

ANNEXURE 4
CONSEQUENTIAL AMENDMENTS
for consistency with the Capital Markets and Services Act 2007 and
Securities Commission Malaysia Act 1993

RULES OF BURSA MALAYSIA DERIVATIVES BERHAD
CONSEQUENTIAL RULE AMENDMENTS FOR CONSISTENCY WITH THE CAPITAL MARKETS
AND SERVICES ACT 2007 (CMSA) AND SECURITIES COMMISSION MALAYSIA ACT 1993
(SCMA)

No.	EXISTING PROVISIONS	AMENDED PROVISIONS	
1.	201	<p>“Bank Negara Malaysia” means the Central Bank of Malaysia established under the Central Bank of Malaysia Ordinance 1958;</p>	<p>“Bank Negara Malaysia” means the Central Bank of Malaysia established under the Central Bank of Malaysia Ordinance 1958 <u>Central Bank of Malaysia Act 2009</u>;</p>
2.	201	<p>“Commission” means the Securities Commission established under the Securities Commission Act 1993;</p>	<p>“Commission” means the Securities Commission established under the Securities Commission <u>Malaysia Act</u> 1993;</p>
3.	201	<p>“Contract” means an Option or a Futures Contract;</p>	<p>“Contract” means an Option or a Futures Contract <u>a derivative as defined in Section 2 of the Capital Markets and Services Act which is traded on the Exchange or a Specified Exchange</u>;</p>
4.	201	<p>“Futures Broker” means a holder of a Capital Markets Services Licence who carries on the business of regulated activity of trading in futures contracts;</p>	<p>“Futures Broker” means a holder of a Capital Markets Services Licence who carries on the business of regulated activity of trading in futures contracts; <u>[Deleted]</u></p>
5.	201	<p>“Futures Contract” is a Contract and shall have the same meaning as is assigned to it in Section 2 of the Capital Markets and Services Act;</p>	<p>“Futures Contract” is a Contract and shall have the same meaning as is assigned to it in Section 2 of the Capital Markets and Services Act; <u>derivative that is traded on the Exchange or a Specified Exchange which creates an obligation for physical delivery or acceptance of physical delivery of the underlying instrument of such derivative, the quantity and quality of which is determined by the Exchange or that Specified Exchange, at a fixed date in the future at a fixed price, and which may be cash settled in lieu of physical delivery</u>;</p>
6.	201	<p>“Futures Fund Manager’s Representatives” means a holder of Capital Markets Services Representative’s Licence who carries on a regulated activity of fund management in relation to futures contracts;</p>	<p>“Futures Fund Manager’s Representatives” means a holder of Capital Markets Services Representative’s Licence who carries on a regulated activity of fund management in relation to futures contracts; <u>[Deleted]</u></p>
7.	201	<p>“Registered Representative” means a person who holds the Capital Markets</p>	<p>“Registered Representative” means a person who holds the Capital Markets</p>

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No.	EXISTING PROVISIONS		AMENDED PROVISIONS
		Services Representative's Licence to carry on a regulated activity of trading in futures contracts and who is nominated by a Trading Participant to be registered as provided under Rule 322 and whose registration has not been terminated;	Services Representative's Licence to carry on a regulated activity of trading in futures contracts and who is nominated by a Trading Participant to be registered as provided under Rule 322 and whose registration has not been terminated;
8.	201	"Securities Laws" means as defined in the Securities Commission Act 1993;	"Securities Laws" means as defined in the Securities Commission <u>Malaysia</u> Act 1993;
9.	301.7	Rule 301.7 All Participants shall be required to be a Clearing Participant or to enter into an arrangement with a Clearing Participant for the clearing of their Contracts. In the case of an Investment Bank, the Investment Bank shall be required to be a Clearing Participant.	Rule 301.7 All Participants shall be required to be a Clearing Participant or to enter into an arrangement with a Clearing Participant for the clearing of <u>any of their Contracts which are traded on the Exchange.</u> In the case of an Investment Bank, the Investment Bank shall be required to be a Clearing Participant.
10.	302.1	Rule 302 Trading Participant - Purpose Rule 302.1 Trading Participant must have as the purpose of their participation the conduct of a business as a Futures Broker. All such Participants having business interests other than those of a Futures Broker shall declare in writing to the Exchange all such other business interests and, notwithstanding the provisions herein contained, the Exchange shall have the absolute power to determine whether or not such other business interests may be continued and, if so, the conditions on which and the period for which they may be continued.	Rule 302 Trading Participant - Purpose Rule 302.1 Trading Participant must have as the purpose of their participation the conduct of a business as a <u>Futures Brokerholder of a Capital Markets Services Licence for dealing in derivatives.</u> All such Participants having business interests other than those of a <u>Futures Brokerholder of a Capital Markets Services Licence for dealing in derivatives.</u> shall declare in writing to the Exchange all such other business interests and, notwithstanding the provisions herein contained, the Exchange shall have the absolute power to determine whether or not such other business interests may be continued and, if so, the conditions on which and the period for which they may be continued.
11.	303	Trading Participants shall also be a holder of a valid Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts and have satisfied or will satisfy upon registration, the terms and conditions	Trading Participants shall also be a holder of a valid Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts <u>dealing in derivatives</u> and have satisfied or will satisfy upon registration, the

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	of, or imposed by the Commission related to, such licence.	terms and conditions of, or imposed by the Commission related to, such licence.
12.	304.2 Rule 304.2 A Trading Participant's rights shall cease for any period of suspension of participantship of that Trading Participant or for the duration when they cease to have the ability or access to the ability to clear their Contracts through the Clearing House; and shall cease permanently in the event of the participantship of the Trading Participant being terminated or the Trading Participant otherwise ceasing to be a Trading Participant unless otherwise directed by the Exchange.	Rule 304.2 A Trading Participant's rights shall cease for any period of suspension of participantship of that Trading Participant or for the duration when they cease to have the ability or access to the ability to clear <u>any of their Contracts which are traded on the Exchange</u> through the Clearing House; and shall cease permanently in the event of the participantship of the Trading Participant being terminated or the Trading Participant otherwise ceasing to be a Trading Participant unless otherwise directed by the Exchange.
13.	305.4(a) (i) and (ii) Rule 305.4 (a) Registration of trading participantship shall not be effective until: (i) the applicant has complied with this Rule 305, has obtained the Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts. In the case of an applicant who is a Universal Broker, Eligible Non-Universal Broker or Special Scheme Broker, in addition to being a Futures Broker it must also be a holder of Capital Markets Services Licence to carry on the business of regulated activity of dealing in securities. In the case of an applicant who is an Investment Bank, it must also be a licensed merchant bank and a holder of Capital Markets Services Licence to carry on the business of regulated activity of	Rule 305.4 (a) Registration of trading participantship shall not be effective until: (i) the applicant has complied with this Rule 305, has obtained the Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts <u>dealing in derivatives</u> . In the case of an applicant who is a Universal Broker, Eligible Non-Universal Broker or Special Scheme Broker, in addition to being a Futures Broker it must also be a holder of Capital Markets Services Licence to carry on the business of regulated activity of dealing in securities. In the case of an applicant who is an Investment Bank, it must also be a licensed merchant bank and a holder of

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		<p>dealing in securities; and</p> <p>(ii) the applicant is also or has been granted approval in principle by the Clearing House to be a Clearing Participant or, with the exception of an Investment Bank, has entered into arrangements satisfactory to the Exchange with a Clearing Participant for the clearing, settlement and exercise of Contracts of that applicant.</p>	<p>Capital — Markets Services Licence to carry on the business — of regulated activity of dealing in securities; and</p> <p>(ii) the applicant is also or has been granted approval in principle by the Clearing House to be a Clearing Participant or, with the exception of an Investment Bank, has entered into arrangements satisfactory to the Exchange with a Clearing Participant for the clearing, settlement and exercise of <u>the applicant's</u> Contracts <u>which are traded on the Exchange — of that applicant.</u></p>
14.	309.1(b) (ii)	(ii) satisfy the Exchange that it has taken or will take before the proposed date of resignation proper and adequate steps for the orderly winding down of its futures trading business;	(ii) satisfy the Exchange that it has taken or will take before the proposed date of resignation proper and adequate steps for the orderly winding down of its futures trading business <u>of dealing in derivatives;</u>
15.	309.1(b) (iv)	(iv) comply with such direction as may be issued by the Exchange in relation to the orderly winding down of its futures trading business; and	(iv) comply with such direction as may be issued by the Exchange in relation to the orderly winding down of its futures trading business <u>of dealing in derivatives;</u> and
16.	311B.2	Rule 311B.2 The Exchange may, decide in its absolute discretion to terminate the participantship of a Trading Participant in the event of any or all of the following namely, upon any order being made for the winding up of the Trading Participant or the appointment to the Trading participant of a receiver, statutory manager, provisional liquidator or upon the failure of the Trading	Rule 311B.2 The Exchange may, decide in its absolute discretion to terminate the participantship of a Trading Participant in the event of any or all of the following namely, upon any order being made for the winding up of the Trading Participant or the appointment to the Trading participant of a receiver, statutory manager, provisional liquidator or upon the

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		Participant to comply with these Rules or upon revocation of its Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts by the Commission pursuant to the Capital Markets and Services Act.	<p>failure of the Trading Participant to comply with these Rules or upon revocation of its Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts by the Commission pursuant to the Capital Markets and Services Act.</p> <p><u>The Exchange will, by notice in writing inform the Trading Participant of the termination and such termination shall take effect from the date specified in the notice.</u></p>	
17.	311C.1	<p>Rule 311C Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and Investment Bank</p> <p>Rule 311C.1</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and Investment Bank may at its discretion and in line with its commercial considerations, determine the structure of its futures broking activities, subject to the Rules hereinafter contained and to the requirements of the Rules of Bursa Securities.</p>	<p>Rule 311C Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and Investment Bank</p> <p>Rule 311C.1</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and Investment Bank may at its discretion and in line with its commercial considerations, determine the structure of its futures broking activities<u>business of dealing in derivatives</u>, subject to the Rules hereinafter contained and to the requirements of the Rules of Bursa Securities.</p>	
18.	Rule 311C.2(b) & (c)	<p>Rule 311C.2</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and/or Investment Bank not having a futures broking subsidiary but intends to carry out futures trading activities shall fulfil the following:-</p> <p>(b) apply for a Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts; and</p> <p>(c) its representatives shall pass the relevant examinations approved by the Exchange in consultation with the Commission, hold a Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts</p>	<p>Rule 311C.2</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and/or Investment Bank not having a futures broking <u>which holds a Capital Markets Services Licence to carry on the business of dealing in derivatives</u> but intends intending to carry out futures trading activities<u>dealing in derivatives</u> shall fulfil the following:-</p> <p>(b) apply for a Capital Markets Services Licence to carry on the business of regulated activity of trading in futures contracts<u>dealing in derivatives</u>; and</p> <p>(c) its representatives shall pass the relevant examinations approved by the Exchange in</p>	

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		and registered as a Registered Representative within the definition of these Rules.	consultation with the Commission, hold a Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts <u>business of dealing in derivatives</u> and registered as a Registered Representative within the definition of these Rules.
19.	311C.3	<p>Rule 311C.3</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and/or Investment Bank may carry out futures broking activities via its subsidiary or related company (being a subsidiary of the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's holding company) where the subsidiary or related company is a Trading Participant of the Exchange duly licensed pursuant to the Capital Markets and Services Act.</p>	<p>Rule 311C.3</p> <p>A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker and/or Investment Bank may carry out futures broking activities<u>dealing in derivatives</u> via its subsidiary or related company (being a subsidiary of the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's holding company) where the subsidiary or related company is a Trading Participant of the Exchange duly licensed pursuant to the Capital Markets and Services Act.</p>
20.	320A.1(b)	(b) not carry on the business of futures broking within Malaysia;	(b) not carry on the business of futures broking <u>dealing in derivatives</u> within Malaysia;
21.	320B.2	The Associate Participant's rights shall cease for any period of suspension of participantship of that Associate Participant or for the duration when it ceases to have the ability or access to the ability to clear its Contracts through the Clearing House; and shall cease permanently in the event of the participantship of the Associate Participant being terminated or the Associate Participant otherwise ceasing to be an Associate Participant unless otherwise directed by the Exchange.	The Associate Participant's rights shall cease for any period of suspension of participantship of that Associate Participant or for the duration when it ceases to have the ability or access to the ability to clear <u>any of its Contracts which are traded on the Exchange</u> through the Clearing House; and shall cease permanently in the event of the participantship of the Associate Participant being terminated or the Associate Participant otherwise ceasing to be an Associate Participant unless otherwise directed by the Exchange.
22.	320G.1(b)(ii)	(ii) satisfy the Exchange that it has taken or will take before the proposed date of resignation proper and adequate steps for the orderly winding down of its futures trading business;	(ii) satisfy the Exchange that it has taken or will take before the proposed date of resignation proper and adequate steps for the orderly winding down of its futures trading business <u>trading in Contracts</u> ;

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23.	320G.1(b)(iv)	(iv) comply with such direction as may be issued by the Exchange in relation to the orderly winding down of its futures trading business; and	(iv) comply with such direction as may be issued by the Exchange in relation to the orderly winding down of its futures trading <u>business trading in Contracts</u> ; and
24.	322.2(g)	(g) be a holder of Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts.	(g) be a holder of Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts <u>dealing in derivatives</u> .
25.	322.5	<p>Rule 322.5 Renewal of Registration</p> <p>(a) The registration of a Registered Representative shall be subject to renewal not later than fourteen (14) days from the date of the Commission's renewal of his Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts as evidenced by the date of issuance of the licence, by submitting a written application to the Exchange in such form as may be prescribed by the Exchange, and which shall be accompanied by:-</p> <p>(i) Confirmation or evidence in such form as may be issued by the Commission of the renewal of the Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts; and</p> <p>(ii) Payment of a non-refundable fee prescribed by the Exchange in accordance with Rule 322.4.</p> <p>(b) At any time after receipt of an application pursuant to this Rule, the Exchange may, as it</p>	<p>Rule 322.5 Renewal of Registration</p> <p>(a) The registration of a Registered Representative shall be subject to renewal not later than fourteen (14) days from the date of the Commission's renewal of his Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts as evidenced by the date of issuance of the licence, by submitting a written application to the Exchange in such form as may be prescribed by the Exchange, and which shall be accompanied by:-</p> <p>(i) Confirmation or evidence in such form as may be issued by the Commission of the renewal of the Capital Markets Services Representative's Licence for the regulated activity of trading in futures contracts; and</p> <p>(ii) Payment of a non-refundable fee prescribed by the Exchange in accordance with Rule 322.4.</p> <p>(b) At any time after receipt of</p>

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		<p>thinks fit, require an applicant to provide such additional information and/or documents as it may determine.</p> <p>(c) The Exchange may impose such other conditions or restrictions on a Registered Representative as it thinks fit at any time during the term of his registration.</p>	<p>an application pursuant to this Rule, the Exchange may, as it thinks fit, require an applicant to provide such additional information and/or documents as it may determine.</p> <p>(c) The Exchange may impose such other conditions or restrictions on a Registered Representative as it thinks fit at any time during the term of his registration.</p> <p>(c) The Exchange may impose such other conditions or restrictions on a Registered Representative as it thinks fit at any time during the term of his registration.</p> <p><i>[Deleted]</i></p>
26.	601.3(a), (b) and (c)	<p>Rule 601.3 Compliance - Internal Records</p> <p>(a) A Trading Participant shall maintain separately from other records which correctly record and explain trading in futures contracts by the Trading Participant on its own account.</p> <p>(b) A Trading Participant shall maintain records that set out the particulars of:</p> <p>(i) the instructions by a Client to trade in futures contracts;</p> <p>(ii) the date and time of receipt, sending and carrying out of those instructions;</p> <p>(iii) the person by whom those instructions are received, the person by whom they are sent and the person by whom they are carried out;</p> <p>(iv) the date and time of receipt, sending and carrying out of instructions to trade in futures contracts on</p>	<p>Rule 601.3 Compliance - Internal Records</p> <p>(a) A Trading Participant shall maintain separately from other records which correctly record and explain trading in futures <u>Contracts</u> by the Trading Participant on its own account.</p> <p>(b) A Trading Participant shall maintain records that set out the particulars of:</p> <p>(i) the instructions by a Client to trade in futures <u>Contracts</u>;</p> <p>(ii) the date and time of receipt, sending and carrying out of those instructions;</p> <p>(ii) the person by whom those instructions are received, the person by whom they are sent and the person by whom they are carried out;</p> <p>(iv) the date and time of receipt, sending and carrying out of</p>

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	<p>the holder's own account; and</p> <p>(v) the person by whom instructions of the kind referred to in rule 601.3(b)(iv) above are received, the person by whom they are sent and the person by whom they are carried out; and</p> <p>(vi) the source of funds used for the trading in futures contract on the holder's own account.</p> <p>(c) Without prejudice to Rule 601.3(b), a Trading Participant shall in relation to the particulars of an instruction by a Client to trade in futures contracts and to trade in futures contracts on the holder's own account, maintain the following particulars:</p> <p>(i) in the case of futures contracts that are neither eligible-exchange traded options nor futures options, a description of the futures contracts sufficient to identify the nature of the instruction, including;</p> <p style="padding-left: 40px;">(1) in the case of an eligible delivery agreement, a description of the instrument;</p> <p style="padding-left: 40px;">(2) in the case of an adjustment agreement, a description of the state of affairs that is the</p>	<p>instructions to trade in futures <u>contracts</u>Contracts on the holder's own account; and</p> <p>(iii) the person by whom instructions of the kind referred to in rule 601.3(b)(iv) above are received, the person by whom they are sent and the person by whom they are carried out; and</p> <p>(vi) the source of funds used for the trading in futures <u>contracts</u> on the holder's own account.</p> <p>(c) Without prejudice to Rule 601.3(b), a Trading Participant shall in relation to the particulars of an instruction by a Client to trade in futures <u>contracts</u> and to trade in futures <u>contracts</u> on the holder's own account, maintain the following particulars:</p> <p>(i) in the case of futures contracts that are neither eligible-exchange traded options nor futures options, a description of the futures contracts sufficient to identify the nature of the instruction, including;</p> <p style="padding-left: 40px;">(1) in the case of an eligible delivery agreement, a description of the instrument;</p> <p style="padding-left: 40px;">(1) in the case of an eligible delivery agreement, a description of the underlying instrument;</p>

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	<p>subject of the adjustment agreement; and</p> <p>(3) the month and year for the performance or settlement of the futures contracts;</p> <p>(ii) in the case of eligible exchange-traded options or futures options, a description of the options sufficient to identify the nature of the instruction, including;</p> <p>(1) in the case of an eligible-exchange traded option;</p> <p>(A) a description of the instrument or state of affairs that is the subject of the option; and</p> <p>(B) the price or value of the instrument or numerical level of the state of affairs that is the subject</p>	<p>(2) in the case of an adjustment agreement, a description of the state of affairs that is the subject of the adjustment agreement<u>Contract</u>; and</p> <p><u>(3) in the case of a Futures Contract,</u> the month and year for the performance or settlement of the Futures<u>eContracts</u>; and</p> <p><u>(4) in the case of an Option:</u></p> <p><u>(A) the price or value of the underlying instrument or numerical level of the state of affairs that is the subject of the Option at which the buyer of the Option may exercise the Option; and</u></p> <p><u>(B) whether the Option is a Call Option or a Put Option;</u></p>

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	<p>of the option at which the buyer of the option may exercise the option;</p> <p>(2) in the case of a futures option;</p> <p>(A) a description of the futures contract that is the subject of the option;</p> <p>(B) the month and year for the performance or settlement of the futures contract that is the subject of the option; and</p> <p>(C) the price of the futures contract that is the subject of the option at which the buyer of the</p>	<p>(ii) in the case of eligible exchange-traded options or futures options, a description of the options sufficient to identify the nature of the instruction, including;</p> <p>(1) in the case of an eligible exchange traded option;</p> <p>(A) a description of the instrument or state of affairs that is the subject of the option; and</p> <p>(B) the price or value of the instrument or numerical level of the state of affairs that is the subject of the option at which the buyer of the option may exercise the option;</p> <p>(2) in the case of a futures option;</p> <p>(A) a description of the futures contract</p>

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	<p style="text-align: right;">option may exercise the option; and</p> <p>(iii) whether the instruction;</p> <p>(1) is to buy futures contracts;</p> <p>(2) is to sell futures contracts;</p> <p>(3) in the case of eligible exchange-traded options or futures options, is to exercise the options; or</p> <p>(4) consists of a combination of two or more of the acts referred to in subparagraph (1),(2) or (3);</p> <p>(iv) the quantity or number of the futures contracts;</p> <p>(v) whether or not the instruction is intended to effect a liquidating trade;</p> <p>(vi) the conditions on which the instruction is to be carried out, including but not limited to whether an instruction is to be carried out at;</p> <p>(1) the market price; or</p> <p>(2) any particular price; and</p>	<p style="text-align: right;">that is the subject of the option;</p> <p>(B) the month and year for the performance or settlement of the futures contract that is the subject of the option; and</p> <p>(C) the price of the futures contract that is the subject of the option at which the buyer of the option may exercise the option; and</p> <p>(iii)(ii) whether the instruction;</p> <p>(1) is to buy futures contracts<u>Contracts</u>;</p> <p>(2) is to sell futures contracts<u>Contracts</u>;</p> <p>(3) in the case of eligible exchange-traded options or futures</p>

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	<p>(3) if the instruction is carried out, the price at which it had been carried out.</p>	<p>options, an Option, is to exercise the options<u>Option</u>; or</p> <p>(4) consists of a combination of two or more of the acts referred to in subparagraph h (1),(2) or (3);</p> <p>(+iii) the quantity or number of the futures<u>Contracts</u>;</p> <p>(+iv) whether or not the instruction is intended to effect a liquidating trade;</p> <p>(+iv) the conditions on which the instruction is to be carried out, including but not limited to whether an instruction is to be carried out at;</p> <p>(1) the market price; or</p> <p>(2) any particular price; and</p> <p>(3) if the instruction is carried out, the price at which it had been carried out.</p>
601A.1(a)	<p>Rule 601A Trading in Futures Contracts By Universal Brokers, Eligible Non-Universal Brokers, Special Scheme Brokers and Investment Banks</p> <p>Rule 601A.1</p>	<p>Rule 601A Trading in Futures Contracts<u>Dealing in Derivatives</u> By Universal Brokers, Eligible Non-Universal Brokers, Special Scheme Brokers and Investment Banks</p>

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		(a) A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank may carry out futures broking activities via its subsidiary or related company (being a subsidiary of the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's holding company, as the case may be) where the subsidiary or related company is a Trading Participant of the Exchange duly licensed pursuant to the Capital Markets and Services Act.	Rule 601A.1 (a) A Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank may carry out futures broking activities <u>the business of dealing in derivatives</u> via its subsidiary or related company (being a subsidiary of the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's holding company, as the case may be) where the subsidiary or related company is a Trading Participant of the Exchange duly licensed pursuant to the Capital Markets and Services Act.
27.	601A.2(a)	Rule 601A.2 Compliance Functions (a) Every Trading Participant shall designate one or more of its Compliance Officers who shall be responsible to ensure that the compliance functions in relation to the futures trading activities are being conducted at the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's and Investment Bank's principal offices and/or any of its branch office(s). However, the Compliance Officer need not be physically present at the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's principal offices and/or its branch office(s), unless otherwise required by the Exchange and/or Bursa Securities, in consultation with the Commission;	Rule 601A.2 Compliance Functions (a) Every Trading Participant shall designate one or more of its Compliance Officers who shall be responsible to ensure that the compliance functions in relation to the futures trading activities <u>business of dealing in derivatives</u> are being conducted at the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's and Investment Bank's principal offices and/or any of its branch office(s). However, the Compliance Officer need not be physically present at the Universal Broker's, Eligible Non-Universal Broker's, Special Scheme Broker's or Investment Bank's principal offices and/or its branch office(s), unless otherwise required by the Exchange and/or Bursa Securities, in consultation with the Commission;
28.	601A.2(b)	whereupon the Universal Broker, Eligible Non-Universal Broker, Special Scheme	whereupon the Universal Broker, Eligible Non-Universal Broker, Special

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		Broker and Investment Bank shall submit all compliance reports pertaining to the futures trading activities to the Trading Participant's Compliance Officer.	Scheme Broker and Investment Bank shall submit all compliance reports pertaining to the futures trading activities <u>business of dealing in derivatives</u> to the Trading Participant's Compliance Officer.
29.	601A.2(c)	(c) Notwithstanding the provision in Rule 601A.2(b) above, the responsibility for supervisory activities in respect of futures trading activities at the Universal Broker's, Eligible Non-Universal Broker's and Special Scheme Broker's principal office and/or branch office(s) shall at all times remain vested in the Trading Participant and its Compliance Officer.	(c) Notwithstanding the provision in Rule 601A.2(b) above, the responsibility for supervisory activities in respect of futures trading activities <u>the business of dealing in derivatives</u> at the Universal Broker's, Eligible Non-Universal Broker's and Special Scheme Broker's principal office and/or branch office(s) shall at all times remain vested in the Trading Participant and its Compliance Officer.
30.	601A.4	Rule 601A.4 Integrated Business Where a Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank intends to merge or amalgamate the futures trading activities being carried out by a Trading Participant with its other businesses as a Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank, the Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank shall at all times comply with:-	Rule 601A.4 Integrated Business Where a Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank intends to merge or amalgamate the futures trading activities <u>business of dealing in derivatives</u> being carried out by a Trading Participant with its other businesses as a Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank, the Universal Broker, Eligible Non-Universal Broker, Special Scheme Broker or Investment Bank shall at all times comply with:-
31.	602.2(a)(i) & (ii)	(a) For the purpose of calculating Adjusted Net Capital: (i) all futures and options contracts must be marked to their current market value; (ii) all unrealised profits and losses on all futures, options, forward and fixed price commitment contracts must be treated as realised profits and	(a) For the purpose of calculating Adjusted Net Capital: (i) all futures and options contracts <u>Contracts</u> must be marked to their current market value; (ii) all unrealised profits and losses on all futures, options <u>Contracts</u> ,

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		losses; and	forward and fixed price commitment contracts must be treated as realised profits and losses; and
32.	602.2(d) (x)	(x) the net debit balance arising from the marking-to-market or interim settlement of outstanding futures and/or option contracts held by Clients as at the close of business on the computation date;	(x) the net debit balance arising from the marking-to-market or interim settlement of outstanding futures and/or option <u>Contracts</u> held by Clients as at the close of business on the computation date;
33.	603.1(a) (iii)(D)	(D) not contain any term, the effect of which is to exclude or limit the liability of that Trading Participant, its employees, or its agents, to the Client for negligence, fraud or dishonesty, in relation to the Trading Participant's activities as a futures broker.	(D) not contain any term, the effect of which is to exclude or limit the liability of that Trading Participant, its employees, or its agents, to the Client for negligence, fraud or dishonesty, in relation to the Trading Participant's activities as a futures broker <u>business of dealing in derivatives</u> .
34.	603.4(a) (xi)	(xi) any other information as may be prescribed by the Capital Markets and Services Regulations 2007.	(xi) any other information as may be prescribed by the Capital Markets and Services Regulations 2007 <u>2012</u> .
35.	603.4(b) (vii)	(b) Monthly Statements The Trading Participant shall provide to each Client a monthly statement, within seven (7) days after the end of each calendar month showing: (vii) details of all Contracts of the Client, which have been Closed Out in that month, and for Futures Contracts, accounting of all realised profits and losses of the Client;	(b) Monthly Statements The Trading Participant shall provide to each Client a monthly statement, within seven (7) days after the end of each calendar month showing: (vii) details of all Contracts of the Client, which have been Closed Out in that month, and for Futures Contracts , accounting of all realised profits and losses of the Client;
36.	605.1(g)	Rule 605.1 General Compliance A Local Participant shall at all times act in a manner consistent with the promotion and protection of the goodwill and public image of the Exchange and its Participants, and in particular it shall be	Rule 605.1 General Compliance A Local Participant shall at all times act in a manner consistent with the promotion and protection of the goodwill and public image of the Exchange and its Participants, and in

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	<p>the responsibility of each Local Participant:</p> <p>(g) except for Associate Participants who are Clearing Participants, to ensure that all its Contracts are registered with the Clearing House in the name of its Nominating Participant as a Client of the Nominating Participant for the purposes of clearing Contracts so registered and to meet all Margin Calls;</p>	<p>particular it shall be the responsibility of each Local Participant:</p> <p>(g) except for Associate Participants who are Clearing Participants, to ensure that all its Contracts <u>which are traded on the Exchange</u> are registered with the Clearing House in the name of its Nominating Participant as a Client of the Nominating Participant for the purposes of clearing Contracts so registered and to meet all Margin Calls;</p>
37.	609(b)(ii))	Rule 609 Discretionary Account
	<p>(b) When the Trading Participant is duly authorised in writing by a Client to operate a discretionary account on behalf of a Client, it shall provide to the Client:</p> <p>[ii] a monthly statement, within seven (7) days after the end of each calendar month, showing the relevant information as stipulated in Rule 603.4(b), including:</p> <p>[A] the buying or selling of futures contract of which was an operation by the Trading Participant on the discretionary account;</p> <p>[B] particulars of futures contract;</p> <p>[C] a statement stating that the transaction in the contract note issued shall be subject to the rules of the relevant futures</p>	<p>(b) When the Trading Participant is duly authorised in writing by a Client to operate a discretionary account on behalf of a Client, it shall provide to the Client:</p> <p>[ii] a monthly statement, within seven (7) days after the end of each calendar month, showing the relevant information as stipulated in Rule 603.4(b), including:</p> <p>[A] the buying or selling of futures contract <u>Contracts</u> of which was an operation by the Trading Participant on the discretionary account;</p> <p>[B] particulars of futures contract <u>Contracts</u>;</p> <p>[C] a statement stating that the transaction in the</p>

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	<p>exchange;</p> <p>[D] in the case of an Option, the Exercise Price and the date by or on which the Holder of the Option, in order to exercise the Option, must declare an intention to exercise the Option;</p> <p>[E] the details of each outstanding call for a deposit or margin in respect of a futures contract that the holder had bought or sold on behalf of the Client and the buying or selling of which was on operation by the Trading Participant on the discretionary account;</p> <p>[F] Client's ledger balances;</p> <p>[G] the net realised profits or losses on Futures Contracts closed since the date of the previous statement;</p> <p>[H] all financial charges and credits to the Client's account since the previous statement; and</p>	<p>contract note issued shall be subject to the rules of the relevant futures <u>derivatives</u> exchange;</p> <p>[D] in the case of an Option, the Exercise Price and the date by or on which the Holder of the Option, in order to exercise the Option, must declare an intention to exercise the Option;</p> <p>[E] the details of each outstanding call for a deposit or margin in respect of a futures <u>contract</u> that the holder had bought or sold on behalf of the Client and the buying or selling of which was on operation by the Trading Participant on the discretionary account;</p> <p>[F] Client's ledger balances;</p> <p>[G] the net realised profits or losses on <u>Futures Contracts</u></p>

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		[I] other transactions to explain the exact position in the Client's account and the net unrealised profit or loss on all Open Positions on the Market.		closed since the date of the previous statement; [H] all financial charges and credits to the Client's account since the previous statement; and [I] other transactions to explain the exact position in the Client's account and the net unrealised profit or loss on all Open Positions on the Market.
38.	701.1(a)	<p>Rule 701.1</p> <p>(a) Unless otherwise provided in the Rules, all trading by Participants in Contracts shall be effected through the ATS in the manner stipulated in these Rules, the Trading Procedures or any other directives issued by the Exchange from time to time.</p>		<p>Rule 701.1</p> <p>(a) Unless otherwise provided in the Rules, all trading by Participants in Contracts <u>which are traded on the Exchange</u> shall be effected through the ATS in the manner stipulated in these Rules, the Trading Procedures or any other directives issued by the Exchange from time to time.</p>
39.	711.1(a)	<p>Rule 711 Trading on other Exchanges</p> <p>Rule 711.1</p> <p>(a) Subject to Rule 711.2, a Participant must not trade in contracts on another exchange, whether through a broker or participant of that other exchange, or otherwise, unless:</p> <p style="padding-left: 40px;">(i) the other exchange has been approved to operate a futures market in accordance with the Capital Markets and Services Act ("Other Exchange");</p>		<p>Rule 711 Trading on other Exchanges</p> <p>Rule 711.1</p> <p>(a) Subject to Rule 711.2, a Participant must not trade in contracts <u>Contracts</u> on another exchange, whether through a broker or participant of that other exchange, or otherwise, unless:</p> <p style="padding-left: 40px;">(i) the other exchange has been approved to operate a futures <u>derivatives</u> market in accordance with the Capital Markets and</p>

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		<p>(ii) the other exchange has been prescribed as a Specified Exchange by the Exchange in relation to any or all of the approved classes of futures contracts as defined in Section 105(3)(b) of the Capital Markets and Services Act; or</p> <p>(iii) the Participant is a participant of the Other Exchange and/or Specified Exchange,</p> <p>and a prior notification in writing has been given to the Exchange.</p>	<p>Services Act (“Other Exchange”);</p> <p>(ii) the other exchange has been prescribed as a Specified Exchange by the Exchange in relation to any or all of the approved classes of futures <u>contracts standardize d derivatives</u> as defined in Section 105(3)(b) of the Capital Markets and Services Act; or</p> <p>(iii) the Participant is a participant of the Other Exchange and/or Specified Exchange,</p> <p>and a prior notification in writing has been given to the Exchange.</p>
40.	711.2	<p>Rule 711.2</p> <p>Where after a notification in writing has been given to the Exchange pursuant to Rule 711.1(a) and subject to compliance with any terms and condition as may be imposed by the Exchange, a Participant trades or proposes to trade in contracts on the Other Exchange or Specified Exchange whether in consequence of an order received from a Client or otherwise, the Participant shall:</p>	<p>Rule 711.2</p> <p>Where after a notification in writing has been given to the Exchange pursuant to Rule 711.1(a) and subject to compliance with any terms and condition as may be imposed by the Exchange, a Participant trades or proposes to trade in contracts <u>Contracts</u> on the Other Exchange or Specified Exchange whether in consequence of an order received from a Client or otherwise, the Participant shall:</p>
41.	711.4	<p>Rule 711.4</p> <p>For the purpose of this Rule, “contracts” means “futures contracts” as defined in the Capital Markets and Services Act.</p>	<p>Rule 711.4</p> <p>For the purpose of this Rule, “contracts” means “futures contracts” as defined in the Capital Markets and Services Act. [Deleted]</p>
42.	Sch 2 Preamble and Items 1, 2, and 3, 5 and 8	<p>SCHEDULE 2</p> <p>RISK ASSOCIATED WITH FUTURES CONTRACT</p> <p>This Risk Disclosure Statement is as prescribed in the Capital Markets and Services Regulations 2007. All Trading Participants must furnish to all clients a</p>	<p>SCHEDULE 2</p> <p>RISK ASSOCIATED WITH FUTURES <u>CONTRACTS</u></p> <p>This Risk Disclosure Statement is as prescribed in the Capital Markets and Services Regulations 2007. All Trading Participants must furnish to all clients</p>

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	<p>document containing at minimum the terms prescribed in the following statement.</p> <hr/> <p>This brief statement does not disclose all of the risks and other significant aspects of trading in futures contracts. In light of the risks, you should undertake such transactions only if you understand the nature of the futures contracts (and contractual relationships) into which you are entering and the extent of your exposure to risk. Trading in futures contracts is not suitable for many members of the public. You should carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances.</p> <p style="text-align: center;">RISKS ASSOCIATED WITH FUTURES CONTRACTS</p> <p>1. Effect of “Leverage” or “Gearing”</p> <p>Transactions in futures contracts carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract so that transactions are “leveraged” or “geared”. A relatively small market movement will have proportionately larger impact on the funds you have deposited or will have to deposit - this may work against you as well as for you. You may sustain a total loss of initial margin funds and any additional funds deposited with the Futures Broker to maintain your position. If the market moves against your position or margin levels are increased you may be called upon to pay substantial additional funds on short notice to maintain your position. If you fail to comply with a request for additional funds within the time prescribed, your position may be liquidated at a loss as you will be liable for any</p>	<p>a document containing at minimum the terms prescribed in the following statement<u>Risk Disclosure Statement</u>.</p> <hr/> <p>This brief statement does not disclose all of the risks and other significant aspects of trading in futures—contracts<u>Contracts</u>. In light of the risks, you should undertake such transactions only if you understand the nature of the futures—contracts—<u>Contracts</u> (and contractual relationships) into which you are entering and the extent of your exposure to risk. Trading in futures<u>contracts</u><u>Contracts</u> is not suitable for many members of the public. You should carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances.</p> <p style="text-align: center;">RISKS ASSOCIATED WITH FUTURES CONTRACTS</p> <p>1. Effect of “Leverage” or “Gearing”</p> <p>Transactions in futures<u>contracts—Contracts</u> carry a high degree of risk. The amount of initial margin is small relative to the value of the futures—contract—a<u>Contract</u> so that transactions are “leveraged” or “geared”. A relatively small market movement will have proportionately larger impact on the funds you have deposited or will have to deposit - this may work against you as well as for you. You may sustain a total loss of initial margin funds and any additional funds deposited with the Futures—<u>Broker</u><u>Trading Participant</u> to maintain your position. If the market moves against your position or margin levels are increased you may be called upon to pay substantial additional funds on short notice to maintain your position. If you fail to</p>

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	<p>resulting deficit.</p> <p>2. Risk-reducing Orders or Strategies</p> <p>The placing of certain orders (e.g. “stop-loss” orders, where permitted under the business rules of an exchange company) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as “spread” and “straddle” positions may be as risky as taking simple “long” or “short” positions.</p> <p>3. Terms and Conditions of Contracts</p> <p>You should ask the Futures Broker with which you deal about the terms and conditions of the specific futures contracts which you are trading and associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying instrument of a futures contract and, in respect of futures contracts that are eligible exchange-traded options or futures options (“options”), expiration dates and restrictions on the time for exercise). Under certain circumstances the specifications of outstanding contracts (including the exercise price of an option) may be modified by the Exchange or clearing house to reflect changes in the underlying instrument or state of affairs that is the subject of the futures contract.</p> <p>5. Deposited Cash and Securities</p> <p>You should familiarise yourself with the protections accorded to money or other securities you deposit,</p>	<p>comply with a request for additional funds within the time prescribed, your position may be liquidated at a loss as you will be liable for any resulting deficit.</p> <p>2. Risk-reducing Orders or Strategies</p> <p>The placing of certain orders (e.g. “stop-loss” orders, where permitted under the business rules of an exchange company) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as “spread” and “straddle” positions may be as risky as taking simple “long” or “short” positions.</p> <p>3. Terms and Conditions of Contracts</p> <p>You should ask the Futures Broker with which you deal about the terms and conditions of the specific futures—contractsContracts which you are trading and associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying instrument of a futures contract and, in respect of futures—contracts that are eligible—exchange-traded options—or futures options (“options”)options, expiration dates and restrictions on the time for exercise). Under certain circumstances the specifications of outstanding contracts (including the exercise price of an option) may be modified by the Exchange or clearing house to reflect changes in the underlying</p>

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	<p>particularly in the event of a Futures Broker's insolvency or bankruptcy. The extent to which you may recover your money or securities may be governed by specific legislation.</p> <p>8. Trading Facilities</p> <p>Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or Futures Brokers. Such limits may vary - you should ask the Futures Broker with which you deal for details in this respect.</p>	<p>instrument or state of affairs that is the subject of the futures contract.</p> <p>5. Deposited Cash and Securities</p> <p>You should familiarise yourself with the protections accorded to money or other securities you deposit, particularly in the event of a Futures Broker<u>Trading Participant's</u> insolvency or bankruptcy. The extent to which you may recover your money or securities may be governed by specific legislation.</p> <p>8. Trading Facilities</p> <p>Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or Futures Brokers<u>Trading Participants</u>. Such limits may vary - you should ask the Futures Broker<u>Trading Participant</u> with which you deal for details in this respect.</p>
43.	<p>Schedule 4, preamble to Subordinated Loan Agreement</p> <p>WHEREAS</p> <p>(i) The Borrower is a duly licensed futures broker and a Trading Participant of the Exchange.</p>	<p>WHEREAS</p> <p>(i) The Borrower is a duly licensed futures broker and a<u>duly licensed futures broker and a</u> Trading Participant of the Exchange.</p>
44.	<p>Guideline 2.2,</p> <p>5. Receivables from other licensed futures brokers</p>	<p>5. Receivables from other licensed futures brokers<u>Trading</u></p>

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	<p>para 2.2.1, item 5, 6, 21 and 22</p> <p>a) Cash and settlement receivables b) Marketable securities c) Net long Option value d) Security deposit e) Others f) Allowances for doubtful accounts</p> <p>6. Receivables from foreign futures brokers</p> <p>a) Cash and settlement receivables b) Marketable securities c) Net long Option value d) Security deposit e) Others f) Allowances for doubtful accounts</p> <p>21. Payables to other licensed futures brokers</p> <p>22. Payables to foreign futures brokers</p>	<p><u>Participants</u></p> <p>a) Cash and settlement receivables b) Marketable securities c) Net long Option value d) Security deposit e) Others f) Allowances for doubtful accounts</p> <p>6. Receivables from foreign futures brokers</p> <p>a) Cash and settlement receivables b) Marketable securities c) Net long Option value d) Security deposit e) Others f) Allowances for doubtful accounts</p> <p>21. Payables to other licensed futures <u>Trading Participants</u></p> <p>22. Payables to foreign futures brokers</p>
45.	<p>Guideline 2.4, para 2.4.1 – Item 2, 10 and 11</p> <p>2. Net profit/(loss) in open Futures Contracts</p> <p>10. Exchange-traded Option</p> <p>a) Current market value of open long Option contracts b) Current market value of open short Option contracts</p> <p>11. Net equity with other licensed futures brokers</p> <p>a) Net equity b) Securities held as margin c) Foreign currencies held as collateral</p>	<p>2. Net profit/(loss) in open Futures <u>Contracts</u></p> <p>10. Exchange-traded Option</p> <p>c) Current market value of open long Option contracts d) Current market value of open short Option contracts</p> <p>11. Net equity with other licensed futures <u>Trading Participants</u></p> <p>a) Net equity b) Securities held as margin c) Foreign currencies held as collateral</p>

[End of consequential rule amendments]