

SCHEDULE 1
[Rule 3.48]

DEALER'S REPRESENTATIVE'S SCOPE OF ACTIVITIES

	Activities
(a) Commissioned Dealer's Representative	<ul style="list-style-type: none"> ▪ A Commissioned Dealer's Representative can trade on behalf of Clients only and cannot execute proprietary trading for the Commissioned Dealer's Representative's Participating Organisation ▪ A Commissioned Dealer's Representative can execute any other trading activity the Commission permits except Day Trading
(b) Salaried Dealer's Representative	<ul style="list-style-type: none"> ▪ A Salaried Dealer's Representative can execute proprietary trading for the Salaried Dealer's Representative's Participating Organisation (only if not trading on behalf of Clients or a client of a holder of a Capital Markets Services Licence for dealing in derivatives) including trades executed for the Participating Organisation's Related Corporations referred to in Rule 7.04. ▪ If a Salaried Dealer's Representative trades on behalf of Clients or a client of a holder of a Capital Markets Services Licence for dealing in derivatives, he can only do so if he is not doing proprietary trading for the Salaried Dealer's Representative's Participating Organisation or its Related Corporations ▪ A Salaried Dealer's Representative can execute any other trading activity the Commission permits except Day Trading
(c) Proprietary Day Trader	<ul style="list-style-type: none"> ▪ A Proprietary Day Trader can only execute Day Trading on behalf of a Participating Organisation ▪ A Proprietary Day Trader cannot trade on behalf of Clients or clients of a holder of a Capital Markets Services Licence for dealing in derivatives ▪ <i>[Deleted]</i> ▪ A Proprietary Day Trader can execute any other trading activity the Commission permits

[End of Schedule]

SCHEDULE 2
[Chapters 7 & 9]

DELIVERY AND SETTLEMENT TIME FOR ON-MARKET TRANSACTIONS

Type of Contract	Tradeable Balance in seller's account (Rule 9.03(1))	Payment to selling Client (Rule 9.09(1))	Delivery to buyer (Rule 9.03(2))	Payment by buying Client (Rule 9.09(2))	Selling-out (Rule 9.12(1))
Ready Basis	For first batch settlement-run: T+1 by 4.30 p.m. For second batch settlement-run: T+2 by 11.30 a.m.*	T+2, not later than 2.00 p.m.	For first batch settlement-run: T+2, not later than 10.00 a.m. For second batch settlement-run: T+2, not later than 2.00 p.m.	T+2, not later than 2.00 p.m.	T+2 from 2.00 p.m. until T+3
Immediate Basis	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>

* The Exchange will only commence buying-in without notice under Rule 9.05(1) if the Participating Organisation fails to have the quantity of securities sold in the Contract as the Tradeable Balance in the Securities Account used for the sale by the time stipulated for second batch settlement-run.

[End of Schedule]

SCHEDULE 3
[Rule 10.03]

DELIVERY AND SETTLEMENT TIME FOR DIRECT BUSINESS TRANSACTIONS

Type of Contract	Tradeable Balance in seller's account	Payment to selling Client	Delivery to buyer	Payment by buying Client	Selling Out
Ready Basis	For first batch settlement-run: T+1 by 4.30 p.m. For second batch settlement-run: T+2 by 11.30 a.m.	T+2, not later than 2.30 p.m.	For first batch settlement-run: T+2, not later than 11.00 a.m. For second batch settlement-run: T+2, not later than 3.00 p.m.	T+2, not later than 2.00 p.m.	T+2, from 2.00 p.m. until T+3
Immediate Basis	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>	<i>[Deleted]</i>

[End of Schedule]

SCHEDULE 4
[Rule 10.09(2)]

PRICES OF SECURITIES TRANSACTED IN DIRECT BUSINESS TRANSACTIONS

Price of securities	Transaction price
RM1 or more	15% or more above the PVWAP OR 15% or more below the PVWAP
less than RM1	15 sen or more above the PVWAP OR 15 sen or more below the PVWAP

* PVWAP means the VWAP of the securities on the preceding Market Day or, if no trade in respect of the securities was effected on the preceding Market Day, the VWAP of the securities on the last Market Day in which trades were conducted.

[End of Schedule]

SCHEDULE 5
[Rule 10.10(2)]

PRICES OF SECURITIES TRANSACTED IN DIRECT BUSINESS TRANSACTIONS FOR THE FIRST DAY OF TRADING OF SECURITIES UPLIFTED FROM TRADING HALT OR SUSPENSION, LISTED AND QUOTED AND TRADING EX-ENTITLEMENT OR AFTER A CORPORATE ACTION

Transaction Price			
When there are trades in the first trading session		When there are no trades in the first trading session	
RM 1 or more	15% or more above the VWAP of the first trading session OR 15% or more below the VWAP of the first trading session	RM 1 or more	15% or more above the Reference Price OR 15% or more below the Reference Price
Less than RM 1	15 sen or more above the VWAP of the first trading session OR 15 sen or more below the VWAP of the first trading session	Less than RM 1	15 sen or more above the Reference Price OR 15 sen or more below the Reference Price

[End of Schedule]

SCHEDULE 6
[Rule 11.02 & 11.03]

COMMISSION RATES*

	Type of Trade	Basis for determining commission	Minimum commission	Maximum commission
(a)	Online Routed Trades	Fully negotiable	Not applicable	Not applicable
(b)	Trades paid for by Cash Upfront	Fully negotiable	Not applicable	Not applicable
(c)	Direct Business Transactions	Fully negotiable	Not applicable	Not applicable
(d)	All trades in securities executed in Board Lots except for trades specifically mentioned in the other items this table and trades in securities provided at items (d)(i), (d)(ii) and (d)(iii) below	Negotiable subject to the minimum and maximum commission, whichever is higher	Minimum Fixed Commission	0.7% of the Contract Value
	(i) ABFMY1 trades (including ABFMY1 Intraday Trades)	Negotiable subject to the minimum and maximum commission, whichever is higher	RM12.00	0.3% of the Contract Value
	(ii) ETB trades (including ETB Intraday Trades)	Negotiable subject to the maximum commission	Not applicable	0.3% of the Contract Value
	(iii) Trades in securities on the LEAP Market	Fully negotiable	Not applicable	Not applicable
(e)	All trades in securities executed in less than a Board Lot except for trades specifically mentioned in the other items in this table	Fully negotiable	Not applicable	Not applicable
(f)	ISSBNT trades	Fully negotiable	Not applicable	Not applicable

* Notes:

- (1) For transactions in securities denominated in foreign currency, the commission rate will be stipulated by the Exchange in the Directives.
- (2) Cash Upfront refers to full payment by the buying Client to the buying Client's Participating Organisation for the purchase of securities prior to the entry of the order to purchase into the

As at 1 September 2018

ATS. For the purposes of this Schedule, the “full payment” in the definition of Cash Upfront must be in the form of cash or any other mode of payment where clearance of or good value is given to the mode of payment prior to the entry of the order.

- (3) Online Routed Trade refers to trade arising from an order routed by a Client to the Participating Organisation through an electronic order routing system for submission into ATS and includes an order routed through Direct Market Access.
- (4) Minimum Fixed Commission means:
 - (a) for trade other than Retail Trade
 - (i) on transactions in loan instruments RM2.00; and
 - (ii) on any other transaction RM40.00.
 - (b) for Retail Trade
 - (i) where the Contract Value is RM100,000 or below, the minimum commission payable shall be calculated at 0.6% of the Contract Value or the amount prescribed under paragraph 4(a) above, whichever is higher;
 - (ii) where the Contract Value exceeds RM100,000, the minimum commission payable shall be calculated at 0.3% of the Contract Value or the amount prescribed under paragraph 4(a) above, whichever is higher; and
 - (iii) where the trade is an Intraday Trade, the minimum commission payable shall be calculated at 0.15% of the Contract Value or the amount prescribed under paragraph 4(a) above, whichever is higher.
 - (c) Notwithstanding paragraph 4(b) above, for transactions by employees, Dealer’s Representatives and Trading Representatives, the minimum commission payable shall be the amount prescribed under paragraph 4(a) above.

[End of Schedule]

**SCHEDULE 7
[Rule11.04]**

SC Levy

		SC Levy to be paid from or by:	Proportion
(a)	If both commission and clearing fee are payable on the Transaction:	The clearing fee payable to the Clearing House under the Clearing House Rules	Half of the SC Levy being 0.0075% of the price of the Transaction*
		The commission payable by the buyer or the seller to the buyer's or seller's Participating Organisation	Half of the SC Levy being 0.0075% of the price of the Transaction
(b)	If only commission is payable on the Transaction:	The commission payable by the buyer or the seller to the buyer's or seller's Participating Organisation	The entire SC Levy being 0.015% of the price of the Transaction
(c)	If only clearing fee is payable on the Transaction:	The clearing fee payable to the Clearing House under the Clearing House Rules	Half of the SC Levy being 0.0075% of the price of the Transaction*
		The buyer's or the seller's Participating Organisation	Half of the SC Levy being 0.0075% of the price of the Transaction
(d)	If neither commission nor clearing fee is payable on the Transaction:	The buyer's and the seller's Participating Organisation	The entire SC Levy being 0.015% of the price of the Transaction

*If the clearing fee is subject to a ceiling, there will be corresponding ceiling on the SC Levy payable from the clearing fee as the Securities Commission (Levy on Securities Transactions) Order 1995 stipulates.

[End of Schedule]