

19 October 2015

**Circular : BR(PRS)/AL/FH/TLK-af/057-15**

(TOTAL NO. OF PAGES: 8)

INCLUDING THIS PAGE

**TO : PRS PROVIDERS / INSTITUTIONAL PRS ADVISERS / CORPORATE PRS ADVISERS**

**ATTN : CHIEF EXECUTIVE OFFICER / AUTHORISED REPRESENTATIVES**

**PAYMENT OF:**

- a) **ANNUAL MEMBERSHIP SUBSCRIPTION FEE ("AMSF") OR ANNUAL FEE OF PRIVATE RETIREMENT SCHEME ("PRS") PROVIDERS, INSTITUTIONAL PRS ADVISERS OR CORPORATE PRS ADVISERS FOR THE YEAR 2016**
- b) **ANNUAL FEE FOR PRS CONSULTANTS FOR THE YEAR 2016**

Your attention is brought to the abovementioned payments for the year 2016 and schedule for submission of Asset Under Management ("AUM") / total gross sales and renewal of registration of PRS Consultants as per **Appendix 1**.

PRS Providers and Institutional PRS Advisers are required to submit the following documents to Federation of Investment Managers Malaysia ("FIMM") latest by **20 January 2016**:

- (i) PRS Providers are to submit the AUM as at 31 December 2015 of each PRS under the respective group A and group B as well as the total aggregate by completing the attached FORM C1 and FORM C2;
- (ii) Institutional PRS Advisers are to submit the total gross sales for the year ended 31 December 2015 of each PRS under the respective fund category as well as the total aggregate by completing the attached FORM D1 and FORM D2; and
- (iii) PRS Providers and Institutional PRS Advisers are to submit System NAV Report or System Sales Report respectively in support of the above submissions.

All PRS Consultants shall be renewed through the PRS Registration System unless the termination or resignation of PRS Consultants have been submitted to FIMM by **31 December 2015**. Each former PRS Consultant will be charged a re-registration fee of RM77.40 (inclusive GST) in the event that the former PRS Consultant decides to re-register at a later date.

Annual fees for PRS Consultants are calculated based on the total number of PRS Consultants renewed and shall be included as part of the AMSF or Annual Fee of PRS Providers, Institutional PRS Advisers or Corporate PRS Advisers.

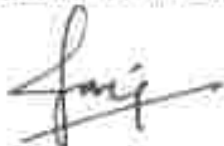
As a prerequisite for renewal, on biennial basis, the PRS Consultants are required to submit to their principal the Statutory Declaration for Continuous Eligibility Requirements of PRS Consultant ("SD") which is attested not more than 12 months from the submission date. Please ensure that all the SDs must be properly maintained for record and audit purposes. Principals are not required to submit the SD to FIMM.

Please **observe the deadlines** as stated in **Appendix 1** as any application for deferment and/or extension of time will not be entertained.

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

Thank you.

Yours faithfully,  
Federation of Investment Managers Malaysia



**FARIQ BIN HASSAN**  
General Manager  
Regulatory Services

Encl.

**Schedule for Submission of AUM / Total Gross Sales and renewal of registration of PRS Consultants for the year 2016.**

Date	Description
21/12/2015 – 03/01/2016	<ul style="list-style-type: none"> <li>• PRS Consultants Re-registration and Exemption functions will be <b>DISABLED</b>.</li> </ul>
<u>31/12/2015 (12.00noon)</u>	<ul style="list-style-type: none"> <li>• Closing date for submission of Termination/Resignation of PRS Consultants.</li> <li>• <b>Termination/Resignation of PRS Consultants will only be approved by FIMM upon receiving the cover letter together with the termination/resignation of PRS Consultants listing.</b></li> </ul>
31/12/2015	<ul style="list-style-type: none"> <li>• Fund group and fund category of each private-retirement scheme will be sent to PRS Providers and Institutional PRS Advisers via email.</li> </ul>
31/12/2015 (Midnight)	<ul style="list-style-type: none"> <li>• All re-registration, exemption and resign/termination batches pending approval at <b><u>PRS Providers/Institutional PRS Adviser/Corporate PRS Advisers</u></b> in PRS System will be removed.</li> <li>• PRS Consultants who have not been terminated/resigned in PRS Registration System, the status of the PRS Consultants will remain as active.</li> </ul>
04/01/2016	<ul style="list-style-type: none"> <li>• PRS Consultants Re-Registration and Exemption functions will be <b>ENABLED</b>.</li> <li>• PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers may obtain the list of renewed PRS Consultants for the year 2016 by downloading a report from PRS Registration System, namely "<b>Authorized PRC Download</b>".</li> </ul>
04/01/2016	<ul style="list-style-type: none"> <li>• PRS Providers and Institutional PRS Advisers to submit the AUM or Total Gross Sales respectively by completing FORM C1 &amp; C2 or FORM D1 &amp; D2 accordingly.</li> <li>• Corporate PRS Advisers are not required to submit AUM/Total Gross Sales.</li> </ul>
<u>20/01/2016 (12.00noon)</u>	<ul style="list-style-type: none"> <li>• Closing date for submission of the AUM / Total Gross Sales.</li> <li>• FORM C1 &amp; C2 or FORM D1 &amp; D2 must reach FIMM.</li> </ul>

21/01/2016	<ul style="list-style-type: none"><li>• PRS Providers and Institutional PRS Advisers who fail to submit the AJM/Total Gross Sales, will be <b>BLOCKED</b> to register candidate(s) / consultant(s).</li></ul>
22/01/2016	<ul style="list-style-type: none"><li>• AMSF or Annual Fee Payment Invoice will be sent out to PRS Provider / Institutional PRS Adviser / Corporate PRS Adviser.</li></ul>
28/02/2016	<ul style="list-style-type: none"><li>• PRS Providers / Institutional PRS Advisers / Corporate PRS Advisers who failed to make payments, will be <b>BLOCKED</b> to register candidate(s) / consultant(s).</li></ul>

# FORM C1

Re: Confirmation of Asset Under Management as at 31 December 2015

(Circular Ref : BR(PRS)/AL/FH/TLK-af/057-15)

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-08-01, 6th Floor, Wisma Tune  
18, Lorong Dungun, Damarisara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

(Attention: Business Registration Department)

Company Name: \_\_\_\_\_

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Please send the completed slip to FIMM latest by **20 January 2016**

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We hereby declare that the below information of Assets Under Management (AUM) for **Private Retirement Schemes** as at 31 December 2015 are complete, true and accurate.

Total Group A: RM \_\_\_\_\_

Total Group B: RM \_\_\_\_\_

Verified by Compliance Officer : \_\_\_\_\_

Name:  
Designation:  
Date:

Confirmed by CEO : \_\_\_\_\_

Name:  
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 D1

Re: Confirmation of Total Gross Sales for the year ended 31 December 2015

(Circular Ref : BR(PRS)/AL/FH/TLK-af/057-15)

To: Chief Executive Officer  
Federation of Investment Managers Malaysia  
19-06-01, 6th Floor, Wisma Tune  
19, Lorong Dungut, Damansara Heights  
50490 Kuala Lumpur  
Tel: 03-2093 2600

(Attention: Business Registration Department)

Company Name: \_\_\_\_\_

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Please send the completed slip to FIMM latest by 20 January 2016

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We hereby declare that the below information of Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 2015 are complete, true and correct.

Total Normal Load: RM \_\_\_\_\_

Total Low Load: RM \_\_\_\_\_

Total No Load: RM \_\_\_\_\_

Verified by Compliance Officer : \_\_\_\_\_

Name:  
Designation:  
Date:

Confirmed by Head /Authorised Person : \_\_\_\_\_

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 D2

COMPANY NAME: \_\_\_\_\_

Total Gross Sales for the year ended 31 December 2015

No	Fund Name (in full)	Fund Category (Normal/Low/No Load)*	Asset Category*	Total Gross Sales (in RM) e.g. RM X,XXX,XXX.XX	Remarks
<b>TOTAL GROSS SALES</b>					

\*Please indicate in accordance with FIDM's fund category and asset category listing. A copy of the list will be sent via email.

We hereby declare that the above information of Total Gross Sales for Private Retirement Schemes for the year ended 31 December 2015 are complete, true and correct.

Prepared by: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Company: \_\_\_\_\_  
 Date: \_\_\_\_\_

Verified by: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Company: \_\_\_\_\_  
 Date: \_\_\_\_\_