



Form 28: Application for Temporary Licence (to be completed by applicant and monitoring officer)

REGULATED ACTIVITY

Regulated Activity							
Regulated Activity							
Status On Your Home Regulatory Regime							
Please provide information on the applicant's employer(s) status. Please enclose a copy of all current licenses, registrations or approval documents. If the licence, registration or approval document is not in English, the applicant shall enclose an accurate translation thereof in the English language.							
Employer	Name of regulatory authority	Status (Licensed, registered, approved etc)	Licence, registration or approval number	Description of activity regulated	Conditions or restrictions attached to the licence, registration or approval, if any	From	To
Please provide information on the applicant's status. Please enclose a copy of all current licenses, registrations or approval documents. If the licence, registration or approval document is not in English, the applicant shall enclose an accurate translation thereof in the English language							
Name of regulatory authority	Status (Licensed, registered, approved etc)	Licence, registration or approval number	Description of activity regulated	Conditions or restrictions attached to the licence, registration or approval, if any	From	To	

PROFILE

Personal Details	
Gender	
Date of Birth	
Nationality	
National ID	
NRIC No.	

QUALIFICATIONS

No filled information

WORK EXPERIENCE

No filled information

SUPPORTING DOCUMENT

No.	Description
1	A copy of the individual's NRIC (for Malaysian citizen) or passport(s) (for non-Malaysian citizen) (must be crossed out with the remark "For the SC Use Only") (To be certified as a true copy by a notary public / solicitor / company secretary)
2	A recent passport size colour photograph
3	A copy of the individual's relevant academic certificates
4	Reference letter(s)
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	Certified copy of proof for all licences, registration or approval, that entitle you to provide financial services mentioned earlier in item 1 Section VI (To be certified as a true copy by a notary public / solicitor / company secretary)
7	Bankruptcy search results from the Malaysian Department of Insolvency or, if outside Malaysia, the competent authority (no more than 31 days old as at the date of submission)
8	Other relevant documents

ENTITY PROFILE

Regulated Activity	
Regulated Activity	
Contact Information	
Registered Address	
Email	
Office No.	
Fax No.	
Correspondence Address	
Email	
Office No.	
Fax No.	

MONITORING OFFICER

Monitoring Officer Details	
Nationality	
NRIC No.	
Old IC No.	
Salutation	
Full Name	
Other Name	
Date of Birth	
Place of Birth (country)	
Place of Birth (city/town)	
Present country/ies of citizenship	
Gender	
Designation	
Email	
Home No.	
Mobile No.	
Office No.	
Fax No.	

Other Disclosure

Character
1) Has the individual, 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 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) been declared a bankrupt or entered into a composition or arrangement with creditors?
e) been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?
2) Has the individual been involved in the management of a entity, in Malaysia or elsewhere, which at the time of his/her involvement, the entity had—
* 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 been appointed in respect of any of the assets of the said entity?
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?

SUPPORTING DOCUMENT

No.	Description
1	A copy of the monitoring officer's NRIC (for Malaysian citizen) or passport(s) (for non-Malaysian citizen) (must be crossed out with the remark "For the SC Use Only")
2	Proof of monitoring officer's employment with current company
3	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.

I undertake to notify the SC and my monitoring officer immediately of any changes to the circumstances listed above at any time after my application has been approved to enable the SC to re-assess my status as a temporary licence holder.

I understand that I have to complete and submit the "Monitoring Officer's Report for the Temporary Licence Holder Form" to the SC half-yearly, starting six months after the issuance of the temporary licence.

Signature (Temporary Licence Applicant)	Signature (Monitoring Officer)
Full Name :	Full Name :
Date :	Date :

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.