


Form 5: Anniversary Reporting for Authorisation Activity for Capital Markets Services Licence (Individual) Holder
PROFILE

Personal Details	
Salutation	
Full Name (as per NRIC / passport)	
Surname / Last Name	
Given Name	
Other Name	
Date of Birth	
Gender	
Nationality	
Business Details	
Name or names under which business is carried on	
Registration No.	
Contact Information	
Residential Address	
Email	
Home No. (e.g. 03-1234 1234) Include country code for overseas number	
Mobile No. (e.g. 01x-1234 1234) Include country code for overseas number	
Business Address	
Email	
Office No.	
Fax No.	
National ID	
NRIC No.	
Old IC No.	
Marital Status	
Status	
Licence Details	
Licence No.	
Date First Licensed	
Licence Anniversary Date	
Regulated Activity	
Regulated Activity	

CPE DETAILS

CPE Details		
Course Name/Others	Date	Points
Financial Requirements		
As of		
Total Asset		
Total Liabilities		
Total Net Worth		

Other Disclosure

Interest in Securities	
1) Since the last anniversary date, has the licence holder purchased/sold securities that are quoted on a stock exchange in Malaysia, whether directly or indirectly (which includes purchases/sales through his/her own nominees for/on behalf of his/her relatives) for his/her own account immediately preceding the date of this submission?	
Others	
2) Since the date of the previous anniversary date, has the licence holder carried on any business other than the type of business the licence is applied for, in Malaysia or elsewhere?	
3) Discuss the performance (both qualitative and quantitative) of the business and future plans, including risks and challenges.	
4) Since the last anniversary date, has the licence holder, 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?	
5) Has the licence holder, in Malaysia or elsewhere—	
* 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 appointed in respect of any of the assets of the licence holder?	
e) entered into a compromise or arrangement with creditors or members?	
f) been subjected to any form of disciplinary proceedings or actions by, or, entered into a settlement with, any regulatory, supervisory or professional body?	

ADDITIONAL INFORMATION

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

SUPPORTING DOCUMENT

No.	Description
1	A detailed statement of the individual's current assets and liabilities signed by the individual and verified by an external auditor
2	Details of securities sold/purchased by the individual for his/her own account since the last anniversary date stated in the specified form
3	Bankruptcy search results 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)
4	Other relevant documents

DECLARATION

True and Correct Information
<p><input type="checkbox"/> 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.</p> <p><i>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.</i></p> <p><i>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></p> <p><input type="checkbox"/> 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.</p>
Signature
Full Name :
Designation :
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.