

CIRCULAR

Date:	6/10/2022	Ref No.:	RD/AL/SM/SO/CC-af/014-22 (TOTAL NO. OF PAGES: 13)
To:	UTMC / PRS PROVIDERS, IUTA / IPRA, AND CUTA / CPRA		
Attn:	Authorised Representatives / Chief Executive Officers		

YEAR 2023 RENEWAL AND ANNUAL MEMBERSHIP SUBSCRIPTION FEE (AMSF)/ ANNUAL FEE FOR:

- a) **UNIT TRUST MANAGEMENT COMPANY (UTMC) / PRIVATE RETIREMENT SCHEME PROVIDER (PRP);**
- b) **INSTITUTIONAL UNIT TRUST SCHEME ADVISER (IUTA) / INSTITUTIONAL PRIVATE RETIREMENT SCHEME ADVISER (IPRA)**
- c) **CORPORATE UNIT TRUST SCHEME ADVISER (CUTA) / CORPORATE PRIVATE RETIREMENT SCHEME ADVISER (CPRA); AND**
- d) **UNIT TRUST SCHEME (UTS) CONSULTANT AND/OR PRIVATE RETIREMENT SCHEME (PRS) CONSULTANT.**

The above matter refers.

We would like to remind **all members and distributors** to provide the following submissions to the Federation of Investment Managers Malaysia (FIMM) by the timeline stipulated in Appendix 1:

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA
Online Submission	Assets Under Management (AUM) as at <u>31 December 2022</u> for each fund, under their respective grouping, i.e. A and B; and total aggregate via the AMSF System. (https://amsf.fimm.com.my).	Total Gross Sales for the year ended <u>31 December 2022</u> for each fund under their respective fund categories and total aggregate via the AMSF System. (https://amsf.fimm.com.my).	Not applicable
Softcopy Submission	<ul style="list-style-type: none"> • Must complete and submit the attached Forms: <ol style="list-style-type: none"> a) Forms A1 and A2 (for UTMC); and/ or b) Forms C1 and C2 (for PRP); or 	<ul style="list-style-type: none"> • Must complete and submit the attached Forms: <ol style="list-style-type: none"> a) Forms B1 and B2 (for IUTA); and/ or b) Form D1 and D2 (for IPRA); or 	Not applicable

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA
	<p>c) The printed copy from AMSF System.</p> <ul style="list-style-type: none"> • A copy of System NAV Report must be submitted to support the information provided in Form A1, A2 and/ or C1, C2 respectively. 	<p>c) The printed copy from AMSF System.</p> <ul style="list-style-type: none"> • A copy of System Sales Report must be submitted to support the information provided in Form B1, B2 and/ or D1, D2 respectively. 	

AMSF / Annual Fee Calculation

	UTMC / PRP	IUTA / IPRA	CUTA / CPRA	Consultants
AMSF / Annual Fee	<ul style="list-style-type: none"> • Minimum of RM10,000 or fee value calculated based on submitted AUM, whichever is higher. • Annual fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the AMSF for UTMC / PRP. 	<ul style="list-style-type: none"> • Minimum of RM10,000 or fee value calculated based on submitted Total Gross Sales, whichever is higher. • Annual fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the Annual Fee for IUTA / IPRA. 	<ul style="list-style-type: none"> • RM500 • For CUTA, which is also registered as CPRA, the annual fee for <u>CPRA will be waived.</u> • Annual fee for Consultants are calculated based on the total number of Consultants renewed. These fees are included as part of the Annual Fee for CUTA / CPRA. 	<ul style="list-style-type: none"> • RM50 each as prescribed in Appendix 1 of Schedule B & D of the Registration Manual.

Renewal of Consultants' Registration

- Members and distributors are required to terminate the non-renewed Consultants in i³ and PRS system respectively and submit a softcopy cover letter, in the prescribed format to FIMM **before 12:00 noon, 10 January 2023.**
- The registration of all active Consultants will be renewed automatically in the Registration system after the stipulated cut-off date and time.

- c) As part of the renewal of registration for consultants, all members and distributors must ensure that:
- i. the Consultant has submitted **Statutory Declaration (SD)** on a biennial basis. The submission should be made not more than 12 months from the SD's attestation date;
 - ii. the Consultant has obtained sufficient **Continuing Professional Development (CPD)** points as stipulated in Chapter 7 of the FIMM's Consolidated Rules (FCR) prior to renewal; and
 - iii. the Consultants' CPD records are updated to reflect all seminars/courses attended during the year upon submission to FIMM.
- d) Members and distributors must pay all fees incurred on the Consultants' renewal of registration. FIMM will not entertain any appeal of fees for failure to submit termination or resignation of Consultant(s) within the stipulated timeline.

Reminder

The enclosed Appendix 1 contain submission schedule of:

- a) Assets Under Management (AUM) by UTMC / PRP;
- b) Total Gross Sales by IUTA / IPRA; and
- c) Renewal of registration for Consultants.

Kindly **observe the deadlines** stated in **Appendix 1** as any application for deferment and/ or extension of time will not be entertained. FIMM may take the necessary action as provided for under Rule 2.1.3 of the FCR, for failure to comply with such deadlines.

Should you require any further clarification, please do not hesitate to contact Registration Department at 03-78904242 (ext. 232 or 235) or registration@fimm.com.my.

Thank you.

Yours faithfully,
Federation of Investment Managers Malaysia



SAHLAWATI MUSTAFA
General Manager
Regulatory Services Division

Enc.

SUBMISSION SCHEDULE

- a) UTMC / PRP - Assets Under Management (“AUM”);
 b) IUTA/ IPRA - Total Gross Sales; and
 c) Registration Renewal of UTS / PRS Consultant

Date	FIS SYSTEM - Description
	i ³ & PRS System
24/12/2022 – 10/01/2023	<ul style="list-style-type: none"> All registration functions are DISABLED except for examination and termination/resignation.
03/01/2023	<ul style="list-style-type: none"> AMSF System opens for: <ol style="list-style-type: none"> UTMC/ PRP to key in AUM IUTA/ IPRA to key in Total Gross Sales
04/01/2023	<ul style="list-style-type: none"> Last day for submission of list of Consultants with their respective CPD Points (in prescribed excel format) for all <u>ACTIVE</u> Consultants as at 31 December 2022 to registration@fimm.com.my. (Please refer to <i>UTS Application Kit – Table 14 & PRS Application Kit – Table 13</i>) <p>Important Note: <i>The submission is deemed final, and no amendment/ update will be entertained. Failure to submit may result in consultant(s) being terminated due to non-fulfilment of CPD points.</i></p>
10/01/2023 (12:00 noon)	<ul style="list-style-type: none"> Termination of Consultant’s registration in i3 and PRS system, and submission of cover letter with listing of terminated Consultants must be made before 12:00 noon. FIMM’s acceptance on termination/resignation of Consultants is based on the <u>cover letter and listing</u> received via email.
11/01/2023 (11:59pm)	<ul style="list-style-type: none"> All registrations other than examination submission submitted prior to 24/12/2022 (which are pending approval from members/ distributors) will be AUTO REJECTED in the system. Consultants with active status in the system will be AUTO RENEWED.
13/01/2023	<ul style="list-style-type: none"> All registration functions are ENABLED. Year 2022 renewed Consultant’s list is ready for download at “Authorised UTC/ PRC Download” in the respective system.

Date	FIS SYSTEM - Description
	i ³ & PRS System
<p>13/01/2023 (11:59pm)</p>	<ul style="list-style-type: none"> • Closing Date and time for AUM/ Total Gross Sales reporting in AMSF System. • Completed FORMS, whichever applicable: <ul style="list-style-type: none"> a) A1 & A2 by UTMC b) B1 & B2 by IUTA c) C1 & C2 by PRP d) D2 & D2 by IPRA must be submitted to FIMM. <p>Note: Please refer to FIMM's Consolidated Rules - Rule 3.4.7 Table 2, item (iii).</p>
<p>28/02/2023</p>	<p>Last day to make AMSF or Annual Fee payment to FIMM.</p>

FORM A1**Re: Assets Under Management as at 31 December 2022****(Circular Ref : RD/AL/SM/SO/CC-af/014-22)**

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: Registration Department)**Company Name:** _____

 Please send the completed slip to FIMM latest by **13 January 2023**

We hereby declare that the following information on Assets Under Management (AUM) for **Unit Trust Schemes** as at 31 December 2022 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 2022****(Circular Ref : RD/AL/SM/SO/CC-af/014-22)**

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: Registration Department)**Company Name:** _____

 Please send the completed slip to FIMM latest by **13 January 2023**

We hereby declare that the following information on Total Gross Sales for **Unit Trust Schemes** for the year ended 31 December 2022 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:

FORM B2

COMPANY NAME:

Total Gross Sales for the year ended 31 December 2022

FOR IUTA

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
TOTAL GROSS SALES					

* Please indicate in accordance with FIMM's fund category and asset category listing. A copy of the list is made available in AMSF System

We hereby declare that the above information of Total Gross Sales for Unit Trust Schemes for the year ended 31 December 2022 are complete, true and accurate.

Prepared by: _____

Name:
Designation:

Verified by: _____

Name:
Designation:

FORM C1**Re: Confirmation of Assets Under Management as at 31 December 2022****(Circular: RD/AL/SM/SO/CC-af/014-22)**

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: Registration Department)**Company Name:** _____

Please send the completed slip to FIMM latest by **13 January 2023**

We hereby declare that the following information on Assets Under Management (AUM) for **Private Retirement Schemes** as at 31 December 2022 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 C2

COMPANY NAME:

Assets Under Management ("AUM") as at 31 December 2022

FOR PRP

No	Fund Name (in full)	Fund Group (A/B)*	Asset Category*	AUM (in RM) e.g. RM X,XXX,XXX.XX	Remarks
TOTAL AUM					

* Please indicate in accordance with FIMM's fund group and asset type category. A copy of the list made available in AMSF System.

We hereby declare that the above information of AUM for **Private Retirement Schemes** as at 31 December 2022 are complete, true and correct.

Prepared by:

Name: _____
Designation: _____
Company: _____
Date: _____

Verified by:

Name: _____
Designation: _____
Company: _____
Date: _____

FORM D1**Re: Confirmation of Total Gross Sales for the year ended 31 December 2022****(Circular: RD/AL/SM/SO/CC-af/014-22)**

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: Registration Department)**Company Name:** _____

 Please send the completed slip to FIMM latest by **13 January 2023**

We hereby declare that the following information on Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 2022 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 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 D2

COMPANY NAME:

Total Gross Sales for the year ended 31 December 2022

FOR IPRA

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
TOTAL GROSS SALES					

* Please indicate in accordance with FIMM's fund category and asset category listing. A copy of the list is made available in AMSF System.

We hereby declare that the above information of Total Gross Sales for **Private Retirement Schemes** for the year ended 31 December 2022 are complete, true and correct.

Prepared by: _____
Name: _____
Designation: _____

Verified by: _____
Name: _____
Designation: _____