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**Application for the Registration of Responsible Person**

**of Venture Capital / Private Equity Corporation and Management Corporation**

*(To be completed by a proposed responsible person who is also a director, partner or management team member)*

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| SECTION I: ENTITY INFORMATION |
| Type of Entity | [ ]  Venture Capital Management Corporation [ ]  Venture Capital Corporation[ ]  Private Equity Management Corporation [ ]  Private Equity Corporation |
| Name of Entity |       |

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| SECTION II: ROLE TYPE  |
| Ownership | [ ]  Partner / Individual Shareholder  |
| Board | [ ]  Director [ ]  Chairman [ ]  Independent [ ]  Non-Independent [ ]  Non-Executive [ ]  Executive |
| Management | [ ]  Responsible Person Proposed Designation:       |

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| SECTION III: PROFILE OF INDIVIDUAL |
| **Personal Details** |
| Salutation |       |
| Name *(as per NRIC / passport)* |       |
| Other Name |       |
| Date of Birth *(dd mmm yyyy)* | 02 Jan 19XX |
| Gender | [ ]  Male  | [ ]  Female |
| Nationality |       |
| Status | [ ]  Bumiputera | [ ]  Non-Bumiputera | [ ]  Foreigner |
| National ID and Passport Details |
| For Malaysian  | Old IC No.:       | NRIC No.:       |
| For Non-Malaysian*(include details of all valid passports)* | Passport No.:       | Expiry Date (dd mmm yyyy):       |
| Place of Issue:       |
| Length of residence in Malaysia:       year(s) |
| Do you have a valid work permit? [ ]  No [ ]  Yes (Please provide details below) |
| Address and Contact Details |
| Residential Address |       |
| E-mail |       |
| Contact No. | Home:       | Mobile:       |
| Office:       | Fax:       |

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| Marital Status and Spouse Details |
| [ ]  Single [ ]  Married *(please provide details below)* [ ]  Divorced [ ]  Widowed |
| Name of Spouse*(as per NRIC / passport)* | For Malaysian | For Non-Malaysian | Occupation & Name of Employer *(if in employment)* | Details of Employer |
| Old IC No. | NRIC No. | Passport No. / Expiry Date *(dd mmm yyyy)* / Place of Issue | Address / Office No. / Fax No. |
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| SECTION IV: QUALIFICATIONS *(identical to the wording specified in the certificates)*  |
| Educational Institution / Professional Body | Year | Degree / Diploma / Certificate / Others |
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| Other Qualifications *(please specify)* |       |

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| SECTION V: WORK EXPERIENCE (without gaps, in reverse chronological order. Explain each employment gap, if any) |
| Date (mmm yyyy) | Full Name of Organisation *(state location if outside Malaysia)*and Designation Held *(state role / rank and division /* *department / unit)**Note: Should there be a career progression or any variation of role and responsibilities, list them in separate rows (even if the roles are within the same division / department) instead of stating the last position held within an organisation*  | Description of Duties and Responsibilities | Capital markets- and/or financial services- related? *(Yes / No)* |
| From | To |
| Jan 2018 | Present | XYZ Group Limited, SingaporeExecutive Director / Regional Head of Asia Pacific | - XXX- XXX- XXX |       |
| Apr 2014 | Dec 2017 | XYZ Group Limited, SingaporeDirector, Business Development | - XXX- XXX- XXX |       |
| Feb 2012 | Mar 2014 | ABC Pte Ltd, LondonSenior Manager, Group Sales and Marketing | - XXX- XXX- XXX |       |
| Oct 2010 | Jan 2012 | ABC Pte Ltd, LondonClient Services Manager | - XXX- XXX- XXX |       |
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| SECTION VI: OTHER DISCLOSURE |
| Directorship  |
| 1) Is the individual a director of any other corporation, wherever incorporated? |
| [ ]  No *[ ]*  Yes *(please provide details)* |
| Name of Corporation | Nature of Business | Place of Incorporation | Date of Appointment *(dd mmm yyyy)* | Nature of Appointment  |
| (independent or non-independent) | (executive or non-executive) |
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| Ownership |
| 2) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated? |
| [ ]  No *[ ]*  Yes *(please provide details)* |
| Name of Corporation | Nature of Business | Place of Incorporation | % of Ownership | Paid-up Capital (MYR and, if applicable, Non-MYR) |
|       |       |       |       |       |
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| Others |
| 3) Has the individual been, in Malaysia or elsewhere— |
| * 1. 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?

*Notes:* *i. Authorisation also includes licensing, registration, approval and membership.**ii. If authorised by the SC, state the type of the regulated activity.**iii. If authorised by other regulatory, supervisory or professional body, within or outside Malaysia, state:** + - * 1. *name of the competent authority;*
				2. *type of authorisation;*
				3. *name of entity; and*
				4. *effective period.*

 *This includes unit trust scheme / private retirement scheme consultants and insurance agents.* *iv. Ensure the employment history corresponds with the disclosures in this section.*[ ]  No *[ ]*  Yes *(please provide details)* |
|       |
| * 1. 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*.[ ]  No *[ ]*  Yes *(please provide details)* |
|       |
| 4) Has the individual, in Malaysia or elsewhere—  |
| 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 corporation or violence?[ ]  No *[ ]*  Yes *(please provide details\*)* |
|       |
| had judgment involving findings of fraud, dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him/her in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment or finding?[ ]  No *[ ]* Yes *(please provide details\*)* |
|       |
| 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?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| been declared a bankrupt or entered into a composition or arrangement with creditors?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| e. been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
|  |
| 5) Has the individual been involved in the management of a corporation, in Malaysia or elsewhere, which at the time of his/her involvement, the corporation had— |
| 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 corporation or violence?[ ]  No *[ ]*  Yes *(please provide details\*)* |
|       |
| 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?[ ]  No *[ ]* Yes *(please provide details\*)* |
|       |
| 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?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| entered into a compromise or arrangement with creditors or members?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| had a petition presented in a court for its winding up?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| g. been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |

 *\* 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)*

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| SECTION VII: ADDITIONAL INFORMATION |
| 1. Please demonstrate that the individual fulfils the requirements under Chapter 4 of the *Guidelines on the Registration of Venture Capital and Private Equity Corporations and Management Corporations*.

*(enclose a separate sheet with any additional details that do not fit in the space provided below)* |
|       |
| 1. A person to be appointed as a responsible person must–
2. be a director as defined under the Companies Act 2016 or in the case of a limited liability partnership, a partner as defined under the Limited Liability Partnerships Act 2012; and/or
3. an officer who is responsible for investment strategies and decisions.

Please confirm if either (a) or (b), or both criteria will be satisfied upon his/her appointment as a responsible person.  |
|       |

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| 1. A person to be appointed as a responsible person must fill the role on a full-time basis. Will this requirement be fulfilled upon his/her appointment as a responsible person?
 |
| [ ]  Yes [ ]  No *(please explain)* |
|       |
| 1. Is there any other additional information relevant to this submission?
 |
| [ ]  No [ ]  Yes *(please specify details)* |
|       |

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| SECTION VIII: SUPPORTING DOCUMENTS *(please ensure all scanned documents are clear and legible)* |
| No. | Description | Submission*(please tick)* |
| Yes | N/A |
| 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”)* | **[ ]**  |  |
| 2 | A recent passport size colour photograph | **[ ]**  |
| 3 | A copy of the individual’s relevant academic certificate(s)\* | **[ ]**  |
| 4 | Detailed curriculum vitae / professional profile of the individual *(must be consistent with the information provided in this form)* | **[ ]**  |
| 5 | Bankruptcy search result 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)* | **[ ]**  |
| 6 | A copy of the individual’s work permit\* *(if applicable)* | **[ ]**  | **[ ]**  |
| 7 | Other relevant documents *(please specify)*      | **[ ]**  | **[ ]**  |

*\* To be certified as a true copy by a notary public / solicitor / company secretary*

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| **SECTION IX: DECLARATION** |
| * 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 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.

*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.** We hereby declare that all information provided in this submission, including its supporting materials, is true and correct.
 |
| …………………………………………………..Signature |
| Full Name:      |
| Date *(dd mmm yyyy)*:       |
| * In addition to the declaration of truth and accuracy of information above, on the basis of a due and diligent enquiry made of the background of the individual named in this form and other information available, we believe him/her to be of good character and reputation and to have the competence and experience to perform the identified functions.
 |
| …………………………………………………..Signature *(Director / Partner / Authorised Signatory\*)* | …………………………………………………..Signature *(Director / Partner / Authorised Signatory\*)* |
| Full Name:      | Full Name:      |
| Designation:      | Designation:      |
| Date *(dd mmm yyyy)*:       | Date *(dd mmm yyyy)*:       |

*\* Approved by the board of directors*

*Note: 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 Securities Commission Malaysia’s Authorisation and Licensing Department.*