


Form 7: Application for Variation of Regulated Activity for Capital Markets Services Licence Holder
PROFILE

Entity Information	
Name	
Registration No.	
Licence No.	
Licence Anniversary Date	

PARTICIPATION

Participation		Bumiputera		Non-Bumiputera		Foreign		Total	
		No	%	No	%	No	%	No	%
Representatives	Dealing in securities								
	Dealing in securities restricted to bonds								
	Dealing in securities restricted to underwriting activities								
	Dealing in securities restricted to listed securities								
	Dealing in securities restricted to over-the-counter (OTC) bonds								
	Dealing in derivatives								
	Dealing in derivatives restricted to contract for difference (CFD)								
	Fund management								
	Fund management in relation to portfolio management								
	Fund management in relation to asset management restricted to business trusts								
	Fund management in relation to asset management restricted to real estate investment trusts (REITs)								
	Advising on corporate finance								
	Investment advice								
	Financial planning								
Total									
Employee	Management	Licensed							
		Non licensed							
	Executive	Licensed							
		Non licensed							
Support									
Total									

SHARE CAPITAL

No filled information

REGULATED ACTIVITY

Before Variation	
Before Variation	
After Variation	
After Variation	

KEY PERSON

No filled information

SUPPORTING DOCUMENT

No.	Description
1	A comprehensive and detailed proposal, which should generally include, but not limited to, the following: <ol style="list-style-type: none"> a. reasons for conducting the regulated activity; b. outline and summary of the regulated activity as a whole, including an overview and business targets at the end of three years. This includes products and services offered and a description of the delivery channels; c. how the regulated activity fits within its corporate structure, group global strategy and global operations; d. reasons why the company believes the business plan will be successful, stating key assumptions, and supported by feasibility and market studies. This may include: <ol style="list-style-type: none"> i. analysis of proposed regulated activity against the corresponding operating environment, including target markets, competitors, threats and opportunities, and plans to address them; ii. strength of financial resources to support the business, including sources of initial and future capital; iii. ability and plans to manage associated operational and business risks; iv. availability of human capital, expertise and knowledge, including names and credentials of key experts; v. supporting technology, systems and processes; vi. supporting research and development initiatives; and vii. track record and experience of the company specifically pertaining to identified areas in the business plan; e. pro-forma financial statements (base case), including balance sheet and income statement for the first three years of operations. Major asset, liability, income and expense categories should be identified, including a description of off-balance sheet activities. Identify and discuss key assumptions underlying the calculations; f. sensitivity analysis showing the results of changes in key assumptions on the base case business plan under a worst case scenario and discuss the changes in assumptions; g. contingency plans to address worst case or other adverse scenarios; h. source of initial and future capital provided for in the base case and other scenarios in the form of a capital plan and funding policies; i. projected staff complement and roles, and an organisation chart showing reporting lines for senior positions and key over the three-year period. This may include planned training, education and knowledge-sharing initiatives; j. major risk areas and the policies and control procedures to monitor risk tolerance and risk managements. This may include market, operational, technology, legal, regulatory and strategic risks; and k. description of any material outsourcing arrangement anticipated by the company.
2	Latest management accounts (if the audited financial statements are more than three months old as at the anniversary date)
3	List of employees indicating the Bumiputera / non-Bumiputera / foreign status, the employment status and position
4	Individual's operational and compliance manual describing in detail, including– <ul style="list-style-type: none"> • reporting principles and procedures; • internal audit procedures; • procedures for compliances with the securities laws; and • risk management policies which the individual has adopted or proposes to adopt for its proposed business
5	Declaration on the physical layout of business to avoid conflict of interest of interest (click here for template)
Additional supporting details for the application for dealing in securities and/or dealing in derivatives	
6	Participation / Membership certificate of approval in principle for admission from the exchange
7	A duly completed form for the application of compliance officer (at least one)
Additional supporting details for the application for fund management in relation to portfolio management	
8	Company's portfolio management system manual
9	Details of the funds projected to be managed in the next five years
10	Letter of acceptance from the proposed custodian
11	Experience of related companies in relation to fund management
12	A completed self-assessment readiness checklist specified by the SC
13	A duly completed form for the application of compliance officer (at least one)
Additional supporting details for the application for fund management in relation to portfolio management lodged by a company owned by individuals	
14	Declaration on loans and credit facilities, pursuant to subparagraph 4.04(5) of the Licensing Handbook
Additional supporting details for the application for dealing in unit trust products dealing in private retirement schemes, investment advice, advising on corporate finance, and/or financial planning	
15	A completed self-assessment readiness checklist specified by the SC
Others	
16	Other relevant documents

ADDITIONAL INFORMATION

No filled information

DECLARATION

True and Correct Information

We are 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 our (i) application or submission; and (ii) fit and proper standing 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.

We 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 (Licensed Director / Director / Chief Executive)	Signature (Director / Authorised Signatory*)
Full Name :	Full Name :
Designation :	Designation :
Date :	Date :
*approved by the board of directors	

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.