

CIRCULAR

Date:	12 September 2023	Ref No.:	PDS/ALL/SNZ-KSM/014-23 (Total no. of pages: 10)
To:	UTMC, IUTA, CUTA, PRS PROVIDER, IPRA AND CPRA		
Attn:	Chief Executive Officer/Authorised Representative		

FIMM Regulatory Training 2023

1.0 Introduction

- 1.1 FIMM will be offering FIMM Regulatory Training 2023 to Unit Trust Scheme Consultants and Private Retirement Scheme Consultants (collectively referred to as “Consultants”).
- 1.2 The purpose of this training is for the Consultants to refresh their understanding and application of the following:
- a) FIMM Code of Ethics; and
 - b) Guidelines on Marketing and Distribution of Unit Trust Funds

2.0 FIMM Regulatory Training 2023

- 2.1 FIMM Regulatory Training 2023 will be conducted in a hybrid manner with pre-recorded videos as well as a virtual real-time question and answer session.
- 2.2 The training will cover the topic of the FIMM Code of Ethics and Guidelines on Marketing and Distribution of Unit Trust Funds to provide a better understanding of the code and guidelines.

2.3 Further details of FIMM Regulatory Training 2023 are as follows:

Feature	Particulars
Subject/Topic	FIMM Code of Ethics and Guidelines on Marketing and Distribution of Unit Trust Funds
Duration	4 hours per session
CPD entitlement	4 CPD points*
Delivery mode	Virtual only via Microsoft Teams or any other video conferencing/meeting applications as indicated by Member/Distributor/FIMM
Number of participants	Minimum number of participants required – 30 pax.
Types of session	2 types of session: a) Joint-session with specific Member/Distributor (“Members/Distributors’ Sessions”)** b) Sessions that are open to Consultants from all Members/Distributors (“Common Sessions”). Session will be conducted via Microsoft Teams.
Session schedule	A total of 40 sessions have been scheduled as follows: a) 26 Member Sessions; and b) 14 Common Sessions Kindly refer to Appendix 1 for the schedule.
Fee	Free of charge.

Notes:

* No duplication of CPD points is allowed.

** Sessions can be embedded as part of the program of the training program offered by Members/Distributors.

2.4 Kindly refer to **Appendix 2** for administrative details of FIMM Regulatory Training 2023.

3.0 Registration

- 3.1 Members/Distributors that are interested to take part in the FIMM Regulatory Training 2023 may proceed to complete the relevant registration forms as follows:
- a) **Appendix 3(a):** Registration Form (Members/Distributors Session); or
 - b) **Appendix 3(b):** Registration Form (Common Session)
- 3.2 Members/Distributors are required to register Consultants that have yet to attend FIMM Regulatory Training.
- 3.3 Should you require further information or clarification, please do not hesitate to contact the following:
- a) Ms Khairul Shafinas Muslim at shafinas@fimm.com.my; or
 - b) Ms Syifa Ardani Roslan at syifa@fimm.com.my

Thank you.

Yours faithfully,



Shahrul Nizam Zainol

Senior Manager, Professional Development Services Department

Appendix 1**(a) Members/Distributors' Sessions**

No	Date / Day	Time	Closing Date
1.	26 September 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	21 September 2023, Thursday
2.	27 September 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	22 September 2023, Friday
3.	4 October 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	29 September 2023, Friday
4.	11 October 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	6 October 2023, Friday
5.	19 October 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	16 October 2023, Monday
6.	25 October 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	20 October 2023, Friday
7.	26 October 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	23 October 2023, Monday
8.	31 October 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	26 October 2023, Thursday
9.	1 November 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	27 October 2023, Friday
10.	7 November 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	2 November 2023, Thursday
11.	9 November 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	6 November 2023, Monday
12.	21 November 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	16 November 2023, Thursday
13.	23 November 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	20 November 2023, Monday

(b) Common Sessions

No	Date / Day	Time	Closing Date
1.	3 October 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	27 September 2023, Wednesday
2.	12 October 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	9 October 2023, Monday
3.	18 October 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	13 October 2023, Friday

4.	24 October 2023, Tuesday	9.00am – 1.00pm 2.00pm – 6.00pm	19 October 2023, Thursday
5.	2 November 2023, Thursday	9.00am – 1.00pm 2.00pm – 6.00pm	30 October 2023, Monday
6.	8 November 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	3 November 2023, Friday
7.	22 November 2023, Wednesday	9.00am – 1.00pm 2.00pm – 6.00pm	17 November 2023, Friday

FIMM Regulatory Training 2023

Administrative Notes

(A) Distribution of Training and Registration Details to Consultants

Please be reminded that all Members and Distributors must ensure that all Consultants attached to your company are made aware of the FIMM Regulatory Training 2023 as well as other information that is pertinent to timely and successful registration for the training.

(B) Registration

1. All interested UTMC/IUTA/CUTA/PRS Providers/IPRA/CPRA (collectively referred to as “Principals”) should complete and submit the Registration Form as follows:
 - a) Members/Distributors’ Sessions (**Appendix 3a**); or
 - b) Common Sessions (**Appendix 3b**).
2. All completed Registration Forms must be submitted to FIMM by **noon, on the respective closing date**.
3. Consultants who are interested to attend the FIMM Regulatory Training 2023 must submit their registration via Principals. No direct registration from Consultants will be accepted.
4. Minimum number of participants required for each Members/Distributors’ session is 30 pax.
5. Principals may register your Consultants for the training by completing the relevant Registration Form and return it to FIMM.
6. Registration is based on **first-come, first-served basis**.
7. For both Members/Distributors’ Sessions and Common Sessions, you are strongly encouraged to submit registration early to avoid disappointment as the sessions are limited.

(C) Payment Terms

Free of charge.

Registration Form (Members/Distributors' Sessions)

FIMM Regulatory Training 2023

(Ref: PDS/ALL/SNZ-KSM/014-23)

To: Federation of Investment Managers Malaysia

Kindly complete this Registration Form and **E-MAIL** to:
shafinas@fimm.com.my / syifa@fimm.com.my

Please choose the date and time of the session.

	Date / Day	Time
<input type="checkbox"/>	26 September 2023, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	27 September 2023, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	4 October 2023, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	11 October 2023, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	19 October 2023, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	25 October 2023, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	26 October 2023, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	31 October 2023, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	1 November 2023, Wednesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	7 November 2023, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	9 November 2023, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm

	Date / Day	Time
<input type="checkbox"/>	21 November 2023, Tuesday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm
<input type="checkbox"/>	23 November 2023, Thursday	<input type="checkbox"/> 9.00am to 1.00pm <input type="checkbox"/> 2.00pm – 6.00pm

Name	
Designation	
Name of Company	
Email	
Tel.	
Date	
Signature	



FIMM REGULATORY TRAINING 2023 REGISTRATION FORM (COMMON SESSIONS)

Please fill in the details accurately. Incomplete form will not be processed. Thank you.

Company Details (If Applicable)

Contact Person			
Designation			
Name of Company			
Email			
Tel.	ext	Fax No.	

Participants Details

Training Topic: FIMM Regulatory Training 2023				
Date of Training:		Time:		Location: Virtual, Microsoft Teams
No.	Full Name (as per NRIC)	NRIC No.	FIMM No. <i>Please indicate active number only</i>	Email Address
1				
2				
3				

No.	Full Name (as per NRIC)	NRIC No.	FIMM No. <i>Please indicate active number only</i>	Email Address
5				
6				
7				
8				
9				
10				

Registration & Enquiries

Professional Development Services Department (PDS)

Syifa Ardani Roslan (syifa@fimm.com.my)

Khairul Shafinas Muslim (shafinas@fimm.com.my)

Tel: 03-7890 4242 ext.: 434 or 432

Disclaimers

FIMM reserves the right to cancel or reschedule any training to another / other date(s) without prior notice and will not be liable for any claims, action costs, charges, expenses, damages, losses and liabilities due to such cancellation / rescheduling of the training.

Notice

FIMM respects the privacy of individuals. Pursuant to the Personal Data Protection Act 2010, you are advised to read our personal data notice available at www.fimm.com.my before submitting this form. By providing us your personal data, you hereby consent to the processing of your personal data in accordance with and for the purposes as set out in our personal data notice.