



## Form 3: Application for New Capital Markets Services Representative's Licence

**REGULATED ACTIVITY**

Regulated Activity	
Regulated Activity	
Entity Details	
Name of Principal	
Registration No.	
Location	

**PROFILE**

Personal Details	
Gender	
Nationality	
National ID	
NRIC 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?

**SC LICENSING EXAMINATIONS (SCLE)**

SC Licensing Examinations (SCLE)				
Module Name	Exempted	Date Passed	Date Exempted	Supporting Document

**REGISTER OF SECURITIES**

Register of Securities	
Does the applicant have a register of securities?	Yes (please provide details)

**Other Disclosure**

<b>Interest in Securities</b>
1) Has the individual purchased/sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes purchases/sales through his own nominees for/on behalf of his relatives) for his own account during the 12 months immediately preceding the date of this application?
<b>Directorship</b>
2) Is the individual a director of any other entity, wherever incorporated?
<b>Ownership</b>
3) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any entity, wherever incorporated?
<b>Others</b>
4) 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.
5) Has the individual ever been a member or partner in a member firm or a director of a member company of any exchange apart from that currently applied for? (For applications of dealing in securities and dealing in derivatives only)
6) 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?
7) 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	Declaration from the company attesting to the fit and proper standing of the CMSRL individual, in accordance with section 65 of the CMSA
2	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)
3	A recent passport size colour photograph
4	A copy of the individual's relevant academic certificates
5	A copy of the relevant industry examination results / professional certificates and membership
6	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)
7	Details of securities sold/purchased by the individual for his/her own account during the last 12 months immediately preceding the date of this submission
8	A copy of the individual's work permit (for non-Malaysian citizen)
9	Other relevant documents

**ADDITIONAL INFORMATION**

Additional Information	
1. Is there any other information relevant to this submission?	Yes (please provide details)

**DECLARATION**

True and Correct Information	
<input type="checkbox"/> 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.  <i>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.</i>  <i>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>	
<input type="checkbox"/> 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	
Full Name:	
Date :	
In addition to the declaration above, on the basis of a due and diligent enquiry made of the background of the individual 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 (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.*