



Form 1E: Individual Appointment and Profile of Individual Shareholder

PROFILE

Entity Details	
Name of Principal	
Personal Details	
Salutation	
Full Name (as per NRIC / passport)	
Surname / Last Name	
Given Name	
Gender	
Date of Birth	
Status	
Nationality	
National ID	
NRIC No.	
Old IC No.	
Contact Information	
Country / Jurisdiction	
Postcode	
State	
City	
Address 1	
Mobile No. (e.g. 01x-1234 1234) Include country code for overseas number	
Email	
Marital Status	
Status	

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?
Remarks					

Other Disclosure

Interest in Securities
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?
Directorship
2) Is the individual a director of any other entity, wherever incorporated?
Ownership
3) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any entity, wherever incorporated?
Others
4) Has the individual been, in Malaysia or elsewhere
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?
b) licensed, registered, member of any professional body or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere?
c) refused the right to carry on any trade, business or profession for which a specific licence, registration, membership or other authority is required, in Malaysia or elsewhere?
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	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	A copy of the individual's relevant academic certificates (not applicable to individual shareholder)
4	A copy of the relevant industry examination results / professional certificates and membership (for Capital Markets Services Representative's Licence applicant)
5	A copy of the relevant industry examination results / proof of completion of the SC licensing examination revision courses for the relevant modules / professional certificates and membership (for proposed compliance officer)
6	Detailed key performance indicators (KPIs) for the chief executive position
7	Justification for the appointment of chief executive / licensed director
8	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)
9	Details of securities sold/purchased by the applicant for his/her own account during the last 12 months immediately preceding the date of this submission
10	Declaration on the ownership and/or directorships to avoid conflict of interest in relation to the regulated activity(ies)
11	Declaration on compliance on management of cyber risk
12	A copy of the individual's work permit (for non-Malaysian citizen)
13	Detailed job description/area of responsibility for executive directors (for all regulated activity) and head of operations (for stockbroking and participating organisation of the stock exchange only)
14	Other relevant documents

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

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 mine 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, 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 :

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.