



Form R4: Application for Individual Appointment

APPLICATION DETAILS

Registration Type		
Registration Type		
Designation		
Appointment	Designation	Sub-Designation
Responsible Person		

PROFILE

Personal Details					
Salutation					
Full Name (as per NRIC / passport)					
Surname / Last Name					
Given Name					
Other Name					
Gender					
Date of Birth					
Status					
Nationality					
National ID (Malaysian)					
NRIC No.					
Address and Contact Detail(s)					
Country / Jurisdiction					
Postcode					
State					
City					
Address 1					
Address 2					
Email					
Marital Status					
Status	Married				
Name of Spouse (as per NRIC / passport)	For Malaysian		For Non-Malaysian	Occupation & Name of Employer (if in employment)	Details of employer
	Old IC No.	NRIC No.	Passport No. / Expiry Date (dd mmm yyyy) / Place of Issue		Address/Office No./Fax No.

QUALIFICATIONS

Qualifications			
Qualification Type	Year	Educational Institution/Professional Body	Degree/Diploma/Certificate/Others

WORK EXPERIENCE

Work Experience					
From	To	Not in Employment	Full Name Of Organisation	Description and Duties and Responsibilities	CM/FS-related?

Other Disclosure

Directorship
1) Is the individual a director of any other entity, wherever incorporated?
Ownership
2) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any entity, wherever incorporated?
Others
3) Has the individual, in Malaysia or elsewhere—
a) authorised in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required?
b) refused the right to in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required? Note: Authorisation also includes licensing, registration, approval and membership.
4) 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?
5) 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 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 certificate(s) (To be certified as a true copy by a notary public / solicitor / company secretary)
4	Detailed curriculum vitae / professional profile of the individual (must be consistent with the information provided in this form)
5	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)
6	Company information from the Companies Commission of Malaysia or, if outside Malaysia, the competent authority, containing details of directors / officers (To be certified as a true copy by the Companies Commission of Malaysia)
7	A copy of the individual's work permit (To be certified as a true copy by a notary public / solicitor / company secretary) (for non-Malaysian citizen)
8	Other relevant documents

ADDITIONAL INFORMATION

Additional Information	
1. Is there any other information relevant to this submission?	
2. Other relevant accompanying or supporting document(s).	
3. Please demonstrate that the individual fulfils the requirements under Chapter 4 of the Guidelines on the Registration of Venture Capital and Private Equity Corporations and Management Corporations. (enclose a separate sheet with any additional details that do not fit in the space provided below)	
4. A person to be appointed as a responsible person must— a. be a director as defined under the Companies Act 2016 or in the case of a limited liability partnership, a partner as defined under the Limited Liability Partnerships Act 2012; and/or b. an officer who is responsible for investment strategies and decisions. Please confirm if either (a) or (b), or both criteria will be satisfied upon his/her appointment as a responsible person.	
5. A person to be appointed as a responsible person must fill the role on a full-time basis. Will this requirement be fulfilled upon his/her appointment as a responsible person?	No (please explain)

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, or other provisions under the securities laws. In addition, it can adversely affect our (i) application or submission; and (i) 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 a designated place approved by the SC at all times.

Signature

Full Name :

Date :

In addition to the declaration 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 the specified role(s).

Signature (Director / Authorised Signatory*)

Signature (Director / Chief Executive / Responsible Person / 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.