

**GUIDELINES ON ACCOUNT QUALIFIER**

These guidelines prescribe the precise wordings to be used when completing the account qualifier fields of securities accounts for the respective categories enumerated herein: -

<b>CATEGORY A</b>	<b>EXEMPT AUTHORISED NOMINEES</b>
<b>CATEGORY A1</b>	<b>EXEMPT AUTHORISED NOMINEES UNDER THE SCHEDULE OF THE SECURITIES INDUSTRY (CENTRAL DEPOSITORIES) (EXEMPTION) ORDER 2005 (“THE EXEMPTION ORDER 2005”)</b>

1. Exempt Authorised Nominees as stipulated under the Schedule of the Exemption Order 2005, **are required** to complete the account qualifier field. In completing the account qualifier field, they are **given the options** stated below: -

a. Exempt Authorised Nominees who choose to declare the beneficial owners’ names in full, must ensure that their account qualifier fields comply with the naming convention stated in Category B1.

**OR**

b. Exempt Authorised Nominees who choose not to declare the beneficial owners must complete their account qualifier fields in the manner stated below: -

i. Exempt Authorised Nominees that are nominee companies as stipulated under Items 1 to 7 of the Schedule of the Exemption Order 2005 holding securities for a particular intermediary that is a direct client of the Exempt Authorised Nominee and has given instruction to such Exempt Authorised Nominee to hold deposited securities on its behalf or on behalf of its clients (“Instructing Client”) must complete their account qualifier fields in the following manner:-

<b>Item No.</b>	<b>Scenario</b>	<b>Account Qualifier Field To Be Completed As: -</b>
1	ABC Nominees (Asing) Sdn Bhd an Exempt Authorised Nominee has been appointed by a foreign intermediary i.e. ABC Private Limited to hold securities on behalf of its clients.	<b>Exempt AN for ABC Private Limited</b> <b>Note: The Instructing Client shall be a body corporate and the name of the Instructing Client shall be stated in full. You are not allowed to abbreviate the name of the Instructing Client.</b>

**Note: This is not applicable for Exempt Authorised Nominees that are nominee companies operating a Clearing Account for the purpose of Institutional Settlement Services (ISS) transactions, holding securities in relation to a Depository Receipt Programme or holding unclaimed securities whereby the beneficial owners are unknown. Such nominee companies must comply with the guidelines contained in paragraphs ii to iv below.**

ii. Exempt Authorised Nominees holding underlying securities for Depository Receipt Programmes must complete their account qualifier fields in the following manner: -

Scenario	Account Qualifier Field to be completed as: -
ABC Nominees (Asing) Sdn Bhd an Exempt Authorised Nominee acting as a custodian for a DR programme issued by AA International Limited in relation to XYZ Bhd.	<p data-bbox="815 376 1430 450"><i>&lt;Name of issuer of the DR&gt; DR PROG. for &lt;name of the securities in full&gt;</i></p> <p data-bbox="815 481 1430 555">E.g. AA International Limited DR PROG. for XYZ Bhd</p>

- iii. Exempt Authorised Nominees operating clearing account for the purpose of Institutional Settlement Services (ISS) transactions must complete their account qualifier fields in the manner prescribed under the rules and guidelines of Bursa Malaysia Securities Clearing Sdn Bhd.
- iv. The other categories of Exempt Authorised Nominee, including recognised clearing house under section 38 Capital Markets and Services Act 2007, Minister of Finance, Minister of Finance Incorporated, the Accountant General, the Registrar of Unclaimed Monies, a registered issuing house, Japan Securities Clearing Corporation in relation to YTL Corporation Bhd shares, Exempt Authorised Nominee that are holding unclaimed securities and all the remaining categories of Exempt Authorised Nominee must complete their account qualifier fields in the following manner:-

Account Qualifier Field to be completed as: -
Exempt AN

**CATEGORY B**      **AUTHORISED NOMINEES****CATEGORY B1**      **CUSTODY ACCOUNTS**

1. Authorised Nominee holding securities for the purpose of custody must complete their account qualifier fields in the following manner: -

Scenario	Account Qualifier Field to be completed as: -
ABC Nominees (Asing) Sdn Bhd acting as a custodian for a foreign intermediary (Asia Pacific Pte Ltd) with "Thomas Smith" as the beneficial owner.	<p><i>&lt; intermediary &gt; for &lt; name of beneficial owner &gt;</i></p> <p>E.g. Asia Pacific Pte Ltd for Thomas Smith</p> <p><u>Note:</u> Only one intermediary may be named. The intermediary name is optional and can be abbreviated. However, the beneficial owner's name must be in full.</p>

**CATEGORY B2**      **PLEGDED SECURITIES ACCOUNTS**

2. Authorised Nominees holding "pledged securities", pursuant to Section 40 (3) of Securities Industry (Central Depositories) Act 1991, must include "Pledged Securities Account" in their account qualifier fields.

Example: Where ABC Bank Bhd provides financing to its client "Thomas Smith" and accepts pledged securities from Thomas Smith (who is the beneficial owner of the securities), the following account qualifiers for the Pledged Securities Account must be used:

Scenario	Account Qualifier Field to be completed as: -
The pledged securities account is maintained in the name of ABC Bank Bhd.	<p><i>Pledged Securities Account for &lt; name of beneficial owner &gt;</i></p> <p>E.g. Pledged Securities Account for Thomas Smith</p>

OR

Scenario	Account Qualifier Field to be completed as: -
The pledged securities account is maintained in the name of ABC Nominees (Asing) Sdn Bhd, the wholly owned nominee company of ABC Bank Bhd.	<p><i>Pledged Securities Account for &lt; name of beneficial owner &gt;</i></p> <p>E.g. Pledged Securities Account for Thomas Smith</p>

OR

The pledged securities account is maintained in the name of XYZ Nominees (Asing) Sdn Bhd, acting as a custodian for ABC Bank Bhd.	<p><b><i>Pledged Securities Account - &lt;pledgee / intermediary&gt; for &lt;name of beneficial owner&gt;</i></b></p> <p>E.g. Pledged Securities Account - ABC Bank Bhd for Thomas Smith</p> <p>OR</p> <p><b><i>Pledged Securities Account for &lt;name of beneficial owner&gt;</i></b></p> <p>E.g. Pledged Securities Account for Thomas Smith</p>
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**CATEGORY B3****PRINCIPAL SECURITIES ACCOUNTS OF AUTHORISED DEPOSITORY AGENTS WHO ARE PARTICIPATING ORGANISATIONS OF STOCK EXCHANGES**

3. Authorised Depository Agents who are participating organisations of stock exchanges must complete the account qualifiers for their principal securities accounts in accordance with the rules of the respective stock exchanges.

**i. SCENARIO 1 - OMNIBUS ACCOUNT**

<b>Scenario</b>	<b>Account Qualifier Field to be completed as:-</b>
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd has opened a principal account for the purpose of clearing)	<b><i>Exempt AN &lt;Naming convention prescribed by Bursa Malaysia Securities Bhd&gt;</i></b>

**ii. SCENARIO 2 - UNDER THE NAME OF BENEFICIAL OWNER**

<b>Scenario</b>	<b>Account Qualifier Field to be completed as:-</b>
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd has opened a principal account for the purpose of clearing)	<b><i>&lt;Naming convention prescribed by Bursa Malaysia Securities Bhd&gt;</i></b>

**CATEGORY C****OTHERS****CATEGORY C1****NOMINEE COMPANIES WHO ARE BENEFICIAL OWNERS**

1. All nominee companies who have declared themselves to be beneficial owners of the securities in the securities account must complete their account qualifier fields in the following manner:-

Scenario	Account Qualifier Field to be completed as:-
XYZ Nominees (Tempatan) Sdn Bhd (Where XYZ Nominees (Tempatan) Sdn Bhd is a nominee company acting as principal /beneficial owner to the securities in the securities account.)	<i>As beneficial owner</i>

**CATEGORY C2****SHARE BUY BACK ACCOUNTS**

2. Issuers which open securities accounts for the purchase of their own securities in a share buy-back pursuant to the relevant laws, regulations or rules must complete their account qualifier fields in the following manner :-

Scenario	Account Qualifier Field to be completed as: -
ABC Berhad (Where ABC Berhad purchases its own securities pursuant to the relevant laws, regulations or rules)	<i>Share Buy Back Account</i>

**CATEGORY C3****SECURITIES BORROWING AND LENDING ACCOUNTS AND ISLAMIC SECURITIES SELLING AND BUYING FOR NEGOTIATED TRANSACTIONS ACCOUNTS (ISSBNT)**

3. All securities accounts held by the Borrower (for Bursa SBL Transactions), the Approved SBLNT Borrower (for SBL Negotiated Transactions) and Approved User (for (ISSBNT)) must contain the following account qualifier fields:-

- 3.1 RSS/SBL/ISSBNT or PSS/SBL/ISSBNT securities account of the Participating Organisations (PO) of the stock exchange as Borrower or Approved SBLNT Borrower or Approved User.

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd has opened a principal Investment account for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for itself)	<i>RSS/SBL/ISSBNT IVT</i>
	<i>PSS/SBL/ISSBNT IVT</i>

- 3.2 RSS/SBL/ISSBNT or PSS/SBL/ISSBNT securities account of an Approved SBLNT Borrower or an Approved User that is a non-PO.

Scenario	Account Qualifier Field to be completed as:-
XYZ Broker Ltd (Where XYZ Broker Ltd an Approved SBLNT Borrower or an Approved User has opened a CDS Account for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for itself)	<i>RSS/SBL/ISSBNT</i>
	<i>PSS/SBL/ISSBNT</i>

- 3.3 RSS/SBL/ISSBNT or PSS/SBL/ISSBNT securities account for each Borrower's Client /Approved SBLNT Borrower/ Approved User that is a non-PO.

3.3.1 Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd a PO has opened a principal Clearing account for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for ABC Pte Ltd. ABC Pte Ltd can either be a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User that is a non-PO.)	<i>RSS/SBL/ISSBNT CLR for &lt; Borrower's Client / Approved SBLNT Borrower / Approved User (Name of the Beneficial Owner) &gt;</i> E.g. RSS/SBL/ISSBNT CLR for ABC Pte Ltd
	<i>PSS/SBL/ISSBNT CLR for &lt; Borrower's Client / Approved SBLNT Borrower / Approved User (Name of the Beneficial Owner) &gt;</i> E.g. PSS/SBL/ISSBNT CLR for ABC Pte Ltd

**OR**

Scenario	Account Qualifier Field to be completed as:-
<p>ABC Nominees (Tempatan) Sdn Bhd (Where ABC Securities Sdn Bhd a PO is using its wholly owned nominee account i.e. ABC Nominees (Tempatan) Sdn Bhd for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for XYZ Sdn Bhd. XYZ Sdn Bhd can either be a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User that is a non-PO.)</p>	<p><b><i>RSS/SBL/ISSBNT for &lt; Borrower's Client / Approved SBLNT Borrower /Approved User (Name of the Beneficial Owner) &gt;</i></b></p> <p>E.g. RSS/SBL/ISSBNT for XYZ Sdn Bhd</p> <p><b><i>PSS/SBL/ISSBNT for &lt; Borrower's Client / Approved SBLNT Borrower /Approved User (Name of the Beneficial Owner) &gt;</i></b></p> <p>E.g. PSS/SBL/ISSBNT for XYZ Sdn Bhd</p>

**OR**

3.3.2 RSS/SBL/ISSBNT or PSS/SBL/ISSBNT securities account for each client of an Approval SBLNT Borrower or an Approved User that is a non-PO but having Authorised Nominee status.

Scenario	Account Qualifier Field to be completed as:-
<p>XYZ Broker Ltd (Where XYZ Broker Ltd an Approved SBLNT Borrower/ an Approved User that is a non-PO but having Authorized Nominee status opens a CDS for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for its client i.e. ABC Pte Ltd.)</p>	<p><b><i>RSS/SBL/ISSBNT for &lt; / Approved SBLNT Borrower's or Approved User Client (Name of the Beneficial Owner) &gt;</i></b></p> <p>E.g. RSS/SBL/ISSBNT for ABC Pte Ltd</p> <p><b><i>PSS/SBL/ISSBNT for &lt; / Approved SBLNT Borrower's or Approved User Client (Name of the Beneficial Owner) &gt;</i></b></p> <p>E.g. PSS/SBL/ISSBNT for ABC Pte Ltd</p>

## 3.3.3 Exempt Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
<p>ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd a PO has opened a principal Clearing account for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for an Instructing Client i.e. Foreign Broker Pte. Ltd. Foreign Broker Pte Ltd can be either be a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User that is a non PO and is performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities on behalf of its clients.)</p>	<p><b><i>RSS/SBL/ISSBNT Exempt AN CLR for &lt;Borrower's Client / Approved SBLNT Borrower/ Approved User (Name of the Instructing Client of the ADA) &gt;</i></b></p> <p>E.g. RSS/SBL/ISSBNT Exempt AN CLR for Foreign Broker Pte Ltd</p> <p><b><i>PSS/SBL/ISSBNT Exempt AN CLR for &lt;Borrower's Client / Approved SBLNT Borrower/ Approved User (Name of the Instructing Client of the ADA) &gt;</i></b></p> <p>E.g. PSS/SBL/ISSBNT Exempt AN CLR for Foreign Broker Pte Ltd</p>

OR

Scenario	Account Qualifier Field to be completed as:-
<p>ABC Nominees (Asing) Sdn Bhd (Where ABC Securities Sdn Bhd a PO is using its wholly owned nominee account i.e. ABC Nominees (Asing) Sdn Bhd for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for an Instructing Client i.e. Foreign Broker Pte. Ltd. Foreign Broker Pte Ltd can either be a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User that is a non PO and is performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities on behalf of its clients.)</p>	<p><b><i>RSS/SBL/ISSBNT Exempt AN for &lt;Borrower's Client / Approved SBLNT Borrower / Approved User (Name of the Instructing Client of the ADA)&gt;</i></b></p> <p>E.g. RSS/SBL/ISSBNT Exempt AN for Foreign Broker Pte Ltd</p> <p><b><i>PSS/SBL/ISSBNT Exempt AN for &lt;Borrower's Client / Approved SBLNT Borrower / Approved User (Name of the Instructing Client of the ADA) &gt;</i></b></p> <p>E.g. PSS/SBL/ISSBNT Exempt AN for Foreign Broker Pte Ltd</p>

OR



- 3.3.4 RSS/SBL/ISSBNT or PSS/SBL/ISSBNT securities account for clients of an Approved SBLNT Borrower or an Approved User that is a non-PO but having Exempt Authorized status.

Scenario	Account Qualifier Field to be completed as:-
<p>XYZ Broker Ltd (Where XYZ Broker Ltd an Approved SBLNT Borrower or an Approved User that is a non-PO but having Exempt Authorized Nominee status opens a CDS for the purpose of performing RSS/SBL/ISSBNT or PSS/SBL/ISSBNT activities for its client i.e. Foreign Broker Ltd.)</p>	<p><b><i>RSS/SBL/ISSBNT Exempt AN for &lt; Approved SBLNT Borrower's or Approved User (Name of the Instructing Client of the Exempt Authorised Nominee) &gt;</i></b></p> <p>E.g. RSS/SBL/ISSBNT Exempt AN for Foreign Broker Ltd.</p> <p><b><i>PSS/SBL/ISSBNT Exempt AN for &lt; Approved SBLNT Borrower's or Approved User (Name of the Instructing Client of the Exempt Authorised Nominee) &gt;</i></b></p> <p>E.g. PSS/SBL/ISSBNT Exempt AN for Foreign Broker Ltd.</p>

- 3.4 SBL/ISSBNT securities accounts maintained by an Approved SBLNT Borrower or an Approved User that is a non-PO with an Authorised Direct Member (ADM).

3.4.1. Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
<p>XYZ Nominee (Asing) Sdn Bhd (Where XYZ Nominee (Asing) Sdn Bhd is acting as a custodian for a foreign intermediary i.e. ABC Pte Ltd. ABC Pte Ltd is a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User who is holding the loaned securities/ISSBNT securities on behalf of its client i.e. John Smith.)</p>	<p><b><i>SBL/ISSBNT of &lt; Borrower's Client / Approved SBLNT Borrower/ Approved User&gt; for &lt;Name of Beneficial Owner&gt;</i></b></p> <p>E.g. SBL /ISSBNT of ABC Pte Ltd for John Smith</p>

OR

Scenario	Account Qualifier Field to be completed as:-
XYZ Nominee (Asing) Sdn Bhd (Where XYZ Nominee (Asing) Sdn Bhd is acting as a custodian for a foreign intermediary i.e. ABC Pte Ltd. ABC Pte Ltd is a Borrower's client under Bursa SBL or an Approved SBLNT Borrower or an Approved User that is holding the loaned securities/ISSBNT securities for itself.	<p data-bbox="813 403 1428 481"><b><i>SBL/ISSBNT of &lt; Borrower's Client / Approved SBLNT Borrower / Approved User&gt;</i></b></p> <p data-bbox="813 504 1228 537">E.g. SBL/ISSBNT of ABC Pte Ltd</p>

## 3.4.2. Exempt Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
XYZ Nominee (Asing) Sdn Bhd (Where XYZ Nominee (Asing) Sdn Bhd is acting as a custodian for a foreign intermediary i.e. Foreign Broker Pte Ltd. Foreign Broker Pte Ltd is a Borrower's client under Bursa SBL Transactions or an Approved SBLNT Borrower or an Approved User that is holding the loaned securities/ISSBNT Securities on behalf of its clients.)	<p data-bbox="813 940 1428 1019"><b><i>SBL/ISSBNT Exempt AN for &lt; Borrower's Client / Approved SBLNT Borrower / Approved User&gt;</i></b></p> <p data-bbox="813 1041 1420 1108">E.g. SBL/ISSBNT Exempt AN for Foreign Broker Pte Ltd</p>

## 3.5 SBL/ISSBNT securities account for Potential Trade Failure on the part of the Borrower/Approved User or its Clients.

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd as a Borrower/Approved User has opened a principal Error account to perform borrowing activities involving its potential trade failure or of its clients)	<p data-bbox="813 1579 1428 1657"><b><i>SBL/ISSBNT Exempt AN ERROR for Potential Trade Failure</i></b></p>

**CATEGORY C4****EXCHANGE TRADED FUND (ETF) ACCOUNTS**

4. All securities accounts opened for the purpose of dealing in ETF must complete their account qualifier fields in the following manner:-
- 4.1 ETF securities account of the Participating Dealer for the purpose of arbitrage, creation and redemption for their proprietary positions.

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd has opened a principal Investment account for the purpose of arbitrage, creation and redemption for their proprietary positions)	<i>IVT - ETF</i>

- 4.2 ETF securities account for the purpose of creation and redemption for Participating Dealer's clients.

## 4.2.1. Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
ABC Nominees (Tempatan) Sdn Bhd (Where ABC Nominees (Tempatan) Sdn Bhd is a wholly owned nominee company of a Participating Dealer has opened a CDS account for the purpose of creation and redemption for ABC Fund.	<i>ETF for ABC Fund</i>

## 4.2.2. Exempt Authorised Nominees Securities Accounts

Scenario	Account Qualifier Field to be completed as:-
ABC Nominees (Tempatan) Sdn Bhd (Where ABC Nominees (Tempatan) Sdn Bhd is a wholly owned nominee company of a Participating Dealer has opened a CDS account for the purpose of creation and redemption for their clients.	<i>Exempt AN for ETF</i>

**CATEGORY C5****MARKET MAKER'S ACCOUNT WITH REGARDS TO EXCHANGE TRADED FUNDS, EXCHANGE TRADED BONDS, STRUCTURED WARRANTS AND ELIGIBLE STOCK**

5. All securities accounts opened by Market Makers (MM) for the purpose of market making with regards to Exchange Traded Funds (ETF), Exchange Traded Bonds (ETB), Structured Warrants (SW) and Eligible Stock must complete their account qualifier fields in the following manner:-

- 5.1 Securities account of a Market Maker in relation to performing market making for ETFs

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd is the registered market maker and has opened a CDS account for the purpose of performing market making with regards to each issue of ETFs, i.e. FB30ETF and ABFMY1.	<b>MM - &lt;ETF Product Name&gt;</b>  E.g.:- ABC Securities Sdn Bhd MM – FB30ETF

- 5.2 A Market Maker using securities account opened under an Authorised Nominee to perform market making for ETFs

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Nominees (Tempatan) Sdn Bhd (Authorised Nominee)  (Where XYZ Sdn Bhd the registered market maker is using an account under ABC Securities Nominee (Tempatan) Sdn Bhd to perform market making for an ETF program i.e. FB30ETF)	<b>MM - &lt;ETF Product Name&gt; for &lt;Name of Market Maker&gt;</b>  Eg :- ABC Securities Nominee (Tempatan) Sdn Bhd MM – FBM30ETF for XYZ Sdn Bhd

- 5.3 A foreign corporation as a Market Maker opened an account under an Authorised Nominee to perform market making for ETFs.

Scenario	Account Qualifier Field to be completed as: -
DEF Pty Ltd (DEF Pty Ltd is the registered market maker and has opened a CDS account with a foreign intermediary (Morgan Stanley) to perform market making for an ETF program i.e. FBM30ETF). Morgan Stanley then trades through ABC Securities Nominees (Asing) Sdn Bhd.	<b>MM - &lt;ETF Product Name&gt; -Foreign Intermediary for &lt;Name of Market Maker&gt;</b>  Eg :- ABC Securities Nominee (Asing) Sdn Bhd MM – FBM30ETF – Morgan Stanley for DEF Pty Ltd

## 5.4 Securities account of a Market Maker in relation to performing market making for SW.

Scenario	Account Qualifier Field to be completed as:-
DEF Sdn Bhd (DEF Sdn Bhd is the registered market maker and has opened a CDS account for the purpose of performing market making with regards to all issues of SW)	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;SWP&gt;</b></div> Eg :- DEF Sdn Bhd MM - SWP

## 5.5 A Market Maker using securities account opened under an Authorised Nominee to perform market making for SW

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Nominees (Asing ) Sdn Bhd (Authorised Nominee)  (Where Foreign Broker Pte Ltd the registered market maker is using an account under ABC Securities Nominee (Asing) Sdn Bhd to perform market making for all issues of SW)	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;SWP&gt; for &lt;Name of Market Maker</b></div> Eg :- ABC Securities Nominee (Asing) Sdn Bhd MM – SWP for Foreign Broker Pte Ltd

## 5.6 A foreign corporation as a Market Maker opened an account under an Authorised Nominee to perform market making for SW.

Scenario	Account Qualifier Field to be completed as: -
DEF Pty Ltd (DEF Pty Ltd is the registered market maker and has opened a CDS account with a foreign intermediary (Morgan Stanley) for the purpose of performing market making with regards to all issues of SW. Morgan Stanley then trades through ABC Securities Nominees (Asing) Sdn Bhd.	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;SWP&gt; -Foreign Intermediary for &lt;Name of Market Maker&gt;</b></div> Eg :- ABC Securities Nominee (Asing) Sdn Bhd MM – SWP – Morgan Stanley for DEF Pty Ltd

## 5.7 Securities account of a Market Maker in relation to performing market making for ETBs

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd is the registered market maker and has opened a CDS account for the purpose of performing market making with regards to bonds which are traded on Bursa Malaysia Securities)	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;ETB&gt;</b></div> Eg :- ABC Securities Sdn Bhd MM – ETB

## 5.8 A Market Maker using securities account opened under an Authorised Nominee to perform market making for ETBs

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Nominees (Asing ) Sdn Bhd (Authorised Nominee)  (Where XYZ Pte Ltd the registered market maker is using an account under ABC Securities Nominee (Asing) Sdn Bhd to perform market making for bonds which are traded on Bursa Malaysia Securities)	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;ETB&gt; for &lt;Name of Market Maker</b></div> Eg :- ABC Securities Nominee (Asing )Sdn Bhd MM – ETB for XYZ Pte Ltd

## 5.9 Securities account of a Market Maker in relation to performing market making for Eligible Stock

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd is the registered market maker and has opened a CDS account for the purpose of performing market making for Eligible Stocks which are traded on Bursa Malaysia Securities)	<div style="background-color: #e0e0e0; text-align: center; padding: 5px;"><b>MM - &lt;ES&gt;</b></div> Eg :- ABC Securities Sdn Bhd MM – ES

5.10 A Market Maker using securities account opened under an Authorised Nominee to perform market making for Eligible Stock.

<b>Scenario</b>	<b>Account Qualifier Field to be completed as:-</b>
<p>ABC Securities Nominees (Asing ) Sdn Bhd (Authorised Nominee)</p> <p>(Where XYZ Pte Ltd the registered market maker is using an account under ABC Securities Nominee (Asing) Sdn Bhd to perform market making for Eligible Stocks which are traded on Bursa Malaysia Securities)</p>	<p><b><i>MM - &lt;ES&gt; for &lt;Name of Market Maker</i></b></p> <p>Eg :- ABC Securities Nominee (Asing )Sdn Bhd MM – ES for XYZ Pte Ltd</p>

5.11 Securities account of a Market Maker in relation to performing Permitted Short Selling for Eligible Stock

<b>Scenario</b>	<b>Account Qualifier Field to be completed as:-</b>
<p>ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd is the registered market maker and has opened a CDS account for the purpose of Permitted Short Selling for Eligible Stocks which are traded on Bursa Malaysia Securities)</p>	<p><b><i>PSS/MM - &lt;ES&gt;</i></b></p> <p>Eg :- ABC Securities Sdn Bhd PSS/MM – ES</p>

5.12 A Market Maker using securities account opened under an Authorised Nominee to perform Permitted Short Selling for Eligible Stock.

<b>Scenario</b>	<b>Account Qualifier Field to be completed as:-</b>
<p>ABC Securities Nominees (Asing ) Sdn Bhd (Authorised Nominee)</p> <p>(Where XYZ Pte Ltd the registered market maker is using an account under ABC Securities Nominee (Asing) Sdn Bhd to perform permitted short selling for Eligible Stocks which are traded on Bursa Malaysia Securities)</p>	<p><b><i>PSS/MM - &lt;ES&gt; for &lt;Name of Market Maker</i></b></p> <p>Eg :- ABC Securities Nominee (Asing )Sdn Bhd PSS/MM – ES for XYZ Pte Ltd</p>

**\*In the case of a Market Maker that is a participating organization of stock exchange and opens a CDS account in its own name to undertake market making activities, such Market Maker must open the CDS account under Account Type "Investment".**

**CATEGORY C6****STABILIZING MANAGER'S ACCOUNT WITH REGARDS TO PRICE STABILIZING ACTION**

6. All securities accounts opened by a Stabilizing Manager for the purpose of price stabilizing action with regards to an Initial Public Offering (IPO) must complete their account qualifier fields in the following manner:-

6.1 Securities account of a Stabilizing Manager in relation to performing price stabilizing action in relation to an IPO

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Sdn Bhd (Where ABC Securities Sdn Bhd is the Stabilizing Manager and has opened a CDS account for the purpose of performing price stabilizing with regards to a particular Stock X.)	<p style="text-align: center;"><b><i>Price Stabilizing</i></b></p> <p>E.g.:- ABC Securities Sdn Bhd Price Stabilizing</p>

6.2 A Stabilizing Manager using securities account opened under an Authorised Nominee to perform price stabilizing action with regards to an IPO

Scenario	Account Qualifier Field to be completed as:-
ABC Securities Nominees (Tempatan) Sdn Bhd (Authorised Nominee)  (Where XYZ Sdn Bhd is the Stabilizing Manager is using an account under ABC Securities Nominee (Tempatan) Sdn Bhd to perform price stabilizing action for a particular Stock Y)	<p style="text-align: center;"><b><i>Price Stabilizing – XYZ Sdn Bhd</i></b></p> <p>Eg :- ABC Securities Nominee (Tempatan) Sdn Bhd Price Stabilizing – XYZ Sdn Bhd</p>

**\*In the case of a Stabilizing Manager that is a participating organization of stock exchange and opens a CDS account in its own name to undertake price stabilizing action, such Stabilizing Manager must open the CDS account under Account Type "Investment".**



**CATEGORY C7****DERIVATIVES SPECIALIST'S ACCOUNT WITH REGARDS TO UNDERLYING SECURITIES OF SINGLE STOCK FUTURES AND SINGLE STOCK OPTIONS**

7. All securities accounts opened by a Derivative Specialist for the purpose of Permitted Short Selling (PSS) with regards to the underlying securities of Single Stock Futures (SSF) and Single Stock Options (SSO) must complete their account qualifier fields in the following manner: -

7.1 Securities account of a Derivatives Specialist in relation to performing PSS for underlying securities of SSF

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Sdn Bhd</p> <p>(ABC Sdn Bhd is the registered Derivatives Specialist and has opened a CDS account for the purpose of performing PSS with regards to the underlying securities of Single Stock Futures)</p>	<p style="text-align: center;"><b><i>MM-SSF</i></b></p> <p>E.g.: - ABC Sdn Bhd MM-SSF</p>

7.2 A Derivatives Specialist using securities account opened under an Authorised Nominee to perform PSS for underlying securities of SSF

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Securities Nominees (Tempatan) Sdn Bhd (Authorised Nominee)</p> <p>(Where XYZ Sdn Bhd the registered Derivatives Specialist is using an account under ABC Securities Nominee (Tempatan) Sdn Bhd for the purpose of performing PSS with regards to the underlying securities of Single Stock Futures)</p>	<p style="text-align: center;"><b><i>MM - &lt;SSF&gt; for &lt;Name of Derivatives Specialist</i></b></p> <p>Eg :- ABC Securities Nominee (Tempatan ) Sdn Bhd MM – SSF for XYZ Sdn Bhd</p>

- 7.3 A foreign corporation as a Derivatives Specialist opened an account under an Authorised Nominees to perform PSS for underlying securities of SSF.

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Securities Nominees (Asing) Sdn Bhd (Authorised Nominee)</p> <p>(Where DEF Pty Ltd the registered Derivatives Specialist has opened an account with a foreign intermediary (Morgan Stanley) for the purpose of performing PSS with regards to the underlying securities of Single Stock Futures. Morgan Stanley then trades through ABC Securities Nominee (Asing) Sdn Bhd)</p>	<p><b><i>MM - &lt;SSF&gt; -Foreign Intermediary for &lt;Name of Market Maker&gt;</i></b></p> <p>Eg :- ABC Securities Nominee (Asing) Sdn Bhd MM – SSF – Morgan Stanley for DEF Pty Ltd</p>

- 7.4 Securities account of a Derivatives Specialist in relation to performing PSS for underlying securities of SSO

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Sdn Bhd</p> <p>(ABC Sdn Bhd is the registered Derivatives Specialist and has opened a CDS account for the purpose of performing PSS with regards to the underlying securities of Single Stock Options)</p>	<p><b><i>MM-SSO</i></b></p> <p>E.g.: - ABC Sdn Bhd MM-SSO</p>

- 7.5 A Derivatives Specialist using securities account opened under an Authorised Nominee to perform PSS for underlying securities of SSO

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Securities Nominees (Tempatan) Sdn Bhd (Authorised Nominee)</p> <p>(Where XYZ Sdn Bhd the registered Derivatives Specialist is using an account under ABC Securities Nominee (Tempatan) Sdn Bhd for the purpose of performing PSS with regards to the underlying securities of Single Stock Options)</p>	<p><b><i>MM - &lt;SSO&gt; for &lt;Name of Derivatives Specialist</i></b></p> <p>Eg :- ABC Securities Nominee (Tempatan ) Sdn Bhd MM – SSO for XYZ Sdn Bhd</p>

7.6 A foreign corporation as a Derivatives Specialist opened an account under an Authorised Nominees to perform PSS for underlying securities of SSO.

Scenario	Account Qualifier Field to be completed as: -
<p>Scenario: ABC Securities Nominees (Asing) Sdn Bhd (Authorised Nominee)</p> <p>(Where DEF Pty Ltd the registered Derivatives Specialist has opened an account with a foreign intermediary (Morgan Stanley) for the purpose of performing PSS with regards to the underlying securities of Single Stock Options. Morgan Stanley then trades through ABC Securities Nominee (Asing) Sdn Bhd)</p>	<p><b><i>MM - &lt;SSO&gt; -Foreign Intermediary for &lt;Name of Market Maker&gt;</i></b></p> <p>Eg :- ABC Securities Nominee (Asing) Sdn Bhd MM – SSO – Morgan Stanley for DEF Pty Ltd</p>

**Important Notes:**

For the purposes of these guidelines: -

- (i) Reference notes may be indicated in the account qualifier field for all categories but these must be placed in a bracket and should not exceed 15 alphanumeric characters.
- (ii) Bursa Depository will not verify the contents stated in item (i) above when processing CDS transactions.
- (iii) “Authorised Nominees” mean the authorised nominees under Part VIII of the Rules of Bursa Depository.
- (iv) “Exempt Authorised Nominees” mean the exempt authorised nominees stipulated under the Schedule of the Exemption Order 2005.