****

**NOTICE OF SCOPE EXPANSION OF ELIBIGLE FINANCIAL PLANNER**

|  |  |
| --- | --- |
| SECTION I: INTERMEDIARY INFORMATION | |
| Name of Intermediary |  |

|  |  |
| --- | --- |
| SECTION II: PARTICULARS OF ELIGIBLE FINANCIAL PLANNER | |
| Salutation |  |
| Name *(as per NRIC / passport)* |  |
| CMSRL No. |  |

|  |  |  |
| --- | --- | --- |
| SECTION III: ADDITIONAL SERVICE OFFERING | | |
| **Type of Additional Offering** | | **Effective Date** |
|  | Advising on equities, debentures or warrants listed on Bursa Securities |  |
|  | Advising on unlisted corporate bonds or sukuk |  |

|  |  |  |
| --- | --- | --- |
| SECTION IV: QUALIFICATION FOR ADDITIONAL SERVICE OFFERING | | |
| **Requirement** | | **Date Passed / Attained** |
|  | Module 7 of the SC Licensing Examinations (SCLE) |  |
|  | Investor Protection Professional Certification (IPPC) / Pasaran Kewangan Malaysia Certificate (PKMC) |  |

|  |
| --- |
| SECTION V: OTHER INFORMATION |
| Is there any other additional information relevant to this submission? |
| No  Yes *(please specify details)* |
|  |

|  |  |  |
| --- | --- | --- |
| SECTION VI: SUPPORTING DOCUMENTS(All scanned documents must be clear and legible) | | |
| 1 | Proof of passing Module 7 of the SC Licensing Examinations (SCLE) |  |
| 2 | Proof of attaining the Investor Protection Professional Certification (IPPC) / Pasaran Kewangan Malaysia Certificate (PKMC) |  |
| 3 | Other relevant documents |  |

|  |
| --- |
| **SECTION IX: DECLARATION OF TRUTH AND ACCURACY OF 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 the Capital Markets Services Licence (“CMSL”) holder’s application / submission and 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 CMSL holder’s business address. |
| …………………………………………………..  Signature *(Eligible Financial Planner)* |
| Full Name: |
| Designation: |
| 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 applicant 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 functions of a financial planner with expanded scope. | |
| …………………………………………………..  Signature *(Licensed Director / Director / Chief Executive)* | …………………………………………………..  Signature *(Director / Authorised Signatory\*)* |
| Full Name: | Full Name: |
| Designation: | Designation: |
| Date *(dd mmm yyyy)*: | Date *(dd mmm yyyy)*: |

*\* approved by the board of directors*