



## DUAL LICENSING FAST TRACK PROGRAMME II REGISTRATION FORM (6 days session)

### REGISTRATION DETAILS (Please photocopy this form for multiple registrations)

|                          |  |                                   |  |
|--------------------------|--|-----------------------------------|--|
| Programme Date Theory    |  | Programme Date Trading Simulation |  |
| Name (as in NRIC)        |  | NRIC                              |  |
| Email                    |  |                                   |  |
| CMSRL No.                |  | License Expiry Date               |  |
| Company Name             |  | Designation                       |  |
| Address                  |  |                                   |  |
| Contact Person           |  | Designation                       |  |
| Tel No                   |  | Fax No                            |  |
| Email                    |  |                                   |  |
| Date Apply               |  |                                   |  |
| Contact Person Signature |  |                                   |  |

### PAYMENT DETAILS ( Please or fill in where applicable )

| MODE OF PAYMENT                                                                                                                                                                                                                                                                                                                                                                                             | AMOUNT (RM) |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| <p><i>Programme Fee: RM 1,500 + 6% GST = RM 1,590 per participant for six (6) days.</i></p> <p><input type="checkbox"/> Cheque/Bankdraft No. _____</p> <p><input type="checkbox"/> Cash</p> <p><input type="checkbox"/> Online Payment/EFT</p> <p style="text-align: right;">Account Name: Securities Industry Development Corporation<br/>Bank: Malayan Banking Berhad<br/>Account No : 5143 2943 0601</p> |             |
| <ul style="list-style-type: none"> <li>Admittance will only be permitted upon receipt of full payment</li> <li>Fees quoted are subject to Goods and Services Tax (GST) of 6% effective 1 April 2015. SIDC is licensed to collect GST under the laws of Malaysia (Registration Number 001220026368)</li> </ul>                                                                                               |             |

*I hereby declare that I have given my consent to the processing of my personal data in accordance with the Notice under the Personal Data Protection Act 2010 and understand the terms and conditions herein.*

Participant Signature \_\_\_\_\_

## Important Reminders

1. To be eligible for dual license, candidates should:
  - a. have at least **5 years** of experience as a Dealer's Representative as at **3 August 2012** (DLFT II); and
  - b. have at least **10 years** of experience as a Dealer's Representative as at **12 April 2011** (DLFT I); and
  - c. be fit and proper as set out in section 65 of the Capital Markets & Services Act (CMSA) 2007.
2. Candidates are required to complete the 6-day programme by SIDC and BMD below as part of the requirements to achieve dual license status:

| Day | Type/Time                                               | Programme Outline                                                                                                                                                                                                                                                                                                                                                                          | Venue                    |
|-----|---------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 1   | <u>Product</u><br>9.00 am to<br>5.30 pm                 | <ul style="list-style-type: none"> <li>• Overview of Derivatives</li> <li>• Introduction to Futures</li> <li>• Commodity Derivatives: Crude Palm Oil Futures (FCPO)</li> <li>• Equity Derivatives: FTSE Bursa Malaysia KLCI Futures (FKLI)</li> <li>• Equity Derivatives: Single Stock Futures (SSFs)</li> <li>• Facilitated Assessments</li> </ul>                                        | Securities<br>Commission |
| 2   | <u>Product</u><br>9.00 am to<br>5.30 pm                 | <ul style="list-style-type: none"> <li>• Financial Derivatives: Malaysian</li> <li>• Government Securities (MGS) Futures</li> <li>• Financial Derivatives: 3-Month Kuala Lumpur Interbank Offered Rate (KLIBOR) Futures</li> <li>• Market Analysis</li> <li>• Introduction to Options</li> <li>• Option Strategies</li> <li>• Option Pricing</li> <li>• Facilitated Assessments</li> </ul> | Securities<br>Commission |
| 3   | <u>Regulation<br/>training</u><br>9.00 am to<br>5.00 pm | <ul style="list-style-type: none"> <li>• Overview of the CMSA 2007 in relation to the derivatives market</li> <li>• Overview of BMD rules and Participants Supervision functions</li> <li>• Introduction to Derivatives Surveillance</li> <li>• Facilitated Assessments</li> </ul>                                                                                                         | Bursa<br>Malaysia        |
| 4   | <u>Trading<br/>simulation</u><br>6.30 pm to<br>9.30 pm  | <ul style="list-style-type: none"> <li>• Trading in Globex - System features, controls and policies</li> <li>• BMD "J-Trader" Order Management System (OMS) Training</li> </ul>                                                                                                                                                                                                            | Bursa<br>Malaysia        |
| 5   | <u>Product</u><br>9.00 am to<br>5.30 pm                 | <ul style="list-style-type: none"> <li>• Introduction to Options</li> <li>• The Basics of Options</li> <li>• Basic Strategies for Options</li> <li>• Questions and Answers</li> </ul>                                                                                                                                                                                                      | Bursa<br>Malaysia        |
| 6   | <u>Trading<br/>simulation</u><br>6.30 to 9.30<br>pm     | <ul style="list-style-type: none"> <li>• Roles of Bursa Malaysia Derivatives Clearing</li> <li>• Importance of risk management for derivatives market</li> </ul>                                                                                                                                                                                                                           | Bursa<br>Malaysia        |

## Terms & Conditions

### 1. REGISTRATION

- Registration is on a first-come-first-served basis.
- All sections in the registration form are mandatory. Participants or company representatives are required to fill in all the details accordingly.
- Completed registration forms must be submitted with the full payment to :

**SIDC Customer Service & Event Management**

No. 3, Persiaran Bukit Kiara, Bukit Kiara, 50490 Kuala Lumpur

Tel : Sharifuddin +603 6204 8644 / Saadon +603 6204 8665 /

Jalil +603 6204 8692 / Shahrul +603 6204 8625

Fax : +603 6201 5811/ 8390 Email : [sidc@sidc.com.my](mailto:sidc@sidc.com.my)

*\*\* Incomplete forms will not be processed*

### 2. COURSE FEE AND PAYMENT

- RM 1,500 + 6% GST = RM 1,590 per participant for six (6) days.
- Payment are accepted in the following methods:
  - Cash, cheque, credit card, bank draft, money order or EFT  
*Post dated cheques will not be accepted.*
  - Cash or credit card: Only for payments made at the SIDC Bookshop.
- Walk-in registrations will be accepted with immediate full payment (subject to seat availability).
- Payment to SIDC Account

Account Name : Securities Industry Development Corporation

Bank : Malayan Banking Berhad

Account No : 5143 2943 0601

Swift Code : MBBEMYKL

*\*\* Please email the payment advice to SIDC at [sidc@sidc.com.my](mailto:sidc@sidc.com.my) or fax it to 03-6201 5811 for payment verification*

### 3. CANCELLATION AND DEFERMENT OF REGISTRATION

- Cancellation notice must be made in writing and submitted to SIDC as follows :

| Written notice received within       | Refund amount                                                                       |
|--------------------------------------|-------------------------------------------------------------------------------------|
| Two weeks or more prior to seminar   | 50% refund amount with a complete set of course materials                           |
| Less than two weeks prior to seminar | Full fee will be applicable with no refund, with a complete set of course materials |

- For deferments, please refer to the cancellation policy as stated above.

### 4. ABSENTEEISM

- Due to medical reasons

Participants are allowed to register for a similar programme (subjected to seat availability) at no extra charge; provided that the original or certified true copy of the medical certificate is forwarded to SIDC within three working days from the date of the course. Otherwise, the fee will be forfeited. No replacement of participants is allowed.

- Due to death of an immediate family member (spouse, child, parent, parent-in-law, grandparent, brother, sister only) occurring 7 days prior to the course

Participants are allowed to register for another course (subjected to seat availability) at no extra charge; provided that a certified true copy of the death certificate and a written notice from the candidate indicating the relationship between the candidate and the deceased are submitted to SIDC within seven working days from the date of the course.



## Terms & Conditions

- In both cases, participants must submit a new Dual Licensing Fast Track Programme Registration Form together with the medical certificate or death certificate.
- 5. RESIGNATION (FOR PARTICIPANTS SPONSORED BY COMPANY)**
- The company must provide a written notice to SIDC no later than 2 weeks from the programme date. The refund amount will follow the Refund Policy for cancellation as above.
  - The company is allowed to replace the registration with another participant, by submitting a new Dual Licensing Fast Track Programme registration form to SIDC.

## NOTICE UNDER THE PERSONAL DATA PROTECTION ACT 2010

The Personal Data Protection Act 2010 (hereinafter referred to as the “PDPA”), which regulates the processing of personal data in commercial transactions, applies to the Securities Industry Development Corporation (hereinafter referred to as “SIDC”, “our”, “us” or “we”). For the purpose of this written notice, the terms “personal data” and “processing” shall have the meaning prescribed in the PDPA.

1. This written notice serves to inform you that your personal data is being processed by or on behalf of the SIDC.
2. The personal data processed by us may include your name, national identity card no. (NRIC no.), contact number, address, email address, designation, company name, Capital Markets Services Representative’s Licence no., qualifications and all other details provided by you in the documents as prescribed in paragraph 4 of this notice.
3. We are processing your personal data, including any additional information you may subsequently provide, for the following purposes (“Purposes”):
  - (a) Administer and conduct SIDC training programme and event;
  - (b) Perform all functions related to our appointment of you as our service provider.
  - (c) Administer and design training programmes and events
  - (d) Provide services in relation to our training programmes and/or consultancy services
  - (e) Provide you with information and/or latest updates on our training programmes
  - (f) Invite your participation in SIDC events and activities
  - (g) Invite your participation in our alumni networking activities via social media invitations; and
  - (h) Respond to all your queries and emails
4. Your personal data is and will be collected from you and/or from the information you have provided on the website, your emails, all forms associated with training programmes and events including but not limited to the programme registration forms, all forms associated with exams including but not limited to the exam registration forms.
5. You may access and request for correction of your personal data and to contact us with any enquiries or complaints in respect of your personal data as follows:

|                                |                                                                                                                         |
|--------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| Mailing address:               | Securities Industry Development Corporation (SIDC)<br>No. 3, Persiaran Bukit Kiara<br>Bukit Kiara<br>50490 Kuala Lumpur |
| E-mail address:                | pdpa@sidc.com.my                                                                                                        |
| Phone Number:                  | 603-6204 8529                                                                                                           |
| Fax Number:                    | 603-6201 5112                                                                                                           |
| Designation of contact person: | Manager, Customer Care                                                                                                  |

In accordance with the PDPA:

- (a) We may charge a prescribed fee for processing your request for access or correction; and
  - (b) We may refuse to comply with your request for access or correction to your personal data and if we refuse to comply with such request, we will inform you of our refusal and reason for our refusal.
6. Your personal data may be disclosed to parties such as but not limited to banks, auditors, governmental departments and/or agencies, regulatory and/or statutory bodies, business partners, service providers and any such third party requested or authorised by you for any of the above Purposes or any other purpose for which your personal data was to be disclosed at the time of its collection or any other purpose directly related to any of the above Purposes.
7. If you fail to supply to us the above personal data, we may not be able to process your personal data for any of the above Purposes.
8. Your personal data may be transferred to a place outside Malaysia.
9. You are responsible for ensuring that the personal data you provide us is accurate, complete and not misleading and that such personal data is kept up to date.

10. We may request your assistance to procure the consent of third parties whose personal data is provided by you to us and you agree to use your best endeavours to do so.
11. In the event of any inconsistency between the English version and the Bahasa Malaysia version of this notice, the English version shall prevail over the Bahasa Malaysia version.

**NOTIS DI BAWAH AKTA PERLINDUNGAN DATA PERIBADI 2010**

Akta Perlindungan Data Peribadi 2010 (selepas ini disebut sebagai “PDPA”) yang mengawal selia pemprosesan data peribadi untuk tujuan transaksi komersial adalah terpakai terhadap Securities Industry Development Corporation (selepas ini disebut sebagai “SIDC”, “kami”, atau “kita”). Dalam notis bertulis ini, terma-terma “data peribadi” dan “pemprosesan” mempunyai maksud seperti yang ditakrif dalam PDPA.

1. Notis bertulis ini bertujuan untuk memaklumkan kepada anda bahawa data peribadi anda sedang diproses oleh atau bagi pihak SIDC.
2. Data peribadi yang diproses oleh pihak kami termasuk nama, nombor kad pengenalan (No.KP), nombor telefon, alamat, alamat e-mel, jawatan, nama syarikat, nombor Lesen Wakil Peniaga Pasaran Modal, kelayakan dan butiran-butiran yang lain yang anda telah berikan kepada kami yang terkandung di dalam dokumen dokumen seperti yang ditetapkan dalam perenggan 4 notis ini.
3. Kami sedang memproses data peribadi anda termasuk apa-apa maklumat tambahan yang mungkin anda berikan kemudian untuk tujuan-tujuan berikut (“Tujuan-Tujuan”):
  - (a) Menyelaras dan mengendalikan pemeriksaan pelesenan SC;
  - (b) Melaksanakan segala fungsi yang berkaitan dengan perlantikan anda sebagai pembekal perkhidmatan untuk kami;
  - (c) Menyelaras dan merancang program-program dan acara-acara latihan;
  - (d) Memberikan anda perkhidmatan yang berkaitan dengan program-program latihan dan/atau khidmat nasihat kami;
  - (e) Memberikan anda maklumat dan / atau perkembangan terkini mengenai program latihan kami;
  - (f) Untuk menjemput penyertaan anda untuk acara-acara dan aktiviti-aktiviti SIDC;
  - (g) Menjemput penyertaan anda dalam aktiviti-aktiviti rangkaian alumni kami melalui jempukan media social; dan
  - (h) Untuk menjawab segala pertanyaan dan e-mel.
4. Data peribadi anda akan dan telah dikumpulkan daripada anda dan/atau maklumat yang anda akan/telah berikan kepada kami di laman web, e-mel anda , dan semua borang-borang yang berkaitan dengan program-program latihan dan acara termasuk tetapi tidak terhad kepada borang pendaftaran program, semua borang yang berkaitan dengan peperiksaan termasuk tetapi tidak terhad kepada borang pendaftaran peperiksaan.
5. Anda boleh mengakses dan memohon untuk mengemaskini atau membuat pembetulan data peribadi anda serta menghubungi kami untuk sebarang pertanyaan atau aduan berkenaan dengan data peribadi anda seperti berikut:

|                                 |                                                                                                                         |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| Alamat surat-menyurat:          | Securities Industry Development Corporation (SIDC)<br>No. 3, Persiaran Bukit Kiara<br>Bukit Kiara<br>50490 Kuala Lumpur |
| Alamat e-mel:                   | pdpa@sidc.com.my                                                                                                        |
| Nombor telefon:                 | 603-6204 8529                                                                                                           |
| Nombor faks:                    | 603-6201 5112                                                                                                           |
| Jawatan pegawai yang berkenaan: | Pengurus, Khidmat Pelanggan                                                                                             |

Selaras dengan PDPA:

- (a) Kami berhak untuk mengenakan bayaran fi yang ditetapkan untuk pemprosesan permintaan anda untuk mengakses atau membuat pembetulan; dan
- (b) Kami berhak untuk tidak mematuhi permintaan anda untuk mengakses atau untuk membuat pembetulan ke atas data peribadi anda dan sekiranya kami enggan mematuhi permintaan tersebut, kami akan memaklumkan kepada anda tentang keengganan kami berserta alasan kami.

6. Data peribadi anda mungkin dizahirkan kepada pihak seperti tetapi tidak terhad kepada bank, juruaudit, jabatan dan/atau agensi kerajaan, badan-badan pengawalseliaan dan/atau berkanun, rakan kongsi, pembekal perkhidmatan dan mana-mana pihak ketiga seperti yang diminta atau dibenarkan oleh anda untuk mana-mana Tujuan-Tujuan yang dinyatakan di atas atau untuk tujuan lain di mana maklumat peribadi anda telah dizahirkan pada masa pengumpulannya atau untuk tujuan lain yang mempunyai hubungan secara langsung dengan mana-mana Tujuan-Tujuan yang dinyatakan di atas.
7. Sekiranya anda gagal untuk memberikan kepada kami data peribadi anda seperti yang dinyatakan di atas, maka kami mungkin tidak dapat memproses data peribadi anda untuk Tujuan-Tujuan yang dinyatakan.
8. Data peribadi anda mungkin dipindahkan ke lokasi-lokasi di luar Malaysia.
9. Anda bertanggungjawab untuk memastikan bahawa data peribadi yang anda berikan kepada kami adalah tepat, lengkap, tidak mengelirukan dan terkini.
10. Kami boleh meminta kerjasama anda untuk mendapatkan kebenaran pihak-pihak ketiga yang anda telah berikan data peribadi mereka kepada kami dan anda bersetuju untuk berusaha sedaya upaya untuk membuat demikian.
11. Sekiranya terdapat sebarang ketidakseragaman di antara versi Bahasa Inggeris dan Bahasa Malaysia ke atas Notis ini, maka versi Bahasa Inggeris akan digunakan.