



## **USER MANUAL**

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

## **MODULE: CONSULTANT MANAGEMENT (PROFILE MAINTENANCE BY DISTRIBUTOR) GROUP: DISTRIBUTOR**

<b>AGENCY NAME</b>	<b>:</b>	<b>FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)</b>
<b>DOCUMENT DATE</b>	<b>:</b>	<b>17/03/2025</b>
<b>DOCUMENT VERSION</b>	<b>:</b>	<b>0.2</b>

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	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)
<b>Document Name</b>	User Manual
<b>Document Reference No</b>	ZANKO/FIMM/UM/v0.2
<b>Property</b>	Zanko Sdn Bhd
<b>Document Date</b>	17/03/2025

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	v

## DOCUMENT CONTROL

Version History			
Version No	Version Date	Summary	Writer
0.1	17/03/2025	First draft document	Wan Arissa Insyirah binti Wan Aniff

 <b>FIMM</b> <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	vi

## LIST OF TABLES

<a href="#">Table 1: Acronym Table</a> .....	viii
<a href="#">Table 2: Abbreviation Role Table</a> .....	ix

## 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

 <b>FIMM</b> <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	vii

<b>ACRONYM</b>	<b>DESCRIPTION</b>
FMS	Funds Malaysia System
GM	General Manager
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

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	viii

<b>ACRONYM</b>	<b>DESCRIPTION</b>
SC	Security Commission Malaysia
SRFP	Shariah Registered Financial Planner
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*

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	ix

## ABBREVIATIONS ROLE

Abbreviation	DESCRIPTION
C-CLRK	Consultant Applicant
C-CON	Consultant
C-APP	Consultant Applicant
D-C-MKR	Consultant - Maker
D-C-CHK	Consultant - Approver
F-RD	FIMM RD

*Table 2: Abbreviation Role Table*

 <b>FIMM</b> 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	0.2	17/03/25	10

## 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:** <https://www.fimm.com.my/>

 <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	0.2	17/03/25	11

## 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://www.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:

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

### Steps to Open the FCS System Website:

**Launch your web browser** (Google Chrome, Mozilla Firefox, Microsoft Edge, etc.)

**Enter the FCS System URL** in the address bar and press **Enter**.

The **login page** will appear, allowing users to enter their credentials.

### 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**.

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	12

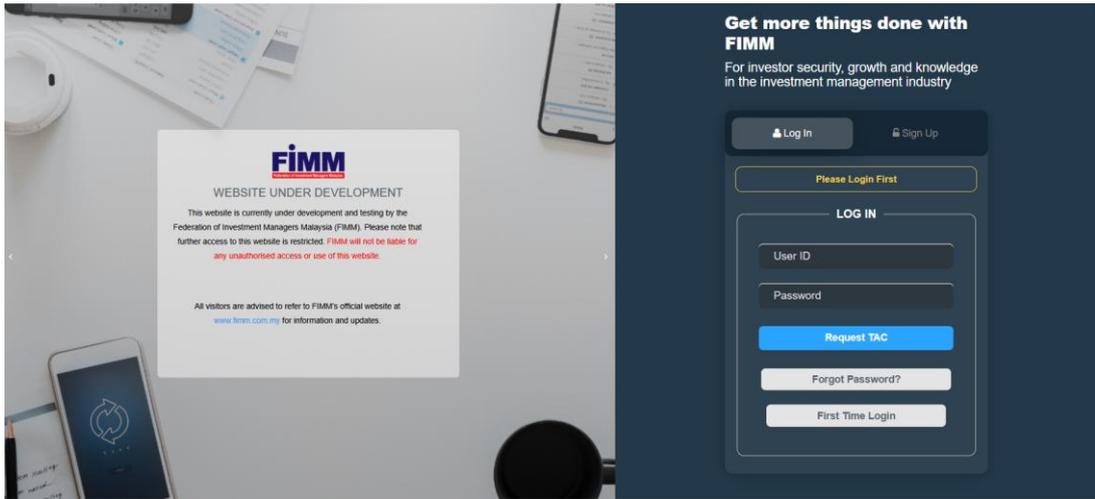


Diagram 1: FCS Homepage Display

### Enter Your Credentials

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

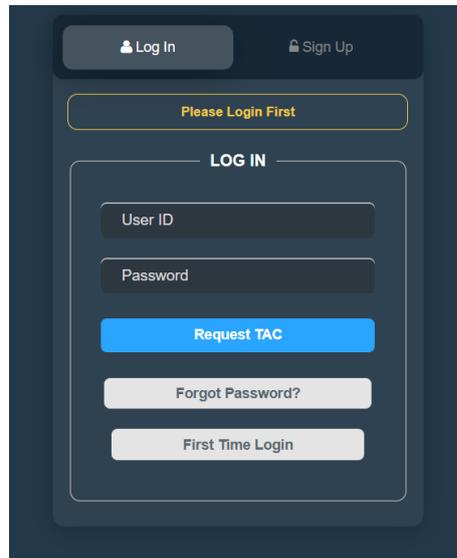


Diagram 2: Log in Display

### Successful Login

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

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	13

Renewal Year 2026

**30**  
Total Active Consultant (by Schemes)

**0**  
Total Standby Renewal

**1**  
Outstanding Renewal Request

List of Consultant Accepted for Renewal Year 2026

Show 10 entries Search:

NO	CONSULTANT NAME	NRIC/PASSPORT NO	SCHEME	FIMM NO	EMAIL	PHONE NO	CPD POINT	DATE JOINED	RENEWAL STATUS
1	Amry bin Ikmal (B)	890505011121	PRS	F01029113	amryum@yopmail.com	+60142656821	16	05-Mar-2025	Pending Acceptance

Showing 1 to 1 of 1 entries Previous 1 Next

**IMPORTANT NOTES: PLEASE SCROLL DOWN AND READ ALL DECLARATIONS BEFORE ACKNOWLEDGING THAT YOU AGREED WITH THE TERMS AND CONDITION OF THIS APPLICATION**

I, the undersigned registered Unit Trust and/or Private Retirement Scheme Consultant with the Federation of Investment Managers Malaysia ("FIMM"), hereby affirm the following:

1. I declare and confirm that all information and documents provided to FIMM in connection with my profile update(s)/renewal of registration are true, current and accurate;
2. I declare and confirm that I fulfil and will continue to ensure that I am Fit and Proper, as specified under Chapter 4 of FIMM's Consolidated Rules ("FCR");
3. I declare and confirm that I meet the eligible requirements as specified under the FCR;
4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;
5. I undertake to immediately notify the principal and/or FIMM in the event that I fail to satisfy any of the fit and proper criteria prescribed by FIMM;
6. I declare and confirm that I have read and understood FIMM's Privacy Notice available on its website, and I hereby consent to the processing of my personal data provided herein by FIMM for the purposes stated in the Privacy Notice;
7. I will timely and fully pay all fees and charges imposed by FIMM and undertake to do all things necessary for my continuing registration with FIMM, and

I hereby confirm that this submission has been thoroughly reviewed and all information provided is true, current and accurate. This confirmation is made in alignment with regulatory requirements and company protocols for data integrity and compliance in reporting to FIMM.

For Distributor Use

500 characters remaining

Back
Return
Approve

Diagram 3: Renewal Application

 Federation of Investment Managers Malaysia (FIMM)	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	14

1. To return the application, Consultant Approver click button .

- i. System will prompt error message if user does not fill in For Distributor Use field.

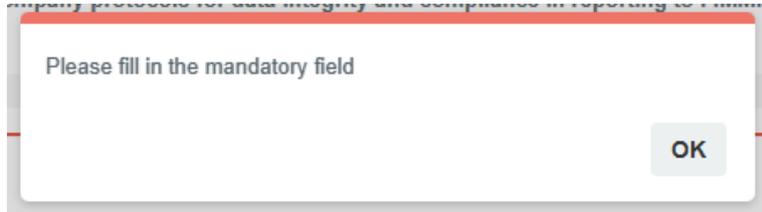


Diagram 4: Error Message

- ii. System will display popup message “Confirm to proceed?”.

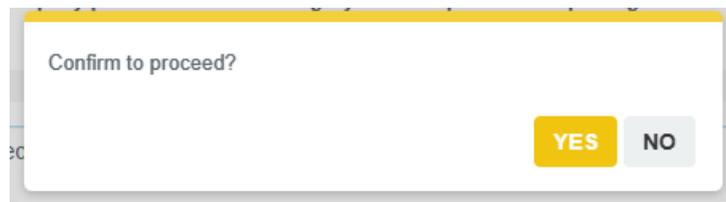


Diagram 5: Confirmation Message

- iii. If , popup message “Renewal List Returned!”.

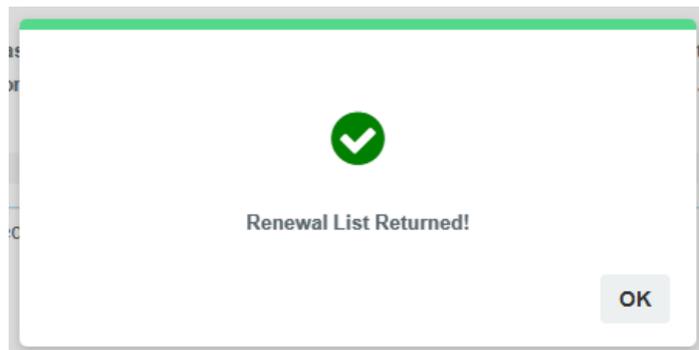


Diagram 6: Successful Message

- iv. Status change to ‘Returned – Consultant Approver’.

2. To approve the application,

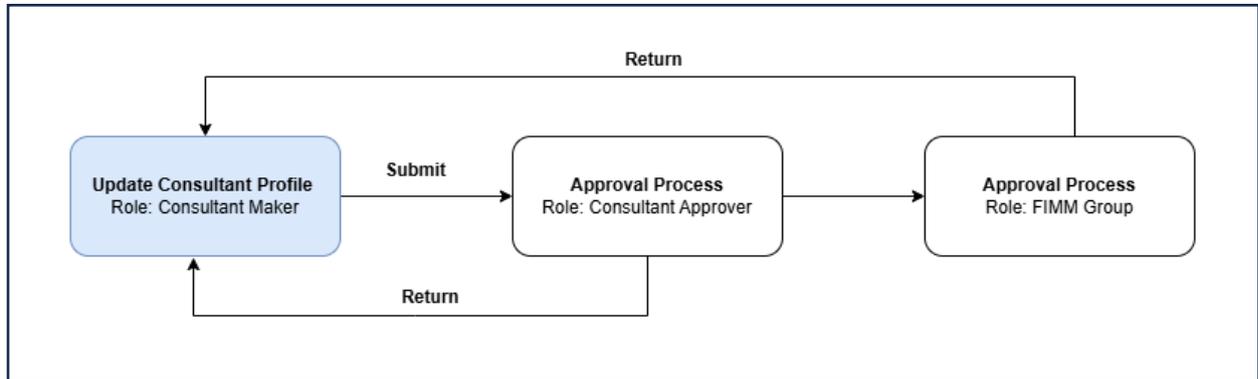
- i. User is required to tick the declaration box and click button .
- ii. System will display popup message “Confirm to proceed?”.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	15

### 3.1 Profile Maintenance by Distributor

#### 3.1.1 Consultant Update Profile by Consultant Maker

##### 3.1.1.1 Process Flow



##### 3.1.1.2 Manual Steps

1. Click menu 'Consultant'. System will display list of submenu for Consultant.

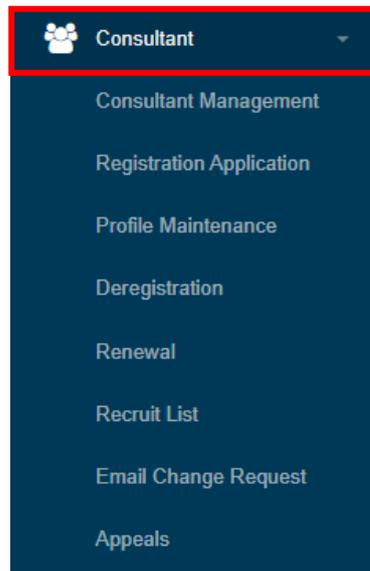


Diagram 7: Consultant Menu

2. Click submenu 'Consultant Management'.

	<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	0.2	17/03/25	16

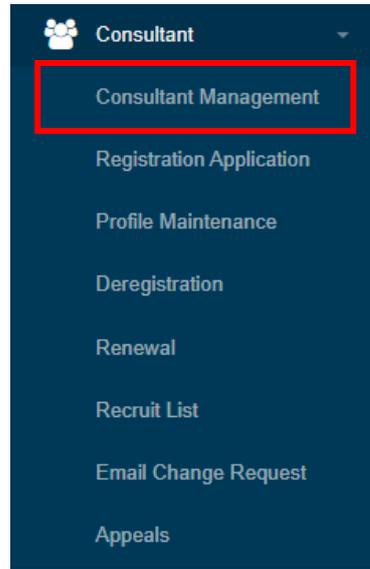


Diagram 8: Submenu 'Consultant Management'

3. System will display List of Consultant

NO	DISTRIBUTOR NAME	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	EMAIL	PHONE NO	REGISTRATION STATUS	ACTION
1	Prestasi Kewangan Sdn Bhd	Jessica Lim	N9012345	F02029223	UTS	jessicaumt@yopmail.com	+60142656821	Active	
2	Prestasi Kewangan Sdn Bhd	Umairah binti Mansor	001201000121	F02029222	PRS	umairahum@yopmail.com	+60142656821	Active	

Diagram 9: List of Consultant

4. In List of Consultant under column Action, Consultant Maker click  at desired consultant.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	17

5. System will navigate to main page of consultant detail organize under following tabs:

i. Registration Info

a. Profile section

- Consultant Name
- NRIC/Passport No
- FIMM No
- FIMM Joined Date
- FIMM Inactive Date

b. Apprenticeship Programme

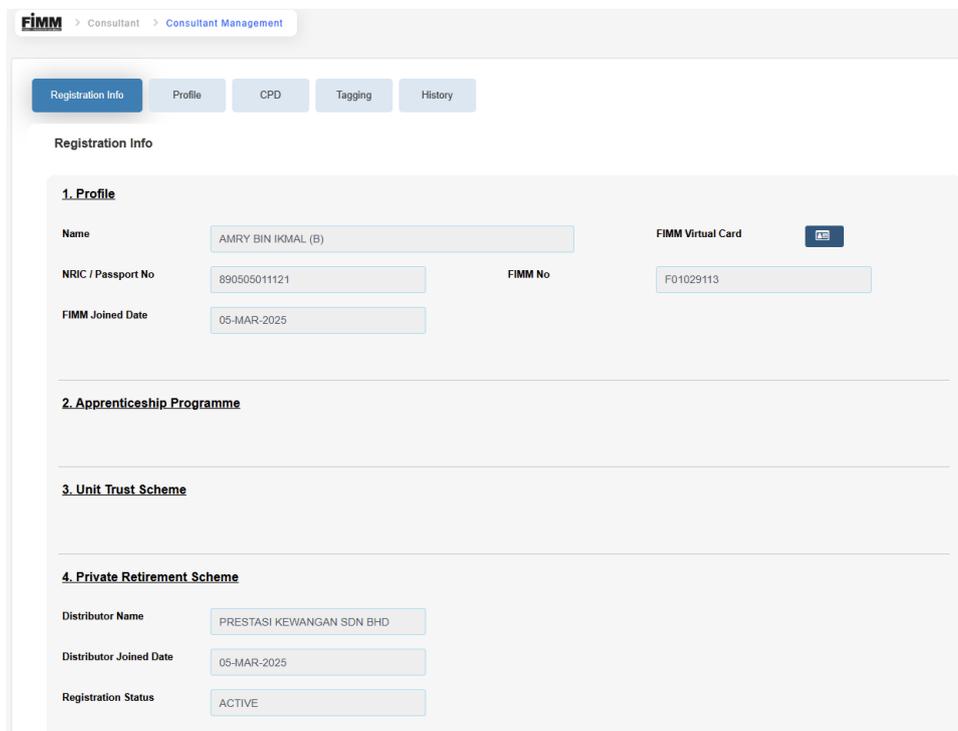
- AP Status (Completed/In-Progress/N/a)
- AP Commencement Date
- AP Expiry Date (Hidden once AP Status Completed)

c. Unit Trust Scheme section

- Distributor Name
- Distributor Joined Date
- Registration Status
- Reason (if terminated - termination type selected by distributor; if revoked - revocation type selected by RD)

d. Private Retirement Scheme section

- Distributor Name
- Distributor Joined Date
- Registration Status
- Reason (if terminated - termination type selected by distributor; if revoked - revocation type selected by RD)



**Registration Info**

1. **Profile**

Name: AMRY BIN IKMAL (B) FIMM Virtual Card 

NRIC / Passport No: 890505011121 FIMM No: F01029113

FIMM Joined Date: 05-MAR-2025

2. **Apprenticeship Programme**

3. **Unit Trust Scheme**

4. **Private Retirement Scheme**

Distributor Name: PRESTASI KEWANGAN SDN BHD

Distributor Joined Date: 05-MAR-2025

Registration Status: ACTIVE

Diagram 10: Registration Info Tab

FIMM 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	0.2	17/03/25	18

ii. Profile, divided into section

Registration Info **Profile** CPD Tagging History

**Profile**

- 1 Profile Details
- 2 Academic Qualifications
- 3 Scheme Selection
- 4 Type of Registration
- 5 Screening
- 6 Others

Personal Details

**Name (As Per NRIC)**

**NRIC No.**  [View File](#)

**Race**  **Nationality**

**Date of Birth**  **Age**

**Gender**

**Address**

**Postcode**  **City**

**State**  **Phone Number**

**Email Address**

Choose File NO FL. SEN

Diagram 11: Profile Tab

iii. CPD

Registration Info Profile **CPD** Tagging History

**CPD**

CPD RECORDS FOR  
2025

Name  
Amry bin ikmal (B)

FIMM No  
F01029113

NRIC/Passport No  
890505011121

136

Approve Point

32

Pending Point

0

Rejected Point

Application Type  
-- Choose -- [Find](#)

Show  entries

NO	PROGRAM TITLE	APPLICATION TYPE	YEAR	START DATE	END DATE	APPROVED POINT	PENDING POINT	REJECTED POINT
1	TECHNICAL ANALYSIS SERIES: PRACTICAL AND EFFECTIVE TREND TRADING STRATEGY FOR TRADERS	Pre-Vetting	2025	18-Mar-2025	22-Mar-2025	8	0	0
2	INDUSTRY 4.0 AND IT'S IMPACT OF MALAYSIAN CAPITAL MARKET	Pre-Vetting	2025	16-Mar-2025	17-Mar-2025	8	0	0
3	PSYCHOLOGY OF INVESTING: VICTORY OVER YOUR THOUGHTS, SUCCESS IS YOURS I	Pre-Vetting	2025	15-Mar-2025	15-Mar-2025	8	0	0

Diagram 12: CPD Tab

FIMM 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	0.2	17/03/25	19

6. Under tab Profile, Consultant Maker click button . System will display all action that can be done:
- i. Update Profile (Hide if no distributor attached)

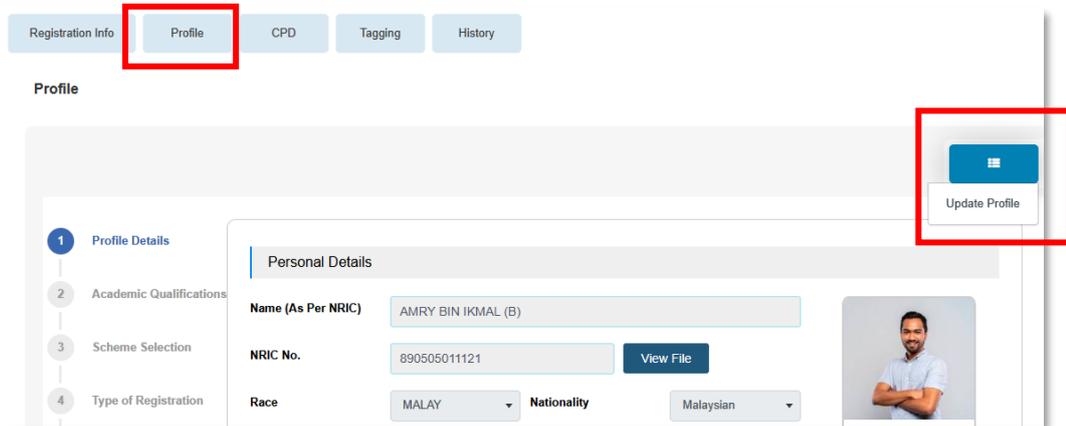


Diagram 13: Update Profile button

7. Consultant Maker click 'Update Profile'. System will navigate to Update Profile process:
- i. Profile Details  
**Malaysian**

Diagram 14: Malaysian Profile Details section

FIMM	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	20

## Non - Malaysian

The screenshot shows the 'Profile Maintenance by Distributor' interface. The 'Profile' tab is selected, and the 'Personal Details' section is expanded. The form contains the following fields:

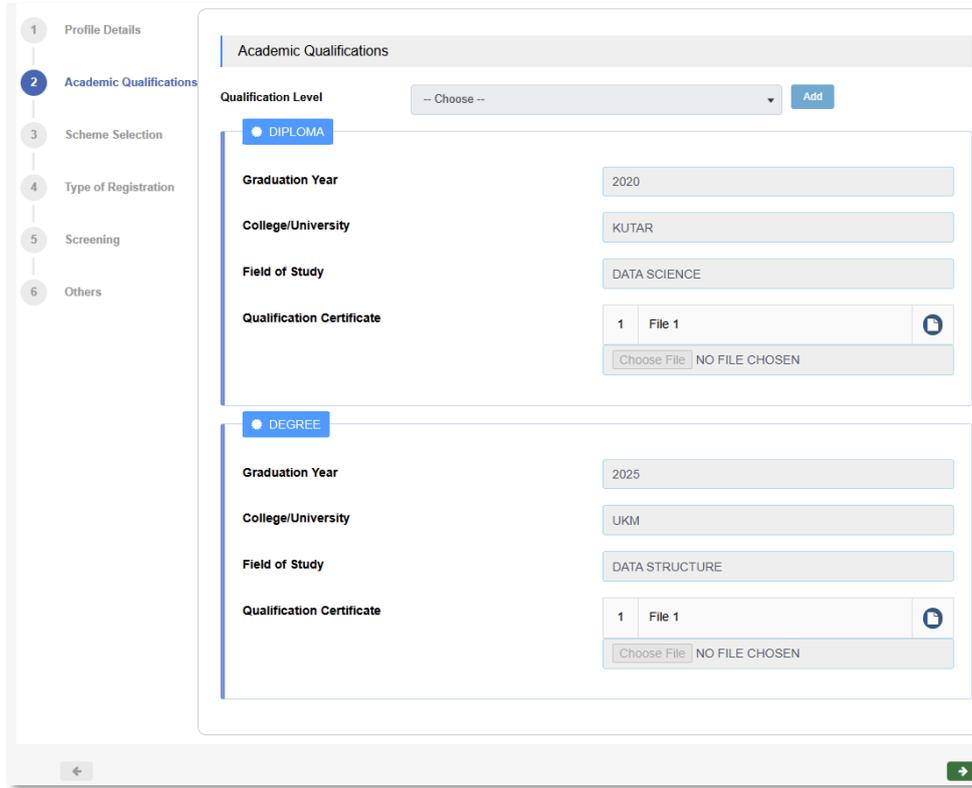
- Name (As Per NRIC):** JESSICA LIM
- Passport No.:** N9012345 (with an 'Upload' button)
- Race:** CHINESE (dropdown)
- Nationality:** Non-Malaysian (dropdown)
- Passport Expiry:** 21-APR-2029 (calendar icon)
- Working Permit Expiry:** 28-JUN-2028 (calendar icon)
- Date of Birth:** 09-SEP-1999
- Age:** 25
- Gender:** FEMALE (dropdown)
- Address:** NO. 87, JALAN KELANG LAMA
- Postcode:** 58100
- City:** KUALA LUMPUR (dropdown)
- State:** WILAYAH PERS... (dropdown)
- Phone Number:** +60142656821
- Alt Phone Number:** (empty field)
- Email Address:** jessicaumf@yopmail.com

A navigation sidebar on the left shows steps: 1. Profile Details (selected), 2. Academic Qualifications, 3. Scheme Selection, 4. Type of Registration, 5. Screening, 6. Others. A green arrow button is visible at the bottom right of the form.

Diagram 15: Non - Malaysian Profile Details section

8. Consultant Maker enters all desired details to be updated and click . System will display academic qualification section: (No action to be done here)
  - i. Academic Qualification: (Consultant Maker unable to update the field).
    - a. SPM/SVM
    - b. STPM/STAM
    - c. Diploma
    - d. Degree
    - e. Master
    - f. PhD

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	21



The screenshot displays the 'Academic Qualifications' section of a web application. On the left, a vertical sidebar lists navigation steps: 1. Profile Details, 2. Academic Qualifications (highlighted), 3. Scheme Selection, 4. Type of Registration, 5. Screening, and 6. Others. The main content area is titled 'Academic Qualifications' and features a 'Qualification Level' dropdown menu currently set to 'DIPLOMA'. Below this, there are two distinct qualification entries. The first entry, labeled 'DIPLOMA', includes the following details: Graduation Year (2020), College/University (KUTAR), Field of Study (DATA SCIENCE), and a 'Qualification Certificate' section with a file upload button and a 'Choose File' button. The second entry, labeled 'DEGREE', includes: Graduation Year (2025), College/University (UKM), Field of Study (DATA STRUCTURE), and a similar 'Qualification Certificate' section. At the bottom of the main content area, there are left and right navigation arrows.

Diagram 16: Academic Qualifications section

9. Consultant Maker click . System will display Scheme Selection:
- i. Registration Type (Consultant Maker can change the Type Of Registration)
    - a. Staff
    - b. Tied-agent
  - ii. Distribution Point (Consultant Maker can update their respective distribution location)
  - iii. Scheme
  - iv. List Of Distributor

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	22

Diagram 17: Scheme Selection section

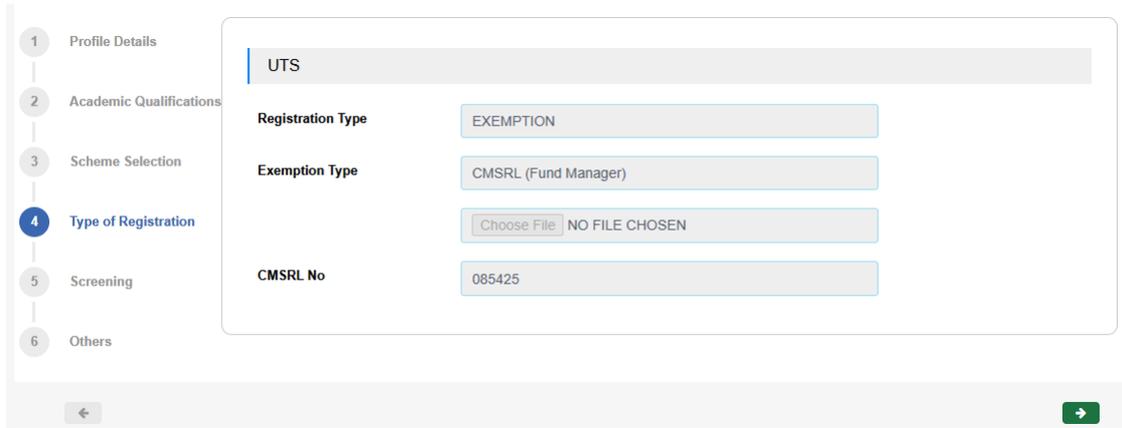
10. Consultant Maker enters all desired details to be updated and click . System will navigate to Type of Registration section (No field to be updated here)

i. Examination

Diagram 18: Type of Registration – Examination

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	23

ii. Exemption



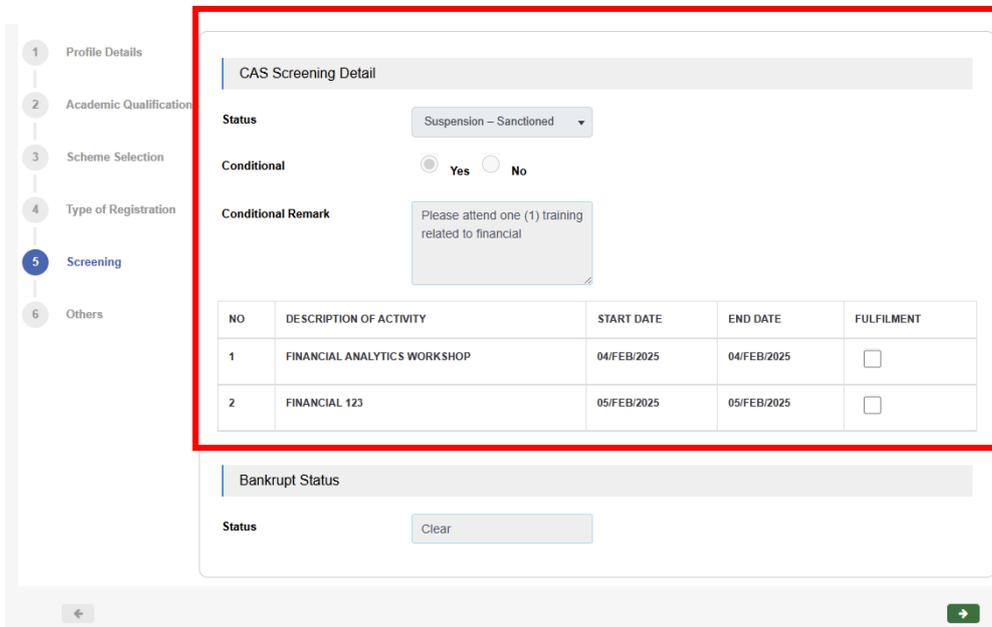
The screenshot shows a web interface for registration. On the left is a sidebar with steps 1-6. Step 4, 'Type of Registration', is active. The main content area is titled 'UTS' and contains the following fields:

- Registration Type:** EXEMPTION
- Exemption Type:** CMSRL (Fund Manager)
- File Upload:** A button labeled 'Choose File' and the text 'NO FILE CHOSEN'.
- CMSRL No:** 085425

Diagram 19: Type of Registration - Exemption

11. Consultant Maker click . System will display Screening Section:

- i. Under Screening section, Consultant Maker can view failed CAS status.
  - a. System will display an additional sub-section for CAS requirements, including remarks by LRA to inform the consultant of the requirements they need to fulfil.
  - b. Users must select the description of activities that fulfils the condition set by LRA to proceed with submitting the application.



The screenshot shows the 'CAS Screening Detail' form. The 'Status' is set to 'Suspension - Sanctioned'. The 'Conditional' option is 'Yes'. The 'Conditional Remark' is 'Please attend one (1) training related to financial'. Below this is a table with the following data:

NO	DESCRIPTION OF ACTIVITY	START DATE	END DATE	FULFILMENT
1	FINANCIAL ANALYTICS WORKSHOP	04/FEB/2025	04/FEB/2025	<input type="checkbox"/>
2	FINANCIAL 123	05/FEB/2025	05/FEB/2025	<input type="checkbox"/>

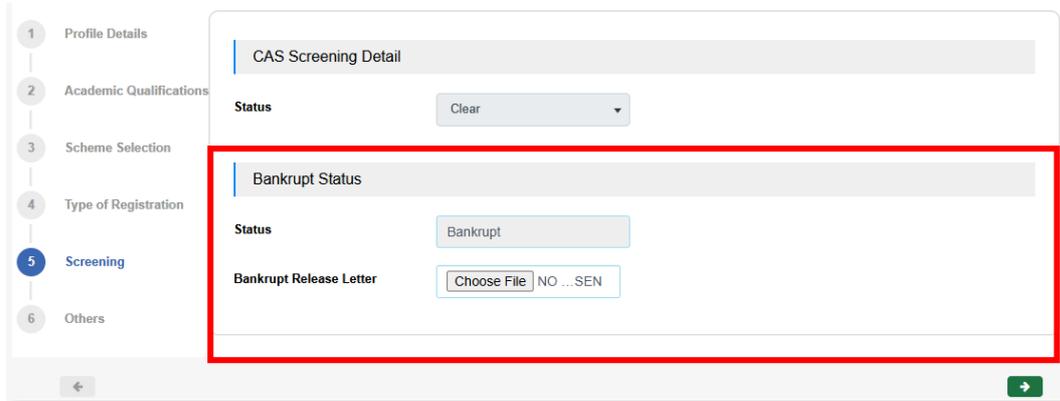
Below the table is the 'Bankrupt Status' section with a 'Clear' button.

Diagram 20: Failed CAS Screening

ii. Consultant – Maker can view bankruptcy status.

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	24

- a. User able to upload the consultant's discharge letter issued by High Court or Jabatan Insolvency Malaysia, attested by commissioner to uplift consultant's bankruptcy status.



The screenshot shows a web application interface with a sidebar on the left containing a vertical list of steps: 1 Profile Details, 2 Academic Qualifications, 3 Scheme Selection, 4 Type of Registration, 5 Screening (highlighted), and 6 Others. The main content area is titled 'CAS Screening Detail' and contains two sections. The first section, 'CAS Screening Detail', has a 'Status' dropdown menu with 'Clear' selected. The second section, 'Bankrupt Status', is highlighted with a red border and contains a 'Status' dropdown menu with 'Bankrupt' selected, and a 'Bankrupt Release Letter' field with a 'Choose File' button and a 'NO ...SEN' button. At the bottom of the main content area, there are navigation arrows: a left arrow and a right arrow.

Diagram 21: Failed Bankruptcy Status

12. Consultant Maker enters all desired details to be updated and click . System will display Others Section:

- i. Others
  - a. Upload Supporting Document (User able to upload supporting document)
  - b. Upload Signed Consent Form
  - c. Declaration

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	25

1 Profile Details

2 Academic Qualification

3 Scheme Selection

4 Type of Registration

5 Screening

6 Others

### Upload Supporting Document

File Name

Choose File NO FILE CHOSEN Add

NO	FILE NAME	ATTACHMENT FILE	ACTION
1	MAKAER ATTCH	TrainingCert.pdf	 

NO	FILE NAME	ACTION
1	ATTCH 1	

### Upload Signed Consent Form

Application Consent Form

Choose File NO FILE CHOSEN

[FIMM-Consent-Form.pdf](#)

NO	FILE NAME	ACTION
1	FIMM-Consent-Form.pdf	

### Declaration

Name(As Per NRIC) JESSICA LIM

NRIC N9012345

4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

5. I undertake to immediately notify the principal and/or FIMM in the event that I fail to satisfy any of the fit and proper criteria prescribed by FIMM;

6. I declare and confirm that I have read and understood FIMM's Privacy Notice available on its website, and I hereby consent to the processing of my personal data provided herein by FIMM for the purposes stated in the Privacy Notice;

7. I will timely and fully pay all fees and charges imposed by FIMM and undertake to do all things necessary for my continuing registration with FIMM;

8. I expressly consent and authorise the principal and FIMM to obtain and/or disclose any information, including but not limited to, credit information, academic and professional qualifications, from and/or to a Credit Reporting Agency or any source deemed appropriate and reasonable for the purposes of this application for registration with FIMM. This consent shall remain in effect during the period of any registration with FIMM as a consultant.

I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

Diagram 22: Others section

13. To save application, Consultant Maker click button  .
- i. System will prompt message "Confirm to save?".

Confirm to save?

Diagram 23: Confirmation Message

- ii. User choose  , system will navigate to application and status change to 'Draft'.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	26

iii. If user click  , system stays at current page.

14. To submit the application, user click  .

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

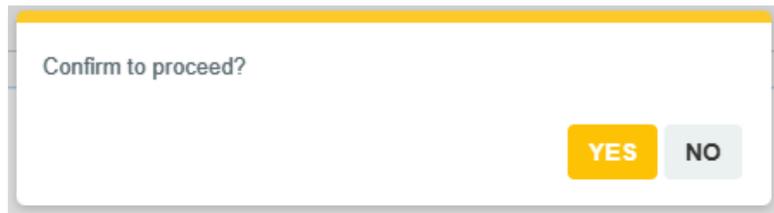


Diagram 24: Confirmation Message

ii. User choose  , system will display successful application message and send the application for Consultant – Approver action.

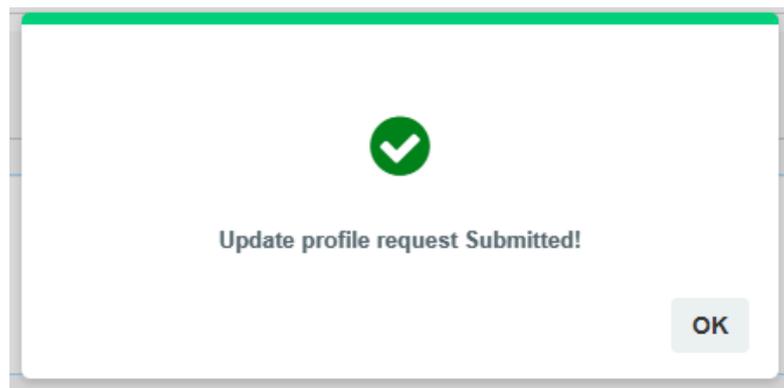


Diagram 25: Successful Application message

iii. System back to List of Profile Update application and status change to 'Pending Approve'.

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	27

## Returned – Consultant Approver

1. In List of Profile Update applications under column Action, user click button  at application with status “Returned – Consultant Approver”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	14-Mar-2025	Jessica Lim	N9012345	F02029223	UTS	Active	Profile Update	Returned - Consultant Approver	
2	14-Mar-2025	Umairah binti Mansor	001201000121	F02029222	PRS	Active	Profile Update	Pending Approve	

Diagram 26: List of Profile Update applications

2. System will display previously submitted application and Consultant Maker can edit these fields in all previous section:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others
3. Consultant Maker can view comment from Consultant Approver the reason for returning the application.

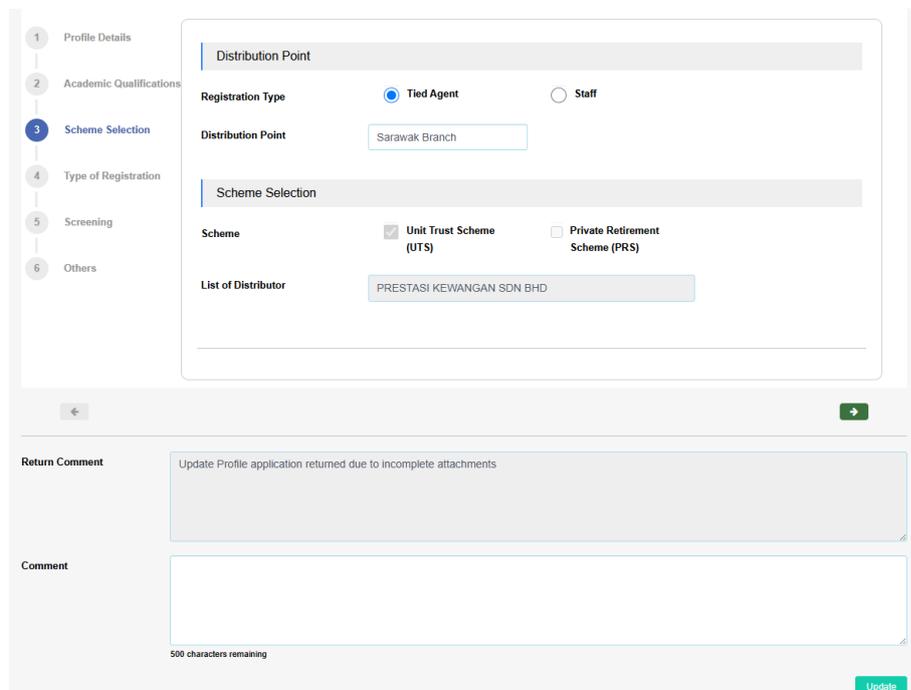


Diagram 27: Return Comment by Consultant Approver

 <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	0.2	17/03/25	28

4. To re – submit the application, Consultant Maker click .

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



Diagram 28: Confirmation Message

ii. User choose , system will display successful application message and send the application for Consultant – Approver action.

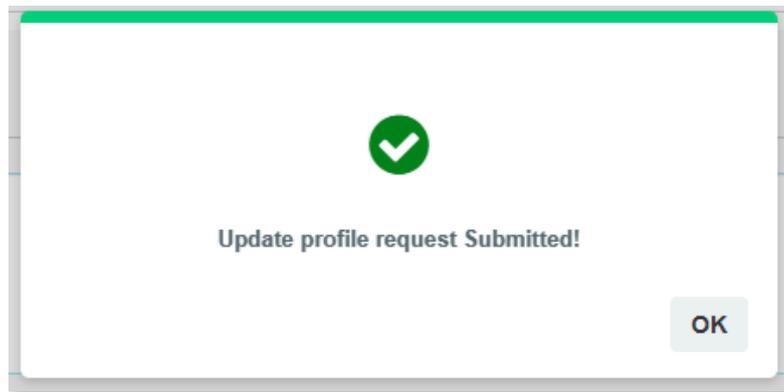


Diagram 29: Successful Application message

iii. System back to List of Profile Update application and status change to ‘Pending Approve’

### Failed CAS Screening

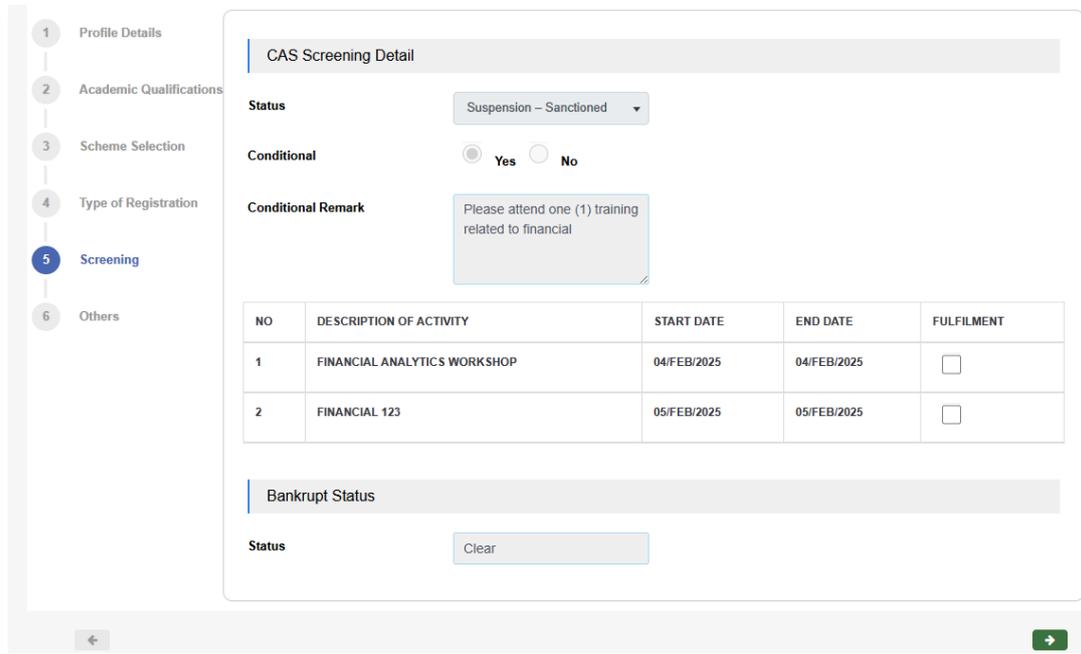
1. In List of Profile Update applications under column Action, user click button  at application with status “Pending CAS Confirmation”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	09-Mar-2025	Chen Li Fang	H78901234	F01002001	PRS	Suspended	Profile Update	Pending CAS Confirmation	
2	09-Mar-2025	Zulhlimi Bukhari	F56789012	F01001999	PRS	Active	Profile Update	Returned - RD	

Diagram 30: List of Profile Update applications

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	29

2. System will display previously submitted application and consultant details:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others
  
3. Under Screening section, user can view failed CAS status.
  - i. For conditional CAS status, Consultant Maker can see remarks from LRA of the training need to attend to uplift the conditional status.
  - ii. Consultant Maker must select 1 training that has been completed by the Consultant applicant to proceed with the application.



**CAS Screening Detail**

**Status** Suspension – Sanctioned

**Conditional**  Yes  No

**Conditional Remark**  
Please attend one (1) training related to financial

NO	DESCRIPTION OF ACTIVITY	START DATE	END DATE	FULFILMENT
1	FINANCIAL ANALYTICS WORKSHOP	04/FEB/2025	04/FEB/2025	<input type="checkbox"/>
2	FINANCIAL 123	05/FEB/2025	05/FEB/2025	<input type="checkbox"/>

**Bankrupt Status**

**Status** Clear

Diagram 31: Failed CAS Screening

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	30

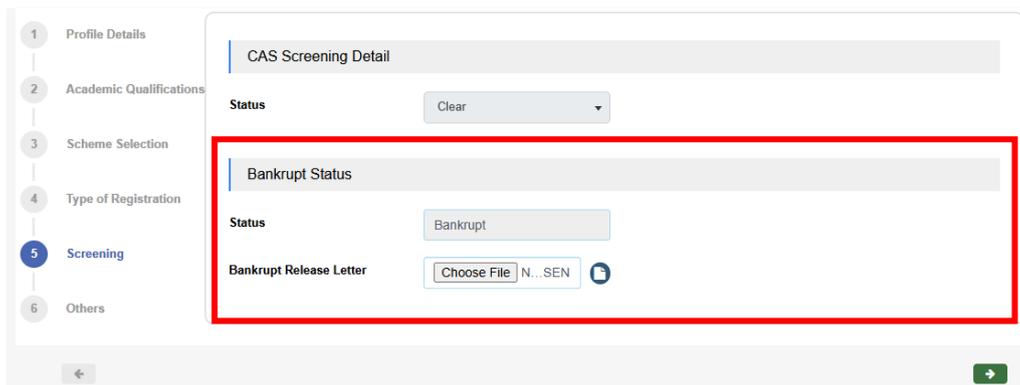
## Failed Bankruptcy Screening

1. In List of Profile Update applications under column Action, Consultant Maker click button  at application with status "Pending Bankruptcy Confirmation".

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	14-Mar-2025	Jessica Lim	N9012345	F02029223	UTS	Active	Profile Update	Rejected	
2	14-Mar-2025	Umairah binti Mansor	001201000121	F02029222	PRS	Active	Profile Update	Pending Bankruptcy Confirmation	

Diagram 32: List of Profile Update applications

2. System will display previously submitted application and consultant:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others
3. Under Screening section, user can view consultant applicant failed Bankruptcy Status.
  - i. Consultant Maker need to upload letter of release for the consultant to proceed with the application.



The screenshot shows a web interface for 'CAS Screening Detail'. On the left is a navigation menu with items 1-6: Profile Details, Academic Qualifications, Scheme Selection, Type of Registration, Screening (highlighted), and Others. The main content area has two sections: 'CAS Screening Detail' and 'Bankrupt Status'. The 'Bankrupt Status' section is highlighted with a red box and contains a 'Status' dropdown menu with 'Bankrupt' selected, and a 'Bankrupt Release Letter' field with a 'Choose File' button and a file name 'N...SEN'.

Diagram 33: Failed Bankruptcy Screening

 <small>Federation of Investment Managers Malaysia</small>	<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	0.2	17/03/25	31

## Returned – RD

1. In List of Profile Update applications under column Action, user click button  at application with status “Returned – RD”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	09-Mar-2025	Chen Li Fang	H78901234	F01002001	PRS	Suspended	Profile Update	Pending CAS Confirmation	
2	09-Mar-2025	Zulhilmi Bukhari	F56789012	F01001999	PRS	Active	Profile Update	Returned - RD	

*Diagram 34: List of Update Profile applications*

2. System will display previously submitted application and Consultant Maker can edit these fields in all previous section:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	32

3. Consultant - Maker can view comment from RD the reason for returning the application.

- 1 Profile Details
- 2 Academic Qualifications
- 3 Scheme Selection
- 4 Type of Registration
- 5 Screening
- 6 Others

**Upload Supporting Document**

**File Name**

NO FILE CHOSEN

NO	FILE NAME	ACTION
1	DOC 1	<input type="button" value="View"/>
2	M D0c 1	<input type="button" value="View"/>

**Upload Signed Consent Form**

**Application Consent Form**  NO FILE CHOSEN

[FIMM-Consent-Form.pdf](#)

NO	FILE NAME	ACTION
1	FIMM-Consent-Form.pdf	<input type="button" value="View"/>

**Declaration**

**Name(As Per NRIC)**

**NRIC**

4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

5. I undertake to immediately notify the principal and/or FIMM in the event that I fail to satisfy any of the fit and proper criteria prescribed by FIMM;

6. I declare and confirm that I have read and understood FIMM's Privacy Notice available on its website, and I hereby consent to the processing of my personal data provided herein by FIMM for the purposes stated in the Privacy Notice;

7. I will timely and fully pay all fees and charges imposed by FIMM and undertake to do all things necessary for my continuing registration with FIMM;

8. I expressly consent and authorise the principal and FIMM to obtain and/or disclose any information, including but not limited to, credit information, academic and professional qualifications, from and/or to a Credit Reporting Agency or any source deemed appropriate and reasonable for the purposes of this application for registration with FIMM. This consent shall remain in effect during the period of any registration with FIMM as a consultant.

I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

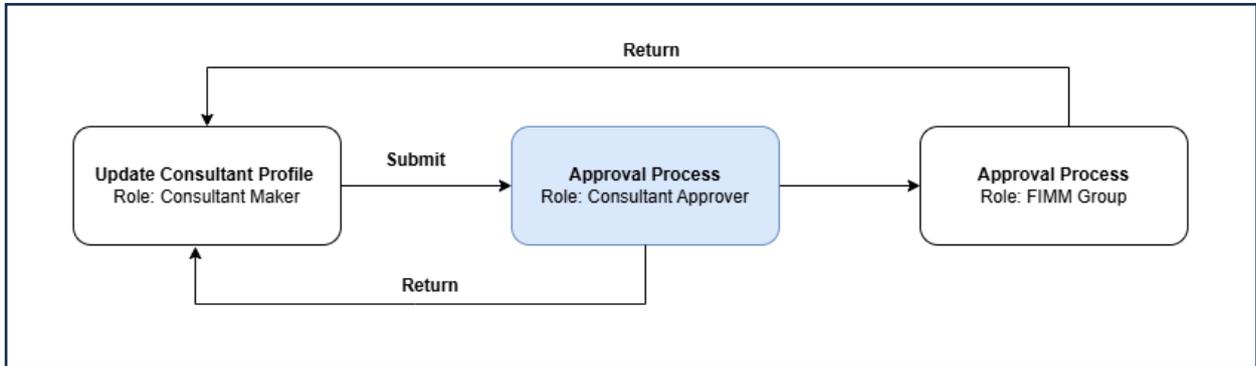
**Return Comment** Update Profile Application by Distributor returned due to incomplete documents.

Diagram 35: Returned - RD

 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	0.2	17/03/25	33

### 3.1.2 Approval Process by Consultant Approver

#### 3.1.2.1 Process Flow



#### 3.1.2.2 Manual Steps

1. Click menu 'Consultant'. System will display list of submenu for Consultant.

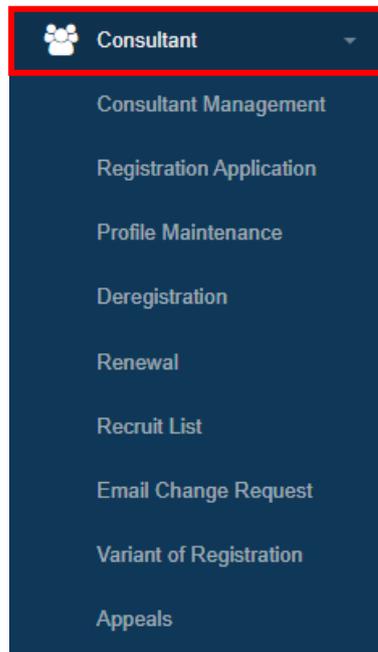


Diagram 36: Consultant Menu

FIMM	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	34

2. Click submenu 'Profile Maintenance'.

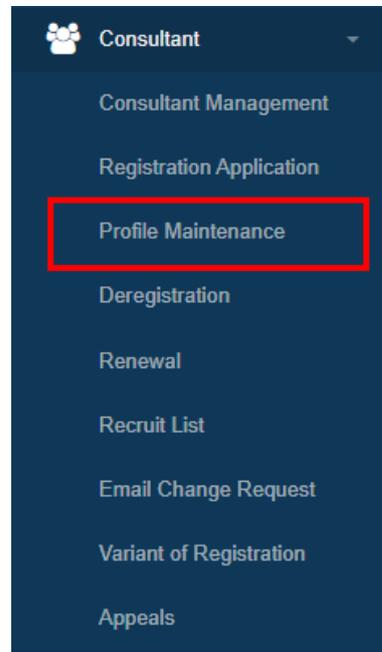


Diagram 37: Submenu 'Profile Maintenance'

3. System will display List of Profile Update applications

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	14-Mar-2025	Jessica Lim	N9012345	F02029223	UTS	Active	Profile Update	Pending Approve	
2	14-Mar-2025	Umairah binti Mansor	001201000121	F02029222	PRS	Active	Profile Update	Pending Approve	
3	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Approve - Consultant Approver	

Diagram 38: List of Profile Update applications

4. Consultant Approver can filter the list

The image shows a filter form in the FIMM system. It includes the following fields: Consultant Name, NRIC / Passport No, FIMM No, Registration Status (dropdown), Scheme (dropdown), Status (dropdown), and Submission Date (From and Until date pickers). There are 'Reset' and 'Find' buttons at the bottom right.

Diagram 39: Filter

5. System will display List of Profile Update application based on the filtering.

FIMM 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	0.2	17/03/25	35

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

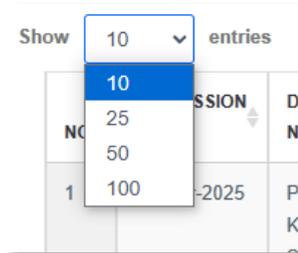


Diagram 40: Entries

7. Consultant Approver can click button 'Previous' or 'Next' to navigate to next listing page.

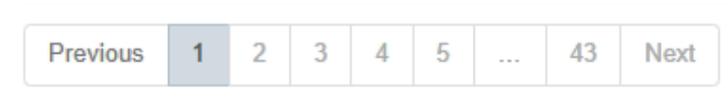


Diagram 41: Pagination

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

Show 10 entries

Search:

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	07-Mar-2025	Nandini Krishnan	850517055678	F02001998	PRS	Active	Profile Update	Returned - RD	
2	07-Mar-2025	Zulhili Bukhari	F56789012	F01001999	PRS	Active	Profile Update	Approved	

Diagram 42: Keyword Search

9. In List of Profile Update applications under column Action, Consultant Approver click button at application with status "Pending Approve".

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	14-Mar-2025	Jessica Lim	N9012345	F02029223	UTS	Active	Profile Update	Pending Approve	
2	14-Mar-2025	Umairah binti Mansor	001201000121	F02029222	PRS	Active	Profile Update	Pending Approve	

Diagram 43: List of Applications

10. System will display previously submitted application and user unable to edit the details.

- i. Profile Details

FIMM	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	36

## Malaysian

FIMM > Consultant > Profile Maintenance by Distributor

Registration Info Profile CPD

Profile

1 Profile Details  
2 Academic Qualifications  
3 Scheme Selection  
4 Type of Registration  
5 Screening  
6 Others

Personal Details

Name (As Per NRIC) UMAIRAH BINTI MANSOR  
SITI UMAIRAH BINTI MANSOR

NRIC No. 001201000121 View file

Race MALAY Nationality Malaysian

Date of Birth 01-DEC-2000 Age 24 Choose File NO FL...SEN

Gender FEMALE

Address TAMAN INDAH 1

Postcode 20000 City KUALA TERENG...

State TERENGGANU Phone Number +60142656821  
Alt Phone Number

Email Address umairahum@yopmail.com

Diagram 44: Malaysian Profile Details section

FIMM 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	0.2	17/03/25	37

## Non – Malaysian

The screenshot shows the 'Profile Maintenance by Distributor' interface. The 'Profile' tab is selected, and the 'Personal Details' section is active. The form contains the following fields:

- Name (As Per NRIC):** JESSICA LIM, JESSICA TAN
- Passport No.:** N9012345 (with 'View file' button)
- Race:** CHINESE, **Nationality:** Non-Malaysian
- Passport Expiry:** 21-APR-2029, 21-MAY-2030; **Working Permit Expiry:** 28-JUN-2028, 29-JUL-2031
- Date of Birth:** 09-SEP-1999, **Age:** 25
- Gender:** FEMALE
- Address:** NO. 87, JALAN KELANG LAMA
- Postcode:** 58100, **City:** KUALA LUMPUR
- State:** WILAYAH PERS..., **Phone Number:** +60142656821, **Alt Phone Number:** (empty)
- Email Address:** jessicaumt@yopmail.com

Diagram 45: Non - Malaysian Profile Details section

### i. Academic Qualification:

The screenshot shows the 'Academic Qualifications' section of the profile maintenance interface. The 'Academic Qualifications' tab is selected. The form contains the following fields:

- Qualification Level:** -- Choose -- (with 'Add' button)
- PHD:** (selected)
- Graduation Year:** 2012
- College/University:** UKM
- Field of Study:** DATA SCIENCE
- Qualification Certificate:** 1 File 1 (with 'Choose File' and 'NO FILE CHOSEN' buttons)

Diagram 46: Academic Qualification section

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	38

## ii. Scheme Selection

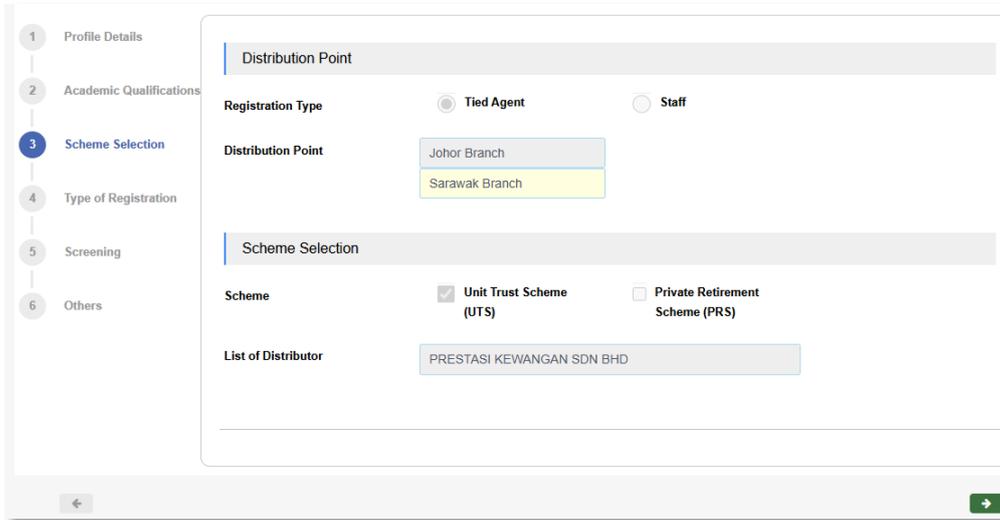


Diagram 47: Scheme Selection section

## iii. Type Of Registration

### a. Examination

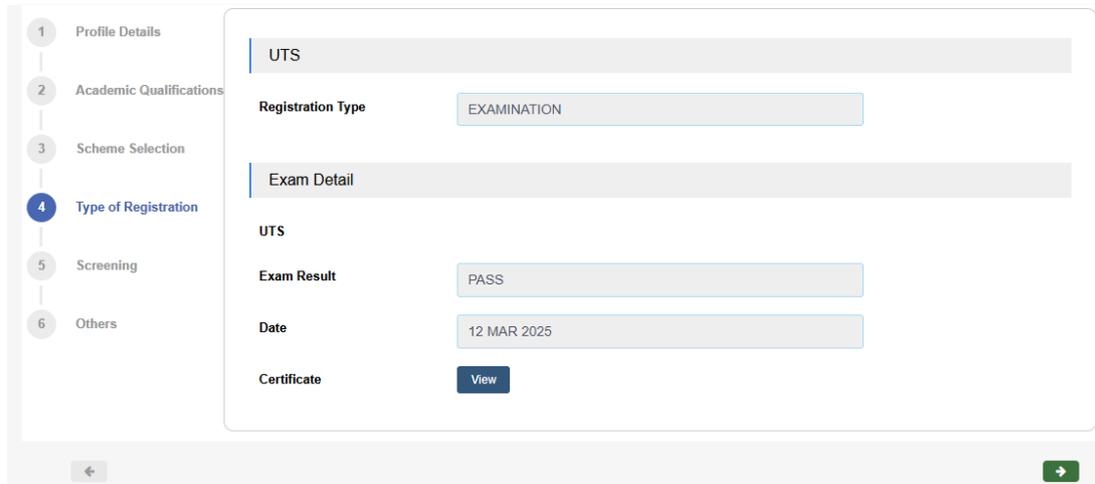


Diagram 48: Type of Registration - Examination

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	39

## b. Exemption

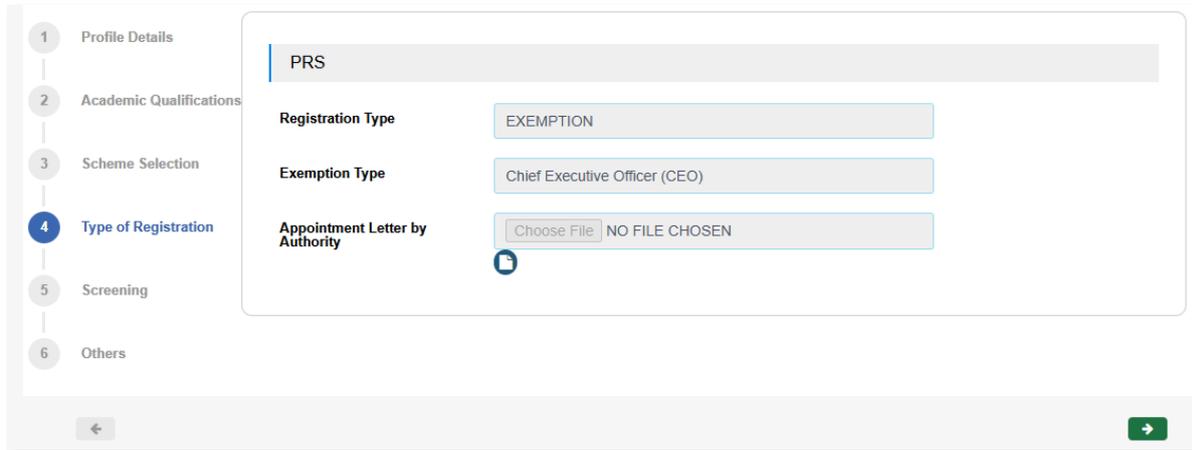


Diagram 49: Type of Registration - Exemption

## iv. Screening

- a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
- b. Bankruptcy Screening (Clear/Bankrupted)

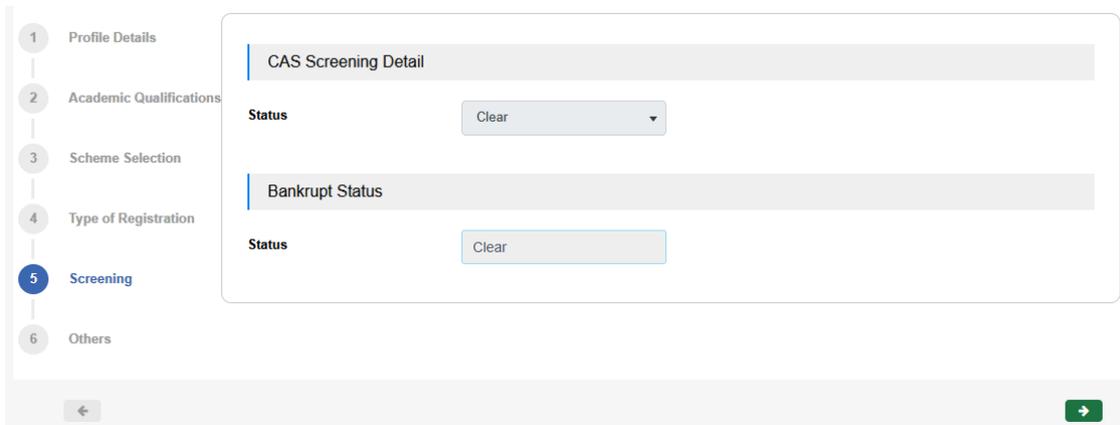


Diagram 50: Screening Section

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	40

- v. Others
  - a. Supporting Document
  - b. Signed Consent Form
  - c. Declaration

- 1 Profile Details
- 2 Academic Qualifications
- 3 Scheme Selection
- 4 Type of Registration
- 5 Screening
- 6 Others

### Upload Supporting Document

**File Name**

Choose File
NO FILE CHOSEN
Add

NO	FILE NAME	ACTION
1	ATTCH 1	<span style="background-color: #007bff; color: white; padding: 2px 5px;">View</span>
2	Maker add	<span style="background-color: #007bff; color: white; padding: 2px 5px;">View</span>
3	DOKUMEN TAMBAHAN	<span style="background-color: #007bff; color: white; padding: 2px 5px;">View</span>

### Upload Signed Consent Form

**Application Consent Form**

Choose File
NO FILE CHOSEN

[FIMM-Consent-Form.pdf](#)

NO	FILE NAME	ACTION
1	FIMM-Consent-Form.pdf	<span style="background-color: #007bff; color: white; padding: 2px 5px;">View</span>

### Declaration

**Name(As Per NRIC)**

**NRIC**

IMPORTANT NOTES: PLEASE SCROLL DOWN AND READ ALL DECLARATIONS BEFORE ACKNOWLEDGING THAT YOU AGREED TO THE TERMS AND CONDITIONS OF THIS APPLICATION.

I, the undersigned registered Unit Trust and/or Private Retirement Scheme Consultant with the Federation of Investment Managers Malaysia ("FIMM"), hereby affirm the following:

1. I declare and confirm that all information and documents provided to FIMM in connection with my profile update(s)/renewal of registration are true, current and accurate;
2. I declare and confirm that I fulfil and will continue to ensure that I am Fit and Proper, as specified under Chapter 4 of FIMM's Consolidated Rules ("FCR");
3. I declare and confirm that I meet the eligible requirements as specified under the FCR;
4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

Diagram 51: Others Section

 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	0.2	17/03/25	41

vi. Comment



Diagram 52: Comment Box

11. To return the application:

- i. Consultant Approver key-in comment box and click button . System will prompt message “Confirm to proceed?”

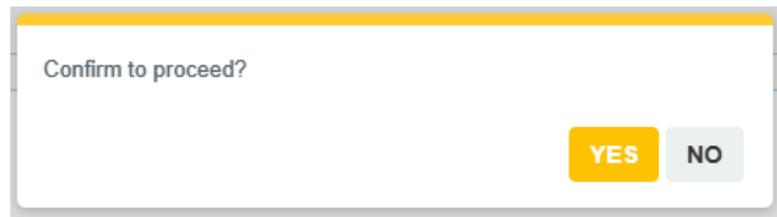


Diagram 53: Confirmation Message

- ii. System will show error message if user does not key-in the comment box.

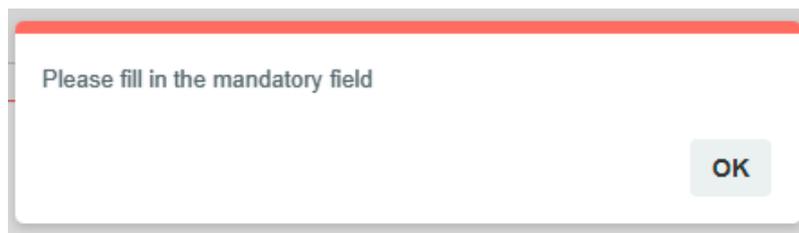


Diagram 54: Error Message

- iii. User click button . System will display successful message.

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	42

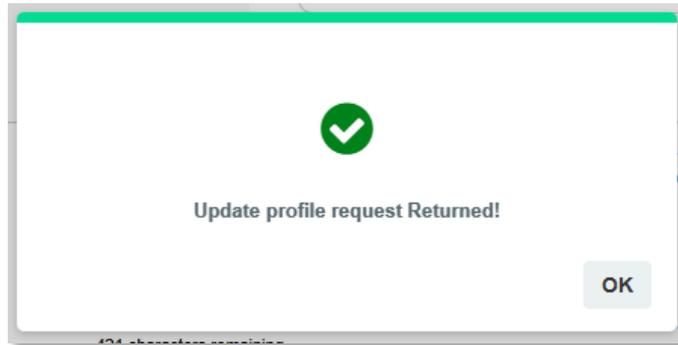


Diagram 55: Successful Message

- vii. System will return the application back to Consultant Maker with status “Returned - Consultant Approver”. System will navigate back to list of applications.

12. To reject the application, user click button  .

- i. System will prompt message “Confirm to proceed?”. User click button  .

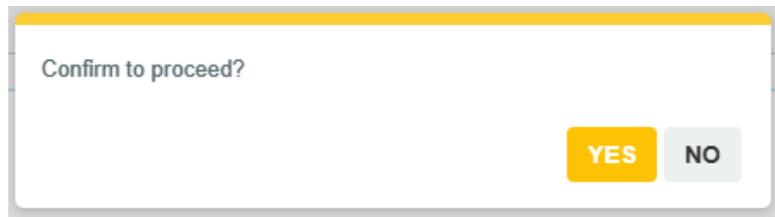


Diagram 56: Confirmation Message

- ii. System will display popup for user to key-in ground of rejection for rejecting consultant application.

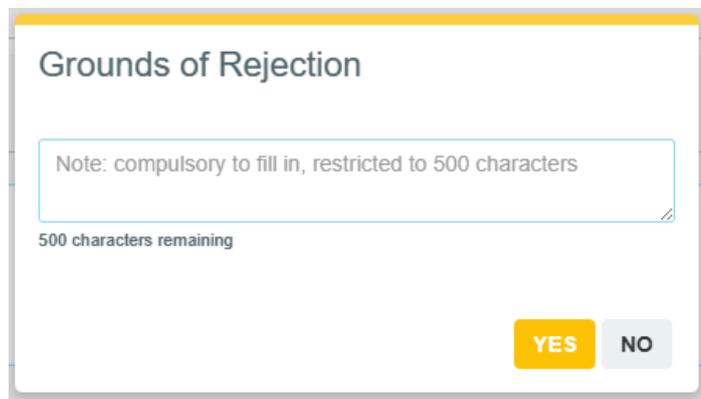


Diagram 57: Grounds of Rejection

 <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	0.2	17/03/25	43

- iii. User fill Grounds of Rejection and click **YES**. System will prompt successful message and application status change to “Rejected”.

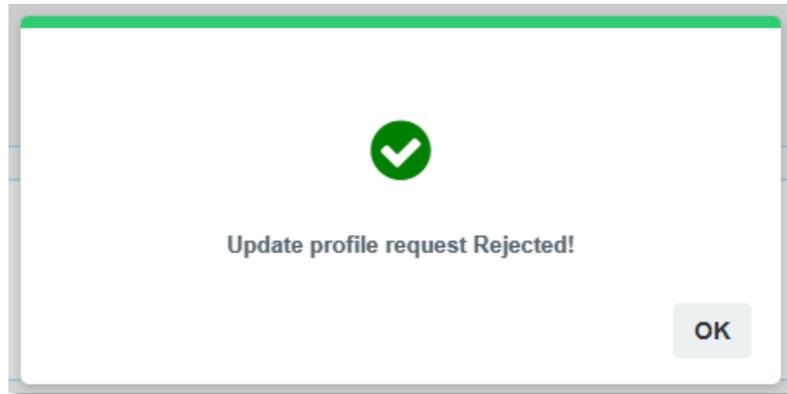


Diagram 58: Successful Message

- iv. System will show error message if user does not key-in the ground of rejection.



Diagram 59: Error Message

13. To submit the application, Consultant Approver click button **Submit**.

- i. System will prompt message “Confirm to proceed?” and FIMM RD click

**YES**

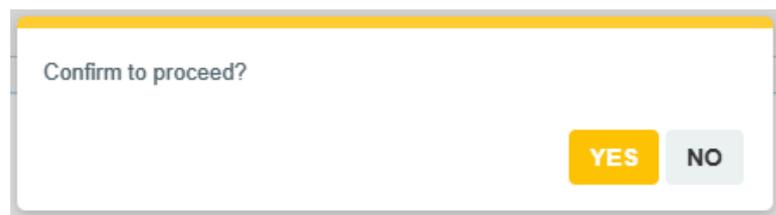


Diagram 60: Confirmation Message

 <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	0.2	17/03/25	44

- ii. System will display successful application message and system will navigate back to list of applications. Application status change to “Submitted”.

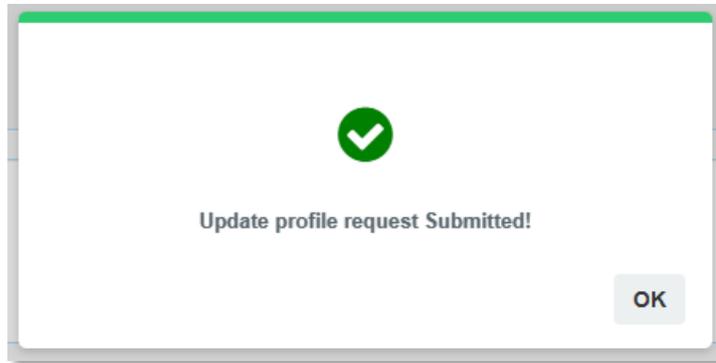


Diagram 61: Successful Application Message

### Failed CAS Screening

1. In List of Profile Update applications under column Action, user click button  at application with status “Pending CAS Confirmation”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	09-Mar-2025	Chen Li Fang	H78901234	F01002001	PRS	Suspended	Profile Update	Pending CAS Confirmation	
2	09-Mar-2025	Zulhilmi Bukhari	F56789012	F01001999	PRS	Active	Profile Update	Returned - RD	

Diagram 62: List of Profile Update applications

2. System will display previously submitted application and consultant details:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others
3. Under Screening section, user can view failed CAS status.
  - i. For conditional CAS Status, user can see remarks from LRA of the training need to attend to uplift the conditional status.
  - ii. Consultant Approver must approve the application submitted by Consultant Maker to re-direct the submission to RD.

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	45

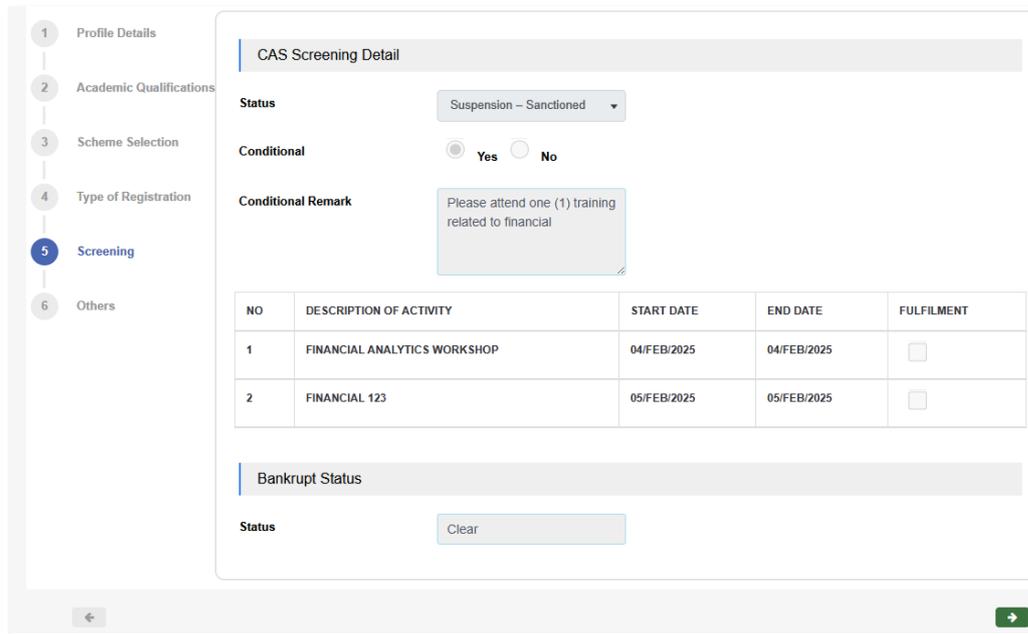


Diagram 63: Failed CAS Screening

## Failed Bankruptcy Screening

1. In List of Profile Update applications under column Action, Consultant Approver click button  at application with status “Pending Bankruptcy Confirmation”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	14-Mar-2025	Jessica Lim	N9012345	F02029223	UTS	Active	Profile Update	Rejected	
2	14-Mar-2025	Umairah binti Mansor	001201000121	F02029222	PRS	Active	Profile Update	Pending Bankruptcy Confirmation	

Diagram 64: List of Profile Update applications

2. System will display previously submitted application and consultant:
  - i. Profile
  - ii. Academic Qualification
  - iii. Scheme Selection
  - iv. Type Of Registration
  - v. Screening
  - vi. Others
3. Under Screening section, user can view consultant failed Bankruptcy Status.
  - i. Consultant Approver must approve the application submitted by Consultant Maker to re-direct the submission to RD.

FIMM 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	0.2	17/03/25	46

The screenshot shows a sidebar with navigation items: 1 Profile Details, 2 Academic Qualifications, 3 Scheme Selection, 4 Type of Registration, 5 Screening (selected), and 6 Others. The main content area is titled 'CAS Screening Detail' and contains a 'Status' dropdown menu with 'Clear' and a dropdown arrow. Below this is the 'Bankrupt Status' section, which is highlighted with a red border. It includes a 'Status' dropdown menu with 'Bankrupt' selected, and a 'Bankrupt Release Letter' field with a 'Choose File' button, 'N...SEN', and a file icon.

Diagram 65: Failed Bankruptcy Screening

## Returned – RD

1. In List of Consultant under column Action, user click button  at application with status “Returned – RD”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	09-Mar-2025	Chen Li Fang	H78901234	F01002001	PRS	Suspended	Profile Update	Pending CAS Confirmation	
2	09-Mar-2025	Zulhimi Bukhari	F56789012	F01001999	PRS	Active	Profile Update	Returned - RD	

Diagram 66: List of Update Profile applications

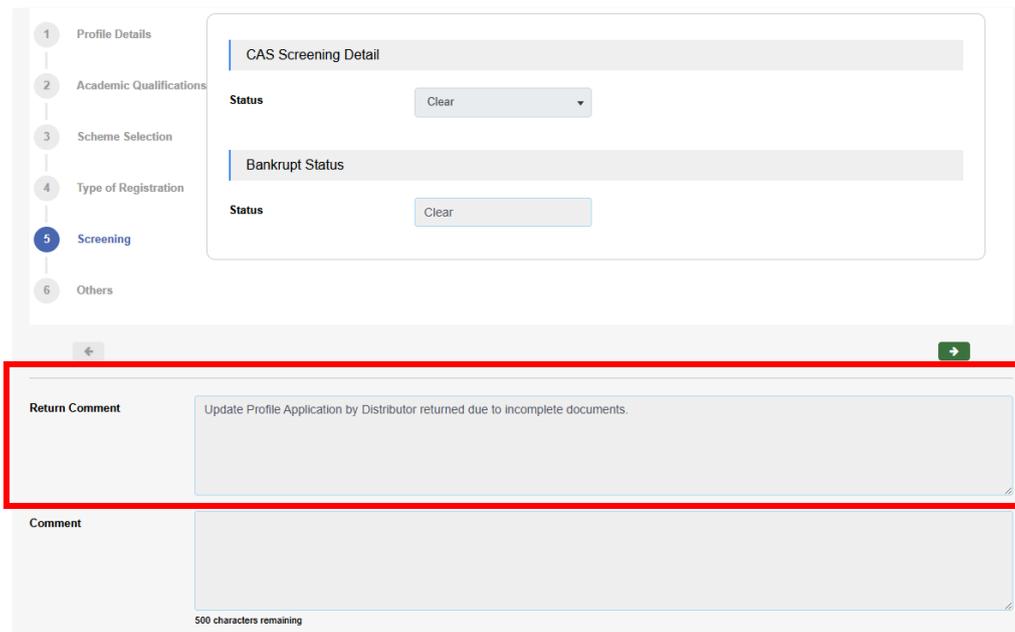
2. System will display previously returned application.

- i. Profile Details
  - a. Name
  - b. NRIC/Passport No
  - c. Nationality
  - d. Date Of Birth
  - e. Age
  - f. Race
  - g. Gender
  - h. Address
  - i. Postcode
  - j. City
  - k. State
  - l. Phone Number

 <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	0.2	17/03/25	47

- m. Alt Phone Number
    - n. Email Address
    - o. Photo
  - ii. Academic Qualification:
    - a. SPM/SVM
    - b. STPM/STAM
    - c. Diploma
    - d. Degree
    - e. Master
    - f. PhD
  - iii. Scheme Selection
    - a. Registration Status
    - b. Distribution Point
    - c. Distributor Selection
  - iv. Type Of Registration
    - a. Examination
    - b. Exemption
  - v. Screening
    - a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
    - b. Bankruptcy Screening (Clear/Bankrupted)
  - vi. Others
    - a. Supporting Document
    - b. Signed Consent Form
    - c. Declaration
  - vii. Return Comment (This field should have comment provided by FIMM RD)

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	0.2	17/03/25	48



The screenshot displays a web application interface for a profile application process. On the left, a vertical sidebar contains six steps: 1 Profile Details, 2 Academic Qualifications, 3 Scheme Selection, 4 Type of Registration, 5 Screening (highlighted with a blue circle), and 6 Others. The main content area is divided into two sections: 'CAS Screening Detail' and 'Bankrupt Status'. Each section has a 'Status' label and a 'Clear' button. Below these sections, a 'Return Comment' field is highlighted with a red border and contains the text: 'Update Profile Application by Distributor returned due to incomplete documents.' Below the 'Return Comment' field is a 'Comment' field with a 500-character limit.

Diagram 67: Returned – RD