



Form 1: Application for New Capital Markets Services Licence

REGULATED ACTIVITY

Regulated Activity	
Regulated Activity	
Other Details	
Proposed Business Activities	

PROFILE

Entity Details	
Entity Name	
Financial Year End	
New Registration No.	
Place of incorporation	
Date of incorporation	
Entity Status	
Entity Status	
Registered Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	
Business Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	
Correspondence Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	

PARTICIPATION

Participation		Bumiputera		Non-Bumiputera		Foreign	
		No	%	No	%	No	%
Equity shareholdings							
Director							
Representatives	Investment advice						
Employee	Management						
	Executive						
	Support						
	Total						

SHARE CAPITAL

Class of Shares	Authorised (RM)	Issued (RM)	Paid-up (RM)
Ordinary			
Preference			
Others :			
Total			

SHAREHOLDERS

Shareholders									
Level	Type	Name	Shareholder For	Ordinary		Preference		Others	
				No	%	No	%	No	%

Corporation Details					
Name	Status	Place of Incorporation	Reg. No	Business Address	Contact No Office No/Fax No Email

INDIVIDUAL**No filled information****REGISTER OF SECURITIES****Register of Securities**

Does the applicant have a register of securities?	Yes (please provide details)
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Place at which register of securities is to be kept

Country / Jurisdiction	
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Postcode	
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State	
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City	
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Address 1	
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Date of Commencement of keeping Register in Securities	
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Other Disclosure

1) Is the business of the type of regulated activity applied for the sole or principal business proposed to be carried on by the applicant:
Yes (please provide details)
2) Has the applicant, in Malaysia or elsewhere, applied to be licensed or registered, or been given authority, in any capacity which is required by any law or regulations?
Yes (please provide details)
File Upload
3) Is the applicant a participant/member of any stock exchange and/or any professional body?
4) Has the applicant, 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 which may lead to a conviction for such an offence involving fraud or other dishonesty?
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 or finding?
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?
d) had a receiver and manager appointed in respect of any of the assets of the applicant?
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 any professional or regulatory body?

SUPPORTING DOCUMENT

No.	Description
1	<p>A comprehensive and detailed proposal, which should generally include, but not limited to, the following:</p> <ol style="list-style-type: none"> a. reasons for conducting the regulated activity; b. outline and summary of the regulated activity as a whole, including an overview and business targets at the end of three years. This includes products and services offered and a description of the delivery channels; c. how the regulated activity fits within its corporate structure, group global strategy and global operations; d. reasons why the company believes the business plan will be successful, stating key assumptions, and supported by feasibility and market studies. This may include: <ol style="list-style-type: none"> i. analysis of proposed regulated activity against the corresponding operating environment, including target markets, competitors, threats and opportunities, and plans to address them; ii. strength of financial resources to support the business, including sources of initial and future capital; iii. ability and plans to manage associated operational and business risks; iv. availability of human capital, expertise and knowledge, including names and credentials of key experts; v. supporting technology, systems and processes; vi. supporting research and development initiatives; and vii. track record and experience of the company specifically pertaining to identified areas in the business plan; e. pro-forma financial statements (base case), including balance sheet and income statement for the first three years of operations. Major asset, liability, income and expense categories should be identified, including a description of off-balance sheet activities. Identify and discuss key assumptions underlying the calculations; f. sensitivity analysis showing the results of changes in key assumptions on the base case business plan under a worst case scenario and discuss the changes in assumptions; g. contingency plans to address worst case or other adverse scenarios; h. source of initial and future capital provided for in the base case and other scenarios in the form of a capital plan and funding policies; i. projected staff complement and roles, and an organisation chart showing reporting lines for senior positions and key over the three-year period. This may include planned training, education and knowledge-sharing initiatives; j. major risk areas and the policies and control procedures to monitor risk tolerance and risk managements. This may include market, operational, technology, legal, regulatory and strategic risks; and k. description of any material outsourcing arrangement anticipated by the company.
2	<p>Description of the applicant's overall ownership and corporate structure in the form of a tree diagram depicting the following details:</p> <ol style="list-style-type: none"> a. Shareholding structure; b. Group structure depicting related, subsidiary and associate companies; and c. Percentage of shareholdings of each shareholder.
3	Profile of the applicant's corporate shareholders – from immediate to ultimate (where applicable)
4	Profile of the applicant's individual shareholders
5	Details of any of the applicant's related, subsidiary and associate companies which are or were involved in any regulated activities in Malaysia or elsewhere and their licence/registration status
6	Constitution / Memorandum and Articles of Association (To be certified as a true copy by a notary public / solicitor / company secretary)
7	Certificate of incorporation under section 17 of the Companies Act 2016 (To be certified as a true copy by a notary public / solicitor / company secretary)
8	<p>Lodgement under section 68 of the Companies Act 2016: Annual Return (To be certified as a true copy by the Companies Commission of Malaysia)</p> <p>(if not applicable, submit the lodgement under section 14 of the Companies Act 2016: Application for Registration of a Company)</p>
9	Lodgement under section 46 of the Companies Act 2016: Notification of Change in the Registered Address (To be certified as a true copy by the Companies Commission of Malaysia)
10	Company profile from the Companies Commission of Malaysia, containing such details as corporate information, summary of share capital, directors/officers, shareholders/members, company charges, and financial information (To be certified as a true copy by the Companies Commission of Malaysia)
11	Lodgement under section 28 of the Companies Act 2016: Application for Change of Name (To be certified as a true copy by a notary public / solicitor / company secretary) (if applicable)
12	Lodgement under section 105 of the Companies Act 2016: Instrument of Transfer of Shares (To be certified as a true copy by a notary public / solicitor / company secretary)
13	Latest audited financial statements

14	Latest management accounts (if the audited financial statements are more than three months old as at the anniversary date)
15	Director's report on the financial standing, affairs, current assets and contingent liabilities of the company (for the period between the first day of the new financial year and a date within 14 days before the date of submission)
16	List of employees indicating the bumiputera/ non-bumiputera/ foreign status, employment status and position
17	Applicant's operational and compliance manual describing in detail– <ul style="list-style-type: none"> a. reporting principles and procedures; b. internal audit procedures; c. procedures for compliance with the securities laws; and d. risk management policies, which the applicant has adopted or proposes to adopt for its proposed business.
18	Declaration on the physical layout of the business to avoid conflict of interest
19	A completed self-assessment readiness checklist specified by the SC Click here to download the relevant checklist(s) <ul style="list-style-type: none"> • Readiness Checklist for New Capital Markets Services Licence
Additional supporting details for the application for dealing in securities and/or dealing in derivatives	
20	Participation / Membership certificate of approval in principle for admission from the exchange
21	A duly completed form for the application of compliance officer (at least one)
Additional supporting details for the application for fund management in relation to portfolio management	
22	Company's portfolio management system manual
23	Details of the funds projected to be managed in the next five years
24	Letter of acceptance from the proposed custodian
25	A completed self-assessment readiness checklist specified by the SC Click here to download the relevant checklist(s) <ul style="list-style-type: none"> • Appendix IV: Fund management
26	A duly completed form for the application of compliance officer (at least one)
Additional supporting details for the application for fund management in relation to portfolio management lodged by a company owned by individuals	
27	Declaration on loans and credit facilities, pursuant to subparagraph 4.04(5) of the Licensing Handbook
Additional supporting details for the application for dealing in unit trust products, dealing in private retirement schemes, investment advice, advising on corporate finance, and/or financial planning	
28	A completed self-assessment readiness checklist specified by the SC Click here to download the relevant checklist(s) <ul style="list-style-type: none"> • Appendix I: UTMC • Appendix II: IUTA • Appendix III: CUTA • Appendix V: Advising on corporate finance • AppendixVI: Investment advice • AppendixVII: Financial planning • AppendixVIII: Dealing in private retirement schemes
Others	
29	Other relevant documents

ADDITIONAL INFORMATION

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

DECLARATION

True and Correct Information	
<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.