

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 DISTRIBUTOR) GROUP: DISTRIBUTOR

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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.

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DOCUMENT CONTROL

Version History				
Version No	Version Date	Summary	Writer	
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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

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FMS	Funds Malaysia System
GM	General Manager

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

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RSD	Regulatory Services Division
SC	Security Commission Malaysia
SRFP	Shariah Registered Financial Planner
SRS	System Requirement Specification
ACRONYM	DESCRIPTION
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

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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

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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.

1.1.2 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.

1.1.3 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 Website: <u>https://www.fimm.com.my</u>

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CHAPTER 2: GENERAL SYSTEM INSTRUCTION

2.1 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** (<u>https://www.fimm.com.my</u>) 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:

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

2.1.1 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**.

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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

Successful Login

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

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3.9 Deactivation by Distributor

3.9.1 Deregistration Application by Consultant Maker

3.9.1.1 Process Flow



3.9.1.2 Manual Steps

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



Diagram 414: Consultant Menu

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2. User click submenu 'Deregistration'.



Diagram 415: Consultant's Submenu

3. System will display List of Deregistration Application

List of Deregistration	on Application			
Show 10 ~	entries		Search:	
NO 🔻	SUBMISSION DATE	APPLICATION TYPE	STATUS \$	ACTION
1	04-Mar-2025	Contractual	Approved	۲
2	26-Feb-2025	Resignation	Approved	9

Diagram 416: List of Deregistration Application

4. System will display filter function as follows:

Type of De	eregistration		Status				
Choo	ose	~	- Choose		~		
Submissi	on Date						
From	ddyyy	y 🗖	Until	ddyyyy			
						Ø Reset Q Find	+ New Deregistration
			Di	iagram 417: Fi	lter		
	5. derea	System will d	isplay t ation:	outton 🕂	lew Deregistration	to add req	uest new
	6.	Consultant M	laker in	put in the fil	ter and click o	Q Find	and system wil

display the listing table based on user input in the filter.

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7. Consultant Maker can choose total records to display per page from dropdown.

System will display the list based on total records chosen.

Show	10	~	entries
	10		
	25		
	50	1	
	100		



8. User can click button 'Previous' or 'Next' to navigate to next listing page. System will display the next/previous listing page.

Concentration of the second	Previous	1	2	3	4	5	1222	43	Next
---	----------	---	---	---	---	---	------	----	------

Diagram 419: Pagination

9. Consultant Maker 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	APPLICATION TYPE	STATUS 🌩	ACTION
1	04-Mar-2025	Contractual	Approved	0
2	26-Feb-2025	Resignation	Approved	0

Diagram 420: Keyword Search

10. User click button or or or in the Action column in the List of Deregistration Application listing table .

						Ø Reset Q Fin	d 📕 🕂 New Deregistration
_ist of	Deregis	strati	ion Application				
Show	10	¥	entries			Search:	
	NO	•	SUBMISSION DATE	¢	APPLICATION TYPE	\$ STATUS 🔶	ACTION
	1		04-Mar-2025		Contractual	Approved	0
	2		26-Feb-2025		Resignation	Approved	0

Diagram 421: List of Deregistration Application

11. System will navigate user to Deregistration page and display details in section as follows:

i. List of Consultant section

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v 1	0 🗸 entries				Search:	
10 🗸	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO 🛛 🕴	SCHEME \$	REGISTRATION STATUS	ACTIO
1	NURAYLIA SALSABILA (FR)	801020010102	F01029227	UTS	Active	
2	ZAFRINA NAYLA (FR)	801020010101	F01029226	UTS	Active	
3	Jessica Lim	N9012345	F02029223	UTS	Active	
4	Umairah binti Mansor	001201000121	F02029222	PRS	Active	
5	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	
6	Zuraidah binti Aziz	980808085008	F02029221	UTS	Active	
7	HAIQAL ZAFRUL (FR)	801020010099	F01029220	UTS	Active	
8	AIMAN RAIS (FR)	801020010098	F01029219	UTS	Active	
9	DANISH ZULKARNAIN (FR)	801020010097	F01029218	UTS	Active	
10	ZIYAD AFNAN (FR)	801020010096	F01029217	UTS	Active	

Diagram 422: List of Consultant section

ii. Consultant(s) To Deregister section

onsultant(s	s) to Deregister						4	Upload 📀	Deregister
Show 10	✓ entries						Search:		
NO 🚽	CONSULTANT NAME	¢	NRIC/PASSPORT NO	FIMM NO	÷	SCHEME 👙	REGISTRATION STATUS	\$ AC	TION
				No data available in tal	ble				
Showing 0 to	0 of 0 entries							Previous	Next
									Back

Diagram 423: Consultant(s) To Deregister section

12. System will also button as follows:



13. In List of Consultant section, system will display listing table of List of Consultant as follows:

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Note: Action (User able to select one or more consultant(s) from the list by tick in the 'Tick Box'.)

NO 🔻	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO 🔶	SCHEME \$	REGISTRATION STATUS	ACTION
1	NURAYLIA SALSABILA (FR)	801020010102	F01029227	UTS	Active	
2	ZAFRINA NAYLA (FR)	801020010101	F01029226	UTS	Active	

Diagram 424: List of Consultant section

14. In Consultant(s) To Deregister section, system will display listing table based on the

consultant that have been selected by user after user click

+ Add to Deregister button or have been uploaded by user with columns as follows:

Note: Action (Note: User able to remove the consultant from the list by clicking on on button)

NO 🗸	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME \$	REGISTRATION STATUS	ACTION
1	Senrose Alia (W)	D45675678	F02029109	PRS	Active	8
2	Satar bin Ali	860707065678	F01001303	UTS	Active	8

Diagram 425: Consultant(s) To Deregister section

15. To add consultant into the Consultant(s) To Deregister section, Consultant Maker tick

the checkbox in Action column in the List of Consultant and click

button

+ Add to Deregister

	Sattorn				
uitants					+ Add to Deregist
entries				Search:	
CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO 🔶	SCHEME \$	REGISTRATION STATUS	ACTION
NURAYLIA SALSABILA (FR)	801020010102	F01029227	UTS	Active	
ZAFRINA NAYLA (FR)	801020010101	F01029226	UTS	Active	
	ultants entries CONSULTANT NAME	Image: million of the second	iultants entries consultant name NIRC/PASSPORT NO FIMM NO NURAYLIA SALSABILA (FR) 801020010102 F01029227 ZAFRINA NAYLA (FR) 801020010101 F01029226	Image: second	Autival NRIC/PASSPORT NO FIMM NO Scheme REGISTRATION STATUS Consultant NAME Consultant NAME Consultant NAME REGISTRATION STATUS Consultant NAME Consultant NAME

Diagram 426: List of Consultants

16. System will prompt successful message and update the list of Consultant(s) To Deregister.

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			1			
		V				
	1 Consul	tant has been added to	deregistration list			
			ок			
	1400 12040	1.024	23223 010			
	Di	agram 427: Succes	sful Message			

NO 🚽		NRIC/PASSPORT NO	FIMM NO	SCHEME \$	REGISTRATION STATUS	ACTION
1	NURAYLIA SALSABILA (FR)	801020010102	F01029227	UTS	Active	8
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	8
3	Satar bin Ali	860707065678	F01001303	UTS	Active	8

Diagram 428: Updated list of Consultant(s) To Deregister

17. Consultant Maker can choose total records to display per page from dropdown Consultant(s) to Deregister listing table. System will display the list based on total records chosen.

Show	10	~	entries
NG	10		
NC	25		ULIANI
1	50		
	100		

Diagram 429: Entries

18. User can click button 'Previous' or 'Next' to navigate to next listing page of Consultant(s) to Deregister. System will display the next/previous listing page.



Diagram 430: Pagination

19. Consultant Maker can filter the Consultant(s) to Deregister list by keyword by inputting the keyword in search box. System will display record which contain the keyword.

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Show 10	✓ entries				Search:	
NO 🔻	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME 🖕	REGISTRATION STATUS	ACTION
1	NURAYLIA SALSABILA (FR)	801020010102	F01029227	UTS	Active	8
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	8



20. Consultant Maker can upload list of consultants to deregister by clicking button.

i. System will display a pop-up Upload File will for user to upload consultant list.

ii. Before uploading the file, user must download the template below the 'Choose File' field where system display as following

Upload File		×
Upload	Choose File No file chosen * Only Excel with maximum size of 5MB is allowed. Download template here	
	Discard	Upload

Diagram 432: Popup for Upload File

iii. Consultant Maker upload file and click

Upload button in the pop – up.

iv.System will prompt a message "Upload successful." and show a pop-up summary of Successful and Failed report from the uploaded list.

<image/> Image: Medicing (FMM) ZetWO/FMM/UH/V0.1 User Medicing (FMM) O 24/03/2 2 Image: Medicing (FMM) User Medicing (FMM) O 24/03/2 2 Image: Medicing (FMM) User Medicing (FMM)		Project	Reference	File	Version	Date	Page
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<image/> <text><text><text><list-item><list-item><list-item></list-item></list-item></list-item></text></text></text>							
<image/>							
Updad Successful No of consultant found: ? No of consultant not found: ? No of consultant not found: ? No for consultant not found: ? Degram 433: Upload Summary No System updates the list of Consultant(s) To Deregister Not for uploaded to the list of Consultant(s) To Deregister Not not not be saved or uploaded to the list of Consultant(s) To Deregister 1. Consultant Maker click Deregister button. 1. System will prompt a message "Confirm to proceed?" . Confirm to proceed? . Confirm to proceed?							
No of consultant found: 1 No of consultant not found: 1 No of consultant found: 1 No of consult			Upload Successful	C			
 In the rest of Consultant Nortour. I In the ortenational for tourist. I In the provided of the list of Consultant(s) To Deregister I. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister I. Consultant Maker click Image: Image: Image		Ι,	No of consultant found:	: 2 			
<image/> <text><text><list-item><list-item><list-item><list-item></list-item></list-item></list-item></list-item></text></text>			to of consultant not four				
 Digram 433: Upload Summary A. System updates the list of Consultant(s) To Deregister A. If Consultant Maker click Discard button in the pop – up. A. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister A. System will prompt a message "Confirm to proceed?". 		1		ок			
 Diagram 433: Upload Summary v. System updates the list of Consultant(s) To Deregister v. If Consultant Maker click Discard button in the pop – up. a. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click Deregister button. i. System will prompt a message "Confirm to proceed?". 			NI	HIGH AVAILABLE IN LADIE			
 v. System updates the list of Consultant(s) To Deregister vi. If Consultant Maker click button in the pop – up. a. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click button. i. System will prompt a message "Confirm to proceed?". 			Diagram 433: Upload	Summary			
 vi.If Consultant Maker click Discard button in the pop – up. a. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click Deregister button. i. System will prompt a message "Confirm to proceed?". 		v. System upda	tes the list of Cons	ultant(s) To Deregist	er		
 vi.If Consultant Maker click button in the pop – up. a. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click button. i. System will prompt a message "Confirm to proceed?". 			Disca	rd			
 a. System will close the pop-up and data will not be saved or uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click button. i. System will prompt a message "Confirm to proceed?". 		vi. If Consultant	Maker click	button in the po	p – up.		
uploaded to the list of Consultant(s) To Deregister 21. Consultant Maker click Deregister button. i. System will prompt a message "Confirm to proceed?". Confirm to proceed? VES NO Diagram 434: Confirmation Message		a. System	will close the pop	-up and data will not	be saved	or	
 21. Consultant Maker click button. i. System will prompt a message "Confirm to proceed?". 		upload	ded to the list of Co	onsultant(s) To Dere	gister		
 Consultant Maker Click button. System will prompt a message "Confirm to proceed?". 	04	Consultant	Dereg	ister			
i. System will prompt a message "Confirm to proceed?".	21.	Consultant M		button.			
Confirm to proceed?		i. Syste	m will prompt a me	essage "Confirm to p	roceed?".		
Confirm to proceed?		-					
Diagram 434: Confirmation Message		A Confirm to pr	oceed?		s		
Diagram 434: Confirmation Message		J					
Diagram 434: Confirmation Message				YES NO)		
Diagram 434: Confirmation Message		<i>4i</i> .					
Diagram 757. Commination Message		Di	agram 434: Confirmati	on Message			

ii. If user click

yes, system will display prompt message

'Deregistration

Application has been successfully created' proceed to Deregistration Details page.

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	e 4.	•		S/		
	J Deregistr	ation Application has	been successfully created	-		
			ок	-		



- iii. If user click NO, system will stay at current page.
- 22. Consultant Maker user clicks 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?".

Unsaved data v	vill be lost. Do you want to contin	ue?	s
		YES	NO
	000101000010		

Diagram 436: Confirmation Message

ii. If user click , system will discard all data that have entered by user and route back to previous page.

iii. If user click , system will stay at current page.

23. System navigate Consultant Maker user to Deregistration Details page. System will display Deregistration Details of Consultant(s) by section:

- i. Deregistration Details Section,
 - a. Deregistration Type (dropdown)
 - Resignation
 - Contractual
 - Deceased
 - Non Renewal
 - Misconduct
 - Bankruptcy
 - b. Effective Date Type (Dropdown Button)
 - Bulk
 - Individual

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c. Deregistration Effective Date (Only appear if user choose Bulk Effective Date Type)

Details				
Deservision Details				
Deregistration Details				
Deregistration Type*	Contractual	~		
Deregistration Effective Date *	Bulk	~		
Deregistration Effective Date*	dd/mm/yyyy			
				Upd

Diagram 437: Deregistration Details Section

ii. Consultant Deregistration List section,

Note: Action (Note: User able to remove the consultant from the list by clicking on ³ button)

10	NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	dd/mm/yyyy	±	-	-	8	-
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	dd/mm/yyyy	2	-		8	-

Diagram 438: Deregistration List section

iii. System will also display buttons as follows:
Submit
Save
Discard
Back
a.
b.
c.

d.

24. Consultant Maker select Deregistration Type Resignation or Contractual or Deceased or Non – Renewal.

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- i. System will enable user to choose Effective Date Type as follow:
 - a. Bulk
 - b. Individual

Deregistration Details -		
Deregistration Type*	Deceased	Ŷ
Deregistration Effective Date *	Choose	~
	- Choose -	
	Individual	51
	Bulk	

Diagram 439: Deregistration Effective Date Type

 ii. Consultant Maker select Bulk as the Effective Date Type.
 a. System enable user to input Deregistration Effective Date field below Deregistration Effective Date Type.

Deregistration Type*	Deceased	~
Deregistration Effective Date * Type	Bulk	~
Deregistration Effective Date*	dd/mm/yyyy	

Diagram 440: Deregistration Effective Date Type - Bulk

b. Consultant Maker input Deregistration Effective Date. User click

Update

Effective Date Type or Effective Date only for bulk in order for the system to reset the data)

- c. System will run submission rule check,
 - If user input does not pass the submission rule, pop up message will appear.

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•	
Late Submission Detected You are required to provide your justification	
	ок

Diagram 441: Popup Message

• Justification column will be mandatory in the Deregistration List.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	17 February 2	1			8	
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	17 February 2	2	-	*	8	

Diagram 442: Justification column

• User must click and system will pop-up Justification field for user to fill in.

Justification	×
Enter justification here	
500 characters remaining	
	Discard Save

Diagram 443: Justification field

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d. System will automatically fill the Deregistration Effective Date column field in the List of Selected Consultant for each consultant in the list.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	17 February 2				۲	
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	17 February 2	2	÷	*	۲	

Diagram 444: Deregistration Effective Date column – Bulk

iii. Consultant Maker select Individual as the Deregistration Effective Date Type.

a. System enable user to input in the Effective Date column field in the List of Selected Consultant for each consultant in the list.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	JPLOAD	DOCUMENT	STATUS
1	Satar bin Ali	8607070 <mark>6</mark> 5678	F01001303	UTS	Active	dd/mm/yyyy	1	-	-
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	dd/mm/yyyy	1	-	-

Diagram 445: Deregistration Effective Date Type - Individual

b. Consultant Maker input Effective Date and system will run submission rule check

c. If user input does not pass the submission rule, pop – up message will appear.



Diagram 446: Popup Message

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d. Justification column will be mandatory in the Deregistration List.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	14 February 2	1	+			Ø
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	Ł		~	0	

Diagram 447: Justification column

e. User must click and system will pop-up Justification field for user to fill in.

Justification	×
Enter justification here	
500 characters remaining	<i>b</i>
500 characters remaining	
	Discard Save

Diagram 448: Justification Field

f. System display user's input inside the Effective Date column field in the List of Selected Consultant for each consultant in the list.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	17 January 2(2			*	
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	1	7	æ	8	-

Diagram 449: Deregistration Effective Date Type column – Individual

iv. Consultant Maker upload document(s) in Documents column field in the listing table.

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NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202	1	-	-	8	-
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	£	-	-	0	-

Diagram 450: Upload Document(s) in the listing table

v. System will display the document(s) name in the Documents column field in the listing table uploaded by user.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAL	DOCUMENT	TATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202		SupportDoc.pdf	100	8	15
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202				8	-

Diagram 451: Uploaded Document Name

- 25. Consultant Maker select Deregistration Type Misconduct or Bankruptcy.
 - i. System only allow user to choose Deregistration Effective Date Type 'Individual'

Deregistration Details		
Deregistration Type*	Misconduct	×
Deregistration Effective Date *	Choose	~
	- Choose -	
	Individual	

Diagram 452: Deregistration Type - Misconduct

ii. User click button (Note: If user change deregistration Type in order for the system to reset the data)

iii. User insert Effective Date in the column field in the List of Selected Consultant for each consultant and system will run submission rule check.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	dd/mm/yyyy		143	2	8	~
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	dd/mm/yyyy	£	1423	2	8	~

Diagram 453: Input Deregistration Effective Date

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a. If user input does not pass the submission rule, pop – up message will appear.

e			
	(Ð	
	Late Subm	ission Detected	-
1	You are required to p	provide your justification	
			ок
A	HILLS /	NEOIGI	-

Diagram 454: Popup Message

b. Justification column will be mandatory in the Deregistration List.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	14 February 2	1			۲	
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	2	-	-	0	

Diagram 455: Justification Column

c. User must click and system will pop-up Justification field for user to fill in.

Justification	×
Enter justification here 500 characters remaining	~
	Discard Save

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Diagram 456: Justification Field

iv. System display user's input inside the Deregistration Effective Date column field in the List of Selected Consultant for each consultant in the list.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	14 February 2	2	-21	~		
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202		-	2	8	

Diagram 457: Deregistration Effective Date Type column

v. Documents column field in the List of Selected Consultant become mandatory.

a. System will prompt error message if user does not upload document(s).

Please upload required docume	nt	_
		ок
	TO MAILITZUZ	

Diagram 458: Error Message

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202	2	-	-	8	-
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	2		~	8	100

Diagram 459: Mandatory Document(s) Upload field

b. Consultant Maker user upload document(s) in Documents column field in the listing table. System will display the document(s) name in the Documents column field in the listing table uploaded by user.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202		Proof of Membership.pdf	-	0	
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202		Others Cert.pdf		0	~

Diagram 460: Uploaded Document's Name column

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26. In Action column field, Consultant Maker click ³⁰ to remove the consultant from the listing table.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202	2	SupportDoc.pdf	-	8	-
2	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	2	TrainingCert.pdf		0	100

Diagram 461: Remove Consultant from Deregistration List

27. To submit the application, Consultant Maker click button

i. The system will prompt message "Confirm to proceed?" and user click button



Diagram 462: Confirmation Message

- ii. System will check on the required data,
 - a. If all required fields have been filled in, system will prompt successful message.



Diagram 463: Successful Message - Deregistration

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b. If user does not fill in any of the required fields, system will prompt error message according to the required fields.

- iii. If user click , system will stay at current page.
- 28. To save the application, Consultant Maker click Save button.

i. System will prompt a message "Saved as draft!" and close the application.



Diagram 464: Successful Message - Save

- ii. Unfilled fields will be highlighted for the user to fill in.
- 29. To discard the application, user click button

i. System will prompt a message "Discarded draft cannot be recovered?"





ii. If user click system will prompt successful message and close the application.

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tion of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	32
		Revocation requ	uest deleted!	2) 		
	D	iagram 466: Success	ful Message			
30.	iii. If user If Consultant i. Syster you want to c	r click NO , sys Maker click ^{Back} m will prompt a m continue?"	and all required field essage "Unsaved data	t page. ds had be will be lo	een filled ost. Do	in:
Uns	aved data will be lost.	Do you want to con	tinue? YES NO			
	Dia	agram 467: Confirma	tion Message	-		
	ii. If user entered by us	click YES , sy ser and route bac	stem will discard all da k to previous page	ta that ha	ive	
	iii. If user application a	click NO , used nd system will sta	r will continue to edit / u ly at current page.	update the	e	
Retur 1. but Ap	ned – Consultar In List of Dere tton ^C at Deregis prover'.	nt Approver egistration Applica	ation under column acti n with status 'Returned	on, user - Consul	click tant	

2	17-Mar-2025	Misconduct	Submitted	٢
3	17-Mar-2025	Contractual	Returned - Consultant Approver	0

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Diagram 468: Deregistration Application - Returned by Consultant Approver

2. Status column field in the List of Selected Consultant changed based on the user action in the Action column field (Note: If approved it will be approved, if rejected it will be rejected when return the application)

0	NAME	PASSPORT NO	FIMM NO	SCHEME	STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUST
	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202	2	SupportDoc.pdf 💿 💼	Approved	8	
	Senrose Alia (W)	D45675678	F02029109	PRS	Active	18 March 202	2	TrainingCert.pdf	Rejected	8	
	(**)										
Com	ment										

Diagram 469: Deregistration List - Returned by Consultant Approver

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3.9.2 Deregistration Review by Consultant Approver 3.9.2.1 Process Flow



3.9.2.2 Manual Steps

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



Diagram 470: Consultant Menu

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2. User click submenu 'Deregistration'.



Diagram 471: Consultant's Submenu

3. System will display List of Deregistration Application

List of Dereg	istration Application											
Show 10	Show 10 v entries Search:											
NO 🗸	SUBMISSION DATE	APPLICATION TYPE	STATUS	ACTION								
1	17-Mar-2025	Contractual	Pending Approval - Consultant Approver									
2	04-Mar-2025	Contractual	Approved	0								
3	26-Feb-2025	Resignation	Approved	٢								

Diagram 472: List of Deregistration Application

4. System will display filter function as follows:

	istration		Status			
Choose	-	~	- Choose	e	~	
Submission Da	late					
From	ddyyyy		Until	ddyyyy		

Diagram 473: Filter

5. Consultant Approver input in the filter and click on will display the listing table based on user input in the filter.

and system

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6. Consultant Approver can choose total records to display per page from dropdown.

System will display the list based on total records chosen.

entries	~	10	Show
eur		10	
SUE		25	NC
		50	1
		100	

Diagram 474: Entries

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

Previous	1	2	3	4	5	(111)	43	Next

Diagram 475: Pagination

8. Consultant Approver 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	APPLICATION TYPE	STATUS	ACTION
1	17-Mar-2025	Contractual	Pending Approval - Consultant Approver	Ø
2	04-Mar-2025	Contractual	Approved	٢

Diagram 476: Keyword Search

9. User click or in the Action column in the List of Deregistration Application listing table.

NO 🔻	SUBMISSION DATE	APPLICATION TYPE	STATUS ≑	ACTION
1	17-Mar-2025	Contractual	Pending Approval - Consultant Approver	
2	04-Mar-2025	Contractual	Approved	0

Diagram 477: List of Deregistration Application

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10. System will display Deregistration Details of Consultant(s) by section:i. Deregistration Details Section,

a. Deregistration Type

Deregistration Detail	S		
Deregistration Type	Contractual	~	

Diagram 478: Deregistration Details Section

ii. Consultant Deregistration List section,

Documents (Note: User able to view or download the document)

10	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
	Satar bin Ali	860707065678	F01001303	UTS	Active	18 March 202!	1	SupportDoc.pdf	-	Approve C Reject	5.80 1
	Senrose Alia	D45675678	F02029109	PRS	Active	18 March 202!	2	TrainingCert.pdf	-	O Approve O Reject	-

Diagram 479: Consultant Deregistration List section

a. Justification

 User able to see the justification if failed the submission rule check by Consultant Maker

NO	NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATIO
	Tiara binti Adnan (W)	001201000120	F02020111	UTS	Active	18 February 20	2	Others Others	8	Approve C Reject	

Diagram 480: Justification column

iii. Comment section (will be mandatory if user return application)

Comment		
500 characters remaining		li li
	Back Return	Approve Reject

Diagram 481: Comment section

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- 11. System will also display buttons with conditions as follows:
 - i. For Deregistration Type, Resignation or Contractual or Deceased or Non Renewal.

а	Approve
	 If the Action column in List of Selected Consultant only choose Approved by user
b	Return
	 If the Action column in List of Selected Consultant choose one or more Reject by user
С	Reject
	 If the Action column in List of Selected Consultant choose one or more Reject by user
d	Back
ii.	For Deregistration Type, Misconduct or Bankruptcy
а	Submit
	If the Action column in List of Selected Consultant only choose Approved by user
b	Return
	If the Action column in List of Selected Consultant choose one or more Reject by user
с	Back

12. Consultant Approver choose only Approve in the Action column of the List of Selected Consultant.

i. For Deregistration Type, Resignation or Contractual or Deceased or Non – Renewal.



a. button will allow to click for user to submit and or

Return

button disable.

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ULTANT	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	
bin Ali	860707065678	F01001303	UTS	Active	18 March 202	1	SupportDoc.pdf	Approved	Approve O Reject	
se Alia	D45675678	F02029109	PRS	Active	18 March 202	2	TrainingCert.pdf 💿 🛅	Approved	Approve O Reject	
ment										
ment										

Diagram 482: Deregistration List – Approve button

b. Consultant Approver user click button and system will prompt a message "Confirm to proceed?"

s NO	,
1	ES NO

Diagram 483: Confirmation Message



- System will proceed run late submission checking.
- If not late submission, system will update general termination /
 resignation status update to Consultant Maker.
- If late submission (Note: for newly detected late submission which justification has not been made by the Consultant Maker, user has to key in the justification)



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Diagram 484: Error Message

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION	JUSTIFICATION
1	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	18 February 2		Others Cert.pdf		Approve O Reject	



d. Status column field in the List of Selected Consultant changed to Approved.

- e. If user click , system will stay at current page.
- ii. For Deregistration Type, Misconduct or Bankruptcy

a.	Submit	button will allow to click for user to submit and
Return	button	will be disable.

NO	CONSULTANT NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION
	Sazrose Abby (W)	F67899101	F02029112	UTS	Active	18 March 202		Cert Edu 💿 🛅 Ijazah.pdf	Approve	Approve Reject
									51	
nt										
nt										
ent										

Diagram 486: Deregistration List – Submit button

b. Consultant Approver click ^{Submit} button and system will prompt a message "Confirm to proceed?"

ed?
YES NO

Diagram 487: Confirmation Message

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c. If user click , system will route to FIMM RD for next approval. System will prompt a message "Deregistration Request Submitted!".



Diagram 488: Successful Message

d. Status column field in the List of Selected Consultant changed to Approved.

10	NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION
1	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	18 February 2	2	Others Cert.pdf	Approved	Approve R





13. Consultant Approver choose one or more Reject in the Action column of the List of Selected Consultant.

i. For Deregistration Type, Resignation or Contractual or Deceased or Non – Renewal.

a. Approve button will not able to click and user will only able to return

s Malaysia	Federation of Managers Ma	FInvestme Ilaysia (FII	reject t	ZANKO/FIMM/U	JM/V0.1	User Ma	nual Document		1.0	24/03/25
Dereg	istration List	1	reject t							•
Dereg	istration List		-	he applic	ation	by clicking	Return	or	Reject	button.
NRIC /	O FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS		ACTION	JUSTIFICATION
70706567	78 F01001303	UTS	Active	18 March 202		SupportDoc.pdf	Approved	App	orove 🔿 Reject	
45675678	3 F02029109	PRS	Active	18 March 202		TrainingCert.pdf	Rejected	O App	orove 🔘 Reject	
4										•
omment										
00 characters r	remaining							Г		

Diagram 490: Deregistration List – Return / Reject button

ii. For Deregistration Type, Misconduct or Bankruptcy

a. Submit button will not able to click for user and user only able to



Diagram 491: Deregistration List – Return button

iii. Consultant Approver click button and system will prompt a message "Confirm to proceed?".

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	Confirm to pro	ceed?		-		

Diagram 492: Confirmation Message

a. If user click , user must fill in comment field and system will prompt successful message.

		-
e	Deregistration Request Returned!	
		ок

Diagram 493: Successful Message - Returned

b. System will prompt error message if user does not fill in the comment field.

Please fill in the mandatory field	
	ок

Diagram 494: Error Message

c. Status column field in the List of Selected Consultant changed based on the user action in the Action column field.

14. Consultant Approver user 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?"

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		•				
	Unsaved data w	ill be lost. Do you wa	nt to continue?	- 1		

	YES	NO
 Diagram 495: Confirmation Message		

ii. If user click , system will discard all data that have entered by user and route back to previous page.

iii. If user click , system will stay at current page.

Returned – RD

1. In List of Deregistration Application under column action, user click *line* button at deregistration application with status 'Returned – RD'.

SUBMISSION DATE	APPLICATION TYPE	ACTION	
17-Mar-2025	Misconduct	Pending Approval - Consultant Approver	Ø
17-Mar-2025	Misconduct	Returned - RD	0
	SUBMISSION DATE \$ 17-Mar-2025 17-Mar-2025	SUBMISSION DATE Image: Application type 17-Mar-2025 Misconduct 17-Mar-2025 Misconduct	SUBMISSION DATE APPLICATION TYPE STATUS 17-Mar-2025 Misconduct Pending Approval - Consultant Approver 17-Mar-2025 Misconduct Returned - RD

Diagram 496: Deregistration Application - Returned by FIMM RD

2. Status column field in the List of Selected Consultant changed based on the user action in the Action column field (Note: If approved it will be approved, if rejected it will be rejected when return the application)

NO	NAME	NRIC / PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	DEREGISTRATION EFFECTIVE DATE	UPLOAD	DOCUMENT	STATUS	ACTION
1	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	18 February 2	2	Others Cert.pdf	-	Approve O Reje
Cor	nment									

Diagram 497: Deregistration List - Returned by FIMM RD

	Project	Reference	File	Version	Date	Page
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