>Head of Compliance</del> to ensure <del>that its Head of Compliance submits monthly written reports to the Participating Organisation’s Board of Directors on all matters pertaining to compliance with the Securities Laws, these Rules and the Directives</del> <b>matters pertaining to compliance by the Participating Organisation, the Participating Organisation’s Registered Persons, employees and agents with the Securities Laws, these Rules and the Directives are highlighted to the Participating Organisation’s Board of Directors or in the case of an Investment Bank, to the Board of Directors or committee to whom the Head of Compliance is required to report under the Guidelines on Investment Banks.</b></p>

(b) Best Practices on Direct Market Access Handbook (No. 8.16-001)

PARA GRAPH	CURRENT PROVISION	PARA GRAPH	AMENDED PROVISIONS
1.2.3	<p>DMA Client Due Diligence – Know Your Client (“KYC”) Requirements</p> <p>Rule 5.15 requires a PO to exercise due diligence in learning the essential facts as to the Client and its or his investment objectives and financial situation prior to the commencement of trading. The requirements to monitor and report suspicious transactions are also set out under the AntiMoney Laundering Act 2001<sup>3</sup> and the Guidelines on Prevention of Money Laundering and Terrorism Financing for Capital Market Intermediaries<sup>4</sup> issued by the Securities Commission. In this respect, the DMA Participant must ensure that all reasonable steps are taken to ensure adherence to these KYC requirements.</p>	1.2.3	<p>DMA Client Due Diligence – Know Your Client (“KYC”) Requirements</p> <p>Rule 5.15 requires a PO to exercise due diligence in learning the essential facts as to the Client and its or his investment objectives and financial situation prior to the commencement of trading. The requirements to monitor and report suspicious transactions are also set out under the AntiMoney Laundering Act 2001<sup>3</sup> and the Guidelines on Prevention of Money Laundering and Terrorism Financing for Capital Market Intermediaries<sup>4</sup> issued by the <del>Securities</del> Commission. In this respect, the DMA Participant must ensure that all reasonable steps are taken to ensure adherence to these KYC requirements.</p>

<b>DIRECTIVES ON EXERCISE OF POWERS OF THE EXCHANGE TO REQUIRE SUPPLY OF REPORTS, INFORMATION, DOCUMENTS, BOOKS AND RECORDS</b>	<b>No. 2.01(2)-002</b>
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Relevant to : Rule 2.01(2)(k)  
Introduced with effect from : 2 May 2013  
Amended : N/A  
POs' Circular No(s). : N/A  
Refer also to Directive No(s). : N/A

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

Rule 2.01(2)(k) empowers the Exchange to require the Participating Organisations or Registered Persons to maintain and provide reports, information, Documents, Books and Records to the Exchange in relation to any matter under these Rules or Directives. The Directives set out below, amongst others, detail the manner in which the Exchange may exercise these powers.

### 1.1 Reports, Information, Documents, Books and Records

(1) The Exchange may:

- (a) require a Participating Organisation or any Registered Person to provide the Exchange with accurate information about its business and transactions in such format or mode whether electronic or otherwise, specified by the Exchange;
- (b) require a Participating Organisation or any Registered Person to provide the Exchange with the reports, information, Documents, Books and Records which are in his~~their~~ possession, custody, power or control;
- (c) if any report, information, Document, Book or Record requested by the Exchange cannot be produced, require the Participating Organisation or Registered Person to:
  - (i) inform the Exchange of the details of the location of the report, information, Document, Book or Record and person having possession of such report, information, Document, Book or Record; and
  - (ii) use best effort to secure the report, information, Documents, Book or Record;
- (d) interview the Participating Organisation or Registered Person and require the Registered Person or the Participating Organisation to answer questions ~~or~~, provide explanations, give evidence and statements and to record such answers ~~and~~, explanations, evidence and statements electronically or otherwise;
- (e) require the attendance, ~~upon reasonable notice, \_~~ of any Registered Person or employee or agent (or any employee of such Registered Person or agent) of a Participating Organisation ~~at a specified date, time and place~~ or require that a Registered Person or a Participating Organisation to procure the attendance of such relevant persons and consultant, before the Exchange to answer questions, provide explanations or give ~~evidence and require the Registered Person or the Participating Organisation to procure such attendance or procure information~~;
- (f) require the provision of information on the following persons:

ANNEXURE 2  
AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
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ANNEXURE 1

DIRECTIVES ON EXERCISE OF POWERS OF THE EXCHANGE TO REQUIRE SUPPLY OF REPORTS, INFORMATION, DOCUMENTS, BOOKS AND RECORDS	No. 2.01(2)-002
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- (i) \_\_\_\_\_-any person who is to be, is or has been a Registered Person or employee or agent of the Participating Organisation; ~~and~~
- (ii) \_\_\_\_\_-~~or~~ engaged in ~~its~~ the Participating Organisation's business; or
- (iii) \_\_\_\_\_-any person who is to be, is or has been an employee or agent of a Registered Person or engaged in its business;
- (g) send any officer of the Exchange or Exchange Holding Company to a Participating Organisation's or Registered Person's premises at any time for the purpose of inspections or investigations and to ensure compliance with these Rules; and
- (h) obtain copies of or extracts from the reports, information, Documents, Books or Records and require any person who has knowledge about such reports, information, Documents, Books or Records to provide an explanation ~~for any of such reports, information, Documents, Books or Records~~ on the same.
- (2) Any statement, report, information, Document, Book or Record submitted by the Participating Organisation or the Registered Person to the Exchange pursuant to Rule 2.01(2)(k) is deemed to be authorised by the Participating Organisation and the Exchange may rely on such statement, report, information, Document, Book or Record.
- (3) Any statement, report, information, Document, Book or Record submitted by the Participating Organisation or Registered Person to the Exchange must not be false or misleading.
- (4) A recorded statement under paragraph 1.1(1)(d) may be used in disciplinary proceedings against a Participating Organisation or Relevant Person (including the person making such statement).

[End of Directive]

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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Relevant to	:	Rules 1.11, 3.02(1)(a), 3.04, 3.08, 3.11, 3.18(3), 3.20, 3.51, 3.52 and 3.53
Introduced with effect from	:	2 May 2013
Amended	:	2 December 2013 vide R/R 14 of 2013, 1 December 2014 vide R/R 8 of 2014, 1 April 2015 vide R/R 3 of 2015, 29 May 2017 vide R/R 5 of 2017, 1 March 2018 vide R/R 3 of 2018 and 1 June 2018 vide R/R 8 of 2018
POs' Circular No(s).	:	R/R 12 of 2012
Refer also to Directive No(s).	:	N/A

## Introduction

This Directive sets out the ~~procedures-requirements~~ for making applications to the Exchange under Chapter 3 of the Rules. ~~Detailed requirements are set out in the Admission Guidelines, made available on the Exchange's website.~~

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

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

#### 1.1 Participating Organisation

An applicant must complete and submit an application to the Exchange ~~accompanied by payment of the relevant fees and a duly executed undertaking to comply with these Rules and Directives, in accordance with the requirements relating to admission of a Participating Organisation as set out in the Admission Guidelines.~~

~~in the form set out in Appendix 1A of this Directive, accompanied by:~~

- ~~(a) — copies of the applicant's constitution, if any or other constituent documents evidencing the applicant's:
  - ~~(i) — directors and shareholders; and~~
  - ~~(ii) — paid-up capital;~~~~
- ~~(b) — evidence that the applicant's application for a Capital Markets Services Licence for dealing in securities has been approved;~~
- ~~(c) — any additional document required for an application for admission to a specific category of Participating Organisation;~~
- ~~(d) — payment of the non-refundable application fee set out in Schedule 1 (if any);~~
- ~~(e) — an undertaking in the form set out in Appendix 2A; and~~



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~~(f) such evidence the Exchange regards as satisfactory to show that, at the time of the application, the Participating Organisation is able to comply with the financial requirements in Chapter 13 of the Rules.~~

~~**2. Rule 3.04**~~

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

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

~~**2.1 Change of status to Investment Bank**~~

~~(1) If a Participating Organisation obtains approval to operate as an Investment Bank, the Participating Organisation must notify the Exchange in writing.~~

~~(2) The notification must be given prior to the Participating Organisation commencing business as an Investment Bank.~~

~~(3) A Participating Organisation must submit to the Exchange, the following documents together with the above notice:~~

~~(a) copies of the applicant's constitution, if any or other constituent documents evidencing the applicant's:~~

~~(i) directors and shareholders; and~~

~~(ii) paid-up capital;~~

~~(b) a copy of the Participating Organisation's Capital Markets Services Licence for dealing in securities;~~

~~(c) a copy of the merchant banking licence issued by the Central Bank pursuant to Section 5 of BAFIA; and~~

~~(d) the relevant documents required under the Companies Act to evidence the change of name of the Participating Organisation (if any).~~

~~**23. Rule 3.11**~~

~~(1) Rule 3.11(1) sets out the registration procedures for the persons enumerated under Rule 3.10.~~

~~(2) The following procedures apply in respect of applications for registration of Registered Persons  
In discharging the obligations under the said Rule, a Participating Organisation must, amongst others, comply with the requirements set out below.~~

~~**2.1 Registration Procedures for Registered Persons**~~

~~A Participating Organisation must complete and submit an application to the Exchange to register a person as a Registered Person, accompanied by payment of the relevant fees and an undertaking by such person to comply with these Rules and Directives. The Participating~~

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Organisation must make the application in accordance with the requirements relating to registration of a Registered Person as set out in the Admission Guidelines.

- ~~(1) The Participating Organisation of the person who is to be registered as a Registered Person is required to make only one submission through the Commission's Electronic Licensing Application ("ELA") System for the purpose of licensing or approval by the Commission and registration with the Exchange.~~
- ~~(2) For the purpose of the registration with the Exchange, a Participating Organisation must submit through the ELA System:~~
- ~~(a) the duly completed application in the form set out in Appendix 1B of this Directive to the Exchange;~~
- ~~(b) an undertaking in the form set out in Appendix 2B of this Directive; and~~
- ~~(c) if more than 1 Head is appointed by the Participating Organisation in the areas of dealing, operations or compliance respectively, a description of the area and responsibility of each Head.~~
- ~~(referred to collectively as "the Exchange's Information")~~
- ~~(3) A Participating Organisation must make payment to the Exchange of the non-refundable registration fee set out in Schedule 1 of this Directive (if any) concurrently with the submission of the documents in paragraph 3.1(2).~~
- ~~(4) By making the submission through the ELA, the Participating Organisation agrees that although the submission is directed to the Commission, it forms part of the submission to the Exchange. The Participating Organisation agrees that the relevant information in the submission made through the ELA System (together with the Exchange's Information) may be transmitted into the Exchange's system for approval, upon the Commission's approval of the application.~~
- ~~(5) The Exchange will send a notification to the Participating Organisation if the application is approved by the Exchange.~~
- ~~(6) A Participating Organisation must retain possession of the original copies of the Exchange's Information and must produce such original copies to the Exchange at the Exchange's request.~~

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

- (1) A Participating Organisation must register the Participating Organisation's proposed Registered Person under all categories applicable to that proposed Registered Person.
- (2) The Participating Organisation must pay the fees the Exchange stipulates-prescribes (if any) for the category with the highest total fees charged, instead of fees stipulated-prescribed for each applicable category.

For example,:

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

~~The total registration and annual subscription fees for the registration of a Head of Dealing and Dealer's Representative is set out below.~~

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	Total fees payable	Head of Dealing (RM)	Dealer's Representative (RM)
(a) Registration fee	2,500.00	2,500.00	500.00
(b) Annual subscription fee	3,600.00	-	-
Aggregate fees payable	<b>6,100.00</b>	<b>2,500.00</b>	<b>500.00</b>

As the amount payable for the registration of a Head of Dealing (which is RM 6,100) is higher than a Dealer's Representative (which is RM500), that person must pay the fees for the registration of a Head of Dealing (which is RM 6,100). That person need not pay any fees for registering as a Dealer's Representative.

**4. Rules 3.08 and 3.20**

- (1) Rule 3.08 requires a Participating Organisation to pay the Exchange all fees and charges the Exchange stipulates in the manner and within the period the Exchange specifies.
- (2) Rule 3.20 requires a Participating Organisation to pay the Exchange all fees and charges the Exchange stipulates for the registration of a Registered Person in the manner and within the period the Exchange specifies.
- (3) In connection with the above Rules, a Participating Organisation must, amongst others, comply with the requirements set out below.

**4.1 Registration and annual fees**

- (1) The fees payable to the Exchange in connection with any application for registration under Chapter 3 are set out in Schedule 1 of this Directive.
- (2) Unless the Exchange decides otherwise, subscription fees will be charged on an annual basis.

**4.2 System maintenance fee**

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

**4.3 Bursa Access Fees**

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

**4.4 Buying-in**

The defaulting Participating Organisation in Rule 9.06 must pay to the Exchange a fee of 1% of the buying in contract value in the currency in which the securities are traded in. The defaulting Participating Organisation has the right to recover such fee from the defaulting client and is entitled to a rebate of 50% of that fee.

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~~4.5 — Other fees or charges~~

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

~~4A — [Deleted]~~

~~5. — [Deleted]~~

~~26. — Rule 3.52~~

~~(1) — Rule 3.52 requires a Participating Organisation to notify the Exchange of any re-designation of any of the Participating Organisation's Dealer's Representatives between the different categories of Dealer's Representatives.~~

~~(2) — The following procedures apply in respect of a notification to the Exchange of any re-designation of any of the Participating Organisation's Dealer's Representatives.~~

~~6.1 — 2.1 Re-designation~~

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

**37. Rule 3.53**

(1) Rule 3.53(1) requires a Participating Organisation to apply to the Exchange for approval to transfer the registration of a Dealer's Representative:

- (a) who is employed or engaged by another Participating Organisation; or
- (b) who, not more than 6 months prior to the intended date of employment or engagement with the Participating Organisation, was employed or engaged by another Participating Organisation.

(2) Rule 3.53(2) provides that to obtain approval to transfer the registration of a Dealer's Representative, a Participating Organisation must:

- (a) apply to the Exchange in the manner the Exchange ~~stipulates~~prescribes;
- (b) pay the transfer fee the Exchange ~~stipulates~~prescribes; and
- (c) in the circumstances stated in Rule 3.53(1)(a), submit a letter of release from the Participating Organisation that the Dealer's Representative is employed or engaged with.

(3) The following ~~procedure requirements applies~~apply in respect of an application for approval to transfer the registration of a Dealer's Representative under this Rule, after the third transfer of the Dealer's Representative.

**37.1 Transfer of Dealer's Representative after the third transfer**

- ~~(1)~~ A Participating Organisation must submit to the Exchange a written application in the form the Exchange stipulates accompanied by:
- ~~(a)~~ the forms set out in Appendix 3A and 3B of this Directive;
  - ~~(b)~~ if a Participating Organisation applies to transfer the registration of a Dealer's Representative under the circumstances stated in Rule 3.53(1)(a), a letter of release from the Participating Organisation with whom the transferring Dealer's Representative is presently employed or engaged;
  - ~~(c)~~ a copy of the transferring Dealer's Representative's Capital Markets Services Representative's Licence for dealing in securities; and
  - ~~(d)~~ payment of the transfer fee in the amount set out in Schedule 2 of this Directive or such other amount the Exchange determines.
- ~~(12)~~ After the third transfer If an application for approval to transfer the registration of a Dealer's Representative, is made after the third transfer of the Dealer's Representative, the Exchange may:
- (i) refuse any further application for transfer in respect of the Dealer's Representative; or
  - (ii) approve the same subject to payment of a fee at twice the rate applicable on the third transfer.

**3.2 Transfer of Dealer's Representative after re-designation**

- ~~(213)~~ A Commissioned Dealer's Representative intending to transfer to another Participating Organisation within 6 months of the re-designation of that Commissioned Dealer's Representative's status from a Salaried Dealer's Representative to a Commissioned Dealer's Representative is subject to the transfer fee of a Salaried Dealer's Representative.
- ~~(324)~~ If at any time during the period of 6 months prior to the application for transfer, the Proprietary Day Trader was a Commissioned Dealer's Representative or a Salaried Dealer's Representative, the ~~transfer fee for that~~ Proprietary Day Trader will be subject to the following transfer fee:
- (i) if the Proprietary Day Trader was a Commissioned Dealer's Representative, ~~as that specified in paragraph (a) in Schedule 2 of this Directive~~ the transfer fee of a Commissioned Dealer's Representative; or
  - (ii) if the Proprietary Day Trader was a Salaried Dealer's Representative, ~~as that specified in paragraph (b) in Schedule 2 of this Directive~~ the transfer fee of a Salaried Dealer's Representative.

~~8.~~ **~~[Deleted]~~**

*[End of Directive]*

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

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**Schedule 1**

**Fees for Participating Organisations and Registered Person**

Description	Application Fee (RM)	Registration Fee (RM)	Annual Subscription Fee (RM)*	Re-designation Fee (RM)
(a) Participating Organisation	2,500.00	10,000.00	12,000.00	Nil
(b) Chief Executive Officer	Nil	Nil	Nil	Nil
(c) Head of Dealing	Nil	2,500.00	3,600.00	Nil
(d) Head of Operations	Nil	Nil	Nil	Nil
(e) Head of Compliance	Nil	Nil	Nil	Nil
(f) Director	Nil	2,500.00	1,200.00	Nil
(g) Dealer's Representative: Commissioned Dealer's Representative and Salaried Dealer's Representative	Nil	500.00	Nil	Nil
(h) Dealer's Representative: Proprietary Day Trader	Nil	500.00	Nil	500.00**

\* The annual subscription fee is payable no later than 31 January of each calendar year.

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

*[End of Schedule 1]*

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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**Schedule 2**

**Fee for the transfer of Dealer's Representative**

~~The fee payable to the Exchange for the transfer of a Dealer's Representative is as follows:~~

~~(a) — Commissioned Dealer's Representative:~~

	<u>RM</u>
First transfer	2,000.00
Second transfer	4,000.00
Third transfer	8,000.00

~~(b) — Salaried Dealer's Representative:~~

	<u>RM</u>
First transfer	20,000.00
Second transfer	24,000.00
Third transfer	32,000.00

~~(c) — Proprietary Day Trader:~~

	<u>RM</u>
First transfer	2,000.00
Second transfer	4,000.00
Third transfer	8,000.00

[End of Schedule 2]

**DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES  
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**Schedule 3**

**Bursa Access Fees**

**1. Fees**

1.1 The Bursa Access Fees are:

ITEM	FEE	MONTHLY FEE	FEE FOR EXCESS ORDERS **												
<b>A.</b>	<b>Capacity block *</b>	<b>per capacity block</b>	<b>Cumulative excess orders at month-end</b>												
(i)	1 <sup>st</sup> capacity block at 30 orders per second	RM6,000.00	<table border="1"> <thead> <tr> <th>No. of orders</th> <th>Fees</th> </tr> </thead> <tbody> <tr> <td>1—299</td> <td>Nil</td> </tr> <tr> <td>300—599</td> <td>RM6,000</td> </tr> <tr> <td>600—899</td> <td>RM12,000</td> </tr> <tr> <td>900—1,199</td> <td>RM18,000</td> </tr> <tr> <td>In excess of 1,199 orders</td> <td>If the cumulative excess orders at month-end exceeds 1,199 orders, a fee will be charged on the orders in excess of 1,199 at the rate of RM6,000.00 for every 300 orders or any part of it.</td> </tr> </tbody> </table>	No. of orders	Fees	1—299	Nil	300—599	RM6,000	600—899	RM12,000	900—1,199	RM18,000	In excess of 1,199 orders	If the cumulative excess orders at month-end exceeds 1,199 orders, a fee will be charged on the orders in excess of 1,199 at the rate of RM6,000.00 for every 300 orders or any part of it.
No. of orders	Fees														
1—299	Nil														
300—599	RM6,000														
600—899	RM12,000														
900—1,199	RM18,000														
In excess of 1,199 orders	If the cumulative excess orders at month-end exceeds 1,199 orders, a fee will be charged on the orders in excess of 1,199 at the rate of RM6,000.00 for every 300 orders or any part of it.														
(ii)	Subsequent capacity blocks at 15 orders per second per capacity block	RM4,000.00													
<b>B.</b>	<b>Administration of FIX IDs</b>	<b>per FIX ID</b>	<b>N/A</b>												
(i)	1 <sup>st</sup> FIX ID	Nil	N/A												
(ii)	Subsequent FIX IDs	RM500.00	N/A												

\* The 1<sup>st</sup> capacity block will have an order capacity of 30 orders per second while the subsequent capacity blocks will have an order capacity of 15 orders per second per capacity block for orders submitted throughout the trading day.

\*\* Excess orders refer to orders that exceed the pre-subscribed capacity blocks.

1.2 A Participating Organisation must pay the Bursa Access Fees as mentioned in paragraph 1.1 within 7 calendar days from the date of the monthly invoice.

1.3 A Participating Organisation must pay any other fees, levies or other charges imposed by the Exchange from time to time.

1.4 Illustration

**Illustration: Broker B subscribes for 2 capacity blocks and 5 FIX IDs**

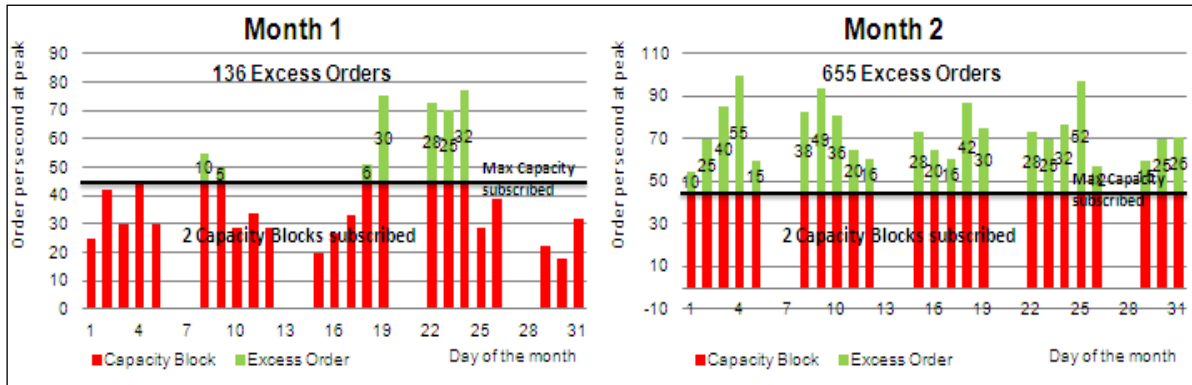


APPENDIX 2  
**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
 THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES AND  
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**ANNEXURE 2**

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Frequency	Type of Fee	Rate	RM	1 <sup>st</sup> Month Fee	2 <sup>nd</sup> Month Fee
Monthly Fixed Fee	2-Capacity blocks	@ RM6,000.00 for 1st Block @ RM4,000.00 for 2nd Block	10,000.00	10,000.00	10,000.00
	4-FIX-IDs	@ RM500.00 per-ID	2,000.00	2,000.00	2,000.00
Daily Variable fee	Excess orders	0-299 = -	-	-	12,000.00
		300-599 = RM6,000.00			
		600-899 = RM12,000.00			
<b>TOTAL FEE PAYABLE</b>				<b>12,000.00</b>	<b>24,000.00</b>

1.5 If a Participating Organisation chooses to have a hard limit imposed on its order capacity, the order capacity will be restricted to 30 orders per second for the 1<sup>st</sup> capacity block, and 15 orders per second per capacity block for all subsequent capacity blocks. No fee for excess orders will be charged to the Participating Organisation in this instance.

1.6 Minimum Capacity and Capacity Planning

The minimum capacity block to be subscribed is 1 capacity block per Participating Organisation. A Participating Organisation is responsible for its own capacity planning and must assess its requirements in determining the number of capacity blocks to subscribe.

**2. FORMS**

2.1 For the avoidance of doubt, the Bursa Access Fees set out above in paragraph 1 will apply in respect of all forms of access to the ATS including ASEAN Link and other forms of DMA.

2.2 To indicate the subscription (including changes to the subscription), the Participating Organisations must submit the Bursa Access Subscription/Change Request Form ("Form") to the Exchange. The Form is available at <http://www.bursamalaysia.com/market/securities/equities/brokers/admission-guidelines/>.

[End of Schedule 3]

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

**No. 3-001**

**Appendix 1A**

**Form of application – Participating Organisation**

Category : Investment Bank  Universal Broker  Non-Universal Broker : 1+1 Broker   
Special Scheme Broker   
Standalone

Name of Applicant:

Company No.:

Address:

Date:

To: — Bursa Malaysia Securities Berhad (“the Exchange”)

Dear Sirs,

**Application for Admission as Participating Organisation of Bursa Malaysia Securities Berhad**

~~We, [name of Applicant], are desirous of being admitted as a Participating Organisation of the Exchange upon the terms of and subject in all respects to the Rules of the Exchange which are now or hereafter may be in force, as may be amended from time to time, and all directives, rulings and guidelines issued by the Exchange. In support of our application, we enclose:~~

- ~~(1) — a duly completed application form together with the required supporting documents;~~
- ~~(2) — the non-refundable application fee of RM[specify amount];~~
- ~~(3) — the constitution of [name of Applicant] (if any);~~
- ~~(4) — evidence that the applicant’s application for a Capital Markets and Services Licence for dealing in securities has been approved; and~~
- ~~(5) — an undertaking in the form the Exchange stipulates.~~

Yours faithfully,

Signed by Authorised Signatory(ies)  
for and on behalf of [name of Applicant] ——— )  
in the presence of: ——— )

[End of Appendix 1A]

DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES	No. 3-001
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**Appendix 1B**

**Registration Form for Registered Person**

~~Name of Participating Organisation:~~

~~Company No.:~~

~~Address:~~

~~Date:~~

To: ~~\_\_\_\_\_~~ Bursa Malaysia Securities Berhad ("the Exchange")

Dear Sirs,

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

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

~~Name of proposed Registered Person:~~

~~NRIC:~~

~~Address:~~

~~In support of this submission, we enclose:~~

~~<sup>\*(1)</sup> \_\_\_\_\_ the respective area and scope of responsibility of each of the <sup>#</sup>[Chief Executive Officers / Heads of Dealing / Heads of Operations / Heads of Compliance] of [name of Participating Organisation]; and~~

~~<sup>(2)</sup> \_\_\_\_\_ an undertaking by the proposed Registered Person in the form the Exchange stipulates.~~

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

~~Yours faithfully,~~

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

~~<sup>#</sup> \_\_\_\_\_ Delete whichever inapplicable.~~

~~<sup>\*</sup> \_\_\_\_\_ Delete if inapplicable~~

[End of Appendix 1B]

DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES	No. 3-001
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**Appendix 2A**  
**Undertaking – Participating Organisation**

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

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

In consideration of the Exchange approving at our request our application for admission as a Participating Organisation of the Exchange in accordance with the Rules of Bursa Malaysia Securities Berhad (“Rules”) and the Directives (as defined in the Rules) (collectively, “Exchange’s Requirements” and includes all amendments and supplements to the Rules and Directives), we hereby irrevocably and unconditionally undertake and agree as follows:-

- (1) that [name of Applicant] satisfies all the conditions for admission as a Participating Organisation set out in Chapter 3 of the Rules;
- (2) that the information and documents accompanying the application for admission as a Participating Organisation are complete and accurate;
- (3) that the Exchange may obtain from or provide to any regulatory authority (whether in or out of Malaysia) any information directly or indirectly relating to [name of Applicant] for any purpose relating to or in connection with discharging any function of the Exchange or that regulatory authority;
- (4) to notify the Exchange immediately in writing of any changes in the information given together with the application for admission as a Participating Organisation;
- (5) to abide by the decision of the Exchange in relation to the application for admission as a Participating Organisation;
- (6) to be bound in all respects by and to comply with the Exchange’s Requirements in so far as they apply directly or indirectly to a Participating Organisation;
- (7) to indemnify and keep the Exchange fully indemnified from and against all losses, damages, costs, expenses, actions and claims or otherwise which the Exchange may incur arising out of any act or omission on our part or failure by us to comply with any provisions in the Exchange’s Requirements; and
- (8) notwithstanding our ceasing to be a Participating Organisation of the Exchange for any reason whatsoever, to continue to be bound by the Exchange’s Requirements in so far as they may relate to any act or omission that we may, in the opinion of the Exchange have committed or omitted to do during our tenure as a Participating Organisation of the Exchange.

We acknowledge that:

- (a) the approval of our application for admission as a Participating Organisation; or
- (b) any indulgence or delay in making any demand or instituting any action by the Exchange,

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

We further acknowledge that [name of Applicant] shall remain a Participating Organisation of the Exchange at the discretion of the Exchange.

The above undertaking has been signed by me/us as [specify designation] of [name of Applicant] pursuant to authority granted to me by resolution of the board of directors of [name of Applicant] on [specify the date when the resolution was passed]

Signed by Authorised Signatory(ies) \_\_\_\_\_ )  
for and on behalf of [name of Applicant] \_\_\_\_\_ )  
in the presence of \_\_\_\_\_ )

[End of Appendix 2A]

DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES	No. 3-001
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**Appendix 2B**  
**Undertaking – Registered Person (all categories)**

.....20.....

To:

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

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

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

I acknowledge that:

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

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

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

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

# \_\_\_\_\_ Delete if inapplicable. Inapplicable if the proposed Registered Person is the Chief Executive Officer or Director.

{End of Appendix 2B}

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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**Appendix 3A**

**~~DEALER'S REPRESENTATIVE/PROPRIETARY INTRA-DAY TRADER  
TRANSFER EXIT FORM~~**

~~(To be filled by Dealer's Representative/Proprietary Intra-Day Trader)~~

1	Name of Licence Holder				
2	Licence Number				
3	I.C. Number	Old		New	
4	Current status of Licence Holder	<del>Commissioned Dealer's Representative</del>			<del>(Please Tick)</del>
		<del>Salaried Dealer's Representative</del>			
		<del>Proprietary Intra-Day Trader</del>			
5	Status of Licence Holder upon transfer to new Participating Organisation (subject to approval from the Commission)	<del>Commissioned Dealer's Representative</del>			
		<del>Salaried Dealer's Representative</del>			
		<del>Proprietary Intra-Day Trader</del>			
6	Name of present Participating Organisation				
7	Name of Participating Organisation which the applicant proposes to represent				
8	Date licence was granted by the Commission				
9	Information on previous transfer	No	Name of Participating Organisation		Year
			From	To	
		i)			
		ii)			
		iii)			
		iv)			
v)					
10	Please state the applicable Transfer Fee for this transfer	RM			
11	The Transfer Fee will be borne by?	<del>Participating Organisation</del>			<del>(Please Tick)</del>
		<del>Self</del>			
12	Reasons for leaving present Participating Organisation				

APPENDIX 2  
**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
 THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES AND  
 FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013**

**ANNEXURE 2**

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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13	Reasons for joining new Participating Organisation			
14	How did you learn about the vacancy in the new Participating Organisation?	Mass Media		(Please Tick)
		Direct Recruitment by the new Participating Organisation		
		Introduction by friends/existing employee/Dealer's Representative/Proprietary Intra-Day Trader in the new Participating Organisation		
		Others (please explain):		
15	Have you procured a release letter from your present Participating Organisation?	YES		(Please Tick)
		NO		
16	Do you have any outstanding position in your present Participating Organisation?	YES (please state amount) RM _____		(Please Tick)
		NO		
17	Any other comments that may be useful for Bursa Securities to assess the transfer application			

Signature

Date

[End of Appendix 3A]

APPENDIX 2  
**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
 THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES AND  
 FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013**

**ANNEXURE 2**

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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**Appendix 3B**

**DEALER'S REPRESENTATIVE/PROPRIETARY INTRA-DAY TRADER  
TRANSFER EXIT FORM**

*(To be filled by the Participating Organisation to which the Dealer's Representative/ Proprietary Intra-Day Trader is currently attached to)*

1	Name of Participating Organisation				
2	Name of Licence Holder				
3	Licence Number				
4	I.C. Number	Old		New	
5	Current status of Licence Holder	Commissioned Dealer's Representative			(Please Tick)
		Salaried Dealer's Representative			
		Proprietary Intra-Day Trader			
6	Status of Licence Holder upon transfer to new Participating Organisation (subject to approval from the Commission)	Commissioned Dealer's Representative			
		Salaried Dealer's Representative			
		Proprietary Intra-Day Trader			
7	Has the applicant Licence Holder been granted release?	YES			
		NO			
8	Is your Participating Organisation objecting to the application for transfer?	NO			
		YES <i>(Please state reason/s and enclose details)</i>			



APPENDIX 2  
**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
 THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES AND  
 FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013**

**ANNEXURE 2**

<b>DIRECTIVES ON APPLICATIONS TO THE EXCHANGE AND FEES PURSUANT TO CHAPTER 3 OF THE RULES</b>	<b>No. 3-001</b>
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9	Does the applicant Licence Holder has any outstanding position or encumbrances with your Participating Organisation?	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%; text-align: center; color: red;">YES <i>(please state amount) RM _____</i></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center; color: red;">NO</td> <td></td> </tr> </table>	YES <i>(please state amount) RM _____</i>		NO					
YES <i>(please state amount) RM _____</i>										
NO										
10	Any other comments that may be useful for Bursa Securities to assess the transfer application <i>(you may use separate sheet, if necessary)</i>	<table style="width: 100%; border-collapse: collapse;"> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> </table>								

Signature of  
Authorised Signatory

Date

Name of Authorised Signatory

Name of Participating Organisation

[End of Appendix 3B]

<b>DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT</b>	<b>No. 3.3<del>69(5)</del>-00<del>24</del></b>
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Relevant to : Rules ~~3.39(5)~~ 3.36 and 6.07  
Introduced with effect from : 2 May 2013  
Amended : 22 February 2016 vide R/R 2 of 2016 and 16 June 2017 vide R/R 7 of 2017  
POs' Circular No(s). : R/R 5 of 2009, R/R 2 of 2016, R/R 7 of 2017  
Refer also to Directive No(s) : N/A

**1. Rule ~~3.39(5)~~3.36(c)**

- (1) Rule ~~3.39(5)~~3.36(c) provides that a Head of Compliance must ~~submit the written reports on all matters pertaining to compliance with the Securities Laws, these Rules and the Directives referred to in Rule 3.39(2)(b) to the Exchange on a monthly basis ("Monthly Compliance Reports").~~ ensure matters pertaining to compliance by the Participating Organisation, the Participating Organisation's Registered Persons, employees and agents with the Securities Laws, these Rules and the Directives are highlighted to the Participating Organisation's Board of Directors or in the case of an Investment Bank, to the Board of Directors or committee to whom the Head of Compliance is required to report under the Guidelines on Investment Banks.
- (2) In discharging the obligations under the said Rule, a Head of Compliance must, amongst others, comply with the requirements set out below.

**1.1 Reporting on compliance matters**

- (1) A Head of Compliance may bring matters pertaining to compliance to the attention of any of the Heads or other senior management of the Participating Organisation for appropriate action to be taken.
- (2) A Head of Compliance must:
- (a) report directly to the Participating Organisation's Board of Directors; and
  - (b) submit monthly written reports to the Participating Organisation's Board of Directors on all matters pertaining to compliance with the Securities Laws, these Rules and the Directives.
- (3) In the case of an Investment Bank, the reporting and monthly written reports referred to in paragraph 1.1(2) above must be made to the relevant person or committee to whom the Head of Compliance reports to, under the Guidelines on Investment Banks.
- (4) The Participating Organisation's Board of Directors or in the case of an Investment Bank, the person or committee to whom the Head of Compliance reports to, must deliberate on the written reports and decide on the appropriate action to be taken.
- (5) A Head of Compliance must submit the written reports referred to in paragraph 1.1(2)(b) above to the Exchange on a monthly basis.

**Reporting Requirements**

- ~~(6)(1)~~ All Heads of Compliance of Participating Organisations must use the format appended to this Directive as Appendix 1 (~~the~~ "Standard Compliance Report") when submitting the ~~Monthly Compliance Reports~~ compliance reports referred to in paragraph 1.1(2) above.

<b>DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT</b>	<b>No. 3.3<del>69</del>(5)-00<del>24</del></b>
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~~(7)~~(2) The Standard Compliance Report is not intended and must not be construed to limit the scope of reporting or the scope of duties and responsibilities of a Head of Compliance as ~~stipulated-prescribed~~ in the Rules ~~of Bursa Securities~~. The Standard Compliance Report serves to streamline and standardise the form and manner in which breaches of the Securities Laws, these Rules and Directives ~~issued by the Exchange from time to time~~ and any other matters pertaining to compliance or otherwise are to be reported to the Exchange.

~~(8)~~(3) All items stated in the respective sections of the Standard Compliance Report must be completed in accordance with the Directives prescribed in the table below:

Section No.	Item	Directives
1.0	Summary of Non-Compliance	This section provides for a brief description of the non-compliances noted in the month reported and the remedial action(s) taken, if any.
2.0	Status <del>Of</del> Non-Compliances Reported Earlier	This section provides for the status of the remedial action(s) on the non-compliances reported in the previous Standard Compliance Report.
3.0	Status of Compliance with the conditions imposed by <del>Bursa Securities the Exchange and Securities the</del> Commission	This section provides for the status of compliance with the terms and conditions imposed by <del>Bursa Securities the Exchange</del> and/or the <del>Securities</del> Commission on the Participating Organisations arising from its operations as a Participating Organisation <del>whether the same were imposed arising from applications made by the Participating Organisations to Bursa and/or Securities Commission or otherwise</del> and where the compliance is required on a continuing basis. For example, the status of compliance with the terms and conditions imposed pursuant to the readiness audit conducted for establishment of its office(s) and applications made under <del>these</del> Rules <del>of Bursa Securities</del> for approvals or waivers.
4.0	Matters to be highlighted to <del>Bursa Securities the Exchange</del>	This section is optional. Participating Organisation may wish to highlight to <del>Bursa Securities the Exchange</del> general matters in relation to compliance other than breaches of the Rules <del>and Directives</del> or otherwise with a view of improving the standard of compliance and regulations. For example, areas in <del>these</del> Rules <del>or Directives of Bursa Securities</del> that lack clarity or require enhancements.
5.0	Report on general compliance level of <del>Participating Organisation</del>	This section is for the Head of Compliance to provide his opinion or make an assessment

DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT	No. 3.3 <del>69(5)</del> -00 <del>24</del>
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		of the general compliance level of the Participating Organisation for the month.
6.0 to 15.0	Detailed Report	<p><del>These sections is section</del> prescribes the 'mandatory areas' where Participating Organisation has to expressly state whether the requirements stated <del>in the mentioned areas</del> have been complied with or not.</p> <p>This is to ensure that the Participating Organisation's level of compliance with the Securities Laws, these Rules and Directives <del>issued by the Exchange from time to time</del> in relation to the "mandatory areas" <del>set out in these sections</del> are fully disclosed to its Board of Directors and <del>Bursa Securities the Exchange</del>.</p>
16.0		<p>Reporting in relation to <u>non-compliance</u> by the Participating Organisation with the areas in the Securities Laws, these Rules and Directives <del>issued by the Exchange from time to time</del> other than the areas itemised in sections 5.0 to 15.0 <del>is only required if there is a non-compliance with the same</del>.</p> <p>Participating Organisation must add section 16.0 to the Standard Compliance Report for the purpose of reporting the above non-compliances. Where the areas involved in the above reporting are varied and many, Participating Organisation may add more section numbers after section 16.0 for ease of reporting.</p>

**1.2 Ad-hoc Reporting of breaches or irregularities**

- (1) A Head of Compliance must immediately report to the Participating Organisation's Board of Directors and the Exchange if the Head of Compliance becomes aware of any matter with reasonable diligence or assessment that:
- (a) constitutes a breach of any provision of the Securities Laws;
  - (b) involves the potential default of the Participating Organisation against the Clearing House or other counterparty;
  - (c) results in a significant drop to the financial position of the Participating Organisation;
  - (d) has significant adverse effect on the Client's assets the Participating Organisation holds;
  - (e) has significant adverse effect on the risk position and financial integrity of the Participating Organisation;

<b>DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT</b>	<b>No. 3.3<del>69(5)</del>-00<del>24</del></b>
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- (f) has resulted in a regulatory or disciplinary action being taken against the Participating Organisation or any of the Participating Organisation's Registered Persons, employees or agents by any other regulatory authority;
- (g) involves fraudulent conduct by the Participating Organisation's Registered Person, employee or agent; or
- (h) adversely affects the Participating Organisation's ability to comply with these Rules or Directives.
- (2) In addition to the reporting requirement in paragraph 1.2(1) above, the Head of Compliance must immediately report to the Commission upon becoming aware of any matter under paragraph 1.2(1)(a).
- (3) The Head of Compliance must inform the Exchange (in relation to matters reported under paragraph 1.2(1)) above and the Commission (in relation to matters reported under paragraph 1.2(2) above) of:
- (a) the Board of Directors' decision in relation to the matters and the corrective measures and decided courses of action the Board of Directors will take or have taken, within 30 days of reporting to the Board of Directors under paragraph 1.2(1) above; and
- (b) the completion of the measures and actions taken, if any.
- (4) In the case of an Investment Bank, the Head of Compliance of the Investment Bank must report on matters set out in paragraph 1.2(1) above to the Board of Directors or committee to whom the Head of Compliance is required to report under the Guidelines on Investment Banks. In this regard, references to the Board of Directors in paragraphs 1.2(1) and 1.2(3) above are to be read to include the Board of Directors or committee a Head of Compliance reports to under the Guidelines on Investment Banks.

[End of Directive]

DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT	No. 3.3 <del>69(5)</del> -00 <del>21</del>
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Appendix 1

(NAME OF PARTICIPATING ORGANISATION)

COMPLIANCE REPORT  
FOR THE MONTH OF  
xx 20xx

DATE:

<b>DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT</b>	No. 3.3 <del>69(5)</del> -00 <del>21</del>
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**EXECUTIVE SUMMARY**

**1. SUMMARY OF NON-COMPLIANCE**

No	Ref	Relevant Rule / Guidelines / Acts	Description of non-compliance	Action(s) taken

**2. STATUS OF NON-COMPLIANCES REPORTED EARLIER**  
*(to the extent that the issue has not been rectified and reported)*

No	Reported in Compliance Report of the month of	Description of non-compliance	Status of rectification

**3. STATUS OF COMPLIANCE WITH THE CONDITIONS IMPOSED BY BURSA THE EXCHANGE AND THE SECURITIES COMMISSION**

No	Readiness or applications (include the date of approval)	Condition	Status of compliance

*Note: The Participating Organisation is to report all conditions that the Participating Organisation has yet to comply. Those conditions that have been complied with and reported need not be included in the reports of subsequent months.*

**4. MATTERS TO BE HIGHLIGHTED TO BURSA THE EXCHANGE**

- (a) Comments on existing Bursa Malaysia Rules and Directives
- (b) Regulatory burden encountered

**5. REPORT ON GENERAL COMPLIANCE LEVEL OF PARTICIPATING ORGANISATION**

- (a) The Head of Compliance to express opinion/-assessment on the general compliance level of the Participating Organisation for the month

DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT	No. 3.3 <del>69(5)</del> -00 <del>24</del>
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**DETAILED REPORT**

**6. On trading accounts and trust accounts, the HOC must report whether:**

- (a) The internal policies and procedures on “Know Your Client” and opening of accounts have been complied with; and
- (b) The Rules and Regulations the Securities Laws on clients’ trust account have been complied with.

**7. On complaints, the HOC must report whether:**

- (a) All complaints received have been resolved. To indicate the number and nature of complaints received and resolved in the following table:

No	Nature of complaint	Date of complaint	Date complaint is resolved / Action taken

**8. On transaction by employees and directors, the HOC must report whether** upon receipt of notifications of transactions under Rule 7.26(1), the necessary steps to ensure compliance with the Participating Organisation’s obligations to manage conflict of interests and risks under Rule 5.02 have been taken by the Participating Organisation.

Total number of employees involved	Total number of shares	Total value of shares	Total number of securities involved

Total number of directors involved	Total number of shares	Total value of shares	Total number of securities involved

**9. On Capital Adequacy Requirement, the HOC must report whether:**

*[This Section 9 not applicable to Investment Banks]*

- (a) There is any exception noted in respect of the Participating Organisation’s Capital Adequacy reports and daily reports generated ~~and kept for record purposes~~, paying particular attention to the accuracy and timeliness of the reports and also the integrity of the data; and
- (b) There is any item/transaction not recorded/reported that may affect the Participating Organisation’s liquid capital and total risk requirement.

**10. On Dealer’s Representatives (covers Salaried and Commissioned Dealer’s Representatives), the HOC must report:**

- (a) Exceptions on ~~d~~Dealer’s ~~r~~Representatives who are involved in back office operations;



<b>DIRECTIVES ON <del>MONTHLY</del> COMPLIANCE REPORT</b>	<b>No. 3.36<del>9(5)</del>-00<del>21</del></b>
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- (b) Exceptions on registration, renewal and cessation of ~~D~~dealer's ~~R~~representatives' licences;
- (c) Exceptions on unlicensed trading; and
- (d) Exceptions on instances of sharing of user-ids and passwords and leaving broker front end terminals unattended without temporarily logging off.

**11. On segregation of duties and policies and procedures, the HOC must report:**

- (a) Irregularities noted on the segregation of duties especially between the back and front office; and
- (b) Exceptions noted on the inadequacies of policies and procedures of the Participating Organisation (e.g. margin, Discretionary Financing Account, PDT, etc).

**12. On brokerage, the HOC must report:**

- (a) The exceptions noted on the brokerage charged and reflected in the contract notes.

**13. On advertising and publicity, the HOC must report:**

- (a) Exceptions noted on ~~the~~ compliance with the requirements on advertising and publicity.

**14. On training, the HOC must report:**

- (a) Exceptions noted on the sufficiency and comprehensiveness of the training system and program; and
- (b) Exceptions noted on the maintenance of training records.

**15. On trading on the LEAP Market, the HOC must report ~~on~~ all non-compliances with the Securities Laws, the Rules ~~of Bursa Securities~~ and the Directives. Notwithstanding ~~Rule 3.39~~ paragraph 1.1 of Directive No. 3.36-002, this item must be submitted every quarter of a calendar year.**

**16. On non-compliances other than in the areas itemised in sections 6 to 15 above.**

[End of Appendix]

<b>DIRECTIVES ON MARGIN FINANCING <del>FOR SUBSCRIPTION AND PURCHASE OF SECURITIES ON A RECOGNISED STOCK EXCHANGE</del></b>	No. 7.30-002
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Relevant to : Rules 7.30(1)(a) and 7.30(21)  
Introduced with effect from : 13 May 2016  
Amended : N/A  
POs' Circular No(s). : R/R 3 of 2016  
Refer also to Directive No(s). : N/A

**1. Rule 7.30(1)(a)**

- (1) Rule 7.30(1)(a) provides that a Participating Organisation may extend Margin Financing to its Clients for the subscription and purchase of securities, including securities on a Recognised Stock Exchange.
- (2) In extending Margin Financing for the subscription or purchase of securities on a Recognised Stock Exchange, a Participating Organisation must, amongst others, comply with the requirements set out below.

**1.1 Requirements for extending Margin Financing to Clients for subscription and purchase of securities on a Recognised Stock Exchange**

- (1) In relation to Margin Financing extended by a Participating Organisation to a Client for subscription and purchase of securities on a Recognised Stock Exchange, the currency denomination for a Margin Account must be in ASEAN, USD, EURO, GBP, HKD or RMB currencies only.
- (2) Please note that a Margin Account in Ringgit Malaysia can be used for trading on the Exchange and on a Recognised Stock Exchange. Payment can be made by a Participating Organisation for purchase of securities on the Recognised Stock Exchange by converting the Ringgit Malaysia funds in the Margin Account into the relevant currency denomination for securities traded on the Recognised Stock Exchange.

**2. Rule 7.30(21)**

- (1) Rule 7.30(21) provides that a Participating Organisation must notify the Exchange of the Margin Financing extended to the Clients on a monthly basis in accordance with the form as prescribed by the Exchange not later than the 10th day of each month.
- (2) The notification must be made in the format set out in Appendix 1 of this Directive.

[End of Directive]

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**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
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ANNEXURE 4

<b>DIRECTIVES ON MARGIN FINANCING FOR SUBSCRIPTION AND PURCHASE OF SECURITIES ON A RECOGNISED STOCK EXCHANGE</b>	No. 7.30-002
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**APPENDIX 1  
MONTHLY RETURNS ON CREDIT FACILITIES EXTENDED IN RELATION TO MARGIN ACCOUNT  
[RULE 7.30(21)]**

To: Bursa Malaysia Securities Berhad  
Participants Supervision Division  
Level 12, Exchange Square  
Bukit Kewangan  
50200Kuala Lumpur

Name of Participating Organisation:

**Report on Margin Accounts**  
**as at last market day**  
 for the month of ..... 20.....

<u>Name of client</u>	<u>*1</u> <u>Approved limit</u> <u>RM</u>	<u>*2</u> <u>Outstanding</u> <u>balance</u> <u>RM</u>	<u>*3</u> <u>Value of equity</u> <u>RM</u>	<u>4</u> <u>(d/c) x 100</u>	<u>(b/g x 100)</u>
<u>(a)</u>	<u>(b)</u>	<u>(c)</u>	<u>(d)</u>	<u>(e)</u>	<u>(f)</u>
<b><u>TOTAL</u></b>					

RM

(g) Participating Organisation's Effective Shareholders Funds .....

(h) Paid-up capital .....

(i) Published reserves .....

(j) Total of (c) = ..... times  
(g)

Signed: \_\_\_\_\_  
 [Authorised signatory]

\_\_\_\_\_ [Full Name]

\_\_\_\_\_ [Designation]

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

Note: 1\* "Approved limit" refers to the maximum amount of Margin Financing permitted to be utilised by the Client.  
 2\* "Outstanding balance" is as defined under Rule 1.01 of the Rules.  
 3\* "Equity" is as defined under Rule 1.01 of the Rules.

APPENDIX 2  
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ANNEXURE 5

DIRECTIVE ON THE LIST OF APPROVED SECURITIES

No. 8.22(5)-002

~~[Deleted]~~

~~Relevant to~~ : ~~Rule 8.22(5)~~  
~~Introduced with effect from~~ : ~~2 May 2013~~  
~~Amended~~ : ~~20 June 2013 vide R/R 8 of 2013~~  
~~POs' Circular No(s).~~ : ~~R/R 1 of 2013~~  
~~Refer also to Directive No(s).~~ : ~~N/A~~

~~1. Rule 8.22(5)~~

~~Rule 8.22(5) provides that the Exchange may declare any securities that meets with such criteria as prescribed by the Exchange as Approved Securities.~~

~~1.1 List of Approved Securities~~

~~The list of Approved Securities as of 20 June 2013 is attached to this Directive as Appendix 1.~~

~~[End of Directive]~~

APPENDIX 2  
AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
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FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013

ANNEXURE 5  
No. 8.22(5)-002

DIRECTIVE ON THE LIST OF APPROVED SECURITIES

<b>RSS-APPROVED SECURITIES</b>		
<b>No</b>	<b>STOCK CODE</b>	<b>STOCK LONG NAME</b>
1	5185	AFFIN HOLDINGS BERHAD
2	5099	AIRASIA BERHAD
3	2488	ALLIANCE FINANCIAL GROUP BERHAD
4	1015	AMMB HOLDINGS BERHAD
5	6888	AXIATA GROUP BERHAD
6	5190	BENALEC HOLDINGS BERHAD
7	3395	BERJAYA CORPORATION BERHAD
8	1562	BERJAYA SPORTS TOTO BERHAD
9	5258	BIMB HOLDINGS BERHAD
10	2771	BOUSTEAD HOLDINGS BERHAD
11	5210	BUMI ARMADA BERHAD
12	1818	BURSA MALAYSIA BERHAD
13	7076	CB INDUSTRIAL PRODUCT HOLDING
14	1023	CIMB GROUP HOLDINGS BERHAD
15	5071	COASTAL CONTRACTS BERHAD
16	5141	DAYANG ENTERPRISE HOLDINGS BERHAD
17	7277	DIALOG GROUP BERHAD
18	6947	DIGI.COM BERHAD
19	3417	EASTERN & ORIENTAL BERHAD
20	1368	FABER GROUP BERHAD
21	5398	GAMUDA BERHAD
22	3182	GENTING BERHAD
23	4715	GENTING MALAYSIA BERHAD
24	2291	GENTING PLANTATIONS BERHAD
25	5020	GLOMAC BERHAD
26	3034	HAP SENG CONSOLIDATED BERHAD
27	5138	HAP SENG PLANTATIONS HOLDINGS
28	5819	HONG LEONG BANK BERHAD
29	1597	IGB CORPORATION BERHAD
30	5225	IHH HEALTHCARE BERHAD
31	3336	IJM CORPORATION BERHAD
32	5215	IJM LAND BERHAD
33	2216	IJM PLANTATIONS BERHAD
34	1961	IOI CORPORATION BERHAD
35	5161	JCY INTERNATIONAL BERHAD
36	3522	KIAN JOO CAN FACTORY BERHAD
37	5089	KLCC PROPERTY HOLDINGS BERHAD
38	7164	KNM GROUP BERHAD
39	5878	KPJ HEALTHCARE BERHAD
40	5097	KSK GROUP BERHAD
41	2445	KUALA LUMPUR KEPONG BERHAD

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ANNEXURE 5

DIRECTIVE ON THE LIST OF APPROVED SECURITIES

No. 8.22(5)-002

<b>RSS-APPROVED SECURITIES</b>		
<b>No</b>	<b>STOCK CODE</b>	<b>STOCK LONG NAME</b>
42	2003	KULIM (M) BERHAD
43	3794	LAFARGE MALAYAN CEMENT BERHAD
44	4235	LION INDUSTRIES CORPORATION
45	8583	MAH SING GROUP BERHAD
46	1155	MALAYAN BANKING BERHAD
47	3662	MALAYAN FLOUR MILLS BERHAD
48	5014	MALAYSIA AIRPORTS HOLDINGS BERHAD
49	1171	MALAYSIA BUILDING SOCIETY BERHAD
50	5186	MALAYSIA MARINE AND HEAVY ENGINEERING HOLDINGS BERHAD
51	3786	MALAYSIAN AIRLINE SYSTEM BERHAD
52	5077	MALAYSIAN BULK CARRIERS BERHAD
53	1651	MALAYSIAN RESOURCES CORPORATION BERHAD
54	6012	MAXIS BERHAD
55	5983	MBM RESOURCES BERHAD
56	5090	MEDIA CHINESE INTERNATIONAL LIMITED
57	4502	MEDIA PRIMA BERHAD
58	3816	MISC BERHAD
59	2194	MMC CORPORATION BERHAD
60	5085	MUDAJAYA GROUP BERHAD
61	3905	MULPHA INTERNATIONAL BERHAD
62	3859	MULTI-PURPOSE HOLDINGS BERHAD
63	5201	OLDTOWN BERHAD
64	5053	OSK HOLDINGS BERHAD
65	7052	PADINI HOLDINGS BERHAD
66	5657	PARKSON HOLDINGS BERHAD
67	0047	PERISAI PETROLEUM TEKNOLOGI
68	5183	PETRONAS CHEMICALS GROUP BERHAD
69	5681	PETRONAS DAGANGAN BERHAD
70	6033	PETRONAS GAS BERHAD
71	4634	POS MALAYSIA BERHAD
72	4065	PPB GROUP BERHAD
73	1295	PUBLIC BANK BERHAD (inc. Public Bank - F)
74	6807	PUNCAK NIAGA HOLDINGS BERHAD
75	1066	RHB CAPITAL BERHAD
76	5113	RIMBUNAN SAWIT BERHAD
77	7158	SCOMI GROUP BERHAD
78	9792	SEG INTERNATIONAL BERHAD
79	5173	SHIN YANG SHIPPING CORP BERHAD
80	4197	SIME DARBY BERHAD
81	8664	SP SETIA BERHAD

**APPENDIX 2  
AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO  
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**ANNEXURE 5  
No. 8.22(5)-002**

**DIRECTIVE ON THE LIST OF APPROVED SECURITIES**

<b>RSS-APPROVED SECURITIES</b>		
<b>No</b>	<b>STOCK CODE</b>	<b>STOCK LONG NAME</b>
<b>82</b>	<b>5211</b>	<b>SUNWAY BERHAD</b>
<b>83</b>	<b>7106</b>	<b>SUPERMAX CORPORATION BERHAD</b>
<b>84</b>	<b>4898</b>	<b>TA ENTERPRISE BERHAD</b>
<b>85</b>	<b>5158</b>	<b>TA GLOBAL BERHAD</b>
<b>86</b>	<b>4863</b>	<b>TELEKOM MALAYSIA BERHAD</b>
<b>87</b>	<b>5347</b>	<b>TENAGA NASIONAL BERHAD</b>
<b>88</b>	<b>5112</b>	<b>TH PLANTATIONS BERHAD</b>
<b>89</b>	<b>5031</b>	<b>TIME DOTCOM BERHAD</b>
<b>90</b>	<b>7113</b>	<b>TOP GLOVE CORPORATION BERHAD</b>
<b>91</b>	<b>4804</b>	<b>TRADEWINDS CORPORATION BERHAD</b>
<b>92</b>	<b>9059</b>	<b>TSH RESOURCES BERHAD</b>
<b>93</b>	<b>5148</b>	<b>UEM LAND HOLDINGS BERHAD</b>
<b>94</b>	<b>4588</b>	<b>UMW HOLDINGS BERHAD</b>
<b>95</b>	<b>5005</b>	<b>UNISEM (M) BERHAD</b>
<b>96</b>	<b>5200</b>	<b>UOA DEVELOPMENT BERHAD</b>
<b>97</b>	<b>5142</b>	<b>WAH SEONG CORPORATION BERHAD</b>
<b>98</b>	<b>9679</b>	<b>WCT BERHAD</b>
<b>99</b>	<b>4677</b>	<b>YTL CORPORATION BERHAD</b>
<b>100</b>	<b>2577</b>	<b>YTL LAND &amp; DEVELOPMENT BERHAD</b>
<b>101</b>	<b>6742</b>	<b>YTL POWER INTERNATIONAL BERHAD</b>

[End of Appendix]

**APPENDIX 2**  
**AMENDMENTS TO THE BMS DIRECTIVES IN RELATION TO**  
**THE SIMPLIFICATION OF BMS RULES AND DIRECTIVES AND**  
**FINANCIAL SERVICES ACT 2013 AND ISLAMIC FINANCIAL SERVICES ACT 2013**

<b>DIRECTIVES ON DIRECT BUSINESS TRANSACTIONS</b>	<b>ANNEXURE 6</b> <b>No. 10.01(1)-001</b>
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Relevant to : Rule 10.01(1)(d)  
Introduced with effect from : 2 May 2013  
Amended : N/A  
POs' Circular No(s). : R/R 10 of 2008  
Refer also to Directive No(s). : N/A

**1. Rule 10.01(1)(d)**

- (1) Rule 10.01(1)(d) requires a Participating Organisation to obtain the prior approval of the Exchange for a Direct Business Transaction that falls within the circumstances stated in the Rule.
- (2) Pursuant to the above Rule, a Participating Organisation must complete and submit an application to the Exchange in the format set out in Appendix 1 of this Directive.

**2. Rule 10.09(2)(b)**

- (1) Rule 10.09(2)(b) provides that if the price of a Direct Business Transaction reported to the Exchange falls within the prices stipulated in Schedule 4, a Participating Organisation must ensure that the Client executes the declaration in the form as prescribed by the Exchange.
- (2) The declaration must be made in the form set out in Appendix 2 of this Directive.

*[End of Directive]*



APPENDIX 2  
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ANNEXURE 6

<b>DIRECTIVES ON DIRECT BUSINESS TRANSACTIONS</b>	<b>No. 10.01(1)-001</b>
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**Appendix 1**

**FORM OF APPLICATION FOR APPROVAL FOR DIRECT BUSINESS TRANSACTIONS UNDER RULE  
10.01(1)(d)**

*[TO BE ADOPTED ON THE PARTICIPATING ORGANISATION'S LETTERHEAD]*

[Please insert date]

**Private and Confidential**

To:

**Head, Participants Supervision  
BURSA MALAYSIA SECURITIES BERHAD  
12th Floor, Exchange Square  
Bukit Kewangan  
50200 Kuala Lumpur**

**Dear Sir / Madam**

**PROPOSED DIRECT BUSINESS TRANSACTION ("DBT")**

Stock Name:

Stock Code:

Proposed DBT Price Per Unit:

Quantity:

Volume-Weighted Average Price (VWAP):

Variance From VWAP:

Proposed DBT Date:

Married / Crossing:

Buying Participating Organisation:

- [ Contact Person]:
- [ Designation]:
- [ Contact Number]:

Buying Client:

Selling Participating Organisation:

- [ Contact Person]:
- [ Designation]:
- [ Contact Number]:

Selling Client:

Reason for the Transaction:  
*(other than "Willing Buyer, Willing Seller")*

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ANNEXURE 6

<b>DIRECTIVES ON DIRECT BUSINESS TRANSACTIONS</b>	<b>No. 10.01(1)-001</b>
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Basis on which DBT price was agreed upon:

**Declaration for the proposed DBT is enclosed herewith.**

**Confirmation by the Participating Organisation Making The Submission**

We confirm that:

1. the information stated herein together with the supporting document and information given to Bursa Malaysia Securities Berhad in relation to the proposed DBT(s) herein duly complies with the requirements of the Rules of Bursa Malaysia Securities Berhad; and
2. the delivery and settlement of the proposed DBT(s), is to be made *\*in accordance / \*not in accordance* with the Fixed Delivery & Settlement System ("FDSS") established by Bursa Malaysia Securities Berhad through Bursa Malaysia Securities Clearing Sdn Bhd.

Dated this day of 20\_\_

.....  
(Name of signatory)  
Head of Dealing  
Authorised Signatory<sup>1</sup> *(Please specify designation)*

Date :

.....  
(Name of signatory)  
\* Head of Operations/Head of Compliance

Date :

\* *please delete where not applicable*

<sup>1</sup> *signatory has been duly authorised by the Board of Directors of the Participating Organisation concerned*

[End of Appendix 1]

