

# SECURITIES INDUSTRY ACT 1983

## SECURITIES INDUSTRY (LICENSING OF FUND MANAGER AND FUND MANAGER'S REPRESENTATIVE) (AMENDMENT) REGULATIONS 2005

IN exercise of the powers conferred by paragraph 127(2)(a) of the Securities Industry Act 1983 [*Act 280*], the Minister makes the following regulations:

### Citation and commencement

1. (1) These regulations may be cited as the **Securities Industry (Licensing of Fund Manager and Fund Manager's Representative) (Amendment) Regulations 2005**.

(2) These Regulations come into operation on 18 February 2005.

### Amendment of regulation 3

2. The Securities Industry (Licensing of Fund Manager and Fund Manager's Representative) Regulations 1996 [*P.U. (A) 117/1996*], which are referred to as the "principal Regulations" in these Regulations, are amended in regulation 3—

- (a) in subregulation (1), by substituting for the words "First Schedule" the words "First Schedule and Second Schedule";
- (b) in subparagraph (2)(b)(i), by substituting for the words "form in the prescribed manner" the words "relevant parts of the form"; and
- (c) in subregulation (4), by inserting after the words "in the form" the words "or as may be specified by the Commission from time to time".

### Amendment of regulation 4

3. The principal Regulations are amended by substituting for regulation 4 the following regulation:

- "Manner of sending application.
4. An application for a licence or renewal of a licence in the forms prescribed together with any relevant annexures shall be lodged with the Commission in the form and manner as the Commission may from time to time specify."

### Deletion of regulation 5

4. The principal Regulations are amended by deleting regulation 5.

### Amendment of First Schedule

5. The principal Regulations are amended by substituting for the First Schedule the following schedule:

“FIRST SCHEDULE

(Regulation 3)

LIST OF FORMS

(1)	(2)	(3)
<i>Provisions of Act and Regulations for which the Form is prescribed</i>	<i>Purpose of Form</i>	<i>Name of Form in Second Schedule</i>
Section		
16(1)	Application for Fund Manager's Licence	Application For New Company Licence
	Application for Fund Manager's Representative's Licence	Application For Representative's Licence
	Application for Renewal of Fund Manager's Licence	Application For Renewal Of Company Licence
	Application for Renewal of Fund Manager's Representative's Licence	Application For Renewal Of Representative's Licence
19(1)	Application by a Fund Manager's Representative for Variation of Particulars relating to Principal	Application By Representative For Variation Of Particulars Relating To Principal
25	Notice of Particulars of Change (Company)	Variation Of Particulars
	Notice of Particulars of Change (Representative)	Change Of Particulars Affecting A Representative
	Notice of Appointment of Principal Officer of Company	Notice Of Appointment
	Notice of Particulars of Cessation (Company)	Cessation Of A Company
	Notice of Particulars of Cessation (Representative)	Cessation Of A Representative
49	Auditor's Report for a Fund Manager	Auditor's Report For A Fund Manager
	Supplementary Statement to be prepared by a Fund Manager	Supplementary Statement To be Prepared By A Fund Manager

## Amendment of Second Schedule

6. The principal Regulations are amended by substituting for the Second Schedule the following schedule:

### “SECOND SCHEDULE

#### (Regulation 3)

#### Application For New Company Licence

#### Licence Type:

Important: All fields are mandatory except where there are instructions that the designated field is meant only for a selected type of licence.

PROFILE			
Company Details			
Name of corporation:			
Place of incorporation			
Date of incorporation:			
Registration No.number:			
Authorised capital:	RM		
Issued capital:	RM		
Paid-up capital:	RM		
Financial year end:			
Bumiputera Shareholding:	%	Bumiputera Director:	%
Bumiputera Employees:	%		
Company Status: <i>(Please select one only)</i>	<input type="checkbox"/> Bumi Bumiputera	<input type="checkbox"/> Non-Bumiputera	
	<input type="checkbox"/> Foreign	<input type="checkbox"/> MSC	
	<input type="checkbox"/> Others (Please specify in the spaces provided below)		

History of Name Change	
Former name of corporation (if any)	Effective Date of Change

Exchange Participation
Do you intend to be a participating organisation/participant of an exchange? <i>(For Dealers and Futures Brokers Only)</i>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify)

Address & Contacts Details			
Registered Address:			
Post code:	City:	State:	
Country:			
Tel. No.:		Fax. No.:	
Email address:			
Website address:			

Business Address(es) Details								
Where business is to be carried on at more than one address in Malaysia, state the address(es) in the following spaces.								
Name of Branch	Indicate Headquarters (H) Branch (B)	Address	Post code	City	State	Country	Tel. No.	Fax. No

SHAREHOLDER'S DETAIL								
DIRECT SHAREHOLDERS								
Please provide the following details for all direct shareholders.								
Individual								
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Residential Address	For Malaysian only		Passport		No. of Shares Held	% of Shares Held
			Old IC No.	New IC No.	No.	Country of issue		

Corporation							
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Place of incorporation	Registration No.	Business Address	Effective Bumiputera Content (%)	No. of Shares Held	% of Shares Held

If 5% or more of the shares in the applicant are held by one or more corporation, please provide the corporation's shareholding structure by filling up and duplicating the following table for each corporation.

INDIRECT SHAREHOLDERS								
Shareholding Details for								
Individual								
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Residential Address	For Malaysian only		Passport		No. of Shares Held	% of Shares Held
			Old IC No.	New IC No.	No.	Country of issue		

Corporation							
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Place of incorporation	Registration No.	Business Address	Effective Bumiputera Content (%)	No. of Shares Held	% of Shares Held

If 5% or more of the shares are held by one or more corporation, please provide the corporation's shareholding structure by filling up and duplicating the above table for each corporation.

Shareholding Details for								
Individual								
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Residential Address	For Malaysian only		Passport		No. of Shares Held	% of Shares Held
			Old IC No.	New IC No.	No.	Country of issue		

Corporation							
Name	Bumiputera Status Bumiputera (B) Non-Bumiputera (NB) Foreigner (F)	Place of incorporation	Registration No.	Business Address	Effective Bumiputera Content (%)	No. of Shares Held	% of Shares Held

If 5% or more of the shares are held by one or more corporation, please provide the corporation's shareholding structure by filling up and duplicating the above table for each corporation.

**DECLARATION****Questions Relating to Applicant**

**1) Is the business of the type of licence applied for the sole or principal business proposed to be carried on by the applicant:**

Yes  No (if no, please provide the following details)

**2) Has the applicant, in Malaysia or elsewhere, applied to be licenced or registered, or be given authority, in any capacity which is required by any law or regulations?**

No  Yes (if yes, please provide the following details in a-d)

**a.**

Nature of licence, registration or authority	Country of application	Date of application and approval (if applicable)	Status of application (Withdrawn/ Rejected/ Approved, state reasons, if known)	Were there conditions or restrictions attached to the licence, registration or authority? (Yes/No, if "yes", state details of conditions or restrictions)

**b. At any time after the approval, has the applicant, been censured, fined, disciplined, or had the licence, registration or authority been suspended, revoked, been denied renewal or subjected to any other form of disciplinary action?**

No  Yes (if yes, please provide details)

**c. Please provide the date of surrender of licence or deregistration (if applicable)**

Surrender  Deregister on

**d. During the period of participation/membership, has the applicant been censured, fined, disciplined, suspended, expelled or had the participation/membership been denied renewal?**

No  Yes (if yes, please provide the following details)

**3) Is the applicant a participant/member of any stock exchange and/or any professional body?**

No  Yes (if yes, please provide the following details a-c)

<b>a.</b>				
<b>Nature of participation/membership</b>	<b>Country</b>	<b>Date of participation/membership</b>	<b>Status of participation/membership (Withdrawn/ Rejected/ Approved, state reasons, if known)</b>	<b>Were there conditions or restrictions attached to the participation/membership? (Yes/No, if "yes", state details of conditions or restrictions)</b>
<b>b. Has the applicant, at any time been subjected to any form of disciplinary action by the stock exchange and/or professional body of which the applicant is/was a participating organisation/member?</b>				
<input type="checkbox"/> No <input type="checkbox"/> Yes (if yes, please provide the following details)				
<b>c. Please provide the date of ceasing being a participating organisation/member or deregistration.</b>				
<input type="checkbox"/> Ceased <input type="checkbox"/> Deregistered on				
<b>4) Has the applicant, in Malaysia or elsewhere:</b>				
<b>a. Been convicted of any offence, or are there any proceedings now pending which may lead to a conviction for such an offence involving fraud or other dishonesty?</b>				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)				
<b>b. Had judgment involving findings of fraud or other dishonesty, or violence, misrepresentation, dishonesty, 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?</b>				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)				
<b>c. Contravened any written law designed 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?</b>				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)				
<b>d. Had a receiver and manager appointed in respect of any of the assets of the applicant?</b>				
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)				

<b>e. Entered into a compromise or arrangement with creditors or members?</b>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)
<b>f. Had a petition presented in a court for its winding up?</b>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)
<b>g. Been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?</b>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify reason in the space below)

<b>Supporting Documents/Details</b>
<b>Provide any additional information considered relevant to this application</b>
<b>Please provide annexures for the following information:</b>
<b>Describe in detail the management and organization structure, reporting principles and procedures, internal audit procedures, procedures for compliances with the securities laws, where applicable, and risk management policies which the applicant has adopted or proposes to adopt for its proposed business.</b>
<b>Provide details of any applicant's associates which are or were involved in any activities related to trading in securities/futures contract or carrying on a fund management business or advise business in Malaysia or elsewhere.</b>
<b>Provide an organization chart showing the details as provided in the shareholder's detail section above.</b>
<b>Memorandum and Articles of Association.</b>
<b>Form 9—Companies Act 1965.</b>
<b>Form 24—Companies Act 1965.</b> Latest copy certified by the Registrar of Companies
<b>Form 44—Companies Act 1965.</b> Latest copy certified by the Registrar of Companies
<b>Form 49—Companies Act 1965.</b> Latest copy certified by the Registrar of Companies
<b>Form 13—Companies Act 1965 (if applicable).</b>
<b>Form 32A—Companies Act 1965 (if applicable).</b>
<b>Latest Financial Statements.</b>
<b>A copy of the director's report on the financial standing, affairs, current assets and contingent liabilities of the company.</b> For the period between the date of last account and a date not earlier than fourteen (14) days before the date of this application.
<b>Confirmation of the company's Bumiputera shareholding (if applicable).</b>
<b>Confirmation of the company's Bumiputera employees and list of employees (if applicable).</b>
<b>Company's profile and organizational structure depicting related, subsidiary, associate and holding companies with percentage of shareholding in each category (2 copies).</b>



<b>Company's Operational and Compliance Manual (2 copies).</b>	
<b>Detailed layout plan of the business premises (2 copies).</b>	
<b>Participation/Membership Certificate of approval in principle for admission from the Exchange (if applicable).</b>	
<i>For applications of Fund Manager and Futures Fund Manager licences only</i>	
<b>Company's Portfolio Management System manual (2 copies).</b>	
<b>Information on the amount of funds the company is projected to manage in the next five years.</b>	
<b>Letter of acceptance from the proposed "Custodian".</b>	
<b>Experience of related companies in relation to fund management/futures fund management.</b>	
<b>Declaration</b>	
<b>We,                    (Director) and                    (Director or Company Secretary) hereby declare that all information provided in this application and its annexures as true and correct.</b>	
<b>Date of Signature:</b>	
<b>Signature: (Director)</b>	
<b>Date of Signature:</b>	
<b>Signature: (Director/Company Secretary)</b>	

### Application For Representative's Licence

**Licence Type:**

Application is made for a representative's licence under the Securities Industry Act 1983 or Futures Industry Act 1993.

Important: All fields are mandatory except where there are instructions that the designated field is meant only for a selected type of licence.

<b>PROFILE</b>	
<b>Personal Details</b>	
<b>Salutation:</b>	
<b>Full name of applicant:</b>	
<b>Other name:</b>	
<b>Date of birth:</b>	
<b>Gender:</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female
<b>Race:</b>	
<b>Nationality:</b>	
<b>Status:</b>	<input type="checkbox"/> Bumiputera <input type="checkbox"/> Non-Bumiputera <input type="checkbox"/> Foreigner

Address & Contacts Details			
<b>Residential address:</b>			
<b>Post code:</b>		<b>City:</b>	<b>State:</b>
<b>Country:</b>			
<b>Tel. No.:</b>	(Home):	(Mobile):	(Office):
<b>Fax. No.:</b>			
<b>E-mail:</b>			

IC & Passport Details	
<b>New IC No.:</b>	
<b>Old IC No.:</b>	
<b>Do you hold a valid passport?</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes (please provide the following information)
<b>Passport No.:</b>	
<b>Country of issue:</b>	
<b>Length of residence in Malaysia:</b>	year(s)
<b>Have you previously applied for a work permit?</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify details in the space below)

Marital Status Details				
<b>Marital Status</b>		<input type="checkbox"/> Single <input type="checkbox"/> Married (please provide spouse(s) details)		
<b>Name</b>	<b>New IC No.</b>	<b>Passport No.</b>	<b>Name of Employer</b>	<b>Address of Employer</b>
<b>Other Details</b>				
<b>Present occupation:</b>				
<b>Questions Related To Principal</b>				
<b>Name of Principal:</b>				
<b>Location:</b>				
<b>Present or Intended relationship with principal</b>				
<input type="checkbox"/> Salaried Representative				
<input type="checkbox"/> Commissioned Representative				
<input type="checkbox"/> Others (please specify)				

<b>QUALIFICATION &amp; WORK EXPERIENCE</b>			
<b>Academic or Professional Qualification</b>			
<b>Please indicate your tertiary qualification most related to which field</b>			
<b>School/College/University/ Others</b>	<b>From (Year)</b>	<b>To (Year)</b>	<b>Certificate/Degree/Masters/ Others</b>

<b>Employment History</b>						
<b>From</b>	<b>To</b>	<b>Name of Employer</b>	<b>Self- employed</b>	<b>Designation held</b>	<b>Description of Duties</b>	<b>Capital Market and/or Financial Services Related?</b>

<b>SIDC Licensing Examination</b>
<b>I have passed the following SIDC examination:</b>
<b>Module Name</b>
<b>I am exempted from the SIDC Licensing Examination</b>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify details in the space below)
<b>Have you been licensed under the Securities Industry Act 1983 or Futures Industry Act 1993 in the last 3 years?</b>
<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify details in the space below)

**DECLARATIONS****Interest in Securities**

- 1) **Has the applicant 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?**

No  Yes (Please select one of the options below)

Information is attached as supporting document(s) with this submission

Information is as outlined in the table below (Please type "N/A" if it is not applicable)

Name of Shares	No. of Shares	Description of shares	Debentures	Participatory Interest	Rights	Options	Price	Other Consideration	Date of Agreement

**Directorship**

- 2) **Is the applicant a director of any corporation, wherever incorporated?**

No  Yes (please specify details in respect of each such corporation)

Name of the corporation	Nature of the business	Place of its incorporation	Date of the appointment as a director	Nature of appointment (executive or non-executive)

**Ownership**

- 3) **Does the applicant own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated?**

No  Yes (specify details in respect of each corporation)

Name of the corporation	Nature of the business	Place of its incorporation	Details of the ownership	Paid up capital of the corporation

**Other Information**

- 4) **Has the applicant been:**

- a. **licensed or registered in any capacity in any place outside Malaysia under any law or regulation which requires licensing or registration to deal or trade in securities or futures?**

No  Yes (please specify details in the space below)

- b. **licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere?**

No  Yes (please specify details in the space below)

c. refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Malaysia or elsewhere?

No  Yes (please specify details in the space below)

5) Has the applicant 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 Dealer's Representative and/or Futures Broker's Representative Licence only)

No  Yes (please specify details in the space below)  N/A

Name of Company

Place of Business

Nature of Business

a. Have any of the corporation(s) stated above been refused membership of any exchange?

No  Yes (please specify details in the space below)  N/A

b. Have any of the corporation(s) stated above been expelled or suspended from trading on or the membership of any exchange?

No  Yes (please specify details in the space below)  N/A

c. Have any of the corporation(s) stated above been subjected to any other form of disciplinary action by any exchange?

No  Yes (please specify details in the space below)  N/A

6) Has the applicant in Malaysia or elsewhere:

a. Been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence involving fraud or other dishonesty or violence?

No  Yes (please specify details in the space below)

b. Had judgment involving findings of fraud or other dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him, as the case may be, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment?

No  Yes (please specify details in the space below)

**c. Contravened any written law designed 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 specify details in the space below)

**d. Been declared a bankrupt or entered into a composition or arrangement with creditors?**

No  Yes (please specify details in the space below)

**e. Been subject to any form of disciplinary proceedings or actions by any professional or regulatory body?**

No  Yes (please specify details in the space below)

**7) Has the applicant, been involved in the management of a corporation in Malaysia or elsewhere which at the time of his involvement, the corporation:**

**a. Been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence, involving fraud or other dishonesty?**

No  Yes (please specify details in the space below)

**b. Had judgment involving findings of fraud or other dishonesty, or 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?**

No  Yes (please specify details in the space below)

**c. Contravened any written law designed 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 specify details in the space below)

**d. Had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?**

No  Yes (please specify details in the space below)

**e. Entered into a compromise or arrangement with creditors or members?**

No  Yes (please specify details in the space below)

**f. Had a petition presented in a court for its winding up?**

No  Yes (please specify details in the space below)

**g. Been subjected to any form of disciplinary proceedings or action by any professional or regulatory body?**

No  Yes (please specify details in the space below)

**SUPPORTING DOCUMENTS/DETAILS**

**Supporting Documents**

**New IC/Passport**

**Passport Photo**

**Academic Certificates**

**Securities/Shares Details**

**Additional Supporting Documents**

**Other Information**

**Provide any additional information considered relevant to this application?**

**Declaration**

**I hereby declare that all information provided in this application and all its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address of my principal or a designated place approved by the Commission.**

**Date of Signature:**

**Signature:**

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 to be of good character and reputation and to have the competence and experience to perform the functions of a representative.

<b>Date of Signature:</b>	
<b>Signature:</b>	
<b>(Partner/Director)</b>	
<b>Full Name of Signatory: (Partner/Director)</b>	
<b>Date of Signature:</b>	
<b>Signature:</b>	
<b>(Partner/Director/Company Secretary)</b>	
<b>Full Name of Signatory: (Partner/Director/Company Secretary)</b>	

### Application For Renewal Of Company Licence

<b>PROFILE</b>	
<b>Company Details</b>	
<b>Name:</b>	
<b>Registration No.:</b>	
<b>Bumiputera shareholding (%):</b>	
<b>Bumiputera director (%):</b>	
<b>Bumiputera Employee (%):</b>	

<b>Headquarters Address</b>	
<b>Address:</b>	
<b>Tel. No.:</b>	
<b>Fax. No.:</b>	

<b>Registered Address</b>	
<b>Address:</b>	
<b>Tel. No.:</b>	
<b>Fax. No.:</b>	
<b>E-mail:</b>	
<b>Website:</b>	



Licence Details	
Licence No.:	
Licence Type:	
Licence Expiry Date:	

Financial Requirements			
Authorized capital (RM):			
Issued capital (RM):			
Paid-up capital (RM):			
Financial Year End (dd/mm):	/		
Capital Adequacy Ratio (CAR):		As of	
Adjusted Net Capital (ANC):		As of	
Total Margin:		As of	
Net Tangible Asset (NTA):		As of	
Shareholder's Fund:		As of	

DECLARATIONS				
Question				
1) Since the date of the previous application for licence or renewal, has the applicant carried on any business other than the type of business the licence is applied for?				
<input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify in the space below)				
2) Since the last licence or renewal application, has the applicant, 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?				
<input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify in the space below)				
Name of licence, registration or authority	Country of application	Date of application and approval (if applicable)	Status of application (withdrawn/rejected) (e.g. 01 Jan 2001)	Were there conditions or restrictions attached to the licence, registration or authority? (Yes/No, if "Yes", state details of conditions or restrictions)

**3) Has the applicant, in Malaysia or elsewhere:**

**a. Been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence involving fraud or other dishonesty?**

No  Yes (If "Yes", please specify details in the space below)

**b. Had judgment involving findings of fraud or other dishonesty, or 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 (If "Yes", please specify details in the space below)

**c. Contravened any written law designed 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 (If "Yes", please specify details in the space below)

**d. Had a receiver and/or manager appointed in respect of any of the assets of the applicant?**

No  Yes (If "Yes", please specify details in the space below)

**e. Entered into a compromise or arrangement with creditors or members?**

No  Yes (If "Yes", please specify details in the space below)

**f. Had a petition presented in a court for its winding up?**

No  Yes (If "Yes", please specify details in the space below)

**g. Been subjected to any form of disciplinary proceedings or action by any professional or regulatory body?**

No  Yes (If "Yes", please specify details in the space below)

<b>SUPPORTING DOCUMENTS</b>	
<b>Additional Supporting Documents / Details</b>	
<b>Reason For Late Renewal</b>	
<b>Declaration</b>	
<p>We, (Director) and (Director/Company Secretary) hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address or a designated place approved by the Commission.</p>	
<b>Date of Signature:</b>	
<b>Signature: (Director)</b>	
<b>Date of Signature:</b>	
<b>Signature: (Director/Company Secretary)</b>	

### Application For Renewal of Representative's Licence

Application is made for renewal of representative's licence No.: \_\_\_\_\_ issued on (dd mm yyyy) under the Securities Industry Act 1983 or Futures Industry Act 1993.

<b>PROFILE</b>	
<b>Personal Details</b>	
<b>Salutation:</b>	
<b>Full name of applicant:</b>	
<b>Other name:</b>	

<b>Contact Details</b>			
<b>Tel. No:</b>	<b>(Home):</b>	<b>(Mobile):</b>	<b>(Office):</b>
<b>Fax. No:</b>			
<b>Email:</b>			

<b>IC &amp; Passport Details</b>	
<b>Do you hold a valid passport?</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes (please provide the following information)
<b>Passport No.:</b>	
<b>Country of issue:</b>	
<b>Length of residence in Malaysia:</b>	_____ year(s)

<b>Marital Status Details</b>				
<b>Marital Status</b>		<input type="checkbox"/> Single <input type="checkbox"/> Married (please provide spouse(s) details)		
<b>Name</b>	<b>New IC No.</b>	<b>Passport No.</b>	<b>Name of Employer</b>	<b>Address of Employer</b>

<b>Other Details</b>	
<b>Type of licence:</b>	
<b>Licence No:</b>	

<b>DECLARATIONS</b>	
<b>CPE Details</b>	
<b>CPE Points</b>	(please specify in the space below)
<b>Course Name</b>	<b>Points</b>

<b>Interest in Securities</b>									
Since the last licence or renewal application, has the applicant 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?									
<input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please select one of the options below)									
<input type="checkbox"/> Information is as provided to the Securities Commission via the Online Register of Securities Module									
<input type="checkbox"/> Information is attached as supporting document(s) with this submission									
<input type="checkbox"/> Information is as outlined in the table below (Please type "N/A" if it is not applicable)									
<b>Name of Shares</b>	<b>No. of Shares</b>	<b>Description of shares</b>	<b>Debentures</b>	<b>Participatory Interest</b>	<b>Rights</b>	<b>Options</b>	<b>Price (RM)</b>	<b>Other Consideration</b>	<b>Date of Agreement</b>

<b>Question</b>									
Since the last licence application, renewal of licence or submission of information to the Commission, has there been any change to the information provided other than that as stipulated in this form?									
<input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details in the space below)									

**SUPPORTING DOCUMENTS/DETAILS****Additional Supporting Documents****Other Information**

Is there any additional information considered relevant to this application?

No  Yes (If "Yes", please specify details in the space below)

**Reason for Late Renewal****Declaration**

I hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address of my principal or a designated place approved by the Commission.

Date of Signature:

Signature:

**Application By Representative For Variation Of Particulars Relating To Principal**
**PROFILE****Representative Details**

Full name:

New IC No.:

Passport No:

Country of issue:

Licence No.

Licence type:

**Variation Details**

Name of principal whom applicant intends to cease to represent:

Name of principal whom applicant intends to represent:

Location of principal whom applicant intends to represent:

**SUPPORTING DOCUMENTS/DETAILS****Additional Supporting Documents****Declaration**

I hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address of my principal or a designated place approved by the Commission

Date of Signature:

Signature:

**Variation of Particulars****PROFILE****Company Details**

Name:

Registration No:

Location name:

**VARIATION DETAILS**

Nature of change:

Name

Registered address

Business address

Name

New company name:

Reason:

**Registered address****Current Registered Address**

Registered address:

Tel. No.:

Fax. No.:

**New Registered Address**

Registered address:

Postcode:

City:

State:

Country:

Tel. No.:

Fax. No.:

Reason:

<b>Business address</b>			
<b>Current Business Address</b>			
<b>Location:</b>			
<b>Business address:</b>			
<b>Tel. No.:</b>			
<b>Fax. No.:</b>			
<b>New Business Address</b>			
<b>Business address:</b>			
<b>Postcode:</b>		<b>City:</b>	<b>State:</b>
<b>Country:</b>			
<b>Tel. No.:</b>			
<b>Fax. No.:</b>			
<b>Reason:</b>			

<b>SUPPORTING DOCUMENTS/DETAILS</b>	
<b>Additional Supporting Documents</b>	
<b>Declaration</b>	
<p>We, (Director) and (Director/Secretary) hereby declare that all the information provided in this application and its annexures (if any) are true and correct and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address or a designated place approved by the Commission.</p>	
<b>Date of Signature:</b>	
<b>Signature: (Director)</b>	
<b>Date of Signature:</b>	
<b>Signature: (Director/Secretary)</b>	

<b>Change Of Particulars Affecting A Representative</b>
---

<b>PROFILE</b>			
<b>Representative Details</b>			
<b>Full name:</b>			
<b>New IC No.:</b>			
<b>Passport No.:</b>		<b>Country of issue:</b>	
<b>Licence No.:</b>			
<b>Licence type:</b>			

<b>VARIATION DETAILS</b>				
<b>Nature of change</b>	<input type="checkbox"/> Name	<input type="checkbox"/> Residential address	<input type="checkbox"/> Business address	<input type="checkbox"/> Remuneration type
<b>Nature of change: Name</b>				
<b>New name:</b>				
<b>Effective date:</b>				

<b>Nature of change: Residential address</b>					
<b>Current residential address:</b>					
<b>New residential address:</b>					
<b>Postcode:</b>		<b>City:</b>		<b>State:</b>	
<b>Country:</b>					
<b>Effective date:</b>					

<b>Nature of change: Business address</b>				
<b>Current business address</b>				
<b>Location:</b>				
<b>Address:</b>				
<b>New business address</b>				
<b>Location:</b>				
<b>Address:</b>				
<b>Effective date:</b>				
<b>Nature of change: Remuneration type</b>				
<b>Current remuneration type:</b>				
<b>New remuneration type:</b>				
<b>Effective date:</b>				

<b>SUPPORTING DOCUMENTS/DETAILS</b>	
<b>Additional Supporting Documents</b>	
<b>Declaration</b>	
I hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address of my principal or a designated place approved by the Commission.	
<b>Date of Signature:</b>	
<b>Signature:</b>	



## Notice of Appointment

### APPOINTMENT DETAILS

Name	New IC No.	Passport No.	Country of issue	Designation	Description of duties	Appointment date

### SUPPORTING DOCUMENTS/DETAILS

#### Additional Supporting Documents

#### Declaration

We, \_\_\_\_\_ (Director) and \_\_\_\_\_ (Director/Company Secretary) hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address or a designated place approved by the Commission.

Date of Signature:

Signature:  
(Director)

Date of Signature:

Signature:  
(Director/Company Secretary)

## Cessation of A Company

### PROFILE

#### Company Details

Name:

Type of licence:

Licence No.:

Headquarters Address:

Registered Address:

#### Cessation Details

Cessation date:

<b>Declaration</b>	
We, _____ (Director) and _____ (Director/Company Secretary) hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address or a designated place approved by the Commission.	
Date of Signature:	
Signature: (Director)	
Date of Signature:	
Signature: (Director/Company Secretary)	

<b>Cessation Of A Representative</b>
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<b>PROFILE</b>			
<b>Representative Details</b>			
Full name:			
New IC No.:			
Passport No.:		Country of issue:	
Licence No.:			
Licence type:			

<b>Cessation Details</b>	
Cessation date:	

<b>SUPPORTING DOCUMENTS/DETAILS</b>	
<b>Additional Supporting Documents</b>	
<b>Declaration</b>	
I hereby declare that all information provided in this application and its annexures (if any) are true and correct, and a printed signed copy of this application reflecting the same information provided in this application is being kept at the business address of my principal or a designated place approved by the Commission.	
Date of Signature:	
Signature:	

## Auditor's Report For A Fund Manager

### PROFILE

#### Company Details

Name of Fund Manager

Financial Year Ended

#### Report

1) I/We have conducted our audit in accordance with approved standards on auditing in Malaysia. I/We have conducted an audit of the assets and liabilities (including contingent liabilities and capital commitments) shown in the company's balance-sheet as at ..... (which has been signed by the company or by the person(s) appointed to act on its behalf) and I/we have signed a qualified/an unqualified report thereon that in my/our opinion it presents a true and fair view of the financial position of the business.

\* Please provide explanation where the report is qualified.

2) From my/our test examinations and after making due inquiry, I am/we are of the opinion that:

- a. The financial statements of the company have been prepared in accordance with the provisions of the Companies Act 1965 and the applicable approved accounting standards in Malaysia;
- b. The accounting and other records of the company and the operation of the trust account of the company comply with Part VII Division 2 of the Act;
- c. No matter has arisen during the year, which would have required the auditor to report to the relevant authority pursuant to section 50 of the Act;
- d. The register of securities has been maintained during the year in accordance with section 30 of the Act;
- e. The assets and liabilities of any nominee company controlled by the company or any other venture in which it has a controlling financial interests are in my/our opinion not such as to affect materially the financial position of the company;
- f. The records and property arising from transactions conducted by the company during the year for clients and the company's own account were properly segregated in accordance with the requirements of the Act;
- g. The balances stated in the trust accounts have been reconciled to the client ledger balances. Details of balances and reconciliation performed by the company is set out in the Attachment.

Please disclose in detail all exceptions to the statement(s) above

3) Declaration on the financial returns

The financial returns shall be signed by two directors of the company and the statutory auditors.

4) I/We have inspected the company's licence and any conditions or restrictions thereon and any applicable conditions or restrictions thereon have been complied with.

Please disclose in detail all exceptions to the statement(s) above

5) No restriction has been placed by my/our client on the scope of the audit and I/we have received all the information and explanations required.

6) The auditor shall enclose a copy of the audited financial statements. The auditor shall also enclose a copy of the management letter issued to the company, if any, arising from the audit.

**Date of Signature:**

**Signature:  
(Partner)**

**Firm name:**

**Firm No.:**

**Statement by Fund Manager On Corporate Governance and Internal Controls**

We, on behalf of all directors of (name of fund manager), hereby certify that the directors are responsible for ensuring:

- (a) that good corporate governance is practised throughout the company; and
- (b) the company's systems for internal controls, risk management and compliance are adequate, having regard to the nature of the business of the company.

**Date of Signature:**

**Signature:  
(Director)**

**Date of Signature:**

**Signature:  
(Director)**

**Attachment**

		BALANCE AS PER CLIENTS' STATEMENTS								BALANCE AS PER BANK/CUSTODIAN						VARI- NCE		
No.	Clients	Cash Balance	Shares#	Futures	Debits Securities	Deposits/ Money Market	Forex	Others*	Total Net Asset Value	Bank Balance	Shares#	Futures	Debits Securities	Deposits/ Money Market	Forex	Others*	Total	
1																		
2																		
3																		
4																		
5																		
6																		
7																		
8																		
9																		
	<b>GRAND TOTAL</b>																	

\* Other types of investments, or amount due to company  
 # Include listed, unlisted and overseas shares

**Supplementary Statement To Be Prepared by A Fund Manager**

**SUPPLEMENTARY STATEMENT**

**Section 49**

**Name of the Fund Manager**

- 1) The attached balance sheet and income statement, including the notes to and forming part of the accounts are a true copy of the audited accounts of .....for the year ended .....and the attached auditor's report is a true copy of the auditor's report thereon.
- 2) The accounts are in accordance with the provisions of the Companies Act 1965, in respect of the financial year of the corporation within the meaning of the Companies Act 1965.
- 3) The attached balance sheet and income statement have been drawn up in accordance with approved accounting standards.
- 4) The following supplementary information is submitted in support of the attached balance sheet and income statement.

		<i>Last Year 20... RM</i>	<i>This Year 20... RM</i>
a.	Debtors—		
	Amounts owed by:		
	Dealers		
	<i>Less:</i> Provision for doubtful debts		
	Clients		
	<i>Less:</i> Provision for doubtful debts		
	Other Debtors		
	<i>Less:</i> Provision for doubtful debts		
b.	Deposits—		
	At call		
	Other		
c.	Cash at bank		
	General accounts		
	Trust accounts		
d.	Investments		

		<i>Last Year 20... RM</i>	<i>This Year 20... RM</i>
e.	Creditors--		
	Amounts owed to:		
	Dealers		
	Clients		
	Custodians		
	Other creditors		
f.	Stocks oversold (including provision for loss of RM.....)		
g.	Provisions-		
	Income tax for:		
	- Services provided to foreign sourced income		
	- Services provided to local sourced income		
	Deferred revenue		
	Staff bonus		
	Holiday pay		
	Other (specify)		
h.	Income Statement--		
	Revenue:		
	Management fees for:		
	- Foreign sourced income		
	- Local sourced income		
	Performance fees for:		
	- Foreign sourced income		
	- Local sourced income		
	Profits (losses) on trading in securities		
	Dividends		
	Interest		
	Other revenue (specify)		
<i>Less:</i>	Expenses--		
	Bad Debts		
	Doubtful debts		
	Interest		
	Abnormal items (specify)		
	Other expenses		

		<i>Last Year 20... RM</i>	<i>This Year 20... RM</i>
Profit for the year before income tax and extraordinary items			
<i>Less:</i> Provision for income tax			
Profit (Loss) for year before extraordinary items			
Extraordinary items (specify)			
Net profit (loss) for the year			
i.	Contingent liabilities and capital commitments—		
	(a) Options		
	(b) Uncalled amounts on securities		
	(c) Other contingent liabilities and capital commitments:		
	(i) Secured (specify)		
	(ii) Unsecured (specify)		
j.	Liquid funds—		
	Securities listed on a stock exchange (at a fair value not exceeding market value)		
	Amount owed by:		
	Dealers		
	Clients		
	Sundry debtors and prepayments		
	Deposits		
	Cash at bank		
	Other current assets not being excluded assets (as defined in the note at the end of this form) (specify):		
	<i>Less:</i>		
	Current liabilities (as per balance sheet)		
	Non current liabilities (as per balance sheet) Liquid Funds		



We certify that the above information is to the best of our knowledge and belief true and correct.

Dated this day .....20.....

Signature .....  
(Director) (Director/Company Secretary)

Full name of signatory.....

**Auditor's (s') Report:**

I/we report that in my/our opinion, according to the best of my/our information and explanations given to me/us and as shown by the accounting and other records of .....the above schedule of supplementary information relating to the accounts of the company has been properly drawn up.

Dated this .....day of .....20.....

Signature.....  
(Name of Company)

Company No.....

Signature.....  
(Name of Partner)

Approval No.....

**NOTE---**

For the purposes of this form, "excluded assets" means:

- (a) furniture, fixtures, real estate and other fixed assets;
- (b) securities which have no ready market;
- (c) unsecured loans or advances made to a participating organisation of a stock exchange or a director of a participating organisation of a stock exchange; and
- (d) amounts owed by clients and the recovery of which is considered doubtful.

## **Amendment of Third Schedule**

7. The Third Schedule of the principal Regulations is amended in Part III in the column "Fees" by substituting for the words "0.50 per page" the words "10.00".

### **Savings and transitional**

8. (1) All actions, directions, notifications, approvals, decisions, guidelines and other executive acts howsoever called, made, given or done under, or in accordance with, or by virtue of the principal Regulations before the commencement of these Regulations shall be deemed to have been made, given or done under, or in accordance with, or by virtue of, the corresponding provision introduced or amended by these Regulations, and shall continue to remain in full force and effect in relation to the persons to whom they apply until amended, repealed or rescinded under, in accordance with, or by virtue of, the corresponding provision introduced or amended by these Regulations.

(2) Nothing in the principal Regulations or these Regulations shall affect any person's liability to be prosecuted or punished for offences committed under the principal Regulations before the commencement of these Regulations or any proceeding brought or sentence imposed before that day in respect of such offence.

Made 2 February 2005

[S(8.02)443-20; PN(PU<sup>2</sup>)562/III]

TAN SRI NOR MOHAMAD YAKCOP  
*Second Minister of Finance*