

PARTICIPATING ORGANISATIONS' CIRCULAR

Date : 30 November 2018

No : R/R 14 of 2018

**AMENDMENTS TO THE RULES AND DIRECTIVES OF BURSA MALAYSIA
SECURITIES BERHAD (“BMS RULES AND DIRECTIVES”) IN RELATION TO THE
INTRODUCTION OF E-REPORTING**

1.0 INTRODUCTION

- 1.1 Presently, the submission of periodic reports by the Participating Organisations to Bursa Malaysia Securities Berhad (“**the Exchange**”) is done vide FIX transmission, whereas the monthly report on Off-Balance Sheet transactions is submitted vide email.
- 1.2 In order to enhance the operational efficiency of the Participating Organisations in respect of the submission of periodic reports and the monthly report on Off-Balance Sheet transactions, the Exchange is introducing a web based reporting facility to facilitate the electronic submission of reports to the Exchange (“**e-reporting**”).
- 1.3 Pursuant to the introduction of e-reporting, and also in order to simplify the relevant reporting requirements, the BMS Rules and Directives are amended as set out in paragraph 2 below.

2.0 AMENDMENTS TO THE RULES AND DIRECTIVES

- 2.1 The key amendments are as follows:
- (a) In relation to the submission of periodic reports under Directive No. 2.01(2)-004 (Directives on Submission of Periodic Reports), amendments are made to remove the prescription that submission be made vide FIX transmission and to replace the same with electronic transmission instead. Amendments are also made to remove redundancies and clarify the responsibility of the Head of Compliance and Head of Operations to ensure accuracy; and
- (b) In relation to the submission of the report on Off-Balance Sheet transactions under new Directive No. 12-003 (Directive on Off-Balance Sheet transactions, previously Directive No.7-002), amendments are made to state, consistent with the amendments in relation to periodic reports, that the submission of the report is to be made vide electronic submission. Amendments are also made to move the general provisions on Off-Balance Sheet transactions to Chapter 12 and to set out the reporting template and requirements in the new Directive, as well as remove redundancies.
- 2.2 There are also consequential amendments made to Directive No. 13-001 (Directives on Capital Adequacy Requirements), Directive No. 13.04(4)-001 (Directives on Manual Workaround Computation for Capital Adequacy

Requirements) and Directive No. 13.32-001 (Directives on Liquidity Risk Management Framework) to clarify the responsibility of the Head of Compliance and the Head of Operations to ensure accuracy in reporting.

2.3 The amendments above are set out in detail in **Annexure 1** and **Annexure 2** respectively.

3.0 MODE OF SUBMISSION TO THE EXCHANGE

3.1 Pursuant to paragraph 1.1(1)(b) of Directive No. 2.01(2)-004 and paragraph 2.1(3) of the new Directive No. 12-003, the Exchange notifies the Participating Organisations that the periodic reports and the monthly report on Off-Balance Sheet transactions must be submitted vide e-reporting.

4.0 EFFECTIVE DATE

4.1 The amendments and requirements under paragraphs 2 and 3 above will take effect on **2 January 2019**.

5.0 CONTACT PERSON

5.1 In the event of any queries in relation to the above matter, kindly contact the following persons:

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