

**PARTICIPATING ORGANISATIONS' CIRCULAR**

Date : 20 October 2008

No : R/R 9 of 2008

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BERHAD  
("RULES OF BURSA SECURITIES") PERTAINING TO REGISTRATION  
PROCEDURES FOR REGISTERED PERSONS**

Kindly be advised that amendments have been made to the Rules of Bursa Securities pertaining to the registration procedures for Registered Persons ("the said Amendments").

The said Amendments are made to simplify the processes and procedures in relation to the registration of the Registered Persons with the Exchange.

The said Amendments are set out in Annexure 1 attached herewith.

Pursuant to the said amendments, the requirement to submit an application for the approval of the Exchange for registration as a Registered Person is deleted. As such, a person who is desirous to be registered as a Registered Person with the Exchange will only submit the relevant documents for registration with the Exchange.

With the said Amendments, the Exchange will give notification, in writing, to such person of the registration thereof. No approval letter will be issued.

The said Amendments shall take effect from the date hereof.

All rules, directives, circulars in force which make reference or contain provisions relating to the above matters shall have effect from the date hereof as if such reference or provisions relate to the amendments made herein.

This Circular is available at:

[http://www.bursamalaysia.com/website/bm/rules\\_and\\_regulations/bursa\\_rules/bm\\_securities.html](http://www.bursamalaysia.com/website/bm/rules_and_regulations/bursa_rules/bm_securities.html)

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

1. Ahmad Sufian Mokhtar (03-20347242)
2. Azrina Abd Rashid (03-20347326)

**REGULATORY, POLICY AND ADVISORY**

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**AMENDMENTS TO THE RULES OF BURSA MALAYSIA SECURITIES BHD IN RELATION TO THE REGISTRATION PROCEDURES FOR REGISTERED PERSONS**

Existing Rules		Amended Rules	
303.3	<p><b>RULE 303.3 REFUSAL TO REGISTER</b></p> <p>(1) The Exchange may refuse <i>an application made under the preceding Rule</i> if –</p> <p>(a) <i>the application was not made in accordance with the requirements of this Chapter</i> or the information required therein was not submitted or adequate;</p> <p>(b) <i>the applicant</i> has failed to comply with any other requirement of the Securities Laws, these Rules and/or any regulations, directives or guidelines thereunder;</p> <p>(c) the registration <i>of the applicant</i> is not in the interest of a fair and orderly market;</p> <p>(d) the Exchange is satisfied that <i>the qualifications or any of them</i> prescribed in this Chapter <i>has/have not been fulfilled by the applicant</i>; or</p> <p>(e) the Exchange is of the opinion that <i>registration of the applicant</i> may affect the optimum utilisation of its facilities, taking into account risk management or such other considerations.</p>	303.3	<p><b>RULE 303.3 REFUSAL TO REGISTER</b></p> <p>(2) The Exchange may refuse <b>to register a person as a registered person</b> if –</p> <p>(a) <b>that person does not comply with the registration procedures applicable therein</b> or the information required therein was not submitted or adequate;</p> <p>(b) <b>that person</b> has failed to comply with any other requirement of the Securities Laws, these Rules and/or any regulations, directives or guidelines thereunder;</p> <p>(c) the registration <b>of that person</b> is not in the interest of a fair and orderly market;</p> <p>(d) the Exchange is satisfied that <b>that person does not fulfil any of</b> the qualifications prescribed in this Chapter; or</p> <p>(e) the Exchange is of the opinion that <b>the registration of that person</b> may affect the optimum utilisation of its facilities, taking into account risk management or such other considerations.</p>
303.4	<p><b>RULE 303.4 RENEWAL OF REGISTRATION</b></p> <p>(1) The registration of a registered person(s) shall be subject to renewal not later than –</p> <p>(a) in the case of a registered person(s) who is required to be licensed pursuant to the Capital Markets and Services Act,</p>	303.4	<p><b>RULE 303.4 RENEWAL OF REGISTRATION</b></p> <p>(2) The registration of a registered person(s) shall be subject to renewal not later than –</p> <p>(a) in the case of a registered person(s) who is required to be licensed pursuant to the Capital Markets and Services Act,</p>

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<b>Existing Rules</b>		<b>Amended Rules</b>	
	<p>fourteen (14) days from the date of the Commission’s renewal of his licence as evidenced by the date of issuance of the licence, by <i>submitting an application to the Exchange in such form</i> as may be prescribed by the Exchange and which shall be accompanied by –</p> <p>(i) confirmation or evidence in such form as may be issued by the Commission of the renewal of the licence issued by the Commission pursuant to the Capital Markets and Services Act;</p> <p>(ii) payment of a non-refundable subscription fee prescribed by the Exchange; and</p> <p>(b) in the case of a registered person(s) being a non-licensed person, fourteen (14) days prior to each anniversary of his registration by the Exchange or within such other period as may be prescribed by the Exchange from time to time, by <i>submitting an application to the Exchange in such form</i> as may be prescribed by the Exchange and which shall be accompanied by payment of a non-refundable subscription fee prescribed by the Exchange.</p>		<p>fourteen (14) days from the date of the Commission’s renewal of his licence as evidenced by the date of issuance of the licence, by <b>submitting to the Exchange such form</b> as may be prescribed by the Exchange and which shall be accompanied by –</p> <p>(ii) confirmation or evidence in such form as may be issued by the Commission of the renewal of the licence issued by the Commission pursuant to the Capital Markets and Services Act;</p> <p>(iii) payment of a non-refundable subscription fee prescribed by the Exchange; and</p> <p>(b) in the case of a registered person(s) being a non-licensed person, fourteen (14) days prior to each anniversary of his registration by the Exchange or within such other period as may be prescribed by the Exchange from time to time, by <b>submitting to the Exchange such form</b> as may be prescribed by the Exchange and which shall be accompanied by payment of a non-refundable subscription fee prescribed by the Exchange.</p>
304A.1	<p><b>RULE 304A.1 REGISTRATION</b></p> <p>(1) <b>Obligation to Register:</b> A Chief Executive Officer appointed by an Investment Bank shall be registered with the Exchange in accordance with this Chapter.</p> <p>(2) <b>Application procedures:</b> In <i>applying to register</i> its Chief Executive Officer pursuant to the preceding Rule, the Investment Bank shall on the same day that notification is given to the Commission of the appointment of the chief executive officer as required under the Licensing Handbook (“Notification”), complete and <i>submit an</i></p>	304A.1	<p><b>RULE 304A.1 REGISTRATION</b></p> <p>(1) <b>Obligation to Register:</b> A Chief Executive Officer appointed by an Investment Bank shall be registered with the Exchange in accordance with this Chapter.</p> <p>(2) <b>Registration procedures:</b> In <b>registering</b> its Chief Executive Officer pursuant to the preceding Rule, the Investment Bank shall on the same day that notification is given to the Commission of the appointment of the chief executive officer as required under the Licensing Handbook (“Notification”), complete and <b>submit to the</b></p>

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Existing Rules		Amended Rules	
	<p><i>application to the Exchange in the form</i> prescribed in Appendix 1B, accompanied by –</p> <p>(a) a certified true copy of a valid dealer’s representative’s licence, in the event the Chief Executive Officer holds a dealer’s representative’s licence;</p> <p>(b) a copy of the Notification;</p> <p>(c) a certified true copy of the approval of the Central Bank to the Chief Executive Officer’s appointment as a Chief Executive Officer of the Investment Bank;</p> <p>(d) payment of a <i>non-refundable application fee</i> prescribed by the Exchange;</p> <p>(e) a statutory declaration by the Chief Executive Officer as to the veracity of all information provided in the form prescribed in Appendix 2B if he is a licensed person, or Appendix 2C (if he not a licensed person); and</p> <p>(f) an undertaking by the Chief Executive Officer to the Exchange in the form prescribed in Appendix 3B.</p>		<p><b>Exchange the form</b> prescribed in Appendix 1B, accompanied by –</p> <p>(a) a certified true copy of a valid dealer’s representative’s licence, in the event the Chief Executive Officer holds a dealer’s representative’s licence;</p> <p>(b) a copy of the Notification;</p> <p>(c) a certified true copy of the approval of the Central Bank to the Chief Executive Officer’s appointment as a Chief Executive Officer of the Investment Bank;</p> <p>(d) payment of a <b>non-refundable fee</b> prescribed by the Exchange;</p> <p>(e) a statutory declaration by the Chief Executive Officer as to the veracity of all information provided in the form prescribed in Appendix 2B if he is a licensed person, or Appendix 2C (if he not a licensed person); and</p> <p>(f) an undertaking by the Chief Executive Officer to the Exchange in the form prescribed in Appendix 3B.</p>
304A.4	<p><b>RULE 304A.4 RE-DESIGNATION AS DEALER’S REPRESENTATIVE</b></p> <p>(1) Where a Chief Executive Officer who holds a dealer’s representative’s licence intends, upon his resignation as envisaged in Rule 304, to apply to the Exchange <i>to be re-designated</i> as a Dealer’s Representative, the Chief Executive Officer shall comply with the requirements for registration as a Dealer’s Representative as envisaged in Rule 310 unless otherwise permitted by the Exchange in this Rule.</p>	304A.4	<p><b>RULE 304A.4 RE-DESIGNATION AS DEALER’S REPRESENTATIVE</b></p> <p>(1) Where a Chief Executive Officer who holds a dealer’s representative’s licence intends, upon his resignation as envisaged in Rule 304, <b>to be re-designated</b> as a Dealer’s Representative, the Chief Executive Officer shall comply with the requirements for registration as a Dealer’s Representative as envisaged in Rule 310 unless otherwise permitted by the Exchange in this Rule.</p>

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Existing Rules		Amended Rules	
305.2	<p><b>RULE 305.2 APPOINTMENT</b></p> <p>(1) <b>Qualification:</b> No person shall be appointed as a Head of Dealing of a Participating Organisation unless such person –</p> <p>(a) <i>whose appointment as the Head of Dealing of the Participating Organisation is approved by the Commission;</i></p> <p>(b) holds a valid dealer’s representative’s licence and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the Commission related to, such licence; and</p> <p>(c) <i>whose application for registration has been approved by the Exchange.</i></p> <p>(2) <b>Application procedures:</b> A Participating Organisation, in respect of the registration of a Head of Dealing pursuant to this Rule 305, shall complete and <i>submit an application to the Exchange in the form</i> prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) a certified true copy of a valid dealer’s representative’s licence;</p> <p>(b) certified true copy of the approval of the Commission to the Head of Dealing’s appointment as a Head of Dealing of the Participating Organisation ;</p> <p>(c) payment of a <i>non-refundable application fee</i> prescribed by the Exchange;</p> <p>(d) a statutory declaration by the Head of Dealing as to the veracity of all information provided in the form prescribed in</p>	305.2	<p><b>RULE 305.2 APPOINTMENT</b></p> <p>(1) <b>Qualification:</b> No person shall be appointed as a Head of Dealing of a Participating Organisation unless such person –</p> <p>(a) <b>is approved by the Commission to be appointed</b> as the Head of Dealing of the <b>Participating Organisation;</b></p> <p>(b) holds a valid dealer’s representative’s licence and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the Commission related to, such licence; and</p> <p>(c) <b>has completed and satisfied the requirements for</b> registration <b>with</b> the Exchange.</p> <p>(2) <b>Registration procedures:</b> A Participating Organisation, in respect of the registration of a Head of Dealing pursuant to this Rule 305, shall complete and <b>submit to the Exchange the form</b> prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) a certified true copy of a valid dealer’s representative’s licence;</p> <p>(b) certified true copy of the approval of the Commission to the Head of Dealing’s appointment as a Head of Dealing of the Participating Organisation ;</p> <p>(c) payment of a <b>non-refundable fee</b> prescribed by the Exchange;</p> <p>(d) a statutory declaration by the Head of Dealing as to the veracity of all information provided in the form prescribed in Appendix 2B;</p>

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Existing Rules		Amended Rules	
	<p>Appendix 2B;</p> <p>(e) an undertaking to the Exchange in the form prescribed in Appendix 3B; and</p> <p>(f) the respective area and scope of responsibility of each of the Heads of Dealing, where more than one (1) Head of Dealing is appointed.</p> <p>(3) <b>Additional documents:</b> The Exchange may, as it thinks fit, require <i>an applicant</i> to provide such additional information and/or documents as it may determine.</p>		<p>(e) an undertaking to the Exchange in the form prescribed in Appendix 3B; and</p> <p>(f) the respective area and scope of responsibility of each of the Heads of Dealing, where more than one (1) Head of Dealing is appointed.</p> <p>(3) <b>Additional documents:</b> The Exchange may, as it thinks fit, require <b>such person desirous to be registered with the Exchange as a Head of Dealing</b>, to provide such additional information and/or documents as it may determine.</p>
305.4	<p><b>RULE 305.4 RE-DESIGNATION AS DEALER’S REPRESENTATIVE</b></p> <p>(1) A Head of Dealing who intends upon his resignation as envisaged in Rule 304 to <i>apply to the Exchange to be re-designated</i> as a Dealer’s Representative shall comply with the requirements for registration as a Dealer’s Representative as envisaged in Rule 310 unless otherwise permitted by the Exchange in this Rule.</p>	305.4	<p><b>RULE 305.4 RE-DESIGNATION AS DEALER’S REPRESENTATIVE</b></p> <p>(1) A Head of Dealing who intends upon his resignation as envisaged in Rule 304 to <b>be re-designated</b> as a Dealer’s Representative shall comply with the requirements for registration as a Dealer’s Representative as envisaged in Rule 310 unless otherwise permitted by the Exchange in this Rule.</p>
306.2	<p><b>RULE 306.2 APPOINTMENT</b></p> <p>(1) Qualification: No person shall be appointed as a Head of Operations of a Participating Organisation unless such person –</p> <p>(a) whose appointment as the Head of Operations of the Participating Organisation is approved by the Commission and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the</p>	306.2	<p><b>RULE 306.2 APPOINTMENT</b></p> <p>(1) Qualification: No person shall be appointed as a Head of Operations of a Participating Organisation unless such person –</p> <p>(a) whose appointment as the Head of Operations of the Participating Organisation is approved by the Commission and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the</p>

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Existing Rules		Amended Rules	
	<p>Commission related to, such approval;</p> <p>(b) does not hold a Capital Markets Services Representative’s Licence; and</p> <p>(c) <i>whose application for registration has been approved by the Exchange.</i></p> <p>(2) <b>Application procedures:</b> A Participating Organisation, in respect of the registration of a Head of Operations pursuant to this Rule 306, shall complete and <i>submit an application to the Exchange in the form</i> prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) certified true copy of the approval of the Commission to the Head of Operations’ appointment as a Head of Operations of the Participating Organisation ;</p> <p>(b) payment of a <i>non-refundable application fee</i> prescribed by the Exchange;</p> <p>(c) a statutory declaration by the Head of Operations as to the veracity of all information provided in the form prescribed in Appendix 2B;</p> <p>(d) an undertaking to the Exchange in the form prescribed in Appendix 3B; and</p> <p>(e) the respective area and scope of responsibility of each of the Heads of Operations, where more than one (1) Head of Operations is appointed.</p> <p>(3) <b>Additional documents:</b> The Exchange may, as it thinks fit, require <i>an applicant</i> to provide such additional information and/or</p>		<p>Commission related to, such approval;</p> <p>(b) does not hold a Capital Markets Services Representative’s Licence; and</p> <p>(c) <b>has completed and satisfied the requirements</b> for registration <b>with</b> the Exchange.</p> <p>(2) <b>Registration procedures:</b> A Participating Organisation, in respect of the registration of a Head of Operations pursuant to this Rule 306, shall complete and <b>submit to the Exchange the form</b> prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) certified true copy of the approval of the Commission to the Head of Operations’ appointment as a Head of Operations of the Participating Organisation ;</p> <p>(b) payment of a <b>non-refundable fee</b> prescribed by the Exchange;</p> <p>(c) a statutory declaration by the Head of Operations as to the veracity of all information provided in the form prescribed in Appendix 2B;</p> <p>(d) an undertaking to the Exchange in the form prescribed in Appendix 3B; and</p> <p>(e) the respective area and scope of responsibility of each of the Heads of Operations, where more than one (1) Head of Operations is appointed.</p> <p>(3) <b>Additional documents:</b> The Exchange may, as it thinks fit, require <b>such person desirous to be registered with the Exchange as a Head of Dealing</b>, to provide such additional information and/or</p>

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Existing Rules		Amended Rules	
	documents as it may determine.  (4) <b>Payment of fees:</b> A Participating Organisation shall promptly within such period as may be stipulated pay all fees and charges imposed by the Exchange pursuant to these Rules.		documents as it may determine.  (4) <b>Payment of fees:</b> A Participating Organisation shall promptly within such period as may be stipulated pay all fees and charges imposed by the Exchange pursuant to these Rules.
307.2	(2) <b>Application procedures:</b> A Participating Organisation, in respect of the registration of a Head of Compliance pursuant to this Rule 307, shall complete and <i>submit an application to the Exchange in the form</i> prescribed in Appendix 1B and which shall be accompanied by –  (a) certified true copy of the approval of the Commission to the Head of Compliance’s appointment as a Head of Compliance of the Participating Organisation, and has satisfied or will satisfy upon registration, the terms and conditions of, or imposed by the Commission related to, such approval;  (b) a statutory declaration by the Head of Compliance as to the veracity of all information provided in the form prescribed in Appendix 2C;  (c) an undertaking to the Exchange in the form prescribed in Appendix 3B; and  (d) the respective area and scope of responsibility of each of the Heads of Compliance, where more than one (1) Head of Compliance is appointed.	307.2	(2) <b>Registration procedures:</b> A Participating Organisation, in respect of the registration of a Head of Compliance pursuant to this Rule 307, shall complete and <b>submit to the Exchange the form</b> prescribed in Appendix 1B and which shall be accompanied by –  (a) certified true copy of the approval of the Commission to the Head of Compliance’s appointment as a Head of Compliance of the Participating Organisation, and has satisfied or will satisfy upon registration, the terms and conditions of, or imposed by the Commission related to, such approval;  (b) a statutory declaration by the Head of Compliance as to the veracity of all information provided in the form prescribed in Appendix 2C;  (c) an undertaking to the Exchange in the form prescribed in Appendix 3B; and  (d) the respective area and scope of responsibility of each of the Heads of Compliance, where more than one (1) Head of Compliance is appointed.



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Existing Rules		Amended Rules	
307A.2	<p><b>RULE 307A.2 APPLICATION FOR REGISTRATION</b></p> <p>(1) <b>Procedures:</b> A Participating Organisation shall complete and <i>submit an application to the Exchange</i> to register the Head Group Compliance in the form prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) a statutory declaration by the Head Group Compliance as to the veracity of all information provided in the form prescribed in Appendix 2C; and</p> <p>(b) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>	307A.2	<p><b>RULE 307A.2 APPLICATION FOR REGISTRATION</b></p> <p>(1) <b>Procedures:</b> A Participating Organisation shall complete and <b>submit to the Exchange</b> to register the Head Group Compliance in the form prescribed in Appendix 1B and which shall be accompanied by –</p> <p>(a) a statutory declaration by the Head Group Compliance as to the veracity of all information provided in the form prescribed in Appendix 2C; and</p> <p>(b) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>
308.1	<p>(2) <b>Application procedures:</b> A Participating Organisation, in respect of the registration of a director pursuant to this Rule 308, shall on the same day that notification is given to the Commission of the appointment of the director as required under the Licensing Handbook (“Notification”), complete and <i>submit an application to the Exchange in the form</i> prescribed in Appendix 1C and which shall be accompanied by –</p> <p>(a) a copy of the Notification;</p> <p>(b) payment of a <i>non-refundable application fee</i> prescribed by the Exchange;</p> <p>(c) a statutory declaration by the director as to the veracity of all information provided in the form prescribed in Appendix 2C, or in the case of a director who holds a dealer’s representative’s licence, Appendix 2B; and</p> <p>(d) an undertaking to the Exchange in the form prescribed in</p>	308.1	<p>(2) <b>Registration procedures:</b> A Participating Organisation, in respect of the registration of a director pursuant to this Rule 308, shall on the same day that notification is given to the Commission of the appointment of the director as required under the Licensing Handbook (“Notification”), complete and <b>submit to the Exchange the form</b> prescribed in Appendix 1C and which shall be accompanied by –</p> <p>(a) a copy of the Notification;</p> <p>(b) payment of a <b>non-refundable fee</b> prescribed by the Exchange;</p> <p>(c) a statutory declaration by the director as to the veracity of all information provided in the form prescribed in Appendix 2C, or in the case of a director who holds a dealer’s representative’s licence, Appendix 2B; and</p> <p>(d) an undertaking to the Exchange in the form prescribed in</p>

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Existing Rules		Amended Rules	
	Appendix 3B.		Appendix 3B.
309.2	<p>(2) <b>Application procedures:</b> A Participating Organisation, in respect of the registration of a Compliance Officer pursuant to this Rule 309, shall complete and <i>submit an application to the Exchange</i> for the registration of its Compliance Officer in the form prescribed in Appendix 1C accompanied by –</p> <p>(a) certified true copy of the approval of the Commission to the appointment as a Compliance Officer of the Participating Organisation;</p> <p>(b) a statutory declaration by the Compliance Officer as to the veracity of all information provided in the form prescribed in Appendix 2C; and</p> <p>(c) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>	309.2	<p>(2) <b>Registration procedures:</b> A Participating Organisation, in respect of the registration of a Compliance Officer pursuant to this Rule 309, shall complete and <b>submit to the Exchange</b> for the registration of its Compliance Officer <b>the form</b> prescribed in Appendix 1C accompanied by –</p> <p>(a) certified true copy of the approval of the Commission to the appointment as a Compliance Officer of the Participating Organisation;</p> <p>(b) a statutory declaration by the Compliance Officer as to the veracity of all information provided in the form prescribed in Appendix 2C; and</p> <p>(c) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>
309.5	<p>(4) A Participating Organisation shall <i>submit to the Exchange an application in the form</i> prescribed in Appendix 1C to register the person assuming the temporary duties referred to in Rules 309.5(1), 309.5(2) and 309.5(2A) together with the statutory declaration and undertaking executed by the above person in the form prescribed in Appendix 2C and Appendix 3B respectively. The Exchange reserves the right <i>to reject an application made herein</i> in the event the Exchange is not satisfied with the experience and seniority of the person proposed to be registered herein.</p>	309.5	<p>(4) A Participating Organisation shall <b>submit to the Exchange the form</b> prescribed in Appendix 1C to register the person assuming the temporary duties referred to in Rules 309.5(1), 309.5(2) and 309.5(2A) together with the statutory declaration and undertaking executed by the above person in the form prescribed in Appendix 2C and Appendix 3B respectively. The Exchange reserves the right <b>not to register such person</b> in the event the Exchange is not satisfied with the experience and seniority of the person proposed to be registered herein.</p>
310.2	<b>RULE 310.2 EMPLOYMENT OR ENGAGEMENT OF DEALER'S REPRESENTATIVE</b>	310.2	<b>RULE 310.2 EMPLOYMENT OR ENGAGEMENT OF DEALER'S REPRESENTATIVE</b>

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Existing Rules		Amended Rules	
	(1) <b>Registration:</b> No Participating Organisation shall employ or engage a Dealer's Representative unless <i>his application for registration has been approved by the Exchange.</i>		(1) <b>Registration:</b> No Participating Organisation shall employ or engage a Dealer's Representative unless <b>the Dealer’s Representative is registered with the Exchange.</b>
310.3	<p><b>RULE 310.3 REGISTRATION OF DEALER’S REPRESENTATIVE</b></p> <p>(1) <b>Qualification:</b> No person shall be registered as a Dealer’s Representative by the Exchange unless such person holds a valid dealer’s representative’s licence and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the Commission related to, such approval.</p> <p>(2) <b>Application procedures:</b> <i>Any person desiring of being registered as a Dealer’s Representative of a Participating Organisation shall complete and submit an application to the Exchange in the prescribed in Appendix 1D and which shall be accompanied by –</i></p> <p>(a) certified true copy of a valid dealer’s representative’s licence;</p> <p>(b) a statutory declaration by <i>the applicant</i> as to the veracity of all information provided in the form prescribed in Appendix 2B; and</p> <p>(c) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>	310.3	<p><b>RULE 310.3 REGISTRATION OF DEALER’S REPRESENTATIVE</b></p> <p>(1) <b>Qualification:</b> No person shall be registered as a Dealer’s Representative by the Exchange unless such person holds a valid dealer’s representative’s licence and has satisfied or will satisfy upon registration with the Exchange, the terms and conditions of, or imposed by the Commission related to, such approval.</p> <p>(2) <b>Registration procedures:</b> A Participating Organisation, <b>in respect of the registration of a Dealer’s Representative pursuant to this Rule 307,</b> shall complete and <b>submit to the Exchange the form</b> prescribed in Appendix 1D and which shall be accompanied by –</p> <p>(a) certified true copy of a valid dealer’s representative’s licence;</p> <p>(b) a statutory declaration by <b>such person</b> as to the veracity of all information provided in the form prescribed in Appendix 2B; and</p> <p>(c) an undertaking to the Exchange in the form prescribed in Appendix 3B.</p>
311.1	<p><b>RULE 311.1 APPOINTMENT OF TRADING CLERK</b></p> <p>(1) <b>Registration:</b></p> <p>(a) No Participating Organisation or Commissioned Dealer’s</p>	311.1	<p><b>RULE 311.1 APPOINTMENT OF TRADING CLERK</b></p> <p>(1) <b>Registration:</b></p> <p>(a) No Participating Organisation or Commissioned Dealer’s</p>

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Existing Rules		Amended Rules	
	Representative (who for the purposes herein shall be referred to as the trading clerk’s principal) shall appoint any person to perform the duties of a trading clerk as envisaged in this Rules unless <i>his application for registration has been approved by</i> the Exchange.		Representative (who for the purposes herein shall be referred to as the trading clerk’s principal) shall appoint any person to perform the duties of a trading clerk as envisaged in this Rules unless <b>the trading clerk is registered with</b> the Exchange.
311.2	<p><b>RULE 311.2 REGISTRATION OF TRADING CLERK</b></p> <p>(1) <b>Application procedures:</b> Any Participating Organisation or Commissioned Dealer’s Representative desiring of appointing a trading clerk shall complete and <i>submit an application to the Exchange in such form</i> as the Exchange may from time to time prescribe and which shall be accompanied by –</p> <p>(a) certified true copy(ies) of the trading clerk’s letter of appointment;</p> <p>(b) payment of a non-refundable application fee prescribed by the Exchange; and</p> <p>(c) an undertaking by the Participating Organisation to the Exchange in the form prescribed in Appendix 3C.</p>	311.2	<p><b>RULE 311.2 REGISTRATION OF TRADING CLERK</b></p> <p>(1) <b>Registration procedures:</b> Any Participating Organisation or Commissioned Dealer’s Representative desiring of appointing a trading clerk shall complete and <b>submit to the Exchange such form</b> as the Exchange may from time to time prescribe and which shall be accompanied by –</p> <p>(a) certified true copy(ies) of the trading clerk’s letter of appointment;</p> <p>(b) payment of a non-refundable application fee prescribed by the Exchange; and</p> <p>(c) an undertaking by the Participating Organisation to the Exchange in the form prescribed in Appendix 3C.</p>

“Annexure 1”

**APPENDIX 1B – REGISTRATION FORM OF APPLICATION – CHIEF EXECUTIVE OFFICER AND HEADS**

Name of Participating Organisation:

Company Registration No.:

Address:

Date:

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

Dear Sirs,

**Application for the Appointment and Registration of a Chief Executive Officer /a Head**

We, ....., are desirous of appointing and registering the following person as a Chief Executive Officer/Head of Dealing\*/Operations\*/Compliance\* of [Participating Organisation] upon the terms and subject in all respects to the Rules of the Exchange which are now or hereafter in force, as may be amended from time to time and all directives, rulings and guidelines issued by the Exchange. In support of ~~my application~~the registration, we enclose herewith:

Name ~~of Applicant:~~

NRIC:

Address:

- (1) a duly completed application registration form together with the required supporting documents;
- (2) the non-refundable ~~application~~ fee of RM[ ];
- \*(3) a certified true copy<sup>1</sup> of a valid dealer’s representative’s licence issued by the Securities Commission\*\*;
- (4) a certified true copy<sup>1444</sup> of the approval of the Securities Commission for the ~~applicant above named’s~~ appointment as a Head of Dealing\*/Operations\*/Compliance / a certified true copy<sup>1444</sup> of the notification given to the Securities Commission of the applicant’s appointment as a Chief Executive Officer as required under the Licensing Handbook\*;
- (5) a statutory declaration by the ~~applicant above named~~ in the prescribed form; and
- (6) an undertaking by the ~~applicant above named~~ in the prescribed form.

Yours faithfully,

Signed by Authorised Signatory(ies) )  
 For and on behalf of [Participating Organisation] )  
 In the presence of: )

\* Delete whichever is not applicable  
 \*\* Only applicable to Head of Dealing Applicants

<sup>1</sup> ~~For purposes of this application, Co~~py(ies) must be certified true by a Commissioner for Oaths or Advocate & Solicitor.

“Annexure 1”

**APPENDIX 1C – REGISTRATION FORM OF APPLICATION – REGISTERED PERSONS  
(OTHER THAN DEALER’S REPRESENTATIVE, CHIEF EXECUTIVE OFFICER AND  
HEADS)**

Name of Participating Organisation:

Company Registration No.:

Address:

Date:

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

Dear Sirs,

**Application to Employment and Registration of a [Registered Person\*]**

We, ....., are desirous of employing and registering the following person as a [Registered Person\*] 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:

Name ~~of Applicant:~~

NRIC:

Address:

In support of ~~our application~~ the registration, we enclose herewith the following documents: -

- (1) a duly completed ~~application~~ registration form together with the required supporting documents;
- (2) a certified true copy<sup>1</sup> of the approval of the Securities Commission on the appointment of the ~~Applicant~~ abovenamed as a [Registered Person\*]\*\* / a certified true copy<sup>1+1</sup> of the notification given to the Securities Commission of the ~~Applicant~~ abovenamed's appointment as a [Registered Person\*] as required under the Licensing Handbook\*\*;
- (3) the non-refundable ~~application~~ fee of RM[ ] and registration fee of RM[ ]; and
- (4) an undertaking in the prescribed form.

Yours faithfully,

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

\* Please specify the category of Registered Person other than a Dealer’s Representative, Chief Executive Officer or Head.  
 \*\* Delete whichever is not applicable

<sup>1</sup> ~~For purposes of this application, C~~copy(ies) must be certified true by a Commissioner for Oaths or Advocate & Solicitor.

“Annexure 1”

**APPENDIX 1D – REGISTRATON FORM OF APPLICATION – DEALER’S REPRESENTATIVE**

Name of Participating Organisation:

Company Registration No.:

Address:

Date:

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

Dear Sirs,

**Application to Employment/Engagement\* and Registration of Dealer’s Representative**

We, ....., are desirous of employing/engaging\* and registering the following person as a Commissioned/Salaried\* Dealer’s Representative 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:

Name of Applicant:

NRIC:

Address:

In support of ~~our application~~ the registration, we enclose herewith the following documents:-

- (1) a duly completed ~~application~~ registration form together with the required supporting documents;
- (2) a certified true copy<sup>1</sup> of a valid dealer’s representative licence issued by the Securities Commission;
- (3) a duly executed and stamped duplicate of the Standard Remisiers’ Agreement between the ~~applicant~~ abovenamed and [Participating Organisation]\*\*;
- (4) the non-refundable ~~application~~ fee of [ ];
- (5) a statutory declaration by the ~~applicant~~ abovenamed in the prescribed form; and
- (6) an undertaking by the ~~applicant~~ abovenamed in the prescribed form.

Yours faithfully,

Signed by Authorised Signatory(ies) )  
 For and on behalf of [Participating Organisation] )  
 in the presence of: )

\* Delete whichever is not applicable  
 \*\* Only applicable to Commissioned Dealer’s Representative Applicants

<sup>1</sup> ~~For purposes of this application, e~~Copy(ies) must be certified true by a Commissioner for Oaths or Advocate & Solicitor.

**“Annexure 1”**

**APPENDIX 2B - STATUTORY DECLARATION – LICENSED REGISTERED PERSON**

I, ..... of .....  
the proposed [Registered Person\*] of [Participating Organisation] and for the purpose of registration with Bursa Malaysia Securities Berhad (“the Exchange”) as a [Registered Person\*] under the Rules of the Exchange (“the Rules”), do solemnly declare and undertake as follows:-

- (a) that I satisfy all the conditions prescribed in Chapter 3 of the Rules for registration with the Exchange as a [Registered Person\*] of [Participating Organisation];
- (b) that I am a holder of a valid dealer’s representative licence issued by the Securities Commission;
- (c) that the information and documents furnished or submitted to the Exchange for the purposes of accompanying the application for registration as [Registered Person\*] are complete and accurate;
- (d) that I hereby authorise the Exchange to obtain and pass all or any information directly or indirectly related to me from and to, any regulatory authority in Malaysia and elsewhere for the purposes of discharging all or any of the functions of the Exchange and for regulatory purposes including for any other purpose related thereto;
- (e) that I shall notify the Exchange immediately in writing of any changes hereafter, in the information given;
- (f) that until and unless I have been duly registered by the Exchange as a [Registered Person\*], I shall not in any manner whatsoever act for and on behalf of [Participating Organisation];
- (g) that I hereby agree to abide by the decision of the Exchange in relation to ~~the application for~~ my registration as a [Registered Person\*] with [Participating Organisation];
- (h) that I hereby agree, if approved/registered, to comply with and be bound by the Rules and all directives and guidelines issued by the Exchange which are or may be in force from time to time.

I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declaration Act 1960.

**SUBSCRIBED AND SOLEMNLY** )  
declared by the abovenamed )  
) )  
at )  
in the State of )  
this day of )  
20 )

Before me,

Commissioner for Oaths

\* Please specify the category of Licensed Registered Person.



**“Annexure 1”**

**APPENDIX 2C - STATUTORY DECLARATION – NON-LICENSED REGISTERED PERSON**

I, ..... of ..... ,  
the proposed [Registered Person\*] of [Participating Organisation] and for the purpose of registration with Bursa Malaysia Securities Berhad (“the Exchange”) as a [Registered Person\*] under the Rules of the Exchange (“the Rules”), do solemnly declare and undertake as follows:-

- (a) that I satisfy all the conditions prescribed in Chapter 3 of the Rules for registration with the Exchange as a [Registered Person\*] of [Participating Organisation];
- (b) that I am not a holder of a valid dealer’s representative licence issued by the Securities Commission;
- (c) that the information and documents furnished or submitted to the Exchange for the purposes of accompanying the application for registration as [Registered Person\*] are complete and accurate;
- (d) that I hereby authorise the Exchange to obtain and pass all or any information directly or indirectly related to me from and to, any regulatory authority in Malaysia and elsewhere for the purposes of discharging all or any of the functions of the Exchange and for regulatory purposes including for any other purpose related thereto;
- (e) that I shall notify the Exchange immediately in writing of any changes hereafter, in the information given;
- (f) that until and unless I have been duly registered by the Exchange as a [Registered Person\*], I shall not in any manner whatsoever act for and on behalf of [Participating Organisation];
- (g) that I hereby agree to abide by the decision of the Exchange in relation to the application for my registration as a [Registered Person\*] with [Participating Organisation];
- (h) that I hereby agree, if approved/registered, to comply with and be bound by the Rules and all directives and guidelines issued by the Exchange which are or may be in force from time to time.

I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declaration Act 1960.

**SUBSCRIBED AND SOLEMNLY** )  
declared by the abovenamed )  
) )  
at )  
in the State of )  
this day of )  
20 )

Before me,

Commissioner for Oaths

\*Please specify the category of Non-Licensed Registered Person.

**“Annexure 1”**

**APPENDIX 3C - UNDERTAKING BY PARTICIPATING ORGANISATION  
FOR THE EMPLOYMENT OF TRADING CLERK**

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

To

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

In consideration of the Exchange ~~approving at our request for the registration of~~ ..... NRIC No. .... ~~with the Exchange~~ as a Trading Clerk of [Participating Organisation] with the Exchange in accordance with the Rules of Bursa Malaysia Securities Berhad (“the Rules”) and all directives and guidelines issued by the Exchange, we hereby irrevocably and unconditionally undertake and agree as follows:-

- (a) to take all steps necessary to ensure that the Trading Clerk complies with the Rules which now are or may hereafter be in force and all directives rulings and guidelines issued by the Exchange in so far as they apply directly or indirectly to a Trading Clerk;
- (b) to be liable to honour all actions, contracts and obligations entered into by the Trading Clerk in the course of his duties regardless of whether [Participating Organisation] is his principal; and
- (c) 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 the part of the Trading Clerk to comply or failure by us to take all necessary steps to ensure compliance by the Trading Clerk with any provisions in the Rules and/or any directives and guidelines issued by the Exchange.

We acknowledge that the abovenamed shall remain registered with the Exchange as a Trading Clerk of [Participating Organisation] at the discretion of the Exchange.

The above undertaking has been signed by me as ..... (designation) of [Participating Organisation] pursuant to authority granted to me by resolution of the board of directors of [Participating Organisation] on .....

Signed by Authorised Signatory(ies) )  
 for and on behalf of the Participating Organisation )  
 )  
 in the presence of )