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**Form 7: Notification of change of director, responsible person, chief executive, compliance officer or shareholder of a Recognized Market Operator (RMO)**

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| SECTION A: PROFILE | |
| **Name of RMO** |  |
| **Registration No** |  |
| **Type of RMO** |  |

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| --- | --- | --- |
| SECTION B: NATURE OF CHANGE | | |
| Please tick the relevant box | Director | Compliance Officer |
| Responsible Person | Shareholder |
| Chief Executive |  |

|  |  |
| --- | --- |
| SECTION C: DETAILS OF CHANGE | |
| **Details of Personnel (Before)** | |
| **Full Name (as per NRIC/Passport)** |  |
| **Designation** |  |
| **Effective Date (Resignation/Termination/Cessation)** |  |

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| --- | --- | --- | --- |
| **SECTION D: DETAILS OF NEW DIRECTOR, RESPONSIBLE PERSON, CHIEF EXECUTIVE, COMPLIANCE OFFICER OR SHAREHOLDER** | | | |
| **Full Name (as per NRIC / passport)** |  | | |
| **Gender** |  | | |
| **Date of Birth** |  | | |
| **Age** |  | | |
| **Nationality** |  | | |
| **NRIC No/Passport No.** |  | | |
| **Designation** |  | | |
| **Residential Address** |  | | |
| **Email Address** |  | | |
| **Contact No** | Office | Mobile | Fax |
| **Please indicate if the individual has prior experience in Financial Institutions (e.g. bank, insurance company etc.)**   |  |  | | --- | --- | | Yes | No |   **If yes, please fill the following:** | | | |
| **Name of organisation** |  | | |
| **Duration and year of service** |  | | |
| **Position held** |  | | |
| **Does the applicant meet all the requirement of fit and proper criteria as per Appendix 2 of the *Guidelines on Recognized Markets* (RMO Guidelines)?**   |  |  | | --- | --- | | Yes | No | | | | |

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| --- | --- | --- | --- | --- | --- |
| **D.QUALIFICATIONS & EXPERIENCE - For compliance officer only** | | | | | |
| 1. **Qualification** | | | | | |
| **Qualification Type** | | **Year** | **Educational Institution/**  **Professional Body** | | **Degree/Diploma/Certificate/Others** |
|  | |  |  | |  |
|  | |  |  | |  |
| 1. **Work Experience** | | | | | |
| **Period**  **(Year – Year)** | **Designation** | | **Full Name of Organisation** | **Description, Duties and Responsibilities** | |
|  |  | |  |  | |

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| --- | --- | --- | --- | --- | --- | --- |
| **SECTION E: DETAILS OF NEW SHAREHOLDER** | | | | | | |
| **Reason for change in shareholding structure** |  | | | | | |
|  | **Current** | | | **Proposed** | | |
| **Name** | **Number of Shares** | **Percentage**  **(%)** | **Type of Shares (Ordinary or Preference Shares)** | **Number of Shares** | **Percentage**  **(%)** | **Type of Shares (Ordinary or Preference Shares)** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Does the applicant meet all the requirement of fit and proper as per Appendix 2 of the RMO Guidelines?**   |  |  | | --- | --- | | Yes | No | | | | | | | |

**SUPPORTING DOCUMENTS**

|  |  |
| --- | --- |
| **No.** | **Description** |
| 1 | A copy of the individual's NRIC (for Malaysian citizen) or passport(s) (for non-Malaysian citizen)  *(Note: Must be crossed out with the remark “For the SC Use Only” and certified as a true copy by a notary public / solicitor / company secretary)* |
| 3 | A copy of the individual's resume, relevant academic certificates, and experience |
| 6 | Company information from the Companies Commission of Malaysia, containing details of directors / |
| 7 | Other relevant documents |

**ADDITIONAL INFORMATION**

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

**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 369 of the *Capital Markets and Services Act 2007* (CMSA), 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, 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 (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 CMSA. Failure to provide personal data required in this form will necessarily impair your registration status or any 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 Institution Supervision Department.