



5 October 2017

Circular: BR/AL/NAT/AJ-af/050-17
(TOTAL NO. OF PAGES: 8)
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TO : MEMBERS / IUTAs

ATTN : CHIEF EXECUTIVE OFFICER / AUTHORISED REPRESENTATIVE

FOR THE YEAR 2018: ANNUAL RENEWAL OF REGISTRATION AND PAYMENTS OF:

- a) **ANNUAL MEMBERSHIP SUBSCRIPTION FEE ("AMSF") FOR MEMBERS OR ANNUAL FEE FOR INSTITUTIONAL UNIT TRUST SCHEMES ADVISERS ("IUTAs"); AND**
- b) **ANNUAL FEE FOR UNIT TRUST SCHEMES ("UTS") CONSULTANTS.**

The above matter refers.

For the year 2018, we enclose herewith **Appendix 1** setting out the Schedule for Submission of Asset Under Management ("AUM") / Total Gross Sales by Members, IUTAs and renewal of registration of UTS Consultants.

We would like to inform the Members and IUTA on the following submissions to Federation of Investment Managers Malaysia ("FIMM") latest by **10 January 2018**:

A. Online submission

- (i) Members must submit online the AUM as at 31 December 2017 of each fund under the respective group A and group B as well as the total aggregate through the AMSF System; and
- (ii) IUTAs must submit online the Total Gross Sales for the year ended 31 December 2017 of each fund under the respective fund categories as well as the total aggregate through the AMSF System.

B. Submission of hardcopy

In addition to A. above, the following documents must be submitted in hardcopy to FIMM latest by **10 January 2018**:

- (i) Members must complete and submit Forms A1 and A2 as attached or the Forms can be printed from the AMSF System. A copy of the System NAV Report must also be submitted in support of the information provided in Forms A1 and A2 respectively; and
- (ii) IUTAs must complete and submit Forms B1 and B2 as attached or the Forms can be printed from the AMSF System. A copy of System Sales Report must also be submitted in support of the information provided in Forms B1 and B2 respectively.

C. Renewal of registration of UTS Consultants for 2018

Members and IUTAs must submit the renewal of registration for UTS Consultants through i3 System from **1 November 2017 till 15 January 2018**. An annual fee and card fee for UTS Consultants are calculated based on the total number of UTS

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Consultants renewed and shall be included as part of the AMSF or Annual Fee of Members or IUTAs.

Failure to renew UTS Consultants by **12.00 noon on 15 January 2018** will result in termination of UTS Consultants by the system. As a result of non-renewal of registration of UTS Consultants within the deadline prescribed by FIMM, these former Consultants may register at a later date together with applicable fees in accordance with the registration requirements and fees schedule as set out in FIMM's Consolidated Rules and FIMM's Registration Manual respectively.

D. Registration requirements prior renewal

For the purposes for renewal of registration of UTS Consultant, the Members and IUTAs must ensure:

- (i) A UTS Consultant must submit to their Members or IUTAs the Statutory Declaration for Renewal of Registration ("SD") effective 2 October 2017 (**Appendix 2**), which is attested not more than 12 months from the submission date on a biennial basis;
- (ii) Compliance with the Continuing Professional Development ("CPD") requirement. A UTS Consultant must obtain a minimum of 16 CPD points annually prior to renewal of his registration. Failure to obtain sufficient points will result in the termination of registration of that UTS Consultant; and
- (iii) The CPD records must be updated accordingly for all seminars/courses attended by their UTS Consultants and submit a list of all UTS Consultants renewed together with their CPD points' record to FIMM **latest by 12.00 noon on 15 January 2018**. A copy of the "UTS Consultants Renewal List" template can be downloaded from FIMM website – "UTS Application Kit".

Please **observe the deadlines** as stated in **Appendix 1** as any application for deferment and/or extension of time will not be entertained. Please also be reminded that FIMM may take any action it deems fit under Rule 2.1.3 of FIMM's Consolidated Rules for failure to comply with such deadlines.

Should you need further clarification, please contact Cik Afza (ext. 308) or Ms. Valli (ext. 325) at Business Registration Department at 03-20932600.

Thank you.

Yours faithfully,
Federation of Investment Managers Malaysia



DATO' NORAZHARUDDIN ABU TALIB
Chief Executive Officer

Encl.

Schedule for Submission of AUM / Total Gross Sales by Members and IUTAs and renewal of registration of UTS Consultants for the year 2018.

Date	Description
01/11/2017	<ul style="list-style-type: none"> • I³ System UTS Consultant Renewal functions – ENABLED. • Renewal will only be approved by FIMM upon receiving the cover letter together with the UTS Consultant renewal listing. (Please refer to UT Application Kit – Table 14) • The expiry date printed on the UTS Consultant card and published on FIMM website will be shown as Jan 2019.
22/12/2017 – 15/01/2018	<ul style="list-style-type: none"> • Registration of former UTS Consultants, variation of registration, exemption and resignation / termination of UTS Consultant functions in I³ System will be DISABLED.
02/01/2018	<ul style="list-style-type: none"> • UTMCS / IUTAs to key-in AUM / Total Gross Sales respectively in AMSF System.
10/01/2018 (11.59pm)	<ul style="list-style-type: none"> • Closing Date for keying in AUM/Total Gross Sales. • Complete FORM A1 & A2 or FORM B1 & B2 must reach FIMM. <p>(Note: The submission requirement as per Table 2, item iii of Rule 3.4.7 of FIMM’s Consolidated Rules)</p>
<u>15/01/2018</u> <u>(12.00noon)</u>	<ul style="list-style-type: none"> • Closing Date for renewal of UTS Consultant is until <u>12.00 noon</u>. • UTS Consultant Renewal function in I³ System will be DISABLED after 12.00 noon.
15/01/2018 Midnight	<ul style="list-style-type: none"> • All registration of former UTS Consultants, variation of registration, resign / termination, and renewal of UTS Consultant batches pending approval at UTMCS / IUTAs in I³ System will be removed. • I³ System will AUTO TERMINATE all UTS Consultants that are NOT RENEWED.
17/01/2018	<ul style="list-style-type: none"> • Registration of former UTS Consultants, variation of registration, exemption and resignation / termination of UTS Consultant functions in I³ System will be ENABLED. • UTMCS and IUTAs may obtain the list of renewed UTS Consultants for the year 2017 by downloading a report from I³ System, namely “Authorised UTC Download”
19/01/2018	<ul style="list-style-type: none"> • AMSF or Annual Fee tax invoice will be sent out to UTMCS and IUTAs.
30/01/2018	<ul style="list-style-type: none"> • Payment of AMSF or Annual Fee must reach FIMM.

FORM A1

Re: Assets Under Management as at 31 December 2017

(Circular Ref : BR/AL/NAT/AJ-af/050-17)

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: Business Registration Department)

Company Name: _____

Please send the completed slip to FIMM latest by 10 January 2018

We hereby declare that the below information of Assets Under Management (AUM) for Funds as at 31 December 2017 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 B1

Re: Total Gross Sales for the year ended 31 December 2017

(Circular Ref : BR/AL/NAT/AJ-af/050-17)

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: Business Registration Department)

Company Name: _____

Please send the completed slip to FIMM latest by 10 January 2018

We hereby declare that the below information of Total Gross Sales for Unit Trust Schemes for the year ended 31 December 2017 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:

STATUTORY DECLARATION FOR RENEWAL OF REGISTRATION

Please tick (✓) whichever is applicable on the boxes provided

 Unit Trust Scheme (UTS) Consultant Private Retirement Scheme (PRS) Consultant

I, _____ [name of applicant] bearing NRIC/passport no. _____
of _____ [latest correspondence address i.e. place of residence]

act as a *UTS consultant and/or a *PRS consultant for _____ [name of distributor] (the principal)
only; do solemnly and sincerely declare that:

1. I fulfill the eligibility requirements prescribed under the rules of the Federation of Investment Managers Malaysia (FIMM).
2. I am fit and proper as prescribed under Chapter 4 of FIMM's Consolidated Rules.
3. I have fulfilled the requirements of the continuing professional development (CPD) programme of FIMM, and obtained the requisite CPD points for my renewal of registration with FIMM.
4. I have given my consent to the principal for my personal data to be disclosed to and used by FIMM for regulatory purposes, and undertake to keep my personal data updated by notifying the principal of any changes.
5. I understand and agree that FIMM may:
 - (a) require me to disclose and provide information and documents relating to any matter under the rules of FIMM;
 - (b) require my attendance at any meeting, proceeding or hearing of FIMM;
 - (c) disclose and provide information, documents and records concerning me, including any action taken and sanction imposed against me, to the Securities Commission Malaysia (SC) and other authorities or bodies for regulatory purposes;
 - (d) disclose, in the manner FIMM considers appropriate, my name and registration details to the public;
 - (e) publish, in the manner FIMM considers appropriate, any information regarding the suspension or revocation of my registration, actions taken and sanctions imposed against me, if any; and
 - (f) revoke my registration if this declaration is found to be, wholly or partly, false or misleading.
6. I undertake and agree to:
 - (a) at all times, be bound by and comply with FIMM Rules, securities laws and other applicable laws;
 - (b) timely and fully pay all fees and charges imposed by FIMM and do all things necessary for my registration with FIMM;
 - (c) provide all information and documents requested by FIMM for purposes of my registration;
 - (d) provide full cooperation and assistance to FIMM in all matters pertaining to my registration; and
 - (e) immediately notify the principal and/or FIMM in the event that I fail to satisfy any of the fit and proper criteria prescribed by FIMM.

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

Subscribed and solemnly declared
by the above named

_____ at

in the state of _____

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

Applicant's signature

Before me,

Commissioner for Oaths

* Please strike off whichever not applicable

Effective date 02/10/2017