

**REGULATION OF KSEI NUMBER I-E  
REGARDING  
SINGLE INVESTOR IDENTIFICATION (SID)**

**1. DEFINITIONS**

1.1. In this Regulation, referred to as:

- 1.1.1. **Single Investor Identification** which hereinafter will be referred to as "**SID**" shall be a single and special code issued by KSEI to be used by the Client, Investor, and/or other Party in accordance with the prevailing regulations to conduct activity related to Securities Transaction and/or to use other services either it is provided by KSEI or other party based on KSEI's approval or the prevailing regulations.
- 1.1.2. **PT Kustodian Sentral Efek Indonesia** which hereinafter will be referred to as "**KSEI**" shall be a company which has obtained business permit from the Financial Services Authority to administer business activities as the Central Securities Depository.
- 1.1.3. **Applicant** shall be the Participant or other Party based on the prevailing statutory regulations who will be entitled to submit application for the SID creation with KSEI.
- 1.1.4. **Regulation of KSEI** shall be the regulation issued by KSEI and will start to be effective upon obtaining approval from the Financial Services Authority, including its implementing regulations issued by KSEI from time to time.
- 1.1.5. **SID Holder** shall be the registered Party who has possessed SID with KSEI.
- 1.1.6. **Client** shall be the Securities account holder at the Participant.
- 1.1.7. **Investor** shall be the holder of script Securities instrument issued by the Issuer and the Public Company administered by the Securities Administration Agency or the Issuer and the Public Company Organizing Their Own Securities Administration as referred to in number 1 of the Regulation of the Capital Market and Financial Institutions Supervisory Agency Number VI.B.2 Regarding the Single Investor Identification Creation with the Central Securities Depository and the Settlement by the Securities Administration Agency or the Issuer and the Public Company Organizing Their Own Securities Administration, Attachment to the Decree of the Chairman of the Capital Market and Financial Institutions Supervisory Agency Number Kep-327/BL/2012 dated June 14<sup>th</sup>, 2012.
- 1.1.8. **Party** shall be a natural person, a company, a joint venture, an association or any organized group as referred to in the Law regarding Capital Market.

- 1.1.9. **Securities Sub-Account** shall be the Securities Account under the name of the Client registered in the Securities Account under the name of the Participant at KSEI.
- 1.1.10. **Securities Administration Agency** shall be the Party who based on the contract with the Issuer will carry out the registration of ownership of Securities and the distribution of rights related to the Securities as referred to in the Law regarding Capital Market.
- 1.1.11. **Issuer** shall be the Party making Public Offering as referred to in the Law regarding Capital Market.
- 1.1.12. **Participant** shall be the Securities Company or the Custodian Bank who has opened the Main Securities Account at KSEI.

## 2. GENERAL REQUIREMENTS FOR SID CREATION

- 2.1. KSEI shall issue SID based on the application from the Applicant, with the mechanism stipulated in the Regulation of KSEI pertaining to SID.
- 2.2. The Applicant shall be responsible for the application for SID creation submitted to KSEI.
- 2.3. The Applicant shall ensure that the application for SID creation will constitute for the interest of the SID Holder candidate.
- 2.4. The Applicant in submitting the application for SID creation shall be obliged to fulfill the completeness of data and information or requirement documents as will be further stipulated in the circular letter of KSEI.
- 2.5. If required by KSEI, KSEI may request data and information or other supporting documents related to the information and completeness of data of the SID Holder candidate which shall be submitted by the Applicant.
- 2.6. KSEI may refuse the application of the Applicant for SID creation if there is any non-conformity of data and information or the documents between those submitted by the Applicant and data possessed by KSEI or data of the third party which constitute the source for reference of data based on the approval of KSEI.
- 2.7. The Applicant shall be responsible that:
- 2.7.1. Data and information or documents submitted to KSEI will constitute the correct and latest data and information or documents submitted by the SID Holder candidate; and
- 2.7.2. It has carried out the implementation process of Know Your Customer Principle in accordance with the guidance for the implementation of Know Your Customer Principle as stipulated in the prevailing statutory regulations.

- 2.8. SID issued by KSEI shall be made based on data and information or documents submitted by the Applicant.
- 2.9. The Applicant shall be responsible for mistakes in the SID creation by KSEI caused by non-conformity of data and information or documents submitted by the Applicant, unless it can be proven that the mistakes aforesaid are not caused by the Applicant.
- 2.10. If the application for SID creation for the Client, Investor, and/or other Party has similarities to data of SID creator as stipulated by KSEI, then, KSEI will not issue new SID and will link the application of SID owned by the Client, Investor, and/or other Party aforesaid to SID which has been recorded at KSEI.
- 2.11. SID may be created by KSEI simultaneously with the creation of Securities Sub-Account owned by the Client.

### **3. PROCEDURE FOR THE APPLICATION OF SID CREATION**

#### **3.1. SID For the Client**

- 3.1.1. For the Client, SID shall be created by KSEI based on the application from the Participant, with the following provisions:
  - 3.1.1.1. SID may be created with the delivery of data of the Client by the Participant to KSEI;
  - 3.1.1.2. For Client candidate who has not had SID however it has owned Securities Sub-Account, SID will be created by KSEI based on the application for SID creation submitted by the Participant by firstly perform the data updating of the Client as stipulated in the prevailing statutory regulations, and furthermore, SID aforesaid will be linked to the Securities Sub-Account under the name of the relevant Client.
- 3.1.2. In the event that the Participant has received SID owned by the Client from KSEI, the Participant will be obliged to deliver SID aforesaid to the relevant Client.

#### **3.2. SID For the Investor**

- 3.2.1. For the Investor, SID will be created by KSEI based on the application for SID creation from:
  - 3.2.1.1. The Securities Administration Agency; or
  - 3.2.1.2. The Issuer and the Public Company Organizing Their Own Securities Administration.
- 3.2.2. In the event that the Securities Administration Agency or the Issuer and the Public Company Organizing Their Own Securities Administration has received SID owned by the Investor from KSEI, the

Securities Administration Agency or the Issuer and the Public Company Organizing Their Own Securities Administration will be obliged to deliver SID aforesaid to the Investor.

### **3.3. SID For Other Party**

- 3.3.1. For other Party, SID will be created by KSEI based on the application for SID creation from other party as referred to in points 3.1.1 and 3.2.1 above, which constitutes the Party as stipulated or who does not contradict with the prevailing statutory regulations including the Regulation of KSEI.
- 3.3.2. For Other Party who constitutes a Participant, SID will be created by KSEI based on the application for SID creation from the relevant Participant supplemented by the requirement documents for the creation of Main Securities Account at KSEI, which constitutes the Securities Account under the name of the Participant or other Party approved by OJK.
- 3.3.3. The Participant will be entitled to own SID for the purpose of managing its own Securities portfolio or for the interest of other Party to the extent it does not contradict to the prevailing statutory regulations.
- 3.3.4. Other Party who does not constitute a Participant, Client, and Investor may own SID to the extent it does not contradict to the prevailing statutory regulations including the Regulation of KSEI.
- 3.3.5. For client who does not deposit Securities at KSEI, SID may be created with the submission of data of the client to KSEI.

## **4. DATA UPDATE**

- 4.1. If based on the information from the SID Holder, there is a change or mistake of data and information or documents of the SID Holder at KSEI, then, the Applicant will be obliged to update the data and information or documents of the SID Holder with KSEI.
- 4.2. In the event that the data update causes the change of SID, then, the Applicant who constitutes the Broker-Dealer and who carries out administration of Securities Account owned by the Client will be obliged to:
  - 4.2.1. ensure the adjustment towards data in the Securities Sub-Account including the change of SID aforesaid in the administration system of the Applicant; and
  - 4.2.2. contact the bank carrying out the RDN administration to make adjustment of data of the Client.
- 4.3. The Applicant will be obliged to deliver the change of SID to the SID Holder.
- 4.4. The delivery of the change of SID to the SID Holder will be supplemented with

the delivery of new AKSes, as stipulated in the Regulation of KSEI pertaining to AKSes.

- 4.5. The Applicant will be obliged to administer the document indicating the data and/or information of the SID Holder, and deliver them to KSEI if requested.
- 4.6. In carrying out the data update, the Applicant will be obliged to ensure that the completeness, conformity, and accuracy of data of the SID Holder, both data recorded in the administration system of the Applicant and data delivered to KSEI constitute the latest data and information or document delivered by the SID Holder.

## **5. UTILIZATION OF SID**

- 5.1. The Applicant and/or the SID Holder shall be responsible for the security, confidentiality, and validity of the utilization of SID, in accordance with their own respective responsibility based on the prevailing statutory regulations and/or the agreement agreed upon between the Applicant and the SID Holder.
- 5.2. KSEI shall be entitled to use and deliver SID and/or the information regarding the SID Holder to other Party for the purposes which are in accordance with the prevailing statutory regulations.

## **6. DELETION OF SID**

KSEI may perform the deletion of SID in accordance with the mechanism as stipulated by KSEI.

Stipulated in : Jakarta  
On : June 21<sup>st</sup>, 2016

**PT Kustodian Sentral Efek Indonesia**

**Friderica Widayarsi Dewi**  
President Director

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