BURSA MALAYSIA DEPOSITORY SDN BHD

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AMENDMENTS TO THE RULES OF BURSA MALAYSIA DEPOSITORY SDN BHD ("DEPOSITORY RULES") TO:
(1) FACILITATE THE MOVE TOWARDS ELECTRONIC SECURITIES ACCOUNT STATEMENTS ("eSTATEMENTS"); AND
(2) ENHANCE OBLIGATIONS IN RELATION TO INFORMATION PROVIDED TO BURSA MALAYSIA DEPOSITORY SDN BHD ("DEPOSITORY")

1. INTRODUCTION

1.1 The Depository Rules have been reviewed to facilitate the implementation of the following initiatives by the Depository:

(a) issuance of eStatements; and

(b) updating changes and prescribing standard of information provided to the Depository.

A. Issuance of eStatements

1.2 The Depository is enhancing depositors' ability to access their securities account information by enhancing the approach in issuing the securities account statements. Moving forward, apart from the existing approaches of making securities account statements available via the Bursa Anywhere mobile application, and sending securities account statements to the depositor's email address, the Depository will issue securities account statements in the following manner:

(a) by making eStatements available via the MyBURSA[1] portal which among others, offers the web version of Central Depository System ("**CDS**") eServices; and

(b) by sending hardcopy securities account statements to the following depositors:

(i) depositors who require special arrangements ("**specified depositors**"), who will receive hardcopy securities account statements without any additional charges or fees; and

(ii) any other depositor who has subscribed to receive hardcopy securities account statements via postal service with the payment of an annual subscription fee.

1.3 At this stage, access to eStatements via the MyBURSA portal is only available to depositors who are individuals. Depositors who are not individuals (i.e. corporate depositors) will be able to access to their securities account statements via the MyBURSA portal at a later stage which will be communicated by the Depository. In the meantime, corporate depositors who presently receive hardcopy securities account statements via postal service will continue to receive their securities account statements in this manner.

[1] The MyBURSA portal was launched by Bursa Malaysia as a centralised investment knowledge and management platform for investors to acquire market data, information (including information relating to their securities accounts), tools, and solutions – all in one-hub. Depositors may access their eStatements via the MyBURSA portal at https://my.bursamalaysia.com/services/cds

1.4 The categories of specified depositors and the respective approaches in providing hardcopy statements of accounts to such depositors are as follows:

Specified Depositor Category	Approach
Senior Age	• Upon implementation of this initiative, depositors aged 70 years old and above who currently receive hardcopy securities account statements will continue to receive hardcopy securities account statements. • Upon implementation of this initiative, depositors aged between 65 to 69 years old who currently receive hardcopy securities account statements will be transitioned to eStatements. • Depositors aged 65 to 69 years old may provide a written request to receive hardcopy securities account statements, at any time.
Poor Internet Penetration	Depositors who are residing or located in areas with an internet penetration rate of below 90%[2], may provide a written request with supporting documents to receive hardcopy securities account statements.
Disability	Depositors with a disability may provide a written request with supporting documents to receive hardcopy securities account statements.
Other Factors	The Depository will consider requests for hardcopy securities account statements that do not fall into the other categories, on a case-by-case basis.

1.5 Following the enhanced approach in issuing securities account statements, the Depository will cease sending hardcopy statements of accounts to depositors who are not specified depositors, unless they have subscribed to receive hardcopy securities account statements at a fee, effective from **25 August 2025.**

B. Updating changes and prescribing standard of information provided to the Depository

1.6 As part of the Depository's commitment towards strengthening the efficiency of its operational processes and ensuring that the CDS is reflective of accurate and current information, issuers are now required to actively update the Depository of any changes of information previously provided to the Depository[3]. All updates to the Depository must be accurate and are to be made by the issuer or their company registrar within **three (3) market days** from the effective date of the change in information. This obligation applies to listed issuers and issuers of unlisted or delisted securities custodised with the Depository.

1.7 Issuers may provide such updates via a written notification to the Depository.

2. KEY AMENDMENTS TO THE DEPOSITORY RULES

2.1 Amendments to the Depository Rules have been made to facilitate the above initiatives and have been approved by the Securities Commission Malaysia. The key amendments to the Depository Rules are summarised below:

(a) streamlining the definition of CDS eServices to reflect the introduction of the web-based version of CDS eServices hosted by Bursa Malaysia Berhad as the exchange holding company, via MyBURSA portal[4];

[2] Internet penetration rate refers to percentage of individuals using internet by district, as reported by Department of Statistics Malaysia. Therefore, an internet penetration rate of below 90% would refer to areas where less than 90% of the population has access to internet.

[3] Such updates to issuers' details or status include changes to the issuer's name or contact details, change of the issuer's company registrar or contact details of the issuer's company registrar, changes to the issuer's issued securities, and any appointment of a judicial manager, receiver and manager, and liquidator over the issuer.

[4] See amendments to the definition of "Central Depository System Electronic Services" or "CDS eServices" at Rule 1.01 of the Depository Rules.

(b) clarifying that save for specified depositors, free securities account statements will be provided by the Depository to depositors only via CDS eServices, or via FIX for depositors who are Authorised Depository Agents ("**ADA**") or Authorised Direct Members ("**ADM**"), or their nominee companies[5];

(c) clarifying the manner of discharge of the Depository's obligation to issue securities account statements, by making eStatements available and accessible by depositors via CDS eServices, regardless of whether such depositors have registered for CDS eServices[6];

(d) clarifying the frequency of issuance of eStatements via CDS eServices[7];

(e) introducing the categories of "specified depositors" and the manner of issuance of statements of accounts to such specified depositors[8];

(f) clarifying that additional securities account statements in hardcopy may be requested by depositors in the manner prescribed by the Depository[9];

(g) removing the mode of communication by hand to the depositor's last known address, as communication in this manner is no longer practised by the Depository[10];

(h) generalising the contact details of the Depository to future proof the Depository Rules[11];

(i) requiring issuers to update the Depository of any changes to information previously provided to the Depository[12]; and

(j) setting out the standard of information provided by a person to whom the rules are directed to ensure all information provided to the Depository is accurate, correct, not misleading, not false and without material omission[13].

2.2 The detailed amendments to the Depository Rules are set out in **Annexure 1.**

3. AMENDMENTS TO CDS PROCEDURES MANUAL FOR ADA AND CDS GUIDE FOR DEPOSITORS

3.1 The Depository has made amendments to the CDS Procedures Manual for ADA and CDS Guide for Depositors in relation to the initiative to facilitate the move towards eStatements, as set out in **Annexure 2** and **Annexure 3** respectively. Key amendments are summarised below:

A. CDS Procedures Manual for ADA

(a) **Chapter 4: Account Management Module**

- Updated Sections 4.1, 4.4, 4.9 and 4.10 to provide clarification on information provided to the Depository by depositors.
- Introduced Section 4.15 to set out the details on how the Depository operationalises the issuance of securities account statements to the depositors including the specified depositors.

5 See amendments to Rule 32.01(1) of the Depository Rules.
6 See amendments to Rule 32.04 of the Depository Rules.
7 See the new Rule 32.01(2) of the Depository Rules.
8 See the new Rule 32.04(3) of the Depository Rules.
9 See amendments to Rule 32.02 of the Depository Rules.
10 See amendments to Rule 25.06(1) and (2) of the Depository Rules.
11 See amendments to Rule 25.06(4) and to Appendices III, IV and V of the Depository Rules.
12 See the new Rule 17.12 of the Depository Rules.
13 See the new Rule 38.01B of the Depository Rules.

(b) **Appendices**

- Included Appendix 105 setting out a request form for hardcopy securities account statements.

B. CDS Guides for Depositors

(a) **Chapter 2: Opening, Formalisation, Reactivation and Closing of CDS Account**

- Updated Sections 2.1.2, 2.1.3 and 2.3.1 to provide clarification on information provided to the Depository by depositors.

(b) **Chapter 3: Updating of CDS account**

- Updated Section 3.2 to provide clarification on information provided to the Depository by depositors.

(c) **Chapter 5: CDS Balance Enquiry and CDS Statement**

- Introduced new Sections 5.2.7, 5.2.8 and 5.2.9 to set out the details on how the Depository operationalises the issuance of securities account statements to the depositors including the specified depositors.

(d) **Chapter 13: Providing email address for eStatement**

- Updated Sections 13.1.1 and 13.3 to provide clarification on information provided to the Depository by depositors.

(e) **Appendices**

- Included Appendix 28 setting out a request form for hardcopy securities account statements.

4. FREQUENTLY ASKED QUESTIONS ("FAQS")

4.1 The FAQs in relation to the initiative to facilitate the move towards eStatements is available at the following link:
https://www.bursamalaysia.com/trade/our_products_services/central_depository_system/electronic_cds_statements_and_notices

5. EFFECTIVE DATE AND FEES

5.1 The amendments to the Depository Rules, CDS Procedures Manual for ADA and CDS Guide for Depositors, and the obligations in this Circular will take effect from **25 August 2025.** To facilitate the smooth implementation of the eStatements initiative, depositors may submit their request for hardcopy securities account statements to their ADAs from **11 August 2025**.

5.2 The fees and charges applicable for depositors who are not specified depositors and who have opted to receive hardcopy securities account statements are as follows:

FEES AND CHARGES STRUCTURE FOR THE CDS				
NAME	**RATE**	**BASIS**	**LEVIED ON**	**WHEN**
Hardcopy securities account statements	RM120	Per securities account per annum	Depositor	Collected by ADA upon the application to subscribe for hardcopy securities account statements

These fees and charges are also available at the Bursa Malaysia Berhad website at the link below:
https://www.bursamalaysia.com/trade/our_products_services/central_depository_system/schedule_of_fees

6. CONTACT PERSONS

6.1 In the event of any queries in relation to the above matter, kindly contact us at the following:

Department	Contact Details
Post Trade Operations	For matters relating to ADAs or ADMs, please contact depo@bursamalaysia.com For matters relating to Company Registrars or Issuers, please contact issuerservices@bursamalaysia.com
Regulatory Policy & Advisory (on the Depository Rules)	rpa@bursamalaysia.com

6.2 In any enquiry, please cite the circular reference number or provision of the Depository Rules.

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

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Regulation

ANNEXURE 1

RULES OF BURSA MALAYSIA DEPOSITORY SDN BHD ("DEPOSITORY RULES")

AMENDMENTS TO THE DEPOSITORY RULES TO FACILITATE THE MOVE TOWARDS ELECTRONIC SECURITIES ACCOUNT STATEMENTS ("eSTATEMENTS") AND ENHANCE OBLIGATIONS IN RELATION TO INFORMATION PROVIDED TO BURSA MALAYSIA DEPOSITORY SDN BHD ("DEPOSITORY")

RULE	CURRENT PROVISION	RULE	AMENDMENTS
1.01	**Definition** "Central Depository System Electronic Services" or "CDS eServices" means the internet-based facility made available to the depositors by the Depository to facilitate its various services, such as opening, re-activating of securities accounts, accessing the depositors' securities account information or conducting specified transactions electronically.	**1.01**	**Definition** "Central Depository System Electronic Services" or "CDS eServices" means the internet-based facility made available to the depositors by the Depository or the Exchange Holding Company to facilitate the provision of the Depository's ~~its~~ various services, such as opening, re-activating of securities accounts, accessing the depositors' securities account information or conducting specified transactions electronically, or any other system determined by the Depository or the Exchange Holding Company from time to time.
2.11	**Statement of Accounts and Notices:** (1) **No Change** (2) **No Change** (3) **Frequency of issuance:** (a) subject to Rule 2.11(1), the provisions of Rule 32.01 shall apply *mutatis mutandis* to all authorised depository agents. (b) where reference is made to the following terms in Rule 32.01, it shall be construed respectively as follows:	**2.11**	**Statement of Accounts and Notices:** (1) **No Change** (2) **No Change** (3) **Frequency of issuance:** (a) subject to Rule 2.11(1), the provisions of Rule 32.01(3) shall apply *mutatis mutandis* to all authorised depository agents. (b) Where reference is made to the following terms in Rule 32.01(3), it shall be construed respectively as follows:

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	(i) depositor shall be construed as an authorised depository agent; and (ii) securities account shall be construed as the principal or nominee account of the authorised depository agent opened pursuant to Rule 33.01. (4) **No Change** (5) **No Change**		(i) depositor shall be construed as an authorised depository agent; and (ii) securities account shall be construed as the principal or nominee account of the authorised depository agent opened pursuant to Rule 33.01. (4) **No Change** (5) **No Change**
	NEW PROVISION	**17.12**	**Issuers' Information** (1) An issuer of deposited securities must provide to the Depository, information in relation to or in connection with such deposited securities, in the manner and within such time as may be specified by the Depository. (2) An issuer of deposited securities is responsible to promptly notify the Depository in the manner prescribed, of any change of particulars or information provided to the Depository including the following: (a) the name of the issuer; (b) the company registration number of the issuer; (c) the contact details of the issuer;

RULE	CURRENT PROVISION	RULE	AMENDMENTS
			(d) the name and contact details of its company registrar; (e) any resignation or change to its company registrar; (f) any change to the issuer's issued securities; and (g) the appointment of or any change of a judicial manager, receiver, manager, receiver and manager, special administrator, liquidator, or any other person of similar capacity, including the appointment of such person in an interim capacity.
25.06	**Notices:** (1) **Notice to depositors:** Notwithstanding Rules 2.11 and 14.11, any notice, statement of accounts or other communication from the Depository to the depositor may be given or sent using any one of the following modes, as the Depository deems fit: (a) by hand to the depositor's last known address as provided by the depositor to the Depository; (b) by ordinary post to the depositor's last known address as provided by the depositor to the Depository; (c) by electronic means to the depositor's last known electronic contact details as provided by the depositor to the Depository or any other instantaneous means; or	**25.06**	**Notices:** (1) **Notice to depositors:** Notwithstanding Rules 2.11, ~~and~~ 14.11, and 32.04(1), any notice, statement of accounts or other communication from the Depository to the depositor may be given or sent using any one of the following modes, as the Depository deems fit: (a) ~~by hand to the depositor's last known address as provided by the depositor to the Depository~~Deleted; (b) by ordinary post to the depositor's last known address as provided by the depositor to the Depository; (c) by electronic means to the depositor's last known electronic contact details as provided by the depositor to the Depository or any other instantaneous means; or (d) by any other means as the Depository may deem fit.

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	(d) by any other means as the Depository may deem fit. (2) **Notice to depositors (deemed service):** Any notice, statement of accounts or other communication is deemed served upon and received by the depositor: (a) if sent by hand, at the time of delivery; (b) if sent by ordinary post, at the time when the letter containing the notice, statement of accounts or other communication would be delivered in the ordinary course of post; and (c) if sent by electronic or any other instantaneous means, on the same day as when the notice, statement of accounts or other communication was sent or effected by the Depository. (3) **Deleted** (4) **Notice to Depository:** Any notice or other communication to be served on or sent to the Depository must be addressed to its registered office at: 15th Floor Exchange Square Bukit Kewangan 50200 Kuala Lumpur, and unless the mode of delivery is otherwise specified by the Depository, must be delivered by		(2) **Notice to depositors (deemed service):** Any notice, statement of accounts or other communication is deemed served upon and received by the depositor: (a) ~~if sent by hand, at the time of delivery~~ Deleted; (b) if sent by ordinary post, at the time when the letter containing the notice, statement of accounts or other communication would be delivered in the ordinary course of post; and (c) if sent by electronic or any other instantaneous means, on the same day as when the notice, statement of accounts or other communication was sent or effected by the Depository. (3) **Deleted** (4) **Notice to Depository:** Any notice or other communication to be served on or sent to the Depository must be addressed to its registered office at: ~~15th Floor~~Bursa Malaysia Depository Sdn. Bhd. ~~-~~Exchange Square Bukit Kewangan 50200 Kuala Lumpur, and unless the mode of delivery is otherwise specified by the Depository, must be delivered by hand, by courier or by post. Proof of posting is not proof of receipt and the Depository is deemed to have received such notice, other communication or court process only if receipt is acknowledged by the Depository.

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	hand, by courier or by post. Proof of posting is not proof of receipt and the Depository is deemed to have received such notice, other communication or court process only if receipt is acknowledged by the Depository. (5) **Undelivered communication:** The Depository may cease sending notices, statements of accounts or other communications to the depositor's address or contact details in the Depository's records if three (3) of these communications are consecutively returned undelivered to the Depository. The Depository will resume sending notices, statements of accounts or other communications upon the address or contact details being updated by the depositor.		(5) **Undelivered communication:** The Depository may cease sending notices, statements of accounts or other communications to the depositor's address or contact details in the Depository's records if three (3) of these communications are consecutively returned undelivered to the Depository. The Depository will resume sending notices, statements of accounts or other communications upon the address or contact details being updated by the depositor.
32.01	**Issuance:** Subject to Rule 32.04, the Depository will issue free of charge to every depositor a statement of his securities account in the following manner: (a) **Active accounts**: (i) in the month following any debit or credit entries in the depositor's securities account; and (ii) where there are deposited securities in the depositor's account but no debit or credit entry in the depositor's securities account since the date of issuance of the last statement, on a half-yearly basis in the months of June and December.	**32.01**	**Issuance of Statement of Accounts:** (1) ~~Subject to Rule 32.04, t~~The Depository will issue free of charge to every depositor a statement of his securities account in the manner prescribed in Rules 2.11, 14.11 or 32.04, as the case may be. (2) The frequency of issuance of statements of accounts placed on the CDS eServices pursuant to Rule 32.04(1) and (2) shall be in the following manner: (a) **Active accounts**: where there are deposited securities in the depositor's account, on a monthly basis. (b) **Inactive accounts**: where there are deposited securities in the depositor's account, on a monthly basis.

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	(b) **Inactive accounts**: a yearly statement in the month of December, and where there is a debit or credit entry in the depositor's securities account, a statement in the month following such entry. (c) **Dormant accounts**: no statement of accounts will be issued.		(c) **Dormant accounts**: no statement of accounts will be issued. (3) Where statements of accounts are issued to depositors pursuant to any other manner other than in Rule 32.04(1) and (2), the frequency of issuance of such statements shall be in the following manner: (a) **Active accounts**: (i) in the month following any debit or credit entries in the depositor's securities account; and (ii) where there are deposited securities in the depositor's account but no debit or credit entry in the depositor's securities account since the date of issuance of the last statement, on a half-yearly basis in the months of June and December. (b) **Inactive accounts**: a yearly statement in the month of December, and where there is a debit or credit entry in the depositor's securities account, a statement in the month following such entry. (c) **Dormant accounts**: no statement of accounts will be issued.
32.02	**Additional statements:** Notwithstanding Rule 32.01, a depositor may, at any time, require the Depository to issue him a statement of account in respect of all or any of the deposited securities for the time being standing to the credit of his securities account. An application for such statement shall –	**32.02**	**Additional statements:** (1) Notwithstanding Rule 32.01, a depositor may, at any time, require the Depository to issue him a statement of account in respect of all or any of the deposited securities for the time being standing to the credit of his securities account. (2) An application for such statement shall –

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	(a) in the case of a principal account, be submitted to the Depository; or (b) in the case of a non-principal account, be submitted to the authorised depository agent through whom such securities account is maintained.		(a) in the case of a principal account, be submitted to the Depository; or (b) in the case of a non-principal account, be submitted to the authorised depository agent through whom such securities account is maintained,~~.~~ in the manner prescribed by the Depository.
32.04	**Statement of Accounts and Notices to Depositors on CDS eServices:** (1) **Access to Statement of Accounts and Notices to Depositors:** Where any provision of these Rules requires the Depository to send or issue statement of accounts or notices to a depositor and such depositor has registered for CDS eServices, the Depository may do so in the following manner: (a) by placing the statement of accounts and notices in relation to the depositor's securities accounts (hereinafter referred to as "the Statements and Notices to Depositor") on the CDS eServices; and (b) by allowing the access and retrieval of such Statements and Notices to Depositor from the CDS eServices in accordance with the directions issued by the Depository. (2) **Issuance:**	**32.04**	**Issuance of Statement of Accounts and Notices to Depositors ~~on~~ via CDS eServices:** (1) **Access to Statement of Accounts and Notices to Depositors:** Where any provision of these Rules requires the Depository to send or issue statement of accounts or notices to a depositor~~ and such depositor has registered for CDS eServices~~, the Depository may do so in the following manner: (a) by placing the statement of accounts and notices in relation to the depositor's securities accounts (hereinafter referred to as "the Statements and Notices to Depositor") on the CDS eServices; and (b) by allowing the access and retrieval of such Statements and Notices to Depositor from the CDS eServices in accordance with the directions issued by the Depository. (2) **Issuance of Statement of Accounts and Notices to Depositors:** (a) For the purposes of ~~this~~ Rule 32.04(1), the Statements and Notices to Depositors are deemed sent or issued by the Depository to the ~~D~~depositor when the same is

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	(a) For the purposes of this Rule, the Statements and Notices to Depositors are deemed sent or issued by the Depository to the Depositor when the same is placed on the CDS eServices and is capable of being retrieved by the depositor in accordance with the directions issued by the Depository. (b) where through no fault of the Depository, the Statements and Notices to the Depositor are not capable of being retrieved by the depositor, in accordance with the directions issued by the Depository, the Statements and Notices to the Depositor are nevertheless deemed sent or issued pursuant to Rule 32.04(2)(a).		placed on the CDS eServices and is capable of being retrieved by the depositor in accordance with the directions issued by the Depository. (b) where through no fault of the Depository, the Statements and Notices to the Depositor are not capable of being retrieved by the depositor, in accordance with the directions issued by the Depository, the Statements and Notices to the Depositor are nevertheless deemed sent or issued pursuant to Rule 32.04(2)(a). (3) **Issuance to specified depositors:** (a) Notwithstanding Rule 32.04(1), the Depository may, under exceptional circumstances, issue statements of accounts and notices in the manner prescribed in Rule 25.06(1) to depositors requiring special arrangements ("specified depositors"). (b) The specified depositors include the following: (i) depositors with disabilities; (ii) depositors of senior age; (iii) depositors residing or located in areas with no or poor internet connection; or (iv) any other depositors faced with difficulty to access CDS eServices as may be allowed by the Depository.

RULE	CURRENT PROVISION	RULE	AMENDMENTS
	NEW PROVISION	**38.01B**	**Statements, information and documents to the Depository:** (1) An authorised depository agent, authorised direct member, depositor, issuer, user or any other person to whom the Rules are directed must ensure any statement, information and document provided to the Depository in relation to any matter under these Rules: (a) is clear and accurate; (b) does not contain any material omission; and (c) is not false or misleading. (2) The Depository is entitled to rely solely on any statement, information or document provided to it by an authorised depository agent, authorised direct member, depositor, issuer, user or any other person to whom the Rules are directed, without any obligation to inquire further. The Depository shall not be liable to any party for any loss, damage, liability or cost that may be incurred by such party as a result of or in connection with any inaccuracy of the statement, information or document provided.
APPENDIX III	**UNDERTAKING BY [name of issuer of unlisted securities]** To : Bursa Malaysia Depository Sdn. Bhd. 9th Floor Exchange Square Bukit Kewangan 50200 Kuala Lumpur …	**APPENDIX III**	**UNDERTAKING BY [name of issuer of unlisted securities]** To : Bursa Malaysia Depository Sdn. Bhd. ~~9th Floor~~ Exchange Square Bukit Kewangan 50200 Kuala Lumpur …

RULE	CURRENT PROVISION	RULE	AMENDMENTS
APPENDIX IV	**Undertaking by (name of the trustee of an exchange traded fund) (Rule 17.01(2))** To Bursa Malaysia Depository Sdn. Bhd. 9th Floor, Exchange Square Bukit Kewangan 50200 Kuala Lumpur. …	**APPENDIX IV**	**Undertaking by (name of the trustee of an exchange traded fund) (Rule 17.01(2))** To Bursa Malaysia Depository Sdn. Bhd. ~~9th Floor,~~ Exchange Square Bukit Kewangan 50200 Kuala Lumpur. …
APPENDIX V	**LETTER OF UNDERTAKING BY AN ISSUER WHICH IS A FOREIGN CORPORATION (Rule 17.01C(1)(a))** [To be transcribed onto the letterhead of [name of Issuer]] To: Bursa Malaysia Depository Sdn. Bhd. 9th Floor Exchange Square Bukit Kewangan 50200 Kuala Lumpur …	**APPENDIX V**	**LETTER OF UNDERTAKING BY AN ISSUER WHICH IS A FOREIGN CORPORATION (Rule 17.01C(1)(a))** [To be transcribed onto the letterhead of [name of Issuer]] To: Bursa Malaysia Depository Sdn. Bhd. ~~9th Floor~~ Exchange Square Bukit Kewangan 50200 Kuala Lumpur …

[End of Amendments]

Annexure 2

Amendments to Procedures Manual for ADA

PAGE

1. INTRODUCTION 1-1

2. OVERVIEW 2-1

3. SYSTEM ADMINISTRATION FOR CDS

System Administration Process Workflow 3-0

3.1 Authorised Signatory For System Access 3-1

3.2 CDS Data Entry Supervisors List 3-2

3.3 Application For User ID 3-3

3.4 Application For CDS Task 3-4

3.5 Application To Activate / Deactivate / Remove CDS User ID 3-5

3.6 Application To Reset Password 3-6

3.7 #Deleted# 3-7

3.8 #Deleted# 3-8

3.9 #Deleted# 3-9

3.10 #Deleted# 3-10

3.11 #Deleted# 3-11

3.12 Printing And Submission Of Report To Bursa Depository 3-12

4. ACCOUNT MANAGEMENT

Account Management Process Workflow 4-0

4.1 Opening Of Account Applications 4-1

4.2 Formalisation Of Centrally Opened Accounts 4-24

4.3 Updating Of Signature / Signatories 4-29

4.4 Updating Of Depositor's Particulars 4-36

4.5 Application For Closing Of Accounts 4-57

4.6 Suspension / Release Of Suspension Of Securities 4-65

4.7 Enquiry 4-68

4.8 Ad-Hoc Statement 4-79

4.9 Reactivation Of Dormant Account Requests 4-81

4.10 Reactivation Of Inactive Account Requests 4-86

4.11 Consolidation Of CDS Statement Of Account 4-89

4.12 Revocation Of Consolidated CDS Statement Of Account 4-92

4.13 Inter Branch Transactions 4-94

4.14 Codes 4-104

4.15 CDS Statement and Notices 4-105

5. DEPOSIT

Deposit Process Workflow 5-0

5.1 Accepting Securities Deposit Requests 5-6

5.2 Verification Of Securities Deposit Requests 5-7

5.3 Keying-In Deposit Data Into The CDS 5-12

5.4 Acknowledge Receipt Of Deposit Requests 5-13

5.5 Processing The Transferee Part Of Form 32A 5-14

5.6 Generate And Verify Deposit Report 5-15

5.7 Sorting And Packing Of Scrip And Forms 5-16

5.8 Submission Of Deposit Requests To Bursa Depository 5-17

5.9	Acknowledgement Of Receipt Of Deposit Requests By Depository	5-19
5.10	Rejection Of Deposit Requests By Bursa Depository	5-20
5.11	ADA Returning Rejected Deposit Requests To The Depositor	5-22
5.12	Deposits Into Principal Or Wholly-Owned Nominee Account(s) Of The ADA	5-23
5.13	Inter Branch Transactions With Regards To Deposit Requests	5-24
5.14	Bursa Depository Reports	5-25
5.15	Filing Of Documents	5-26
5.16	Deposit Of Provisional Allotment Letters (PALs) / Provisional Letters Of Offer (PLO)	5-27

6. TRANSFER

Transfer Process Workflow		6-0
6.1	Accepting Transfer Of Securities Requests	6-1
6.2	Verification Of Transfer Of Securities Requests	6-2
6.3	Keying-In Transfer Data Into The CDS By First (1st) Level User	6-4
6.4	Acknowledge Receipt Of Transfer Requests	6-6
6.5	Verify Transfer Requests Keyed Into CDS Database	6-7
6.6	Confirmation Of Transfer Requests By Second (2nd) Level User	6-9
6.7	Generate Unattended Transfer Report	6-11
6.8	Transfers From Principal Or Wholly-Owned Nominee Account(s) Of The ADA	6-12
6.9	Inter Branch Transactions With Regards To Transfer Requests	6-13
6.10	Transmitting Transfer Confirmation Report To Bursa Depository	6-14
6.11	Sorting And Packing Of Forms	6-15

6.12 Submission Of Transfer Requests To Bursa Depository 6-16

6.13 ADA Returning Rejected Transfer Requests To The Depositor 6-17

6.14 Filing Of Documents 6-18

7. WITHDRAWAL

Withdrawal Process Workflow 7-0

7.1 Accepting Withdrawal Requests 7-1

7.2 Verification Of Securities Withdrawal Requests 7-2

7.3 Keying-In Withdrawal Data Into The CDS 7-3

7.4 Acknowledge Receipt Of Withdrawal Requests 7-4

7.5 Generate And Verify Withdrawal Report 7-5

7.6 Sorting And Packing Of Forms 7-6

7.7 Submission Of Withdrawal Requests To Bursa Depository 7-7

7.8 Acknowledgement Of Receipt Of Withdrawal Requests By Bursa Depository 7-9

7.9 Rejection Of Withdrawal Requests By Bursa Depository 7-10

7.10 ADA Returning Rejected Withdrawal Requests To The Depositor 7-11

7.11 Withdrawals From Principal Or Wholly-Owned Nominee Account(s) Of The ADA 7-12

7.12 Inter Branch Transactions With Regards To Withdrawal Requests 7-13

7.13 Bursa Depository Reports 7-14

7.14 Filing Of Documents 7-15

8. TRANSMISSION OF TITLE ON DEATH, BANKRUPTCY, WINDING-UP AND RECEIVERSHIP OF A COMPANY

Transmission Of Title Process Workflow 8-0

8.1 Transmission Of Title On Death Of An Individual 8-1

8.2 Transmission Of Title On Bankruptcy Of An Individual 8-3

8.3 Transmission Of Title On Winding-Up / Liquidation (Dissolution) Of A Company 8-5

8.4 Operations Of CDS Accounts By Receivers And Managers In Respect Of Company Under Receivership 8-8

9. WITNESS & CERTIFICATION

9.1 List Of Acceptable Witnesses 9-2

10. FILE INFORMATION EXCHANGE (FIX)

File Information Exchange (FIX) Process Workflow 10-0

10.1 Request For Access To File Information Exchange (FIX) Facility 10-1

10.2 Daily Information Available In FIX Facility 10-2

10.3 Weekly Information Available In FIX Facility 10-3

10.4 Adhoc FIX Requests 10-4

11. eINVOICE

11.1 CDS Transactions 11-1

APPENDICES

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1.1 Purpose

This Procedures Manual stipulates the procedures to be applied by the Authorised Depository Agents (ADA) in performing the following functions:-

a. System Administration
b. Account Management
c. Deposit
d. Transfer
e. Withdrawal
f. Transmission of Title
g. Witness & Certification
h. File Information Exchange (FIX)

Every ADA shall be bound by the procedures, which include the appendices and checklists in every chapter and any amendments / inclusions thereto from time to time, issued by Depository. The requirements of the above chapters and its related appendices and checklists must be complied with at all times by the ADA.

1.2 Scope

All the requirements and procedures in this manual have been defined in the context of the Central Depository System – 2+ (CDS-2+) as implemented in September 1999. Any changes to this system may have a bearing on the requirements and procedures.

Only the requirements and procedures related to the above functions have been described. It is not intended to include requirements or procedures of any other function.

Within each function itself, procedures having computer interaction via terminal have not been described in detail. These are provided for in the technical User Guide manual.

Procedures in relation to collection of charges and billing are covered in the Billings Procedures Manual.

It is left to the ADA to define their own organisational structure to carry out the procedures defined here to meet Depository's requirements. ADA is hereby reminded that the procedures defined in this manual are to be strictly carried out by its designated staff and accordingly, must not be delegated to its agents or anyone else.

1.3 Organisation

Chapter 2 gives an overview of the functions and describes the activities associated with each of the CDS functions.

Chapter 3 describes the function of "System Administration For CDS".

Chapter 4 describes the function of "Account Management".

Chapter 5 describes the function of "Deposit".

Chapter 6 describes the function of "Transfer".

Chapter 7 describes the function of "Withdrawal".

Chapter 8 describes the function of "Transmission of Title".

Chapter 9 describes the function of "Witness & Certification".

Chapter 10 describes the function of "File Information Exchange (FIX)".

Chapter 11 describes the function of "eInvoice"

Chapter 12 ## (Deleted)

APPENDICES contain different CDS forms, reports and checklists which are used during the operations of different CDS transactions.

NOTE: " ## " to denote that the procedure has been deleted.

A vertical black line on the right, beside the affected paragraph(s) as shown here is to denote that certain changes have been made to the procedure.

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This chapter stipulates the procedures for the ADA with respect to the following activities that requires the submission of the related documents to Bursa Depository as well as ADA's obligation under Bursa Rule 5.04A:-

i. Opening of a depositor's CDS account inclusive of the ADA's principal and wholly owned nominee account.
ii. Formalisation of centrally opened CDS accounts.
iii. Updating of signatures / signatories.
iv. Changing of depositor's particulars.
v. Suspension / release of suspension of securities.
vi. Re-activation of dormant / inactive accounts,
vii. Enquiry with regards to depositor's CDS accounts,
viii. Closing of depositor's CDS accounts,
ix. Consolidation /revoke consolidation of CDS statement(s) of account

Note:
Pursuant to Bursa Depository Rules 5.04A, it is an on-going obligation of the ADA to ensure where an ADA is updating any particulars of a depositor in its internal records and where such data fields are available in the computer system, the ADA must ensure the particulars of the depositor's securities account are updated in the manner prescribed by the Bursa Depository. If an update was not conducted in CDS, the ADA must maintain written records of the depositor's reasonable justification for not updating the particulars of the securities account.

However, should individual depositors use CDS eServices platform to execute permitted CDS related transactions, the ADA is not required to submit any documents as the documents are stored in CDS.

The requirements of this chapter and its related appendices must be complied with at all times by the ADA.

It is mandatory for Malaysian citizens, Permanent Residents of Malaysia and Malaysian incorporated/registered entities to provide their bank account information during account opening. A depositor is required to indicate whether he would like to have the same bank account information to be used for all his/her CDS accounts (here called "Consolidate Bank Account" which means that to consolidate all his/her CDS accounts with One similar bank account information), inclusive of new CDS account that may be opened by the same depositor in the future.

In respect of the Consolidated Bank Account information for ADA's wholly owned nominee account(s), only those CDS accounts maintained at a particular ADA or its branches will be affected.

For a new applicant opening a CDS account for the first time, email address and handphone number (where applicable) are mandatory information and must be provided to the ADA during the account opening process. However, the requirement to provide an email address will not apply to applicants who fall under the Specific Depositors category under 4.15.3.2 of this chapter and who opt to subscribe to hardcopy CDS Statements.

Existing depositor who has opened a CDS account before 1 September 2019, may or may not provide an email address during the subsequent CDS account opening process with a different ADA. However, both the email address and handphone number are mandatory should the existing depositor opts to open a subsequent new CDS account through CDS eServices. By registering the email address in CDS, the depositor will receive electronic notification instead of hardcopy notification or communication in relation to the following:

i. CDS statements of accounts, CDS notices and other communication from Bursa Depository; and

ii. as and when the service becomes available and the relevant persons such as issuers of securities or Participating Organisations ("POs") elect to use such service, notices and communication in relation to the depositor's deposited securities from such issuers, POs or other entities within Bursa Malaysia Berhad's Group of Companies.

Note:

1. *Pursuant to the Securities Commission's Directive dated 12 July 2019, with effect from 1 September 2019, all new applicant opening CDS accounts for the first time and existing depositors who trade online must register their email address in CDS.*

If a depositor (excluding the ADA's wholly owned nominee company) has registered his email address for a particular CDS account, the same email address will be automatically linked to all CDS accounts of the same depositor which will also include any new CDS account that may be opened by the same depositor in the future.

4.1 Opening Of Account Applications

4.1.1 Accepting Account Opening Requests

Pursuant to Rule 5.02A(2) of the Rules of Bursa Depository, in relation to processing an application to open a securities account, an ADA must comply with the procedures prescribed by Bursa 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 accounts 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**

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: *i. For ADA using the Paynet's Retail Payment Platform or other online verification methods approved by the Bursa Depository, supporting documents mentioned under section 4.1.1.2 (c) are not required during the opening of CDS account.*

ii. In relation to the online verification method, the ADA must keep the confirmation message or report received from the service providers for the Bursa Depository's audit purpose.

iii. For foreign individual applicants, supporting documents mentioned under section 4.1.1.2 (c) may not be applicable where the foreigner opts not to provide their bank account information during the 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. The supporting documents are also to be stamped with the ADA's company rubber stamp bearing the ADA's personnel name, designation and signature.*

B) WHERE FMN070 IS WITNESSED BY DEALER'S REPRESENTATIVE / AUTHORISED OFFICER OF THE ADA / NOTARY PUBLIC / SUCH OTHER PERSONS APPROVED BY BURSA 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 Bursa 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 Bursa 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 Bursa 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 the opening of a CDS account.*

4.1.1.9 Pursuant to Rule 38.01(4) Rules of Bursa 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 foreigners)

d. National Registration Identity Card (for foreigners in their home country without a passport)

e. National Health Insurance Card / Social Security Card

f. Any other account opening supporting documents subject to Bursa Depository's approval on a case-by-case basis

g. Any document evidencing the name of the applicant, bank account number, and bank's name. Amongst others i.e. front page of the bank savings book, a Bank statement, a confirmation letter from the bank, a Bank statement extracted from the internet, a Bank-in receipt, a Cheque deposit receipt, a Debit invoice, a Bank identification card, Cheque book, etc.

4.1.1.10 Thereafter, the ADA is to comply with all the existing procedures from Accepting Account Opening Requests to the Filling 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 Bursa Depository" column in Form FMN070 is to be left blank if the securities account is opened under the Non-Face-To-Face Verification method.*

(iii) *In the event the applicant only submits one copy of the FMN070, the processed printed copy of the FMN070 and the relevant supporting documents are to be submitted to Bursa Depository. For ADA's record, it may keep a scanned copy of the completed documents and for the depositor's copy, it may email a copy of the processed FMN070 to the applicant.*

D) CDS eSERVICES PLATFORM

4.1.1.11 Applicant may submit a request to open a new CDS account through the CDS eServices platform by completing the required information for CDS account opening and uploading the front and rear image of the applicant's MyKad.

Note:

i. CDS eServices would only facilitate the opening of new CDS accounts electronically for Malaysian with MyKad only.

ii. For eDividend registration, no supporting document is required as CDS eServices would validate the bank account details using PayNet's Payor Identity Verification method.

iii. The ADA is required to verify the applicant's eligibility pursuant to Rule 25.02 of Bursa Depository Rules and carry out KYC checks on the applicant before opening the CDS account.

4.1.1.12 ADA will be prompted on any request from the applicant to open a CDS account via an active indicator at the "Pending BA Request" tab on the CDS screen. ADA may retrieve the information entered by the 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 a 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. Requests submitted by the applicant on non-market days i.e. Weekends and Public Holidays, will be routed to the ADA on the next market day for processing.

E) ADA's ELECTRONIC PLATFORM

4.1.1.13 Application to open a new CDS account can also be submitted through ADA's electronic platform (ePlatform). ADA in offering its ePlatform for onboarding purposes must ensure that the applicant is adequately informed that the information and supporting documents provided through the ePlatform, is for opening a new CDS account.

Note: ADA is required to have a walkthrough or demo session with Bursa Depository on their onboarding process via the ePlatform before the system is implemented.

4.1.1.14 The terms and conditions stipulated on the ADA's ePlatform must include the declaration clauses in the Bursa Depository's CDS Account Form

4.1.1.15 ADA must ensure that the applicant **is fully aware of their obligations towards the Bursa Depository and has expressly provided his/her consent** to agree with the declaration prescribed by Bursa Depository before such applicant signs the prescribed application form generated from ADA's ePlatform electronically.

The consent clause must include all the following elements:

i. Applicant provides his/her express consent to Bursa Depository to disclose his/her information and documents to the ADA;
ii. The consent provided will be valid until it is revoked by the applicant; and
iii. Bursa Depository is not liable for any loss, damage, liability or cost arising from or in connection any disclosure by Bursa Depository.

4.1.1.16 The information provided by the applicant must be captured on a prescribed application form generated from the ADA's ePlatform.

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 ***(Appendix 96A)*** *and ADAs ePlatform 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 ePlatform before such form can be implemented in the ADA's ePlatform for CDS account opening.

iii. For the CDS Account Form generated from ADA's ePlatform, the layout of the form must be as per the current FMN070 or Appendix 96A.

iv. ADA must ensure that both checkboxes for application for opening of account and application for updating of account particulars on the FMN070 are ticked when submitting to Bursa on the subsequent month should the ADA submit the account opening request via Bursa API Gateway or any other electronic means as approved by Bursa Depository.

4.1.1.17 Apart from physically signing the CDS Account Form generated from ADA's ePlatform, ADA may adopt electronic Signature (eSignature) or Digital Signature for the application submitted through its ePlatform. Should the ADA adopt the eSignature / Digital Signature, the ADA's registered personnel shall provide written confirmation to Bursa Depository of their compliance with the requirements of the Electronic Commerce Act 2006/ Digital Signatures Act, as the case may be, from an internal or external legal counsel.

Note:

i. In the event the ADA does not use a legal counsel, personnel or firm as stated above, the Head of Compliance shall provide the attestation that the approach undertaken by the ADA to capture the applicant's signature on the prescribed application form complies with Electronic Commerce Act / Digital Signature Act.

ii. 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).

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.

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.

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

iii. 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.

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

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. Definition of foreign ownership (for item 4.1.1.19(b)(iii)):

aa) a body, corporate or unincorporate, which is incorporated or constituted, as the case may be, outside Malaysia;

ab) a trustee administering a trust which is constituted under any foreign law;

ac) a trust corporation which is incorporated under any foreign law;

ad) *a society, including a co-operative society or any other institution, which is constituted, registered or incorporated under any foreign law;*

ae) *a nominee company incorporated in Malaysia which*
- *is identified with the word "(Asing)" in its name; and*
- *performs the services of a nominee, agent or trustee solely for on behalf of legal or beneficial owners of securities who are foreigners;*

af) *a company, other than a company described under paragraph (ae), which is incorporated in Malaysia and where any one of the persons or a combination of the persons referred to in paragraph (aa), (ab), (ac), or (ad) is entitled to exercise or control the exercise of more than fifty per centum of the voting rights of the company.*

ii. *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 Bursa Depository with the updated copies of the supporting documents.*

iii. *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 foundations, societies 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 Bursa 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. 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

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 i. For Authorised Nominee type of corporate account, the ADA must also request supporting document to verify the details provided, and to authenticate on the end-beneficiary of the account. Such document is not required to be submitted to Bursa Depository. The documents must be kept by the ADA

ii. 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 Bursa 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 Bursa 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 Bursa 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 Bursa 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 Bursa 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 Bursa Depository.

4.1.2.21 Forward the original stamped copy of the Letter of Indemnity to Bursa 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 Bursa 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).

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 the 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 the applicant to open a 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 checks on the application and the accuracy of the information entered by the applicant.

ii. ADA staff is required to attend to all requests in the CDS eServices Request List within 2 market days from the date of the request received. Failing this, the request will be removed from the system and it will be captured in the Account Rejected/Expired Control Report (Appendix 98).

iii. For removed requests, an email notification will be sent to the applicant notifying him/her that his/her request to open a CDS account has been rejected as his/her chosen ADA failed to process the request within the prescribed time.

4.1.2A.4 If there is any minor data entry error or discrepancies in the applicant's information, ADA may amend the data entry error using its discretion. If the data entered is required to be removed from the system, the ADA is to reject the request to open the CDS account and provide a reason for the rejection. The rejected transaction will be captured in the Account Rejected/Expired Control Report.

Note:

i. ADA should not reject any application for the opening of CDS account received through CDS eServices where such request contains a minor data entry error or abbreviation in the registered address such as missing the phrase "NO." in the address or the applicant entered "Tmn" for Taman, "Lrg" for Lorong, "Jln" for Jalan, "Kg" for Kampung and etc. In such cases, the ADA may accept the application and perform updating after the account is opened.

ii. Notwithstanding the above, if the NRIC number differs or the registered address significantly differs from the supporting document, ADA must reject the application and provide a detailed reason for the rejection under the reason for rejection.

iii. No supporting document for the eDividend will be uploaded for ADA's verification as CDS eServices adopts electronic validation of bank account details through PayNet's Payor Identity Verification.

iv. Under circumstances where ADA is unsure whether to process an account opening request, the ADA should seek the assistance from Bursa Depository.

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 Bursa Depository's **Standard Identification Guidelines On Data Entry Of Depositor's Identification Number In CDS** (Appendix 21).

Note: If there is prior approval obtained from Bursa 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 the account.

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 the Bursa 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 the 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 Sections 4.4.2 and 4.4.4.

*Note: ADA may use a single FMN070 for the purpose of the account opening and updating. The ADA must tick both "Application for Opening of Account" and "Application for Updating of Account Particulars" and indicate (*UPD*) next to the "Registered Address" header on the FMN070 if such address requires updating.*

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 12.00 pm on any market day must be keyed-in to the CDS on the same market day

iii. Where complete account opening applications are lodged after 12.00 pm 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 <u>Confirmation Of Account Opening Data By Second (2nd) Level User</u>

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 captured under the Account Maintenance screen is correct before confirming and approving the account opening.

Note:

i. Once the 2nd level user confirmed the data entered by the 1st level user, Bursa Depository deems that the 2nd level user had verified and confirmed the accuracy of the data entered.

ii. 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 confirming 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 requests and supporting documents via the CDS eServices module and link to Completed BA Requests List.

4.1.5.4 The confirmed request and the relevant supporting document can be retrieved by entering the depositor's NRIC / Passport number or enquiring 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 :

i. The CDS Account Form and relevant supporting documents in the Completed BA Requests List will only be available for 3 months. Thereafter the documents will be archived.

ii. 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).

Note: This report will capture all account opening requests performed by the ADA or depositors through the following modes, as the case may be:

i. WebCDS Online;
ii. CDS eServices;
iii. CDS Straight Through Processing (CDS STP); and
iv. API Gateway.

4.1.7.2 The ADA personnel who performed data entry verification / checked and verified the reports 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.

Note: ***For section 4.1.7 and 4.1.8, the ADA may opt not to print these reports but download electronic copies of the report in PDF form for review and verification. Should ADA adopt this method for review and verification process, the ADA must ensure that the PDF documents are kept securely together with the evidence of the review and verification work performed for the Bursa Depository's auditing purpose.***

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, 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, 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 Bursa 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 Bursa Depository. However, FMN070 will need to be completed when providing the email address only to Bursa Depository.

4.1.12 Transmitting Principal And Nominee Account Report To Bursa 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 Bursa Depository.

d. ADAs are allowed to enquire on their submission of report to Bursa 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 Bursa Depository.*

4.1.13 Transmitting Principal And Nominees eDividend Registration Report To Bursa 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 Bursa Depository

d. ADAs are allowed to enquire on their submission of report to Bursa 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 Bursa 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. Bursa 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 Bursa Depository

4.1.15.1 ADA and its branches must submit Bursa Depository's copies of FMN070 (with the relevant supporting documents) to Bursa Depository by the fifth (5th) market day of the following month or such other day as instructed by Bursa Depository.

Note: If ADA is not able to submit the Bursa Depository's copies of the FMN070 by the 5th market day of the following month or any other days as instructed by Bursa Depository, the ADA must submit a formal written request seeking for extension of time for the form submission.

4.1.15.2 For individual depositors, send the following to Bursa Depository:

a. Bursa 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 ADAs wish to submit the FMN070s electronically to Bursa Depository may refer to CDS Circular ADA/DOD/015/2022 issued on 28 April 2022 for guidelines.

4.1.15.4 For corporate depositors, send the following to Bursa Depository:-

a. Bursa 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)

4.1.15.5 For ADA's Principal accounts and its Wholly Owned Nominee account, send the following to Bursa 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

4.1.15.6 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 beneficial owner's supporting documents for Authorised Nominees accounts such as copies of NRIC/Passport/Authority Card / Certificate of Registration/ any documents evidencing of incorporation of the entity as well as documents evidencing the ownership of the entity, as the case may be.

k. 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.

l. 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

m. 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)

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4.4 Updating Of Depositor's Particulars

A. Updating Performed At ADA Offices

A depositor may choose to update his particulars by appearing in person at the ADA where his account is maintained or by writing to the ADA. However, for depositors that are not able to be present in person, the supporting documents must be certified by a person stated in the List Of Acceptable Witnesses in Chapter 9.

If a depositor update any of the following particulars, such update will result in a global update reflected in respect of all other CDS accounts of the same depositor:

a. Name
b. NRIC/Company Registration Number
c. Registered Address
d. Nationality/Place of Incorporation
e. Investor Type
f. Race/Ownership
g. Handphone number
h. Email Address
i. Consolidated bank account information
j. Tax Identification Number
k. Sales and Service Tax Number

Additionally, the particulars referred to above will also be replicated for any new CDS account that may be opened by such depositors.

If a depositor updates the other particulars in respect of a CDS account such as the correspondence address, telephone number, account qualifier, account type and beneficiary details, such update will only affect that particular CDS account at that particular ADA where the change was made.

Note:

i. A depositor may submit an update request via physical FMN070 form with or without an email address in CDS. However, the depositor is required to provide a handphone number if he/she does not have one in CDS for communication purposes.

In relation to bank account information, depositors have the option to maintain the same bank account information across all its CDS accounts including any new CDS accounts by updating their bank account information and opting for the "Consolidation" feature. Otherwise, depositors can maintain separate bank account information for each of their CDS accounts. As such, depositors have the choice to either opt for the "Consolidation" feature or revoke the "Consolidation" feature in terms of managing their bank account information reflected in respect of their CDS accounts.

This is applicable for depositors changing the particulars of their existing bank account information in CDS or an existing depositor that is providing its bank account information to Bursa Depository for the first time.

In respect of the ADA's wholly owned nominee company that has provided /updated its email address and opted for the "Consolidation" of bank account information feature, the same email address and bank account information will be automatically linked to the same nominee account(s) at a particular ADA's branch. It will not affect the same nominee CDS account maintained with other ADA branches.

Updating of Investor Particulars

The investor id, registered address, investor type, nationality / place of incorporation, name, race/ownership particulars, email address, handphone number and consolidated/unconsolidated bank account information fields are known as **"investor particulars".**

Any update made to the investor particulars will result in a global update on other accounts belonging to the same depositor maintained with other ADA.

Updates of Investor Particulars and the Supporting Documents Required

Types of Changes	Individual	Corporate Depositor
1. Investor ID	**Two (2)** copies of NRIC / Passport / Authority Card or other forms of acceptable identification documents.	**Two (2)** certified true copies of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number or Letter Of Confirmation from Companies Commission Of Malaysia (CCM) or any other confirmation letter from relevant authority.
Beneficiary ID (for authorized nominee account)	One (1) copy of the same document mentioned above	One (1) copy of the same document mentioned above

Types Of Changes	Individual	Corporate Depositor
2. Registered Address	**Two (2)** copies of NRIC / Passport / Authority Card or other forms of acceptable identification documents indicating the change in registered address.	**One (1)** certified true copy of notice of change of registered address lodged with the Registrar of Companies or its equivalent.
3. Investor Type	Depositor to indicate accordingly by completing FMN070.	**Two (2)** certified true copies of notice of conversion to a private company/public company issued by the Registrar of Companies or its equivalent.
Beneficiary's Investor Type	Same as above	One (1) copy of the same documents mentioned above.
4. Nationality / Place of Incorporation	**Two (2)** copies of Malaysian NRIC or passport indicating the nationality.	**One (1)** certified true copy of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number or its equivalent.
5. Name	**Two (2)** copies of NRIC / passport / Authority Card or other forms of acceptable identification documents.	**One (1)** certified true copy of document(s) evidencing the incorporation or registration of the company, the company's current name and registration number or its equivalent.
6. Race / Ownership	Depositor to indicate accordingly by completing FMN070.	**One (1)** certified true copy of document(s) evidencing the ownership of the company e.g. the latest return of allotment of shares or if unavailable, the latest annual return or its equivalent.
Beneficiary Race/Ownership	Same as above	Same as above

Types Of Changes	Individual	Corporate Depositor
7. Bank Account Information a. name of bank b. bank account number (Also applicable for existing depositors registering their bank account information in its CDS account for the first time)	Two copies of any of the supporting document that captures applicant's **name, bank account number and bank's name as stated in Section 4.1.1.2 (c)**	**Two (2)** certified 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)**
8. Consolidate/ Revoke Consolidation (Bank Account)	Depositor to indicate accordingly by completing FMN070.	The update will be according to the declaration made by the depositor in FMN070.
9. Joint Bank Account	Depositor to indicate accordingly by completing FMN070 or provide the relevant supporting document indicating the change.	Not applicable for body corporate. ADA to complete the FMN070 in cases of data entry error and send to Bursa Depository.
10. Email Address/ Handphone Number	Depositor to indicate accordingly by completing FMN070.	The update will be according to the declaration made by the depositor in FMN070.

Note:

(i) ADA to complete the FMN070 in case of data entry error and send to Bursa Depository.

(ii) The original supporting documents of individual depositor must be sighted by the ADA personnel. The ADA personnel who sighted and verified the original supporting documents is required to sign and stamp the ADA's company rubber-stamp bearing the ADA personnel's name and designation on the supporting documents

(iii) *Where a depositor is not able to be present in person, the ADA may request such depositor to submit the FMN070 for updating purpose through the email address registered in CDS. The supporting documents attached to the FMN070 must be certified by a person stated in the List Of Acceptable Witnesses in Chapter 9.*

(iv) *ADA must perform all the necessary verification with the depositor who has sent a request to update their particulars through email before the update can be performed in CDS. ADA should maintain a record on the verification details performed with the depositor.*

(v) *Individual depositors who register their bank account information for the first time, may also provide their email address and handphone number if they wish to receive eStatement.*

(vi) *For individual and corporate accounts, where the depositor has opted for the consolidation feature, the same bank account information will be used across all its CDS accounts maintained at other ADAs and any subsequent update on bank account information will also be updated across all the CDS accounts of the depositor maintained at other ADAs.*

(vii) *For nominee account, where it has opted for the consolidation feature, the same bank account information will be used across all its CDS accounts maintained at the particular ADA or ADA branches and any subsequent update on the bank account information will also be updated across all the CDS accounts of the nominee maintained at the particular ADA or ADA branches.*

(vii) *Updates on the Investor ID can only be performed by Bursa Depository.*

(viii) *Even though the TIN and SST numbers are particulars at investor-level, it is optional for the depositors to provide the particulars unless an eInvoice is requested by the depositors (refer to Chapter 11 on eInvoice). The ADA is not required to submit the supporting documents provided by depositors for TIN and SST number to Bursa Depository. The ADA will keep the supporting documents and only shall be provided to Bursa Depository upon request only.*

Updating Of Account Particulars

The correspondence address, account type, account qualifier, telephone number, beneficiary fields are known as **"account particulars".**

Any update made to the account particulars of a depositor will only affect the CDS account at that particular ADA where the change was made.

Type Of Changes

1. Account qualifier

   a. Replacing the existing beneficial owner's full name with another beneficial owner's name in the account qualifier **is not permitted**. However, changes to the beneficial owner's name are permitted for those arising from due process of the law, i.e. change of company name (these changes must be supported by relevant legal documentation)

   b. Other forms of updating may be a misspelling or abbreviation of an intermediary's name

2. Account Type

3. Tagging code

4. Correspondence address

5. Telephone number

Note:

(i) Except for the account qualifier i.e. beneficial owner's name, other account particulars' changes do not require any supporting documents

*(ii) For a complete list of **Permitted Updates Of Account Qualifier By Authorised Nominees** please refer to Appendix 31.*

Updating Of CDS Account Particulars of ADA's Principal Accounts And Wholly Owned Nominee Accounts

In relation to an ADA's principal account(s) and wholly-owned nominees account(s), the ADA is required to complete FMN070 and submit the relevant supporting document (if applicable) when performing changes to their CDS account information.

Verify FMN070 for completeness before proceeding to key-in the changes in CDS. Upon executing the relevant updates in CDS, the ADA is required to submit Bursa Depository's copy of FMN070 and the relevant supporting documents (if any) as per those required for investor and account particular updates.

For bulk updating of **correspondence address** and **telephone number**, the ADA , or its wholly owned nominee may utilise a single FMN070. The following are required to be submitted to Bursa Depository:

a. A letter from the ADA if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to states the ADA's or the appropriate nominee company's intention to update particulars of multiple CDS accounts using a single FMN070 together with an attached listing detailing the following:

   i. The number of CDS accounts to be updated
   ii. CDS account numbers
   iii. Account Qualifiers

b. A duly completed FMN070. Indicate "To update all CDS accounts as per the authorised list attached" at the "CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the updating form.

The request letter, FMN070 and each page of the listing must be signed by the authorised signatories as stated in the ADA's principal, or its wholly owned nominee's Board Resolution.

All the other updating of particulars in CDS account procedures detailed in section 4.4 (if relevant) are also applicable for updating account particulars of ADA's principal and its wholly owned nominee account.

Note: ***Procedures related to bulk updating of correspondence address and telephone number is also applicable to nominee companies that are not wholly owned by the ADA.***

4.4.1 <u>Accepting Updating Of Individual / Corporate Account Requests</u>

If an individual depositor wishes to update the particulars in his/her account, he/she may choose to be present in person at the ADA office to make such an application.

4.4.1.1 Ensure the depositor completes FMN070 and attached relevant supporting documents (where applicable).

4.4.2 Verification Of Updating Of Individual / Corporate Account Requests Made In Person To The ADA

4.4.2.1 Receive FMN070 from the depositor.

4.4.2.2 Verify the details in the form against the relevant supporting documents.

4.4.2.3 Ensure the signature on the form corresponds with that on the ADA's records of specimen signature(s).

4.4.2.4 Reject the application if the signature differs. Return the form to the depositor.

4.4.2.5 Obtain copies of the relevant supporting documents. For an individual depositor, compare the copies with the original supporting documents. In the case of a corporate body, obtain certified true copies of the relevant supporting documents.

4.4.2.6 Any changes requested by a depositor must be accompanied by the relevant supporting documents as stated in the matrix found in Section 4.4.

4.4.2.7 If the change of depositor's particulars is due to a data entry error made by the ADA personnel:-

a. Complete the FMN070 and initiate the update in CDS. Submit the appropriate copy of FMN070 to Bursa Depository.

b. Affix the form with the designated "Updating of account particular(s) due to data entry error request" rubber-stamp.

c. The ADA must justify the data entry error by providing Bursa Depository with the relevant supporting documents furnished by the depositor showing the discrepancy in data entry.

4.4.2.8 Affix the ADA's company rubber-stamp on FMN070 at the space marked "to be completed by ADA".

4.4.2.9 Ensure that the "approved by" columns are signed by an authorised signatory of the ADA before data entry.

4.4.2.10 Every amendment made on the form must be countersigned by the depositor 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.

4.4.2.11 Where the signature(s) of the depositor and the authorised signatory(ies) of the ADA are the same, the amendment made on the form need only be signed by that signatory(ies).

4.4.2.12 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.

4.4.2.13 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

4.4.3 Accepting Updating Of Individual / Corporate Account Requests Made In Writing To The ADA

4.4.3.1 All depositor's particulars may be updated by way of writing to the ADA concerned.

4.4.3.2 A depositor may do so by way of:-

a. Completing FMN070 and sending it to the ADA, or

b. Submitting a letter to the ADA, indicating the type of updating required. However, this is **not applicable for updating of bank account information, email address and handphone number**, whereby the depositor will need to complete FMN070.

In both cases, relevant documents must be attached supporting the reason(s) for updating the account.

4.4.3.3 For written requests by the depositor, the ADA is to complete FMN070 on the depositor's behalf.

4.4.4 Verification Of /Updating Of Individual / Corporate Account Requests Made In Writing To The ADA

4.4.4.1 Receive the completed FMN070 or written request and supporting documents from the depositor.

4.4.4.2 Verify the details in FMN070/letter against the relevant supporting documents. In the case of individual depositors, any changes, must be accompanied by two (2) certified true copies of the NRIC / Passport / Authority Card or any other identification documents reflecting the change. These supporting documents must be certified by a person stated in the List Of Acceptable Witnesses in Chapter 9.

4.4.4.3 In the case of updating of bank account information, the supporting document evidencing the bank account information must be certified by any of the acceptable witnesses stated in the List Of Acceptable Witnesses in Chapter 9.

4.4.4.4 In the case of a corporate body, any changes must be accompanied by the supporting documents as per those in the matrix in Section 4.4 or in Appendix 31 in case of any changes to the Account Qualifier information.

4.4.4.5 Verify and ensure the signature on FMN070/letter corresponds with that on the ADA's records of specimen signature(s).

4.4.4.6 Reject the application if the signature differs and return FMN070/letter to the depositor.

4.4.4.7 For written requests by a depositor, if the signature in letter matches with the ADA's records of specimen signature(s), the ADA is to complete FMN070 on behalf of the depositor.

4.4.4.8 Affix the ADA's designated rubber-stamp bearing "Updating of account particulars due to account holder's written request" at the space marked "Signature(s)/ Thumbprint(s) Of Applicant/Depositor/Authorised Signatory(ies)/Attorney(s)".

4.4.4.9 Affix the ADA's company rubber-stamp on FMN070 at the space marked "to be completed by ADA".

4.4.4.10 Ensure that the "approved by" columns are signed by an authorised signatory of the ADA before data entry.

4.4.4.11 Proceed to Section 4.4.6 for procedures to edit and update the affected field(s).

4.4.5 <u>Verification Of Updating Of Individual / Corporate Account Details By Way Of Authorisation From Bursa Depository</u>

4.4.5.1 Receive the authorisation letter/email from Bursa Depository.

4.4.5.2 To complete FMN070 on behalf of the depositor by completing the relevant details that need to be updated.

4.4.5.3 FMN070 to be completed by the ADA with words "Account Updated Due to Bursa Depository's Authorisation" at the space marked "Signature(s)/ Thumbprint(s) Of Applicant/Depositor/Authorised Signatory(ies)/Attorney(s)". Attach the authorisation letter/email from Bursa Depository to the FMN070.

4.4.6 Keying-In Updating Of Account Data Into The CDS By First (1st) Level User

4.4.6.1 After verification of the completeness and validity of FMN070, proceed to update the details into the CDS via the "Account Maintenance" screen.

4.4.6.2 Compare the particulars on the CDS against the particulars on FMN070.

4.4.6.3 ADA is allowed to change all depositor's particulars **except** for the change of "Investor ID" for the account holder .

4.4.6.4 For updates of "Investor ID" requested by the depositor, the ADA should verify the signature on the FMN070 and the cover letter sent by the depositor, if one is provided against the ADA's records of specimen signature(s) before forwarding the completed FMN070 and all relevant supporting documents to Bursa Depository.

4.4.6.5 If the updates of "Investor ID" is due to a data entry error by the ADA, the ADA must complete the FMN070, affixed with the rubber-stamp "Updating of account particular(s) due to data entry error request".

4.4.6.6 The ADA's authorised signatory(ies) must sign on the FMN070 on behalf of the depositor in cases where the update is due to a data entry error by the ADA.

Notes:

a. A fee of RM10 will be imposed on an existing depositor providing his bank account information to the Bursa Depository for the first time.

b. The ADA is to print and provide such depositor with the invoice from CDS in respect of this fee unless such depositor indicates he/she does not require the same.

c. In the event Bursa Depository has waived the fee for providing bank account information, ADAs are required to click the "Fee Waived" field on the Account Maintenance screen and thereafter to key in the reference number of the approval letter from Bursa Depository.

d. In the event there is a request from 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.

4.4.7 Confirmation of Updating Of Depositor's Particulars By Second (2nd) Level User

4.4.7.1 The 2nd level user to retrieve the new depositor's particulars via the Unattended Request List and link to Verifier's Details Page to verify against the FMN070.

4.4.7.2 Alternatively, 2nd level user may print the Pending Approval Listing and use it to verify the data entry against the FMN070.

4.4.7.3 Ensure the data entered is correct before confirming and approving the updating of investor/account particulars.

Notes:

a. Once the 2nd level user confirmed the data entered by the 1st level user, Bursa Depository would deem 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 within 2 market days. Failing which, the data entered will be removed from the system and it will capture in the Account Rejected/Expired Control Report.

4.4.7.4 If there is any data entry error or discrepancies on the depositor's particulars, return the FMN070 to the 1st level user to amend the depositor's particulars. 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 is will capture in the Account Rejected/Expired Control Report.

4.4.7.5 If the updated depositor's particulars is free from error, the 2nd level user is to confirm the data entry and sign on the "Verified by" column of the FMN070.

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 Bursa Anywhere Mobile Application (Bursa Anywhere). Body corporate and Nominee companies are not allowed to use CDS eServices to perform CDS transactions.

The individual depositor must register his/her valid email address and handphone number if they want to use CDS eServices.

CDS eServices permits the registered individual to submit updating request for the following account particulars:

a. Name
b. Registered address
c. Nationality
d. Race
e. Bank account information
f. Correspondence Address
g. Telephone Number (landline)
h. Consolidation / Revocation of consolidated bank account information
i. Consolidation / Revocation of consolidated CDS statement of accounts

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

Notes:

i. To facilitate any update of account particulars in the depositor's CDS account via CDS eServices, such a depositor must have registered bank account information in CDS.
ii. For Non-Malaysian depositor, registration of bank account information is optional.
iii. A fee of RM10 will be imposed on an existing depositor providing his bank account information to the Bursa 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 accounts opened on and after 19 April 2013.
iv. The depositor must request 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, the request for updating the depositor's particulars from (f) to (i) through CDS eServices does not require any supporting documents or ADA's approval, and changes to this information in the depositor's CDS account will be effected immediately once the depositor had successfully submitted the request.

4.4.8 Accepting Updating Request Submitted Through CDS eServices

4.4.8.1. Individual depositors may submit his/her request to update permitted account particulars through CDS eServices by completing the required information and attaching the relevant supporting documents.

Note:
For the update of eDividend bank account details, no supporting document is required as CDS eServices would validate the bank account details using PayNet's Payor Identity Verification method.

4.4.8.2. The updating request will be captured in the BA Pending Request List for the ADA to access and process. An indicator on the number of requests submitted through CDS eServices pending ADA's action will be displayed on the CDS screen.

Note:

i. Submission of supporting documents for updating of account particulars through CDS eServices can be done via image format or uploading PDF document.

ii. For updating the depositor's name, registered address, and nationality, the depositor is only required to submit the front image of his/her NRIC. The image was taken through Bursa Anywhere, a watermark will be captured on the image.

iii. If the depositor uploads the supporting documents in PDF format, the depositor is required to upload documents with both sides of NRIC on a single page. No watermark will be captured if the supporting documents are submitted via PDF format.

C. Updating Request submitted Through ADA's electronic Platform

ADAs offering the ePlatform to their client to submit updating of account particular requests for the trading account may also use the same platform to accept updating of account particulars requests for CDS account purposes. ADA must ensure that the depositor is well informed that the information provided will be used to update CDS accounts particulars as well.

The information provided by the depositor through the ADA's ePlatform must be captured in the FMN070 generated from the ePlatform and signed by the depositor. The mode of capturing the signature will be the same as per the process adopted during the account opening through the ePlatform.

Thereafter, the ADA is to comply with all the existing procedures from 4.4.1 to 4.4.18 as stated in the Procedure Manual.

4.4.9 Keying-In Updating Of Account Data Into The CDS

4.4.9.1. The 1st level data entry is performed by the depositor and no action is required from ADA to perform this function.

4.4.9.2. The data entered by the depositor through CDS eServices will be automatically captured in the Account Maintenance screen.

4.4.9.3. Request for updating of depositors' information such as name, registered address, bank account information, nationality and race, submitted through CDS eServices will not be updated in CDS until the 2nd level user confirms the update request.

4.4.9.4. However, the information entered by depositor for updating of correspondence address, telephone number, consolidation of bank account information, revocation of consolidated bank account information, consolidation of CDS statements of accounts and revocation of consolidated CDS statement of accounts will be automatically updated in CDS and does not require any confirmation from ADA's 2nd level User.

4.4.10 Confirmation of Updating Of Depositor's Particulars Made Through CDS eServices By 2nd Level User

4.4.10.1. The ADA's 2nd level User is to retrieve the information entered by depositor for updating of account information and its related supporting documents via the BA Request List and link to Verifier's Details Page. Verify the information entered by depositor against the uploaded supporting document.

4.4.10.2. Alternatively, 2nd level User may print the Pending Approval Listing report and use it to verify the data entry against the supporting document.

4.4.10.3. Ensure the information entered is correct before confirming and approving the updating of investor particulars.

Notes:

a. Once the 2nd level user confirmed the information entered by the depositor himself, Bursa Depository would deem that the 2nd level user had verified and confirmed the accuracy of the information entered.

b. 2nd level user is required to attend to all requests 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 capture in the Account Rejected/Expired Control Report.

c. Email notification will be sent to the depositor notifying him/her that his/her request in CDS eServices to update the depositor's particulars has been approved/rejected.

4.4.10.4. If there is any data entry error or discrepancies on the depositor's particulars, the ADA's 2nd-level user may amend the data entry error using his/her discretion. If the data entered is required to be removed from the system, the 2nd level User is to reject the data entered by the depositor and provide a reason for the rejection. The rejected transaction will be captured in the Account Rejected/Expired Control Report.

4.4.10.5. If the updated depositor's particulars is free from error, the 2nd level User is to confirm the data entry.

4.4.11 <u>Access To Confirmed Request And Supporting Documents</u>

4.4.11.1. ADA may access confirmed requests and supporting documents via the Completed BA Request List.

Note:
The confirmed BA request module will only display completed requests up to 3 months before the records are archived.

4.4.11.2. The confirmed request and the relevant supporting document can be retrieved by entering the depositor's NRIC / Passport number or by transaction date and ADA code.

4.4.12 Verifying Account Maintenance Control Report (Optional)

4.4.12.1. 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.

4.4.13 Generate And Verify Account / Investor Audit Report

4.4.13.1. Print the **Account / Investor Audit Report** (Appendix 32) which highlights the update of depositors' particulars.

Note: This report will capture all update requests performed by the ADA or depositors through the following modes, as the case may be:

i. WebCDS Online;
ii. CDS eServices;
iii. CDS Straight Through Processing (CDS STP); and
iv. API Gateway.

4.4.13.2. Verify that the updates made to the CDS accounts for the day are correct against the relevant report.

4.4.13.3. The ADA personnel who performed the verification / checked and verified the reports must sign the reports.

4.4.13.4. If there are any data entry errors in the updates, the ADA must initiate the update procedures again as mentioned in Section 4.4.6

4.4.13.5. If there are any data entry errors in the updates where the request originated from CDS eServices, the ADA must initiate the update procedures again by completing the FMN070 on the depositor's behalf by indicating "Correction for CDS eServices Request" at the space marked "Signature(s)/ Thumbprint(s) Of Applicant/ Depositor/ Authorised Signatory(ies) /Attorney(s)".

4.4.13.6. Update on the correspondence address and telephone number performed by the depositor via the CDS eServices platform will be captured in this report and is for the ADA's notation only.

4.4.14 Generate And Verify eServices Audit Report

4.4.14.1. Print the **eServices Audit Report** (Appendix 95) which highlights the updating of bank account number, email address and handphone number, removal of handphone number, consolidation of bank account information and revocation of consolidated bank account information.

4.4.14.2. Verify that the updates made to the CDS accounts for the day are correct against the relevant reports.

4.4.14.3. The ADA personnel who checked and verified the reports must sign the report.

4.4.14.4. If there are any data entry errors in the updates, the ADA must initiate the update procedures again.

4.4.15 Generate Rejected Email Address Report

4.4.15.1. Print the Rejected Email Address Report (Appendix 101) which captures email addresses that was provided by depositors during the CDS account opening and/or updating of email address processes and subsequently rejected by CDS during the validation process.

4.4.15.2. Verify the rejected email address against the FMN070 to ensure the rejection was not due to a data entry error by the ADA. If it was due to a data entry error by the ADA, the ADA must initiate an update procedure by completing the FMN070 on the depositor's behalf by indicating "Updating of account particular(s) due to data entry error" in the space marked "Signature(s)/ Thumbprint(s) Of Applicant/ Depositor/ Authorised Signatory(ies) /Attorney(s)".

4.4.15.3. If the email address rejection was not due to a data entry error, kindly contact the depositor and inform the depositor to update the email address.

Notes:

i. ADA may opt not to print reports under sections 4.4.12, 4.4.13, 4.4.14, and 4.4.15 but download electronic copies of these reports in PDF form for review and verification. Should ADA adopt this method for the review and verification process, the ADA must ensure that the PDF documents are kept securely together with the evidence of the review and verification work performed for the Bursa Depository's auditing purpose.

ii. Only hard bounce email addresses such as where the depositor's email address on record is invalid will be captured in the report.

iii. For soft bounce email address for reasons such as mailbox full, depositor block the sender's email address and etc, will not be captured in the report.

iv. ADA should advise the depositor with a rejected email address status in CDS to update the email address in order to receive eStatements.

4.4.16 Sorting And Packing Of Forms

4.4.16.1. For updating of "Investor ID" and "Investor Type", pack according to ascending account number as follows:

a. **ADA and Bursa Depository copies** of FMN070

Note: *The Depositor copy of FMN070 is to be forwarded to the depositor as acknowledgement.*

b. Letters from depositors (if applicable)

c. Photocopies of supporting documents.

4.4.16.2. For updating of depositor's particulars not included in Section 4.4.16.1, pack the following according to the Account Maintenance Control Report:-

a. Bursa Depository copies of FMN070

b. Letters from depositors (if applicable)

c. Photocopies of supporting documents

4.4.16.3. For those update request submitted via CDS eServices, no forms or supporting document is required to be packed and submitted to Bursa Depository.

4.4.16.4. The Account Maintenance Control Report must be declared and signed by the authorised signatory(ies) of the ADA.

4.4.17 <u>Submission Of Account Updating Documents To Bursa Depository</u>

4.4.17.1. Submit FMN070 together with the relevant supporting documents in relating to updating of "Investor ID" or "Investor Type" to Bursa Depository **latest by next market day**.

4.4.17.2. For updating of depositor particulars ADA and its branches are to forward the FMN070 together with the relevant supporting documents (if any) to Bursa Depository by the fifth (5th) market day of the following month or such other day as instructed by Bursa Depository

Note: If ADA is not able to submit the Bursa Depository's copies of the FMN070 by the 5th market day of the following month or any other day as instructed by Bursa Depository, the ADA must submit a formal written request seeking for extension of time for the form submission.

4.4.17.3. All the documents mentioned under section 4.4.16.1 must be accompanied with a covering letter addressed to Bursa Depository.

4.4.17.4. The covering letter must be signed by the authorised signatory(ies) of the ADA.

4.4.17.5. Bursa Depository will acknowledge receipt on the duplicate copy of the covering letter upon receipt of FMN070 and the relevant supporting documents.

4.4.17.6. For updating of "Investor ID" or "Investor Type", Bursa Depository will return the ADA copies of the FMN070 to the ADA once the update has been done.

4.4.17.7. All the documents mentioned under section 4.4.16.2 must be accompanied with Account Maintenance Control Report which has been declared and signed by the authorised signatory(ies) of the ADA before sending to Bursa Depository.

4.4.17.8. ADAs wish to submit the FMN070s electronically to Bursa Depository may refer to CDS Circular ADA/DOD/015/2022 issued on 28 April 2022 for guidelines.

4.4.18 Filing Of Documents

4.4.18.1. File the following documents:-

a. The **ADA** copies of the FMN070

b. Letters from the depositors (if applicable)

c. Any **s**upporting documents

d. Account Rejected/Expired Control Report

e. The duly signed and stamped Account Maintenance Control Report

f. Account / Investor Audit Report

g. eServices Audit Report

h. Rejected Email Address Report

4.4.18.2. Printing and filing the following reports are optional to the ADA:

a. Pending Approval Listing

b. Unattended Account Maintenance Report

c. Account Maintenance Control Report (if printed on daily basis)

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4.9 Reactivation Of Dormant Account Requests

A. Reactivation Performed At ADA Office

4.9.1 Accepting Reactivation Of Dormant Account Requests

4.9.1.1 Receive completed and duly signed **Application For Reactivation Of CDS Account Form** (Reactivation Form) (Appendix 49) / written request from depositor for each request.

4.9.1.2 Ensure that the Reactivation form/letter is submitted together with payment.

Note:
ADA shall accept and process a physical reactivation form submitted by a depositor who wishes to reactivate a dormant CDS account although the affected dormant CDS account does not contain any registered bank account details and email address. The depositor must register his/her handphone number in CDS.

4.9.2 Verification Of Reactivation Requests

4.9.2.1 Verify the depositor's signature on the Reactivation Form / letter against the ADA's records of specimen signature(s).

4.9.2.2 Reject if the signature in the Reactivation Form / letter differs or if payment is not received and state the reason(s) for rejection.

4.9.2.3 For written request by a depositor, if the signature in letter matches with the ADA's record of specimen signature(s), the ADA is to complete the Reactivation Form on behalf of the depositor.

4.9.2.4 Affix the ADA's designated rubber-stamp bearing "Reactivation of account due to account holder's written request" at the space marked "Signature of Depositor / Authorised Signatories / Attorney(s).

4.9.2.5 Affix the ADA's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".

4.9.2.6 Ensure the "verified by" column is completed by the ADA personnel who received the payment and performed the verification.

4.9.2.7 Ensure the "approved by" column is completed by the ADA's Authorised Signatory(ies) before data entry.

4.9.2.8 Every amendment made on the form must be countersigned by the depositor 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.

4.9.2.9 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.

4.9.2.10 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

4.9.3 Keying-In Reactivation Requests

4.9.3.1 The ADA may perform the reactivation of CDS accounts in any of the following manner:

i. WebCDS online;
ii. File upload through CDS STP; or
iii. API Gateway.

Note: For the procedure for submitting the reactivation request through CDS STP or API Gateway, please refer to the respective systems technical file specification which will be made available upon request from Bursa Depository.

4.9.3.2 Key-in depositor's CDS account number through the "Account Maintenance" screen. Retrieve the depositor's details and check against the details stated in the Reactivation Form / letter.

Note: If there is a prior approval from Bursa Depository to waive the fee for reactivation of dormant account, ADAs are required to click on the fee waived and enter the letter reference number. Failure to enter both the information will result in billing for such reactivation of dormant account.

4.9.3.3 Reject if the particulars differ and state the reason(s) for rejection.

4.9.3.4 Proceed to update the status of the depositor's account.

4.9.3.5 Ensure that the "reactivated by" and "reactivated on" columns are completed by the ADA personnel who performed the data entry

Note: *The data entry personnel must not be the same person approving the reactivation request.*

4.9.3.5 Forward a copy of the Reactivation Form to the depositor upon completion of the updating process.

4.9.3.6 Do not send the completed Reactivation Form to Bursa Depository.

4.9.3.7 The ADA is to print and provide the depositor the tax invoice (Appendix 92) from the CDS in respect of the fee for the reactivation of dormant account unless the depositor indicates he does not require the same.

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

4.9.3.8 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 GST amount collected for all the CDS transactions initiated on the previous day. The report can be printed by type of CDS transaction, by account type and by a specific period.

4.9.4 <u>Acknowledge Receipt Of Reactivation Requests</u>

4.9.4.1 Receive the reactivation fee and the relevant GST amount.

4.9.4.2 The ADA must maintain proper records of all reactivation fees received.

4.9.5 <u>Reactivation Of ADA's Principal Accounts And Wholly Owned Nominee Account</u>

4.9.5.1 To complete a separate Reactivation Form for reactivation of ADA's principal and its wholly owned nominee accounts respectively

4.9.5.2 ADA may use a single Reactivation Form to reactivate multiple CDS accounts of the ADA i.e. its principal or its wholly owned nominee accounts. The following are required to be submitted to Bursa Depository:

a. A letter from ADA if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to state the ADA's or the appropriate nominee company's intention to reactivate multiple dormant CDS accounts using a single Reactivation Form together with an attached listing detailing the following:

i. The number of dormant CDS accounts to be reactivated.
ii. CDS account numbers
iii. Account Qualifiers

b. A duly completed Reactivation Form. Indicate "To reactivate all CDS accounts as per the authorised list attached" at the CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the Reactivation Form.

c. The request letter, Reactivation Form and each page of the listing must be signed by the authorised signatories as stated in the ADA's principal or its wholly owned nominee's Board Resolution.

Note: Procedures related to bulk reactivation of dormant CDS accounts is also applicable to nominee companies that are not wholly owned by the ADA.

4.9.5.3 Verify the Reactivation Form for completeness before proceeding to key-in the reactivation request into CDS.

4.9.5.4 Upon executing the relevant updates in CDS, the ADA is not required to send the Reactivation Form to Bursa Depository.

4.9.5.5 All the other reactivation of Dormant Account procedures detailed in Section 4.9 (if relevant) are also applicable for reactivation of ADA's Principal, Wholly Owned Nominee and Non Wholly Owned Nominee account.

B. Reactivation Performed Through CDS eServices Platform

4.9.6 Reactivation of Dormant CDS Account Through CDS eServices

4.9.6.1. Individual depositor registered for CDS eServices may request to reactivate his/her Dormant CDS account through the electronic platform. Such request does not require the depositor to complete any form for the ADA's approval.

Note:

i. To facilitate any reactivation of an Inactive CDS account via CDS eServices, a depositor must have registered bank account information in CDS.

ii. For Non-Malaysian depositors, registration of a Malaysian bank account that offers GIRO services information is optional. Bursa Depository does not allow registration of foreign countries' bank accounts.

4.9.6.2. The depositor opted to reactivate his/her Dormant CDS account through the CDS eServices platform will be required to make the reactivation fee payable through the Financial Processing Exchange (FPX) direct to Bursa Depository bank account.

4.9.6.3. The reactivation of Dormant CDS account will be affected immediately in CDS system once the reactivation fee payable through the FPX is successful.

4.9.6.4. If the reactivation fee transaction through FPX is failed, the affected Dormant CDS account status will remain dormant in CDS system.

4.9.6.5. For all successful reactivation of Dormant CDS account through CDS eServices platform, the invoice (Appendix 92) is printable at ADA office. The ADA is to print and provide the depositor the invoice from the CDS in respect of the fee for the reactivation of dormant account if the depositor request for one.

4.9.7 Generate And Verify The Reactivated Account Report

4.9.7.1 Print the **Reactivated Account Report** (Appendix 50) which highlights depositors' accounts reactivated for the day.

4.9.7.2 The Reactivated Account Report will capture all successful reactivation activities performed through the following modes, as the case may be:

i. WebCDS Online;
ii. CDS eServices;
iii. CDS STP; and
iv. API Gateway.

4.9.7.3 Verify the reactivation made to CDS account(s) for the day is correct.

4.9.7.4 The ADA personnel who checked and verified the report must sign the report.

Note: ADA may opt not to print the Reactivated Account Report for review and verification. Alternatively, ADA may download electronic copy of this report in PDF format and perform the same review and verification. The ADA must ensure that the duly reviewed and verified PDF documents are kept securely in the electronic platform and readily retrievable for any regulatory inspections or audits.

4.9.8 Filing Of Documents

4.9.8.1 File the following documents:-

a. Completed Reactivation Form for reactivation performed at ADA
b. Letters from depositor or listing of affected accounts (if applicable)
c. Reactivated Account Report.

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4.10 Reactivation Of Inactive Account Requests

A. Reactivation Performed At ADA Office

4.10.1 Accepting Reactivation Of Inactive Account Requests

4.10.1.1 Receive completed and duly signed **Application For Reactivation Of CDS Account Form** (Reactivation Form) (Appendix 49) / written request from depositor for each request.

Note:
ADA shall accept and process a physical reactivation form submitted by a depositor who wishes to reactivate an inactive CDS account although the depositor has not provided any bank account details and email address for the affected CDS account. The depositor must provide a handphone number for communication purposes.

4.10.2 Verification Of Reactivation Requests

4.10.2.1 Verify the depositor's signature on the Reactivation Form/letter against the ADA's records of specimen signature(s).

4.10.2.2 Reject if the signature in the Reactivation Form/letter differs.

4.10.2.3 For written request by a depositor, if the signature in the letter matches with the ADA's records of specimen signature(s), the ADA is to complete the Reactivation Form on behalf of the depositor.

4.10.2.4 Affix the ADA's designated rubber-stamp bearing "Reactivation of account due to account holder's written request" at the space marked "Signature of Depositor / Authorised Signatories / Attorney(s)".

4.10.2.5 Affix the ADA's company rubber-stamp in the Reactivation Form at the space marked "to be completed by ADA/ADM".

4.10.2.6 Ensure the "verified by" column is completed by the ADA personnel who performed the verification.

4.10.2.7 Ensure the "approved by" column is completed by the ADA's authorised signatory(ies) before data entry.

4.10.2.8 Every amendment made on the form must be countersigned by the depositor 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.

4.10.2.9 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.

4.10.2.10 Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).

4.10.3 <u>Keying-In Reactivation Requests</u>

4.10.3.1 The ADA may perform the reactivation of CDS accounts in the following manner:

i. WebCDS online;
ii. File upload through CDS STP; or
iii. API Gateway.

Note: For the procedure for submitting the reactivation request through CDS STP or API Gateway, please refer to the respective systems technical file specification which will be made available upon request from Bursa Depository.

4.10.3.2 Key-in depositor's CDS account number through the "Account Maintenance" screen. Retrieve the depositor's details and check against the details stated in the Reactivation Form/letter.

4.10.3.3 Reject if the particulars differ and state the reason(s) for rejection.

4.10.3.4 Proceed to update the status of the depositor's account.

4.10.3.5 Ensure that the "reactivated by" and "reactivated on" columns are completed by the ADA personnel who performed the data entry.

Note: *The data entry personnel must not be the same person approving the reactivation request.*

4.10.3.6 Forward a copy of the Reactivation Form to the depositor upon completion of the updating process.

4.10.3.7 Do not send the completed Reactivation Form to Bursa Depository.

4.10.4 Reactivation Of Principal And Wholly Owned Nominee Account Of The ADA

4.10.4.1 To complete a separate Reactivation Form for reactivation of ADA's Principal and its Wholly Owned Nominee accounts respectively.

4.10.4.2 ADA may use a single Reactivation Form to reactivate multiple CDS accounts of the ADA i.e. principal or its wholly owned nominee accounts. The following are required to be submitted to Bursa Depository:

a. A letter from the ADA if the request is related to its principal accounts or from the appropriate nominee company if the request is related to any of its wholly owned nominee accounts. The letter needs to state the ADA's or the appropriate nominee company's intention to reactivate multiple inactive CDS accounts using a single Reactivation Form together with an attached listing detailing the following:

i. The number of inactive CDS accounts to be reactivated.

ii. CDS account numbers

iii. Account Qualifier

b. A duly completed Reactivation Form. Indicate "To reactivate all CDS accounts as per the authorised list attached" at the CDS Account Number" column and "Refer to authorised list attached" at the "Account Qualifier" column of the reactivation form.

c. The request letter, Reactivation Form and each page of the listing must be signed by the authorised signatories as stated in the ADA's principal or its wholly owned nominee's Board Resolution.

Note: Procedures related to bulk reactivation of active CDS accounts is also applicable to nominee companies that are not wholly owned by the ADA.

4.10.4.3 Verify the Reactivation Form for completeness before proceeding to key in the reactivation request into CDS.

4.10.4.4 Upon executing the relevant updates in CDS, the ADA is not required to send the Reactivation Form to Bursa Depository.

4.10.4.5 All the other reactivation of Inactive Account procedures detailed in Section 4.10 (if relevant) are also applicable for reactivation of ADA's principal, wholly-owned nominee and non-wholly owned nominee account.

B. Reactivation Performed Through The CDS eServices Platform

4.10.5 Reactivation of Inactive CDS Account Through CDS eServices

4.10.5.1. Individual depositors registered for CDS eServices may request to reactivate his/her Inactive CDS account through the electronic platform. Such a request does not require the depositor to complete any form for the ADA's approval.

4.10.5.2. The reactivation of the Inactive CDS account will be affected immediately in the CDS system once the request is successfully submitted through the CDS eServices Platform.

Note:

i. A depositor needs to have registered his/her bank account information in CDS in order to facilitate any reactivation of an Inactive CDS account via CDS eServices.

ii. For Non-Malaysian depositors, registration of a Malaysian bank account that offers GIRO services information is optional. Bursa Depository does not allow registration of foreign countries' bank accounts.

4.10.6 Generate And Verify Reactivated Account Report

4.10.6.1 Print Reactivated Account Report, which highlights depositors' accounts reactivated for the day.

4.10.6.2 The Reactivated Account Report will capture all successful reactivation activities performed through the following modes, as the case may be:

i. WebCDS Online:
ii. CDS eServices:
iii. CDS STP: and
iv. API Gateway .

4.10.6.3 Verify the reactivation made to CDS account(s) for the day is correct.

4.10.6.4 The ADA personnel who checked and verified the report must sign the report

Note: ADA may opt not to print the Reactivated Account Report but download electronic copies of this report in PDF form for review and verification. Should ADA adopt this method for the review and verification process, the ADA must ensure that the PDF documents are kept securely together with the evidence of the review and verification work performed for the Bursa Depository's auditing purpose.

4.10.7 Filing Of Documents

4.10.7.1 File the following documents:-

a. Completed Reactivation Form for reactivation performed at ADA
b. Letters from depositors or listing of affected accounts (if applicable).
c. Reactivated Account Report.

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4.15 CDS Statement and Notices

4.15.1. CDS Statement of Accounts

Bursa Depository has an obligation to issue statements of accounts ("**CDS Statements**") to all depositors in respect of their deposited securities held in its custody, pursuant to Section 26(1) of Securities Industry (Central Depositories) Act 1991 ("**SICDA**").

Depositors who have provided an email address to Bursa Depository will receive electronic CDS Statements (eStatement) while those depositors who have not provided an email address will receive CDS Statements through postal mail, save for depositors who fall within the Specified Depositor Categories under section 4.15.3.2.

CDS eServices refers to the Bursa Anywhere Mobile App and MyBURSA portal. During the CDS eServices registration process, depositors must provide a valid email address and handphone number (for individual depositors) to Bursa Depository for authentication purposes.

CDS Statements are issued in the following manner:

4.15.1.1. Active Account

Type of statement	Frequency and mode of delivery
eStatement	Via Email i. The CDS Statement will be sent to the depositor in the month following any debit or credit entries in the depositor's CDS account. ii. Bursa Depository will send the CDS Statements to the email address provided by the depositor to Bursa Depository. iii. Where there are deposited securities in the depositor's CDS account but no debit or credit entry in the depositor's CDS account since the date of issuance of last CDS Statement, Bursa Depository will issue CDS Statements on a half-yearly statement basis via email in the months of June and December. iv. No CDS Statement will be sent via email if the CDS account has no securities deposited, and there are no debit or credit entries in the CDS account in the previous month.

Type of statement	Frequency and mode of delivery
eStatement	Via CDS eServices i. CDS Statements will be made available to the depositor on CDS eServices on a monthly basis where there are deposited securities in the depositor's CDS account.
Hardcopy Statement	Via Postal Mail i. CDS Statements will be sent to the depositor in the month following any debit or credit entries in the depositor's CDS account. ii. Bursa Depository will send the CDS Statements to the correspondence address provided by the depositor to Bursa Depository. iii. Where there are deposited securities in the depositor's CDS account but no debit or credit entry in the depositor's CDS account since the date of issuance of the last CDS Statement, Bursa Depository will issue CDS Statements on a half-yearly basis via postal mail in the months of June and December. iv. No CDS Statement will be sent via postal mail if the CDS account has no securities deposited, and there are no debit or credit entries in the CDS account in the previous month.

4.15.1.2. Inactive Account

Type of statement	Frequency and mode of delivery
eStatement	Via Email i. The CDS Statements will be sent to the depositor yearly, in the month of December. ii. Bursa Depository will send the CDS Statements to the email address provided by the depositor to Bursa Depository. iii. No CDS Statement will be sent via email if the CDS account has no securities deposited and there are no debit or credit entries in the CDS account in the previous month.

Type of statement	Frequency and mode of delivery
eStatement	Via CDS eServices i. CDS Statements will be made available to the depositor on CDS eServices on a monthly basis where there are deposited securities in the depositor's CDS account.
Hardcopy Statement	Via Postal Mail i. CDS Statements will be sent to the depositor in the month following any debit or credit entries in the depositor's CDS account. ii. Where there are deposited securities in the depositor's CDS account but no debit or credit entry in the depositor's CDS account since the date of issuance of the last CDS statement, Bursa Depository will issue CDS Statements on a yearly basis via postal mail in the month of December. iii. No CDS Statement will be sent via postal mail if the CDS account has no securities deposited and there are no debit or credit entries in the CDS account in the previous month.

4.15.1.3. Dormant Account

No CDS Statement will be issued for Dormant CDS accounts.

4.15.1.4. Nominee Account

For depositors having opened nominee CDS accounts, they shall obtain their CDS Statements from the respective nominee company(ies).

4.15.2. CDS Notices

Bursa Depository issues CDS notices for the following CDS transactions executed by the depositors. The notices are issued electronically to depositors who have provided an email address to Bursa Depository while those depositors without an email address will receive the CDS notices through postal mail, subject to the depositors falling within the Specified Depositor Categories under section 4.15.3.2.

No	Module	Type of Notices
1	Account Management Module	Account Opening Notice
2		Rejection of Account Closure Notice
3		Updating of Account Particulars Notice
4		Updating of Bank Account Information Notice
5		Confirmation of Receipt of Email Address for eStatement Notice
6		eDividend Particular Notice
7		Inactive Account Notice
8		Dormant Account Notice
9		Account Re-Activation Notice
10		Account Suspension Notice
11		Securities Suspension Notice
12		Notification on Termination of ADA Branch offices
13		Notification on Conversion of CDS account
14		Notification on Merger of ADA Branch offices
15		Rejected eDividend Payment Notice
16		Rejection of Registration Email Address Notice
17		Rejection of Account Suspension Notice
18		Rejection of Securities Suspension Notice
19	Deposit Module	Reinstatement of Deposited Scrip Notice
20		Rejection of Securities /Scrip Deposit Notice
21	Transfer Module	Transfer Notice
22		Transfer Cancellation Notice
23	Withdrawal Module	Securities Withdrawal Notice

4.15.2.1. The CDS notice is issued to a depositor as and when the depositor performs a CDS transaction.

4.15.2.2. CDS Notices of all depositors except for transactions performed under the nominee CDS account, will be made available on MyBURSA portal for depositors to view and download.

4.15.3. Mandatory Adoption of eStatement

4.15.3.1 Effective 25 August 2025 Bursa Depository will cease sending hardcopy CDS Statements to the depositors except for Specified Depositors mentioned in 4.15.3.2 and to depositors who subscribe for additional CDS Statements (refer to 4.15.5).

Bursa Depository will continue issuing CDS Statements via email for depositors who have provided their email addresses to Bursa Depository and continue to make CDS Statements available on the MyBURSA portal.

Note. : *Body corporate depositor with an email address in CDS will continue to receive CDS Statements via email, whilst those without email addresses in CDS will receive their CDS Statements by postal mail.*

4.15.3.2 Specified Depositors as follows may receive or continue receiving hardcopy CDS Statements, subject to the conditions set by the Bursa Depository:

No.	Specified Depositors	Conditions
1.	Depositor with disability(ies) as prescribed in the "***Garis Panduan Pendaftaran Orang Kurang Upaya***" by ***Jabatan Pembangunan Orang Kurang Upaya, Jabatan Kebajikan Masyarakat***. [www.moh.gov.my/index.php/database_stores/store_view_page/68/55]; and Reliance on any other disability subject to Bursa Depository's approval	The depositor must produce i. OKU card at the ADA office; or ii. Letter from a registered medical professional confirming the disability of the depositor. The letter must be addressed to Bursa Depository. ADA may refer to the ***Revised Guideline on Conduct for Capital Market Intermediaries*** issued by the Securities Commission for more information on dealing with vulnerable depositors. [https://www.sc.com.my/regulation/guidelines/conduct-for-capital-market-intermediaries].
2.	Depositors of Senior Age	i. Depositor aged 70 years old and above as at the implementation year of 2025, and who has not provided a valid email address to Bursa Depository shall continue to receive hardcopy CDS Statements free of charge.

No.	Specified Depositors	Conditions
	Depositors of Senior Age (con't)	Depositors who have provided a valid email address will continue to receive eStatement via email instead of hardcopy CDS Statements. ii. Depositor aged 65 to 69 years old as at the implementation year 2025, and who has not provided a valid email address to Bursa Depository, will be provided eStatement which can be accessed through CDS eServices. If a depositor aged 65 to 69 years old in this category requests for hardcopy CDS Statements, it will be provided for free of charge upon the depositor submitting the duly completed "Request For Hardcopy CDS Statements" prescribed form. Note: a) For Malaysian depositor, the ADA shall validate the age against the New NRIC number in CDS, hence no supporting document is required. b) If the Malaysian depositor identification number in CDS is not the new NRIC number, the ADA should advise the depositor to update his/her identification number to the new 12 digits New NRIC number. c) As for non-Malaysian, request the depositor to provide a copy of the latest passport or any documents issued by the government that has the depositor's date of birth.

No.	Specified Depositors	Conditions
	Depositors of Senior Age (con't)	A depositor aged 65 to 69 years old as at the implementation year 2025, who has provided a valid email address will continue to receive eStatement instead of hardcopy CDS Statement.
3.	Depositors residing or located in an area with no or poor internet penetration	Depositor who is residing or located in an area with no or poor internet connection i.e. internet penetration rate of below 90% based on the Department of Statistics Malaysia (DoSM) official data shall submit the duly completed Request for Hardcopy CDS Statements form **(Appendix 105)** attached with supporting documents such as a utility bill in the name of the depositor. The ADA must ensure that the billing address on the utility bill corresponds to the correspondence address of the depositor in CDS.
4.	Other factors	Bursa Depository will consider requests for hardcopy CDS Statements that do not fall into the above categories, on a case-by-case basis. Hardcopy CDS Statements will be provided free of charge if the written request is approved by Bursa Depository.

Note: i. Internet penetration rate refers to percentage of individuals using Internet by district, as reported by the DoSM. Therefore, an internet penetration rate of below 90% would refer to areas where less than 90% of the population has access to internet.

ii Bursa Depository will share the list of internet penetration rates from DOSM at least once a year with the ADA.

4.15.3.3 Foreign depositor who is residing or located outside Malaysia will be provided with eStatement at the implementation date until and unless the foreign depositor provides proof that they fall under the Specified Depositors categories.

4.15.3.4 Depositor who does not fall under the Specified Depositors categories above and who prefers to continue receiving hardcopy CDS Statements via postal service, may choose to receive hardcopy CDS Statements for a period of 12 months for a nominal annual subscription fee payable in advance. The quantum is available in the Schedule of Fees on Bursa Website.

4.15.3.5 An existing depositor who has provided an email address to Bursa epository is not allowed to request for hardcopy CDS Statements unless the depositor provides evidence that they are a Specified Depositor under 4.15.3.2 (1), (3) and (4) or subscribe to additional Hardcopy CDS Statements.

4.15.4. Request for Hardcopy CDS Statements

4.15.4.1 Receive the following from the depositor and sight the original identification documents of the depositor:

a. Duly completed **Request for Hardcopy CDS Statements** form **(Appendix 105);** and

b. NRIC or Passport or other form of acceptable identification documents issued by Jabatan Pendaftaran Negara; or

c. OKU card or original letter from a registered medical professional confirming the disability of the depositor; or

d. Utility bill in the name of the depositor with the correspondence address matches with the correspondence address in CDS.

Note i. A depositor who is unable to present in person can submit his/her duly completed Request for Hardcopy CDS Statement form either by email or through his/her Dealer's Representative to the ADA office.

The ADA shall do reverse confirmation with the depositor who submitted his/her request via email.

For depositors present in person, after verifying the request, the ADA is required to make a copy of the supporting document mentioned under (b), (c) and (d) whichever is applicable above and attach to the form.

4.15.5. Subscription for Hardcopy CDS Statements

4.15.5.1. Depositors may subscribe to hardcopy CDS Statements for a period of 12 months. The annual subscription fee is payable in advance.

Note: The subscription fee for this service is available in the Schedule of Fees on Bursa Website. The fee is waived for depositors under the Specified Depositors categories.

4.15.5.2. The subscription fee is imposed based on CDS statements issued for each direct CDS account in the depositor's name. If the depositor has opted for consolidation of CDS Statements then the fee imposed will be for one CDS Statement for the consolidated CDS Statements.

4.15.5.3. The subscription for hardcopy CDS Statements will not be automatically renewed upon the expiry of the 12-month subscription period. Bursa Depository will issue a reminder notice one month before the expiry of the subscription period to the depositor's correspondence address in CDS.

4.15.5.4. The depositor is required to submit a new request form to the ADA and pay the annual subscription fee in advance in order to continue receiving the hardcopy CDS Statements prior to the expiry of the existing subscription.

4.15.5.5. No refund of subscription fees will be given to the depositor should the depositor decide to stop receiving hardcopy CDS Statements during the subscription period and choose to receive eStatement by providing an email address to Bursa Depository.

4.15.6. Verification of Request for Hardcopy CDS Statements

4.15.6.1. Verify the supporting documents to authenticate the applicant's identity for depositors who appear in person.

4.15.6.2. Verify the particulars completed in the Request for Hardcopy CDS Statements form **(Appendix 105)** against the supporting documents (for Specified Depositors under items 1, 3, and 4 of section 4.15.3.2) and signature of the depositor.

4.15.6.3. Reject the request form if it fails the verification process.

4.15.6.4. The ADA is to file the duly processed request forms and supporting documents (if any) for Bursa Depository's audit purposes.

4.15.6.5. Do not send the form and supporting documents to Bursa Depository, unless a request is raised by Bursa Depository to the ADA.

4.15.7. Keying-In the Request Data Into The CDS By First (1st) Level User

4.15.7.1 Key in the depositor's request into CDS via the "Statements Maintenance" screen.

Note: In the case of an individual depositor who is a Malaysian, where the depositor has not updated his/her new NRIC number in CDS, request the depositor to perform the updating of 12 digits new NRIC number before proceeding with the Request for Hardcopy CDS Statements.

4.15.7.2 Ensure that all particulars on the Request for Hardcopy CDS Statements form **(Appendix 105)** have been verified and entered correctly into the Statements Maintenance screen on WebCDS before confirming the data entry.

4.15.7.3 Ensure the "data entry by" column on the Request for Hardcopy CDS Statements form **(Appendix 105)** is completed by the ADA personnel who performed the data entry.

Note: The data entry personnel must not be the same person who approved the transactions.

4.15.8. Confirmation Of Requesting Hardcopy CDS Statements Data by Second (2nd) Level User

4.15.8.1. The 2nd level user to retrieve the request via the Unattended Request List to verify against the Request for Hardcopy CDS Statements form **(Appendix 105)**.

4.15.8.2. Verify and ensure the data captured under the Statements Maintenance screen is correct before confirming and approving the request.

Note: The 2nd level user is required to confirm the data entered by the 1st level user, latest by the next market day. Failing which, the data entered will be removed from the system and users have to re-enter the information if they need to process the request.

4.15.8.3. If there is any error or discrepancy in the depositor's information in the Statements Maintenance Screen, return the request form to the data entry staff to amend the data entered.

4.15.8.4. If the 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 Request for Hardcopy CDS Statements form **(Appendix 105)**.

4.15.8.5. The ADA is to file the duly processed request form and supporting document (if any) for Bursa Depository's audit purposes. Do not send the form and supporting documents to Bursa Depository, unless a request is raised by Bursa Depository to the ADA.

4.15.8.6. The ADA is to print and provide the invoice (Appendix 92) to the applicant from the CDS in respect of the fees paid for the subscription of Hardcopy CDS Statements unless the applicant indicates he/she 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.

4.15.8.7. 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 in reconciling the amount collected for all the CDS transactions initiated on the previous day. The report can be printed by type of CDS transaction, by account type, and by a specific period.

4.15.9. Acknowledgement Receipt of Request for Hardcopy CDS Statements Form

4.15.9.1 Receive the request form and subscription fee from the depositor.

Note: No subscription fee is charged for Specified Depositors under 4.15.3.2 who are requesting the hardcopy CDS Statements.

4.15.9.2 Return a copy of the request form to the depositor as acknowledgment.

4.15.9.3 The ADA must maintain proper records of all Request for Hardcopy CDS Statements forms together with the relevant supporting document(s), wherever applicable upon receipt of the subscription fees.

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BURSA MALAYSIA

BURSA MALAYSIA DEPOSITORY SDN BHD

REGISTRATION NO. 198701006854 (165570-W)

PERMOHONAN UNTUK SALINAN FIZIKAL PENYATA CDS

Request for Hardcopy CDS Statements

Untuk diisi oleh pendeposit *To be completed by depositor*

Pangkah (X) yang berkenaan / *Cross (X) where applicable*

NOMBOR AKAUN CDS: *CDS ACCOUNT NUMBER* :

☐☐☐ - ☐☐☐ - ☐☐☐☐☐☐☐☐☐

NO. KP. LAMA / PASPORT / ANGGOTA TENTERA / POLIS / PENDAFTARAN:*
*Old NRIC / Passport / Armed Forces / Police Personnel / Reg. No.:**

NO. KP. BARU:
New NRIC Number:

☐☐☐☐☐☐ - ☐☐ - ☐☐☐☐

NAMA PENDEPOSIT *Name of Depositor*

Sebab permintaan salinan fizikal / *Reason for request hardcopy*

☐ Warga Emas (65 sehingga 69 tahun) pada tahun 2025 / Senior *Age (65 to 69 years old) as at Year 2025*

☐ Pendeposit kelainan upaya / *Depositor under disability conditions*

☐ Tinggal di kawasan dengan perkhidmatan internet yang lemah / *Living in area with poor internet services*

☐ Faktor lain untuk pertimbangan Bursa Depositori / *Other factor for Bursa Depository's consideration*

Dokumen sokongan / *Supporting documents* Ya / *Yes* ☐ Tidak / *No* ☐

☐ Salinan tambahan / *Request for Hardcopy Statements as additional copy*

Tarikh mula / *Start date* ☐☐ - ☐☐ - ☐☐☐☐

Tarikh tamat / *End date* ☐☐ - ☐☐ - ☐☐☐☐

* Saya / Kami dengan ini ingin melanggan salinan fizikal Penyata CDS.
** I / We hereby wish to subscribe for hardcopy CDS Statements.*

*TANDATANGAN PENDEPOSIT / PENANDATANGAN DIBERIKUASA
** Signature of Depositor / Authorised Signatories*

TARIKH
Date

UNTUK KEGUNAAN PEJABAT SAHAJA *For Office Use Only*

Untuk diisi oleh ADA / ADM* / *To be completed by ADA / ADM**

BAYARAN DITERIMA (untuk salinan tambahan)
Payment received (for additional copy)

☐ YA *Yes* RM : _____

☐ TIDAK / DIKECUALIKAN *No / Waived*

DISAHKAN OLEH : _____ TARIKH : _____
Verified By *Date*

DILULUSKAN OLEH : _____ TARIKH : _____
Approved By *Date*

DATA DIMASUKKAN OLEH : _____ TARIKH : _____
Data Entry By *Date*

*POTONG YANG TIDAK BERKENAAN **Delete where inapplicable*

Annexure 3

Amendments to CDS Guide for Depositor

This chapter stipulates the procedures to be complied with by the depositor with respect to opening, formalisation, reactivation and closing of CDS account.

2.1 Opening Of CDS Account

2.1.1 Eligible / Ineligible Categories

ELIGIBILITY CATEGORIES	INELIGIBILITY CATEGORIES
• An individual who has attained the age of eighteen (18) years as of the application date • A corporation incorporated under Companies Act 2016 • 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 • A society under any written law relating to co-operative societies • A trustee or trust corporation duly constituted under any written law relating to co-operative societies • A society registered under the Societies Act 1966 • Statutory bodies incorporated under an Act of Parliament. • A limited liability partnership within the meaning of section 2 of the Limited Liability Partnerships Act 2012.	• A person who has been adjudicated a bankrupt under the Bankruptcy Act 1967 and remains an undischarged bankrupt at the time of application • A "mentally disordered person" within the meaning of the Mental Disorders Ordinance 1952 • A partnership within the meaning of the Partnership Act 1966 • A sole proprietorship cannot open an account in the name of the sole proprietorship but can open an account in his own personal capacity • A person who is not a beneficial owner or not an authorised nominee of the deposited securities.

2.1.2 Procedures To Open CDS Account For Individual Depositor At The ADA Office

For a new applicant opening a CDS account for the first time, email address and handphone number (where applicable) are mandatory information and must be provided to the ADA during the account opening process. However, the requirement for email address is optional to an applicant who falls under the Specific Depositors category mentioned under section 5.2.7.4 of Chapter 5 of this CDS Guide for Depositor, and to the applicant who subscribes to hardcopy CDS statements.

Existing depositor who has opened a CDS account before 1 September 2019, may or may not provide an email address during the subsequent CDS account opening process with a different ADA. However, the depositor must provide his/her handphone number in CDS for communication purposes.

Both the email address and handphone number shall be mandatory information should the new applicant or existing depositor opts to open a subsequent new CDS account through CDS eServices. By registering the email address in CDS, the depositor will receive electronic notification instead of hardcopy notification or communication in relation to the following:

i. CDS statements of accounts, CDS notices, and other communication from Bursa Depository; and

ii. as and when the service becomes available and the relevant persons such as issuers of securities or Participating Organisations ("POs") elect to use such service, notices, and communication in relation to the depositor's deposited securities from such issuers, POs or other entities within Bursa Malaysia Berhad's Group of Companies.

Registering bank account details for eDividend services is mandatory for Malaysian citizens, Permanent Residents of Malaysia, and Malaysian incorporated/registered entities during account opening.

2.1.2.1 Individual applicant must submit the following for each individual account opening request to the ADA:-

a. A completed and duly signed **CDS Account Form (FMN070)** (Appendix 1) together with the account opening fee. The beneficial ownership declaration in the "Declaration By Applicant" column in FMN070 must be properly completed.

b. The Account Opening fee is RM10 per CDS account.

c. Malaysian individual applicant - Two (2) copies of NRIC or other forms of acceptable identification documents issued by Jabatan Pendaftaran Negara / Authority Card (for Armed Forces / Police Personnel); or

d. Foreign individual applicant – Two (2) copies of passport (primary identification document) or home country National Registration Identity Card / National Health Insurance Card / Social Security Card / any other documents subject to Bursa Depository's approval on a case-by-case basis

e. A copy of supporting document that captures the applicant's name, New NRIC number, and Tax Identification Number (TIN) assigned by the Inland Revenue Board of Malaysia (IRBM) if the applicant wishes to register the TIN in his CDS account.

f. Power Of Attorney (if applicable). Please refer to **Appendix 2** on the **Usage Of Power Of Attorney**.

2.1.2.2 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. Please refer to Chapter 10 on procedures for affixation of Jurat Clause.

2.1.2.3 If the Authorised Depository Agent waives the requirement for the presence of the individual before the Authorised Depository Agent, the individual may execute the FMN070 in the presence of any one of the following persons:-

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;

b. Authorised officer of the Authorised Depository Agent;

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. Commissioners for oaths in any jurisdiction;

f. Justice of the Peace in any jurisdiction;

g. Notary public in any jurisdiction;

h. Officer of a registered person referred to under the third column of Item 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 item 1(b);

i. Authorised officer of

(a) a licensed bank as defined in the Banking and Financial Institutions Act 1989; or

(b) an Islamic bank licensed under the Islamic Banking Act 1983,

and with which the individual holds an account;

j. Person 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 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

k. Such other persons as may be approved by Bursa Depository from time to time provided that notification of such approval is forwarded to the Securities Commission within three (3) market days from the date of such approval.

2.1.2.4 Applicant must ensure that the FMN070, photocopy of the identification documents and other supporting documents (if any) are certified by the same person as per item 2.1.2.3.

2.1.2.5 Once the CDS account has been opened, applicant to receive the depositor copy of the FMN070 from the ADA. The FMN070 must contain the CDS account number that has been generated from the CDS.

2.1.2A **<u>Procedures To Open CDS Account For Individual Depositor Through CDS eServices Platform</u>**

2.1.2A.1 Individual applicant must download the Bursa Anywhere Mobile Apps and select the "Open a CDS account" option and complete the required information and make payment for the account opening fee through Paynet's FPX system.

2.1.2A.2 The account opening fee is RM10 per account.

2.1.2A.3 Applicant will be required to upload the image of his/her MyKad as the primary supporting document for the application.

2.1.2A.4 For eDividend registration, no supporting document is required.

2.1.2A.5 Applicant is not required to physically sign the application as the application will be binded with Digital Signature once the ADA has approved the application.

2.1.2A.6 Once the application to open the account is approved by the ADA, a copy of the application form digitally signed with the CDS account number will be provided to the applicant through the email address registered in CDS.

2.1.3 Procedures To Open CDS Account For Corporate Depositor

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

Note: The applicant (Malaysian incorporated/registered company) must provide bank account details and email address when opening a new CDS account for the first time. For foreign incorporated company, providing bank account detail is optional.

2.1.3.1 Corporate applicant must submit the following for each corporate account opening request:-

a. A completed and duly signed FMN070,

b. An Account Opening fee of RM10 per CDS account and

c. An original certified true copy of the following or its equivalent:-

i. Board Resolution (Please refer to **Appendix 3** on **Criteria For Board Resolution**)

ii. Document(s) evidencing the incorporations or registration of the company, the company's current name and registration number.

iii. Documents evidencing the ownership of the company e.g. the latest return of allotment of shares or annual return.

d. A certified copy of the supporting document of the corporate applicant's that captures the name, corporate new 12-digit business registration number, TIN assigned by IRBM, and Sales and Service Tax numbers if the corporate applicant wants to capture the TIN and SST information in its CDS accoun

Note: Body corporate acting as Authorised Nominee to hold securities on behalf of a beneficial owner, must request the beneficial owner to provide supporting documents such as copies of NRIC/Passport/documents shown its registration and ownership.

e. Power Of Attorney (if applicable). Please refer to **Appendix 3** on the **Usage Of Power of Attorney**.

2.1.3.2 For detail requirements on other corporate depositors i.e. trust foundation, society registered under the Societies Act 1966 and Co-operatives Act 1993 and foreign incorporated companies, please refer to **Appendix 4** on **Checklist For Opening Of Account For Trust Foundation, Society, Statutory Body and Foreign Incorporated Companies**.

2.1.3.3 For corporate depositor, the FMN070 and original certified true copies of the list of authorised signatory(ies) should be executed by the signatory(ies) as authorised by the corporate body's Board Resolution / Power of Attorney / Trust Deed / Minutes of Meeting.

2.1.3.4 All applicants must sign two (2) original certified true copies of the list of authorised signatory(ies) specimen signature(s) in accordance with the Board Resolution / Power of Attorney / Trust Deed submitted.

Photocopies of these specimen signature(s) are not allowed.

2.1.3.5 Where facsimile signatures are to be used on any of the CDS form executed by the corporate applicant, the applicant is to ensure:-

a. The provision in the Articles of Association authorising execution of documents by way of facsimile signature

b. Furnish to the ADA an original certified true copy 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 Bursa Depository

iii. The names of the authorised signatories who will be signing the Letter Of Indemnity.

c. Furnish the ADA the specimen facsimile signatures of the Authorised Signatories

d. Furnish the ADA the original stamped copy of the **Letter Of Indemnity For Facsimile Signatures** (Appendix 5) addressed to Bursa Depository.

2.1.3.6 Once the CDS account has been opened, applicant to receive the Applicant copy of the FMN070 from the ADA. The FMN070 must contain the CDS account number that has been generated from the CDS system.

2.2 Formalisation Of Centrally Opened Accounts

Centrally Opened Account is a CDS account opened arising from Initial Public Offering (IPO). Once a centrally opened account was opened for the successful applicant for an IPO, Bursa Depository will issue a Centrally Account Opening Notice to notify the successful applicant. However, central opened account has been terminated on 1 December 2003.

2.2.1 Procedures To Formalise Centrally Opened Accounts

2.2.1.1 The procedures for formalisation of centrally opened accounts are the same as item 2.1.

2.3 Reactivation Of Dormant / Inactive CDS Account

CDS account will be designated as inactive or dormant account when there have not been any debit or credit entries in the depositor's securities account for at least thirty-six (36) months from the date of last entry made in the securities account.

CDS depositors may reactivate the dormant or inactive account through their ADA or CDS eServices electronic platform.

2.3.1 Procedures To Reactivate Dormant / Inactive CDS Accounts Through ADA

2.3.1.1 Depositor to complete and sign the **Application For Reactivation Of CDS Account Form (Reactivation Form)** (Appendix 6) or write to the ADA for each request.

2.3.1.2 Depositor to pay Reactivation fee of RM5 for reactivation of dormant account.

2.3.1.3 Depositor will receive a copy of the Reactivation Form from the ADA upon completion of the reactivation process

Note:
Depositor may submit a physical reactivation form to reactivate his/her CDS account without the need to provide eServices details such as bank account details and email address if such information is not available in the CDS account. However, the depositor must provide a handphone number in his/her CDS account for communication purposes.

2.3.2 Inter Branch Transactions

Depositor is allowed to request for reactivation of dormant/inactive CDS account via Inter-Branch Transaction.

2.3.3 Through CDS eServices

2.3.3.1. Depositors registered for CDS eServices may reactivate his/her Dormant or Inactive CDS accounts through the Bursa Anywhere Mobile Application.

2.3.3.2. Depositor is required to pay a fee of RM5 for reactivation of dormant CDS accounts through PayNet's FPX system.

2.3.3.3. Depositor will receive email and inbox notifications in Bursa Anywhere Mobile Application upon successful reactivation.

Note:

i. A depositor must maintain registered bank account information in CDS in order to facilitate any reactivation of CDS accounts via CDS eServices.

ii. For non-Malaysian depositors, registration of a Malaysian bank account that offers GIRO services information is optional. Bursa Depository does not allow registration of foreign countries' bank accounts.

2.4 Closing Of CDS Accounts

Depositor may close his/her CDS account provided that there is no balance, outstanding trade transaction and corporate action in the said CDS account.

Closure of CDS account can be authorised by:-

a. The depositor
b. Bursa Depository.

2.4.1 Procedures To Close CDS Account By Depositor

2.4.1.1 A depositor may request to close his CDS account by way of:-

a. Completing the **CDS Account Form (FMN070)** in person before the ADA or

b. Sending the completed FMN070 to the ADA, or

c. Writing a letter to the ADA stating his/her request to close the CDS account.

2.4.1.2 Depositor to ensure that the date on FMN070 is not post dated. However, the effective date to close the account may be post dated.

2.4.1.3 Applicant may receive the Applicant copy of the FMN070 from the ADA once the account has been confirmed closed.

2.4.1.4 Bursa Depository will only send a notice to the depositor whose application has been rejected.

2.4.2 Inter Branch Transaction

Depositor is allowed to request for closing of CDS account via Inter Branch Transaction.

2.4.3 Procedures To Close CDS Account For Deceased Depositor (With Nil Balance)

2.4.3.1 In the event of the death of a CDS depositor, the following person (hereinafter known as "the applicant") can apply for the closure of the deceased depositor's CDS account.

a. Next-of-kin of the deceased (please note that the request may be made according to the next-of-kin hierarchy laid down in **Appendix 7**, **Checklist For Request For Suspension Of Deposited Securities In A Deceased Depositor's CDS Account,** Items 1(a) and (b)

b. Personal Representative of the Estate of the Deceased pursuant to a Grant Of Representation

c. Official Administrator appointed by the Court.

2.4.3.2 The applicant is to notify Bursa Depository in writing of the death of the depositor and request for the CDS account of the deceased to be closed.

2.4.3.3 The request should be accompanied by a set of the following documents, duly certified by a person stated in the List Of Acceptable Witnesses in Chapter 10:-

a. Grant of Probate or Letter of Administration or Distribution Order, where applicable, or

b. Court Order, and

c. Death Certificate, and

d. Applicant's NRIC.

2.4.3.4 Bursa Depository will authorise the closure of the deceased depositor's account after due verification that the written notice and the supporting documents are in order and provided that there are no shares standing to the credit in the deceased person's CDS account.

2.4.4 Procedures To Close CDS Account For Deceased Depositor (With Balance)

2.4.4.1 The relevant procedures can be found in Chapter 9 – Transmission Of Title On Death, Bankruptcy, Winding-Up And Receivership Of A Company.

2.4.5 Automatic Closure Of Dormant Account

Pursuant to Rule 26.06A(1), Bursa Depository may proceed to close a dormant account with Nil balance as defined in Rule 26.10(1)(a) upon expiry of the 4th year of such account being designated as dormant.

Automatic Closure of Dormant Account is a yearly undertaken by Bursa Depository to automatically close dormant accounts maintained in the Central Depository System which fulfil the following criteria:

a. There are no securities in such account; and
b. There have not been any debit or credit entries in such accounts for at least seven (7) consecutive years prior to the date of the closure.

Depositor will have an option to enquire on whether they have any dormant CDS account that is affected by the closure exercise by enquiring via Bursa Malaysia Berhad's website at www.bursamalaysia.com. This information will available in the website one (1) month before the closure. Alternatively, depositor can also make enquiry with the respective stock broker where his affected dormant CDS account is maintained.

If the depositor wishes to maintain the affected dormant account to deal in securities listed on Bursa Malaysia Securities Berhad, including subscribing for an initial Public Offering (IPO), depositor can re-activate the affected dormant account before the closure to avoid any rejection. Kindly, refer to item 2.3 for the procedures of re-activation of dormant account.

However, if depositor does not re-activate his CDS account prior to the closure, the affected dormant account will be automatically closed by Bursa Depository without any further notification being sent to the depositor in respect of such closure.

Once the affected dormant account has been closed, depositor can make enquiry on the closed affected dormant account via Bursa Malaysia Berhad's website at www.bursamalaysia.com. Alternatively, depositor can also make enquiry on the closed affected dormant account from the respective stock broker where he maintains his closed affected dormant account.

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This chapter stipulates the procedures to be complied with by the depositors with respect to updating of signature/signatories and updating of depositor's particulars.

3.1 Updating Of Signature / Signatories

A depositor, whether an individual or corporate body may at one time or another, update their signature / signatories.

Updating of signature of individual depositor may be done by way of:-

a. An individual depositor being present in person at the ADA to update his/her signature with a letter requesting for the signature to be updated

b. Tendering a written request to the ADA stating that an individual depositor is suffering from a critical medical condition which prevents him/her from present in person to update his/her signature

c. An individual depositor, being unable to recall his/her "old" signature or due to "signature evolution" is unable to reproduce his/her "old" signature, present in person to update his/her signature with a written request.

3.1.1 Procedures To Update Signature For Individual Depositor Appearing In Person

The individual depositor must be present in person before the ADA where the depositor's CDS account is maintained to request for an update of his/her signature and submit the following documents:-

3.1.1.1 Two (2) letters from the individual depositor officially expressing his/her intention to update his/her signature. The letter should include:-

a. The depositor's CDS account number

b. The "old" signature must be on the letter

c. The effective date of the new signature (optional).

3.1.1.2 Depositor is only allowed to update his/her signature at the home branch of his/her ADA.

Note: For individual depositor residing outside Malaysia who are not able to present in person to update his/her signature before the ADA, he/she shall submit a request to update signature as below:

i. Download the FMN070 form which is available at Bursa Malaysia Website.

ii. Indicate on the top right-hand corner of the FMN070 form "Updating Signature" and complete the form with name, NRIC / Passport number and CDS account number.

iii. Sign the FMN070 in front of any of the following acceptable witnesses:

a. Authorised officer of a Malaysian Embassy / High Commission Consulate;

b. Notary Public in any jurisdiction; or
Lawyer in any jurisdiction who has a valid license to practice law in that jurisdiction.

iv. In the event the individual depositor is unable to sign the FMN070 in front of the acceptable witness mentioned under item (iii), the depositor may initiate an arrangement with his/her Salaried or Commissioned Dealer's Representative and the ADA's staff, via a video conferencing, to jointly witness the updating of his/her signature. The depositor may request the video recording from the ADA as proof of evidence

3.1.2 Procedures To Update Signature For Individual Depositor Unable To Sign Due To Critical Medical Condition

3.1.2.1 The depositor who is unable to be present in person to execute his/her "old" signature due to his/her medical condition must submit a written request stating his/her intention to change his/her "old" signature with the following documents:-

a. Two letters to state his/her intention to change his/her "old" signature with the following information:

i. CDS account number
ii. Left / right thumbprint or new signature
ii. The effective date of the left / right thumbprint or "new" signature

b. Letter from doctor addressed to the ADA where the depositor's CDS account is maintained. This letter, using the medical centre's letterhead, must confirm that the depositor is unable to sign his/her "old" signature due to a critical medical condition

c. The left / right thumbprint or new signature of the depositor contained in Item "a" stated above must be witnessed by the same doctor with his signature and rubber-stamp bearing his name and designation be affixed. The following attestation clause must also to be used:-

"I, _____ (name and NRIC No. of doctor), hereby affirm and attest that the right / left thumbprint / signature of _____ (name of depositor) has been affixed / signed in my presence and belongs to _____ (name of depositor) who has so appeared in person before me and that _____ (name of depositor) is of sound mind.

Signed by _____"

3.1.3 <u>Procedures To Update Signature For Individual Depositor Unable To Recall Signature Or Unable To Sign Due To Signature Evolution</u>

3.1.3.1 The depositor must be present in person.

3.1.3.2 Depositor to produce the original NRIC / Passport / Authority Card.

3.1.3.3 Depositor is to produce a written request to the ADA, stating that he/she is unable to recall his/her signature or that he/she is unable to sign his/her "old" signature due to "signature evolution"

3.1.3.4 Depositor is only allowed to update his/her signature at the home branch of his/her ADA.

3.1.3A <u>Procedures To Update Signature(s) For CDS Account Opened via CDS eServices</u>

3.1.3A.1 The depositor must be present in person and complete the CDS Account Form.

3.1.3A.2 Depositor to produce the original NRIC / Passport for ADA's verification.

3.1.4 Procedures To Update Signature(s) For Corporate Body

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

a. Submit two (2) original certified true copy of the list of authorised signatory(ies) and

b. Submit an authorisation letter from the corporate depositor containing the name(s) of the new authorised signatory(ies), or

c. Submit a new Board Resolution containing the name(s) of the new authorised signatory(ies).

3.1.4.2 Update via an authorisation letter from the corporate depositor is allowed provided that the existing Board Resolution authorises the corporate depositor to do so.

3.1.4.3 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.

3.1.4.4 Ensure that the original certified true copy of the Board Resolution is signed by the Company Secretary, Director or other persons authorised to do so as stated in the Memorandum & Articles of Association.

3.1.4.5 Where update of facsimile signatures is required, the corporate depositor is required to furnish the following supporting documents to their ADA:-

a. An original 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

b. The specimen facsimile signatures of the authorised signatories

c. An updated original stamped copy of the Letter Of Indemnity For Facsimile Signatures from the depositor addressed to Bursa Depository.

3.1.4.6 Further to the above, the corporate depositor is required to provide two (2) original certified true copies of the list of authorised signatory(ies), and that:-

a. The corporate body states the name(s) of the signatory(ies) beside the signature(s), and if applicable,

b. The designation(s) of the authorised signatory(ies) are stated

c. The corporate body's rubber-stamp is affixed if the Board Resolution does not require the common seal to be affixed.

3.1.4.7 The operating instructions of the specimen signatures as per the Board Resolution should be stated on the original or certified true copy of the list of authorised signatories and specimen signatures , i.e. whether it is one or more signatories to sign.

Note:

(i) The "effective date" of the updated signature(s) and rubber-stamp must not be earlier than the current date

(ii) The "effective date" will be the date of receipt of the authorisation letter / Board Resolution from the corporate depositor to the ADA or the effective date stated in the authorisation letter / Board Resolution, whichever is later.

Photocopies of these specimen signatures(s) are not allowed.

3.2 Updating Of Depositor's Particulars at ADA Offices

There are two types of updating for depositor's particulars, as follows:-

a. Updating Of Depositor's Investor Particulars

i. Investor Particulars include Depositor's Name, Identification Number (ID), Registered Address, Investor Type, Nationality / Place Of Incorporation, Race / Ownership, email address, handphone number, consolidated bank account information, end-beneficiary's ID, and end-beneficiary's race (for individual) / ownership (for company), as the case may be.

ii. Any update made to the Investor Particulars will have a global effect on other accounts belonging to the same depositor maintained with other ADA and such changes must be supported by relevant supporting document(s). Refer to **Appendix 8** for details of supporting documents.

b. Updating Of Depositor's Account Particulars

i. Account Particulars includes Depositor's Correspondence Address, Telephone Number, Account Type and Account Qualifier fields**.**

ii. Any update made to the Account Particulars of a depositor will only affect the CDS account at that particular ADA where the change was made.

Individual and corporate depositor may choose to update their particulars by appearing in person at the ADA's office where the account is maintained or by writing to the ADA.

Note:

i. A depositor may submit an update request via physical FMN070 form with or without an email address in CDS. However, the depositor is required to provide his/her handphone number if he/she does not have one in CDS for communication purposes.

3.2.1 Procedures To Update Individual / Corporate Account Requests Made In Person

3.2.1.1 Depositor to complete the **CDS Account Form (FMN070)** with details as per the relevant supporting document.

3.2.1.2 Depositor to furnish copies and original of the relevant supporting documents to the ADA. In the case of a corporate body, furnish the original certified true copies signed by any persons authorised to do so in the Memorandum & Articles of Association to the ADA.

3.2.1.3 Any changes requested by a depositor must be accompanied by the relevant supporting documents as stated in **Appendix 8**.

3.2.2 Procedures To Update Individual / Corporate Account Requests Made In Writing

3.2.2.1 All depositor's particulars may be updated by way of writing to the ADA concerned **except** for the individual depositor's name.

3.2.2.2 A depositor may do so by way of:-

a. Completing the FMN070 and sending it to the ADA, or

b. Writing a letter to the ADA, indicating the type of updating required.

3.2.2.3 Depositor must attach the relevant supporting documents to support the updating purpose. These supporting documents must be certified by a person stated in the List Of Acceptable Witnesses in Chapter 10.

3.2.2.4 Upon completion of updating process, applicant to receive the processed Applicant copy of the FMN070 from the ADA.

3.2.3 Inter Branch Transaction

Depositor is also allowed to request for updating of depositor's particulars via Inter Branch Transaction. However, individual depositor who requests to update the depositor's name must be present in person at the ADA concerned.

3.3 Updating of Depositors Particulars Through CDS eServices

As CDS eServices is a self-service electronic platform for individual depositors to perform selected CDS activities, the individual depositors may use this platform to perform the updating of their CDS Account particulars on their own instead of the need to be present-in-person to the ADA offices and complete the FMN070 form.

3.3.1 Permitted Self-Service Account Particular Updates

3.3.1.1. Currently, CDS eServices allows depositor to update the following information through the self-service mode:

a. Depositor Name
b. Registered Address
c. Correspondence Address
d. Bank Account Information
e. Nationality
f. Race
g. Telephone Number
h. Consolidation / Revocation of Consolidated of Statements of Accounts
i. Consolidation / Revocation of Consolidated Bank Account Information

3.3.1.2 Depositors who update the information stated above through self-service mode is deemed to have notified the relevant ADA as required in Rule 25.05 of the Rules of Bursa Depository.

3.3.1.3. Updating of the following information is not facilitated through CDS eServices and the individual depositor may either be present-in-person or submit a duly completed FMN070 form certified by a person under the List Of Acceptable Witnesses in Chapter 10 for the updates to be effected in CDS:

a. Identity Card or Passport Number
b. Email address
c. Handphone number

3.3.2 Procedures to update depositor's information through CDS eServices

3.3.2.1 Depositor may initiate to update of CDS account particulars via the CDS e-Services platform.

3.3.2.2 Updating of investor particulars such as name, registered address, nationality and race require supporting documents such as copy of NRIC which can be uploaded by the depositors either in a PDF format file or taking photo of such supporting document.

3.3.2.3 For updating of bank account information, the depositor is not required to submit any supporting documents as CDS eServices would validate the bank account details electronically using PayNet's Payor Identity Verification method.

3.3.2.4 Updates to investor particulars are only effected in CDS after the ADAs verification and confirmation of the request against the supporting documents.

3.3.2.5 Depositor may update his/her account particulars such as correspondence address and fixed line telephone number without furnishing any supporting documents and the updates are effected immediately in CDS

3.3.2.6 The submission of the updating request through CDS e-Services is authenticated by SMS TAC code.

3.3.2.7 Depositors will be notified of their updating status via email notifications as well as CDS e-Services inbox notification facilities.

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This chapter stipulates the procedures to be complied with by the depositor with respect to balance enquiry on CDS account and CDS statement.

5.1 CDS Balance Enquiry

5.1.1 Procedures To Enquire CDS Balance By Depositor At ADA Office

5.1.1.1 The depositor may from time to time request for his CDS account balance by completing the **Balance Enquiry Request Form** (Appendix 11) by present in person at the ADA office.

5.1.2 Procedures To Enquire CDS Balance For A Deceased Depositor's Account

5.1.2.1 For a balance enquiry, the applicant as per those defined in item 2.4.3, items "a", "b" and "c", or its advocate and solicitor, must apply to Bursa Depository in writing.

5.1.2.2 The request should be accompanied by a set of the following documents, duly certified by a person stated in the List Of Acceptable Witnesses in Chapter 10:-

a. Grant of Representation, where applicable, and

b. Death Certificate, and

c. Applicant's identification document(s) and relevant supporting documents (if applicable)

5.1.2.3 In addition to the above requirements, where the request is submitted by an advocate and solicitor, a letter from the applicant to Bursa Depository, authorising Bursa Depository to release information on the deceased depositor's account to the advocate and solicitor must be submitted.

5.1.3 Procedures To Enquire CDS Balance Through Dealer's Representative

Depositor may authorise his/her dealer's representative to enquire into his/her CDS account balance.

5.1.3.1 Dealer Representative to submit the duly completed **Authorisation / Consent For Balance Enquiry Request Form (AFBIR)** (Appendix 12) for each authorisation relating to an individual depositor.

5.1.3.2 Corporate depositor can perform the function of giving authorisation to enquire the balance on its CDS account by completing the AFBIR as follows before submitting to its respective ADA:-

a. Corporate depositor giving authorisation to more than one (1) CDS account can:-

i. Complete separate AFBIR for each different CDS account, or

ii. Complete only one (1) AFBIR and attached a listing detailing the CDS accounts' numbers that can be enquired by the Dealer's Representative. The AFBIR and the CDS Account Listing must be signed by the same authorised signatory(ies) with either the Company Seal or company's rubber-stamp affixed, or

iii. Complete only one (1) AFBIR and indicate on the AFBIR that the authorisation will be for all CDS accounts including any CDS account to be opened in the future.

5.1.3.3 If the authorisation is accepted, the depositor will receive a copy of the AFBIR and a copy of the CDS Account Listing (if applicable) along with the Notice-AFBIR clearly stating the period of validity.

5.1.3.4 If authorisation for balance enquiry request is rejected, the ADA will return the depositor the original Notice-AFBIR clearly stating the reason(s) for the rejection.

Note: *The authorisation given to the dealer's representative for the purpose of balance enquiry may be valid for a period as specified by the depositor in the AFBIR unless revoked earlier by the depositor or revoked automatically as the result of dealer's representative ceased to be a dealer's representative of the ADA where the depositor's CDS account is maintained.*

5.1.3.5 Depositor may revoke authorisation for balance enquiry by furnishing the revocation authorisation letter or the duly completed **Revocation Of Authorisation / Consent For Balance Enquiry Request Form (RAFBIR)** (Appendix 13) for each authorisation. Corporate depositor is allowed to complete a single RAFBIR for more than one (1) CDS account by completing the appropriate details in the RAFBIR.

5.1.3.6 If the revocation is accepted, the depositor will receive a copy of the RAFBIR along with the Notice-RAFBIR.

5.1.3.7 If the revocation is rejected, the ADA will return the original RAFBIR to the depositor along with the Notice-RAFBIR clearly stating the reason(s) for the rejection.

5.1.4 Procedures To Enquire CDS Balance Through Third-Party Representative

Depositor's may authorise a third-party representative other than the dealer's representative to enquire into his/her CDS account balance.

5.1.4.1 The authorisation given to a third-party representative other than a dealer's representative is only effective for the purpose of making one (1) balance enquiry only.

Note: The requirement on authorisation for single balance enquiry under this item does not apply to the disclosure of the portfolio balances of an Authorised Nominee CDS account via the CDS eServices provided the Authorised Nominee has given consent to Bursa Depository for the disclosure of which shall be valid perpetually unless explicitly revoked in writing. For disclosure of balances of Authorised Nominee CDS accounts via CDS eServices platform, kindly refer to item 5.1.5.

5.1.4.2 To authorise a third party representative, the depositor has to write a letter of authorisation containing the following information:-

a. Name and CDS account number of depositor

b. Name and Identification Number of third party representative

c. Signature of depositor / Authorised Signatories.

5.1.4.3 The representative to ensure the depositor's particulars are completed in the Balance Enquiry Request Form and that the representative signs on behalf of the depositor.

5.1.4.4 The representative has to submit to the ADA the completed Balance Enquiry Request Form together with the letter of authorisation.

5.1.5 Self-Service CDS Balance Enquiry Through CDS eServices

5.1.5.1 Depositors registered with CDS eServices will be able to enquire and view all his/her direct CDS account balances by login to CDS eServices using Username and Password.

5.1.5.2 Where the depositor is the beneficial owner of an Authorised Nominee CDS account, he/she may check the balance of securities in the Authorised Nominee CDS account through the CDS eServices platform provided the Authorised Nominee has given the consent and authorisation to Bursa Depository to disclose the beneficiary's portfolio balances.

Note:

i. The securities balances in CDS eServices platforms are updated three (3) times a day i.e. 7:00 am, 2:30 pm and 8:00 pm

ii. The Authorised Nominee's consent and authorisation if provided to Bursa Depository to disclose the portfolio balances to the beneficial owner of the Authorised Nominee CDS account shall remain in force for indefinite period unless revoked by the Authorised Nominee itself.

5.1.6 Inter Branch Transactions

Depositor is allowed to request for balance inquiry via inter-branch transaction.

5.2 CDS Statement

5.2.1 Procedures To Request Ad-Hoc Statement By Depositor

5.2.1.1 A depositor may request for an ad-hoc statement on his/her CDS account by:-

a. Completing the **Ad-Hoc Statement Request Form** (Appendix 14)

b. Writing to the ADA.

5.2.2 Procedures To Request Ad-Hoc Statement By Next-Of-Kin / Beneficiaries

5.2.2.1 For ad-hoc statement, the applicant as per those defined in item 2.4.3, items "a", "b" and "c", or its advocate and solicitor, must apply to Bursa Depository in writing.

5.2.2.2 For details of supporting documents, please refer to items 5.1.2.2 to 5.1.2.3.

5.2.3 Procedures To Request For Consolidation Of CDS Statement At ADA Office

Consolidation of CDS Statement of Account is a service where the depositor may consolidate his/her CDS statements of various CDS accounts into one CDS statement. With the consolidation of CDS statement of account, the depositor may have a better control of his/her portfolio as he/she will know all the securities that he/she is holding.

5.2.3.1 Depositor to complete and signed the **Consolidation/Revocation Of Consolidated CDS Statement Of Account Form ("CSA Form")** (Appendix 15) before forwarding to the ADA.

5.2.3.2 ADA will return a copy of the CSA Form to the depositor as acknowledgement **after processing the Consolidation Request**.

5.2.4 Procedures To Request For Consolidation Of CDS Statement Through CDS eServices

Depositor may also request to consolidate his/her CDS statements of various CDS accounts into one CDS statement through the CDS eServices. An email notification will be provided to the depositor after the Consolidation of CDS Statement of Accounts is processed by CDS.

5.2.5 Procedures To Request For Revocation Of Consolidated CDS Statement

Depositor who had opted to consolidate his/her CDS account statement may revoke his/her earlier consolidation request and revert to the normal arrangement where he/she will receive individual CDS statement for each of his/her CDS account.

5.2.5.1 Follow the procedures as stated in Item 5.2.3. - Procedures To Request For Consolidation of CDS Statement and 5.2.4 if the request is made via CDS eServices.

5.2.5.2 An email notification will be provided to the depositor after the revocation of the consolidated CDS Statement of Accounts is processed by CDS.

5.2.6 View Monthly CDS Statement Through Bursa Anywhere and MyBURSA Portal

5.2.6.1 A depositor who has registered for Bursa Anywhere, and MyBURSA Portal once the depositor has successfully linked his/her CDS account, may view online and download his/her monthly CDS statement for all his/her direct CDS accounts through these channels provided his/her CDS accounts are not in "Dormant" status.

5.2.6.2 Depositor may view online and download CDS notices only through MyBURSA Portal. CDS notices are not available on Bursa Anywhere.

Note: MyBURSA Portal is a platform provided by Bursa Malaysia with the objective to provide services and solution to Bursa Malaysia's customers.

5.2.7 Issuance of CDS Statements by Bursa Depository

5.2.7.1. Bursa Depository issues CDS Statements periodically to all depositors in respect of their deposited securities held in its custody pursuant to Section 26(1) of the Securities Industry (Central Depositories) Act 1991 ("SICDA").

5.2.7.2. Depositor who has provided an email address to Bursa Depository will receive electronic CDS Statements (eStatement) while those depositor who have not provided an email address will receive the CDS Statements through postal mail save for depositor that falls within the Specified Depositors Categories under 5.2.7.4.

5.2.7.3. Effective 25 August 2025, Bursa Depository will cease sending hardcopy CDS Statements to the depositors via postal mail except for Specified Depositors mentioned in 5.2.7.4 and to depositors who subscribe for additional CDS Statements (refer to 5.2.9).

Note. : *Body corporate depositor with an email address in CDS will continue to receive CDS Statements via email, whilst those without email addresses in CDS will receive their CDS Statements by postal mail.*

5.2.7.4. Specified Depositors may receive or continue receiving hardcopy CDS Statements, subject to the conditions set by the Bursa Depository as follows:

No.	Specified Depositors	Conditions
1.	Depositor with disability(ies) as prescribed in the "***Garis Panduan Pendaftaran Orang Kurang Upaya***" by ***Jabatan Pembangunan Orang Kurang Upaya, Jabatan Kebajikan Masyarakat***. [www.moh.gov.my/index.php/database_stores/store_view_page/68/55]; and Reliance on any other disability subject to Bursa Depository's approval	The depositor must produce i. OKU card at the ADA office; or ii. Letter from a registered medical professional confirming the disability of the depositor. The letter must be addressed to Bursa Depository.
2.	Depositors of Senior Age	i. Depositor aged 70 years old and above as at the implementation year of 2025, and who has not provided a valid email address to Bursa Depository shall continue to receive hardcopy CDS Statements free of charge. Depositors who have provided a valid email address will continue to receive eStatement via email instead of hardcopy CDS Statements.

No.	Specified Depositors	Conditions
	Depositors of Senior Age (cont.)	ii. Depositor aged 65 to 69 years old as at the implementation year 2025, and who has not provided a valid email address to Bursa Depository, will be provided eStatement which can be accessed through CDS eServices. If a depositor aged 65 to 69 years old in this category requests for hardcopy CDS Statements, it will be provided for free of charge upon the depositor submitting the duly completed "Request For Hardcopy CDS Statements" prescribed form. Note: a) For Malaysian depositor, the ADA shall validate the age against the New NRIC number in CDS, hence no supporting document is required. b) If the Malaysian depositor identification number in CDS is not the new NRIC number, the ADA should advise the depositor to update his/her identification number to the new 12-digit New NRIC number. c) As for non-Malaysian, request the depositor to provide a copy of the latest passport or any documents issued by the government that has the depositor's date of birth. A depositor aged 65 to 69 years old as at the implementation year 2025, who has provided a valid email address will continue to receive eStatement instead of hardcopy CDS Statements.

No.	Specified Depositors	Conditions
3.	Depositors residing or located in an area with no or poor internet penetration	Depositor who is residing or located in an area with no or poor internet connection i.e. internet penetration rate of below 90% based on the Department of Statistics Malaysia (DoSM) official data shall submit the duly completed Request for Hardcopy CDS Statements form **(Appendix 28)** attached with supporting documents such as a utility bill in the name of the depositor. The depositor must ensure that the correspondence address in CDS matches the mailing address on the utility bill.
4.	Other factors	Depositor that does not fall under Specified Depositors Category 1, 2 and 3 but do have other complications, may submit his/her written request to Bursa Depository for evaluation and consideration on a case-by-case basis. Hardcopy CDS Statements will be provided free of charge if the written request is approved by Bursa Depository

Note: i. Internet penetration rate refers to percentage of individuals using Internet by district, as reported by the Department of Statistics Malaysia. Therefore, an internet penetration rate of below 90% would refer to areas where less than 90% of the population has access to internet.

5.2.7.5. A foreign depositor who is residing or located outside Malaysia will be provided with eStatement at the implementation date until and unless the foreign depositor provides proof that they fall under the Specified Depositors categories.

5.2.7.6. An existing depositor who has provided an email address to Bursa Depository is not allowed to request for hardcopy CDS Statements unless the depositor provides evidence that they are a Specified Depositor under 5.2.7.4 (1), (3) and (4) or subscribe to additional hardcopy CDS Statements.

5.2.8 Procedures to Request For Hardcopy CDS Statements

5.2.8.1 A depositor may email or present in person to the ADA office or submit through his/her Dealer's Representative the following documents to the ADA Office when requesting for hardcopy CDS Statements.

a. Duly completed Request for Hardcopy CDS Statements form **(Appendix 28)**; and

b. NRIC or Passport or other form of acceptable identification documents issued by Jabatan Pendaftaran Negara; or

c. OKU card or original letter from a registered medical professional confirming the disability of the depositor; or

d. Utility bill in the name of the depositor with the correspondence address matches with the correspondence address in CDS.

5.2.9 Subscription For Hardcopy CDS Statement

5.2.9.1. Depositor who does not fall under the Specified Depositors categories in 5.2.7.2 above and who prefers to continue receiving hardcopy CDS Statements via postal service, may choose to receive hardcopy CDS Statements for a period of 12 months for a nominal annual subscription fee payable in advance. The quantum is available in the Schedule of Fees on Bursa Website.

5.2.9.2. The subscription fee is imposed based on CDS statements issued for each direct CDS account in the depositor's name. Depositor who has opted for consolidation of CDS Statements, all his/her direct CDS account(s) with the same NRIC number will be consolidated as one CDS account.

5.2.9.3. Bursa Depository will issue a reminder notice at least one month before the expiry of the subscription period to the depositor's correspondence address in CDS.

5.2.9.4. The depositor is required to submit a new request form to the ADA and pay the annual subscription fee in advance in order to continue receiving the hardcopy CDS Statements prior to the expiry of the existing subscription.

5.2.9.5. No refund of subscription fees will be given to the depositor should the depositor decides to stop receiving hardcopy CDS Statements during the subscription period and choose to receive eStatements by providing an email address to Bursa Depository.

5.2.10 Inter Branch Transactions

Depositor is allowed to request for Ad-hoc Statement and Consolidation/Revocation of CDS account via inter-branch transaction.

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This chapter stipulates the procedures to be complied with by depositors to provide their email addresses to Bursa Depository for eStatement. Under eStatement, depositors will receive their CDS statements of accounts, notices and other communication from Bursa Depository electronically via email registered in CDS for eStatement instead of hardcopies of these documents being delivered via ordinary mail. Additionally, this chapter also stipulates the procedures for depositors relating to maintenance of their email address for eStatement in the CDS.

13.1 Providing eMail Address For eStatement

13.1.1 Provide eMail Address To Bursa Depository For eStatement

There are the following three (3) options for depositors to provide their email address for eStatement:

a. Via Bursa Malaysia Berhad's (Bursa) Website at www.bursamalaysia.com or

b. Via CDS e-Services's platform where the depositors will provide their email address during registration for CDS e-Services access process or

c. Via the Authorised Depository Agent (ADA) where the depositor maintains his CDS account.

Note:

i. A depositor should only provide one email address to Bursa Depository although the depositor may have multiple CDS accounts with different ADAs. The email address provided by the depositor will be applied to all their CDS accounts including any new CDS account that may be opened in the future with the same NRIC/Passport/company registration number.

13.1.1.1 Signing Up For eStatement Via Bursa Malaysia Berhad's Website

13.1.1.1.1 This option to sign up for eStatement by providing the email address via the Bursa Website is only applicable to individual depositors. Depositors are required to key in the following information for the purpose of eStatement:

a. Identification Number i.e. new or old NRIC number
b. CDS account Number
c. Email Address
d. Confirm email address
e. Password Phrase will be stated in your latest CDS statement of account or notice that you would have received after 9 December 2013.
f. Captcha Validation (Please refer to the box below the password phrase for the information to be entered at this field).

Note: Your request for eStatement will only be accepted or completed once you have tick on the terms and conditions box.

13.1.1.1.2 Once the individual depositor has successful keyed in the above information into the Bursa Website, a message will be displayed to inform the depositor that the depositor's eStatement request has been conditionally accepted and will receive a confirmation notice from Bursa via the registered email address within the next two (2) market days.

13.1.1.1.3 If the depositor does not receive the confirmation notice within the stipulated time, the individual depositor can provide the email address for eStatement again via the Bursa Website or make an enquiry on the status of the depositor's eStatement request by forwarding a query to depo@bursamalaysia.com.

13.1.1.2 Signing Up For eStatement Via The CDS e-Services Platform

13.1.1.2.1 This mode to sign up for eStatement is only applicable to individual depositors by providing the email address via the CDS e-Services platform. The requirement for depositors to register for eStatement is part of the whole registration process for depositors to access the CDS e-Services platform. Depositors are required to key in the following information for the purpose of eStatement :

a. Identification Number i.e. new or old NRIC number or Passport number
b. Agree with terms and conditions specified by Bursa Depository
c. Email Address
d. Password Phrase will be stated in depositor's latest CDS statement of account or notice that the depositor would have received after 9 December 2013.
e. Email verification code – a six-digit number that will be sent to the email address provided by the depositor which the depositor is required to enter to validate the email address.
f. Create username and password and register mobile number
g. Answer three (3) security questions
h. Transaction Authorisation Code (TAC) will be sent to depositor's handphone number through short messaging service (SMS) where the depositors are required to enter the SMS TAC to validate the handphone number and complete registration.

13.1.1.2.2 Once the individual depositor has successful registered the email address, CDS e-Services will sent an email notification to the depositors to inform that the depositor has successfully registered for eStatement and access to CDS e-Services. Besides the email notification from CDS e-Services, the depositor will also receive a confirmation notice from Bursa Depository to the registered email address within the next two (2) market days.

13.1.1.2.3 If the depositor does not receive the email notification confirming his/her registration for eStatement and access to CDS e-Services, the individual depositor may try to re-register or call the Bursa Anywhere Service Desk or email to bursaanywhere@bursamalaysia.com.

13.1.1.2 Signing Up For eStatement Via The Authorised Depository Agent (ADA) i.e. Stockbroker

13.1.1.2.1 Individual and corporate depositors are able to sign up for eStatement by completing and signing the **CDS Account Form (FMN070)** Thereafter, the depositor is required to submit the duly completed CDS Account Form to the ADA where the depositor's CDS account is being maintained.

13.1.1.2.2 Depositor will receive an acknowledged copy of the CDS Account Form from the ADA after his email address for eStatement has been successfully updated into the CDS.

13.1.1.2.3 Additionally, depositor will also receive a confirmation notice mailed by Bursa Depository to inform that the depositor's email address for eStatement has been successfully received.

13.1.2 Inter Branch Transaction

Depositor is allowed to provide the depositor's email address for eStatement at any branch office of the same ADA where the depositor's CDS account is being maintained.

13.2 Updating Of Depositor's eMail Address Relating To eStatement

A depositor is allowed to update eStatement details, i.e. email address.

13.2.1 Procedures to Update eStatement Details Request

13.2.1.1 Depositor is required to submit a completed and duly signed **CDS Account Form** to update the depositor's email address for eStatement at the ADA where the depositor's CDS account is being maintained.

12.2.1.2 Depositor will receive an acknowledged copy of the CDS Account Form from the ADA after the depositor's email address for eStatement has been successfully updated into the CDS.

12.2.1.3 Depositor is not allowed to update his/her email address through the CDS e-Services platform.

13.2.2 Inter Branch Transaction

Depositor is allowed to request for the depositor's email address for eStatement to be updated at any branch office of the same ADA where the depositor's CDS account is being maintained.

13.3 Revocation Of eStatement

Revocation of email address is not permitted subject to depositors who fall under the Specific Depositors category as mentioned in section 4.15.3.2 and those who have subscribed for hardcopy CDS statements.

NO	TITLE
1	CDS Account Form (FMN070)
2	Specimen Signature Card
3	Usage of Power of Attorney
4	Criteria For Board Resolution
5	Checklist For Opening of Account for Trust Foundation, Society, Statutory Body And Foreign Incorporated Companies
6	Letter Of Indemnity For Facsimile Signatures
7	Application For Reactivation of CDS Account
8	Checklist For Request For Suspension of Depositoed Securities In a Deceased Depositor's CDS Account
9	Update Of Investor Particulars And Supporting Documents Required
10	Application For Suspension / Release of Suspension of Securities
11	Checklist For Suspension / Release of Suspension of Securities
12	Balance Enquiry Request
13	Authorisation for Balance Enquiry Request
14	Revocation of Authorisation for Balance Enquiry Request
15	Ad-hoc Statement Request
16	Consolidation / Revocation of Consolidated CDS Statement of Account
17	Securities Deposit Request
18	Moratorium Shares Declaration
19	Transfer of Securities Request
20	Approved Reasons For Transfer
21	Securities Withdrawal Request
22	Notification of Death of Depositor
23	Authorisation Letter on Transferring of Securities Directly to Beneficiary's CDS Account
24	Notification Of Bankruptcy Of Depositor Form
25	Notification Of Winding-Up Of Company Form
26	Guideline to Complete Notification of Death of Depositor
27	Declaration to Bursa Malaysia Depository by the Applicant donating to Share2share

28 Request for Hardcopy Statement form

BURSA MALAYSIA

BURSA MALAYSIA DEPOSITORY SDN BHD

REGISTRATION NO. 198701006854 (165570-W)

PERMOHONAN UNTUK SALINAN FIZIKAL PENYATA CDS

Request for Hardcopy CDS Statements

Untuk diisi oleh pendeposit *To be completed by depositor*

Pangkah (X) yang berkenaan / *Cross (X) where applicable*

NOMBOR AKAUN CDS: *CDS ACCOUNT NUMBER* :

☐☐☐ - ☐☐☐ - ☐☐☐☐☐☐☐☐☐

NO. KP. LAMA / PASPORT / ANGGOTA TENTERA / POLIS / PENDAFTARAN:*
*Old NRIC / Passport / Armed Forces / Police Personnel / Reg. No.:**

NO. KP. BARU:
New NRIC Number:

☐☐☐☐☐☐ - ☐☐ - ☐☐☐☐

NAMA PENDEPOSIT *Name of Depositor*

Sebab permintaan salinan fizikal / *Reason for request hardcopy*

☐ Warga Emas (65 sehingga 69 tahun) pada tahun 2025 / Senior *Age (65 to 69 years old) as at Year 2025*

☐ Pendeposit kelainan upaya / *Depositor under disability conditions*

☐ Tinggal di kawasan dengan perkhidmatan internet yang lemah / *Living in area with poor internet services*

☐ Faktor lain untuk pertimbangan Bursa Depositori / *Other factor for Bursa Depository's consideration*

Dokumen sokongan / *Supporting documents* Ya / *Yes* ☐ Tidak / *No* ☐

☐ Salinan tambahan / *Request for Hardcopy Statements as additional copy*

Tarikh mula / *Start date* ☐☐ - ☐☐ - ☐☐☐☐

Tarikh tamat / *End date* ☐☐ - ☐☐ - ☐☐☐☐

* Saya / Kami dengan ini ingin melanggan salinan fizikal Penyata CDS.
** I / We hereby wish to subscribe for hardcopy CDS Statements.*

*TANDATANGAN PENDEPOSIT / PENANDATANGAN DIBERIKUASA
** Signature of Depositor / Authorised Signatories*

TARIKH
Date

UNTUK KEGUNAAN PEJABAT SAHAJA *For Office Use Only*

Untuk diisi oleh ADA / ADM* / *To be completed by ADA / ADM**

BAYARAN DITERIMA (untuk salinan tambahan)
Payment received (for additional copy)

☐ YA *Yes* RM : _____

☐ TIDAK / DIKECUALIKAN *No / Waived*

DISAHKAN OLEH : _____ TARIKH : _____
Verified By *Date*

DILULUSKAN OLEH : _____ TARIKH : _____
Approved By *Date*

DATA DIMASUKKAN OLEH : _____ TARIKH : _____
Data Entry By *Date*

*POTONG YANG TIDAK BERKENAAN **Delete where inapplicable*