

8 July 2015

CIRCULAR : I&SP/M/NO-Koh-za/037-15
(TOTAL NO. OF PAGES:5)

TO : ALL MEMBERS

ATTN : CHIEF EXECUTIVE OFFICER / AUTHORIZED REPRESENTATIVE

Dear Sir/ Madam,

REMINDER

-Notification to the Securities Commission Malaysia (SC) on Huge Redemptions

The above matter refers.

Please be reminded that all members are required to continuously adhere to the current practice of notifying the Managed Investment Schemes Department of SC directly by end of the same business day should there be a gross redemption of 10% or more of the net asset value per scheme per day.

Please refer to item 2 of the enclosed circular (MM/R&D/KOH/017-08) dated 10 October 2008 for further details.

Should you require any further information or clarification, please do not hesitate to contact the undersigned, Ms Koh Hwee Ngim or Cik Zunaida Abdullah at 603-2093 2600.

Yours faithfully

FEDERATION OF INVESTMENT MANAGERS MALAYSIA



NAZARUDDIN OTHMAN
Chief Executive Officer

c.c. **Chin Pik Yuen**
Head
Managed Investment Schemes Department
Securities Commission Malaysia



FEDERATION OF MALAYSIAN UNIT TRUST MANAGERS

10 October 2008

CIRCULAR: MM/R&D/KOH/017-08
(TOTAL NO. OF PAGES: 4)

To : ORDINARY MEMBERS
ATTN : CHIEF EXECUTIVE OFFICER

SURVEY ON COUNTER-PARTY RISK EXPOSURES FOR UNIT TRUST SCHEMES

1. Survey on industry exposures to counter-party risk

As part of the industry's preemptive measures in managing the potentially devastating impacts caused by the unprecedented credit crisis overseas, the Securities Commission (SC) has requested FMUTM to compile industry information with regard to counter-party risk exposures for unit trust schemes. As such, we would appreciate it if you could complete the attached reply slip as well as questionnaire and return to us by **13 October 2008 (Monday)**.

A soft copy of this circular will be email to you shortly.

2. Notifying the SC should there be a spike in redemptions

With immediate effect, all members are required to notify the Trust & Investment Management Department of the SC directly by the end of the same business day should there be a gross redemption of 10% or more of the net asset value per scheme per day. Your notification should include, as a minimal, the following information:

- a) Name of the company and scheme; and
- b) Gross redemption amount (RM '000).

Any additional information such as gross sales amount may also be included in your notification to the SC, if deemed necessary.


Kindly take note that money market funds are **excluded** from the notification requirement due to the nature of the funds that accommodate frequent redemptions.

Meanwhile, should you require any further information or clarification, please do not hesitate to contact the undersigned or Cik Nor Azian Othman.

Thank you.

Yours faithfully

FEDERATION OF MALAYSIAN UNIT TRUST MANAGERS



KOH HWEE NGIM
Manager, Research & Development

- c.c. 1. **Mr Lee Siew Hoong**
Executive Director
FMUTM
2. **En. Mohammad Aminullah Basir**
Acting Head
Trust & Investment Management Department
Securities Commission

FEDERATION OF MALAYSIAN UNIT TRUST MANAGERS

(Company No. 272577-P)

19-07-3, 7th Floor, PNB Damansara, No. 19, Lorong Dungun, Damansara Heights, 50490 Kuala Lumpur.
Tel: (603) 2093 2600 Fax: (603) 2093 2700 E-mail: info@fmutm.com.my Website: www.fmutm.com.my

REPLY SLIP

**SURVEY ON COUNTER-PARTY RISK EXPOSURES FOR UNIT TRUST SCHEMES
(REF: MM/R&D/KOH/017-08)**

To: Federation of Malaysian Unit Trust Managers
c/o Research & Development Department
19-07-3, 7th Floor, PNB Damansara, No 19, Lorong Dungun
Damansara Heights, 50490 Kuala Lumpur
Tel: 03-2093 2600 Fax: 03 2093 2700

Kindly forward this completed reply slip and fax to FMU

Would you like to participate in this industry survey?
(Please tick accordingly and let us know even if your

YES! Enclosed please find the completed questionnaire. If you need to contact the undersigned*/ following clarification on the survey.

Please further

Name: _____

Designation: _____

Tel No: _____

(* strike wherever is not applicable)

NO, we are not participating.

(state your reason).

From:

Name

Name of company

Designation

Tel No

Date

Date

FOR INFORMATION ONLY

Fax No.

Signature

**QUESTIONNAIRE
SURVEY ON COUNTER-PARTY RISK EXPOSURES FOR UNIT TRUST SCHEMES
(REF: MM/R&D/KOH/017-08) (DUE DATE: 13 OCT 2008)**

1. As at 9 Oct 2008, the company is managing Unit Trust Schemes (UTS) with a total Net Asset Value (NAV) of RM million.

2. Kindly complete the following table to provide information as to the UTS has exposure in Over-the-Counter (OTC) derivatives/ structured products. (Please provide information as follows)

Fund	Types of exposures (options/ swaps)	Issuer (Local or offshore)	Party to bear counter-party risk? (unit holders or UTMC)	Full name of the counter-party (eg CIMB Bank, Royal Bank of Scotland, BNP Paribas etc)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
Total	NA	NA	NA	NA

FOR INFORMATION ONLY

(Please use separate cover if the space provided is insufficient.)

--- End of questionnaire ---