

22 Sept 2010

CIRCULAR IT/AL/LSH-GT/044-10
(TOTAL NO. OF PAGES:3)
INCLUDING THIS PAGE

TO : ALL MEMBERS

**ATTN : CHIEF EXECUTIVE OFFICER
& ALL I3 SYSTEM USERS**

RE : RENEWING OF UNIT TRUST CONSULTANT (UTC) FOR THE YEAR 2011

All members' UTC registrations will expire on 31 Dec 2010. In order for members to renew their UTCs for the year 2011, the i3 system UTC renewal function will be enabled from 1st Oct 2010 to 10th Jan 2011. Please refer to the appendix for details of the renewal datelines.

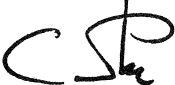
The UTC renewal can be done using the i3 system renewing process of compile then approve, or using the Data Uploading Tools under File Transfer to upload UTC renewal list into the system and then approve. UTCs who are not renewed by 10th Jan 2011 will be terminated by the system and will each be charged a re-registration fee of RM73 should they decide to re-register as UTC on a later date. Re-registration fee is only waived for those UTCs who have renewed for that year.

There is no payment required at the time of renewal as the UTC fee and card fee for 2011 will be calculated later based on the total number of UTC renewed for 2011. These fees will be included as part of the annual membership subscription fee for the year 2011. UTCs that are renewed but subsequently resigned or terminated before 27 Dec 2010 will not be charged.

If you have any questions, please do not hesitate to call our Business Registration Services or Information Technology Department at 03-2093 2600.

Thank you.

Yours faithfully
FEDERATION OF INVESTMENT MANAGERS MALAYSIA


LEE SIEW HOONG
Executive Director

Datelines for UTC renewal and keying in of the AUM/Sales (UTMC/IUTA) into the i3 system for year 2011. (CUTA does not need to key in AUM or Sales)

1 Oct 10 - 10 Jan 11

- UTC renewal function in i3 system will be enabled on 1 Oct 10 for members to start renewing UTC for the year 2011.
 - Renewal will only be approved after FIMM received the cover letter with the renewal listing.
 - The UTC expiry dates will be changed to Dec 2011 in the i3 system upon approval.
 - UTC Card will be issued within three weeks of approval.
 - The expiry date on UTC card and on FIMM website will be shown as Jan 2012.
 - No payment is required at the time of renewal as the UTC fee and card fee will be calculated on the 11 Jan 2011 based on the total number of UTC renewed. These fees will be included in the annual membership subscription fee (AMSF) or annual fee.
 - After renewing, if the UTC subsequently resigned or is terminated before 27 Dec 10, the UTC will not be charged. These UTC expiry dates will remain as Dec 10.

27 Dec 10 – 10 Jan 11

- UTC Re-registration and Resign/Terminate functions in i3 system will be disabled.
- FIMM will process all pending renewal, re-registration, and resign/term batches on FIMM side by 10 Jan 11.

1 Jan 11

- Notification to key in AUM/Sales into the i3 system by 10 Jan 11 will be sent out to UTMC/IUTA.
- Final Notification to Renew UTC by 10 Jan 11 will be sent out.

10 Jan 11 (End of day)

- All re-registration, resign/termination, and renewal batches pending approval on member side will be reversed out.
- All non renewed UTC will then be terminated by the system.

11 Jan 11

- UTC Re-registration and Resign/Terminate functions in i3 system will be enabled back.
 - UTC Renewal function in i3 system will be disabled.
 - A reminder to key in AUM/Sales by 20 Jan 11 will be sent out.
 - AMSF or Annual Fee Payment Notification will be sent out as and when UTMC/IUTA keyed in the AUM/Sales.
 - Annual Fee Payment Notification will be sent out to CUTA.
-

31 Jan 11

- I3 system will block candidate registration if AUM/Sales has not been keyed in.

1 Feb 11

- 1st Payment Reminder will be sent out.

11 Feb 11

- 2nd Payment Reminder will be sent out.

28 Feb 11

- I3 system will block candidate registration if payment has not been made.

Uploading UTC list for renewal using i3 system

For companies having thousands of UTC to renew, it is easier to use the Data Uploading Tools under File Transfer in the i3 system. The uploading instruction is on page 159-161 of the i3 system user manual. The details of the file format to upload are on page 203, 204 and 209. A sample file is shown below:

```

009FMUTM pwu030120080115100002
009-0-1 01-01-09 671221-01-5070
009-0-1 02-08-08 5002-08-5008
009-0-1 01-07-08 6001-07-5004
009-0-1 05-05-08 5000-05-5003
009-0-1 08-05-08 7000-08-5003
009-0-1 04-05-08 6000-04-5007
009-0-1 07-06-08 7007-06-5008
009-0-1 10-05-08 7000-10-5004
009-0-1 01-06-08 7001-06-5005
009-0-1 24-10-08 7024-10-5008
009-0-1 09-08-08 5009-08-5001
009-0-1 03-01-08 6003-01-5005
009-0-1 11-02-08 6011-02-5002
009-0-1 08-08-08 7008-08-5002
009-0-1 06-10-08 6006-10-5007

```

For the example shown:

File name : 009pwu03012008-01.txt

Company code : 009 (Use your company code here)

Renewal uploading file : pwu (fixed)

Uploading date (ddmmyyyy) : 03012008

Number of upload file for that date : - 01 for 1st file.

Number of record excluding the record header : 01151 (5 digits)

Number of column in file : 00002 (fixed)

For a list of the active UTC, members can download from the i3 system under UTC→UTC Details → Download Active UTC.