

1 March 2013

**CIRCULAR :** LSRA/AL/AZ-pky/011-13  
(TOTAL NO. OF PAGE(S): 3)

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

**ATTN. :** CHIEF EXECUTIVE OFFICER/AUTHORISED REPRESENTATIVE

**A. SUBMISSION OF QUARTERLY REPORTS ON COMPLAINTS TO SECURITIES COMMISSION ("SC") AND FEDERATION OF INVESTMENT MANAGERS MALAYSIA ("FIMM")**

In line with SC's requirement on submission of quarterly report on complaints by the unit trust industry, SC is also requesting that all PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers provide report on all complaints received on quarterly basis.

The submission must be made as follows:-

- (1) sending the hardcopy of the report to:

**General Manager  
Investment Management Supervision,  
Market Supervision Division,  
Securities Commission Malaysia,  
No. 3, Persiaran Bukit Kiara,  
Bukit Kiara, 50490 Kuala Lumpur.**

and sending the softcopy of the report to [ims@seccom.com.my](mailto:ims@seccom.com.my) and [lsrv@fimm.com.my](mailto:lsrv@fimm.com.my).

- (2) The report must be in **Microsoft Excel**. A softcopy of the password protected template can be downloaded from FIMM's website. Password to unprotect the template is '**complaintreport**'.
- (3) **The reporting requirement must be observed even where there is no complaint to report in the relevant quarter.** In such instances, the report shall state as "NIL".
- (4) In relation to group companies which have more than one entity registered with FIMM, **each entity must report on complaints received by the entity.**

Reports on complaints received by PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers must be submitted to SC quarterly, within the first two (2) weeks of the month immediately following the relevant quarter (i.e. on or before the 15<sup>th</sup>). It is imperative that PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers observe this continuing obligation.

## B. SUBMISSION OF TREND ANALYSIS ON COMPLAINTS TO FIMM

In order to assist FIMM in determining the issues faced by both the investors and the industry, FIMM is compiling a trend analysis chart based on the complaints received from investors and the general public ("Complaints"). All PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers are required to submit a trend analysis chart ("Trend Analysis") to FIMM.

The duly compiled trend analysis will aid FIMM in proposing and promoting rules that will address and reduce unhealthy practices and conduct. PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers should also use the data compiled from the Trend Analysis to come up with action plans to address any weaknesses detected from such analysis. Results from the analysis would also enable dialogues or discussions to be held between FIMM and the respective PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers to address issues more effectively.

The submission must be made as follows:-

- (1) sending a softcopy of the Trend Analysis to FIMM at [isrv@fimm.com.my](mailto:isrv@fimm.com.my). AND sending a hardcopy (with cover letter) of the same to:

**Head  
Industry Surveillance Department ("ISRV"),  
Federation of Investment Managers Malaysia,  
19-07-3, 7<sup>th</sup> Floor, PNB Damansara,  
No. 19, Lorong Dungun,  
Damansara Heights,  
50490 Kuala Lumpur.**

- (2) The Trend Analysis must be in **Microsoft Excel**. A softcopy of the password protected template can be downloaded from FIMM's website. Password to unprotect the template is '**trendanalysis**'.
- (3) **No reporting vide the Trend Analysis is required if there is no complaint to report in the relevant quarter.**
- (4) In relation to group companies which have more than one entity registered with FIMM, each entity must report on complaints received by the entity and **submit the trend analysis for each entity.**

The compilation of the Trend Analysis shall commence from January 2013, with the deadline for the first submission being **15 April 2013** for the report on year-to-date complaints up to end of March 2013. Subsequent to that, the submissions of the Trend Analysis should be made within the first two (2) weeks of the end of the respective quarter. All submissions of Trend Analysis shall be made together with the quarterly report on complaints as required under the Circular dated 1 October 2009 (LSRA/AL/LSH-nh/029-09).

In order to ensure observance of the above mentioned requirements, FIMM reserves the right to take appropriate action(s) against any non-compliant PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers.

### C. BRIEFING SESSION

Please be informed that FIMM will be organising a briefing session to all PRS Providers, Institutional PRS Advisers and Corporate PRS Advisers together with Unit Trust Management Companies, Institutional Unit Trust Advisers, Corporate Unit Trust Advisers, in order to have better understanding of the objective and importance of the trend analysis on complaints. This will be followed by a question and answer session to address any issue or query on the subject matter.

All Authorised Representatives and the relevant Department Heads are required to attend this briefing session.

The details of the briefing session are as follows:

**Date : 21 March 2013 (Thursday)**  
**Venue : Dewan Berjaya,**  
**Bukit Kiara Equestrian & Country Resort**  
**Jalan Bukit Kiara Off Jalan Damansara**  
**60000 Kuala Lumpur**  
**Time : 8.30am -10.30am**

*(Kindly complete the enclosed Reply Slip to confirm your attendance.)*

If you have any query, please contact Ms. Lee Lai Yoo or Ms. Bama Gobaloo at ext 304 and ext 301 respectively.

Yours faithfully,  
Federation of Investment Managers Malaysia

  
for **AHMAD ZAKIE HJ. AHMAD SHARIFF**  
Chief Executive Officer

- c.c.
1. Puan Salmah Bee Mohd Mydin  
General Manager and Head,  
Investment Management Supervision Department,  
Compliance and Examination,  
Securities Commission Malaysia.
  2. Puan Shamsul Bahriah Shamsudin  
General Manager and Head,  
Institution Supervision Department,  
Market Oversight,  
Securities Commission Malaysia.

**BRIEFING SESSION ON SUBMISSION OF QUARTERLY REPORT AND TREND ANALYSIS ON COMPLAINTS 2013 (LSRA/AL/AZ-pky/011-13)**

**REPLY SLIP**

To: Federation of Investment Managers Malaysia ('FIMM')  
c/o Legal, Secretarial and Regulatory Affairs ('LSRA')  
19-07-03, 7th Floor, PNB Damansara,  
19, Lorong Dungun, Damansara Heights,  
50490 Kuala Lumpur.

Tel: 03-2093 2600

Fax: 03-2093 2700

---

Kindly email this completed slip to FIMM ([legalcomb@fimm.com.my](mailto:legalcomb@fimm.com.my)) by  
**15 March 2013 (Friday)**

---

(Please tick accordingly and let us know even if your company is not able to participate.)

**YES, ATTENDING THE BRIEFING SESSION.** (Please indicate the details of the attendees)

Name:

Designation:

Tel No:

Fax No:

Name:

Designation:

Tel No:

Fax No:

**NO, WE ARE NOT ATTENDING THE BRIEFING SESSION** (If no, please state your reason).

From:

--

Name

--

Name of company

--

Designation

--

Tel No.

Fax No.

--	--

Date

Signature