

CHANGE IN DIRECTORS AND KEY PERSONNEL CHECKLIST

Regulation 3(3), 4 and 17(2) of the Capital Markets (Corporate Governance) (Market Intermediaries) Regulations 2011 and Regulation 53B of the Capital Markets (Licensing Requirements) General Regulations 2002

NOTE: According to the Capital Markets Act, Section 2 “Key personnel” means a person who manages or controls the activities of a licensed or a regulated person and includes the chief executive officer, chief financial officer, chief compliance officer, secretary to the Board, chief internal auditor or any manager; and any person who holds a position or discharges responsibilities of any person referred to herein above

DOCUMENTS IN SUPPORT OF APPLICATION

No.	Requirement	Y/N	Comment
1.	Duly completed fit and proper form		
2.	Certified copy of Certificate of Good Conduct		
3.	Comprehensive CV		
4.	Positive reference from former employer		
5.	Positive reference from other regulator		
6.	Positive reference from professional body		

Name	Appointing Company	Designation	Address	Documents required	Remarks
				Fit and proper form Comprehensive CV Certificate of good conduct	