

	INTERNATIONAL STANDARDS ON QUALITY MANAGEMENT 1 (“ISQM 1”)	Document No: SALIHIN-ISQM 1/E2/FORM B	
		Title: RELEVANT ETHICAL REQUIREMENTS	Version No: 3.0

DECLARATION OF FIT AND PROPER STATUS AND INDEPENDENCE

This form must be completed by all new staff and trainees of SALIHIN. All candidates invited for interview shall complete and submit this declaration form prior to the interview session.

Name of Staff:	
IC/Passport No.:	
Designation & Department:	

		YES Please tick (√)	NO Please tick (x)
1.	FIT AND PROPER STATUS		
	<u>Financial integrity and reliability</u>		
	1.1 Have you:		
	(a) Had court judgement against you about a debt in the last ten years?	☐	☐
	(b) Made any compromise arrangement with your creditors in the last ten years?	☐	☐
	(c) Ever been declared bankrupt or been the subject of a bankruptcy court order?	☐	☐
	(d) Had a bankruptcy petition served on you?	☐	☐
	(e) Ever signed a trust deed for, made an assignment for the benefit of, or made any arrangements for the payment of a composition to creditors?	☐	☐
	<u>Convictions or civil liabilities</u>		
	<i>Note: There is no need to mention any offences committed before the age of 18 (unless committed within the last ten years) and road traffic offences that did not lead to disqualification or a prison sentence.</i>		
	1.2 Have you at any time:		
	(a) Pleaded guilty to, or been found guilty of, any offence?	☐	☐
	(b) Been the subject of any civil action relating to your business or professional activities which has resulted in a finding against you or a settlement being agreed in the last five years?	☐	☐
	(c) Ever been disqualified by a court from being a director or acting in the management or affairs of any company?	☐	☐

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	YES Please tick (√)	NO Please tick (x)
<u>Good reputation and character</u>		
1.3 Have you ever been:		
(a) Refused or been restricted in the right to carry on any trade, business or profession for which a license, registration or other authority is required?	☐	☐
(b) Investigated for professional misconduct or malpractice where a formal complaint was proved?	☐	☐
(c) Subject to disciplinary procedures by a professional body or employer resulting in a finding against you?	☐	☐
(d) Reprimanded, excluded, disciplined or publicly criticized by a professional body or employer?	☐	☐
(e) Refused entry to or excluded from membership of any profession or employment?	☐	☐
(f) Dismissed or requested to resign from any office, employment or partnership?	☐	☐
(g) Reprimanded, warned about future conduct, disciplined or publicly criticized by any regulatory body, or any officially appointed enquiry concerned with the regulation of a financial, professional or other business activity?	☐	☐
(h) The subject of a court order at the instigation of any regulatory body, or any officially appointed enquiry concerned with the regulation of a financial professional or other business activity?	☐	☐
1.4 Are you currently undergoing any investigation or disciplinary procedure as described in 1.3 above?	☐	☐
Note below the circumstances relating to any “yes” answers in 1.1 to 1.4 above or any other of which matters of which the firm should be aware in connection with your fit and proper status.		

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		YES Please tick (√)	NO Please tick (x)
2.	INDEPENDENCE <u>Beneficial, financial and other interests</u> <i>Note: An interest in shares or other investments may be direct or as a beneficiary, director, trustee or investor in an entity which has such an interest. Prohibited investment relate specifically to the partners, staff and associates of listed company auditors. However, any firm could identify prohibited investments.</i>		
	2.1 Do you or anyone closely connected with you have:		
	(a) A beneficial or other interest in shares or other investment in any company?	☐	☐
	(b) A mutual business interest with any company?	☐	☐
	(c) A loan from, or to, or given, or accepted any guarantee from, or to, any company?	☐	☐
	(d) An interest in any prohibited investment?	☐	☐
	2.2 Are you connected in any way with any other business that provides services, goods or advice to any company?	☐	☐
	2.3 Have you accepted goods or services on favorable terms, or received undue hospitality from any company?	☐	☐
	<u>Employment by and involvement with a client</u>		
	2.4 Has the trainee/staff/applicant been:	Section 2.4 be filled by HR Personnel.	
	(a) Employed by, or an officer of a client, in the last two years?	☐	☐
	(b) Seconded to, or involved in, the management, business, activities or records of a client other than as part of the work of this firm?	☐	☐
	2.5 Are you intending to join, or currently negotiating with a view to joining, another company?	☐	☐
	<u>Trust</u>		
	2.6 Do you have a beneficial interest in a trust holding shares or other investment in any company?	☐	☐
	2.7 Are you a trustee of a trust that holds shares, or other investments, in any company?	☐	☐

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<u>Personal and family relationships</u>				
Do you have personal or family relationship with:				
a) An officer or employee, of any company?			☐	☐
b) Any person who is connected with a client as in 2.2 to 2.7 above?			☐	☐
c) Are you aware of any other interest in, or connection with, any company?			☐	☐
2.8 Note below the circumstances relating to any “yes” answers in 2.1 to 2.8 above or any other of which matters of which the firm should be aware in connection with your independence. In particular, give details of any outside business interest.				

3. DECLARATION

I have answered the above questions truthfully and honestly, to the best of my knowledge and belief. Should any of the above circumstances change, I shall inform the firm immediately.

Signed:

Date: