

**APPLICATION FOR APPOINTMENT OF CHIEF EXECUTIVE / KEY MANAGEMENT**

**SECTION I: APPLICATION TYPE**

Please tick (√) the type of application

New appointment  Change of designation

**SECTION IIA: NEW APPOINTMENT**

Appointment Type:

Designation:

Area of regulated activity (if any):

**SECTION IIB: CHANGE OF DESIGNATION**

Please tick (√) where applicable

Before change

After change



Appointment Type:

Designation:

Area of regulated activity/designation (if any)

**SECTION III: PROFILE**

**Personal Details**

Title:

Name (as per NRIC):

Other name:

Date of birth: (dd/mmm/yyyy)

Gender:

Male

Female

Nationality:

**Other Details**

Present occupation:

**Address and Contact Detail(s)**

Residential address:

E-mail:

Contact no.:

Home:

Handphone:

Office:

Fax:

IC & Passport Details		
For Malaysian	Old IC no.:	NRIC no.:
For non-Malaysian:	Passport no.:	Expiry date:
	Country of issue:	
	Length of residence in Malaysia:    year(s)	
	Have you previously applied for a work permit? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>	

Marital Status Details					
<input type="checkbox"/> Single <input type="checkbox"/> Married <i>(please provide spouse's details)</i> <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed					
Name	For Malaysian		For non-Malaysian	Name of employer <i>(if in employment)</i>	Details of employer Address/office no./fax no.
	Old IC no.	NRIC no.	Passport no./expiry date/country of issue		

Please provide the spouse details by filling up and duplicating this table for more than one spouse

SECTION IV: ACADEMIC OR PROFESSIONAL QUALIFICATIONS		
School/college/university/others	Year	Certificate/degree/masters/others

To add new rows, press **TAB** at the last column of the last row

SECTION V: EMPLOYMENT HISTORY				
Date <i>(mmm/yyyy)</i>		Name of employer & designation held	Description of duties	Capital market/ financial services related? <i>(Y/N)</i>
From	To			

To add new rows, press **TAB** at the last column of the last row

SECTION VII: JUSTIFICATION FOR THE APPOINTMENT AS CHIEF EXECUTIVE

**Important: All fields are mandatory except where there are instructions that the designated field is meant only for a selected type of regulated activity**

**SECTION VIII: PLACE WHERE REGISTER OF SECURITIES IS KEPT**

Does the applicant intend to have a register of securities?

 No  Yes (please provide details)

Place where register of securities is to be kept	Address:		
	E-mail:		
	Contact no.:	Office:	Fax:
Date of commencement of keeping register of securities			

**SECTION IX: DECLARATIONS****Interest in Securities**

1) Has the applicant 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?

 No  Yes (please select one of the options below) Information is attached as supporting document(s) with this submission Information is as outlined in the table below (please type "N/A" if it is not applicable)

Name of securities	No of securities	Description of securities	Price	Acquisition/ disposal	Other consideration	Date of agreement

To add new rows, press **TAB** at the last column of the last row**Directorship**

2) Is the applicant a director of any other corporation, wherever incorporated?

 No  Yes (please provide details)

Name of corporation	Nature of business	Place of incorporation	Date of the appointment as a director (dd mmm yyyy)	Nature of appointment (executive or non-executive)

To add new rows, press **TAB** at the last column of the last row**Ownership**

3) Does the applicant 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

To add new rows, press **TAB** at the last column of the last row

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<b>Others</b>	
4)	Has the applicant been-
a.	licensed or registered in any capacity in any place outside Malaysia under any law which requires licensing or registration to deal or trade in securities or futures? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
b.	licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
c.	refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
5)	Has the applicant in Malaysia or elsewhere-
a.	been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence involving fraud or other dishonesty or violence? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
b.	had judgment involving findings of fraud or other dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him, as the case may be, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
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? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
d.	been declared a bankrupt or entered into a composition or arrangement with creditors? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
e.	been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>
6)	Has the applicant been involved in the management of a corporation in Malaysia or elsewhere which at the time of his involvement, the corporation-
a.	been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence, involving fraud or other dishonesty or violence? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(please provide details)</i>

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b.	had judgment involving findings of fraud or other dishonesty, or 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? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)
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? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)
d.	had a receiver and/or manager been appointed in respect of any of the assets of the said corporation? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)
e.	entered into a compromise or arrangement with creditors or members? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)
f.	had a petition presented in a court for its winding up? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)
g.	been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body? <input type="checkbox"/> No <input type="checkbox"/> Yes (please provide details)

**SECTION X: OTHER INFORMATION**

Is there any other information relevant to this application?

No     Yes (If "Yes", please specify details)

**SECTION XI: SUPPORTING DOCUMENTS – Please provide annexures for the following information**

No.	Description	Submission (please tick)	
		Yes	N/A
1.	A copy of the applicant's NRIC* (for Malaysian citizens) or passport* (for non-Malaysian citizens)	<input type="checkbox"/>	
2.	A copy of the applicant's recent coloured passport-sized photograph	<input type="checkbox"/>	
3.	A copy of the applicant's relevant academic certificates*	<input type="checkbox"/>	
4.	A copy of the applicant's detailed Key Performance Indicator (KPI) (for appointment of Chief Executive)	<input type="checkbox"/>	
5.	Details of securities sold/purchased by the applicant for his own account during the last 12 months immediately preceding the date of application in the specified form	<input type="checkbox"/>	<input type="checkbox"/>
6.	Work permit (for non-Malaysian citizens)*	<input type="checkbox"/>	<input type="checkbox"/>
7.	Other relevant documents	<input type="checkbox"/>	<input type="checkbox"/>

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\* To be certified true copy by commissioner for oath/company secretary

**SECTION XI: TRUE AND CORRECT INFORMATION**

We hereby declare that all information provided in this notification and its annexures is true and correct, and a printed signed copy of this notification reflecting the same information provided in this notification is being kept at the business address or a designated place approved by the SC.

On the basis of a due and diligent inquiry made of the background of the appointee named in this form and other information available, we believe him to be of good character and reputation and to have the competence and experience to perform the identified functions.

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Signature	Signature
Name ( <i>Licensed Director/CEO</i> ):	Name ( <i>Director</i> ):
Date ( <i>dd mmm yyyy</i> ):	Date ( <i>dd mmm yyyy</i> ):

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