



## **USER MANUAL**

# **SUPPLY, DESIGN, DEVELOPMENT, INSTALLATION, TESTING, COMMISSIONING AND MAINTENANCE OF REGISTRATION SOFTWARE FOR FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)**

## **MODULE: CONSULTANT MANAGEMENT (DEACTIVATION BY FIMM) GROUP: FIMM**

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|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                                                                                | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | i    |

## DOCUMENT DESCRIPTION

This document is prepared to explain how to use the FCS system. This user manual explains the functions and step by step how to use the system completely to the users involved.

| Document Information         |                                                                                                                                                                  |
|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Project Name</b>          | SUPPLY, DESIGN, DEVELOPMENT, INSTALLATION, TESTING, COMMISSIONING AND MAINTENANCE OF REGISTRATION SOFTWARE FOR FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM) |
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|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | v    |

## DOCUMENT CONTROL

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|-----------------|--------------|----------------------|----------------------------------------|
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| <b>FIMM</b><br>Federation of Investment Managers Malaysia | <b>Project</b>                                    | <b>Reference</b>   | <b>File</b>          | <b>Version</b> | <b>Date</b> | <b>Page</b> |
|-----------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|----------------|-------------|-------------|
|                                                           | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0            | 24/03/25    | vi          |

# CONTENT

|                                                         |                              |
|---------------------------------------------------------|------------------------------|
| <a href="#">DOCUMENT DESCRIPTION</a>                    | i                            |
| <a href="#">DOCUMENT CONTROL</a>                        | v                            |
| <a href="#">CONTENT</a>                                 | vi                           |
| <a href="#">LIST OF DIAGRAMS</a>                        | ix                           |
| <a href="#">LIST OF TABLES</a>                          | xvii                         |
| <a href="#">ACRONYM</a>                                 | xviii                        |
| <a href="#">ABBREVIATIONS ROLE</a>                      | xxi                          |
| <a href="#">CHAPTER 1: INTRODUCTION</a>                 | 22                           |
| <a href="#">1.1 Purpose</a>                             | 22                           |
| <a href="#">1.2 Contact Information</a>                 | 22                           |
| <a href="#">CHAPTER 2: GENERAL SYSTEM INSTRUCTION</a>   | 23                           |
| <a href="#">2.1 User Log in</a>                         | 23                           |
| <a href="#">2.1.1 Log in</a>                            | 24                           |
| <a href="#">2.1.2 Update Account and Password</a>       | Error! Bookmark not defined. |
| <a href="#">2.1.3 Forgot Password</a>                   | Error! Bookmark not defined. |
| <a href="#">2.1.4 Multiple Role</a>                     | Error! Bookmark not defined. |
| <a href="#">2.1.5 Log Out</a>                           | Error! Bookmark not defined. |
| <a href="#">2.2 Dashboard</a>                           | Error! Bookmark not defined. |
| <a href="#">2.2.1 Pending Task</a>                      | Error! Bookmark not defined. |
| <a href="#">2.2.2 Dashboard Notification</a>            | Error! Bookmark not defined. |
| <a href="#">CHAPTER 3: CONSULTANT MANAGEMENT MODULE</a> | Error! Bookmark not defined. |
| <a href="#">3.1 Registration</a>                        | Error! Bookmark not defined. |
| <a href="#">3.1.1 Approval Process by FIMM RD</a>       | Error! Bookmark not defined. |
| <a href="#">3.1.1.1 Process Flow</a>                    | Error! Bookmark not defined. |
| <a href="#">3.1.1.2 Manual Steps</a>                    | Error! Bookmark not defined. |
| <a href="#">3.2 Variation of Registration</a>           | Error! Bookmark not defined. |
| <a href="#">3.2.1 Approval Process by FIMM RD</a>       | Error! Bookmark not defined. |
| <a href="#">3.2.1.1 Process Flow</a>                    | Error! Bookmark not defined. |
| <a href="#">3.2.1.2 Manual Steps</a>                    | Error! Bookmark not defined. |
| <a href="#">3.3 Profile Maintenance</a>                 | Error! Bookmark not defined. |
| <a href="#">3.3.1 Approval Process by FIMM RD</a>       | Error! Bookmark not defined. |
| <a href="#">3.3.1.1 Process Flow</a>                    | Error! Bookmark not defined. |
| <a href="#">3.3.1.2 Manual Steps</a>                    | Error! Bookmark not defined. |
| <a href="#">3.4 Forget Password</a>                     | Error! Bookmark not defined. |

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | vii  |

|                         |                                                      |       |                              |
|-------------------------|------------------------------------------------------|-------|------------------------------|
| <a href="#">3.4.1</a>   | <a href="#">Approval Process by FIMM RD</a>          | ..... | Error! Bookmark not defined. |
| <a href="#">3.4.1.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.4.1.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.5</a>     | <a href="#">Appeal for Revocation</a>                | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.1</a>   | <a href="#">Review Process by FIMM RD</a>            | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.1.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.1.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.2</a>   | <a href="#">Approval by FIMM RD Approver</a>         | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.2.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.5.2.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6</a>     | <a href="#">Appeal for Fee Waiver</a>                | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.1</a>   | <a href="#">Review Process by FIMM RD</a>            | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.1.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.1.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.2</a>   | <a href="#">Review Process by FIMM HOD RD</a>        | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.2.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.2.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.3</a>   | <a href="#">Approval Process by FIMM GM RSD</a>      | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.3.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.6.3.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7</a>     | <a href="#">Deactivation by Distributor</a>          | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.1</a>   | <a href="#">Review Process by FIMM RD</a>            | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.1.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.1.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.2</a>   | <a href="#">Review Process by FIMM RD Reviewer</a>   | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.2.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.2.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.3</a>   | <a href="#">Approval Process by FIMM RD Approver</a> | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.3.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.7.3.2</a> | <a href="#">Manual Steps</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.8</a>     | <a href="#">Deactivation by FIMM</a>                 | ..... | 0                            |
| <a href="#">3.8.1</a>   | <a href="#">Revocation Application by FIMM RD</a>    | ..... | 26                           |
| <a href="#">3.8.1.1</a> | <a href="#">Process Flow</a>                         | ..... | 26                           |
| <a href="#">3.8.1.2</a> | <a href="#">Manual Steps</a>                         | ..... | 26                           |
| <a href="#">3.8.2</a>   | <a href="#">Review Process by FIMM RD Reviewer</a>   | ..... | Error! Bookmark not defined. |
| <a href="#">3.8.2.1</a> | <a href="#">Process Flow</a>                         | ..... | Error! Bookmark not defined. |

|                                                                                                                                 |                                                                     |                                        |                                     |                       |                         |                     |
|---------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|---------------------|
| <br>Federation of Investment Managers Malaysia | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>viii |
|---------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|---------------------|

|                          |                                                                     |       |                              |
|--------------------------|---------------------------------------------------------------------|-------|------------------------------|
| <a href="#">3.8.2.2</a>  | <a href="#">Manual Steps</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.8.3</a>    | <a href="#">Approval Process by FIMM HOD RD</a>                     | ..... | Error! Bookmark not defined. |
| <a href="#">3.8.3.1</a>  | <a href="#">Process Flow</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.8.3.2</a>  | <a href="#">Manual Steps</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.9</a>      | <a href="#">First Time Login</a>                                    | ..... | Error! Bookmark not defined. |
| <a href="#">3.9.1</a>    | <a href="#">Approval Process by FIMM RD</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.9.1.1</a>  | <a href="#">Process Flow</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.9.1.2</a>  | <a href="#">Manual Steps</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.10</a>     | <a href="#">Profile Maintenance by Distributor</a>                  | ..... | Error! Bookmark not defined. |
| <a href="#">3.10.1</a>   | <a href="#">Approval Process by FIMM RD</a>                         | ..... | Error! Bookmark not defined. |
| <a href="#">3.10.1.1</a> | <a href="#">Process Flow</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.10.1.2</a> | <a href="#">Manual Steps</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.11</a>     | <a href="#">Compliance Tagging</a>                                  | ..... | Error! Bookmark not defined. |
| <a href="#">3.11.1</a>   | <a href="#">Add Tagging to Consultants by FIMM RD / FIMM HOD RD</a> | ..... | Error! Bookmark not defined. |
|                          | <b>defined.</b>                                                     |       |                              |
| <a href="#">3.11.1.1</a> | <a href="#">Process Flow</a>                                        | ..... | Error! Bookmark not defined. |
| <a href="#">3.11.1.2</a> | <a href="#">Manual Steps</a>                                        | ..... | Error! Bookmark not defined. |

|                                                                                   |                                                                     |                                        |                                     |                       |                         |                   |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|
|  | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>ix |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|

## LIST OF DIAGRAMS

|                                                                                              |                              |
|----------------------------------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 1: FCS Homepage Display</a>                                              | 24                           |
| <a href="#">Diagram 2: Log in Display</a>                                                    | 24                           |
| <a href="#">Diagram 3: User Dashboard</a>                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 4: Incorrect User Id and Password Message Display</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 5: Profile Submenu</a>                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 6: My Profile Display</a>                                                | Error! Bookmark not defined. |
| <a href="#">Diagram 7: Reset Password Page</a>                                               | Error! Bookmark not defined. |
| <a href="#">Diagram 8: Error Message Display</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 9: Error Message Display</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 10: Successful Message Display</a>                                       | Error! Bookmark not defined. |
| <a href="#">Diagram 11: Log In Display</a>                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 12: Forgot Password Page</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 13: Notification Message Display</a>                                     | Error! Bookmark not defined. |
| <a href="#">Diagram 14: Email Reset Password</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 15: Reset Password Page</a>                                              | Error! Bookmark not defined. |
| <a href="#">Diagram 16: Change Role</a>                                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 17: Logout</a>                                                           | Error! Bookmark not defined. |
| <a href="#">Diagram 18: Dashboard</a>                                                        | Error! Bookmark not defined. |
| <a href="#">Diagram 19: Dashboard Notification</a>                                           | Error! Bookmark not defined. |
| <a href="#">Diagram 20: Consultant Menu</a>                                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 21: Submenu 'Registration Application'</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 22: List of Applications</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 23: List Filter</a>                                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 24: Entries</a>                                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 25: Pagination</a>                                                       | Error! Bookmark not defined. |
| <a href="#">Diagram 26: Keyword Search</a>                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 27: List of Applications</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 28: Profile Details section</a>                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 29: Academic Qualification section</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 30: Scheme Selection section for non – CUTA/CPRA type of Distributor</a> | Error!                       |
| <b>Bookmark not defined.</b>                                                                 |                              |
| <a href="#">Diagram 31: Scheme Selection section for CUTA/CPRA type of Distributor</a>       | Error! Bookmark not defined. |
| <b>not defined.</b>                                                                          |                              |
| <a href="#">Diagram 32: Type of Registration – Examination</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 33: Type of Registration - Exemption</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 34: Screening Section</a>                                                | Error! Bookmark not defined. |
| <a href="#">Diagram 35: Others Section</a>                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 36: Comment Box</a>                                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 37: Confirmation Message</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 38: Error Message</a>                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 39: Confirmation Message</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 40: Grounds of Rejection</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 41: Error Message</a>                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 42: Error Message</a>                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 43: Confirmation Message</a>                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 44: Successful Application Message</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 45: Failed CAS Screening</a>                                             | Error! Bookmark not defined. |

|                                                                                                                                        |                                                                     |                                        |                                     |                       |                         |                  |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|------------------|
| <br>Federation of Investment Managers Malaysia (FIMM) | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>x |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|------------------|

|                                                                                                    |                              |
|----------------------------------------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 46: Failed Bankruptcy Screening</a> .....                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 47: List of Applications</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 48: Returned – RD</a> .....                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 49: Consultant Menu</a> .....                                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 50: Submenu ‘Registration Application’</a> .....                               | Error! Bookmark not defined. |
| <a href="#">Diagram 51: List of Applications</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 52: List Filter</a> .....                                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 53: Entries</a> .....                                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 54: Pagination</a> .....                                                       | Error! Bookmark not defined. |
| <a href="#">Diagram 55: Keyword Search</a> .....                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 56: List of Applications</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 57: Profile Details section</a> .....                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 58: Academic Qualification section</a> .....                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 59: Scheme Selection section for non – CUTA/CPRA type of Distributor</a> ..... | Error! Bookmark not defined. |
| <b>Bookmark not defined.</b>                                                                       |                              |
| <a href="#">Diagram 60: Scheme Selection section for CUTA/CPRA type of Distributor</a> .....       | Error! Bookmark not defined. |
| <b>not defined.</b>                                                                                |                              |
| <a href="#">Diagram 61: Type of Registration – Examination</a> .....                               | Error! Bookmark not defined. |
| <a href="#">Diagram 62: Type of Registration - Exemption</a> .....                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 63: Screening Section</a> .....                                                | Error! Bookmark not defined. |
| <a href="#">Diagram 64: Others Section</a> .....                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 65: Return Comment Box</a> .....                                               | Error! Bookmark not defined. |
| <a href="#">Diagram 66: Confirmation Message</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 67: Error Message</a> .....                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 68: Confirmation Message</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 69: Grounds of Rejection</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 70: Error Message</a> .....                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 71: Error Message</a> .....                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 72: Confirmation Message</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 73: Successful Application Message</a> .....                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 74: Failed CAS Screening</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 75: Failed Bankruptcy Screening</a> .....                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 76: List of Applications</a> .....                                             | Error! Bookmark not defined. |
| <a href="#">Diagram 77: Returned – RD</a> .....                                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 78: Consultant Menu</a> .....                                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 79: Submenu ‘Profile Maintenance’</a> .....                                    | Error! Bookmark not defined. |
| <a href="#">Diagram 80: Entries</a> .....                                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 81: Pagination</a> .....                                                       | Error! Bookmark not defined. |
| <a href="#">Diagram 82: Keyword Search</a> .....                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 83: List of Profile Update application</a> .....                               | Error! Bookmark not defined. |
| <a href="#">Diagram 84: Non - Malaysian Profile Details section</a> .....                          | Error! Bookmark not defined. |
| <a href="#">Diagram 85: Academic Qualification section</a> .....                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 86: Scheme Selection section</a> .....                                         | Error! Bookmark not defined. |
| <a href="#">Diagram 87: Type of Registration – Examination</a> .....                               | Error! Bookmark not defined. |
| <a href="#">Diagram 88: Type of Registration - Exemption</a> .....                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 89: Screening Section</a> .....                                                | Error! Bookmark not defined. |
| <a href="#">Diagram 90: Others Section</a> .....                                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 91: Comment Box</a> .....                                                      | Error! Bookmark not defined. |



|                                                                                                                                        |                                                                     |                                        |                                     |                       |                         |                   |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|
| <br>Federation of Investment Managers Malaysia (FIMM) | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>xi |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|

|                                                                      |                              |
|----------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 92: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 93: Error Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 94: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 95: Grounds of Rejection</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 96: Error Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 97: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 98: Successful Application Message</a>           | Error! Bookmark not defined. |
| <a href="#">Diagram 99: Failed Bankruptcy Screening</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 100: List of Profile Update Applications</a>     | Error! Bookmark not defined. |
| <a href="#">Diagram 101: Returned – RD</a>                           | Error! Bookmark not defined. |
| <a href="#">Diagram 102: Consultant Menu</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 103: Submenu 'Email Change Request'</a>          | Error! Bookmark not defined. |
| <a href="#">Diagram 104: List of Email Change Request</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 105: Filter</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 106: Entries</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 107: Pagination</a>                              | Error! Bookmark not defined. |
| <a href="#">Diagram 108: List of Email Change Request</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 109: Consultant's Detail</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 110: Email Change Request page</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 111: Confirmation Message</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 112: Successful Application Message</a>          | Error! Bookmark not defined. |
| <a href="#">Diagram 113: Confirmation Message</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 114: Grounds of Rejection</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 115: Error Message</a>                           | Error! Bookmark not defined. |
| <a href="#">Diagram 116: Consultant Menu</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 117: Consultant's Submenu</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 118: List of Appeal Application</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 119: Filter</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 120: Entries</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 121: Pagination</a>                              | Error! Bookmark not defined. |
| <a href="#">Diagram 122: Keyword Search</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 123: List of Appeal Application</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 124: Appeal Revocation / Deregistration page</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 125: Confirmation Message</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 126: Error Message</a>                           | Error! Bookmark not defined. |
| <a href="#">Diagram 127: Confirmation Message</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 128: Confirmation Message</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 129: Log Tab</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 130: Consultant Menu</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 131: Consultant's Submenu</a>                    | Error! Bookmark not defined. |
| <a href="#">Diagram 132: List of Appeal Application</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 133: Filter</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 134: Entries</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 135: Pagination</a>                              | Error! Bookmark not defined. |
| <a href="#">Diagram 136: Keyword Search</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 137: List of Appeal Application</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 138: Appeal Revocation / Deregistration page</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 139: Confirmation Message</a>                    | Error! Bookmark not defined. |

|                                                                                   |                                                                        |                                        |                                     |                       |                         |                    |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|--------------------|
|  | <b>Project</b><br>Federation of Investment<br>Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>xii |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|--------------------|

|                                                                    |                              |
|--------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 140: Erro Message</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 141: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 142: Error Message</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 143: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 144: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 145: Log Tab</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 146: Consultant Menu</a>                       | Error! Bookmark not defined. |
| <a href="#">Diagram 147: Consultant's Submenu</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 148: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 149: Filter</a>                                | Error! Bookmark not defined. |
| <a href="#">Diagram 150: Entries</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 151: Pagination</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 152: Keyword Search</a>                        | Error! Bookmark not defined. |
| <a href="#">Diagram 153: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 154: Appeal Fee Waiver application details</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 155: Field for FIMM RD</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 156: Tab Log</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 157: Comment field</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 158: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 159: Successful Application Message</a>        | Error! Bookmark not defined. |
| <a href="#">Diagram 160: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 161: Error Message</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 162: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 163: Appeal Fee Waiver application details</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 164: Field for FIMM RD</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 165: Tab Log</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 166: Consultant Menu</a>                       | Error! Bookmark not defined. |
| <a href="#">Diagram 167: Consultant's Submenu</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 168: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 169: Filter</a>                                | Error! Bookmark not defined. |
| <a href="#">Diagram 170: Entries</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 171: Pagination</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 172: Keyword Search</a>                        | Error! Bookmark not defined. |
| <a href="#">Diagram 173: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 174: Appeal Fee Waiver application details</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 175: Field for FIMM RD</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 176: Tab Log</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 177: Comment field</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 178: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 179: Successful Application Message</a>        | Error! Bookmark not defined. |
| <a href="#">Diagram 180: Confirmation Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 181: Error Message</a>                         | Error! Bookmark not defined. |
| <a href="#">Diagram 182: List of Appeal Application</a>            | Error! Bookmark not defined. |
| <a href="#">Diagram 183: Appeal Fee Waiver application details</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 184: Field for FIMM RD</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 185: Tab Log</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 186: Consultant Menu</a>                       | Error! Bookmark not defined. |
| <a href="#">Diagram 187: Consultant's Submenu</a>                  | Error! Bookmark not defined. |

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xiii |

|                                                                           |                              |
|---------------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 188: List of Appeal Application</a> .....             | Error! Bookmark not defined. |
| <a href="#">Diagram 189: Filter</a> .....                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 190: Entries</a> .....                                | Error! Bookmark not defined. |
| <a href="#">Diagram 191: Pagination</a> .....                             | Error! Bookmark not defined. |
| <a href="#">Diagram 192: Keyword Search</a> .....                         | Error! Bookmark not defined. |
| <a href="#">Diagram 193: List of Appeal Application</a> .....             | Error! Bookmark not defined. |
| <a href="#">Diagram 194: Appeal Fee Waiver application details</a> .....  | Error! Bookmark not defined. |
| <a href="#">Diagram 195: Field For FIMM Internal Use</a> .....            | Error! Bookmark not defined. |
| <a href="#">Diagram 196: Tab Log</a> .....                                | Error! Bookmark not defined. |
| <a href="#">Diagram 197: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 198: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 199: Successful Application Message</a> .....         | Error! Bookmark not defined. |
| <a href="#">Diagram 200: Error Message</a> .....                          | Error! Bookmark not defined. |
| <a href="#">Diagram 201: Grounds of Rejection</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 202: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 203: Consultant Menu</a> .....                        | Error! Bookmark not defined. |
| <a href="#">Diagram 204: Consultant's Submenu</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 205: List of Deregistration Application</a> .....     | Error! Bookmark not defined. |
| <a href="#">Diagram 206: Filter</a> .....                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 207: Entries</a> .....                                | Error! Bookmark not defined. |
| <a href="#">Diagram 208: Pagination</a> .....                             | Error! Bookmark not defined. |
| <a href="#">Diagram 209: Keyword Search</a> .....                         | Error! Bookmark not defined. |
| <a href="#">Diagram 210: List of Deregistration Application</a> .....     | Error! Bookmark not defined. |
| <a href="#">Diagram 211: Deregistration Details section</a> .....         | Error! Bookmark not defined. |
| <a href="#">Diagram 212: Consultant Deregistration List section</a> ..... | Error! Bookmark not defined. |
| <a href="#">Diagram 213: Comment and FIMM Internal Use section</a> .....  | Error! Bookmark not defined. |
| <a href="#">Diagram 214: Submit Deregistration Application</a> .....      | Error! Bookmark not defined. |
| <a href="#">Diagram 215: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 216: Return Application Scenario</a> .....            | Error! Bookmark not defined. |
| <a href="#">Diagram 217: Error Message</a> .....                          | Error! Bookmark not defined. |
| <a href="#">Diagram 218: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 219: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 220: Log Tab</a> .....                                | Error! Bookmark not defined. |
| <a href="#">Diagram 221: Consultant Menu</a> .....                        | Error! Bookmark not defined. |
| <a href="#">Diagram 222: Consultant's Submenu</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 223: List of Deregistration Application</a> .....     | Error! Bookmark not defined. |
| <a href="#">Diagram 224: Filter</a> .....                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 225: Entries</a> .....                                | Error! Bookmark not defined. |
| <a href="#">Diagram 226: Pagination</a> .....                             | Error! Bookmark not defined. |
| <a href="#">Diagram 227: Keyword Search</a> .....                         | Error! Bookmark not defined. |
| <a href="#">Diagram 228: List of Deregistration Application</a> .....     | Error! Bookmark not defined. |
| <a href="#">Diagram 229: Deregistration Details section</a> .....         | Error! Bookmark not defined. |
| <a href="#">Diagram 230: Consultant Deregistration List section</a> ..... | Error! Bookmark not defined. |
| <a href="#">Diagram 231: Comment and FIMM Internal Use section</a> .....  | Error! Bookmark not defined. |
| <a href="#">Diagram 232: Submit Deregistration Application</a> .....      | Error! Bookmark not defined. |
| <a href="#">Diagram 233: Confirmation Message</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 234: Return Application Scenario</a> .....            | Error! Bookmark not defined. |
| <a href="#">Diagram 235: Confirmation Message</a> .....                   | Error! Bookmark not defined. |

|                                                                                                                                        |                                                                     |                                        |                                     |                       |                         |                    |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|--------------------|
| <br>Federation of Investment Managers Malaysia (FIMM) | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>xiv |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|--------------------|

|                                                                                        |                              |
|----------------------------------------------------------------------------------------|------------------------------|
| <a href="#"><u>Diagram 236: Confirmation Message</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 237: Log Tab</u></a> .....                                      | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 238: Consultant Menu</u></a> .....                              | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 239: Consultant's Submenu</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 240: List of Deregistration Application</u></a> .....           | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 241: Filter</u></a> .....                                       | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 242: Entries</u></a> .....                                      | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 243: Pagination</u></a> .....                                   | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 244: Keyword Search</u></a> .....                               | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 245: List of Deregistration Application</u></a> .....           | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 246: Deregistration Details section</u></a> .....               | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 247: Consultant Deregistration List section</u></a> .....       | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 248: Comment and FIMM Internal Use section</u></a> .....        | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 249: Submit Deregistration Application</u></a> .....            | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 250: Confirmation Message</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 251: Return Application Scenario</u></a> .....                  | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 252: Confirmation Message</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 253: Confirmation Message</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 254: Successful Message</u></a> .....                           | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 255: Confirmation Message</u></a> .....                         | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 256: Log Tab</u></a> .....                                      | Error! Bookmark not defined. |
| <a href="#"><u>Diagram 257: Consultant Menu</u></a> .....                              | 26                           |
| <a href="#"><u>Diagram 258: Consultant's Submenu</u></a> .....                         | 27                           |
| <a href="#"><u>Diagram 259: List of Consultant</u></a> .....                           | 27                           |
| <a href="#"><u>Diagram 260: Filter</u></a> .....                                       | 28                           |
| <a href="#"><u>Diagram 261: Entries</u></a> .....                                      | 28                           |
| <a href="#"><u>Diagram 262: Pagination</u></a> .....                                   | 28                           |
| <a href="#"><u>Diagram 263: Keyword Search</u></a> .....                               | 29                           |
| <a href="#"><u>Diagram 264: List of Consultant</u></a> .....                           | 29                           |
| <a href="#"><u>Diagram 265: Consultant Profile</u></a> .....                           | 29                           |
| <a href="#"><u>Diagram 266: Consultant's Profile page</u></a> .....                    | 30                           |
| <a href="#"><u>Diagram 267: Successful Message</u></a> .....                           | 30                           |
| <a href="#"><u>Diagram 268: Consultant Details section</u></a> .....                   | 31                           |
| <a href="#"><u>Diagram 269: Revocation Details section</u></a> .....                   | 31                           |
| <a href="#"><u>Diagram 270: Revocation Type – Bankruptcy</u></a> .....                 | 32                           |
| <a href="#"><u>Diagram 271: Revocation Type - Background Screening</u></a> .....       | 33                           |
| <a href="#"><u>Diagram 272: Revocation Type - Non-Compliance</u></a> .....             | 33                           |
| <a href="#"><u>Diagram 273: Revocation Type - Instruction from Authority</u></a> ..... | 34                           |
| <a href="#"><u>Diagram 274: Confirmation Message</u></a> .....                         | 34                           |
| <a href="#"><u>Diagram 275: Successful Message</u></a> .....                           | 34                           |
| <a href="#"><u>Diagram 276: Error Message</u></a> .....                                | 35                           |
| <a href="#"><u>Diagram 277: Successful Message</u></a> .....                           | 35                           |
| <a href="#"><u>Diagram 278: Confirmation Message</u></a> .....                         | 35                           |
| <a href="#"><u>Diagram 279: Successful Message</u></a> .....                           | 36                           |
| <a href="#"><u>Diagram 280: Confirmation Message</u></a> .....                         | 36                           |
| <a href="#"><u>Diagram 281: Consultant's Submenu</u></a> .....                         | 37                           |
| <a href="#"><u>Diagram 282: List of Revocation Application</u></a> .....               | 37                           |
| <a href="#"><u>Diagram 283: Filter</u></a> .....                                       | 38                           |



|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xv   |

|                                                                       |                              |
|-----------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 284: Entries</a>                                  | 38                           |
| <a href="#">Diagram 285: Pagination</a>                               | 38                           |
| <a href="#">Diagram 286: Keyword Search</a>                           | 39                           |
| <a href="#">Diagram 287: List of Revocation Application</a>           | 39                           |
| <a href="#">Diagram 288: Consultant's Revocation Application page</a> | 40                           |
| <a href="#">Diagram 289: Log Tab</a>                                  | 41                           |
| <a href="#">Diagram 290: Consultant Menu</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 291: Consultant's Submenu</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 292: List of Revocation Application</a>           | Error! Bookmark not defined. |
| <a href="#">Diagram 293: Filter</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 294: Entries</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 295: Pagination</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 296: Keyword Search</a>                           | Error! Bookmark not defined. |
| <a href="#">Diagram 297: List of Revocation Application</a>           | Error! Bookmark not defined. |
| <a href="#">Diagram 298: Consultant Details section</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 299: Revocation Details section</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 300: FIMM Internal Use section</a>                | Error! Bookmark not defined. |
| <a href="#">Diagram 301: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 302: Successful Message</a>                       | Error! Bookmark not defined. |
| <a href="#">Diagram 303: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 304: Error Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 305: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 306: Log Tab</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 307: Consultant Menu</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 308: Consultant's Submenu</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 309: List of Revocation Application</a>           | Error! Bookmark not defined. |
| <a href="#">Diagram 310: Filter</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 311: Entries</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 312: Pagination</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 313: Keyword Search</a>                           | Error! Bookmark not defined. |
| <a href="#">Diagram 314: List of Revocation Application</a>           | Error! Bookmark not defined. |
| <a href="#">Diagram 315: Consultant Details section</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 316: Revocation Details section</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 317: FIMM Internal Use section</a>                | Error! Bookmark not defined. |
| <a href="#">Diagram 318: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 319: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 320: Error Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 321: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 322: Error Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 323: Confirmation Message</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 324: Log Tab</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 325: Consultant Menu</a>                          | Error! Bookmark not defined. |
| <a href="#">Diagram 326: Submenu 'Registration Application'</a>       | Error! Bookmark not defined. |
| <a href="#">Diagram 327: List of Email Change Request</a>             | Error! Bookmark not defined. |
| <a href="#">Diagram 328: Filter</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 329: Entries</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 330: Pagination</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 331: List of Email Change Request</a>             | Error! Bookmark not defined. |

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xvi  |

|                                                                              |                              |
|------------------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 332: Consultant's Detail</a>                             | Error! Bookmark not defined. |
| <a href="#">Diagram 333: Email Change Request page</a>                       | Error! Bookmark not defined. |
| <a href="#">Diagram 334: Confirmation Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 335: Successful Application Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 336: Confirmation Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 337: Grounds of Rejection</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 338: Error Message</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 339: Consultant Menu</a>                                 | Error! Bookmark not defined. |
| <a href="#">Diagram 340: Submenu 'Profile Maintenance'</a>                   | Error! Bookmark not defined. |
| <a href="#">Diagram 341: List of Profile Update application</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 342: Filter</a>                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 343: Entries</a>                                         | Error! Bookmark not defined. |
| <a href="#">Diagram 344: Pagination</a>                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 345: Keyword Search</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 346: List of Applications</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 347: Malaysian Profile Details section</a>               | Error! Bookmark not defined. |
| <a href="#">Diagram 348: Non - Malaysian Profile Details section</a>         | Error! Bookmark not defined. |
| <a href="#">Diagram 349: Academic Qualification section</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 350: Scheme Selection section</a>                        | Error! Bookmark not defined. |
| <a href="#">Diagram 351: Type of Registration - Examination</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 352: Type of Registration - Exemption</a>                | Error! Bookmark not defined. |
| <a href="#">Diagram 353: Screening Section</a>                               | Error! Bookmark not defined. |
| <a href="#">Diagram 354: Others Section</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 355: Comment Box</a>                                     | Error! Bookmark not defined. |
| <a href="#">Diagram 356: Confirmation Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 357: Error Message</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 358: Successful Message</a>                              | Error! Bookmark not defined. |
| <a href="#">Diagram 359: Confirmation Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 360: Grounds of Rejection</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 361: Error Message</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 362: Confirmation Message</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 363: Successful Application Message</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 364: Failed CAS Screening</a>                            | Error! Bookmark not defined. |
| <a href="#">Diagram 365: Failed Bankruptcy Screening</a>                     | Error! Bookmark not defined. |
| <a href="#">Diagram 366: List of Update Profile applications</a>             | Error! Bookmark not defined. |
| <a href="#">Diagram 367: Returned – RD</a>                                   | Error! Bookmark not defined. |
| <a href="#">Diagram 368: Consultant Submenu for FIMM RD</a>                  | Error! Bookmark not defined. |
| <a href="#">Diagram 369: Consultant Submenu for FIMM HOD RD</a>              | Error! Bookmark not defined. |
| <a href="#">Diagram 370: Submenu 'Consultant Management' for FIMM RD</a>     | Error! Bookmark not defined. |
| <a href="#">Diagram 371: Submenu 'Consultant Management' for FIMM HOD RD</a> | Error! Bookmark not defined. |
| <a href="#">Diagram 372: List of Consultant</a>                              | Error! Bookmark not defined. |
| <a href="#">Diagram 373: Filter</a>                                          | Error! Bookmark not defined. |
| <a href="#">Diagram 374: Entries</a>                                         | Error! Bookmark not defined. |
| <a href="#">Diagram 375: Pagination</a>                                      | Error! Bookmark not defined. |
| <a href="#">Diagram 376: Keyword Search</a>                                  | Error! Bookmark not defined. |
| <a href="#">Diagram 377: List of Consultant</a>                              | Error! Bookmark not defined. |

|                                                                                                                                        |                                                                     |                                        |                                     |                       |                         |                     |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|---------------------|
| <br>Federation of Investment Managers Malaysia (FIMM) | <b>Project</b><br>Federation of Investment Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>xvii |
|----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|---------------------|

|                                                                      |                              |
|----------------------------------------------------------------------|------------------------------|
| <a href="#">Diagram 378: Consultant's Profile</a> .....              | Error! Bookmark not defined. |
| <a href="#">Diagram 379: 'Tagging' tab</a> .....                     | Error! Bookmark not defined. |
| <a href="#">Diagram 380: List of Tagging</a> .....                   | Error! Bookmark not defined. |
| <a href="#">Diagram 381: Filter</a> .....                            | Error! Bookmark not defined. |
| <a href="#">Diagram 382: Entries</a> .....                           | Error! Bookmark not defined. |
| <a href="#">Diagram 383: Pagination</a> .....                        | Error! Bookmark not defined. |
| <a href="#">Diagram 384: Keyword Search</a> .....                    | Error! Bookmark not defined. |
| <a href="#">Diagram 385: Add Tag box</a> .....                       | Error! Bookmark not defined. |
| <a href="#">Diagram 386: Confirmation Message</a> .....              | Error! Bookmark not defined. |
| <a href="#">Diagram 387: Error Message</a> .....                     | Error! Bookmark not defined. |
| <a href="#">Diagram 388: Submenu 'Tagging' for FIMM RD</a> .....     | Error! Bookmark not defined. |
| <a href="#">Diagram 389: Submenu 'Tagging' for FIMM HOD RD</a> ..... | Error! Bookmark not defined. |
| <a href="#">Diagram 390: List of Tagged Consultants</a> .....        | Error! Bookmark not defined. |
| <a href="#">Diagram 391: Consultant's Profile</a> .....              | Error! Bookmark not defined. |
| <a href="#">Diagram 392: Tagging tab</a> .....                       | Error! Bookmark not defined. |

## LIST OF TABLES

|                                                        |     |
|--------------------------------------------------------|-----|
| <a href="#">Table 1: Acronym Table</a> .....           | xx  |
| <a href="#">Table 2: Abbreviation Role Table</a> ..... | xxi |

|  | Project                                           | Reference          | File                 | Version | Date     | Page  |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|-------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xviii |

## ACRONYM

| ACRONYM | DESCRIPTION                                                 |
|---------|-------------------------------------------------------------|
| AAR     | Alternate Authorized Representative                         |
| AMLCFT  | Anti-Money Laundering/Combating the Financing of Terrorism  |
| AMSF    | Annual Membership Subscription Fee                          |
| AR      | Authorized Representative                                   |
| AUM     | Asset Under Management                                      |
| BOD     | Board of Directors                                          |
| CAS     | Consultant Alert                                            |
| CEILLI  | Certificate Examination in Investment-Linked Life Insurance |
| CEO     | Chief Executive Officer                                     |
| CFP     | Certified Financial Planner                                 |
| ChFC    | Chartered Financial Consultant                              |
| CMSRL   | Capital Market Services Representative License              |
| CPD     | Continuing Professional Development                         |
| CPRA    | Corporate Private Retirement Scheme Adviser                 |
| CPRE    | Computerized Private Retirement Scheme Examination          |
| CSD     | Corporate Services Division                                 |
| CUTA    | Corporate UTS Adviser                                       |
| CUTE    | Computerized Unit Trust Examination                         |
| DMS     | Document Management Storage                                 |
| FIMM    | Federation of Investment Managers Malaysia                  |
| FMS     | Funds Malaysia System                                       |
| GM      | General Manager                                             |



|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xix  |

| ACRONYM | DESCRIPTION                                     |
|---------|-------------------------------------------------|
| HOD     | Head of Department                              |
| ID      | Industry Development                            |
| IFP     | Islamic Financial Planner                       |
| IPRA    | Institutional Private Retirement Scheme Adviser |
| ISD     | Industry Services Division                      |
| IUTA    | Institutional Unit Trust Scheme Adviser         |
| KYC     | Know Your Customer                              |
| LRA     | Legal and Regulatory Affairs                    |
| MOF     | Ministry of Finance                             |
| NAV     | Net Asset Value                                 |
| NRIC    | National Registration Identity Card             |
| OTP     | One Time Password                               |
| PDS     | Professional Development and Services           |
| PRC     | Private Retirement Scheme Consultant            |
| PRP     | Private Retirement Scheme Provider              |
| PRS     | Private Retirement Scheme                       |
| R&A     | Research and Analytics                          |
| RD      | Registration Department                         |
| RFP     | Registered Financial Planner                    |
| RSD     | Regulatory Services Division                    |
| SC      | Security Commission Malaysia                    |
| SRFP    | Shariah Registered Financial Planner            |

| <br><small>Federation of Investment Managers Malaysia</small> | Project                                           | Reference          | File                 | Version | Date     | Page |
|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                                                                                | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xx   |

| ACRONYM | DESCRIPTION                      |
|---------|----------------------------------|
| SRS     | System Requirement Specification |
| SD      | Supervision Department           |
| UML     | Unified Modelling Language       |
| UTC     | Unit Trust Consultant            |
| UTMC    | Unit Trust Management Company    |
| UTS     | Unit Trust Scheme                |
| OR      | Official Receipt                 |
| CN      | Credit Note                      |
| IDD     | Integration Design Document      |

*Table 1: Acronym Table*

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | xxi  |

## ABBREVIATIONS ROLE

| Abbreviation | DESCRIPTION      |
|--------------|------------------|
| F-RD         | FIMM RD          |
| F-HRD        | RD Approver      |
| F-GRSD       | FIMM GM RSD      |
| F-RDR        | FIMM RD Reviewer |

Table 2: Abbreviation Role Table

|  <b>FIMM</b><br><small>Federation of Investment Managers Malaysia</small> | Project                                           | Reference          | File                 | Version | Date     | Page |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                                                                                            | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 22   |

## CHAPTER 1: INTRODUCTION

The **FCS System User Manual** is designed to provide users with a comprehensive guide to effectively utilizing the **FCS system**. This manual serves as a reference document to help users understand the system's functionalities, features, and processes to ensure smooth operation and efficient task completion.

By following the instructions in this manual, users will be able to navigate the system with ease, perform necessary actions, and troubleshoot common issues. The manual is structured to accommodate both new and existing users, offering clear step-by-step guidance for system access and usage.

### Purpose

The purpose of this manual is to equip users with the essential knowledge required to maximize the benefits of the **FCS system**. It provides:

- **A detailed overview of the system's functions and capabilities** to help users understand its key features.
- **Step-by-step instructions** on accessing and operating the system efficiently.
- **Guidelines on alternative modes of operation and contingencies** in case of system issues or errors.
- **Best practices and recommendations** for optimal system use.

This manual ensures that users can confidently navigate the system while maintaining security, accuracy, and efficiency in their tasks.

### Contact Information

If users require further assistance or encounter any issues while using the **FCS system**, they can contact the **Federation of Investment Managers Malaysia (FIMM)** for support.

#### Support Contact Details:

 **Email:** [itsupport@fimm.com.my](mailto:itsupport@fimm.com.my)

 **Website:** [www.fimm.com.my](http://www.fimm.com.my)

|                                                                                   |                                                                        |                                        |                                     |                       |                         |                   |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|
|  | <b>Project</b><br>Federation of Investment<br>Managers Malaysia (FIMM) | <b>Reference</b><br>ZANKO/FIMM/UM/V0.1 | <b>File</b><br>User Manual Document | <b>Version</b><br>1.0 | <b>Date</b><br>24/03/25 | <b>Page</b><br>23 |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------|-------------------------------------|-----------------------|-------------------------|-------------------|

## CHAPTER 2: GENERAL SYSTEM INSTRUCTION

### User Log in

The FCS system application is accessible only to registered users. Each user will be provided with a unique User ID and password to log in securely.

To access the system, users must navigate to the **main login page** (<https://fcs.fimm.com.my>) and enter their credentials. For first-time users, an initial login setup may be required to activate their accounts.

For security reasons:

- Users should keep their login credentials confidential.
- Passwords should be changed periodically to enhance security.
- In case of forgotten credentials, users can use the **"Forgot Password?"** option to reset their password.

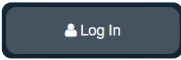
### Steps to Open the FCS System Website:

1. **Launch your web browser** (Google Chrome, Mozilla Firefox, Microsoft Edge, etc.)
2. **Enter the FCS System URL** in the address bar and press **Enter**.
3. The **login page** will appear, allowing users to enter their credentials.

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 24   |

## Log in

### Access the Login Page

1. On the homepage, locate the 'Log in'  button and click it.
2. In the **User ID** field, enter your registered **User ID**.
3. In the **Password** field, enter your **password**.

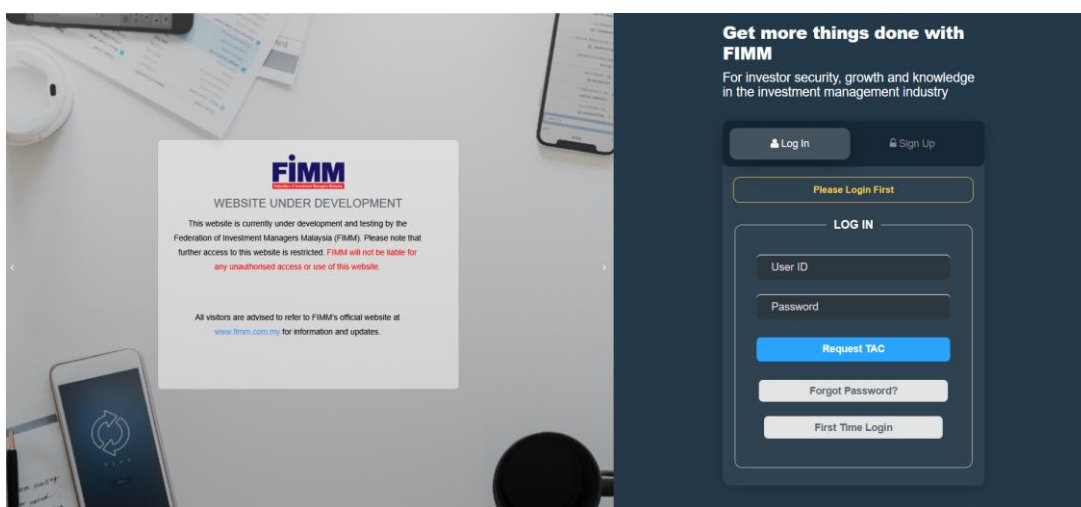


Diagram 1: FCS Homepage Display

### Enter Your Credentials

4. System will show sign in page, User need to insert this item
  - User ID
  - Password
  - TAC

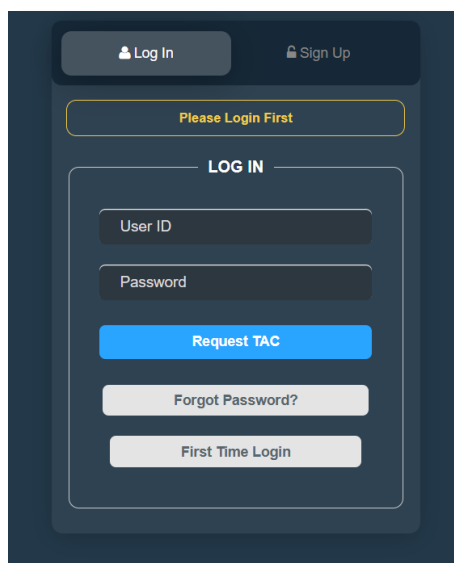


Diagram 2: Log in Display



| <br><small>Federation of Investment Managers Malaysia</small> | Project                                           | Reference          | File                 | Version | Date     | Page |
|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                                                                                | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 25   |

## Successful Login

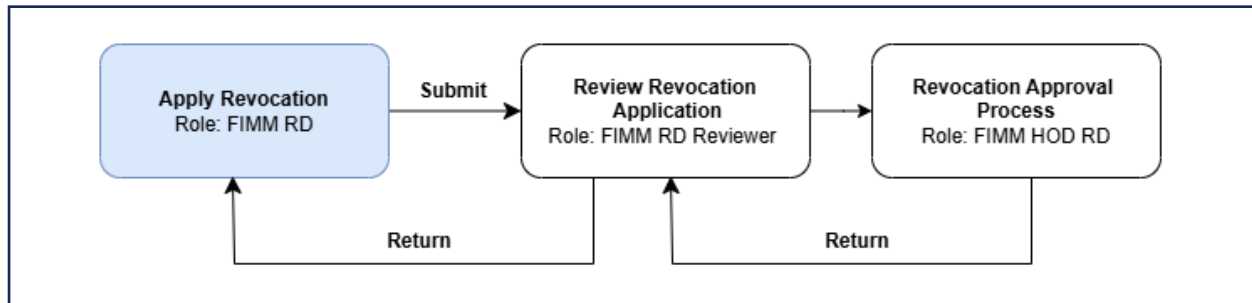
- Click  button and the system will be redirected to the FCS System dashboard.

| <b>FIMM</b><br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                           | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 26   |

## 3.1 Deactivation by FIMM

### 3.1.1 Revocation Application by FIMM RD

#### 3.1.1.1 Process Flow



#### 3.1.1.2 Manual Steps

1. FIMM RD click menu 'Consultant'. System will display list of submenus for Consultant.

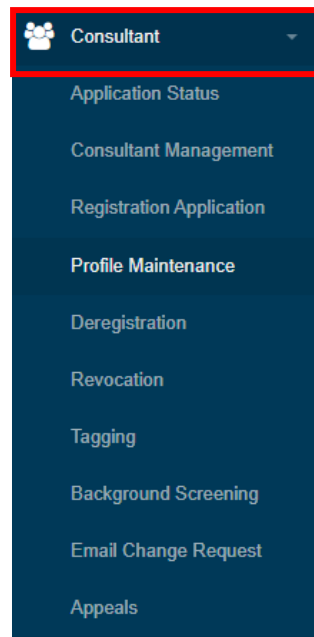


Diagram 3: Consultant Menu

2. User click submenu 'Consultant Management'.

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FiMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 27   |

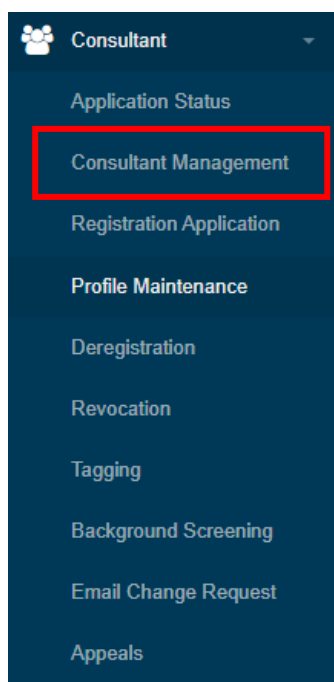


Diagram 4: Consultant's Submenu

3. System will display List of Consultant listing table which contain these columns:

- i. No
- ii. Distributor Name
- iii. Consultant Name
- iv. NRIC/Passport No.
- v. FIMM No.
- vi. Scheme
- vii. Email
- viii. Phone No
- ix. Registration Status
- x. Action

| NO | DISTRIBUTOR NAME             | CONSULTANT NAME  | NRIC/PASSPORT NO | FIMM NO   | SCHEME | EMAIL                      | PHONE NO      | REGISTRATION STATUS | ACTION |
|----|------------------------------|------------------|------------------|-----------|--------|----------------------------|---------------|---------------------|--------|
| 1  | HERITAGE WEALTH DISTRIBUTORS | Nandini Krishnan | 850517055678     | F02001998 | PRS    | nandinifat@yopmail.com     | +60142656821  | Active              |        |
| 2  | MENTARI BERHAD               | Chen Li Kiew (W) | H78904321        | F01002008 | PRS    | lkiewum@yopmail.com        | +60142656821  | Revoked             |        |
| 3  | RENEWAL DISTRIBUTORA         | RENEWAL CONS 27  | 991020010127     | F01001989 | PRS    | renewal_cons27@yopmail.com | +601124246549 | Active              |        |

Diagram 5: List of Consultant

4. System will display filter function as follows:

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 28   |

- i. Distributor Name
- ii. NRIC/Passport No
- iii. Consultant Name
- iv. FIMM No
- v. Phone No
- vi. Email
- vii. Scheme
- viii. Registration Status

Diagram 6: Filter form showing input fields for Distributor Name, NRIC / Passport No, Consultant Name, FIMM No, Phone No, Email, Scheme, and Registration Status. It includes a 'Reset' button and a 'Find' button.

Diagram 6: Filter

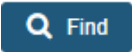
5. FIMM RD input in the filter and click on  button and system will display the listing table based on user input in the filter.
6. User can choose total records to display per page from dropdown. System will display the list based on total records chosen.

Diagram 7: Entries dropdown menu showing options for 'Show' entries: 10, 25, 50, 100. The '10' option is selected.

Diagram 7: Entries

7. FIMM RD can click button 'Previous' or 'Next' to navigate to next listing page. System will display the next/previous listing page.

Diagram 8: Pagination controls showing buttons for 'Previous', '1', '2', '3', '4', '5', '...', '43', and 'Next'.

Diagram 8: Pagination

8. User can filter the list by keyword by inputting the keyword in search box. System will display record which contain the keyword.



| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 29   |

Show  entries Search:

| NO | DISTRIBUTOR NAME             | CONSULTANT NAME  | NRIC/PASSPORT NO | FIMM NO   | SCHEME | EMAIL                  | PHONE NO     | REGISTRATION STATUS | ACTION |
|----|------------------------------|------------------|------------------|-----------|--------|------------------------|--------------|---------------------|--------|
| 1  | HERITAGE WEALTH DISTRIBUTORS | Nandini Krishnan | 850517055678     | F02001998 | PRS    | nandinifat@yopmail.com | +60142656821 | Active              |        |
| 2  | MENTARI BERHAD               | Chen Li Kiew (W) | H78904321        | F01002008 | PRS    | likiewum@yopmail.com   | +60142656821 | Revoked             |        |

Diagram 9: Keyword Search

9. FIMM RD user click under column Action.

| NO | DISTRIBUTOR NAME             | CONSULTANT NAME  | NRIC/PASSPORT NO | FIMM NO   | SCHEME | EMAIL                  | PHONE NO     | REGISTRATION STATUS | ACTION |
|----|------------------------------|------------------|------------------|-----------|--------|------------------------|--------------|---------------------|--------|
| 1  | HERITAGE WEALTH DISTRIBUTORS | Nandini Krishnan | 850517055678     | F02001998 | PRS    | nandinifat@yopmail.com | +60142656821 | Active              |        |
| 2  | MENTARI BERHAD               | Chen Li Kiew (W) | H78904321        | F01002008 | PRS    | likiewum@yopmail.com   | +60142656821 | Revoked             |        |

Diagram 10: List of Consultant

10. System will navigate to page Consultant Profile.

FIMM > Consultant > Consultant Management

Registration Info Profile CPD Tagging History

**Registration Info**

**1. Profile**

Name: NANDINI KRISHNAN FIMM Virtual Card

NRIC / Passport No: 850517055678 FIMM No: F02001998

FIMM Joined Date: 07-MAR-2025

**2. Apprenticeship Programme**

**3. Unit Trust Scheme**

**4. Private Retirement Scheme**

Distributor Name: HERITAGE WEALTH DISTRIBUTORS

Distributor Joined Date: 07-MAR-2025

Registration Status: ACTIVE

Diagram 11: Consultant Profile

| <b>FIMM</b><br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                           | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 30   |

11. Under tab Profile, FIMM RD user click  (navigation menu) button.

System will display list of action user able to click as follows:

- i. Revocation
- ii. Background Screening

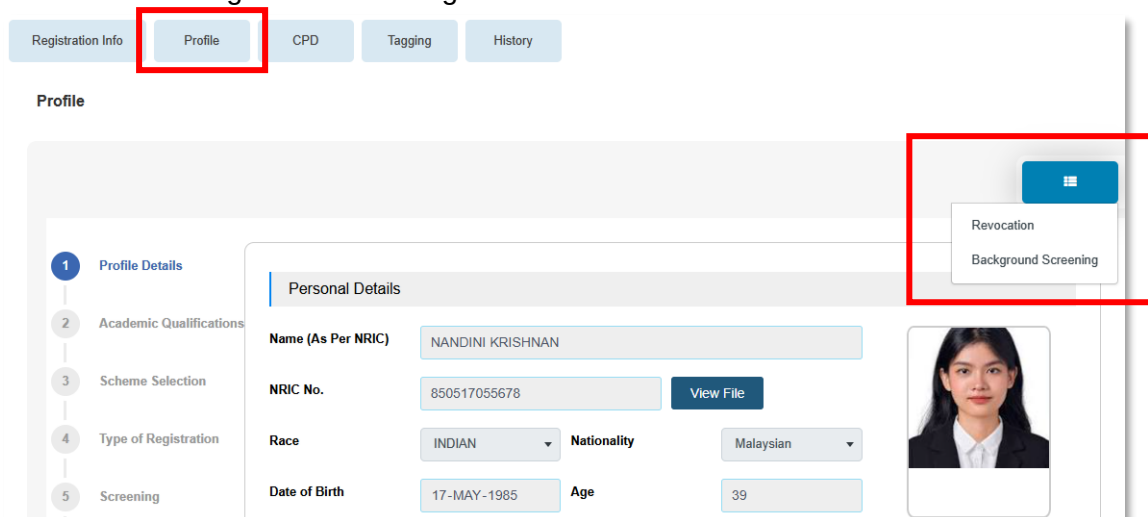


Diagram 12: Consultant's Profile page

12. FIMM RD user click Revocation in the navigation menu. System will prompt message "Revocation Application has been successfully created".

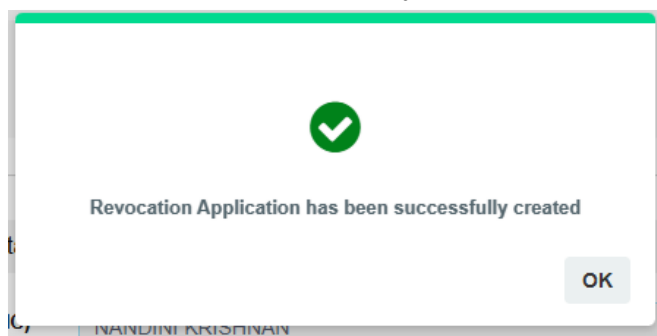


Diagram 13: Successful Message

13. FIMM RD click . System will navigate to page Revocation and display revocation details of consultant by section as follows:

- i. Consultant Details section,
  - a. Consultant Name
  - b. NRIC/Passport No.
  - c. Scheme

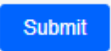
| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 31   |

Diagram 14: Consultant Details section

- ii. Revocation Details section, (User able to fill in these fields)
  - a. Revocation Type\* (Dropdown)
    - Bankruptcy
    - Background Screening
    - Non – Compliance
    - Instruction from Authority
  - b. Effective Date\* (Mandatory)
  - c. Upload Supporting Document (optional)
  - d. Reference
  - e. Grounds of Revocation

Diagram 15: Revocation Details section

- iii. System will also display buttons as follows:

- a. 
- b. 
- c. 

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 32   |

d. [Back](#)

14. Under Revocation Details section, at Revocation Type, if FIMM RD user choose:

i. Bankruptcy

a. System will make below field(s) become mandatory and user are required to fill the field(s):

- Bankrupt Date\*
- Upload Supporting Document\*
- Grounds of Revocation\*

The screenshot shows the 'Revocation Details' form. The 'Revocation Type\*' dropdown is set to 'Bankruptcy'. Below it, 'Bankrupt Date\*' is a date picker showing 'DD-MM-YYYY'. 'Effective Date\*' is another date picker showing 'DD-MM-YYYY'. 'Supporting Document\*' has a 'Choose Files' button and 'NO FILE CHOSEN' text. Below that is a 'Reference' text area. At the bottom is a 'Grounds of Revocation' text area. Red boxes highlight the 'Revocation Type\*', 'Bankrupt Date\*', 'Effective Date\*', 'Supporting Document\*', and 'Grounds of Revocation' fields.

Diagram 16: Revocation Type – Bankruptcy

ii. Background Screening

a. System will make below field(s) become mandatory and user are required to fill the field(s):

- Reference\* (Placeholder: i.e. Academic certificate)
- Grounds of Revocation\*



|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 33   |

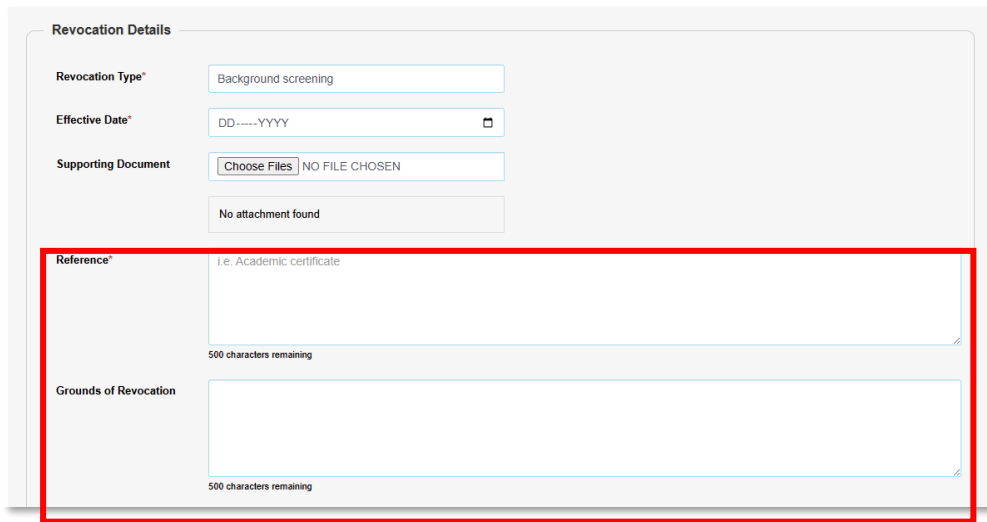


Diagram 17: Revocation Type - Background Screening

- iii. Non – Compliance
- System will make below field(s) become mandatory and user are required to fill the field(s):
    - Reference\* (Placeholder: i.e. FCR Rule 2.2.2(a))
    - Grounds of Revocation\*

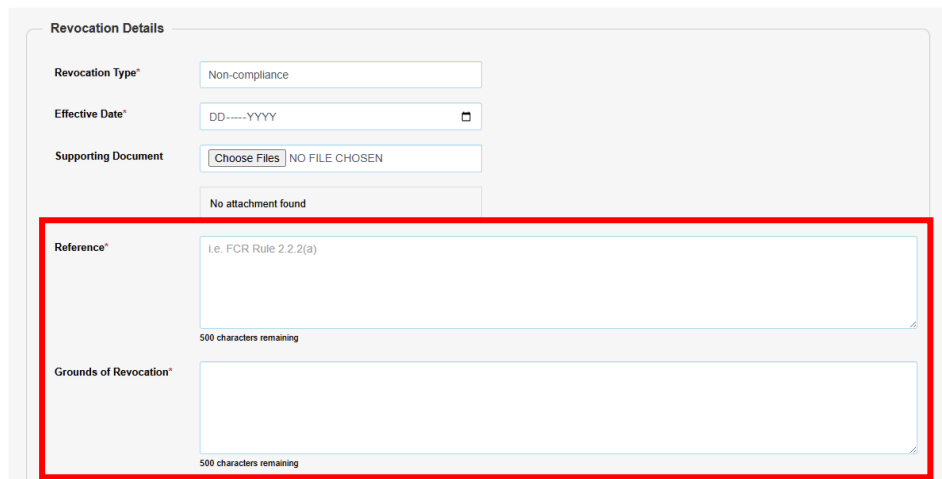


Diagram 18: Revocation Type - Non-Compliance

- iv. Instruction From Authority
- System will make below field(s) become mandatory and user are required to fill the field(s):
    - Authority\* (Dropdown: i.e.: SC / BNM / PDRM / MACC)
    - Upload Supporting Document\*
    - Grounds of Revocation \*

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 34   |

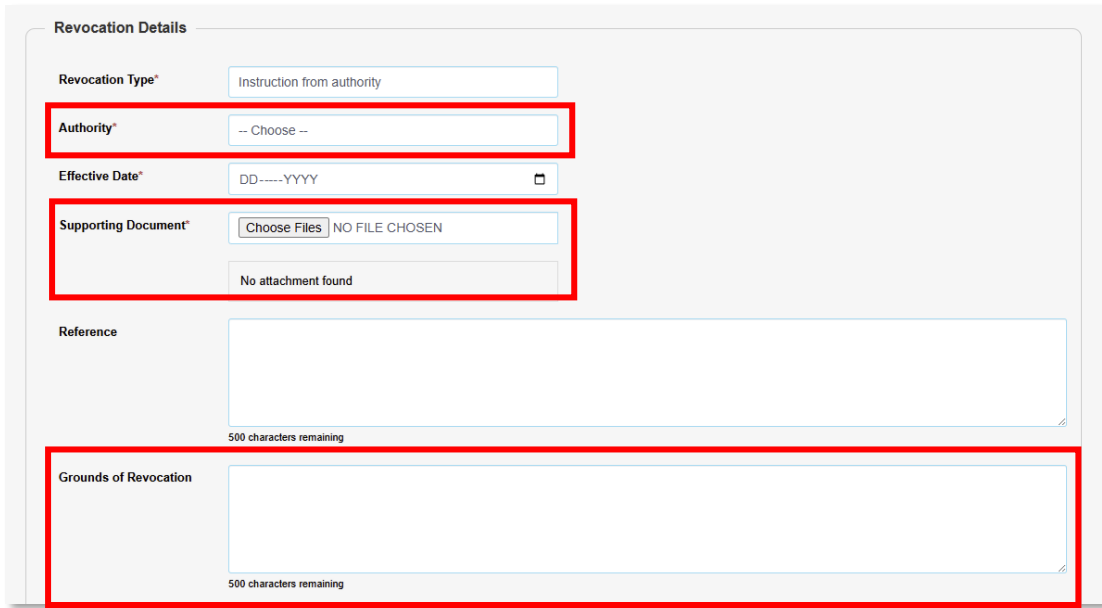


Diagram 19: Revocation Type - Instruction from Authority

15. To submit the application, FIMM RD user fill all necessary fields and click

**Submit**

- i. System will prompt a message “Confirm to proceed?”

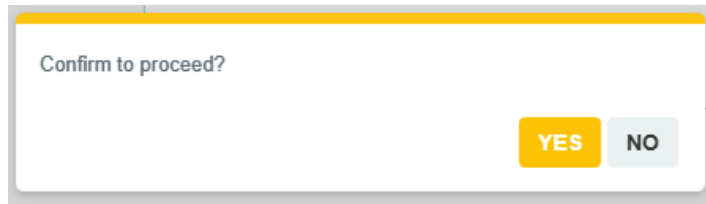


Diagram 20: Confirmation Message

- ii. If user click **YES**, system will prompt successful message “Revocation request Submitted!”.

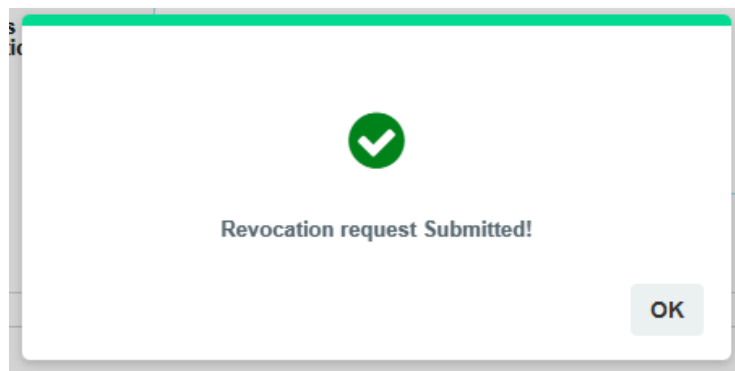


Diagram 21: Successful Message

|  | Project                                           | Reference          | File                 | Version | Date     | Page |
|-----------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                   | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 35   |

- iii. If user click **NO** , system will stay at current page.
- iv. If user does not fill in any mandatory fields, system will prompt message "Please fill in the mandatory field".

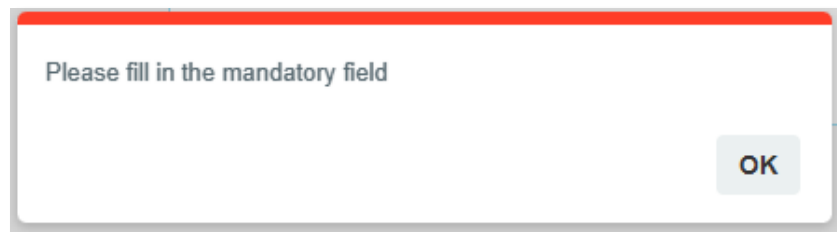


Diagram 22: Error Message

- 16. To save the application, FIMM RD user fill all necessary fields and click **Save** .
  - i. System will prompt a message "Saved as draft!".

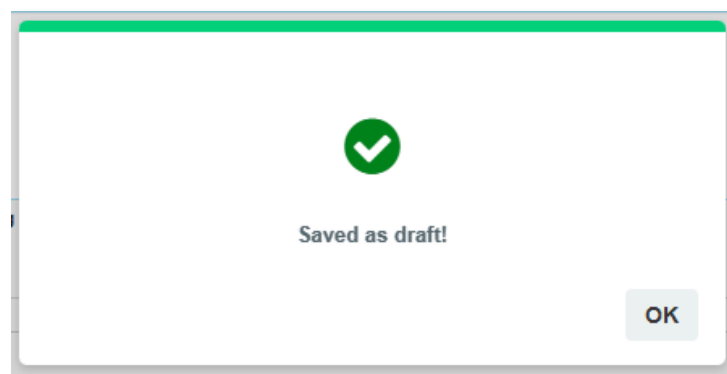


Diagram 23: Successful Message

- 17. To discard the application, FIMM RD user fill all necessary fields and click **Discard** button.
  - i. The system will prompt a message "Discarded draft cannot be recovered. Do you want to continue?"

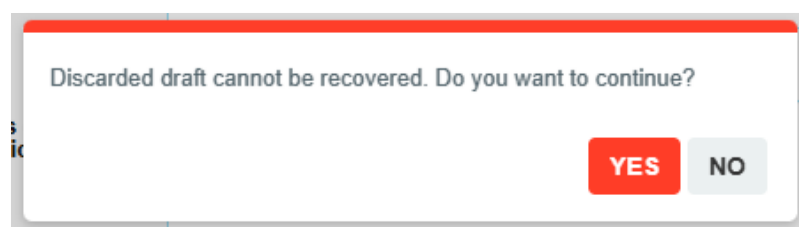


Diagram 24: Confirmation Message

- ii. If user click **YES** , system will prompt a message "Revocation request deleted!" and close the application.

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 36   |

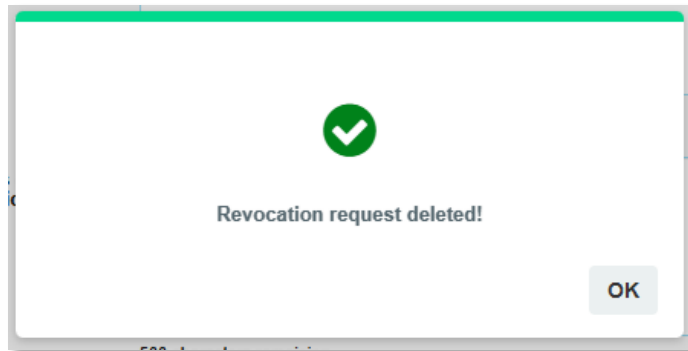


Diagram 25: Successful Message

- iii. If user click **NO**, system will stay at current page.

18. FIMM RD click **Back** button.

- i. If there are fields that had been filled in, system will prompt a message "Unsaved data will be lost. Do you want to continue?"

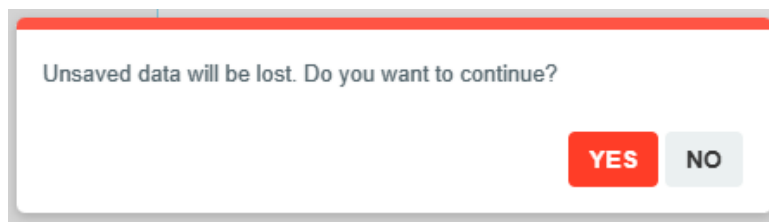


Diagram 26: Confirmation Message

- ii. If user click **YES**, system will discard all data that have entered by user and route back to previous page.
- iii. If user click **NO**, system will stay at current page.

19. FIMM RD click submenu 'Revocation'.

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 37   |

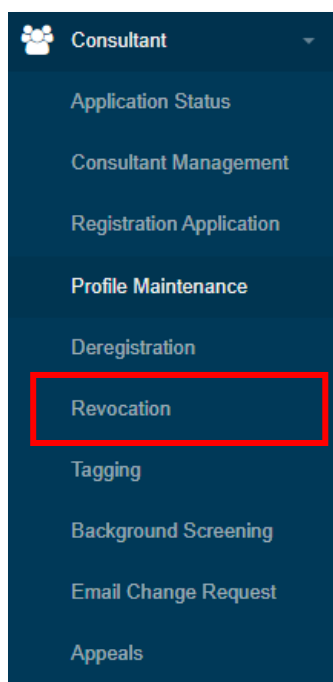


Diagram 27: Consultant's Submenu

20. System will display List of Revocation Application listing table which contain these columns:

- i. No
- ii. Submission Date
- iii. Distributor Name
- iv. Consultant Name
- v. NRIC/Passport No.
- vi. Scheme
- vii. Application Type
- viii. Effective Date
- ix. Status
- x. Action

| NO | SUBMISSION DATE | DISTRIBUTOR NAME                  | CONSULTANT NAME  | NRIC/PASSPORT NO | SCHEME | APPLICATION TYPE           | EFFECTIVE DATE | STATUS   | ACTION |
|----|-----------------|-----------------------------------|------------------|------------------|--------|----------------------------|----------------|----------|--------|
| 1  |                 | HERITAGE WEALTH DISTRIBUTORS      | Nandini Krishnan | 850517055678     | PRS    | Instruction from authority | 08-Mar-2025    | Draft    |        |
| 2  | 06-Mar-2025     | MENTARI BERHAD                    | Chen Li Kiew (W) | H78904321        | PRS    | Instruction from authority | 06-Mar-2025    | Approved |        |
| 3  | 21-Feb-2025     | Test Divest 16 (UTMC PRSP & IPRA) | Cons 110         | 740404044110     | UTS    | Bankruptcy                 | 20-Feb-2025    | Rejected |        |

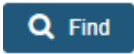
Diagram 28: List of Revocation Application

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 38   |

21. System will display filter function as follows:

- i. Consultant Name
- ii. NRIC/Passport No
- iii. Distributor Name
- iv. Revocation Type
- v. Scheme
- vi. Status
- vii. FIMM No
- viii. Registration Status
- ix. Submission Date

Diagram 29: Filter

22. FIMM RD input in the filter and click on  button and system will display the listing table based on user input in the filter.

23. User can choose total records to display per page from dropdown. System will display the list based on total records chosen.

Diagram 30: Entries

24. FIMM RD can click button 'Previous' or 'Next' to navigate to next listing page. System will display the next/previous listing page.

Diagram 31: Pagination

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 39   |

25. User can filter the list by keyword by inputting the keyword in search box. System will display record which contain the keyword.

Show  entries

Search:

| NO | SUBMISSION DATE | DISTRIBUTOR NAME             | CONSULTANT NAME  | NRIC/PASSPORT NO | SCHEME | APPLICATION TYPE           | EFFECTIVE DATE | STATUS   | ACTION                                                                              |
|----|-----------------|------------------------------|------------------|------------------|--------|----------------------------|----------------|----------|-------------------------------------------------------------------------------------|
| 1  |                 | HERITAGE WEALTH DISTRIBUTORS | Nandini Krishnan | 850517055678     | PRS    | Instruction from authority | 08-Mar-2025    | Draft    |  |
| 2  | 06-Mar-2025     | MENTARI BERHAD               | Chen Li Kiew (W) | H78904321        | PRS    | Instruction from authority | 06-Mar-2025    | Approved |  |

Diagram 32: Keyword Search

26. FIMM RD click  or  in the Action column in the List of Revocation Application listing table.

| NO | SUBMISSION DATE | DISTRIBUTOR NAME             | CONSULTANT NAME  | NRIC/PASSPORT NO | SCHEME | APPLICATION TYPE           | EFFECTIVE DATE | STATUS   | ACTION                                                                                |
|----|-----------------|------------------------------|------------------|------------------|--------|----------------------------|----------------|----------|---------------------------------------------------------------------------------------|
| 1  |                 | HERITAGE WEALTH DISTRIBUTORS | Nandini Krishnan | 850517055678     | PRS    | Instruction from authority | 08-Mar-2025    | Draft    |    |
| 2  | 06-Mar-2025     | MENTARI BERHAD               | Chen Li Kiew (W) | H78904321        | PRS    | Instruction from authority | 06-Mar-2025    | Approved |  |

Diagram 33: List of Revocation Application

27. System will navigate to page Revocation and display revocation details of consultant by sections.

| FIMM<br>Federation of Investment Managers Malaysia | Project                                           | Reference          | File                 | Version | Date     | Page |
|----------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                    | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 40   |

**FIMM** > Consultant > Revocation

Registration Info Profile CPD Tagging **Revocation** Log

**Revocation**

**Consultant Details**

Name: CHEN LI KIEW (W)

NRIC / Passport No: H78904321

Scheme: PRS

**Revocation Details**

Revocation Type: Instruction from authority

Authority: Malaysian Anti-Corruption Commission (MACC)

Effective Date: 06-MAR-2025

Supporting Document: Choose Files NO FILE CHOSEN

SupportDoc.pdf

Reference: MACC

500 characters remaining

Grounds of Revocation: Instructions from Authority

500 characters remaining

Back

Diagram 34: Consultant's Revocation Application page

28. FIMM RD click 'Log' tab. System will navigate user to Log page for user to view the application log of the approval process table with columns:

- Timestamp
- Process
- From
- Status
- Remarks



| <br><small>Federation of Investment Managers Malaysia</small> | Project                                           | Reference          | File                 | Version | Date     | Page |
|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|----------------------|---------|----------|------|
|                                                                                                                                                | Federation of Investment Managers Malaysia (FIMM) | ZANKO/FIMM/UM/V0.1 | User Manual Document | 1.0     | 24/03/25 | 41   |

Registration Info

Profile

CPD

Tagging

Revocation

**Log**

Log

| Date                 | Process       | From                  | Status                         | Remarks |
|----------------------|---------------|-----------------------|--------------------------------|---------|
| 06-Mar-2025 13:01:43 | F-HRDEnd      | Danial Tester Staging | Approved                       |         |
| 06-Mar-2025 13:01:04 | F-RDR → F-HRD | Danial Tester Staging | Pending Approval - RD Approver |         |
| 06-Mar-2025 13:00:22 | F-RD → F-RDR  | Danial Tester Staging | Pending Review - RD Reviewer   | MACC    |
| 06-Mar-2025 12:57:55 | F-RD          | Danial Tester Staging | Draft                          | -       |

Back

Diagram 35: Log Tab