

21 October 2016

Circular: BR/AL/FH/TLK-af/039-16
(TOTAL NO. OF PAGES: 8)
INCLUDING THIS PAGE

TO : MEMBERS / IUTAs / CUTAs

ATTN : CHIEF EXECUTIVE OFFICER / AUTHORISED REPRESENTATIVE

PAYMENTS OF:

- a) **ANNUAL MEMBERSHIP SUBSCRIPTION FEE (“AMSF”) OR ANNUAL FEE OF MEMBERS, INSTITUTIONAL UNIT TRUST SCHEMES ADVISERS (“IUTAs”) OR CORPORATE UNIT TRUST SCHEMES ADVISERS (“CUTAs”) FOR THE YEAR 2017; AND**
- b) **ANNUAL FEE FOR UNIT TRUST SCHEMES (“UTS”) CONSULTANTS FOR THE YEAR 2017**

The above matter refers.

Please refer to the schedule for submission of Asset Under Management (“AUM”) / total gross sales and renewal of registration of UTS Consultants as per **Appendix 1** for the year 2017.

Members and IUTA are required to submit the following documents to Federation of Investment Managers Malaysia (“FIMM”) latest by **10 January 2017**:

- (i) Members to submit the AUM as at **31 December 2016** of each fund under the respective group A and group B as well as the total aggregate in the AMSF System;
- (ii) IUTAs to submit the total gross sales for the year ended **31 December 2016** of each fund under the respective fund categories as well as the total aggregate in the AMSF System;
- (iii) Both Members and IUTAs to complete and submit the attached forms A1 and A2 (for Members) and B1 and B2 (for IUTAs) accordingly; and
- (iv) Both Members and IUTAs to submit System NAV Report or System Sales Report respectively to support the above submissions.

Please be informed that FIMM has introduced a new system, namely AMSF System, for the purpose of submission of AUM and total gross sales by respective Members and IUTAs. The AMSF System User Manual is available at FIMM’s website – “Events & Media” → “Latest News”. Please provide FIMM the list of users to access the system by using the template as attached in **Appendix 2** and e-mail to FIMM via fimm_it@fimm.com.my by **28 October 2016**.

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The registration for the renewal of UTS Consultants in I³ system will be activated from **2 November 2016 till 16 January 2017**. Failure to renew UTS Consultants by **16 January 2017** will result in termination of UTS Consultants by the system. Each former UTS Consultant will be charged a registration fee of RM77.40 (inclusive GST) in the event that the former UTS Consultant decides to register at a later date.

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

As a prerequisite for renewal, on biennial basis, UTS Consultants are required to submit to their principal the Statutory Declaration for Renewal of Registration ("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 by the principals. However the principals are not required to submit the SD to FIMM.

As for the Continuing Professional Development ("CPD") compliance, a UTS Consultant must obtain a minimum of 16 CPD points in a year before an application for renewal of his registration will be considered by FIMM. Failure to obtain sufficient points will result in the termination of registration of the UTS Consultants.

The principal shall update its CPD records accordingly for all seminars/courses attended by the UTS Consultants and submit the list of UTS Consultants renewed together with the CPD points' record to FIMM. A copy of the template can be downloaded from FIMM website – "UTS Application Kit".

For further details on CPD requirements, please refer to FIMM's Consolidated Rules issued on 1 June 2016 and our circular dated 15 September 2016 (reference no: LRA/AL/FH-mhr/033-16) to ensure full compliance of CPD Program in Chapter 7 of FIMM's Consolidated Rules.

Please **observe the deadlines** as stated in **Appendix 1** as any application for deferment and/or extension of time will not be entertained. Please also be reminded that FIMM may take any action it deems fit under Rule 2.1.3 of FIMM's Consolidated Rules for failure to comply to such deadlines.

Should you need further clarification, please contact Cik 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
Interim Chief Executive Officer

Encl.

FORM A1

Re: Assets Under Management as at 31 December 2016

(Circular Ref : BR/AL/FH/TLK-af/-16)

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: _____

Please send the completed slip to FIMM latest by **10 January 2017**

We hereby declare that the below information of Assets Under Management (AUM) for Funds as at 31 December 2016 are complete, true and accurate.

Total Group A: RM _____

Total Group B: RM _____

Verified by Compliance Officer : _____

Name:
Designation:
Date:

Confirmed by CEO / Authorised Rep. : _____

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:

FORM B1

Re: Total Gross Sales for the year ended 31 December 2016

(Circular Ref : BR/AL/FH/TLK-af/-16)

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: _____

Please send the completed slip to FIMM latest by 10 January 2017

We hereby declare that the below information of Total Gross Sales for **Unit Trust Schemes** for the year ended 31 December 2016 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 CEO / Authorised Rep. : _____

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:

Schedule for Submission of AUM / Total Gross Sales and renewal of registration of UTS Consultants for the year 2017.

Date	Description
02/11/2016	<ul style="list-style-type: none"> • I³ System UTS Consultant Renewal functions – ENABLED. • Renewal will only be approved by FIMM upon receiving the cover letter together with the UTS Consultant renewal listing. • The expiry date printed on the UTS Consultant card and published on FIMM website will be shown as Jan 2018.
19/12/2016 – 16/01/2017	<ul style="list-style-type: none"> • Registration of former UTS Consultants, variation of registration, exemption and resignation / termination of UTS Consultant functions in I³ System will be DISABLED.
03/01/2017	<ul style="list-style-type: none"> • UTMCS / IUTAs to key-in AUM / Total Gross Sales respectively in AMSF System. • CUTAs are not required to key in AUM or Total Gross Sales.
10/01/2017 (11.59pm)	<ul style="list-style-type: none"> • Closing Date for keying in AUM/Total Gross Sales. • FORM A1 & A2 or FORM B1 & B2 must reach FIMM. <p><i>(Note: The submission requirement as per Table 2, item iii of Rule 3.4.7 of FIMM's Consolidated Rules)</i></p>
<u>16/01/2017</u> <u>(12.00noon)</u>	<ul style="list-style-type: none"> • Closing Date for renewal of UTS Consultant is until <u>12.00 noon</u>. • UTS Consultant Renewal function in I³ System will be DISABLED after 12.00 noon.
16/01/2017 Midnight	<ul style="list-style-type: none"> • All registration of former UTS Consultants, variation of registration, resign / termination, and renewal of UTS Consultant batches pending approval at UTMCS / IUTAs / CUTAs in I³ System will be removed. • I³ System will <u>AUTO TERMINATE</u> all UTS Consultants that are NOT RENEWED.
18/01/2017	<ul style="list-style-type: none"> • Registration of former UTS Consultants, variation of registration, exemption and resignation / termination of UTS Consultant functions in I³ System will be ENABLED. • UTMCS, IUTAs and CUTAs may obtain the list of renewed UTS Consultants for the year 2017 by downloading a report from I³ System, namely "Authorised UTC Download"
19/01/2017	<ul style="list-style-type: none"> • AMSF or Annual Fee tax invoice will be sent out to UTMCS/IUTAs/CUTAs.
31/01/2017	<ul style="list-style-type: none"> • Payment of AMSF or Annual Fee must reach FIMM.

List of users to access the AMSF System

Company Name	Full Name	User name	Password	Email	Mobile	Office	Fax	Designation
ABC Investment Berhad	Chaicy	chaicy	(please leave it blank)	chaicy@abc.com	0123456789	03456789	03456789	Manager