




USER MANUAL

**SUPPLY, DESIGN, DEVELOPMENT,
INSTALLATION, TESTING,
COMMISSIONING AND MAINTENANCE OF
REGISTRATION SOFTWARE
FOR
FEDERATION OF INVESTMENT
MANAGERS MALAYSIA (FIMM)**

**MODULE: CONSULTANT MANAGEMENT
(PROFILE MAINTENANCE)
GROUP: DISTRIBUTOR**


AGENCY NAME	:	FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)
DOCUMENT DATE	:	24/03/2025
DOCUMENT VERSION	:	1.0

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	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	iv

DOCUMENT DESCRIPTION

This document is prepared to explain how to use the FCS system. This user manual explains the functions and step by step how to use the system completely to the users involved.

Document Information	
Project Name	SUPPLY, DESIGN, DEVELOPMENT, INSTALLATION, TESTING, COMMISSIONING AND MAINTENANCE OF REGISTRATION SOFTWARE FOR FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)
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DOCUMENT CONTROL

Version History			
Version No	Version Date	Summary	Writer
0.1	17/03/2025	First draft document	Wan Arissa Insyirah binti Wan Aniff
1.0	24/03/2025	Final Document	Wan Arissa Insyirah binti Wan Aniff


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ACRONYM

ACRONYM	DESCRIPTION
AAR	Alternate Authorized Representative
AMLCFT	Anti-Money Laundering/Combating the Financing of Terrorism
AMSF	Annual Membership Subscription Fee
AR	Authorized Representative
AUM	Asset Under Management
BOD	Board of Directors
CAS	Consultant Alert
CEILLI	Certificate Examination in Investment-Linked Life Insurance
CEO	Chief Executive Officer
CFP	Certified Financial Planner
ChFC	Chartered Financial Consultant
CMSRL	Capital Market Services Representative License
CPD	Continuing Professional Development
CPRA	Corporate Private Retirement Scheme Adviser
CPRE	Computerized Private Retirement Scheme Examination
CSD	Corporate Services Division
CUTA	Corporate UTS Adviser
CUTE	Computerized Unit Trust Examination
DMS	Document Management Storage

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FIMM	Federation of Investment Managers Malaysia
FMS	Funds Malaysia System
GM	General Manager

ACRONYM	DESCRIPTION
HOD	Head of Department
ID	Industry Development
IFP	Islamic Financial Planner
IPRA	Institutional Private Retirement Scheme Adviser
ISD	Industry Services Division
IUTA	Institutional Unit Trust Scheme Adviser
KYC	Know Your Customer
LRA	Legal and Regulatory Affairs
MOF	Ministry of Finance
NAV	Net Asset Value
NRIC	National Registration Identity Card
OTP	One Time Password
PDS	Professional Development and Services
PRC	Private Retirement Scheme Consultant
PRP	Private Retirement Scheme Provider
PRS	Private Retirement Scheme
R&A	Research and Analytics
RD	Registration Department

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RFP	Registered Financial Planner
RSD	Regulatory Services Division
SC	Security Commission Malaysia
SRFP	Shariah Registered Financial Planner
SRS	System Requirement Specification
ACRONYM	DESCRIPTION
SD	Supervision Department
UML	Unified Modelling Language
UTC	Unit Trust Consultant
UTMC	Unit Trust Management Company
UTS	Unit Trust Scheme
OR	Official Receipt
CN	Credit Note
IDD	Integration Design Document


Table 1: Acronym Table

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ABBREVIATIONS ROLE

Abbreviation	DESCRIPTION
C-CLRK	Consultant Applicant
C-CON	Consultant
C-APP	Consultant Applicant
D-C-MKR	Consultant - Maker
D-C-CHK	Consultant - Approver
F-RD	FIMM RD

Table 2: Abbreviation Role Table

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CHAPTER 1: INTRODUCTION

The **FCS System User Manual** is designed to provide users with a comprehensive guide to effectively utilizing the **FCS system**. This manual serves as a reference document to help users understand the system's functionalities, features, and processes to ensure smooth operation and efficient task completion.

By following the instructions in this manual, users will be able to navigate the system with ease, perform necessary actions, and troubleshoot common issues. The manual is structured to accommodate both new and existing users, offering clear step-by-step guidance for system access and usage.

1.1.2 Purpose

The purpose of this manual is to equip users with the essential knowledge required to maximize the benefits of the **FCS system**. It provides:

- **A detailed overview of the system's functions and capabilities** to help users understand its key features.
- **Step-by-step instructions** on accessing and operating the system efficiently.
- **Guidelines on alternative modes of operation and contingencies** in case of system issues or errors.
- **Best practices and recommendations** for optimal system use.

This manual ensures that users can confidently navigate the system while maintaining security, accuracy, and efficiency in their tasks.

1.1.3 Contact Information


If users require further assistance or encounter any issues while using the **FCS system**, they can contact the **Federation of Investment Managers Malaysia (FIMM)** for support.

Support Contact Details:

Phone: [Insert Contact Number]

Email: [Insert Support Email]

Website: [Insert FIMM Website]

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CHAPTER 2: GENERAL SYSTEM INSTRUCTION

2.1 User Log in

The FCS system application is accessible only to registered users. Each user will be provided with a unique User ID and password to log in securely.

To access the system, users must navigate to the **main login page** ([Insert URL]) and enter their credentials. For first-time users, an initial login setup may be required to activate their accounts.

For security reasons:


1. Users should keep their login credentials confidential.
2. Passwords should be changed periodically to enhance security.
3. In case of forgotten credentials, users can use the **"Forgot Password?"** option to reset their password.


Steps to Open the FCS System Website:

2. **Launch your web browser** (Google Chrome, Mozilla Firefox, Microsoft Edge, etc.)
3. **Enter the FCS System URL** in the address bar and press **Enter**.
4. The **login page** will appear, allowing users to enter their credentials.

2.1.1 Log in

Access the Login Page

1. On the homepage, locate the 'Log in'  button and click it.
2. In the **User ID** field, enter your registered **User ID**.
3. In the **Password** field, enter your **password**.

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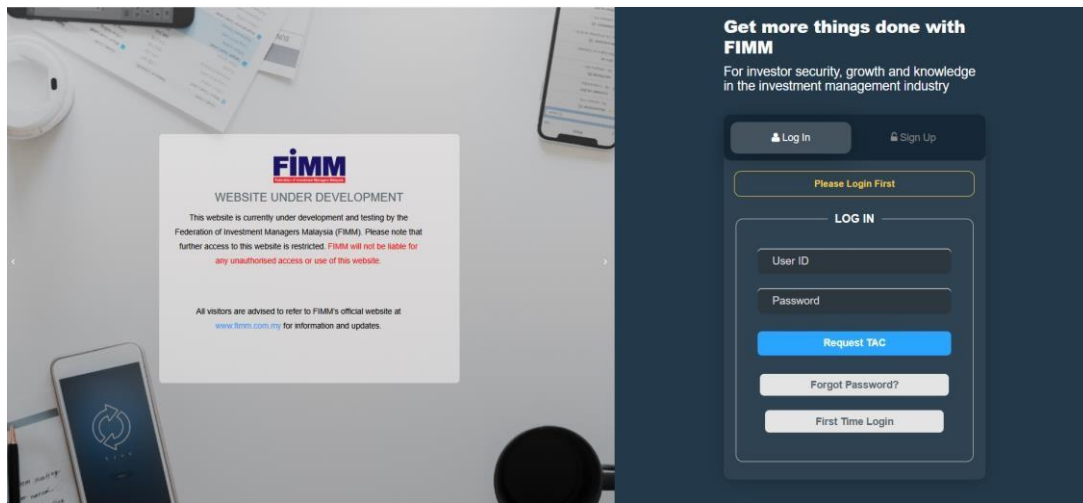


Diagram 1: FCS Homepage

Display **Enter Your Credentials**

4. System will show sign in page, User need to insert this item
 - User ID
 - Password
 - TAC

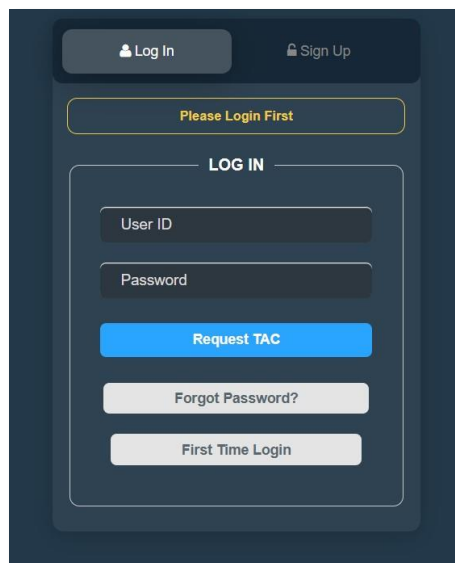




Diagram 2: Log in Display

Successful Login

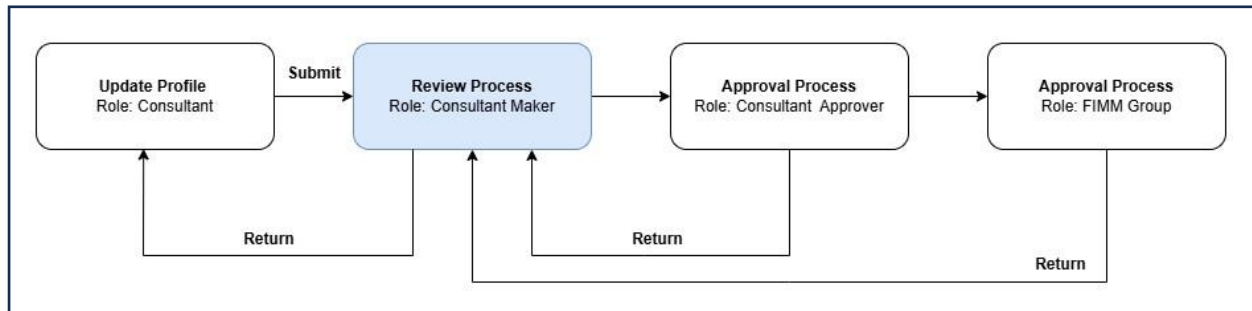
5. Click  button and the system will be redirected to the FCS System dashboard.

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3.3 Profile Maintenance

3.3.1 Review Process by Consultant Maker

3.3.1.1 Process Flow



3.3.1.2 Manual Steps

1. Click menu 'Consultant'. System will display list of submenu for Consultant.

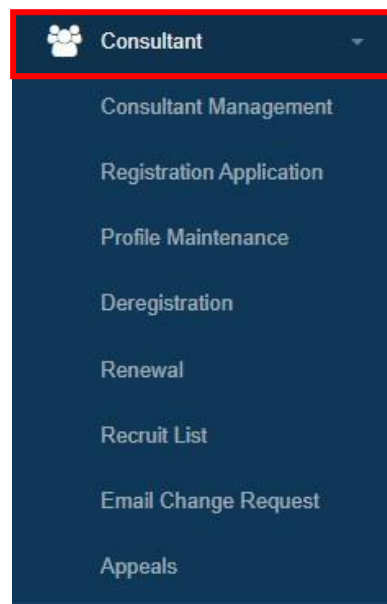


Diagram 163: Consultant Menu

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- Click submenu 'Profile Maintenance'.

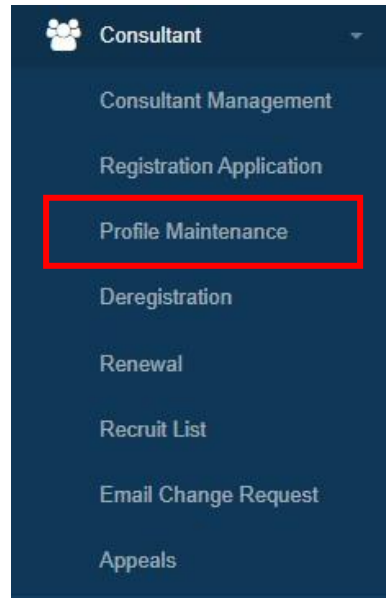


Diagram 164: Submenu 'Profile Maintenance'

- System will display List of Profile Update application

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	07-Mar-2025	Callie Rose (B)	H89011211	F02029115	PRS	Active	Profile Update	Pending Review	
2	05-Mar-2025	Amry bin Ikmal (B)	890505011121	F01029113	PRS	Active	Profile Update	Pending Review	
3	26-Feb-2025	KOH YU XUAN (FR)	801020010075	F01001336	UTS	Active	Profile Update	Approved	

Diagram 165: List of Profile Update application

- Consultant Maker can filter the list

FIMM > Consultant > Profile Maintenance

Consultant Name: NRIC / Passport No: FIMM No:

Registration Status: Scheme: Status:

Submission Date: From Until

- System will display List of Profile Update application based on the filtering.

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6. User can choose total records to display per page from dropdown. System will display the list based on total records choose.

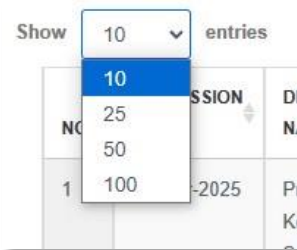


Diagram 166: Entries

7. Consultant Maker can click button 'Previous' or 'Next' to navigate to next listing page.




Diagram 167: Pagination

8. User can filter the list by keyword by inputting the keyword in search box. System will display record which contain the keyword.



Diagram 168: Keyword Search

9. In List of Profile Update application under column Action, Consultant Maker click button  at application with status "Pending Review".

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	07-Mar-2025	Callie Rose (B)	H89011211	F02029115	PRS	Active	Profile Update	Pending Review	
2	05-Mar-2025	Amry bin Ikmal (B)	890505011121	F01029113	PRS	Active	Profile Update	Pending Review	

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Diagram 169: List of Profile Update application

10. System will display previously submitted application and user only able to edit for verification of academic qualification.

i. Profile Details

Malaysian

The screenshot shows the FIMM Consultant Profile Maintenance interface. The 'Profile' tab is selected, and the 'Personal Details' section is active. The form contains the following fields and values:

- Name (As Per NRIC):** SAIF BIN MUNIR (W)
- NRIC No.:** 890505011314 (with a 'View file' button)
- Race:** MALAY (dropdown)
- Nationality:** Malaysian (dropdown)
- Date of Birth:** 05-MAY-1989
- Age:** 35
- Gender:** MALE (dropdown)
- Address:** TAMAN INDAH 3, NO. 56, JALAN KEBUN
- Postcode:** 40000, 40460 (dropdown)
- City:** SHAH ALAM
- State:** SELANGOR
- Phone Number:** +60142656821
- Alt Phone Number:** (empty field)
- Email Address:** saifum@yopmail.com

A profile picture of a man is shown on the right, with a 'Choose File' button and a 'NO FI...SEN' button below it. A green arrow button is at the bottom right of the form.

Diagram 170: Malaysian Profile Details section

Non – Malaysian

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FIMM > Consultant > Profile Maintenance

Registration Info **Profile** CPD

Profile

- 1 Profile Details
- 2 Academic Qualifications
- 3 Scheme Selection
- 4 Type of Registration
- 5 Screening
- 6 Others

Personal Details

Name (As Per NRIC) SAZROSE ABBY (W)

Passport No. F67899101 **View file**
F67899102

Race OTHERS **Nationality** Non-Malaysian

Passport Expiry 24-NOV-2027 **Working Permit Expiry** 10-JUL-2028
05-NOV-2027 07-NOV-2028

Date of Birth 14-OCT-1999 **Age** 25

Gender FEMALE

Address TAMAN INDAH 1
NO. 78, JALAN MERBAU

Postcode 20000 **City** KUALA TERENG...
80000 JOHOR BAHRU

State TERENGGANU **Phone Number** +60142656821
JOHOR


Alt Phone Number

Email Address szaroseum@yopmail.com

Choose File NO FI...SEN

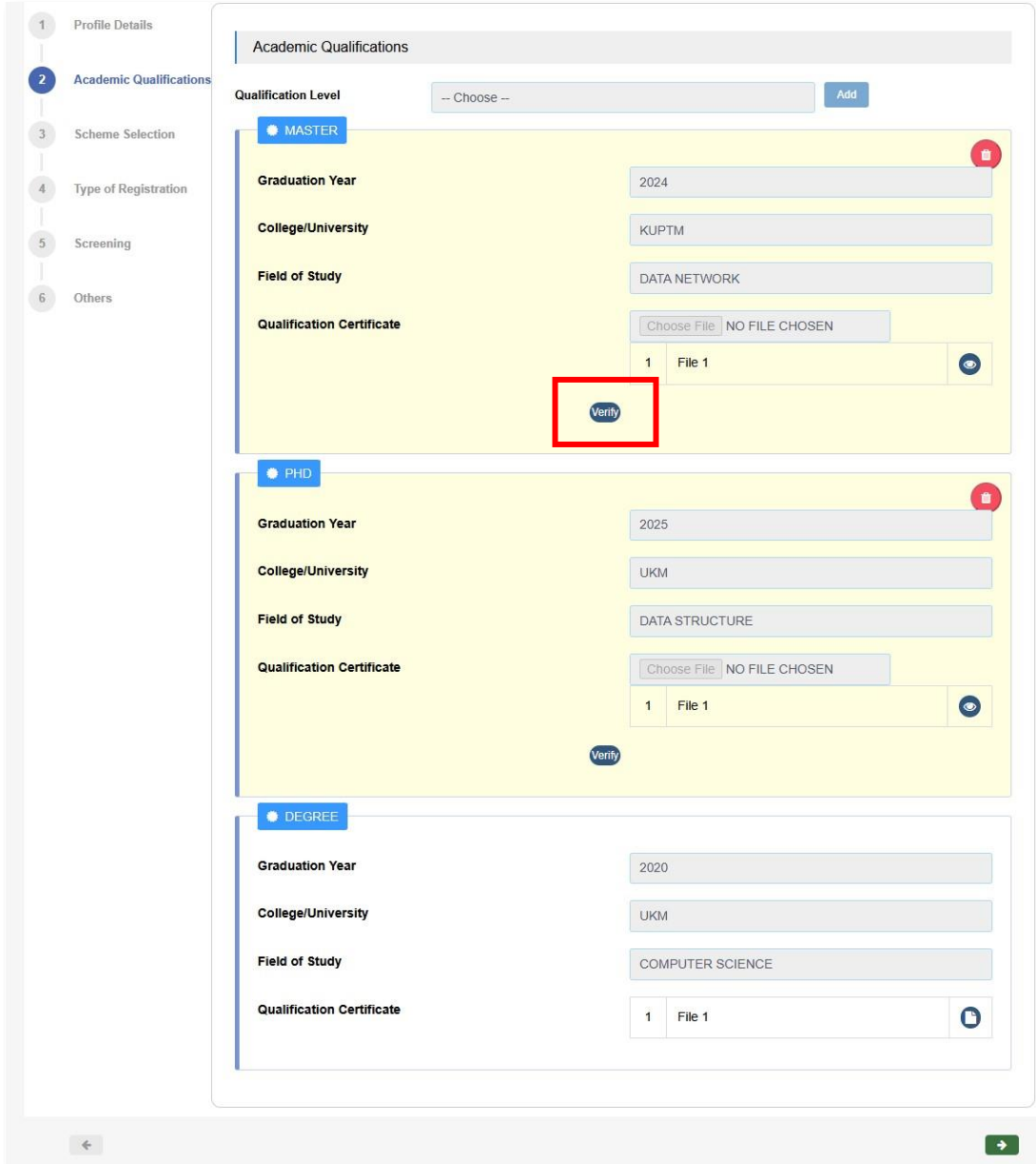
Diagram 171: Non - Malaysian Profile Details section

- ii. Academic Qualification:
 - a. Qualification Level
 - SPM/SVM
 - STPM/STAM
 - Diploma
 - Degree
 - Master
 - PhD

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b. Consultant Maker can verify / edit for unverified verification of


 button.



academic qualification for CTC verification by clicking the

Diagram 172: Academic Qualification section

- System will prompt message “Verify this qualification?”

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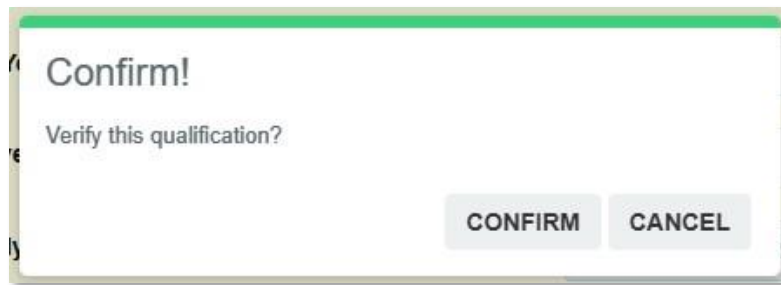



Diagram 173: Confirmation Message

- User click  and academic qualification(s) is verified.

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The screenshot displays the 'Academic Qualifications' section of a web application. On the left, a sidebar lists six steps: 1. Profile Details, 2. Academic Qualifications (active), 3. Scheme Selection, 4. Type of Registration, 5. Screening, and 6. Others. The main content area is titled 'Academic Qualifications' and features three distinct sections for different qualification levels: MASTER, PHD, and DEGREE. Each section contains a form with the following fields: 'Qualification Level' (a dropdown menu with '-- Choose --' and an 'Add' button), 'Graduation Year', 'College/University', 'Field of Study', and 'Qualification Certificate'. The 'Qualification Certificate' field includes a 'Choose File' button, a 'NO FILE CHOSEN' status, and a table with one row containing '1' and 'File 1'. In the MASTER section, a green 'verified' button is highlighted with a red rectangular box. In the PHD section, there is a 'Verify' button. The DEGREE section has a 'File 1' button. At the bottom of the form, there are left and right navigation arrows.

Diagram 174: Academic Qualification section after Verification

a. If user click **CANCEL** , system will stay at current page.

iii. Scheme Selection

- a. Registration Status
- b. Distribution Point
- c. Distributor Selection

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Diagram 175: Scheme Selection section

iv. Type Of Registration

a. Examination

Diagram 176: Type of Registration – Examination

b. Exemption

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The screenshot shows a web application interface for the 'Type of Registration' section. On the left is a vertical navigation menu with six items: 1 Profile Details, 2 Academic Qualifications, 3 Scheme Selection, 4 Type of Registration (highlighted with a blue circle), 5 Screening, and 6 Others. The main content area is titled 'PRS' and contains four fields: 'Registration Type' with a dropdown menu set to 'EXEMPTION', 'Exemption Type' with a dropdown menu set to 'Director Of Distributor (DoD)', 'Appointment Letter by Authority' with a 'Choose File' button and the text 'NO FILE CHOSEN', and 'Resume/Curriculum Vitae' with a 'Choose File' button and the text 'NO FILE CHOSEN'. At the bottom of the form are two navigation buttons: a left arrow and a right arrow.

Diagram 177: Type of Registration – Exemption

v. Screening


- a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
- b. Bankruptcy Screening (Clear/Bankrupted)

The screenshot shows the 'Screening' section of the web application. The left navigation menu is the same as in Diagram 177, but item 5 'Screening' is now highlighted with a blue circle. The main content area has two sections: 'CAS Screening Detail' and 'Bankrupt Status'. Each section has a 'Status' label and a dropdown menu. In the 'CAS Screening Detail' section, the dropdown menu is set to 'Clear'. In the 'Bankrupt Status' section, the dropdown menu is also set to 'Clear'. At the bottom of the form are two navigation buttons: a left arrow and a right arrow.

Diagram 178: Screening Section

vi. Others

- a. Supporting Document
- b. Signed Consent Form
- c. Declaration

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1

Profile Details

2

Academic Qualifications

3

Scheme Selection

4

Type of Registration

5

Screening

6

Others

Upload Supporting Document

File Name

Choose File

NO FILE CHOSEN

Add

NO	DATE	FILE NAME	ACTION
1	07-Mar-2025	Doc 1	<div>View</div>

Upload Signed Consent Form

Application Consent Form

Choose File

NO FILE CHOSEN

FIMM-Consent-Form.pdf

NO	DATE	FILE NAME	ACTION
1	15-Feb-2025	FIMM-Consent-Form.pdf	<div>View</div>

Declaration

Name(As Per NRIC)

ZULHILMI BUKHARI

NRIC

F56789012

IMPORTANT NOTES: PLEASE SCROLL DOWN AND READ ALL DECLARATIONS BEFORE ACKNOWLEDGING THAT YOU AGREED TO THE TERMS AND CONDITIONS OF THIS APPLICATION.

I, the undersigned registered Unit Trust and/or Private Retirement Scheme Consultant with the Federation of Investment Managers Malaysia ("FIMM"), hereby affirm the following:

1. I declare and confirm that all information and documents provided to FIMM in connection with my profile update(s)/renewal of registration are true, current and accurate;
2. I declare and confirm that I fulfill and will continue to ensure that I am Fit and Proper, as specified under Chapter 4 of FIMM's Consolidated Rules ("FCR");
3. I declare and confirm that I meet the eligible requirements as specified under the FCR;
4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

☒ I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

Diagram 179: Others Section

vii. Comment

Comment


500 characters remaining

Return

Reject

Submit

Diagram 180: Comment Box

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11. To return the application:



- i. Consultant Maker key-in comment box and click button . System will prompt message “Confirm to proceed?”



Diagram 181: Confirmation Message

- ii. User click button . System will return the application back to Consultant with status “Returned”. System will navigate back to list of applications.
- iii. System will show error message if user does not key-in the comment box.

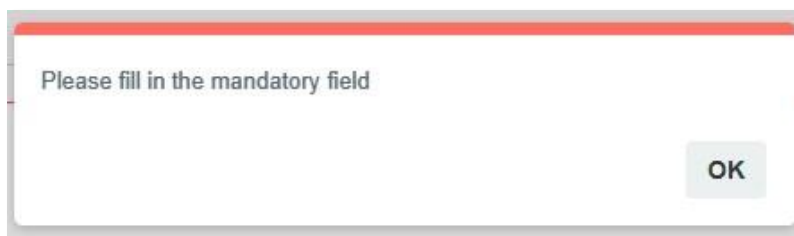



Diagram 182: Error Message

12. To reject the application, user click button .

- i. System will prompt message “Confirm to proceed?”. User click button .




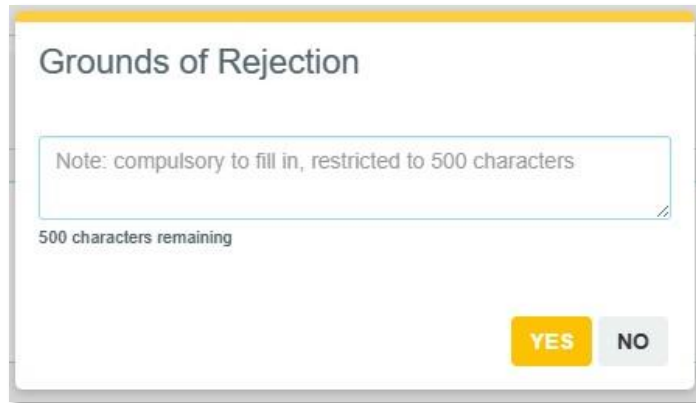
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Diagram 183: Confirmation Message

- ii. System will display popup for user to key-in ground of rejection for rejecting consultant application.



A screenshot of a 'Grounds of Rejection' popup window. The title bar is yellow. The main area has a white background with the title 'Grounds of Rejection' at the top. Below the title is a text input field with a placeholder note: 'Note: compulsory to fill in, restricted to 500 characters'. Below the input field, it says '500 characters remaining'. At the bottom right, there are two buttons: a yellow 'YES' button and a grey 'NO' button.


Diagram 184: Grounds of Rejection

- iii. System will show error message if user does not key-in the ground of rejection.



A screenshot of an error message popup window. The title bar is red. The main area has a white background. In the center, there is a red circle with a white exclamation mark. Below the icon, the text reads 'Please fill Grounds of rejection'. At the bottom right, there is a grey 'OK' button.

Diagram 185: Error Message

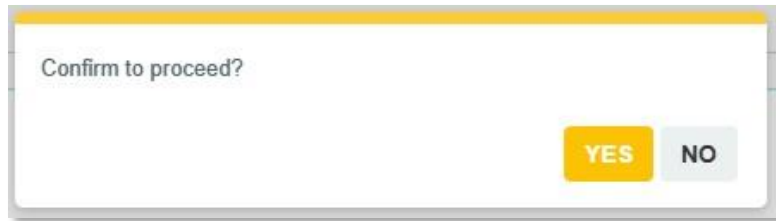
- iv. User fill Grounds of Rejection and click . Application status change to "Rejected".

13. To submit the application, Consultant Maker click button .

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System will prompt message “Confirm to proceed?” and user click

YES



i.

Diagram 186: Confirmation Message

ii. System will display successful application message and system will navigate back to list of applications. Application status change to “Pending Approve - Consultant Approver”.

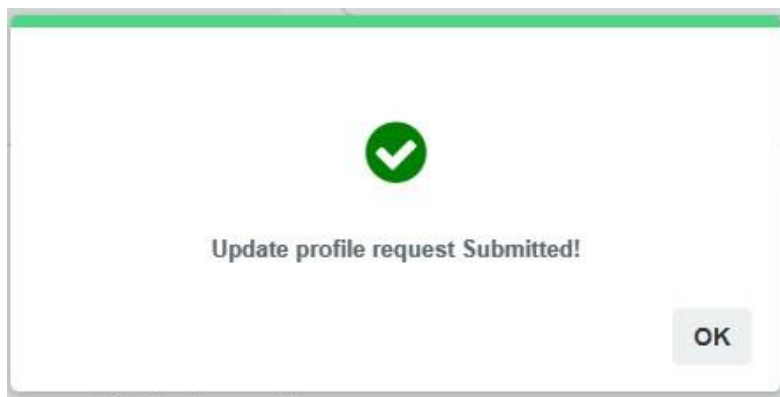



Diagram 187: Successful Application Message

Returned – Consultant Approver

1. In List of Profile Update application under column Action, Consultant Maker click

button  at application with status “Returned – Consultant Approver”.



3	12-Mar-2025	Sazrose Abby (W)	F67899101	F02029112	UTS	Active	Profile Update	Pending Review	
4	05-Mar-2025	Amry bin Ikmal (B)	890505011121	F01029113	PRS	Active	Profile Update	Returned - Consultant Approver	
5	26-Feb-2025	KOH YU XUAN (FR)	801020010075	F01001336	UTS	Active	Profile Update	Approved	

Diagram 188: List of Applications

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2. System will display previously submitted application. Consultant Maker only able to edit for unverified verification of academic qualification and bankruptcy upload file.

Anything else related to consultant must be returned to consultant to

be edited. i. Profile Details

- a. Name
- b. NRIC/Passport No
- c. Nationality
- d. Date Of Birth
- e. Age
- f. Race
- g. Gender
- h. Address
- i. Postcode
- j. City
- k. State
- l. Phone Number
- m. Alt Phone Number
- n. Email Address
- o. Photo

ii. Academic Qualification.

a. Qualification Level

- SPM/SVM
- STPM/STAM
- Diploma
- Degree
- Master
- PhD


b. Consultant Maker can verify / edit for unverified verification of academic qualification for CTC verification by clicking the



button.

iii. Scheme Selection

a. Registration Status

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- Staff
 - Tied Agent
 - b. Distribution Point.
 - c. Distributor Selection
- iv. Type Of Registration
- a. Examination
 - b. Exemption
- v. Screening
- a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
 - b. Bankruptcy Screening (Clear/Bankrupted)
 - If the consultant already failed bankruptcy screening, user able to upload release letter of bankruptcy for consultant to uplift the bankruptcy status
- vi. Others
- a. Supporting Document
 - b. Signed Consent Form
 - c. Declaration
- vii. Return Comment (This field should have comment provided from Consultant Approver)

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Diagram 189: Return Comment from Consultant Approver

Failed Bankruptcy Screening

1. In List of Profile Update application under column Action, user click


button  at application with status "Pending Review".

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Review	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Returned - Consultant Approver	

Diagram 190: List of Profile Update application

2. System will display previously submitted application and consultant:

- i. Profile
- ii. Academic Qualification
- iii. Scheme Selection
- iv. Type Of Registration
- v. Screening
- vi. Others

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	30

3. Under Screening section, user can view consultant applicant failed Bankruptcy Status.

- i. User need to upload letter of release for the consultant to proceed with the application.

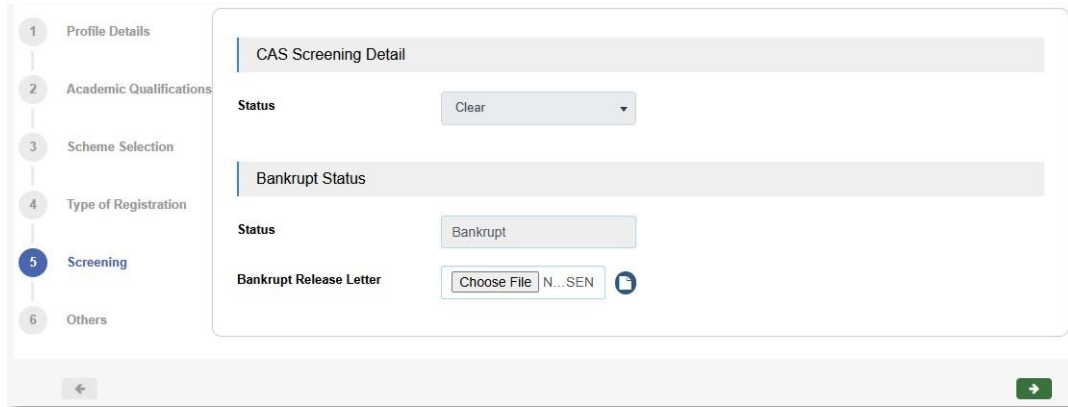



Diagram 191: Failed Bankruptcy Screening

Returned – RD

1. In List of Profile Update application under column Action, Consultant Maker click

button  at application with status “Returned – RD”.




NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Review	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Returned - RD	


Diagram 192: List of Profile Update Applications

2. System will display previously returned application.

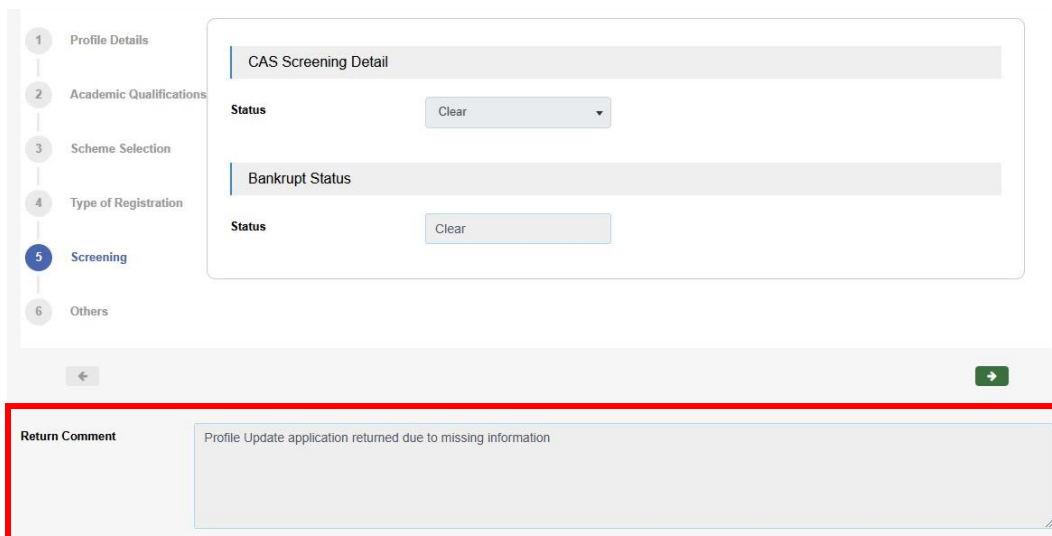
- i. Profile Details
 - a. Name
 - b. NRIC/Passport No
 - c. Nationality
 - d. Date Of Birth
 - e. Age
 - f. Race
 - g. Gender
 - h. Address

	Project	Reference	File	Version	Date	Page
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- i. Postcode
 - j. City
 - k. State
 - l. Phone Number
 - m. Alt Phone Number
 - n. Email Address
 - o. Photo
- ii. Academic Qualification:
 - a. Qualification Level
 - SPM/SVM
 - STPM/STAM
 - Diploma
 - Degree
 - Master
 - PhD
 - b. Consultant Maker can verify / edit for unverified verification of academic qualification for CTC verification by clicking the  button.
- iii. Scheme Selection
 - a. Registration Status
 - b. Distribution Point
 - c. Distributor Selection
- iv. Type Of Registration
 - a. Examination
 - b. Exemption
- v. Screening
 - a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
 - b. Bankruptcy Screening (Clear/Bankrupted)
- vi. Others
 - a. Supporting Document
 - b. Signed Consent Form

	Project	Reference	File	Version	Date	Page
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- c. Declaration vii. Return Comment (This field should have comment provided by FIMM RD)

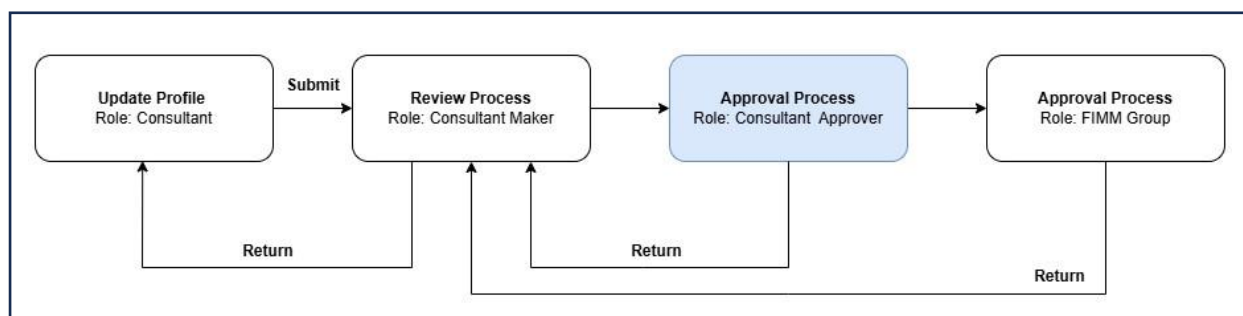


The screenshot shows a multi-step form with a sidebar on the left containing steps 1 through 6. Step 5, 'Screening', is currently active. The main content area has two sections: 'CAS Screening Detail' and 'Bankrupt Status', each with a 'Status' dropdown menu and a 'Clear' button. At the bottom, a 'Return Comment' field is highlighted with a red border and contains the text: 'Profile Update application returned due to missing information'.

Diagram 193: Returned – RD


3.3.2 Approval Process by Consultant Approver

3.3.2.1 Process Flow



3.3.2.2 Manual Steps

1. Click menu 'Consultant'. System will display list of submenu for Consultant.

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	33

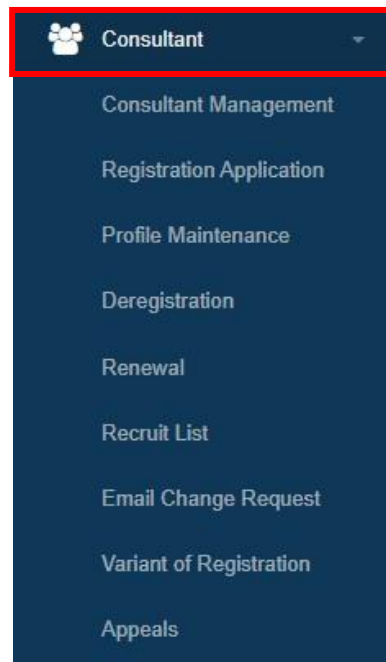


Diagram 194: Consultant Menu

2. Click submenu 'Profile Maintenance'.

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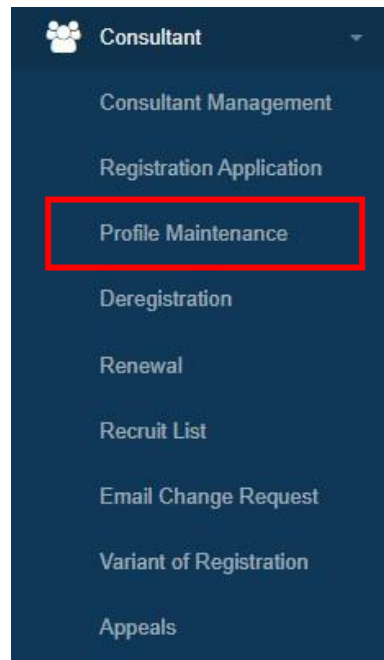


Diagram 195: Submenu 'Profile Maintenance'

3. System will display List of Profile Update application

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Review	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Returned - RD	
3	07-Mar-2025	Callie Rose (B)	H89011211	F02029115	PRS	Active	Profile Update	Pending Review	

Diagram 196: List of Profile Update application

4. Consultant Approver can filter the list

FIMM > Consultant > Profile Maintenance

Consultant Name:
 NRIC / Passport No:
 FIMM No:

Registration Status:
 Scheme:
 Status:

Submission Date: From Until

5. System will display List of Profile Update application based on the filtering.

6. User can choose total records to display per page from dropdown. System will display the list based on total records choose.

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	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	35

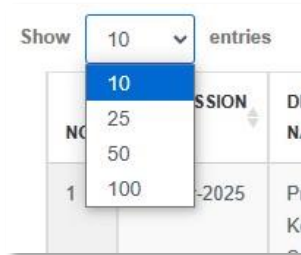


Diagram 197: Entries

7. Consultant Approver can click button 'Previous' or 'Next' to navigate to next listing page.




Diagram 198: Pagination

8. User can filter the list by keyword by inputting the keyword in search box. System will display record which contain the keyword.



Diagram 199: Keyword Search

9. In List of Profile Update application under column Action, Consultant Approver click

button  at application with status "Pending Approve - Consultant Approver".

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Review	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Pending Approve - Consultant Approver	

Diagram 200: List of Profile Update application

10. System will display previously submitted application,

FIMM Federation of Investment Managers Malaysia	Project	Reference	File	Version	Date	Page
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i. Profile Details

Malaysian

FIMM > Consultant > Profile Maintenance

Registration Info **Profile** CPD

Profile

1 Profile Details
2 Academic Qualifications
3 Scheme Selection
4 Type of Registration
5 Screening
6 Others

Personal Details

Name (As Per NRIC) SAIF BIN MUNIR (W)

NRIC No. 890505011314 [View file](#)

Race MALAY Nationality Malaysian

Date of Birth 05-MAY-1989 Age 35

Gender MALE

Address TAMAN INDAH 3
NO. 56, JALAN KEBUN

Postcode 40000 City SHAH ALAM
40460

State SELANGOR Phone Number +60142656821
Alt Phone Number

Email Address saifum@yopmail.com

[Choose File](#) NO FI... SEN

Diagram 201: Malaysian Profile Details section

Non – Malaysian

FIMM	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	37

FIMM > Consultant > Profile Maintenance

Registration Info Profile CPD

Profile

1 Profile Details
2 Academic Qualifications
3 Scheme Selection
4 Type of Registration
5 Screening
6 Others

Personal Details

Name (As Per NRIC) SAZROSE ABBY (W)

Passport No. F67899101 View file
F67899102

Race OTHERS Nationality Non-Malaysian

Passport Expiry 24-NOV-2027 Working Permit Expiry 10-JUL-2028
05-NOV-2027 07-NOV-2028

Date of Birth 14-OCT-1999 Age 25

Gender FEMALE

Address TAMAN INDAH 1
NO. 78, JALAN MERBAU

Postcode 20000 City KUALA TERENG...
80000 JOHOR BAHRU

State TERENGGANU Phone Number +60142656821
JOHOR

Alt Phone Number


Email Address szaroseum@yopmail.com

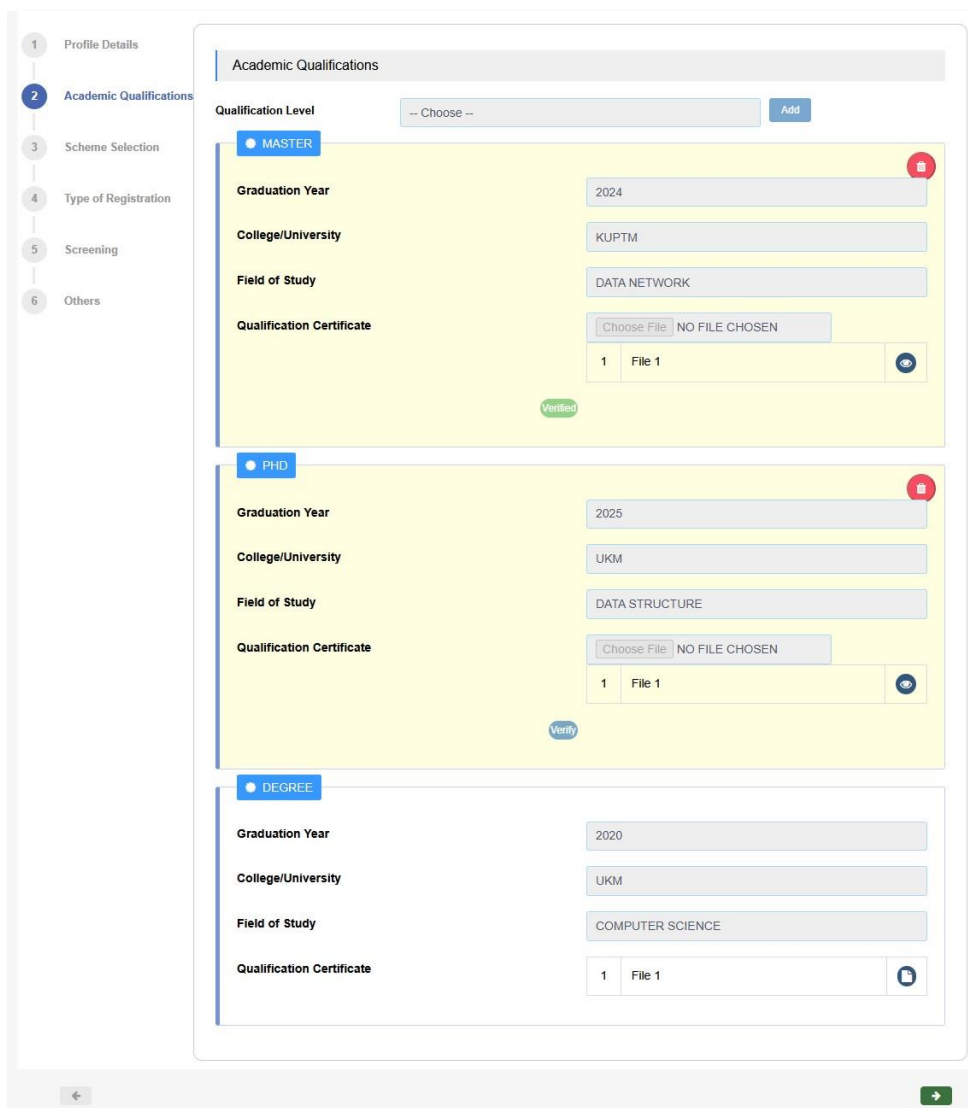
Choose File NO FI...SEN

→

Diagram 202: Non - Malaysian Profile Details section

- ii. Academic Qualification:
 - a. SPM/SVM
 - b. STPM/STAM
 - c. Diploma
 - d. Degree
 - e. Master
 - f. PhD

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Academic Qualifications

Qualification Level: -- Choose -- Add

MASTER

Graduation Year: 2024

College/University: KUPTM

Field of Study: DATA NETWORK

Qualification Certificate: Choose File NO FILE CHOSEN

1 File 1 Verify

PHD

Graduation Year: 2025

College/University: UKM

Field of Study: DATA STRUCTURE

Qualification Certificate: Choose File NO FILE CHOSEN

1 File 1 Verify

DEGREE

Graduation Year: 2020


College/University: UKM

Field of Study: COMPUTER SCIENCE

Qualification Certificate: 1 File 1 Verify

Diagram 203: Academic Qualification section

- iii. Scheme Selection
 - a. Registration Status
 - b. Distribution Point
 - c. Distributor Selection

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia (FIMM)	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	39

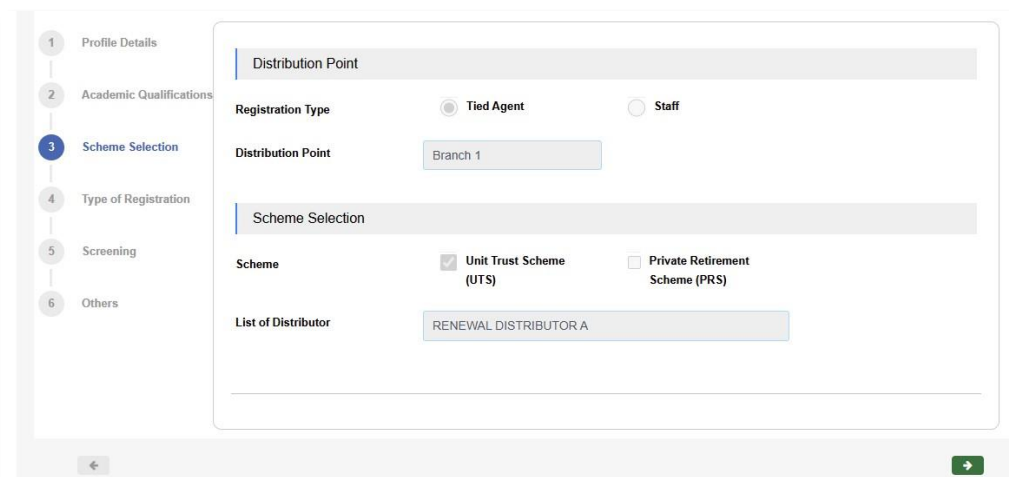


Diagram 204: Scheme Selection section

iv. Type Of Registration

a. Examination

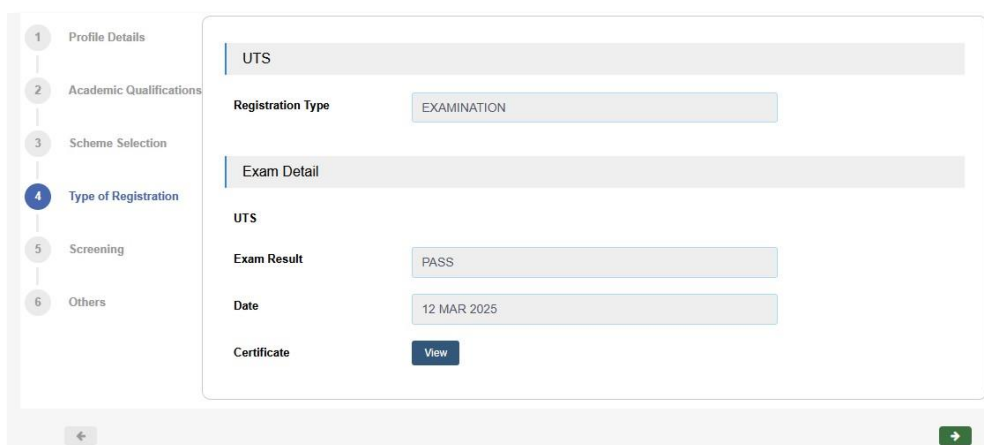


Diagram 205: Type of Registration – Examination

b. Exemption

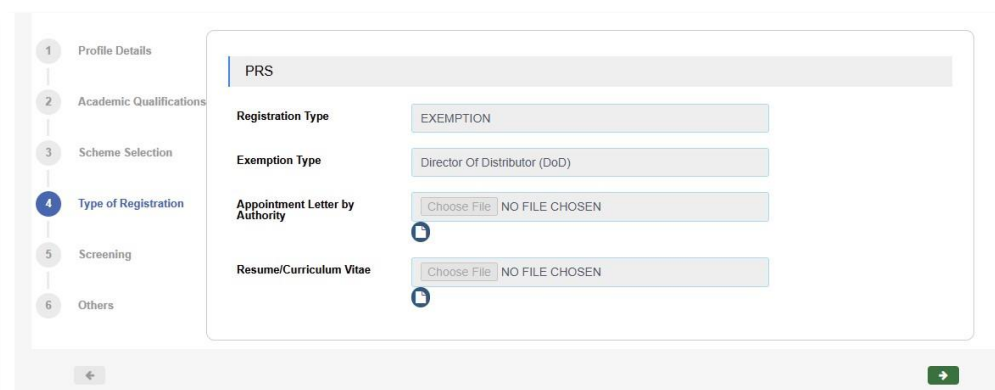


Diagram 206: Type of Registration – Exemption

FIMM Federation of Investment Managers Malaysia	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	40

v. Screening

- a. CAS Screening (Clear/whitelist/Under Investigation/Watchlist/Barred/Suspension – Under Investigation/Suspension – Sanctioned/Blacklist)
- b. Bankruptcy Screening (Clear/Bankrupted)

Diagram 207: Screening Section

vi. Others

- a. Supporting Document
- b. Signed Consent Form
- c. Declaration

FIMM Federation of Investment Managers Malaysia	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	41

1 Profile Details
2 Academic Qualifications
3 Scheme Selection
4 Type of Registration
5 Screening
6 Others

Upload Supporting Document

File Name

Choose File

NO FILE CHOSEN

Add

NO	DATE	FILE NAME	ACTION
1	07-Mar-2025	Doc 1	<div>View</div>

Upload Signed Consent Form

Application Consent Form

Choose File

NO FILE CHOSEN

[FIMM-Consent-Form.pdf](#)

NO	DATE	FILE NAME	ACTION
1	15-Feb-2025	FIMM-Consent-Form.pdf	<div>View</div>

Declaration

Name(As Per NRIC)
ZULHILMI BUKHARI
NRIC
F56789012

IMPORTANT NOTES: PLEASE SCROLL DOWN AND READ ALL DECLARATIONS BEFORE ACKNOWLEDGING THAT YOU AGREED TO THE TERMS AND CONDITIONS OF THIS APPLICATION.

I, the undersigned registered Unit Trust and/or Private Retirement Scheme Consultant with the Federation of Investment Managers Malaysia ("FIMM"), hereby affirm the following:

1. I declare and confirm that all information and documents provided to FIMM in connection with my profile update(s)/renewal of registration are true, current and accurate;
2. I declare and confirm that I fulfill and will continue to ensure that I am Fit and Proper, as specified under Chapter 4 of FIMM's Consolidated Rules ("FCR");
3. I declare and confirm that I meet the eligible requirements as specified under the FCR;
4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

☒ I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

Diagram 208: Others Section

vii. Comment

Comment


500 characters remaining

Return


Reject

Approve

Diagram 209: Comment section

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11. To return the application,
 - i. Consultant Approver key-in comment box and click button

 . System will prompt message “Confirm to proceed?”

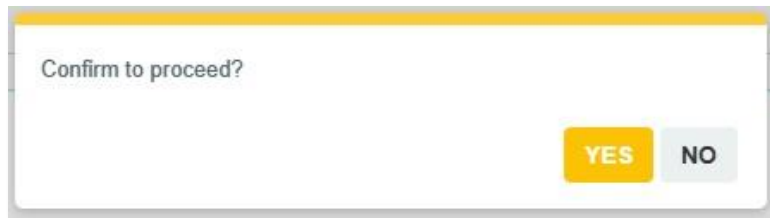


Diagram 210: Confirmation Message

- ii. User click button  . System will prompt successful message and return the application back to Consultant Maker with status “Returned – Consultant Approver”. System will navigate back to list of applications.

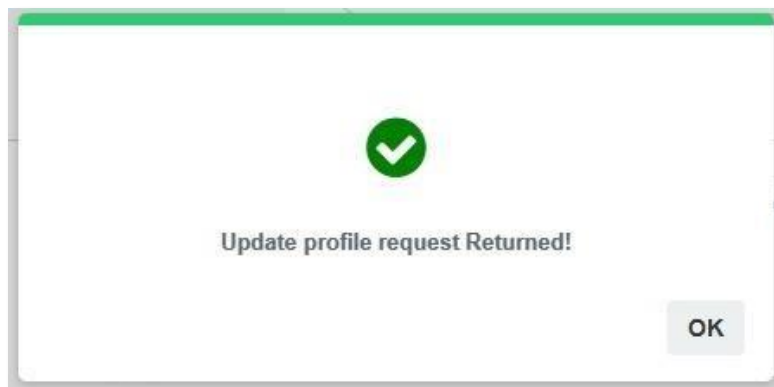


Diagram 211: Successful Message

- iii. System will show error message if user does not key-in the comment box.

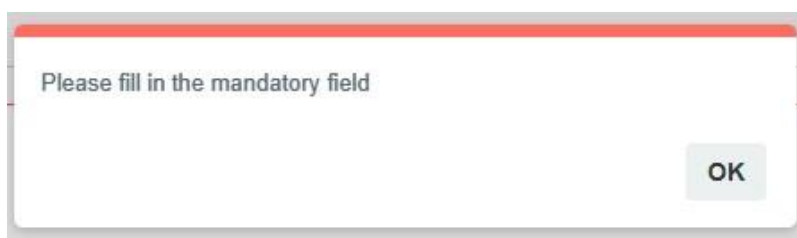




Diagram 212: Error Message

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	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	43

12. To reject the application, user click button  .
- i. System will prompt message “Confirm to proceed?”. User click button

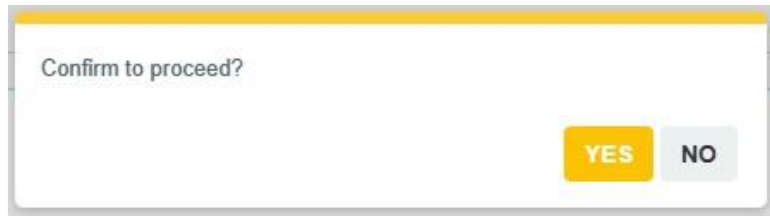


Diagram 213: Confirmation Message

- ii. System will display popup for user to key-in ground of rejection for rejecting consultant application.

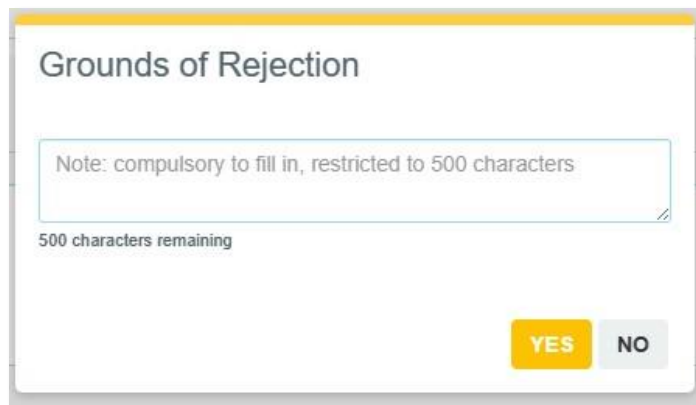




Diagram 214: Grounds of Rejection


- iii. System will show error message if user does not key-in the ground of rejection.



Diagram 215: Error Message

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	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	44

iv. User fill Grounds of Rejection and click . Application status change to “Rejected”.

13. To approve the application, Consultant Approver click button .

System will prompt message “Confirm to proceed?” and user click .



i.

Diagram 216: Confirmation Message

ii. System will display successful application message and system will navigate back to list of applications. Application status change to “Submitted”.

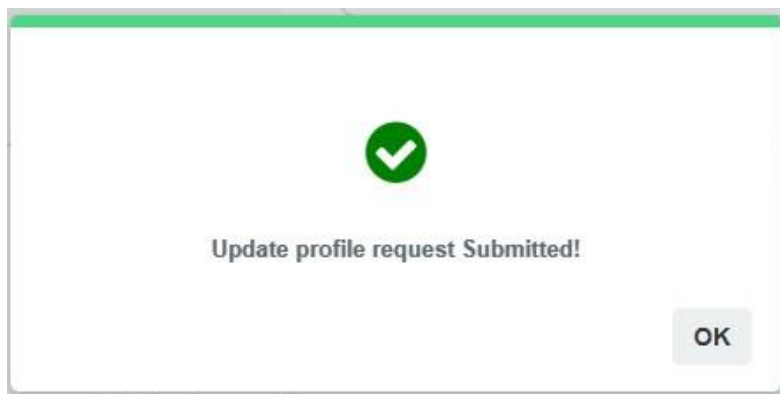



Diagram 217: Successful Application Message

Failed Bankruptcy Screening

1. In List of Profile Update application under column Action, user click button  at application with status “Pending Approve – Consultant Approver”.

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	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	45

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Pending Approve - Consultant Approver	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Pending Approve - Consultant Approver	

Diagram 218: List of Profile Update application

2. System will display previously submitted application and consultant:

- i. Profile
- ii. Academic Qualification
- iii. Scheme Selection
- iv. Type Of Registration
- v. Screening
- vi. Others


3. Under Screening section, user can view consultant applicant failed Bankruptcy Status.


- i. User must approve the application submitted by Consultant Maker to re-direct the submission to RD.

Diagram 219: Failed Bankruptcy Screening

Returned – RD

1. In List of Profile Update application under column Action, Consultant Approver click

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button  at application with status “Returned – RD”.

NO	SUBMISSION DATE	CONSULTANT NAME	NRIC/PASSPORT NO	FIMM NO	SCHEME	REGISTRATION STATUS	APPLICATION TYPE	STATUS	ACTION
1	12-Mar-2025	Tiara binti Adnan (W)	001201000120	F02029111	UTS	Active	Profile Update	Returned - RD	
2	12-Mar-2025	Saif bin Munir (W)	890505011314	F01029114	UTS	Active	Profile Update	Pending Approve - Consultant Approver	

Diagram 220: List of Profile Update Applications

2. System will display previously returned application.


i. Profile Details

- a. Name
- b. NRIC/Passport No
- c. Nationality
- d. Date Of Birth
- e. Age
- f. Race
- g. Gender
- h. Address
- i. Postcode
- j. City
- k. State
- l. Phone Number
- m. Alt Phone Number
- n. Email Address
- o. Photo
- ii. Academic Qualification:

- a. SPM/SVM
- b. STPM/STAM
- c. Diploma
- d. Degree
- e. Master
- f. PhD

iii. Scheme Selection

- a. Registration Status
- b. Distribution Point
- c. Distributor Selection

	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	47

iv. Type Of Registration

- a. Examination
- b. Exemption

v. Screening

- a. CAS Screening (Clear/whitelist/Under

Investigation/Watchlist/Barred/Suspension – Under

Investigation/Suspension – Sanctioned/Blacklist

- b. Bankruptcy Screening (Clear/Bankrupted)

vi. Others

- a. Supporting Document
- b. Signed Consent Form
- c. Declaration

FIMM Federation of Investment Managers Malaysia	Project	Reference	File	Version	Date	Page
	Federation of Investment Managers Malaysia (FIMM)	ZANKO/FIMM/UM/V0.1	User Manual Document	1.0	24/03/25	48

vii. Return Comment (This field should have comment provided by FIMM RD)

1 Profile Details
2 Academic Qualifications
3 Scheme Selection
4 Type of Registration
5 Screening
6 Others

Upload Supporting Document

File Name

Choose File

NO FILE CHOSEN

Add

NO	DATE	FILE NAME	ACTION
1	04-Mar-2025	SUPPORT DOCUMENT	<div>View</div>
2	12-Mar-2025	Tambahan 1	<div>View</div>

Upload Signed Consent Form

Application Consent Form

Choose File

NO FILE CHOSEN

FIMM-Consent-Form.pdf

NO	DATE	FILE NAME	ACTION
1	04-Mar-2025	FIMM-Consent-Form.pdf	<div>View</div>
2	11-Mar-2025	FIMM-Consent-Form - V.pdf	<div>View</div>

Declaration

Name(As Per NRIC)
TIARA BINTI ADNAN (W)

NRIC
001201000120

IMPORTANT NOTES: PLEASE SCROLL DOWN AND READ ALL DECLARATIONS BEFORE ACKNOWLEDGING THAT YOU AGREED TO THE TERMS AND CONDITIONS OF THIS APPLICATION.

I, the undersigned registered Unit Trust and/or Private Retirement Scheme Consultant with the Federation of Investment Managers Malaysia ("FIMM"), hereby affirm the following:

1. I declare and confirm that all information and documents provided to FIMM in connection with my profile update(s)/renewal of registration are true, current and accurate;
2. I declare and confirm that I fulfill and will continue to ensure that I am Fit and Proper, as specified under Chapter 4 of FIMM's Consolidated Rules ("FCR");
3. I declare and confirm that I meet the eligible requirements as specified under the FCR;
4. I undertake and agree to be bound by and comply with the FIMM Rules and securities laws issued by the Securities Commission Malaysia and any other applicable laws at all times;

☒ I understand the gravity of the above statements and the implications of non-compliance with FIMM's Rules and in providing false information. I affirm that the statements made herein are true to the best of my knowledge and belief.

Return Comment

Update Profile applictaion return due to incomplete informations

Comment

500 characters remaining

Diagram 221: Returned – RD