

Summary of Amendments to the Licensing Handbook (13th Revision)
(Issued: 22 March 2022)

The following table provides a summary of key amendments to the revised *Licensing Handbook* issued on 22 March 2022:

A. Overview			
<p>1. In conjunction with the launch of the new Electronic Application System (“EASy”), which replaces the Electronic Licensing Application (“ELA”) system, the <i>Licensing Handbook</i> has been revised, with the aim to facilitate changes in processes under EASy for greater operational efficiency as well as to provide for greater clarity and consistency in the requirements. The amendments also include new form types, consolidation of forms and revisions of supporting documents, as set out in Appendix 3.</p> <p>2. Housekeeping amendments throughout the <i>Licensing Handbook</i> to provide greater clarity and consistency. Such amendments include stylistic or formatting changes and necessary changes of an editorial nature such as renumbering and rephrasing of certain requirements and contents, standardisation of terminology, updating of information, grammatical corrections, and alphabetical order.</p>			
B. Amendment Highlights			
No.	Prior Version Dated 15 February 2021	Revised Version Dated 22 March 2022	Nature of Amendment
1.	[New subparagraph 4.02(11A)]	Paragraph 4.02: Organisational requirements (11A) If the position of chief executive becomes vacant, the CMSL holder is expected to take the necessary steps to fill the position within three months from the date of the vacancy.	Insertion of a new subparagraph to stipulate the time frame to fill the vacancy of chief executive for consistency in requirements.
2.	[New subparagraph 4.02(17A)]	Paragraph 4.02: Organisational requirements (17A) If the position of licensed director becomes vacant, the CMSL holder is expected to take the necessary steps to fill the position within three months from the date of the vacancy.	Insertion of a new subparagraph to stipulate the time frame to fill the vacancy of licensed director for consistency in requirements.
3.	Paragraph 4.02: Organisational requirements (21) If you are licensed for financial planning and for dealing in private retirement schemes, your director must hold a CMSRL for the regulated activity of financial planning and must be registered with FIMM for dealing in private retirement schemes and also have a minimum of 10 years of relevant experience in the capital market industry.	Paragraph 4.02: Organisational requirements (21) If you are licensed for financial planning and for dealing in unit trust products and/or dealing in private retirement schemes, your director must hold a CMSRL for the regulated activity of financial planning and must be registered with FIMM for dealing in dealing in unit trust products and/or private retirement schemes, and also have a minimum of 10 years of relevant experience in the capital market industry.	Amendments to provide clarity.

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4.	<p>Paragraph 4.05: What are the requirements for a CMSRL?</p> <p><i>Table 2: Minimum Qualification and Experience Requirements for a CMSRL Applicant</i></p>	<p>Paragraph 4.05: What are the requirements for a CMSRL?</p> <p><i>Table 2: Minimum Qualification and Experience Requirements for a CMSRL Applicant</i></p> <table border="1" data-bbox="920 309 1606 515"> <thead> <tr> <th data-bbox="920 309 1120 363">Regulated Activity</th> <th data-bbox="1120 309 1606 363">Minimum Qualification and Experience Requirement</th> </tr> </thead> <tbody> <tr> <td data-bbox="920 363 1120 515">Dual licence arrangement – Dealing in both securities and derivatives</td> <td data-bbox="1120 363 1606 515"> <ul style="list-style-type: none"> • Applicant must be a CMSRL holder for dealing in securities for at least two years; and • Applicant must complete and pass the Certified Capital Market Professional: Dealing in Derivatives for Dealer’s Representatives programme. </td> </tr> </tbody> </table>	Regulated Activity	Minimum Qualification and Experience Requirement	Dual licence arrangement – Dealing in both securities and derivatives	<ul style="list-style-type: none"> • Applicant must be a CMSRL holder for dealing in securities for at least two years; and • Applicant must complete and pass the Certified Capital Market Professional: Dealing in Derivatives for Dealer’s Representatives programme. 	<p>Insertion of a new row 3 to reflect the introduction of the Certified Capital Market Professional: Dealing in Derivatives for Dealer’s Representative programme.</p>
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Dual licence arrangement – Dealing in both securities and derivatives	<ul style="list-style-type: none"> • Applicant must be a CMSRL holder for dealing in securities for at least two years; and • Applicant must complete and pass the Certified Capital Market Professional: Dealing in Derivatives for Dealer’s Representatives programme. 						
5.	<p>[New subparagraph 6.01(3)]</p>	<p>Paragraph 6.01: General</p> <p>(3) The SC must be immediately informed of—</p> <p style="padding-left: 20px;">(a) any change or development in circumstances and information that may impact the application subsequent to the submission of the application; and</p> <p style="padding-left: 20px;">(b) any change or development in circumstances and information relating to an application occurring subsequent to the SC giving its approval.</p>	<p>Insertion of a new paragraph to delineate licence applicants’ obligations to notify the SC of the circumstances specified herein.</p>				
6.	<p>Paragraph 6.02: What is the Electronic Licensing Application system?</p> <p>(3) We will notify your application results via e-mail, except under circumstances where we have grounds for a refusal to grant a licence. In such cases, we will issue a letter.</p>	<p>Paragraph 6.02: What is the Electronic Application System (EASy)?</p> <p>(3) Application results will be released via email generated through the system, including under circumstances where we have grounds for a refusal to grant a licence.</p>	<p>Amendments to provide clarity on outcome of all applications which will be conveyed via email generated through the system.</p>				
7.	<p>Paragraph 6.02: What is the Electronic Licensing Application system?</p> <p>(5) In addition, you must also ensure that sufficient funds in the ELA account are maintained at all times to facilitate any payments or changes on the application or notification made to the SC.</p>	<p>Paragraph 6.02: What is the Electronic Licensing Application system?</p> <p>(5) You must maintain at all times sufficient funds (deductible balance) in your EASy account to facilitate payments for submissions made to the SC and to enable auto-deductions for recurring licence fees.</p>	<p>Amendments to reflect the operational changes or new features introduced in EASy.</p>				

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8.	[New subparagraph 6.04(1A)]	Paragraph 6.04: How to apply for a new licence? (1A) Where necessary, the SC may request for other relevant or additional information and materials to be submitted.	Insertion of a new subparagraph to clarify that the SC may procure additional information as it considers necessary when assessing any application.																				
9.	<p>Paragraph 6.04: How to apply for a new licence? <i>Table 7: Forms for New Licences</i></p> <table border="1" data-bbox="203 483 893 1137"> <thead> <tr> <th>Type of Licence</th> <th>Forms</th> </tr> </thead> <tbody> <tr> <td rowspan="4">CMSL</td> <td>Form 1: Application for New Capital Markets Services Licence</td> </tr> <tr> <td>Form 1A: Application for New Capital Markets Services Licence <i>(to be completed by director / key management / company secretary)</i></td> </tr> <tr> <td>Form 1B: Application for New Capital Markets Services Licence <i>(to be completed by director / key management who is also a proposed representative)</i></td> </tr> <tr> <td>Form 1C: Application for New Capital Markets Services Licence <i>(to be completed by the first two proposed licensed representatives)</i></td> </tr> <tr> <td>CMSL (Individual)</td> <td>Form 2: Application for New Capital Markets Services Licence (Individual)</td> </tr> <tr> <td>CMSRL (only applicable to subsequent applications through EASy)</td> <td>Form 3: Application for New Capital Markets Services Representative's Licence</td> </tr> </tbody> </table>	Type of Licence	Forms	CMSL	Form 1: Application for New Capital Markets Services Licence	Form 1A: Application for New Capital Markets Services Licence <i>(to be completed by director / key management / company secretary)</i>	Form 1B: Application for New Capital Markets Services Licence <i>(to be completed by director / key management who is also a proposed representative)</i>	Form 1C: Application for New Capital Markets Services Licence <i>(to be completed by the first two proposed licensed representatives)</i>	CMSL (Individual)	Form 2: Application for New Capital Markets Services Licence (Individual)	CMSRL (only applicable to subsequent applications through EASy)	Form 3: Application for New Capital Markets Services Representative's Licence	<p>Paragraph 6.04: How to apply for a new licence? <i>Table 7: Forms for New Licences</i></p> <table border="1" data-bbox="922 483 1610 991"> <thead> <tr> <th>Type of Licence</th> <th>Forms</th> </tr> </thead> <tbody> <tr> <td rowspan="2">CMSL</td> <td>Form 1: Application for New Capital Markets Services Licence</td> </tr> <tr> <td>Form 1E: Application for New Capital Markets Services Licence – Individual Appointment / Profile of Individual Shareholder <i>(director / licensed director / chief executive / key management / compliance officer / responsible person / company secretary / representative / individual shareholder)</i></td> </tr> <tr> <td>CMSL (Individual)</td> <td>Form 2: Application for New Capital Markets Services Licence (Individual)</td> </tr> <tr> <td>CMSRL (only applicable to subsequent applications through EASy)</td> <td>Form 3: Application for New Capital Markets Services Representative's Licence</td> </tr> </tbody> </table>	Type of Licence	Forms	CMSL	Form 1: Application for New Capital Markets Services Licence	Form 1E: Application for New Capital Markets Services Licence – Individual Appointment / Profile of Individual Shareholder <i>(director / licensed director / chief executive / key management / compliance officer / responsible person / company secretary / representative / individual shareholder)</i>	CMSL (Individual)	Form 2: Application for New Capital Markets Services Licence (Individual)	CMSRL (only applicable to subsequent applications through EASy)	Form 3: Application for New Capital Markets Services Representative's Licence	Consolidation of Forms 1A, 1B, 1C and profile of individual shareholder into a new single Form 1E.
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10.	<p>Paragraph 6.05: Submission of Anniversary Reporting for Authorisation of Activity (ARAA)</p> <p>(1) CMSL holders are required to submit the ARAA report to the SC on the anniversary date of their licences. Such report needs to be submitted within seven business days before the anniversary date. ARAA report is represented by Forms 4 and 5.</p>	<p>Paragraph 6.05: Submission of Anniversary Reporting for Authorisation of Activity (ARAA)</p> <p>(1) CMSL holders are required to submit the ARAA report to the SC within seven business days before or on the anniversary date of their licences. The ARAA report is represented by Forms 4 and 5.</p>	Amendments to provide clarity.																				

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11.	<p>Paragraph 6.05A: Submission of Fit and Proper Compliance Report (Form 6A)</p> <p>(1) All CMSL holders are also required to submit a semi-annual Fit and Proper Compliance Report (Form 6A) on the fit and proper standing of its licensed representatives whose anniversary date fall due within the reporting period. Such report needs to be submitted via the ComRep platform within seven business days from the reporting period.</p>	<p>Paragraph 6.05A: Submission of Fit and Proper Compliance Report (Form 6A)</p> <p>(1) All CMSL holders are also required to submit a semi-annual Form 6A on the fit and proper standing of its licensed representatives whose anniversary date fall due within the reporting period. Such report needs to be submitted via the ComRep platform within seven business days from the end of the reporting period.</p>	<p>Amendments to ensure consistency and to provide clarity.</p>
12.	<p>Paragraph 6.06: How to vary a licence?</p> <p>(3) As a CMSL holder, ensure that your ELA account has an adequate sum of money before you apply for a variation through the system (you can refer to Appendix 4 for the schedule of application and licence fees).</p>	<p>[Deleted]</p>	<p>Removal of this subparagraph due to operational changes or new features introduced in EASy.</p>
13.	<p>Paragraph 6.09: What information requires a notification to the SC after being licensed?</p> <p>(1) You may withdraw an application made through ELA whose status is "In Process" by using the "Withdraw" button appearing at the bottom of ELA's submissions page. The application fees will be deducted by the system if your withdrawal takes place after your application has been reviewed by the SC.</p> <p>(2) Similarly, for the withdrawal of applications submitted manually, your application fees will not be refunded if your application has been reviewed by the Authorisation and Licensing Department.</p>	<p>Paragraph 6.09: What information requires a notification to the SC after being licensed?</p> <p>(1) You may withdraw an application submitted via EASy if the status is "Review in Progress". You will be required to provide an explanation of withdrawal in the system. There will be no refund of application fees for all submissions made to the SC.</p> <p>(2) Similarly, for the withdrawal of applications submitted manually, your application fees will not be refunded.</p>	<p>Amendments to indicate that all application fees paid are non-refundable.</p>

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14.	<p>Paragraph 6.09: What information requires a notification to the SC after being licensed?</p> <p><i>Table 10: Changes Requiring Prior Approval</i></p> <table border="1" data-bbox="203 316 891 1449"> <thead> <tr> <th colspan="2" data-bbox="203 316 891 347">CMSL</th> </tr> </thead> <tbody> <tr> <td data-bbox="203 347 416 411">Variation of regulated activity</td> <td data-bbox="416 347 891 411">Form 7: Application for Variation of Regulated Activity for Capital Markets Services Licence</td> </tr> <tr> <td data-bbox="203 411 416 707" rowspan="2">Variation of name</td> <td data-bbox="416 411 891 547">Form 10: Application for Change of Company's Name <i>* After obtaining the SC's approval for the application made under Form 10, you must submit Form 15 within 14 days of the change occurring.</i></td> </tr> <tr> <td data-bbox="416 547 891 707">Form 11: Application for Change of Individual's Business Name <i>* After obtaining the SC's approval for the application made under Form 11, you 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17.	[New paragraph 6.11]	Paragraph 6.11: A CMSL holder seeking for an extension of time to comply with any licensing requirements and conditions must submit an application with accompanying justifications and relevant supporting materials to the Head of Authorisation and Licensing Department at least 14 days prior to the expiry of the stipulated time frame for the SC's consideration.	Insertion of a new paragraph to set the expectation if an extension of time is required.																								

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18.	<p>Paragraph 7.02: What are the conditions and restrictions in relation to a CMSL holder?</p> <p>General conditions and restrictions</p> <p>You must satisfy the following:</p> <p>(1) Remain fit and proper at all times as required by the CMSA.</p>	<p>Paragraph 7.02: What are the conditions and restrictions in relation to a CMSL holder?</p> <p>General conditions and restrictions</p> <p>You must satisfy the following:</p> <p>(1) Remain fit and proper at all times as set out in section 64 of the CMSA.</p>	Amendments to provide clarity.
19.	<p>Paragraph 7.03: What are the conditions and restrictions in relation to a CMSRL holder?</p> <p>General conditions and restrictions</p> <p>You must satisfy the following:</p> <p>(1) Remain fit and proper at all times as required by the CMSA.</p>	<p>Paragraph 7.03: What are the conditions and restrictions in relation to a CMSRL holder?</p> <p>General conditions and restrictions</p> <p>You must satisfy the following:</p> <p>(1) Remain fit and proper at all times as set out in section 65 of the CMSA.</p>	Amendments to provide clarity.
20.	[New paragraph 7A.05]	<p>Paragraph 7A.05: Contact</p> <p>(1) For any enquiries in relation to this chapter, you may contact:</p> <p>Corporate Finance and Investments Securities Commission Malaysia 3 Persiaran Bukit Kiara Bukit Kiara 50490 Kuala Lumpur Tel: +603-6204 8000 (Attention: Equities Department)</p>	Insertion of a new paragraph to indicate the contact point for matters relating to Chapter 7A.
21.	<p>Paragraph 10.05: Contact</p> <p>(1) For any enquiries in relation to this chapter, you may contact:</p> <p>Intermediary and Fund Supervision Securities Commission Malaysia 3 Persiaran Bukit Kiara Bukit Kiara 50490 Kuala Lumpur Tel: +603-6204 8000</p>	<p>Paragraph 10.05: Contact</p> <p>(1) For any enquiries in relation to this chapter, you may contact:</p> <p>Intermediary and Fund Supervision Securities Commission Malaysia 3 Persiaran Bukit Kiara Bukit Kiara 50490 Kuala Lumpur Tel: +603-6204 8000 (Attention: Supervision Department)</p>	Insertion of a new paragraph to indicate the contact point for matters relating to Chapter 10.