



## Form 18: Notice of Cessation of Capital Markets Services Licence

**PROFILE**

| <b>Entity Information</b>  |  |
|--|--|
| Name   |  |
| Registration No.   |  |
| <b>Contact Information</b>   |  |
| Registered Address   |  |
| Email  |  |
| Office No.   |  |
| Fax No.  |  |
| Headquarters/Main Office   |  |
| Email  |  |
| Office No.   |  |
| Fax No.  |  |
| <b>Licence Details</b>   |  |
| Licence No.  |  |
| Licence Anniversary Date   |  |
| <b>Regulated Activity</b>  |  |
| Regulated Activity   |  |
| <b>Cessation Details</b>   |  |
| Cessation Date   |  |
| Reason for Cessation   |  |
| Have you notified the clients of your intention to cease the above regulated activity and taken adequate arrangements to meet all outstanding liabilities and obligations in respect of the above regulated activity? Please provide details and elaborate measures the applicant has taken to safeguard the clients' assets, if any |  |

**ADDITIONAL INFORMATION**

| <b>Additional Information</b>                                  |  |
|--|--|
| 1. Is there any other information relevant to this submission? |  |
| 2. Other relevant accompanying or supporting document(s).      |  |

**REGISTER OF SECURITIES**

| <b>Register of Securities</b>   |  |
|---|--|
| Do you have a Register of Securities?                                 |  |
| <b>Place where register of securities was kept prior to cessation</b> |  |
| Country / Jurisdiction  |  |
| Postcode  |  |
| State   |  |
| City  |  |
| Address 1   |  |
| Address 2   |  |
| Office No.  |  |
| Fax No.   |  |
| Email   |  |

**SUPPORTING DOCUMENT**

| No. | Description  |
|-----|--|
| 1   | Relevant documents, including a copy of the written confirmation by the licence holder that the cessation has been performed in accordance with section 81 of the CMSA, and any other information as may be required by the SC (the physical licence, if applicable, shall be returned to the SC upon cessation) |
| 2   | Other relevant documents   |

**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.

|  |  |
|--|--|
|  |  |
| Signature (Licensed Director / 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 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.*