

BURSA MALAYSIA DERIVATIVES BERHAD

Date : 12 February 2007

No. : TP 7/2007

- A) **AMENDMENTS TO THE RULES OF BURSA MALAYSIA DERIVATIVES BERHAD (“RULES OF BURSA DERIVATIVES”) PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS FROM TRADING PARTICIPANTS TO BURSA MALAYSIA DERIVATIVES BERHAD (“THE EXCHANGE”)**
- B) **DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS BY TRADING PARTICIPANTS TO THE EXCHANGE**
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Trading Participants are advised of the amendments and directives captioned above which are hereby issued by the Exchange. The amendments and directives shall take effect 2 weeks from 12 February 2007, i.e. **26 February 2007**. The details of the amendments and directives are as set out below.

- A) **AMENDMENTS TO THE RULES OF BURSA DERIVATIVES PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS FROM TRADING PARTICIPANTS TO THE EXCHANGE**

Pursuant to Section 6 of the Futures Industry Act 1993, amendments have been made to the Rules of Bursa Derivatives pertaining to the revision of frequency of reporting of periodic reports from Trading Participants to the Exchange, as appended herewith and marked as “**Annexure 1**”.

- B) **DIRECTIVES ON SUBMISSION OF PERIODIC REPORTS BY TRADING PARTICIPANTS TO THE EXCHANGE**

In respect of the above matter, Trading Participants are hereby informed that the following directives are issued pursuant to Rule 401.4(k) of the Rules of Bursa Derivatives.

1. **APPLICATION AND EFFECT**

- 1.1 These directives shall revoke KLOFFE’s Members’ Circular 17/2001 in respect of the submission of daily and weekly financial returns.
- 1.2 These directives shall supplement MDEX’s Members’ Circulars 24/2002 and 25/2002 in respect of the Financial Reporting Guidelines.
- 1.3 These directives shall remain in full force and effect until and unless amended, varied, supplemented, substituted therefore or revoked by the

Exchange by way of any letters, circulars or directives issued by the Exchange from time to time.

- 1.4 Words and expressions defined in the Rules of Bursa Derivatives shall, save as otherwise defined herein or unless the context otherwise requires, bear the same meaning in these directives.

2. REPORTING REQUIREMENTS

- 2.1 Trading Participants are required to submit the periodic reports prescribed in the Schedule hereto by way of electronic transmission to the Exchange via proprietary e-mail in the prescribed format annexed thereto and at the times stipulated thereunder.

- 2.2 All periodic reports electronically transmitted by way of proprietary e-mail, whether by a Trading Participant, or any of its directors, officers, employees, servants or agents, are deemed to have been reviewed by the Compliance Officer and the information and records attached therewith are deemed to be declared by the directors of the Trading Participants to be true and accurate in all material aspects.

- 2.3 Trading Participants which do not have a proprietary e-mail address are required to submit the periodic reports referred to in paragraph 2.1 above to the Exchange stored in a conventional portable storage media or device¹, including but not limited to, a micro diskette or a CD-ROM. The micro diskette or CD-ROM submitted must be under cover of a letter signed by a director and the Compliance Officer of the Trading Participant, confirming that the information and records contained therein are true and accurate in all material aspects.

- 2.4 In the event any information or records provided by any Trading Participant in connection with the aforesaid submissions are found to be false, misleading or inaccurate in any manner whatsoever, the Exchange shall be entitled to take such disciplinary or other action(s) as it deems necessary or expedient.

- 2.5 Subject always to paragraph 2.7 hereof, Trading Participants may cease their submission of the periodic reports which have been submitted via e-mail, micro diskette or CD-ROM in hard copy form to the Exchange.

- 2.6 Trading Participants need not submit documents in support of the aforesaid periodic reports to the Exchange. However, Trading Participants are required to maintain all the supporting documents at their premises and are required to produce it to the Exchange as and when required by the Exchange.

- 2.7 Notwithstanding paragraph 2.5 above:-

- (a) in the event a Trading Participant is, for any reason whatsoever, unable to submit by e-mail, micro diskette or CD-ROM, all or any of

¹ The portable storage device must be USB port compatible.

the periodic reports by the stipulated times pursuant to paragraphs 2.1 and 2.3 above, the Trading Participant shall be required to submit the duly completed and printed hard copy form of such periodic reports by way of facsimile, courier or by hand by the stipulated times set out in the Schedule hereto for the duration of its inability to e-mail or to submit the micro diskette or CD-ROM, as the case may be; and/or

- (b) in the event a Trading Participant rectifies, amends and/or re-submits all or any of the periodic reports prescribed herein for any reason whatsoever, the Trading Participant shall submit the duly rectified, amended and/or re-submitted periodic report by way of facsimile by the stipulated times set out in the Schedule hereto, and deliver the printed hard copy by courier or by hand as soon as possible thereafter.
- 2.8 The periodic reports submitted by the Trading Participants under paragraph 2.7 above shall be duly signed by a director and the Compliance Officer of the Trading Participant and in the case of an Investment Bank, the Head of Operations or any other authorised person(s) and the Head of Compliance, confirming and undertaking that the information and records contained therein are true and accurate in all material aspects.
- 2.9 The Exchange may take disciplinary or other action(s) as it deems necessary or expedient in the event the periodic reports are submitted later than the stipulated times set out in the Schedule hereto.
- 3.0 The Exchange may in its absolute discretion and at any time prescribe any other periodic reports to be submitted via e-mail or other conventional portable storage media or device and/or vary the times and manner for submissions of any periodic reports stipulated under paragraphs 2.1 and 2.3 above.

All rules, directives and circulars in force which make references to or contain provisions relating to the above matters shall take effect from the date hereof as if such references or provisions relate to these directives.

Please be informed that these directives are available on Bursa Malaysia's website at: http://www.bursamalaysia.com/website/bm/rules_and_regulations/bursa_rules/bm_derivatives.html

For further information or inquires on these directives, kindly contact the following persons at the following telephone numbers:-

1. Mr. Ng G-Ming (03-2034 7364)
2. Mr. Lum Chee Wah (03-2034 7734)
3. Mr. John Yoong (03-2034 7266)
4. En. Amran Ayub (03-2034 7250)
5. En. Syahril Nizam (03-2034 7258)
6. Cik Wan Dahliawati (03-2034 7367)

Legal Advisory & Corporate Legal Affairs

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA DERIVATIVES BERHAD
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS
FROM TRADING PARTICIPANTS TO BURSA MALAYSIA DERIVATIVES BERHAD**

Existing Rules	Amended Rules
RULE 601.2 COMPLIANCE – BUSINESS CONDUCT	RULE 601.2 COMPLIANCE – BUSINESS CONDUCT
Rule 601.2B	Rule 601.2B
<p>It shall be the responsibility of the Trading Participant to ensure that:</p> <p>(b) no business shall knowingly be transacted by a Trading Participant on behalf of its employee or the immediate family member of the employee, or any Client in which such employee or the immediate family member of the employee has any interest, direct or indirect except with the prior written consent from the Board of Directors of the Trading Participant. Provided always that:</p> <p>(i) <i>(existing provision)</i></p> <p>(ii) <u>the Trading Participant informs the Exchange in writing that such consent has been given;</u></p> <p>(iii) a copy of the written consent is attached to the signed client agreement between the employee and the Trading Participant; and</p> <p>(iv) such account shall be actively monitored by a Compliance Officer.</p>	<p>It shall be the responsibility of the Trading Participant to ensure that:</p> <p>(b) no business shall knowingly be transacted by a Trading Participant on behalf of its employee or the immediate family member of the employee, or any Client in which such employee or the immediate family member of the employee has any interest, direct or indirect except with the prior written consent from the Board of Directors of the Trading Participant. Provided always that:</p> <p>(i) <i>(no change)</i></p> <p>(ii) a copy of the written consent is attached to the signed client agreement between the employee and the Trading Participant; and</p> <p>(iii) such account shall be actively monitored by a Compliance Officer in the manner envisaged by Rule 610.1A.</p>

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PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS
FROM TRADING PARTICIPANTS TO BURSA MALAYSIA DERIVATIVES BERHAD**

Existing Rules	Amended Rules
RULE 602 MINIMUM FINANCIAL RESOURCES REQUIREMENTS	RULE 602 MINIMUM FINANCIAL RESOURCES REQUIREMENTS
<p>Rule 602.3</p> <p>It is the responsibility of each Trading Participant to submit to the Exchange the following statements:</p> <p>(a) <i>(existing provision)</i></p> <p>(b) a statement of financial condition on a monthly basis, i.e. not later than fifteen (15) calendar days after the end of each month. <u>Submission of the above statements shall be accompanied by a letter of attestation to be signed by a director of the Trading Participant, or by a person duly authorised by the director to sign such statements;</u></p> <p>(c) a statement of income/(loss) on a monthly basis, i.e. not later than fifteen (15) calendar days after the end of each month. <u>Submission of the above statements shall be accompanied by a letter of attestation to be signed by a director of the Trading Participant, or by a person duly authorised by the director to sign such statements;</u> and</p> <p>(d) signed audited annual financial accounts within three (3) months after the end of each financial year. The signed audited annual financial accounts shall be submitted together with an auditor's report.</p>	<p>Rule 602.3</p> <p>It is the responsibility of each Trading Participant to submit to the Exchange the following statements:</p> <p>(a) <i>(no change)</i></p> <p>(b) a statement of financial condition on a monthly basis, i.e. not later than fifteen (15) calendar days after the end of each month;</p> <p>(c) a statement of income/(loss) on a monthly basis, i.e. not later than fifteen (15) calendar days after the end of each month; and</p> <p>(d) signed audited annual financial accounts within three (3) months after the end of each financial year. The signed audited annual financial accounts shall be submitted together with an auditor's report.</p>

**AMENDMENTS TO THE RULES OF BURSA MALAYSIA DERIVATIVES BERHAD
PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS
FROM TRADING PARTICIPANTS TO BURSA MALAYSIA DERIVATIVES BERHAD**

Existing Rules	Amended Rules
<p>Provided always that the Exchange, at its discretion, may from time to time prescribe a different reporting interval for any particular Trading Participant as it deems fit and appropriate.</p>	<p>Provided always that the Exchange, at its discretion, may from time to time prescribe a different reporting interval for any particular Trading Participant as it deems fit and appropriate.</p>
<p>GUIDELINE 2.3</p> <p>Letter of Attestation</p> <p>(Rule 602)</p> <p>2.3.1 In accordance with Rule 602.3, the Exchange has prescribed the following format of Letter of Attestation.</p> <hr/> <p>To: Bursa Malaysia Derivatives Berhad Compliance and Surveillance Department</p> <p>Dear Sirs,</p> <p>The attached Statement of Financial Condition / Statement of Income/(Loss) / Statement of Adjusted Net Capital / Statement of Segregation Requirements and Funds in Segregation for Clients Trading on Malaysian and Foreign Exchanges as at _____ have been prepared</p>	<p>GUIDELINE 2.3</p> <p><i>[Deleted]</i></p>

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Existing Rules	Amended Rules
<p>pursuant to the requirements of The Malaysian Derivatives Exchange Berhad, from accounting and other records maintained by _____(name of corporation).</p> <p>In my opinion, these records have been properly and accurately maintained and form an appropriate basis upon which to assess and regularly review the financial stability of the company.</p> <p>To the best of my knowledge and belief no events have occurred, or are anticipated, up to the date of these statements which in my opinion, may result in a material deterioration in the financial stability of the Company.</p> <p>I certify that the above information is to the best of my knowledge and belief, true and correct.</p> <p>..... (Director's name)</p> <p>Dated this _____ day of _____ 19____.</p> <p>Name of Participant Representative responsible for the completion of this return _____ (name and</p>	

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Existing Rules	Amended Rules
<p>designation).</p> <p>End of Letter</p>	
RULE 610 SUPERVISION WITHIN TRADING PARTICIPANT	RULE 610 SUPERVISION WITHIN TRADING PARTICIPANT
<p>Rule 610.1 Supervisory System</p> <p>Each Trading Participant shall establish and maintain a proper system to supervise the activities of each Registered Representative, agents and other personnel and that is reasonably designed to achieve compliance with the Rules and the Futures Industry Act. The final responsibility for proper supervision shall rest with the Trading Participant and its Board of Directors.</p> <p>Each Trading Participant shall designate and register with the Exchange one or more Compliance Officer(s) who have passed an examination approved by the Exchange. A copy of such registration shall be lodged with the Commission.</p> <p>The person acting in the capacity of a Compliance Officer shall not be allowed to solicit or execute any orders on behalf of a Client, shall carry out the supervisory responsibilities in relation to compliance with these Rules and report directly to the Board of Directors and audit</p>	<p>Rule 610.1 Supervisory System</p> <p>(1) Each Trading Participant shall establish and maintain a proper system to supervise the activities of each Registered Representative, agents and other personnel and that is reasonably designed to achieve compliance with the Rules and the Futures Industry Act. The final responsibility for proper supervision shall rest with the Trading Participant and its Board of Directors.</p> <p>(2) Each Trading Participant shall designate and register with the Exchange one or more Compliance Officer(s) who have passed an examination approved by the Exchange. A copy of such registration shall be lodged with the Commission.</p> <p>(3) The person acting in the capacity of a Compliance Officer shall not be allowed to solicit or execute any orders on behalf of a Client and shall carry out the supervisory responsibilities in relation to compliance with these Rules and report directly to the Board of</p>

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Existing Rules	Amended Rules
<p>committee of the Trading Participant.</p> <p>A Compliance Officer shall be a person equipped with authority to carry out the supervisory responsibilities and senior enough to act independently and to effect decisions.</p>	<p>Directors and audit committee of the Trading Participant.</p> <p>(4) A Compliance Officer shall be a person equipped with authority to carry out the supervisory responsibilities and senior enough to act independently and to effect decisions.</p>
[None]	<p>Rule 610.1A Duties of Compliance Officer</p> <p>(1) Monthly Compliance Reports</p> <p>(a) In amplification of Rule 610.1(3) above, the Compliance Officer shall submit monthly written reports to the board of directors of the Trading Participant on all matters pertaining to compliance of the Trading Participant with the Securities Laws, these Rules, directives, rulings and guidelines issued by the Exchange.</p> <p>(b) The board of directors of the Trading Participant shall deliberate matters reported to it by the Compliance Officer at its proper meeting so that appropriate action or decision can be taken. Proper records of such deliberations shall be maintained by the Trading Participant.</p>

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Existing Rules	Amended Rules
	<p>(c) The Compliance Officer shall report to the Exchange on a monthly basis, not later than the last day of the following month or such other period as may be prescribed by the Exchange from time to time, on all matters pertaining to compliance of the Trading Participant.</p> <p>(2) Report of Breach/Non-Compliance</p> <p>In addition to the reporting requirements provided in Rule 610.1A(1) above, the Compliance Officer shall immediately report to:-</p> <p>(a) the board of directors of the Trading Participant in the event he becomes aware of:-</p> <p>(i) any matter which, in his opinion may:-</p> <p>(aa) constitute a breach of any provisions of the Securities Laws, these Rules, directives, rulings and guidelines issued by the Exchange; and/or</p> <p>(bb) involve the potential default of the Trading Participant against</p>

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Existing Rules	Amended Rules
	<p align="center">the Clearing House or other counterparty; and/or</p> <p>(ii) any irregularity which may:-</p> <p>(aa) have a material effect upon the accounts of the Trading Participant and/or the minimum financial requirements prescribed by the Securities Laws, these Rules, directives, rulings and/or guidelines issued by the Exchange; and/or</p> <p>(bb) jeopardise the funds or property of the clients held by the Trading Participant;</p> <p>(b) the Exchange upon him becoming aware of any matter, which in his opinion, may:-</p> <p>(i) involve the potential default of the Trading Participant against the Clearing House or other counterparty; and/or</p> <p>(ii) significantly affect the risk position and financial integrity of the Trading</p>

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PERTAINING TO THE REVISION OF FREQUENCY OF REPORTING OF PERIODIC REPORTS
FROM TRADING PARTICIPANTS TO BURSA MALAYSIA DERIVATIVES BERHAD**

Existing Rules	Amended Rules
	<p align="center">Participant; and</p> <p align="center">(c) the Commission upon him becoming aware of any matter, which in his opinion, may constitute a breach of any provision of the Securities Laws.</p> <p align="center">(3) Report of Rectification of Breach</p> <p align="center">For all other matters reported to the Trading Participant's board of directors in the manner envisaged in Rule 610.1A(2)(a) above, keep the Exchange informed of the decisions of the Trading Participant's board of directors and particulars of any corrective measures and decided course of actions taken or to be taken, as the case may be, in remedying such breach or irregularity within thirty (30) days of his reporting thereof to the board of directors.</p>
RULE 400 ADMINISTRATION	RULE 400 ADMINISTRATION
<p>Rule 401.4</p> <p>The integrity of the Exchange shall be maintained through the enforcement of these Rules and the adoption of high professional standards and ethics in the management of the Exchange. In performing such duties and other duties prescribed by the Futures Industry Act, the Articles and these Rules, the Exchange shall be</p>	<p>Rule 401.4</p> <p>The integrity of the Exchange shall be maintained through the enforcement of these Rules and the adoption of high professional standards and ethics in the management of the Exchange. In performing such duties and other duties prescribed by the Futures Industry Act, the Articles and these Rules, the Exchange shall be</p>

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Existing Rules	Amended Rules
<p>empowered to:</p> <p>(a) – (i) <i>(existing provisions)</i></p> <p>(j) to order the Participant to transfer existing Open Positions to another Clearing Participant or prescribe restrictions on positions as the Exchange deems necessary to ensure the integrity of any Contract to ensure an orderly and liquid market;</p> <p>and generally to do all things necessary for the smooth and efficient running of the Exchange.</p>	<p>empowered to:</p> <p>(a) – (i) <i>(no change)</i></p> <p>(j) to order the Participant to transfer existing Open Positions to another Clearing Participant or prescribe restrictions on positions as the Exchange deems necessary to ensure the integrity of any Contract to ensure an orderly and liquid market;</p> <p>(k) to require the Participants to submit reports, information and/or documents to the Exchange in the manner, mode and frequency as shall be prescribed by the Exchange;</p> <p>and generally to do all things necessary for the smooth and efficient running of the Exchange.</p>

BURSA MALAYSIA DERIVATIVES BERHAD
TRADING PARTICIPANTS' CIRCULAR NO. 6/2007
Date: 12 February 2007

No.	Name of Report	Appendix	Frequency	Timing of submission of report via Facsimile	
1.	Statement of segregation requirements and funds in segregation (Form A)	Appendix 1(a)	As and when there is a deficiency of funds in segregation	<u>Ad-hoc</u> By 2.30 p.m. of the market day following date of report	
No.	Name of Report	Appendix	Frequency	Timing of submission to Bursa Derivatives via e-mail address tradingparticipant@bursamalaysia.com or diskette	Timing of submission of reports via facsimile pursuant to paragraph 2.7(b)
2.	Statement of segregation requirements and funds in segregation (Form A) and the following supporting documents:- i. Form EWL1 – Statement of Undermargined Clients' Position; and ii. Form EWL2 – List of Overloss Account.	Appendix 1(b)	Weekly	<u>Weekly report</u> By 2.30 p.m. of the market day following the date of the report.	<u>Weekly report</u> By 5.30 p.m. of the market day following the date of the report.
3.	Cash & Bank Balances and Banking Facilities Position	Appendix 1(c)	Weekly	<u>Weekly report</u> By 2.30 p.m. of the market day following the date of the report.	<u>Weekly report</u> By 5.30 p.m. of the market day following the date of the report.

BURSA MALAYSIA DERIVATIVES BERHAD
TRADING PARTICIPANTS' CIRCULAR NO. 6/2007
Date: 12 February 2007

4.	Statement of segregation requirements and funds in segregation (Form A)	Appendix 1(d)	Monthly	<u>Monthly report</u> By 5.30 p.m. of the fifteen (15 th) calendar days after the end of each month.	<u>Monthly report</u> By 8.30 p.m. of the fifteen (15 th) calendar days after the end of each month.
5.	Statement of Adjusted Net Capital (Form B)	Appendix 2	Monthly	<u>Monthly report</u> By 5.30 p.m. of the fifteen (15 th) calendar days after the end of each month.	<u>Monthly report</u> By 8.30 p.m. of the fifteen (15 th) calendar days after the end of each month.
6.	Statement of Financial Condition (Form C)	Appendix 3	Monthly	<u>Monthly report</u> By 5.30 p.m. of the fifteen (15 th) calendar days after the end of each month.	<u>Monthly report</u> By 8.30 p.m. of the fifteen (15 th) calendar days after the end of each month.
7.	Statement of Income/(Loss) (Form D)	Appendix 4	Monthly	<u>Monthly report</u> By 5.30 p.m. of the fifteen (15 th) calendar days after the end of each month.	<u>Monthly report</u> By 8.30 p.m. of the fifteen (15 th) calendar days after the end of each month.

FORM D
STATEMENT OF INCOME / LOSS
(MONTHLY SUBMISSION)

Appendix 4

Trading Participant :
Position As At :

<<insert name of TP>>
dd/mth/yy

	Revenue	Total
1	Commissions and brokerage	
a	<i>On Bursa Malaysia Derivatives Berhad</i>	
	<i>i. Single licence</i>	
	<i>(a) normal trade commission</i>	0.00
	<i>(b) give-up commission</i>	0.00
	<i>ii. Dual licence</i>	
	<i>(a) normal trade commission</i>	0.00
	<i>(b) give-up commission</i>	0.00
b	<i>On foreign exchanges</i>	0.00
c	<i>Other brokerage activities (please itemise)</i>	0.00
2	Proprietary trading account	
a	<i>Options and futures transactions (please itemise)</i>	0.00
b	<i>Securities transactions</i>	0.00
c	<i>Other trading activities (please itemise)</i>	0.00
3	Income from advisory services	0.00
4	Interest and dividends	
a	<i>Interest earned on investment of clients' funds (please itemise)</i>	0.00
b	<i>Interest earned on investment of other than clients' funds</i>	0.00
c	<i>Dividends</i>	0.00
5	Other income (please itemise)	0.00
6	Total Revenue	0.00
	Expenses	
7	Directors' emoluments	
a	<i>Fees</i>	0.00
b	<i>Others</i>	0.00
8	Salaries and allowances	0.00
9	Interest	
a	<i>Clients</i>	0.00
b	<i>Financial institutions</i>	0.00
c	<i>Others</i>	0.00
10	Commissions	0.00
11	Occupancy and equipment cost	0.00
12	Bad and doubtful debts	0.00
13	Depreciation and amortisation (please itemise)	0.00
14	Other expenses (please itemise)	0.00
15	Total Expenses	0.00
16	Net profit / (loss) before taxation (Item 6 minus Item 15)	0.00
17	Taxation	0.00
18	Others (please itemise)	0.00
19	Net profit / (loss) after taxation	0.00
20	Balance brought forward	0.00
21	Unappropriated profits / (accumulated losses)	0.00

FORM A

Appendix 1(a)

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CLIENTS
TRADING ON MALAYSIAN AND FOREIGN EXCHANGES
(AD-HOC)**

Trading Participant :

<<insert name of TP>>

Position As At :

<<dd/mth/yr>>

		Malaysian Exchange (Bursa Derivatives)	Foreign Exchanges	Total
SEGREGATION REQUIREMENTS				
1	Net ledger balance			
a	<i>Cash</i>	0.00	0.00	0.00
b	<i>Securities</i>	0.00	0.00	0.00
c	<i>Foreign currencies</i>	0.00	0.00	0.00
2	Net profit/(loss) in open futures contracts	0.00	0.00	0.00
3	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
4	Net equity / (deficit) (add Items 1, 2 and 3)	0.00	0.00	0.00
5	Net debit balance	0.00	0.00	0.00
6	Amount required to be segregated (Add Items 4 & 5)	0.00	0.00	0.00
FUNDS IN SEGREGATED ACCOUNTS				
7	Cash deposited in segregated bank accounts			
a	<i>Ringgit Malaysia</i>	0.00	0.00	0.00
b	<i>Foreign currencies</i>	0.00	0.00	0.00
8	Segregated securities	0.00	0.00	0.00
9	Margin deposit with Clearing House			
a	<i>Cash and net settlement</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
10	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
11	Net equity with other licensed futures brokers			
a	<i>Net equity</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
12	Segregated funds on hand (please specify)	0.00	0.00	0.00
13	Others (please specify)	0.00	0.00	0.00
14	Total amount segregated (Add Items 7 to 13)	0.00	0.00	0.00
15	Excess/(deficiency) funds in segregation (Item 14 minus Item 6) (Appendix1)	0.00	0.00	0.00

FORM A

Appendix 1(b)

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CLIENTS
TRADING ON MALAYSIAN AND FOREIGN EXCHANGES
(WEEKLY SUBMISSION)**

Trading Participant :

<< insert name of TP>>

Position As At :

<<dd/mth/yr>>

		Malaysian Exchange (Bursa Derivatives)	Foreign Exchanges	Total
	SEGREGATION REQUIREMENTS			
1	Net ledger balance			
a	<i>Cash</i>	0.00	0.00	0.00
b	<i>Securities</i>	0.00	0.00	0.00
c	<i>Foreign currencies</i>	0.00	0.00	0.00
2	Net profit/(loss) in open futures contracts	0.00	0.00	0.00
3	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
4	Net equity / (deficit) (add Items 1, 2 and 3)	0.00	0.00	0.00
5	Net debit balance	0.00	0.00	0.00
6	Amount required to be segregated (Add Items 4 & 5)	0.00	0.00	0.00
	FUNDS IN SEGREGATED ACCOUNTS			
7	Cash deposited in segregated bank accounts			
a	<i>Ringgit Malaysia</i>	0.00	0.00	0.00
b	<i>Foreign currencies</i>	0.00	0.00	0.00
8	Segregated securities	0.00	0.00	0.00
9	Margin deposit with Clearing House			
a	<i>Cash and net settlement</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
10	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
11	Net equity with other licensed futures brokers			
a	<i>Net equity</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
12	Segregated funds on hand (please specify)	0.00	0.00	0.00
13	Others (please specify)	0.00	0.00	0.00
14	Total amount segregated (Add Items 7 to 13)	0.00	0.00	0.00
15	Excess/(deficiency) funds in segregation (Item 14 minus Item 6) (Appendix1)	0.00	0.00	0.00

**SUBMISSION TO BURSA MALAYSIA DERIVATIVES BERHAD ON
CASH & BANK BALANCES AND BANKING FACILITIES POSITION
(Weekly Submission)**

Appendix 1(c)

TRADING PARTICIPANT: <<insert name of Trading Participant>>
POSITION AS AT: month/date/year
(last market day of the week)

Banking Facilities	Approved Facility Limit RM	Amount Available for Utilisation RM	Amount Utilised RM	Amount Unutilised RM
Total Amount	0.00	0.00	0.00	0.00

Items	Unsegregated Funds RM	Segregated Funds RM	Total RM
Cash & Bank Balances	0.00	0.00	0.00
Deposits - Banks and financial institutions	0.00	0.00	0.00
Deposits - Others	0.00	0.00	0.00
Total	0.00	0.00	0.00

(Note : Information relating to the above is to be submitted weekly for the position as at the last market day of the corresponding week)

FORM A

Appendix 1(d)

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CLIENTS TRADING ON
MALAYSIAN AND FOREIGN EXCHANGES
(MONTHLY SUBMISSION)**

Trading Participant :
Position As At :

<<insert name of TP>>
dd/mth/yy

		Malaysian Exchange (Bursa Derivatives)	Foreign Exchanges	Total
	SEGREGATION REQUIREMENTS			
1	Net ledger balance			
a	<i>Cash</i>	0.00	0.00	0.00
b	<i>Securities</i>	0.00	0.00	0.00
c	<i>Foreign currencies</i>	0.00	0.00	0.00
2	Net profit/(loss) in open futures contracts	0.00	0.00	0.00
3	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
4	Net equity / (deficit) (add Items 1, 2 and 3)	0.00	0.00	0.00
5	Net debit balance	0.00	0.00	0.00
6	Amount required to be segregated (Add Items 4 & 5)	0.00	0.00	0.00
	FUNDS IN SEGREGATED ACCOUNTS			
7	Cash deposited in segregated bank accounts			
a	<i>Ringgit Malaysia</i>	0.00	0.00	0.00
b	<i>Foreign currencies</i>	0.00	0.00	0.00
8	Segregated securities	0.00	0.00	0.00
9	Margin deposit with Clearing House			
a	<i>Cash and net settlement</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
10	Exchange traded options			
a	<i>Current market value of open long option contracts</i>	0.00	0.00	0.00
b	<i>Current market value of open short option contracts</i>	0.00	0.00	0.00
11	Net equity with other licensed futures brokers			
a	<i>Net equity</i>	0.00	0.00	0.00
b	<i>Securities held as margin</i>	0.00	0.00	0.00
c	<i>Foreign currencies held as collateral</i>	0.00	0.00	0.00
12	Segregated funds on hand (please specify)	0.00	0.00	0.00
13	Others (please specify)	0.00	0.00	0.00
14	Total amount segregated (Add Items 7 to 13)	0.00	0.00	0.00
15	Excess/(deficiency) funds in segregation (Item 14 minus Item 6) (Appendix1)	0.00	0.00	0.00

FORM B
STATEMENT OF ADJUSTED NET CAPITAL
(MONTHLY SUBMISSION)

Appendix 2

Trading Participant :
Position As At :

<<insert name of TP>>
 dd/mth/yy

			Total
Net Capital			
1	Permitted assets		0.00
2	Total liabilities		0.00
3	Deduction from total liabilities		
a	<i>Liabilities subject to satisfactory subordinated loan agreements</i>	0.00	
b	<i>Allowable long term liabilities</i>	0.00	
	Total allowable liabilities	0.00	
4	Adjusted liabilities		0.00
5	Net Capital (Item 1 minus Item 4)		0.00
6	Additional Deductions		
a	Malaysian government securities		
	- Up to one year of maturity period	0.00	
	- More than one year of maturity period	0.00	
b	Readily marketable Malaysian securities listed on the main board of Bursa Malaysia Securities Berhad		
	- Shares listed on the main board of Bursa Malaysia Securities Berhad up to a total value of 5% of initial margin or RM250,000, whichever is greater	0.00	
	- The balance of the aggregate value of shares listed on the main board of Bursa Malaysia Securities Berhad	0.00	
c	All other securities listed on Bursa Malaysia Securities Berhad	0.00	
d	Amounts due from clients in respect of margin where such amounts are outstanding not less than three business days as at the computation date	0.00	
e	The net debit balance arising from the marking-to-market or interim settlement of outstanding futures and/or options contracts held by clients as at the close of business on the computation date.	0.00	
f	The margin requirement on open contracts in the proprietary account of a Participant which are not bona fide hedged contracts	0.00	
g	Inventories which are not hedged in any market or association	0.00	
h	Inventories which are not hedged by any hedging position in any market or association	0.00	
7	Total deductions (Add Items 6 (a) to 6(h))		0.00
8	Adjusted Net Capital (Item 5 minus Item 7)		0.00
9	Amount of margin required		0.00
10	10% of the amount of margin required		0.00
11	Adjusted Net Capital required (Enter the greater of Line 10 or RM500,000)		500,000.00
12	Excess Adjusted Net Capital (Item 8 minus Item 11)		(500,000.00)

FORM C
STATEMENT OF FINANCIAL CONDITION
(MONTHLY SUBMISSION)

Appendix 3

Trading Participant :
Position As At :

<<insert name of TP>>
dd/mth/yy

	Assets	Permitted Assets	Non-Permitted Assets	Total
1	Funds segregated for Clients	0.00	0.00	0.00
2	Cash with financial institutions and on hand	0.00	0.00	0.00
3	Receivables from and margin deposit with the Clearing House			
a	<i>Cash and settlement receivables</i>	0.00		0.00
b	<i>Marketable securities</i>	0.00		0.00
c	<i>Net long option value</i>	0.00		0.00
d	<i>Security deposit and clearing funds</i>		0.00	0.00
e	<i>Interest receivable</i>	0.00	0.00	0.00
4	Receivables from and margin deposit with foreign clearing houses			
a	<i>Cash and settlement receivables</i>	0.00		0.00
b	<i>Marketable securities</i>	0.00		0.00
c	<i>Net long option value</i>	0.00		0.00
d	<i>Security deposit and clearing funds</i>		0.00	0.00
e	<i>Interest receivable</i>	0.00	0.00	0.00
5	Receivables from other licensed futures brokers			
a	<i>Cash and settlement receivables</i>	0.00	0.00	0.00
b	<i>Marketable securities</i>	0.00	0.00	0.00
c	<i>Net long option value</i>	0.00	0.00	0.00
d	<i>Security deposit</i>		0.00	0.00
e	<i>Others</i>	0.00	0.00	0.00
f	<i>Allowances for doubtful accounts</i>	0.00	0.00	0.00
6	Receivables from foreign futures brokers			
a	<i>Cash and settlement receivables</i>	0.00	0.00	0.00
b	<i>Marketable securities</i>	0.00	0.00	0.00
c	<i>Net long option value</i>	0.00	0.00	0.00
d	<i>Security deposit</i>		0.00	0.00
e	<i>Others</i>	0.00	0.00	0.00
f	<i>Allowances for doubtful accounts</i>	0.00	0.00	0.00
7	Receivables from clients trading on Bursa Derivatives			
a	<i>Client debit balances</i>	0.00	0.00	0.00
b	<i>Others (please itemise)</i>	0.00	0.00	0.00
c	<i>Allowances for doubtful accounts</i>	0.00	0.00	0.00
8	Receivables from clients trading on foreign exchanges			
a	<i>Client debit balances</i>	0.00	0.00	0.00
b	<i>Others (please itemise)</i>	0.00	0.00	0.00
c	<i>Allowances for doubtful accounts</i>	0.00	0.00	0.00
9	Other receivables, advances & loans			
a	<i>Merchandise accounts receivable</i>	0.00	0.00	0.00
b	<i>Interest</i>	0.00	0.00	0.00
c	<i>Dividends</i>	0.00	0.00	0.00
d	<i>Advances and loans to directors, employees of the Participant or any third party</i>		0.00	0.00
e	<i>Receivables from related corporations</i>	0.00	0.00	0.00
f	<i>Others (please itemise)</i>		0.00	0.00
g	<i>Allowance for doubtful accounts</i>	0.00	0.00	0.00
10	Securities			

FORM C
STATEMENT OF FINANCIAL CONDITION
(MONTHLY SUBMISSION)

Appendix 3

Trading Participant :

<<insert name of TP>>

Position As At :

dd/mth/yy

Assets		Permitted Assets	Non-Permitted Assets	Total
a	<i>Owned by Participant</i>	0.00	0.00	0.00
b	<i>Securities in exchanges and clearing houses</i>		0.00	0.00
11	Inventories of physical commodities		0.00	0.00
12	Exchange / clearing house participantship, at cost		0.00	0.00
13	Investment in related corporations		0.00	0.00
14	Fixed asset (plant, property, etc) at net book value		0.00	0.00
15	Other assets (please itemise)		0.00	0.00
16	Total assets	0.00	0.00	0.00
Liabilities				
				Total
17a	Bank overdrafts			
	<i>i Secured</i>			0.00
	<i>ii Unsecured</i>			0.00
17b	Loans			
	<i>i Due for payment within 12 months</i>			0.00
	<i>ii Due for payment after 12 months</i>			0.00
18	Payables to related corporations			0.00
19	Payables to the Clearing House			0.00
20	Payables to foreign clearing houses			0.00
21	Payables to other licensed futures brokers			0.00
22	Payables to foreign futures brokers			0.00
23	Payables to clients trading on Bursa Derivatives			0.00
24	Payables to clients trading on foreign exchanges			0.00
25	Liabilities subordinated to claims of general creditors			
	<i>a Subject to satisfactory subordinated loan agreement</i>			0.00
	<i>b Not subject to satisfactory subordinated loan agreement</i>			0.00
26	Other payables and accrued liabilities (please itemise)			0.00
27	Total liabilities			0.00
Shareholders Funds				
				Total
28	Shareholders' funds			
	<i>a Paid-up capital</i>			0.00
	<i>b Share premium</i>			0.00
	<i>c Capital reserves</i>			0.00
	<i>d Unappropriated profits / (accumulated losses)</i>			0.00
29	Total shareholders' funds			0.00
30	Total liabilities and shareholders' funds			0.00