

**APPLICATION FOR REGISTRATION  
BURSA MALAYSIA TRADING INCENTIVE PROGRAM: NON-PARTICIPATING ORGANISATION  
PROPRIETARY TRADING FIRM 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") PROPRIETARY TRADING FIRM INCENTIVE**

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

Corporation's name in full

**2. Particulars of the Proprietary Trading Firm ("Company")** (See Note 2)

Corporation's name in full

CDS Account No.

Date of incorporation

Place of incorporation

Company No.

Principal Business

Note: The Company must enter into a Liquidity Provider Agreement with Bursa Malaysia to be registered under the Non-PO Proprietary Trading Firm Incentive.

**3. Address and contact details of the Company**

**Registered address** (Please notify of any change of address immediately)

**Business address** (Please notify of any change of address immediately)



Telephone no.

Telephone no.

Facsimile no.

Facsimile no.

Website /  
E-Mail Address

Website /  
E-Mail Address

**4. Name and Identity Card No. (IC No.) / Passport No. (for non-Malaysian citizen only) of Directors of the Company:**

Director's Name	I.C. No. / Passport No.	Status (Executive Director / Non-Executive Director) or Designation

**5. Contact Person(s) of the Company**

Name	Designation	Tel. No.	E-mail address

**6. Declaration**

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

Has the Company been: -

- |     |  |     |                          |    |                          |
|-----|--|-----|--------------------------|----|--------------------------|
| (a) | a member or partner in a member firm or director of a member company or participant of any stock exchange or futures exchange? | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (b) | refused membership of or the right to participate in or admission to any stock exchange or futures exchange?                   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (c) | expelled from or suspended from trading on any stock exchange or futures exchange?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (d) | subjected to any form of disciplinary action by any stock exchange or futures exchange?  | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (e) | 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"/> |

## 7. Registration Process

- (a) Bursa Malaysia in its sole discretion reserves the right to refuse participation by the Company.
- (b) The Non-PO Proprietary Trading Firm 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 Company under the Non-PO Proprietary Trading Firm 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 Proprietary Trading Firm Incentive.

## 8. Undertaking from the Applicant

We:-

- (a) acknowledge that we the Applicant 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 Company abides by the Rules of Bursa Malaysia Securities Berhad and all directives issued by the Exchange upon being duly registered by the Exchange under the Non-PO Proprietary Trading Firm Incentive.

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 Company for registration under the Non-PO Proprietary Trading Firm Incentive;

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

“Company” means a body corporate (excluding PO, intermediaries and fund managers) who trades via the Sponsoring PO and fulfils the qualification criteria in Note 2;

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

“Sponsoring PO” means the PO that the Company is a client of.

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

(1) To qualify for the Non-PO Proprietary Trading Firm Incentive, the Company must:-

- (a) Enter into a Liquidity Provider Agreement with Bursa Malaysia; and
- (b) Appoint a Sponsoring PO

And must fulfill any one of the following requirements:-

- (a) A licensed bank or licensed merchant bank as defined in the Financial Services Act 2013;
- (b) A foreign/domestic corporation that is in the business of trading on their own account and not for others;

### **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 of the Company under the Non-PO Proprietary Trading Firm Incentive).
- ii) Any other documents that may be required or relevant to the application.