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**Form 4: Application for Secondary Market activities**

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| **Name of RMO** |  |
| **Registration No** |  |
| **Type of RMO** |  |
|  |  |
| A RMO must provide the SC with, among others, the following:   1. Its framework, policies and procedures in relation to the following: 2. Listing and trading of shares, investment notes or Islamic investment notes fund raised on its platform; 3. Operations as well as mechanisms to ensure fair market trading on its platform; 4. Disclosure of information (e.g., market structure, order types and interactions of orders); 5. Clearing and settlement; 6. Resources required to operate the secondary market including financial, technological and human resources; 7. Conflict of interest management; 8. Market surveillance and market transparency; 9. Monitor market misconduct; 10. Mechanisms to ensure resiliency, reliability and integrity of systems including security of critical systems; 11. Risk management of its overall platform; and 12. Any other relevant documentation to demonstrate compliance with paragraphs 13.33 and 13.43 (for RMO-ECF) and paragraphs 14.34 to 14.43 (for RMO-P2P) of the *Guidelines on Recognized Markets*. | |

**SUPPORTING DOCUMENTS**

|  |  |
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| **No.** | **Description** |
| 1 | Relevant documentation as detailed in the description above |
| 2 | Evidence of the approval of the board of directors and/or shareholders (where applicable) in relation to proposal on secondary market trading |

**ADDITIONAL INFORMATION**

|  |  |
| --- | --- |
| 1. Is there any other information relevant to this submission? |  |
| 1. Other relevant accompanying or supporting document(s). |  |

**DECLARATION**

|  |  |
| --- | --- |
| **True and Correct Information** | |
| We are aware that any representation to the Securities Commission Malaysia (SC) by whatever means or in any form that includes false or misleading statement can result in the SC taking action under section 369 of the *Capital Markets and Services Act 2007* (CMSA), or other provisions under the securities laws. In addition, it can adversely affect our (i) application or submission; and (ii) fit and proper standing to participate in the capital market industry.  *Section 369 is in relation to the submission of any false and misleading statement to the SC. Examples of information submitted to the SC include, but not limited to, notification and reporting to the SC, provision of supplementary information or clarification regarding a submission, and any other information the SC may request. Contravention of section 369 may result in imprisonment for a term not exceeding 10 years and shall also be liable to a fine not exceeding three million ringgit upon conviction.*  We hereby declare that all information provided in this submission, including its supporting materials, is true and correct, and the original signed version of this submission reflecting the same information provided is being kept at the named entity’s business address or the principal address or a designated place approved by the SC at all times. | |
|  |  |
| Signature (Director / Authorised Signatory\*) | Signature (Chief Executive / Responsible Person) |
| Full Name: | Full Name: |
| Designation: | Designation: |
| Date: | Date: |
| \*approved by the board of directors | |

Notes: Personal data provided by you in this form is required for purposes relating to the licensing, reporting or approving requirements under the CMSA. Failure to provide personal data required in this form will necessarily impair your registration status or any approval under the CMSA. Any personal data provided may also be disclosed to other supervisory or regulatory authorities for purposes of supervisory or regulatory oversight and compliance with the law. You are entitled, from time to time, to provide updated information relating to any personal data provided by contacting the SC’s Institution Supervision Department.