



## FORM 11

### SECURITIES MARKETS REGULATIONS, 2015 [Regulation 37]

#### APPLICATION FOR AUTHORISATION OF A COMPLIANCE OFFICER

*(To be filled by the Compliance Officer of the holder of the Capital Markets Services Licence)*

Application is made for the authorisation of a Compliance Officer under regulation 37 of the Securities Markets Regulations, 2015 and the following particulars are supplied in respect thereof –

SECTION I : HOLDER OF CAPITAL MARKETS SERVICES LICENCE (CMSL) PARTICULARS			
Name of Holder of CMSL:			
CMSL No.:			
Please tick (✓) the regulated activity(s) the holder of CMSL is carrying out:			
<input type="checkbox"/>	Dealing and arranging deals and transactions in investment as principal or agent	<input type="checkbox"/>	Giving or offering investment advice in his capacity as an investment adviser
<input type="checkbox"/>	Safekeeping and administration of assets including custodial services	<input type="checkbox"/>	Giving or offering investment advice in his capacity as a financial planner
<input type="checkbox"/>	Managing investments including CIS management and / or establishing, operating or winding up a CIS	<input type="checkbox"/>	Using computer based systems for giving investment instructions
SECTION II : PERSONAL DETAILS OF APPOINTED COMPLIANCE OFFICER			
Date of appointment (dd/mm/yyyy):			
Title:		<i>(Mr. / Mrs. / Ms. / Dr. / Prof)</i>	
Name (as per NRIC / passport):			
Date of birth (dd/mm/yyyy):		Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
Place of birth:			
Nationality:			
Residential address:			
E-mail:			
Contact no.:	Home:	Mobile:	

	Office:		Fax:	
NRIC no.: (For Bruneian)				
Passport information: (For non-Bruneian)	Passport no.:			
	Country of issue:			
	Expiry date (dd/mm/yyyy):			
	Work Permit:	<i>(Reference no. of work permit)</i>		
Marital Status:	<input type="checkbox"/> Single	<input type="checkbox"/> Married	<input type="checkbox"/> Divorced	<input type="checkbox"/> Widowed
Spouse Details:	Name:			
	NRIC / Passport no.:			
	Name of employer:			
	Details of employer:			
<b>SECTION III : ACADEMIC OR PROFESSIONAL QUALIFICATION</b>				
Please list according to highest qualification:				
Qualification	Masters / Degree / Certificate / Others	University / College / School / Others	Year	
<b>SECTION IV : EMPLOYMENT HISTORY</b>				
Please list according to most recent employment (in the last five years):				
Date (mm/yyyy):		Name of employer & designation held	Description of duties	Capital market / financial services related?
From	To			
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION V : CONFLICTS OF INTEREST						
Please highlight potential areas of conflict of interest and explain in detail how such conflicts will be resolved or mitigated						
SECTION VI : DECLARATION						
If the answer to any of the following questions is in the affirmative, attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the Compliance Officer is considered to be fit and proper person.						
					Yes	No
1. Interest in Securities	<p><b>Have you purchased or sold securities in Brunei Darussalam, whether directly or indirectly (which includes purchases or sales through your own nominees for/on behalf of his relatives) for your own account during the 12 months immediately preceding the date of this application?</b></p> <p><i>(If yes, please attach supporting documents to include name of securities and details of holdings, acquisition and disposal)</i></p>				<input type="checkbox"/>	<input type="checkbox"/>
2. Directorship	<p><b>Are you or have you ever been a director of any other corporation, wherever incorporated?</b></p> <p><i>(If yes, please provide details of any directorships held now and during the last 10 years, including details of the employer and dates of the employment)</i></p>				<input type="checkbox"/>	<input type="checkbox"/>
	Name of corporation	Nature of business	Place of incorporation	Dates of employment (mm/yyyy)	Nature of appointment (executive / non-executive)	
3. Ownership	<p><b>Do you own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated?</b></p> <p><i>(If yes, please provide details of the corporations)</i></p>					
	Name of corporation	Nature of business	Place of incorporation	% of ownership	Paid-up capital	
4. Others	<p><b>(a) Have you ever (if yes please provide details) –</b></p>				Yes	No
	(i) been licensed or registered in any capacity in any place under any law which requires licensing or registration in relation to any regulated activity, whether in Brunei Darussalam or elsewhere?				<input type="checkbox"/>	<input type="checkbox"/>
	(ii) been refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Brunei Darussalam or elsewhere?				<input type="checkbox"/>	<input type="checkbox"/>

	(iii) at any time, been charged with and/ or convicted of any offence including an expunged offence (other than an offence in connection with the use or ownership of a motor vehicle)? If so, give particulars of the court by which you were convicted, the offence charged, the penalty imposed and the date of conviction.	<input type="checkbox"/>	<input type="checkbox"/>
	(iv) at any time held a licence relating to any regulated activity, which has been cancelled, withdrawn or suspended under any law either while you were associated with it or within one year after you ceased to be associated with it? If so, give particulars (including details of contact persons at relevant authorities).	<input type="checkbox"/>	<input type="checkbox"/>
	(v) been censured, disciplined, warned as to future conduct or publicly criticised by, or made the subject of a court order at the instigation of, any regulatory authority or professional body to which you belong or belonged or have you ever held a licence subject to conditions? If so, give particulars (including details of contact persons at relevant authorities).	<input type="checkbox"/>	<input type="checkbox"/>
	(vi) been the subject of an investigation by, or at the instigation of, a governmental, professional or other regulatory authority? If so, give particulars (including details of contact persons at relevant authorities).	<input type="checkbox"/>	<input type="checkbox"/>
	(vii) been dismissed from any office or employment or barred from entry to any profession or occupation?	<input type="checkbox"/>	<input type="checkbox"/>
	(viii) had judgement involving findings of fraud or other dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against you, as the case may be, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgement?	<input type="checkbox"/>	<input type="checkbox"/>
	(ix) 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?	<input type="checkbox"/>	<input type="checkbox"/>
	(x) been adjudicated bankrupt by a court or at any time suspended payment to your creditors or entered into an arrangement with your creditors?	<input type="checkbox"/>	<input type="checkbox"/>
	(xi) failed to satisfy any debt adjudged due and payable by you as a judgement-debtor under an order of a court?	<input type="checkbox"/>	<input type="checkbox"/>
	(xii) been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?	<input type="checkbox"/>	<input type="checkbox"/>
	<b>(b) Have you been involved in the management of a corporation in Brunei Darussalam or elsewhere which at the time of your involvement, the corporation (if yes please provide details) –</b>	Yes	No
	(i) was 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?	<input type="checkbox"/>	<input type="checkbox"/>

	(ii) had judgement involving findings of fraud or other 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 judgement?	<input type="checkbox"/>	<input type="checkbox"/>
	(iii) 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?	<input type="checkbox"/>	<input type="checkbox"/>
	(iv) had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?	<input type="checkbox"/>	<input type="checkbox"/>
	(v) entered into a compromise or arrangement with creditors or members?	<input type="checkbox"/>	<input type="checkbox"/>
	(vi) had a petition presented in a court for its winding up?	<input type="checkbox"/>	<input type="checkbox"/>
	(vii) been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?	<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
	<b>(c) Do you, in your private capacity, or does any close relative or associate (either individual or corporate), undertake or intend to undertake business with your principal? If so, give particulars.</b>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>(d) Do you, in your private capacity, or does any close relative or associate (either individual or corporate) hold any (present or future) beneficial interest in the voting power of your principal, or hold any voting power? If so, give particulars.</b>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>(e) Are you engaged in, or do you expect to be engaged in, any litigation or matter of dispute with any authority, including taxation authorities? If so, give particulars.</b>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>(f) In carrying out your duties will you be acting on the direction or instructions of any other person? If so, give particulars.</b>	<input type="checkbox"/>	<input type="checkbox"/>
4) Other information:	<b>Is there any other information relevant to this application?</b> <i>(if yes, please provide details)</i>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SECTION VII : SUPPORTING DOCUMENTS</b>			
(*) are mandatory documents and must be submitted together with this form. Other documents must be submitted where applicable.			<b>APPENDIX</b>
<input type="checkbox"/>	*A cover letter for the authorisation of a compliance officer		
<input type="checkbox"/>	*A copy of the applicant's NRIC (for Bruneian citizens) or passport (for non-Bruneian citizens)		
<input type="checkbox"/>	*A copy of the applicant's recent passport-sized photograph (in colour)		

<input type="checkbox"/>	*A copy of the applicant's most recent CV	
<input type="checkbox"/>	A copy of the applicant's relevant academic certificates	
<input type="checkbox"/>	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"/>	Work permit (for non-Bruneian citizens)	
<input type="checkbox"/>	Other relevant documents	

### SECTION VIII : TRUE AND CORRECT INFORMATION

I, being a Compliance Officer appointed/to be appointed by *name of principal*, hereby declare that all information provided in this application and its annexures is true and correct, and, that I have read and understood the provisions of the Securities Markets Order, 2013 and all regulations, directions, codes and guidelines issued thereunder.

I certify that the information given in the application is complete and accurate to the best of my knowledge, information and belief and that there are no other facts relevant to this application of which the Authority should be aware.

I further undertake to inform the Authority of any changes material to the application which arise while the Authority is considering the application.

Signature:

\_\_\_\_\_

Name (*appointed Compliance Officer*):

Date (dd/mm/yyyy):

I, being a Director / Authorised Signatory of *name of principal*, believe the applicant to be of good character and reputation and to have the competence and experience to perform the functions of a Compliance Officer.

Signature:

\_\_\_\_\_

Name (*Director / Authorised Signatory*):

Date (dd/mm/yyyy):