

APPLICATION FOR COMPLIANCE OFFICER

SECTION I: PROFILE

Personal Details

Title:		
Name (as per NRIC):		
Other name:		
Date of birth: (dd mmm yyyy)		
Gender:	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Nationality:		

Address and Contact Detail(s)

Residential address:		
E-mail:		
Contact no.:	Home:	Handphone:
	Office:	Fax:

IC & Passport Details

For Malaysian	Old IC no.:	NRIC no.:
For non-Malaysian:	Passport no.:	Expiry date:
	Country of issue:	
	Length of residence in Malaysia: year(s)	
	Have you previously applied for a work permit? <input type="checkbox"/> No <input type="checkbox"/> Yes (please specify details)	

Marital Status Details

Single Married (please provide spouse' details) Divorced Widowed

Name	For Malaysian		For non-Malaysian	Name of employer (if in employment)	Details of employer Address/office no./ fax no.
	Old IC no.	NRIC no.	Passport no. /expiry date/ country of issue		

Please provide spouse details by filling up and duplicating this table for more than one spouse

SECTION II: REGULATED ACTIVITIES

Name of principal:				
Location:				
Types of regulated activity:	<input type="checkbox"/> Dealing in Securities		<input type="checkbox"/> Advising on Corporate Finance	
	<input type="checkbox"/> Dealing in Derivatives		<input type="checkbox"/> Investment Advice	
	<input type="checkbox"/> Fund Management		<input type="checkbox"/> Financial Planning	

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

SECTION III: ACADEMIC OR PROFESSIONAL QUALIFICATIONS

School/college/university/others	Year	Certificate/degree/masters/others

To add new rows, press **TAB** at the last column of the last row

SECTION IV: EMPLOYMENT HISTORY

Date (mmm yyyy)		Name of employer & designation held	Description of duties	Capital market/ financial services- related? (Y/N)
From	To			

To add new rows, press **TAB** at the last column of the last row

SECTION V: LICENSING EXAMINATION

Name of the relevant licensing examination module(s)		
Module:	<input type="checkbox"/> Passed: (please state date passed)	<input type="checkbox"/> Exempted: (please state date exempted)

To add new rows, press **TAB** at the last column of the last row

Other qualifications (please provide details):	
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SECTION VI: 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 securities	No of securities	Description of securities	Price	Acquisition /disposal	Other consideration	Date of agreement

To add new rows, press **TAB** at the last column of the last row

Directorship

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

No Yes (If "Yes", please specify details)

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

To add new rows, press **TAB** at the last column of the last row

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Ownership				
3) Does the applicant own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)				
Name of corporation	Nature of business	Place of incorporation	% of ownership	Paid-up capital

To add new rows, press **TAB** at the last column of the last row

Others		
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? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		
b. licensed, registered or otherwise authorised to carry on any trade, business or profession in Malaysia or elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		
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? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		
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? <i>(for applications of dealing in securities and trading in futures contracts only)</i> <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details) <input type="checkbox"/> N/A		
Name of company	Place of business	Nature of business
a. Has any of the corporation(s) stated above been refused membership of any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		
b. Has any of the corporation(s) stated above been expelled or suspended from trading on or the membership of any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		
c. Has any of the corporation(s) stated above been subjected to any other form of disciplinary action by any exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)		

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6) Has the applicant in Malaysia or elsewhere:
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>d. been declared a bankrupt or entered into a composition or arrangement with creditors?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>e. been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
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:
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>
<p>d. had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)</p>

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e. entered into a compromise or arrangement with creditors or members? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)
f. had a petition presented in a court for its winding up? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)
g. been subjected to any form of disciplinary proceedings or action by any professional or regulatory body? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify details)

SECTION VII: OTHER INFORMATION

Is there any additional information considered relevant to this application?

No Yes (If "Yes", please specify details)

SECTION VIII: SUPPORTING DOCUMENTS – Please provide annexures for the following information

No.	Description	Submission (please tick)	
		Yes	N/A
1.	A copy of the applicant's NRIC (for Malaysian citizens) or passport (for non-Malaysian citizens)	<input type="checkbox"/>	
2.	A copy of the applicant's recent coloured passport-sized photograph	<input type="checkbox"/>	
3.	A copy of the applicant's relevant academic certificates	<input type="checkbox"/>	
4.	A copy of the relevant industry examination results/membership	<input type="checkbox"/>	
5.	Details of securities sold/purchased by the applicant for his own account during the last 12 months immediately preceding the date of application in the specified form	<input type="checkbox"/>	<input type="checkbox"/>
6.	Work permit (for non-Malaysian citizens)	<input type="checkbox"/>	<input type="checkbox"/>
7.	Other relevant documents	<input type="checkbox"/>	<input type="checkbox"/>

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SECTION IX: TRUE AND CORRECT INFORMATION

I hereby declare that all information provided in this registration and its annexures is true and correct, and a printed signed copy of this registration reflecting the same registration provided in this application is being kept at the business address or a designated place approved by the SC.

Signature

Name:

Date (dd mmm yyyy):

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 Compliance Officer

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Signature

Signature

Name (Director/Authorised Signatory):

Name (Director/Authorised Signatory):

Date (dd mmm yyyy):

Date (dd mmm yyyy):