

7 December 2011

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TO : ORDINARY MEMBERS, IUTA & CUTA

ATTN. : CHIEF EXECUTIVE OFFICER/AUTHORISED
REPRESENTATIVE

**STATUTORY DECLARATION FOR THOSE INTENDING TO REGISTER AS UNIT TRUST
CONSULTANTS (“UTC”) AND UTC INTENDING TO RENEW REGISTRATION WITH FIMM**

Please find enclosed the revised “Statutory Declaration for Registration of Unit Trust Consultants” (“SD1”) and “Statutory Declaration for Continuous Eligibility Requirements of Unit Trust Consultants (UTC) (“SD2”).

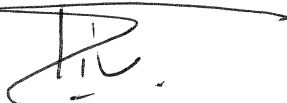
Your attention is brought to paragraphs 11 and 9 of SD1 and SD2 respectively which have been amended (amendments are highlighted in bold for ease of reference) and new paragraphs 12 and 10 of SD1 and SD2 respectively which have been included (as highlighted in bold for ease of reference).

Please be advised that effective **1 January 2012**, SD1 must be completed by persons intending to register with the FIMM as UTC and SD2 must be completed by UTC intending to renew their registration with the FIMM, where applicable. Kindly ensure that this information is disseminated to your UTC.

Should you have any query regarding the same or require a softcopy of SD1 and SD2, please do not hesitate to contact Ms. Charandave Kaur (Sharon) of Legal, Secretarial & Regulatory Affairs at 03-2093 2600 (ext: 309).

Thank you.

Yours faithfully,
Federation of Investment Managers Malaysia



HAFIZAH ABDUL GHANI
General Manager, Regulatory Services

c.c. Pn. Shamsul Bahriah Shamsudin
Head, Institution Supervision Department
Market Supervision Division
Securities Commission Malaysia

**STATUTORY DECLARATION FOR
REGISTRATION OF UNIT TRUST CONSULTANTS**

I, _____ NRIC No. _____

of _____

do solemnly and sincerely affirm and declare as follows:

- 1 I am an agent / staff of unit trust management company / corporate representative of institutional unit trust adviser / corporate representative of corporate unit trust adviser of *

I am not tied to any other unit trust management company, institutional unit trust adviser or corporate unit trust adviser.

- 2 I am 21 years old or above.
- 3 I possess a minimum Grade 3 Sijil Pelajaran Malaysia (SPM) or its equivalent.
- 4 I have not been convicted by any court or other competent authority in Malaysia or overseas for any fraudulent or dishonest acts.
- 5 I have never been convicted of any criminal offences in Malaysia or overseas.
- 6 I have never been convicted of any offence under the securities laws in Malaysia or overseas.
- 7 I have not been convicted of an offence involving fraud or other dishonesty, or been convicted for any offence in which involved a finding that I have acted fraudulently or dishonestly in Malaysia or overseas.
- 8 I have not contravened any provision of any written law that has been enacted for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice in Malaysia or overseas.
- 9 I have never been censured or reprimanded by, or denied / disqualified from membership of a professional or trade body or a regulatory license, registration of similar approval has been refused or revoked in Malaysia or overseas.
- 10 I am not an undischarged bankrupt nor have I failed to meet any judgment debts in Malaysia or overseas.
- 11 I understand and agree that any inaccurate declaration or non-disclosure *herein or* of any change(s) to the information or declaration provided *hereafter which is inaccurate* will result in de-registration.
- 12 *I understand and agree that the Federation of Investment Managers Malaysia ("FIMM") reserves the right to publish my name and my status following any action taken by the FIMM thereafter due to my misconduct or non-compliance with any of the guidelines, codes and by-laws issued by the FIMM or the de-registration mentioned in paragraph 11 above in the website of the FIMM, print, electronic media and wherever else deemed necessary by the FIMM.*

I made this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declaration Act 1960.

Subscribed and solemnly affirmed and declared
by the above-named

_____ at

in the state of _____

_____ day of _____, _____
(month) (year)

Applicant's signature

Before me,

Commissioner for Oaths

* *Please strike off whichever is not applicable*

SAMPLE

FOR EXISTING UTC

STATUTORY DECLARATION FOR
CONTINUOUS ELIGIBILITY REQUIREMENTS OF UNIT TRUST CONSULTANTS (UTC)

I, _____ NRIC No. _____

of _____

do solemnly and sincerely affirm and declare as follows:

- 1 I am an agent / staff of unit trust management company / corporate representative of institutional unit trust adviser / corporate representative of corporate unit trust adviser of *

I am not tied to any other unit trust management company, institutional unit trust adviser or corporate unit trust adviser.

- 2 I have not been convicted by any court or other competent authority in Malaysia or overseas for any fraudulent or dishonest acts.
- 3 I have never been convicted of any criminal offences in Malaysia or overseas.
- 4 I have never been convicted of any offence under the securities laws in Malaysia or overseas.
- 5 I have not been convicted of an offence involving fraud or other dishonesty, or been convicted for any offence in which involved a finding that I have acted fraudulently or dishonestly in Malaysia or overseas.
- 6 I have not contravened any provision of any written law that has been enacted for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice in Malaysia or overseas.
- 7 I have never been censured or reprimanded by, or denied / disqualified from membership of a professional or trade body or a regulatory license, registration of similar approval has been refused or revoked in Malaysia or overseas.
- 8 I am not an undischarged bankrupt nor have I failed to meet any judgment debts in Malaysia or overseas.
- 9 I understand and agree that any inaccurate declaration or non-disclosure *herein or* of any change(s) to the information or declaration provided *hereafter which is inaccurate* will result in de-registration.
- 10 *I understand and agree that the Federation of Investment Managers Malaysia ("FIMM") reserves the right to publish my name and my status following any action taken by the FIMM thereafter due to my misconduct or non-compliance with any of the guidelines, codes and by-laws issued by the FIMM or the de-registration mentioned in paragraph 9 above in the website of the FIMM, print, electronic media and wherever else deemed necessary by the FIMM.*

I made this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Statutory Declaration Act 1960.

Subscribed and solemnly affirmed and declared
by the above-named

_____ at

in the state of _____

_____ day of _____, _____
(month) (year)

UTC's signature

Before me,

Commissioner for Oaths

* *Please strike off whichever not applicable*