****

**PROFILE OF INDIVIDUAL SHAREHOLDER OF**

**CAPITAL MARKETS SERVICES LICENCE APPLICANT**

|  |
| --- |
| SECTION I: ENTITY INFORMATION |
| Name of Entity |       |

|  |
| --- |
| SECTION II: PROFILE OF INDIVIDUAL SHAREHOLDER |
| **Personal Details** |
| Salutation |       |
| Name *(as per NRIC / passport)* |       |
| Other Name |       |
| Date of Birth *(dd mmm yyyy)* | 02 Jan 19XX |
| Gender | [ ]  Male  | [ ]  Female |
| Nationality |       |
| Status | [ ]  Bumiputera | [ ]  Non-Bumiputera | [ ]  Foreigner |
| National ID and Passport Details |
| For Malaysian  | Old IC No.:       | NRIC No.:       |
| For Non-Malaysian*(include details of all valid passports)* | Passport No.:       | Expiry Date (dd mmm yyyy):       |
| Place of Issue:       |
| Length of residence in Malaysia:       year(s) |
| Do you have a valid work permit? [ ]  No [ ]  Yes (Please provide details below) |
| Address and Contact Details |
| Residential Address |       |
| E-mail |       |
| Contact No. | Home:       | Mobile:       |
|  | Office:       | Fax:       |
| Marital Status and Spouse Details |
| [ ]  Single [ ]  Married *(please provide details below)* [ ]  Divorced [ ]  Widowed |
| Name of Spouse | 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. |
|       |       |       |       |       |       |
|       |       |       |       |       |       |

|  |
| --- |
| SECTION IV: QUALIFICATIONS *(identical to the wording specified in the certificates)*  |
| Educational Institution / Professional Body | Year | Degree / Diploma / Certificate / Others |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
| Other Qualifications *(please specify)* |       |

|  |
| --- |
| SECTION V: WORK EXPERIENCE (without gaps, in reverse chronological order. Explain each employment gap, if any) |
| Date (mmm yyyy) | Full Name of Organisation *(state location if outside Malaysia)*and Designation Held *(state role / rank and division /* *department / unit)**Note: Should there be a career progression or any variation of role and responsibilities, list them in separate rows (even if the roles are within the same division / department) instead of stating the last position held within an organisation* | Description of Duties and Responsibilities | Capital markets- and/or financial services- related? *(Yes / No)* |
| From | To |
| Jan 2018 | Present | XYZ Group Limited, SingaporeExecutive Director / Regional Head of Asia Pacific | - XXX- XXX- XXX |       |
| Apr 2014 | Dec 2017 | XYZ Group Limited, SingaporeDirector, Business Development | - XXX- XXX- XXX |       |
| Feb 2012 | Mar 2014 | ABC Pte Ltd, LondonSenior Manager, Group Sales and Marketing | - XXX- XXX- XXX |       |
| Oct 2010 | Jan 2012 | ABC Pte Ltd, LondonClient Services Manager | - XXX- XXX- XXX |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |

|  |
| --- |
| SECTION VI: OTHER DISCLOSURE |
| Directorship  |
| 1) Is the individual a director of any other corporation, wherever incorporated? |
| [ ]  No *[ ]*  Yes *(please provide details)* |
| Name of Corporation | Nature of Business | Place of Incorporation | Date of Appointment *(dd mmm yyyy)* | Nature of Appointment  |
| (independent or non-independent) | (executive or non-executive) |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
| Ownership |
| 2) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated? |
| [ ]  No *[ ]*  Yes *(please provide details)* |
| Name of Corporation | Nature of Business | Place of Incorporation | % of Ownership | Paid-up Capital (MYR and, if applicable, Non-MYR) |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |
| Others |
| 3) Has the individual been, in Malaysia or elsewhere— |
| * 1. 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?

*Notes:* *i. Authorisation also includes licensing, registration, approval and membership.**ii. If authorised by the SC, state the type of the regulated activity.**iii. If authorised by other regulatory, supervisory or professional body, within or outside Malaysia, state:** + - * 1. *name of the competent authority;*
				2. *type of authorisation;*
				3. *name of entity; and*
				4. *effective period.*

 *This includes unit trust scheme consultants and insurance agents.* *iv. Ensure the employment history corresponds with the disclosures in this section.*[ ]  No *[ ]*  Yes *(please provide details)* |
|       |
| * 1. 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*.[ ]  No *[ ]*  Yes *(please provide details)* |
|       |
| 4) Has the individual, in Malaysia or elsewhere—  |
| 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 corporation or violence?[ ]  No *[ ]*  Yes *(please provide details\*)* |
|       |
| had judgment involving findings of fraud, dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him/her in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment or finding?[ ]  No *[ ]* Yes *(please provide details\*)* |
|       |
| 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?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| been declared a bankrupt or entered into a composition or arrangement with creditors?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| e. been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| 5) Has the individual been involved in the management of a corporation, in Malaysia or elsewhere, which at the time of his/her involvement, the corporation had— |
| 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 corporation or violence?[ ]  No *[ ]*  Yes *(please provide details\*)* |
|       |
| 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?[ ]  No *[ ]* Yes *(please provide details\*)* |
|       |
| 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?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| entered into a compromise or arrangement with creditors or members?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| had a petition presented in a court for its winding up?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |
| g. been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?[ ]  No [ ]  Yes *(please provide details\*)* |
|       |

 *\* 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)*

|  |
| --- |
| SECTION VII: ADDITIONAL INFORMATION |
| Is there any other additional information relevant to this submission? |
| [ ]  No [ ]  Yes *(please specify details)* |
|       |

|  |
| --- |
| SECTION VIII: SUPPORTING DOCUMENTS *(please ensure all scanned documents are clear and legible)* |
| No. | Description | Submission*(please tick)* |
| Yes | N/A |
| 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”)* | **[ ]**  |  |
| 2 | A recent passport size colour photograph | **[ ]**  |
| 3 | Detailed curriculum vitae / professional profile of the individual *(must be consistent with the information provided in this form)* | **[ ]**  |
| 4 | 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)* | **[ ]**  |
| 5 | A copy of the individual’s work permit\* *(if applicable)* | **[ ]**  | **[ ]**  |
| 6 | Other relevant documents | **[ ]**  | **[ ]**  |

*\* To be certified as a true copy by a notary public / solicitor / company secretary*

|  |
| --- |
| **SECTION IX: DECLARATION**  |
| * I am 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 (i) this application or submission; and (ii) the fit and proper standing of the named entity and myself 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.** I hereby declare that all information provided in this submission, including its supporting materials, is true and correct.
 |
| …………………………………………………..Signature |
| Full Name:      |
| Date *(dd mmm yyyy)*:       |

*Note: 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 Securities Commission Malaysia’s Authorisation and Licensing Department.*