


**Form 4: Annual Reporting for Authorisation Activity for Capital Markets Services Licence Holder**
**PROFILE**

Entity Information	
Name	
Registration No.	
Licence Details	
Licence No.	
Licence Anniversary Date	
Reporting Year	
Regulated Activity	
Regulated Activity	
Contact Information	
Registered Address	
Email	
Office No.	
Fax No.	
Business Address	
Email	
Office No.	
Fax No.	
Correspondence Address	
Email	
Office No.	
Fax No.	

**KEY PERSON**

Associate Person													
Name	Identification Number	Appointment Type	Designation	Area of Regulated Activity									
Shareholders													
Shareholders - Company													
Name	Country of Origin	Registration No.	Status (Bumi/Non Bumi/Foreign)	Shares									
				Ordinary		Preference		Others		Total			
				No	%	No	%	No	%	No	%		

Shareholders - Individual													
Name	Country of Origin	Registration No.	Status (Bumi/Non Bumi/Foreign)	Shares									
				Ordinary		Preference		Others		Total			
				No	%	No	%	No	%	No	%		

**PARTICIPATION**

Participation			Bumiputera		Non-Bumiputera		Foreign		Total	
			No	%	No	%	No	%	No	%
Representatives	Dealing in securities									
	Dealing in securities restricted to bonds									
	Dealing in securities restricted to underwriting activities									
	Dealing in securities restricted to listed securities									
	Dealing in securities restricted to over-the-counter (OTC) bonds									
	Dealing in derivatives									
	Dealing in derivatives restricted to contract for difference (CFD)									
	Fund management									
	Fund management in relation to portfolio management									
	Fund management in relation to asset management restricted to business trusts									
	Fund management in relation to asset management restricted to real estate investment trusts (REITs)									
	Advising on corporate finance									
	Investment advice									
	Financial planning									
	Total									
Changes since last submission reason (eg: entry and exit)										
Employee	Management	Licensed								
		Non licensed								
	Executive	Licensed								
		Non licensed								
	Support									
	Total									
Changes since last submission & reason (eg: entry and exit)										

**PERFORMANCE REVIEW**

This section seeks information on performance, trends, challenges, commitments, events and uncertainties including liquidity, capital resources and other critical factors. The information should set out the main trends and factors underlying the development, performance and position of the company during the past year and those which are likely to affect its future development, performance and position.

## 1. Performance Review

- Discuss the significant features of the development and performance of the company's business (including products and services)
- Discuss the company's progress in its business and provide segmental analysis on company's business including distribution network, clientele and performance where relevant
- Discuss any key performance indicators used by the company to assess its progress including financial analysis of the company's performance
- Discuss any contingent liabilities and the likelihood of occurrences

## 2. Discuss the resource availability and how they are managed in order to meet objectives of the firm, including identifying key strengths, recruitment and staff turnover.

## 3. Briefly describe economic or industry-wide factors relevant and impacting the company and its operations.

## 4. Discuss the strategies for achieving the current and future objectives of the business. Identify trends, events and uncertainties or principal risks that the company considers likely to impact the business or financial condition. Provide insight on material opportunities, challenges and risks together with actions taken to address them.

## 5. Provide updates on any changes to operational and compliance policies.

## 6. Provide information on any compliance reviews or internal audit conducted on your operations during the year. Highlight the key findings and action taken to address the findings.

## 7. Group Structure and Operations

## i. Provide update on your group structure since the last submission in the form of a tree diagram incorporating the following details:

- Corporation's shareholding structure; and
- Percentage of shareholdings of each shareholder.

## ii. Briefly describe any material mergers, acquisitions or business ventures within the group during the year.

## iii. Explain impact of the new business on the local operations and resources.

Provide information on any material changes on your Group structure and operations (local and foreign subsidiaries and associates) since the last anniversary date.

<b>Financial Highlights</b>				
<b>Type of Account</b>	<b>Audited</b>	<b>Audited</b>	<b>Audited</b>	<b>Latest Management Account</b>
	<b>(for the past 3 Financial Year Ends)</b>			
<b>Financial Year Ended</b>				
<b>Statutory Auditors</b>				
<b>Total Revenue</b>				
<b>Total Expenses</b>				
Staff Cost				
Directors cost				
Marketing expenses				
Others in total				
<b>Net Profit/(Loss) Before Tax</b>				
<b>Net Profit/(Loss) After Tax</b>				
<b>Long-term Borrowings</b>				
<b>Proprietary Position</b>				
<b>Amount due to/from related parties</b>				
<b>Amount due to/from directors</b>				
<b>Financial Requirements</b>				
Banking group basis				
Capital Adequacy Ratio				
Capital funds				
Paid-up Capital				
Risk-weighted Capital Ratio				
Shareholders' Funds				
<b>Asset Efficiency &amp; Management</b>				
<b>Return on Equity</b>				
<b>Staff Expense over Revenue</b>				
<b>Total Expense over Revenue</b>				
<b>Trading volumes &amp; values</b>				
<b>Asset Under Management (AUM)</b>				

**Other Disclosure**

1) Since the date of the previous anniversary date, has the licence holder carried on any business other than the type of regulated activity the licence is applied for, in Malaysia or elsewhere?
2) Since the last submission, has the licence holder, in Malaysia or elsewhere, applied to be licensed or registered, or been given authority, in any capacity which is required by any law, rule or regulation to be licensed, registered or authorised? (please provide the details by filling up and duplicating the table for more than one licence/registration)
3) Has the licence holder, in Malaysia or elsewhere—
* 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 appointed in respect of any of the assets of the licence holder?
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?
4)
a) Is there any action or ongoing investigation taken by a foreign securities regulator on the company, key persons and/or its representatives and the remedial action undertaken.
b) Is there any audit or planned audit by a domestic and/or foreign regulator.

**SUPPORTING DOCUMENT**

No.	Description
1	Lodgement under section 68 of the Companies Act 2016: Annual Return (Mandatory for the application of appointment of chief executive and/or licensed director, where applicable)  (if not applicable, submit the lodgement under section 14 of the Companies Act 2016: Application for Registration of a Company)
2	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
3	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)
4	Latest management accounts (if the audited financial statements are more than three months old as at the anniversary date)
5	List of employees indicating the Bumiputera / non-Bumiputera / foreign status, the employment status and position
6	Latest organisational structure
7	Performance review
<b>Additional supporting details for registered representatives</b>	
8	Annual reporting on the trading representatives, consisting of the following: <ul style="list-style-type: none"> <li>a. A declaration to the SC that all its trading representatives are in compliance with the fit and proper requirements;</li> <li>b. An update on training undertaken by each of the trading representatives, including any specific training and development activities carried out for the trading representatives;</li> <li>c. Details of complaints received against any of its trading representatives (if any); and</li> <li>d. The outcome of its supervision and the findings against its trading representatives (if any)</li> </ul> Annual reporting on the Recognised Representatives (RRs), consisting of the following: <ul style="list-style-type: none"> <li>a. A declaration to the SC that all its RRs are in compliance with the fit and proper requirements;</li> <li>b. A declaration that all its RRs remain licensed, registered, approved or authorised by the Home Regulator in a Recognised ACMF Member Country to undertake the regulated activity of investment advice;</li> <li>c. Detail of complaints received against any of its RRs (if any); and</li> <li>d. The outcome of its supervision and findings against any of its RRs (if any)</li> </ul>
<b>Additional supporting details for the regulated activity of Islamic fund management</b>	
9	For companies carrying out Islamic fund management activities, a written disclosure and declaration that the Islamic fund management business is carried out in accordance with Shariah principles (in line with paragraph 9 of the SC's Guidelines on Islamic Fund Management).
<b>Others</b>	
10	Other relevant documents

**ADDITIONAL INFORMATION**

No filled information

**DECLARATION**

True and Correct Information

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.

*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.*

*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, 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.*