

**LIST OF DOCUMENTS TO BE SUBMITTED****Application for registration as Social Exchange Platform Operator (SEP operator)**

No	Description
1	Completed Form 1 as set out on the SC's website.
2	Cover letter, specifying the approval sought, including the particulars of the proposal.
3	The applicant's comprehensive proposals and three-year business plans.
4	The platform's function, features and technical requirements.
5	A declaration by the applicant that the compliance and internal controls, operational policies and procedures are in place and is adequate to ensure compliance with the requirements of these Guidelines and securities laws.
6	<p>The following supporting documents:</p> <ul style="list-style-type: none"> <li>(a) Board composition, management and organisational structure, indicating the actual and the projected staff strength as well as any outsourcing arrangements (as a provider and a client);</li> <li>(b) Details of applicant's shareholding/partnership structure including a diagram depicting its group structure covering subsidiary and associate company and ultimate ownership and relevant shareholding;</li> <li>(c) A certified true copy of the certificate of incorporation;</li> <li>(d) Memorandum or articles of association, partnership agreement or any constituent document;</li> <li>(e) Details on its board, responsible person and senior management;</li> <li>(f) Declaration of fit and properness of relevant persons as set out under Appendix 5 of the <i>Guidelines on Social Exchange Platforms</i>;</li> <li>(g) Latest audited financial statements or certified management accounts (if audited financial statements are unavailable e.g. it is newly established); and</li> <li>(h) Bankruptcy search result 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) for individual shareholders, directors, the responsible person and the chief executive.</li> <li>(i) Applicants operational and compliance manuals describing in detail: <ul style="list-style-type: none"> <li>(i) risk and compliance policies and procedures covering anti-money laundering, countering financing of terrorism controls; enterprise management, complaints management; disclosure; conduct risk and</li> </ul> </li> </ul>

	<p>conflict of interest management policies; internal audit controls, management of trust account (where relevant); and</p> <p>(ii) Compliance with the <i>Guidelines on Technology Risk Management</i>.</p>
7	The applicant's declaration on the system and operational readiness as stipulated in Form 2 as set out in the SC's website.
8	Such other documents as may be specified by the SC.