**EMPLOYMENT REFERENCE REQUEST FORM**

**PART A BACKGROUND**

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| **(i) To be completed by the hiring financial institution** | |
| Name and contact details of the financial institution  requesting for the reference |  |
| Date of request for the reference |  |
| Individual’s name |  |
| Individual’s MyKad/passport number |  |

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| --- | --- | --- | --- | --- |
| **(ii) To be completed by the individual’s current/former employers** | | | | |
| Name and contact details of the institution providing the  reference | | | |  |
| Date the reference is provided | | | |  |
| All functions held by the individual in the institution, including past functions, and the  period during which the individual held the function- | | | | |
| Function | From  (date) | To  (date) | Description of role | |
|  |  |  |  | |
|  |  |  |  | |

**PART B MANDATORY INFORMATION**

**To be completed by the individual’s current/former employers. The responses to Questions 1 and 2 must cover the entire period the individual was employed by the institution.**

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| **Question 1** | | |
| Has the individual been subject to any internal disciplinary proceedings for an incident which relates to his/her honesty or integrity? | **Yes** | **No** |
|  |  |
| If yes, please provide the following information (to be reported separately for each  incident):  i) Date of incident;  ii) Date of initiation of internal disciplinary proceedings;  iii) Factual description of the incident (e.g. nature of the allegations);  iv) Details of the individual’s written representation in response to an allegation, if any;  v) Status of internal disciplinary proceedings−  a. Concluded (guilty/not guilty);  b. Ongoing; or  c. Unable to proceed (please specify reason, e.g. insufficient evidence);  vi) Action(s) taken, if any; and vii) Outcome of appeal, if any. | | |
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| **Question 2** | | |
| To your knowledge, has the individual been found by any authority to be in breach14  of legal or regulatory requirements under laws, whether in or outside Malaysia, relating to− | | |
|  | **Yes** | **No** |
| a) Financial services; |  |  |
| b) Capital markets; |  |  |
| c) Prevention of money laundering or terrorism financing? |  |  |
| If yes, please provide the following information (to be reported separately for each  incident):  i) Date of breach;  ii) Factual description of the breach;  iii) Date of notification by the authority; and iv) Enforcement action(s) taken, if any. | | |
|  | | |

14 For the avoidance of doubt, this covers breaches of legal and regulatory requirements that do not attract a criminal penalty.

**PART C OPTIONAL INFORMATION**

**To be completed by the individual’s current/former employers**

**Question 3**

If you are aware of any additional information (positive or negative)15 that you consider relevant for an assessment of the individual’s honesty or integrity, please provide the information below.

15 For example, evidence of good behaviour or exemplary conduct by the individual, or information that the financial institution considers significant that may have an impact on the character assessment of the individual.