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

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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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FIMM Federation of Investment Managers Malaysia
Federation of Investment Managers Malaysia (FIMM)
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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

LIST OF TABLES

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

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

FIMM Federation of Investment Managers Malaysia

Managers Malaysia (FiMM)

ABBREVIATIONS ROLE

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

Table 2: Abbreviation Role Table

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

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:

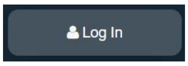
- Users should keep their login credentials confidential.
- Passwords should be changed periodically to enhance security.
- In case of forgotten credentials, users can use the **"Forgot Password?"** option to reset their password.

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**.

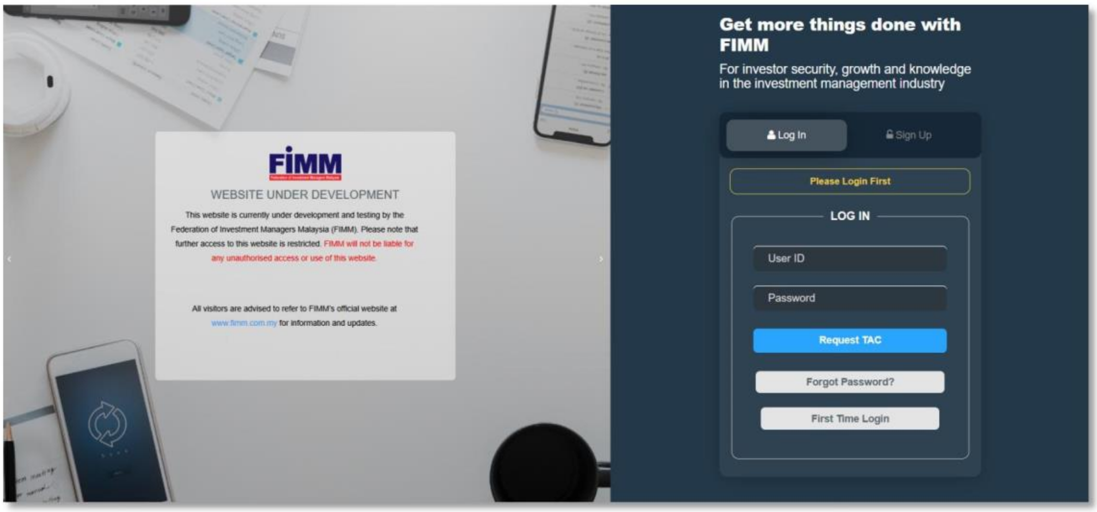


Diagram 1: FCS Homepage Display

Enter Your Credentials

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

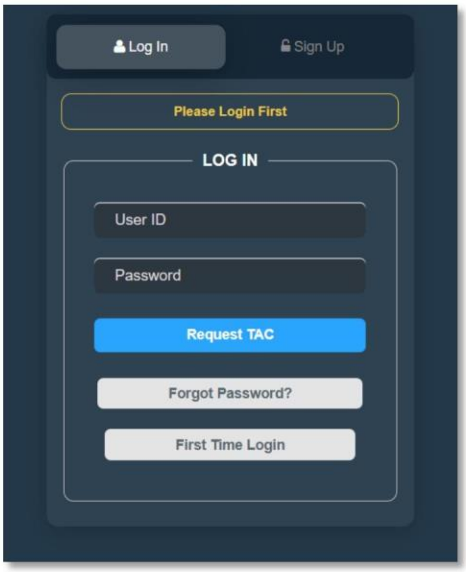


Diagram 2: Log in Display

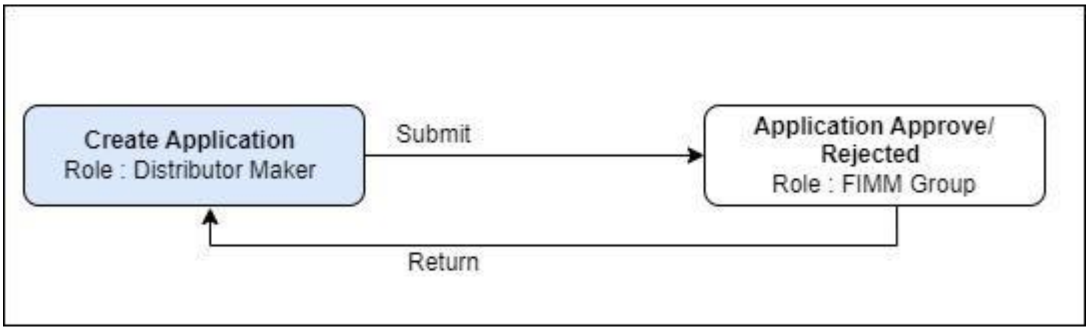
Successful Login

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

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).

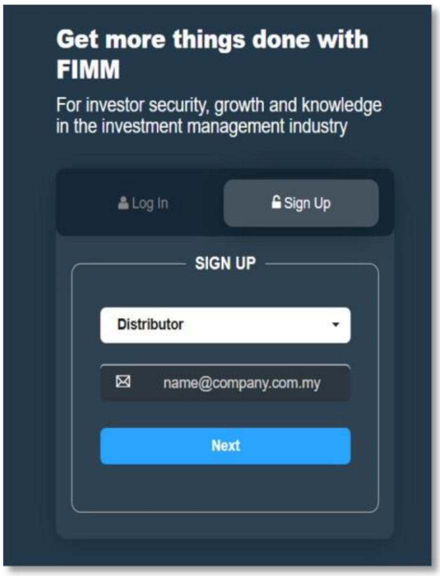


Diagram 20: Sign Up Tab

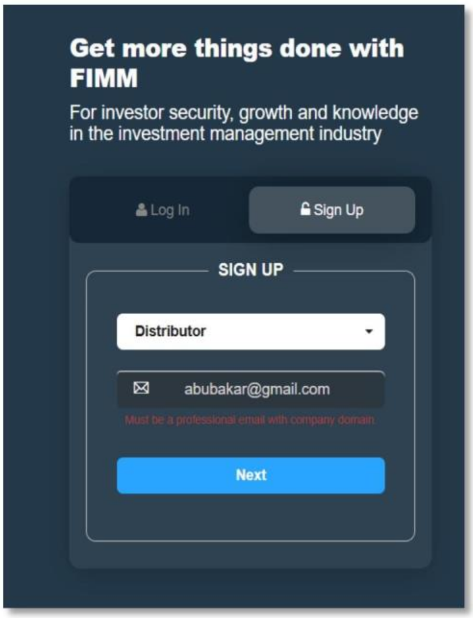
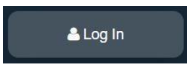


Diagram 21: Email Error Handling

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

i.

User ID ii.

Password

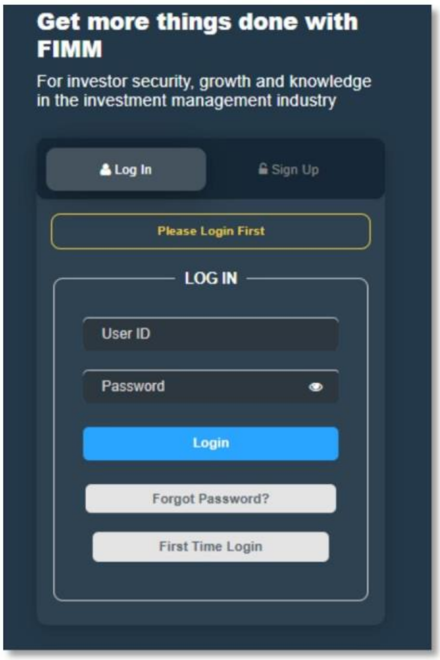


Diagram 22: Login Display Page

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. Unitholders Management ix. Payment and Others

x. Declaration and Submission.

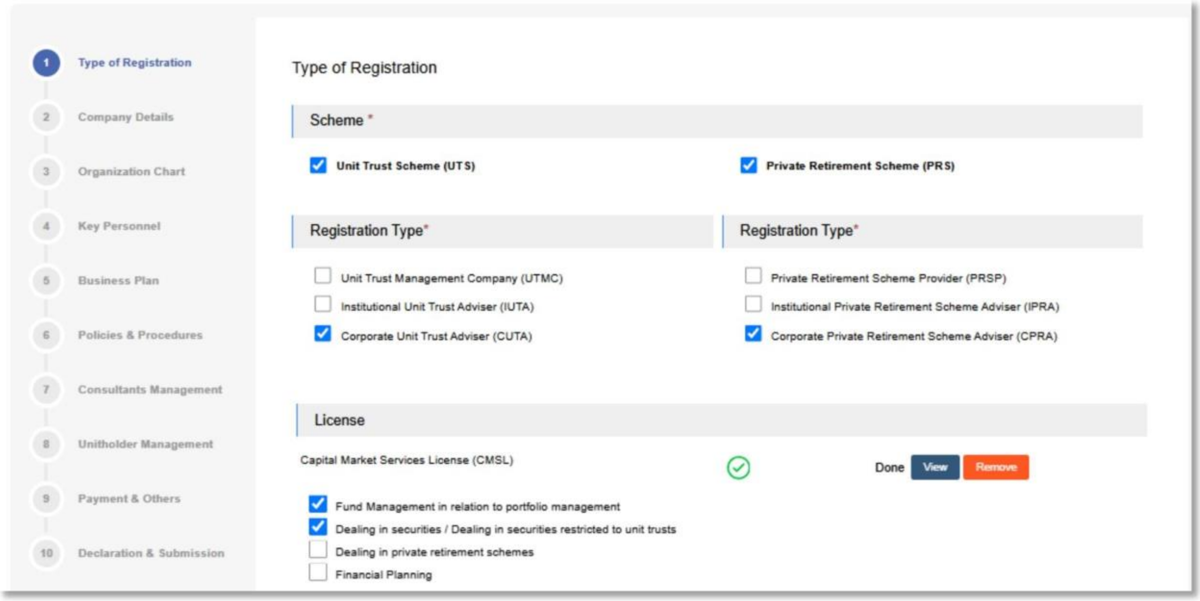


Diagram 23: Type of Registration Form

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)

Diagram 24: Scheme Form

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.

Diagram 25: Registration Type Form

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.

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

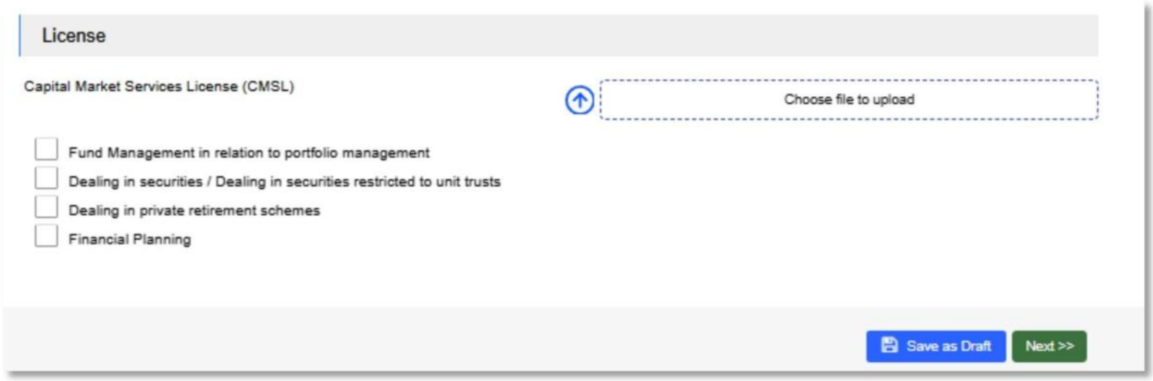


Diagram 27: License Form

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 CMSL License.

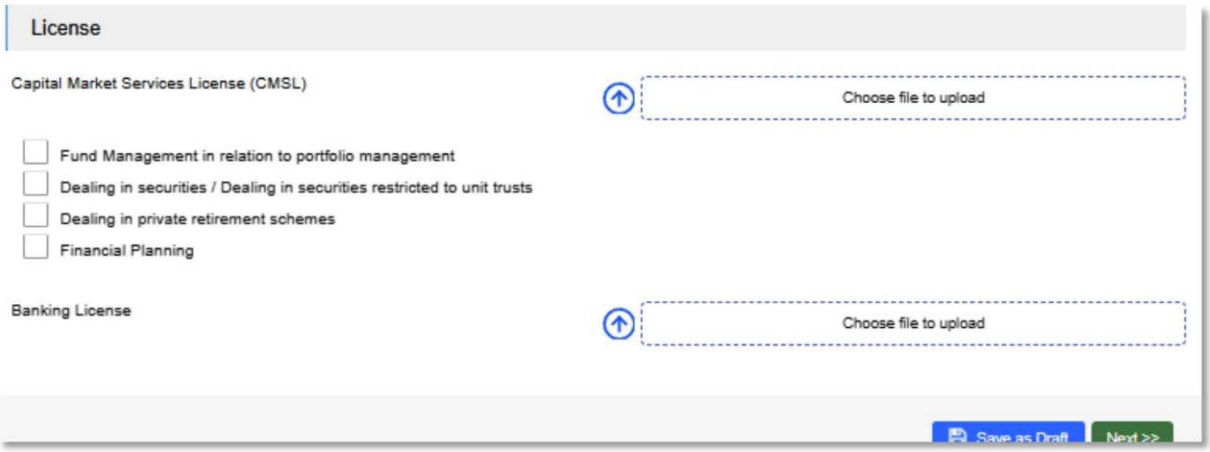


Diagram 28: License Form

14. Click the 

button to store the entered data. The system will display a success message confirming that the data has been saved.

15. Click the 

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.

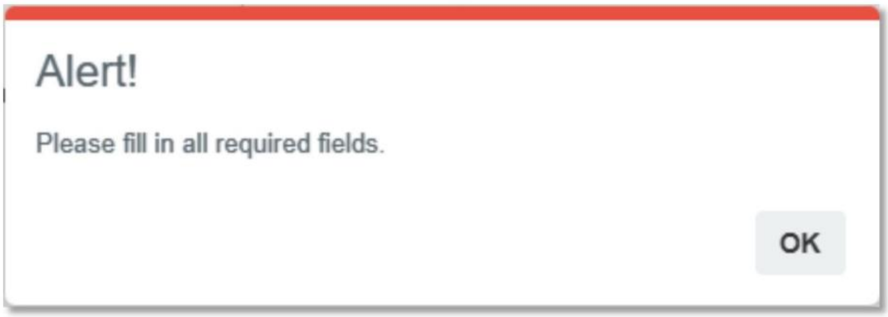


Diagram 29: Alert Message Display

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

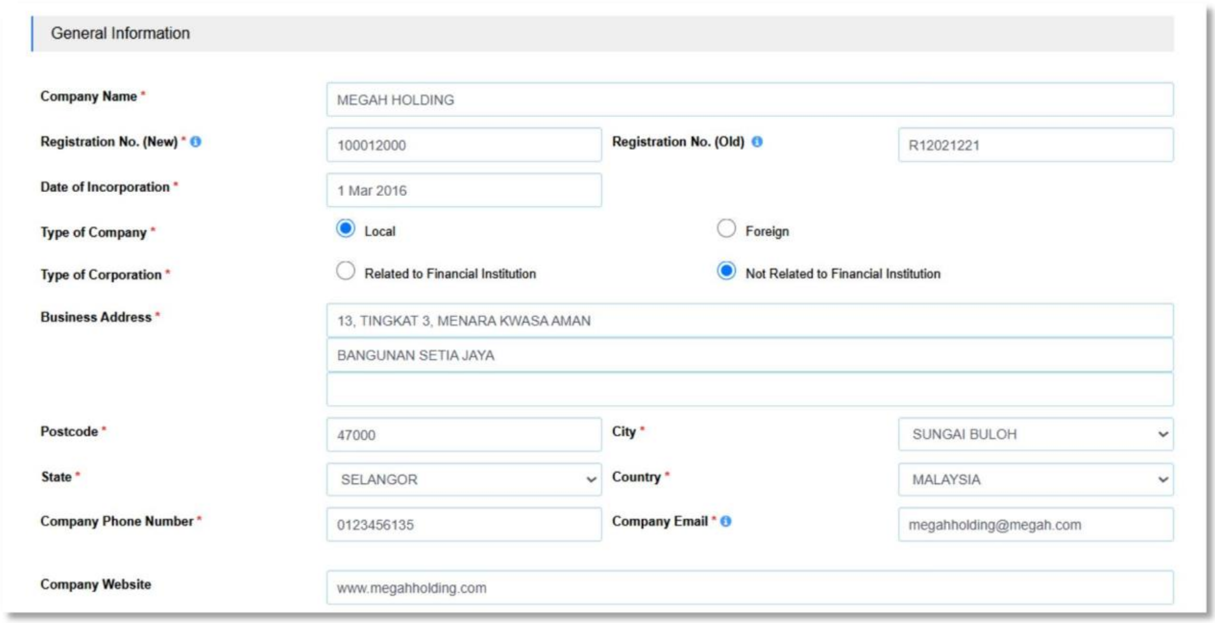


Diagram 30: General Information Details

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)

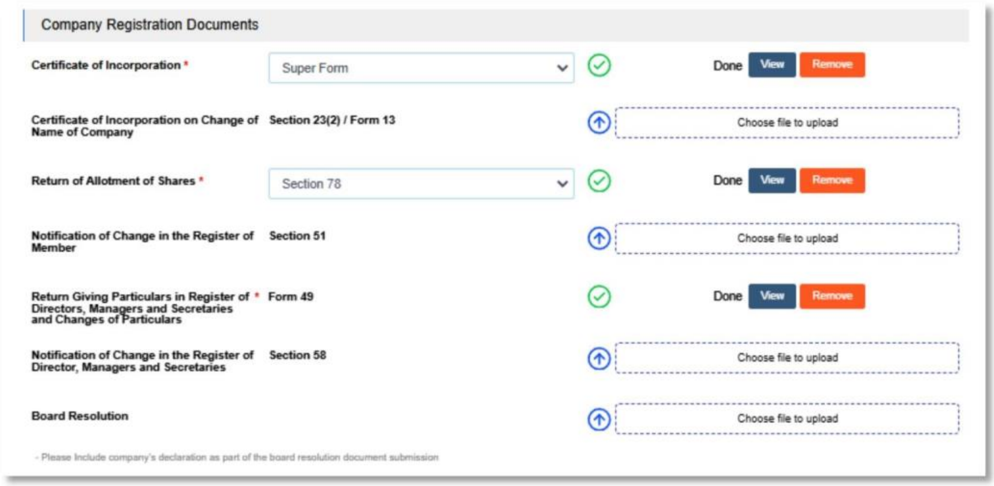


Diagram 31: Company Register Document Form

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.

- 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

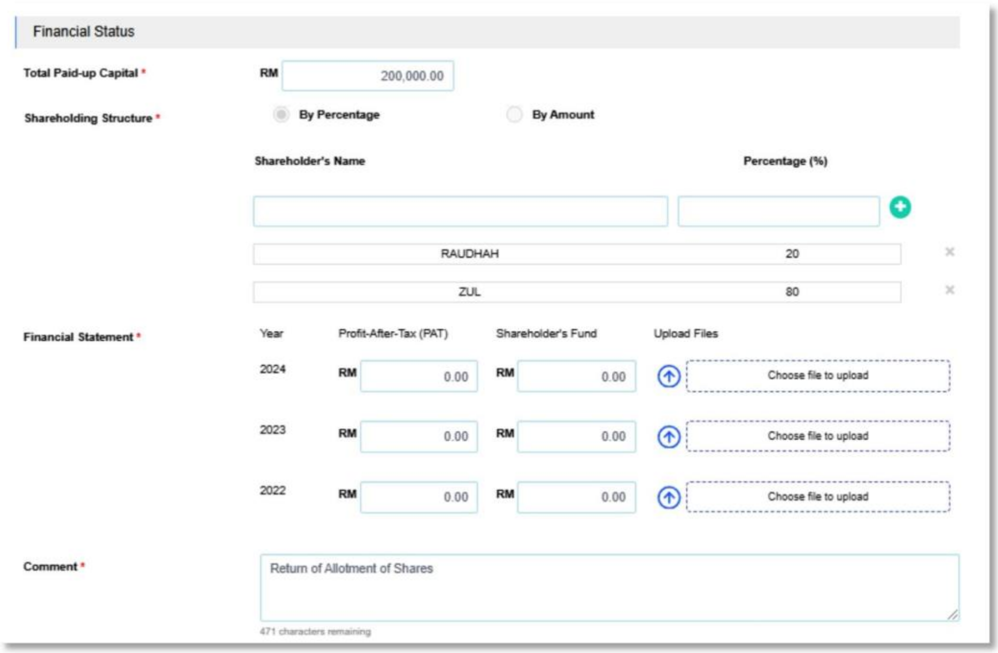


Diagram 32: Financial Status Form

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

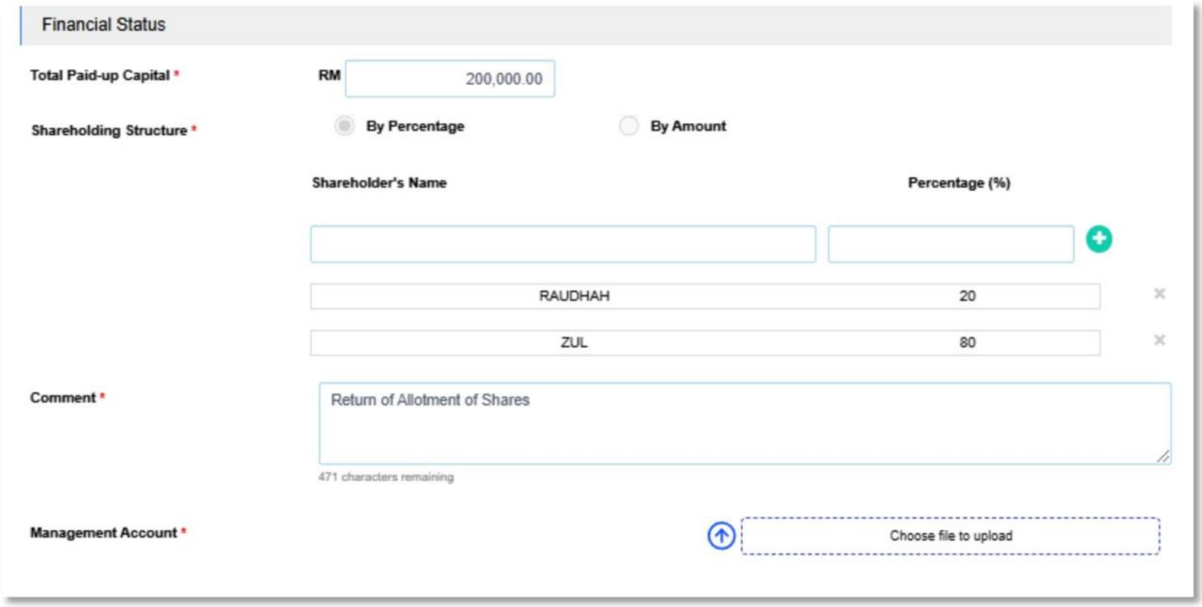


Diagram 33: Financial Status Form

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

Diagram 34: Indemnity Insurance Details

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

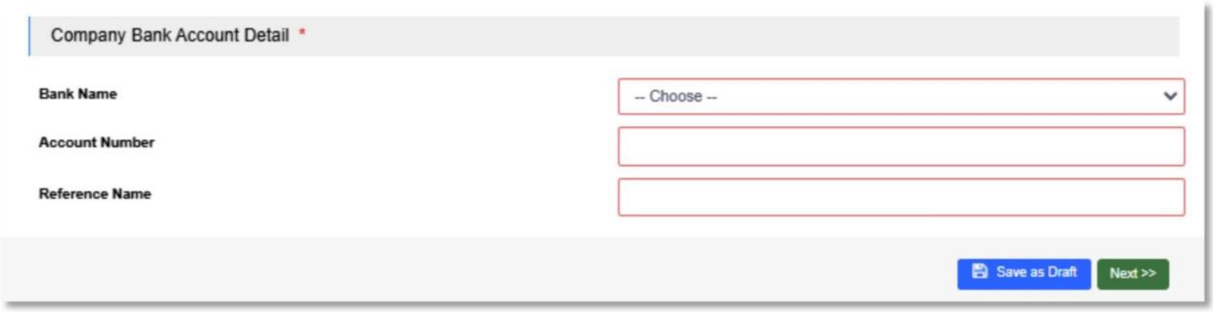


Diagram 35: Company Bank Account Detail

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

23. Click the  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.

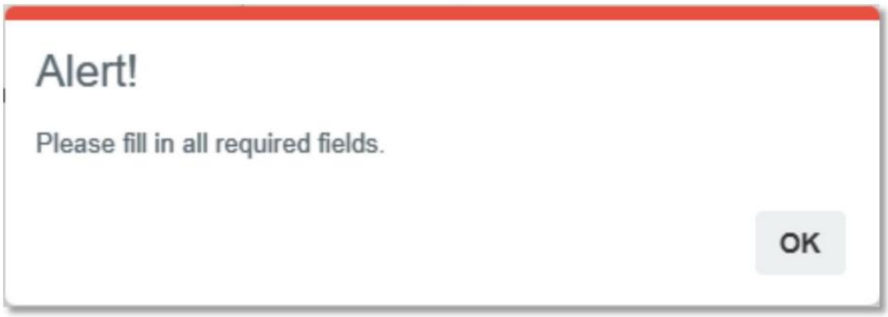


Diagram 36: Alert Message Display

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.

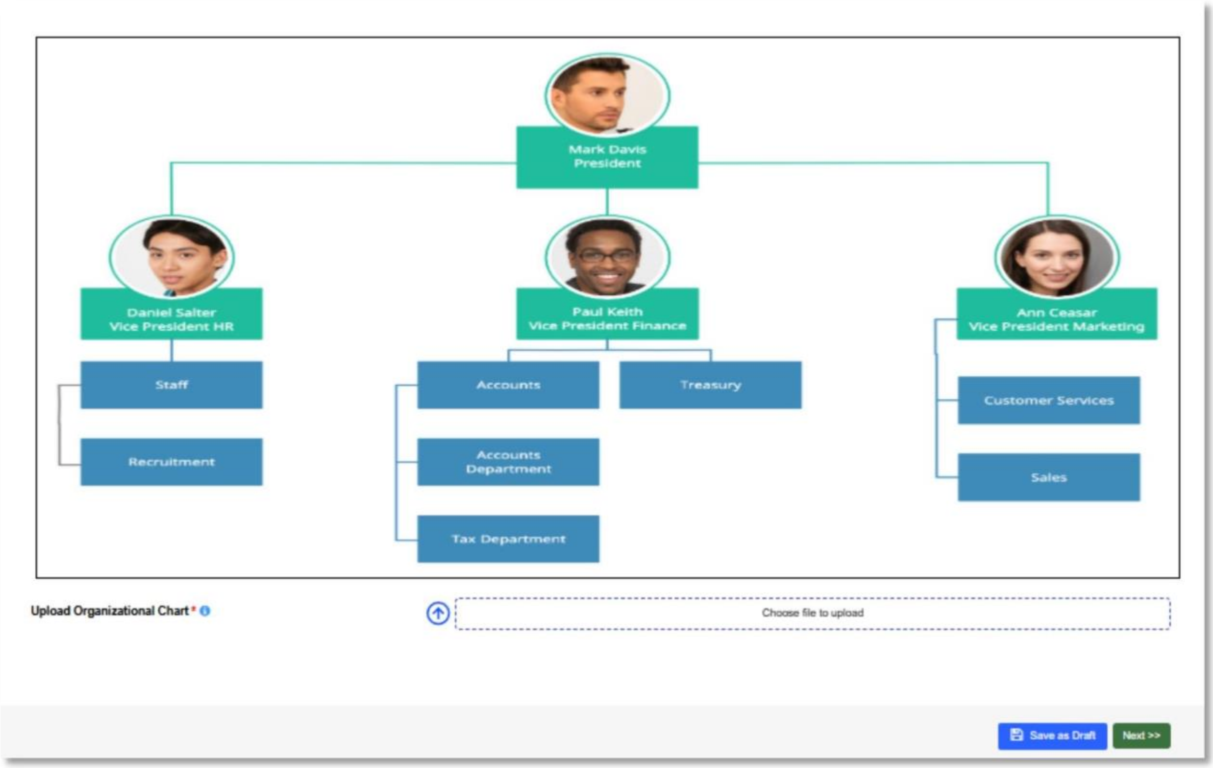


Diagram 37: Organizational Chart Form

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.

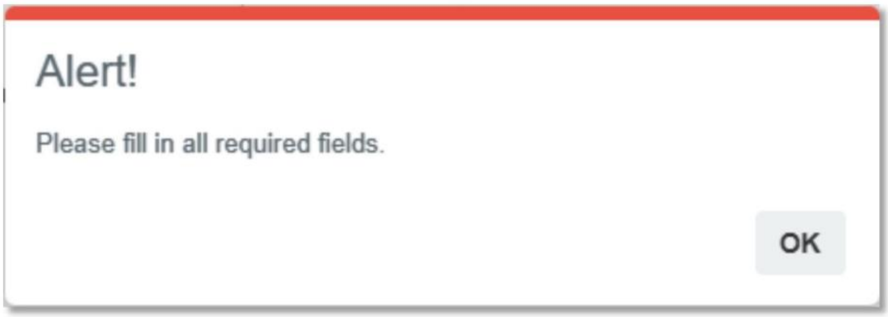


Diagram 38: Alert Message Display

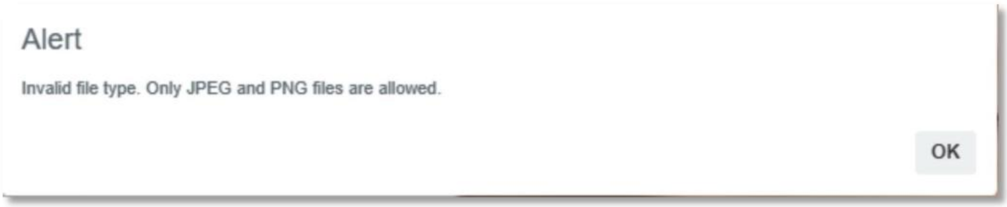


Diagram 39: Invalid File Type Alert Display

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.

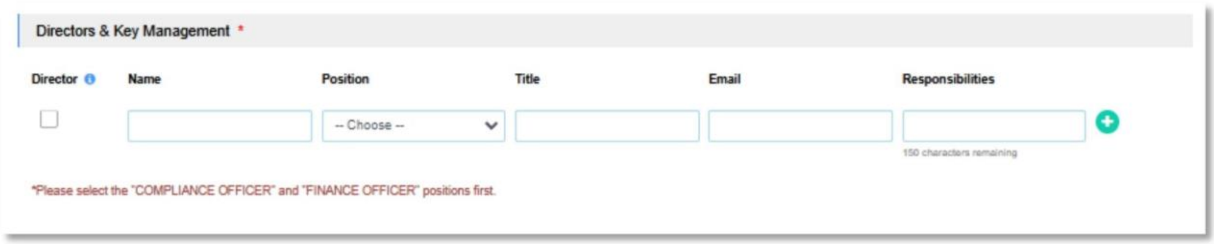


Diagram 40: Director & Key Management Form

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

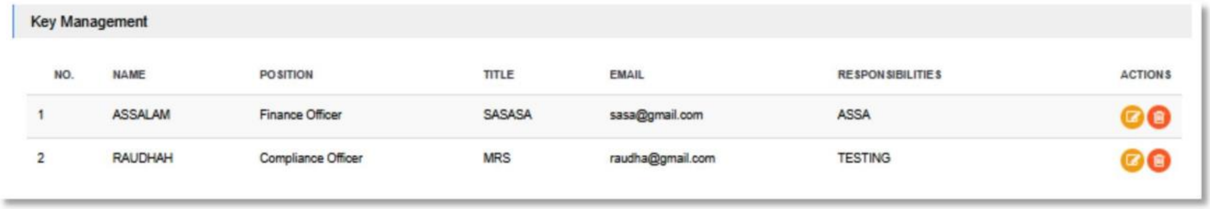
Diagram 41: Director Form

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

Diagram 42: Confirmation Message Display

- 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 Management

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

Diagram 43: Key Management Table

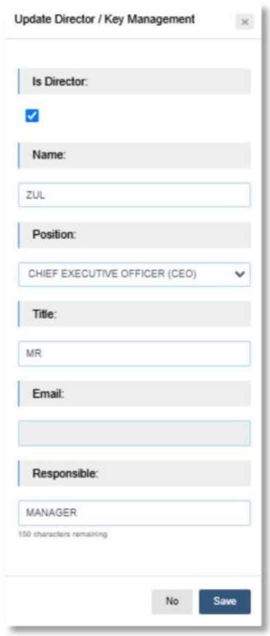


Diagram 44: Update Director/Key Management Form

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

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

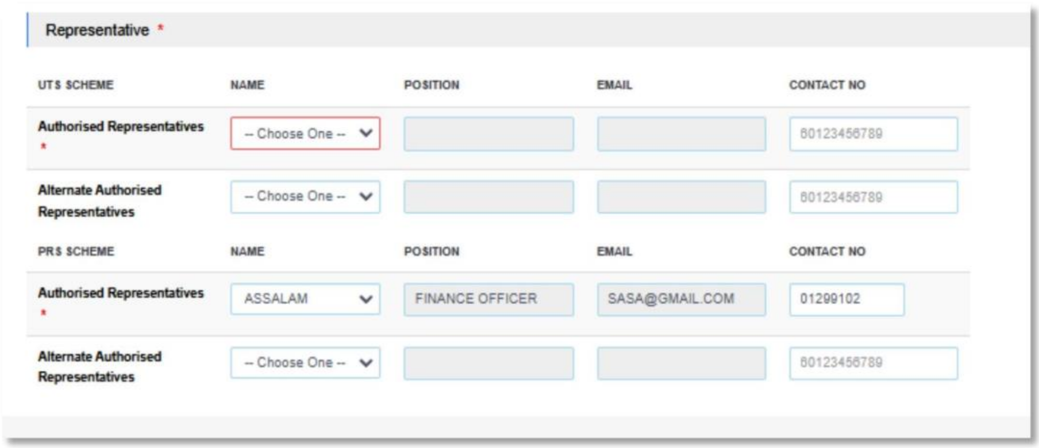


Diagram 46: Representative Form

31. Click the 

button to store the entered data. The system will display a success message confirming that the data has been saved.

32. Click the 

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.

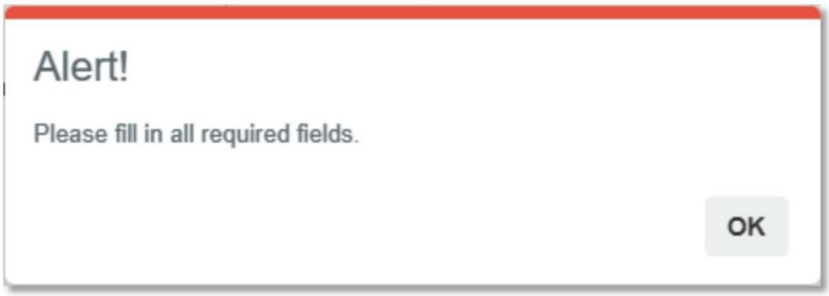


Diagram 47: Alert Message Display

Business Plan Section

33. The user need to uploads the 'Business Plan' file.

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

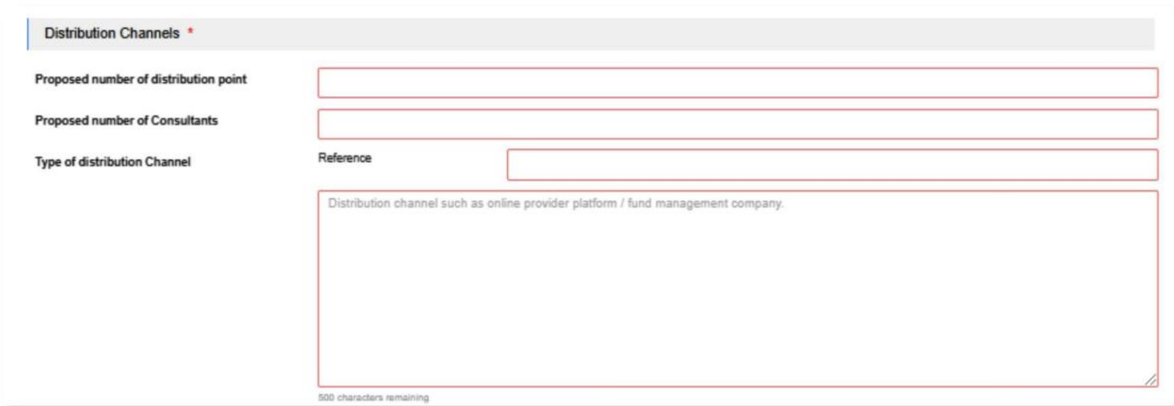


Diagram 49: Distributor Channel Form

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.

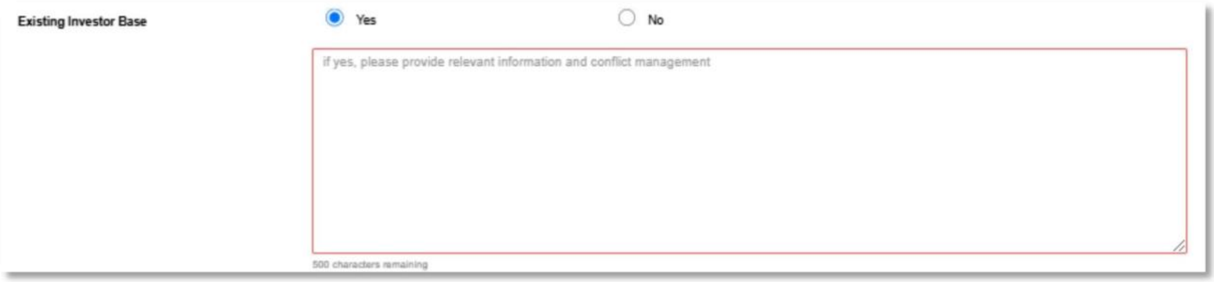


Diagram 50: Existing Investor Base Form

ii. Target Segment of Investors.

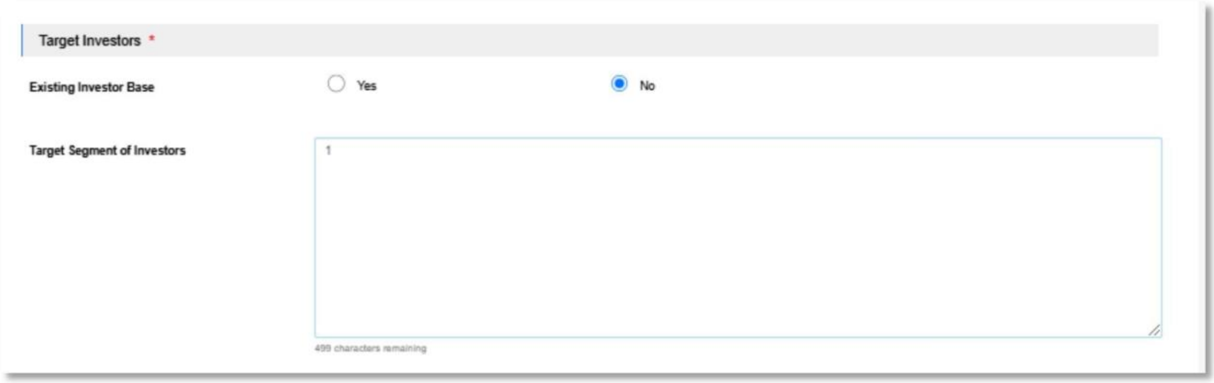


Diagram 51: Target Investors Form

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

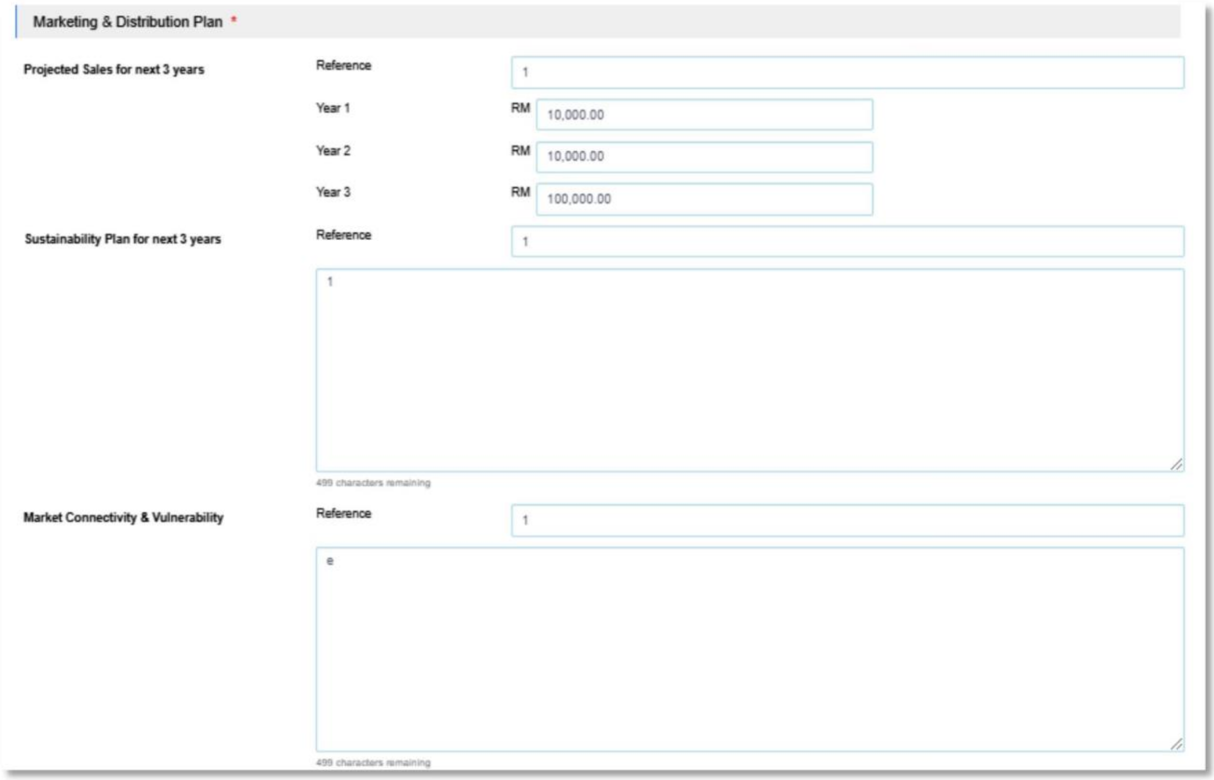


Diagram 52: Marketing & Distribution Plan Form

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

i. Previous Track Record

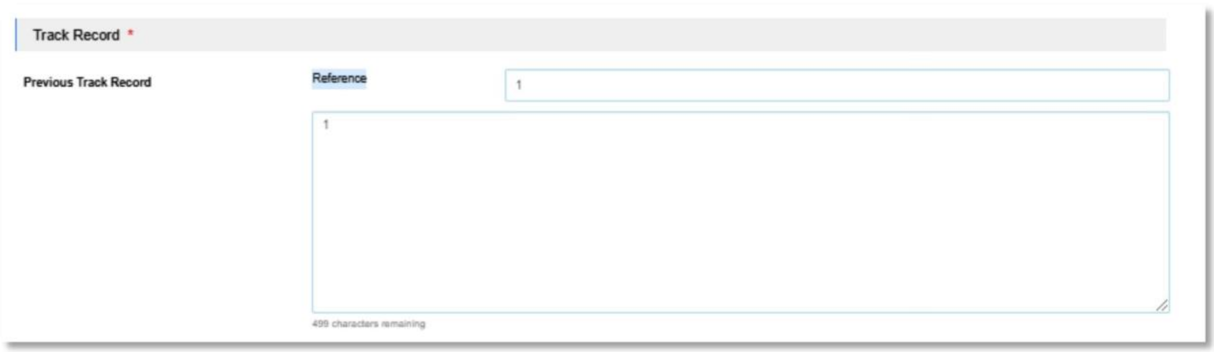


Diagram 53: Track Record Form

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

39. Click the  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.

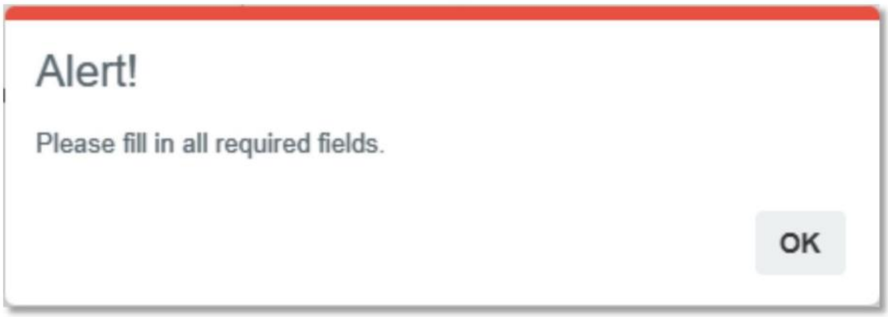


Diagram 54: Alert Message Display

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.

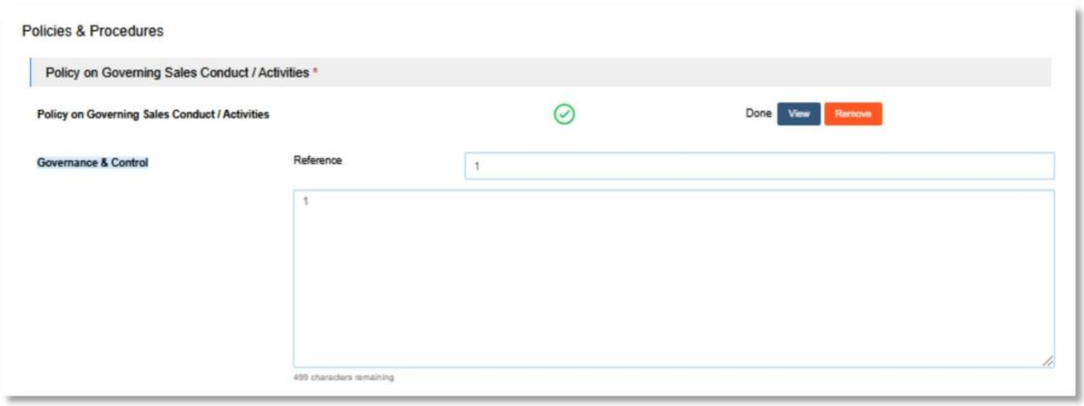


Diagram 55: Policy on Governing Sales Conduct / Activities Form

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.

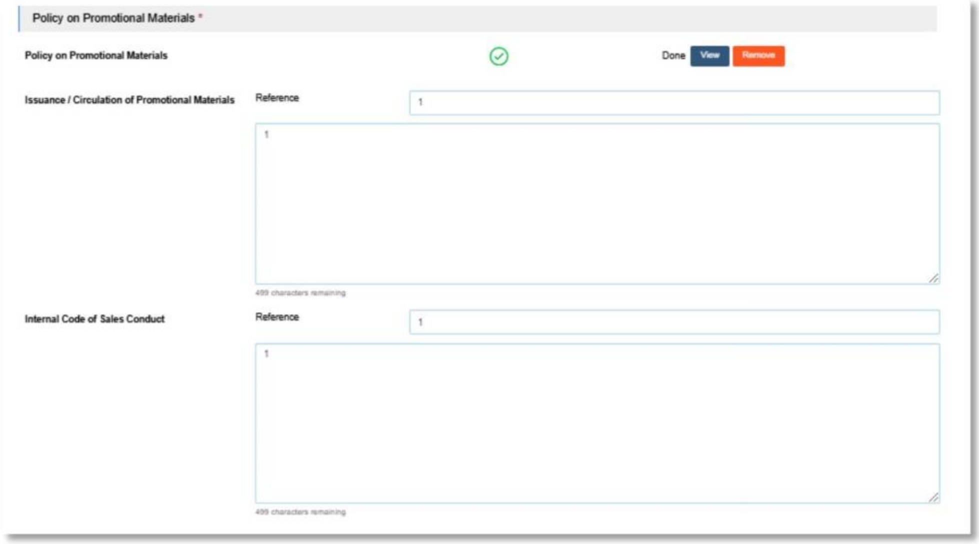


Diagram 56: Policy on Promotion Materials Form

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).

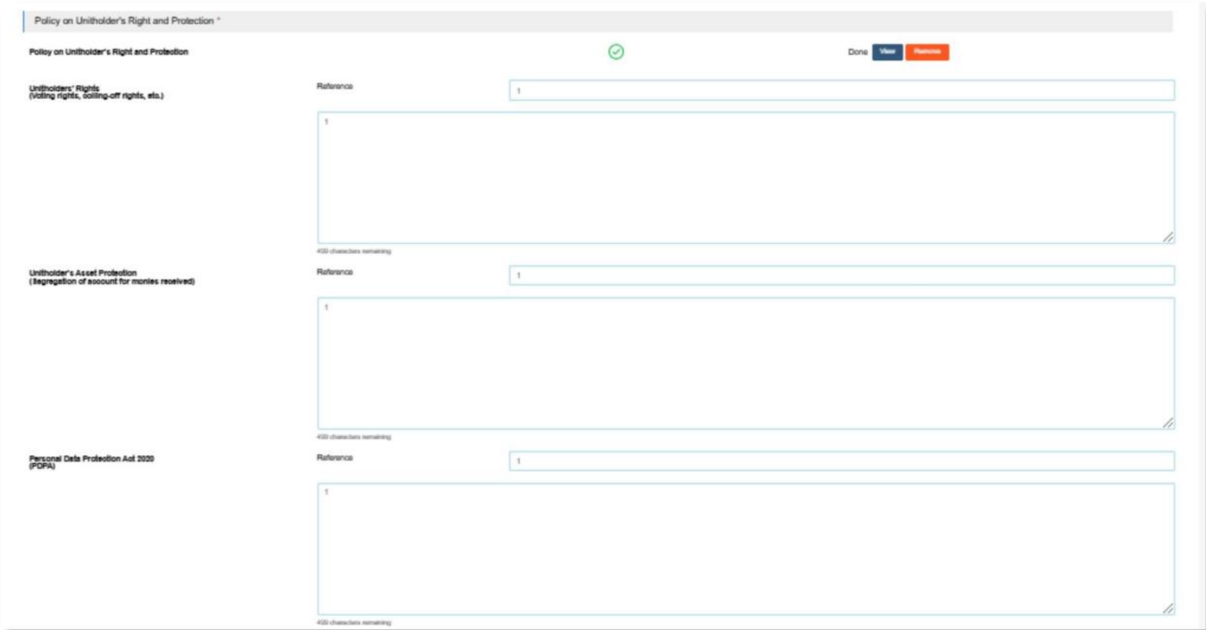


Diagram 57: Policy on Unitholder’s Right and Protection Form

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

i. Conflict of Interest Management. ii. Measure Undertaken.

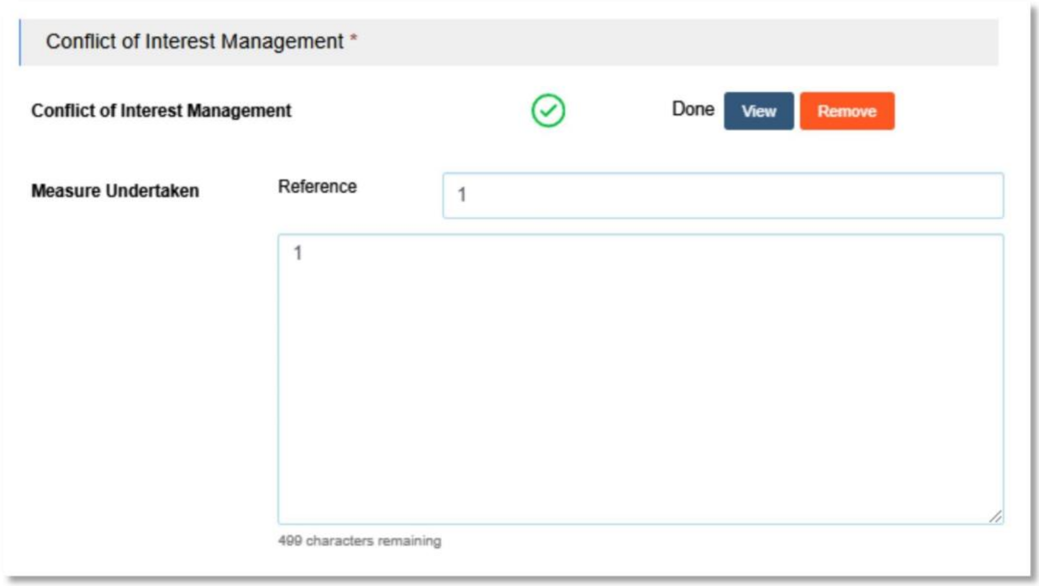


Diagram 58: Conflict of Interest Management Form

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.

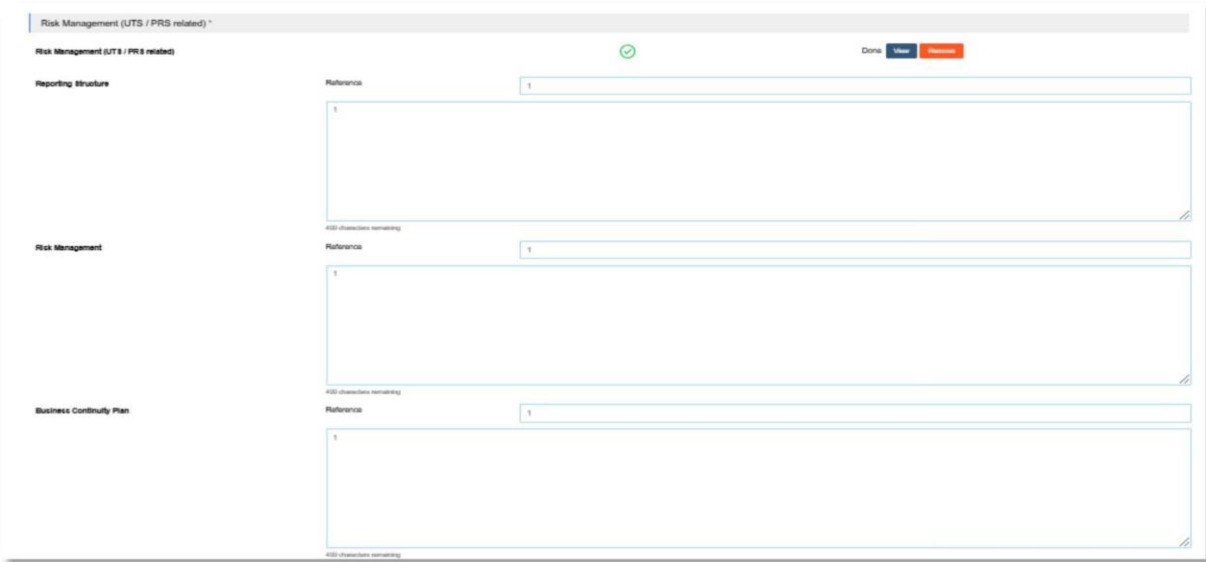


Diagram 59: Risk Management (UTS / RPS related) Form

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.

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

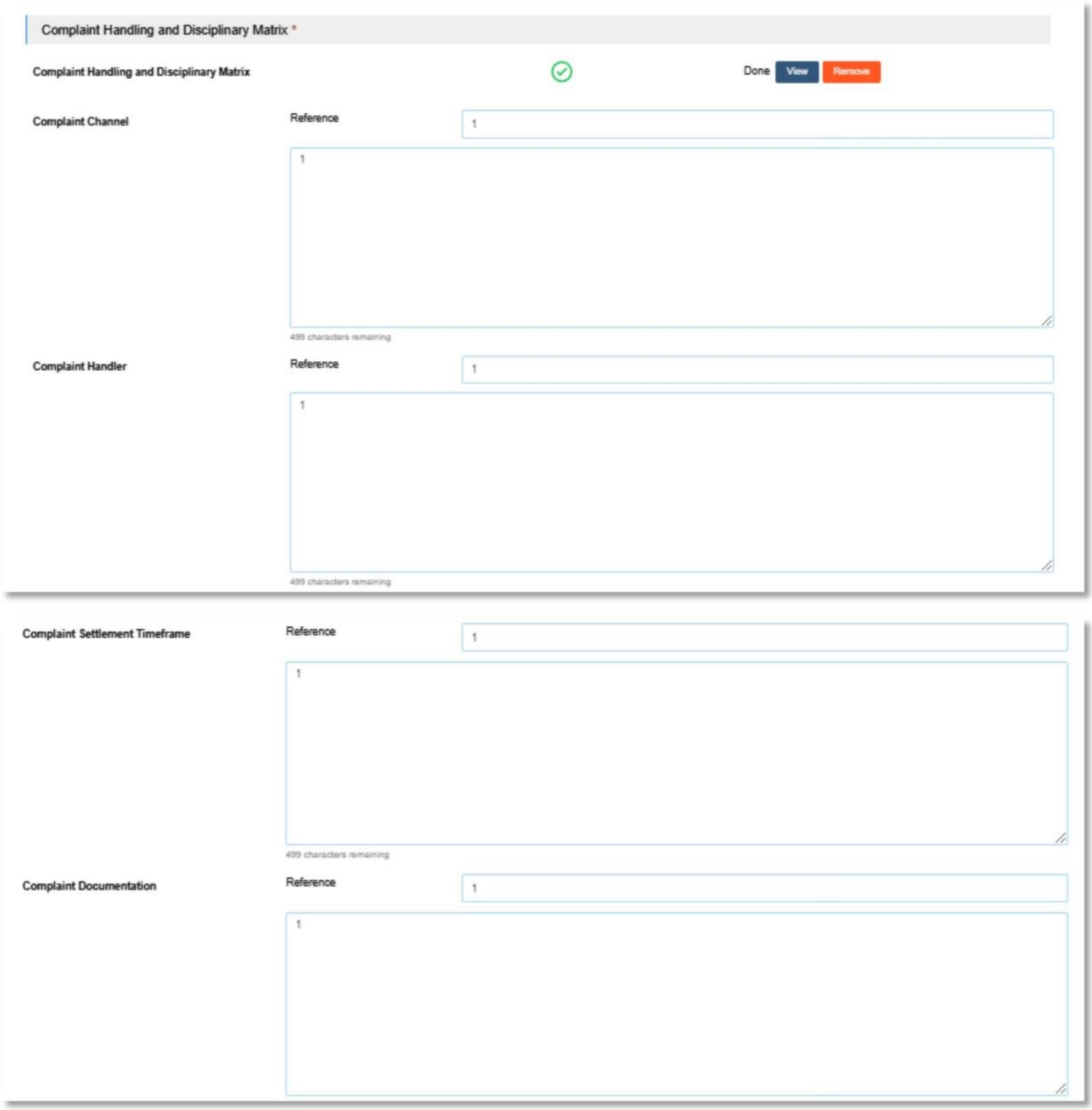


Diagram 60: Complain Handling and Disciplinary Matrix Form

46. Then, the user can fill in the 'Other Policies' subsection with the following fields.

i. Upload Policy

ii. Policy Name

iii. Reference

iv.

Click the button to save the record.

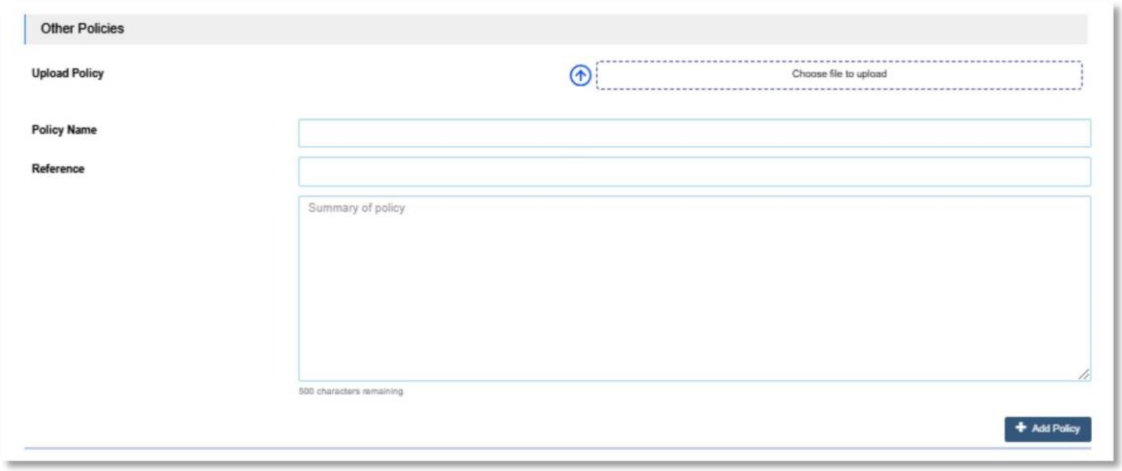


Diagram 61: Other Policies Form

 The entered detail will be displayed in the table below.

Click the button to remove the record.

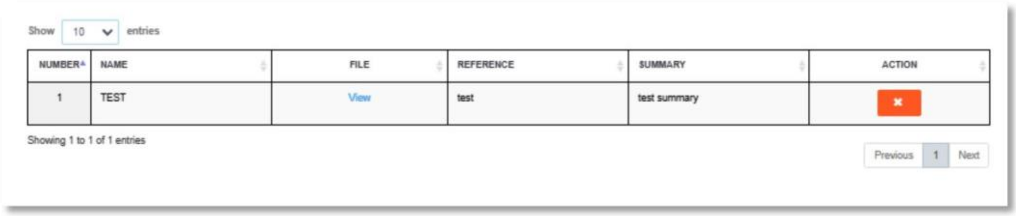


Diagram 62: Other Policies Table

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

48. Click the 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 management section.

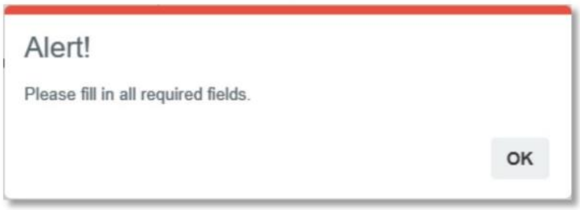


Diagram 63: Alert Message Display

Consultants Management Section

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

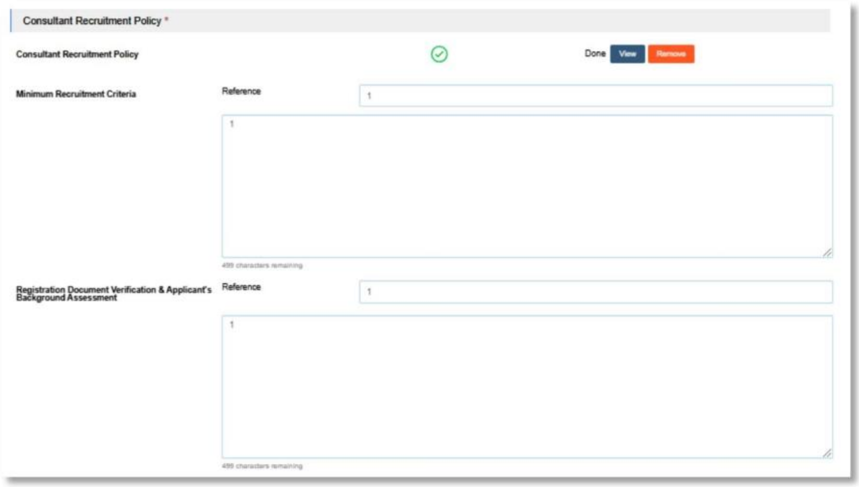


Diagram 65: Consultants Recruitment Policy Form

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.

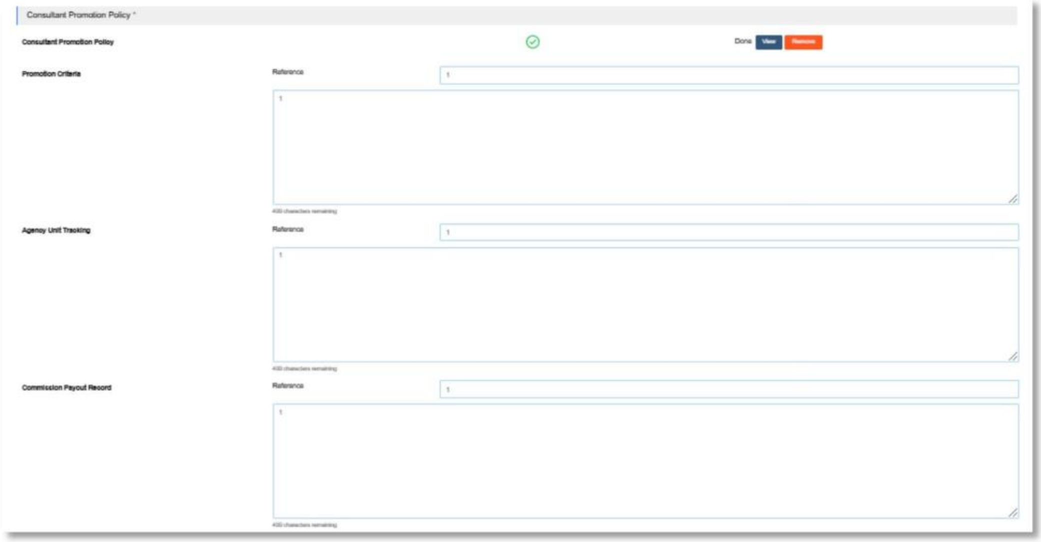


Diagram 66: Consultants Promotion Policy Form

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.

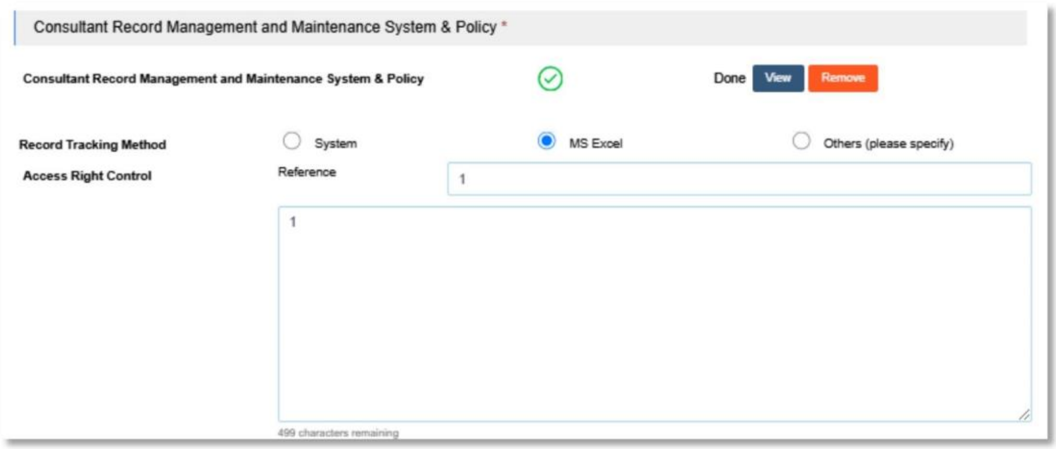


Diagram 67: Consultants Record Management and Maintenance System & Policy Form

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.

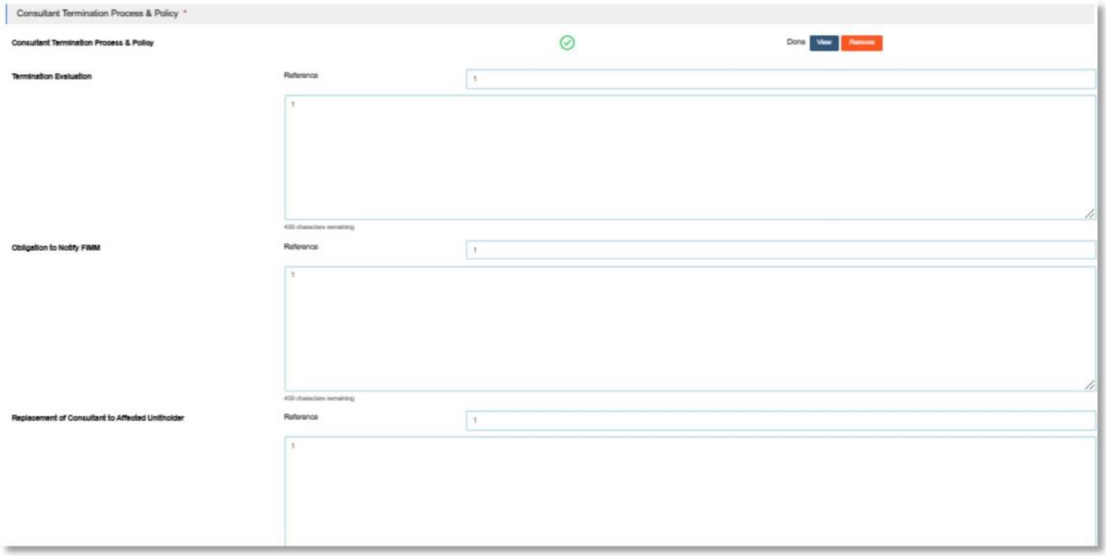


Diagram 68: Consultants Termination Process & Policy Form

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.

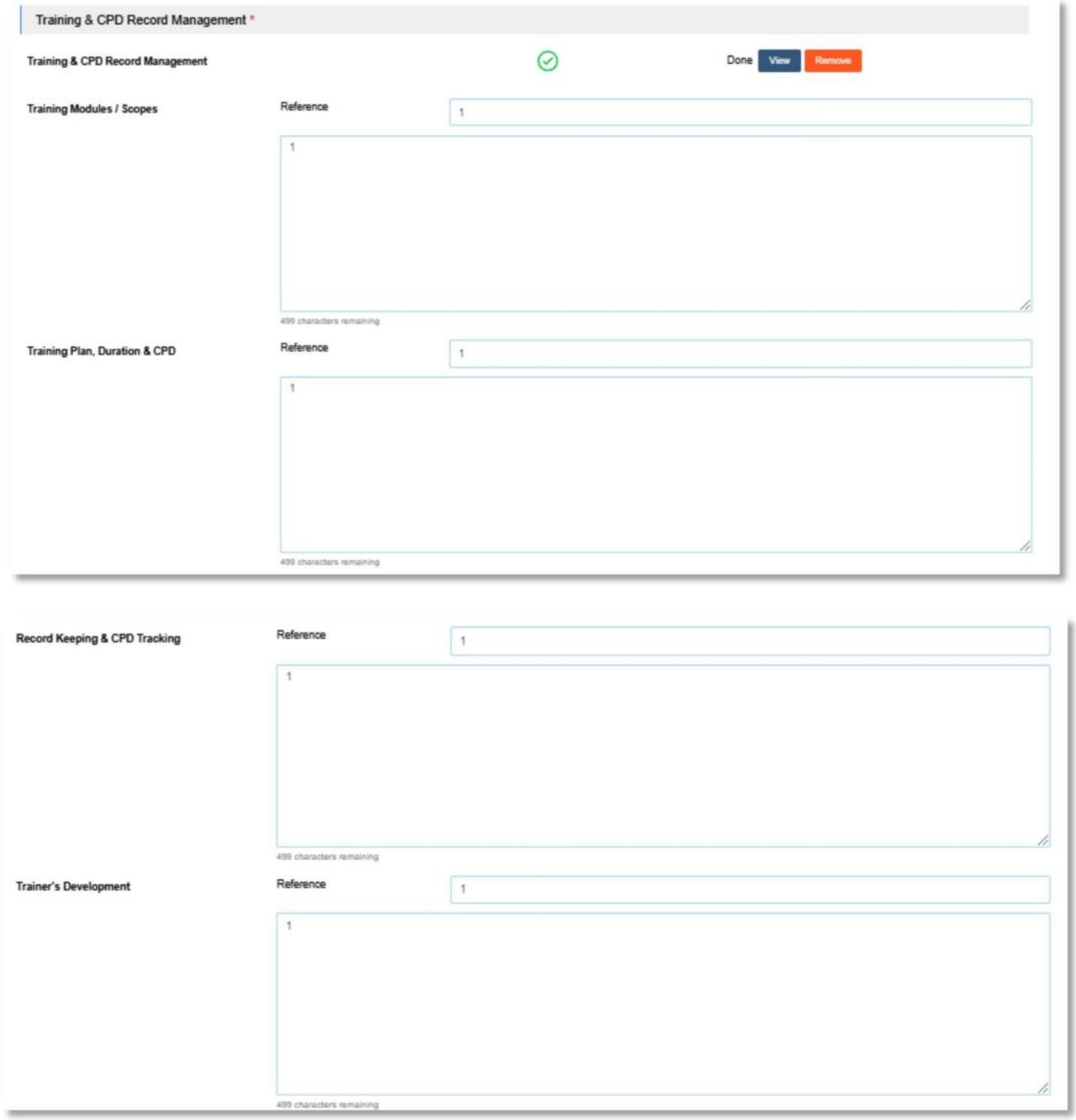


Diagram 69: Training & CPD Record Management Form

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

i. Agency Development Plan

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

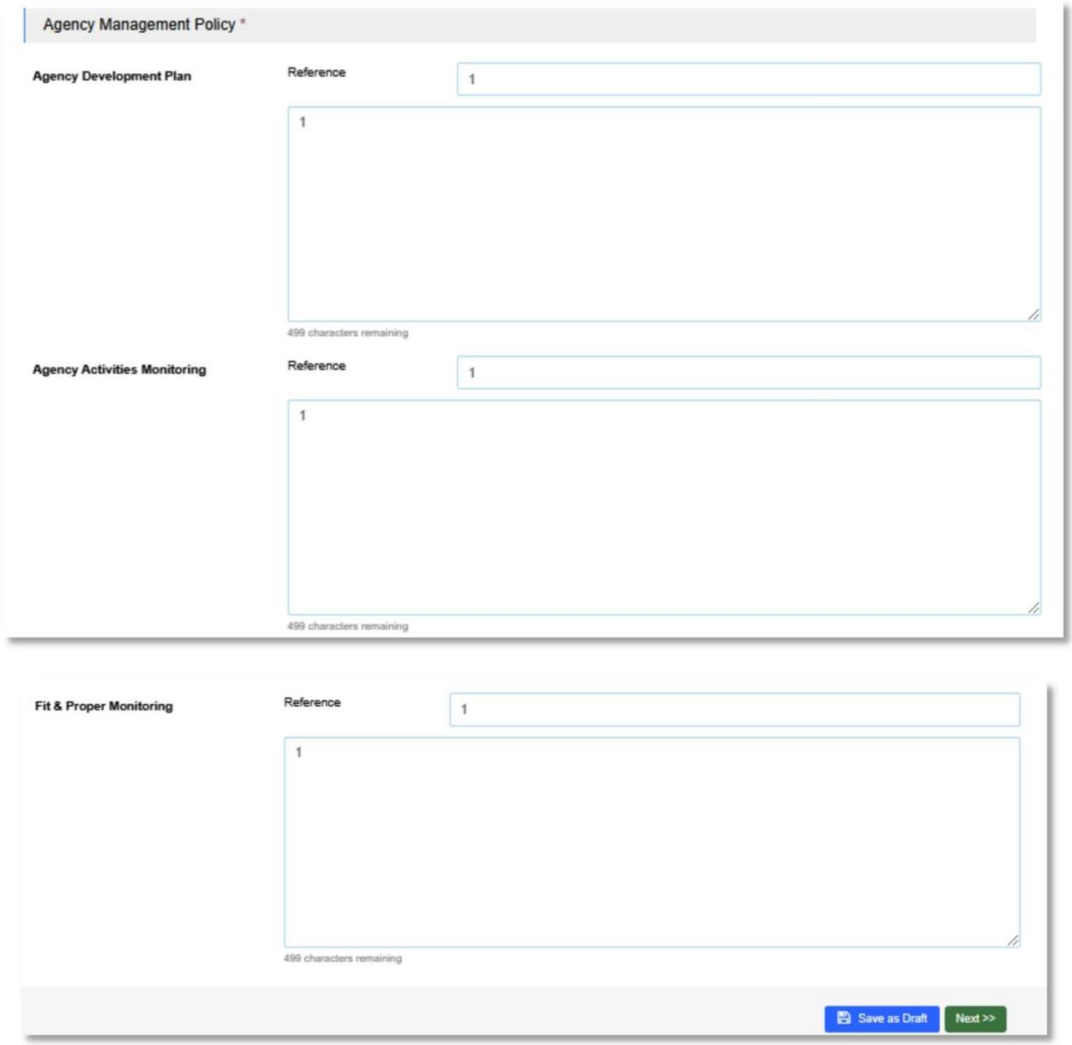


Diagram 70: Agency Management Policy Form

56. Click the 

button to store the entered data. The system will display a success message confirming that the data has been saved.

57. Click the 

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.

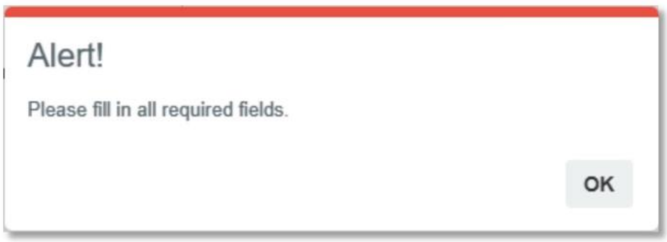


Diagram 71: Alert Message Display

Unitholder Management Section

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

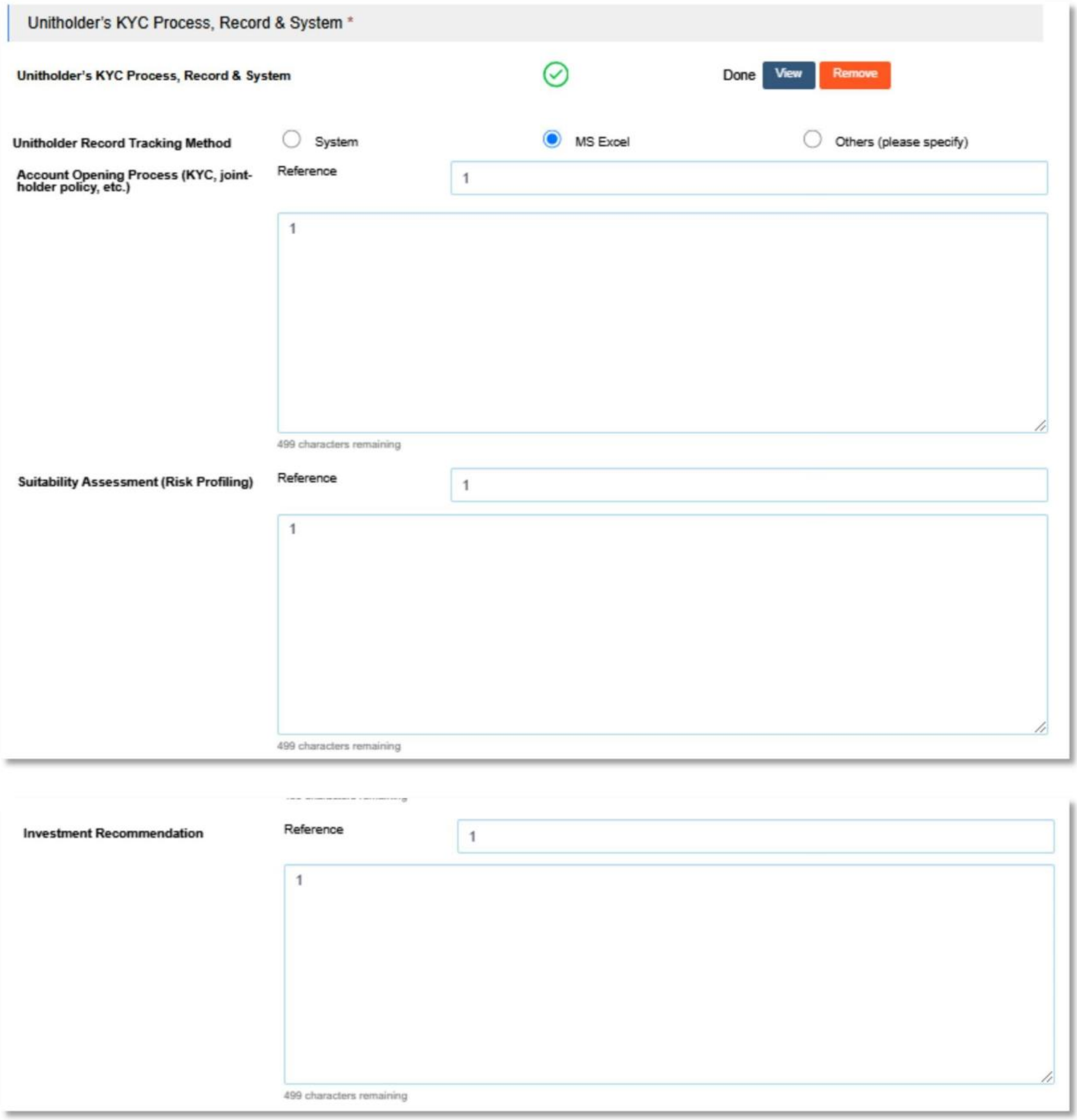


Diagram 73: Unitholder's KYC Process, Record & System Form

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

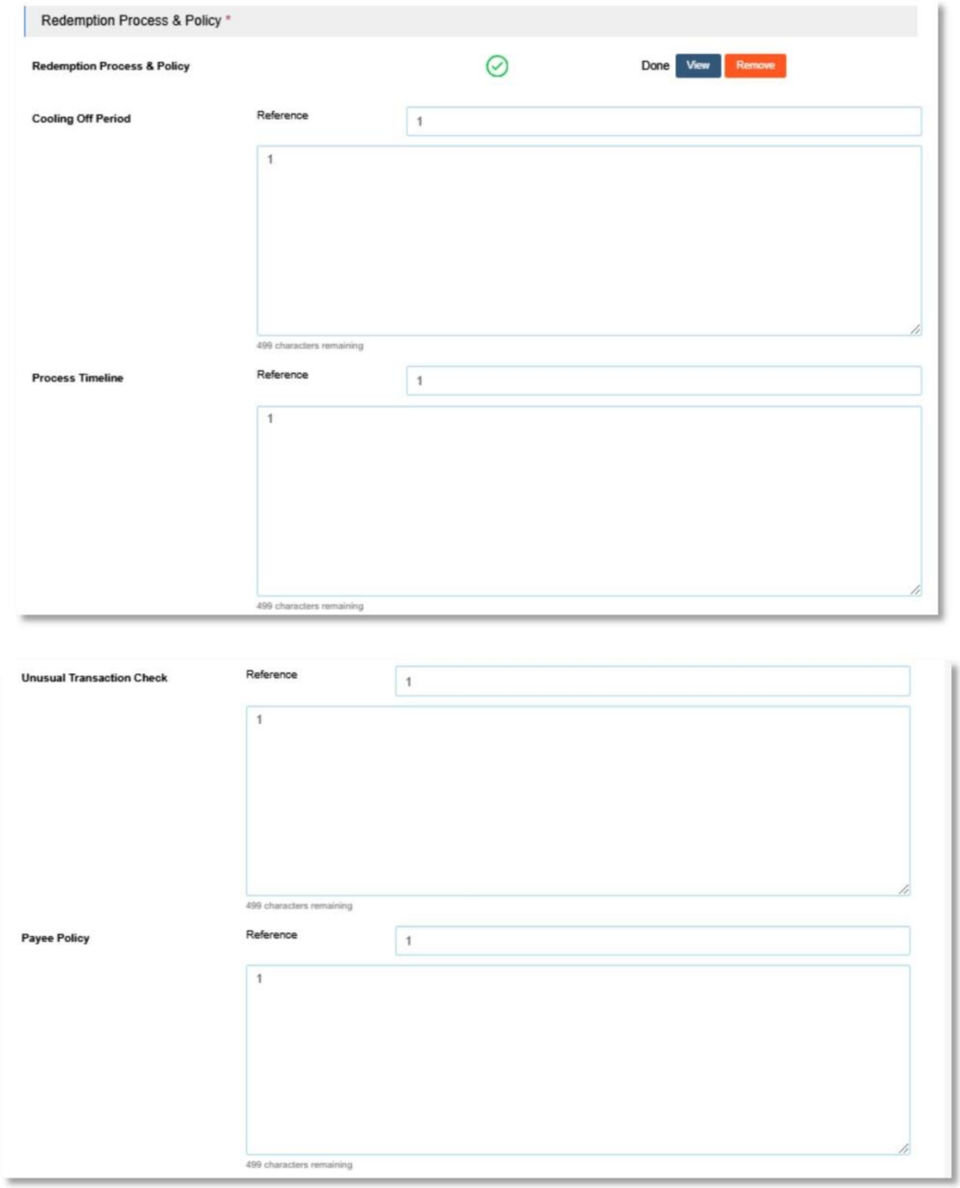


Diagram 74: Redemption Process & Policy Form

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

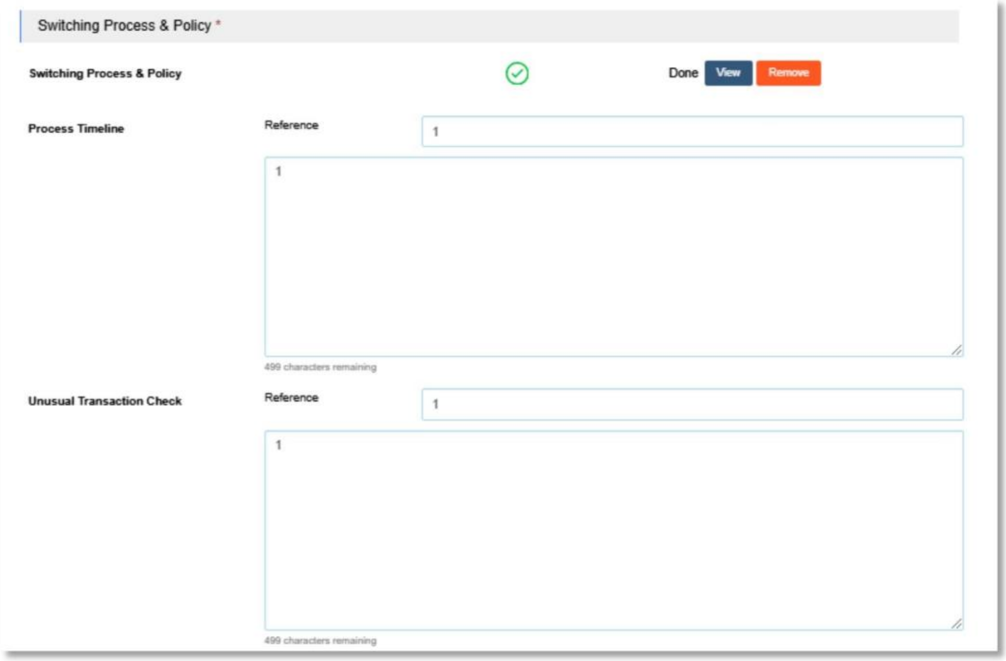


Diagram 75: Switching Process & Policy Form

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

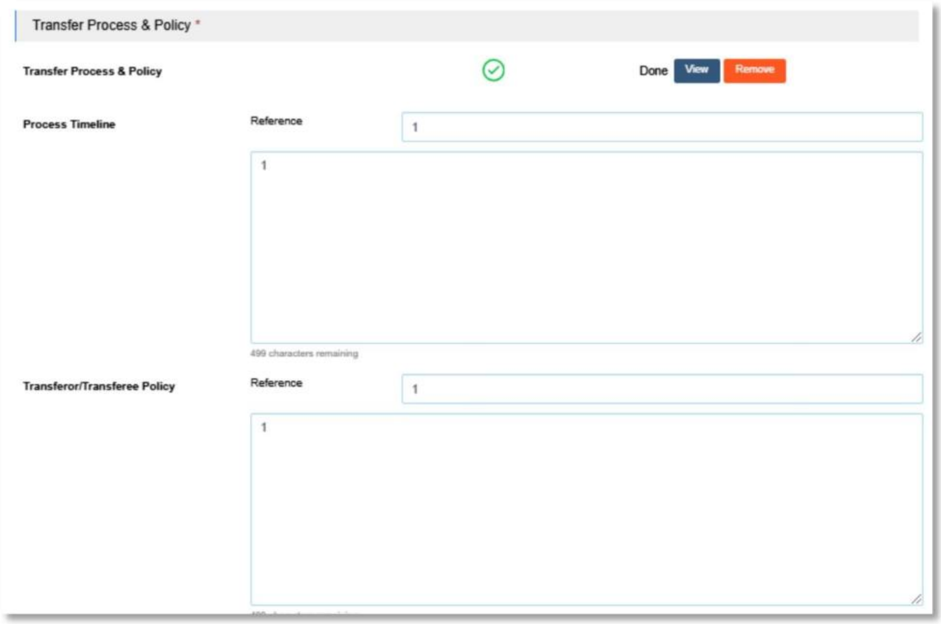


Diagram 76: Transfer Process & Policy Form

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

i. Upload Reconciliation of Transaction

ii. Periodic Reconciliation iii. Discrepancy Settlement

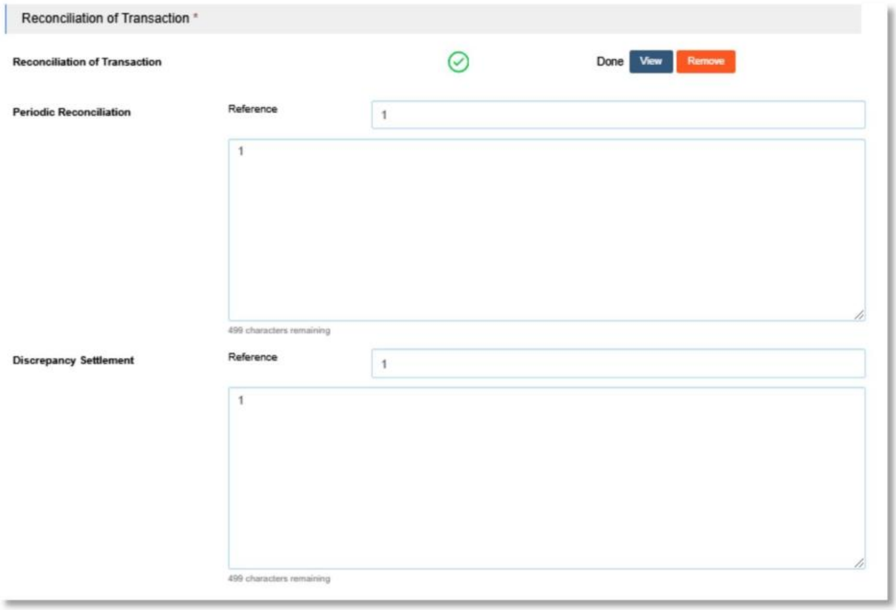


Diagram 77: Reconciliation of Transaction Form

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

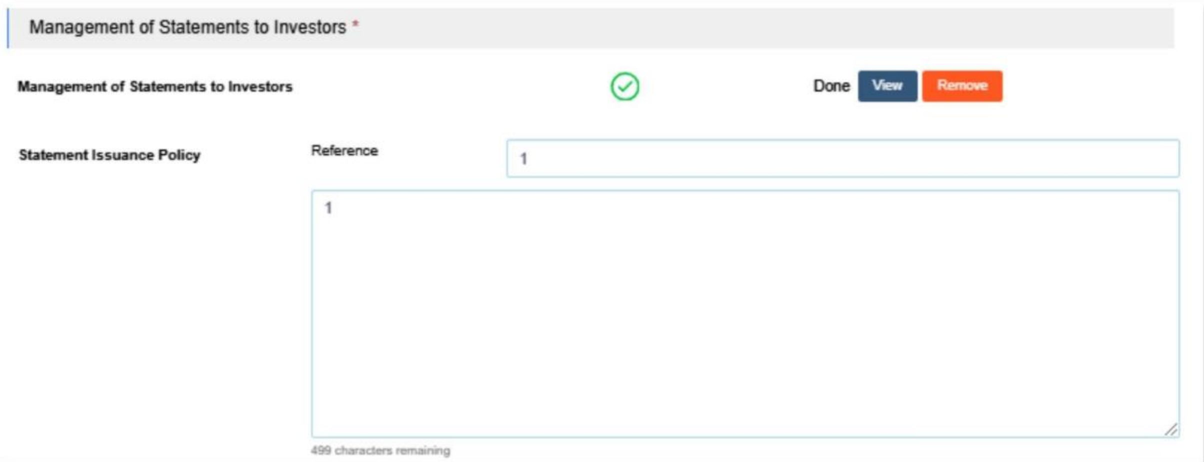
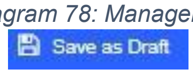


Diagram 78: Management of Statements to Investors Form

65. Click the 

button to store the entered data. The system will display a success message confirming that the data has been saved.

66. Click the 

button to proceed to the payment and others 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 payment and others section.

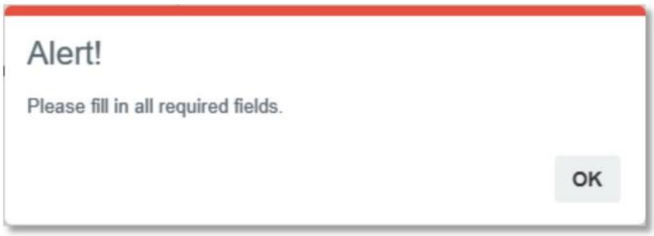


Diagram 79: Alert Message Display

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

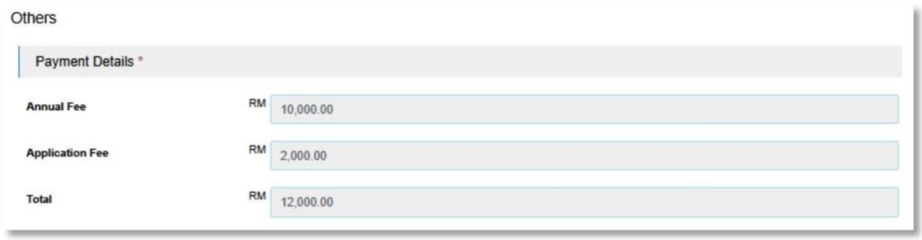


Diagram 80: Payment Details Display

68. The user need to fill in the following details.

i. Transaction No.

ii. Upload Payment Slip.

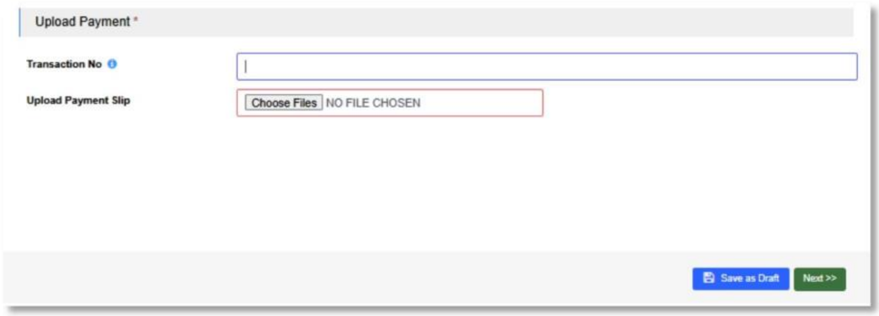


Diagram 81: Upload Payment Form

69. Click the 

button to store the entered data. The system will display a success message confirming that the data has been saved.

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.

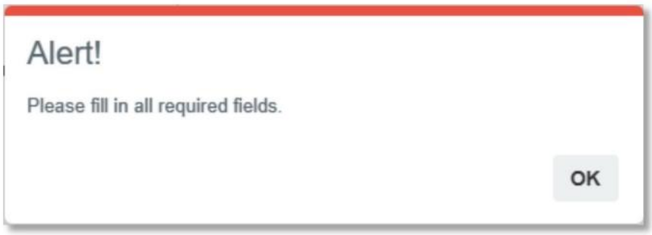
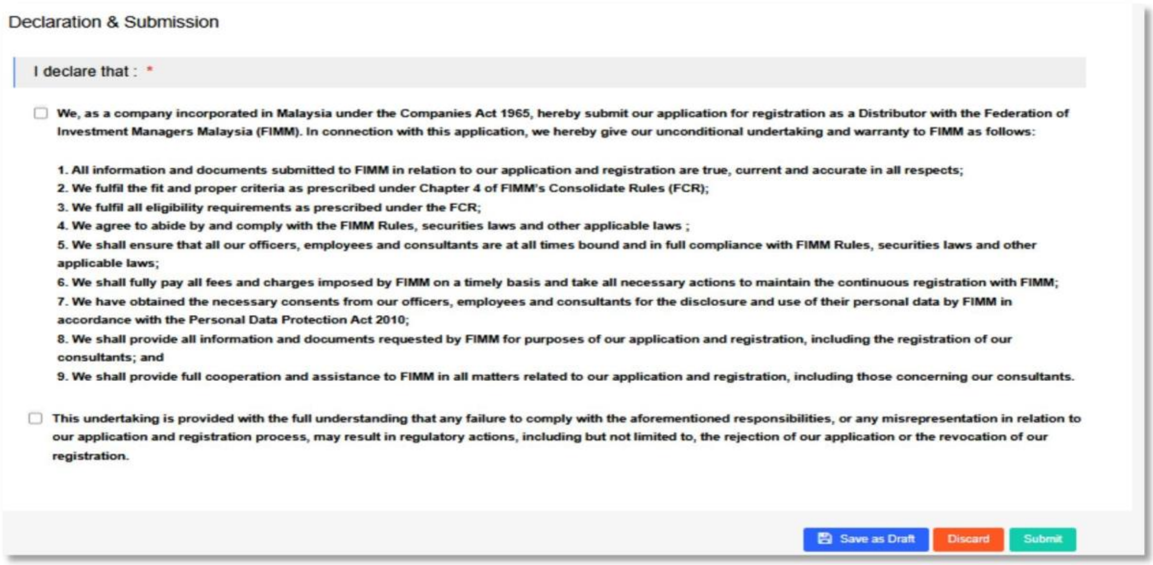


Diagram 82: Alert Message Display

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



Declaration & Submission

I declare 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 Investment Managers Malaysia (FIMM). In connection with this application, we hereby give our unconditional undertaking and warranty to FIMM as follows:

1. All information and documents submitted to FIMM in relation to our application and registration are true, current and accurate in all respects;
2. We fulfil the fit and proper criteria as prescribed under Chapter 4 of FIMM's Consolidate Rules (FCR);
3. We fulfil all eligibility requirements as prescribed under the FCR;
4. We agree to abide by and comply with the FIMM Rules, securities laws and other applicable laws ;
5. We 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 applicable laws;
6. We 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. We have obtained the necessary consents from our officers, employees and consultants for the disclosure and use of their personal data by FIMM in accordance with the Personal Data Protection Act 2010;
8. We shall provide all information and documents requested by FIMM for purposes of our application and registration, including the registration of our consultants; and
9. We shall provide full cooperation and assistance to FIMM in all matters related to our application and registration, including those concerning our consultants.

☐ This undertaking is provided with the full understanding that any failure to comply with the aforementioned responsibilities, or any misrepresentation in relation to our application and registration process, may result in regulatory actions, including but not limited to, the rejection of our application or the revocation of our registration.

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?”.

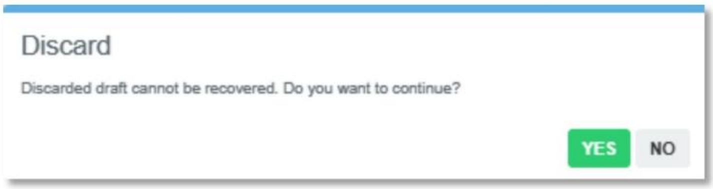


Diagram 84: Confirmation Message Display

74. Click the 

button to submit the application.

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

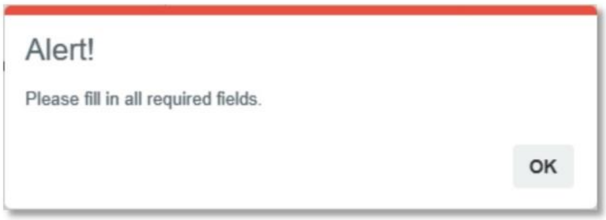


Diagram 85: Alert Message Display

ii. If the detail is complete:

- System will display confirmation messages “Confirm to proceed?”.
- Click button 

, 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’.

Diagram 86: Confirmation Message

3.1.2 User Management

3.1.2.1 Process Flow

3.1.2.2 Manual Steps

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

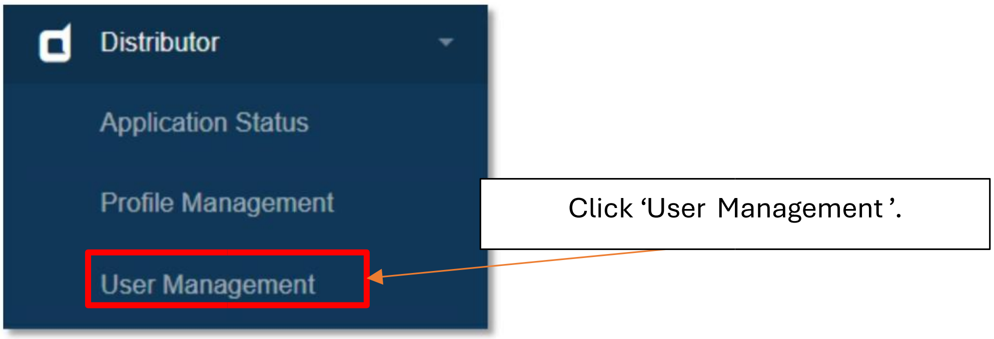


Diagram 87: User Management Submenu

2. The system will display list of user management.

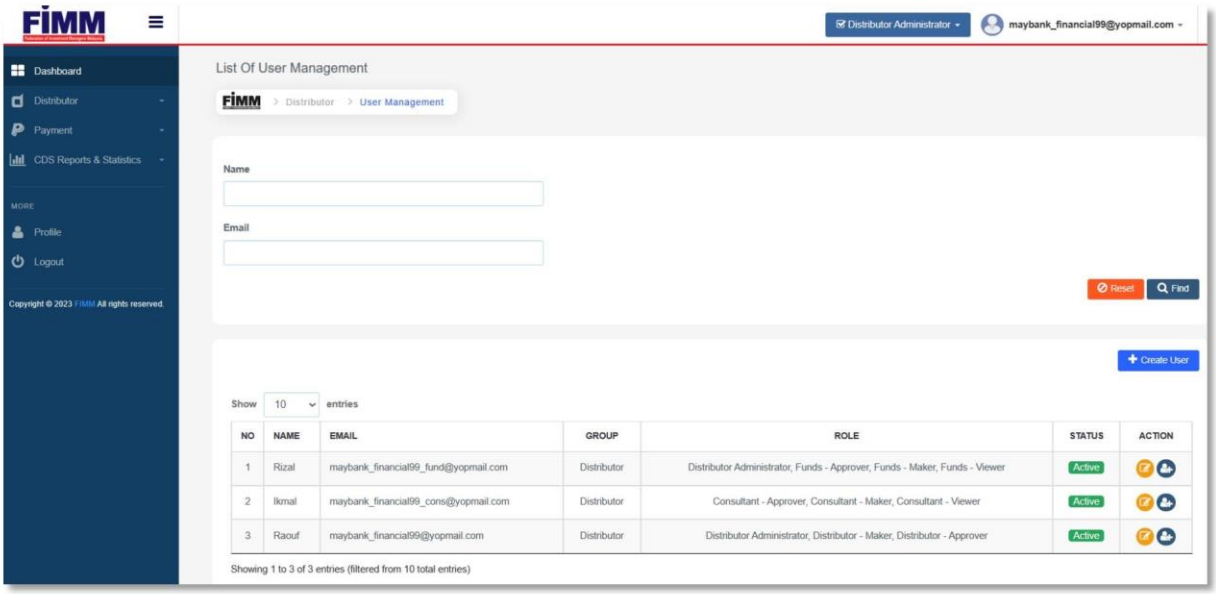
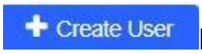


Diagram 88: List of User Management

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.

Create User

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



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)

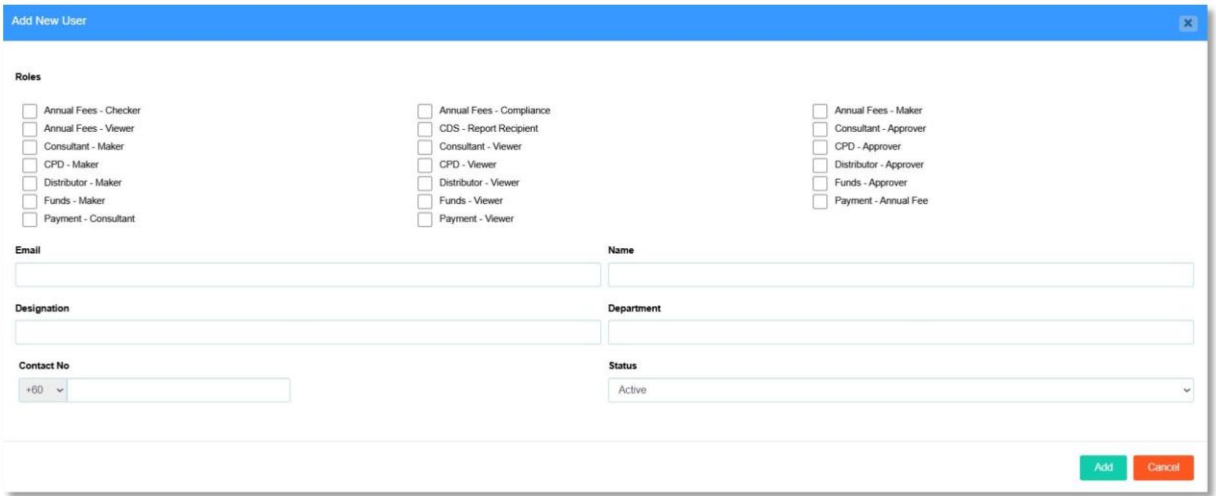


Diagram 89: Add New User

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.

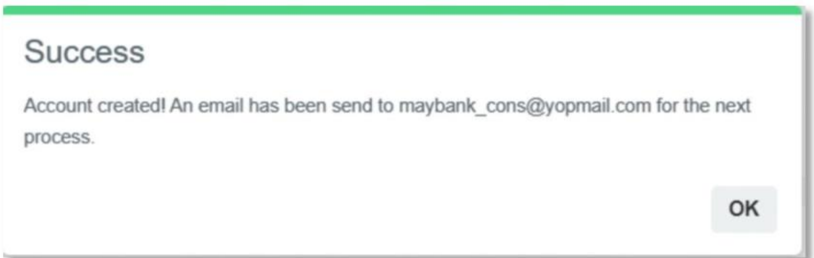


Diagram 90: Success Message Display

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

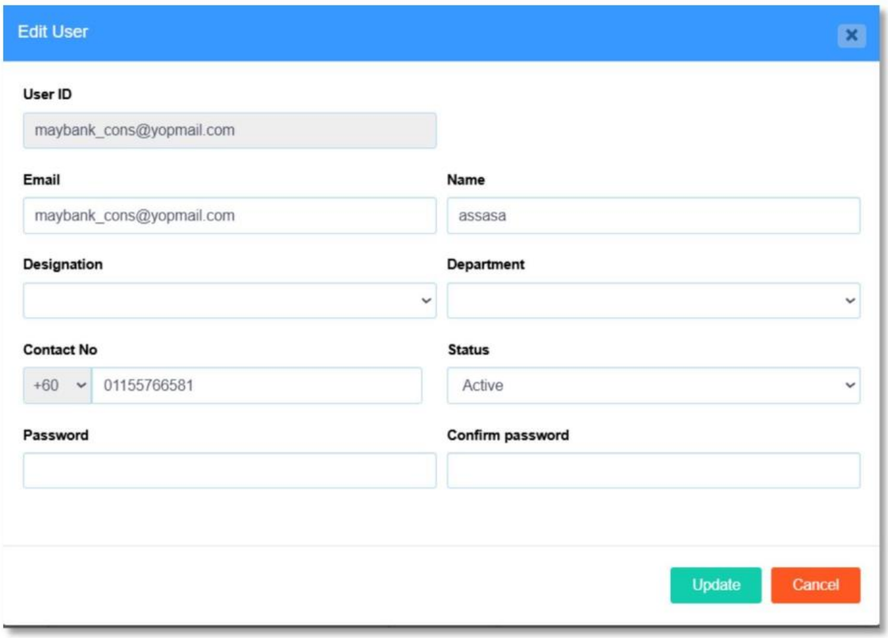


Diagram 91: Edit User Details

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”.

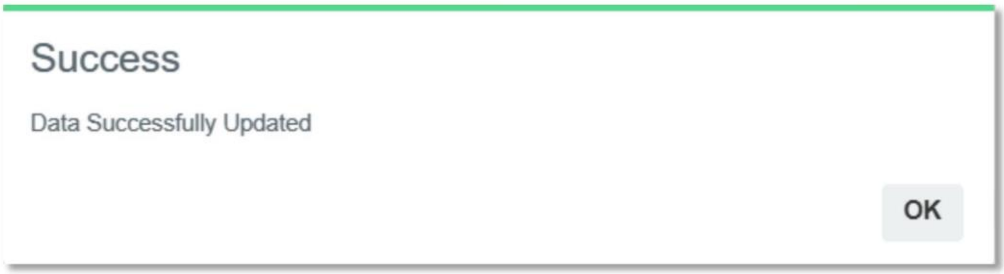


Diagram 92: Successful Message Display

Add New Roles

16. To add new roles to a user, the Distributor Administrator needs to click the 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