

# CIRCULAR



Date:	12 October 2020	Ref No.:	BR/AL/SM/SO/VAL-af/035-20 (TOTAL NO. OF PAGES: 13)
To:	UTMC / PRS PROVIDERS, IUTA / IPRA, AND CUTA / CPRA		
Attn:	Authorised Representatives / Chief Executive Officers		

## YEAR 2021 RENEWAL AND ANNUAL MEMBERSHIP SUBSCRIPTION FEE (“AMSF”)/ ANNUAL FEE FOR:

- a) UNIT TRUST MANAGEMENT COMPANY (“UTMC”) / PRIVATE RETIREMENT SCHEME PROVIDER (“PRP”);
- b) INSTITUTIONAL UNIT TRUST SCHEME ADVISER (“IUTA”)/ INSTITUTIONAL PRIVATE RETIREMENT SCHEME ADVISER (“IPRA”)
- c) CORPORATE UNIT TRUST SCHEME ADVISER (“CUTA”) / CORPORATE PRIVATE RETIREMENT SCHEME ADVISER (“CPRA”); AND
- d) UNIT TRUST SCHEME (“UTS”) CONSULTANT AND PRIVATE RETIREMENT SCHEME (“PRS”) CONSULTANT.

The above matter refers.

We would like to remind **all members and distributors** to provide the following submissions to the Federation of Investment Managers Malaysia (FIMM) by the timeline stipulated in Appendix 1:

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA
Online Submission	<b>Assets Under Management (AUM)</b> as at <u>31 December 2020</u> for each fund, under their respective grouping, i.e. A and B; and total aggregate via AMSF System. ( <a href="https://amsf.fimm.com.my">https://amsf.fimm.com.my</a> ).	<b>Total Gross Sales</b> for the year ended <u>31 December 2020</u> for each fund under their respective fund categories and total aggregate via the AMSF System. ( <a href="https://amsf.fimm.com.my">https://amsf.fimm.com.my</a> ).	Not applicable
Hardcopy Submission	<ul style="list-style-type: none"> <li>• <u>Must</u> complete and submit the attached <b>Forms A1 and A2</b> or the printed copy from AMSF System.</li> <li>• A copy of System NAV Report must be submitted to support the information provided in Forms A1 and A2 respectively.</li> </ul>	<ul style="list-style-type: none"> <li>• <u>Must</u> complete and submit the attached <b>Forms B1 and B2</b> or the printed copy from AMSF System.</li> <li>• A copy of System Sales Report must be submitted to support the information provided in Forms B1 and B2 respectively.</li> </ul>	Not applicable

Cont'd...

**AMSF / Annual Fee**

	<b>UTMC / PRP</b>	<b>IUTA / IPRA</b>	<b>CUTA / CPRA</b>
AMSF / Annual Fee	<ul style="list-style-type: none"> <li>• Minimum of RM10,000 or fee value calculated based on submitted AUM, whichever is higher.</li> <li>• Annual fee and card fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>AMSF of UTMC / PRP.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Minimum of RM10,000 or fee value calculated based on submitted Total Gross Sales, whichever is higher.</li> <li>• Annual fee and card fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>Annual Fee of IUTA / IPRA.</b></li> </ul>	<ul style="list-style-type: none"> <li>• RM500</li> <li>• For <b>CUTA</b>, which is also registered as <b>CPRA</b>, the annual fee for <u>CPRA will be waived.</u></li> <li>• Annual fee and card fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>Annual Fee of CUTA / CPRA.</b></li> </ul>

**Renewal of Consultants' Registration**

- a) Members and distributors are required to provide the submissions in i<sup>3</sup> and PRS system respectively.
- b) Registration of all Consultants will be renewed automatically through the Registration system. For termination/ resignation of Consultants, online submission and hardcopy of the cover letter must be submitted to FIMM **before 12.00 noon, 11 January 2021.**
- c) As part of renewing the registration for consultants, all members and distributors must ensure that:
  - i. Consultants submit **Statutory Declaration ("SD")** on a biennial basis. The submission should be made not more than 12 months from the SD's attestation date;
  - ii. Consultants attain a minimum of **16 Continuing Professional Development ("CPD")** points prior to their registration renewal. Failing which, the consultants will be terminated;
  - iii. Consultants' CPD records are updated to reflect all seminars/courses attended.
- d) Failure to terminate or submit resigned consultant within the stipulated timeline will result in auto renewal of the said consultant's registration. Members and distributors must pay all fees incurred for the renewal.

Please refer to FIMM's Consolidated Rules and Registration Manual for further details should the terminated / resigned consultants decide to re-join the industry.

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### Fees for Authorisation Card

For Year 2021 renewal, there are 3 types of Authorisation Card that will be issued with the following applicable fees:

No.	Type of Authorisation Card	Type of Consultant	Annual Fee	Card Fee
i.	Gold Card	UTS Consultant	RM 50.00	RM 3.00
ii.	Silver Card	PRS Consultant	RM 50.00	RM 3.00
iii.	Platinum Card	UTS and PRS Consultant (dual registration) under the same Distributor.	RM 100.00	RM 3.00

The Annual fee shall be waived for PRS Consultants who qualified under the **Fee Waiver Campaign**. ([https://www2.fimm.com.my/wp-content/uploads/2019/09/CIR\\_FEE-WAIVER-CAMPAIGN\\_30-AUG-19.pdf](https://www2.fimm.com.my/wp-content/uploads/2019/09/CIR_FEE-WAIVER-CAMPAIGN_30-AUG-19.pdf))

### Conclusion

The enclosed Appendix 1 contain submission schedule of:

- a) Assets Under Management (AUM) by UTMIC / PRP;
- b) Total Gross Sales by IUTA / IPRA; and
- c) Registration renewal of Consultants

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

Should you need further clarification, please contact Ms. Valli (ext. 325) or Ms. Charmaine (ext. 326) of Registration Department at 03-20932600.

Thank you.

Yours faithfully,  
Federation of Investment Managers Malaysia



**SAHLAWATI MUSTAFA**  
General Manager  
Regulatory Services Division

Encl.

## SUBMISSION SCHEDULE

- a) UTMC / PRP - Assets Under Management (“AUM”);  
 b) IUTA/ IPRA - Total Gross Sales; and  
 c) Registration Renewal of UTS / PRS Consultant

Date	FIS SYSTEM - Description
	i <sup>3</sup> & PRS System
21/12/2020 – 11/01/2021	<ul style="list-style-type: none"> <li>All registration functions are <b>DISABLED</b> except for examination and termination/resignation.</li> </ul>
02/01/2021	<ul style="list-style-type: none"> <li>AMSF System opens for:               <ol style="list-style-type: none"> <li>UTMC/ PRP to key in AUM</li> <li>IUTA/ IPRA to key in Total Gross Sales</li> </ol> </li> </ul>
04/01/2021	<ul style="list-style-type: none"> <li>Last day for submission of CPD Points fulfilment (in prescribed excel format) for all <u>ACTIVE</u> Consultants as at 31/12/2020 to <a href="mailto:registration@fimm.com.my">registration@fimm.com.my</a>.                (Please refer to <i>UTS Application Kit – Table 14 &amp; PRS Application Kit – Table 13</i>)</li> </ul> <p><b>Important Note:</b>  <i>The submission is deemed final and no amendment/ update will be entertained. Failure to submit may result in consultant(s) being terminated due to non-fulfilment of CPD points.</i></p>
15/01/2021 (11:59pm)	<ul style="list-style-type: none"> <li>Closing Date and time for AUM/ Total Gross Sales reporting in AMSF System.</li> <li>Completed FORMS               <ol style="list-style-type: none"> <li>A1 &amp; A2 by UTMC</li> <li>B1 &amp; B2 by IUTA</li> <li>C1 &amp; C2 by PRP</li> <li>D2 &amp; D2 by IPRA</li> </ol>               must be submitted to FIMM.             </li> </ul> <p><b>Note:</b>  <i>Please refer to FIMM's Consolidated Rules 3.4.7 Table 2, item (iii).</i></p>
11/01/2021 (12:00 noon)	<ul style="list-style-type: none"> <li>Submission of termination/ resignation of Consultant must be made <b>before 12:00 noon</b>.</li> <li>FIMM's acceptance on termination/resignation of Consultants is based on the <u>cover letter and listing</u> received via email/ hardcopy.</li> </ul>
12/01/2021 (11:59pm)	<ul style="list-style-type: none"> <li>All registrations other than examination submission submitted prior to 21/12/2020 (which are pending approval from members/ distributors) will be <b>AUTO REJECTED</b> in the system.</li> <li>Consultants with active status in the system will be <b>AUTO RENEWED</b>.</li> </ul>

## Appendix 1

Date	FIS SYSTEM - Description
	<b>i<sup>3</sup> &amp; PRS System</b>
<b>14/01/2021</b>	<ul style="list-style-type: none"><li>• All registration functions are <b>ENABLED</b>.</li><li>• Year 2021 renewed Consultants list is ready for download at "<b>Authorised UTC/ PRC Download</b>" in the respective system.</li></ul>
<b>28/02/2021</b>	Last day to make AMSF or Annual Fee payment to FIMM.

**FORM A1****Re: Assets Under Management as at 31 December 2020****(Circular Ref : BR/AL/SM/SO/VAL-af/035-20)**

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: Registration Department)****Company Name:** \_\_\_\_\_

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 Please send the completed slip to FIMM latest by **15 January 2021**


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We hereby declare that the following information on Assets Under Management (AUM) for **Unit Trust Schemes** as at 31 December 2020 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 A2

FOR UTMC

**COMPANY NAME:**

**Assets Under Management ("AUM") as at 31 December 2020**

No	Fund Name (in full)	Fund Group (A/B)*	Asset Category*	AUM (in RM) e.g. RM X,XXX,XXX.XX	Remarks
<b>TOTAL AUM</b>					

\* Please indicate in accordance with FIMM's fund group and asset category listing. A copy of the list is made available in AMSF System

We hereby declare that the above information of AUM for Unit Trust Schemes as at 31 December 2020 are complete, true and accurate.

**Prepared by:** \_\_\_\_\_

**Verified by:** \_\_\_\_\_

- Name: \_\_\_\_\_
- Designation: \_\_\_\_\_
- Company: \_\_\_\_\_
- Date: \_\_\_\_\_

- Name: \_\_\_\_\_
- Designation: \_\_\_\_\_
- Company: \_\_\_\_\_
- Date: \_\_\_\_\_

**FORM B1**

**Re: Total Gross Sales for the year ended 31 December 2020**

**(Circular Ref : BR/AL/SM/SO/VAL-af/035-20)**

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: Registration Department)**

**Company Name:** \_\_\_\_\_

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**Please send the completed slip to FIMM latest by 15 January 2021**

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We hereby declare that the following information on Total Gross Sales for **Unit Trust Schemes** for the year ended 31 December 2020 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:

<b><u>For FIMM use only</u></b>	
<b>Processed by BR Dept:</b> <b>Signature:</b> Name: Date:	<b>Checked by BR Dept:</b> <b>Signature:</b> Name: Date:
<b>Checked by Finance Dept:</b> <b>Signature:</b> Name: Date:	



**FORM B2**

COMPANY NAME:

Total Gross Sales for the year ended 31 December 2020

FOR IUTA

No	Fund Name (in full)	Fund Category (Normal/Low/No Load)*	Asset Category*	Total Gross Sales (in RM) e.g. RM X.XXX.XXX.XX	Remarks
<b>TOTAL GROSS SALES</b>					

\* Please indicate in accordance with FIMM's fund category and asset category listing. A copy of the list is made available in AMSF System

We hereby declare that the above information of Total Gross Sales for Unit Trust Schemes for the year ended 31 December 2020 are complete, true and accurate.

**Prepared by:** \_\_\_\_\_  
Name:  
Designation:  
Company:  
Date:

**Verified by:** \_\_\_\_\_  
Name:  
Designation:  
Company:  
Date:

**FORM C1****Re: Confirmation of Assets Under Management as at 31 December 2020****(Circular: BR/AL/SM/SO/VAL-af/035-20)**

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: Registration Department)****Company Name:** \_\_\_\_\_

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**Please send the completed slip to FIMM latest by 15 January 2021**


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We hereby declare that the following information on Assets Under Management (AUM) for **Private Retirement Schemes** as at 31 December 2020 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 C2

COMPANY NAME:

Assets Under Management ("AUM") as at 31 December 2020

FOR PRP

No	Fund Name (in full)	Fund Group (A/B)*	Asset Category*	AUM (in RM) e.g. RM X,XXX,XXX.XX	Remarks
<b>TOTAL AUM</b>					

\* Please indicate in accordance with FIMM's fund group and asset type category. A copy of the list made available in AMSF System.

We hereby declare that the above information of AUM for **Private Retirement Schemes** as at 31 December 2020 are complete, true and correct.

**Prepared by:** \_\_\_\_\_  
 Name:  
 Designation:  
 Company:  
 Date:

**Verified by:** \_\_\_\_\_  
 Name:  
 Designation:  
 Company:  
 Date:

**FORM D1****Re: Confirmation of Total Gross Sales for the year ended 31 December 2020****(Circular: BR/AL/SM/SO/VAL-af/035-20)**

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: Registration Department)****Company Name:** \_\_\_\_\_

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 Please send the completed slip to FIMM latest by **15 January 2021**


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We hereby declare that the following information on Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 2020 are complete, true and correct.

**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:

# FORM D2

FOR IPRA

COMPANY NAME:

Total Gross Sales for the year ended 31 December 2020

No	Fund Name (in full)	Fund Category (Normal/Low/No Load)*	Asset Category*	Total Gross Sales (in RM) e.g. RM X,XXX,XXX.XX	Remarks
<b>TOTAL GROSS SALES</b>					

\* Please indicate in accordance with FIMM's fund category and asset category listing. A copy of the list is made available in AMSF System.

We hereby declare that the above information of Total Gross Sales for Private Retirement Schemes for the year ended 31 December 2020 are complete, true and correct.

**Prepared by:** \_\_\_\_\_

Name:  
Designation:  
Company:  
Date:

**Verified by:** \_\_\_\_\_

Name:  
Designation:  
Company:  
Date: