



Form R11: Anniversary Reporting by Capital Market Services Provider

PROFILE

Entity Information	
Name	
Registration No.	
Anniversary Date	
Reporting Year	
Registration Type	
Registration Type	
Contact Information	
Registered Address	
Email	
Office No.	
Business Address	
Email	
Office No.	
Correspondence Address	
Email	
Office No.	

KEY PERSON

Associate Person														
Name	Identification Number	Appointment Type	Designation	Sub-Designation										
Shareholders														
Shareholders - Company														
Name	Country of Origin	Registration No.	Status (Bumi/Non Bumi/Foreign)	Shares										
				Ordinary		Preference		Others		Total				
				No	%	No	%	No	%	No	%			

Shareholders - Individual													
Name	Country of Origin	Registration No.	Status (Bumi/Non Bumi/Foreign)	Shares									
				Ordinary		Preference		Others		Total			
				No	%	No	%	No	%	No	%		

Other Disclosure

1) Since the last anniversary date, has the entity carried on any business other than the provision of capital market services in Malaysia or elsewhere?
2) Since the last anniversary date, has the licence holder, in Malaysia or elsewhere, applied to be licensed or registered, or been given authority, in any capacity which is required by any law or regulation to be licensed, registered or authorized?
3) 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) had a receiver and manager appointed in respect of any of the assets of the individual?
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?
4)
a) Is there any action or ongoing investigation taken by a foreign securities regulator on the company, key persons and/or its representatives and the remedial action undertaken.
b) Is there any audit or planned audit by a domestic and/or foreign regulator.

SUPPORTING DOCUMENTS

No.	Description
1	Annual return form lodged under section 68 of the Companies Act 2016 (Certified true copy)
2	Business profile (Certified true copy) (from the Companies Commissions of Malaysia's database)
3	Company profile (Certified true copy) (from the Companies Commissions of Malaysia's database)
4	Complete ownership structure
5	Latest organisational structure
6	Latest audited financial statements
7	Latest management accounts (if the audited financial statements are more than three months old as at the anniversary date)
8	Director's report on the financial standing, affairs, current assets and contingent liabilities of the company (for the period between the first day of the new financial year and a date within 14 days before the date of submission)
9	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 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.

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.