

Bursa Malaysia Depository Sdn Bhd

Registration No. 198701006854 (165570-W)

Date : 5 June 2020	NO: ADA/DOD/014/2020
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- 1. AMENDMENTS TO THE RULES OF BURSA MALAYSIA DEPOSITORY SDN BHD (“BURSA DEPOSITORY”) IN RELATION TO CDS eSERVICES AND OTHER AMENDMENTS**
- 2. AMENDMENTS TO CDS PROCEDURES MANUAL FOR AUTHORISED DEPOSITORY AGENTS (“ADA”) IN RELATION TO CDS ACCOUNT OPENING AND REGISTERING BANK ACCOUNT NUMBER FOR eDIVIDEND SERVICES THROUGH CDS eSERVICES PLATFORM**

1. INTRODUCTION

- 1.1 Bursa Anywhere was officially launched by Bursa Depository on 11 June 2019 to provide electronic depository services to depositors (“**CDS eServices**”). Pursuant to the recent release of Bursa Anywhere on 10 April 2020, the following CDS eServices features have been made available to depositors via the smartphone application:
- view balance shareholdings in all direct securities accounts (CDS accounts) with marked to market value;
 - access and download statement of accounts for the past 12 months;
 - transfer of securities between depositor’s own CDS accounts;
 - update specified depositors’ particulars allowed by Bursa Depository;
 - receive notifications in relation to the depositor’s shareholdings such as announcement on entitlements; and
 - reactivation of inactive or dormant CDS accounts by depositors.
- 1.2 With enhancements made to Bursa Anywhere, Bursa Depository will now facilitate the following additional CDS eServices features effective from **12 June 2020**:
- CDS Account Opening
Malaysians with MyKad may now submit their applications to open a CDS account via Bursa Anywhere.
 - Registration for eDividend
Existing CDS account holders may now register via Bursa Anywhere to receive their cash dividend and other cash payments directly into their bank accounts, known as eDividend.

1.3 In this connection, Bursa Depository has made amendments to the Rules of Bursa Depository after considering feedback from the public to the Consultation Paper No. 2/2019 dated 30 May 2019 and the Securities Commission Malaysia (“SC”).

1.4 In addition, Bursa Malaysia Berhad (“**Bursa Malaysia**”) has issued a conclusion paper setting out a summary of the respondents’ key feedback to the consultation paper and Bursa Malaysia’s responses and conclusion on the same, which is available on Bursa Malaysia’s website at:
https://www.bursamalaysia.com/regulation/public_consultation

2. AMENDMENTS TO THE RULES OF BURSA DEPOSITORY IN RELATION TO CDS eSERVICES AND OTHER AMENDMENTS

2.1. The key amendments to the Rules of Bursa Depository are summarised below:

- (a) simplify and generalise the requirements relating to opening of CDS accounts via CDS eServices; and
- (b) facilitate the registration of the depositor’s bank account information via CDS eServices to receive cash distributions directly into the bank account.

2.2. The following are the key benefits of rule amendments relating to CDS eServices and other amendments:

- (a) Enable depositors to perform specified CDS eServices transactions online with ease and facilitate Bursa Depository to provide a more personalised service, with improved time-to-market;
- (b) Increase efficiency and productivity by facilitating ADAs to perform CDS account opening via their own electronic application platform; and
- (c) Drive the sustainability goals through dispensation of documents in hard copies and promotion of digital transformation as a whole.

2.3. The amendments to the Rules of Bursa Depository have been approved by the SC and are as set out in “**Annexure 1**”.

3. AMENDMENTS TO CDS PROCEDURES MANUAL FOR ADA IN RELATION TO CDS ACCOUNT OPENING AND eDIVIDEND SUBSCRIPTION

3.1. Bursa Depository has made amendments to certain sections in the CDS Procedures Manual for ADAs. For easy reference, the amendments to the relevant sections are indicated in the table below:

Chapter	Section	Page No	Amendments Made
4 Account Management Module	4.1 (Opening of Account Applications)	4-2	4.1.1.1 (iii) – ADA may accept CDS account opening application received via CDS eServices or ADA’s electronic platform and process such application in accordance with prescribed procedures under section 4.1.1(D) and 4.1.1(E).
		4-7	4.1.1(D) – new channel for individual depositor to submit CDS account opening applications to ADA and the procedures ADA must comply with when processing CDS account opening applications received through CDS eServices.
		4-7A to 4-7B	4.1.1(E) – ADA may onboard client for CDS account opening through their electronic platform and ensure it had obtained the relevant approvals from Bursa Depository on the format of its electronic CDS Account Form that will be generated for CDS account opening from its electronic platform. Other changes included the following: i Enhanced the definition for prescribed application form which now will include the existing CDS Account Form (FMN070) as well as CDS account forms produced from CDS eServices and ADAs electronic platforms in the manner prescribed by Bursa Depository. ii ADA have the flexibility to adopt for eSignature or Digital Signature for client onboarding through its electronic platform.
		4-14	4.1.2A – ADA to perform adequate verification on the CDS Account opening applications submitted via CDS eServices before approving such requests.
		4-15A to 4-16	4.1.5 – Prescribe the procedures for confirmation of account opening request submitted through CDS eServices.

Chapter	Section	Page No	Amendments Made
4 Account Management Module	4.1 (Opening of Account Applications)	4-20	4.1.14.3 – ADAs is not required to submit any forms for CDS account opened through CDS eServices.
	4.3 (Updating of Signatures / Signatories)	4-32 to 4-33	4.3.1(E) – Includes the procedures on how ADAs should obtain depositor's signature for those depositors who have opened the CDS account via CDS eServices and wish to perform CDS transactions that are yet to be offered via CDS eservices.
	4.4 (Updating of Depositor's Particulars)	4-48	Included notes for ADAs reference on fee imposed for eDividend registration should such depositor's CDS account was opened prior to 19 April 2013 and yet to register bank account information for eDividend Services.
	Appendix 96A		Sample layout of CDS Account Form generated from the CDS eServices.

- 3.2. Please update your internal procedures accordingly or alternatively, ADAs shall refer to the Bursa Malaysia website in the link below for the latest copy of the CDS Procedures Manual for ADAs. For more details on the changes, please refer to the attached "**Annexure 2**".

https://www.bursamalaysia.com/trade/our_products_services/central_depository_system/procedures_manual/cds_procedures_manual_for_ada

4. TASK ASSIGNMENT SHEET

- 4.1 With the implementation of CDS account opening features via CDS eServices, ADAs with branch offices are now allowed to manage the routing of the account opening request submitted through CDS eServices to their preferred branch office for processing. The list of preferred branch office has been identified by the ADAs prior to this implementation.
- 4.2 To facilitate smooth assignment of the Participant Route Maintenance related tasks for CDS Users, please return the completed Task Assignment Sheet for Group 1 on or before 12 June 2020. We are pleased to enclose the updated Task Assignment Sheet – ADA & ADM for your further action, as attached as "**Annexure 3**".

5. EFFECTIVE DATE

- 5.1 The amendments to the Rules of Bursa Depository and CDS Procedures Manual for ADAs will take effect on **12 June 2020**.

6. WAIVER OF FEES

- 6.1 In conjunction with the launch of CDS account opening and eDividend registration features through the CDS eServices platform, Bursa Depository will waive the fees for applications for these services submitted through Bursa Anywhere Mobile Application for a period of 30 days from 12 June 2020 to 11 July 2020. As such, there will be no fee paid to ADAs for the CDS account opening applications submitted through Bursa Anywhere Mobile Application during the said period.
- 6.2 Between the period 12 July 2020 to 11 September 2020, Bursa Depository will provide discounted rate for the CDS account opening and eDividend registration application submitted through Bursa Anywhere Mobile Application. During this period, the ADAs are entitled for their fee of RM2.50 per CDS account opened.
- 6.3 Summary of fees charged to depositor are as follows:

CDS Transaction Type	Fees Chargeable to Depositors		
	12 June 2020 to 11 July 2020	12 July 2020 to 11 September 2020	12 September 2020 & onwards
CDS account opening	Nil	RM5	RM10
Register bank account information*	Nil	RM5	RM10

Note:

- * The eDividend registration fee is only applicable to the provision of bank account information for the first time by an existing depositor in respect of a CDS account opened before 19 April 2013.

7. CONTACT PERSONS

- 7.1 In the event of any queries in relation to the above matter, please contact the following:

Department	Contact Details
Regulatory Policy & Advisory (on the Rules of Bursa Depository)	03-2034 7326 rpa@bursamalaysia.com
Bursa Depository (on the CDS Procedures Manual for ADAs, changes to CDS Guide for Depositor and fee matters)	03-2034 7007 1. Gobi Krushna (GobiKrushna@bursamalaysia.com) 2. Anuar Ahmad (AnuarAhmad@bursamalaysia.com) 3. Rajendharan Gengatheran (rajen@bursamalaysia.com) 4. Yap Fook Meng (yapfookmeng@bursamalaysia.com)



7.2 Please cite the circular reference number or provision of the Rules of Bursa Depository in your queries, if any.

Please be informed that the amendments to the Rules of Bursa Depository that are referred to in this circular are available on Bursa Malaysia's website at: <http://www.bursamalaysia.com>.

Kindly be guided.

Depository
5 June 2020

ANNEXURE 1

RULES OF BURSA MALAYSIA DEPOSITORY SENDIRIAN BERHAD

RULE AMENDMENTS IN RELATION TO CDS eSERVICES (RELEASE 2) & OTHER AMENDMENTS

RULE	EXISTING PROVISIONS	RULE	AMENDED PROVISIONS
Rule 5.02A	<p>Opening of securities accounts:</p> <p>(1) Every authorised depository agent must require any person who intends to open a securities account or formalise a securities account that has been opened by the Depository under a public offer (“applicant”) to submit to it, the duly completed prescribed application form together with the relevant supporting documents.</p> <p>(2) In relation to processing an application to open a securities account or formalise a securities account that has been opened by the Depository under a public offer, an authorised depository agent must comply with the procedures prescribed by the Depository to verify the applicant’s identity and the authenticity of the application.</p> <p>(3) Deleted</p> <p>(4) The authorised depository agent shall be liable for and shall indemnify and hold indemnified the Depository against any</p>	Rule 5.02A	<p>Opening of securities accounts:</p> <p>(1) Every<u>An</u> authorised depository agent must require any person who intends to open a securities account or formalise a securities account that has been opened by the Depository under a public offer (“applicant”) to submit to it an, the duly completed prescribed application form <u>containing the information</u> together with the relevant supporting documents <u>as prescribed by the Depository, unless such application is submitted to it via CDS eServices.</u></p> <p>(2) In relation to processing an application to open a securities account or formalise a securities account that has been opened by the Depository under a public offer, a<u>An</u> authorised depository agent must <u>comply with the procedures as may be determined by the Depository relating to the application to open or formalise a securities account, including</u> comply with the procedures prescribed by the Depository to<u>verify</u>ing the applicant’s identity and the authenticity of the application <u>in the manner prescribed by the Depository when processing an application to open a securities account that it received directly or via CDS eServices.</u></p> <p>(3) No change.</p> <p>(4) No change.</p>

Rule Amendments in Relation to CDS eServices (Release 2) & Other amendments

	<p>loss, damage, cost, expense, liability or claim suffered or incurred by the Depository, whether directly or otherwise arising from or in connection with:</p> <p>(a) a breach of Rule 5.02A(2); or</p> <p>(b) any wilful act, omission, neglect, fraud or error on the part of any third party relied on to verify the applicant's identity and the authenticity of the application.</p> <p>(5) In the event of any wilful act, omission, neglect, fraud or error on the part of any third party referred to in Rule 5.02A(4)(b), the authorised depository agent shall be deemed to have committed a breach of the provision of this Rule as if the wilful act, omission, neglect, fraud or error had been committed by the authorised depository agent and be subject to the powers of the Depository pursuant to Rule 39.02.</p>		<p>(5) No change.</p>
Rule 5.06	<p>Prohibition against variation of contract:</p> <p>(1) Standardisation of contracts: All contracts, agreements or memorandum governing the contractual relationship between the Depository and the depositors, notwithstanding anything in the application forms to open a securities account and all other forms for any other authorised functions relating thereto, shall be made on standardised prescribed forms as may be stated under these Rules or in the directions of the Depository. No authorised depository agent shall vary, delete, amend or include any term or condition in the aforesaid forms without the prior written approval of the Depository.</p>	Rule 5.06	<p>Prohibition against variation of contract:</p> <p>(1) Standardisation of contracts Terms and conditions of Depository to prevail: <u>All contracts, agreements or memorandum governing the contractual relationship between the Depository and the depositors, notwithstanding anything in the application forms to open a securities account and all other forms for any other authorised functions relating thereto, shall be made on standardised prescribed forms as may be stated under these Rules or in the directions of the Depository. No authorised depository agent shall vary, delete, amend or include any term or condition in the aforesaid forms. The agreements governing the contractual relationship between the Depository and the depositors must be made in the manner and contain the terms and conditions prescribed by the Depository. The terms and conditions prescribed by the Depository must not be</u></p>

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	<p>(2) Prohibition on additional agreements: No authorised depository agent shall enter into any additional agreement, whether supplemental or principal, with their depositors, not already approved by the Depository which may</p> <p>(a) exclude, exempt, disclaim, reduce, limit or waive any loss, damage or liability on the part of the agent for any wilful act, omission, neglect, fraud or error on the part of such agent; and</p> <p>(b) vary, delete, amend any provisions as may be stated under this Rules or in the directions issued by the Depository.</p> <p>(3) Other agreements: No authorised depository agent who is a participating organisation of the Stock Exchange shall incorporate or include any term or condition relating to the securities accounts of their depositors as part of the contract or agreement governing these depositors' trading or custodian accounts also held with such participating organisation which may exclude, exempt, disclaim, reduce, limit or waive any loss, damage or liability on the part of the agent for any wilful act, omission, neglect, fraud or error on the part of such agent.</p> <p>(4) Deleted</p>		<p><u>varied, deleted or added to</u> without the prior written approval of the Depository.</p> <p>(2) No change.</p> <p>(3) No change.</p> <p>(4) No change.</p>
Rule 25.01	<p>Application to be a depositor:</p> <p>(1) Application: Any person who intends to open a securities account or formalise a securities account that has been opened by the Depository under a public offer must:</p> <p>(a) be eligible to be a depositor pursuant to Rule 25.02; and</p>	Rule 25.01	<p>Application to be a depositor:</p> <p>(1) Application: Any person who intends to open a securities account or formalise a securities account that has been opened by the Depository under a public offer must:</p> <p>(a) be eligible to be a depositor pursuant to Rule 25.02; and</p>

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	<p>(b) submit the duly completed prescribed application form together with the relevant supporting documents to the authorised depository agent.</p> <p>(1A) Where a person intends to open a securities account or formalise a securities account opened by the Depository under a public offer, the person must comply with the authorised depository agent's requirements relating to verification referred to in Rule 5.02A(2).</p> <p>(2) No obligation: The Depository or the authorised depository agent is under no obligation and may refuse to open a securities account for any person who has not duly completed or executed the appropriate prescribed application form or has not submitted the relevant documents required in relation to the opening of such account.</p>		<p>(b) submit the duly completed prescribed an application form containing the information together with the relevant supporting documents <u>as prescribed by the Depository</u> to the authorised depository agent; <u>or</u></p> <p><u>(c) submit an application to open a securities account via CDS eServices in the manner prescribed by the Depository.</u></p> <p>(1A) No change.</p> <p>(2) No obligation: The Depository or the authorised depository agent is under no obligation and may refuse to open a securities account for any person who has not duly completed or executed the appropriate prescribed submitted an application <u>to the authorised depository agent form or via CDS eServices has not submitted together with</u> the relevant documents required in relation to the opening of such account.</p>
<p>Rule 25.02A</p>	<p>Classification of depositor:</p> <p>(1) Representation by depositor: The Depository shall classify a depositor as a foreigner based solely on the depositor's representation as to whether the depositor is a Malaysian or foreigner made on the prescribed application form for the opening of a securities account or the prescribed form for updating of securities account particulars (hereinafter referred to as "the said representation").</p> <p>(2) Representation in accordance with the Foreign Ownership Regulations: Every depositor shall ensure that the said representation is in accordance with the Foreign Ownership Regulations.</p>	<p>Rule 25.02A</p>	<p>Classification of depositor:</p> <p>(1) Representation by depositor: The Depository shall classify a depositor as a foreigner based solely on the depositor's representation as to whether the depositor is a Malaysian or foreigner made when on the prescribed application form for the opening of a securities account or the prescribed form for updating of securities account particulars <u>in accordance with these Rules</u> (hereinafter referred to as "the said representation").</p> <p>(2) No change.</p>

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<p>(3) Accounts opened prior to Foreign Ownership Regulations: Any depositor who had opened a securities account prior to the date the Foreign Ownership Regulations came into force (hereinafter in this chapter referred to as “the said Date”), shall ensure that the said representation made previously to the Depository is in accordance with the Foreign Ownership Regulations. Such depositor shall update the particulars of his securities account in accordance with Rule 25.05 expeditiously, where necessary to comply with this Rule.</p> <p>(4) Failure to comply: Any depositor who fails to update his account particulars in accordance with Rule 25.02A(3) shall be deemed to have complied with Rule 25.02A(2) and shall be classified as either Malaysian or foreigner by the Depository in reliance of the said representation made previously to the Depository before the said Date.</p> <p>(5) Suspension of restricted shares: In reliance of the said representation, the Depository shall place restricted shares standing to the credit of the securities account of such depositor in suspense in accordance with the Foreign Ownership Regulations.</p> <p>(6) Disclaimer of liability: The said representation made by the depositor to the Depository shall be deemed as true and correct by the Depository without having to enquire beyond the said representation and the Depository shall not be liable for any loss, damage, cost, expense, liability or claim that may be suffered or incurred by the depositor as a result of the classification made by the Depository in reliance of the said representation.</p> <p>(7) Indemnity by depositor: The depositor shall fully indemnify and hold indemnified the Depository from all demands, actions and proceedings made by any person against the Depository for any loss, damage, cost, expense, liability or claim suffered by such person in respect of or</p>		<p>(3) No change.</p> <p>(4) No change.</p> <p>(5) No change.</p> <p>(6) No change.</p> <p>(7) No change.</p>
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Rule Amendments in Relation to CDS eServices (Release 2) & Other amendments

	arising from the classification made on the depositor by the Depository in reliance of the said representation.		
Rule 25.02B	<p>Authorised nominee:</p> <p>(1) One beneficial owner for one securities account: Subject to any exemptions made pursuant to any securities laws, an authorised nominee shall only be allowed to hold deposited securities for one beneficial owner in respect of each securities account opened by the authorised nominee.</p> <p>(2) Name of beneficial owner: Subject to any exemptions made pursuant to any securities laws, an authorised nominee who intends to open securities account with the Depository shall stipulate the name of the beneficial owner of the deposited securities in the prescribed application form for account opening.</p> <p>(3) Deleted</p> <p>(4) Disclosure of information: An authorised nominee shall, in such manner and within such period as may be specified by the Depository, furnish to the authorised depository agent, authorised direct member or the Depository, as the case may be, the name and other particulars of the instructing client of the authorised nominee and/or the name and other particulars of the beneficial owner of the securities deposited in the securities account opened in the name of the authorised nominee.</p> <p>(5) Failure to disclose information or breach of the Rules of the Stock Exchange: The Depository may take any one or more of the actions set out in Rule 25.02B(6) as it deems fit if:-</p> <p>(a) an authorised nominee fails to provide the information required by the Depository pursuant to Rule 25.02B(4)</p>	Rule 25.02B	<p>Authorised nominee:</p> <p>(1) No change.</p> <p>(2) Name of beneficial owner: Subject to any exemptions made pursuant to any securities laws, an authorised nominee who intends to open securities account with the Depository shall stipulate the name of the beneficial owner of the deposited securities in the prescribed application form for account opening <u>in the manner prescribed by the Depository.</u></p> <p>(3) No change</p> <p>(4) No change.</p> <p>(5) No change.</p>

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	<p>within such period as may be specified by the Depository, whether due to the failure of an instructing client to provide the information or otherwise; or</p> <p>(b) there is an act or omission by an authorised nominee or its instructing client, where applicable, in relation to any transaction or dealing in securities held in the authorised nominee's securities account which act or omission directly or indirectly causes, aids or facilitates a breach of the Rules of the Stock Exchange.</p> <p>(6) Actions that may be taken by the Depository: Without prejudice to any of the powers granted to the Depository in these Rules or under any written law, the actions that the Depository may take upon the happening of any of the events set out in Rule 25.02B(5) include one or more of the following:-</p> <p>(a) prohibiting the said authorised nominee, any other authorised nominee, authorised depository agent or authorised direct member from maintaining any securities account which is exempted from the provisions of subsection 25A(1) of the Act for the instructing client referred to in paragraph (a) or (b) of Rule 25.02B(5), where applicable (hereinafter referred to respectively as "the Instructing Client");</p> <p>(b) revoking the said authorised nominee's authority to act as an exempt authorised nominee, where applicable, in respect of any or all securities accounts held by the said authorised nominee;</p> <p>(c) revoking the said authorised nominee's authority to act as an authorised nominee, in respect of any or all securities accounts held by the said authorised nominee;</p> <p>(d) specifying any or all securities accounts held by the said authorised nominee, any other authorised nominee,</p>		<p>(6) No change.</p>
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Rule Amendments in Relation to CDS eServices (Release 2) & Other amendments

	<p>authorised depository agent or authorised direct member for the Instructing Client, as under suspense for such period as may be specified by the Depository; or</p> <p>(e) issuing any instruction or directive or impose any condition on the said authorised nominee as it deems fit.</p> <p>(7) Depository to notify Commission: The Depository shall notify the Commission of any action taken by the Depository as provided in Rule 25.02B(6).</p> <p>(8) Transfer of securities to beneficial owners: Subject to Rule 25.02B(6), in circumstances where the Depository takes any of the actions under paragraphs (a) to (c) of Rule 25.02B(6), the nominee shall, where applicable, transfer the deposited securities held in its securities accounts that are affected to the securities account(s) of the beneficial owner(s) of the deposited securities or the securities account(s) of the authorised nominee(s) acting for the beneficial owner(s) within the time frame stipulated by the Depository.</p>		<p>(7) No change.</p> <p>(8) No change.</p>
<p>Rule 25.02C</p>	<p>Declaration by a beneficial owner or an authorised nominee:</p> <p>(1) Execution of declaration by any person who intends to open a securities account: Any person who intends to open a securities account with the Depository, shall execute a declaration in the manner prescribed by the Depository, as to whether that person is a beneficial owner or an authorised nominee of the deposited securities.</p> <p>(2) Execution of declaration by any person who had opened a securities account: Any person who had opened securities account with the Depository, must furnish to the Depository within the time frame as directed by the Depository after consultation with the Commission a declaration as to whether that person is a beneficial owner or an authorised nominee.</p>	<p>Rule 25.02C</p>	<p>Declaration by a beneficial owner or an authorised nominee:</p> <p>(1) Execution of dDeclaration by any person who intends to open a securities account: Any person who intends to open a securities account with the Depository, shall execute must make a declaration in the manner as prescribed by the Depository, as to whether that person is a beneficial owner or an authorised nominee of the deposited securities.</p> <p>(2) Execution of dDeclaration by any person who had opened a securities account: Any person who had opened securities account with the Depository, must furnish to the Depository within the time frame as directed by the Depository after consultation with the Commission a declaration as to whether that person is a beneficial owner or an authorised nominee.</p>

Rule Amendments in Relation to CDS eServices (Release 2) & Other amendments

<p>Rule 31.03</p>	<p>(1) A depositor must provide his bank account information to receive cash distributions from an issuer via direct credit into the depositor's bank account by submitting, through an authorised depository agent, a duly completed prescribed form together with the relevant supporting documents in the manner prescribed by the Depository.</p> <p>(2) By complying with Rule 31.03(1), the depositor irrevocably consents to:</p> <p>(a) the receipt of all cash distributions that may accrue to the depositor in respect of the depositor's deposited securities via direct credit into the depositor's bank account; and</p> <p>(b) the disclosure by the Depository, the issuer or their respective agents to any person, of the depositor's bank account information or such other information, as may be necessary or expedient to facilitate the payment of cash distributions that may accrue to the depositor via direct credit into the depositor's bank account or for any other purpose in connection with the payment of cash distributions via direct credit into the depositor's bank account.</p>	<p>Rule 31.03</p>	<p>(1) A depositor must provide his bank account information to receive cash distributions from an issuer via direct credit into the depositor's bank account by submitting, through an authorised depository agent, a duly completed prescribed form together with the relevant supporting documents in the manner prescribed by the Depository.</p> <p>(2) No change.</p>
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[End of Rule Amendments]

Annexure 2

4.1 Opening Of Account Applications

4.1.1 Accepting Account Opening Requests

Pursuant to Rule 5.02A(2) of the Rules of Depository, in relation to processing an application to open a securities account that was submitted either by completing physical CDS Account Form or electronic form via CDS eServices or ADA's electronic platform, an ADA must comply with the procedures prescribed by Depository to verify the applicant's identity and the authenticity of the application.

INDIVIDUAL DEPOSITORS

4.1.1.1. An ADA must comply with the following in verifying an individual applicant's identity and the authenticity of the application:

- (a) where the applicant appears in person before the ADA to submit the CDS Account Form (FMN070)(Appendix 96), the ADA must comply with the procedures set out in section 4.1.1(A); or
- (b) where the applicant does not appear in person before the ADA to submit the FMN070, the ADA must ensure either the following
 - (i) where the FMN070 is signed in the presence of any of the persons mentioned in section 4.1.1(B), ensure such person has verified the applicant's identity and the authenticity of the application and that the procedures set out in section 4.1.1(B) are complied with; or
 - (ii) where the FMN070 is not signed in the presence of any of the persons mentioned in section 4.1.1(A) and (B), take the necessary steps to ensure that the requirements of Bursa Malaysia Securities Berhad's ("Stock Exchange's") Directive 5-001 (Directives on Conduct of Business) are complied with by the ADA in its capacity as a Participating Organisation of the Stock Exchange, for example by obtaining confirmation that such requirements have been complied with in respect of CDS account opening and comply with the procedures set out in section 4.1.1(C); or
 - (iii) where the application for opening new CDS account is made through CDS eServices or ADA's electronic platform, ensure that the ADA complies with the procedures set out in section 4.1.1 (D) and 4.1.1(E).

(A) PRESENT IN PERSON AT THE ADA'S PREMISES

4.1.1.2 Receive the following for each individual account opening request and sight the original identification documents of the applicant:-

- a. A completed and duly signed **FMN070**

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- b. Two (2) copies of NRIC or other forms of acceptable identification documents issued by Jabatan Pendaftaran Negara / Passport (for foreigner) / Authority Card (for Armed Forces / Police Personnel)
- c. Two copies of any of the following supporting documents that contain the applicant's **name, bank account number and bank's name**:
- i. Front page of bank savings book; or
 - ii. Bank statement; or
 - iii. Confirmation letter from the bank; or
 - iv. Bank statement extracted from the bank's online account portal; or
 - v. Bank-in receipt; or
 - vi. Cheque deposit receipt; or
 - vii. Debit invoice; or
 - viii. Bank identification card; or
 - ix. Cheque book or
 - x. Any other document evidencing the name of the depositor, bank account number and bank's name.
- d. Power Of Attorney (if applicable).

Note: Supporting documents mentioned under section 4.1.1.2 (c) may not be applicable to a foreign individual applicant as it is optional for a foreigner to provide their bank account information during opening of CDS account.

4.1.1.3 For **foreign individual** applicants, the **primary identification document** to be submitted in applying for a CDS account is the **passport**.

Note: All the original supporting documents mentioned in sections 4.1.1.2 (b), (c) & (d) (if applicable) and 4.1.1.3 must be sighted by the ADA personnel and stamped on copies of these documents as Original Sighted. Additionally, the supporting documents are to be stamped with the ADA's company rubber stamp bearing the ADA's personnel name, designation and its signature.

B) WHERE FMN070 IS WITNESSED BY DEALER'S REPRESENTATIVE / AUTHORISED OFFICER OF THE ADA / NOTARY PUBLIC / SUCH OTHER PERSONS APPROVED BY DEPOSITORY

4.1.1.4 Receive the duly completed and executed copy of FMN070 from the applicant together with the relevant supporting documents stated in section 4.1.1.2 (b) to (d) which were witnessed by the list of acceptable witnesses stated in section 4.1.1.5. For the case of foreigner, instead of the passport, foreign individuals residing in their home country, may present their:-

- a. National Registration Identity Card, or
- b. National Health Insurance Card / Social Security Card, or
- c. Any other documents subject to Depository's approval on a case-by-case basis.

Note: Supporting documents mentioned under section 4.1.1.2 (c) may not be applicable to a foreign individual applicant as it is optional for a foreigner to provide their bank account information during opening of CDS account.

4.1.1.5 Subject to section 4.1.1.6 below, ADA is to ensure that where the individual submits the FMN070 which has been executed by the individual in the presence of any one of the persons stated hereunder, the ADA must comply with the procedures as stated in section 4.1.1.7 hereafter:-

- a. Individual who holds a Capital Markets Services Representative's Licence pursuant to section 59(1) of the Capital Markets and Services Act 2007 to act as a representative for dealing in securities (**Dealer Representative**);
- b. Authorised officer of the ADA;
- c. Authorised officer of a Malaysian Embassy / High Commission Consulate;
- d. Lawyer in any jurisdiction who has a valid licence to practise law in that jurisdiction;
- e. Commissioner for oaths in any jurisdiction;
- f. Justice of the Peace in any jurisdiction;
- g. Notary Public in any jurisdiction;
- h. Marketing Representative registered pursuant to the Guidelines for Marketing Representatives issued by the Commission or Trading Representative registered under the Commission's Licensing Handbook;
- i. Officer of a registered person referred to under the third column of Section 1(b) of Part 1 of Schedule 4 to the Capital Markets and Services Act 2007, who is authorised by such registered person to perform the activities referred to under the second column of the said section 1(b);

-
- j. Authorised officer of
- a. a licensed bank as defined in the Financial Services Act 2013; or
 - b. an Islamic bank licensed under the Islamic Financial Services Act 2013,
and with which the individual holds an account;
- k. In relation to a stockbroking company licensed or approved to trade on a recognised stock exchange as defined in the Rules of the Stock Exchange, any person who holds a license equivalent to a licence held by a dealer's representative or any other person authorised by such licensed stockbroking company; or
- l. Such other person as may be approved by Depository from time to time

4.1.1.6 The ADA must be satisfied that it is reasonable for the ADA to rely on the verification and attestation of the persons stated in section 4.1.1.5 above and if the ADA is not satisfied, the ADA must employ another method of verification as set out in this Procedures Manual.

4.1.1.7 Verification Of FMN070 Witnessed By Dealer's Representative / Authorised Officer Of The ADA / Notary Public / Registered Person (referred to above) / Such Other Persons Approved By Depository From Time To Time

4.1.1.7.1 Ensure that the witness states his name, designation and signature on the FMN070 and the relevant supporting document as stated in 4.1.1.2(b) or 4.1.1.3 or 4.1.1.4 and 4.1.1.2(c) (if applicable).

4.1.1.7.2 Ensure the date the applicant signs FMN070 corresponds with the date of witnessing.

4.1.1.7.3 Thereafter the ADA is to comply with all the existing procedures from Accepting Account Opening Requests to the Filing of Documents as stated in this Procedures Manual.

C) NON FACE-TO-FACE VERIFICATION

4.1.1.8 Receive the duly completed and executed copy of FMN070 from the applicant together with the relevant supporting documents stated in 4.1.1.2 (b) or 4.1.1.3 or 4.1.1.4 and 4.1.1.2 (c) (if applicable).

Note: Supporting documents mentioned under section 4.1.1.2 (c) may not be applicable to a foreign individual applicant as it is optional for a foreigner to register their bank account information during opening of CDS account.

4.1.1.9 Pursuant to Rule 38.01(4) Rules of Depository, the following forms and supporting documents may be submitted by the depositor to the ADA by electronic means:-

- a. FMN070
- b. NRIC or other forms of acceptable identification documents issued by Jabatan Pendaftaran Negara / Authority Card (for Armed Forces / Police Personnel)
- c. Passport (primary identification documents for foreigner)
- d. National Registration Identity Card (for foreigner in home country without a passport)
- e. National Health Insurance Card / Social Security Card
- f. Any other account opening supporting documents subject to Depository's approval on a case-by-case basis
- g. Any document evidencing the name of applicant, bank account number and bank's name. Amongst others i.e. front page of bank savings book, Bank statement, Confirmation letter from the bank, Bank statement extracted from internet, Bank-in receipt, Cheque deposit receipt, Debit invoice, Bank identification card, Cheque book etc.

The ADA is to print 3 copies of FMN070 and 2 copies of supporting documents submitted electronically by the applicant.

4.1.1.10 Thereafter, the ADA is to comply with all the existing procedures from Accepting Account Opening Requests to the Filing of Documents as stated in the Procedure Manual.

Note:

- (i) *All account opening applications received under the Non Face-to-Face Verification method must be processed within two (2) market days from the date of application.*

- (ii) *The “Declaration By Dealer’s Representative/ADA’s Authorised Officer(s)/Notary Public/Others As Approved By Depository” column in Form FMN070 is to be left blank if the securities account is opened under the Non Face-To-Face Verification method.*

D) CDS eSERVICES PLATFORM

- 4.1.1.11 Applicant may submit request to open new CDS account through CDS eServices platform by completing the electronic account opening form (account opening eform) with the applicant particulars or information for CDS account opening and upload the front and back page image of the applicant’s NRIC and one copy of the supporting document stated in 4.1.1.2 (c).

Note:

- i. *CDS eServices would only facilitate opening of new CDS account electronically for Malaysian with MyKad only.*
- ii. *The supporting documents uploaded through CDS eServices platform need not be witnessed.*
- iii. *The ADA is required to carry out the relevant KYC check on the applicant before proceeding to open the CDS account.*

- 4.1.1.12 ADA will be prompted on any request from applicant to open a CDS account via an active indicator at “Pending BA Request” tab on the CDS screen. ADA may retrieve the information entered by applicant to open a new CDS account and its related supporting documents either by clicking the “Pending BA Request” indicator or via the BA Request List and link to Verifier’s Details Page.

Note:

- i. *The request to open CDS account via CDS eServices platform will be displayed in the BA Request list for 2 market days for ADA to process.*
- ii. *Pursuant to Rule 5.02 of Bursa Depository Rules, ADA must process an application to open a securities account within 2 market days from the date of receipt of the complete applications and supporting documents.*
- iii. *Request submitted by applicant on non-business day i.e. Weekends and Public Holidays, will be routed to the ADA on the next business day for processing.*
- iv. *The information entered by applicant will be for opening new CDS account only and ADA may contact the applicant to open trading account.*
- v. *ADA may rectify any discrepancies in the completed information if it differs with the supporting documents.*

E) ADA's ELECTRONIC PLATFORM

- 4.1.1.13 In facilitating CDS account opening, ADA may collect individual applicant's particulars through its electronic platform via its template subject to its template containing clear instruction to complete the template with applicant's particulars and the terms and conditions / declarations as required by Bursa Malaysia Depository Sdn Bhd (Bursa Depository).

Note: The terms and conditions /declaration clauses must be the same in relation to account opening as per the Bursa Depository's CDS Account Form (FMN070)

- 4.1.1.14 Information collected by ADA through its template must be populated into a prescribed application form generated from the ADA's electronic platform in PDF format as per **Appendix 96A**. Bursa Depository will not accept or approve any application form without any of the information as per the **Appendix 96A**.

Note:

- i. *Prescribed application form refers to CDS transaction forms which includes the existing FMN070 as well as CDS account forms produced from CDS eServices and ADAs electronic platforms in the manner prescribed by Bursa Depository.*
- ii. *ADA must obtain approval from Bursa Depository by providing a sample prescribed application form generated from its electronic platform before such form can be used for CDS account opening.*
- iii. *Bursa Depository will only accept application form that are the same as the approved sample prescribed application form.*

- 4.1.1.15 ADA must ensure that the applicant is made aware and expressly provide his/her consent to agree with terms and conditions prescribed by Bursa Depository before such applicant signs the prescribed application form.

- 4.1.1.16 For signature, the ADA's electronic platform may adopt e-Signature or Digital Signature. Alternatively, ADA may print the duly completed prescribed application form from its electronic platform and request the applicant to physically sign on the printed copy of the prescribed application form.

Note:

- i. *Use of eSignature onto the prescribed application form must comply with all legal requirements under the Electronic Commerce Act 2006 Part III provision under 9(1), 9(2) and 9(3).*

- ii. *Provision under 9(1) - Where any law requires a signature of a person on a document, the requirement of the law is fulfilled, if the document is in the form of an electronic message, by an electronic signature which:*
 - a. *is attached to or is logically associated with the electronic message;*
 - b. *adequately identifies the person and adequately indicates the person's approval of the information to which the signature relates; and*
 - c. *is as reliable as is appropriate given the purpose for which, and the circumstances in which, the signature is required.*
- iii. *Provision under 9(2) - For the purposes of provision 9 (1)(c), an electronic signature is as reliable as is appropriate if:*
 - a. *the means of creating the electronic signature is linked to and under the control of that person only;*
 - b. *any alteration made to the electronic signature after the time of signing is detectable; and*
 - c. *any alteration made to that document after the time of signing is detectable.*
- iv. *Provision under 9(3) – The Digital Signature Act 1997 [Act 562] shall continue to apply to any digital signature used as an electronic signature in any commercial transactions.*
- v. *Usage of Digital Signature in the prescribed application form must comply with the signature requirements provided under Section 62(1) of Digital Signature Act 1997 as follows:*
 - a. *that digital signature is verified by reference to the public key listed in a valid certificate issued by a licensed certification authority;*
 - b. *that digital signature was affixed by the signer with the intention of signing the message; and*
 - c. *the recipient has no knowledge or notice that the signer –*
 - aa. *has breached a duty as a subscriber; or*
 - bb. *does not rightfully hold the private key used to affix the digital signature.*

4.1.1.17 Thereafter the ADA is to comply with all the existing procedures for account opening in the Procedure Manual.

4.1.1.18 ADA may submit the completed prescribed application form and the supporting documents as mentioned under 4.1.1.2 (b) or 4.1.1.3 or 4.1.1.4 and 4.1.1.2 (c) (if applicable) either electronically or in hardcopy to Bursa Depository. Where the ADAs wants to safe keep the ADA's copy of the prescribed application form in electronic format, it must ensure that all relevant internal controls have been put in place. ADA have to ensure that the depositor's copy of the prescribed application form is provided to the applicant once the account is opened.

CORPORATE DEPOSITORS

The following are the requirements for an applicant falling under the category of companies incorporated under The Companies Act 2016.

4.1.1.19 Receive the following for each corporate account opening request:-

- a. A completed and duly signed FMN070, and
- b. A certified true copy of the following or its equivalent:-
 - i. Board Resolution (for authorised signatories)
 - ii. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
 - iii. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or annual return
- c. Two (2) original or certified true copies of the list of authorised signatory(ies) and specimen signatures.
- d. Two (2) certified true copies of any of the following supporting documents that captures applicant's **name, bank account number and bank's name**:
 - i. Front page of bank savings book; or
 - ii. Bank statement; or
 - iii. Confirmation letter from the bank; or
 - iv. Bank statement extracted from internet; or
 - v. Bank-in receipt; or
 - vi. Cheque deposit receipt; or
 - vii. Debit invoice; or
 - viii. Bank identification card; or
 - ix. Cheque book or
 - x. Any other document evidencing the name of depositor, bank account number and bank's name.
- e. Power Of Attorney (if applicable)

Note:

- (i) *The sections listed in "b" to "d" need not be submitted for subsequent account openings provided the authorised signatory(ies) / information stated in them remain unchanged. However, where there is a change in the authorised signatory(ies) / information stated in the supporting documents, ADA is required to furnish Depository with the updated copies of the supporting documents.*

- (ii) *For further instructions on the use and completion of Section “c”, the list of authorised signatory(ies) and specimen signatures, please refer to Sections 4.1.2.17,4.1.2.18 and 4.1.2.19 on the operations of a set of “Master Record” list of authorised signatory(ies) and specimen signatures (if applicable).*

4.1.1.20 Please see Appendix 15 **Checklist For Verification Of Opening An Account**, for details on the requirements for other forms of corporate depositors, for example, trust foundation, society registered under the Societies Act 1966 and Co-operatives Act 1993 and foreign incorporated companies etc.

ADA’S PRINCIPAL ACCOUNTS AND WHOLLY OWNED NOMINEE ACCOUNT

4.1.1.21 ADA’s principal accounts are opened to facilitate the Participating Organisation’s trading activities.

4.1.1.22 These are the requirements for opening of ADA’s principal account or wholly owned nominee account.

- a. A certified true copy of the following or its equivalent:-
- i. Board Resolution (for authorised signatories)
 - ii. Document(s) evidencing the incorporation or registration of the company, the company’s current name and registration number
 - iii. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or the annual return
- b. Two (2) certified true copies of any of the supporting documents stated under 4.1.1.11 (d) that captures applicant’s **name, bank account number and bank’s name**
- c. Two (2) original or certified true copies of the list of authorised signatory(ies) and specimen signatures.

Note:

- (i) *Sections listed under 4.1.1.11 is only applicable during the opening of the first principal account and the first CDS account for each of its wholly owned nominee company.*
- (ii) *However, where there is a change in the authorised signatory(ies) information stated in the supporting documents, ADA is required to furnish Depository with updated copies.*

- 4.1.1.23 Principal accounts can be used to facilitate trading activities which are subject to the rules and regulations of the relevant Stock Exchange. The following are the abbreviations for each account:-
- a. CLR – for purposes of clearing or any other similar activities
 - b. ERROR – for purposes of error and mistake or any other similar activities
 - c. IDA – for purposes of intra-day activities or any other similar activities
 - d. IVT – for purposes of investment or any other similar activities.
- 4.1.1.24 For each principal account, any one of these codes will form part of the account qualifier for that particular CDS account. For example, in a clearing account, the account qualifier field will be “CLR XXXX” where XXXX are the descriptive particulars prescribed by the relevant Stock Exchanges.
- 4.1.1.25 Each wholly owned nominee account opened can be for one beneficial owner or as an exempt nominee account by indicating the name of the Instructing Client that is a body corporate. Kindly refer to **Guidelines On Account Qualifier** (Appendix 16) for the naming convention to open a wholly owned nominee account.
- 4.1.1.26 Ensure the correct codes are used when entering the details into the CDS. Refer to **Codes For ADA** (Appendix 17) for codes to be used for the relevant fields.

ELIGIBILITY

- 4.1.1.27 Ensure that the applicant falls under one of the categories stated here below:-
- a. An individual who has attained the age of eighteen (18) years as of the application date
 - b. A corporation incorporated under the Companies Act 2016
 - c. Any corporate body that is incorporated within Malaysia and is by notice published in the Gazette declared to be a public authority or an instrumentality or agency of the Government Of Malaysia or of any State
 - d. A society under any written law relating to co-operative societies
 - e. A trustee or trust corporation duly constituted under any written law relating to co-operative societies
 - f. A society registered under the Societies Act 1966
 - g. Statutory bodies incorporated under an Act of Parliament.
 - h. A limited liability partnership within the meaning of section 2 of the Limited Liability Partnerships Act 2012.

INELIGIBILITY

4.1.1.28 The following categories of persons shall not be eligible to open a CDS account:-

- a. A person who has been adjudicated a bankrupt under the Bankruptcy Act 1967 and remains an undischarged bankrupt at the time of application
- b. A “mentally disordered person” within the meaning of the Mental Health Act 2001
- c. A partnership within the meaning of the Partnership Act 1961
- d. A sole proprietorship cannot open an account in the name of the sole proprietorship but can open an account in his own personal capacity
- e. A person who is not a beneficial owner or not an authorised nominee of the deposited securities.

4.1.2 Verification Of Application For Opening Of Individual / Corporate Account Requests

4.1.2.1 Verify the original NRIC / Passport / Authority Card to authenticate the applicant’s identity for those individuals appearing in person.

4.1.2.2 Reject the application if the form is not signed.

4.1.2.3 Verify the particulars stated by the applicant on the FMN070 against the Checklist For Verification Of Opening An Account (Appendix 15).

4.1.2.4 Where the supporting documents provided are incomplete, do not proceed to open the CDS account for the applicant. The ADA must ensure that all supporting documents are complete before the opening of the CDS account.

***Note:** All documents in a foreign language must be accompanied by an English translated copy. The English copy must be certified by the translator.*

4.1.2.5 In respect of requirements for different categories of CDS accounts, please refer to the **Checklist For Verification Of Opening An Account** in Appendix 15 and if applicable, **Guidelines On Account Qualifier** in Appendix 16.

4.1.2.6 Where the FMN070 has been executed by a person who is **not able to read or understand the content**, it should be accompanied by a Jurat Clause. The Jurat Clause needs to be affixed and signed by a person stated in the List Of Acceptable Witnesses in Chapter 9.

Jurat Clause:-

I (NRIC No.) have distinctly, clearly and audibly interpreted the above in the language/dialect to the abovenamed person who seemed to clearly understand the above and who made his/her mark in my presence.

Signed by

- 4.1.2.7 For corporate bodies and societies, ensure that the FMN070 is executed by the signatory(ies) as authorised by the corporate body's Board Resolution / Power of Attorney / Minutes of Meeting.
- 4.1.2.8 The basic provisions required by Depository in a corporate investor's Board Resolution are:-
- a. Authorisation to open and operate CDS accounts
 - b. List of Authorised Signatories to execute CDS documents for opening and operation of the CDS accounts
 - c. Condition of signing of the appointed authorised signatories for CDS documents.
- 4.1.2.9 Refer to Appendix 18 for **Criteria For Board Resolution** required and ensure that the corporate body's Board Resolution comply with Depository's criteria.
- 4.1.2.10 Where the Board Resolution states that the corporate body's common seal shall be affixed on the FMN070, ensure that the corporate body's common seal is affixed in accordance with the rules governing the corporate body in the relevant documents.
- 4.1.2.11 The authorised signatories are to execute the form in the manner specified in the corporate body's Board Resolution.
- 4.1.2.12 Ensure that all applicants furnish the specimen signature(s) in accordance with the Board Resolution / Power of Attorney / Minutes of Meeting submitted. This may be done by way of providing two (2) original or certified true copies of the list of authorised signatory(ies) and specimen signatures.
- 4.1.2.13 Ensure that the conditions of signing are stated in the Board Resolution / Power of Attorney / Minutes of Meeting submitted e.g. whether it is one (1) or more signatories to sign.

4.1.2.14 Where the FMN070 is signed under Power of Attorney, refer to **Usage Of Power Of Attorney** (Appendix 19).

4.1.2.15 For all CDS transaction forms that are to be executed by Power of Attorney, the ADA is to affix the following rubber-stamp on the “Declaration By The Applicant” column in the FMN070:-

“I/We as stated here below hereby affirm that the Power of Attorney dated _____ bearing Registration No. _____ pursuant to which this form is executed has not been revoked and I/We undertake to notify Depository of any revocation of this Power of Attorney”.

Name of Donee(s)	NRIC / Passport No. / Reg. No.

Ensure that the Donee(s) complete(s) the above rubber-stamp and signs the FMN070.

4.1.2.16 Ensure that all Donees sign the FMN070 for Power of Attorney in accordance with the requirements of Depository in Appendix 19.

4.1.2.17 The ADA must maintain one (1) of the two (2) original or certified true copy of the list of authorised signatory(ies) and specimen signatures.

4.1.2.18 The term “Master Record” must be stated on the list of authorised signatory(ies) and specimen signatures of the corporate depositors who wish to maintain only one set of specimen signature(s) throughout for the operation of all their CDS accounts maintained at an ADA.

4.1.2.19 For cross reference purposes, ensure that the “Master Record” is filed properly for subsequent account opening of this corporate depositor.

4.1.2.20 Where facsimile signatures are to be used on any of the CDS forms executed by the corporate applicant, the ADA is to:-

- a. Obtain two (2) original or certified true copies of the Board Resolution containing:-

- i. Authorisation to use the facsimile signature(s)
 - ii. A clause stating that the Letter Of Indemnity will be furnished to Depository
 - iii. The names of the authorised signatories who will be signing the Letter Of Indemnity
 - b. Obtain the specimen facsimile signatures of the authorised signatories
 - c. Obtain the original stamped copy of the **Letter Of Indemnity For Facsimile Signatures** (Appendix 20) from the corporate applicant addressed to Depository.
- 4.1.2.21 Forward the original stamped copy of the Letter of Indemnity to Depository together with copies of the supporting documents.
- 4.1.2.22 The ADA must file the duplicate copy of the stamped Letter of Indemnity together with the original supporting documents for record and verification purposes.
- 4.1.2.23 Affix the ADA's company rubber-stamp at the space marked "to be completed by ADA" on the FMN070.
- 4.1.2.24 Ensure that the "approved by" column of the FMN070 is signed by an authorised signatory of the ADA.
- 4.1.2.25 Every amendment made on the form must be countersigned by the applicant and the authorised signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
- 4.1.2.26 Any amendments made on Declaration by "Dealer Representative / ADA's Authorised Officers / Notary Public / Others as approved by Depository" column of FMN070 must be countersigned by the ADA and the witness.
- 4.1.2.27 Any amendments made in the "for office use only" column in the form must be signed by the authorised signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.
- 4.1.2.28 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).
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4.1.2A Verification Of Application For Opening Of Individual Account Received Through CDS eServices

- 4.1.2A.1 Verify the information provided and entered by depositor through the CDS eServices against the uploaded supporting documents.
- 4.1.2A.2 Alternatively, ADA may print the Pending Approval Listing Report (Appendix 97) to verify the information entered by applicant to open CDS account.
- 4.1.2A.3 Ensure the information entered is correct before confirming and approving the application to open the CDS account.

Notes:

- i. ADA must ensure that it had verified the client's identity and authenticity of the application to open the CDS account. Once the ADA has confirmed the application, Bursa Depository would deem that the ADA had carried out all the relevant authentication check on the application and the accuracy of the information entered by the applicant.*
 - ii. ADA staff is required to attend to all request in the CDS eServices Request List within 2 market days from the date of the request received. Failing which, the information entered will be removed from the system and it will be captured in the Account Rejected/Expired Control Report (Appendix 98).*
 - iii. Email notification will be sent to the applicant notifying him/her that his/her request to open a CDS account have been rejected by his/her chosen ADA.*
- 4.1.2A.4 If there is any minor data entry error or discrepancies on the applicant's information, the ADA staff may amend the applicant's information using his/her discretion. If the data entered is required to be removed from the system, the ADA staff is to reject the data entered by the depositor and provide reason for the rejection. The rejected transaction will be captured in the Account Rejected/Expired Control Report.

4.1.3 Keying-In Account Opening Data Into The CDS By First (1st) Level User

- 4.1.3.1 Key-in the applicant particulars using the CDS "Account Maintenance" screen. Comply with the Depository's **Standard Identification Guidelines On Data Entry Of Depositor's Identification Number In CDS** (Appendix 21).

Note: If there is a prior approval obtained from Depository to waive the opening of account fee, ADA is required to click on the fee waived and enter the letter reference number. Failing to enter both the information, will result in the billing for the opening of account.

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- 4.1.3.2 If the applicant has a new NRIC, the ADA must key-in **both the old (if any) and new NRIC numbers** at the respective fields to verify that the applicant does not already have a CDS account under the old NRIC.
- 4.1.3.3 **If the name and investor id differ from that in the system, do not proceed further. Inform Account Management of Depository immediately.**
- 4.1.3.4 In the case of registered address, if the address stated in the FMN070 differs from that in the system, the ADA may proceed to update the registered address only after sighting either the original or certified true copy of identification document to ensure that the address on the identification document is as per that stated in FMN070.
- 4.1.3.5 Ensure that the FMN070 is also completed to give effect to the new update of registered address. For further details, please refer to Section 4.4.2 and 4.4.4.
- 4.1.3.6 Ensure that all particulars as per FMN070 have been keyed-in correctly before confirming the data entry.
- 4.1.3.7 Ensure that the “data entry by” column in FMN070 is completed by the ADA personnel who performed the data entry.

Note:

- (i) *The data entry personnel must not be the same person approving the transaction.*
- (ii) *All complete account opening applications lodged by an applicant before 12.00pm on any market day must be keyed-in to the CDS on the same market day*
- (ii) *Where complete account opening applications are lodged after 12.00pm on any market day, subject to the ADA’s discretion, these requests may be keyed-in on the same market day or at the very latest the next market day.*

4.1.4 Confirmation Of Account Opening Data By Second (2nd) Level User

- 4.1.4.1 The 2nd level user to retrieve the account opening data via the Unattended Request List and link to Verifier’s Details Page to verify against the FMN070.
- 4.1.4.2 Alternatively, 2nd level user may verify the data entry using Pending Approval Listing (Appendix 97) to verify against the FMN070.
- 4.1.4.3 Verify and ensure the data keyed in correctly before confirming and approving the account opening.

Note:

- a. *Once the 2nd level user confirmed the data entered by the 1st level user, Depository deems that the 2nd level user had verified and confirmed the accuracy of the data entered.*
- b. *2nd level user is required to confirm the data entered by the 1st level user latest by next market day. Failing which, the data entered will be removed from the system and it will capture in the Account Rejected/Expired Control Report (Appendix 98).*

4.1.4.4 If there is any data entry error or discrepancies on the applicant's information, return the FMN070 to the data entry staff to amend the data. If the data entered is required to be removed from the system, the 2nd level user is to reject the data entered by the 1st level user and provide the reason for rejection. The rejected transaction information will be reflected on the Account Rejected/Expired Control Report.

4.1.4.5 If the account opening data entry is free from error, the 2nd level user is to confirm the data entry and sign on the "verified by" column of the FMN070.

4.1.4.6 Upon completion, record the CDS account number generated by CDS on the appropriate column in FMN070.

4.1.4.7 The ADA is to print and provide the applicant the invoice (Appendix 92) from the CDS in respect of the fee for the opening of account unless the applicant indicates he does not require the same.

Note : In the event there is a request from a depositor to reprint the invoice, the ADA is to reprint the invoice from CDS and endorse it with a rubber stamp bearing the word "COPY" on the top section of the reprinted invoice before forwarding it to the depositor.

4.1.4.8 On the next market day, ADA has the option to print the CDS Transaction Invoice Report (Appendix 93) from CDS. The purpose of this report is to assist the ADA to reconcile the amount collected for all the CDS transactions initiated on previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

4.1.5 Confirmation Of Account Opening Data By Second (2nd) Level User through the BA Request List

4.1.5.1 If the information entered by applicant is free from error, the 2nd level user is to confirm the application to open CDS account.

- 4.1.5.2 Upon the 2nd level user confirms the application, a PDF copy of the CDS Account Form (FMN070) populated with the applicant's information will be generated and binded by Digital Signature.
- 4.1.5.3 The ADA may access to confirmed request and supporting documents via the CDS eServices module and link to Completed CDS eServices Request.
- 4.1.5.4 The confirmed request and the relevant supporting document can be retrieved by entering the depositor's NRIC / Passport number or enquire by date.
- 4.1.5.5 The ADA is to print and provide the applicant the invoice (Appendix 92) from the CDS in respect of the fee for the opening of account if the applicant requests for one.

Note :

In the event there is a request from a depositor to reprint the invoice, the ADA is to reprint the invoice from CDS and endorse it with a rubber stamp bearing the word "COPY" on the top section of the reprinted invoice before forwarding it to the depositor.

4.1.6 Acknowledge Receipt Of Account Opening Requests

- 4.1.6.1 Receive the account opening fee amount.
- 4.1.6.2 Return the **Applicant copy** of the FMN070 to the depositor as acknowledgement **only after the CDS account number has been generated and recorded on the applicant copy of the form.**
- 4.1.6.3 The ADA must maintain proper records of all account opening fees received.

4.1.7. Generate Participant Accounts Listing And eServices Registration Report

- 4.1.7.1 Print the Participant Accounts Listing (Appendix 23) and eServices Registration Report (Appendix 94).
- 4.1.7.2 The ADA personnel who checked and verified the data entry before confirming the account opening must sign on the respective reports.
- 4.1.7.3 If there is(are) any data entry error(s), proceed with the Updating Of Account Particulars from Section 4.4.2.7 onwards.

4.1.8 Verifying Account Maintenance Control Report (Optional)

4.1.8.1 Printing and verifying the Account Maintenance Control Report (Appendix 99) on a daily basis is optional. This report is a summary report that would contain information of all account opening, updating and closure requests that have been confirmed and attended to.

4.1.9 Opening Of Principal And Wholly Owned Nominees Account(s) Of The ADA

- 4.1.9.1 FMN070 is not required to be completed for opening of ADA's principal and its wholly owned nominees account.
- 4.1.9.2 Upon checking the details of all ADA's principal account and its wholly owned nominees account entered into CDS are correct, print the **Principal And Nominees Account Report** (Appendix 24). It is optional for the ADA to print the Participant Account Listing to verify the data entry.
- 4.1.9.3 The Principal And Nominees Account Report will reflect all the ADA's principal accounts and its wholly owned nominees account opened for the day.
- 4.1.9.4 This report is sorted as follows:
- a. by principal and wholly owned nominees account
 - b. within the principal account, by the type of principal account i.e. CLR, ERROR, IDA and IVT.
- 4.1.9.5 ADA and its wholly owned nominees company's authorised signatory(ies) as per Board Resolution is(are) required to sign the 'Declaration Clause' on this report.
- 4.1.9.6 Where the Board Resolution states that the company's common seal will be used, then the company's common seal will need to be affixed at the 'Declaration Clause' on this report.
- 4.1.9.7 All other opening of account application procedures detailed in section 4.1 (if relevant) are also applicable for opening of Principal and Wholly Owned Nominee account(s) of the ADA.

4.1.10 Bank Account Information For ADA's Principal Account(s) And Wholly-Owned Nominees Account(s)

- 4.1.10.1 FMN070 is not required to be completed to provide bank account information with regards to ADA's principal account(s) and wholly-owned nominees account(s).
- 4.1.10.2 Ensure all the bank account information with regards to the ADA's principal account(s) and wholly-owned nominees account(s) have been keyed-in correctly by verifying against the eServices Registration Report.
- 4.1.10.3 Upon verifying that the data has been keyed-in correctly, proceed to print the Principal And Nominees eDividend Registration Report (Appendix 88).
- 4.1.10.4 The Principal And Nominees eDividend Registration Report will reflect all the ADA's principal account(s) and wholly-owned nominees account(s)' bank account information registered for eDividend for the day.
- 4.1.10.5 The report will be sorted as follows:-
- a. By principal account(s) and wholly-owned nominees account(s)
 - b. Within the principal account, by the type of principal account i.e. CLR, ERROR, IDA and IVT.
- 4.1.10.6 ADA and its wholly-owned nominees' authorised signatory(ies) as per Board Resolution is(are) required to sign the relevant 'Declaration Clause'.
- 4.1.10.7 Where the Board Resolution states that the company's common seal will be used, then the company's common seal will need to be affixed at the 'Declaration Clause' on this report.
- 4.1.10.8 All other related procedures detailed in Section 4.1 (if applicable) are also applicable for providing bank account information for principal account(s) and wholly-owned nominee account(s) of the ADA.

4.1.11 Email Address For ADA's Principal Account(s) And Wholly Owned Nominees Account(s)

ADAs and their wholly owned nominee companies, in respect of the ADA's principal account(s) and wholly-owned nominees account(s), may provide an email address to receive electronic notification in connection with their deposited securities, although such electronic notification will be confined to the following:-

- a. Communication from Bursa Malaysia Berhad's Group of Companies related to capital market matters,
- b. Notices and other communication from the issuers of securities and Participating Organisations ("POs"), as and when the service to enable such electronic notification becomes available and the relevant persons such as the issuers, POs or other entities within Bursa Malaysia Berhad's Group of Companies elect to use such service.

- Notes :
- i. ADA's principal and wholly owned nominee companies accounts will receive CDS statement of accounts and notices from Depository via eFIX.
 - ii. The ADA and its wholly-owned nominee companies need not complete the FMN070 when providing the bank account information only or email address and bank account information together to Depository. However, FMN070 will need to be completed when providing the email address only to Depository.

4.1.12 Transmitting Principal And Nominee Account Report To Depository

4.1.12.1 ADAs are to submit the Principal and Nominee Account Report accompanied with the relevant declaration on a weekly basis. This report will be submitted on the first market day of the following week by initiating the following processes in CDS:-

- a. Print the Principal and Nominee Account Report for the whole of previous week transactions by indicating on start date as the first market day of the previous week and on end day as the last market day of the previous week.
- b. Proceed to the Declaration Module and select the Principal/Nominee Account Opening Report and press the "Search" button. View the report to ensure it is the correct report containing the transactions for the whole of previous week.

-
- c. Click the “Submit To Bursa” button upon confirming the contents of the report is correct. The ‘Declaration Clause’ will appear and ADAs are required to press the “Submit” button to transmit the report to Depository.
 - d. ADAs are allowed to enquire on their submission of report to Depository via the Submitted Principal/Nominee Account Opening Report Enquiry.

Note: *No signature is required for the declaration appearing on this report that is being submitted electronically to Depository.*

4.1.13 Transmitting Principal And Nominees eDividend Registration Report To Depository

4.1.13.1 ADAs are to submit the Principal And Nominees eDividend Registration Report accompanied with the relevant declaration on a weekly basis. The report will be submitted on the first market day of the following week by initiating the following processes in the CDS:-

- a. Print Principal And Nominees eDividend Registration Report for the whole of previous week’s transactions by indicating the first market day of the previous week as the “start date” and the last market day of the previous week as the “end date”.
- b. Proceed to the Declaration Module and select the Principal And Nominees eDividend Registration Report and press the “Search” button. View the report to ensure it is the correct report containing the transactions for the whole of previous week.
- c. Click the “Submit To Bursa” button confirming the contents of the report is correct. The Declaration Clause will appear and ADAs are required to press the “Submit” button to transmit the report to Depository
- d. ADAs are allowed to enquire on their submission of report to Depository via the Submitted Principal And Nominees eDividend Registration Report Enquiry.

Note: *No signature is required for the declaration appearing on this report that is being submitted electronically to Depository.*

4.1.14 Sorting And Packing Of Forms

- 4.1.14.1 Print the Account Maintenance Control Report for the whole month period.
- 4.1.14.2 The following documentations related to individual and corporate body depositors' account opening requests must be packed separately and sorted by date according to the Account Maintenance Control Report.
 - a. Depository copies of the FMN070.
 - b. Copies of supporting documents attached to FMN070.
 - c. The original or certified true copies of list of authorised signatory(ies) and specimen signatures attached to FMN070.
- 4.1.14.3 For those CDS account opening request submitted via CDS eServices, no forms or supporting document is required to be packed and submitted to Bursa Depository.
- 4.1.14.4 The sorted and packed documentations must be bundled together and accompanied with the printed Account Maintenance Control Report.
- 4.1.14.5 The Account Maintenance Control Report must be declared and signed by the authorised signatory(ies) of the ADA.

4.1.15 Submission Of Account Opening Documents To Depository

- 4.1.15.1 ADA and its branches must submit Depository's copies of FMN070 (with the relevant supporting documents) to Depository by the fifth (5th) market day of the following month or such other day as instructed by Depository.
- 4.1.15.2 For individual depositors, send the following to Depository:
 - a. Depository copy of the completed FMN070
 - b. Copy of NRIC / Passport / Authority Card or other acceptable documents of identification as stated in Section 4.1.1.2 (b), or 4.1.1.3 or 4.1.1.4. This document must have been attested or stamped according to Section 4.1.1 (A) or 4.1.1 (B) unless Section 4.1.1 (C) applies.

- c. Copy of any of the supporting documents that captures applicant's **name, bank account number and bank's name** as stated in Section 4.1.1.2 (c). This document must have been attested or stamped according to Section 4.1.1 (A) or 4.1.1 (B) unless Section 4.1.1 (C) applies.
- d. Power of Attorney (if applicable)

4.1.15.3 For corporate depositors, send the following to Depository:-

- a. Depository copy of the completed FMN070
- b. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
- c. Board Resolution or its equivalent (for e.g. Approved Minutes of meeting or Investment Panel's Resolution)
- d. One (1) certified true copy of any of the supporting documents that captures applicant's **name, bank account number and bank's name as stated in Section 4.1.1.11 (d)**
- e. One (1) original or certified true copy of the list of authorised signatory(ies) and specimen signatures.
- f. Power of Attorney (if applicable)

4.1.15.4 For ADA's Principal accounts and its Wholly Owned Nominee account, send the following to Depository:-

- a. Board Resolution
- b. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
- c. One (1) original or certified true copy of the list of authorised signatory(ies) and specimen signatures
- d. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or annual return

4.1.15.5 For corporate depositors' accounts, ADA's Principal and wholly owned nominee accounts, do not submit the supporting documents required as per sections 4.1.15.3, "b" to "f" and 4.1.15.4" for subsequent account openings unless the authorised signatory(ies) / information contained in the above documents have been updated.

4.1.16 Filing Of Documents

4.1.16.1 File the following documents:-

- a. ADA/ADM copy of the FMN070 for individual and corporate depositor.
- b. Participant Accounts Listing
- c. eServices Registration Report
- d. The duly signed and stamped Principal and Nominees Account Report.
- e. The duly signed and stamped Principal and Nominees eDividend Registration Report.
- f. The duly signed and stamped Account Maintenance Control Report.
- g. Account Rejected/Expired Control Report
- h. Original or certified true copy of the list of authorised signatory(ies) and specimen signatures
- i. A copy of the NRIC / Passport / Authority Card. This document has been attested or stamped according to Section 4.1.1 (A) or 4.1.1 (B) unless Section 4.1.1 (C) applies.
- j. A copy of any of the supporting documents that captures applicant's **name, bank account number and bank's name**. This document has been attested or stamped according to Section 4.1.1 (A) or 4.1.1 (B) unless Section 4.1.1 (C) applies.

k. Certified true copies of:-

- i. Document(s) evidencing the incorporation or registration of the company, the company's current name and registration number
- ii. Document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares (Appendix 27) or annual return
- iii. Board Resolution

l. Power Of Attorney (if any).

4.1.16.2 Filing the following reports are optional to the ADA:

- a. Pending Approval Listing
- b. Unattended Account Maintenance Report (Appendix 100)
- c. Account Maintenance Control Report (if printed on daily basis)

D. Individual Depositor Unable To Sign And Declared Mentally Disordered

The following are the procedures to be complied with in cases where an individual depositor has been declared mentally disordered by the Court and is unable to manage his own CDS account.

4.3.1.14 A letter from the Committee that have been appointed to manage the depositor's account(s) and the reason for the appointment of Committee.

4.3.1.15 Two (2) letters to state the following:

- a. The intention of the Committee to change the specimen signature of the depositor.
- b. The reason for changing the signature
- c. The specimen signature of the Committee
- d. The mode of operations will be signed by the Committee

4.3.1.16 Obtain the following supporting documents:

- a. Two (2) certified true copies of the Court Order
- b. Two (2) certified true copies of identification documents of the Committee

Proceed with procedures stated in Sections 4.3.1.6 to 4.3.1.7 to update the depositor's signature.

E. Individual Depositor Updating Signature For CDS Account Opened Through CDS eServices

The individual depositor must be present in person before the ADA to update his/her signature if such depositor opened CDS Account through CDS eServices and wishes to perform CDS transactions that is not offered via CDS eServices. The following are the procedures to be complied with.

4.3.1.17 ADA to request the depositor to complete his/her name and NRIC numbers on the CDS Account Form (FMN070) and sign on the form to capture his/her signature.

4.3.1.18 Print the stored CDS account opening form binded with digital signature from CDS system and attach to the FMN070 that was completed and signed by the depositor.

4.3.1.19 Obtain the original NRIC from the depositor and verify against the details against the duly completed FMN070 and the printed Account opening form binded with digital signature.

4.3.1.20 Reject the request if the particulars such as name, New NRIC number and registered address differs against the printed account opening form.

4.3.1.21 Accept the updated FMN070 form with signature if all particulars on the original NRIC matches with printed CDS Account opening from CDS system. Indicate the date the depositor provided the physical signature on the form.

4.3.1.22 ADA to indicate the mode of the CDS account opened by stamping “CDS eServices” on top of the FMN070 and safekeep the form.

4.3.2 Verification And Updating Of Signature(s) For Corporate Body

4.3.2.1 Updating of signature(s) for corporate body may be done by way of:-

- a. Submitting an authorisation letter from the corporate depositor containing the name(s) of the new authorised signatory(ies), or
- b. Submitting a new Board Resolution containing the name(s) of the new authorised signatory(ies)

4.3.2.2 For an update via an authorisation letter from the corporate depositor, ensure that the existing Board Resolution authorises the corporate depositor to do so.

4.3.2.3 If the existing Board Resolution does not authorise an update via an authorisation letter from the corporate depositor, then a new Board Resolution containing the name(s) of the new authorised signatory(ies) must be submitted.

4.3.2.4 Ensure that the certified true copy of the Board Resolution is signed by the Company Secretary, Director or other authorised personnel empowered to do so.

4.3.2.5 Where update of facsimile signatures is required, the ADA is to obtain the following supporting documents from their clients:-

- a. An certified true copy of the Board Resolution authorising the update of the facsimile signature of the respective authorised signatories on the said forms with the effective date stated

***Note:** The effective date will be the date of receipt of the Board Resolution or the effective date as stated in the Board Resolution, whichever is later*

- b. The specimen facsimile signatures of the authorised signatories

B. Updating Performed Through CDS eServices Platform

CDS eServices is a self-service electronic platform that allows individual depositors to perform certain CDS related transactions through this platform. Body corporate and Nominee companies are not allowed to use CDS eServices to perform CDS transactions.

Individual depositor may register for CDS eServices and the pre-requisite is that the depositor must register his/her email address and handphone number to use this service. Existing individual depositors that have subscribed for eStatement but have not updated their handphone number in CDS must register their handphone number when registering for CDS eServices.

CDS eServices permits registered individual to update the following depositor's information:

- a. Name
- b. Registered address
- c. Nationality
- d. Race
- e. Bank account information
- f. Correspondence Address
- g. Telephone Number
- h. Consolidation of bank account information
- i. Revocation of consolidated of bank account information

Updating of depositor's information for item (a) to (e) above through CDS eServices would still need the ADA's confirmation and approval as updates to these information requires supporting documents that need to be verified against the information updated by depositor. Additionally, any changes to information from (a) to (d) above will have global effects on all other CDS accounts that belongs to the same depositor. Changes to bank account information will have global effect on all other CDS accounts of the same depositor provided such depositor have opted for consolidation of bank account information.

Notes:

- a. *A fee of RM10 will be imposed on an existing depositor providing his bank account information to the Depository for the first time through CDS eServices provided the CDS account is opened prior to 19 April 2013. The fee will be paid to Bursa Depository via Paynet's FPX system. However, no such fee is imposed for CDS account opened on and after the 19 April 2013.*
- b. *The depositor must request to the ADA to print the invoice from CDS in respect of this fee unless such depositor indicates he/she does not require the same.*

However, request for updating depositor's particulars from (f) to (i) through CDS eServices does not require any supporting documents or ADA's approval and changes to these information in depositor's CDS account will be effected immediately once the depositor had successfully submitted through CDS eServices.



BURSA MALAYSIA DEPOSITORY SDN BHD
Registration Number: 198701006854 (165570-W)

CDS ACCOUNT FORM

Where relevant, this form must be submitted together with the relevant supporting documents.

CROSS (X) WHERE APPLICABLE

Application For Opening of Account

Application For Updating of Account Particulars

Application For Closing of Account

(Please complete the column denoted with "U" and the relevant particulars to be updated)

(Please complete the column denoted with "F")

CDS ACCOUNT NUMBER #

005-001-50128053

CROSS(X) WHERE APPLICABLE

MALAYSIAN FOREIGNER

OLD NRC/ AUTHORITY CARD #

NEW NRC NO. #

050525-14-0105

NAME OF APPLICANT/ DEPOSITOR (USE NEW NRC/ AUTHORITY CARD #)

Harry Potter

REGISTERED ADDRESS OF APPLICANT/ DEPOSITOR (USE NEW NRC/ NUMBERED AUTHORITY CARD)

NO 1 JALAN CEMERLANG JAYA 3 UPOC D
NO 1 JALAN CEMERLANG JAYA 3 UPOC D

POSTCODE:

12341

TOWN:

Petaling Jaya

STATE:

Selangor

COUNTRY:

Malaysia

CORRESPONDENCE ADDRESS OF APPLICANT/ DEPOSITOR

NO 1 JALAN CEMERLANG JAYA 3 UPOC D
NO 1 JALAN CEMERLANG JAYA 3 UPOC D

POSTCODE:

12341

TOWN:

Petaling Jaya

STATE:

Selangor

COUNTRY:

Malaysia

NATIONALITY

Malaysian

RACE:

Chinese

HOUSE/OFFICE TELEPHONE NO.

80390880000

BANK NAME:

Malayan Bank Berhad

JOINT BANK ACCOUNT:

Yes

BANK ACCOUNT NO.

11110000999

CONSOLIDATE (BANK ACCOUNT)

Cross (X) if you wish the same bank account information to be used for all your CDS accounts.

REVOKE CONSOLIDATION (BANK ACCOUNT)

Cross (X) if you wish to revoke a previous request to consolidate (bank account)

EMAIL ADDRESS

abc@yopmail.com

HANDPHONE NO.

80123456789

"We hereby make the declarations stated in "Declaration By Applicant/Depositor/Authorised Signatory(ies)/Attorney(s)" under "Part A/Part B overleaf."

14-05-2020

SIGNATURE OF APPLICANT/ DEPOSITOR/AUTHORISED SIGNATORY (IES)/ATTORNEY(S)*

DATE

* Delete whichever is applicable

** Affix common seal (where applicable)

(For account opening and add/update bank account information)

DECLARATION BY DEALER'S REPRESENTATIVE/ADA'S OFFICER(S)/NOTARY PUBLIC/OTHERS AS APPROVED BY BURSA MALAYSIA DEPOSITORY SDN BHD ("DEPOSITORY")

(To be completed when the method of verification is by any of the above persons)

I hereby affirm and attest that the particulars of the applicant/depositor have been verified to be true and the "signature(s)/thumbprint(s) of the "applicant /depositor belongs to the "applicant/depositor who has appeared in person before me.

NAME : _____

NRIC NO : _____

LICENSE NO.
(If applicable) : _____

DESIGNATION : _____

SIGNATURE : _____ DATE : _____

FOR OFFICE USE ONLY

To be completed by ADA

CDS ACCOUNT CLOSED ON: 14-05-2020

INVESTOR TYPE ACCOUNT TYPE TAGGING CODE BENEFICIARY

VERIFIED/APPROVED BY	DATE	CROSS (X) WHERE APPLICABLE (FOR INDIVIDUALS ONLY)
En. Yusof	14-05-2020	<input checked="" type="checkbox"/> Application submitted through Bursa Anywhere / ADA Electronic Platform
		<input type="checkbox"/> Applicant appeared in person and the original "NRIC/ Passport/ Authority Card was verified by ADA/ ADM.
DATA ENTRY BY	DATE	<input type="checkbox"/> Application received from "Dealer Representative/ ADA's Authorised Officer(s)/ Notary Public/ Others as approved by Bursa Depository.
		<input type="checkbox"/> Non Face To Face Verification.

DECLARATIONS**A) APPLICATION FOR OPENING OF CDS ACCOUNT DECLARATION BY APPLICANT/DEPOSITOR/AUTHORISED SIGNATORY(IES)/ATTORNEY(S)**

*We hereby -

- i. Declare that "We have the full capacity and authority to make the application, and open and operate a CDS account, and that the information given in this application is true and correct as at the date of this form.
- ii. Agree to be bound by the Rules of Bursa Malaysia Depository Sdn Bhd ("Depository") and any directions issued by the Depository, as may be amended from time to time.
- iii. Declare that "We are the beneficial owner of all securities credited into this account that is to be opened.
- iv. Involuntarily consent to the disclosure by the Depository, the issuer and their respective agents to any person, of such of "my/our personal information, as may be necessary or expedient to facilitate the payment of all cash dividends and other cash distributions that may be due to "me/us in respect of the deposited securities in "my/our CDS account, directly into "my/our bank account as stated in this form or as may be updated from time to time, or for any other purpose in connection with the payment of dividends or other cash distributions via such manner.
- v. Involuntarily consent to receiving all cash dividends and other cash distributions that may be due to "me/us in respect of the deposited securities in "my/our CDS account via direct credit into my bank account as stated in this form or as may be updated from time to time.
- vi. Agree to receive, in relation to my deposited securities and where relevant, electronic notifications instead of hardcopy notification, sent using "my/our contact details as stated in this form or as may be updated from time to time, and further consent to the disclosure of "my/our contact details currently in the Depository's records to:
 - a) Bursa Malaysia Berhad's Group of Companies (the Group) to enable them to communicate capital market related matters, including new developments and initiatives by the Group, to "me/us; and
 - b) facilitate the sending of notices and communications from the issuers and Participating Organisations (POs) e.g. e-Dividend notification, contract notes from POs, and notices/circulars from issuers.

*We have read and am aware of the personal data notice available at Bursa Malaysia Berhad's website at www.bursamalaysia.com.

*Delete whichever is inapplicable

B) APPLICATION FOR CLOSING OF CDS ACCOUNT DECLARATION BY APPLICANT/DEPOSITOR/AUTHORISED SIGNATORY(IES)/ATTORNEY(S)

*We hereby declare that there is nil balance in and no outstanding transactions relating to this account and acknowledge that the Depository will only close the account upon verifying and confirming that there is nil balance and no outstanding transactions relating to this account in the Depository's records.

*Delete whichever is inapplicable

Annexure 3

TASK ASSIGNMENT SHEET - ADA & ADM

GROUP ONE

User ID : _____ Designation : _____

User's Full Name: _____ Existing User : * New User :

* For this request, attach the User ID Application Form

PART A : TASK ASSIGNMENT

(Please tick where applicable : "A" - to assign tasks, "R" - to remove tasks)

(NOTE : GROUP 1 TASKS HIGHLIGHTED IN BOLD AND MARKED WITH #)

UTILITY

- A R **Transfer Confirmation Limit Maintenance # (for principal office only)**
- A R Task Assigned To A User Report (for CDS Coordinator only)
- A R Failed Logon Report by ADA/ADM
- A R Transfer Confirmation Limit Audit Report
- A R **Reset Password Maintenance # (for Authorised Signatories only)**
- A R **Reset Password Audit Report # (for Authorised Signatories only)**
- A R OMT_Consolidated_Statement_Final_SP.PDF #
- A R OMT_Consolidated_Statement_Final_CONV.PDF #
- A R DBT_Consolidated_Statement_Final_SP.PDF #
- A R DBT_Consolidated_Statement_Final_CONV.PDF #

ACCOUNT PROCESSING

- | | Add | Updt | Del | (Tick where applicable) |
|---|-----|------|-----|--|
| <input type="radio"/> A <input type="radio"/> R | | | | Account Maintenance |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Maintenance Verification |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Maintenance Rejection # |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Maintenance Confirmation # |
| <input type="radio"/> A <input type="radio"/> R | | | | Reactivate Dorm/Inact Account |
| <input type="radio"/> A <input type="radio"/> R | | | | Activate New Account # |
| <input type="radio"/> A <input type="radio"/> R | | | | Statement Consolidation # |
| <input type="radio"/> A <input type="radio"/> R | | | | Revoke Statement Consolidation # |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Enquiry By ID |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Enquiry By Name |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Balance Enquiry # |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Stock Detail Enquiry # |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Uncleared Enquiry |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Earmarked Enquiry |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Suspended Enquiry |
| <input type="radio"/> A <input type="radio"/> R | | | | Account / Investor Audit Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Participant Account Listing |
| <input type="radio"/> A <input type="radio"/> R | | | | Inactive Accounts Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Reactivated Account Rpt |
| <input type="radio"/> A <input type="radio"/> R | | | | Principal & Nominees Account Rpt |
| <input type="radio"/> A <input type="radio"/> R | | | | Unattended Account Maintenance Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Pending Approval Listing Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Maintenance Control Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Account Rejected / Expired Control Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Rejected eMail Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Ad Hoc Statementing # |
| <input type="radio"/> A <input type="radio"/> R | | | | eServices Registration Report |
| <input type="radio"/> A <input type="radio"/> R | | | | eServices Audit Report |
| <input type="radio"/> A <input type="radio"/> R | | | | Principal & Noms eDividend Registration Report |
| <input type="radio"/> A <input type="radio"/> R | | | | eStatement List Enquiry |
| <input type="radio"/> A <input type="radio"/> R | | | | Participant Route Maintenance # |
| <input type="radio"/> A <input type="radio"/> R | | | | Participant Route Audit Report # |
| <input type="radio"/> A <input type="radio"/> R | | | | Formalised Accounts Listing # |
| <input type="radio"/> A <input type="radio"/> R | | | | Intra Day Activity Report # |
- } (for ADA only)

INTER-BRANCH TRANSACTION

- A R IBT-Account Balance Enquiry #
- A R IBT-Account Stock Detail Enquiry #
- A R IBT-Ad Hoc Statementing #
- A R IBT- Transfer Confirmation Report #
- A R IBT-Intra Day Activity Report # (for ADA only)

CDS-STP / ACCOUNT CONSENT TASK

- A R Account Consent Maintenance
- A R Account Consent Enquiry
- A R Depositor Consent Listing
- A R Depositor Consent Audit

STOCK PROCESSING

- A R Stock Enquiry

DEPOSIT TRANSACTION

- A R Deposit Listing Enquiry
- A R Lost Scrip Enquiry
- A R Lost Scrip Detail Enquiry
- A R **Deposit Report #**
- A R Deposit Amendment Report
- A R Deposit Amendment By Dep. Report
- A R Deposit Confirmation Report
- A R **Good Value Confirmation Report #**

WITHDRAWAL TRANSACTION

- A R Withdrawal List Enquiry
- A R Withdrawal Report
- A R Withdrawal Amend/Cancel Report
- A R Withdrawal Cancellation Report
- A R Withdrawal Confirmation Report

TRANSFER TRANSACTION

- A R **Online Bulk Transfer Confirmation #**
- A R **Transfer Confirmation Maintenance #**
- A R **Transfer Cancellation Maintenance #**
- A R Transfer Listing Enquiry
- A R **Transfer Inward Enquiry #**
- A R **Transfer Report #**
- A R **Transfer Inward Credit Report #**
- A R Transfer Cancellation Report
- A R Transfer Deleted at EOD Report
- A R Transfer Confirmation Report
- A R Unattended Transfer Report
- A R **Weekly Transfer Confirmation Report #**

TRADE SETTLEMENT TRANSACTION

- A R Insufficient Balance Report (for ADA only)

CORPORATE ACTION TRANSACTION

- A R Corporate Event Enquiry By Date
- A R Corporate Event Enquiry By Stock

DECLARATION

- A R Principal/Nominee Account Opening Report #
- A R Submitted Principal/Nominee Account Opening Report Enquiry #
- A R Transfer Confirmation Report #
- A R Submitted Transfer Confirmation Report Enquiry #
- A R Principal & Noms eDividend Registration Report #
- A R Submitted Principal & Noms eDividend Registration Report #

GOODS AND SERVICE TAX (GST)

- A R GST Tax Invoice
- A R GST CDS Transaction Invoice Report
- A R GST Backdated Invoice
- A R GST Backdated Invoice List

PART B : TO BE COMPLETED BY APPLICANT

User's Signature : _____ Date : _____

PART C : TO BE COMPLETED BY AUTHORISED SIGNATORY

Manager's Signature : _____ Date : _____

Manager's Name : _____ Company Rubber Stamp : _____

PART D : TO BE COMPLETED BY THE EPTR - BURSA DEPOSITORY

Approved By : _____

Signature : _____

Date : _____

Action Required : Add / Update / Remove

TO BE COMPLETED BY TECHNOLOGY INFORMATION MANAGEMENT

Assigned By : _____ Verified By : _____

Signature : _____ Signature : _____

Date : _____ Date : _____