

**APPLICATION FOR REGISTRATION  
BURSA MALAYSIA TRADING INCENTIVE PROGRAM: NON-PARTICIPATING ORGANISATIONS  
PROFESSIONAL RETAIL (INDIVIDUAL) TRADING INCENTIVE**

Please complete all sections of the form in full.

**THIS FORM MUST BE COMPLETED IN CAPITAL LETTERS.**

Read the *Guidance Notes* carefully before completing the form.

**APPLICATION FOR REGISTRATION UNDER THE NON-PARTICIPATING ORGANISATIONS ("PO") PROFESSIONAL RETAIL (INDIVIDUAL) TRADING INCENTIVE**

**1. Name of Sponsoring PO ("Applicant")** (See Note 1)

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Corporation's name in full

**2. List of Participating Retail Investors** (See Note 2)

No.	Name	Average Monthly Value Traded in 2017 (RM)	Direct CDS Account No.
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

**3. Contact Person(s) of Applicant**

Name	Designation	Tel. No.	E-mail address

#### 4. Declaration

(Answer "Yes" or "No". If "Yes", please give details in a separate attachment.)

Have any of the proposed Participating Retail investors in item 2 been: -

- |     |   |     |                          |    |                          |
|-----|---|-----|--------------------------|----|--------------------------|
| (a) | expelled from or suspended from trading on any stock exchange or futures exchange?  | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (b) | convicted of any offence in or outside Malaysia or had disciplinary actions taken for breaches involving dishonesty or fraud? | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

#### 5. Registration Process

- (a) Bursa Malaysia in its sole discretion reserves the right to refuse participation by the Participating Retail Investor.
- (b) The Non-PO Professional Retail (Individual) Trading Incentive is valid for one year from the date of registration as notified by Bursa Malaysia to the Applicant. Bursa Malaysia may extend the participation of the Participating Retail Investor under the Non-PO Professional Retail (Individual) Trading Incentive at its sole discretion.
- (c) Bursa Malaysia may, without prejudice to any rights herein, at any time terminate the participation of the Company under the Non-PO Professional Retail (Individual) Trading Incentive.

#### 6. Undertaking from the Applicant

We:-

- (a) acknowledge that we declare that all information given herein and the attached document(s) (if any) are true and correct to the best of my knowledge and belief.
- (b) agree and undertake to at all times ensure that the proposed Participating Retail investors abide by the Rules of Bursa Malaysia Securities Berhad and all directives issued by the Exchange upon being duly registered by the Exchange.

Officer of Applicant authorised to sign on its behalf

Dated: .....

## **Guidance Note**

### **Please read before completing application forms**

These guidance notes are to be used as a generic guide to the Applicant.

### **Filling in the application form**

You should ensure that you complete all required information on the application form in full.

If the space provided is insufficient, Applicant may attach a separate sheet for the required information provided each piece of paper attached is initialed by the Applicant.

### **Note 1: Definition**

In this document: -

“Applicant” means a Sponsoring PO applying on behalf of the Participating Retail Investors for registration under the Non-PO Professional Retail (Individuals) Trading Incentive;

“Bursa Securities” or “Exchange” means Bursa Malaysia Securities Berhad, a company established under the Companies Act 2016 which operates ETP;

“corporation” has the same meaning as is assigned to that expression in the Companies Act, 2016;

“Participating Retail Investor” means an individual who trades via the Sponsoring PO and fulfills the qualification criteria in Note 2;

“Sponsoring PO” means the PO that the Participating Retail Investor is a client of.

### **Note 2: Qualification Criteria**

- (1) To qualify for this incentive, the individual must fulfill the following requirements:
- (a) Must have an average monthly traded value of at least RM15 million in 2017;
  - (b) Must be at least 21 years old;
  - (c) Must be a resident of Malaysia;
  - (d) Must not be a bankrupt; and
  - (e) Must have a Sponsoring PO.

### **Note 3: Application to the Exchange**

For an Applicant applying for the first time, it shall submit to Bursa Securities the following:

- i) Duly completed Form of Application (Form of Application for registration under the Non-PO Professional Retail (Individual) Trading Incentive).
- ii) Any other documents that may be required or relevant to the application.