

USER MANUAL

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

MODULE: DISTRIBUTOR (DISTRIBUTOR REGISTRATION AND USER MANAGEMENT) GROUP: DISTRIBUTOR

AGENCY NAME	:	FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)
DOCUMENT DATE	:	21/03/2025
DOCUMENT VERSION	:	V1.0

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DOCUMENT DESCRIPTION

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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, COMMISS	DESIGN, SIONING	DEVELOPMENT,	INSTALLATION,	TESTING,		
	AND MAINTENANCE OF REGISTRATION SOFTWARE FOR FEDERATION OF INVESTMENT MANAGERS MALAYSIA (FIMM)						
Document Name	User Man	ual					
Document Reference No	ZANKO/FI	MM/UM/v1	0				
Property	Zanko Sdr	n Bhd					
Document Date	21/03/202	25					

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DOCUMENT CONTROL

Version History					
Version No	Version Date	Summary	Writer		
0.1	24/02/2025	First draft	Zulhasnain Zul Ramli		
0.2	20/03/2025	Add user management and distribution point process	Zulhasnain Zul Ramli		
1.0	21/03/2025	Final document	Zulhasnain Zul Ramli		

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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
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
RFP	Registered Financial Planner
RSD	Regulatory Services Division



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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
D-MKR	Distributor - Maker
D-CHK	Distributor - Approver
D-ADM	Distributor Administrator

Table 2: Abbreviation Role Table

•			
Federation of Ir	vestment Man	agers Malaysia	

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.

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.

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:

Email: itsupport@fimm.com.my Website: https://www.fimm.com.my

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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** (https://fcs.fimm.com.my) and enter their credentials. For first-time users, an initial login setup may be required to activate their accounts.

For security reasons:

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

Steps to Open the FCS System Website:

- 1. Launch your web browser (Google Chrome, Mozilla Firefox, Microsoft Edge, etc.)
- 2. Enter the FCS System URL in the address bar and press Enter.
- 3. 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**.



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

Please Login First
User ID
Password
Request TAC
Forgot Password?
First Time Login

Diagram 2: Log in Display

Successful Login

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

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3.1 Distributor Registration and User Management

3.1.1 Submit Distributor Registration Application

3.1.1.1 Process Flow



3.1.1.2 Manual Steps

Register Account

The Sign-Up tab allows new users to create an account in the system. Users must select their role and provide a detail to proceed.

- 1. User Role Selection: A dropdown menu where users must select their role.
 - i. Consultant
 - ii. Distributor

iii.Exam Site Coordinator

- iv. Training Provider
- v. Non- Member Fund Provider
- 2. Email Address Input: A text field where users must enter their work email (e.g.,

name@company.com.my).

- 3. Click the Next button to proceed after entering valid information.
- 4. Validation and error handling: The email field must be in a valid format (e.g.,

name@company.com.my).

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		Get mo FIMM For investi in the inve	bre things done with or security, growth and knowledge stment management industry Log In ■ Sign Up SIGN UP stributor name@company.com.my Next			

Diagram 20: Sign Up Tab

or invest the inve	or security, estment ma	growth nageme	and knowle nt industry	edg
۵			🔓 Sign Up	
	SI	GN UP		
Di	stributor		•	
	abubak	ar@gmail	.com	
		Next		

Diagram 21: Email Error Handling

🐣 Log In

Access the Login Page

5. On the homepage, locate the 'Log in'

button and click it.

- 6. In the User ID field, enter your registered User ID.
- 7. In the **Password** field, enter your **password**.

Enter Your Credentials

8. System will show sign in page, User need to insert this item

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i.						
U	ser ID ii.					
Pa	assword					
		Get more FIMM For investor sec in the investment Log In User ID Passwor	things done with surity, growth and knowledge at management industry Sign Up Please Login First LOG IN Login			

Diagram 22: Login Display Page

Forgot Password?

Update Account

9. Click the 'Login' button, system will redirect user to the account page. (Refer Chapter

2, Section 2.1.2)

10. After completing the details on the account page, click the 'Save' button. The system will then redirect user to the distributor registration application form.

11. System will display the distributor registration application form with the following sections:

- i. Type of Registration
- ii. Company Details
- iii. Organizational Chart
- iv. Key Personnel
- v. Business Plan
- vi. Policies and Procedure
- vii. Consultants Management viii. and Others

Unitholders Management ix. Payment

x. Declaration and Submission.

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	1 Type of Registration	Type of Registration				
	2 Company Details	Scheme *				
	3 Organization Chart	Unit Trust Scheme (UTS)	V Pr	ivate Retirement Schen	ne (PRS)	
	4 Key Personnel	Registration Type*		Registration Type*		
	5 Business Plan	Unit Trust Management Company (UTMC)		rivate Retirement Schem	e Provider (PRSP)	
	6 Policies & Procedures	Corporate Unit Trust Adviser (CUTA)	orporate Private Retirem	ent Scheme Adviser (CF	PRA)
	7 Consultants Management	Liegene				
	8 Unitholder Management	Capital Market Services License (CMS	sl)	Done	View Remove	
	9 Payment & Others	Fund Management in relation to	o portfolio management			
	10 Declaration & Submission	Dealing in private retirement so	hemes			

Diagram 23: Type of Registration Form

Type of Registration Form

- 12. The user need to fill in details in the 'Type of Registration' section.
 - i. Scheme
 - Unit Trust Scheme (UTS)
 - Private Retirement Scheme (PRS)

Scheme *	
Unit Trust Scheme (UTS)	Private Retirement Scheme (PRS)



ii. If the user chooses 'Unit Trust Scheme (UTS)', they need to fill in the Registration Type:

- Unit Trust Management Company (UTMC)
- Institutional Unit Trust Adviser (IUTA)
- Corporate Unit Trust Adviser (CUTA) iii. Checkbox handling:
- If user tick check box CUTA UTMC or IUTA will be dimmed.
- If user tick check box UTMC or IUTA CUTA will be dimmed.

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	Reg	istration Type*				
	Unit Trust Management Company (UTMC)					
	Institutional Unit Trust Adviser (IUTA)					
		Corporate Unit Trust A	dviser (CUTA)			



- iv. If the user chooses 'Private Retirement Scheme (PRS)', they need to fill in the Registration Type:
 - Private Retirement Scheme Provider (PRSP)
 - Institutional Private Retirement Scheme Adviser (IPRA)
 - Corporate Private Retirement Scheme Adviser (CPRA)
- v. Checkbox handling:
 - If user tick check box CPRA PRSP or IPRA will be dimmed.
 - If user tick check box PRSP or IPRA CPRA will be dimmed.

Registration Type*	
Private Retirement Scheme Provider (PRSP) Institutional Private Retirement Scheme Adviser (IPRA) Corporate Private Retirement Scheme Adviser (CPRA)	

Diagram 26: Registration Type Form

- 13. The user need to upload license.
 - i. Capital Market Services License (CMSL).
 - Fund Management in relation to portfolio management.
 - Dealing in securities / Dealing in securities restricted to unit trusts.
 - Dealing in private retirement schemes.
 - Financial Planning.
 - ii. Banking License

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	License					
	Capital Market Services License (C	MSL)		Choose file to u	upload)
	Fund Management in relatio Dealing in securities / Dealin Dealing in private retirement Financial Planning	trusts				
					Save as Draft	Next >>

Diagram 27: License Form

- iii. Upload License handling:
 - If the user chooses 'Institutional Unit Trust Adviser (IUTA)' or 'Institutional Private Retirement Scheme Adviser (IPRA),' the system will display the 'Banking License' field.
 - The user can choose to upload either the 'Capital Market Services License (CMSL)' or the 'Banking License,' or both.
 - The 'CMSL' checkbox is only compulsory when the user uploads $\ensuremath{\mathsf{CMSL}}$

License.

Choose file to upload

Diagram 28: License Form

14. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

15. Click the Next button to proceed to the company details section.

i. If the details are incomplete, the system will display a validation message for any blank mandatory fields.

ii. If the details are complete, the system will proceed to the company details section.

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	Alert!					
	Please fill in all required fields.					
					_	
					ок	



Company Details Section

16. The user needs to fill in the 'General Information' subsection with the following fields.

i. Company Name

ii.Registration No. (New)

- iii. Date of Incorporation iv. Type of Company
- v. Type of Corporation
- vi. Business Address
- vii. Postcode
- viii. State
- ix. Company Phone Number x. Company Website

Company Name *	MEGAH HOLDING				
Registration No. (New) * 😗	100012000	Registration No. (Old) ()	R12021221		
Date of Incorporation *	1 Mar 2016				
ype of Company *	Local	O Foreign			
ype of Corporation *	O Related to Financial Institution	Not Related to	Financial Institution		
usiness Address *	13, TINGKAT 3, MENARA KWASA AMAN				
	BANGUNAN SETIA JAYA				
ostcode	47000	City	SUNGAI BULOH		
tate *	SELANGOR	✓ Country *	MALAYSIA	,	
ompany Phone Number*	0123456135	Company Email * ()	megahholding@megah.com		

Diagram 30: General Information Details

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17. Then, the user needs to fill in the 'Company Registration Documents'

subsection with the following fields

- i. Certificate of Incorporation (Dropdown)
 - Super Form
 - Section 16 (4) / Form 8
 - Section 17 / Form 9 ii. Certificate of Incorporation on Change of Name of Company
- iii. Return of Allotment of Shares (Dropdown)
 - Section 78
 - Form 24
 - iv. Notification of Change in the Register of Member

v. Return Giving Particulars in Register of Directors, Managers and Secretaries and

Changes of Particulars vi. Notification of Change in the Register of

Director, Managers and Secretaries

vii. Board Resolution (Notes: Please Include company's declaration as part of the board resolution document submission)

Company Registration Documents			
Certificate of Incorporation *	Super Form	✓ Ø	Done View Remove
Certificate of Incorporation on Change of Name of Company	Section 23(2) / Form 13	•	Choose file to upload
Return of Allotment of Shares *	Section 78	✓ Ø	Done View Remove
Notification of Change in the Register of Member	Section 51		Choose file to upload
Return Giving Particulars in Register of * Directors, Managers and Secretaries and Changes of Particulars	Form 49	\odot	Done View Remove
Notification of Change in the Register of Director, Managers and Secretaries	Section 58	•	Choose file to upload
Board Resolution			Choose file to upload
- Please Include company's declaration as part of the	e board resolution document submission		

Diagram 31: Company Register Document Form

18. Then, the user needs to fill in the 'Financial Status' subsection with the following fields

- i. Total Paid-up Capital
- ii.Shareholding Structure (By percentage / By amount)
 - The user selects either the 'By percentage' or 'By amount' radio button.

	Federatior
Federation of Investment Managers Malaysia	Managers

• Then, fill in the Shareholder Name and Percentage (%) or Amount (RM) input field.

- After completing the details, click 😌 button to save the shareholder details.
- 19. Financial statement field

i. If the user selects a 'Date of Incorporation' in the 'General Information' subsection before the current year, they need to fill in the 'Financial Statement' field.

- Year (Current year minus the previous three years)
- Profit After Tax (PAT)
- Shareholder's Fund
- Upload Files

Financial Status							
Total Paid-up Capital *	RM	200,000.0	D				
Shareholding Structure *	🛞 Ву	Percentage	В	Amount			
	Sharehold	er's Name				Percentage (%)	
							0
			RAUDHAH			20	
			ZUL			80	
Financial Statement *	Year	Profit-After-Tax (PA	T) Sharehol	der's Fund	Upload Files		
	2024	RM	0.00 RM	0.00	•	Choose file to upload	
	2023	RM	0.00 RM	0.00	•	Choose file to upload	
	2022	RM	0.00 RM	0.00	•	Choose file to upload	
Comment *	Return 471 charact	of Allotment of Shares					

Diagram 32: Financial Status Form

ii. If the user selects the 'Date of Incorporation' in the 'General Information' subsection is current year, they need to upload Management Account.

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	Financial Status					
	Total Paid-up Capital *	RM	200,000.00			
	Shareholding Structure *	By Percentage	By Amount			
		Shareholder's Name			Percentage	(%)
						0
			RAUDHAH		20	
			ZUL		80	
	Comment *	Return of Allotment	of Shares			
		471 characters remaining				
	Management Account				0	

Diagram 33: Financial Status Form

iii. The user needs to fill in the 'Comment' box.

20. Then, the user needs to fill in the 'Indemnity Insurance' subsection with the following fields. (This subsection only appears if the user selects CUTA or CPRA as the registration type)

i. Professional Indemnity Insurance

ii.Limit of Indemnity iii. Coverage Period

Indemnity Insurance			
Professional Indemnity Insurance *		\oslash	Done View Remove
Limit of Indemnity * 0	RM	200,000,000.00	
Coverage Period *	From date	30 Mar 2022	
	To date	14 Mar 2031	

Diagram 34: Indemnity Insurance Details

21. Then, the user needs to fill in the 'Company Bank Account Details' subsection with the following fields.

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vestment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	24
	Company Bank Account Detail	*				
E	Bank Name		Choose			
,	Account Number					
F	Reference Name					
					😫 Save a	IS Draft Next >



22. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

23. Click the Next >>> button to proceed to the organizational chart section.

i. If the details are incomplete, the system will display a validation message for any blank mandatory fields.

ii. If the details are complete, the system will proceed to the organizational chart section.



Diagram 36: Alert Message Display

Organizational Chart Section

- 24. The user clicks the 'Upload Organizational Chart button'.
 - i. Select the image from your device.

ii. Ensure the file is uploaded successfully (indicated by the green checkmark).

iii. Click 'View' to confirm the uploaded file is correct. iv. If changes are needed, click 'Remove' to delete and re-upload the file.



Diagram 37: Organizational Chart Form

25. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

26. Click the Next >>> button to proceed to the key personnel section.

i. If the details are incomplete or an unsupported file type is uploaded, the system will display a validation messages.

ii. If the details are complete, the system will proceed to the key personnel section.



Diagram 38: Alert Message Display

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	Alert						
	Invalid file type. Only JPEG and PNG files are allowed.						
					ОК		



Key Personnel Section

27. In the 'Director & Key Management' subsection, the user need to fill in following details.

- i. Director (If the checkbox is selected, the email field will be dimmed) ii. Name
- iii. Position
- iv.Title
- v. Email
- vi.Responsibilities
- 28. Notes:
 - i. If the checkbox is selected, the email field will be dimmed.
 - ii. The user needs to add the 'Compliance Officer' and 'Financial Officer' roles
 - first before proceeding to add another role.

29. Click the 🔮 button for save the new record for the director or key management.

Director ()	Name	Position	Title	Email	Responsibilities	
		Choose	~			0
					150 characters remaining	

Diagram 40: Director & Key Management Form

i. The Director's information will be displayed in the Director table.

Directors					
NO.	NAME	POSITION	TITLE	RESPON SIBILITIES	ACTIONS
1	ZUL	Chief Executive Officer (CEO)	MR	MANAGER	00

Diagram 41: Director Form

• Click button ¹ to delete the record. The system will display successful message "Record updated successfully!".

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	Item	removed				
				C	ок	



• Click the [©] button and enter the details that need to be updated.

ii. The Key Management's information will be displayed in the Key Management table.

Key Mar	nagement					
NO.	NAME	POSITION	TITLE	EMAIL	RESPONSIBILITIES	ACTIONS
1	ASSALAM	Finance Officer	SASASA	sasa@gmail.com	ASSA	00
2	RAUDHAH	Compliance Officer	MRS	raudha@gmail.com	TESTING	00

Diagram 43: Key Management Table

pdate Director / Key Management	×
Is Director:	
~	
Name:	
ZUL	
Position:	
CHIEF EXECUTIVE OFFICER (CEO)	~
Title:	
MR	
Email:	
Responsible:	
MANAGER	
50 characters remaining	
No	Save

Diagram 44: Update Director/Key Management Form

iii. After completing edit the details, the system will display successful message "Record updated successfully!".

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		Record updated succes	ssfully!			
				ок		

Diagram 45: Confirmation Message Display

30. Then, the user needs to fill in the 'Representative' subsection with the following fields.

i. The dropdown list displays names based on Key Management.

ii. The 'Position' field will be disabled and automatically populated based on the selected name

iii. The 'Email' field will be disabled and automatically populated based on the selected name iv. Contact No

UTS SCHEME	NAME	POSITION	EMAIL	CONTACT NO
Authorised Representatives	- Choose One - 🗸			80123456789
Alternate Authorised Representatives	- Choose One - 🗸			80123456789
PR\$ SCHEME	NAME	POSITION	EMAIL	CONTACT NO
Authorised Representatives	ASSALAM 🗸	FINANCE OFFICER	SASA@GMAIL.COM	01299102
Alternate Authorised Representatives	Choose One 🗸			80123456789

Diagram 46: Representative Form

31. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

32. Click the Next >>> button to proceed to the business plan section.

i. If the details are incomplete, the system will display a validation messages.

ii. If the details are complete, the system will proceed to the business plan section.

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		Alert Please f	! ill in all required fiel	ds.			
					0	к	

Diagram 47: Alert Message Display

Business Plan Section

33.	The user need to uploads the 'Business Plan' file.
Business Plan	
Business Plan*	
\odot	Choose file to upload

Diagram 48: Upload Business Plan

34. Then, the user needs to fill in the 'Distribution Channels' subsection with the following fields.

i. Proposed number of distribution point. ii. Proposed number of Consultants iii.

Type of distribution Channel

Distribution Channels *		
Proposed number of distribution point		
Proposed number of Consultants		
Type of distribution Channel	Reference	
	Distribution channel such as online provider platform / fund management company.	
	500 characters remaining	

Diagram 49: Distributor Channel Form

35. Then, the user needs to fill in the 'Target Investors' subsection with the following fields.

i. Existing Investor Base

□ If the user selects 'Yes', the user need to fill in relevant information and conflict

management.

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	Existing Investor Base	Yes	O No			
		if yes, please provide re	evant information and conflict management			



ii. Target Segment of Investors.

Target Investors *		
Existing Investor Base	O Yes	No
Target Segment of Investors	1	
	499 characters remaining	

Diagram 51: Target Investors Form

36. Then, the user needs to fill in the 'Marketing & Distribution Plan' subsection with the following fields.

i. Projected Sales for next 3 years

ii. Sustainability Plan for next 3 years. iii. Market Connectivity &Vulnerability

Federation of Investment Managers Malaysia (FiMM) ZANKO/FIMM/UM/V1.0 User Manual Document 1.0 21/03/2025 Marketing & Distribution Plan * Beference Image: Control of Cont	
Marketing & Distribution Plan *	31
Reference Reference	1
Frigecied Sales for next 3 years	
Year 1 RM 10,000.00	
Year 2 RM 10,000.00	
Year 3 RM 100,000.00	
Sustainability Plan for next 3 years Reference 1	
499 characters remaining	
Market Connectivity & Vulnerability Reference 1	
Market Connectivity & Vulnerability Reference 1	

Diagram 52: Marketing & Distribution Plan Form

37. Then, the user needs to fill in the 'Track Record' subsection with the following fields.

i. Previous Track Record

Track Record *	
Previous Track Record	Reference 1
	1
	499 characters remaining

Diagram 53: Track Record Form

38. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

39. Click the Next >>> button to proceed to the policies & procedure section.

i. If the details are incomplete, the system will display a validation messages.

ii. If the details are complete, the system will proceed to the policies & procedures section.

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Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	32
	Alert!					
	Please fill in a	Il required fields.				
				ок		

Diagram 54: Alert Message Display

Policies and Procedures Section

40. The user needs to fill in the 'Policy on Governing Sales Conduct / Activities' subsection with the following fields.

i. Upload Policy on Governing Sales Conduct / Activities. ii. Governance &

Control.

blicies & Procedures				
Policy on Governing Sales Cor	nduct / Activities *			
Policy on Governing Sales Conduct	Activities	\oslash	Done View Remove	
Governance & Control	Reference	1		
	1			
	100 share deep on maining			

Diagram 55: Policy on Governing Sales Conduct / Activities Form

41. Then, the user needs to fill in the 'Policy on Promotion Materials' subsection with the following fields.

i. Upload Policy on Promotional Materials.

ii. Issuance / Circulation of Promotional Materials. iii. Internal Code of Sales Conduct.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	33
	Policy on Promotional Materials	*				1
	Policy on Promotional Materials		Done	View Ramova		
	Issuance / Circulation of Promotional	Materials Reference	1			
	Internal Code of Sales Conduct	407 characters remaining Reference	1		Л	
		1 499 characters synaming			h	

Diagram 56: Policy on Promotion Materials Form

42. Then, the user needs to fill in the 'Policy on Unitholder's Right and Protection' subsection with the following fields.

- i. Policy on Unitholder's Right and Protection.
- ii. Unitholders' Rights (Voting rights, cooling-off rights, etc.)
- iii. Unitholder's Asset Protection (Segregation of account for monies received). iv.

Personal Data Protection Act 2020 (PDPA).

Policy on Unitholder's Right and Protection *			
Polloy on Unitholder's Right and Protection		\odot	Dona Veer Common
Untholders' Rights (voting rights, colling-off rights, etc.)	Raterance	1	
	8		
	450 characters metalhing		
Unitholder's Asset Protection (Segregation of account for monies received)	Reference	1	
	t		
			1
	400 characters tematring		
Personal Data Protection Act 2020 (PDPA)	Reference	1	
	1		
	400 characters nerveting		77) 77)

Diagram 57: Policy on Unitholder's Right and Protection Form

43. Then, the user needs to fill in the 'Conflict of Interest Management' subsection with the following fields

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	34
i.	Conflict of Int	erest Manageme	ent. ii. Measure Under	taken.		

Conflict of Interest Management. ii. Measure Undertaken.

Conflict of Interest M	anagement *		
Conflict of Interest Management		\odot	Done View Remove
Measure Undertaken	Reference	1	
	1		
	499 characters remaining	1	

Diagram 58: Conflict of Interest Management Form

44. Then, the user needs to fill in the 'Risk Management (UTS / PRS related)' subsection with the following fields

- i. Risk Management (UTS / PRS related).
- ii. Reporting Structure. iii. Risk Management. iv. Business Continuity Plan.

Risk Management (UTS / PRS related) *				
Rick Management (UT 8 / PR 8 related)		\odot	Done Marrie Samon	
Reporting Bruchure	Raference	1		
	1			
	400 damadana kemelikny			1
Rick Management	Reference	3		
	1.			
	400 diseadars neraliting			10
Business Continuity Plan	Reference	3		
	1			
	400 characture semaining			lis

Diagram 59: Risk Management (UTS / RPS related) Form

45. Then, the user needs to fill in the 'Complain Handling and Disciplinary Matrix' subsection with the following fields

i. Upload Complaint Handling and Disciplinary Matrix.

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ii. Complaint Handler. iii. Complaint Settlement Timeframe. iv. Complaint

Documentation.

Complaint Handling and Disciplinary Ma	trix *			
Complaint Handling and Disciplinary Matrix		\oslash	Done View Remove	
Complaint Channel	Reference	1		
	1			
	499 characters remaining			
Complaint Handler	Reference	1		
	1			
	499 characters remaining			10
Complaint Settlement Timeframe	Reference	1		
	1			
				11
Complaint Documentation	499 characters remaining	1		
	1			
	1			
	1			
	1			

Diagram 60: Complain Handling and Disciplinary Matrix Form

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	36
46.	Then, the use	er can fill in the '	Other Policies' subsecti	on with th	ne followi	ng
field	ds.					
i.	Upload Policy	/				
ii.	Policy Name					
iii.	Reference					
iv.	Click the	button to sav	ve the record.			
	Other Policies					1
	Upload Policy		۲	Choose file to upload		
	Policy Name					
	Reference					
						h
		500 characters remaining				+ Add Policy

Diagram 61: Other Policies Form

□ The entered detail will be displayed in the table below.

NUMBERA	NAME -	FILE	REFERENCE	÷ SUMMARY	ACTION
1	TEST	View	test	test summary	

Diagram 62: Other Policies Table

47. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

48. Click the Next >>> button to proceed to the consultant management section.

i. If the details are incomplete, the system will display a validation messages.

ii.	If the details are complete, the system will proceed to the consultant
manag	ement section.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	37
	-	Alerti				
		Please fill in all required fields.				
			ок			
			U.S.			



Consultants Management Section

49. The user needs to select the agency structure, either 'Single-Tier' or 'Multi-

	Consultants Management			
	Agency Structure*	۲	Single Tier	O Multi-Tier
Tier'.				

Diagram 64: Agency Structure

50. Then, the user needs to fill in the 'Consultants Recruitment Policy' subsection with the following fields.

i. Upload Consultant Recruitment Policy.

ii. Minimum Recruitment Criteria. iii. Registration Document

Verification & Applicant's Background Assessment.

Consultant Recruitment Policy *				
Consultant Recruitment Policy		\odot	Done View Remove	
Minimum Recruitment Criteria	Reference	1		
	1			
	459 characters campliting			
Registration Document Verification & Applicant's Background Assessment	Reference	1		
	1			

Diagram 65: Consultants Recruitment Policy Form

51. Then, the user needs to fill in the 'Consultants Promotion Policy' subsection with the following fields.

i. Upload Consultant Promotion Policy.

ii. Promotion Criteria. iii. Agency Unit Tracking. iv. Commission Payout Record.

	Project	Reference	File	Version	Date	Page
Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	38
	Consultant Promotion Policy *					- 1
	Consultant Promotion Policy		\odot	Done View Mennes		
	Promotion Criteria	Reference	1			
		1				
		400 characteria nerveiting				
	Agency Unit Tracking	Reference	1			
						10
	Commission Payout Record	Reference	1			
		1				
		420 characters remaining				

Diagram 66: Consultants Promotion Policy Form

52. Then, the user needs to fill in the 'Consultants Record Management and Maintenance System & Policy' subsection with the following fields.

i. Upload Consultant Record Management and Maintenance System & Policy.

ii. Record Tracking Method. iii. Access Right Control.

Consultant Record Manage	ement and Maintenance System and Maintenance System & Policy	& Policy *	Done View Remove
Record Tracking Method Access Right Control	O System Reference	MS Excel	Others (please specify)
	1		
	400 character pupiling		

Diagram 67: Consultants Record Management and Maintenance System & Policy Form

53. Then, the user needs to fill in the 'Consultants Termination Process & Policy' subsection with the following fields.

- i. Upload Consultant Termination Process & Policy.
- ii. Termination Evaluation. iii. Obligation to Notify FIMM. iv.

Replacement of Consultant to Affected Unitholder.

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ederation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	39
	Consultant Termination Process & Policy *					
	Consultant Termination Process & Policy		\otimes	Done View Person		
	Termination Evaluation	Reference	1			
		3				
						- 1
						- 1
		422 characters remaining				
	Obligation to Notify FIMM	Reference	1			
		1				
						- 1
						- 1
	Replacement of Consultant to Affected Unitholder	Referance	3			
		1				
						- 1

Diagram 68: Consultants Termination Process & Policy Form

54. Then, the user needs to fill in the 'Training & CPD Record Management' subsection with the following fields.

- i. Upload Training & CPD Record Management.
- ii. Training Modules / Scopes. iii. Training Plan, Duration & CPD. iv.Record Keeping & CPD Tracking.
- v. Trainer's Development.

	Project	Reference	File	Version	Date	Page
vestment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	40
	Training & CPD Record Management *					
	Training & CPD Record Management		⊘ Done	View Remove		
	Training Modules / Scopes	Reference	1			
		1				
	Training Plan. Duration & CPD	489 characters remaining Reference				
		1				
		499 characters remaining				
	Record Keeping & CPD Tracking	Reference	1			
		1				
	Tailor & David Street	499 characters remaining				
	Irainer's Development	nerere/iDe	1			
		1				

Diagram 69: Training & CPD Record Management Form

55. Then, the user needs to fill in the 'Agency Management Policy' subsection with the following fields.

i. Agency Development Plan

FÌ

ii. Agency Activities Monitoring. iii. Fit & Proper Monitoring.

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Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	41
	Agency Management Policy *					
	Agency Development Plan	Reference	1			
		1				
						l
		499 characters remaining				
	Agency Activities Monitoring	Reference	1			
		1				
_		499 characters remaining				
	Fit & Proper Monitoring	Reference	1			
		1				E.
		499 characters remaining				_
				Save a	as Draft Next >>	

Diagram 70: Agency Management Policy Form

56. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

57. Click the Next >>> button to proceed to the unitholder management section.

i. If the details are incomplete, the system will display a validation messages.

ii. If the details are complete, the system will proceed to the unitholder management section.

ок

	Project	Reference	File	Version	Date	Page
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Diagram 71: Alert Message Display

Unitholder Management Section

58. The user needs to select the nominee system, either 'Direct' or 'Nominee'.

Unit Holders Management		
Nominee System*	Direct	O Nominee

Diagram 72: Nominee System

59. Then, the user needs to fill in the 'Unitholder's KYC Process, Record & System' subsection with the following fields.

- i. Upload Unitholder's KYC Process, Record & System
- ii. Unitholder Record Tracking Method
- iii. Account Opening Process
- iv. Suitability Assessment\
- v. Investment Recommendation

ge
1
ecify)

Diagram 73: Unitholder's KYC Process, Record & System Form

60. Then, the user needs to fill in the 'Redemption Process & Policy' subsection with the following fields.

- i. Upload Redemption Process & Policy
- ii. Cooling Off Period
- iii. Process Timeline
- iv. Unusual Transaction Check v. Payee Policy

499 characters remaining

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Federation of Investment Managers Malaysia	Federation of Investment Managers Malaysia (FiMM)	ZANKO/FIMM/UM/V1.0	User Manual Document	1.0	21/03/2025	44
	Redemption Process &	Policy *				1
	Redemption Process & Policy	*	O Done V	few Remove		I
	Cooling Off Period	Reference	1			I
		1				1
						I
						I
		499 characters remaining			10	I
	Process Timeline	Reference	1			I
		,				1
						1
						I
					1.	
		499 characters remaining				
	Unusual Transaction Check	Reference	1			1
		1				
						1
						1
		499 characters remaining			10	
	Payee Policy	Reference	1			
		1				
					1.	
		499 characters remaining				_

Diagram 74: Redemption Process & Policy Form

61. Then, the user needs to fill in the 'Switching Process & Policy' subsection with the following fields.

- i. Upload switching Process & Policy
- ii. Process Timeline iii. Unusual Transaction Check

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	Switching Process & Policy	r*				
	Switching Process & Policy		Done	View Remove		
	Process Timeline	Reference	1			
	Unusual Transaction Check	1 499 characters remaining Reference 1 499 characters remaining	1			<i>.</i>

Diagram 75: Switching Process & Policy Form

62. Then, the user needs to fill in the 'Transfer Process & Policy' subsection with the following fields.

- i. Upload Transfer Process & Policy
- ii. Process Timeline iii. Transferor/Transferee Policy

Reference	0		Dane View Remove	
Reference 1	1			
1				
499 characters remaining				1.
Reference	1			
1				
	1	1	1	1

Diagram 76: Transfer Process & Policy Form

63. Then, the user needs to fill in the 'Reconciliation of Transaction' subsection with the following fields.

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i.	Upload Reco	Upload Reconciliation of Transaction						
ii.	Periodic Rec	onciliation iii.	Discrepancy Settlemen	nt				
	Reconciliation of T	ransaction *				1		
	Reconciliation of Trans	action	Done	View Remove				
		Peterson						

Periodic Reconciliation	Reference	1
	1	
	499 characters remaining	10
Discrepancy Settlement	Reference	1
	1	
		li li

Diagram 77: Reconciliation of Transaction Form

64. Then, the user needs to fill in the 'Management of Statements to Investors' subsection with the following fields.

- i. Upload Management of Statements to Investors
- ii. Statement Issuance Policy

Management of Statements	to Investors *		
Management of Statements to Inve	stors	\odot	Done View Remove
Statement Issuance Policy	Reference	1	
	1		
	499 characters remaining		le le

Diagram 78: Management of Statements to Investors Form

65. Click the Save as Draft button to store the entered data. The system will

display a success message confirming that the data has been saved.

- 66. Click the \xrightarrow{Next} button to proceed to the payment and others section.
- i. If the details are incomplete, the system will display a validation messages.

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ii. If the details are complete, the system will proceed to the payment and others

section.

ок

Diagram 79: Alert Message Display

Payment and Others Section

- 67. System will display payment details
- i. Annual Fee: Displays the required annual fee amount
- ii. Application Fee: Displays the application processing fee iii. Total:

Automatically calculated total amount

Others		
Payment Details *		
Annual Fee	RM 10,00	00.00
Application Fee	2,000	0.00
Total	RM 12,00	00.00

Diagram 80: Payment Details Display

- 68. The user need to fill in the following details.
- i. Transaction No.
- ii. Upload Payment Slip.

Transaction No. 0	[]		 	
		-		
Upload Payment Slip	Choose Files	NO FILE CHOSEN		

Diagram 81: Upload Payment Form

69. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

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70. Click the Next >>> button to proceed to the declaration section.

i. If the details are incomplete, the system will display a validation messages.

ii. If the details are complete, the system will proceed to the declaration

section.

Alert!	
Please fill in all required fields.	
	ок

Diagram 82: Alert Message Display

71. The system will display the declaration and submission section.

Declaration & Submission

I decla	are that : *
We,	as a company incorporated in Malaysia under the Companies Act 1965, hereby submit our application for registration as a Distributor with the Federation of estment Managers Malaysia (FIMM). In connection with this application, we hereby give our unconditional undertaking and warranty to FIMM as follows:
1. A	Il information and documents submitted to FIMM in relation to our application and registration are true, current and accurate in all respects;
2. V	Ve fulfil the fit and proper criteria as prescribed under Chapter 4 of FIMM's Consolidate Rules (FCR);
3. V	Ve fulfil all eligibility requirements as prescribed under the FCR;
4. V 5. V app	re agree to ablee by and comply with the rimm rules, securities laws and other applicable laws ; Ve shall ensure that all our officers, employees and consultants are at all times bound and in full compliance with FIMM Rules, securities laws and other blicable laws;
6. V	Ve shall fully pay all fees and charges imposed by FIMM on a timely basis and take all necessary actions to maintain the continuous registration with FIMM;
7. V	Ve have obtained the necessary consents from our officers, employees and consultants for the disclosure and use of their personal data by FIMM in ordance with the Personal Data Protection Act 2010;
S. V	Ve shall provide all information and documents requested by FIMM for purposes of our application and registration, including the registration of our isultants; and
9. V	Ve shall provide full cooperation and assistance to FIMM in all matters related to our application and registration, including those concerning our consultants.
This our regi	undertaking is provided with the full understanding that any failure to comply with the aforementioned responsibilities, or any misrepresentation in relation to application and registration process, may result in regulatory actions, including but not limited to, the rejection of our application or the revocation of our stration.
	😫 Save as Draft 🛛 Discard 🔰 Submit

Diagram 83: Declaration Form

72. Click the Save as Draft button to store the entered data. The system will display a success message confirming that the data has been saved.

73. Click the Discard button to discard the application.

i. System will display confirmation messages "Discarded draft cannot be recovered.

Do you want to continue?".

Discard		
Discarded draft cannot be recovered. Do you want to continue?		
	YES	NO

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Diagram 84: Confirmation Message Display

74. Click the Submit button to submit the application.

i. If the detail is incomplete system will display validation message if mandatory field is blank.

Alert!	
Please fill in all required fields.	
	OK

Diagram 85: Alert Message Display

- ii. If the detail is complete:
 - System will display confirmation messages "Confirm to proceed?".
 - Click button **YES**, then the system will display successful message.

• Application have been submitted to the FIMM, waiting for approval process.

• The application status will be updated as 'Submitted'.

Confirm to proceed?		
	YES	5

Diagram 86: Confirmation Message

3.1.2 User Management

3.1.2.1 Process Flow



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3.1.2.2 Manual Steps

1. Click the 'Distributor' menu. The system will display list of submenus. Then click the 'User Management' submenu.

۵	Distributor -	
	Application Status	
	Profile Management	Click 'User Management '.
	User Management	

Diagram 87: User Management Submenu

2. The system will display list of user management.

FİMM =					St Distributor Administrator +	B maybank_financial99@y	opmail.com -
- Dashboard	List Of L	lser Mana	agement				
Distributor -	Fimm	> Distribu	itor > User Management				
Payment -							
CDS Reports & Statistics -	Name						
MORE							
🐣 Profile	Email						
😃 Logout							
Copyright © 2023 FIMM All rights reserved.						Ø Fa	Sel Q Find
							+ Create User
	Show	10 ~	entries				
	NO	NAME	EMAIL	GROUP	ROLE	STATUS	ACTION
	1	Rizal	maybank_financial99_fund@yopmail.com	Distributor	Distributor Administrator, Funds - Approver, Funds - Maker, Funds - Vi	iewer Active	00
	2	lkmal	maybank_financial99_cons@yopmail.com	Distributor	Consultant - Approver, Consultant - Maker, Consultant - Viewer	Active	00
	3	Raouf	maybank_financial99@yopmail.com	Distributor	Distributor Administrator, Distributor - Maker, Distributor - Approver	r Active	00
	Showing	g 1 to 3 of 3 e	entries (filtered from 10 total entries)				



- 3. In the listing table:
 - i. The Distributor Administrator can filter the list by 'Name' and 'Email'.

ii. The Distributor Administrator can reset the filters by clicking the 'Reset' Button.

iii. The Distributor Administrator can select the number of entries displayed per page:

10, 25, 50, or 100.

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Create User

4. To create another user, the Distributor Administrator need to click the

+ Create User button.

5. The system will display the 'Add New User' form for the user to fill in with the following fields:

i. Roles (checkbox)

ii. Email

- iii. Name
- iv. Designation v. Contact No vi. Status (dropdown)

Add New User				×
Roles Annual Fees - Checker Annual Fees - Viewer Consultant - Maker OPD - Maker Distributor - Maker Funds - Maker Payment - Consultant	Annual Fees - Compliance CDS - Report Recipient Consultant - Veeer CPD - Viewer Distributor - Viewer Funds - Viewer Payment - Viewer		Annual Fees - Maker Consultant - Approver CPD - Approver Distributor - Approver Funds - Approver Payment - Annual Fee	
Email		Name		
Designation		Department		
Contact No +60 ~		Status Active		v
				Add Cancel

Diagram 89: Add New User

6. After filling in all the required fields, the user can proceed by clicking the 'Add' button.

Alternatively, clicking the 'Cancel' button will discard the action.

7. The system will display successful message: "Account created! An email has been send to (inserted email) for the next process.

Success	
Account created! An email has been send to maybank_cons@yop process.	omail.com for the next
	OK

Diagram 90: Success Message Display

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New User Login to the system

8. After the Distributor Administrator completes the user addition process, the new user will receive an email containing temporary password details.

9. The new user needs to log in using the registered email address and temporary password to proceed with setting up a new password.

10. Then, the new user can then log in to the system using the newly created password.

Edit User Details

11. To edit the user details, the Distributor Administrator needs to click the 🥙 button in the 'Action' column.

12. The system will display 'Edit User' form for the user to update with the following fields:

- i. User ID (unable to update)
- ii. Email
- iii. Name
- iv. Designation v. Department
- vi. Contact No
- vii. Status
- viii. Password
- ix. Confirm Password

Edit User		×
User ID		
maybank_cons@yopmail.com		
Email	Name	
maybank_cons@yopmail.com	assasa	
Designation	Department	
	¥	~
Contact No	Status	
+60 🗸 01155766581	Active	*
Password	Confirm password	
	Update	Cancel

Diagram 91: Edit User Details

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13. If the Distributor Administrator updates the password, the 'Confirm Password' field must match the new password.

14. After updating the details, the user can proceed by clicking the 'Update' button. Alternatively, clicking the 'Cancel' button will discard the action.

15. The system will display success message: "Data Successfully Updated".



Diagram 92: Successful Message Display

Add New Roles

16. To add new roles to a user, the Distributor Administrator needs to click the left button in the 'Action' column.

17. The system will display the 'Update User Roles' form, allowing the user to add new roles.

The Distributor Administrator needs to select the roles from the dropdown list.

18. After select the roles, the Distributor Administrator can proceed by clicking the 'Add

Role' button. Alternatively, clicking the 'Cancel' button will discard the action.

19. The system will display success message: "Data Successfully Updated".



Diagram 93: Successful Message Display