

19 October 2015

**Circular: BR/AL/FH/TLK-af/056-15**  
(TOTAL NO. OF PAGES: 7)  
INCLUDING THIS PAGE

**TO : MEMBERS / IUTAs / CUTAs**

**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, IUTAs OR CUTAs FOR THE YEAR 2016**
- b) **ANNUAL FEE FOR UNIT TRUST CONSULTANTS (UTCs) FOR THE YEAR 2016**

Your attention is brought to the abovementioned payments for the year 2016 and schedule for submission of Asset Under Management (“AUM”) / total gross sales and renewal of registration of UTCs as per **Appendix 1**.

Members and IUTA are required to submit the following documents to Federation of Investment Managers Malaysia (“FIMM”) latest by **20 January 2016**:

- (i) Members are to submit the AUM as at 31 December 2015 of each fund under the respective group A and group B as well as the total aggregate in the i<sup>3</sup> System;
- (ii) IUTAs are to submit the total gross sales for the year ended 31 December 2015 of each fund under the respective fund category as well as the total aggregate in the i<sup>3</sup> System;
- (iii) Members and IUTAs are to complete and submit the attached forms A1 and A2 (for Members) and B1 and B2 (for IUTAs) accordingly; and
- (iv) Members and IUTAs are to submit System NAV Report or System Sales Report respectively in support of the above submissions.

The registration for the renewal of UTCs in I<sup>3</sup> system will be activated from **2 November 2015 till 8 January 2016**. Failure to renew UTCs by **9 January 2016** will result in termination of UTCs by the system. Each former UTC will be charged a re-registration fee of RM77.40 (inclusive GST) in the event that the former UTC decides to re-register at a later date.

Annual fee and card fee for UTCs are calculated based on the total number of UTCs renewed and shall be included as part of the AMSF or Annual Fee of Members, IUTAs or CUTAs.

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As a prerequisite for renewal, on biennial basis, UTCs are required to submit to their principal the Statutory Declaration for Continuous Eligibility Requirements of UTC ("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 SDs must be 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 for all seminars/courses attended by the UTCs. The principal shall advise FIMM on 31 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 UTCs to transform them into capital market intermediaries that will be able to provide professional advice to clients in the area of investing as well as retirement saving. CPD points are mandatory for UTCs renewal at the year end and failure to obtain sufficient points will result in the termination of registration of the UTCs.

For further details, please refer to our circular dated 21 August 2014 (reference no: PDS/AL/MN-sa/021-14) and **comply with FIMM's CPD guidelines**. Each UTC must obtain a total of 16 CPD points at the end of year 2015 in order to renew his/her registration.


Please note that the registered UTCs under the full-time employment of a UTMC **are exempted** from complying with FIMM's CPD Guidelines. As such, the training of the registered persons or UTCs will be governed under the SC's Guidelines on Unit Trust Funds.

Please **observe the deadlines** as stated in **Appendix 1** as any application for deferment and/or extension of time will not be entertained.

Should you need further clarification, please contact Ms. Afza (ext. 308) or Ms. Valli (ext. 325) at Business Registration Department at 03-20932600.

Thank you.

Yours faithfully,  
Federation of Investment Managers Malaysia



**FARIQ BIN HASSAN**  
General Manager  
Regulatory Services

Encl.

**Schedule for Submission of AUM / Total Gross Sales and renewal of registration of UTCs for the year 2016.**

Date	Description
02/11/2015	<ul style="list-style-type: none"> <li>I<sup>3</sup> System Renewal functions – <b>ENABLED</b>.</li> <li><b>Renewal will only be approved by FIMM upon receiving the cover letter together with the UTC renewal listing.</b></li> <li>The expiry date printed on the UTC card and published on FIMM website will be shown as Jan 2017.</li> </ul>
31/12/2015	<ul style="list-style-type: none"> <li>Fund group and fund category of each unit trust scheme will be made available to UTMC and IUTA through the I<sup>3</sup> System.</li> </ul>
21/12/2015 – 08/01/2016	<ul style="list-style-type: none"> <li>UTC Re-Registration, Exemption and Resign/Terminate functions will be <b>DISABLED</b>.</li> </ul>
04/01/2016	<ul style="list-style-type: none"> <li>UTMCs/IUTAs to key-in AUM/Total Gross Sales respectively.</li> <li>CUTAs are not required to key in AUM or Total Gross Sales.</li> </ul>
<b><u>08/01/2016 (12.00noon)</u></b>	<ul style="list-style-type: none"> <li>Closing Date for Renewal of UTC is until <b><u>12.00 noon</u></b>.</li> <li>I<sup>3</sup> System Renewal function will be <b>DISABLED after 12 noon</b>.</li> </ul>
08/01/2016 Midnight	<ul style="list-style-type: none"> <li>All re-registration, resign/termination, and renewal batches pending approval at <b><u>UTMCs/IUTAs/CUTAs</u></b> in I<sup>3</sup> System will be removed.</li> <li>I<sup>3</sup> System will <b><u>AUTO TERMINATE</u></b> all UTCs that are <b>NOT RENEWED</b>.</li> </ul>
11/01/2016	<ul style="list-style-type: none"> <li>UTC Re-Registration, Exemption and Resign/Terminate functions will be <b>ENABLED</b>.</li> <li>UTMCs, IUTAs and CUTAs may obtain the list of renewed UTCs for the year 2016 by downloading a report from I<sup>3</sup> System, namely <b>“Authorized UTC Download”</b></li> </ul>
<b><u>20/01/2016 (11.59pm)</u></b>	<ul style="list-style-type: none"> <li>Closing Date for keying in AUM/Total Gross Sales.</li> <li>FORM A1 &amp; A2 or FORM B1 &amp; B2 must reach FIMM.</li> </ul>
21/01/2016	<ul style="list-style-type: none"> <li>UTMCs/IUTAs who fail to key-in AUM/Total Gross Sales, will be <b><u>BLOCKED</u></b> to register candidate(s) / consultant(s).</li> </ul>
22/01/2016	<ul style="list-style-type: none"> <li>AMSF or Annual Fee Payment invoice will be sent out to UTMCs/IUTAs/CUTAs.</li> </ul>
28/02/2016	<ul style="list-style-type: none"> <li>UTMCs/IUTAs/CUTAs who fail to make payments, will be <b><u>BLOCKED</u></b> to register candidate(s) / consultant(s).</li> </ul>

# FORM A1

Re: Assets Under Management as at 31 December 2015

(Circular Ref : BR/AL/FH/TLK-af/056-15)

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: \_\_\_\_\_

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Please send the completed slip to FIMM latest by **20 January 2016**

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We hereby declare that the below information of Assets Under Management (AUM) for Funds as at 31 December 2015 are complete, true and accurate.

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

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

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

Name:  
Designation:  
Date:

Confirmed by CEO : \_\_\_\_\_

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:



# FORM B1

Re: Total Gross Sales for the year ended 31 December 2015

(Circular Ref : BR/AL/FH/TLK-af/056-15)

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: \_\_\_\_\_

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Please send the completed slip to FIMM latest by **20 January 2015**

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We hereby declare that the below information of Total Gross Sales for **Unit Trust Schemes** for the year ended 31 December 2015 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 Head /Authorised Person : \_\_\_\_\_

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:

