

## CIRCULAR

Date:	07/10/2021	Ref No.:	BR/AL/SM/SO/VAL-af/061-21 (TOTAL NO. OF PAGES: 13)
To:	UTMC / PRS PROVIDERS, IUTA / IPRA, AND CUTA / CPRA		
Attn:	Authorised Representatives / Chief Executive Officers		

**YEAR 2022 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/OR 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 2021</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 2021</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
Softcopy Submission	<ul style="list-style-type: none"> <li>• <b>Must</b> complete and submit the attached Forms:               <ol style="list-style-type: none"> <li>a) <b>Forms A1 and A2</b> (for UTMC); and/ or</li> <li>b) <b>Forms C1 and C2</b> (for PRP); or</li> <li>c) The printed copy from AMSF System.</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>• <b>Must</b> complete and submit the attached Forms:               <ol style="list-style-type: none"> <li>a) <b>Forms B1 and B2</b> (for IUTA); and/ or</li> <li>b) <b>Form D1 and D2</b> (for IPRA); or</li> <li>c) The printed copy from AMSF System.</li> </ol> </li> </ul>	Not applicable

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA
	<ul style="list-style-type: none"> <li>A copy of System NAV Report must be submitted to support the information provided in Forms A1, A2 and/ or C1, C2 respectively.</li> </ul>	<ul style="list-style-type: none"> <li>A copy of System Sales Report must be submitted to support the information provided in Forms B1, B2 and/ or D1, D2 respectively.</li> </ul>	

### **AMSF / Annual Fee Calculation**

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA	Consultants
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 for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>AMSF for 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 for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>Annual Fee for 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 for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the <b>Annual Fee for CUTA / CPRA.</b></li> </ul>	<ul style="list-style-type: none"> <li>RM50 each</li> <li>Annual fees for Consultants are prescribed in <b>Schedule B &amp; D Appendix 1</b> of the <b>Registration Manual.</b></li> </ul>

### **Renewal of Consultants' Registration**

- Members and distributors are required to submit termination / resignation of Consultants in i<sup>3</sup> and PRS system respectively and submit a softcopy cover letter to FIMM **before 12:00 noon, 10 January 2022.**
- The registration of all active Consultants will be renewed automatically in the Registration system after the stipulated cut-off date and time.
- As part of the renewal of registration for consultants, all members and distributors must ensure that:

- i. the Consultant has submitted **Statutory Declaration (SD)** on a biennial basis. The submission should be made not more than 12 months from the SD's attestation date;
  - ii. the Consultant has attained sufficient **Continuing Professional Development (CPD)** points as stipulated in Chapter 7 of the FIMM's Consolidated Rules (FCR) prior to renewal; and
  - iii. the Consultants' CPD records are updated to reflect all seminars/courses attended upon submission to FIMM.
- d) Members and distributors must pay all fees incurred on the Consultants' renewal of registration. FIMM will not entertain any appeal of fees for failure to submit termination or resignation of Consultant(s) within the stipulated timeline.

### **Cessation of Issuance of Physical Authorisation Card**

With reference to Circular RD/AL/KLR/SM/SO-cc/051-21 issued on 9 August 2021, the issuance of physical Authorisation Cards for UTS/PRS Consultants has ceased since 21 August 2021 and RM3 authorisation card fee should no longer be charged to the Consultants for the renewal of their registration.

### **Reminder**

The enclosed Appendix 1 contain submission schedule of:

- a) Assets Under Management (AUM) by UTMC / PRP;
- b) Total Gross Sales by IUTA / IPRA; and
- c) Renewal of registration for 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 the FCR for failure to comply with such deadlines.

Should you require any further clarification, please do not hesitate to contact Registration Department at 011-1549 2059 or [registration@fimm.com.my](mailto:registration@fimm.com.my).

Thank you.

Yours faithfully,  
Federation of Investment Managers Malaysia



**SAHLAWATI MUSTAFA**  
General Manager  
Regulatory Services Division

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## 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
20/12/2021 – 10/01/2022	<ul style="list-style-type: none"> <li>All registration functions are <b>DISABLED</b> except for examination and termination/resignation.</li> </ul>
03/01/2022	<ul style="list-style-type: none"> <li>AMSF System opens for:               <ul style="list-style-type: none"> <li>a) UTMC/ PRP to key in AUM</li> <li>b) IUTA/ IPRA to key in Total Gross Sales</li> </ul> </li> </ul>
03/01/2022	<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 December 2021 to <a href="mailto:registration@fimm.com.my">registration@fimm.com.my</a>. (Please refer to UTS Application Kit – Table 14 &amp; PRS Application Kit – Table 13)</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>
10/01/2022 (12:00 noon)	<ul style="list-style-type: none"> <li>Submission of termination/ resignation of Consultant must be made <b><u>before 12:00 noon</u></b>.</li> <li>FIMM's acceptance on termination/resignation of Consultants is based on the <u>cover letter and listing</u> received via email.</li> </ul>
11/01/2022 (11:59pm)	<ul style="list-style-type: none"> <li>All registrations other than examination submission submitted prior to 20/12/2021 (which are pending approval from members/ distributors) will be <b><u>AUTO REJECTED</u></b> in the system.</li> <li>Consultants with active status in the system will be <b><u>AUTO RENEWED</u></b>.</li> </ul>
13/01/2022	<ul style="list-style-type: none"> <li>All registration functions are <b>ENABLED</b>.</li> <li>Year 2022 renewed Consultant's list is ready for download at “<b>Authorised UTC/ PRC Download</b>” in the respective system.</li> </ul>

Date	FIS SYSTEM - Description
	i <sup>3</sup> & PRS System
<p><b>14/01/2022 (11:59pm)</b></p>	<ul style="list-style-type: none"> <li>• Closing Date and time for AUM/ Total Gross Sales reporting in AMSF System.</li> <li>• Completed FORMS, whichever applicable:               <ul style="list-style-type: none"> <li>a) A1 &amp; A2 by UTMC</li> <li>b) B1 &amp; B2 by IUTA</li> <li>c) C1 &amp; C2 by PRP</li> <li>d) D2 &amp; D2 by IPRA</li> </ul>               must be submitted to FIMM.             </li> </ul> <p><b>Note:</b>  <b>Please refer to FIMM's Consolidated Rules - Rule 3.4.7 Table 2, item (iii).</b></p>
<p><b>28/02/2022</b></p>	<p>Last day to make AMSF or Annual Fee payment to FIMM.</p>

**FORM A1****Re: Assets Under Management as at 31 December 2021****(Circular Ref : BR/AL/SM/SO/VAL-af/061-21)**

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 **14 January 2022**


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We hereby declare that the following information on Assets Under Management (AUM) for **Unit Trust Schemes** as at 31 December 2021 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 2021**

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 2021 are complete, true and accurate.

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

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

**FORM B1****Re: Total Gross Sales for the year ended 31 December 2021****(Circular Ref : BR/AL/SM/SO/VAL-af/061-21)**

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 **14 January 2022**


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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 2021 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:



# FORM B2

FOR IUTA

COMPANY NAME:

Total Gross Sales for the year ended 31 December 2021

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 2021 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 2021****(Circular: BR/AL/SM/SO/VAL-af/061-21)**

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 **14 January 2022**

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We hereby declare that the following information on Assets Under Management (AUM) for **Private Retirement Schemes** as at 31 December 2021 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

FOR PRP

COMPANY NAME:

Assets Under Management ("AUM") as at 31 December 2021

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 2021 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 2021**

**(Circular: BR/AL/SM/SO/VAL-af/061-21)**

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:** \_\_\_\_\_

**Please send the completed slip to FIMM latest by 14 January 2022**

We hereby declare that the following information on Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 2021 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:

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

# FORM D2

FOR IPRA
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**COMPANY NAME:**

**Total Gross Sales for the year ended 31 December 2021**

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 2021 are complete, true and correct.

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

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