

Countersign and stamp by the Commissioner for Oaths for any amendments to SD form

STATUTORY DECLARATION

SD 001

Please tick (✓) whichever is applicable on the boxes provided



Unit Trust Scheme (UTS) Consultant

Private Retirement Scheme (PRS) Consultant

New Registration / Exemption

New Registration / Exemption

Former UTS Consultant / Vary Registration

Former PRS Consultant / Vary Registration

I, [Name of applicant], bearing NRIC/passport no. [NRIC/Passport No. of applicant]

of [Latest correspondence address i.e. place of residence]

act as a \*UTS consultant and/or a \*PRS consultant for [Name of distributor] (the principal)

only; do solemnly and sincerely declare that:

- 1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points.
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
(a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
(b) require my attendance at any meeting, proceeding or hearing of FIMM;
(c) disclose and provide information, documents and records concerning my, including any action taken and sanction imposed against me, to the Security Commission Malaysia (SC) and other authorities or bodies (or regulatory purposes);
(d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
(e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken, and sanctions imposed against me, if any; and
(f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
(a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
(b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
(c) provide all information and documents requested by FIMM for purposes of my registration;
(d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
(e) immediately notify the principal and/or FIMM in the event that I fail to satisfy any of the fit and proper criteria prescribed by FIMM.

AND I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declarations Act 1960.

Subscribed and solemnly declared by the above named

[Name of applicant] at

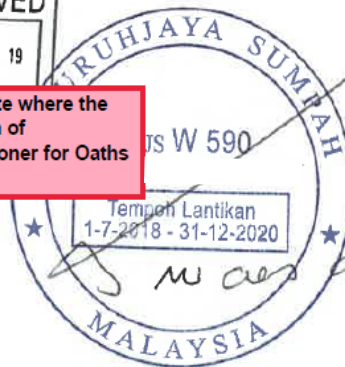
[KUALA LUMPUR WILAYAH PERSEKUTUAN.] in the state of

this [3 JUL 2019] day of [JUL] (month) (year)

The validity of the statutory declaration must not be more than 12 months from the date of its attestation

RECEIVED 08 JUL 19

City & State where the attestation of Commissioner for Oaths take place



Signature

The applicant's signature must be the same as on the application form

Applicant's signature

Before me,

Sign and stamp by the Commissioner for Oaths

Commissioner for Oaths

\* Please strike off whichever not applicable Effective Date 01/06/2016