

# CIRCULAR



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To:	UTMC, IUTA, CUTA, PRS PROVIDER, IPRA AND CPRA		
Attn:	Authorised Representative / Chief Executive Officer		

## 2017 FIMM SEMINARS: SECOND SERIES

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### 1.0 General

- 1.1 We are pleased to announce the second series of 2017 FIMM Seminars (2017 FIMMSEM). The objective of the 2017 FIMMSEM is to provide Continuing Professional Development (CPD) opportunity in the form of seminars to the Unit Trust Consultants and Private Retirement Scheme Consultants (collectively referred to as "Consultants") that aims to enhance skills and knowledge of Consultants in marketing and distribution of unit trusts and/or private retirement schemes.
- 1.2 The second series of 2017 FIMMSEM includes 7 seminars will be held in Kota Kinabalu, Kuala Lumpur, Ipoh, Penang, Kuching and Johor Bahru (please refer to schedule). The topics as well as speakers for the seminars are selected based on assessments and selection conducted as well as feedback received from previous events.
- 1.3 Details of the second series of 2017 FIMMSEM that include seminar schedule and speaker profile are enclosed as Appendix 1. We would like to take this opportunity to invite all Members and Registered Persons to enrol your Consultants for these seminars.

### 2.0 Awarding of CPD/ CPE Points

- 2.1 All participants who have attended any of the seminars and fulfilled the attendance requirements will be awarded eight (8) CPD points by FIMM.
- 2.2 You may note that 4 of the seminars are also accredited by Securities Industry Development Corporation (SIDC) for CPE purposes. Hence, holders of Capital Markets Services Representative's Licence (CMSRL) and Employees of Registered Persons (ERP) who attended the seminar will be accorded 10 CPE points, in addition to FIMM 8 CPD points.

2.3 Details on the attendance requirements as well as other seminar policies and procedures can be found in the attached Appendix 2.

### **3.0 Seminar Fee**

3.1 Kindly be informed that the seminar fee is RM84.80 per participant for Consultants or RM265.00 per participant for public. Fees quoted are inclusive of 6% GST. The seminar package includes two tea breaks, one lunch and certificate of attendance.

3.2 For every 5 participants registered for the seminar, the sixth participant from the same Member/Registered Person to the same seminar will be **free of charge**.

### **4.0 Registration for Seminars**

4.1 Consultants who are interested to attend any of the 2017 FIMMSEM must submit their registration via Members and Registered Persons. No direct registration from Consultants will be accepted.

4.2 Members and Registered Persons may register your Consultants for the seminar(s) by completing the Registration Form (Appendix 3) and return it to FIMM. FIMM will deal with interested individuals from public for registration.

4.3 Kindly submit the registration form before the closing date of each seminar. Registration is based on **first-come, first-served basis**. Given that the seats are limited for each seminar, you are strongly encouraged to submit registration soonest to avoid disappointment.

### **5.0 Distribution of Seminars and Registration Details to Consultants**

5.1 Kindly be reminded that all Members and Registered Persons must ensure that all Consultants attached to your company are aware of the 2017 FIMMSEM as well as other information that are pertinent to timely and successful registration for the seminars.

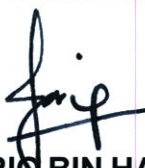
5.2 The schedule for the second series of 2017 FIMMSEM are available on FIMM Website, [www.fimm.com.my](http://www.fimm.com.my).

We look forward to your continued support and participation in our seminars.

Thank you.

Yours faithfully,

**FEDERATION OF INVESTMENT MANAGERS MALAYSIA**



**FARID BIN HASSAN**

Interim Chief Executive Officer

**Schedule for the Second Series of 2017 FIMM Seminars**

No	Venue	Date/Time /Day	Closing Date	Speaker	Topic
1	Grandis Hotel Kota Kinabalu	26 July 2017 (Wed)	19 July 2017 (Wed)	Azhar Iskandar Hew (SIDC CPE- approved: 10 CPE Points)	<b>Practical Aspects of Estate Planning in Malaysia for Muslims and Non-Muslims</b>  Identify the different estate planning tools available for Muslims and non-Muslims as well as why estate planning is important in the distribution of wealth
2	Sime Darby Convention Centre Kuala Lumpur	3 August 2017 (Thu)	27 July 2017 (Thu)	Muhammad Fua'ad Abdul Rahman	<b>Personality Plus Selling Workshop</b>  Personality Plus programme is about people skills. Knowing how to understand our inner self, improve our personalities and learn to get along well with others, which is a vital skill that we all need to learn as early as possible in life. Especially dealing with customers.
3	Tower Regency Hotel  Ipoh	10 August 2017 (Thu)	3 August 2017 (Thu)	Dr. Ch'ng Huck Khoo  (SIDC CPE- approved: 10 CPE Points)	<b>Brilliant Investment Strategies in Current Economic Climate</b>  Relate market and economic cycles to investment performance and determine the best timing strategies and portfolio structure



No	Venue	Date/Time /Day	Closing Date	Speaker	Topic
					storm. Technology in general has encroached into many aspects in doing business. What is the impact to unit trust industry?
6	Hilton Hotel Kuching	14 September 2017 (Thu)	7 September 2017 (Thu)	Mohd Ridzuan Abdul Aziz  <b>(SIDC CPE-approved: 10 CPE Points)</b>	<b>Impact of Technological Wave and Fintech on Unit Trust Industry</b>  Technology wave, especially in the form of FinTech is currently taking the world by storm. Technology in general has encroached into many aspects in doing business. What is the impact to unit trust industry?
7	Sime Darby Convention Centre Kuala Lumpur	26 October 2017 (Thu)	19 October 2017 (Thu)	TBC  <b>(SIDC CPE-approved: 10 CPE Points)</b>	PRS: Laying the Foundation

**Notes:**

*All programs are full-day programs. Each program will start at 9am and end at 5pm.  
 FIMM reserves the right to change any venue, date, speaker or topic where necessary.*

**SPEAKERS' PROFILE****Mr. Azhar Iskandar Hew**

Mr Azhar Iskandar Hew is currently the Head of Rockwills Trustee Berhad and Director of Rockwills Advisory Services Sdn Bhd (a licensed financial planning company by Securities Commission). He has more than 18 years' experience in the estate planning industry as a will & trust specialist, trainer and conference speaker. Over the years he has trained more than 9,000 people primarily from leading financial institutions and life insurance companies as well as financial planners in Hong Kong and Singapore.

His current scope of work includes advising on legal aspects and compliance and advisory matters regarding Estate Planning, Private Trust and Corporate Trust services. He contributes articles regularly to various financial planning magazines on the area of Estate Planning and Private Trust. He is a lawyer by training from the University of London and is a member of the Society of Trust and Estate Practitioners (STEP).

He is an approved Securities Industry Development Centre (SIDC) facilitator for the area on estate planning and he is an Estate Planning Trainer for Certified Financial Planning (CFP) as well as a Certified Registered Financial Planner (RFP) Trainer by the Malaysian Financial Planning Council (MFPC) for the Estate Planning module of the Registered Financial Planner course.

**En. Muhammad Fua'ad Abdul Rahman**

Mr. Fua'ad has more than 15 years of management experience with OCBC Bank (Malaysia) Berhad. During his career, he has held responsibilities in operations, treasury management, internal audit and human resource development.

As a Training Consultant since March 1994, he has been designing and delivering leadership, creativity, customer service, marketing, supervisory, motivational and teambuilding programmes to more than 10,000 people including senior management personnel. He is a certified "Personality Plus" trainer, awarded by CLASS International, USA and "AMA" trainer, awarded by American Management Association, Singapore.

**Dr. Ch'ng Huck Khoon**

Dr. Ch'ng Huck Khoon pursued his PhD studies in Finance at the Universiti Sains Malaysia (USM); He also holds a MBA (Finance) from the University of Stirling (UK), a Certified Financial Planner. He is an Associate Member of The Institute Of Chartered Secretaries and Administrators (ICSA) and Associate Member for Centre for Business and Management (CBM) University Tunku Abdul Rahman (UTAR).

Dr Ch'ng is currently an Independent Non-Executive Director for CNI Holdings Berhad, YGL Convergence Berhad and AT Systematization Berhad (public listed companies in BURSA Malaysia) and Chairman of Audit Committee for CNI Holdings Berhad and YGL Convergence Berhad. He is columnist in the Sin Chew Daily and United Daily (local press) on stock market, apart from being interviewed on financial related topics by Astro, RTM and Melody FM. He is a HRDF Certified Trainer and Academic Council and Examination Board for SDH Institute (Singapore).

Dr Ch'ng was an Assistant Professor at the Universiti Tunku Abdul Rahman (UTAR) and Wawasan Open University (WOU). He lectured on Financial Management, Financial Strategy, Money and Banking, Financial Planning and Corporate Strategy related modules.

Dr Ch'ng was also a Capital Markets Services Representative License holder for 15 years with A A Anthony Securities Sdn Bhd. One of his research papers entitled 'How Many Securities Make A Diversified Portfolio with KLSE Stocks?' was selected as the winner of the Security Commission Capital Market Award 2000. His main research interests are in investment and behavioral finance and his research papers have not only been published in Malaysian journals but also those in India and Australia.

**En. Mohd Ridzuan Abdul Aziz**

Mohammad Ridzuan Abdul Aziz, 45, has close to 20 years of regulatory and compliance experience in Malaysia and Asia-Pacific. He is one of the co-founders and Chief Executive Officer of RHT Compliance Solutions (RHTCS), the first and only integrated outfit providing legal, governance and financial services regulatory compliance solutions for financial institutions in Malaysia, Singapore and Jakarta. He started RHTCS in July 2013.

With RHTCS, Ridzuan is actively providing practical regulatory advisory and training to bank, remittance companies, fund management entities, broker dealer

(equity and derivatives broker) as well as sovereign wealth managers on regulatory requirements, governance, compliance risks management, internal policies implementation and licensing matters. He also provides advice on AML/CFT, financial technology (FinTech), regulatory technology (RegTech) and multi-faceted impact of technology adoption from compliance perspectives.

Ridzuan graduated from University of Wales, Aberystwyth in 1997 with BSc Economics, majoring in Accounting and Finance. He also obtained his MBA from the International Islamic University Malaysia in year 2005.

### **Mr. Ooi Kok Hwa**

Mr. Ooi is the Managing Partner of a consulting company, dealing mainly with Business Appraisal, Investment and Financial Training.

He is a Chartered Financial Analyst (CFA) charter holder, Certified Merger and Acquisition Advisor (CM&AA) and is also a licensed Investment Advisor by the Securities Commission of Malaysia. As a licensed investment advisor, Mr. Ooi provides investment advisory services to clients, covering investments in Malaysia, Singapore, Hong Kong and US markets. Mr. Ooi is also actively involved in providing investment training, CFA Examination preparation courses and Continuing Professional Education (CPE) courses for fund managers, research analysts, remisiers, brokers and general public.

He currently lectures CFA Programs in Penang, Kuala Lumpur, Singapore, Brunei and Vietnam. He is also one of the main trainers in providing technical training sessions and examination material preparation for the training arm of Securities Commission of Malaysia, the Security Industry Development Corporation's (SIDC), covering various programs, such as Graduate Development program, Directors' training program and APEC Work Placement Program. In addition, he is also a regular trainer for the Singapore Stock Exchange (SGX).

Mr. Ooi is regularly featured in local media. He is an investment columnist for Sin Chew Yit Poh. He has also been invited as a guest speaker for NTV7, a local TV channel as well as BFM, a business radio channel, in Malaysia.



## **2017 FIMMSEM Policies and Procedures**

### **Registration for Seminars**

1. All UTMC/IUTA/CUTA (collectively referred to as “Principals”) will be informed by FIMM via circular on the upcoming seminar schedule.
2. All Principals must ensure that all Consultants attached to your company are aware of the 2017 FIMMSEM as well as other information that are pertinent to timely and successful registration for the seminars.
3. The seminar schedule will be posted on the FIMM Website. Consultants are advised to check the website periodically for latest updates.
4. Consultants who are interested to attend any of the 2017 FIMMSEM must submit their registration via Principals. No direct registration for Consultants will be accepted.
5. Principals may register your Consultants for the seminar(s) by completing the Registration Form and return it to FIMM via email/fax. Interested individual from public may submit Registration Form to FIMM.
6. Registration is on first-come, first-served basis.
7. Participants who are holders of CMSRL and/or ERP shall provide complete details of their licence number and NRIC number during registration for selected seminars accredited by SIDC.
8. By providing FIMM the applicants’ personal data, Principals are hereby consented to the processing of individual personal data in accordance with and for the purposes as set out in FIMM personal data notice. Applicants are advised to read FIMM personal data notice available at [www.fimm.com.my](http://www.fimm.com.my) before submitting the registration form.
9. Principals must inform FIMM not less than two (2) working days from the event date should there be any replacement(s) of their registered Consultants for 2017 FIMMSEM .
10. Walk-ins without prior registration with FIMM will not be entertained.

### **Payment Terms**

1. The 2017 FIMMSEM Fee is RM84.80 per participant for Consultants or RM265.00 per participant for public. Fees quoted are inclusive of 6% GST.
2. For every 5 participants registered for the seminar, the sixth participant from the same Member/Registered Person to the same seminar will be free of charge.
3. FIMM will only liaise with the Principals for payment matters. Hence, Consultants are to make payment via their Principals. Only participants from public may make payment directly to FIMM.
4. Payment must be in cheque or bank draft and made payable to “Federation of Investment Managers Malaysia”. Payment by **cash is not allowed**.

5. Payment shall be made in full within fourteen (14) days from date of tax invoice, unless otherwise agreed to the contrary.
6. There is no refund for non-attendance but replacement from the same company is allowed for the same seminar. Replacement is not allowed to be carried forward to another seminar.
7. In the event of cancellation by FIMM, payment will be refunded to all registered applicants.

### **On-site Attendance Registration and Recording for Seminars**

1. Registration and attendance records
  - Registration will start at 8.00 am and close at 9.30 am. Late participants will be barred from entering the seminar and will be recorded as absent.
  - Participants must sign in and sign out to complete their attendance records.
  - Participants without complete attendance records will be deemed absent.
2. CPD Points by FIMM
  - 8 CPD points are allocated to Consultants with **complete attendance record**. For avoidance of doubt, partial attendance record with either signing in or signing out will not be entitled for CPD points.
3. CPE Points by SIDC
  - 10 CPE points are allocated to CMSRL holders and ERP with **complete attendance record**. For avoidance of doubt, partial attendance record with either signing in or signing out will not be entitled for CPE points.
4. Other administrative (housekeeping) arrangements
  - All seminars will start at 9.00 am.
  - Parking rates – subject to the prevailing parking rates at the venue, unless advised by FIMM's officer.
  - Feedback forms must be filled up and returned to FIMM's officer at the end of the seminar.
  - Signing-out counter will be opened from 4.30pm to 5.15pm. Consultants must sign out at the end of the seminar, failing which Consultants will be deemed absent.

### **Post Event**

1. FIMM will consolidate and inform Principals on the attendance of Consultants registered under your company.
2. Principals must then update the CPD points accumulated by their Consultants based on the attendance records provided by FIMM.
3. Principals are responsible for keeping record of their Consultants CPD points.



## FIMM SEMINAR REGISTRATION FORM

Please fill in the details accurately. Incomplete form will not be processed. Thank you.

### Company Details *(If Applicable)*

Company Name			
Contact Person			
Designation			
Email Address			
Contact No.	ext	Fax No.	

### Participants Details

Seminar Topic :					
Date of Seminar :			Venue :		
No.	Full Name (as per NRIC)	NRIC No.	<i>Please indicate active number only</i>		
			FIMM No. <i>(If applicable)</i>	CMSRL No. <i>(If applicable)</i>	ERP No. <i>(If applicable)</i>
1					
2					
3					
4					
5					
6					

**Fee** : RM84.80 (Registered UTC or PRC) / RM265.00 (Public)  
**Fees quoted are inclusive of 6% GST.**  
**For every 5 participants registered, the sixth participants will be free of charge**

**Payment Mode** :  Cheque  Bank Draft  
*(Please tick the box accordingly)*

*Registered Consultants shall make payment in company cheque or bank draft via Principals.  
 Participants from public shall make payment in cheque or bank draft to FIMM.*

*All payments must be received by FIMM within fourteen (14) days from date of tax invoice, unless otherwise agreed to the contrary.*

Enclosed is cheque / bank draft no. .... for the sum of RM.....  
 made payable to **Federation of Investment Managers Malaysia**.

**Registration & Enquiries** : Professional Development & Services (PDS) Department  
 Mohd Hazwan Rashid ( [hazwan@fimm.com.my](mailto:hazwan@fimm.com.my) )  
 Ahmad Yusoff Hamzah ([ahmadyusoff@fimm.com.my](mailto:ahmadyusoff@fimm.com.my))  
 Tel: 03-2093 2600 | Fax: 03-2093 2700

**Cancellation** : There is no refund for cancellation or non-attendance but replacement from the same company is allowed.

**Registration is on first-come, first-served basis.**

**Disclaimer**

FIMM reserves the right to cancel or reschedule any programs to another / other date(s) without prior notice and will not liable for any claims, action costs, charges, expenses, damages, losses and liabilities due to such cancellation / rescheduling of the programs.

Participants who are holders of Capital Markets Services Representative’s License (CMSRL) or Employee of Registered Persons (ERPs) that required SIDC’s Continuing Professional Education (CPE) points from the selected seminar courses offered by FIMM are advised to include their licence number in this Registration Form. Failing to do so FIMM will not be responsible for any unsuccessful collection of the SIDC’s CPE points from FIMM Seminars.

**Notice**

Federation of Investment Managers Malaysia (FIMM) respects the privacy of individuals. Pursuant to the Personal Data Protection Act 2010, you are advised to read our personal data notice available at [www.fimm.com.my](http://www.fimm.com.my) before submitting this form. By providing us your personal data, you hereby consent to the processing of your personal data in accordance with and for the purposes as set out our personal data notice.

<b>Confirmation of Registration (For FIMM’s use)</b>	
To:	Attn:
<input type="checkbox"/> We hereby confirm the registration of the above participant(s) for the seminar.	
From: Professional Development & Services Department Federation of Investment Managers Malaysia	Date: