CIRCULAR



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То:	UTMC, IUTA, CUTA, PRS PROVIDER, IPRA AND CPRA					
Attn:	Authorised Representatives / Chief Executive Officers					

2018 FIMM SEMINARS: SECOND SERIES

General

We are pleased to announce the second series of 2018 FIMM Seminars (2018 FIMMSEM). The objective of the 2018 FIMMSEM is to provide Continuing Profesional Development (CPD) opportunity in the form of seminars to the Unit Trust Consultants and Private Retirement Scheme Consultants (collectively referred to as "Consultants") that are aimed at emhancing skills and knowledge of Consultants in the marketing and distribution of unit trusts and/or private retirement schemes.

The second series of 2018 FIMMSEM comprising nine (9) seminars will be held in Kuantan, Kota Kinabalu, Alor Setar, Penang, Ipoh, Kuala Lumpur and Kuching. The topics as well as speakers for the seminars are selected based on assessments as well as feedback received from previous seminars.

Details of the second series of 2018 FIMMSEM which include seminar schedule and speaker profile are enclosed as **Appendix 1**. We would like to take this opportunity to invite all Members and Distributors to enrol your Consultants for these seminars.

Awarding of CPD/ CPE Points

All participants who have fulfilled the seminar attendance requirements will be awarded eight (8) CPD points by FIMM.

Please note that eight (8) of the seminars are also accredited by Securities Industry Development Corporation (SIDC) for CPE purposes. Hence, holders of Capital Markets Services Representative's Licence (CMSRL) and Employees of Registered Persons (ERP) who attend the seminar will be accorded 5 or 10 CPE points, in addition to FIMM's eight (8) CPD points.

Details on the attendance requirements as well as other seminar policies and procedures are provided in the attached **Appendix 2**.

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Cont'd... Seminar Fee

Seminar fee is RM80.00 per participant for active Consultants or RM250.00 per participant for inactive Consultants or public. Each seminar package includes two tea breaks, one lunch and certificate of attendance.

For every five (5) active Consultants registered for the seminar, the sixth Consultant from the same Member/Distributors groups attending to the same seminar will be free of charge.

Registration for Seminars

Consultants who are interested to attend any of the 2018 FIMMSEM must submit their registration via Members or Distributors. No direct registration from Consultants will be accepted.

Members and Distributors may register your Consultants for the seminar(s) by completing the Registration Form (**Appendix 3**) and return it to FIMM. Registration of interested individuals from the public will be handled directly by FIMM.

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

<u>Distribution of Seminars and Registration Details to Consultants</u>

Please be reminded that all Members and Distributors must ensure that all Consultants attached to your company are made aware of the 2018 FIMMSEM as well as other information that are pertinent to timely and successful registration for the seminars.

The schedule for the second series of 2018 FIMMSEM is available on FIMM Website (www.fimm.com.my).

We look forward to your continued support and participation in 2018 FIMMSEM.

Thank you.

Yours faithfully,

FEDERATION OF INVESTMENT MANAGERS MALAYSIA

MARYATI LEGORI

Acting Chief Executive Officer



Schedule for the Second Series of 2018 FIMM Seminars

No	Venue	Date/Time /Day	Closing Date	Speaker	Topic
1	Kuantan	5 September 2018 (Wed)	24 August 2018 (Fri)	Jagdeep Singh	Corporate Fraud: A Capital Markets Perspective To assess the scale and magnitude of the fraud problem, relate why it occurs, and recognize the risks to their unit trust investments stemming from investments made in companies that are fraudulent as well as fraudulent feeder funds. *SIDC CPE – approved: 10 CPE points
2	Kota Kinabalu	13 September 2018 (Thu)	30 August 2018 (Thu)	Ooi Kok Hwa	Managing Individual Investor Portfolios and Strategic Asset Allocation Upon completion, the participants are able to identify how to invest in diversify portfolio and look into the evaluation of portfolio theory, distinguish various forms of rates of returns, qualitifying risks and portfolio consutruction process. *SIDC CPE – approved: 10 CPE points



	Date/Time Closing				
No	Venue	/Day	Closing Date	Speaker	Topic
3	Alor Setar	26 September 2018 (Wed)	14 September 2018 (Fri)	Zairulnizad Shahrim	Islamic Equity Capital Market and Sukuk Upon completion, participants are able to identify and describe the components in Islamic capital market, difference between conventional and Islamic Capital market components in equity. *SIDC CPE – approved: 10 CPE points
4	Kuala Lumpur	3 October 2018 (Wed)	21 September 2018 (Fri)	Chrisanne Chin	Wealth Management on Advising High Net Worth Clients Upon completion, participants are able to define the importance of investment planning and portfolio, xxplore the opportunities and risks of the world's capital markets, advise investors to overcome their fear and emotions and to keep their portfolios on track. *SIDC CPE – approved: 10 CPE points
5	Penang	9 October 2018 (Tue)	28 September 2018 (Fri)	Ooi Kok Hwa	Understanding Psychology of Investing The behavioral finance is the latest trend in finance. Participants will be given an opportunity



		Vanue Date/Time Closing Constant				
No	Venue	/Day	Date	Speaker	Topic	
					to understand how psychology can drive movements in the price of financial assets. *SIDC CPE – approved: 5 CPE points	
				Muhammad Fua'ad Abdul Rahman	Roadmap to Success Acknowledge and anticipate the changes that are and will be happening in the business world and life. Acquire the Attitude, Skills and Knowledge that are required to become great service provider and team players in their chosen field.	
6	Ipoh	17 October 2018 (Wed)	5 October 2018 (Fri)	Farhan Lee Abdullah	Market Misconduct in the Capital Market Identify Market offences under Bursa Rules, the CMSA 2007 and unit trusts industry. Discuss the need for compliance to prevent any conflicts of interests. Relate to the need for a healthy and vibrant Capital Market and unit trust/PRS industry. *SIDC CPE – approved: 10 CPE points	



No	Venue	Date/Time	Closing	Smoother	Toolo
NO	venue	/Day	Date	Speaker	Topic
7	Kuching	24 October 2018 (Wed)	12 October 2018 (Fri)	Jagdeep Singh	Economic Rebalancing & The Changing Global Financial Landscape
					Upon completion, participants able to recognize that we are in an era of permanently lower economic growth, and assess how this has affected and continues to affect returns on investments such as unit trust and equities going forward. *SIDC CPE – approved: 10 CPE points
8	Kota Kinabalu	13	2	Dr. Ch'ng	Brilliant Investment
		November 2018	November 2018	Huck Khoon	Strategies in Current Economic Climate
		(Tue)	(Fri)		Upon completion, participants able to relate market and economic cycles to investment performance, discuss the latest economic outlooks for Asia Pacific Markets and explain how country risk and sovereign risk affect the risk-return characteristics of an investment portfolio. *SIDC CPE – approved: 10 CPE points



No	Venue	Date/Time /Day	Closing Date	Speaker	Topic
9	Kuala Lumpur	15 November 2018 (Wed)	2 November 2018 (Fri)	Perthpal Singh Khosa	Interaction- Challenging the Process in Changing Times Interaction is designed as a success enhancer for any personnel who is preparing to face these challenges and overcome these issues to get motivated, stay motivated, challenge the process, think outside the box and surpass targets

Notes:

- All programmes are full-day programmes. Each programme will start at 9.00am and end at 5.00pm.
 FIMM reserves the right to change any venue, date, speaker or topic where necessary.
 SIDC CPE approved seminar are subject to SIDC's Secretariat course approval





SPEAKERS' PROFILE

Mr. Jagdeep Singh

Jagdeep Singh is a Chartered Financial Analyst (CFA) charter holder, Financial Risk Manager (FRM) charter holder, and a member of the Association of Certified Anti Money Laundering Specialist (ACAMS) and the Association of Certified Fraud Examiners (ACFE). He has also been a member of the Chartered Institute of Management Accountants (CIMA).

He started his career in the Accounting firm of Coopers & Lybrand and was responsible for successfully managing numerous Receivership, Liquidation and Financial Consultancy projects. He is presently the Principal Consultant & General Manager of Nature of Life Trading Sdn Bhd in Kuala Lumpur.

Some of the organisations for whom he has conducted in-house trainings include PNB Investment Institute, MTDC, Hwang DBS Investment Bank, Public Bank, Kenanga Investment Bank, AM Bank, RHB investment Bank, Affin Investment Bank, ECM Libra Investment Bank, Innosabah Securities and Malacca Securities. In addition, he has also conducted numerous public programs with participants from various other Investment Banks, Stock and futures broking firms in Malaysia.

Mr. Ooi Kok Hwa

Mr. Ooi is the Managing Partner of MRR Consulting, dealing mainly with Business Appraisal, Investment and Financial Training. He is a Chartered Financial Analyst (CFA) charter holder and is also a licensed Investment Advisor by the Securities Commission of Malaysia. He is a member of Institute Business Appraiser (IBA), United State of America specializing in business appraisal for private limited companies.

As a licensed investment advisor, Mr. Ooi provides investment advisory services to clients, covering investments in Malaysia, Singapore, Hong Kong and US markets. Mr. Ooi is also actively involved in providing investment training, CFA Examination preparation courses and Continuing Professional Education (CPE) courses for fund managers, research analysts, remisiers, brokers and general public. He was lectured CFA Programs in Penang, Kuala Lumpur, Singapore, Brunei and Vietnam.

Mr. Ooi is regularly featured in the local media. He is the investment columnist for the Star Business (the Malaysian main English business newspaper), Sin Chew Yit Poh (the Malaysian main Chinese newspaper) and Pulses Magazine (published by Singapore Stock Exchange - SGX). He has been invited as a guest speaker for NTV7, a local TV channel as well as BFM, a business radio channel, in Malaysia.

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Mr Zairulnizad Shahrim

Zairulnizad Shahrim is the Vice President/Executive Director, Islamic Investment Solutions of AmIslamic Funds Management Sdn Bhd. As an Islamic product specialist for the organization, he has over 16 years of experience in the Islamic capital market, Islamic financial services and Islamic fund management industry. He specializes in Islamic capital market activities and his expertise includes all areas of Islamic finance and investment from origination to structuring, covering Islamic debt, equity instruments and fund management.

He gained most of his experiences in Islamic finance & investment and Islamic capital market during his time at the Securities Commission (SC), Islamic Investment bank of AmInvestment Bank and Hong Leong Islamic Bank Berhad (HLIB).

He has been involved in extensive number of Islamic syndications and capital markets transactions which includes Sukuk (Islamic securities), private equity funds, unit trust funds, derivatives and structured products issued by corporates, Government as well as GLCs. He also responsible for the non-ringgit Islamic cross-border and international Islamic finance and Investment initiatives under the International Currency Business Unit (ICBU) for the Bank.

He is also a regular presenter and participates from time to time in various industry initiatives in relation to Islamic capital market and Islamic finance and investment industry organized by Securities Commission (SC), Bank Negara Malaysia and also various related industry associations. Zairulnizad graduated from University of Nottingham, United Kingdom with a Masters in Finance and Investment. He is also a British Council Chevening Scholar and also a recipient of the Securities Commission (SC) Scholarship Award.

Ms Chrisanne Chin

Ms Chrisanne Chin is qualified as Chartered Financial Analyst (CFA) charter holder, and holds a Master's in Business Administration ("MBA") from the University of Bath, UK. She was also awarded the Bank Negara (Central Bank) Gold Medal for being the top student in the Diploma of Management, Malaysian Institute of Management.

She is a Capital Markets Consultant-cum-Entrepreneur in Corporate Strategy and Investment Education specializing in the Capital Markets Industry. She runs a thriving consultancy practice and her clients include Bursa Malaysia Bhd, banks, publishing companies and web-based businesses. She was called upon to provide advisory to the SIDC on capital markets training and development on a national and regional scale.





and regional scale.

She was previously the Director of Equities of ECM Libra Bhd and Executive Director and Head of Dealing at RHB Securities Sdn Bhd, a leading Malaysian stock brokerage, with total of 15 years in investment banking, equity stock brokerage and equity research experience. She won many regional research awards (Euromoney, Asiamoney and Reuters) for her equity research on logistics as well as small capitalized stocks.

Ms Chrisanne Chin is a good communicator and brings her practitioner experience to enhance learning and add value in the classroom. She is the finance faculty head and senior lecturer at MIM-INTI Business School. Her students have consistently given her the Best Lecturer Award for 2 consecutive years in 2006/7. She lectures at all three levels of the Chartered Financial Analyst Program on ethics, quantitative methods, fixed income, risk management and portfolio management.

Ms Chrisanne Chin also lectures for the RMIT Master of Finance and Master of Business Administration teaching entrepreneurship, money markets, bonds, structured products and strategic finance and planning. She is also a thesis supervisor for the University of Maastricht MBA Program on Islamic Finance and Entrepreneurship. She is very much involved in developing and providing continuing professional education primarily for capital market practitioners. She is also an accredited trainer for IBBM/Bank Negara for the Bond Market Trading IPPC project 2012-2019.

Mr. Muhammad Fua'ad Abdul Rahman

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

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

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Mr. Farhan Lee Abdullah

Mr. Farhan graduated in Political Economics from Canada before reading Law in UK. After a 12 year stint in corporate litigation, he joined the financial industry. He has taught part time at University Malaya and UTAR.

Since 2001, Mr. Farhan has been conducting in-house training for the financial industry at PNBi, ITI programme at SIDC, EPF and various financial institutions. In addition, he shares his experiences with the Securities Commission's Prep Course examinations and other Securities Commission projects eg. GRP, ICMGTS, FP ERP, and FP RRS.

Dr. Ch'ng Huck Khoon

Dr. Ch'ng Huck Khoon, holds a PhD in Finance from the Universiti Sains Malaysia (USM) and; an MBA (Finance) from the University of Stirling (UK). He is an Associate Member of the Centre for Business and Management (CBM) University Tunku Abdul Rahman (UTAR), as well as an HRDF Certified Trainer and Academic Council and Examination Board for SDH Institute (Singapore).

Dr. Ch'ng is currently the Independent Non-Executive Director and Chairman of Audit Committee of YGL Convergence Berhad and AT Systematization Berhad. He also chairs the Risk Management Committee and Nomination Committee of CNI Holdings Berhad. The aforementioned companies are listed on Bursa Malaysia Securities Berhad.

Dr. Ch'ng is the author for "How to Select a Winning Stock", his main research interests are in investment and behavioral finance, and his research papers have not only been published in Malaysian journals, but also those in India and Australia. One of his research papers entitled 'How Many Securities Make a Diversified Portfolio: KLSE Stocks?', was selected as the winner of the Security Commission Capital Market Award 2000. He is also a columnist on CARI internet on stock market matters, and has been interviewed on finance-related topics by local media.

Previously, Dr. Ch'ng was an Assistant Professor at the Universiti Tunku Abdul Rahman (UTAR) and Wawasan Open University (WOU). He lectured on Financial Management, Financial Strategy, Money and Banking, Financial Planning and Corporate Strategy related modules. He was also a Capital Markets Services Representative License holder for over 15 years with A. A. Anthony Securities Sdn Bhd.





Thomas Chan Huan Wei

Thomas Chan graduated from University of Strathclyde, Glasgow with an honours degree in Marketing and Master's degree in Finance. He has more than 15 years of experience as a corporate facilitator, trainer and coach specializing in finance and investment. He has taught and trained more than 1,500 people over the years including many fund managers, analysts, senior managers and CEOs particularly from the Asset Management industry.

Currently, he is the AVP or the Head for Training and Financial Planning for Manulife Asset Management Sdn Bhd. He is a licensed financial planner (CMSRL holder) from Malaysia Securities Commission.

Thomas was a Former examiner for Module 1 of the Ceritfied Financial Planning (CFP) certification and facilitator for Module 1 and 3 of the CFP programme. He was appointed by Malaysian Securities Commission (SC) to be facilitator for module 6,7,9,10,12 and 14 of the Capital Market Securities Representative Licensing (CMSRL) programme. He is a Certified Financial Planner (CFD) holder.

Thomas has taught numerous MBA and other post graduate programmes on the subject of corporate finance and Investment. He was an Invited speaker on the topic of investment and wealth management by numerous MNCs and reputable banks like DBS and Maybank.

Mr. Perthpal Singh Khosa

Mr. Perthpal, the co-founder of Learning Edge Consultants, is an individual with a dynamic and versatile personality. He is a specialist in Leadership Skills, People Management, Training Methodology, Change Management and also Team Dynamics.

His in-depth knowledge and experience has taken him around the world where he has trained personnel of all levels and walks of life. He is a man who truly believes that people are assets of an organization and has devoted his life to developing this very important asset. His graduate and postgraduate qualifications in the fields of business and quality management have helped him analyze various management issues and assist clients in resolving them.

Perthpal is also a certified Neuro-Linguistics Programming (NLP) practitioner with the ability to creatively deliver the most up-to-date management thoughts in a succinct and simple manner. His extensive experience and ideas often challenge his learners' current knowledge and attitudes, exposing them to a wider range of





management thinking strategies.

He has worked with international communities while working for a German multinational organization based in Johor Bahru. As Head of Department of Celcom Academy, he was responsible for the realization of a unique and solid organizational training structure. His extensive involvement in the field of human resource development has given him the knowledge and hands-on experience to help fulfill his clients' requirements. His projects have also led him to address international business scenarios.

He has managed projects ranging from analyzing training requirements to strategic planning and company-wide change program for billiondollar worth organizations. The culmination of his vast knowledge and experience makes Perthpal a well-rounded consultant who can help organizations address a multitude of human resource needs.



2018 FIMMSEM Policies and Procedures

Registration for Seminars

- All UTMC/IUTA/CUTA/PRS Providers/IPRA/CPRA (collectively referred to as "Principals") will be informed by FIMM via circular on the upcoming seminar schedule.
- 2. All Principals must ensure that all your Consultants are aware of the 2018 FIMMSEM as well as other information that are pertinent to timely and successful registration for the seminars.
- 3. The seminar schedule will be posted on the FIMM Website. Consultants are advised to check FIMM Website periodically for the latest updates.
- Consultants who are interested to attend any of the 2018 FIMMSEM must submit their registration via Principals. No direct registration for Consultants will be accepted.
- 5. Principals may register your Consultants for the seminar(s) by completing the Registration Form and return it to FIMM via email/fax. Please ensure there is no repeated registration from any of your Consultants to a same seminar to avoid double tax invoice issuance. Interested individuals from the public may submit the Registration Form directly to FIMM.
- 6. Registration is on first-come, first-served basis.
- 7. Participants who are holders of CMSRL and/or ERP shall provide complete details of their licence number and NRIC number during registration for selected seminars accredited by SIDC.
- 8. By providing FIMM the applicants' personal data, Principals are hereby consent to the processing of individual personal data in accordance with and for the purposes as set out in FIMM personal data notice. Applicants are advised to read FIMM personal data notice available at www.fimm.com.my before submitting the registration form.
- 9. Principals must inform FIMM not less than two (2) working days from the event date should there be any replacement(s) of their registered Consultants.
- 10. Principals with outstanding payments from previous event(s) are not allowed to submit the registration.
- 11. Walk-ins without prior registration with FIMM will not be entertained.

Payment Terms

- 1. The 2018 FIMMSEM Fee is RM80.00 per active Consultant or RM250.00 per participant for inactive Consultant or the public.
- 2. For every five (5) active Consultants registered for the seminar, the sixth active Consultant from the same Principal to the same seminar will be free of charge.
- 3. FIMM will only liaise with the Principals for payment matters. Hence, Consultants are to make payment via their Principals. Only participants from the public may make payment directly to FIMM.





- 4. Payment must be in cheque or bank draft and made payable to "Federation of Investment Managers Malaysia". Payment by cash is not allowed.
- 5. Payment shall be made in full within fourteen (14) days from date of tax invoice, unless otherwise agreed to the contrary.
- 6. There will be no refund for non-attendance but replacement from the same Principal and same consultants' category is allowed for the same seminar. Replacement is not allowed to be carried forward to another seminar.
- 7. In the event of cancellation by FIMM, payment will be refunded to all registered applicants.

On-site Attendance Registration and Recording for Seminars

- 1. Registration and attendance records
 - Registration will start at 8.00 am and close at 9.30 am. Late participants will be barred from entering the seminar and will be recorded as absent.
 - Participants must sign in and sign out to complete their attendance records.
 - Participants without complete attendance records will be deemed absent.

2. CPD Points by FIMM

- 8 CPD points are allocated to Consultants with <u>complete attendance</u> <u>record</u>. For avoidance of doubt, partial attendance record with either signing in or signing out will not be entitled for CPD points.

3. CPE Points by SIDC

- 5 or 10CPE points are allocated to CMSRL and ERP holder with <u>complete</u> <u>attendance record</u>. For avoidance of doubt, partial attendance record with either signing in or signing out will not be entitled for CPE points.
- 4. Other administrative (housekeeping) arrangements
 - All seminars will start at 9.00 am.
 - Parking rates subject to the prevailing parking rates at the venue.
 - Feedback forms must be filled up and returned to FIMM's officer at the end of the seminar.
 - Signing-out counter will be opened from 4.30pm to 5.15pm. Consultants must sign out at the end of the seminar, failing which Consultants will be deemed absent.

Post Event

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

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FIMM SEMINAR REGISTRATION FORM

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

Comp	oany Details (//	Applicab	le)				
Com	pany Name		•				
Con	tact Person						
Desi	gnation						
Ema	il Address						
Con	tact No.			ext	Fax No.		
Partic	ipants Details						
Sem	inar Topic :						
Date	of Seminar :		Venue :				
No.	Full Name (as p	er NRIC)	NRIC	No.	FIMM No.	dicate active nu	ERP No.
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Registration & Enquiries

: Professional Development & Services (PDS) Department

Mohd Hazwan Rashid (<u>hazwan@fimm.com.my</u>) Khairul Shafinas Muslim (<u>shafinas@fimm.com.my</u>)

Tel: 03-2093 2600 | Fax: 03-2093 2700

Cancellation

: There will be no refund for cancellation or non-attendance but replacement from the same company and same consultants'

category for the same seminar is allowed.

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

Disclaimer

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

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

Notice

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

Confirmation of Registration (For FIMM's use)						
To: Attn:						
We hereby confirm the registration of the above participant(s) for the seminar.						
From: Professional Development & Services Department Federation of Investment Managers Malaysia	Date:					

FEDERATION OF INVESTMENT MANAGERS MALAYSIA

19-06-1, 6th Floor, Wisma Tune, No. 19 Lorong Dungun, Damansara Heights, 50490 Kuala Lumpur, Malaysia.

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