

16 March 2015

CIRCULAR : BR(PRS)/AL/NO/TLK-val/152-15
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TO : i. PRIVATE RETIREMENT SCHEME ("PRS") PROVIDERS ("PRS PROVIDERS")
ii. INSTITUTIONAL PRS ADVISERS
iii. CORPORATE PRS ADVISERS

ATTN : AUTHORISED REPRESENTATIVE/CHIEF EXECUTIVE OFFICER

"FIT AND PROPER" ASSESSMENT OF PRIVATE RETIREMENT SCHEME CONSULTANTS ("PRSC")

As a measure to ensure the fit and properness of an applicant prior to submission of registration as a PRSC, the applicant is required to go through a bankruptcy screening with effect from **1 May 2015**.

For the abovesaid purpose, please be advised that the existing feature in FIMM's PRS Registration System has been enhanced to include bankruptcy screening. Kindly refer to **Appendix 1** for the screen snapshots of the processes and procedures in submitting the application for registration as a PRSC through the system.

Applicant who appears to have bankruptcy record in the system will not be allowed to proceed with registration. He/she is advised to perform an Official Assignee ("OA") search through Jabatan Insolvency Malaysia or MyEG Services Berhad to obtain the latest bankruptcy status.

In the event he/she has been discharged as a bankrupt, a certified true copy of the letter of discharge obtained from Jabatan Insolvency Malaysia ("JIM") attested by a Commissioner of Oath is to be furnished to FIMM. FIMM requires five (5) working days to verify the bankruptcy status. Upon receiving FIMM's confirmation, he/she may proceed to re-submit his/her application for registration as PRSC.

Candidates who pass the bankruptcy screening, the system shall allow the application process to flow to the registration module.

Pursuant to Section 24 of the Credit Reporting Agency ("CRA") Act 2010 which was enforced on 15 January 2014, consent from the applicants required for the CRA to disclose the credit information to you and FIMM. Kindly ensure that the requisite consent in writing for the disclosure of credit information as required under the CRA Act 2010 is obtained. For the said purpose, kindly use the revised copy of Application Form for Registration of Private Retirement Scheme Examination (**Appendix 2**) with effect from **1 May 2015**.

Please also be advised that pursuant to Section 23 of CRA Act 2010, the applicant will receive a written notice from the CRA via Short Message Service ("SMS"), email or to the last known address that his/her credit information is being collated and processed by CRA.

Confidential

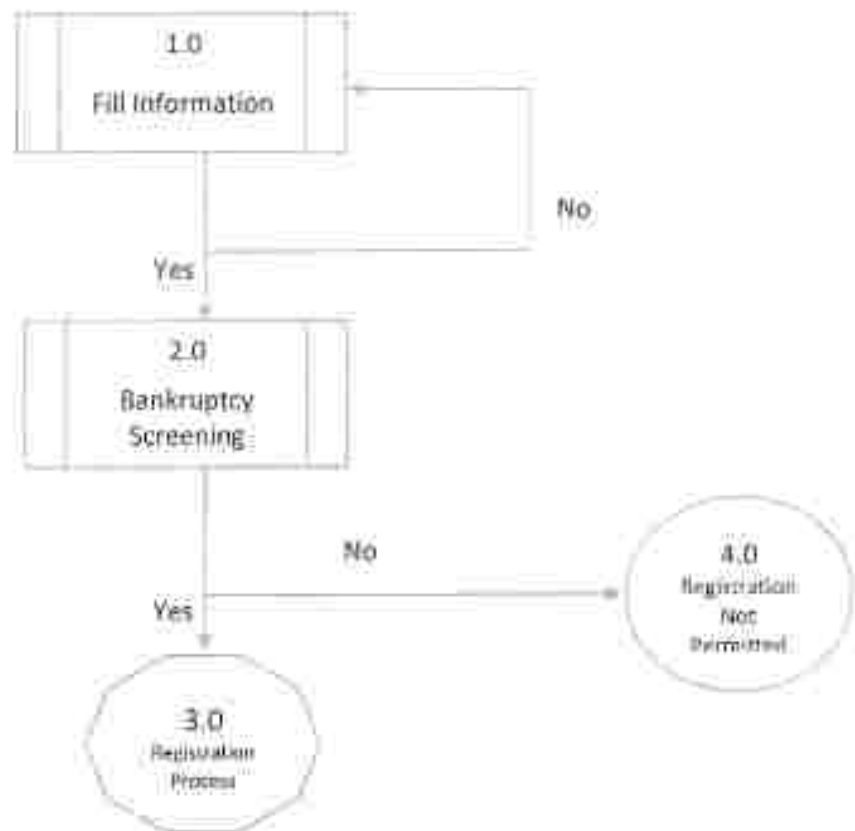
If you need further clarification on this matter, kindly contact Ms. Aini (ext: 326) or Ms. Valli (ext: 325) of Business Registration Department at 03-2093 2600.

Thank you.

Yours faithfully
Federation of Investment Managers Malaysia



Nazaruddin Othman
Chief Executive Officer

Bankruptcy Screening on Registration Screen**1.0 Complete all mandatory information as below:**

- (a) Identification No.
- (b) Name
- (c) Old NRIC
- (d) Phone (Mobile)
- (e) E-Mail
- (f) Street Name, Postcode & State.

1.1 Identification No. field is the main key to perform the bankruptcy screening.

1.2 A written notice will be sent via SMS, email or last known address to candidate that his/her information is being collected and processed by CRA, i.e. RAMCI.

2.0 Bankruptcy Screening

2.1 All information keyed in the system will be transmitted to RAMCI to perform bankruptcy screening. The result will be returned instantly.

3.0 Registration Process

3.1 Once applicant passes the bankruptcy screening, the company shall proceed to complete the registration process.

4.0 Registration Not Permitted

4.1 Applicant who fails the bankruptcy screening, registration shall not be allowed. A message will be displayed to inform user that registration is not permitted.

PRC Registration

PRC REGISTRATION FORM

PRC Registration - PRC Form - Applicant Form

Personal Particulars of the Applicant

Identification No. *
 Identification Status * New PRC Renewal
 Name (As in PRC) *
 Old PRC

Contact Information:

Phone (Mobile) *
 E-mail *
 Street Name *

 Post Code *
 State

Reset


Bankruptcy Screening

Disclaimer: This information on the bankruptcy proceedings may not be correct. The subject may have been dismissed, withdrawn or struck off by a court. You are held that the subject is not liable as alleged in the suit(s) if at all on the date against a Defendant then have been struck off or the alleged date may have been settled after the entry of the information in our database. The petition or an order filed at the court in the suit may have a similar name as the subject after whom you seek information on. While the Supreme Court number (if available) or other identification may indicate that the person named in the petition is the subject, we cannot determine or confirm that the subject is in fact the subject or person with information is sought. Please check with subject(s) concerned for confirmation.

- Complete all mandatory fields under the PRC Registration screen, (i.e. Phone (Mobile), E-mail, Street Name, Postcode & State)
- Click <Bankruptcy Screening> to perform bankruptcy check.
- Click <Reset> to reset the text box.



- After bankruptcy check and the applicant has no bankruptcy record, click <OK> to continue with the existing registration process.
- If the applicant found to be a bankrupt, PRC System will not allow the registration to proceed. The following message will be displayed:

 The applicant has bankruptcy proceeding(s). Registration is not permitted to proceed.

Affix one passport-size colour photograph

APPLICATION FORM FOR REGISTRATION OF PRIVATE RETIREMENT SCHEME EXAMINATION

(Please complete this form in BLOCK LETTERS)

Batch No:

A. PERSONAL PARTICULARS OF THE APPLICANT

Name (as in NRIC)

Identity Card: (New) - -

Identity Card: (Old) - - Passport No. (Please provide)

Date of Birth: - - Sex: Female Male Race:

(Please tick, where applicable)

Mailing Address:

Post Code State

Tel: (Off/Handphone) - (House)

Facsimile: - Email:

Highest Educational Qualification: SPM STPM Diploma Degree Post-graduate Others (please specify)

(Please tick, where applicable)

B. TYPES OF REGISTRATION

Category of Consultant: Tie-Agent Full-Time Employee

Exemption of examination: YES (please complete Sections C & S only) NO (please complete Sections C, D & G only)

Category of Exemption: CEO Director Fund Manager Financial Planner

Name of PRS Distributor:

PRS Distributor Code: (Please refer to your PRS Distributor of FIDM site)

C. PARTICULARS OF FULL-TIME EMPLOYEE

Department: Sales and Marketing Training Customer Service Compliance Others (please specify)

Distribution Point Code:

Distribution Point Name:

Address:

Post Code State

D. PARTICULARS OF REGISTRATION FOR PRIVATE RETIREMENT SCHEME EXAMINATION

Language: English Malay Chinese Tamil Other (please specify)

Please tick whichever applicable: First Time Retest

(Please provide one of the ticks)

Location: Johor Bahru Klang Valley Kuching Kota Kinabalu Penang

Examination Date: - - (Please refer to the latest Examination Schedule for detailed information, please contact the person in charge of your registration)

E. INFORMATION TERMS AND CONDITIONS**1. Submission of Applications**

The applicant must submit the completed application form accompanied with the pre requisite documents to the PRP, IPRA or CPRA that the applicant is affiliated to. All application forms must reach FIMM before the closing date of each PRSE session. FIMM will not accept any late entry. FIMM does not allow any applicant to make any alteration to examination entry after the closing date. FIMM may reject an applicant from sitting for the PRSE, if the applicant provides any false information or omit any information required for purposes of the PRSE.

2. Examination Location

The applicant is required to select the Examination Centre for any of their PRSE sessions in Section D of this application form.

3. Examination Timetable

The applicant is required to refer to the PRSE timetable for the dates of available PRSE sessions. For detailed information, please contact the person in charge of the PRP, IPRA or CPRA that applicant is affiliated to.

4. Examination Notification

The applicant may obtain Candidate Examination Number from the PRP, IPRA or CPRA that the applicant is affiliated to.

5. Postponement/Withdrawal of Examination

The applicant is **NOT ALLOWED** to request for postponement of PRSE under any circumstances. If an applicant withdraws his/her application to sit for the PRSE or fails to present himself/herself for the PRSE, no full or part of the fee will be refunded.

6. Variations

If FIMM finds any discrepancy in the details provided by the applicant in this application form and the details provided by the PRP, IPRA or CPRA that the applicant is affiliated to in the PRS System, FIMM will treat the details submitted by the PRP, IPRA or CPRA as final. FIMM will not be responsible for any data error that could result in the applicant being rejected to sit for the PRSE.

7. Payments

The PRSE fee must be made payable to the PRP, IPRA or CPRA that the applicant is affiliated to.

The PRSE fee must **NOT** be made payable to FIMM.

The PRSE fee is non-refundable.

F. APPLICANT'S DECLARATION

1. I declare that the information provided in this application form is true, correct and complete and that I am bound by the rules and regulations regarding the PRSE set by FIMM.

2. Pursuant to the Personal Data Protection Act 2010, I confirm that I have read and understand FIMM's Personal Data Notice available on its website and I hereby consent for my personal data provided herein to be processed by FIMM for the purposes stated in the Personal Data Notice.

3. Pursuant to the Credit Reporting Agencies Act 2010, I hereby expressly consent and authorise FIMM to obtain and/or disclose any Credit Information relating to me from and/or to Credit Reporting Agency or any source deemed appropriate and reasonable for the purposes of this application for registration with FIMM. This consent shall remain in effect during the period of registration with FIMM as PRS Consultant.

Applicant's signature

Date: - - **G. FOR FIMM USE ONLY**

Exams	Date Performed for Examination	Mark (%)	Result (Please tick where applicable)
	Date Performed for Registration	Date issued	<input type="checkbox"/> Passed <input type="checkbox"/> Failed <input type="checkbox"/> Absent

PRC ADMISSION TICKET (Applicant's Copy)

Name: (as in NRIC)	<input type="text"/>										
Identity Card: (New)	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Identity Card: (Old)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Language:	<input checked="" type="checkbox"/> English										
Location:	<input type="checkbox"/> Johor Bahru	<input type="checkbox"/> Klang Valley	<input type="checkbox"/> Kuching	<input type="checkbox"/> Kota Kinabalu	<input type="checkbox"/> Penang						
Exam Date:	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	(Recommendation date is required ONLY upon issuance of Candidate Examination No.)										
Candidate's Examination Number:	<input type="text"/>										
	(Candidate is required to obtain this number two year span from before attending the examination)										
IMPORTANT:	This PRC Admission Ticket must be produced during the examination; failing which candidates are not allowed to sit for the examination.										http://www.fimm.com.my