

CIRCULAR

Date:	23 August 2019	Ref No.:	PDS/2019COE/KLR-KOH-SNZ/013-19 (TOTAL NO. OF PAGES: 2)
To:	UTMC, IUTA, CUTA, PRS PROVIDERS, IPRA AND CPRA ("DISTRIBUTORS")		
Attn:	Authorised Representative / Chief Executive Officer		

2019 FIMM Regulatory Training on Code of Ethics (2019 FIMMCOE)

1.0 Introduction

- 1.1 The Federation of Investment Managers Malaysia ('FIMM') will be offering 2019 FIMMCOE to Unit Trust Scheme Consultants and Private Retirement Scheme Consultants (collectively referred to as "Consultants").
- 1.2 The purpose of this training is for the Consultants to refresh their understanding and application of the code.

2.0 2019 FIMMCOE

2.1 Details of the 2019 FIMMCOE are as follows:

Feature	Particulars
Subject/Topic	Code of Ethics.
Duration	3 hours per session.
CPD entitlement	3 CPD points *
Types of session	2 types of session: a) Joint-session with specific members/distributors ("Member Sessions")**; and b) Sessions that are open to Consultants from all principals ("Common Sessions").
Number of sessions and locations	A total of 20 sessions have been scheduled for 2019 as follows: a) 14 Member Sessions; and b) 6 Common Sessions



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Feature	Particulars
	Kindly refer to Appendix 1 for date and location of the sessions.
Fee	Free of charge.
Speakers	FIMM staff

Notes:

- * No duplication of CPD points is allowed.
- ** Sessions to be embedded as part of the program of the training program offered by Members/Distributors.

2.2 Kindly refer to **Appendix 2** for administrative details of the 2019 FIMMCOE.

3.0 Registration

3.1 Members/Distributors that are interested to take part in the 2019 FIMMCOE may proceed to complete the relevant registration forms as follows:

- a) **Appendix 3(a)**: Registration Form (Member Session); or
- b) **Appendix 3(b)**: Registration Form (Common Session)

3.2 Should you require further information or clarification, please do not hesitate to contact the following:

- a) En. Shahrul at 03-2093 2600 (ext 510), shahrulnizam@fimm.com.my; or
- b) Pn. Shafinas at 03-2093 2600 (ext 513), shafinas@fimm.com.my; or
- c) En. Hazwan at 03-2093 2600 (ext 523), hazwan@fimm.com.my

Thank you.

Yours faithfully,

FEDERATION OF INVESTMENT MANAGERS MALAYSIA



KALEON LEONG
Chief Executive Officer

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Members/Distributors Sessions

No.	Location	Date/Day	Closing Date
1	Kuala Lumpur	11 September 2019 (Wednesday)	4 September 2019 (Wednesday)
2	Kuala Lumpur	24 September 2019 (Tuesday)	4 September 2019 (Wednesday)
3	Kuala Lumpur	26 September 2019 (Thursday)	4 September 2019 (Wednesday)
4	Kuala Lumpur	15 October 2019 (Tuesday)	8 October 2019 (Tuesday)
5	Kuala Lumpur	17 October 2019 (Thursday)	8 October 2019 (Tuesday)
6	Kuala Lumpur	22 October 2019 (Tuesday)	8 October 2019 (Tuesday)
7	Kuala Lumpur	24 October 2019 (Thursday)	8 October 2019 (Tuesday)
8	Kuala Lumpur	29 October 2019 (Tuesday)	8 October 2019 (Tuesday)
9	Kuala Lumpur	5 November 2019 (Tuesday)	29 October 2019 (Tuesday)
10	Kuala Lumpur	7 November 2019 (Thursday)	29 October 2019 (Tuesday)
11	Kuala Lumpur	13 November 2019 (Wednesday)	29 October 2019 (Tuesday)
12	Kuala Lumpur	20 November 2019 (Wednesday)	29 October 2019 (Tuesday)
13	Kuala Lumpur	27 November 2019 (Wednesday)	29 October 2019 (Tuesday)
14	Kuala Lumpur	4 December 2019 (Wednesday)	27 November 2019 (Tuesday)

Common Sessions

No.	Location	Date/Day	Closing Date
1	Kuantan	11 September 2019 (Wednesday)	4 September 2019 (Friday)
2	Penang	18 September 2019 (Wednesday)	6 September 2019 (Friday)

3	Johor Bahru	26 September 2019 (Thursday)	13 September 2019 (Friday)
4	Kota Kinabalu	2 October 2019 (Wednesday)	20 September 2019 (Friday)
5	Kuching	17 October 2019 (Thursday)	4 October 2019 (Friday)
6	Kuala Lumpur	31 October 2019 (Thursday)	18 October 2019 (Friday)

Administration Notes

(A) Distribution of Training and Registration Details to Consultants

Please be reminded that all Members and Distributors must ensure that all Consultants attached to your company are made aware of the 2019 FIMMCOE as well as other information that are pertinent to timely and successful registration for the training.

(B) Registration

Member Sessions

1. All interested UTMCI/IUTA/CUTA/PRS Providers/IPRA/CPRA (collectively referred to as “Principals”) should complete and submit the Registration Form (**Appendix 3a**) to FIMM by **noon, at the respective closing date.**

Common Sessions

3. Consultants who are interested to attend the 2019 FIMMCOE must submit their registration via Principals. No direct registration from Consultants will be accepted.
4. Principals may register your Consultants for the training by completing the Registration Form (**Appendix 3b**) and return it to FIMM.
5. Please submit the Registration Form before the closing date for each session. Registration is based on **first-come, first-served basis.**
6. For both Member Sessions and Common Sessions, you are strongly encouraged to submit registration early to avoid disappointment as the seats are limited.

(C) Payment Terms

1. The 2019 FIMMCOE will be offered free of charge.

2019 FIMMCOE Registration Form (Member Sessions)

(Ref: PDS/2019COE/KLR-KOH-SNZ/013-19)

To: Federation of Investment Managers Malaysia
c/o Professional Development & Services Department
19-06-01, 6th Floor, Wisma Tune, 19, Lorong Dungun
Damansara Heights, 50490 Kuala Lumpur
Tel: 03-2093 2600 Fax: 03-2093 2700

Kindly complete this Registration Form and **E-MAIL** to:
shafinas@fimm.com.my/hazwan@fimm.com.my

Please choose the date of the selected session and provide the specific venue which you would like FIMM to conduct the session(s) in Kuala Lumpur.

	Location	Date/Day	Training Venue
<input type="checkbox"/>	Kuala Lumpur	11 September 2019 (Wed)	
<input type="checkbox"/>	Kuala Lumpur	24 September 2019 (Tue)	
<input type="checkbox"/>	Kuala Lumpur	26 September 2019 (Thu)	
<input type="checkbox"/>	Kuala Lumpur	15 October 2019 (Tue)	
<input type="checkbox"/>	Kuala Lumpur	17 October 2019 (Thu)	
<input type="checkbox"/>	Kuala Lumpur	22 October 2019 (Tue)	
<input type="checkbox"/>	Kuala Lumpur	24 October 2019 (Thu)	
<input type="checkbox"/>	Kuala Lumpur	29 October 2019 (Tue)	
<input type="checkbox"/>	Kuala Lumpur	5 November 2019 (Tue)	
<input type="checkbox"/>	Kuala Lumpur	7 November 2019 (Thu)	
<input type="checkbox"/>	Kuala Lumpur	13 November 2019 (Wed)	

	Location	Date/Day	Training Venue
<input type="checkbox"/>	Kuala Lumpur	20 November 2019 (Wed)	
<input type="checkbox"/>	Kuala Lumpur	27 November 2019 (Wed)	
<input type="checkbox"/>	Kuala Lumpur	4 December 2019 (Wed)	

From:

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Name

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Name of company

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Designation

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Tel No.

Fax No.

E-mail

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Date :

Signature :



2019 FIMMCOE REGISTRATION FORM (COMMON SESSION)

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

Company Details *(If Applicable)*

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

Participants Details

Training Topic : FIMM Code of Ethics			
Date of Training :		Location :	
No.	Full Name (as per NRIC)	NRIC No.	FIMM No. <i>Please indicate active number only</i>
1			
2			
3			
4			
5			
6			

Registration & Enquiries : Professional Development & Services (PDS) Department
 Mohd Hazwan Rashid (hazwan@fimm.com.my)
 Khairul Shafinas Muslim (shafinas@fimm.com.my)
 Tel: 03-2093 2600 ext 523 or 513 | Fax: 03-2093 2700

Cancellation : The replacement from same company for the same training session is allowed.

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

Disclaimers

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

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:
<input type="checkbox"/> We hereby confirm the registration of the above participant(s) for the training.	
From: Professional Development & Services Department Federation of Investment Managers Malaysia	Date: