

7 February 2014

CIRCULAR : LSRA/AL/MN-pky/004 -14  
TO : MEMBERS, IUTA AND CUTA  
ATTN. : AUTHORISED REPRESENTATIVE/CHIEF EXECUTIVE OFFICER

Dear Sir/Madam

**CONSENT FOR USAGE OF PERSONAL DATA OF UNIT TRUST CONSULTANTS (“Consultants”), DIRECTORS AND EMPLOYEES OF MEMBERS, IUTA AND CUTA**

We refer to our Circular dated 26 November 2013 (Ref No. Circular BR/AL/AKK/TLK-sc/056-13) regarding consent for publishing information of Consultants.

FIMM collects, processes, uses, stores and/or shares the following personal information of your Consultants, authorised representative, directors, officers and employees of your company (including attestation by Commissioner for Oath, signatories to distribution agreements, auditors, individuals other than investors named in quarterly complaint reports) (where applicable) (collectively “Persons”):

- (a) Consultant’s name, national registration identification number (NRIC) or passport number (copy of the same), date of birth, gender, address (including correspondence address and residential address), contact number (including mobile number and fax number), email address, FIMM registration number, qualifications (including transcripts and certificates), resume, photograph, signature, including performance on sales (for certain exemption cases), status of registration, effective date of registration, personal data in relation to Consultant’s family members, sensitive data such as race, personal health information, medical report or certification for CPD exemptions, bankruptcy discharge letter;
- (b) Authorised Representative’s name, NRIC or passport number, address, contact number, fax number, email address, designation, signature and profile;
- (c) Director’s name, NRIC or passport number, address, contact number, fax number, email address, designation, signature; and
- (d) Employee’s name, NRIC or passport number, address, contact number, fax number, email address, designation, signature.

Since the Persons are under your employment or have contractual relationship with you as well as acting in their fiduciary capacities, kindly ensure that the requisite consents in writing for the use of their personal data as required under the Personal Data Protection Act 2010 (“PDPA/the said Act”) are obtained. This would allow FIMM to do the following:-

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- (a) Discharge our duties, functions and obligations as a self-regulatory organisation under the rules and guidelines of FIMM, codes and Memorandum and Articles of Association of FIMM, Capital Markets and Services Act 2007 and securities laws;
- (b) Facilitate the resolution of a complaint or dispute;
- (c) Publish the Consultant's information on our website as well as to furnish relevant information to the authorities and/or associations for the purpose of monitoring the activities of the Consultants and handling misconduct to protect investors; and
- (d) Provide ongoing information about events, activities and programmes relating to the investment management industry.

Pursuant to Section 145 of PDPA, all parties and institutions are given 3 months to comply with the provisions of the said Act from the date in which the said Act comes into force. As the PDPA recently came into operation on 15 November 2013, please ensure that you have obtained the required consents from the Persons and have put in place the processes and antecedent requirements to ensure your company is PDPA compliant before 15 February 2014.

If you need any clarification, please contact Poh Khie Yee (ext 301) or Sharon Kaur (ext 303) of Legal, Secretarial & Regulatory Affairs at 03-2093 2600.

Thank you.

Yours faithfully,  
Federation of Investment Managers Malaysia



Mohamed Niza b Abu Bakar  
Chief Executive Officer