

SECURITIES INDUSTRY ACT 1983

SECURITIES INDUSTRY REGULATIONS 1987

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SECURITIES INDUSTRY ACT 1983

SECURITIES INDUSTRY REGULATIONS 1987

Act 280. IN exercise of the powers conferred by section 127 of the Securities Industry Act 1983, the Minister makes the following regulations:

Citation and commencement. 1. These Regulations may be cited as the **Securities Industry Regulations 1987**, and shall come into force on the 1st October 1987.

Definitions. 2. In these Regulations, unless the contrary intention appears—
“accounts” means profit and loss accounts and balance-sheets and includes notes (other than auditor’s reports) attached to or intended to be read with those profit and loss accounts or balance-sheets;

Act 102.
Act 276. “bank” means a bank licensed under the Banking Act 1973 or the Islamic Banking Act 1983;

Act 89. “insurer” has the meaning assigned to that expression in the Insurance Act 1963;

“liquid funds” means the excess of total tangible assets over total liabilities, all assets being valued at a fair value but not in excess of the market value thereof, but shall not include the value of the following:

- (i) the recognition of a member company by a stock exchange;
- (ii) furniture, fixtures, real estate and other fixed assets;
- (iii) securities which have no ready market;
- (iv) unsecured loans or advances made to a member of a stock exchange or a director of a member company of a stock exchange; and
- (v) amounts owed by clients the recovery of which is considered doubtful;

Act 125. “management company” means a management company as defined in section 84 of the Companies Act 1965;

Act 53. “superannuation scheme” means any fund or scheme approved by the Director General of Inland Revenue, Malaysia under section 150 of the Income Tax Act 1967;

“trustees”, in relation to a superannuation scheme, includes any person responsible for the administration or management of the scheme.

Forms. First Schedule and Second Schedule.

3. Subject to these Regulations, where a provision of the Act or of these Regulations is specified in the first column of the First Schedule to these Regulations, the form set out in the Second Schedule to these Regulations the number of which is specified in the third column of the First Schedule opposite to that provision is

prescribed as the form to be used for the purposes of that provision in relation to the matter or thing described in the second column of the First Schedule opposite to that provision.

4. Where a form prescribed by these Regulations requires completion by the insertion of, or the attachment to the form of a document containing particulars or other matters referred to in the form, those particulars or other matters are prescribed as the particulars or other matters required under the provisions of the Act or of these Regulations for the purposes of which the form or document is prescribed.

Particulars prescribed by forms.

5. (1) A form prescribed by these Regulations containing any direction for its completion shall be completed in accordance with those directions.

Directions in forms.

(2) Where a form prescribed by these Regulations requires the insertion of a name of an individual person, it shall be a name as it appears in, in the case of a Malaysian citizen, the identity card or, in the case of a non-Malaysian citizen, the passport of that person.

6. A document to be lodged with the Registrar in pursuance of the Act or these Regulations shall comply with the following requirements:

General requirements for documents lodged with the Registrar.

- (a) the document shall be on paper of medium weight and good quality and of international size (297 mm × 210 mm);
- (b) the document shall be printed or typewritten and shall be clearly legible;
- (c) except with the consent of the Registrar, the document shall not be a carbon copy;
- (d) the document shall have margins of not less than 25 millimetres on the left hand side and not less than 13 millimetres on the right hand side;
- (e) where the document comprises two or more sheets—
 - (i) the sheets shall be bound together securely; and
 - (ii) each sheet shall have a margin of not less than 25 millimetres on the side on which it is bound in addition to any space required for binding; and
- (f) the document shall have endorsed upon it the name, address and telephone number of the person by whom or on whose behalf the document is lodged, together with the following words:

“Lodged in the Office of the Registrar of Companies on

.....
Registrar of Companies”.

Manner of application for approval of a stock exchange.

7. An application for approval of a body corporate as a stock exchange in the prescribed form and accompanied by a certified true copy of the rules of the body, shall be lodged with the Registrar.

Manner of application for a dealer's or investment adviser's licence.

8. An application for a dealer's or investment adviser's licence shall be accompanied by a detailed statement of the applicants' assets and liabilities signed by the applicant or, in the case of an applicant corporation, a copy certified by a director and secretary of the corporation to be a true copy of the last balance-sheet and of the last profit and loss account which have respectively been audited by the company auditors (including every document required by law to be annexed or attached thereto) together with a copy of the report of the auditors thereon (certified as aforesaid).

Manner of sending applications.

9. (1) All applications for a licence or renewal of a licence in the forms prescribed together with any relevant annexures shall be enclosed in a sealed envelope and lodged with the Registrar.

(2) The outside of the sealed envelope shall be clearly marked—

“Application for licence as”; or

“Application for renewal of licence as.....”,

whichever is applicable, and shall have endorsed upon it the name, address and telephone number of the person by whom or on whose behalf the application is lodged.

Fees in respect of stock exchange.

10. The fees payable in respect of a stock exchange shall be one thousand ringgit on application and ten thousand ringgit on the grant of a licence.

Other fees.

11. The fees to be paid in respect of all applications, grants and renewal of licences (other than a stock exchange licence) and other fees under the Act shall be as specified in the Third Schedule.

Application of deposits.

12. (1) A deposit lodged with the Accountant General pursuant to section 23 of the Act shall be applied for the purpose of compensating persons who suffer pecuniary loss by reason of defalcation committed by a dealer to whom the said section applies or by an employee of such a dealer in the course of his employment in relation to any money or other property which, whether before or after the commencement of the Act, in the course of or in connection with a business of dealing in securities—

(a) was entrusted to or received by the dealer or an employee of that dealer in the course of his employment, for or on behalf of any other person; or

(b) (the dealer being, in respect of the money or other property, either sole trustee or trustee with another person) was entrusted to or received by the dealer or any

employee of the dealer in the course of his employment for or on behalf of the trustee of the said money or property.

(2) Subject to these Regulations, every person who suffers pecuniary loss as provided in sub-regulation (1) shall be entitled to claim compensation in relation to the relevant deposit lodged with the Accountant General.

(3) The amount which any claimant shall be entitled to claim as compensation shall be the amount of actual pecuniary loss suffered by him (including the reasonable cost of and disbursements incidental to the making and proof of his claim) less the amount or value of all monies or other benefits received or receivable by him from any source other than the Accountant General in deduction of the loss.

(4) The Registrar may cause to be published in two daily newspapers published and circulating generally in Malaysia, one in the National Language and one in English, a notice in the prescribed form, specifying a date, not being earlier than three months after publication of the notice, on or before which claims for compensation in relation to the deposit lodged by the person specified in the notice may be made.

(5) A claim for compensation shall be made in writing to the Registrar—

- (a) where a notice under sub-regulation (4) has been published, on or before the date specified in the notice; or
- (b) where no such notice has been published within six months after the claimant became aware of the defalcation,

and any claim which is not so made shall be barred unless the Registrar otherwise determines.

(6) The Registrar shall, subject to these Regulations and after such inquiry as he thinks fit—

- (a) allow any proper claim made in accordance with sub-regulation (5) at any time after the commission of the defalcation in respect of which the claim arose and determine the amount payable as compensation; or
- (b) disallow any improper claim.

(7) Where all claims made in accordance with sub-regulation (5) have been dealt under sub-regulation (6), the Registrar shall, as soon as practicable thereafter and subject to sub-regulation (8), authorize payments from the relevant deposit, in respect of the amounts determined under sub-regulation (6), to the persons whose claims have been allowed.

(8) In authorizing payments under sub-regulation (7), the Registrar shall have regard to the following provisions—

- (a) where only one amount is determined under sub-regulation (6) and that amount does not exceed the deposit—that amount shall be payable in full;
- (b) where two or more amounts are so determined and those amounts do not exceed in the aggregate the deposit—those amounts shall be payable in full;
- (c) where only one amount is so determined and that amount exceeds the deposit—only so much of that amount as does not exceed the deposit shall be payable; and
- (d) where two or more amounts are so determined and those amounts exceed in the aggregate the deposit—only so much of each such amount as bears to that amount the same proportion as that amount bears to the deposit shall be paid.

(9) The Registrar, if satisfied that the defalcation on which a claim is founded was actually committed, may allow the claim and act accordingly notwithstanding that the person who committed the defalcation has not been convicted or prosecuted therefor or that the evidence on which the Registrar acts would not be sufficient to establish the guilt of that person upon a trial in respect of the defalcation.

Return of
deposits.

13. (1) If any dealer who has lodged with the Account General a deposit as required by section 23 of the Act, ceases to carry on the business of a dealer, the Accountant-General may release to him the deposit or where any part thereof has previously been paid to a judgment creditor or to the trustee in bankruptcy or liquidator or where any claim in respect thereof has previously been allowed, the balance (if any) of the deposit so lodged—

- (a) on the expiration of three months after service on the Registrar of a notice in writing duly signed by or on behalf of the dealer stating that the dealer has ceased to carry on such business in Malaysia; and
- (b) on the Registrar being satisfied that the dealer has not from the date of service of the notice carried on such business in Malaysia; and
- (c) on the Registrar being satisfied that all the liabilities of the dealer in Malaysia in respect of such business are fully liquidated or provided for.

(2) The Registrar shall cause every notice served on him under this regulation, and also his decision with regard to the proposed release to be published at the cost of the applicant in such manner as the Registrar thinks fit.

14. The auditor's report required to be lodged under subsection (1) of section 49 of the Act shall be in the prescribed form and shall contain the documents necessary for due completion of the form.

Form of auditor's report.

15. (1) A dealer which is a member company shall cause accounts in the prescribed form in respect of the financial year to be prepared in relation to its business as a dealer.

(2) The assets and liabilities of the business shall be brought into account in the balance-sheet at such amounts and shall be classified and described therein in such manner that the balance-sheet gives a true and fair view of the state of affairs of the business as at the date to which it is made up.

(3) Any accounts prepared pursuant to sub-regulation (1) shall be signed by a director and the secretary in the company appointed in writing for that purpose by all the directors.

(4) A dealer which is not a member company shall prepare accounts in accordance with the provisions of the Companies Act 1965, in respect of the financial year of the corporation within the meaning of the Companies Act 1965, and shall attach to such accounts a statement in the prescribed form.

Act 125.

16. Where a document is by the Act or these Regulations required to be lodged with the Registrar but a period of time within which the document is to be lodged is not prescribed, the document shall be lodged within fourteen days after the happening of the event to which the document relates.

Time for document to be lodged.

17. (1) Section 12, Part V and Part VII of the Act shall not apply in respect of the carrying on of the business of dealing in securities by a bank if the bank carries on that business only as incidental to carrying on the business of banking and only by—

Exemptions of banks.

- (a) dealing in the debentures, stock or bonds of any Government or any statutory authority; and
- (b) accepting appointment as banker to an issue of securities and doing anything pursuant or incidental to the terms of such an appointment.

(2) Section 13 and Part V of the Act shall not apply in respect of any person employed by a bank to which sub-regulation (1) applies if the Act would not apply to him but for that employment.

(3) Section 13 and Part V of the Act shall not apply in respect of any person, employment by a bank, who is primarily engaged in the banking business of the bank in so far as he acts occasionally as a dealer's representative in relation to interests made available pursuant to Division 5 of Part IV of the Companies Act 1965, in relation to which that bank or a corporation which is its wholly owned subsidiary is the management company.

Act 125.

(4) Sub-regulation (3) shall not apply in respect of a person, employed by a bank, who, in respect of services rendered as a dealer's representative, receives commission or other remuneration other than ordinary salary in respect of employment by the bank.

Exemptions
of insurers
or trustees
of superannua-
tion schemes.

18. (1) Subject to compliance with sub-regulation (2), section 12, Part V and Part VII of the Act shall not apply in respect of an insurer or a trustee of a superannuation scheme who is a dealer within the meaning of the Act by reason only of occasionally dealing in securities incidental to the management and administration of insurance business or a superannuation scheme, as the case may be.

(2) A person to whom sub-regulation (1) applies shall lodge with the Registrar within two months after each financial year a statement in the prescribed form containing particulars of all dealings in securities which have been made by him, otherwise than with holders of dealer's licences and exempt dealers, during the last preceding year.

(3) Section 13 and Part V of the Act shall not apply in respect of any person employed by an insurer or a trustee of a superannuation scheme to whom sub-regulation (1) applies if the Act would not apply to him but for that employment.

Exemptions
of financial
institutions.

19. Section 44 to 47 of the Act shall not apply in respect of a financial institution if that financial institution carries on the business of dealing in securities by reason only of carrying out any function which the Registrar has certified to be one of its principal functions or doing anything incidental to the carrying out of such a function.

Exemptions
of manage-
ment
companies.
Act 125.

20. Section 40 of the Act shall not apply in respect of a management company if the management company carries on the business of dealing in securities by reason only of issuing and repurchasing interests made available pursuant to Division 5 of Part IV of the Companies Act 1965, by it.

Prescribed
circumstances.

21. For the purposes of section 38 (5) of the Act, a transaction takes place in prescribed circumstances if the said transaction takes place at any official trading on the trading floor of a stock exchange and during the market day as defined under the rules of the said stock exchange.

Notice
under
Section
104 (1).

22. A notice under section 104 (1) of the Act shall be given by—
(a) delivering a copy of the notice to the prescribed person personally;
(b) sending the notice by registered post addressed to the prescribed person at his usual or last known place of residence or business; or

- (c) leaving a copy of the notice at the last known place of residence or business of the prescribed person within a person apparently resident or employed at that place and apparently over the age of 18 years.

Notice under section 104 (1).

23. The Securities Industry Regulations 1976 is hereby repealed.

Repeal.
P. U. (A)
195/76.

24. The repeal effected by regulation 23 does not—

Saving Provisions.

- (a) affect the operation before the coming into effect of these Regulations of any of the regulations so repealed;
- (b) affect any licence approved, granted or issued under or by virtue of the regulations so repealed until the date when they expire;
- (c) affect any estate, right, title, interest, privilege, power, duty, obligation, liability, charge, or penalty created, acquired, accrued, exercisable, incurred, or imposed by or under, or liable to be imposed under, any of the regulations so repealed;
- (d) affect any notice, order, or direction, or any proceeding, matter, or thing presented, made, held, given, published, declared, or done under any of the regulations so repealed; or
- (e) affect any legal or other proceedings commenced before or after the coming into effect of these Regulations in respect of any of the matters or things mentioned in paragraphs (a) to (d).

FIRST SCHEDULE (Regulation 3)

LIST OF FORMS

(1) <i>Provisions of Act and Regulations for which Form prescribed</i>	(2) <i>Description of Form</i>	(3) <i>Number of Form in Second Schedule</i>
Section 8 (1)	Application for Approval of a Body Corporate as a Stock Exchange	1
16 (1)	Application for Dealer's Licence	2
12	Dealer's Licence	3
16 (1)	Application for Renewal of Dealer's Licence	4
16 (1)	Application for Investment Adviser's Licence	5
14	Investment Adviser's Licence	6
16 (1)	Application for Renewal of Investment Adviser's Licence	7

(1) Provisions of Act and Regulations for which Form prescribed	(2) Description of Form	(3) Number of Form in Second Schedule
16 (1)	Application for Representative's Licence	8
13	Dealer's Representative's Licence (for a member of the stock exchange)	9A
13	Dealer's Representative's Licence (for a non-member of the stock exchange)	9B
15	Investment Representative's Licence	10
16 (1)	Application for Renewal of Representative's Licence	11
19 (2)	Application by Representative for Variation of Particulars Relating to Principal	12
25	Notice of Particulars of Cessation or Change	13
30	Register of Securities	14
31 (1)	Notice of Place at which Register is to be kept ..	15
31 (1), (4)	Notice of Change of Place or Cessation of Keeping of Register	16
75 (1)	Notice Calling for Claims Against a Stock Exchange Fidelity Fund	17
76 (4)	Notice of Disallowance of Claim Against a Stock Exchange Fidelity Fund	18
Regulation		
12 (4)	Notice Calling for Claims Against Deposit Lodged with the Accountant-General	19
14	Auditor's Report for a Dealer which is a Member Company	20
14	Auditor's Report for a Dealer which is not a Member Company	21
15 (1)	Balance-Sheet and Profit and Loss Account to be Prepared by a Dealer which is a Member Company	22
15 (4)	Supplementary Statement	23

**SECOND SCHEDULE
(Regulation 3)**

Form 1

SECURITIES INDUSTRY ACT 1983

(Section 8 (1))

**APPLICATION FOR APPROVAL OF A BODY CORPORATE AS A
STOCK EXCHANGE**

Name of body corporate

.....

Date of incorporation

.....

Registered office Telephone No

Proposed name of stock exchange

Address of Trading Room.....

Hours of business.....

Number of member companies which will carry on business of dealing in securities independently of and in competition with each other:

Details of Members:

Name of Member	Residential Address	Date of Birth/ Incorporation	Name of Company	Business Address	Business(es) Conducted by Company	Number of Years' Experience in Dealing in Securities

I hereby apply to the Minister to approve the abovementioned body corporate as a stock exchange within the meaning of the Securities Industry Act 1983.

Dated this.....day of.....19.....

.....
Chairman

Form 2

SECURITIES INDUSTRY ACT 1983

(Seksyen 16 (1))

APPLICATION FOR DEALER'S LICENCE

Application is made for a dealer's licence under the Act and the following statements are made in respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexure(s). Any such annexure(s) should be identified as such and signed by the signatory to this application.

1. (a) Name of applicant
- (b) State whether the applicant intends to be a member company of a stock exchange
(Answer "Yes" or "No". If "Yes", name the stock exchange)

(c) Registered office
..... Telephone No.....

(d) Where business is to be carried on—

(i) at one address in Malaysia, state that address:

.....
..... Telephone No

(ii) at more than one address in Malaysia, state:

the principal address.....

..... Telephone No

each other address

.....

..... Telephone No

(e) As regards each director and the secretary—

<i>Name</i>	<i>NRIC No./ Passport No.</i>	<i>Office Held</i>	<i>Date of Appointment</i>	<i>Date of Birth</i>	<i>Residential Address</i>	<i>Academic or Professional Qualification</i>

(f) Is any director or the secretary of the applicant a director of any other corporation incorporated in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", name the corporations concerned and give dates of appointment):

.....
.....
.....

(g) Has any director or the secretary of the applicant an interest (as determined in accordance with section 4 of the Act) in one or more shares in any corporation incorporated in Malaysia or elsewhere, the aggregate of the nominal amount of which constitutes not less than ten per cent of the aggregate of the nominal amount of all the issued shares of the corporation?

(Answer "Yes" or "No". If "Yes", give details:

.....
.....
.....

Note—

This application must be accompanied by the last audited balance-sheet and profit and loss account certified as required by regulation 8 of the Securities Industry Regulations 1987 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;
- (b) there have, in their opinion, arisen any circumstances adversely affecting the corporation's trading or value of its assets;
- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries;
- (e) there are, since the last annual report, any changes in published reserves or any unusual factors affecting the profit of the corporation and its subsidiaries.

2. Has the applicant, or any director or the secretary of the applicant been—

- (a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?

(Answer "Yes" or "No". If "Yes", give details:

.....
.....
.....

- (b) licensed, registered or otherwise authorized to carry on any trade, business or profession in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

- (c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

- (d) subjected to any other form of disciplinary action by a professional body of which he is/was a member?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

3. (1) Is the applicant, or any shareholder, director or the secretary of the applicant, a member or partner in a member firm or director of a member company of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(2) Has any of the above persons been—

(a) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) expelled from or suspended from trading on or membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) subjected to any other form of disciplinary action by any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(3) If the answer to sub-paragraph (1) above is "Yes", has any of the above persons or the member firm or company of which he is a partner or director been granted any exemption from capital requirements by the committee of the stock exchanges as may be provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(4) Has the applicant any objection to the Registrar insisting upon a requirement that the liquid funds (as defined in the Note at the end of this form) of the applicant's business be not less than two hundred thousand ringgit or five per cent of the total liabilities, whichever is the greater?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

4. Has the applicant, or any director or the secretary of the applicant, ever carried on business under, or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

5. Has the applicant, or any shareholder, director or the secretary of the applicant, ever—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) at any time been placed under receivership, declared bankrupt, or compounded with or made an assignment for the benefit of his creditors in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

6. Details of shareholders of the applicant:

<i>Name</i>	<i>Address</i>	<i>No. and Percentage of shares held</i>

7. Has the applicant, or any director or the secretary of the applicant, had any experience in performing the functions of a dealer as defined in the Act?

(Answer "Yes" or "No". If "Yes", give details of experience over at least the immediately preceding five years):

.....
.....
.....

8. Details of two persons with whom each director and the secretary of the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the character and reputation of the respective director or secretary:

<i>Name</i>	<i>Address</i>	<i>Occupation</i>	<i>Name of director or secretary in respect of whom enquiries may be made</i>

9. Address of place at which applicant's register under Part V of the Act will be kept:

.....
.....

10. Has any director or the secretary of the applicant purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his own nominees, for or on behalf of his relatives) for his own account or if he is a partner in a member firm for or on behalf of his firm or if he is a director of a member company for or on behalf of his company during the twelve months immediately preceding the date of his application?

(Answer "Yes" or "No". If "Yes", give details including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....
.....

11. Any additional information considered relevant to this application:

.....
.....
.....

We (director) and
..... (secretary) declare that
all the information given in this application and in the attached annexures (if any) is true and correct.

Dated this.....day of.....19.....

Signed
(Director) (Secretary)

NOTE—

For the purposes of this form, "liquid funds" means the excess of total tangible assets over total liabilities, all assets being valued at a fair value but not in excess of the market value thereof, but does not include the value of—

- (i) the recognition of a member company by a stock exchange;
- (ii) furniture, fixtures, real estate and other fixed assets;
- (iii) securities which have no ready market;
- (iv) unsecured loans or advances made to a member of a stock exchange or a director of a member company of a stock exchange; and
- (v) amounts owed by clients and the recovery of which is considered doubtful.

No. D.

Form 3
SECURITIES INDUSTRY ACT 1983
(Seksyen 12)
DEALERS'S LICENCE

.....
of.....
is licensed under the Securities Industry Act 1983, subject to the following conditions:
.....
.....
.....
.....
.....

Unless previously cancelled, this licence will remain in force until the.....
day of.....19.....
Given under my hand and seal, at this
.....day of.....19.....

(SEAL)
Registrar of Companies

Form 4
SECURITIES INDUSTRY ACT 1983
(Seksyen 16 (1))
APPLICATION FOR RENEWAL OF DEALERS'S LICENCE

Application is made for renewal of dealer's licence No..... issued on
..... under the Act and the following statements are made in
respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexures(s). Any such
annexure(s) should be identified as such and signed by the signatory to this application.

- 1. (a) Licensee's name.....
- (b) Registered office.....
.....
..... Telephone No.....
- (c) Where business is carried on—
 - (i) at one address in Malaysia, state that address:
.....
..... Telephone No.....

(ii) at more than one address in Malaysia, state:

the principal address

.....

..... Telephone No

each other address.....

.....

..... Telephone No

(d) Address of place at which licensee's register under Part V of the Act will be kept:

2. State in detail any change in the nature of the activity since the date of the previous application for or renewal of a licence:

.....

.....

.....

3. Details of each director and the secretary of the licensee:

<i>Name</i>	<i>NRIC No./ Passport No.</i>	<i>Office Held</i>	<i>Date of appointment</i>	<i>Residential Address</i>	<i>Academic or Professional Qualification</i>

4. Details of the shareholders of the licensee:

<i>Name</i>	<i>Address</i>	<i>No. and Percentage of Shares Held</i>

5. Since the date of the previous application for licence or renewal, has any director or the secretary of the licensee—

(a) been appointed or ceased to act as director of any corporation incorporated in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) acquired an interest (as determined in accordance with section 4 of the Act) in one or more shares in any corporation incorporated in Malaysia or elsewhere, the aggregate of the nominal amount of which constitutes not less than ten per cent of the aggregate of the nominal amount of all the issued shares of the corporation?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

6. Since the date of the previous application for licence or renewal, has the licensee or any director or the secretary of the licensee been—

(a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(d) subjected to any other form of disciplinary action by a professional body of which he is/was a member?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

7. (1) Is the licensee, or any shareholder, director or the secretary of the licensee, a member or partner in a member firm or director of a member company of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(2) Since the date of the previous application for licence or renewal, has any of the above persons been—

(a) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) expelled from or suspended from trading on or membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) subjected to any other form of disciplinary action by any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(3) If the answer to sub-paragraph (1) above is "Yes", has any of the above persons been granted any exemption from capital requirements by the committee of the stock exchange as may be provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

8. Since the date of the previous application for licence or renewal, has the licensee or any director or the secretary of the licensee, carried on business under, or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

9. Since the date of the previous application for licence or renewal, has the licensee or any shareholder, any director or the secretary of the licensee—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) at any time been placed under receivership, declared bankrupt or compounded with or made an assignment for the benefit of his creditors in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

10. State the nature of any other business activity bring carried on by the licensee:

.....
.....
.....

11. Has any director or the secretary of the licensee purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his own nominees for or on behalf of his relatives) for his own account or if he is a partner in a member firm for or on behalf of his firm or if he is a director of a member company for or on behalf of his company during the twelve months immediately preceding the date of his application?

(Answer "Yes" or "No". If "Yes", give details including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....
.....
.....

We (director) and (secretary) declare that all information given in this application and in the attached annexure(s) (if any) is true and correct.

Dated this.....day of.....19.....

Signed (Director) (Secretary)

NOTE—

This application must be accompanied by the last audited balance-sheet and profit and loss account certified as required by regulation 8 of the Securities Industry Regulations 1987 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;
- (b) there have, in their opinion, arisen any circumstances adversely affecting the corporations's trading or the value of its assets;

- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries; and
- (e) there are, since the last annual report, any changes in published reserves or any unusual factors affecting the profit of the corporation and its subsidiaries.

—

Form 5

SECURITIES INDUSTRY ACT 1983

(Seksyen 16 (1))

APPLICATION FOR INVESTMENT ADVISER'S LICENCE

Application is made for an investment adviser's licence under the Act and the following statements are made in respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexure (s). Any such annexure(s) should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—

- (a) Full name of applicant
- (b) Residential address
- Telephone No.
- (c) Date and place of birth
- (d) (i) If a Malaysian citizen give NRIC number
- (ii) If not a Malaysian citizen give passport number, place of issue and number of years applicant has resided in Malaysia
-
- (e) Academic/Professional qualification
- (f) Name or names under which business is to be carried on
-
- (g) Where business is to be carried on—
 - (i) at one address in Malaysia, state that address:
 -
 - Telephone No.

(ii) at more than one address in Malaysia, state:

the principal address

..... Telephone No.

each other address

.....

..... Telephone No.

(h) Is the applicant a director of any corporation incorporated in Malaysia or elsewhere? (Answer "Yes" or "No". If "Yes", name the corporations concerned and give dates of appointment):

.....

.....

.....

(i) Has the applicant an interest (as determined in accordance with section 4 of the Act) in one or more shares in any corporation incorporated in Malaysia or elsewhere, the aggregate of the nominal amount of which constitutes not less than ten per cent of the aggregate of the nominal amount of all the issued shares of the corporation? (Answer "Yes" or "No". If "Yes", give details):

.....

.....

.....

NOTE—

This application must be accompanied by a signed detailed statement of the applicant's assets and liabilities duly audited by an approved auditor.

2. Where the applicant is a corporation—

(a) Name of applicant

(b) Registered office

..... Telephone No.

(c) Where business is to be carried on—

(i) at one address in Malaysia, state that address:

.....

..... Telephone No.

(ii) at more than one address in Malaysia, state:

the principal address

.....

..... Telephone No.

each other address

.....

..... Telephone No.

(d) As regards each directors and the secretary—

Name	NRIC No./ Passport No.	Office Held	Date of Appointment	Date of Birth	Residential Address	Academic or Professional Qualification

(e) Is any director or the secretary of the applicant corporation a director of any other corporation incorporated in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", name the corporations concerned and give dates of appointment):

.....

(f) Has any director or the secretary of the applicant corporation an interest (as determined in accordance with section 4 of the Act) in one or more shares in any corporation incorporated in Malaysia or elsewhere, the aggregate of the nominal amount of which constitutes not less than ten per cent of the aggregate of the nominal amount of all the issued shares of the corporation?
(Answer "Yes" or "No". If "Yes", give details):

.....

NOTE—

In the case of a corporation, this application must be accompanied by the last audited balance-sheet and profit and loss account certified as required by regulation 8 of the Securities Industry Regulations 1987 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;
- (b) there have, in their opinion, arisen any circumstances adversely affecting the company's trading or the value of its assets;
- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries; and
- (e) there are, since the last annual report, any changes in published reserves or unusual factors affecting the profit of the corporation and its subsidiaries.

3. Has the applicant, or any director or the secretary of the applicant corporation, been—

(a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?
(Answer "Yes" or "No". If "Yes", give details):

.....

(b) licensed, registered or otherwise authorized to carry on any trade, business or profession in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(d) subjected to any other form of disciplinary action by a professional body of which he is/was a member?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

4. (1) Is the applicant or any shareholder, director or the secretary of the applicant corporation, a member or partner in a member firm or director of a member company of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(2) Has any of the above persons been—

(a) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) expelled from or suspended from trading on or membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) subjected to any other form of disciplinary action by any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(3) If the answer to sub-paragraph (1) above is "Yes", has any of the above persons or the member firm or company of which he is a partner or director been granted any exemption from the capital requirements by the committee of the stock exchange as may be provided in the rules of the stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

5. Has the applicant, or any director or the secretary of the applicant corporation, ever carried on business under, or been known by, any name other than the name of names shown in this application?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

6. Has the applicant, or any director or the secretary of the applicant corporation, ever—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) at any time been placed under receivership, declared bankrupt, or compounded with or made an assignment for the benefit of his creditors, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

7. Details of persons in partnership with whom the applicant intends carrying on business:

Name	Address	Telephone No.

8. (1) Where the applicant is an individual-set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the applicant's character and reputation:

<i>Name</i>	<i>Address</i>	<i>Occupation</i>

(2) Where the applicant is a corporation-set out below details of two persons with whom each director and the secretary of the applicant corporation has had regular contact over the past five years and of whom the Registrar may enquire regarding the character and reputation of the respective director or secretary:

<i>Name</i>	<i>Address</i>	<i>Occupation</i>	<i>Name of director or secretary in respect of whom enquiries may be made</i>

9. (1) State in detail the nature of the activity to be carried on which obliges the applicant to apply for an investment adviser's licence:

.....

.....

.....

(2) State the extent of experience claimed to qualify the applicant for an investment adviser's licence:

.....

.....

.....

(3) State the nature of any other business carried on by the applicant:

.....

.....

.....

(4) Is the business of investment adviser the principal business carried on by the applicant? (Answer "Yes" or "No". If "No", give details of the applicant's principal business):

.....

.....

.....

10. Address of place at which applicant's register under Part V of the Act will be kept:

.....

.....

11. Has the applicant, or any director or the secretary of the applicant corporation, purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his own nominees, for or on behalf of his relatives) for his own account or if he is a partner in a member firm for or on behalf of his firm or if he is a director of a member company for or on behalf of his company during the twelve months immediately preceding the date of his application?
 (Answer "Yes" or "No". If "Yes", give details including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....

.....

12. Any additional information considered relevant to this application:

.....

.....

.....

*I..... (individual applicant)/We..... (director) and (secretary) declare that all information given in this application and in the attached annexure (s) (if any) is true and correct.

Dated this day of 19.....

Signed.....
 (Individual applicant) (Director) (Secretary)

*Delete whichever is inapplicable.

Form 6

No. 1A

SECURITIES INDUSTRY ACT 1983
 (Section 14)
INVESTMENT ADVISER'S LICENCE

.....
 of.....
 is licensed under the Securities Industry Act 1983, subject to the following conditions:

.....

.....

.....

Unless previously cancelled, this licence will remain in force until the.....
 day of..... 19.....

Given under my hand and seal, at this day of.....
 19.....

(SEAL)

.....
Registrar of Companies

Form 7
SECURITIES INDUSTRY ACT 1983

(Section 16 (1))
**APPLICATION FOR RENEWAL OF INVESTMENT
ADVISER'S LICENCE**

Application is made for renewal of investment adviser's licence No
issued on under the Act and the following statements are
made in respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexure (s). Any such annexure (s) should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—

(a) Name of licensee

(b) Residential address

..... Telephone No.....

(c) Date of birth.....

(d) Name or names under which business is carried on

.....

(e) Where business is carried on—

(i) at one address in Malaysia, state that address:

.....
..... Telephone No.....

(ii) at more than one address in Malaysia, state:

the principal address

..... Telephone No.....

each other address.....

..... Telephone No.....

NOTE—

This application must be accompanied by a signed detailed statement of the licensee's assets and liabilities duly audited by an approved auditor.

2. Where the applicant is a corporation—

(a) Name

(b) Registered office

..... Telephone No.....

(c) Where business is carried on—

(i) at one address in Malaysia, state that address:

.....
 Telephone No.....

(ii) at more than one address in Malaysia, state:

the principal address.....
 Telephone No.....

each other address.....
 Telephone No.....

(d) As regards each director and the secretary

Name	NRIC No./ Passport No.	Office Held	Date of Appointment	Residential Address	Academic or Professional Qualification

NOTE—

In the case of a corporation, this application must be accompanied by the last audited balance sheet and profit and loss account certified as required by regulation 8 of the Securities Industry Regulations 1987 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;
- (b) there have, in their opinion, arisen any circumstances adversely affecting the corporation's trading or the value of its assets;
- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries; and
- (e) there are, since the last annual report, any changes in published reserves or any unusual factors affecting the profit of the corporation and its subsidiaries.

3. Since the date of the previous application for licence or renewal, has the licensee, or any director or the secretary of the licensee been—

- (a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?
 (Answer "Yes" or "No". If "Yes", give details):

.....

(b) licensed, registered or otherwise authorized to carry on any trade, business or profession in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(d) subjected to any other form of disciplinary action by a professional body of which he is/was a member?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

4. (1) Is the licensee, or any director or the secretary of the licensee corporation, a member or partner in a member firm or director of a member company of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(2) Since the date of the previous application for licence or renewal, has any of the above persons been—

(a) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) expelled from or suspended from trading on or membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) subjected to any other form of disciplinary action by any stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(3) If the answer to sub-paragraph (1) above is "Yes", has the licensee or the member firm or company of which he is a partner or director been granted any exemption from capital

requirements by the committee of the stock exchange as may be provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
(4) Since the date of the previous application for licence or renewal, has the licensee, or any director or the secretary of the licensee corporation—

(a) been appointed to or ceased to act as director of any corporation incorporated in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
(b) acquired an interest (as determined in accordance with section 4 of the Act) in one or more shares in any corporation incorporated in Malaysia or elsewhere, the aggregate of the nominal amount of which constitutes not less than ten per cent of the aggregate of the nominal amount of all the issued shares of the corporation?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
5. Since the date of the previous application for licence or renewal, has the licensee, or any director or the secretary of the licensee corporation, carried on business under, or been known by any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
6. Since the date of the previous application for licence or renewal, has the licensee, or any director or the secretary of the licensee corporation—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
(b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....
(c) at any time been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

7. Details of persons with whom the applicant carries on business whether in partnership or as members of a company:

<i>Name</i>	<i>Address</i>	<i>Telephone No.</i>

8. (1) State the nature of any other additional business or activity being carried on by the licensee since the date of the previous application for licence or renewal:

.....
.....
.....

(2) Is the business of investment adviser the principal business being carried on by the licensee?

(Answer "Yes" or "No". If "No", give details of the applicant's principal business):

.....
.....
.....

9. Address of place at which licensee's register under Part V of the Act will be kept:

.....
.....
.....

10. Has the licensee, or any director or the secretary of the licensee corporation, purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his/its own nominee for or on behalf of his relative), for his own account or if he is a partner in a firm for or on behalf of his firm or if he is a director of a company for or on behalf of his company during the twelve months immediately preceding the date of his application?

(Answer "Yes" or "No". If "Yes", give details including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....
.....
.....

* I (individual applicant)/We (director) and (secretary) declare that all information given in this application and in the attached annexure(s) (if any) is true and correct.

Dated this day of 19.....

Signed
(Individual licensee) (Director) (Secretary)

* Delete whichever is inapplicable.

Form 8

SECURITIES INDUSTRY ACT 1983

(Section 16 (1))

APPLICATION FOR REPRESENTATIVE'S LICENCE

Application is made for *a dealer's representative's licence/an investment representative's licence under the Act and the following statements are made in respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexure(s). Any such annexure(s) should be identified as such and signed by the signatory to this application.

- 1. (a) Full name of applicant
- (b) Residential address
- Telephone No.
- (c) Date and place of birth
- (d) Academic or professional qualification
- (e) (i) If a Malaysian citizen give NRIC number
- (ii) If not a Malaysian citizen give passport number, place of issue and number of years applicant has resided in Malaysia
-
- (f) Present occupation

(g) Name of principal

.....
.....

(h) Registered address of principal

.....
..... Telephone No.

(i) Business address of principal

.....
..... Telephone No.

(j) Nature of business conducted by principal

.....

(k) Present or intended relationship with the principal.

(tick the appropriate box):

(i) a director and shareholder

(ii) a nominee director of a corporate shareholder

(iii) If none of the above, please state the relationship:

.....
.....

(l) Present or intended remuneration or arrangement with principal.

(tick the appropriate box):

(i) as a commissioned representative

(ii) as a salaried representative

(iii) if none of the above, please state the remuneration or arrangement:

.....
.....

2. Has the applicant been—

(a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) licensed, registered or otherwise authorized to carry on any trade, business or profession in Malaysia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) refused the right to carry on any trade, business or profession for which a specified licence, registration or other authority is required, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(d) subjected to any other form of disciplinary action by a professional body of which he is/was a member?
(Answer "Yes" or "No." If "Yes", give details):

.....
.....
.....

3. Has the applicant ever been—

(a) a member or partner in a member firm or director of a member company of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) refused membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) expelled from or suspended from trading on or membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(d) subjected to any other form of disciplinary action by any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

**4. Has the applicant ever carried on any business under, or been known by, any name other than the name or names given in this application?
(Answer "Yes" or "No". If "Yes", give details):**

.....
.....
.....

5. Has the applicant ever—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) at any time been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

6. Details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the applicant's character and reputation:

<i>Name</i>	<i>Address</i>	<i>Occupation</i>

7. Address of place at which applicant's register under Part V of the Act will be kept:

.....
.....

8. Has the applicant purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his own nominees for or on behalf of his relatives) for his own account during the twelve months immediately preceding the date of his application?
(Answer "Yes" or "No". If "Yes", give details including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....
.....
.....

9. Any additional information considered relevant to this application:

.....
.....
.....

I declare that all information given in this application and in the attached annexure(s) (if any) is true and correct.

Dated this day of 19

Signed

NOTE—

This application should be accompanied by a certificate in or to the effect of the following form:

"CERTIFICATE

To the Registrar:

On the basis of due and diligent enquiry made of the background of the applicant named in this form and other information available, I/We believe him to be of good character and reputation and to have the competence and experience to perform the functions of a representative.

Dated this day of 19

Signature
(Partner/Director)

.....
(Secretary)

Full name
of signatory
(Partner/Director)

.....
(Secretary)

Form 9A

No. DR

SECURITIES INDUSTRY ACT 1983

(Section 13)

DEALER'S REPRESENTATIVE'S LICENCE

(for a member of the stock exchange)

.....
of
is licensed under the Securities Industry Act 1983, as a dealer's representative of
..... of

subject to the following conditions:

.....
.....
.....
.....
.....

Unless previously cancelled, this licence will remain in force until the.....
day of..... 19.....

Given under my hand and seal, at
this..... day of..... 19.....

(SEAL)

.....
Registrar of Companies

—
Form 9B

No. DR

SECURITIES INDUSTRY ACT 1983

(Section 13)

DEALER'S REPRESENTATIVE'S LICENCE
(for a non-member of the stock exchange)

.....
of.....

is licensed under the Securities Industry Act 1983, as a dealer's representative of.....

..... of.....

subject to the following conditions:

.....
.....
.....
.....
.....

Unless previously cancelled, this licence will remain in force until the.....
day of..... 19.....

Given under my hand and seal, at this..... day of.....
19.....

(SEAL)

.....
Registrar of Companies

Form 10

SECURITIES INDUSTRY ACT 1983

(Section 15)

INVESTMENT REPRESENTATIVE'S LICENCE

No. IR

.....
of.....
is licensed under the Securities Industry Act 1983, as an investment representative
of.....
of.....

subject to the following conditions:

.....
.....
.....
.....
.....

Unless previously cancelled, this licence will remain in force until the.....
day of.....19.....

Given under my hand and seal, at.....thisday of19

(SEAL)

.....
Registrar of Companies

Form 11

SECURITIES INDUSTRY ACT 1983

(Section 16 (1))

APPLICATION FOR RENEWAL OF REPRESENTATIVE'S LICENCE

Application is made for renewal of *dealer's representative's/investment
representative's licence No.....issued onunder
the Act and the following statements are made in respect thereof:

NOTE—

If space is insufficient to provide details, please attach annexure(s). Any such
annexures(s) should be identified as such and signed by the signatory to this application.

I. (1) Full name of licensee

(2) Residential address

.....

.....

..... Telephone No.

(3) Date of birth

(4) Name of principal

(5) Registered address of principal

.....

.....

..... Telephone No.

(6) Business address of principal

.....

.....

..... Telephone No.

(7) Nature of business conducted by principal

.....

.....

.....

(8) Present relationship with the principal.

(tick the appropriate box):

(i) a director and shareholder

(ii) a nominee director of a corporate shareholder

(iii) if none of the above, please state the relationship:

.....

.....

(9) Present remuneration or arrangement with principal.

(tick the appropriate box):

(i) as a commissioned representative

(ii) as a salaried representative

(iii) if none of the above, please state the remuneration or arrangement:

.....

.....

2. Since the date of the previous application for licence or renewal, has the licensee been—
- (a) licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities?
(Answer "Yes" or "No". If "Yes", give details):
.....
.....
.....
 - (b) licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):
.....
.....
.....
 - (c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):
.....
.....
.....
 - (d) subjected to any other form of disciplinary action by a professional body which he is/was a member?
(Answer "Yes" or "No". If "Yes", give details):
.....
.....
.....

3. (1) Is the licensee a member or partner in a member firm or director of a member company of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(2) Since the date of the previous application for licence or renewal, has the licensee been—
(a) refused membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) expelled from or suspended from trading on or membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) subjected to any other form of disciplinary action by any stock exchange?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

4. Since the date of the previous application for licence or renewal, has the licensee—

(a) been convicted of any offence, other than a traffic offence, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(b) had judgment given against him any civil proceeding, wherein fraud was alleged, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

(c) at any time been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors, in Malaysia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details):

.....
.....
.....

5. Address of place at which licensee's register under Part V of the Act will be kept:

.....
.....
.....

6. Has the licensee purchased or sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes a purchase or sale through his own nominees for or on behalf of his relatives) for his own account during the twelve months immediately preceding the date of his application?

(Answer "Yes" or "No". If "Yes", give detail including the number and description of shares, debentures, participatory interest, rights and options, the price or other consideration for the transaction and the date of the agreement for the transaction):

.....
.....
.....

I declare that all information given in this application and in the attached annexure(s) (if any) is true and correct.

Dated this.....day of.....19.....

Signed.....

NOTE—

This application should be accompanied by a certificate in or to the effect of the following form:

“CERTIFICATE

To the Registrar:

On the basis of due and diligent enquiry made of the background of the licensee named in this form and other information available, I/We believe him to be of good character and reputation and to have the competence and experience to perform the functions of a representative.

Dated this.....day of.....19.....

Signature
(Partner/Director) (Secretary)

Full name
of signatory
(Partner/Director) (Secretary)

* Delete whichever is inapplicable.

Form 12

SECURITIES INDUSTRY ACT 1983

(Section 19 (2))

**APPLICATION BY REPRESENTATIVE FOR VARIATION OF
PARTICULARS RELATING TO PRINCIPAL**

Application is hereby made for a variation of the name of the holder of *a dealer's licence/an investment adviser's on whose behalf the applicant may act.

1. (a) Full name of applicant
- (b) Licence No. of applicant
- (c) Residential address

2. (a) Name of principal whom the applicant proposes to represent
-
-
- (b) Business address of principal
-
- Telephone No.
- (c) Nature of business conducted by principal
-
-
- (d) Name of principal (if any) whom applicant has ceased, or intends to cease, to represent
-
3. Address of place at which applicant's register under Part V of the Act will be kept:
-
4. Set out the reason and any additional information considered relevant to this application:
-

NOTE—

Attach written acknowledgements respectively signed by the abovenamed principals in paragraph 2 (a) and (d) evidencing intention to employ or engage and to cease to employ or engage the applicant as a *dealer's representative/investment representative.

Dated this.....day of19.....

Signed.....

* Delete whichever is inapplicable.

Form 13

SECURITIES INDUSTRY ACT 1983

(Section 25)

NOTICE OF PARTICULARS OF CESSATION OR CHANGE

Name of licensee

Type of licence held.....

*Residential address/Registered office.....

.....

*I. CESSATION

On the.....day of.....19..... the holder of the licence ceased—

- * (a) as the holder of a dealer's licence, to carry on the business to which that licence relates.
- * (b) as the holder of an investment adviser's licence, to act as, or hold himself out to be, an investment adviser.

**(c)* as the holder of a representative's licence, to be employed or act in connection with the business carried on by the **dealer/investment adviser* named in that licence.

***2. CHANGE OF NAME**

On the.....day of.....19.....the name of the holder of the licence was changed from.....to

***3. CHANGE OF PARTICULARS AFFECTING A DEALER OR INVESTMENT ADVISER**

**(a)* On the.....day of.....19.....
..... ceased to be.....** a*
director/directors/secretary of the licensee.

**(b)* On the.....day of.....19.....
..... **was/were appointed *a director/*directors/*secretary* of the licensee.

**(c)* the address(es) at which the licensee carries on the business to which that licence relates was/were changed from
to

**(d)* the name or style under which the business is carried on was changed from.....
.....
.....

***4. CHANGE OF PARTICULARS AFFECTING A REPRESENTATIVE**

On the.....day of.....19.....

(a) the address of the principal place of business of the **dealer/investment adviser* on whose behalf the holder of that licence may act was changed from
to.....

(b) the name or style under which the business of the **dealer/investment adviser* on whose behalf the holder of that licence may act was changed from
to

Dated this.....day of.....19.....

Signature
(Licensee/Director and Secretary)

Full name
of signatory

Form 14
SECURITIES INDUSTRY ACT 1983
(Section 30)
SECURITIES INDUSTRY REGULATIONS 1987
(Regulation 18 (2))

REGISTER OF SECURITIES

Name of corporation
Class of security.....
Nominal value of each unit.....
Paid up value of each unit

<i>Date</i>	<i>Particulars*</i>	<i>Unit Price</i>	<i>Acquired</i>		<i>Disposal of</i>		<i>Balance in Units</i>
			<i>No. of Units</i>	<i>Cost</i>	<i>No. of Units</i>	<i>Proceeds</i>	

* State how securities are acquired or disposed of and if acquired or disposed of through a dealer, give the name of that dealer.

Form 15
SECURITIES INDUSTRY ACT 1983
(Section 31 (1))

NOTICE OF PLACE AT WHICH REGISTER IS TO BE KEPT

Full name.....
Capacity in which Part V of the Act applies.....
Registered office/Residential address

Telephone No

Business address.....

Telephone No

Name of employer (if any)

*Titles of *bona fide* newspapers or periodicals to which advice concerning securities is contributed or in which analyses or reports concerning securities are prepared for publication
.....
.....
.....

Place at which register is to be kept

Date of commencement of keeping register.....

Dated this.....day of.....19.....

†Signature

Full name
of signatory.....

* To be completed only in the case of financial journalists.

† For a corporation, to be signed by a director and secretary.

Form 16

SECURITIES INDUSTRY ACT 1983

(Section 31 (1), (4))

NOTICE OF CHANGE OF PLACE OR CESSATION OF KEEPING OF REGISTER

Full name.....

Capacity in which Part V of the Act applies.....

Registered office/residential address

.....

..... Telephone No

Business address.....

.....

..... Telephone No

1. CHANGE OF PLACE

(a) Address at which register was previously kept

.....
.....

(b) Address at which register is now to be kept.....

.....
.....

(c) Date of change.....

2. CESSATION OF KEEPING OF REGISTER

(a) On the day of19.....

I/the corporation ceased to keep a register of securities pursuant to Part V of the Act.

(b) Address where register of securities was kept prior to cessation

Dated this.....day of.....19.....

*Signature
Full name
of signatory.....

* For a corporation, to be signed by a director and secretary.

Form 17

SECURITIES INDUSTRY ACT 1983

(Section 75 (1))

**NOTICE CALLING FOR CLAIMS AGAINST A STOCK EXCHANGE
FIDELITY FUND**

In the matter of of

Notice is given that all persons claiming to have suffered pecuniary loss from a defalcation by the abovenamed.....or by any of his/its employees, in relation to any money or other property entrusted to or received by him/it or by any of his/its employees are required to deliver to the Committee of the * particulars of their claims, in writing, on or before theday of19.....

Subject to section 75 of the Act, claims not received by the said Committee on or before such date will not be admitted and no payment in respect thereof will be made from the fidelity fund.

Dated this.....day of.....19.....

.....
for and on behalf of the Committee of the
*

* Insert name of Stock Exchange

Form 18

SECURITIES INDUSTRY ACT 1983

(Section 76 (4))

**NOTICE OF DISALLOWANCE OF CLAIM AGAINST A STOCK EXCHANGE
FIDELITY FUND**

To:

In the matter of of

The Committee of * has considered your claim against the * Stock Exchange

Fidelity Fund in respect of pecuniary loss alleged to have been suffered from a defalcation by the abovenamed member of this Stock Exchange or by any of his/its employees.

The Committee has decided that having regard to all available evidence, the claim should be disallowed/partly disallowed to the extent set out hereunder and you are notified accordingly.

Dated this.....day of.....19.....

.....
for and on behalf of the Committee of the
.....

NOTE—

Attention is directed to section 76 (5) of the Act which provides: "Proceedings against a stock exchange in respect of a claim which has been disallowed by the committee shall not be commenced after the expiration of three months after service of notice of disallowance under subsection (4).".

* Insert name of Stock Exchange.

† Delete whichever is inapplicable.

Form 19

SECURITIES INDUSTRY ACT 1983

SECURITIES INDUSTRY REGULATIONS 1987

(Regulation 12 (4))

NOTICE CALLING FOR CLAIMS AGAINST DEPOSIT LODGED WITH THE ACCOUNTANT GENERAL

In the matter of of

Notice is given that all persons claiming to have suffered pecuniary loss from a defalcation committed by the abovementioned or by any of his/its employees, in relation to any money or other property entrusted to or received by him/it or by any of his/its employees, are required to deliver to the Registrar particulars of their claims, in writing, on or before the.....day of..... 19.....

Claims not received by the Registrar on or before such date will not be admitted and no payment in respect thereof will be made.

Dated this.....day.....19.....

.....
Registrar of Companies

Form 20

SECURITIES INDUSTRY ACT 1983

(Section 49 (1))

SECURITIES INDUSTRY REGULATIONS 1987

(Regulation 14)

AUDITOR'S REPORT FOR A DEALER WHICH IS A MEMBER COMPANY

Name of dealer.....

FINANCIAL YEAR ENDED

1. In my/our opinion the accounting and other records kept by the dealer comply with section 43 of the Act.

2. At..... (the designated date), I/we conducted a check or test examination of—

- (a) securities on hand and outstanding transactions—including confirmation from clients or other persons holding scrip;
- (b) clients' securities held for safe custody—including confirmation from clients and vouching of withdrawals;
- (c) clients' ledger—including the correctness of the trust account position at that date, the market value of security held for unpaid accounts and the possible incidence of any doubtful debts;
- (d) dealer's agents and such other ledgers or records as I/we considered it necessary to examine.

3. Commencing on....., I/we conducted a test examination of—

- (a) selected stocks or transactions from the point of purchase or receipt of securities to ultimate correct disposal and was/were satisfied that the securities were held by or on behalf of the dealer;
- (b) clients' securities held for safe custody—including confirmation from clients and vouching of withdrawals;
- (c) the balancing of scrip accounts;
- (d) operation and control of trust account procedures.

4. The examinations referred to in paragraphs 2 and 3 of this form were concluded to my/our satisfaction except for:

(State NONE or attach a report).

.....
.....
.....

5. From my/our test examinations and after making due inquiry, I am/we are of the opinion that—

- (a) internal control procedures are adequate having regard to the nature of the business of the dealer;
- (b) no client's securities have been pledged by the dealer for a sum in excess of the client's debt therefor;
- (c) securities lodged by clients for sale or for safe custody (or any other purpose) or purchased for clients and paid for by them have been held unencumbered by the dealer;
- (d) the trust account has been maintained during the year in accordance with section 44 of the Act and the accounting thereof is adequate—

*Errors or omissions noted during my/our test examinations have been reported in accordance with section 49 of the Act;

*No errors or omissions were noted during my/our test examinations.

6. I/We have inspected the dealer's licence and any conditions or restrictions thereon and any applicable conditions or restrictions thereon have been complied with.

7. I/We enclose the accounts of the dealer.

8. (1) I/We have conducted an audit of the assets and liabilities (including contingent liabilities and capital commitments) shown in the dealer's balance-sheet as at.....(which has been signed by the dealer or by the person(s) appointed to act on its behalf) and I/we have signed an unqualified report thereon that in my/our opinion it presents a true and fair view of the financial position of the business.

(2) The assets and liabilities of any nominee company controlled by the dealer or any other venture in which it has a financial interest are in my/our opinion not such as to affect adversely to a material extent the dealer's financial position.

(3) No restriction has been placed by my/our client on the scope of the audit and I/we have received all the information and explanations required.

(4) No other matter has arisen during the year which would have required me/us to report to the relevant authority pursuant to section 50 of the Act.

Date..... Signed
(Name of Firm)

Firm No. AF.....

Signed
(Name of Partner)

Approval No.....

NOTE—

- (1) * Delete the sentence which does not apply.
- (2) If the report is qualified, strike out the relevant paragraph(s) and/or sub-paragraph(s) and attach separate detailed report.

Form 21

SECURITIES INDUSTRY ACT 1983

(Section 49 (1))

SECURITIES INDUSTRY REGULATIONS 1987

(Regulation 14)

**AUDITOR'S REPORT FOR A DEALER WHICH IS NOT A
MEMBER COMPANY**

Name of dealer.....

FINANCIAL YEAR ENDED

To the Registrar of Companies.

1. After making due inquiry, I am/we are of the opinion that the transactions conducted by the dealer during the year were on the dealer's own account and were not conducted by order or on behalf of any client or principal.

2. In my/our opinion the accounting and other records kept by the dealer comply with section 43 of the Act so far as they are applicable to the type of transactions conducted by the dealer.

3. (1) I/We have conducted an audit of the assets and liabilities (including contingent liabilities and capital commitments) shown in the dealer's balance-sheet as at..... (which has been signed by the dealer or by the person(s) appointed to act on its behalf) and I/we have signed an unqualified report thereon that in my/our opinion it presents a true and fair view of the financial position of the business.

(2) The assets and liabilities of any nominee company controlled by the dealer are not such as to affect materially the financial position of the dealer.

(3) No restriction has been placed by my/our client on the scope of the audit and I/we have received all the information and explanations required.

(4) No other matter has arisen during the year which would have required me/us to report to the Registrar pursuant to section 50 of the Act.

4. I/We have inspected the dealer's licence and in my/our opinion any conditions or restrictions thereon have been complied with.

5. I/We enclose—

(a) the accounts of the dealer.

(b) the statement of the dealer pursuant to regulation 13 (4) of the Securities Industry Regulations 1987.

Date..... Signed

(Name of Firm)

Firm No. AF

Signed

(Name of Partner)

Approval No

NOTE—

If the report is qualified, strike out the relevant paragraph(s) and/or sub-paragraph(s) and attach separate detailed report.

Form 22

SECURITIES INDUSTRY ACT 1983

(Section 49 (1))

SECURITIES INDUSTRY REGULATIONS 1987

(Regulation 15 (1))

**BALANCE SHEET AND PROFIT AND LOSS ACCOUNT TO BE
PREPARED BY A DEALER WHICH IS A MEMBER COMPANY**

Name of Dealer.....

BALANCE SHEET AS AT.....

	<i>Last Year</i>		<i>This Year</i>	
	<i>19.....</i>		<i>19.....</i>	
	\$	\$	\$	\$
	_____	_____	_____	_____
SHAREHOLDERS' FUNDS				
These funds are invested as follows:				
Current Assets—				
Securities listed on a stock exchange—at lower of cost and market value (market value \$..... last year \$.....)	—		—	
Amounts owed by—	—		—	
Dealers (after providing for doubtful debts \$..... last year \$.....)				
Clients (after providing for doubtful debts \$..... last year \$.....)	—	—	—	—
	_____	_____	_____	_____
Sundry debtors and prepayments		—		—
Deposits—				
at call	—		—	
other	—	—	—	—
	_____	_____	_____	_____
Cash at bank—				
General account	—		—	
Trust account	—	—	—	—
Cash on hand		—		—
Other current assets (specify)—				
.....	—		—	
.....	—	—	—	—
	_____	_____	_____	_____
Less: Current Liabilities—				
Bank overdraft	—		—	
Sundry creditors	—		—	
Amounts owed to:				
Dealers	—		—	
Clients	—		—	

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
Clients (Trust Account)	—		—	
Stocks oversold (including provision for loss of \$.....)	—		—	
Provision for deferred revenue	—		—	
Provision for staff bonus	—		—	
Provision for holiday pay	—		—	
Provision for other (specify)	—		—	
Other current liabilities (sepcify):				
.....	—		—	
.....	—	—	—	—
	<hr/>	<hr/>	<hr/>	<hr/>
Net Current Assets		—		—
Non-current Assets—				
Investments:				
Furniture, fittings, equipment, motor vehicles, etc.—at cost less provision for depreciation \$..... last year \$.....	—		—	
Freehold property—at cost less provision for depreciation of buildings \$..... last year \$.....	—		—	
Other non-current assets (specify)—				
.....	—		—	
.....	—		—	
	<hr/>		<hr/>	
Less: Non-current Liabilities (sepcify)—				
.....	—		—	
.....	—		—	
	<hr/>		<hr/>	
	<hr/>		<hr/>	
Net Non-current Assets		—		—
		<hr/>		<hr/>
Total Net Assets ..		—		—
		<hr/>		<hr/>

**PROFIT AND LOSS STATEMENT FOR THE
YEAR ENDED.....**

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
Revenue—				
Brokerage		—		—
Underwriting commission		—		—

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
Profit (losses) on trading in securities		—		—
Dividends		—		—
Interest		—		—
Other revenue (specify):				
.....		—		—
.....		—		—
		<u> </u>		<u> </u>
Less: Expenses—				
Bad debts	—		—	
Doubtful debts	—		—	
Interest	—		—	
Salaries (including bonuses but excluding directors' salaries)	—		—	
Other expenses (specify):				
.....	—		—	
.....	—		—	
		<u> </u>		<u> </u>
Net Profit for the year (before directors' salaries)		<u> </u>		<u> </u>

**NOTES TO AND FORMING PART OF THE BALANCE SHEET AND
PROFIT AND LOSS ACCOUNT**

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
1. Contingent liabilities and capital commitments:				
(a) Underwriting and sub-underwritings—				
.....		—		—
.....		—		—
		<u> </u>		<u> </u>
Less: Sub-underwritten amounts included above	—		—	
.....	—		—	
		<u> </u>		<u> </u>
		<u> </u>		<u> </u>

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
(c) Uncalled amounts on securities	—	—	—	—
(b) Options (to include endorsements and options written)	—	—	—	—
(d) Other contingent liabilities and capital commitments—				
(i) Secured (specify):				
.....	—	—	—	—
.....	—	—	—	—
(ii) Unsecured (specify):				
.....	—	—	—	—
.....	—	—	—	—
2. The balance sheet does not include as an asset the recognition of a member company by (name of stock exchange)				
3. The balance sheet includes the following liabilities secured by assets included in the balance sheet (specify)—				
.....	—	—	—	—
.....	—	—	—	—
4. Liquid funds—				
Securities listed on a stock exchange (at a fair value not exceeding market value)	—	—	—	—
Amounts owed by:				
Dealers	—	—	—	—
Clients	—	—	—	—
Sundry debtors and prepayments	—	—	—	—
Deposits	—	—	—	—
Cash at bank	—	—	—	—
Other current assets not being excluded assets (as defined in the note at the end of this form) (specify):				
.....	—	—	—	—
	—	—	—	—

Less:

Current liabilities (as per balance sheet)	—	—	—	—
Non-current liabilities (as per balance sheet)	—	—	—	—
	_____	_____	_____	_____

Liquid funds		—	—
		_____	_____

This is the balance sheet of (name of dealer) at, and profit and loss statement and notes thereon for the year ended at that date, which have been drawn up in accordance with generally accepted accounting principles, so as to show a true and fair view of the financial position at, and of the financial results for the year ended at that date.

Signed
(Director) (Secretary)

Full name of signatory

Dated this.....day of19.....

Auditor's Report:

(To be made in accordance with section 174 of the Companies Act 1985)

.....
.....
.....

Dated at.....this.....day of19.....

Signed.....
(Name of Firm)

Firma No. AF.....

Signed.....
(Name of Partner)

Approval No.

NOTE:

For the purposes of this form, "excluded assets" means—

- (i) the recognition of a member company by a stock exchange;
- (ii) furniture, fixtures, real estate and other fixed assets;
- (iii) securities which have no ready market;
- (iv) unsecured loans or advances made to a member of a stock exchange or a director of a member company of a stock exchange; and
- (v) amounts owed by clients and the recovery of which is considered doubtful.

Form 23

SECURITIES INDUSTRY ACT 1983

(Section 49 (1))

SECURITIES INDUSTRY REGULATIONS 1987

(Regulation 15 (4))

SUPPLEMENTARY STATEMENT

To be prepared by a Dealer which is not a Member Company

Name of Dealer.....

1. The attached balance sheet and profit and loss statement, including the notes to and forming part of the accounts, are a true copy of the audited accounts of for the year ended....., and the attached auditor's report is a true copy of the auditor's report thereon.
2. The attached balance sheet and profit and loss statement have been drawn up in accordance with generally accepted accounting principles.
3. The following supplementary information is submitted in support of the attached balance sheet and profit and loss statement.

	<i>Last Year</i>		<i>This Year</i>	
	<i>19.....</i>		<i>19.....</i>	
	\$	\$	\$	\$
(a) Debtors—				
Amounts owed by:				
Dealers	—		—	
<i>Less: Provision for doubtful debts</i>	—	—	—	—
Clients	—			
<i>Less: Provision for doubtful debts</i>	—	—	—	—
Other debtors	—			
<i>Less: Provision for doubtful debts</i>	—	—	—	—
		<u> </u>		<u> </u>
		—		—
		<u> </u>		<u> </u>
(b) Deposits—				
At call	—		—	
Other	—	—	—	—
	<u> </u>	<u> </u>	<u> </u>	<u> </u>
(c) Cash at bank—				
General accounts	—		—	
Trust accounts	—	—	—	—
	<u> </u>	<u> </u>	<u> </u>	<u> </u>
(d) Creditors—				
Amounts owed to:				
Dealers	—		—	
Clients	—		—	
Other creditors	—	—	—	—
	<u> </u>	<u> </u>	<u> </u>	<u> </u>

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
(e) Stocks oversold (including provision for loss of \$.....)		—		—
		<hr/>		<hr/>
(f) Provisions—				
Income tax		—		—
		<hr/>		<hr/>
Deferred revenue	—		—	
Staff bonus	—		—	
Holiday pay	—		—	
Other (specify)	—	—	—	—
	<hr/>	<hr/>	<hr/>	<hr/>
(g) Profit and Loss Statement—		—		—
Revenue:		—		—
Brokerage		—		—
Underwriting commission		—		—
Profits (losses) on trading in securities		—		—
Dividends		—		—
Interest		—		—
Other revenue (specify)—				
.....		—		—
.....		—		—
		<hr/>		<hr/>
Less: Expenses—				
Bad debts	—		—	
Doubtful debts	—		—	
Interest	—		—	
Abnormal items (specify)	—		—	
Other expenses	—	—	—	—
	<hr/>	<hr/>	<hr/>	<hr/>
Profit for year before income tax and extraordinary items		—		—
Less: Provision for income tax		—		—
		<hr/>		<hr/>
Profit for year before extraordinary items		—		—
Extraordinary items (specify)	—	—	—	—
	<hr/>	<hr/>	<hr/>	<hr/>
Net profit for the year		—		—
		<hr/>		<hr/>

	<i>Last Year</i> 19.....		<i>This Year</i> 19.....	
	\$	\$	\$	\$
(h) Contingent liabilities and capital commitments—				
(i) Underwriting and sub-underwritings	—	—	—	—
	—	—	—	—
	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
<i>Less: Sub-underwritten amounts included above</i>	—	—	—	—
	—	—	—	—
	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
		—		—
(ii) Options (to include endorsements and options written)		—		—
		<u>—</u>		<u>—</u>
(iii) Uncalled amounts on securities		—		—
		<u>—</u>		<u>—</u>
(iv) Other contingent liabilities and capital commitments:				
(a) Secured (specify)—				
.....		—		—
.....		—		—
(b) Unsecured (specify)—				
.....		—		—
.....		—		—
		<u>—</u>		<u>—</u>
4. Liquid funds—				
Securities listed on a stock exchange (at a fair value not exceeding market value)	—		—	
Amounts owed by:				
Dealers	—		—	
Clients	—		—	
Sundry debtors and prepayments	—		—	
Deposits	—		—	
Cash at bank	—		—	
Other current assets not being excluded assets (as defined in the note at the end of this form) (specify):				
.....	—	—	—	—
	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
Less:				
Current liabilities (as per balance sheet)	—		—	
Non-current liabilities (as per balance sheet)	—	—	—	—
	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
Liquid funds		<u>—</u>		<u>—</u>

We certify that the above information is to the best of our knowledge and belief true and correct.

Dated this.....haribulan.....19.....

Signed.....
(Director) (Secretary)

Full name
of signatory

Auditor's (s') Report:

I/We report that in my/our opinion, according to the best of my/our information and explanations given to me/us and as shown by the accounting and other records of....., the above schedule of supplementary information relating to the accounts of the company has been properly drawn up so as to provide the information required by the Securities Industry Regulations 1987.

Dated this.....day of19.....

Signed.....
(Name of Firm)

Firm No. AF.....

Signed.....
(Name of Partner)

Approval No.

NOTE—

For the purposes of this form, "excluded assets" means:

- (i) the recognition of a member company by a stock exchange;
- (ii) furniture, fixtures, real estate and other fixed assets;
- (iii) securities which have no ready market;
- (iv) Unsecured loans or advances made to a member of a stock exchange or a director of a member company of a stock exchange; and
- (v) amounts owed by clients and the recovery of which is considered doubtful.

THIRD SCHEDULE

FEEES

(Regulation 11)

FEEES FOR APPLICATION OF LICENCE OR RENEWAL OF LICENCE AND FOR GRANT OR RENEWAL OF LICENCE

<i>Type of Licence</i>	<i>Fees Payable on Application for Licence or Renewal of Licence</i>	<i>Fees Payable on Grant or Renewal of Licence</i>
	\$	\$
1. Dealer's	50.00	2,000.00
2. Investment Adviser's (Corporation)	50.00	2,000.00
3. Investment Adviser's (Individual)	50.00	1,000.00
4. Representative's	50.00	200.00

FEEs FOR APPLICATION AND APPROVAL FOR VARIATION OF REPRESENTATIVE'S LICENCE

	\$
1. On application	50.00
2. On approval	100.00

OTHER FEES

<i>Type of Payment</i>	<i>Fees Payable</i>
	\$
1. Lodging or depositing documents	20.00
2. Perusal of register under section 26 (2)	10.00
3. A copy of extract of a register under section 26 or 35	10.00
4. A certified copy of a licence	50.00
5. Lodging any other applications to Registrar where no fees are specifically provided	50.00

Made the 7th September 1987.

[PP (S) 0.102/Vol. IV/(7); PN. (PU²) 135/II.]

DAIM BIN ZAINUDDIN,
Minister of Finance

