

## SCHEDULE 4

[Paragraph 76(1)(a)]

*Registered persons*

### Part 1

First column	Second column	Third column
Items	Activities	Categories of registered persons
1.	Dealing in securities	
(a)	Quoting two way prices for, and dealing in–  (i) debenture, stocks or bonds of the Federal Government, any State Government or statutory body; or  (ii) corporate debentures or other instruments which are not listed for trading in any stock exchange	Islamic banks and all licensed institutions
(b)	Arranging for the sale or purchase of securities issued by, belonging to or on behalf of, customers through the holders of a Capital Markets Services Licence who carries on the business of dealing in securities	Islamic banks, licensed banks, licensed merchant banks and licensed finance companies
(c)	Arranging for the sale or purchase of securities that are not listed on a stock market of a stock exchange, issued by, belonging to or on behalf of, customers	Islamic banks, licensed banks, licensed merchant banks, licensed discount houses and licensed finance companies
(d)	Underwriting of securities and placement out of such underwritten securities whether through the holder of a Capital Markets Services Licence who carries on dealing in securities or otherwise	Islamic banks, licensed banks and licensed merchant banks
(e)	Underwriting of bond issues that is solely incidental to the management and administration of its insurance or takaful business	Insurance companies licensed under the Insurance Act 1996 and takaful operators registered under the Takaful Act 1984
(f)	Private placement of primary issues of securities on behalf of customers	Licensed merchant banks and Islamic banks in respect of Islamic products
(g)	Arranging or offering for the sale or purchase as agents for any person, any interests in unit trust schemes	Islamic banks, licensed banks and licensed finance companies

<b>First column</b>	<b>Second column</b>	<b>Third column</b>
<b>Items</b>	<b>Activities</b>	<b>Categories of registered persons</b>
(h)	Acting or offering to act as agent for any issuing house in relation to the issue or listing of any securities	Islamic banks, licensed banks, licensed merchant banks and licensed finance companies
(i)	Lending or borrowing of unlisted debt securities for their own account or for their customers under the Guidelines on Securities Borrowing and Lending Programme under RENTAS or such other equivalent guidelines issued by Bank Negara	Islamic banks, licensed banks, licensed finance companies and licensed merchant banks
2.	Advising on corporate finance	
(a)	Debentures that are not capable of being converted into equity	Licensed banks, licensed merchant banks, licensed discount houses and Islamic banks in respect of Islamic debentures
(b)	Islamic securities as specified in the Commission's guidelines in respect of Islamic securities	Licensed banks, licensed merchant banks, Islamic banks and licensed discount houses
(c)	Structured products as provided under the Commission's guidelines in respect of structured products	Licensed banks, licensed merchant banks and Islamic banks in respect of Islamic structured products
(d)	Structured warrants as provided under the Commission's Guidelines For The Issue of Structured Warrants	Licensed merchant banks, licensed banks and Islamic banks in respect of Islamic structured warrants
(e)	Making submissions on behalf of customers to relevant authorities or persons in respect of issues of securities for cash or other consideration	Licensed merchant banks and Islamic banks in respect of Islamic products
(f)	Issuing any document which is or is deemed to be a prospectus under the relevant securities laws and the Companies Act 1965	Licensed banks, licensed finance companies, licensed merchant banks and licensed Islamic banks
3.	Investment advice	
	Carrying on a business of advising others concerning securities or futures contracts; or as part of a business, issues or promulgates analyses or reports concerning securities or futures contracts	Islamic banks and all licensed institutions

First column	Second column	Third column
Items	Activities	Categories of registered persons
4.	Fund management	
	<p>Acting or offering to act as portfolio managers for customers or as investment or co-investment manager of country funds, trust funds, venture capital funds, unit trust funds, or other funds including–</p> <ul style="list-style-type: none"> <li>(i) the provision of investment advice; and</li> <li>(ii) the acquisition or disposal through a holder of a Capital Markets Services Licence who carries on dealing in securities,</li> </ul> <p>in relation to such activity</p>	Licensed merchant banks and Islamic banks in respect of Islamic funds

Note: Schedule 4 shall not apply to a licensed merchant bank that holds a Capital Markets Services Licence who carries on the business of dealing in securities.

## Part 2

First column	Second column	Third column
Items	Activities	Categories of registered persons
1.	Advising on corporate finance and underwriting in relation to proposals for infrastructure project companies as may be specified by the Commission whether for the purposes of listing such companies or otherwise	Bank Pembangunan Malaysia Berhad
2.	Dealing in securities in relation to the investment made by the venture capital corporation and venture capital management corporation	Any venture capital corporation and venture capital management corporation that is registered under the Commission's Guidelines for the Registration of Venture Capital Corporations and Venture Capital Management Corporations
3.	Investment advice in relation to the provision of ratings for debentures	A credit rating agency that is recognised by the Commission under the Practice Note on the Offering of Private Debt Securities and the Guidelines on the Offering of Islamic Securities
4.	Investment advice in relation to the pricing of debentures	A bond pricing agency that is registered under the Commission's Guidelines on the Registration of Bond Pricing Agencies
5.	Dealing in securities in relation to the administration of the duties of Pengurusan Danaharta Nasional Berhad	Pengurusan Danaharta Nasional Berhad and all its subsidiaries prescribed under subsection 60(2) of the Pengurusan Danaharta Nasional Berhad Act 1998