



**Form 14: Notice of Director / Licensed Director / Chief Executive / Key Management / Compliance Officer / Responsible Person / Company Secretary**

**APPLICATION DETAILS**

Application Details		
Application Type		
Change of Designation (Before)		
Appointment	Designation	Area of Regulated Activity
Change of Designation (After)		
Appointment	Designation	Area of Regulated Activity
Appointment Details		
Effective Date		

**PROFILE**

Personal Details	
Salutation	
Full Name (as per NRIC / passport)	
Surname / Last Name	
Given Name	
Gender	
Date of Birth	
Status	
Nationality	
National ID	
NRIC No.	
National ID and Passport Details	
Passport No.	
Place of issue	
Place of birth	
Length of residence in Malaysia (Number of years)	
Have you previously applied for a work permit?	
Are you a Malaysia PR?	
Are you a multiple/dual citizenship holder?	
Contact Information	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Home No. (e.g. 03-1234 1234) Include country code for overseas number	
Mobile No. (e.g. 01x-1234 1234) Include country code for overseas number	
Email	
Marital Status	
Status	

**QUALIFICATIONS**

Qualifications			
Qualification Type	Year	Educational Institution/Professional Body	Degree/Diploma/Certificate/Others

**WORK EXPERIENCE**

Work Experience					
From	To	Not in Employment	Full Name Of Organisation	Description and Duties and Responsibilities	CM/FS-related?



**Other Disclosure**

<b>Interest in Securities</b>
1) Has the individual purchased/sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes purchases/sales through his own nominees for/on behalf of his relatives) for his own account during the 12 months immediately preceding the date of this application?
<b>Directorship</b>
2) Is the individual a director of any other entity, wherever incorporated?
<b>Ownership</b>
3) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any entity, wherever incorporated?
<b>Other</b>
4) Has the individual, in Malaysia or elsewhere—
a) authorised in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required?
b) refused the right to in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required? Note: Authorisation also includes licensing, registration, approval and membership.
5) Has the individual, in Malaysia or elsewhere—
* To indicate the date of conviction / judgement / contravention / bankruptcy / discharged, nature of offence, jurisdiction where the offence was committed, and any other relevant information (where applicable)
a) been convicted of any offence, or are there any proceedings now pending that may lead to a conviction of any offence, involving bribery, fraud, dishonesty, mismanagement of a entity or violence?
b) had judgment involving findings of fraud, dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against it in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment or finding?
c) contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence, or malpractice by persons concerned in the provision of financial services or the management of companies, or against financial loss due to the conduct of discharged or undischarged bankrupts?
d) been declared a bankrupt or entered into a composition or arrangement with creditors?
e) been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?
6) Has the individual been involved in the management of a entity, in Malaysia or elsewhere, which at the time of his/her involvement, the entity had—
* To indicate the date of conviction / judgement / contravention / bankruptcy / discharged, nature of offence, jurisdiction where the offence was committed
a) been convicted of any offence, or are there any proceedings now pending that may lead to a conviction of any offence, involving bribery, fraud, dishonesty, mismanagement of a entity or violence?
b) had judgment involving findings of fraud, dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against it in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment or finding?
c) contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence, or malpractice by persons concerned in the provision of financial services or the management of companies, or against financial loss due to the conduct of discharged or undischarged bankrupts?
d) had a receiver and/or manager been appointed in respect of any of the assets of the said entity?
e) entered into a compromise or arrangement with creditors or members?
f) had a petition presented in a court for its winding up?

g) been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?
7) Is the individual, in Malaysia or elsewhere, an active politician who is a member of parliament or state assemblyman, or holds a position at the supreme council or division level in a political party? (applicable to the appointment of director only)

**SUPPORTING DOCUMENT**

No.	Description
1	A copy of the individual's NRIC (for Malaysian citizen) or passport(s) (for non-Malaysian citizen) (must be crossed out with the remark "For the SC Use Only")  (To be certified as a true copy by a notary public / solicitor / company secretary)
2	A recent passport size colour photograph
3	A copy of the individual's relevant academic certificates
4	Bankruptcy search results from the Malaysian Department of Insolvency or, if outside Malaysia, the competent authority (no more than 31 days old as at the date of submission)
5	Details of securities sold/purchased by the individual for his/her own account during the last 12 months immediately preceding the date of this submission
6	A copy of the individual's work permit (for non-Malaysian citizen)
7	Company information from the Companies Commission of Malaysia, containing details of directors / officers
8	Other relevant documents

**REGISTER OF SECURITIES**

<b>Register of Securities</b>	
Does the individual have/intend to have a register of securities? (applicable to licence holders only)	

**ADDITIONAL INFORMATION**

<b>Additional Information</b>	
1. Is there any other information relevant to this submission?	
2. Other relevant accompanying or supporting document(s).	

**DECLARATION**

<b>True and Correct Information</b>	
<input type="checkbox"/> We are aware that any representation to the Securities Commission Malaysia ("SC") by whatever means or in any form that includes false or misleading statement can result in the SC taking action under section 71 or 369 of the Capital Markets and Services Act 2007, or other provisions under the securities laws. In addition, it can adversely affect our (i) application or submission; and (ii) fit and proper standing to participate in the capital market industry.  <i>Section 71 is in relation to the submission of false or misleading statement with respect to an application for the granting or variation of licence. Contravention of section 71 may result in imprisonment for a term not exceeding five years and shall also be liable to a fine not exceeding one million ringgit upon conviction.</i>  <i>Section 369 is in relation to the submission of any false and misleading statement to the SC. Examples of information submitted to the SC include, but not limited to, notification and reporting to the SC, provision of supplementary information or clarification regarding a submission, and any other information the SC may request. Contravention of section 369 may result in imprisonment for a term not exceeding 10 years and shall also be liable to a fine not exceeding three million ringgit upon conviction.</i>	
<input type="checkbox"/> We hereby declare that all information provided in this submission, including its supporting materials, is true and correct, and the original signed version of this submission reflecting the same information provided is being kept at the named entity's business address or the principal address or a designated place approved by the SC at all times.	
Signature (Licensed Director / Director / Chief Executive)	Signature (Director / Authorised Signatory*)
Full Name :	Full Name :
Designation :	Designation :
Date :	Date :
*approved by the board of directors	

*Notes: Personal data provided by you in this form is required for purposes relating to the licensing, reporting or approving requirements under the Capital Markets and Services Act 2007 ("CMSA"). Failure to provide personal data required in this form will necessarily impair the issuance or continued grant of any licence or approval under the CMSA. Any personal data provided may also be disclosed to other supervisory or regulatory authorities for purposes of supervisory or regulatory oversight and compliance with the law. You are entitled, from time to time, to provide updated information relating to any personal data provided by contacting the SC's Authorisation and Licensing Department.*