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**Form 5: Application for providing or carrying out**

**RMO - DAX other business model activities**

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| --- | --- |
| **Name of Recognized Market Operator (RMO)** |  |
| **Registration No** |  |
| **Type of Model** |  |
|  |  |
| RMO-DAX to provide the Securities Commission Malaysia (SC) with, among others, the following:   1. The RMO’s framework, rulebook amendments, policies and procedures in relation to— 2. in the case of an application for additional Digital Broker Model—    * 1. Proof of additional RM5 million in shareholders’ funds to be maintained at all times;      2. Onboarding/Assessment and Management of Digital Asset (DA) Sourcing;      3. Pricing Methodology;      4. DA Custody Management & Segregation from own Inventory;      5. Settlement Process with Investors and Counterparty;      6. Screening Process of Digital Assets Sourced;      7. Onchain DA movement from end-to-end;      8. Liquidity Risk Management; 3. in the case of an application for additional Order Book Model— 4. Market Surveillance Function; 5. Order Matching Logic / Rules; 6. Market Structure (including type of Market Orders); 7. Trading Rules (including Volatility Controls and Error Trade Management); 8. Trading Engine & Disclosure (pre-trade and post-trade); 9. Settlement and Clearing Processes; 10. System Error, Failure and Malfunction Management; 11. Market Making Processes (if applicable). 12. Any other relevant documentation to support the RMO’s application in relation to paragraph 15.27 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 providing or carrying out other business model |
| 3 | Other relevant documents |

**DECLARATION**

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| **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.