



Form R1: Application for the Registration of Registered Person

PROFILE

Registration Type	
Registration Type	
Entity Details	
Name	
Financial Year End	
New Registration No.	
Place of incorporation	
Date of incorporation	
Entity Status	
Entity Status	
Registered Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	
Business Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	
Correspondence Address	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Office No.	
Fax No.	
Email	

FINANCIAL STRENGTH

Class of Shares	Issued (RM)	Paid-up (RM)
Ordinary		
Preference		
Others :		
Total		
Shareholder's funds (RM)		
Capital Contribution (RM)		

PARTICIPATION

Participation	Bumiputera		Non-Bumiputera		Foreign	
	No	%	No	%	No	%
	Equity shareholdings					
Director						

Participation							
		Bumiputera		Non-Bumiputera		Foreign	
		No	%	No	%	No	%
Employee	Management						
	Executive						
	Support						
	Total						

SHAREHOLDERS

Shareholders									
Level	Type	Name	Shareholder For	Ordinary		Preference		Others	
				No	%	No	%	No	%

Corporation Details					
Name	Status	Place of Incorporation	Reg. No	Business Address	Contact No Office No/Fax No Email

BOARD AND PERSONNEL

Board and Personnel		
Name	IC / Passport Details	Associate Person (Designation)

Other Disclosure

1) Is the business for which the registration is applied for the sole or principal business proposed to be carried on by the named entity?
2) 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 regulations?
3) Is the applicant a participant/member of any stock exchange and/or any professional body?
4) Has the applicant, 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 which may lead to a conviction for such an offence involving fraud or other dishonesty?
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?
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 applicant?
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 any professional or regulatory body?

SUPPORTING DOCUMENT

No.	Description
1	A copy of the Memorandum and Articles of Association, Limited Liability Partnership Agreement, or other constituent document (whichever applicable) (Please upload a Word Document file, providing an explanation for the unavailability of this item)
2	A comprehensive and detailed proposal, which should generally include, but not limited to, the following: <ul style="list-style-type: none"> a. Corporate profile; b. Description of the named entity's overall ownership and corporate structure – from immediate to ultimate – in the form of a tree diagram depicting its related, subsidiary, associate and holding companies, with percentage of shareholding in each category and description of their roles or services in the named entity's operations or services to clients, if any; c. Profile of corporate and individual shareholders (both direct and indirect); d. Board composition, management and organisational structure, indicating the actual and the projected staff strength as well as any outsourcing arrangements (as a provider and a client); e. Profile of individuals, comprising directors, proposed responsible person(s) and management team members, where applicable, describing, among others, their qualifications, track record, relevant skills and experience, strengths, as well as role(s) and responsibilities in the named entity; f. Value proposition; g. Business plan for the next five years, detailing, among others, the opportunities identified, market analysis, target market, objectives, strategies, and execution plan; h. A five-year financial projection (a profit and loss forecast), with basis for each assumption; and i. Compliance with all applicable requirements of the relevant guidelines.
3	Certificate of incorporation under section 17 of the Companies Act 2016 (To be certified as a true copy by a notary public / solicitor / company secretary)
4	Lodgement under section 68 of the Companies Act 2016: Annual Return (To be certified as a true copy by the Companies Commission of Malaysia) (if not applicable, submit the lodgement under section 14 of the Companies Act 2016: Application for Registration of a Company)
5	Lodgement under section 28 of the Companies Act 2016: Application for Change of Name (To be certified as a true copy by a notary public / solicitor / company secretary) (if applicable)
6	Lodgement under section 105 of the Companies Act 2016: Instrument of Transfer of Shares (To be certified as a true copy by a notary public / solicitor / company secretary)
7	Company information from the Companies Commission of Malaysia or, if outside Malaysia, the competent authority, containing details of directors / officers (To be certified as a true copy by the Companies Commission of Malaysia)
8	Form 2 or 4 of the Limited Liability Partnership Act 2012 (To be certified as a true copy by a notary public / solicitor / company secretary) (whichever applicable)
9	Latest audited financial statements
10	Latest management accounts (if the audited financial statements are more than three months old as at the anniversary date)
11	Fund details (for venture capital / private equity applicant)

ADDITIONAL INFORMATION

Additional Information	
1. Is there any other information relevant to this submission?	
2. Other relevant accompanying or supporting document(s).	

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 / Authorised Signatory*)
Full Name :	Full Name :
Designation :	Designation :
Date :	Date :

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.