

CIRCULAR

Date:	27 July 2020	Ref No.:	PDS/AL/KOH-SNZ-MS/023-20 (Total no. of pages: 10)
To:	UTMC, IUTA, CUTA, PRS PROVIDER, IPRA AND CPRA		
Attn:	Authorised Representative/Chief Executive Officer		

2020 FIMM Regulatory Training on Code of Ethics (2020 FIMMCOE)

1.0 Introduction

1.1 FIMM will be offering 2020 FIMMCOE to Unit Trust Scheme Consultants and Private Retirement Scheme Consultants (collectively referred to as “Consultants”) virtual.

1.2 The purpose of this training is for the Consultants to refresh their understanding and application of the code.

2.0 2020 FIMMCOE

2.1 Unlike the past COE trainings, the 2020 FIMMCOE will include updates on changes made in COE that came into effect on 13 January 2020.

2.2 Furthermore, certain part of the 2020 FIMMCOE are now pre-recorded that could facilitate hybrid delivery of the training session under the virtual environment with more effective use of resources from FIMM and cost savings from Members/Distributors.

2.3 Further details of the 2020 FIMMCOE are as follows:

Feature	Particulars
Subject/Topic	FIMM Code of Ethics
Duration	4 hours per session.
CPD entitlement	4 CPD points*
Delivery mode	Virtual only via MS Team or any other video conferencing/ meeting applications as indicated by Member/FIMM
Number of participants	Minimum number of participants required – 30 pax
Types of session	2 types of session: a) Joint-session with specific Member/Distributor (“Members/Distributors’ Sessions”)** b) Sessions that are open to Consultants from all principals (“Common Sessions”). Session will be conducted via MS Teams.
Number of sessions	A total of 46 sessions have been scheduled as follows: a) 32 Member Sessions; and b) 14 Common Sessions Kindly refer to Appendix 1 for date of the sessions.
Fee	Free of charge.

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 2020 FIMMCOE.

3.0 Registration

3.1 Members/Distributors that are interested to take part in the 2020 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) Pn. Shafinas at 03-2093 2600 (ext 513), shafinas@fimm.com.my; or
- b) En. Hazwan at 03-2093 2600 (ext 523), hazwan@fimm.com.my

Thank you.

Yours faithfully,



Koh Hwee Ngim
General Manager and Head, Industry Services Division

(a) Members/Distributors' Sessions

No	Date / Day	Time	Closing Date
1.	18 August 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	11 August 2020, Tuesday
2.	19 August 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	12 August 2020, Wednesday
3.	25 August 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	18 August 2020, Tuesday
4.	2 September 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	26 August 2020, Wednesday
5.	8 September 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	1 September 2020, Tuesday
6.	15 September 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	8 September 2020, Tuesday
7.	17 September 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	8 September 2020, Tuesday
8.	23 September 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	15 September 2020, Tuesday
9.	1 October 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	22 September 2020, Tuesday
10.	7 October 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	30 September 2020, Wednesday
11.	20 October 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	13 October 2020, Tuesday
12.	22 October 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	13 October 2020, Tuesday
13.	4 November 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	30 October 2020, Friday
14.	10 November 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	3 November 2020, Tuesday
15.	24 November 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	17 November 2020, Tuesday
16.	26 November 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	17 November 2020, Tuesday

(b) Common Sessions

No	Date / Day	Time	Closing Date
1.	27 August 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	18 August 2020, Tuesday
2.	10 September 2020, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	1 September 2020, Tuesday
3.	29 September 2020, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	22 September 2020, Tuesday
4.	14 October 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	7 October 2020, Wednesday
5.	28 October 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	21 October 2020, Wednesday
6.	18 November 2020, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	10 November 2020, Tuesday
7.	30 November 2020, Monday	9.00am – 1.00pm 2.00pm – 6.00pm	23 November 2020, Monday

2020 FIMM Regulatory Training on Code of Ethics (2020 FIMMCOE)

Administrative 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 2020 FIMMCOE as well as other information that are pertinent to timely and successful registration for the training.

(B) Registration

1. All interested UTMC/IUTA/CUTA/PRS Providers/IPRA/CPRA (collectively referred to as “Principals”) should complete and submit the Registration Form as follows:
 - a) Members/Distributors’ Sessions (**Appendix 3a**);
 - b) Common Sessions (**Appendix 3b**)
2. All completed Registration Forms must be submitted to FIMM by **noon, on the respective closing date.**
3. Consultants who are interested to attend the 2020 FIMMCOE must submit their registration via Principals. No direct registration from Consultants will be accepted.
4. Minimum number of participants required is 30 pax.
5. Principals may register your Consultants for the training by completing the relevant Registration Form and return it to FIMM.
6. Registration is based on **first-come, first-served basis.**
7. For both Members/Distributors’ Sessions and Common Sessions, you are strongly encouraged to submit registration early to avoid disappointment as the sessions are limited.

(C) Payment Terms

Free of charge.

Registration Form (Members/Distributors' Sessions) 2020 FIMM Regulatory Training on Code of Ethics (2020 FIMMCOE)

(Ref: PDS/AL/KOH-SNZ/023-20)

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 and time of the session.

	Date / Day	Principal
<input type="checkbox"/>	18 August 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	19 August 2020, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	25 August 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	2 September 2020, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	8 September 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	15 September 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	17 September 2020, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	23 September 2020, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	1 October 2020, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	7 October 2020, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	20 October 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm

	Date / Day	Principal
<input type="checkbox"/>	22 October 2020, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	4 November 2020, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	10 November 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	24 November 2020, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	26 November 2020, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm

Name	
Designation	
Name of Company	
Email	
Tel.	
Date	
Signature	



2020 FIMMCOE REGISTRATION FORM (COMMON SESSIONS)

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

Company Details (If Applicable)

Contact Person			
Designation			
Name of Company			
Email			
Tel.	ext	Fax No.	

Participants Details

Training Topic: FIMM Code of Ethics				
Date of Training:		Time:		Location: Virtual, Microsoft Teams
No.	Full Name (as per NRIC)	NRIC No.	FIMM No. <i>Please indicate active number only</i>	Email Address
1				
2				
3				

No.	Full Name (as per NRIC)	NRIC No.	FIMM No. <i>Please indicate active number only</i>	Email Address
5				
6				
7				
8				
9				
10				

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

Disclaimers

FIMM reserves the right to cancel or reschedule any training 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 training.

Notice

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.