

15 September 2016

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**TO** : UTMC, IUTA, CUTA, PRS PROVIDERS, IPRA AND CPRA  
("DISTRIBUTORS")

**ATTN.** : CHIEF EXECUTIVE OFFICER / AUTHORISED REPRESENTATIVE

**TRANSITIONAL PERIOD FOR RULE 3.4.7, SUBMISSION REQUIREMENT FOR ITEM (i),  
TABLE 2 OF FIMM'S CONSOLIDATED RULES**

Reference is made to FIMM's Consolidated Rules which came into effect on 1 Jun 2016. As stated under **Rule 3.4.7, Submission Requirement for Item (i), Table 2 of FIMM's Consolidated Rules**, the Distributors are required to submit to FIMM on the following reports within 7 business days from the end of every quarter of a calendar year:

- (a) complaint received from investors and general public; and
- (b) trend analysis on complaint received.

Please be informed that the above submission requirement will only come into effect on 1 January 2017.

In this transitional period, i.e. until 31 December 2016, the Distributors are required to enhance its resources, internal processes and system to ensure effective implementation and full compliance to the requirement of **Rule 3.4.7, Submission Requirement for Item (i), Table 2 of FIMM's Consolidated Rules** upon its effective date on 1 January 2017.

For further clarification, please contact Mohd Haziq Dhiyauddin bin Razali, Legal and Regulatory Affairs Department at 03-2093 2600 ext 301.

Thank you.

Yours faithfully  
Federation of Investment Managers Malaysia



**FARIQ BIN HASSAN**  
General Manager  
Regulatory Services