

3 September 2013

**CIRCULAR BR/AL/AZS/TLK-JW/042-13**  
**(TOTAL NO. OF PAGES: 5)**  
**INCLUDING THIS PAGE**

**TO : MEMBERS / IUTA / CUTA**

**ATTN : CHIEF EXECUTIVE OFFICER / AUTHORISED REPRESENTATIVE**  
**& ALL I<sup>3</sup> SYSTEM USERS**

**PAYMENT OF:**

- a) ANNUAL MEMBERSHIP SUBSCRIPTION FEE (“AMSF”) OR ANNUAL FEE OF MEMBERS, IUTA OR CUTA FOR THE YEAR 2014**
- b) ANNUAL RENEWAL FEE FOR UNIT TRUST CONSULTANTS (UTC) FOR THE YEAR 2014**

Your attention is brought to the above payments, which are due and Appendix 1 attached.

For renewal of UTC, the said function in I<sup>3</sup> system will be enabled from 1<sup>st</sup> Oct 2013 to 10<sup>th</sup> Jan 2014. UTCs who are not renewed by 10<sup>th</sup> Jan 2014 will be terminated by the system and will each be charged a re-registration fee of RM73.00 should they decide to re-register as UTC on a later date. Re-registration fee is only waived for those UTCs who have renewed for that year.

Annual renewal fee and card fee for UTC is calculated based on the total number of UTC renewed and included as part of the AMSF or Annual Fee of Members, IUTA or CUTA.

All Members and IUTA are required to key-in the Asset Under Management (“AUM”) or gross sales for unit trust schemes under the respective groupings and the aggregate total into I3 system, on or before **20<sup>th</sup> January 2014**. In addition, please complete the reply slip enclosed and send to FiMM by 20<sup>th</sup> January 2014.

As a prerequisite for renewal, on biennial basis, UTC is required to submit to the principal the statutory declaration for continuous eligibility (“SD”) which is attested not more than 12 months from the submission date. The principal may determine the deadline for submission of the same. Please ensure that all the SD are properly maintained for record and audit purposes. Principals are not required to submit the SD to FiMM.

As for the Continuing Professional Development (“CPD”) compliance, the principal shall update its CPD records accordingly regarding all seminars/courses attended by UTCs. The principal shall advise FiMM on 31<sup>st</sup> December annually, regarding those UTCs who have not met the required CPD points.

The CPD Guidelines aims to foster a culture of continuous learning among UTCs. CPD looks into the enhancement of knowledge and competency of the UTC to transform them into capital market intermediaries that will be able to provide professional advice to clients in the area of

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investing as well as retirement saving. CPD points are mandatory for UTC renewal at the year end and failure to obtain sufficient points will result in the de-registration of the UTC.

For further details, kindly refer to our circular reference CPD/AL/AZ-sn/021-12 and CPD/AL/AZ-sn/024-12 and comply with FiMM's CPD guidelines. All UTC of UTMC, IUTA and CUTA must obtain a total of 16 CPD points at the end of year 2013 in order to renew their registration.

Registered UTCs under the full-time employment of a UTMC are exempted from complying with FiMM's CPD Guidelines. The training of such registered persons or UTC will be governed under the SC's Guidelines on Unit Trust Funds instead.

Kindly take note that any application for deferment and/or extension of time will not be entertained. Hence, please observe the deadlines as stated in Appendix 1.

Should you need further clarification, please contact the Business Registration Department at 03-20932600.

Thank you

Yours faithfully  
Federation of Investment Managers Malaysia



**AHMAD ZAKIE HJ AHMAD SHARIFF**  
Chief Executive Officer

**Schedule for UTC renewal and keying in of the AUM / Total Gross Sales (UTMC/IUTA) into the I<sup>3</sup> System for the year 2014.**

Date	Description
01/10/2013	<ul style="list-style-type: none"> <li>• I<sup>3</sup> System Renewal function – <b>ENABLED</b>.</li> <li>• Renewal will only be approved after FiMM received the cover letter with the renewal listing.</li> <li>• The expiry date on UTC card and on FiMM website will be shown as Jan 2015.</li> </ul>
02/12/2013	<ul style="list-style-type: none"> <li>• Fund groups and fund types for respective unit trust funds will be made available to UTMC/IUTA.</li> </ul>
23/12/2013 – 10/01/2014	<ul style="list-style-type: none"> <li>• UTC Re-Registration and Resign/Terminate function will be <b>DISABLED</b>.</li> </ul>
02/01/2014	<ul style="list-style-type: none"> <li>• UTMC/IUTA to key-in AUM/Total Gross Sales.</li> <li>• CUTA is not required to key in AUM or Total Gross Sales.</li> </ul>
<b><u>10/01/2014 (12.00pm)</u></b>	<ul style="list-style-type: none"> <li>• Closing Date for Renewal of UTC up to <b><u>12.00 noon</u></b>.</li> </ul>
10/01/2014 Midnight	<ul style="list-style-type: none"> <li>• All re-registration, resign/termination, and renewal batches pending approval on <b>member side</b> will be reversed out.</li> <li>• I<sup>3</sup> System will <b><u>AUTO TERMINATE</u></b> all UTC that are <b>NOT RENEWED</b>.</li> </ul>
11/01/2014	<ul style="list-style-type: none"> <li>• UTC Re-Registration and Resign/Terminate function will be <b>ENABLED</b>.</li> <li>• I<sup>3</sup> System Renewal function – <b>DISABLED</b>.</li> </ul>
<b><u>20/01/2014 (11.59pm)</u></b>	<ul style="list-style-type: none"> <li>• Closing Date for keying in AUM/Total Gross Sales.</li> <li>• AUM / Total Gross Sales reply slip received by FiMM.</li> </ul>
21/01/2014	<ul style="list-style-type: none"> <li>• UTMC/IUTA who failed to key-in AUM/Total Gross Sales, will be <b><u>BLOCKED</u></b> to register candidate(s).</li> </ul>
22/01/2014	<ul style="list-style-type: none"> <li>• AMSF or Annual Fee Payment invoice will be sent out to UTMC/IUTA as and when AUM/Total Gross Sales been keyed in.</li> <li>• Annual Fee Payment invoice will be sent out to CUTA.</li> </ul>
28/02/2014	<ul style="list-style-type: none"> <li>• UTMC/IUTA/CUTA failed to make payment, will be <b><u>BLOCKED</u></b> to register candidate(s).</li> </ul>

**REPLY SLIP**

**Re: Confirmation of Asset Under Management as of 31 December 2013**

**(Circular Ref : BR/AL/AZS/TLK-jw/042-13)**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-07-03, 7th Floor, PNB Damansara  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

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**Kindly send the completed slip to FiMM by 20 January 2014**

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We hereby confirm that our company's recent submission of the Asset Under Management (AUM) figures for Unit Trust Funds as of 31 December 2013 are true and correct as follows:

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

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

**Note: Kindly submit to FiMM the Interim Report of the Fund or System NAV Report**

**Verified by Compliance Officer**

**Signature:**

Name:

Contact No.:

**Confirmed by Chief Executive Officer**

**Signature:**

Name:

Company:

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:

**REPLY SLIP**

**Re: Confirmation of Total Gross Sales as of 31 December 2013**

**(Circular Ref : BR/AL/AZS/TLK-jw/042-13)**

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-07-03, 7th Floor, PNB Damansara  
19, Lorong Dungun, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

**(Attention: Business Registration Department)**

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**Kindly send the completed slip to FiMM by 20 January 2014**

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We hereby confirm that our company's recent submission of the Total Gross Sales figures as of 31 December 2013 for Unit Trust Funds are true and correct as follows:

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

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

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

**Note: Kindly submit to FiMM the Interim Report of the Fund or System Sales Report**

**Verified by Compliance Officer**

**Signature:**

Name:

Contact No.:

**Confirmed by Head /Authorised Person**

**Signature:**

Name:

Company:

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: