


Form WP2: Application for the Employment of Non-Malaysian Citizen under the Capital Markets and Services Act 2007 (by the applicant)
PROFILE

Personal Details						
Salutation						
Full Name (as per NRIC / passport)						
Surname / Last Name						
Given Name						
Gender						
Date of Birth						
Status						
Nationality						
National ID and Passport Details						
Passport No.						
Expiry Date						
Place of issue						
Place of birth						
Government Issued Identification / National ID						
Length of residence in Malaysia (Number of years)						
Have you previously applied for a work permit?						
Are you a Malaysia PR?						
Are you a multiple/dual citizenship holder?						
Contact Information						
Country / Jurisdiction						
Postcode						
State						
City						
Address 1						
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						
Email						
Marital Status						
Status		Married				
Name of Spouse (as per NRIC / passport)	For Malaysian		For Non-Malaysian		Occupation & Name of Employer (if in employment)	Details of employer Address/Office No./Fax No.
	Old NRIC No.	NRIC No.	Passport No. / Expiry Date(dd mmm yyyy) / Place of Issue			

EMPLOYMENT DETAILS RELATED TO PRINCIPAL

Employment Details Related to Principal	
Name of Principal	
Proposed Designation	
Duration of employment (years)	

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?

Other Disclosure

Directorship
1) Is the individual a director of any other entity, wherever incorporated?
Ownership
2) Does the individual own, either directly or indirectly, 5% or more of the voting shares of any entity, wherever incorporated?
Others
3) Has the individual, in Malaysia or elsewhere—
a) authorised in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required?
b) refused the right to in any capacity, either to practise any profession or to carry on any occupation, trade or business, in or relating to the capital markets or financial services industry, for which authorisation is required? Note: Authorisation also includes licensing, registration, approval and membership.
4) 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 trading in future contracts only)
5) 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?
6) 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, 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) 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 passport(s) (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 or professional certificates
4	Referral letters from two individuals
5	A copy of the marriage certificate (if individual is married to a Malaysian citizen)
6	Any other information or documents to support the application

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
<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 :
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.