



# **REGISTRATION MANUAL**

**FIRST EDITION**

**1 June 2016**

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Appendix 2 - ANNUAL MEMBER SUBSCRIPTION FEE (“AMSF”) AND ANNUAL FEE STRUCTURE

# FEDERATION OF INVESTMENT MANAGERS MALAYSIA

## REGISTRATION MANUAL

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### Introduction

1. The Registration Manual is issued by the Federation of Investment Managers Malaysia (“FIMM”) for the purpose of registration of Distributors and Consultants pursuant to FIMM’s Consolidated Rules.
2. The Registration Manual sets out the procedures relating to the registration of
  - (a) Unit Trust Management Companies (“UTMC”), Institutional UTS Advisers (“IUTA”), Corporate UTS Advisers (“CUTA”) and UTS Consultants for the marketing and distribution of unit trust scheme (“UTS”); and
  - (b) PRS Providers, Institutional PRS Adviser (“IPRA”), Corporate PRS Advisers (“CPRA”) and PRS Consultants for the marketing and distribution of private retirement scheme (“PRS”).
3. The Registration Manual provides the following information:
  - (a) Forms to be used for various applications and notifications;
  - (b) Application and notification procedures;
  - (c) Payment of all fees; and
  - (d) Timelines to be adhered to as Distributors and Consultants.
4. The Registration Manual may be reviewed by FIMM as and when necessary.
5. FIMM may from time to time, issue notices, directives, standards and/or circulars to provide further clarity and guidance. The notices, directives, standards and circulars must be complied with in the same manner as the Registration Manual.
6. The Registration Manual comes into effect on 1 June 2016.

7. Any query regarding the Registration Manual may be addressed to:

Head

Business Registration Department

Federation of Investment Managers Malaysia

19-06-1, 6<sup>th</sup> Floor, Wisma Tune

No. 19, Lorong Dungun

50490 Kuala Lumpur

Tel. No.: 603-2093 2600

Fax No.: 603-2093 2700

<b>DEFINITIONS</b>	
<b>agent</b>	in relation to a Distributor, means any person representing or acting for the Distributor, and includes a Consultant.
<b>AMSF</b>	means annual membership subscription fee.
<b>annual membership subscription fee</b>	has the same meaning assigned to it in Articles of Association of FIMM.
<b>AUM</b>	refers to asset under management which is the aggregate net value of all of a Fund's asset less the fund's liabilities at the end of each calendar year.
<b>authorisation card</b>	means an identification card issued by FIMM to a Consultant who is registered with FIMM.
<b>authorised representative (AR)</b>	person duly appointed by a Distributor and notified to FIMM as its authorised representative for the purpose of attending to all matters pertaining to FIMM and its registration pursuant to FIMM's Consolidated Rules.
<b>business day</b>	means a day other than Saturday, Sunday and public holiday declared by the relevant authority in the Federal Territory of Kuala Lumpur.
<b>CFP</b>	refers to Certified Financial Planner.
<b>ChFC</b>	refers to Chartered Financial Consultant.
<b>Chief Executive</b>	has the same meaning assigned to it in the CMSA.
<b>CMSA</b>	means the Capital Markets and Services Act 2007.
<b>CMSL</b>	means a Capital Markets Services Licence issued pursuant to CMSA.

<b>DEFINITIONS</b>	
<b>CMSRL</b>	means a Capital Markets Services Representative's Licence issued pursuant to CMSA.
<b>Collection Points</b>	refers to an office, branch or premise of a Distributor to collect relevant documents from investors.
<b>Consultant</b>	means an individual registered with FIMM and authorised to market and distribute Schemes.
<b>Corporate PRS Adviser ("CPRA")</b>	means a licensed financial planner registered with FIMM and authorised to market and distribute private retirement schemes of another party.
<b>Corporate UTS Adviser ("CUTA")</b>	means a licensed financial planner registered with FIMM and authorised to market and distribute unit trust schemes of another party.
<b>corporation</b>	has the same meaning assigned to it in the Companies Act 1965.
<b>CPD points</b>	mean points obtained by a Consultant who undertakes CPD Programme.
<b>CPD Programme</b>	means the Continuing Professional Development Programme as set out in FIMM's Consolidate Rules.
<b>CSL</b>	means candidate session list.
<b>CUTE</b>	means the Computerised Unit Trust Examination conducted by FIMM which an applicant shall pass in order to be eligible for registration as a UTS Consultant.
<b>day</b>	means a calendar day in the Gregorian calendar.



<b>DEFINITIONS</b>	
<b>distribution arrangement</b>	means any arrangement, understanding or agreement for the purposes of marketing and distribution of Schemes.
<b>distribution point</b>	means an office, a branch or premises of a Distributor that is used for marketing and distribution of Schemes.
<b>Distributor</b>	means a corporation registered and authorised by FIMM to market and distribute Schemes.
<b>document</b>	has the same meaning as assigned to it in the Evidence Act 1950.
<b>employee</b>	means a person employed under a contract of service with a Distributor, whether on a permanent or temporary basis.
<b>FIMM</b>	means the Federation of Investment Managers Malaysia, a self-regulatory organisation recognised by the SC under Section 323(1) of CMSA.
<b>FIMM Rules</b>	means the rules, guidelines, codes, directives, standards, circulars and manuals issued by FIMM by whatever names called and include any amendment and revision made thereto from time to time.
<b>foreign fund</b>	Has the same meaning as assigned to it in the <i>Guidelines for the Offering, Marketing and Distribution of Foreign Funds</i> and satisfies all the requirements stipulated in the securities laws and such guidelines in relation to its offering, marketing and distribution in Malaysia.
<b>FPAM</b>	refers to Financial Planning Association of Malaysia.
<b>fund manager</b>	means a person who holds a CMSRL to carry out the regulated activity of fund management.

<b>DEFINITIONS</b>	
<b>IFP</b>	refers to Islamic Financial Planner.
<b>industry</b>	means the unit trust scheme industry or private retirement scheme industry, as the case may be.
<b>Institutional PRS Adviser (“IPRA”)</b>	means a corporation registered with FIMM and authorised to market and distribute private retirement schemes of another party.
<b>Institutional UTS Adviser (“IUTA”)</b>	means a corporation registered with FIMM and authorised to market and distribute unit trust schemes of another party.
<b>investor</b>	means an existing or prospective investor of a unit trust scheme or contributor of a private retirement scheme. In this regards, “contributor” has the same meaning assigned to it in the CMSA.
<b>Legal Day One</b>	in relation to mergers and acquisitions involving a Distributor, means the day on which the transfer of business takes effect.
<b>MFPAA</b>	refers to Malaysia Financial Planners & Advisers Association.
<b>marketing and distribution</b>	means the promotion, offering, marketing and distribution of Schemes, including engaging or attempting to engage in any act to promote, offer, market and distribute Schemes to any person.
<b>member</b>	means a corporation admitted as a member of FIMM pursuant to its memorandum and Articles of Association.
<b>MFPC</b>	refers to Malaysia Financial Planning Council.
<b>mobile distribution point</b>	means any movable or temporary distribution point of a

<b>DEFINITIONS</b>	
	Distributor, such as an exhibition booth, kiosk or vehicle which is used to market and distribute Schemes.
<b>month</b>	means a calendar month in the Gregorian calendar.
<b>net asset value (NAV)</b>	has the same meaning as assigned to it in the Guidelines on Unit Trust Funds issued by SC.
<b>online provider</b>	means a person who is approved by SC under the <i>Guidelines on Online Transactions and Activities in relation to Unit Trusts</i> , but does not include a financial institution specified as “Registered Persons” in the Third Column under item (1) (g) Part 1 of Schedule 4 of the CMSA
<b>operator</b>	Has the same meaning as assigned to it in the <i>Guidelines for the Offering, Marketing and Distribution of Foreign Funds</i> and satisfies all the requirements stipulated in the securities laws and such guidelines in relation to the offering, marketing and distribution of foreign fund in Malaysia.
<b>operations</b>	refers to business and operations of a Distributor relating to marketing and distribution of Schemes.
<b>principal</b>	in relation to a Consultant, means the Distributor for whom his registration is tied to.
<b>product highlights sheet</b>	has the same meaning assigned to it in the <i>Guidelines on Sales Practices of Unlisted Capital Market Products</i> issued by SC.
<b>PRS</b>	means a private retirement scheme. In this regard, “private retirement scheme” has the same meaning assigned to it in the CMSA.

<b>DEFINITIONS</b>	
<b>private retirement scheme</b>	has the same meaning assigned to it in the CMSA.
<b>private retirement scheme provider</b>	has the same meaning assigned to it in the CMSA.
<b>PRS Consultant</b>	means a Consultant of a private retirement scheme.
<b>PRS Distributor</b>	means a Distributor of a private retirement scheme.
<b>PRS Examination</b>	means the Private Retirement Scheme Examination conducted by FIMM which an applicant shall pass in order to be eligible for registration as a PRS Consultant.
<b>PRS Provider</b>	means a private retirement scheme provider. In this regard, “private retirement scheme provider” has the same meaning assigned to it in the CMSA.
<b>Registration Manual</b>	means the manual issued by FIMM for the purpose of registration of Distributors and Consultants.
<b>RFP</b>	refers to Registered Financial Planner.
<b>SC</b>	means the Securities Commission Malaysia established under the Securities Commission Act 1993.
<b>Scheme</b>	means a unit trust scheme or a private retirement scheme, as the context requires and “Schemes” refers to unit trust schemes and private retirement schemes collectively.
<b>system</b>	means the Internet Investment Information (I <sup>3</sup> ) System for unit trust scheme or the online PRS registration system for private retirement scheme maintained by FIMM, as the case may be.

<b>DEFINITIONS</b>	
<b>System Manual</b>	user manual issued by FIMM in respect of the System for the purpose of the Registration Manual.
<b>unit trust management company</b>	has the same meaning assigned to “management company” as defined in the CMSA.
<b>unit trust scheme</b>	has the same meaning assigned to it in the CMSA.
<b>UTMC</b>	means a unit trust management company.
<b>UTS</b>	means a unit trust scheme.
<b>UTS Consultant</b>	means a Consultant of unit trust schemes.
<b>UTS Distributor</b>	means a Distributor of unit trust schemes.
<b>year</b>	means the calendar year in the Gregorian calendar.

\* A reference to any person includes an individual or a corporation, a reference to the masculine gender includes the feminine or neuter, and a reference to singular includes the plural and vice versa.

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## **PREAMBLE**

- i) Applications to FIMM shall be made in accordance with the requirements as set out in this Registration Manual, unless otherwise specified. Submissions of application which do not comply with the requirements will be rejected and returned without further notice to the applicant.
- ii) If submission of application is in accordance with the requirements set out in this Registration Manual, unsuccessful applicants shall be informed with a reason(s) for rejection to allow them to rectify their application and apply afresh.
- iii) Where an application for registration is rejected by FIMM, the applicant may appeal within fourteen (14) days of being notified of the rejection. An appeal shall be in writing and include grounds of the appeal. The decision of FIMM on an appeal is final and binding.
- iv) FIMM reserves the right to conduct an examination at the business address or principal address of applicant and Distributors to ensure compliance with the requirements as stated in FIMM's Consolidated Rules, Registration Manual and System Manual.
- v) The submitting party has a duty of care to ensure that all FIMM requirements pertaining to submission of applications are met and is responsible for dealing with FIMM on all matters in connection with the applications. The applicant should exercise due diligence for all or any part of the information submitted relation to or in connection with the application.
- vi) The information provided in the application must be accurate, relevant and current as at the date of application.
- vii) FIMM may, at its discretion, request additional information and documents not specified in this Registration Manual.
- viii) FIMM should be immediately notified of:

- (a) Any material change in circumstances that would affect FIMM's consideration of the application; and / or
  - (b) Any material change or development in circumstances related to the application, occurring subsequent to FIMM's approval.
- ix) FIMM may review its decision if certain circumstances are made known to FIMM after the application has been considered.
  - x) When submitting an application or notification to FIMM through the System, applicants and Distributors must ensure that all forms are printed out and duly signed by the relevant persons as indicated in the Registration Manual or the forms. The particulars on the printed document must be the same in content as the particulars submitted through the System.
  - xi) Access to the system shall be granted upon the applicant's registration and agreement to the Terms and Conditions of Use of the System.
  - xii) The Agreement to comply with the Terms and Conditions of Use of the System will bound all persons authorised by the applicant and Distributors to access the System.
  - xiii) Login ID will be provided to AR of the Distributors, as a valid user of the System. The AR is required to define additional user login IDs before commencement of operations under the System's environment.
  - xiv) The system is available on FIMM's website: [www.fimm.com.my](http://www.fimm.com.my)
  - xv) If the system is inaccessible for more than five (5) consecutive days due to any unforeseen circumstances, applicants may manually submit applications or notifications to FIMM. FIMM will notify the applicants and Distributors of the procedures for manual submission until the System resumes operation.

- xvi) Application shall be submitted together with the applicable fees set up in Schedule B or D, as the case may be, to FIMM at:

Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
No. 19, Lorong Dungun  
50490 Kuala Lumpur

Tel. No.: 603-2093 2600

Fax No.: 603-2093 2700

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# **PART 1:**

**REGISTRATION MANUAL FOR UNIT TRUST SCHEME**

**DISTRIBUTORS AND CONSULTANTS**

## I. APPLICATION

### 1.0 Registration of UTMC, IUTA and CUTA

- 1.1 Applicant must first complete and submit the online application form through the System.
- 1.2 For multiple registrations, the applications may be combined into one (1) application provided that the documents submitted are complete. Nevertheless, an applicant may only apply for registration as either IUTA or CUTA. Dual registration is not allowed.
- 1.3 Upon submission of the online application form, the applicant must submit the documents as indicated in **Table 1** and such documents must be received by FIMM no later than seven (7) business days from the date of submission of the online application.
- 1.4 The application form and the relevant supporting documents must be kept by the applicant at the principal address of the applicant for the period as required under relevant laws.

**Table 1: List of documents for registration of UTMC, IUTA and CUTA**

Category of Registration	Online submission	Submission of documents
UTMC	(a) A duly completed online application form submitted through the System in accordance with the System Manual.	(a) Cover letter signed by an authorised signatory specifying the registration that is being sought and the appointment of AR; (b) Printed online application form; (c) Board of Directors' Resolution approving the application of membership and appointment of the AR. Sample as set out in

Category of Registration	Online submission	Submission of documents
		<p><b>Schedule A Appendix 1A</b> of the Registration Manual;</p> <p>(d) Declaration signed by a director of the applicant as set out in <b>Schedule A Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9 or 13 (whichever is applicable), Form 24 and Form 49 certified true copy by the Company Secretary;</p> <p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-A (i) of FIMM's Consolidated Rules;</p> <p>(g) Such other information and/or documents as requested by FIMM; and</p> <p>(h) Payment of the application and annual fees as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p>
IUTA	(a) A duly completed online application form submitted through the System in accordance	<p><b><u>For applicants who are UTMCs or PRS Providers or IPRA</u></b></p> <p>(a) Cover letter signed by the AR</p>

Category of Registration	Online submission	Submission of documents
	with the System Manual.	<p>specifying the registration that is being sought. If the AR appointed for the registration as IUTA is not the same as the AR appointed for the registration as UTMC, PRS Provider or IPRA, the cover letter shall be signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Duly completed and signed Application Form and Distribution Points / Mobile Distribution Points form as set out in <b>Schedule A Appendix 3</b> and <b>Schedule A Appendix 4</b> respectively;</p> <p>(d) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule A Appendix 1B</b> of the Registration Manual;</p> <p>(e) Declaration signed by a director of the applicant as set out in <b>Schedule A Appendix 2</b> of the Registration Manual;</p>

Category of Registration	Online submission	Submission of documents
		<p>(f) Latest Form 8, 9 or 13 (whichever is applicable), Form 24 and Form 49 certified true copy by the Company Secretary;</p> <p>(g) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-A (i) of FIMM's Consolidated Rules (if applicable).</p> <p>(h) A copy of the applicant's proposal for the marketing and distribution of Unit Trust Scheme which includes information as set out in <b>Schedule A Appendix 5</b>;</p> <p>(i) Such other information and/or documents as requested by FIMM; and</p> <p>(j) Payment of the application fee as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p> <p><b><u>For applicants who are not UTMCS or PRS Providers or IPRA's</u></b></p> <p>(a) Cover letter signed by an</p>

Category of Registration	Online submission	Submission of documents
		<p>authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Duly completed and signed Application Form and Distribution Points / Mobile Distribution Points form as set out in <b>Schedule A Appendix 3</b> and <b>Schedule A Appendix 4</b> respectively;</p> <p>(d) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule A Appendix 1B</b> of the Registration Manual;</p> <p>(e) Declaration signed by a director of the applicant as set out in <b>Schedule A Appendix 2</b> of the Registration Manual;</p> <p>(f) Latest Form 8, 9 or 13 whichever is applicable, Form 24 and Form 49 certified true copy by the Company Secretary;</p> <p>(g) Certified true copy of relevant CMSL and approval that verify</p>

Category of Registration	Online submission	Submission of documents
		<p>the eligibility of the applicant in accordance with Appendix 1-A (i) of FIMM's Consolidated Rules (if applicable);</p> <p>(h) A copy of the unexpired license (e.g. banking license issued by Ministry of Finance) which has been certified as true copy by the company secretary, advocate &amp; solicitor or notary public (if applicable);</p> <p>(i) A copy of the company's profile and organisational structure depicting related, subsidiary, associate and holding companies with percentage of shareholding in each category;</p> <p>(j) A copy of the applicant's proposal for the marketing and distribution of Unit Trust Scheme which includes information as set out in <b>Schedule A Appendix 5</b>;</p> <p>(k) Such other information and/or document as requested by FIMM; and</p> <p>(l) Payment of the application and annual fees prescribed in</p>

Category of Registration	Online submission	Submission of documents
		<b>Schedule B Appendix 1</b> of the Registration Manual.
<b>CUTA</b>	(a) A duly completed online application form submitted through the System in accordance with the System Manual.	<p><b><u>For applicants who are CPRAs</u></b></p> <p>(a) Cover letter signed by the AR specifying the registration that is being sought. If the AR appointed for the registration as CUTA is not the same as the AR appointed for the registration of CPRA, the cover letter shall be signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Duly completed and signed Application Form and Distribution Points / Mobile Distribution Points form as set out in <b>Schedule A Appendix 3</b> and <b>Schedule A Appendix 4</b> respectively;</p> <p>(d) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule A Appendix 1B</b> of</p>



Category of Registration	Online submission	Submission of documents
		<p>the Registration Manual;</p> <p>(e) Declaration signed by a director of the applicant as set out in <b>Schedule A Appendix 2</b> of the Registration Manual;</p> <p>(f) Latest Form 8, 9 or 13 whichever is applicable, Form 24 and Form 49 certified true copy by the Company Secretary;</p> <p>(g) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-A (i) of FIMM's Consolidated Rules;</p> <p>(h) A copy of the Company's latest audited accounts or draft/management accounts; and</p> <p>(i) Such other information and/or document as requested by FIMM;</p> <p>(j) Payment of the application and annual fees</p>

Category of Registration	Online submission	Submission of documents
		<p><b><u>For applicants who are not CPRAs</u></b></p> <p>(a) Cover letter signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Duly completed and signed Application Form and Distribution Points / Mobile Distribution Points form as set out in <b>Schedule A Appendix 3</b> and <b>Schedule A Appendix 4</b> respectively;</p> <p>(d) Board of Directors' Resolution approving the appointment of the AR as prescribed in <b>Schedule A Appendix 1B</b> of the Registration Manual;</p> <p>(e) Declaration signed by a director of the applicant as set out in <b>Schedule A Appendix 2</b> of the Registration Manual;</p> <p>(f) Latest Form 8, 9 or 13 whichever is applicable, Form 24 and Form 49 certified true copy by the Company</p>

Category of Registration	Online submission	Submission of documents
		<p>Secretary;</p> <p>(g) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-A (i) of FIMM's Consolidated Rules;</p> <p>(h) A copy of the company's profile and organisational structure depicting related, subsidiary, associate and holding companies with percentage of shareholding in each category;</p> <p>(i) A copy of the applicant's proposal for the marketing and distribution of Unit Trust Scheme which includes information as set out in <b>Schedule A Appendix 5</b>;</p> <p>(j) A copy of the Company's latest audited accounts or draft/management accounts;</p> <p>(k) A copy of the professional indemnity insurance that indemnifies the corporation and its officers and its UTS Consultants against claims;</p> <p>(l) Such other information and/or</p>

Category of Registration	Online submission	Submission of documents
		document as requested by FIMM; and  (m) Payment of the application and annual fees as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.

1.6 The applicant must fulfil the licensing requirements as set out by the SC in the Licensing Handbook pertaining to the registration of Director with FIMM, paid-up capital, shareholders' fund, company ownership and any other licensing requirements.

1.7 Where applicable, the applicant may submit concurrently the application of the relevant licence to the SC and the registration of UTMC, IUTA or CUTA with FIMM.

1.8 The registration of UTMC, IUTA or CUTA shall remain until:

(a) Cessation of operations

The registration of UTMC, IUTA or CUTA is withdrawn by FIMM based on the notification from UTMC, IUTA or CUTA to cease operations duly submitted to FIMM pursuant to paragraph II.1.0 of the Registration Manual.

(b) Suspension and Revocation of registration

Suspension and revocation of registration of UTMC, IUTA or CUTA by FIMM due to the reasons as stated in FIMM's Consolidated Rules.

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## **2.0 Registration of UTS Consultant**

**2.1** Individuals who wish to market and distribute UTS must first be registered with FIMM before marketing and distributing UTS. Application for registration must be made through the respective UTS Distributors.

**2.2** The application for registration is open to all categories of UTS Consultants. This includes:

- (a) Agents of UTMC, IUTA (only applicable if an IUTA is also a UTMC, a PRS Provider, an investment bank or a stockbroking company) and CUTA; and
- (b) Employees of UTMC, IUTA and CUTA.

**2.3** UTS Distributor shall request the following from the candidate:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule A Appendix 6A**;
- (b) A copy of identity card (front and back) or passport;
- (c) A copy of a valid working permit (applicable to foreigners only);
- (d) Two (2) most recent Malaysia passport-sized colour photographs;
- (e) A certified true copy of the relevant certificates and qualifications;
- (f) Relevant CMSRL in the regulated activity (if applicable);
- (g) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may require additional documents.

**2.4** In the event of lost of certificate, the candidate is required to obtain a replacement certificate from the relevant institutions. Statutory declaration for lost certificate is no longer acceptable by FIMM.

**2.5** UTS Distributor must first submit the online application form through the System to select the CUTE date, venue and time for the candidate.

- 2.6** Prior to the submission as a UTS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 2.7** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee (“OA”) search through Jabatan Insolvensi Malaysia (“JIM”) or MyEG Services Berhad to obtain the latest bankruptcy status.
- 2.8** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM’s confirmation, the UTS Distributor may proceed to resubmit the application for registration of UTS Consultant.
- 2.9** Upon submission of online application, the CUTE date, venue and time shall not be revised for any reason.
- 2.10** Candidates are required to indicate three (3) preferred examination sessions on the CUTE Application Form. Should the candidate fail to indicate the preferred examination sessions, an examination session would be selected on their behalf by the relevant UTS Distributor.
- 2.11** A seat in the first preferred examination session will be allocated to each candidate on a “first come, first served basis” provided:
- The examination closing date has not expired, and/or
  - The seating capacity for the session has not reached the maximum capacity.

If the candidate fails to secure the first preferred session, the system will allocate a seat for the candidate in the next available chosen session (second or third preferred sessions).

**2.12** Upon submission of the online application form, the UTS Distributor must submit the documents as indicated in **Table 2** and such documents must be received by FIMM on or before the closing date of the scheduled CUTE. Incomplete submission will be rejected without further notice to the UTS Distributor.

**2.13** FIMM will not accommodate any changes after the closing date or once examination registration is confirmed, whichever is earlier, for submission of examination entries to FIMM given that examination seats had been committed.

**2.14** The application form and relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 2: List of documents for registration of UTS Consultant**

Category of Registration	Online submission	Submission of documents
<b>UTS Consultant</b>	(a) A duly completed online application form submitted through the System in accordance with the System Manual; (b) The list of candidates; and (c) Selection of CUTE date.	(a) Cover letter signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 7</b> ; (b) Application Form for Registration of Unit Trust Scheme Consultant as set out in <b>Schedule A Appendix 8</b> ; (c) Printed list of candidates applying for registration with details of selection of CUTE date as submitted through

Category of Registration	Online submission	Submission of documents
		<p>the System;</p> <ul style="list-style-type: none"> <li>(d) A copy of identity card (front and back) or passport;</li> <li>(e) Two (2) passport-sized colour photographs of the candidate with the full name written clearly at back of the photographs. The format is set out in <b>Schedule A Appendix 9</b>;</li> <li>(f) A duly executed statutory declaration as set out in <b>Schedule A Appendix 6A</b>;</li> <li>(g) Certified true copy of the relevant certificates and qualifications;</li> <li>(h) Certified true copy of the relevant CMSRL in the regulated activity (if applicable);</li> <li>(i) Such other information and/or document as requested by FIMM; and</li> <li>(j) Payment of the relevant fees as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</li> </ul>



- 2.15** The Candidate Examination Number is generated for each candidate who is approved by FIMM to sit for each particular examination session. The Candidate Examination Number is generated by the System randomly.
- 2.16** The Candidate Examination Number must be provided by the UTS Distributor to all candidates before the examination as it will be used to login into CUTE system.
- 2.17** The Candidate Session List (“CSL”) detailing the Candidate Examination Number will be available five (5) working days before the examination date. The UTS Distributor will need to access the System to obtain a copy of the CSL for each CUTE session.
- 2.18** The same CSL will be used by FIMM to check the admission of the registered candidates on the day of examination.
- 2.19** The Admission Notice is not required for admission into the examination centre under the CUTE system. However, the UTS Distributor has the option to print the Admission Notice for the purpose of disseminating the Candidate Examination Number to the candidates.
- 2.20** There is strictly no examination postponement for whatever circumstances or reasons. In the event of any catastrophic incident, emergency situation or any unforeseen circumstances **not within** FIMM's control such as flood, fire, power failure, server breakdown, internet connection breakdown, etc. that will affect the operations of an examination centre and result in the cancellation of examination, the application fee will be waived and the affected candidates are required to resit the examination at the next available CUTE session.
- 2.21** UTS Distributor is required to collect the study manuals upon submission of the examination entries. The study manuals are also available for purchase, subject to availability, should the UTS Distributor decides to keep extra copies for future distribution.
- 2.22** Notes to Candidates for CUTE which will spell out the rules and regulations of CUTE

and the Do's and Don'ts during the examination is available on FIMM's website. It is mandatory for UTS Distributor to give a copy of these notes to every candidate who has successfully registered for CUTE. UTS Distributor should ensure that the candidates read and understand the contents of the documents **before** attending the examination session.

- 2.23** The registration of UTS Consultant is subject to the candidate passing the CUTE, unless exempted from sitting for CUTE as prescribed by FIMM.
- 2.24** After the candidates have sat for the examination, the results will be immediately made known to the candidates. Candidates are required to obtain the printout of their examination results **before** they leave the examination centre. Candidates who did not obtain the printout of their examination results, they shall inform UTS Distributors to request FIMM to re-print the examination results. The preliminary passed results which are obtained immediately after the examination sessions cannot be used as authorisation to market and distribute unit trusts.
- 2.25** All UTS Distributors are able to view the preliminary results from the system but for the purpose of downloading of examination results, the UTS Distributors should perform the **downloading on the third working day** from the CUTE session. The final examination results will be graded Approved Pass, Approved Fail, Approved Absent or Approved Disqualified.
- 2.26** All candidates who have passed the examination will be issued with a FIMM Number once FIMM has performed the final approval of the examination result. This number serves as an identity code for the UTS Consultants and should be quoted in all future communication between FIMM and the UTS Distributor.
- 2.27** FIMM reserves the right to revoke a candidate's result and to withdraw and cancel FIMM Number in the event that the person is found to infringe the rules and regulation of CUTE.
- 2.28** Candidates can appeal in writing to check the examination results via the UTS Distributor.

Appeal must reach FIMM within **14 days** from the date of the examination results. The number of days taken to finalise appeal cases is 5 working days from the receipt of the complete documentation including the payment of appeal fee.

**2.29** The registration of UTS Consultant shall remain until:

(a) Withdrawal of registration due to resignation or termination of contract with the Principal.

The registration of UTS Consultant is withdrawn by FIMM based on the notification from UTS Distributor to withdraw the registration of UTS Consultant due to resignation or termination of contract; duly submitted to FIMM pursuant to paragraph II.2.0 of the Registration Manual.

(b) Suspension and revocation of registration.

Suspension and revocation of registration of UTS Consultant by FIMM due to the reasons as stated in FIMM's Consolidated Rules.

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### **3.0 Registration of Former UTS Consultant and variation of registration of UTS Consultant**

**3.1** Due to non-renewal of registration of a UTS Consultant, a former UTS Consultant may apply for registration of UTS Consultant, subject to him applies for registration within three (3) years from the withdrawal date of his registration. The former UTS Consultant must either acquire 16 CPD points or in lieu thereof, he must resit and pass CUTE.

**3.2** A UTS Consultant must also seek FIMM's approval to vary his registration in the following circumstances:

- (a) When the UTS Consultant varies his relationship with his principal from being an employee to an agent or vice versa;
- (b) When the UTS Consultant changes principal within the year; and
- (c) Whenever there is any merger and acquisition exercise where both entities affected by such exercise are registered with FIMM as UTS Distributors.

**3.3** UTS Distributor shall request the following from the applicant:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule A Appendix 6A**;
- (b) One (1) most recent Malaysia passport-sized colour photographs;
- (c) A copy of a valid working permit (applicable to foreigners only);
- (d) Evidence of fulfilment of CPD points as prescribed by FIMM (if applicable). When attending any external CPD approved programmes, candidate is required to inform Principal of the CPD points acquired, by completing CPD Record Form as set out in **Schedule A Appendix 10**;
- (e) A copy of the letter of release from the previous company (if applicable);
- (f) Relevant CMSRL in the regulated activity (if applicable);
- (g) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual. However, under the circumstances as stated in paragraph 3.2 above, the applicant is required to pay the replacement of card fee only.

The above list is non-exhaustive. FIMM may require additional documents.

- 3.4** Application for registration of former UTS Consultant and variation of registration of UTS Consultant must be made through the respective UTS Distributor.
- 3.5** UTS Distributor must first submit the online application form through the System.
- 3.6** Prior to the submission as a UTS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 3.7** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee (“OA”) search through Jabatan Insolvensi Malaysia (“JIM”) or MyEG Services Berhad to obtain the latest bankruptcy status.
- 3.8** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM’s confirmation, the UTS Distributor may proceed to resubmit the application for registration of UTS Consultant.
- 3.9** Upon submission of the online application form, the UTS Distributor must submit the documents as indicated in **Table 3** and the complete documents must be received by FIMM no later than seven (7) business days from the date of submission of the online application.
- 3.10** In the event where the UTS Consultant has not received the Letter of Release from the relevant company and is registering with another company, the UTS Consultant may request, in writing, FIMM’s assistance to obtain the Letter of Release through the new relevant company that the UTS Consultant intends to join.
- 3.11** This request should only be made after ten (10) working days from the date of the submission of the Letter of Resignation. FIMM will then follow-up with the relevant company requesting for the release of the UTS Consultant to which the relevant company will have fourteen (14) working days to reply to FIMM stating the reasons for non-release of the UTS Consultant. If the relevant company fails to reply within fourteen

(14) working days, FIMM will assume that the relevant company has no objection in releasing the UTS Consultant and will proceed to terminate the status of the UTS Consultant with that company.

**3.12** The application form and relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 3: List of documents for registration of former UTS Consultant and variation of registration of UTS Consultant**

Category of Registration	Online submission	Submission of documents
<p><b>UTS Consultant</b></p>	<p><b><u>Registration of former UTS Consultant</u></b></p> <p>(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of former UTS Consultant.</p>	<p><b><u>Registration of former UTS Consultant</u></b></p> <p>(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 11</b> ;</p> <p>(b) Application form set out in <b>Schedule A Appendix 8</b>;</p> <p>(c) Printed online list of former UTS Consultants as submitted through the System;</p> <p>(d) One (1) most recent Malaysia passport-sized colour photographs of the former UTS Consultant with the full name of the former UTS Consultant written clearly at back of the</p>

Category of Registration	Online submission	Submission of documents
	<p><b><u>Active UTS Consultant who varies his relationship with his principal from being an employee to an agent or vice versa</u></b></p> <p>(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of UTS Consultant.</p>	<p>photographs. The format is set out in <b>Schedule A Appendix 9</b>;</p> <p>(e) A duly executed statutory declaration as set out in <b>Schedule A Appendix 6A</b>;</p> <p>(f) Relevant CMSRL in the regulated activity (if applicable);</p> <p>(g) Such other information and/or document as requested by FIMM; and</p> <p>(h) Payment of the relevant fees as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p> <p><b><u>Active UTS Consultant who varies his relationship with his principal from being an employee to an agent or vice versa</u></b></p> <p>(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 11</b>;</p> <p>(b) Application form set out in</p>

Category of Registration	Online submission	Submission of documents
	<p data-bbox="472 1738 895 1821"><b><u>UTS Consultant changes principal within the year</u></b></p> <p data-bbox="472 1839 919 1872">(a) A duly completed online</p>	<p data-bbox="987 416 1318 450"><b>Schedule A Appendix 8;</b></p> <p data-bbox="948 465 1374 595">(c) Printed online list of UTS Consultants as submitted through the System;</p> <p data-bbox="948 611 1374 1032">(d) One (1) most recent Malaysia passport-sized colour photographs of the UTS Consultant with the full name of the UTS Consultant written clearly at back of the photographs. The format is set out in <b>Schedule A Appendix 9;</b></p> <p data-bbox="948 1055 1374 1184"><b>(e)</b> A duly executed statutory declaration as set out in <b>Schedule A Appendix 6A;</b></p> <p data-bbox="948 1218 1401 1301">(f) Relevant CMSRL in the regulated activity (if applicable);</p> <p data-bbox="948 1335 1374 1464">(g) Such other information and/or document as requested by FIMM; and</p> <p data-bbox="948 1498 1401 1671">(h) Replacement of card fee as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p> <p data-bbox="948 1738 1374 1821"><b><u>UTS Consultant changes principal within the year</u></b></p> <p data-bbox="948 1839 1374 1872">(a) Cover letter specifying the</p>



Category of Registration	Online submission	Submission of documents
	<p>application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of UTS Consultant.</p>	<p>registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 11</b>;</p> <p>(b) Application form set out in <b>Schedule A Appendix 8</b>;</p> <p>(c) Printed list of UTS Consultant as submitted through the System;</p> <p>(d) One (1) most recent Malaysia passport-sized colour photographs of the former UTS Consultant with the full name of the former UTS Consultant written clearly at back of the photographs. The format is set out in <b>Schedule A Appendix 9</b>;</p> <p>(e) A duly executed statutory declaration as set out in <b>Schedule A Appendix 6A</b>;</p> <p>(f) Certified true copy of the relevant CMSRL in the regulated activity (if applicable);</p>

Category of Registration	Online submission	Submission of documents
	<p data-bbox="472 824 898 954"><b><u>Registration of UTS Consultant affected by merger and acquisition exercise</u></b></p> <p data-bbox="472 972 919 1196">(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p data-bbox="472 1214 866 1249">(b) The list of UTS Consultant</p>	<p data-bbox="951 434 1382 564">(g) Such other information and/or document as requested by FIMM; and</p> <p data-bbox="951 595 1382 775">(h) Replacement of card fee as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p> <p data-bbox="951 837 1382 967"><b><u>Registration of UTS Consultant affected by merger and acquisition exercise</u></b></p> <p data-bbox="951 990 1382 1361">(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 11</b>;</p> <p data-bbox="951 1397 1382 1527">(b) Printed list of UTS Consultant as submitted through the System;</p> <p data-bbox="951 1563 1382 1886">(c) One (1) passport-sized colour photographs of the UTS Consultant with full name of the UTS Consultant written clearly at back of the photographs. The format is set out in <b>Schedule A</b></p>

Category of Registration	Online submission	Submission of documents
		<p><b>Appendix 9;</b></p> <p>(d) Certified true copy of the relevant CMSRL in the regulated activity (if applicable);</p> <p>(e) Letter of Undertaking for merger exercise as set out in <b>Schedule A Appendix 12;</b></p> <p>(f) Such other information and/or document as requested by FIMM; and</p> <p>(g) Replacement of card fee as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p>

#### **4.0 Continuous Registration of UTMC, IUTA or CUTA**

**4.1** UTS Distributor must submit the total AUM as at 31 December of the year or Total Gross Sales for the year ended 31 December, according to the respective grouping and aggregate total as set out in **Schedule B Appendix 2**, through the System on or before 10<sup>th</sup> January of the following calendar year. CUTA is not required to submit such information for the purpose of its continuous registration with FIMM.

**4.2** Upon submission of the required information through online, the UTS Distributor must submit the duly completed slip and supporting documents as indicated in **Table 4** and such documents must be received by FIMM from the date of submission of the online application on or before 10<sup>th</sup> January of the year.

**4.3** The relevant supporting documents must be kept by the UTS Distributor at the principal

address of the applicant for the period as required under relevant laws.

**Table 4: List of documents required for the application of continuous registration as UTMC, IUTA or CUTA**

Category of Registration	Online submission	Submission of documents
<b>UTMC</b>	(a) Total AUM submitted through the System in accordance with the System Manual.	(a) Confirmation of AUM as at 31 December of the year, which is verified by Compliance Officer and confirmed by CEO / AR as set up in <b>Schedule A Appendix 13</b> ; (b) A copy of System NAV Report as at 31 December of the year; and (c) Such other information and / or documents as requested by FIMM.
<b>IUTA</b>	(a) Total Annual Gross Sales submitted through the System in accordance with the System Manual.	(a) Confirmation of Total Gross Sales for the year ended 31 December, which is verified by Compliance Officer and confirmed by CEO / AR <b>Schedule A Appendix 14</b> ; (b) A copy of System Total Gross Sales Report for the year ended 31 December; and (c) Such other information and/or documents as requested by

Category of Registration	Online submission	Submission of documents
		FIMM.

**4.4** Upon receipt of documents, an invoice that consists of AMSF / Annual Fee for UTS Distributor and UTS Consultants will be sent to the UTS Distributor.

**4.5** All fees must be paid within the timeline as specified by FIMM. If AMSF / Annual Fee remains unpaid for a period of two (2) calendar months after it becomes due, FIMM shall issue a written notice of default and any application from the UTS Distributor shall not be entertained until payment has been made to FIMM.

**4.6** In the event the AMSF / Annual Fee has not been paid at the expiration of six (6) months following the date of the written notice of default, the registration of the distributor shall be revoked and FIMM shall remove the name of the UTS Distributor from the register.

**5.0 Renewal of Registration of UTS Consultant**

**5.1** Application for renewal of registration of UTS Consultant must be made through the respective UTS Distributor within ten (10) business days from 31<sup>st</sup> December each year.

**5.2** UTS Distributor must first select the UTS Consultant being renewed, and submit the online application through the System. The UTS Consultant who is not renewed, the System will automatically change the status of the UTS Consultant as expired after the cut-off date as determined by FIMM.

**5.3** Upon submission of the online application for renewal of registration of UTS Consultants, the UTS Distributor must submit the documents as indicated in **Table 5** and such documents must be received by FIMM within ten (10) business days from 31<sup>st</sup> December each year.

**5.4** UTS Distributor shall request the following from the UTS Consultant:

- (a) A duly executed statutory declaration for renewal of registration of UTS Consultant on a biennial basis. The statutory declaration is attached as **Schedule A Appendix 6B** (Companies are responsible for the safekeeping of the statutory declaration of each candidate for record and audit purposes. Companies are not required to submit the statutory declaration to FIMM).
- (b) A copy of a valid working permit (applicable to foreigners only).
- (c) Evidence of fulfilment of CPD points as stipulated in the CPD programme issued by FIMM. When attending any external CPD approved programmes, UTS Consultant is required to inform Principal of the CPD points acquired, by completing CPD Record Form as set out in **Schedule A Appendix 10**.
- (d) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may require additional documents.

**5.5** The relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 5: List of documents for renewal of registration of UTS Consultant**

Category of Registration	Online submission	Submission of documents
<b>UTS Consultant</b>	(a) Online submission of the renewal list of UTS Consultant.	(a) Cover letter duly signed by an authorised signatory of the company submitting the application;  (b) Printed list of renewal of UTS Consultant as submitted through the System; and  (c) Such other information and/or document as requested by

Category of Registration	Online submission	Submission of documents
		FIMM.

**5.6** Annual fee for renewal of registration of active UTS Consultants shall be included in the invoice as stated in paragraph 4.4 above.

## **6.0 Exemption from the Requirement to Sit for CUTE**

**6.1** The following individuals may be exempted from CUTE:

- a) Chief Executive of UTMC, IUTA or CUTA.
- b) Director of UTMC, IUTA or CUTA who has a minimum of ten (10) years' experience in unit trust or fund management industry.
- c) Fund Manager who holds a CMSRL to carry out the regulated activity of fund management as defined in the CMSA.
- d) An individual who fulfils any of the following qualifications;
  - i) CFP/IFP designation and a member of the FPAM; or
  - ii) RFP/Shariah RFP designation and an ordinary member of the MFPC; or
  - iii) ChFC designation and a member of the MFPAA; or
  - iv) Completed the relevant modules of:
    - CFP or IFP and become an associate member of FPAM;
    - RFP or Shariah RFP and become an affiliate member of MFPC

**6.2** Application for exemption must be made through the respective UTS Distributor.

**6.3** UTS Distributor shall request for the following from the applicant:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule A Appendix 6A**;
- (b) Two (2) most recent Malaysia passport-sized colour photographs;
- (c) A copy of identity card (front and back) or passport;
- (d) A copy of a valid working permit (applicable to foreigners only)

- (e) Evidence of approval by the SC or relevant authority for the appointment of Chief Executive or Director of a UTMC, IUTA or CUTA (if applicable);
- (f) Resume or curriculum vitae with details describing the director's scope of work and specific job description (applicable to director only);
- (g) A certified true copy of CMSRL for fund management (if applicable);
- (h) Certified true copy of certificate for certified holders of CFP/IFP/RFP/Shariah RFP/ChFC (if applicable);
- (i) Evidence of result slip that indicates the candidate has passed the required modules of the relevant financial qualification (if applicable); and
- (j) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may request additional documents.

- 6.4** UTS Distributor must first submit online application form through the System.
- 6.5** Prior to the submission as a UTS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 6.6** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee ("OA") search through Jabatan Insolvency Malaysia ("JIM") or MyEG Services Berhad to obtain the latest bankruptcy status.
- 6.7** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM's confirmation, the UTS Distributor may proceed to resubmit the application for registration of UTS Consultant.
- 6.8** Upon submission of the online application form, the UTS Distributor must submit the documents as indicated in **Table 6** within seven (7) business days from the date of submission of the online application.



**6.9** In the event of lost of certificate, the candidate is required to obtain a replacement certificate from the relevant institutions. Statutory Declaration for lost certificate is no longer acceptable by FIMM.

**6.10** The application form and relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 6: List of documents required for application of exemption for CUTE**

Category of Registration	Online submission	Submission of documents
<b>UTS Consultant</b>	<p>(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of applicants for exemption.</p>	<p>(a) Cover letter duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule A Appendix 15</b>;</p> <p>(b) Application form set out in <b>Schedule A Appendix 8</b></p> <p>(c) Two (2) most recent Malaysia passport-sized colour photographs of the applicant with the full name of the applicant written clearly at the back of the photographs. The format is set out in <b>Schedule A Appendix 9</b>;</p> <p>(d) A copy of identity card (front and back) or passport;</p> <p>(e) A duly executed statutory declaration as set out in</p>

Category of Registration	Online submission	Submission of documents
		<p><b>Schedule A Appendix 6A;</b></p> <p>(f) Supporting documents as below:</p> <p>(i) Evidence of approval by the SC or relevant authority for the appointment of Chief Executive or Director of a UTMC, IUTA or CUTA (if applicable);</p> <p>(ii) Resume or curriculum vitae with details describing the director's scope of work and specific job description (applicable to directors only);</p> <p>(iii) A certified true copy of CMSRL for fund management (if applicable);</p> <p>(iv) Certified true copy of certificate for certified holders of CFP / IFP / RFP / Shariah RFP / ChFC (if applicable);</p> <p>(v) Evidence of result slip that indicates the</p>

Category of Registration	Online submission	Submission of documents
		<p>applicant has passed the required modules of the relevant financial qualification (if applicable);</p> <p>(g) Such other information and/or document as requested by FIMM; and</p> <p>(h) Payment of the relevant fees as prescribed in <b>Schedule B Appendix 1</b> of the Registration Manual.</p>

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## 7.0 Extension of time for Commencement of Operations

7.1 Application for extension of time for the commencement of operations shall be made by submitting the documents as stated in **Table 7** at least thirty (30) days before the expiry of the 6-month period from the date of registration.

7.2 A copy of the application together with relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 7: List of documents for application of extension of time for commencement of operations**

<b>Submission of documents</b>
<p>UTS Distributor must submit the following documents to FIMM:</p> <ul style="list-style-type: none"><li>(a) Cover letter specifying the time frame required, and justification or rationale for the application, and the proposed action plan duly signed by AR ;</li><li>(b) Letter of Undertaking as set out in <b>Schedule A Appendix 16</b>;</li><li>(c) Supporting documents to substantiate the reason(s) for time extension; and</li><li>(d) Such other information and/or document as requested by FIMM.</li></ul>

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## 8.0 Other Exemption or Extension of Time

- 8.1** Application for exemption or extension of time shall be made by submitting the documents as stated in **Table 8**.
- 8.2** Unless stated otherwise in the Registration Manual or circular issued by FIMM, application for exemption or extension of time shall be made before the expiry of the period as stipulated by FIMM. FIMM expects the UTS Distributor to comply with the requirements.
- 8.3** A copy of the application together with relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 8: List of documents for application for exemption or extension of time**

<b>Submission of documents</b>
<p>UTS Distributor must submit the following documents to FIMM:</p> <ul style="list-style-type: none"><li>(a) Cover letter specifying the exemption or extension of time sought and justification or rationale for the application, duly signed by AR;</li><li>(b) Letter of Undertaking as set out in <b>Schedule A Appendix 16</b>;</li><li>(c) Supporting documents to substantiate the reason(s) for exemption or extension of time; and</li><li>(d) Such other information and/or document as requested by FIMM.</li></ul>

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## 9.0 Replacement of FIMM Authorisation Card or CUTE Certificate

9.1 A FIMM Authorisation Card and a CUTE Certificate will be issued to an individual who passed CUTE and registered with FIMM as UTS Consultant.

9.2 For a replacement of FIMM Authorisation Card and CUTE certificate, UTS Distributor shall request for the following from the UTS Consultant:

- (a) One (1) most recent Malaysia passport-sized colour photograph (for replacement of FIMM Authorisation Card only); and
- (b) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may request for additional documents.

9.3 The application and relevant supporting documents to be submitted by UTS Distributor to FIMM for application are set out in the following **Table 9**. The supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 9: List of documents required for application to request replacement of authorisation card or CUTE Certificate**

Submission of documents
<p>UTS Distributor must submit the following documents to FIMM:</p> <p>1. <u>FIMM Authorisation Card</u></p> <ul style="list-style-type: none"><li>(a) Cover letter as set out in <b>Schedule A Appendix 17</b>;</li><li>(b) One (1) most recent Malaysia passport-sized colour photograph of the UTS Consultant with the full name of the UTS Consultant written clearly at the back of the photograph. The format is set out in <b>Schedule A Appendix 9</b>; and</li><li>(c) Such other information and/or document as requested by FIMM; and</li></ul>

### Submission of documents

(d) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

2. FIMM CUTE Certificate

(a) Cover letter as set out in **Schedule A Appendix 17**; and

(b) Such other information and/or document as requested by FIMM; and

(c) Payment of the relevant fees as prescribed in **Schedule B Appendix 1** of the Registration Manual.

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## II. NOTIFICATIONS

### 1.0 Cessation of Operations of UTS Distributor

- 1.1 Notice of cessation of operations of UTS Distributor must be submitted to FIMM in writing at least fourteen (14) business days before the proposed date of cessation of operations.
- 1.2 UTS Distributor must submit the documents as indicated in **Table 10** to FIMM. The supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.
- 1.3 FIMM shall only accept the notification and withdraw the registration of a UTS Distributor, upon receipt of the notification as specified in paragraph II 1.1 and 1.2 above and is satisfied with all the required documents and information as required for notification on cessation of operations.

**Table 10: List of documents for notification of cessation of operations**

Purpose of Notification	Submission of documents
Cessation of Operations as UTMC, IUTA or CUTA	(a) Cover letter notifying the cessation of operations as UTMC, IUTA or CUTA, duly signed by AR; (b) Withdrawal of registration or cessation of operations form as set out in <b>Schedule A Appendix 18</b> ; and (c) Such other information and/or document as requested by FIMM.

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## 2.0 Resignation or Termination of UTS Consultant

- 2.1 Notification for resignation or termination of the UTS Consultant shall be made through the respective UTS Distributor.
- 2.2 UTS Distributor must first submit the notification of resignation or termination of UTS Consultant through the System within one (1) business day from the date of resignation or termination of UTS Consultant.
- 2.3 UTS Distributor shall require the UTS Consultant to:
- (a) Return the FIMM Authorisation Card to the Principal; and
  - (b) Serve a letter of resignation to the Principal.
- 2.4 The relevant supporting documents to be submitted by UTS Distributor to FIMM are set out in the following **Table 11**. The supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 11: List of documents required for notification of resignation or termination of UTS Consultant**

Category of Registration	Online submission	Submission of documents
UTS Consultant	(a) Details of the resigned or terminated UTS Consultant via the System in accordance with the System Manual.	(a) Cover letter notifying the resignation or termination of UTS Consultant's registration with UTS Distributor, duly signed by authorised signatory. The sample cover letter is set out in <b>Schedule A Appendix 19</b> ; or  (b) Email to FIMM via email address <a href="mailto:busreg@fimm.com.my">busreg@fimm.com.my</a>

Category of Registration	Online submission	Submission of documents
		<p>to notify the resignation or termination of UTS Consultant's registration with UTS Distributor, which is sent by authorised signatory; and</p> <p>(c) Printed online list of resigned / terminated UTS Consultant; and</p> <p>(d) Such other information and/or document as requested by FIMM.</p>

**2.5** It is important for the UTS Consultants' records to be updated regularly and in a timely manner because:

- a) As a single registration body for all UTS Consultants, FIMM plays an important role in disseminating information of the UTS Consultants to the public, and
- b) Failure to inform FIMM of any resignation and termination will result in an inaccurate compilation and circulation of UTS Consultants' records and statistics, and
- c) FIMM takes no responsibility if a resigned / terminated UTS Consultant misrepresents the relevant company if the UTS Consultant registration is not updated accordingly.

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### **3.0 Change of Corporate Information, Contact Details and Authorised Representative**

- 3.1** Notification of change in relation to corporate information, contact details and AR of UTS Distributor will have to be done as least one (1) business day before the change takes effect must first be made through the System.
- 3.2** Notification of change in respect of the matters stated in paragraph 3.1 above shall be deemed invalid if it is not submitted through the System.
- 3.3** For notification of change of AR, the UTS Distributor shall submit the documents as indicated in **Table 12** and the documents must be received by FIMM no later than seven (7) business days after submission of the online notification of change.
- 3.4** The relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

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**Table 12: List of documents required for notification in relation to change of corporate information, contact details and AR**

Category of Registration	Online submission	Submission of documents
<p>UTMC, IUTA or CUTA</p>	<p><b><u>Notification of change in relation to corporate information and contact details</u></b></p> <p>Online notification through the System in accordance with the System Manual</p> <p><b><u>Notification of change in relation to AR</u></b></p> <p>Online notification through the System in accordance with the System Manual</p>	<p><b><u>Notification of change in relation to corporate information and contact details</u></b></p> <p>Notification letter duly signed by an authorised signatory stating the change of corporate information and contact details.</p> <p><b><u>Notification of change in relation to AR</u></b></p> <p>(a) Cover letter duly signed by an authorised signatory stating the appointment of the AR;</p> <p>(b) Board of directors' resolution approving the appointment of the AR; and</p> <p>(c) Such other information and/or document as requested by FIMM.</p>

#### 4.0 Variation of Registration Particulars of UTS Consultant

- 4.1 For the variation of registration particulars of a UTS Consultant, the notification must be made through the respective UTS Distributor within one (1) business day from the date of the variation.
- 4.2 Notification for the variation of registration particulars of a UTS Consultant shall be deemed invalid if it is not submitted through the System.
- 4.3 For notification of variation of registration particulars of a UTS Consultant, the UTS Distributor shall submit the documents as indicated in **Table 13** and the documents must be received by FIMM no later than seven (7) business days after submission of the online notification of variation.
- 4.4 The relevant supporting documents must be kept by the UTS Distributor at its principal address for the period as required under relevant laws.

**Table 13: List of documents required for notification of variation of registration particulars of a UTS Consultant**

Category of Registration	Online submission	Submission of documents
UTS Consultant	<p><b><u>Notification of variation in relation to name and identity card number</u></b></p> <p>Online submission is not required.</p>	<p><b><u>Notification of variation in relation to name and identity card number</u></b></p> <p>(a) Cover letter duly signed by an authorised signatory stating the variation of name and identity card number;</p> <p>(b) A copy of identity card (front and back) or passport; and</p> <p>(c) Such other information and/or</p>

Category of Registration	Online submission	Submission of documents
	<p data-bbox="440 528 892 658"><b><u>Notification of variation in relation to other personal particulars and contact details</u></b></p> <p data-bbox="440 725 892 902">Online submission of notification for variation via the System in accordance with the System Manual.</p>	<p data-bbox="986 416 1394 495">document as requested by FIMM.</p> <p data-bbox="943 528 1394 658"><b><u>Notification of variation in relation to other personal particulars and contact details</u></b></p> <p data-bbox="943 725 1394 954">(a) Cover letter duly signed by an authorised signatory stating the variation of other personal particulars and contact details; and</p> <p data-bbox="943 987 1394 1117">(b) Such other information and/or document as requested by FIMM.</p>

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## 5.0 Other Notifications

5.1 The following **Table 14** sets out the notification by UTS Distributor to FIMM:

**Table 14: Notification by UTS Distributor to FIMM**

No.	Purpose of Notification	Details on submission
a.	<b>Commencement of Operations</b>	<p><b><u>IUTA and CUTA</u></b></p> <p>Notification must be submitted at least one (1) business day before commencement of operations.</p> <p>Document to be submitted consists of:</p> <p>(a) Notification form as set out in <b>Schedule A Appendix 20</b> of the Registration Manual;</p> <p>(b) Cover letter duly signed by AR;</p> <p>(c) A certified true copy of the relevant pages of the valid distribution arrangement with the following information:</p> <ul style="list-style-type: none"> <li>i) The date of arrangement</li> <li>ii) Parties to the distribution arrangement</li> <li>iii) The list of UTS for distribution</li> <li>iv) Execution page; and</li> </ul> <p>(d) A certified true copy of an appointment letter or supplemental arrangement for subsequent list of UTS for distribution (if applicable);</p> <p>(e) A copy of the consent letter from the UTMC to allow sub-distribution of their UTS (if applicable);</p> <p>(f) Such other documents as requested by FIMM.</p>
b.	<b>Notification on the Launch of New UTS</b>	<p><b><u>UTMC</u></b></p> <p>FIMM must be notified on any new UTS at least three (3)</p>

No.	Purpose of Notification	Details on submission
		<p>business days before the date of the UTS launch.</p> <p>For the purpose of new UTS notification, UTMC must submit UTS related information and forward the following documents to FIMM:</p> <ul style="list-style-type: none"> <li>(a) Notification form as set out in <b>Schedule A Appendix 21</b> of the Registration Manual</li> <li>(b) A copy of approval letter from the SC / Fund Lodgement Summary from the SC's LOLA Online Submission System for new UTS;</li> <li>(c) Two (2) sets of Prospectus / Information Memorandum / Product Highlight Sheet / Disclosure Document - (in the same form as distributed to potential investors)*;</li> <li>(d) Key data section of the Prospectus / Information Memorandum / Product Highlight Sheet / Disclosure Document - duly registered with the SC*.</li> </ul> <p>* In the event that the printed Product Highlight Sheet and Prospectus / Information Memorandum / Disclosure Document are not available at the point of notification, UTMC may provide a copy of the key data section of the Prospectus / Information Memorandum / Disclosure Document duly registered with the SC. The printed Product Highlight Sheet and Prospectus / Information Memorandum / Disclosure Document must subsequently reach FIMM within a week after the launch of the UTS.</p> <p>Note: The above is also applicable to the appointed Local Representative of the Operator of foreign fund. The appointed Local Representative must submit to FIMM a</p>



No.	Purpose of Notification	Details on submission
	<p><b>Notification on Marketing and Distribution of UTS</b></p>	<p>copy of approval letter from the SC for the appointment of the company as Local Representative, in addition to the above submission of notification's requirements.</p> <p>Any query on the notification is to be addressed to:  Head, Industry Services Division  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p> <p><b><u>IUTA and CUTA</u></b></p> <p>Notification must be submitted at least one (1) business day before the effective date of marketing and distribution of UTS. Documents to be submitted are:</p> <p>(a) Notification form as set out in <b>Schedule A Appendix 20</b> of the Registration Manual;</p> <p>(b) Cover letter duly signed by Authorised Signatory;</p> <p>(c) A certified true copy of the relevant pages of the valid distribution arrangement with the following information:</p> <ul style="list-style-type: none"> <li>i) The date of arrangement</li> <li>ii) Parties to the distribution arrangement</li> <li>iii) The list of UTS for distribution</li> <li>iv) Execution page;</li> </ul> <p>(d) A certified true copy of an appointment letter / supplemental arrangement for subsequent list of UTS for distribution (if applicable);</p>

No.	Purpose of Notification	Details on submission
		<p>(e) A copy of the consent letter from the UTMC to allow sub-distribution of their UTS (if applicable);</p> <p>(f) Such other documents as requested by FIMM.</p> <p>In the event of variation of distribution arrangement, the IUTA or CUTA must submit a notification within seven (7) business days after the variation.</p> <p>Note: The above submission of notification's requirements are also applicable to IUTA/CUTA who is appointed as local intermediaries for distribution of foreign funds.</p> <p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers  Malaysia 19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>
c.	<b>Distribution Point / Mobile Distribution Point</b>	<p>Notification on the location, particulars or any changes of a distribution point including mobile distribution point must be submitted to FIMM within seven (7) business days upon operationalizing the point by submitting the duly completed Distribution Points / Mobile Distribution Point form as set out in <b>Schedule A Appendix 4.</b></p>
d.	<b>Collection Point</b>	<p>Notification on the location and particulars of a collection point, including any changes, must be submitted to FIMM within seven (7) business days upon operationalizing the point.</p>

No.	Purpose of Notification	Details on submission
e.	<b>Termination of Distribution Arrangement</b>	<p>Notification must be submitted at least fourteen (14) business days before the termination of distribution arrangement. Documents to be submitted are:</p> <ul style="list-style-type: none"> <li>(a) Notification letter with details of termination;</li> <li>(b) A copy of the letter/documents on termination of distribution arrangement between the parties involved; and</li> <li>(c) Such other documents as requested by FIMM.</li> </ul> <p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers  Malaysia 19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>
f.	<b>Termination or winding up of a UTS</b>	<p><b><u>UTMC :</u></b></p> <p>Notification must be submitted within seven (7) business days after the termination or winding up of the UTS. Documents to be submitted are:</p> <ul style="list-style-type: none"> <li>(a) Notification letter with details of the UTS;</li> <li>(b) A copy of letter from the SC approving the termination or winding up of the UTS; and</li> <li>(c) Such other documents as requested by FIMM.</li> </ul> <p>Notification is to be addressed to:  Head, Industry Services Division</p>

No.	Purpose of Notification	Details on submission
		Federation of Investment Managers Malaysia 19-06-1, 6 <sup>th</sup> Floor, Wisma Tune No. 19, Lorong Dungun Damansara Heights 50490 Kuala Lumpur
g.	<b>Merger and Acquisition</b>	<p>Notification must be submitted to FIMM within one (1) month from the date of Legal Day One to ensure necessary changes are made with regards to the merger and acquisition.</p> <p>In the event of any extension of time is needed, the UTS Distributor shall request for an extension of time in writing with justification or rationale for the application and such other information as requested by FIMM</p> <p>Documents to be submitted are:</p> <p>(a) Notification on the merger and acquisition consist of the following details:</p> <ul style="list-style-type: none"> <li>i) The registration of the name and particulars of the new entity that it would henceforth operate as;</li> <li>ii) The registration of UTS Consultants who are affected by such exercise;</li> <li>iii) Existing investors have been informed of alternatives available to deal with their UTS including redeem or transfer the account to respective UTMC; and</li> <li>iv) Provision for termination under the distribution arrangement with UTMC or IUTA has been fulfilled.</li> </ul> <p>(b) Form on Notification for withdrawal of registration or cessation of operations of UTMC, IUTA or CUTA as set</p>

No.	Purpose of Notification	Details on submission
		<p>in <b>Schedule A Appendix 18</b>;</p> <p>(c) A copy of the order made by the High Court for transfer of assets;</p> <p>(d) A certified true copy of Form 13 certified by company secretary;</p> <p>(e) A copy of Form 18 from SC (for CMSL Holder only);</p> <p>(f) Such other documents as requested by FIMM.</p> <p>In the event of merger and acquisition, the UTMC, IUTA or CUTA, the former entity may apply for a rebate of the current year's AMSF or Annual Fees, the amount of which shall be pro-rated based on the remaining number of months in the calendar year from the date of the company being operated under the new merged entity.</p> <p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>

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### **III. CONTINGENCY PLANS FOR COMPUTERISED UNIT TRUST EXAMINATION (CUTE)**

#### **1.0 Measures Taken**

FIMM has taken the necessary measures to ensure the smooth and secured conduct of the CUTE session.

#### **2.0 Unforeseen Circumstances**

Unforeseen circumstances will include any event of catastrophic nature, emergency situation or natural disaster. This list of events, while not exhaustive, will include events such as flood, fire, power failure, server or internet connection breakdown, etc. that will affect the operations of an examination centre.

#### **3.0 Contingency Plans for Events Affecting the Main Server at the AIMS Centre**

The general plans to counter events affecting the main server at the AIMS Centre are as follows:

(a) Minor impact due to power failure, technical failure, etc.

(i) Can be resolved within the first 30 minutes

In the event where the factors affecting the conduct of the CUTE can be resolved within the first 30 minutes of the examination time, the CUTE session will proceed as planned. The duration of the examination remains as 2 hours with adjustment on the ending time for the examination.

(ii) Cannot be resolved within the first 30 minutes

- In the event where the CUTE sessions cannot be carried out within the first 30 minutes of the examination time, the CUTE sessions will be cancelled.
- All candidates registered for the affected session will be treated as "Absent".

- The relevant company will be notified and will have to register the candidates for another CUTE session within one (1) month from the examination date with no additional costs including resit fee.

(b) More severe impact due to fire, server breakdown, etc.

- All existing and future CUTE sessions will be cancelled.
- All candidates registered for the affected session will be treated as “Absent”.
- Replacement/Alternative Centres will be set up and CUTE sessions will be held in these replacement/alternative centres instead.
- The relevant company will be notified and will have to register the candidates for the CUTE session at the replacement/alternative centres with no additional costs including resit fee, within one (1) month from the examination date.

#### **4.0 Contingency Plans for Events Affecting Individual Examination Centre**

The general plans to counter events affecting the individual examination centre are as follows:

(a) Minor impact due to power failure, technical failure, etc.

(i) Can be resolved within the first 30 minutes

In the event where the factors affecting the conduct of the CUTE can be resolved within the first 30 minutes of the examination time, the CUTE session will proceed as planned. The duration of the examination remains as 2 hours with adjustment on the ending time for the examination.

(ii) Cannot be resolved within the first 30 minutes

- In the event where the CUTE sessions cannot be carried out within the first 30 minutes of the examination time, the CUTE sessions will be cancelled.
- All candidates registered for the affected session will be treated as

“Absent”.

- The relevant company will be notified and will have to register the candidates for another CUTE session within one (1) month from the examination date with no additional costs including resit fee.

(b) More severe impact due to fire, flood, etc.

- All existing and future CUTE sessions will be cancelled.
- All candidates registered for the affected session will be treated as “Absent”.
- Replacement/alternative centre will be set up and CUTE sessions will be held in these replacement/alternative centres instead.
- The relevant company will be notified and will have to register the candidates for the CUTE session at the replacement/alternative centre with no additional costs including resit fee, within one (1) month from the examination date.

## **5.0 Contingency Plans for Events Affecting Individual Candidate**

This applies only to individual candidate who is present at the examination centre on the examination day but unable to sit for the CUTE due to power failure, technical failure, etc. thus affecting the personal computer (PC) that the candidate is using.

(a) Can be resolved within the first 30 minutes

In the event where the factors affecting the individual candidate from taking the CUTE can be resolved within the first 30 minutes of the examination time, the CUTE session will proceed as planned. The duration of the examination remains as 2 hours with adjustment on the ending time for the examination.

(b) Cannot be resolved within the first 30 minutes

- In the event where the CUTE sessions cannot be carried out within the first 30 minutes of the examination time, a replacement computer will be provided and the CUTE session will continue.
- If a replacement computer cannot be provided, the affected candidate will be



requested to sit for another CUTE session. He will be treated as “Absent”.

- The relevant company will be notified and will have to register the candidate for another CUTE session within 1 month from the examination date with no additional costs including resit fee.

Other events that prevent the candidate from attending the CUTE such as sickness, accident, etc are not considered as part of the events that require the implementation of the contingency plans as stated in this section.

Should a candidate withdraw his/her application to sit for examination, or be absent from the examination after the closing date for submission of examination entries, the examination fee is not refundable in part or in full. There is strictly no examination for any circumstances or reasons. Under such cases, the candidate will have to register to sit for the CUTE again and will have to pay the applicable resit fees in full.

## **6.0 Liability**

FIMM is not liable for any losses or other consequences arising from the event where the conduct of the CUTE is disrupted due to factors beyond FIMM's control. FIMM will evaluate any such situation on a case-to-case basis and will decide on the appropriate action(s) to be taken. FIMM's decision is final and no subsequent correspondence will be entertained.

# **PART 2:**

## **REGISTRATION MANUAL FOR PRIVATE RETIREMENT SCHEMES**

### **DISTRIBUTORS AND CONSULTANTS**

## I. APPLICATION

### 1.0 Registration of PRS Provider, IPRA and CPRA

- 1.1 Applicant must first complete and submit the online application form through the System.
- 1.2 For multiple registrations, the applications may be combined into one application provided that the documents submitted are complete. Nevertheless, an applicant may only apply for registration as either IPRA or CPRA. Dual registration is not allowed.
- 1.3 Upon submission of the online application form, the applicant must submit the documents as indicated in **Table 1** and such documents must be received by FIMM no later than seven (7) business days from the date of submission of the online application.
- 1.4 The application form and the relevant supporting documents must be kept by the applicant at the principal address of the applicant for the period as required under relevant laws.

**Table 1: List of documents for registration of PRS Provider, IPRA and CPRA**

Category of Registration	Online submission	Submission of documents
PRS Provider	(a) A duly completed online application form submitted through the System in accordance with the System Manual.	<b><u>For applicants who are UTMCs</u></b> (a) Cover letter signed by the AR specifying the registration that is being sought. If the AR appointed for the registration as PRS Provider is not the same as the AR appointed for the registration as UTMC, the cover letter shall be signed

Category of Registration	Online submission	Submission of documents
		<p>by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule C Appendix 1</b>;</p> <p>(d) Declaration signed by a director of the applicant as set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9, 13,24 and 49 certified true copy by the Company Secretary;</p> <p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules;</p> <p>(g) Such other information and/or documents as requested by FIMM.</p>

Category of Registration	Online submission	Submission of documents
		<p><b><u>For applicants who are not UTMCs</u></b></p> <ul style="list-style-type: none"> <li>(a) Cover letter signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</li> <li>(b) Printed online application form;</li> <li>(c) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule C Appendix 1</b>;</li> <li>(d) Declaration signed by a director of the applicant as set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</li> <li>(e) Latest Form 8, 9, 13,24 and 49 certified true copy by the Company Secretary;</li> <li>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules;</li> <li>(g) Proposal for the marketing and distribution of Private</li> </ul>

Category of Registration	Online submission	Submission of documents
		<p>Retirement Scheme which includes information as set out in <b>Schedule C Appendix 3</b>;</p> <p>(h) Such other information and/or documents as requested by FIMM; and</p> <p>(i) Payment of the application and annual fees as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p>
<p><b>IPRA</b></p>	<p>(a) A duly completed online application form submitted through the System in accordance with the System Manual.</p>	<p><b><u>For applicants who are UTMCs or IUTAs or PRS Providers</u></b></p> <p>(a) Cover letter signed by the AR specifying the registration that is being sought. If the AR appointed for the registration as IPRA is not the same as the AR appointed for the registration as UTMC or IUTA or PRS Provider, the cover letter shall be signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application</p>

Category of Registration	Online submission	Submission of documents
		<p>form;</p> <p>(c) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule C Appendix 1</b>;</p> <p>(d) Declaration signed by a director of the applicant as set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9, 13,24 and 49 certified true copy by the Company Secretary;</p> <p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules (if applicable);</p> <p>(g) Proposal for the marketing and distribution of Private Retirement Scheme (not applicable to CMSL holder) which includes information as set out in <b>Schedule C Appendix 3</b>; and</p> <p>(h) Such other information and/or documents as requested by FIMM.</p>

Category of Registration	Online submission	Submission of documents
		<p><b><u>For applicants who are not UTMCs or IUTAs or PRS Providers</u></b></p> <p>(a) Cover letter signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Board of Directors' Resolution approving the appointment of the authorised representative(s). Sample as set out in <b>Schedule C Appendix 1</b>;</p> <p>(d) Declaration signed by a director of the applicant as set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9, 13,24 and 49 certified true copy by the Company Secretary;</p> <p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules (if applicable);</p>



Category of Registration	Online submission	Submission of documents
		<ul style="list-style-type: none"> <li>(g) A copy of the unexpired license (e.g. banking license issued by Ministry of Finance) which has been certified as true copy by the company secretary, advocate &amp; solicitor or notary public (if applicable);</li> <li>(h) A copy of the profile and organisational structure of the applicant including information on its related, subsidiary, associate and holding companies with percentage of shareholding;</li> <li>(i) Proposal for the marketing and distribution of Private Retirement Scheme which includes information as set out in <b>Schedule C Appendix 3</b>;</li> <li>(j) Such other information and/or document as requested by FIMM; and</li> <li>(k) Payment of the application and annual fees as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</li> </ul>

Category of Registration	Online submission	Submission of documents
CPRA	(a) A duly completed online application form submitted through the System in accordance with the System Manual.	<p><b><u>For applicants who are CUTAs</u></b></p> <p>(a) Cover letter signed by the AR specifying the registration that is being sought. If the AR appointed for the registration as CPRA is not the same as the AR appointed for the registration as CUTA, the cover letter shall be signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule C Appendix 1</b>;</p> <p>(d) Declaration signed by a director of the applicant as set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9, 13,24 and 49 certified true copy by the Company Secretary;</p>

Category of Registration	Online submission	Submission of documents
		<p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules;</p> <p>(g) A copy of Company's latest audited accounts or draft/management accounts; and</p> <p>(h) Such other information and/or document as requested by FIMM.</p> <p><b><u>For applicants who are not CUTAs</u></b></p> <p>(a) Cover letter signed by an authorised signatory specifying the registration that is being sought and the appointment of AR;</p> <p>(b) Printed online application form;</p> <p>(c) Board of Directors' Resolution approving the appointment of the AR. Sample as set out in <b>Schedule C Appendix 1</b>;</p> <p>(d) Declaration signed by a director of the applicant as</p>

Category of Registration	Online submission	Submission of documents
		<p>set out in <b>Schedule C Appendix 2</b> of the Registration Manual;</p> <p>(e) Latest Form 8, 9, 13, 24 and 49 certified true copy by the Company Secretary;</p> <p>(f) Certified true copy of relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-B (i) of the Rules;</p> <p>(g) A copy of the profile and organisational structure of the applicant including information on its related, subsidiary, associate and holding companies with percentage of shareholding;</p> <p>(h) Proposal for the marketing and distribution of Private Retirement Scheme which includes information as set out in <b>Schedule C Appendix 3</b>;</p> <p>(i) A copy of Company's latest audited accounts or draft/management accounts;</p> <p>(j) A copy of the professional indemnity insurance that</p>

Category of Registration	Online submission	Submission of documents
		<p>indemnifies the corporation and its officers and its PRS Consultants against claims (if applicable);</p> <p>(k) Such other information and/or document as requested by FIMM; and</p> <p>(l) Payment of the application and annual fees as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p>

1.6 The applicant must fulfil the licensing requirements as set out by the SC in the Licensing Handbook pertaining to the registration of Director with FIMM, paid-up capital, shareholders' fund, company ownership and any other licensing requirements.

1.7 Where applicable, the applicant may submit concurrently the application of the relevant licence to the SC and the registration of PRS Provider, IPRA or CPRA with FIMM.

1.8 The registration of PRS Provider, IPRA or CPRA shall remain until:

(a) Cessation of operations

The registration of PRS Provider, IPRA or CPRA is withdrawn by FIMM based on the notification from PRS Provider, IPRA or CPRA to cease operations duly submitted to FIMM pursuant to paragraph II.1.0 of the Registration Manual.

(b) Suspension and revocation of registration

Suspension and revocation of registration of PRS Provider, IPRA or CPRA by FIMM due to the reasons as stated in FIMM's Consolidated Rules.

## **2.0 Registration of PRS Consultant**

**2.1** Individuals who wish to market and distribute PRS must first be registered with FIMM before marketing and distributing PRS. Application for registration must be made through the respective PRS Distributors.

**2.2** The application for registration is open to all categories of PRS Consultants. This includes:

- (a) Agents of PRS Provider, IPRA (only applicable if an IPRA is also a PRS Provider, a UTMC, an investment bank, a stockbroking company, a licensed insurance company or registered takaful operator) and CPRA; and
- (b) Employee of PRS Provider, IPRA and CPRA.

**2.3** PRS Distributor shall request the following from the candidate:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule C Appendix 4A**;
- (b) A copy of identity card (front and back) or passport;
- (c) A copy of a valid working permit (applicable to foreigners only);
- (d) Two (2) most recent Malaysia passport-sized colour photographs;
- (e) A certified true copy of the relevant certificates and qualifications;
- (f) Relevant CMSRL in the regulated activity (if applicable);
- (g) Payment of the relevant fees as prescribed in **Schedule D Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may require additional documents.

**2.4** In the event of lost of certificate, the candidate is required to obtain a replacement certificate from the relevant institutions. Statutory Declaration for lost certificate is no longer acceptable by FIMM.

**2.5** PRS Distributor must first submit the online application form through the System to

select the PRS Examination date, venue and time for the candidate.

- 2.6** Prior to the submission as a PRS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 2.7** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee (“OA”) search through Jabatan Insolvency Malaysia (“JIM”) or MyEG Services Berhad to obtain the latest bankruptcy status.
- 2.8** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM’s confirmation, the PRS Distributor may proceed to resubmit the application for registration of PRS Consultant.
- 2.9** Upon submission of online application, the PRS Examination date, venue and time shall not be revised for any reason.
- 2.10** Candidates are required to indicate three (3) preferred examination sessions on the PRS Examination Application form. Should the candidate failed to indicate the preferred examination sessions, an examination session would be selected on their behalf by the relevant PRS Distributor.
- 2.11** A seat in the first preferred examination session will be allocated to each applicant on a “first come, first serve basis” provided:
- The examination closing date has not expired, and/or
  - The seating capacity for the session has not reached the maximum capacity.

If the applicant fails to secure the first preferred session, the system will allocate a seat for the applicant in the next available chosen sessions (second or third preferred sessions).

**2.12** Upon submission of the online application form, the PRS Distributor must submit the documents as indicated in **Table 2** and such documents must be received by FIMM on or before the closing date of the scheduled PRS Examination. Incomplete submission will be rejected without further notice to the PRS Distributor.

**2.13** FIMM will not accommodate any changes after the closing date or once examination registration is confirmed, whichever is earlier, for submission of examination entries to FIMM given that examination seats had been committed.

**2.14** The application form and relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 2: List of documents for registration of PRS Consultant**

Category of Registration	Online submission	Submission of documents
<b>PRS Consultant</b>	(a) A duly completed online application form submitted through the System in accordance with the System Manual. (b) The list of candidates; and (c) Selection of PRS Examination date.	(a) Cover letter signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 5</b> ; (b) Application Form for Registration of Private Retirement Scheme Consultant as set out in <b>Schedule C Appendix 6</b> ; (c) Printed list of candidates applying for registration with



Category of Registration	Online submission	Submission of documents
		<p>details of selection of PRS examination date as submitted through the System;</p> <p>(d) A copy of identity card (front and back) or passport;</p> <p>(e) Two (2) passport-sized colour photographs of the candidate with the full name of the candidate written clearly at back of the photographs. The format is set out in <b>Schedule C Appendix 7</b>;</p> <p>(f) A duly executed statutory declaration as set out in <b>Schedule C Appendix 4A</b>;</p> <p>(g) Certified true copy of the relevant certificates and qualifications;</p> <p>(h) Certified true copy of the relevant CMSRL in the regulated activity (if applicable) ;</p> <p>(i) Such other information and/or document as requested by FIMM; and</p> <p>(j) Payment of the relevant fees as prescribed in <b>Schedule D Appendix 1</b> of the</p>

Category of Registration	Online submission	Submission of documents
		Registration Manual.

- 2.15** The Candidate Examination Number is generated for each candidate who is approved by FIMM to sit for each particular examination session. The Candidate Examination Number is generated by the System randomly.
- 2.16** The Candidate Examination Number must be provided by the PRS Distributor to all candidates before the examination as it will be used to login into PRS Examination system.
- 2.17** The Candidate Session List (“CSL”) detailing the Candidate Examination Number will be available three (3) working days before the examination date. The PRS Distributor will need to access the System to obtain a copy of the CSL for each PRS Examination session.
- 2.18** The same CSL will be used by FIMM to check the admission of the registered candidates on the day of examination.
- 2.19** The Admission Notice is not required for admission into the examination centre under the PRS Examination system. However, the PRS Distributor has the option to print the Admission Notice for the purpose of disseminating the Candidate Examination Number to the candidates.
- 2.20** There is strictly no examination postponement for whatever circumstances or reasons. In the event of any catastrophic incident, emergency situation or any unforeseen circumstances **not within** FIMM’s control such as flood, fire, power failure, server breakdown, internet connection breakdown, etc that will affect the operations of an examination centre and result in the cancellation of examination, the application fee will be waived and the affected candidates are required to resit the examination at the next available PRS Examination session.

- 2.21** PRS Distributor is required to collect the study manuals upon submission of the examination entries. The study manuals are also available for purchase, subject to availability, should the PRS Distributor decide to keep extra copies for future distribution.
- 2.22** Notes to Candidates for PRS Examination which will spell out the rules and regulations of PRS Examination and the Do's and Don'ts during the examination is available on FIMM's website. It is mandatory for PRS Distributor to give a copy of these notes to every candidate who has successfully registered for PRS Examination. PRS Distributor should ensure that the candidates read and understand the contents of the documents **before** attending the examination session.
- 2.23** The registration of PRS Consultant is subject to the candidate passing the PRS Examination, unless exempted from sitting for PRS Examination as prescribed by FIMM.
- 2.24** After the candidates have sat for the examination, the results will be immediately made known to the candidates. Candidates are required to obtain the printout of their examination results before they leave the examination centre. Candidates who did not obtain the printout of their examination results, the candidates shall inform PRS Distributors to request FIMM to re-print the examination results. The preliminary passed results which are obtained immediately after the examination sessions cannot be used as authorisation to market and distribute PRS.
- 2.25** All PRS Distributors are able to view the preliminary results from the system but for the purpose of downloading of examination results, the PRS Distributors should perform the **downloading on the third working day** from the examination session. The final examination results will be graded Approved Pass, Approved Fail, Approved Absent or Approved Disqualified.
- 2.26** All candidates who have passed the examination will be issued with a FIMM Number once FIMM has performed the final approval of the examination result. This number serves as an identity code for the PRS Consultants and should be quoted in all future communication between FIMM and the PRS Distributor.

**2.27** FIMM reserves the right to revoke a candidate's result and to withdraw and cancel the FIMM Number in the event that the person is found to infringe the rules and regulation of PRS Examination.

**2.28** Candidates can appeal in writing to check the examination results via the PRS Distributor. Appeal must reach FIMM within **14 days** from the date of the examination results. The number of days taken to finalise appeal cases is 5 working days from the receipt of the complete documentation including the payment of appeal fee.

**2.29** The registration of PRS Consultant shall remain until:

- (a) Withdrawal of registration due to resignation or termination of contract with the Principal

The registration of PRS Consultant is withdrawn by FIMM based on the notification from PRS Distributor to withdraw the registration of PRS Consultant due to resignation or termination of contract; duly submitted to FIMM pursuant to paragraph II.2.0 of the Registration Manual.

- (b) Suspension and revocation of registration

Suspension and revocation of registration of PRS Consultant by FIMM due to the reasons as stated in FIMM's Consolidated Rules.

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### **3.0 Registration of Former PRS Consultant and Variation of Registration of PRS Consultant**

**3.1** Due to non-renewal of registration of a PRS Consultant, a former PRS Consultant may apply for registration of PRS Consultant, subject to him applies for registration within three (3) years from the withdrawal date of his registration.

**3.2** A PRS Consultant must also seek FIMM's approval to vary his registration in the following circumstances:

- (a) When the PRS Consultant varies his relationship with his principal from being an employee to an agent or vice versa;
- (b) When the PRS Consultant changes principal within the year; and
- (c) Whenever there is any merger and acquisition exercise where both entities affected by such exercise are registered with FIMM as PRS Distributors.

**3.3** PRS Distributor shall request the following from the applicant:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule C Appendix 4A**;
- (b) One (1) most recent Malaysia passport-sized colour photograph;
- (c) A copy of a valid working permit (applicable to foreigners only);
- (d) A copy of the letter of release from the previous company (if applicable);
- (e) Relevant CMSRL in the regulated activity (if applicable);
- (f) Payment of the relevant fees as prescribed in **Schedule D Appendix 1** of the Registration Manual. However, under the circumstances as stated in paragraph 3.2 above, the applicant is required to pay the replacement of card fee only.

The above list is non-exhaustive. FIMM may require additional documents.

**3.4** Application for registration of former PRS Consultant and variation of registration of PRS Consultant must be made through the respective PRS Distributor.

**3.5** PRS Distributor must first submit the online application form through the System.

- 3.6** Prior to the submission as a PRS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 3.7** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee (“OA”) search through Jabatan Insolvensi Malaysia (“JIM”) or MyEG Services Berhad to obtain the latest bankruptcy status.
- 3.8** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM’s confirmation, the PRS Distributor may proceed to resubmit the application for registration of PRS Consultant.
- 3.9** Upon submission of the online application form, the PRS Distributor must submit the documents as indicated in **Table 3** and the complete documents must be received by FIMM no later than seven (7) business days from the date of submission of the online application.
- 3.10** In the event where the PRS Consultant has not received the Letter of Release from the relevant company and is registering with another company, the PRS Consultant may request, in writing, FIMM’s assistance to obtain the Letter of Release through the new relevant company that the PRS Consultant intends to join.
- 3.11** This request should only be made after ten (10) working days from the date of the submission of the Letter of Resignation. FIMM will then follow-up with the relevant company requesting for the release of the PRS Consultant to which the relevant company will have fourteen (14) working days to reply to FIMM stating the reasons for non-release of the PRS Consultant. If the relevant company fails to reply within fourteen (14) working days, FIMM will assume that the relevant company has no objection in releasing the PRS Consultant and will proceed to terminate the status of the PRS Consultant with that company.

**3.12** The application form and relevant supporting documents to be submitted by PRS Distributor to FIMM for application are set out in the following **Table 3**. Such form and supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 3: List of documents for registration of former PRS Consultant and variation of registration of PRS Consultant**

Type of Registration	Online submission	Submission of documents
<p><b>PRS Consultant</b></p>	<p><b><u>Registration of former PRS Consultant</u></b></p> <p>(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of former PRS Consultant.</p>	<p><b><u>Registration of former PRS Consultant</u></b></p> <p>(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 8</b> ;</p> <p>(b) Application form set out in <b>Schedule C Appendix 6</b>;</p> <p>(c) Printed online list of former PRS Consultants as submitted through the System;</p> <p><b>(d)</b> One (1) most recent Malaysia passport-sized colour photograph of the former PRS Consultant with the full name of the former PRS Consultant written clearly at back of the photographs. The format is set out in <b>Schedule C Appendix</b></p>

Type of Registration	Online submission	Submission of documents
	<p data-bbox="469 1167 919 1391"><b><u>Active PRS Consultant who varies his relationship with his principal from being an employee to an agent or vice versa</u></b></p> <p data-bbox="469 1413 919 1637">(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p data-bbox="469 1671 863 1704">(b) The list of PRS Consultant.</p>	<p data-bbox="986 416 1018 450">7;</p> <p data-bbox="943 483 1406 607">(e) A duly executed statutory declaration as set out in <b>Schedule C Appendix 4A</b>;</p> <p data-bbox="943 640 1406 719">(f) Relevant CMSRL in the regulated activity (if applicable);</p> <p data-bbox="943 752 1406 887">(g) Such other information and / or document as requested by FIMM; and</p> <p data-bbox="943 920 1406 1099">(h) Payment of the relevant fees as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p> <p data-bbox="943 1167 1382 1391"><b><u>Active PRS Consultant who varies his relationship with his principal from being an employee to an agent or vice versa</u></b></p> <p data-bbox="943 1413 1382 1783">(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 8</b>;</p> <p data-bbox="943 1805 1382 1883">(b) Application form set out in <b>Schedule C Appendix 6</b>;</p>



Type of Registration	Online submission	Submission of documents
	<p data-bbox="472 1675 895 1760"><b><u>PRS Consultant changes principal within the year</u></b></p> <p data-bbox="472 1776 919 1906">(a) A duly completed online application form submitted through the System in</p>	<p data-bbox="946 416 1374 546">(c) Printed online list of PRS Consultants as submitted through the System;</p> <p data-bbox="946 562 1374 987">(d) One (1) most recent Malaysia passport-sized colour photograph of the PRS Consultant with the full name of the PRS Consultant written clearly at the back of the photographs. The format is set out in <b>Schedule C Appendix 7</b>;</p> <p data-bbox="946 1003 1374 1133">(e) A duly executed statutory declaration as set out in <b>Schedule C Appendix 4A</b>;</p> <p data-bbox="946 1149 1398 1249">(f) Relevant CMSRL in the regulated activity (if applicable);</p> <p data-bbox="946 1265 1374 1413">(g) Such other information and/or document as requested by FIMM; and</p> <p data-bbox="946 1429 1374 1610">(h) Replacement of card fee as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p> <p data-bbox="946 1675 1374 1760"><b><u>PRS Consultant changes principal within the year</u></b></p> <p data-bbox="946 1776 1374 1906">(a) Cover letter specifying the registration that is being sought duly signed by an</p>

Type of Registration	Online submission	Submission of documents
	<p>accordance with the System Manual; and</p> <p>(b) The list of PRS Consultant.</p>	<p>authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 8</b>;</p> <p>(b) Application form set out in <b>Schedule C Appendix 6</b>;</p> <p>(c) Printed list of PRS Consultant as submitted through the System;</p> <p>(d) One (1) most recent Malaysia passport-sized colour photograph of the former PRS Consultant with the full name of the former PRS Consultant written clearly at back of the photographs. The format is set out in <b>Schedule C Appendix 7</b>;</p> <p>(e) A duly executed statutory declaration as set out in <b>Schedule C Appendix 4A</b>;</p> <p>(f) Certified true copy of the relevant CMSRL in the regulated activity (if applicable);</p> <p>(g) Such other information</p>

Type of Registration	Online submission	Submission of documents
	<p data-bbox="472 757 919 887"><b><u>Registration of PRS Consultant affected by merger and acquisition exercise</u></b></p> <p data-bbox="472 904 919 1133">(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p data-bbox="472 1164 919 1196">(b) The list of PRS Consultant.</p>	<p data-bbox="1002 416 1382 497">and/or document as requested by FIMM; and</p> <p data-bbox="951 515 1382 694">(h) Replacement of card fee as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p> <p data-bbox="951 757 1382 887"><b><u>Registration of PRS Consultant affected by merger and acquisition exercise</u></b></p> <p data-bbox="951 904 1382 1281">(a) Cover letter specifying the registration that is being sought duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 8</b>;</p> <p data-bbox="951 1317 1382 1447">(b) Printed list of PRS Consultant as submitted through the System;</p> <p data-bbox="951 1482 1382 1854">(c) One (1) passport-sized colour photograph of the PRS Consultant with full name of the PRS Consultant written clearly at the back of the photograph. The format is set out in <b>Schedule C Appendix 7</b>;</p>

Type of Registration	Online submission	Submission of documents
		<p>(d) Certified true copy of the relevant CMSRL in the regulated activity (if applicable);</p> <p>(e) Letter of Undertaking for merger exercise as set out in <b>Schedule C Appendix 9</b>;</p> <p>(f) Such other information and / or document as requested by FIMM; and</p> <p>(g) Replacement of card fee as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p>

#### 4.0 Continuous Registration of PRS Provider, IPRA and CPRA

- 4.1 PRS Distributor must submit the total AUM as at 31 December of the year or Total Gross Sales for the year ended 31 December, according to the respective grouping and aggregate total as set out in **Schedule D Appendix 2**, on or before 10<sup>th</sup> January of the following calendar year. CPRA is not required to such information for the purpose of its continuous registration with FIMM.
- 4.2 The PRS Distributor must submit the duly completed slip and supporting documents as indicated in **Table 4** and such documents must be received by FIMM on or before 10<sup>th</sup> January of the year.
- 4.3 The relevant supporting documents must be kept by the PRS Distributor at the principal address of the applicant for the period as required under relevant laws.

**Table 4: List of documents required for the continuous registration of PRS Provider, IPRA or CPRA**

Category of Registration	Submission of documents
<b>PRS Provider</b>	<p>(a) Confirmation of AUM as at 31 December of the year, which is verified by Compliance Officer and confirmed by CEO / AR as set up in <b>Schedule C Appendix 10</b>;</p> <p>(b) A copy of System NAV Report as at 31 December of the year; and</p> <p>(c) Such other information and / or documents as requested by FIMM.</p>
<b>IPRA</b>	<p>(a) Confirmation of Total Gross Sales for the year ended 31 December, which is verified by Compliance Officer and confirmed by CEO / AR <b>Schedule C Appendix 11</b>;</p> <p>(b) A copy of System Total Gross Sales Report for the year ended 31 December; and</p> <p>(c) Such other information and / or documents as requested by FIMM.</p>

**4.4** Upon receipt of documents, an invoice that consists of AMSF / Annual Fee for PRS Distributor and PRS Consultants will be sent to the PRS Distributor.

**4.5** All fees must be paid within the timeline as specified by FIMM. If AMSF / Annual Fee remains unpaid for a period of two (2) calendar months after it becomes due, FIMM shall issue a written notice of default and any application from the PRS Distributor shall not be entertained until payment has been made to FIMM.

**4.6** In the event the AMSF / Annual Fee has not been paid at the expiration of six (6) months following the date of the written notice of default, the registration of the distributor shall be revoked and FIMM shall remove the name of the PRS Distributor from the register.

## **5.0 Renewal of Registration of PRS Consultant**

- 5.1** Application for renewal of registration of PRS Consultant must be made through the respective PRS Distributor within ten (10) business days from 31<sup>st</sup> December each year.
- 5.2** PRS Consultants shall be renewal through the System unless the termination or resignation of PRS Consultants have been submitted to FIMM within ten (10) business days from 31 Dec each year. The PRS Consultants who have not been terminated or resigned in the system, the status of the PRS Consultants will remain as active.
- 5.3** Upon renewal of registration of PRS Consultants, the PRS Distributor must submit the documents as indicated in **Table 5** and such documents must be received by FIMM within ten (10) business days from 31th Dec each year.
- 5.4** PRS Distributor shall request the following from the PRS Consultant:
- (a) A duly executed statutory declaration for renewal of registration of PRS Consultant on a biennial basis. The statutory declaration is attached as **Schedule C Appendix 4B** (Companies are responsible for the safekeeping of the statutory declaration of each candidate for record and audit purposes. Companies are not required to submit the statutory declaration to FIMM);
  - (b) A copy of a valid working permit (applicable to foreigners only)
  - (c) One (1) most recent Malaysia passport-sized colour photograph on every 5th anniversary year of registration of the PRS Consultant for replacement of authorisation card;
  - (d) Payment of the relevant fees as prescribed in **Schedule D Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may require additional documents.

- 5.5** The relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 5: List of documents for renewal of registration of PRS Consultant**

<b>Category of Registration</b>	<b>Online submission</b>	<b>Submission of documents</b>
<b>PRS Consultant</b>	(b) Online submission of the list of PRS Consultant for termination / resignation.	(a) Cover letter duly signed by an authorised signatory of the company submitting the application;  (b) Printed list of PRS Consultant for termination / resignation as submitted through the System; and  (c) Such other information and/or document as requested by FIMM.

**5.6** Annual fee for renewal of registration of active PRS Consultants shall be included in the invoice as stated in paragraph 4.4 above.

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## **6.0 Exemption from the Requirement to Sit for PRS Examination**

**6.1** The following individuals may be exempted from PRS Examination:

- a) Chief Executive of PRS Provider, IPRA or CPRA.
- b) Director of PRS Provider, IPRA or CPRA who has a minimum of ten (10) years' experience in unit trust or fund management industry.
- c) Fund Manager who holds a CMSRL to carry out the regulated activity of fund management as defined in the CMSA.
- d) An individual who fulfils any of the following qualifications;
  - i) CFP/IFP designation and a member of the FPAM; or
  - ii) RFP/Shariah RFP designation and an ordinary member of the MFPC; or
  - iii) ChFC designation and a member of the MFPAA; or
  - iv) Completed the relevant modules (revised syllabus which includes PRS) of :
    - CFP or IFP and become an associate member of FPAM;
    - RFP or Shariah RFP and become an affiliate member of MFPC

**6.2** Application for exemption must be made through the respective PRS Distributor.

**6.3** PRS Distributor shall request for the following from the applicant:

- (a) A duly executed statutory declaration. The statutory declaration is attached as **Schedule C Appendix 4A**;
- (b) Two (2) most recent Malaysia passport-sized colour photographs;
- (c) A copy of identity card (front and back) or passport;
- (d) A copy of a valid working permit (applicable to foreigners only)
- (e) Evidence of approval by the SC or relevant authority for the appointment of Chief Executive or Director of a PRS Provider, IPRA or CPRA (if applicable);
- (f) Resume or curriculum vitae with details describing the director's scope of work and specific job description (applicable to director only);
- (g) A certified true copy of CMSRL for fund management (if applicable);
- (h) Certified true copy of certificate for certified holders of CFP / IFP/ RFP/ Shariah RFP / ChFC (if applicable);



- (i) Evidence of result slip that indicates the candidate has passed the required modules of the relevant financial qualification (if applicable); and
- (j) Payment of the relevant fees as prescribed in **Schedule D Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may request additional documents.

- 6.4** PRS Distributor must first submit online application form through the System.
- 6.5** Prior to the submission as a PRS Consultant, the applicant is required to undergo a bankruptcy screening via the System to ensure the applicant fulfils the fit and proper requirements.
- 6.6** Applicant who appears to have a bankruptcy record in the System will not be allowed to proceed with the registration. He is advised to perform an Official Assignee (“OA”) search through Jabatan Insolvensi Malaysia (“JIM”) or MyEG Services Berhad to obtain the latest bankruptcy status.
- 6.7** In the event that he has been discharged as a bankrupt, a certified true copy of the letter of discharged obtained from JIM attested by a Commissioner for Oaths is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM’s confirmation, the PRS Distributor may proceed to resubmit the application for registration of PRS Consultant.
- 6.8** Upon submission of the online application form, the PRS Distributor must submit the documents as indicated in **Table 6** within seven (7) business days from the date of submission of the online application.
- 6.9** In the event of lost of certificate, the candidate is required to obtain a replacement certificate from the relevant institutions. Statutory Declaration for lost certificate is no longer acceptable by FIMM.
- 6.10** The application form and relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 6: List of documents required for application of exemption for PRS Examination**

Category of Registration	Online submission	Submission of documents
<p><b>PRS Consultant</b></p>	<p>(a) A duly completed online application form submitted through the System in accordance with the System Manual; and</p> <p>(b) The list of applicants for exemption.</p>	<p><b>(a)</b> Cover letter duly signed by an authorised signatory of the company submitting the application. The sample cover letter is set out in <b>Schedule C Appendix 12</b>;</p> <p>(b) Application form set out in <b>Schedule C Appendix 6</b></p> <p>(c) Two (2) most recent Malaysia passport-sized colour photographs of the applicant with the full name of the applicant written clearly at the back of the photographs. The format is set out in <b>Schedule C Appendix 7</b>;</p> <p>(d) A copy of identity card (front and back) or passport;</p> <p>(e) A duly executed statutory declaration as set out in <b>Schedule C Appendix 4A</b>;</p> <p>(f) Supporting document as below:</p> <p>(i) Evidence of approval by</p>

Category of Registration	Online submission	Submission of documents
		<p>the SC or relevant authority for the appointment Chief Executive or Director of a PRS Provider, IPRA or CPRA (if applicable);</p> <p>(ii) Resume or curriculum vitae with details describing the director's scope of work and specific job description (applicable to director only);</p> <p>(iii) A certified true copy of CMSRL for fund management (if applicable);</p> <p>(iv) Certified true copy of certificate for certified holders of CFP / IFP / RFP / Shariah RFP / ChFC (if applicable);</p> <p>(v) Evidence of result slip that indicates the applicant has passed the required modules of the relevant financial qualification (if applicable);</p>

Category of Registration	Online submission	Submission of documents
		<p>(g) Such other information and / or document as requested by FIMM; and</p> <p>(h) Payment of the relevant fees as prescribed in <b>Schedule D Appendix 1</b> of the Registration Manual.</p>

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## 7.0 Extension of time for Commencement of Operations

- 7.1 Application for extension of time for the commencement of operations shall be made by submitting the documents as stated in **Table 7** at least thirty (30) days before the expiry of the 6-month period from the date of registration.
- 7.2 A copy of the application together with the relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 7: List of documents for application of extension of time for commencement of operations**

Submission of documents
PRS Distributor must submit the following documents to FIMM: <ul style="list-style-type: none"><li>(a) Cover letter specifying the time frame required, justification or rationale for the application and the proposed action plan, duly signed by AR;</li><li>(b) Letter of Undertaking as set out in <b>Schedule C Appendix 13</b>;</li><li>(c) Supporting documents to substantiate the reason(s) for time extension; and</li><li>(d) Such other information and/or document as requested by FIMM.</li></ul>

## 8.0 Other Exemption or Extension of Time

- 8.1 Application for exemption or extension of time shall be made by submitting the documents as stated in **Table 8**.
- 8.2 Unless stated otherwise in the Registration Manual or circular issued by FIMM, application for exemption and extension of time shall be made before the expiry of the period as stipulated by FIMM. FIMM expects the PRS Distributor to comply with the requirements.
- 8.3 A copy of the application together with the relevant supporting documents must be kept

by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 8: List of documents for application for exemption or extension of time**

<b>Submission of documents</b>
<p>PRS Distributor must submit the following documents to FIMM:</p> <ul style="list-style-type: none"><li>(a) Cover letter specifying the exemption or extension of time sought and justification or rationale for the application, duly signed by AR;</li><li>(b) Letter of Undertaking as set out in <b>Schedule C Appendix 13</b>;</li><li>(c) Supporting documents to substantiate the reason(s) for exemption or extension of time; and</li><li>(d) Such other information and/or document as requested by FIMM.</li></ul>

## **9.0 Replacement of FIMM Authorisation Card or PRS Examination Certificate**

**9.1** A FIMM Authorisation Card and a PRS Examination Certificate will be issued to an individual who passed PRS Examination and registered with FIMM as a PRS Consultant.

**9.2** For a replacement of FIMM Authorisation Card and PRS Examination certificate, PRS Distributor shall request for the following from the PRS Consultant:

- (a) One (1) most recent Malaysia passport-sized colour photograph (for replacement of FIMM Authorisation Card); and
- (b) Payment of the relevant fees as prescribed in **Schedule D Appendix 1** of the Registration Manual.

The above list is non-exhaustive. FIMM may request for additional documents.

**9.3** The application and relevant supporting documents to be submitted by PRS Distributor to FIMM for application are set out in the following **Table 9**. The supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 9: List of documents required for application to request replacement of authorisation card or PRS Examination Certificate**

<b>Submission of documents</b>
<p>PRS Distributor must submit the following documents to FIMM:</p> <ol style="list-style-type: none"><li>1. <u>FIMM Authorisation Card</u><ol style="list-style-type: none"><li>(a) Cover letter as set out in <b>Schedule C Appendix 14</b>;</li><li>(b) One (1) most recent Malaysia passport-sized colour photograph of the PRS Consultant with the full name of the PRS Consultant written clearly at the back of the photograph. The format is set out in <b>Schedule C Appendix 7</b>;</li><li>(c) Such other information and / or document as requested by FIMM; and</li><li>(d) Payment of the relevant fees as prescribed in <b>Schedule D Appendix 1</b> of the Guidelines.</li></ol></li><li>2. <u>FIMM PRS Examination Certificate</u><ol style="list-style-type: none"><li>(a) Cover letter as set out in <b>Schedule C Appendix 14</b>; and</li><li>(b) Such other information and/or document as requested by FIMM;</li><li>(c) Payment of the relevant fees as prescribed in <b>Schedule D Appendix 1</b> of the Guidelines.</li></ol></li></ol>

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## II. NOTIFICATION

### 1.0 Cessation of Operations of PRS Distributor

- 1.1 Notice of cessation of operations of PRS Distributor must be submitted to FIMM in writing at least fourteen (14) business days before the proposed date of cessation of operations.
- 1.2 PRS Distributor must submit the documents as indicated in **Table 11** to FIMM. The supporting documents must be kept by the PRS Distributor at its principal address for a period as required under relevant laws.
- 1.3 FIMM shall only accept the notification and withdraw the registration of PRS Distributor, upon receipt of the notification as specified in paragraph II 1.1 and 1.2 above and is satisfied with all the required documents and information as required for notification on cessation of operations.

**Table 11: List of documents for notification of cessation of operations**

Purpose of Notification	Submission of documents
Cessation of Operations as PRS Provider, IPRA or CPRA	(a) Cover letter notifying the cessation of operations as PRS Provider, IPRA or CPRA, duly signed by AR; (b) Withdrawal of registration or cessation of operations form as set out in <b>Schedule C Appendix 15</b> ; and (c) Such other information and / or document as requested by FIMM.

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## 2.0 Resignation or Termination of PRS Consultant

- 2.1 Notification for resignation or termination of the PRS Consultant shall be made through the respective PRS Distributor.
- 2.2 PRS Distributor must submit the notification of resignation or termination of PRS Consultant through the System within one (1) business day from the date of resignation or termination of PRS Consultant.
- 2.3 PRS Distributor shall require the PRS Consultant to:
- (a) Return the FIMM Authorisation Card to the Principal; and
  - (b) Serve a letter of resignation to the Principal.
- 2.4 The relevant supporting documents to be submitted by PRS Distributor to FIMM are set out in the following **Table 12**. The supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 12: List of documents required for notification of resignation or termination of PRS Consultant**

Category of Registration	Online submission	Submission of documents
PRS Consultant	(a) Details of the resigned or terminated PRS Consultant via the System in accordance with the System Manual.	(a) Cover letter notifying the resignation or termination of PRS Consultant's registration with PRS Distributor, duly signed by authorised signatory. The sample cover letter is set out in <b>Schedule C Appendix 16</b> ; or (b) Email to FIMM via email address <a href="mailto:busreg@fimm.com.my">busreg@fimm.com.my</a> to notify

Category of Registration	Online submission	Submission of documents
		<p>the resignation or termination of PRS Consultant's registration with PRS Distributor, which is sent by authorised signatory; and</p> <p>(c) Printed online list of resigned / terminated PRS Consultant; and</p> <p>(d) Such other information and / or document as requested by FIMM.</p>

**2.5** It is important for the PRS Consultants' records to be updated regularly and on a timely manner because:

- (a) As a single registration body for all PRS Consultants, FIMM plays an important role in disseminating information of the PRS Consultants to the public, and
- (b) Failure to inform FIMM of any resignation and termination will result in an inaccurate compilation and circulation of PRS Consultants' records and statistics, and
- (c) FIMM takes no responsibility if a resigned / terminated PRS Consultant misrepresents the relevant company if the PRS Consultant registration is not updated accordingly.

### **3.0 Change of Corporate Information, Contact Details and Authorised Representative**

**3.1** Notification of change in relation to corporate information, contact details and AR of PRS Distributor must first be made through the System at least one (1) business day before the change takes effect.

**3.2** Notification of change in respect of the matters stated in paragraph 3.1 above shall be deemed invalid if it is not submitted through the System.

**3.3** For notification of change of AR, the PRS Distributor shall submit the documents as indicated in **Table 13** and the documents must be received by FIMM no later than seven (7) business days after submission of the online notification of change.

**3.4** The relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 13: List of documents required for notification in relation to change of corporate information, contact details and AR**

Type of Registration	Online submission	Submission of documents
<p><b>PRS Provider, IPRA and CPRA</b></p>	<p><b><u>Notification of change in relation to corporate information and contact details</u></b></p> <p>Online notification through the System in accordance with the System Manual</p> <p><b><u>Notification of change in relation to AR</u></b></p> <p>Online notification through the System in accordance with the System Manual</p>	<p><b><u>Notification of change in relation to corporate information and contact details</u></b></p> <p>Notification letter duly signed by an authorised signatory stating the change of corporate information and contact details.</p> <p><b><u>Notification of change in relation to AR</u></b></p> <p>(a) Cover letter duly signed by an authorised signatory stating the appointment of the AR;</p> <p>(b) Board of directors’ resolution approving the appointment of the AR; and</p> <p>(c) Such other information and / or document as requested by FIMM.</p>

#### 4.0 Variation of Registration Particulars of PRS Consultant

- 4.1 For the variation of registration particulars of a PRS Consultant, the notification must be made through the respective PRS Distributor within one (1) business day from the date of variation.
- 4.2 Notification for the variation of registration particulars of a PRS Consultant shall be deemed invalid if it is not submitted through the System.
- 4.3 For notification of variation of registration particulars of a PRS Consultant, the PRS Distributor shall submit the documents as indicated in **Table 14** and the documents must be received by FIMM no later than seven (7) business days after submission of the online notification of the variation.
- 4.4 The relevant supporting documents must be kept by the PRS Distributor at its principal address for the period as required under relevant laws.

**Table 14: List of documents required for notification of variation of registration particulars of a PRS Consultant**

Type of Registration	Online submission	Submission of documents
PRS Consultant	<p><b><u>Notification of variation in relation to name and identity card number</u></b></p> <p>Online submission is not required.</p>	<p><b><u>Notification of variation in relation to name and identity card number</u></b></p> <p>(a) Cover letter duly signed by an authorised signatory stating the variation of name and identity card number;</p> <p>(b) A copy of identity card (front and back) or passport; and</p> <p>(c) Such other information and / or document as requested by FIMM.</p>

Type of Registration	Online submission	Submission of documents
	<p data-bbox="440 461 919 595"><b><u>Notification of variation in relation to other personal particulars and contact details</u></b></p> <p data-bbox="440 658 919 792">Online submission of notification for variation via the System in accordance with the System Manual</p>	<p data-bbox="935 461 1414 595"><b><u>Notification of variation in relation to other personal particulars and contact details</u></b></p> <p data-bbox="935 658 1414 1034">(a) Cover letter duly signed by an authorised signatory stating the variation of other personal particulars and contact details; and (b) Such other information and / or document as requested by FIMM.</p>

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## 5.0 Other Notifications

5.1 The following **Table 15** sets out the notification by PRS Distributor to FIMM:

**Table 15: Notification by PRS Distributor to FIMM**

No.	Purpose of Notification	Details on submission
a.	<b>Commencement of Operations</b>	<p><b><u>IPRA and CPRA</u></b></p> <p>Notification must be submitted at least one (1) business day before commencement of operations.</p> <p>Document to be submitted consists of:</p> <p>(a) Notification form as set out in <b>Schedule C Appendix 17</b> of the Registration Manual;</p> <p>(b) Cover letter duly signed by AR;</p> <p>(c) A certified true copy of the relevant pages of the valid distribution arrangement with the following information</p> <ul style="list-style-type: none"> <li>i) The date of arrangement</li> <li>ii) Parties to the distribution arrangement</li> <li>iii) The list of PRS for distribution</li> <li>iv) Execution page; and</li> </ul> <p>(d) A certified true copy of an appointment letter / supplemental arrangement for subsequent list of PRS for distribution (if applicable).</p> <p>(e) A copy of the consent letter from the PRS Provider to allow sub-distribution of their PRS (if applicable).</p> <p>(f) Such other documents as requested by FIMM.</p>
b.	<b>Notification on the Launch of New PRS</b>	<p><b><u>PRS Provider</u></b></p> <p>FIMM must be notified on any new PRS at least three (3) business days before the launch date of the PRS.</p> <p>For the purpose of new PRS notification, PRS Provider must</p>

No.	Purpose of Notification	Details on submission
		<p>submit PRS related information and forward the following documents to FIMM:</p> <ul style="list-style-type: none"> <li>(a) Notification form as set out in <b>Schedule C Appendix 18</b> of the Registration Manual;</li> <li>(b) A copy of approval letter from the SC for new PRS; and</li> <li>(c) Two (2) sets of Product Highlight Sheet and Disclosure Document (in the same form as distributed to potential contributors)*; or</li> <li>(d) Key data section of the Disclosure Document duly registered with the SC. *</li> </ul> <p>* In the event that the printed Product Highlight Sheet and Disclosure Document are not available at the point of notification, PRS Provider may provide a copy of the key data section of the Disclosure Document duly registered with the SC. The printed Product Highlight Sheet and Disclosure Document must subsequently reach FIMM within a week after the launch of the PRS.</p> <p>Any query on the notification is to be addressed to:  Head, Industry Services Division  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>

No.	Purpose of Notification	Details on submission
	<p><b>Notification on Marketing and Distribution of PRS</b></p>	<p><b><u>IPRA and CPRA (Except Insurance and Takaful Brokers)</u></b></p> <p>Notification must be submitted at least one (1) business day before the effective date of marketing and distribution of PRS.</p> <p><b><u>Insurance and Takaful Brokers</u></b></p> <p>Notification must be submitted within one (1) business day after the PRS is marketed and distributed.</p> <p>Documents to be submitted are:</p> <p><b>(a)</b> Notification form as set out in <b>Schedule C Appendix 17</b> of the Registration Manual;</p> <p><b>(b)</b> Cover letter duly signed by Authorised Signatory;</p> <p><b>(c)</b> A certified true copy of the relevant pages of the valid distribution arrangement with the following information:</p> <ul style="list-style-type: none"> <li>i) The date of arrangement</li> <li>ii) Parties to the distribution arrangement</li> <li>iii) The list of PRS for distribution</li> <li>iv) Execution page;</li> </ul> <p><b>(d)</b> A certified true copy of an appointment letter / supplemental arrangement for subsequent list of PRS for distribution (if applicable).</p> <p><b>(e)</b> A copy of the consent letter from the PRS Provider to allow sub-distribution of their PRS (if applicable).</p> <p><b>(f)</b> Such other documents as requested by FIMM.</p> <p>In the event of variation of distribution arrangement, the IPRA or CPRA must submit a notification within seven (7) business days after the variation.</p>



No.	Purpose of Notification	Details on submission
		<p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>
c.	<b>Distribution Point / Mobile Distribution Point</b>	<p>Notification on the location, particulars or any changes of a distribution point including mobile distribution point must be submitted through the system within seven (7) business days upon operationalizing the point.</p>
d.	<b>Collection Point</b>	<p>Notification on the location and particulars of a collection point, including any changes, must be submitted to FIMM within seven (7) business days upon operationalizing the point.</p>
e.	<b>Termination of Distribution Arrangement</b>	<p>Notification must be submitted at least fourteen (14) business days before the termination of distribution arrangement. Documents to be submitted are:</p> <ul style="list-style-type: none"> <li>(a) Notification letter with details of termination;</li> <li>(b) A copy of the letter / document on the agreement of termination of distribution arrangement between the parties involved; and</li> <li>(c) Such other documents as requested by FIMM.</li> </ul> <p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>

No.	Purpose of Notification	Details on submission
f.	<b>Termination or winding up of a PRS</b>	<p><b><u>PRS Provider:</u></b></p> <p>Notification must be submitted within seven (7) business days after the termination or winding up of the PRS. Documents to be submitted are:</p> <p>(a) Notification letter with details of the PRS;</p> <p>(b) A copy of letter from the SC approving the termination or winding up of the PRS; and</p> <p>(c) Such other documents as requested by FIMM.</p> <p>Notification is to be addressed to:</p> <p>Head, Industry Services Division  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun  Damansara Heights  50490 Kuala Lumpur</p>
g.	<b>Merger and Acquisition</b>	<p>Notification must be submitted to FIMM within one (1) month from the date of Legal Day One to ensure necessary changes are made with regards to the merger and acquisition.</p> <p>In the event of any extension of time is needed, the PRS Distributor shall request for an extension of time in writing with justification or rationale for the application and such other information as requested by FIMM.</p> <p>Documents to be submitted are:</p> <p>(a) Notification on the merger and acquisition consist of the following details:</p> <p>i) The registration of the name and particulars of the new entity that it would henceforth operate as;</p>

No.	Purpose of Notification	Details on submission
		<p>ii) The registration of PRS Consultants who are affected by such exercise;</p> <p>iii) Existing contributors have been informed of alternatives available to deal with their PRS including withdrawal or transfer the account to respective PRS Providers.</p> <p>iv) Provision for termination under the distribution arrangement with PRS Provider or IPRA has been fulfilled.</p> <p>(b) Form on Notification for withdrawal of registration or cessation of operations of PRS Provider, IPRA or CPRA as set in <b>Schedule C Appendix 15</b>;</p> <p>(c) A copy of the order made by the High Court for transfer of assets;</p> <p>(d) A certified true copy of Form 13 certified by company secretary;</p> <p>(e) A copy of Form 18 from SC (for CMSL Holder only); and</p> <p>(f) Such other documents as requested by FIMM.</p> <p>In the event of merger and acquisition, the PRS Provider, IPRA or CPRA, the former entity may apply for a rebate of the current year's AMSF or Annual Fees, the amount of which shall be pro-rated based on the remaining number of months in the calendar year from the date of the company being operated under the new merged entity.</p> <p>Notification is to be addressed to:  Head, Business Registration  Federation of Investment Managers Malaysia  19-06-1, 6<sup>th</sup> Floor, Wisma Tune  No. 19, Lorong Dungun</p>

No.	Purpose of Notification	Details on submission
		Damansara Heights 50490 Kuala Lumpur

### III. CONTINGENCY PLANS FOR PRS EXAMINATION

#### 1.0 Measures Taken

FIMM has taken the necessary measures to ensure the smooth and secured conduct of the PRS Examination session.

#### 2.0 Unforeseen Circumstances

Unforeseen circumstances will include any event of catastrophic nature, emergency situation or natural disaster. This list of events, while not exhaustive, will include events such as flood, fire, power failure, server or internet connection breakdown, etc that will affect the operations of an examination centre.

#### 3.0 Contingency Plans For Events Affecting The Main Server at the AIMS Centre

The general plans to counter events affecting the main server at the AIMS Centre are as follows:

- (a) Minor impact due to power failure, technical failure, etc.
  - (i) Can be resolved within the first 30 minutes
    - In the event where the factors affecting the conduct of the PRS Examination can be resolved within the first 30 minutes of the examination time, the PRS Examination session will proceed as planned. The duration of the

examination remains as 2 hours with adjustment on the ending time for the examination.

- (ii) Cannot be resolved within the first 30 minutes
  - In the event where the PRS Examination sessions cannot be carried out within the first 30 minutes of the examination time, the PRS Examination sessions will be cancelled.
  - All candidates registered for the affected session will be treated as “Absent”.
  - The relevant company will be notified and will have to register the candidates for another PRS Examination session within one (1) month from the examination date with no additional costs including resit fee.

(b) More severe impact due to fire, server breakdown, etc

- All existing and future PRS Examination sessions will be cancelled.
- All candidates registered for the affected session will be treated as “Absent”.
- Replacement/Alternative Centres will be set up and PRS Examination sessions will be held in these replacement/alternative centres instead.
- The relevant company will be notified and will have to register the candidates for the PRS Examination session at the replacement/alternative centres with no additional costs such as resit fee involved within one (1) month from the examination date.

#### **4.0 Contingency Plans For Events Affecting Individual Examination Centre**

The general plans to counter events affecting the individual examination centre are as follows:

(a) Minor impact due to power failure, technical failure, etc

- (i) Can be resolved within the first 30 minutes
  - In the event where the factors affecting the conduct of the PRS Examination can be resolved within the first 30 minutes of the examination time, the PRS

Examination session will proceed as planned. The duration of the examination remains as 2 hours with adjustment on the ending time for the examination.

(ii) Cannot be resolved within the first 30 minutes

- In the event where the PRS Examination sessions cannot be carried out within the first 30 minutes of the examination time, the PRS Examination sessions will be cancelled.
- All candidates registered for the affected session will be treated as “Absent”.
- The relevant company will be notified and will have to register the candidates for another PRS Examination session within one (1) month from the examination date with no additional costs including resit fee.

(b) More severe impact due to fire, flood, etc

- All existing and future PRS Examination sessions will be cancelled.
- All candidates registered for the affected session will be treated as “Absent”.
- Replacement/alternative centre will be set up and PRS Examination sessions will be held in these replacement/alternative centres instead.
- The relevant company will be notified and will have to register the candidates for the PRS Examination session at the replacement/alternative centre with no additional costs including resit fee, within one (1) month from the examination date.

## **5.0 Contingency Plans For Events Affecting Individual Candidate**

This applies only to individual candidate who is present at the examination centre on the examination day but unable to sit for the PRS Examination due to power failure, technical failure, etc. thus affecting the personal computer (“PC”) that the candidate is using.

(a) Can be resolved within the first 30 minutes

- In the event where the factors affecting the individual candidate from taking the PRS Examination can be resolved within the first 30 minutes of the examination time, the PRS Examination session will proceed as planned. The duration of the examination remains as 2 hours with adjustment on the ending time for the examination.
- (b) Cannot be resolved within the first 30 minutes
- In the event where the PRS Examination sessions cannot be carried out within the first 30 minutes of the examination time, a replacement computer will be provided and the PRS Examination session will continue.
  - If a replacement computer cannot be provided, the affected candidate will be requested to sit for another PRS Examination session. He will be treated as “Absent”.
  - The relevant company will be notified and will have to register the candidate for another PRS Examination session within one (1) month from the examination date with no additional costs including resit fee.

Other events that prevent the candidate from attending the PRS Examination such as sickness, accident, etc are not considered as part of the events that require the implementation of the contingency plans as stated in this section.

Should a candidate withdraw his / her application to sit for examination, or be absent from the examination after the closing date for submission of examination entries, the examination fee is not refundable in part or in full. There is strictly no examination postponement for any circumstances or reasons. Under such cases, the candidate will have to register to sit for the PRS Examination again and will have to pay the applicable resit fees in full.

## **6.0 Liability**

FIMM is not liable for any losses or other consequences arising from the event where the conduct of the PRS Examination is disrupted due to factors beyond FIMM’s control. FIMM will

evaluate any such situation on a case-to-case basis and will decide on the appropriate action(s) to be taken. FIMM's decision is final and no subsequent correspondence will be entertained.

*[The remainder of this page is intentionally left blank]*



# **PART 3:**

## **CERTIFICATION OF DOCUMENTS**

## 1.0 CERTIFICATION OF DOCUMENTS

1.1 Where the Registration Manual requires certified true copy of documents, the following persons (without limitation) may certify such copy as identical to the original document:

- (a) a person who is in employment of the organisation that issued the original document and has been authorised by the organisation to certify documents;
- (b) a person who is in employment of the organisation that issued the original document and has sighted the original document;
- (c) if the document to be certified true copy is an agreement, a person who is a witness to the signing of the agreement;
- (d) a Commissioner for Oaths;
- (e) an advocate and solicitor;
- (f) a notary public.

1.2 Prior to certifying a document as a true copy, the person certifying the document must ensure that the copy to be certified is an identical copy of the original.

1.3 A suggested form for certification is as follows:

*"I certify that this appears to be a true copy of the document produced to me on (insert date).*

*Signature:*

*Name:*

*Designation (e.g. Head of Customer Care Unit of PRS Provider):"*

**1.4** As the person certifying the document is stating his opinion that the document is a true copy of the original, the certification does not in any way authenticate either the original document or its true copy.

**1.5** If the original document has multiple pages, the person certifying the true copy of the document must scrutinise and compare each page of the true copy with each page of the original document to ensure correctness. The person must then:

- (a) affix his signature or initial on each page of the true copy;
- (b) number the pages of the true copy as, for example, “page 1 of 40”, “page 2 of 40”, so on and so forth;
- (c) certify the last page of the true copy as follows:

*“I certify that this (number of pages)-page document, each page of which I have numbered and signed/initialled, appears to be a true copy of the original document produced to me on ( date ).*

*Signature:*

*Name:*

*Designation (e.g. Head of Customer Care Unit of PRS Provider):”*

**1.6** A person certifying any document must not certify a document that is in a language that he does not understand.

**UTS SCHEDULES:**

**SCHEDULE A: FORMS, LETTERS AND DECLARATIONS RELATED TO APPLICATIONS,  
NOTIFICATIONS AND REPORTING**

**SCHEDULE B: FEES AND PAYMENT INFORMATION**

**APPLICANT’S COMPANY LETTER HEAD**

**BOARD OF DIRECTORS’ RESOLUTION**

**Company Name (Incorporated in Malaysia)**

BOARD OF DIRECTORS’ RESOLUTION MADE IN ACCORDANCE WITH ARTICLES \_\_\_\_\_  
OF THE COMPANY’S ARTICLES OF ASSOCIATION

\_\_\_\_\_

THE FEDERATION OF INVESTMENT MANAGERS MALAYSIA

Resolved that authority be and is hereby given for the company to apply for membership in  
the Federation of Investment Managers Malaysia and to nominate

\_\_\_\_\_

as the representative, and \_\_\_\_\_

\_\_\_\_\_ as the \*alternate representative, of the Company to attend  
meetings and vote thereat and to exercise all rights of membership on behalf of the Company.

**Certified True Copy**

.....  
Director

.....  
Director / Secretary

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 20XX

\* Nomination of an alternate representative is not mandatory.

**SCHEDULE A – Appendix 1B**

*(Company Name)*  
*(Company No.)*  
*(Incorporated in Malaysia)*

**BOARD OF DIRECTORS' CIRCULAR RESOLUTION IN WRITING MADE PURSUANT TO ARTICLE NO.**

We, the undersigned, being the Directors of *(Company Name)* for the time being, HEREBY RESOLVE:-

**APPOINTMENT OF AUTHORISED REPRESENTATIVE OF (COMPANY'S NAME) IN FEDERATION OF INVESTMENT MANAGERS MALAYSIA**

THAT the Company *(insert Company Name)* hereby appoint *(Name)* as its Authorised Representative to liaise on behalf of the Company and to attend to all matters pertaining to its registration as Unit Trust Scheme ("UTS") Distributor with Federation of Investment Managers Malaysia ("FIMM") or any other related matters.

THAT authority is further given to *(Name of AR)* or failing him, *(Name of Alternate Person)* as the authorised signatory to execute all relevant documentation in relation to its registration as UTS Distributor with FIMM or any other related matters.

THAT authority be and is hereby granted to affix the Company's common seal onto any such documents as may be required to be so affixed, in accordance with the Articles of Association of the Company.

Confirmed by the Board Directors,

.....  
*(Director's Name)*

.....  
*(Director's Name)*

Dated this *(Day)* of *(Month)* *(Year)*

**DECLARATION**

(Registration as Unit Trust Scheme (UTS) Distributor)

We, [*name of applicant*], hereby state our intention to register with the Federation of Investment Managers Malaysia (“FIMM”) as a [UTMC / *Institutional UTS Adviser* / *Corporate UTS Adviser*]. For this purpose, we hereby:

1. declare and confirm that all information and documents provided to FIMM pertaining to and for purposes of our application and registration with FIMM are true and accurate;
2. declare and confirm that we are fit and proper as prescribed under Chapter 4 of FIMM's Consolidate Rules;
3. declare and confirm that we fulfil the eligible requirements prescribed under the FIMM's Consolidated Rules;
4. undertake and agree to be bound by and comply with the FIMM Rules, relevant rules and guidelines of the Securities Commission Malaysia and other applicable laws at all times;
5. undertake to ensure that our officers, employees and UTS consultants be bound by and comply with the FIMM Rules, relevant rules and guidelines of the Securities Commission Malaysia and other applicable laws at all times;
6. timely and fully pay all fees and charges imposed by FIMM and do all things necessary for our continuing registration with FIMM;
7. confirm and undertake to ensure that, pursuant to the Personal Data Protection Act 2010, we have the consent of our UTS consultants, officers and employees for the disclosure to and use by FIMM of their personal data;
8. undertake to provide all information and documents requested by FIMM for purposes of our application and registration, including the registration of our UTS consultants; and
9. undertake to provide our full cooperation and assistance to FIMM in all matters pertaining to our application and registration, including in relation to our UTS consultants.

\*\*

\_\_\_\_\_  
Signature of authorised representative

[Affix applicant's Common Seal]

\_\_\_\_\_  
Name of authorised representative

\_\_\_\_\_  
Director

\_\_\_\_\_  
\*\*Director/Secretary

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(month) (year)

\*\*As applicable



APPLICATION FORM

APPLICATION FOR REGISTRATION OF INSTITUTIONAL UNIT TRUST ADVISER (IUTA) /  
CORPORATE UNIT TRUST ADVISER (CUTA)  
(Kindly type or print in BLOCK LETTER and tick (✓) where applicable)

**1. APPLICATION CATEGORY**

CATEGORY:  IUTA  CUTA

TYPE OF MARKETING APPROACH:  Direct  Nominated

**2. APPLICANT (applicable to companies incorporated under Companies Act 1965)**

NAME: \_\_\_\_\_

TYPE:  SENDIRIAN BERHAD  BERHAD

REGISTRATION NO.: \_\_\_\_\_ DATE OF INCORPORATION: \_\_\_\_\_

REGISTERED ADDRESS: \_\_\_\_\_  
\_\_\_\_\_

POSTCODE: \_\_\_\_\_

CORRESPONDENCE ADDRESS: \_\_\_\_\_  
\_\_\_\_\_

POSTCODE: \_\_\_\_\_

TEL. NO.: \_\_\_\_\_ FAX NO.: \_\_\_\_\_ WEBSITE: \_\_\_\_\_

TYPE OF OWNERSHIP:  Bumi Controlled Company  Non-Bumi Controlled Company

Foreign Controlled Company  Others: \_\_\_\_\_  
(Please specify)

PAID UP CAPITAL: \_\_\_\_\_ NATURE OF BUSINESS: \_\_\_\_\_

**3. AUTHORISED REPRESENTATIVE**

(a) NAME (AS PER NRIC): \_\_\_\_\_

DESIGNATION: \_\_\_\_\_ DEPARTMENT: \_\_\_\_\_

TEL. NO.: \_\_\_\_\_ FAX NO.: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

**4. ALTERNATE AUTHORISED REPRESENTATIVE**

(b) NAME (AS PER NRIC): \_\_\_\_\_

DESIGNATION: \_\_\_\_\_ DEPARTMENT: \_\_\_\_\_

TEL. NO.: \_\_\_\_\_ FAX NO.: \_\_\_\_\_ E-MAIL: \_\_\_\_\_



## 5. CONTACT PERSONS

- (a) NAME OF PRIMARY CONTACT PERSON: \_\_\_\_\_  
DESIGNATION: \_\_\_\_\_ DEPARTMENT: \_\_\_\_\_  
TEL. NO.: \_\_\_\_\_ FAX NO.: \_\_\_\_\_ E-MAIL: \_\_\_\_\_
- (b) NAME OF ANOTHER CONTACT PERSON (AS PER NRJC): \_\_\_\_\_  
DESIGNATION: \_\_\_\_\_ DEPARTMENT: \_\_\_\_\_  
TEL. NO.: \_\_\_\_\_ FAX NO.: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

## 6. DISTRIBUTION AND COLLECTION POINTS

Proposed distribution and collection points in relation to marketing and distribution of UTS:

- (a) NO. OF DISTRIBUTION POINTS : \_\_\_\_\_  
(b) NO. OF MOBILE DISTRIBUTION POINTS : \_\_\_\_\_  
(c) NO. OF COLLECTION POINTS : \_\_\_\_\_

## 7. UNIT TRUST CONSULTANTS

PROPOSED NO. OF UTS CONSULTANTS : \_\_\_\_\_

## 8. PARTICULARS OF DISTRIBUTION POINTS & UNIT TRUST CONSULTANTS

Please provide a hardcopy of the particulars of each Distribution Point / Mobile Distribution Point with the respective appointed Unit Trust Consultants (IUTA/CUTA - Distribution Point Form)

## 9. CHECKLIST FOR SUBMISSION OF DOCUMENTS

- (a) A cover letter signed by the authorised signatory, specifying the category of registration being applied for.
- (b) Printed online application form
- (c) A Board of Directors' Resolution approving the appointment of the authorised representative
- (d) Declaration signed by a director of the applicant.
- (e) Duly completed and signed Application Form and IUTA/CUTA - Distribution Points / Mobile Distribution Point
- (f) A certified true copy of each of the latest Form 8 or 9, Form 13, Form 24 and Form 49 (pursuant the Companies Act 1965)
- (g) Relevant CMSL and approval that verify the eligibility of the applicant in accordance with Appendix 1-A(i) of The FMM Rules which has been certified as true copy by the company secretary (if applicable).
- (h) A copy of the unexpired license (e.g. banking license issued by Ministry of Finance) which has been certified as true copy by the company secretary, advocate & solicitor or notary public (if applicable).
- (i) A copy of the company's profile and organisational structure depicting related, subsidiary, associate and holding companies with percentage of shareholding in each category. (if applicable)

(j) A copy of the applicant's proposal for the Marketing and Distribution of Unit Trust (if applicable).

(k) A copy of the applicant's professional indemnity. (CUTA only)

(l) A copy of the Company's latest audited accounts and draft/management accounts (CUTA only).

(m) Payment for fees and charges as prescribed by FIMM

*Note: FIMM may request additional information/documents where necessary*

## 10. CONFIRMATION BY APPLICANT

We hereby confirm that the information given herein and in all other documents provided by us to FIMM pertaining to and for purposes of our application and registration with FIMM is true and accurate.

Further, we hereby confirm and undertake to ensure that, pursuant to the Personal Data Protection Act 2010, we have the consent of our UTS Consultants, officers and employees for the disclosure to and use by FIMM of their personal data.

Name of company: \_\_\_\_\_

Name of authorised signatory: \_\_\_\_\_

Signature: \_\_\_\_\_

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(month) (year)

The complete application (with all relevant documents) must be sent to:

Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma TIME  
No. 19, Lorong Dungun  
Damansara Heights  
50480 Kuala Lumpur

**Distribution Point(s) / Mobile Distribution Point(s) for the marketing and distribution of Unit Trust Scheme ("UTS")**

**Important :** Please complete this form in BLOCK Letters.

Name of UTMG/IUTA/CUTA:

Date of submission:

Item No.	DPT*/MDP** Address	State	Phone No.	Fax No.	Name of UTS Consultant	NRIC	FIMM No

\* Distribution Point  
 \*\*Mobile Distribution Point

**SCHEDULE A – Appendix 5**

**Proposal for the Marketing and Distribution of Unit Trust Scheme  
(IUTA / CUTA)**

No.	Description
<b>1</b>	<b>Operation Process Flow of UTS with turnaround time for each activities / transactions:</b>
	Opening of Account - KYC due diligence check - Suitability Assessment
	Cash Sales
	Cash Redemption
	EPF Sales
	EPF Redemption
	Cooling-off
	Switching
	Transfer
	Income Distribution
	Reconciliation Procedures From IUTA to UTMC / IUTA (online provider) <i>(Applicable to IUTA)</i>
	Reconciliation Procedures From IUTA to Investor <i>(Applicable to IUTA – nominee approach)</i>
	Reconciliation Procedures From CUTA to IUTA / UTMC <i>(Applicable to CUTA)</i>
	Policies and procedures on record keeping and confidentiality of Investor's / unit holder's information
<b>2</b>	<b>Marketing Plan and Strategy</b>
	Marketing and distribution sustainability of UTS for the next 3 years
	Projected sales for the next 3 years
	Target segment of investors
	Policies and procedures in respect of the issuance and distribution of advertisements and promotional materials
	Policies and procedures in respect of Product Highlight Sheet (PHS)
<b>3</b>	<b>Distribution channel / Platform</b>

	Type of distribution channel
	Proposed number of distribution point / mobile distribution points & consultants
	Recruitment of consultants' process
	Processes and procedures in monitoring consultant's registration
	Policies and procedures in monitoring business conduct and related activities of consultants
<b>4</b>	<b>Training Program</b>
	Training module/scope of training
	Training schedule and duration
	Trainer selection's criteria
	Development of the trainer
	Record keeping of training, CPD activities and CPD points
<b>5</b>	<b>Risk Management</b>
	Policies and procedures of risk management
	Reporting structure of risk management
	Business Continuity Plan
<b>6</b>	<b>Compliance Policies and Procedures</b>
	Internal Code of Sales Conduct
	Measures undertaken to manage conflict of interest
	Policies and procedures to comply with anti-money laundering and anti-terrorism financing requirements
	Department and personnel in-charge to ensure compliance with relevant rules & guidelines
<b>7</b>	<b>Complaints Handling</b>
	Processes and procedures in handling investors' / unitholders' complaints
	Channel & contact details to lodge complaint
	Department and personnel in-charge in handling complaints –sufficient experience and knowledge to deal with complaint
	Stipulated time frame to address the complaint
	Control procedures to ensure all the complaints received, the handling process and action taken to address complaints are documented accurately in the complaint register / log

<b>8</b>	<b>Investor's / Unitholder's rights and liabilities</b>
	Policies and procedures in relation to investors' / unitholders' rights (eg. Voting rights, cooling-off rights, distribution of statement, annual report, etc)
	Written policies to be made known to investors / unitholders.
<b>9</b>	<b>Protection of investors' / unitholders' monies</b>
	Policies and procedures to protect unitholders' monies received by the IUTA/CUTA (e.g. segregation of account, 3 <sup>rd</sup> party payment, processing time of each sales/ purchases/cooling-off/ transfer of units of each investor / unitholder, etc)
<b>10</b>	<b>Information System / IT Infrastructure</b>
	Readiness of system for the marketing and distribution of UTS
	IT Security Policy and Access Controls

**STATUTORY DECLARATION**

Please tick (√) whichever is applicable on the boxes provided

<input type="checkbox"/> <b>Unit Trust Scheme (UTS) Consultant</b>	<input type="checkbox"/> <b>Private Retirement Scheme (PRS) Consultant</b>
<input type="checkbox"/> <i>New Registration / Exemption</i>	<input type="checkbox"/> <i>New Registration / Exemption</i>
<input type="checkbox"/> <i>Former UTS Consultant / Vary Registration</i>	<input type="checkbox"/> <i>Former PRS Consultant / Vary Registration</i>

I, \_\_\_\_\_ [name of applicant], bearing NRIC/passport no. \_\_\_\_\_  
of \_\_\_\_\_ [latest correspondence address i.e. place of residence]

act as a \*UTS consultant and/or a \*PRS consultant for \_\_\_\_\_ [name of distributor] (the principal)  
only; do solemnly and sincerely declare that:

1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points. **[Only applicable to former consultant or variation of registration].**
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
  - (a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
  - (b) require my attendance at any meeting, proceeding or hearing of FIMM;
  - (c) disclose and provide information, documents and records concerning me, including any action taken and sanction imposed against me, to the Securities Commission Malaysia (SC) and other authorities or bodies for regulatory purposes;
  - (d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
  - (e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken and sanctions imposed against me, if any; and
  - (f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
  - (a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
  - (b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
  - (c) provide all information and documents requested by FIMM for purposes of my registration;
  - (d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
  - (e) 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.

AND I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declarations Act 1960.

Subscribed and solemnly declared  
by the above named  
\_\_\_\_\_ at

\_\_\_\_\_ in the state of \_\_\_\_\_

this \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(month) (year)

\_\_\_\_\_  
Applicant's signature

Before me,  
\_\_\_\_\_  
Commissioner for Oaths

\* Please strike off whichever not applicable

## SCHEDULE A – Appendix 6B

### STATUTORY DECLARATION FOR RENEWAL OF REGISTRATION

Please tick (✓) whichever is applicable on the boxes provided

**Unit Trust Scheme (UTS) Consultant**  **Private Retirement Scheme (PRS) Consultant**

I, \_\_\_\_\_ [name of applicant], bearing NRIC/passport no. \_\_\_\_\_  
of \_\_\_\_\_ [latest correspondence address i.e. place of residence]

act as a \*UTS consultant and/or a \*PRS consultant for \_\_\_\_\_ [name of distributor] (the principal)  
only; do solemnly and sincerely declare that:

1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points for my renewal of registration with FIMM. **[Only applicable to UTS Consultant]**
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
  - (a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
  - (b) require my attendance at any meeting, proceeding or hearing of FIMM;
  - (c) disclose and provide information, documents and records concerning me, including any action taken and sanction imposed against me, to the Securities Commission Malaysia (SC) and other authorities or bodies for regulatory purposes;
  - (d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
  - (e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken and sanctions imposed against me, if any; and
  - (f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
  - (a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
  - (b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
  - (c) provide all information and documents requested by FIMM for purposes of my registration;
  - (d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
  - (e) 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.

AND I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declarations Act 1960.

Subscribed and solemnly declared  
by the above named

\_\_\_\_\_ at

\_\_\_\_\_

in the state of \_\_\_\_\_

this \_\_\_\_ day of \_\_\_\_\_,  
(month) (year)

\_\_\_\_\_  
Applicant's signature

Before me,

\_\_\_\_\_  
Commissioner for Oaths

\* Please strike off whichever not applicable



**SCHEDULE A – Appendix 7**

**[Letterhead of UTMC/IUTA/CUTA]**

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
No 19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR COMPUTERISED UNIT TRUST EXAMINATION (CUTE)**

We wish to inform you that the person named below has applied for CUTE.

NO	NAME	NRIC
1		

Please find enclosed the following documents for your further action:

- Application Form
- Two Malaysia passport-sized colour photographs (name written at the back of photographs)
- A copy of identity card (front and back) or passport
- A duly executed Statutory Declaration
- A certified true copy of the relevant certificate and qualification
- A certified true copy of CMSRL (if applicable)
- Batch No: \_\_\_\_\_
- Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

.....  
Signature

Name of Authorised Signatory:  
Company:  
Date:

## SCHEDULE A – Appendix 8



APPLICATION FOR REGISTRATION OF UNIT TRUST SCHEME CONSULTANT ("UTS Consultant")  
 (please complete this form in BLOCK letters and tick (✓) one where applicable)

Batch No:

### A. TYPE OF APPLICATION

Computerized Unit Trust Examination (CUTE)  
 (please complete all Sections)

Note: Candidate is required to pass CUTE prior to registration as UTS Consultant unless exempted from CUTE

Exemption for CUTE  
 (please complete all Sections except Section E of F)

Category of Exemption:  CEO  Director  Fund Manager  Financial Planner  
 Former UTS Consultant / Vary Registration

### B. PERSONAL PARTICULARS OF THE APPLICANT

Name: (as in NRIC)

Identification No: (New)

Identification No: (Old) 



 Passport No.  (for non-Malaysian)

Date of Birth: 



 Sex:  Female  Male Race:   
 (dd/mm/yyyy) (please tick where applicable)

Mailing Address: 



  
 Post Code: 



 State:

Tel: (Off/Handphone) 



 (House)

Email Address:

Highest Educational Qualification:  SPM  STPM  Diploma  Degree  Post-graduate  Others (please specify) \_\_\_\_\_  
 (please tick where applicable)

### C. TYPES OF CONSULTANT

Category of Consultant:  Agent  Employee (please complete Section D)

Apprenticeship Program:  Yes  No (applicable for Corporate Unit Trust Adviser only)

Name of UTMC/IUTA/CUTA:

FIMM Member Code:

### D. PARTICULARS OF DEPARTMENT AND DISTRIBUTION POINT (For Employee only)

Department:  Sales and Marketing  Training  Customer Service  Compliance  Others (please specify) \_\_\_\_\_

Distribution Point Code:

Distribution Point Name:

Address: 



  
 Post Code: 



 State:

### E. PARTICULARS OF COMPUTERIZED UNIT TRUST EXAMINATION

First Time  Resit  
 Note: please provide date of last CUTE \_\_\_\_\_

Language:  English  B Malaysia  Chinese

Examination Location & Examination Centre Code:

<input type="checkbox"/> Alor Setar (SYSKDAS)	<input type="checkbox"/> Kota Kinabalu (I SKILLSEKK)	<input type="checkbox"/> Petaling Jaya 3 (ARCNET A/C)
<input type="checkbox"/> Ipoh (OLYM/PRIP)	<input type="checkbox"/> Kuala Terengganu (TMTRKT)	<input type="checkbox"/> Petaling Jaya 2 (TESSRDSGPJ)
<input type="checkbox"/> Johor Bahru (I WORLD/HJB)	<input type="checkbox"/> Kuantan (KPTMPHKN)	<input type="checkbox"/> Seremban (OUMNSSM)
<input type="checkbox"/> Kang Valley (ARCNWPKL Room 1)	<input type="checkbox"/> Kuching (ACSWKH)	<input type="checkbox"/> Sibul (ASIACOMSW/SB)
<input type="checkbox"/> Kang Valley (ARCNWPKL Room 2)	<input type="checkbox"/> Melaka (STAMFLK)	<input type="checkbox"/> Tawau (OUMSBTW)
<input type="checkbox"/> Kang Valley (ARCNWPKL Room 3)	<input type="checkbox"/> Miri (BCCOMSWMR)	
<input type="checkbox"/> Kota Bahru (ARCNET A/CKB)	<input type="checkbox"/> Penang (I WORLD/PGBL)	

Effective Date DD/MM/YYYY

Session Time Code:  1 9.00am - 11.00am  2 12.00noon - 2.00pm  3 2.00pm - 5.00pm

1st Preferred Examination Session:	Examination Centre Code:	Examination Date:	Session Time: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
2nd Preferred Examination Session:	Examination Centre Code:	Examination Date:	Session Time: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
3rd Preferred Examination Session:	Examination Centre Code:	Examination Date:	Session Time: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3

**E. INFORMATION FOR CUTE VERIFICATION PURPOSES (Please refer to note no. 7 below)**

Father's Full Name:

**G. TERMS AND CONDITIONS**

**General**

**1. Submission of Applications**  
The applicant must submit the completed application form accompanied with the pre-requisite documents to the UTMC, IUTA or CUTA that the applicant is affiliated to.

**2. Variations**  
If FIMM finds any discrepancy in the details provided by the applicant in this application form and the details provided by the UTMC, IUTA or CUTA that the applicant is affiliated to in the IS System, FIMM will treat the details submitted by the UTMC, IUTA or CUTA as final. FIMM will not be responsible for any data error that could result in the applicant being rejected for the registration as UTS Consultants.

**3. Payments**  
Fees must be made payable to the UTMC, IUTA or CUTA that the applicant is affiliated to. Fees must NOT be made payable to FIMM. Fees are non-refundable.

**For CUTE Only**

**1. Submission of Applications**  
All application forms must reach FIMM before the closing date of each CUTE session. FIMM will not accept any late entry. FIMM does not allow any applicant to make any alteration to examination entry after the closing date. FIMM may reject an applicant from sitting for the CUTE, if the applicant provides any false information or omit any information required for purposes of the CUTE.

**2. Examination Location**  
The applicant is required to select the Examination Centre for any of the CUTE sessions in Section E of this application form. If the applicant fails to indicate the preferred Examination Centre in Section E, a location nearest to the mailing address on this application form will be selected on behalf by the UTMC, IUTA or CUTA that the applicant is affiliated to.

**3. Examination Session**  
The applicant is required to indicate three (3) preferred CUTE sessions in Section E of this application form. If the applicant fails to indicate the three (3) preferred CUTE sessions in Section E, three (3) preferred CUTE sessions will be selected on behalf by the UTMC, IUTA or CUTA that the applicant is affiliated to.

**4. Examination Timetable**  
The applicant is required to refer to the CUTE timetable for the dates of available CUTE sessions. For detailed information, please contact the person in charge of the UTMC, IUTA or CUTA that the applicant is affiliated to.

**5. Examination Notification**  
The applicant may obtain Candidate Examination Number from the UTMC, IUTA or CUTA that the applicant is affiliated to.

**6. Postponement/Withdrawal of Examination**  
The applicant is NOT ALLOWED to request for postponement of CUTE under any circumstances. If an applicant withdraws his/her application to sit for the CUTE or fails to present himself/herself for the CUTE, no full or part of the fee will be refunded.

**7. Information for CUTE Verification Purposes**  
The applicant is required to provide father's full name in Section F of this application form for purposes of logging into the CUTE system during the CUTE sessions. Failure to log in the CUTE system due to data discrepancies, will lead to candidate concerned not being able to take the CUTE and therefore he/she will be treated as absent.

**8. Variations**  
If FIMM finds any discrepancy in the details provided by the applicant in this application form and the details provided by the UTMC, IUTA or CUTA that the applicant is affiliated to in the IS System, FIMM will treat the details submitted by the UTMC, IUTA or CUTA as final. FIMM will not be responsible for any data error that could result in the applicant being rejected to sit for the CUTE.

**H. APPLICANT'S DECLARATION**

- I declare that the information provided in this application form is true, correct and complete and that I am bound by the rules and regulations regarding the CUTE set by FIMM.
- Pursuant to the Personal Data Protection Act 2010, I confirm that I have read and understood FIMM's Personal Data Notice available on its website and I hereby consent for my personal data provided herein to be processed by FIMM for the purposes stated in the Personal Data Notice.
- Pursuant to the Credit Reporting Agencies Act 2010, I hereby expressly consent and authorise FIMM to obtain and/or disclose any Credit Information relating to me from and/or to 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 registration with FIMM as UTS Consultant.

Applicant's signature: \_\_\_\_\_  
Date:  -  -

**I. FOR FIMM USE ONLY**

Remarks:	Date Processed for Examination:	FIMM No.:	Result: (Please tick where applicable) <input type="checkbox"/> Passed <input type="checkbox"/> Failed <input type="checkbox"/> Absent
	Date Processed for Registration:	Date Issued:	

**FORMAT : SUBMISSION OF PHOTOGRAPH**

**ABC INVESTMENT MANAGEMENT BERHAD**

*(Company name)*

**UNIT TRUST CONSULTANT**

<p>5.0cm</p> <p>Affix one passport size colour photograph and name written at back of the photo</p>	<p><b>Name</b> : _____</p> <p><b>(as per NRIC/passport)</b></p>
	<p><b>NRIC /</b> : _____</p> <p><b>Passport No</b></p>

$\leq 3.5 - 4.0 \geq$  cm

**CPD Record Form**

Continuing Professional Development (CPD) Record

Name of UTC: \_\_\_\_\_

FIMM No.: \_\_\_\_\_

Company's Name: \_\_\_\_\_

Period Covered: January 1 \_\_\_\_\_ to December 31 \_\_\_\_\_

No.	Description of Activity (course title, type of activity)	Organisation Presenting Activity	Date of Event	CPD Hours
1.				
2.				
3.				
4.				
5.				
6.				
	<b>TOTAL CPD POINTS ACCUMULATED</b>			

Acknowledgement:

I hereby confirm that I have completed the CPD activities recorded herein.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Evidence for verification (where relevant)

- Course outlines, teaching materials, certificate of attendance or participation.
- Attendance record, registration forms or confirmation of registration from provider.
- Independent assessment that a learning activity has occurred.
- Confirmation by an instructor, mentor or tutor of participation.
- Confirmation by an employer of participation in an in-house programme.

**SCHEDULE A – Appendix 11**  
**[Letterhead of UTMC/IUTA/CUTA]**

Date

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR REGISTRATION OF FORMER UTS CONSULTANT / VARIATION OF REGISTRATION OF UTS CONSULTANT**

We wish to inform you that the former UTS Consultant(s) named below has applied to register with our company.

NO	NAME	NRIC
1		
2		

Please find enclosed the following documents for your further action:\*

- Application Form
- One photograph (name written at the back of the photograph)
- A duly executed Statutory Declaration
- Letter of Undertaking for Variation of Registration of Unit Trust Consultant (only applicable for merger exercise);
- A certified true copy of CMSRL (if applicable)
- Batch No: \_\_\_\_\_
- Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

Signature  
Name of Authorised Signatory:  
Designation:

Date

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**LETTER OF UNDERTAKING FOR VARIATION OF REGISTRATION OF UNIT TRUST  
CONSULTANTS (“UTS CONSULTANT”) DUE TO MERGER AND ACQUISITION EXERCISE**

We are pleased to register the enclosed list of UTS Consultants with (insert the name of the Company). These Consultants were previously registered with (insert the name of the consultants' previous company).

I, \_\_\_\_\_, as the authorised representative acting on behalf of **(insert the name of the Company)**, hereby undertake that **(insert the name of the Company)** shall be responsible for accepting all the Statutory Declarations For Registration Of Consultant that were previously declared under **(insert the name of the consultants' previous company)** for the Consultants whose names are enclosed in the attached list.

Thank you.

Yours faithfully

Signature  
Name of Authorised signatory:  
Designation:

**SCHEDULE A – Appendix 13**

**Re: Assets Under Management as at 31 December 20XX**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-06-01, 6th Floor, Wisma Tune  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

**Company Name:** \_\_\_\_\_

---

Please send the completed slip to FIMM latest by **XX January 20XX**

---

We hereby declare that the below information of Assets Under Management (AUM) for **Funds** as at 31 December 20XX are complete, true and accurate.

**Total Group A: RM** \_\_\_\_\_

**Total Group B: RM** \_\_\_\_\_

**Verified by Compliance Officer** : \_\_\_\_\_  
Name:  
Designation:  
Date:

**Confirmed by CEO /AR** : \_\_\_\_\_  
Name:  
Date:

**For FIMM use only**

**Processed by BR Dept:**

**Signature:**

Name:

Date:

**Checked by BR Dept:**

**Signature:**

Name:

Date:

**Checked by Finance Dept:**

**Signature:**

Name:

Date:



**COMPANY NAME:**  
Asset Under Management ("AUM") as at 31 December 20XX

No	Fund Name (in full)	Fund Group (A/B) <sup>1</sup>	Asset Category <sup>2</sup>	AUM (in RM) e.g. RM X,XXX,XXX.XX	Remarks
<b>TOTAL AUM</b>					

<sup>1</sup> Please indicate in accordance with FIMM's fund group and asset category listing. A copy of the list is made available in FIMM's I<sup>2</sup> System

We hereby declare that the above information of AUM for Funds as at 31 December 20XX are complete, true and accurate.

**Prepared by:** \_\_\_\_\_ **Verified by:** \_\_\_\_\_  
 Name: \_\_\_\_\_ Name:  
 Designation: \_\_\_\_\_ Designation:  
 Company: \_\_\_\_\_ Company:  
 Date: \_\_\_\_\_ Date:

**SCHEDULE A – Appendix 14**

**Re: Total Gross Sales for the year ended 31 December 20XX**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-06-01, 6th Floor, Wisma Tune  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

**Company Name:** \_\_\_\_\_

---

---

Please send the completed slip to FIMM latest by **XX January 20XX**

---

---

We hereby declare that the below information of Total Gross Sales for **Unit Trust Schemes** for the year ended 31 December 20XX are complete, true and accurate.

**Total Normal Load: RM** \_\_\_\_\_

**Total Low Load: RM** \_\_\_\_\_

**Total No Load: RM** \_\_\_\_\_

**Verified by Compliance Officer :** \_\_\_\_\_

Name:  
Designation:  
Date:

**Confirmed by CEO/AR :** \_\_\_\_\_

Name:  
Designation:  
Date:

**For FIMM use only**

**Processed by BR Dept:**

**Signature:**

Name:

Date:

**Checked by BR Dept:**

**Signature:**

Name:

Date:

**Checked by Finance Dept:**

**Signature:**

Name:

Date:



**SCHEDULE A – Appendix 15**

**[Letterhead of UTMC/IUTA/CUTA]**

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
No 19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR EXEMPTION FROM COMPUTERISED UNIT TRUST SCHEME EXAMINATION  
("CUTE")**

We wish to inform you that the person named below has applied to be exempted from CUTE.

NO	NAME	NRIC
1		

Please find enclosed the following documents for your further action:\*

- Application Form
- Two colour photographs (name written at the back of the photographs)
- A copy of identity card (front and back) or passport
- A duly executed Statutory Declaration
- Evidence of approval by the Securities Commission / relevant authority for the appointment of the Chief Executive of a UTMC, IUTA or CUTA
- Evidence of approval by the Securities Commission / relevant authority for the appointment of Director of a UTMC, IUTA or CUTA who has a minimum of 10 years' experience in unit trust or fund management industry
- Resume or curriculum vitae with details describing the director's scope of work and specific job description
- A certified true copy of CMSRL for fund management (if applicable)
- A certified true copy of certificate for certified holder of CFP/IFP/RFP/Shariah RFP/ChFC (if applicable)
- Evidence of result slip that indicates the candidates have passed the required modules of the relevant financial qualification (if applicable)

Batch No: \_\_\_\_\_

Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

.....  
Signature  
Name of Authorised Signatory:  
Designation:

*\* Please tick whichever is applicable and state "N/A" if inapplicable*

**LETTER OF UNDERTAKING BY UTMC / IUTA / CUTA**

Date:

Chief Executive Officer  
FIMM

Dear Sir,

**Name of UTMC/IUTA/CUTA:  
Declaration**

We, \_\_\_\_\_ (name of UTMC/IUTA/CUTA), are seeking an extension of time for the following:

- a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
2. We hereby confirm that after having made all reasonable inquiries, and to the best of our knowledge and belief, there is no false or misleading statement contained in, or material omission from the information which is provided to FIMM in relation to this application.
3. We declare that, except for the matter mentioned in the first paragraph above, we are in full compliance with the following:
- i. FIMM Rules;
  - ii. Registration Manual for Unit Trust Scheme Distributors and Consultants;
  - iii. System Manual issued by FIMM in respect of the online registration system maintained by FIMM; and
  - iv. Other relevant requirements imposed by FIMM.
4. We declare that we will ensure continuous compliance with the requirements and conditions imposed by FIMM.
5. We undertake to ensure that our officers, distributors (if applicable) and consultants (if applicable) meet the requirements and conditions imposed by FIMM.
6. We further undertake to provide our full assistance in furnishing such information and all supporting or relevant documents as requested by FIMM.

Yours faithfully,

.....

Signature  
Name of AR:  
Designation:

SCHEDULE A – Appendix 17

[Letterhead of UTMC/IUTA/CUTA]

Date

Head  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
No 19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR REPLACEMENT OF FIMM AUTHORISATION CARD (S) / CUTE CERTIFICATE(S)**

We refer to the abovementioned and wish to inform that the UTS Consultant listed below would like to replace the FIMM authorisation card / CUTE certificates\*:

NO	NAME	NRIC	FIMM NO	CERTIFICATE	REMARKS (with photo/without photo)
1					
2					

We hereby enclose the following documents for your processing\*\*:

One (1) passport sized colour photograph with the full name of the UTS Consultant written clearly at the back of the photograph (for replacement of FIMM authorisation card only)

(Bank name) cheques no XXXXXX for RM00.00 being the fee for replacement of FIMM authorisation card/CUTE certificate.

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

.....  
Signature  
Name of Authorised Signatory:  
Designation:

\* Please delete whichever is inapplicable  
\*\* Please tick whichever is applicable and state "N/A" if not applicable



**FEDERATION OF INVESTMENT MANAGERS MALAYSIA (272577-P)**

19-06-1, 6th Floor, Wisma Tune , No. 19, Lorong Dungun,  
 Damansara Heights, 50490 Kuala Lumpur.  
 Tel : 03-2093 2600 Fax : 03 -2093 2700  
 Website : www.FIMM.com.my E-mail : [info@FIMM.com.my](mailto:info@FIMM.com.my)

**NOTIFICATION FOR WITHDRAWAL OF REGISTRATION OR CESSATION OF OPERATIONS OF  
 UNIT TRUST MANAGEMENT COMPANY / INSTITUTIONAL UTS ADVISER / CORPORATE UTS  
 ADVISER / PRS PROVIDER / INSTITUTIONAL PRS ADVISER / CORPORATE PRS PROVIDER**

**1. TYPE OF REGISTRATION WITH FIMM**

<input type="checkbox"/> Unit Trust Management Company (UTMC)	<input type="checkbox"/> PRS Provider
<input type="checkbox"/> Institutional UTS Adviser (IUTA)	<input type="checkbox"/> Institutional PRS Adviser (IPRA)
<input type="checkbox"/> Corporate UTS Adviser (CUTA)	<input type="checkbox"/> Corporate PRS Adviser (CPRA)

**2. COMPANY DETAILS**

NAME OF COMPANY: \_\_\_\_\_

REGISTRATION NO: \_\_\_\_\_ DATE OF INCORPORATION: \_\_\_\_\_

REGISTERED ADDRESS : \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ POSTCODE: \_\_\_\_\_

CORRESPONDENCE ADDRESS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ POSTCODE: \_\_\_\_\_

LIAISON OFFICER: \_\_\_\_\_ TEL. NO: \_\_\_\_\_

EMAIL: \_\_\_\_\_ FAX NO: \_\_\_\_\_

**3. WITHDRAWAL OR CESSATION DETAILS**

Reasons of withdrawal or cessation please tick (/) whichever applicable.

Merger and acquisition

i. Please indicate the name of the company involved in the merger and acquisition.  
 \_\_\_\_\_

ii. Legal Day One (1): \_\_\_\_\_

iii. Cessation Date: \_\_\_\_\_



Withdraw of registration or cessation of operations in marketing and distribution of unit trust scheme or private retirement scheme.

i. Withdrawal / Cessation Date: \_\_\_\_\_

Others (please specify): \_\_\_\_\_

#### 4. DOCUMENT CHECKLIST

Notification letter to FIMM including the following information:-

- i. To indicate the registration of Unit Trust Scheme Consultants/Private Retirement Scheme Consultants have been terminated.
- ii. Existing investors have been informed of alternatives available to them if they wish to deal with their unit trust schemes / private retirement schemes including redemption/withdrawal, transfer and switching.
- iii. Provision for termination under the distribution arrangement with UTMC/IUTA/PRS Provider/IPRA has been fulfilled

Court Vesting Order (for merger and acquisition only)

A copy of Form 13 (for merger and acquisition only)

A copy of Form 18 from Securities Commission (for CMSL Holder, if applicable)

Others (Please specify): \_\_\_\_\_

#### 5. DECLARATION

We confirm that all the information given above and the attached documents (if any) are true and correct pursuant to FIMM Rules.

We further acknowledge that we are fully aware of the said FIMM Rules and agree to comply with the same.

Name of Authorised Signatory: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Please affixed rubber stamp / company seal

[Letterhead of UTMC/IUTA/CUTA]

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**RESIGNATION/TERMINATION OF UTS CONSULTANTS**

We wish to inform you that **XXX** of our UTS Consultant's has been resigned / terminated.

Please find enclosed the list of UTS Consultant for your further action.

Should you need any further clarification, please call (**the name of person in charge**) at (**contact no**).

Thank you.

Yours faithfully

.....  
Signature

Name of Authorised Signatory:  
Company:  
Date:

**SCHEDULE A – Appendix 20**



**FEDERATION OF INVESTMENT MANAGERS MALAYSIA (272577-P)**

19-06-1, 6th Floor, Wisma Tune,  
No. 19, Lorong Dungun, Damansara Heights,  
50490 Kuala Lumpur.  
Tel : 03-2093 2600 Fax : 03 -2093 2700  
Website [www.fimm.com.my](http://www.fimm.com.my)  
E-mail: [info@fimm.com.my](mailto:info@fimm.com.my)

**NOTIFICATION ON MARKETING AND DISTRIBUTION OF UNIT TRUST SCHEMES (UTS) / PRIVATE RETIREMENT SCHEMES (PRS) / FOREIGN FUNDS**

Please print in **BLOCK LETTERS**.

**1. CATEGORY OF APPLICANT**

Please choose one (1) category only.

**Institutional UTS Adviser (IUTA)**

**Corporate UTS Adviser (CUTA)**

**Institutional PRS Adviser (IPRA)**

**Corporate PRS Adviser (CPRA)**

**2. NOTIFICATION DETAILS**

(a) Is this the first notification of UTS/PRS/foreign fund(s)\* submitted by your company?

*(Kindly (✓) where applicable)*

YES

NO

If YES, please confirm on items (i), (ii) and (iii), if NO, please proceed to item (b) below:

- (i) Registration of minimum two (2) UTS Consultants/PRS Consultants\* at each Distribution Point/Mobile Distribution Point(s) is completed.
- (ii) Your company has at least one (1) Distribution Point/Mobile Distribution Point. Please provide the particulars of each Distribution Point/Mobile Distribution Point with the respective appointed UTS Consultants/PRS Consultants.
- (iii) You have entered distribution arrangement with the Unit Trust Management Company (UTMC)/IUTA/PRS Provider/IPRA/Operator\*.

The effective date of commencement of operations is on \_\_\_\_\_

(b) Please provide the name(s) of the UTS/PRS/foreign fund(s)\* and the intended date of distribution which your company will be marketing and distributing on behalf of the UTMC/IUTA/PRS Provider/IPRA/Operator\*. If the space in this form is insufficient, kindly use separate annexure.

Name of UTMC / IUTA / PRS Provider / IPRA / Operator*	Name of Fund	Related Party (/)	Third Party (/)	Retail / Wholesale	Date of Distribution

**3. DOCUMENT CHECKLIST [Please tick (✓) where applicable]**

Please furnish FIMM with the following documents.

Cover Letter.

Notification Form on Marketing and Distribution of UTS / PRS / foreign fund(s)\*.

A Certified True Copy of relevant pages of the distribution arrangement which include the following information:

- (i) The date of the arrangement
- (ii) Parties to the distribution arrangement
- (iii) The list of UTS / PRS / foreign fund(s)\* for distribution
- (iv) Execution page

A Certified True Copy of an appointment letter / supplemental arrangement for subsequent UTS / PRS / foreign fund(s)\* for distribution. (if applicable)

A copy of the consent letter from the UTMC / PRS Provider / Operator\* to allow for sub-distribution arrangement. (if applicable)

**4. DECLARATION**

We confirm that all the information given above and the attached documents (if any) is true and correct and will form the basis of our notification of UTS/PRS/foreign fund(s)\* pursuant to FIMM Rules.

We further acknowledge that we are fully aware of the said Rules and agree to comply with the same.

Name of company: \_\_\_\_\_

Name of authorised signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Please affixed rubber stamp / company seal

Note: \*strike off which ever not applicable

**NOTIFICATION OF NEW FUND LAUNCH**

To : Head, Industry Services Division  
 Federation of Investment Managers Malaysia  
 19-06-1, 6th Floor, Wisma Tune, No. 19, Lorong Dungun, Damansara Heights, 50490 Kuala Lumpur

Upon completion, please deliver the form and its enclosures to FIMM as least **three (3) business days** before the date of the fund launch.

Following please details for our new fund(s):

Fund Name	Financial year –end (dd/mm)	Initial offer price (RM)	Launch date (dd/mm/yyyy)

*(Please print under separate cover if the space provided is not sufficient.)*

Together with this form please find attached the following pertaining to the fund(s) (please tick where applicable):

- Copy of approval letter from the SC/Fund Lodgement Summary form the SC’s LOLA Online Submission System for new fund.
- Two (2) sets of Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document (in the same form as distributed to potential investors)\*.
- Key Data section of the Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document duly registered with the SC\*.
- For funds approval under the ASEAN CIS, a copy of approval letter from the SC for the appointment of the company as Local Representative.

\* *In the event that the printed Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document are not available at the point of notification, Company may provide copy of the key data section of the Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document duly registered with the SC. The printed Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document must subsequently reach FIMM within a week after the launch of the fund.*

From:

Name of company:	
Name and designation of the person responsible for the submission:	
Tel:	Fax:
Date:	Signature:

**SCHEDULE B – Appendix 1**

**APPLICATION AND ANNUAL FEES – UTMC, IUTA, CUTA AND UTS CONSULTANT**

UTMC, IUTA and CUTA							
A. New Registration							
No.	Registration (Single / Combination)	Application Fee (RM)	GST of 6% (RM)	Amount including GST (RM)	Annual Fee (RM)	GST of 6% (RM)	Amount including GST (RM)
1.	UTMC	5,000	300	5,300	10,000	600	10,600
2.	IUTA	1,250	75	1,325	10,000	600	10,600
3.	CUTA (related to a financial institution)	10,000	600	10,600	20,000	1,200	21,200
4.	CUTA (not related to a financial institution)	2,000	120	2,120	500	30	530
5.	UTMC and IUTA (multiple registration in a single application)	5,000 + 1,250	300 + 75	5,300 + 1,325	<u>UTMC</u> 10,000  <u>IUTA</u> Waived	<u>UTMC</u> 600  <u>IUTA</u> Waived	<u>UTMC</u> 10,600  <u>IUTA</u> Waived
B. New Registration with Existing Registration							
No.	Existing Registration	New Registration	Application Fee (RM)	GST of 6% (RM)	Amount including GST (RM)	Annual Fee (RM)	Annual Fee (RM)
1.	UTMC	IUTA	1,250	75	1,325		Waived

<b>UTS Consultant</b>			
<b>Type of Fees</b>	<b>Amount (RM)</b>	<b>GST of 6% (RM)</b>	<b>Total amount including GST (RM)</b>
CUTE Fee (First time and resit)	170.00	10.20	180.20
Registration of Former UTS Consultant Fee**	73.00	4.38	77.38*
Annual Fee	53.00	3.18	56.18*
Exemption Fee (in respect of individual exempted from having to sit for the CUTE)	73.00	4.38	77.38*
Replacement or correction of FIMM Authorisation Card	6.00	0.36	6.36*
Replacement or correction of certificate issued by FIMM relating to CUTE	6.00	0.36	6.36*
Computerised Unit Trust Examination ("CUTE") Study Manual	12.00	0.72	12.72*
Appeal Fee	20.00	1.20	21.20

**\*Effective 1 April 2015. The total amount including GST will be rounded up or down based on Bank Negara Malaysia Rounding Mechanism.**

**\*\*Note:** Not applicable to consultants who have paid the annual fee at the point of renewal.

#### **CONDITIONS RELATING TO PAYMENT OF FEES:**

1. Unless otherwise provided in the Rules or determined by FIMM, the application fees paid pursuant to **Schedule B Appendix 1** are non-refundable except in relation to annual fee in the event an application for registration of UTMC, IUTA or CUTA is returned or rejected.
2. All payments must be made via cheque or bank draft payable to "Federation of Investment Managers Malaysia".
3. The first annual fee shall be payable by an applicant prior to its registration, which is refundable as stated in paragraph 1 above. The subsequent annual fee shall become due and payable in advance on or before 31 January of each and every calendar year following the year of registration.
4. FIMM may reserve the right to revise the fees from time to time.

**SCHEDULE B – Appendix 2**

**ANNUAL MEMBERSHIP SUBSCRIPTION FEE (AMSF) OR ANNUAL FEE**

1. The AMSF or Annual Fee is calculated as follows:

No.	Types Of Registration with FIMM or Combination of Registration with FIMM	AMSF / Annual Fee
1	UTMC	<ul style="list-style-type: none"> <li>• AUM Factor (UTS &amp; wholesale funds) + UTS Consultant Factor</li> <li>• Minimum Fee of RM10,000</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> </ul>
2	IUTA	<ul style="list-style-type: none"> <li>• Total Gross Sales factor (unit trust funds &amp; wholesale funds) + UTS Consultant factor</li> <li>• Minimum Fee of RM10,000 (for sales less than RM250 million)</li> <li>• Maximum Fee of RM80,000 (for sales more than RM2,000 million)</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> </ul>
3.	CUTA (related to a financial institution)	<ul style="list-style-type: none"> <li>• RM20,000 + UTS Consultant factor</li> <li>• UTS Consultant factor: RM50 per UTS Consultant</li> </ul>
4.	CUTA (not related to a financial institution)	<ul style="list-style-type: none"> <li>• RM500 + UTS Consultant factor</li> <li>• UTS Consultant factor: RM50 per UTS Consultant</li> </ul>
5.	UTMC and IUTA	<p><u>UTMC</u></p> <ul style="list-style-type: none"> <li>• AUM factor (unit trust funds &amp; wholesale funds) + UTS Consultant factor</li> <li>• Minimum Fee of RM10,000</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> </ul> <p><u>IUTA</u> Waived</p>

\* All fees quoted above are subjected to GST of 6%.



2. The Asset under Management (AUM) is classified into 2 fund groups (Group A and Group B) as follows:

Groups	Particular
Group A	Include fixed-income or bond funds, money market funds, capital guaranteed / protected funds and other funds. As a general guide, these funds do not charge an annual management fee (including profit sharing) of more than 1%
Group B	Include funds that are not classified under Group A such as equity funds and mixed-asset funds.

\* Funds will be grouped on the basis of intended asset holding and annual management fee.

AUM factor is a total of = (Levy factor of Group A x AUM) + (Levy factor of Group B x AUM)

The Levy factor is set out below:

AUM	Levy factor (per RM1 mil)	
	Group (A) RM	Group (B) RM
First RM 50 mil	20.00	80.00
Next RM 100 mil	13.33	53.33
Next RM 500 mil	8.89	35.56
Next RM 1,000 mil	5.92	23.70
Next RM 2,000 mil	3.95	15.80
Thereafter	2.63	10.53

3. The Total Gross Sales factor is subject to the following levy factor:

Total Annual Sales	Annual Fee (RM) (Subject to GST of 6%)
A. sales < 250 mil	10,000
RM 250 mil ≤ A. sales < RM 500 mil	20,000
RM 500 mil ≤ A. sales < RM 1,000 mil	40,000
RM 1,000 mil ≤ A. sales < RM 2,000 mil	60,000
RM 2,000 mil and above	80,000

The Total Gross Sales factor is subject to the following fund groupings:

Fund Category	Particular	Levy factor
Normal Load Funds	Include normal-load funds that are charging maximum front-end and/or back-end charges of 3% and above, such as equity funds and mixed asset funds	100%
Low Load Funds	Include low-load funds that are charging maximum front-end and/or back-end charges of less than 3% such as fixed income or bond funds and capital	25%

	guaranteed/protected funds	
No-load Funds	Include no-load funds such as money market funds and other funds that are not imposing any front-end and/or back-end charges	0%

*\* The number of category as well as the threshold (sales levy) for respective category are subject to annual revision by the Board of Directors.*

**PRS SCHEDULES:**

**SCHEDULE C: FORMS, LETTERS AND DECLARATIONS RELATED TO APPLICATIONS,  
NOTIFICATIONS AND REPORTING**

**SCHEDULE D: FEES AND PAYMENT INFORMATION**

**SCHEDULE C – Appendix 1**

*(Company Name)*  
*(Company No.)*  
*(Incorporated in Malaysia)*

**BOARD OF DIRECTORS' CIRCULAR RESOLUTION IN WRITING MADE PURSUANT TO ARTICLE NO.**

We, the undersigned, being the Directors of *(Company Name)* for the time being, HEREBY RESOLVE:-

**APPOINTMENT OF AUTHORISED REPRESENTATIVE OF (COMPANY'S NAME) IN FEDERATION OF INVESTMENT MANAGERS MALAYSIA**

THAT the Company *(insert Company Name)* hereby appoint *(Name)* as its Authorised Representative to liaise on behalf of the Company and to attend to all matters pertaining to its registration as Private Retirement Scheme ("PRS") Distributor with Federation of Investment Managers Malaysia ("FIMM") or any other related matters.

THAT authority is further given to *(Name of AR)* or failing him, *(Name of Alternate Person)* as the authorised signatory to execute all relevant documentation in relation to its registration as PRS Distributor with FIMM or any other related matters.

THAT authority be and is hereby granted to affix the Company's common seal onto any such documents as may be required to be so affixed, in accordance with the Articles of Association of the Company.

Confirmed by the Board Directors,

.....  
*(Director's Name)*

.....  
*(Director's Name)*

Dated this *(Day)* of *(Month)* *(Year)*

## SCHEDULE C – Appendix 2

### DECLARATION

(Registration as Private Retirement Scheme (PRS) Distributor)

We, [*name of applicant*], hereby state our intention to register with the Federation of Investment Managers Malaysia ("FIMM") as a [*PRS Provider/Institutional PRS Adviser/Corporate PRS Adviser*]. For this purpose, we hereby:

1. declare and confirm that all information and documents provided to FIMM pertaining to and for purposes of our application and registration with FIMM are true and accurate;
2. declare and confirm that we are fit and proper as prescribed under Chapter 4 of the FIMM's Consolidated Rules;
3. declare and confirm that we fulfil the eligible requirements prescribed under the FIMM's Consolidated Rules;
4. undertake and agree to be bound by and comply with the FIMM Rules, relevant rules and guidelines of the Securities Commission Malaysia and other applicable laws at all times;
5. undertake to ensure that our officers, employees and PRS consultants be bound by and comply with the FIMM Rules, relevant rules and guidelines of the Securities Commission Malaysia and other applicable laws at all times;
6. timely and fully pay all fees and charges imposed by FIMM and do all things necessary for our continuing registration with FIMM;
7. confirm and undertake to ensure that, pursuant to the Personal Data Protection Act 2010, we have the consent of our PRS consultants, officers and employees for the disclosure to and use by FIMM of their personal data;
8. undertake to provide all information and documents requested by FIMM for purposes of our application and registration, including the registration of our PRS consultants; and
9. undertake to provide our full cooperation and assistance to FIMM in all matters pertaining to our application and registration, including in relation to our PRS consultants.

\*\*

\_\_\_\_\_  
Signature of authorised representative

[Affix applicant's Common Seal]

\_\_\_\_\_  
Name of authorised representative

\_\_\_\_\_  
Director

\_\_\_\_\_  
\*\*Director/Secretary

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(month) (year)

\*\*As applicable

**SCHEDULE C – Appendix 3**

**Proposal for the marketing and distribution of PRS Provider / IPRA / CPRA**

No.	Description
1	<b>Operation Process Flow of PRS with turnaround time for each activities/transactions:</b>
	Opening of Account <ul style="list-style-type: none"> <li>- KYC due diligence check</li> <li>- Suitability Assessment</li> </ul>
	Sales
	Redemption/Withdrawal
	Cooling-off
	Switching
	Transfer
	Income Distribution
	Reconciliation Procedures From PRS Provider to PPA ( <i>applicable to PRS Provider</i> )
	Reconciliation Procedures From IPRA to PRS Provider / IPRA (online provider) ( <i>applicable to IPRA</i> )
	Reconciliation Procedures From CPRA to PRS Provider / IPRA ( <i>applicable to CPRA operation</i> )
Policies and procedures on record keeping and confidentiality of contributor's information	
2	<b>Marketing Plan and Strategy</b>
	Marketing and distribution sustainability of PRS for the next 3 years.
	Projected sales for the next 3 years.
	Target segment of investors.
	Policies and procedures in respect of the issuance and distribution of advertisements and promotional materials
	Policies and procedures in respect of Product Highlight Sheet (PHS)

3	<b>Distribution channel/Platform</b>
	Type of distribution channel
	Proposed number of distribution point /mobile distribution point & consultants
	Recruitment of consultants' process
	Processes and procedures in monitoring consultant's registration
	Policies and procedures in monitoring business conduct and related activities of consultants
4	<b>Training Program</b>
	Training module/scope of training
	Training schedule and duration
	Trainer selection's criteria
	Development of the trainer
5	<b>Risk Management</b>
	Policies and procedures of risk management
	Reporting structure of risk management
	Business Continuity Plan
6	<b>Compliance Policies and Procedures</b>
	Internal Code of Sales Conduct
	Measures undertaken to manage conflict of interest
	Policies and procedures to comply with anti-money laundering and anti-terrorism financing requirements
	Department and personnel in-charge to ensure compliance with relevant rules & guidelines
7	<b>Complaints Handling</b>
	Processes and procedures in handling contributors' complaints
	Channel & contact details to lodge complaint
	Department and personnel in-charge in handling complaints –sufficient experience and knowledge to deal with complaint

	Stipulated time frame to address the complaint
	Control procedures to ensure all the complaints received, the handling process and action taken to address complaints are documented accurately in the complaint register/log
	<b>Contributor's rights</b>
8	Availability of policies and procedures in relation to contributors' rights (e.g. Voting rights, cooling-off rights, distribution of statement, annual report, etc)
	Written policies to be made known to contributors
	<b>Protection of Contributor's monies</b>
9	Policies and procedures to protect contributors' monies received by the PRS Provider / IPRA / CPRA (e.g. segregation of account, 3 <sup>rd</sup> party payment, processing time of each sales/ /cooling-off/ transfer of units of each contributor, etc)
	<b>Information System / IT Infrastructure</b>
10	Readiness of system for the marketing and distribution of PRS
	IT Security Policy and Access Controls



**STATUTORY DECLARATION**

Please tick (√) whichever is applicable on the boxes provided

**Unit Trust Scheme (UTS) Consultant**

**Private Retirement Scheme (PRS) Consultant**

*New Registration / Exemption*

*New Registration / Exemption*

*Former UTS Consultant / Vary Registration*

*Former PRS Consultant / Vary Registration*

I, \_\_\_\_\_ [name of applicant] \_\_\_\_\_, bearing NRIC/passport no. \_\_\_\_\_

of \_\_\_\_\_ [latest correspondence address i.e. place of residence] \_\_\_\_\_

act as a \*UTS consultant and/or a \*PRS consultant for \_\_\_\_\_ [name of distributor] \_\_\_\_\_ (the principal) only; do solemnly and sincerely declare that:

1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points. **[Only applicable to former consultant or variation of registration].**
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
  - (a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
  - (b) require my attendance at any meeting, proceeding or hearing of FIMM;
  - (c) disclose and provide information, documents and records concerning me, including any action taken and sanction imposed against me, to the Securities Commission Malaysia (SC) and other authorities or bodies for regulatory purposes;
  - (d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
  - (e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken and sanctions imposed against me, if any; and
  - (f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
  - (a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
  - (b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
  - (c) provide all information and documents requested by FIMM for purposes of my registration;
  - (d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
  - (e) 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.

AND I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declarations Act 1960.

Subscribed and solemnly declared  
by the above named

\_\_\_\_\_ at

\_\_\_\_\_

in the state of \_\_\_\_\_

this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(month) (year)

\_\_\_\_\_  
Applicant's signature

Before me,

\_\_\_\_\_  
Commissioner for Oaths

\* Please strike off whichever not applicable

## SCHEDULE C – Appendix 4B

### STATUTORY DECLARATION FOR RENEWAL OF REGISTRATION

Please tick (✓) whichever is applicable on the boxes provided

**Unit Trust Scheme (UTS) Consultant**  **Private Retirement Scheme (PRS) Consultant**

I, \_\_\_\_\_ [name of applicant], bearing NRIC/passport no. \_\_\_\_\_  
of \_\_\_\_\_ [latest correspondence address i.e. place of residence]

act as a \*UTS consultant and/or a \*PRS consultant for \_\_\_\_\_ [name of distributor] (the principal)  
only; do solemnly and sincerely declare that:

1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points for my renewal of registration with FIMM. **[Only applicable to UTS Consultant]**
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
  - (a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
  - (b) require my attendance at any meeting, proceeding or hearing of FIMM;
  - (c) disclose and provide information, documents and records concerning me, including any action taken and sanction imposed against me, to the Securities Commission Malaysia (SC) and other authorities or bodies for regulatory purposes;
  - (d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
  - (e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken and sanctions imposed against me, if any; and
  - (f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
  - (a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
  - (b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
  - (c) provide all information and documents requested by FIMM for purposes of my registration;
  - (d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
  - (e) 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.

AND I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declarations Act 1960.

Subscribed and solemnly declared  
by the above named

\_\_\_\_\_ at

\_\_\_\_\_

in the state of \_\_\_\_\_

this \_\_\_\_\_ day of \_\_\_\_\_,  
(month) (year)

\_\_\_\_\_  
Applicant's signature

Before me,

\_\_\_\_\_  
Commissioner for Oaths

\* Please strike off whichever not applicable

**SCHEDULE C – Appendix 5**

**[Letterhead of PRS Provider/IPRA/CPRA]**

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR PRIVATE RETIREMENT SCHEME EXAMINATION (PRS Examination)**

We wish to inform you that the person named below has applied for PRS Examination.

NO	NAME	NRIC
1		

Please find enclosed the following documents for your further action:

- Application Form
- Two Malaysia passport-sized colour photographs (name written at the back of the photographs)
- A copy of identity card (front and back) or passport
- A duly executed Statutory Declaration
- A certified true copy of the relevant certificate and qualification
- A certified true copy of the relevant CMSRL (if applicable)
- Batch No: \_\_\_\_\_
- Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

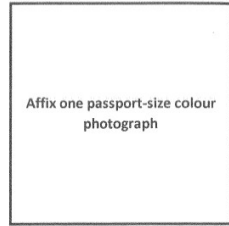
Thank you.

Yours faithfully

.....  
Signature

Name of Authorised Signatory:  
Designation:  
Date:

## SCHEDULE C – Appendix 6



**APPLICATION FOR REGISTRATION OF PRIVATE RETIREMENT SCHEME CONSULTANT ("PRC Consultant")**

(please complete this form in BLOCK letters and tick (✓) one where applicable)

Batch No:

**A. TYPE OF APPLICATION**

Computerized Private Retirement Scheme Examination (PRSE)  
*(please complete all Sections)*

**Note : Candidate is required to pass PRSE prior to registration as PRS Consultant unless exempted from PRSE**

Exemption for PRSE  
*(please complete all Sections except Section E & F)*

Category of Exemption  CEO  Director  Fund Manager  Financial Planner  
 Former PRS Consultant / Vary Registration

**B. PERSONAL PARTICULARS OF THE APPLICANT**

Name: (as in NRIC)

Identification No: (New)  -  -

Identification No: (Old)  -  -  Passport No.  *(for non-Malaysian)*

Date of Birth:  -  -  Sex:  Female  Male Race:   
*(please tick where applicable)*

Mailing Address:

Post Code  State

Tel: (Off/Handphone)  -  -  (House)  -

Email Address:

Highest Educational Qualification:  SPM  STPM  Diploma  Degree  Post-graduate  Others *(please specify)*  
*(please tick where applicable)*

**C. TYPES OF CONSULTANT**

Category of Consultant:  Agent  Employee (please complete Section D)

Apprenticeship Program:  Yes  No *(applicable for Corporate Private Retirement Scheme Adviser only)*

Name of PRP/IPRA/CPRA:

FIMM Distributor Code:

**D. PARTICULARS OF DEPARTMENT AND DISTRIBUTION POINT (For Employee only)**

Department:  Sales and Marketing  Training  Customer Service  Compliance  Others *(please specify)*

Distribution Point Code:

Distribution Point Name:

Address:

Post Code  State

**E. PARTICULARS OF COMPUTERIZED PRIVATE RETIREMENT SCHEME EXAMINATION**

First Time  Resit  
*Note: please provide date of last PRSE*

Language:  English  B Malaysia  Chinese

Examination Location & Examination Centre Code

<input type="checkbox"/> Alor Setar (ISYKDAS) <input type="checkbox"/> Ipoh (OLYMPRIIP) <input type="checkbox"/> Johor Bahru (IWORLDJHJB) <input type="checkbox"/> Klang Valley (ARCNPWL Room 1) <input type="checkbox"/> Klang Valley (ARCNPWL Room 2) <input type="checkbox"/> Klang Valley (ARCNPWL Room 3) <input type="checkbox"/> Kota Bahru (ARCNET A/CKB)	<input type="checkbox"/> Kota Kinabalu (I-SKILLSBKK) <input type="checkbox"/> Kuala Terengganu (TMTRKT) <input type="checkbox"/> Kuantan (KPTMPHKN) <input type="checkbox"/> Kuching (ACSWKH) <input type="checkbox"/> Melaka (STAMFMLK) <input type="checkbox"/> Miri (BCOMSWMR) <input type="checkbox"/> Penang (IWORLDPGBL)	<input type="checkbox"/> Petaling Jaya 3 (ARCNET A/C) <input type="checkbox"/> Petaling Jaya 2 (TESSRDSPJP) <input type="checkbox"/> Seremban (OUMNSSM) <input type="checkbox"/> Sibiu (ASIACOMSWSB) <input type="checkbox"/> Tawau (OUMSBTW)
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Effective Date DD/MM/YYYY

Session Time Code:  1 9.00am - 11.00am  2 12.00noon - 2.00pm  3 3.00pm - 5.00pm

<i>1st Preferred Examination Session:</i>	Examination:	<input type="text"/>	Examination Date:	<input type="text"/>	Session Time:	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3
	Centre Code:	<input type="text"/>						
<i>2nd Preferred Examination Session:</i>	Examination:	<input type="text"/>	Examination Date:	<input type="text"/>	Session Time:	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3
	Centre Code:	<input type="text"/>						
<i>3rd Preferred Examination Session:</i>	Examination:	<input type="text"/>	Examination Date:	<input type="text"/>	Session Time:	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3
	Centre Code:	<input type="text"/>						

**F. INFORMATION FOR PRSE VERIFICATION PURPOSES (Please refer to note no. 7 below)**

Father's Full Name:

**G. TERMS AND CONDITIONS**

**General**

**1. Submission of Applications**

The applicant must submit the completed application form accompanied with the pre-requisite documents to the PRP, IPRA or CPRA that the applicant is affiliated to.

**2. Variations**

If FIMM finds any discrepancy in the details provided by the applicant in this application form and the details provided by the PRP, IPRA or CPRA that the applicant is affiliated to in the I3 System, FIMM will treat the details submitted by the PRP, IPRA or CPRA as final. FIMM will not be responsible for any data error that could result in the applicant being rejected for the registration as PRS Consultants

**3. Payments**

Fees must be made payable to the PRP, IPRA or CPRA that the applicant is affiliated to.

Fees must **NOT** be made payable to FIMM.

Fees are non-refundable.

**For PRSE Only**

**1. Submission of Applications**

All application form must reach FIMM before the closing date of each PRSE session. FIMM will not accept any late entry. FIMM does not allow any applicant to make any alteration to examination entry after the closing date. FIMM may reject an applicant from sitting for the PRSE, if the applicant provides any false information or omit any information required for purposes of the PRSE.

**2. Examination Location**

The applicant is required to select the Examination Centre for any of the PRSE sessions in Section E of this application form. If the applicant fails to indicate the preferred Examination Centre in Section E, a location nearest to the mailing address on this application form will be selected on behalf by the PRP, IPRA or CPRA that the applicant is affiliated to.

**3. Examination Session**

The applicant is required to indicate three (3) preferred PRSE sessions in Section E of this application form. If the applicant fails to indicate the three (3) preferred PRSE sessions in Section E, three (3) preferred PRSE sessions will be selected on behalf by the PRP, IPRA or CPRA that the applicant is affiliated to.

**4. Examination Timetable**

The applicant is required to refer to the PRSE timetable for the dates of available PRSE sessions. For detailed information, please contact the person in charge of the PRP, IPRA or CPRA that the applicant is affiliated to.

**5. Examination Notification**

The applicant may obtain Candidate Examination Number from the PRP, IPRA or CPRA that the applicant is affiliated to.

**6. Postponement/Withdrawal of Examination**

The applicant is **NOT ALLOWED** to request for postponement of PRSE under any circumstances. If an applicant withdraws his/her application to sit for the PRSE or fails to present himself/herself for the PRSE, no full or part of the fee will be refunded.

**7. Information for PRSE Verification Purposes**

The applicant is required to provide father's full name in Section F of this application form for purposes of logging into the PRSE system during the PRSE sessions. Failure to log in the PRSE system due to data discrepancies, will lead to candidate concerned not being able to take the PRSE and therefore he/she will be treated as absent.

**8. Variations**

If FIMM finds any discrepancy in the details provided by the applicant in this application form and the details provided by the PRP, IPRA or CPRA that the applicant is affiliated to in the I3 System, FIMM will treat the details submitted by the PRP, IPRA or CPRA as final. FIMM will not be responsible for any data error that could result in the applicant being rejected to sit for the PRSE.

**H. APPLICANT'S DECLARATION**

1. I declare that the information provided in this application form is true, correct and complete and that I am bound by the rules and regulations regarding the PRSE set by FIMM.

2. Pursuant to the Personal Data Protection Act 2010, I confirm that I have read and understood FIMM's Personal Data Notice available on its website and I hereby consent for my personal data provided herein to be processed by FIMM for the purposes stated in the Personal Data Notice.

3. Pursuant to the Credit Reporting Agencies Act 2010, I hereby expressly consent and authorise FIMM to obtain and/or disclose any Credit Information relating to me from and/or to 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 registration with FIMM as PRS Consultant.

Applicant's signature

Date:  -  -

**I. FOR FIMM USE ONLY**

Remarks:	Date Processed for Examination:	FIMM No.:	Result: (please tick where applicable) <input type="checkbox"/> Passed <input type="checkbox"/> Failed <input type="checkbox"/> Absent
	Date Processed for Registration:	Date issued:	

**FORMAT : SUBMISSION OF PHOTOGRAPH**

**ABC INVESTMENT MANAGEMENT BERHAD**  
*(Company name)*

**PRS CONSULTANT**

<p>5.0cm</p> <p>Affix one passport size colour photograph and name written at back of the photo</p>	<p><b>Name</b> : _____</p> <p><b>(as per NRIC/passport)</b></p>
	<p><b>NRIC /</b> : _____</p> <p><b>Passport No</b></p>
<p>≤3.5 - 4.0≥ cm</p>	

**SCHEDULE C – Appendix 8**

**[Letterhead of PRS Provider/IPRA/CPRA]**

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR REGISTRATION OF FORMER PRS CONSULTANT / VARIATION OF REGISTRATION OF PRS CONSULTANT**

We wish to inform you that the former PRS Consultant(s) named below has applied to register with our company.

NO	NAME	NRIC
1		
2		

Please find enclosed the following documents for your further action:\*

- Application Form
- One photograph (name written at the back of the photograph)
- A duly executed Statutory Declaration
- Letter of Undertaking for Variation of Registration of PRS Consultant (only applicable for merger exercise);
- A certified true copy of CMSRL (if applicable);
- Batch No: \_\_\_\_\_
- Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need further clarification, you may call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

Signature  
Name of Authorised signatory:  
Designation:

**SCHEDULE C – Appendix 9**

**[Letterhead of PRS Provider/IPRA/CPRA]**

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6th Floor Wisma Tune  
19, Lorong Dungun  
Damansara Heights  
50490 Kuala Lumpur  
Malaysia

Dear Sir,

**LETTER OF UNDERTAKING FOR VARIATION OF REGISTRATION OF PRIVATE RETIREMENT SCHEME CONSULTANTS (“PRS CONSULTANT”) DUE TO MERGER AND ACQUISITION EXERCISE**

We are pleased to register the enclosed list of PRS Consultant with (insert the name of the Company). These Consultants were previously registered with (insert the name of the consultant's previous company).

I, \_\_\_\_\_, as the authorised representative acting on behalf of **(insert the name of the Company)**, hereby undertake that **(insert the name of the Company)** shall be responsible for accepting all the Statutory Declarations For Registration Of Consultant that were previously declared under **(insert the name of the consultant's previous company)** for the Consultant whose names are enclosed in the attached list.

Thank you.

Yours faithfully

Signature  
Name of Authorised signatory:  
Designation:



**SCHEDULE C – Appendix 10**

**Re: Confirmation of Asset Under Management as at 31 December 20XX**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-06-01, 6th Floor, Wisma Tune  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

**Company Name:** \_\_\_\_\_

---

---

Please send the completed slip to FIMM latest by **XX January 20XX**

---

---

We hereby declare that the below information of Assets Under Management (AUM) for **Private Retirement Schemes** as at 31 December 20XX are complete, true and accurate.

**Total Group A: RM** \_\_\_\_\_

**Total Group B: RM** \_\_\_\_\_

**Verified by Compliance Officer** : \_\_\_\_\_  
Name:  
Designation:  
Date:

**Confirmed by CEO / AR** : \_\_\_\_\_  
Name:  
Date:

**For FIMM use only**

**Processed by BR Dept:**

**Signature:**

Name:

Date:

**Checked by BR Dept:**

**Signature:**

Name:

Date:

**Checked by Finance Dept:**

**Signature:**

Name:

Date:



**SCHEDULE C – Appendix 11**

**Re: Confirmation of Total Gross Sales for the year ended 31 December 20XX**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-06-01, 6th Floor, Wisma Tune  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

**Company Name:** \_\_\_\_\_

---

---

Please send the completed slip to FIMM latest by **XX January 20XX**

---

---

We hereby declare that the below information of Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 20XX are complete, true and correct.

**Total Normal Load: RM** \_\_\_\_\_

**Total Low Load: RM** \_\_\_\_\_

**Total No Load: RM** \_\_\_\_\_

**Verified by Compliance Officer** : \_\_\_\_\_  
Name:  
Designation:  
Date:

**Confirmed by CEO / AR** : \_\_\_\_\_  
Name:  
Designation:  
Date:

**For FIMM use only**

**Processed by BR Dept:**

**Signature:**

Name:

Date:

**Checked by BR Dept:**

**Signature:**

Name:

Date:

**Checked by Finance Dept:**

**Signature:**

Name:

Date:



## SCHEDULE C – Appendix 12

### [Letterhead of PRS Provider/IPRA/CPRA]

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

#### APPLICATION FOR EXEMPTION FROM PRIVATE RETIREMENT SCHEME EXAMINATION

We wish to inform you that the person named below has applied to be exempted from the requirement to sit for PRS Examination.

NO	NAME	NRIC
1		

Please find enclosed the following documents for your further action:\*

- Application Form
- Two colour photographs (name written at the back of the photographs)
- A copy of identity card (front and back) or passport
- A duly executed Statutory Declaration
- Evidence of approval by the Securities Commission / relevant authority for the appointment of the Chief Executive of a PRS Provider, IPRA or CPRA
- Evidence of approval by the Securities Commission / relevant authority for the appointment of Director of a PRS Provider, IPRA or CPRA who has a minimum of 10 years' experience in unit trust or private retirement scheme or fund management industry
- Resume or curriculum vitae with details describing the director's scope of work and specific job description
- A certified true copy of CMSRL for fund management (if applicable)
- A certified true copy of certificate for certified holder of CFP/IFP/RFP/Shariah RFP/ChFC (if applicable)
- Evidence of result slip that indicates the candidates have passed the required modules of the relevant financial qualification (if applicable)

Batch No: \_\_\_\_\_

Cheque No. \_\_\_\_\_ amounting to RM \_\_\_\_\_

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

.....  
Signature  
Name of Authorised Signatory:  
Designation:

*\* Please tick whichever is applicable and state "N/A" if inapplicable*

LETTER OF UNDERTAKING BY PRS PROVIDER/IPRA/CPRA

Date:

Chief Executive Officer  
FIMM

Dear Sir,

**Name of PRS Provider IPRA/CPRA:  
Declaration**

We, \_\_\_\_\_ (name of PRS Provider/IPRA/CPRA), are seeking an extension of time for the following:

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

- 2. We hereby confirm that after having made all reasonable inquiries, and to the best of our knowledge and belief, there is no false or misleading statement contained in, or material omission from the information which is provided to FIMM in relation to this application.
- 3. We declare that, except for the matter mentioned in the first paragraph above, we are in full compliance with the following:
  - (i) FIMM Rules;
  - (ii) Registration Manual for Private Retirement Scheme Distributors and Consultants;
  - (iii) System Manual issued by FIMM in respect of the online registration system maintained by FIMM;and
  - (iv) Other relevant requirements imposed by FIMM.
- 4. We declare that we will ensure continuous compliance with the requirements and conditions imposed by FIMM.
- 5. We undertake to ensure that our officers, distributors (if applicable) and consultants (if applicable) meet the requirements and conditions imposed by FIMM.
- 6. We further undertake to provide our full assistance in furnishing such information and all supporting or relevant documents as requested by FIMM.

Yours faithfully,

.....  
Signature  
AR:  
Designation:  
Date:

**SCHEDULE C– Appendix 14**

**[Letterhead of PRS Provider/IPRA/CPRA]**

Date

Head  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**APPLICATION FOR REPLACEMENT OF FIMM AUTHORISATION CARD(S) / PRS EXAMINATION CERTIFICATE(S)**

We refer to the abovementioned and wish to inform that the PRS Consultant listed below would like to replace the FIMM authorisation card / PRS Examination certificates\*:

NO	NAME	NRIC	FIMM NO	CERTIFICATE	REMARKS (with photo/without photo)
1					
2					

We hereby enclose the following documents for your processing\*\*:

- One (1) passport sized colour photograph with the full name of the PRS Consultant written clearly at the back of the photograph (for replacement of FIMM authorisation card only)
- (Bank name) cheques no XXXXXX for RM00.00 being the fee for replacement of FIMM authorisation card/PRS Examination certificate.

Should you need any further clarification, please call **(the name of person in charge)** at **(contact no)**.

Thank you.

Yours faithfully

.....  
Signature

Name of Authorised Signatory:  
Designation:

\* Please delete whichever is inapplicable  
\*\* Please tick whichever is applicable and state "N/A" if not applicable





**FEDERATION OF INVESTMENT MANAGERS MALAYSIA (272577-P)**

19-06-1, 6th Floor, Wisma Tune, No. 19, Lorong Dungun,  
 Damansara Heights, 50490 Kuala Lumpur.  
 Tel : 03-2093 2600 Fax : 03 -2093 2700  
 Website : www.fimm.com.my E-mail : [info@fimm.com.my](mailto:info@fimm.com.my)

**NOTIFICATION FOR WITHDRAWAL OF REGISTRATION OR CESSATION OF OPERATIONS OF  
 UNIT TRUST MANAGEMENT COMPANY / INSTITUTIONAL UTS ADVISER / CORPORATE UTS  
 ADVISER / PRS PROVIDER / INSTITUTIONAL PRS ADVISER / CORPORATE PRS ADVISER**

**1. TYPE OF REGISTRATION WITH FIMM**

<input type="checkbox"/> Unit Trust Management Company (UTMC)	<input type="checkbox"/> PRS Provider
<input type="checkbox"/> Institutional UTS Adviser (IUTA)	<input type="checkbox"/> Institutional PRS Adviser (IPRA)
<input type="checkbox"/> Corporate UTS Adviser (CUTA)	<input type="checkbox"/> Corporate PRS Adviser (CPRA)

**2. COMPANY DETAILS**

NAME OF COMPANY: \_\_\_\_\_

REGISTRATION NO: \_\_\_\_\_ DATE OF INCORPORATION: \_\_\_\_\_

REGISTERED ADDRESS : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

POSTCODE: \_\_\_\_\_

CORRESPONDENCE ADDRESS: \_\_\_\_\_

\_\_\_\_\_

POSTCODE: \_\_\_\_\_

LIAISON OFFICER: \_\_\_\_\_ TEL. NO: \_\_\_\_\_

EMAIL: \_\_\_\_\_ FAX NO: \_\_\_\_\_

**3. WITHDRAWAL OR CESSATION DETAILS**

Reasons of withdrawal or cessation please tick (/) whichever applicable.

Merger and acquisition

- i. Please indicate the name of the company involved in the merger and acquisition.

\_\_\_\_\_

ii. Legal Day One (1): \_\_\_\_\_

iii. Cessation Date: \_\_\_\_\_

Withdraw of registration or cessation of operations in marketing and distribution of unit trust schemes or retirement schemes.

i. Withdrawal / Cessation Date: \_\_\_\_\_

Others (please specify): \_\_\_\_\_

#### 4. DOCUMENT CHECKLIST

Notification letter to FIMM including the following information:-

- i. To indicate the registration of Unit Trust Scheme Consultants/Private Retirement Scheme Consultants have been terminated.
- ii. Existing investors have been informed of alternatives available to them if they wish to deal with their unit trust schemes / private retirement schemes including redemption/withdrawal, transfer and switching.
- iii. Provision for termination under the distribution arrangement with UTMC/IUTA/PRS Provider/IPRA has been fulfilled

Court Vesting Order (for merger and acquisition only)

A copy of Form 13 (for merger and acquisition only)

A copy of Form 18 from Securities Commission (for CMSL Holder, if applicable)

Others (Please specify): \_\_\_\_\_

#### 5. DECLARATION

We confirm that all the information given above and the attached documents (if any) are true and correct pursuant to FIMM Rules.

We further acknowledge that we are fully aware of the said FIMM Rules and agree to comply with the same.

Name of Authorised Signatory: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Please affixed rubber stamp / company seal

[Letterhead of PRS Provider/IPRA/CPRA]

Date:

Head,  
Business Registration Department  
Federation of Investment Managers Malaysia  
19-06-1, 6<sup>th</sup> Floor, Wisma Tune  
19 Lorong Dungun  
50490 Damansara Heights  
Kuala Lumpur

Dear Sir

**RESIGNATION /TERMINATION OF PRIVATE RETIREMENT SCHEME CONSULTANT(S)**

We wish to inform you that **XXX** of our PRS Consultant's has been resigned / terminated.

Please find enclosed the list of PRS Consultant for your further action.

Should you need any further clarification, please call (**the name of person in charge**) at (**contact no**).

Thank you.

Yours faithfully

.....  
Signature

Name of Authorised Signatory:  
Designation:  
Date:

**SCHEDULE C – Appendix 17**



**FEDERATION OF INVESTMENT MANAGERS MALAYSIA (272577-P)**

19-06-1, 6th Floor, Wisma Tune,  
No. 19, Lorong Dungun, Damansara Heights,  
50490 Kuala Lumpur.  
Tel : 03-2093 2600 Fax : 03 -2093 2700  
Website [www.fimm.com.my](http://www.fimm.com.my)  
E-mail: [info@fimm.com.my](mailto:info@fimm.com.my)

**NOTIFICATION ON MARKETING AND DISTRIBUTION OF UNIT TRUST SCHEMES (UTS) / PRIVATE RETIREMENT SCHEMES (PRS) / FOREIGN FUNDS**

Please print in **BLOCK LETTERS**.

**1. CATEGORY OF APPLICANT**

Please choose one (1) category only.

**Institutional UTS Adviser (IUTA)**

**Institutional PRS Adviser (CUTA)**

**Corporate UTS Adviser (CUTA)**

**Corporate PRS Adviser (CPRA)**

**2. NOTIFICATION DETAILS**

(a) Is this the first notification of UTS/PRS/foreign fund(s)\* submitted by your company?

*(Kindly (✓) where applicable)*

YES

NO

If YES, please confirm on items (i), (ii) and (iii), if NO, please proceed to item (b) below:

- (i) Registration of minimum two (2) UTS Consultants/PRS Consultants\* at each Distribution Point/Mobile Distribution Point(s) is completed.
- (ii) Your company has at least one (1) Distribution Point/Mobile Distribution Point. Please provide the particulars of each Distribution Point/Mobile Distribution Point with the respective appointed UTS Consultants/PRS Consultants.
- (iii) You have entered distribution arrangement with the Unit Trust Management Company (UTMC) / IUTA/ PRS Provider/IPRA/Operator\*.

The effective date of commencement of operations is on \_\_\_\_\_

(b) Please provide the name(s) of the UTS/PRS/foreign fund(s)\* and the intended date of distribution which your company will be marketing and distributing on behalf of the UTMC/IUTA/PRS Provider/IPRA/Operator\*. If the space in this form is insufficient, kindly use separate annexure.

Name of UTMC / IUTA / PRS Provider / IPRA / Operator	Name of Fund	Related Party (I)	Third Party (I)	Retail / Wholesale	Date of Distribution

**3. DOCUMENT CHECKLIST [Please tick (✓) where applicable]**

Please furnish FIMM with the following documents.

- Cover Letter.
- Notification Form on Marketing and Distribution of UTS / PRS / foreign fund(s).
- A Certified True Copy of relevant pages of the distribution arrangement which include the following information:
  - (v) The date of the arrangement
  - (vi) Parties to the distribution arrangement
  - (vii) The list of UTS / PRS / foreign fund(s)\* for distribution
  - (viii) Execution page
- A Certified True Copy of an appointment letter / supplemental arrangement for subsequent UTS / PRS / foreign fund(s)\* for distribution. (if applicable)
- A copy of the consent letter from the UTMC / PRS Provider / Operator\* to allow for sub-distribution arrangement. (if applicable)

**4. DECLARATION**

We confirm that all the information given above and the attached documents (if any) is true and correct and will form the basis of our notification of UTS/PRS/foreign fund(s)\* pursuant to FIMM Rules.

We further acknowledge that we are fully aware of the said Rules and agree to comply with the same.

Name of company: \_\_\_\_\_

Name of authorised signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Please affixed rubber stamp / company seal

Note: \*strike off which ever not applicable

**SCHEDULE C – Appendix 18**

**NOTIFICATION OF NEW FUND LAUNCH**

To : Head, Industry Services Division  
 Federation of Investment Managers Malaysia  
 19-06-1, 6th Floor, Wisma Tune, No. 19, Lorong Dungun, Damansara Heights, 50490 Kuala Lumpur

Upon completion, please deliver the form and its enclosures to FIMM as least **three (3) business days** before the date of the fund launch.

Following please details for our new fund(s):

Fund Name	Financial year –end (dd/mm)	Initial offer price (RM)	Launch date (dd/mm/yyyy)

*(Please print under separate cover if the space provided is not sufficient.)*

Together with this form please find attached the following pertaining to the fund(s) (please tick where applicable):

- Copy of approval letter from the SC//Fund Lodgement Summary form the SC’s LOLA Online Submission System for new fund.
- Two (2) sets of Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document (in the same form as distributed to potential investors)\*.
- Key Data section of the Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document duly registered with the SC\*.
- For funds approval under the ASEAN CIS, a copy of approval letter from the SC for the appointment of the company as Local Representative.

\* *In the event that the printed Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document are not available at the point of notification, Company may provide copy of the key data section of the Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document duly registered with the SC. The printed Prospectus/Information Memorandum/Product Highlight Sheet/Disclosure Document must subsequently reach FIMM within a week after the launch of the fund.*

From:

Name of company:	
Name and designation of the person responsible for the submission:	
Tel:	Fax:
Date:	Signature:

SCHEDULE D – Appendix 1

APPLICATION AND ANNUAL FEES - PRS PROVIDER, IPRA, CPRA AND PRS CONSULTANT

PRS PROVIDER, IPRA AND CPRA							
A. New Registration							
No.	Registration (Single / Combination)	Application Fee (RM)	GST of 6% (RM)	Amount including GST (RM)	Annual Fee (RM)	GST of 6% (RM)	Amount including GST (RM)
1.	PRS Provider	5,000	300	5,300	10,000	600	10,600
2.	IPRA	1,250	75	1,325	10,000	600	10,600
3.	CPRA (related to a financial institution)	10,000	600	10,600	20,000	1,200	21,200
4.	CPRA (not related to a financial institution)	2,000	120	2,120	500	30	530
5.	PRS Provider and IPRA (multiple registration in a single application)	5,000 + 1,250	300 + 75	5,300 + 1,325	PRS Provider <u>r</u> 10,000 IPRA Waived	PRS Provider <u>r</u> 600 IPRA Waived	PRS Provider <u>r</u> 10,600 IPRA Waived
B. New Registration with Existing Registration							
No.	Existing Registration	New Registration	Application Fee (RM)	GST of 6% (RM)	Amount including GST (RM)	Annual Fee (RM)	
1.	PRS Provider	IPRA	1,250	75	1,325	Waived	

PRR Consultant				
Type of Fees	Amount (RM)	GST of 6% (RM)	Amount including GST (RM)	
*PRR Examination Fee (First time and resit) (Refer to Note 3)	January-March	170.00	10.20	180.20
	April-June	157.50	9.45	166.95
	July-September	145.00	8.70	153.70
	October-December	132.50	7.95	140.45
**Registration of Former PRR Consultant Fee (Refer to Note 3)	January-March	73.00	4.40	77.40
	April-June	60.50	3.63	64.13
	July-September	48.00	2.88	50.88
	October-December	35.50	2.13	37.63
Annual Fee  (To include card fee of RM3 per PRR Consultant if applicable)	50.00  (53.00 Incl. Card Fees)	3.00  (3.20 Incl. Card Fees)	53.00  (56.20 Incl. Card Fees)	
**Exemption Fee (in respect of individuals exempted from having to sit for the PRR Examination) (Refer to Note 3)	January-March	73.00	4.40	77.40
	April-June	60.50	3.63	64.13
	July-September	48.00	2.88	50.88
	October-December	35.50	2.13	37.63
Replacement or correction of FIMM Authorisation Card	6.00	0.40	6.40	
Replacement or correction of certificate issued by FIMM relating to PRR Examination	6.00	0.40	6.40	
PRR Study Manual	10.00	0.60	10.60	
Appeal Fee	20.00	1.20	21.20	

Note 1: Effective 1 April 2015. The total amount including GST will be rounded up or down based on Bank Negara Malaysia Rounding Mechanism.

Note 2: Not applicable to consultants who have paid the annual fee at the point of renewal.

Note 3: Pro-rating of annual fee for registration of new PRR Consultants on a quarterly basis will be implemented for a period of three years only which will be ended on 31 December 2018.

\*: PRR examination registration fees payable to FIMM will be varied depending on the month of PRR Examination date.

\*\* : Registration of Former PRR Consultant Fee and Exemption fee payable to FIMM will be varied depending on the month of submission of registration for Former PRR Consultant and exemption.



#### **CONDITIONS RELATING TO PAYMENT OF FEES - PRS PROVIDER, IPRA and CPRA:**

1. Unless otherwise provided in the Rules or determined by FIMM, the application fees are paid pursuant to **Schedule D Appendix 1** are non-refundable except in relation to annual fee in the event an application for registration of PRS Provider, IPRA or CPRA is returned or rejected.
2. All payments must be made via cheque or bank draft payable to “Federation of Investment Managers Malaysia”.
3. The first annual fee shall be payable by an applicant prior to its registration, which is refundable as stated in paragraph 1 above. The subsequent annual fee shall become due and payable in advance on or before 31 January of each and every calendar year following the year of registration.
4. FIMM may reserve the right to revise the fees from time to time.

#### **CONDITIONS RELATING TO PAYMENT OF FEES - PRS CONSULTANT:**

1. Unless otherwise provided in the Rules or determined by FIMM, all fees are paid pursuant to **Schedule D Appendix 1** are non-refundable in the event an application for registration as PRS Consultant is returned or rejected.
2. A prepayment account will be auto-activated for the respective PRS Distributors when the PRS Distributors first login to the System. For the purposes of submission of applications for registration of PRS Consultant, the PRS Distributors must credit a sum of money as advanced payment, which can be utilized for any payments to be made to FIMM in relation to the registration of PRS Consultants.
3. PRS Distributor must observe the following Terms and Conditions that outline the requirements for opening and maintaining the prepayment account:
  - a) Upon registration, all prepayment accounts must be registered under a Business or Entity name. Only One (1) account number will be assigned to each business or entity name. Multiple accounts are prohibited under the same entity.
  - b) An initial activation amount of RM500 that is made payable to FIMM via cheque or bank draft is required to open the account. Thereafter, there will be no minimum amount of top-up required to maintain the account.
  - c) Should a business or entity wishes to deactivate its account, such request must submit to FIMM, in writing by stating the date of which the account shall be closed. The later must be signed by an authorised officer. All subsequent transactions made to the account is prohibited on the day the account is closed. The remaining balance will be refunded to the registered business or entity within 30 days after the deactivation of account.
  - d) Refund will only be given upon deactivation of the account. No partial refund is allowed for the prepayment accounts.

## Prepayment Activities and Descriptions

Activity	Description
Top up of Prepayment Account	<p><u>Payment &gt; Prepayment Maintenance &gt; Open</u></p> <p>The following information are required to be filled in:-</p> <ul style="list-style-type: none"> <li>(i) Top-up amount</li> <li>(ii) Payment method – by cheque</li> <li>(iii) Cheque no.</li> <li>(iv) Issuing Bank</li> </ul> <ol style="list-style-type: none"> <li>1. Mode of payment for prepayment account top-up currently available for PRS Distributors are via cheque or bank draft that is made payable to <b>“FEDERATION OF INVESTMENT MANAGERS MALAYSIA”</b>.</li> <li>2. PRS Distributors are required to indicate their Company name and contact number at the back of the cheque. Upon receiving a complete cheque, the top-up amount will be credited into their prepayment account.</li> </ol> <p>Transaction period : T+1 working day</p>
Payment for Registration of PRS Consultant	<p>All payments pertaining to the registration of PRS Consultant will be deducted from the prepayment account. In the event of insufficient balance, system will automatically inhibit the transaction from processing.</p> <p>Transaction period : Immediate</p>
Rejection of transactions	<p>All rejected transactions by FIMM will not be refunded or credited into the prepayment account.</p>

**ANNUAL FEE**

**A) PRS Provider**

The Annual Fee for PRS Provider is calculated as follows:

Group No.	Existing Membership/ Registration	Types Of New Registration with FIMM or Combination of Registration with FIMM	Annual Fee
1	No existing membership/ registration	PRS Provider	<ul style="list-style-type: none"> <li>• AUM Factor (PRS) + PRS Consultant Factor</li> <li>• Minimum Fee of RM10,000</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
2	UTMC	PRS Provider	<ul style="list-style-type: none"> <li>• AUM factor (unit trust funds &amp; wholesale funds &amp; private retirement schemes) + UTS Consultant+ PRS Consultant factor</li> <li>• Minimum Fee of RM10,000</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>

\* All fees quoted above are subjected to GST of 6%.

The Asset under Management (AUM) is classified into 2 fund groups (Group A and Group B) as follows:

Groups	Particular
Group A	Include fixed-income or bond funds, money market funds, capital guaranteed / protected funds and other funds. As a general guide, these funds do not charge an annual management fee (including profit sharing) of more than 1%
Group B	Include funds that are not classified under Group A such as equity funds and mixed-asset funds.

AUM factor is a total of = (Levy factor of Group A xAUM) + (Levy factor of Group B xAUM)

The Levy factor is set out below:

AUM	Levy factor (per RM1 mil)	
	Group (A) RM	Group (B) RM
First RM 50 mil	20.00	80.00
Next RM 100 mil	13.33	53.33
Next RM 500 mil	8.89	35.56
Next RM 1,000 mil	5.92	23.70
Next RM 2,000 mil	3.95	15.80
Thereafter	2.63	10.53

Note:

- a) PRS Providers that are not UTMC are required to pay Annual Fee. Determination of Annual Fee will be based on AUM of the PRS. If the AUM is less than RM50 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.
- b) PRS Providers that are UTMC are required to pay AMSF. Determination of AMSF will be based on AUM of PRS calculated with the AUM of UTS and wholesale funds (if any). If the AUM is less than RM50 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.

## B) IPRA

The Annual Fee for IPRA is calculated as follows:

Group No.	Existing Registration	Types Of New Registration with FIMM or Combination of Registration with FIMM	Annual Fee
1	No Existing Registration	IPRA	<ul style="list-style-type: none"> <li>• Total Gross Sales factor (private retirement schemes) + PRS Consultant factor</li> <li>• Minimum Fee of RM10,000 (for sales less than RM250 million)</li> <li>• Maximum Fee of RM80,000 (for sales more than RM2,000 million)</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>

2.	PRS Provider	IPRA	<u>PRS Provider</u> <ul style="list-style-type: none"> <li>• AUM Factor (PRS) + PRS Consultant Factor</li> <li>• Minimum Fee of RM10,000</li> <li>• PRS Consultant Factor: RM50 per PRS Consultant</li> </ul> <u>IPRA</u> Waived
3.	UTMC	IPRA	<u>UTMC</u> <ul style="list-style-type: none"> <li>• AUM factor (unit trust funds &amp; wholesale funds) + UTS Consultant factor</li> <li>• Minimum Fee of RM10,000</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> </ul> <u>IPRA</u> <ul style="list-style-type: none"> <li>• Total Gross Sales factor (private retirement schemes) + PRS Consultant factor</li> <li>• Minimum Fee of RM10,000 (for sales less than RM250 million)</li> <li>• Maximum Fee of RM80,000 (for sales more than RM2,000 million)</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
4.	IUTA	IPRA	<ul style="list-style-type: none"> <li>• Total Gross Sales factor (unit trust funds &amp; wholesale funds &amp; private retirement schemes) + UTS Consultant factor + PRS Consultant factor</li> <li>• Minimum Fee of RM10,000 (for sales less than RM250 million)</li> <li>• Maximum Fee of RM80,000 (for sales more than RM2,000 million)</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
5.	UTMC & IUTA	IPRA	<u>UTMC</u> <ul style="list-style-type: none"> <li>• AUM factor (unit trust funds &amp; wholesale funds) + UTS Consultant factor</li> <li>• Minimum Fee of RM10,000</li> <li>• UTS Consultant factor: RM50 per UTS</li> </ul>

			<p>Consultant + card fee of RM3 per UTS Consultant</p> <p><u>IUTA</u> Waived</p> <p><u>IPRA</u></p> <ul style="list-style-type: none"> <li>• Total Gross Sales factor (private retirement schemes) + PRS Consultant factor</li> <li>• Minimum Fee of RM10,000 (for sales less than RM250 million)</li> <li>• Maximum Fee of RM80,000 (for sales more than RM2,000 million)</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
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The Total Gross Sales factor is subject to the following levy factor:

Total Annual Sales	Annual Fee (RM) (subject to GST of 6%)
A. sales < 250 mil	10,000
RM 250 mil ≤ A. sales < RM 500 mil	20,000
RM 500 mil ≤ A. sales < RM 1,000 mil	40,000
RM 1,000 mil ≤ A. sales < RM 2,000 mil	60,000
RM 2,000 mil and above	80,000

The Total Gross Sales factor is subject to the following fund groupings:

Fund Category	Particular	Levy factor
Normal Load Funds	Include normal-load funds that are charging maximum front-end and/or back-end charges of 3% and above, such as equity funds and mixed asset funds	100%
Low Load Funds	Include low-load funds that are charging maximum front-end and/or back-end charges of less than 3% such as fixed income or bond funds and capital guaranteed/protected funds	25%
No-load Funds	Include no-load funds such as money market funds and other funds that are not imposing any front-end and/or back-end charges	0%

Note:

- a) IPRA's with no existing registration with FIMM are required to pay Annual Fee. Determination of Annual Fee will be based on annual gross sales of the PRS. If the total annual gross sales is less than RM250 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.
- b) IPRA's that are PRS Provider are required to pay Annual Fee. Determination of Annual Fee will be based on AUM of PRS. If the AUM is less than RM50 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.
- c) IPRA's that are UTMC are required to pay AMSF and Annual Fee. Determination of AMSF will be based on AUM of UTS and wholesale funds (if any). If the AUM is less than RM50 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply. Determination of Annual Fee will be based on annual gross sales of the PRS. If the total annual gross sales is less than RM250 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.
- d) IPRA's that are IUTA are required to pay Annual Fee. Determination of Annual Fee will be based on annual gross sales of PRS, unit trust funds and wholesale funds (if any). If the total annual gross sales is less than RM250 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.
- e) IPRA's that are UTMC and IUTA are required to pay AMSF and Annual Fee. Determination of AMSF will be based on AUM of UTS and wholesale funds (if any). If the AUM is less than RM50 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply. Determination of the Annual Fee will be based on annual gross sales of PRS. If the total annual gross sales is less than RM250 million, the minimum fees of RM10,000 (*subject to GST of 6%*) shall apply.

### C) CPRA

The Annual Fee for CPRA is calculated as follows:

No.	Existing Registration	Types Of New Registration with FIMM or Combination of Registration with FIMM	Annual Fee for CPRA
1.	No existing registration	CPRA – related to financial institution	<ul style="list-style-type: none"> <li>• RM20,000 + PRS Consultant factor</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>

No.	Existing Registration	Types Of New Registration with FIMM or Combination of Registration with FIMM	Annual Fee for CPRA
2.	CUTA - related to financial institution	CPRA - related to financial institution	<ul style="list-style-type: none"> <li>• RM20,000 + UTS Consultant factor + PRS Consultant factor</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
3.	No existing registration	CPRA – not related to financial institution	<ul style="list-style-type: none"> <li>• RM500 + PRS Consultant factor</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>
4.	CUTA - not related to financial institution	CPRA - not related to financial institution	<ul style="list-style-type: none"> <li>• RM500 + UTS Consultant factor + PRS Consultant factor</li> <li>• UTS Consultant factor: RM50 per UTS Consultant + card fee of RM3 per UTS Consultant</li> <li>• PRS Consultant factor: RM50 per PRS Consultant</li> </ul>

\* All fees quoted above are subjected to GST of 6%.