

CIRCULAR

Date: 29 September 2023	Ref. no: ISRV/Distributors/SM-AS-az/267-23	Total no. of pages: 2
To: UTMC, IUTA, CUTA, PRS Provider, IPRA and CPRA		
Attention: Chief Executive Officer / Authorised Representative / Compliance		
Subject: Invitation to FIMM's Regulatory Briefing, 10 October 2023		



Details

1. The objectives of the Regulatory Industry Briefing 2023 are to share the following:
 - (a) Regulatory updates and initiatives relating to:
 - (1) Observations from Registration and Supervisory activities.
 - (2) Complaint trends and enforcement related matters.
 - (3) Automation of Annual Compliance Review.
 - (4) Amendments to the FIMM's Consolidated Rules and Code of Ethics.
 - (b) Suitability Assessment and Risk Profiling: A Holistic Approach
2. An e-mail will be sent to you on registration process.
3. There is no limit on the number of attendees to this briefing session. Our platform provider will send the meeting invitation to the attendees nearer to the session date.
4. Should you have any query pertaining to the Regulatory Industry Briefing, please do not hesitate to email us at RIBenquiry@fimm.com.my.

Programme

8:30 AM	Registration / Virtual log-in
9:00 AM	Welcoming Remarks by FIMM CEO
9:15 AM	<ul style="list-style-type: none">• Observation from Registration and Supervisory Activities;• Complaint Trends and Enforcement Related Matters;• Automation of Annual Compliance Review (ACR);• Amendments to the FIMM's Consolidated Rules (FCR) and Code of Ethics (COE)
10:30 AM	1 st Q&A Session
10:45 AM	Break
11:00 AM	(Forum) Suitability Assessment & Risk Profiling: A Holistic Approach
11:45 AM	2 nd Q&A Session
12:00 PM	End of Session



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Thank you.

Yours faithfully,

A handwritten signature in black ink, appearing to be 'Sahlawati Mustafa'.

Sahlawati Mustafa
General Manager, Regulatory Services