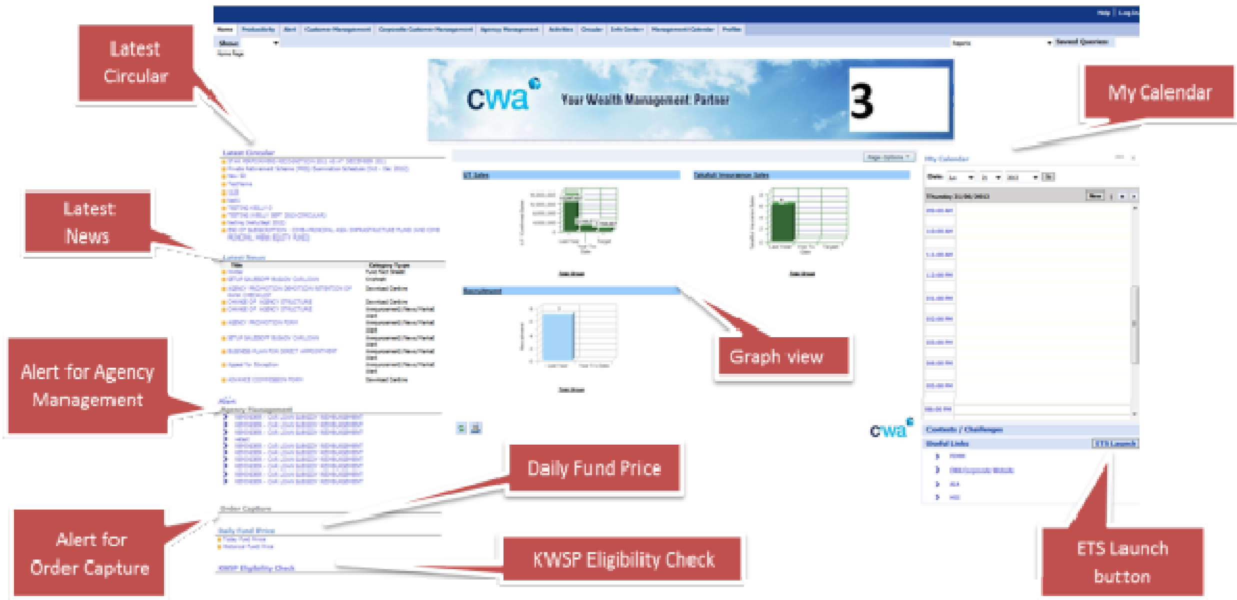
ASSIST PRO GUIDE

17/6/2013
CIMB Wealth Advisors Bhd
Version 1.0

Contents

1. 0 Home

When you have successfully login into ASSIST PRO, the Home screen will be displayed as your default view. Below is the Home screen with brief explanations.

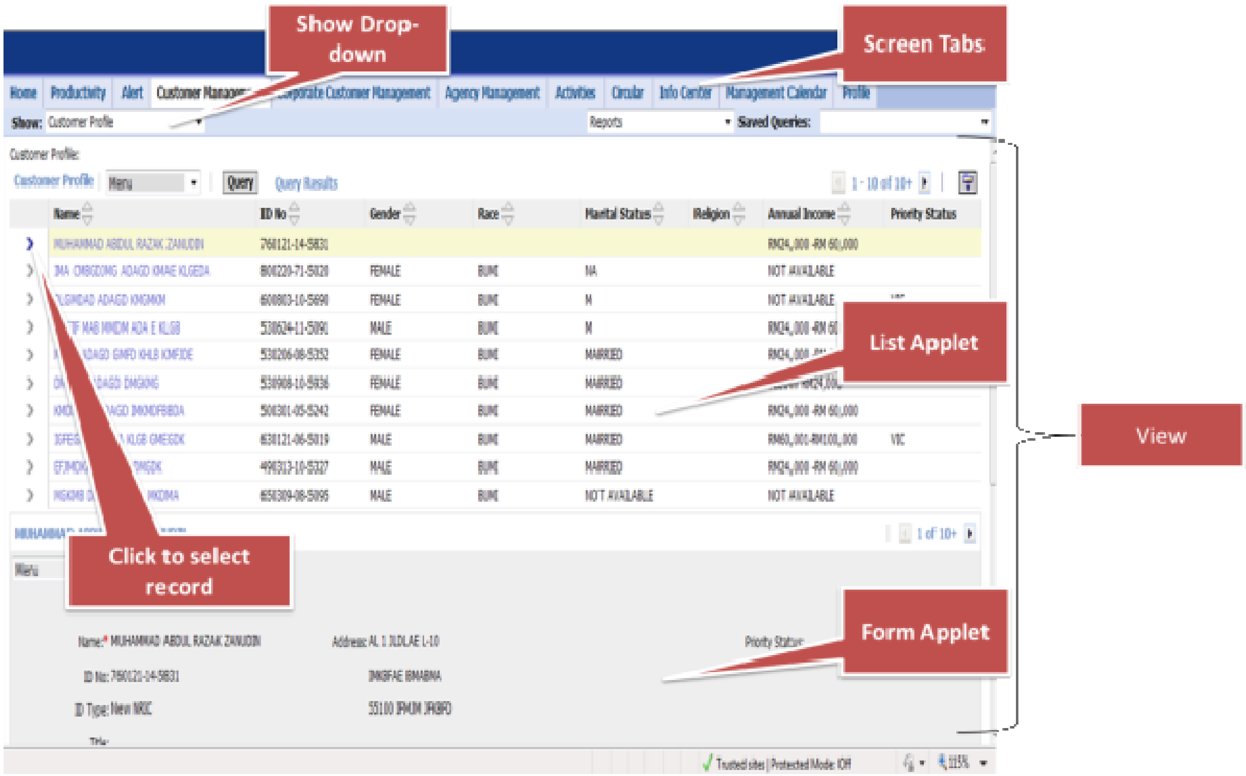


Section	Descriptions
Latest Circular	Displays the latest 10 circulars published by CWA. When you click the link 'Latest Circular', it will redirect you to the 'Circular' screen that contains recent and historical circular.
Latest News	Displays the latest 10 news information published by CWA pertaining to fund factsheet, research report, market alert, announcement and etc. When you click the link 'Latest News', it will redirect you to the Info Centre screen.
Alert	Displays the latest alerts generated by system pertaining to transactions, agency related matters, e-switch mandate and KWSP Eligibility Check access. When you click the link 'Alert', it will redirect you to the Alert screen which contains full list of alerts. Please refer to the Alert section in this Guide for more details.
Daily Fund Price	Quick link to retrieve unit trust fund prices. When you click the link 'Today Fund Price' or 'Historical Fund Price', it will redirect you to CWA website page containing unit trust prices.

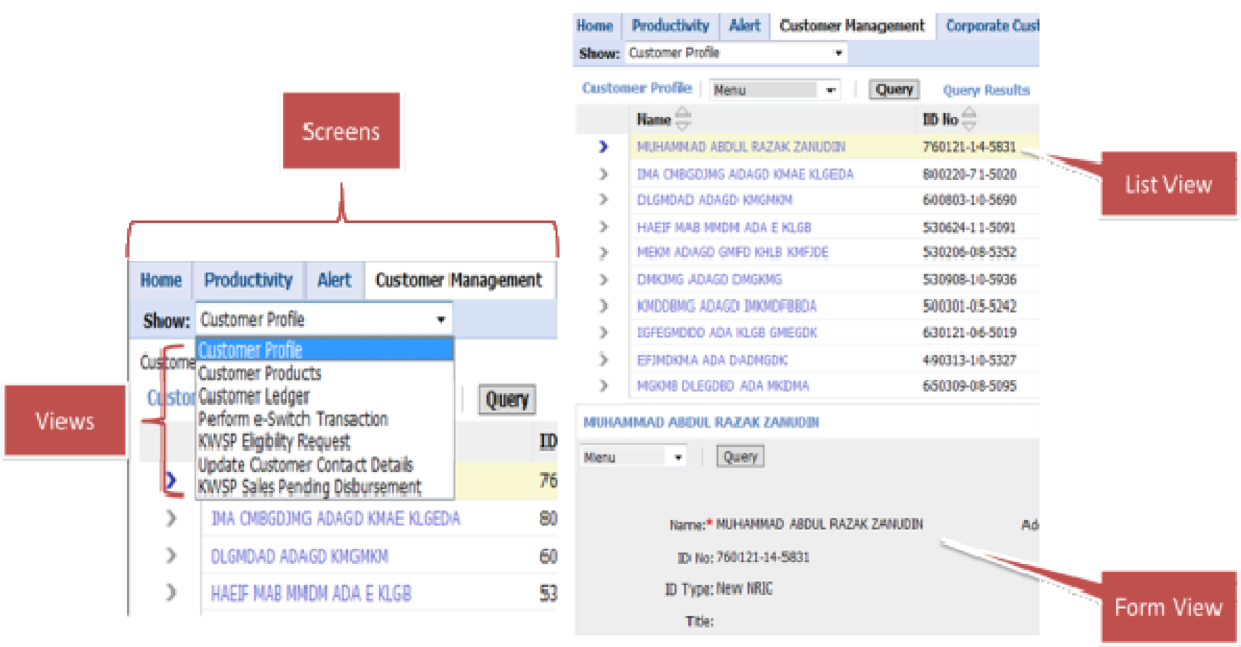
Section	Descriptions
KWSP Eligibility Check	Quick link to the KWSP Eligibility Check function. Please refer to the KWSP Eligibility Check section in this Guide for more details.
My Calendar	Displays the activities and events managed by CWA for agents.
Contests / Challenges	Currently not active and will be made available in future release. For current contests related information, please login to https://www.cwaassist.com.my/ using your ASSIST login username and password.
Useful Links	Displays the link to e-Training System (ETS). To launch the ETS, please click ETS Launch Other useful links i.e. FiMM, AIA Direct, MII and CWA Corporate website are provided.
Graph View	Display charts that illustrate your unit trust sales, insurance/takaful sales and recruitment. Detailed reports are available in the Productivity screen.

2. 0 Basic User Interface & Navigation

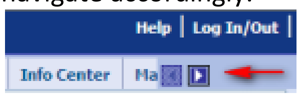
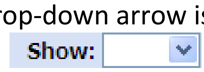
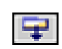
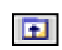
This Guide explains the concept and standard navigation elements that you can use throughout the system. Please refer to the below diagram and description table.

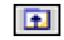
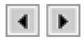


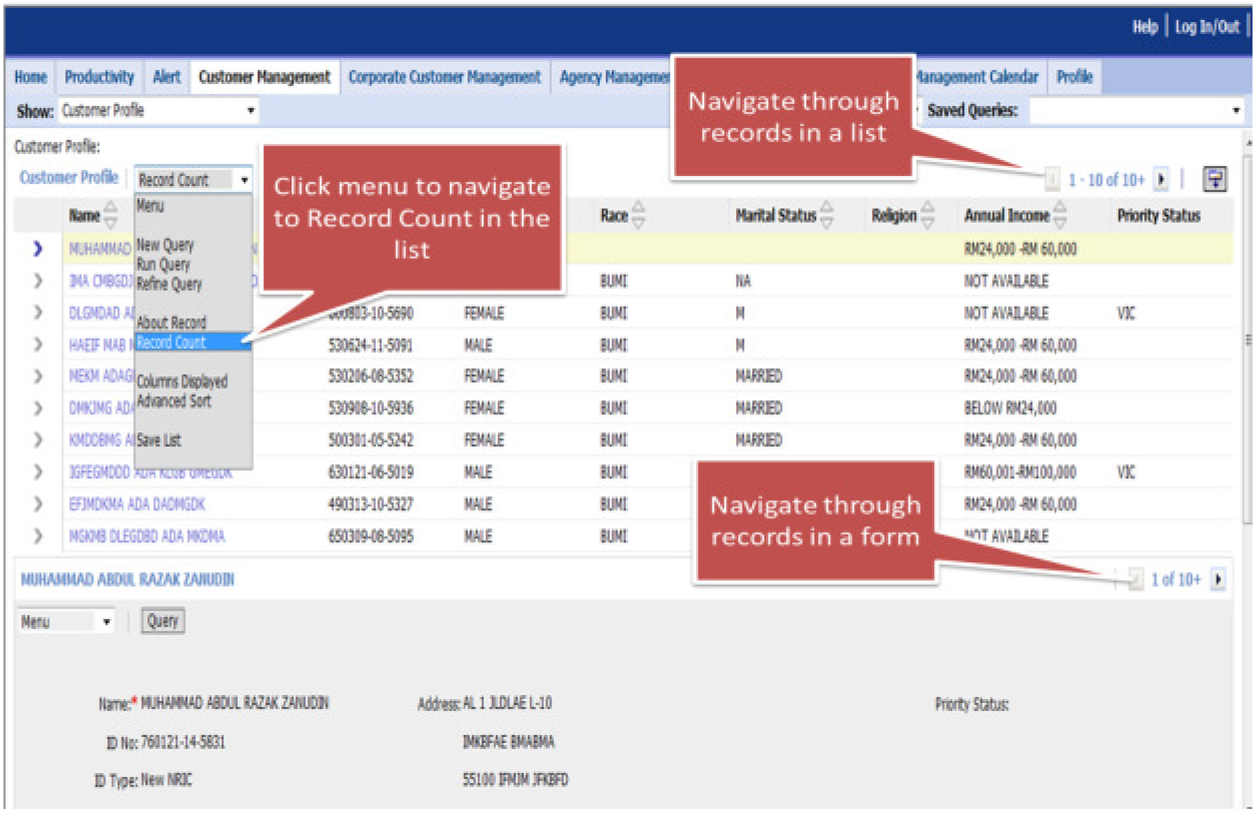
Customer Management Screen



Customer Profile View

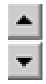
Section	Descriptions
Screen Tab	Screen tabs provide one-click access to screens within ASSIST PRO (E.g. Home, Productivity, Alert, etc.) To access a screen using the screen tabs i. Click the screen tab. ii. The screen appears and the screen tab of the active screen is highlighted If the screen tab you need is not visible (due to the computer screen resolution settings), use the arrow button located at the end right of the screen to navigate accordingly. 
View Tab	To access a view using the view tabs i. Click the screen tab. ii. Locate and drill down on the record for which you want to access a view. iii. Click the view tab. iv. The view appears and the view tab of the active view is highlighted. In the example above, the 'Customer Profile' view is selected. If the view tab you need is not visible, use the drop-down arrow to display and select a view. The drop-down arrow is located at the end of the currently displayed view tabs. 
View -> List Applet	In the view tab (list applet), information is provided in a listing format. A list contains rows of records with column headers. Each record contains multiple fields. To show more rows, click the Show more button at the top of the list.  To return to the shorter version of the list, click the Show less button.  Use the vertical scroll bars to see the previous or next set of records in a list.
View -> Form Applet	In the view tab (list applet), information is provided in a form format. A form contains information about a single record. There are two types of forms: standard and long. Standard form contains all the fields that are required for the record. Long form contains additional fields that are not shown in the standard form. If a long version of a form is available, you can click the Show more button at the top of the form to display the long form. 

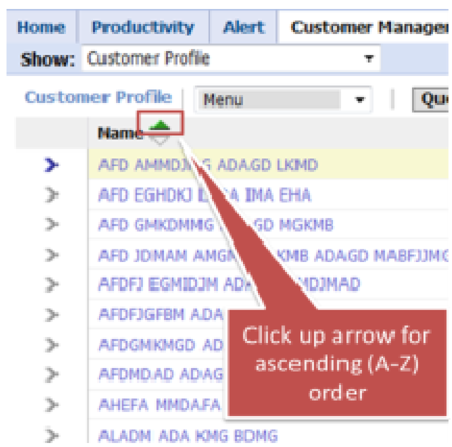
Section	Descriptions
	To return to the shorter version of the form, click the Show less button.  To see the previous or next record, you can use the record navigation buttons. 

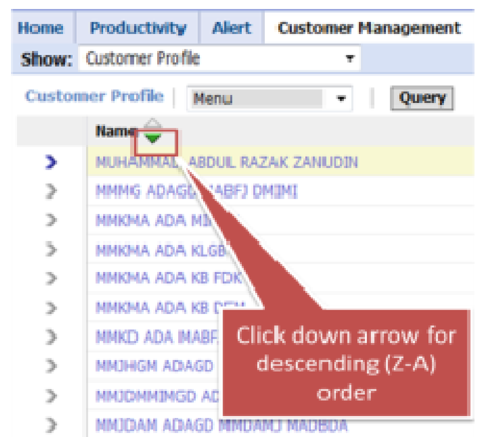


Section	Descriptions
Menu Button Menu	A menu button appears in each form and list in the application window. Click the menu button to access a set of menu options that let you perform actions that apply to the active record in the form or list. Actions may include creating a new record, saving a record or deleting a record, depending on the functions provided.
Record Navigation Buttons	Record navigation buttons appear in list and form. Use the buttons to navigate to the previous or the next record. If there is no previous or next record, the corresponding button is grayed out.
Show More and Show Less Buttons	Show more and show less buttons appear at the top of lists and may appear at the top of forms. **Click** **In a list** / **In a form** (Show more) To show additional rows in the list. / To switch from a form's standard (short) version to its long version. (Show less) To show less rows in the list. / To switch from a form's long version to its standard (short) version.

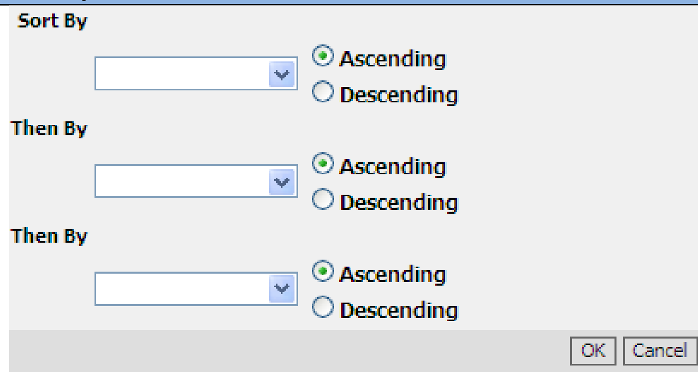
<table>
<tr><th>Section</th><th>Descriptions</th></tr>
<tr><td>Vertical Scroll Bars</td><td>

Use vertical scroll bars to navigate between records in a list.

Click the previous or next button to navigate to the next record or previous record in the list.

Click the previous record set or next record set button to navigate to the next or previous set of records in the list.
</td></tr>
<tr><td>Sorting</td><td>
To perform simple sort (one column only)
i. Click the column header by which you want to sort. The list will be sorted in ascending order.
ii. To sort in descending order, click the column header again.




To perform an advanced sort (multiple columns)
i. In a list, click the <u>menu button</u>, and then click Advanced Sort.
The Sort Order dialog box appears.
ii. From the ‘Sort by’ drop-down list, select the first column sort by.
iii. From the ‘Then by’ drop-down list, select the second column to sort by.
iv. From the second ‘Then by’ drop-down list, select the third column to sort by.
v. Use the Ascending and Descending option buttons to define the sort order for each column you selected for the advanced sort.
vi. Click OK.
The list is sorted by the column in the ‘Sort by’ drop-down list, and then by additional columns in sequence. The sort order arrow appears in the column header of the first column you selected for the advanced sort.
</td></tr>
</table>

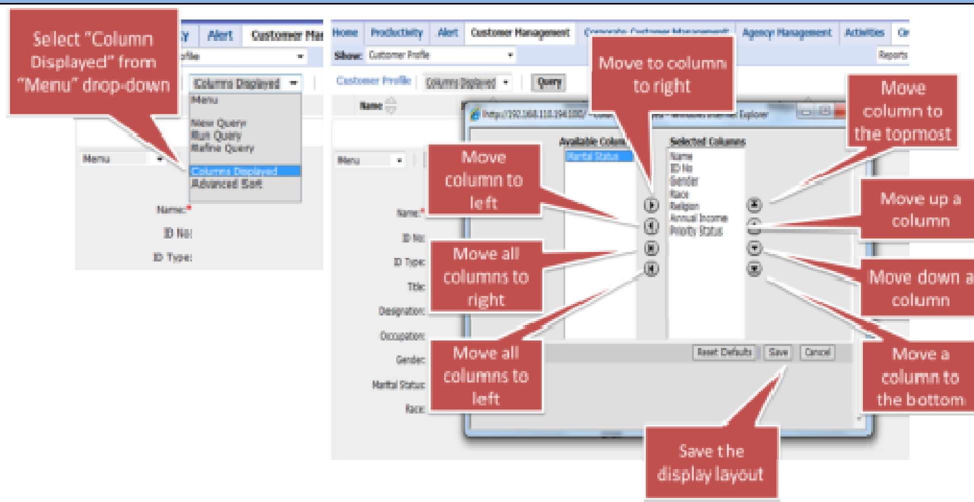
<table>
<tr><th>Section</th><th>Descriptions</th></tr>
<tr><td></td><td>
</td></tr>
<tr><td>Organizing Columns in a List</td><td>To change columns displayed in a list

i. In the list, click the menu button, and then click Columns Displayed.
Note: The Available Columns box contains the names of the columns that are currently hidden in the list. The Selected Columns box contains the names of the columns that are currently shown in the list.

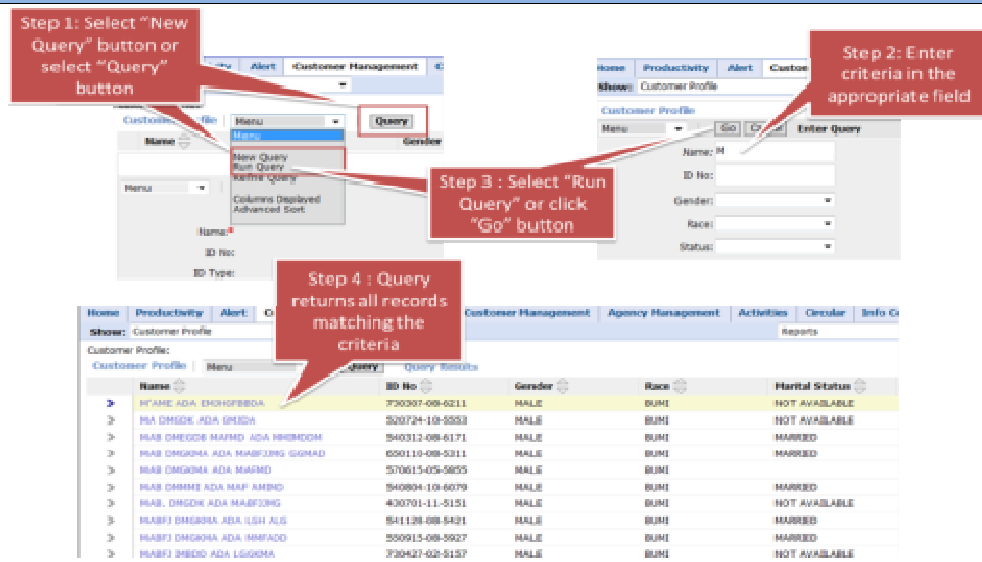
ii. Select one or more column names in the Available Columns box or Selected Columns box and use the following buttons to show or hide the columns.
Click To
 Show the selected columns.
 Hide the selected columns.
 Show all columns.
 Hide all columns.

iii. In the Selected Columns box, select a column name and use the following buttons to reorder the columns.
Click To
 Move the selected column to the top of the list.
 Move the selected column up one position in the list.
 Move the selected column down one position in the list.
 Move the selected column to the bottom of the list.

iv. Click Save.
Note: To change the settings back to the default, click Reset Defaults.</td></tr>
</table>

Section	Descriptions
	
Query Or Refine Query	Queries let you find records that meet certain criteria. The Queries drop-down list lets you retrieve previously saved queries. You can select a query from this list to retrieve all the records that match the criteria defined in the query. **To create a query** i. Make the list or form where you want to query the active list or form in the application window, and then click the <u>Query button</u>. – or – In the list or form where you want to find records, click Query. – or – In the list or form where you want to find records, click the <u>menu button</u>, and then click New Query. If you are creating a query in a list, an empty row appears. If you are creating a query in a form, a blank form appears. ii. Define your query criteria by completing the fields in the row or in the form. **Note:** The system automatically assumes a wildcard exists at the end of your query criteria. This means that if you search for '*Siebe*', the system looks for all words beginning with the letters '*Siebe*'. **To run a query** i. Click Go. – or – Click the <u>menu button</u>, and then click Run Query. ii. If you executed the query in a list, records that match your criteria appear in the list. If you executed the query in a form, the first record that matches your criteria appears in the form

Section	Descriptions



Simple Query Operators and Examples

When you create a query, you use operators or conditions which the application uses to search the database for matching records.

Operator	Example
*	***rang*** finds *arrange*, *arranged*, *orange*, *orangutan*, *range*, *ranges*, *ranging*, *rang*, *strange*, *stranger*, *strangest* and so on. **Notes:** • You cannot use * to find dates.
?	**?rag** finds *brag*, *crag*, and *drag*. **t?pe** finds *type* and *tape*.
<	**<20/06/01** finds all records in which the value of the query field is less than 20 June 2001.
>	**>31/05/01** finds all records in which the value of the query field is greater than 31 May 2001.
<>	**<>20/06/01** finds all records in which the value in the query field is not 20 June 2001. **<>Paris** finds all the records in which the value in the query field is not *Paris*.
<=	**<=500** finds all records in which the value in the query field is less than or equal to *500*.
>=	**>=500** finds all records in which the value in the query field is greater than or equal to *500*.

3. 0 Knowing Your Customer

In ASSIST PRO, customers are categorized into retail customer and corporate customer.

3. 1 Retail Customer

Retail customers' information is made available under the Customer Management Screen

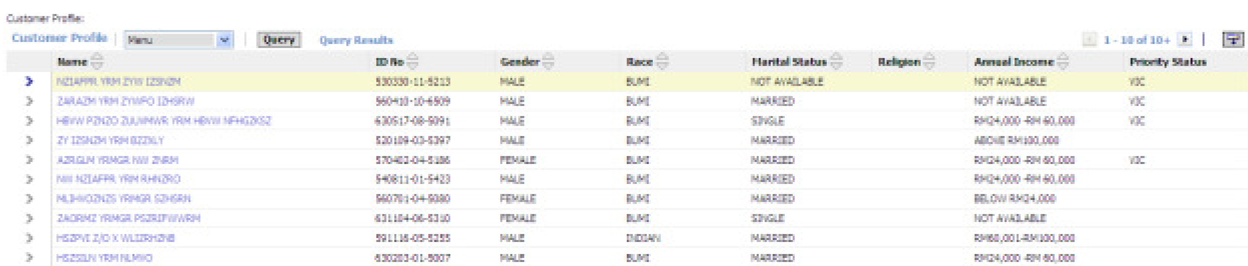
A total of six views are available under this screen i.e.

1. Customer Profile
2. Customer Products
3. Customer Ledger
4. Performing e-Switch
5. KWSP Eligibility Check
6. Update customer contact detail

3.1.1 Customer Profile

This view provides a snapshot of the customer demographics such as gender, race, marital status, annual income and etc of all the customers serviced by you.

Both list and form view is available as below. Form view contains more information such as KWSP number, other ID No, spouse name, religion, annual income and others.

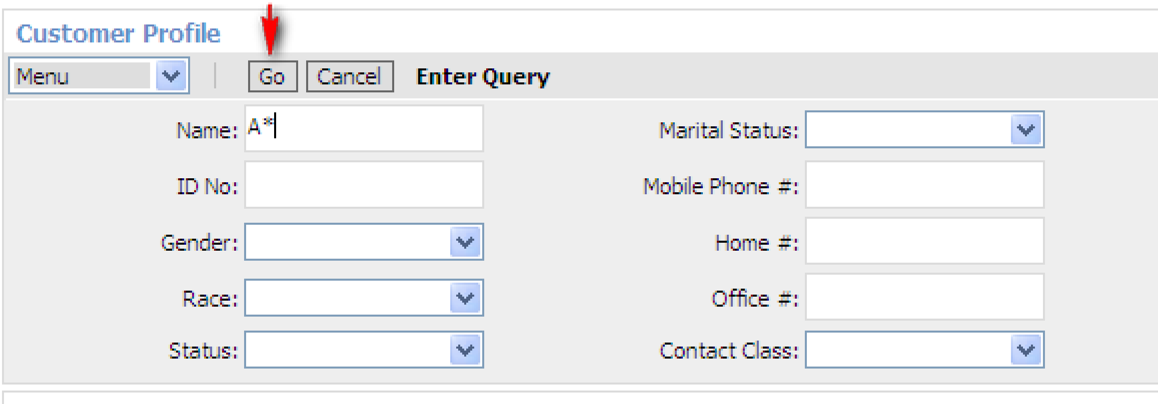


List View

Form View

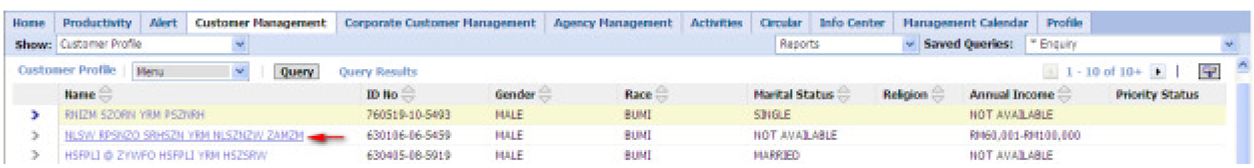
To search a particular customer, please refer to the basic navigation guidelines under the Query section.

The fields searchable under the 'Query' function are name, ID No, gender, race, status, marital status, mobile phone #, home #, office # and contact class.



Upon any successful matching based on your search criteria, results will be displayed in the list view. The form view will show the relevant details based on the selected record in the list view.

When you click the customer name, it will redirect you to Customer Product View which displays the customer asset.



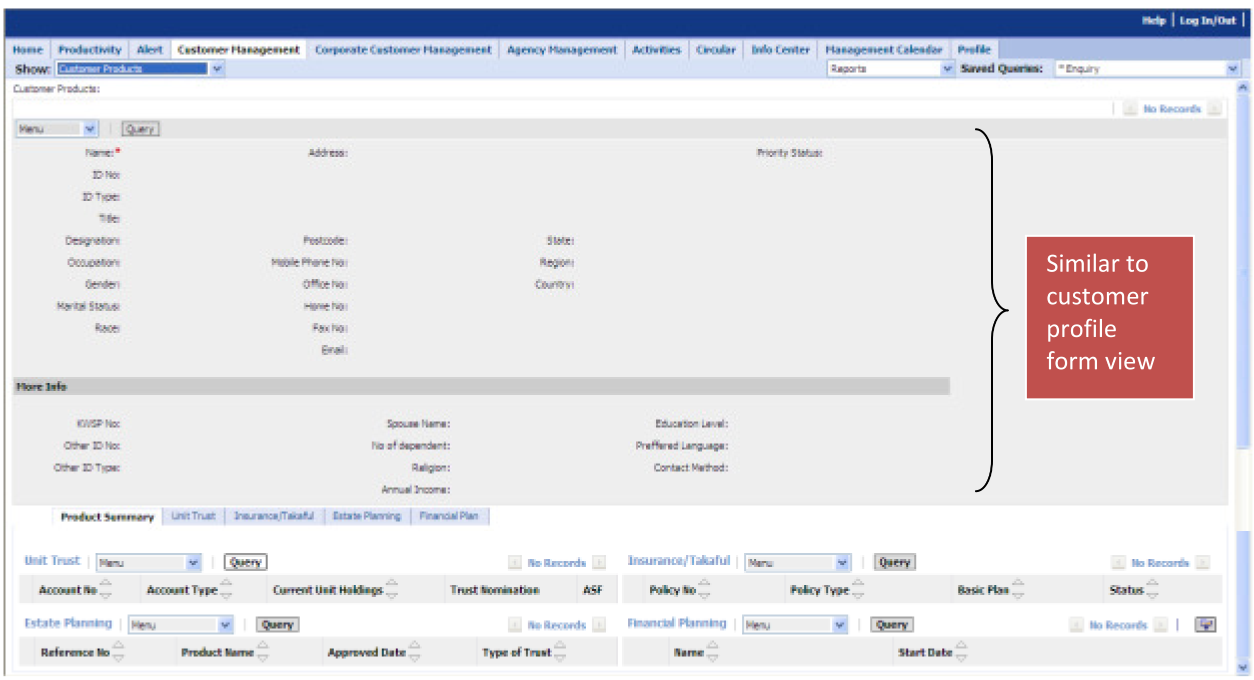
3.1.2 Customer Products

This view summarizes the products purchased by your customers i.e. unit trust, insurance, trust nominations, wills & trust and financial plan under its respective product category.

No	Section	Descriptions
i.	Product Summary	Display all the customer products under respective category.
ii.	Unit Trust	Display customer unit trust account and investment details.
iii.	Insurance/Takaful	Display customer insurance policy details.
iv.	Estate Planning	Display customer trust nominations, conventional will and wasiat details.
v.	Financial Plan	Display customer financial plan details.

The upper section shows the customer profile details.
To search a particular customer, please refer to the basic navigation guidelines under the Query section.

Upon any successful matching based on your search criteria, the customer details will be displayed accordingly with his/her product details tabulated in its respective section.

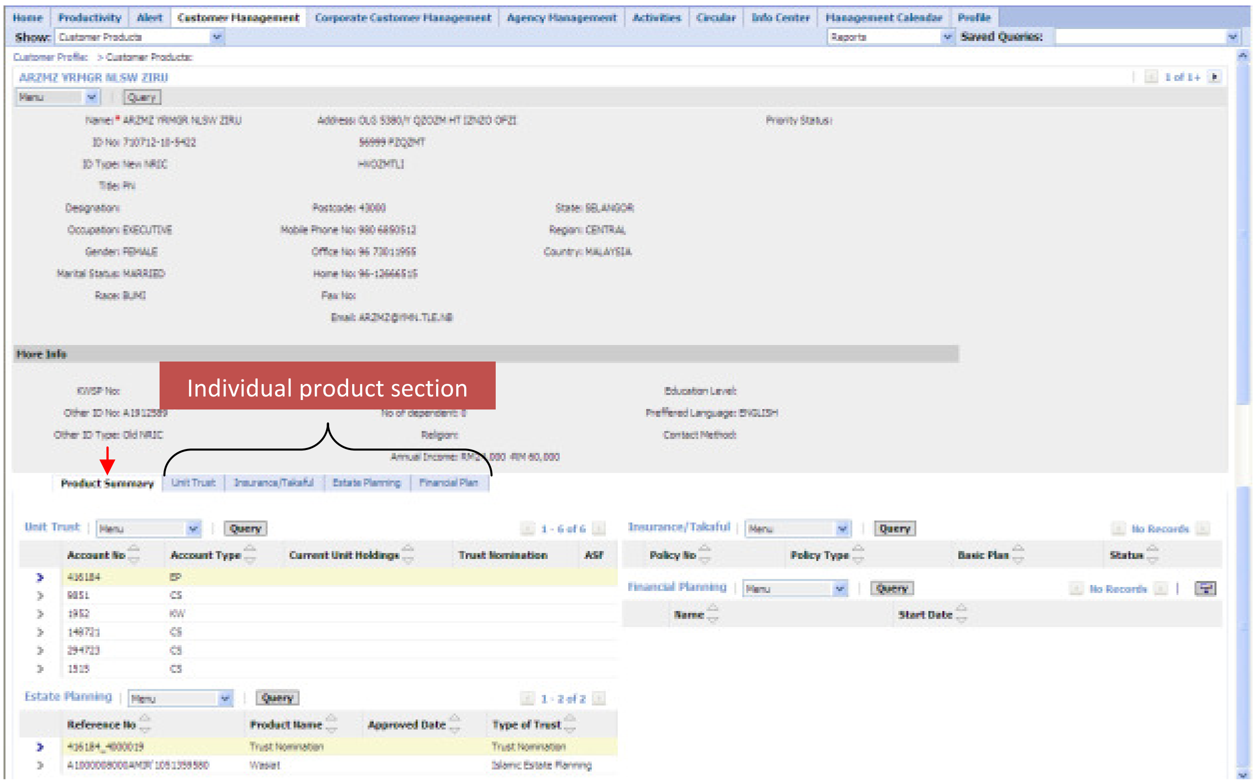


Customer Products View

i. Product Summary

This section shows all products owned by the customer under four product categories i.e. Unit Trust, Estate Planning, Insurance/Takaful and Financial Planning. Minimum information is provided under the product summary view.

To view more details of the individual product category owned by the customer, you will need to click the respective section as shown below.

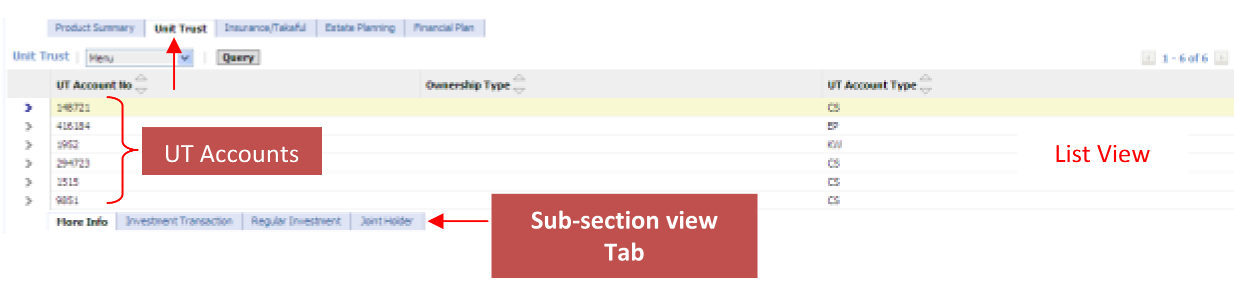


Customer with two product categories

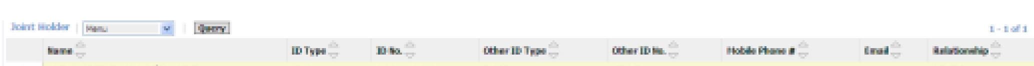
ii. Unit Trust

This section provides more details about the unit trust investments owned by the customer in terms of unit trust account details, investment holdings, regular investment and joint holder details.

All unit trust account under the customer will be displayed in the list view below.



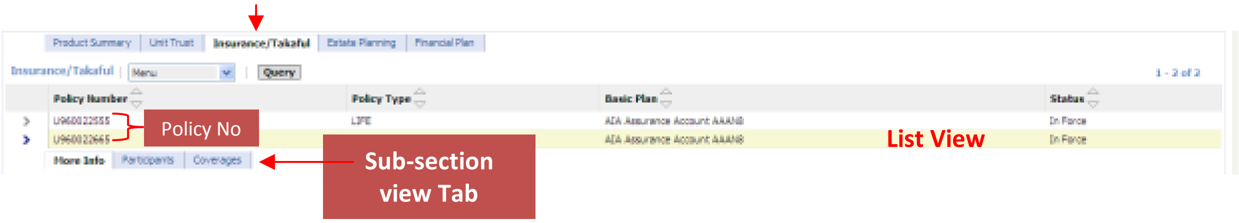
The selected unit trust account details will be displayed in each sub-section view below.
You can navigate each sub-section by clicking its tab.

Sub-section	Description
More Info	Displays the unit trust account details such as account type, date account is opened, first investment date, total investment, total redemption, total income distribution reinvested, main telephone, office telephone, email address, permanent address and correspondence address. 
Investment Transaction	Displays all unit trust funds that the customer has invested. There are two list views i.e. investment holding and investment transaction. • Investment holding shows the fund name and overall summary of the customer holdings under the fund selected. • Investment transactions show the details of the transactions made within the fund. 
Regular Investment	Displays regular investment details that the customer has enrolled i.e. regular investment amount, next billing date and status. 
Joint Holder	Displays the joint holder details of the unit trust account, if applicable. 

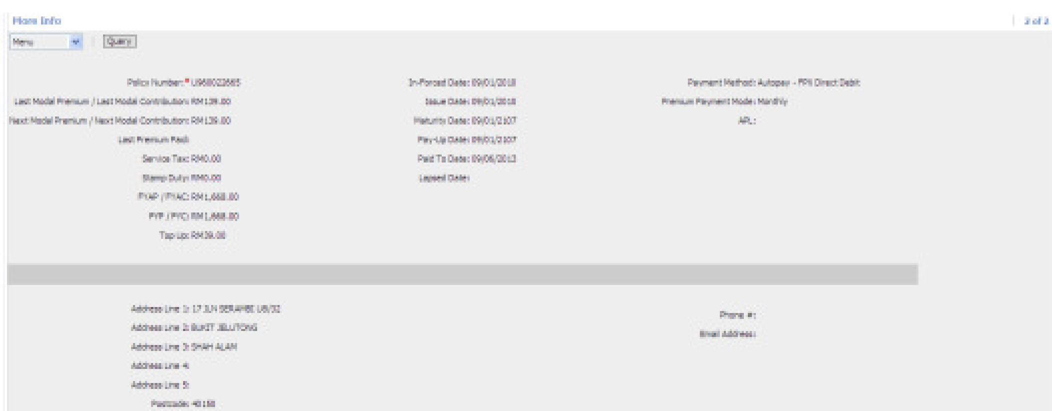
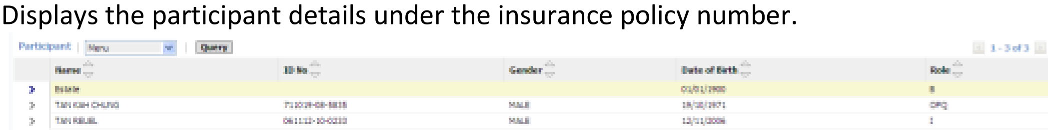
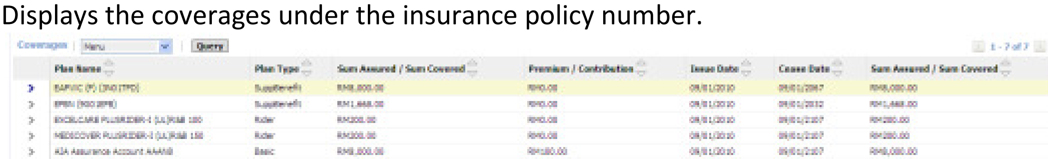
iii. Insurance/Takaful

This section provides details about the insurance policy owned by the customer such as policy number, policy type and status.
VIP insurance policy details are not available at the moment (please refer to AIA Direct).

All insurance policies under the customer will be displayed in the list view below.



The selected insurance policy details will be displayed in each sub-section view below.
You can navigate each sub-section by clicking its tab.

Sub-section	Description
More Info	Displays insurance policy details such as policy number, last modal premium, next modal premium, FYAP, FYP, top up premium, in-forced date, payment method, premium payment mode, address, phone # and email address. 
Participants	Displays the participant details under the insurance policy number. 
Coverages	Displays the coverages under the insurance policy number. 

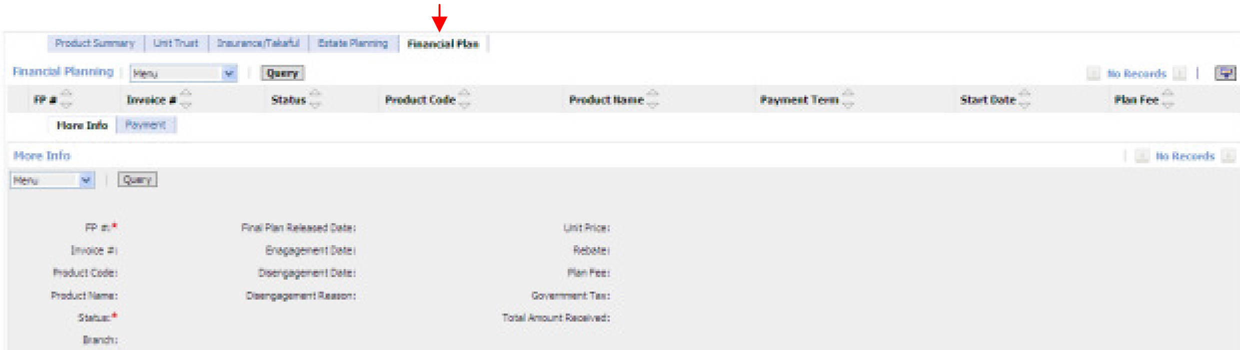
iv. Estate Planning

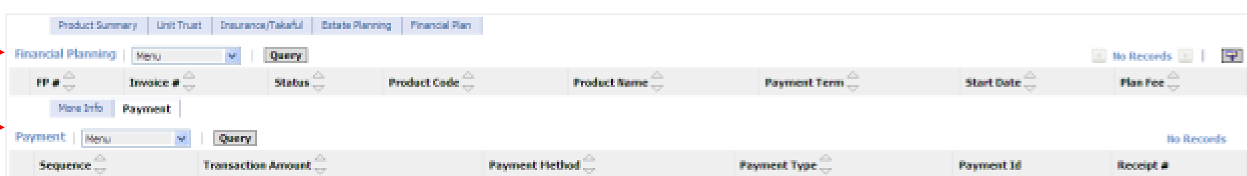
This section provides details about estate planning related products i.e. trust nominations, conventional wills and 'wasiat' owned by the customer such as product name, status, approved date, type of trust and plan name.

All estate planning products under the customer will be displayed in the list view below.

v. Financial Plan

This section provides details about financial plan owned by the customer.
Not available at the moment.



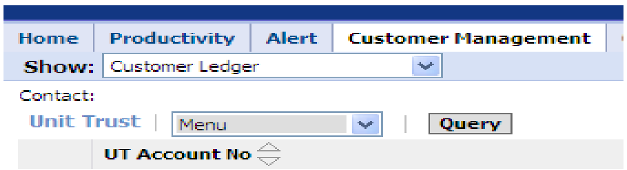


3.1.3 Customer Ledger

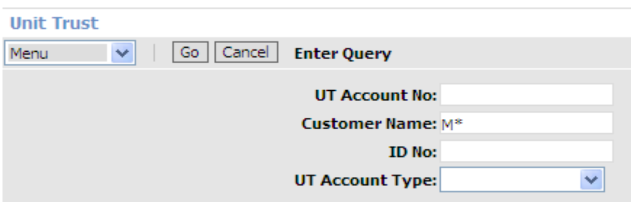
This function enables you to view and print the unit holder ledger of your customer.

To view and print the ledger, follow the steps below:

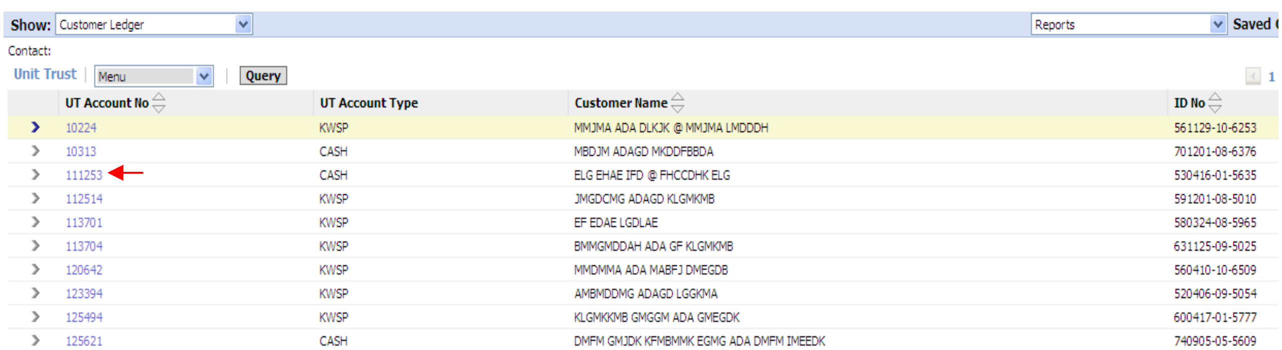
1) Select Customer Ledger, under the Customer Management screen.



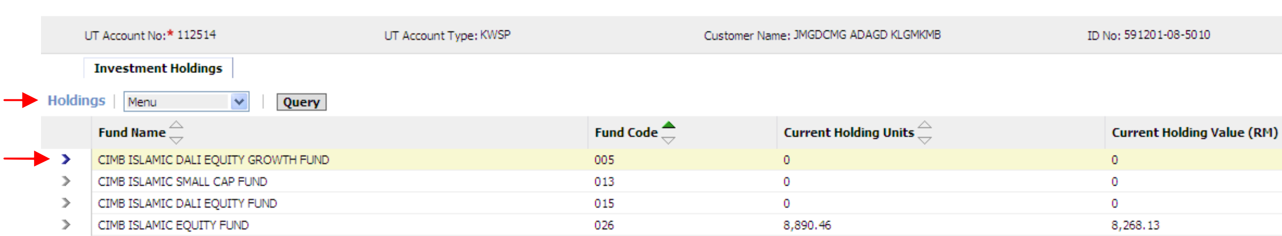
2) Click the Query button and enter the search criteria in any of the field below in order to search your customer.



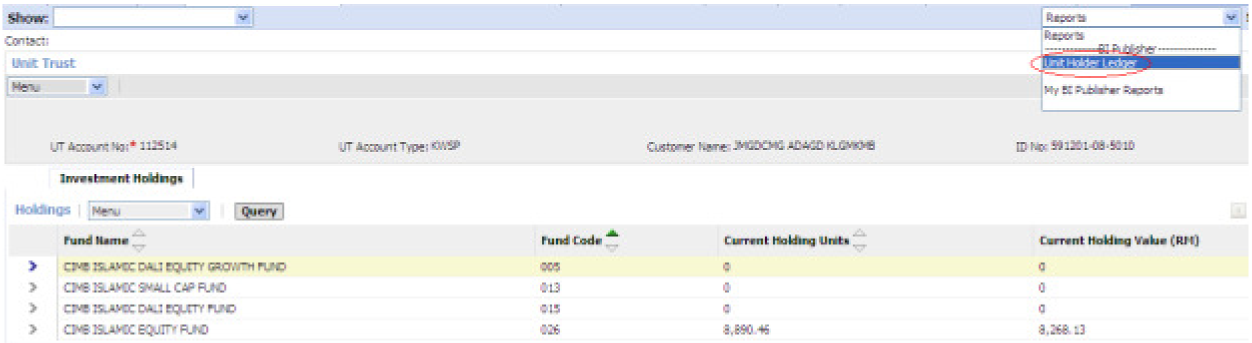
After you click the Go button, customers that match your criteria will be displayed in the list view below.



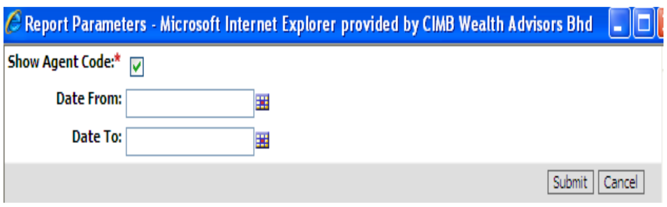
3) Click the 'account no.' and the view below will be displayed. Move the cursor to select the fund under the 'Holdings' view.



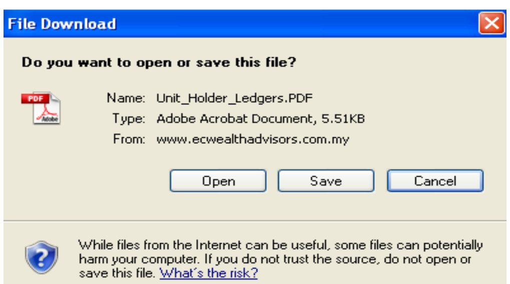
4) After selecting the fund, select Unit Holder Ledger under the Report menu (on top right).



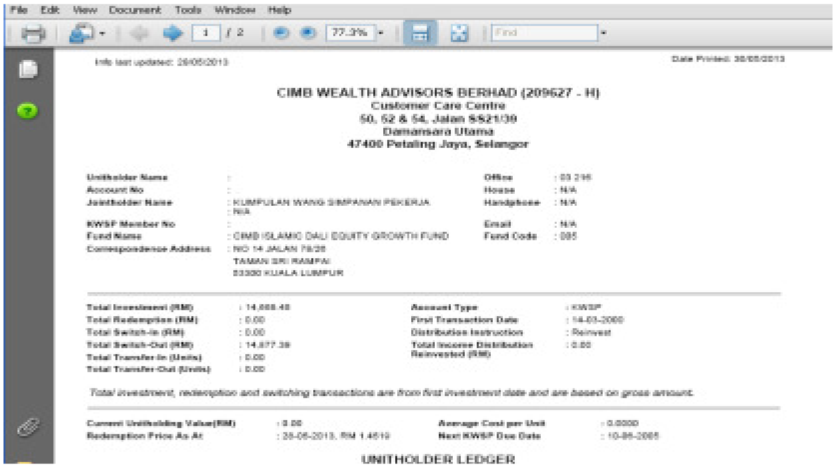
5) System will prompt you a selection. Un-check 'Show Agent Code' if you do not want to display the agent code in the ledger. Enter the date range. Click Submit.



6) Select Open to view the ledger. Or click 'Save' to save the file in your computer.



7) If you have selected the option to Open the ledger file, system will then display the ledger. You can print the document by using the standard print function.



Info last updated: 29/05/2013

Date Printed: 30/05/2013

CIMB WEALTH ADVISORS BERHAD (209627 - H)
Customer Care Centre
50, 52 & 54, Jalan SS21/39
Damansara Utama
47400 Petaling Jaya, Selangor

Unitholder Name	:	Office	: 03 2…
Account No	:	House	: N/A
Jointholder Name	: KUMPULAN WANG SIMPANAN PEKERJA : N/A	Handphone	: N/A
KWSP Member No	:	Email	: N/A
Fund Name	: CIMB ISLAMIC DALI EQUITY GROWTH FUND	Fund Code	: 085
Correspondence Address	: NO 14 JALAN 7B/28 TAMAN SRI RAMPAI 53300 KUALA LUMPUR		

Total Investment (RM)	: 14,888.48	Account Type	: KWSP
Total Redemption (RM)	: 0.00	First Transaction Date	: 14-03-2000
Total Switch-In (RM)	: 0.00	Distribution Instruction	: Reinvest
Total Switch-Out (RM)	: 14,877.39	Total Income Distribution Reinvested (RM)	: 0.00
Total Transfer-In (Units)	: 0.00		
Total Transfer-Out (Units)	: 0.00		

Total investment, redemption and switching transactions are from first investment date and are based on gross amount.

Current Unitholding Value(RM)	: 0.00	Average Cost per Unit	: 0.0000
Redemption Price As At	: 28-05-2013, RM 1.4619	Next KWSP Due Date	: 10-05-2005

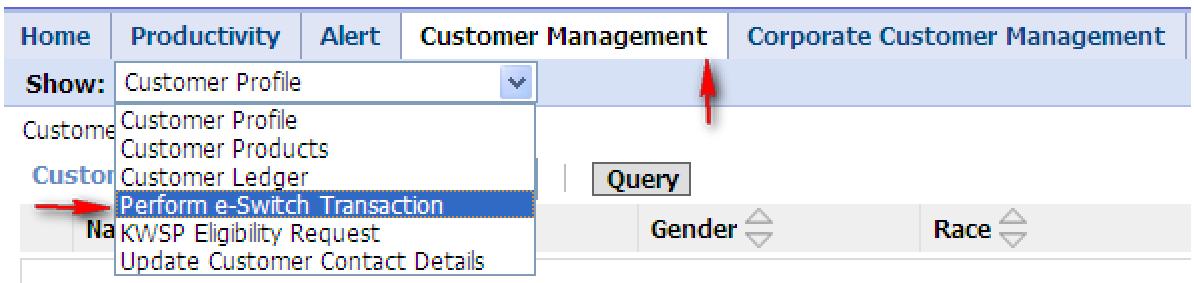
UNITHOLDER LEDGER

8) Should you need to print unit holder ledger for other funds, repeat from step 3 onwards.

3.1.4 Perform e-Switch Transaction

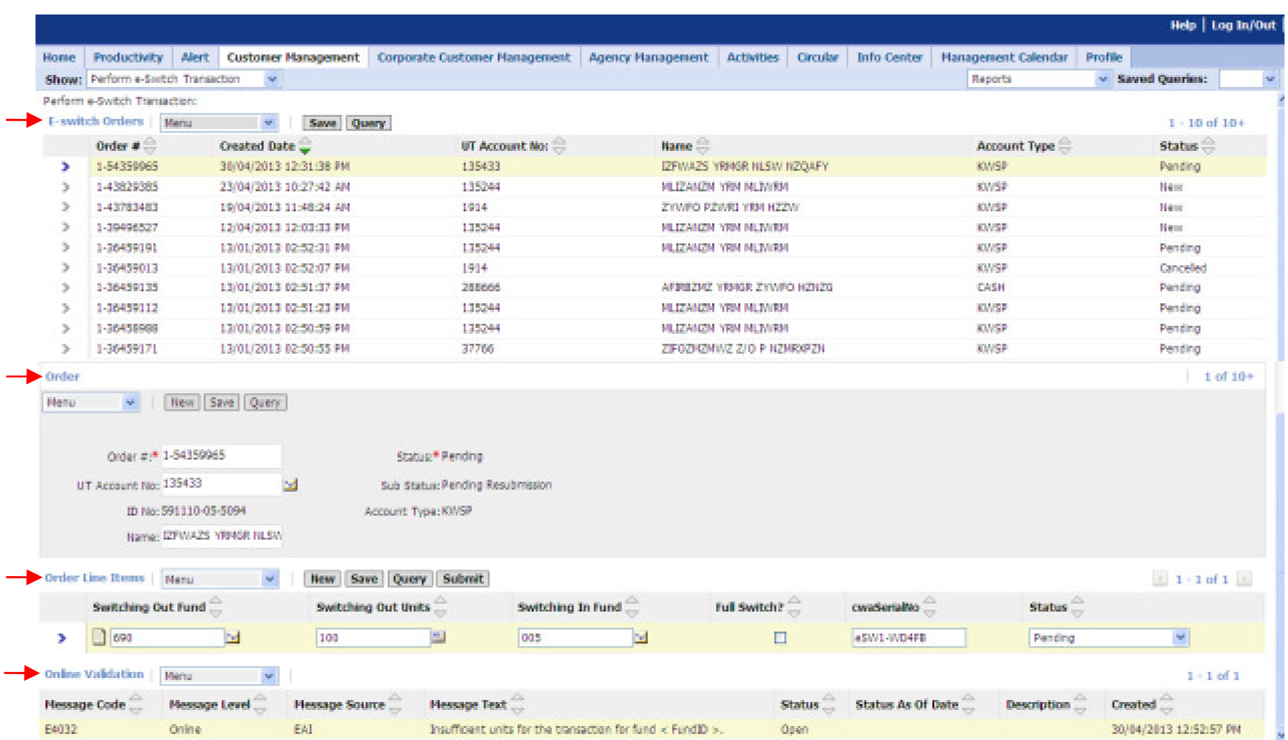
e-Switch submission is allowed for retail customers only.

To go to the e-switch function, click ‘Customer Management’ screen tab and select ‘Perform e-Switch Transaction’ under the drop-down list from the top left corner.

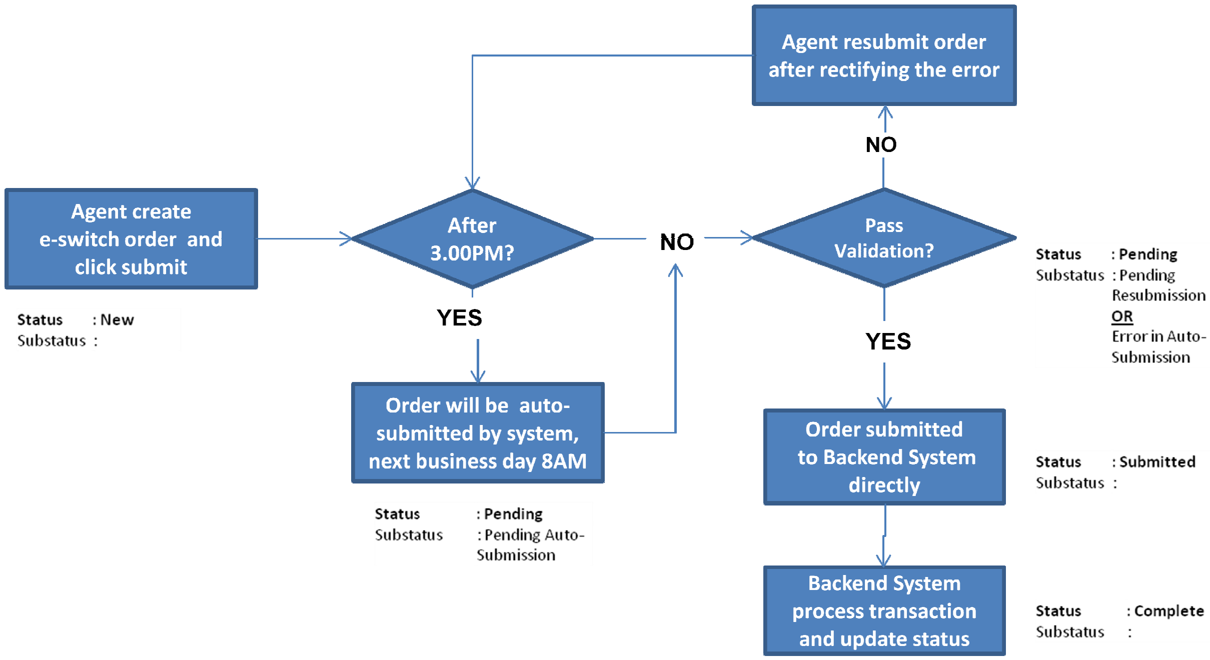


Under the Perform e-switch transaction view, you will see the following details i.e.

Section	Descriptions
E-switch Orders	Display the e-switch orders created in list view
Order	Display the e-switch orders created in form view
Order Line Items	Display the switching fund details that correspond to the order selected
Online Validation	Display error returned from unit trust backend system (if any) upon the ‘submit’ button is clicked. Transaction will not get submitted if the error is not rectified.

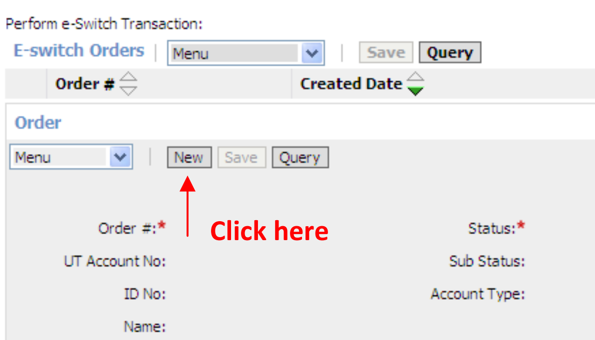


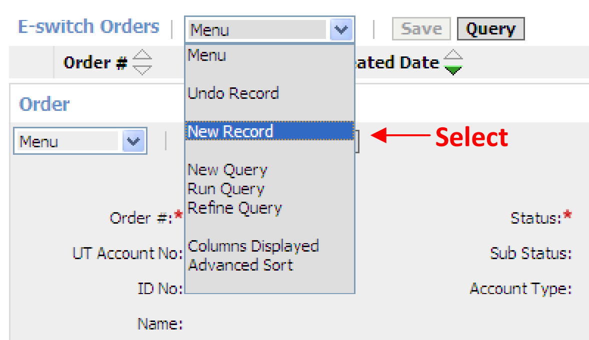
e-Switch submission is termed as order in ASSIST PRO.
The overall workflow is illustrated in the diagram below



e-Switch workflow

1) To create a new order, click the 'New' button OR go to menu and select 'New record'.

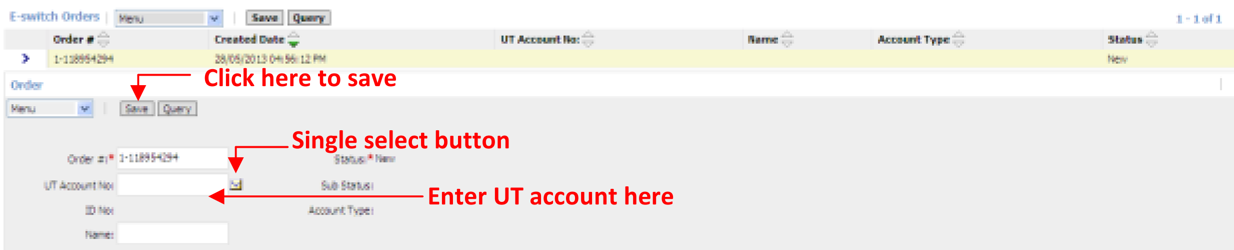




Once you have created a new order, an order number will be assigned automatically by the system in the 'Order #' field as shown below.
NOTE: If you decide to abort the order at this point of time, select 'Undo Record' from the Menu drop-down list.

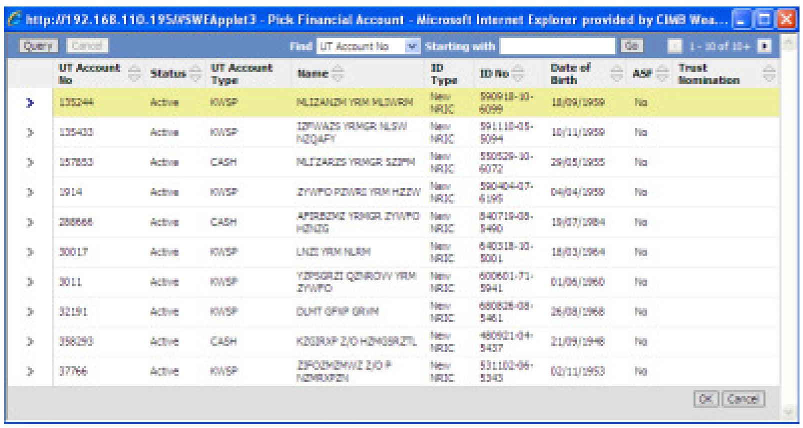
In the Order Form view, you will see the same record details being populated.

2) To proceed, enter the unit trust account number in the 'UT Account No' field. Click 'Tab' button on your keyboard.
The customer name and ID No will be auto-populated by the system.
Click the 'Save' button.



If you cannot remember the UT account number, click the Single select button and perform ‘Query’ to search the customer account as shown below. Only UT account that can perform e-switch will be populated in the dialog box. Click ‘OK’ once you have found your customer.

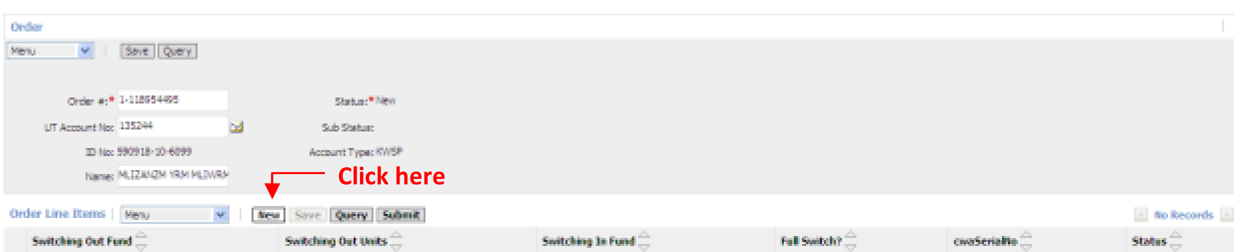
NOTE: Please ensure that the customer name and ID No. is populated before proceeding to the next step.



Only UT Account that can perform e-Switch will be displayed under the single select button

3) After you have selected the UT Account No, you will need to create the fund under the ‘Order Line Items’ view. All line item records created here will correspond to the same Order# earlier.

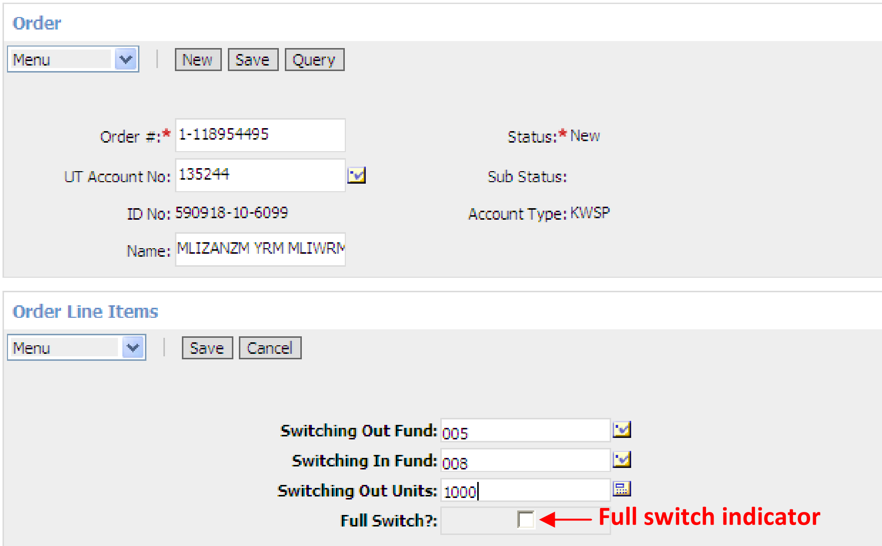
To create an e-switching transaction line item, click the ‘New’ button as shown below OR select ‘New record’ under the Menu drop-down list.



The Order Line Items will display a form view for you to enter the necessary details such as Switching Out Fund, Switching In Fund, Switching Out Units and Full Switch? indicator as shown below.

Note: Do not key in any switching out units amount if you want to perform full switching. Please ensure the ‘Full Switch?’ indicator is checked.

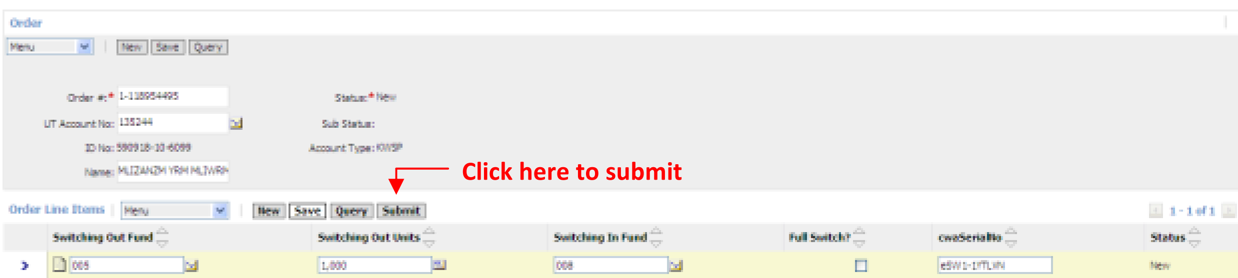
4) Click the 'Save' button once you have confirm and completed the details.



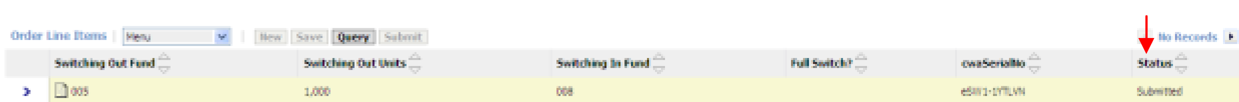
Once the record is saved, it will be displayed in the Order Line Items list view as shown below. Each line item will be assigned a serial number by the system automatically.

NOTE: **DO NOT** amend or change the serial number populated in the 'cwaSerialNo' field.

5) To create additional switching transaction or line item, repeat step 3.
6) To submit your e-switch order, click the 'Submit' button in the Order Line Items view.

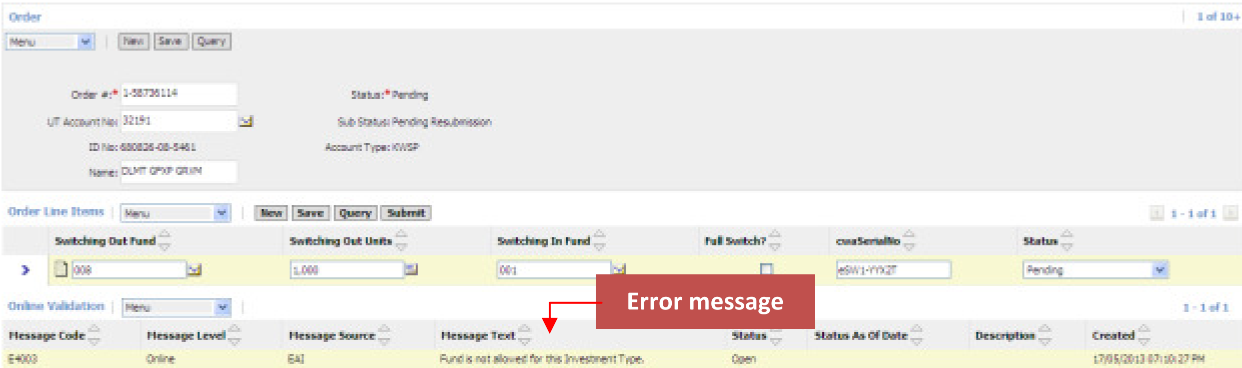


When you have successfully submitted the order, the transaction can no longer be amended and the 'Status' field in the list view will show 'Submitted'. This applies to order submitted before the cut-off time at 3.00PM only.

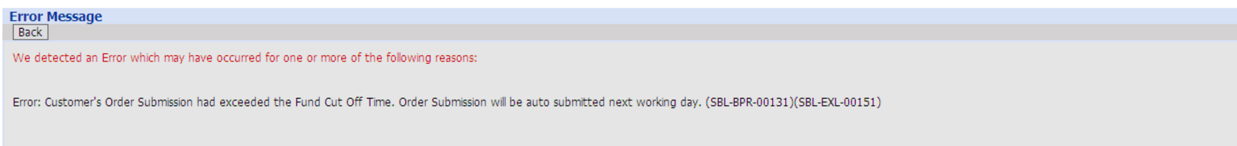


If the e-switching transaction did not fulfill any validation rules upon clicking the 'Submit' button, an error message will be returned and displayed in the 'Online Validation' view as shown below.

Each error message corresponds to the record selected at the Order Line Items and you will need to rectify them accordingly before you can click the 'Submit' button again.



7) If you submit any order after the cut-off time 3.00PM, an error message will displayed as below. Click the ‘Back’ button to return to the ‘Order Line Items’ view.



You will notice the line items (Status=‘Pending’) and the E-Switch Order (Status=‘Pending’, Sub-status: ‘Auto Submission’). At this point, the e-switch submission is not yet submitted and the system will automatically submits for you the next day if the transaction passed all validations.

For full details of the e-switch order and order line items status, please refer to the table ‘Understanding the E-Switch Orders Status’ and ‘Understanding the E-Switch Line Item Status’.

Understanding the E-Switch Orders Status

Status	Sub-status	Remarks
New		E-switch order is created but not submitted.
Submitted		E-switch order is submitted when all line items pass the switching requirements and before cut-off time of business day.
Complete		E-switch order is processed and complete
Pending	Pending Resubmission	Upon click 'Submit' button, one of the line items did not meet the switching requirements. Please refer to the line items status and online validation message to rectify the error. Once rectified, please click the 'Submit' button again
Pending	Auto Submission	Upon click 'Submit' button, the system detected the cut-off time has passed 3.00PM. The line items will be submitted on the next business day by the system automatically.
Pending	Error in Auto Submission	This applies to order that has been created after the submission cut-off time, 3.00PM. The line items have been submitted automatically on the next business day BUT one of the line items did not meet the switching requirements. An error message will be shown in the Online Validation screen which requires your action. Please click the 'Submit' button again once you have rectified the error.

Understanding the E-Switch Line Item Status

Status	Remarks
New	E-switch line item order is created but not submitted.
Pending	E-switch order did not meet switching criteria and not submitted, upon clicking the 'Submit' button.
Submitted	E-switch line item order met all criteria and is submitted.
Confirmed	Submitted e-Switch line order items have been processed and complete.

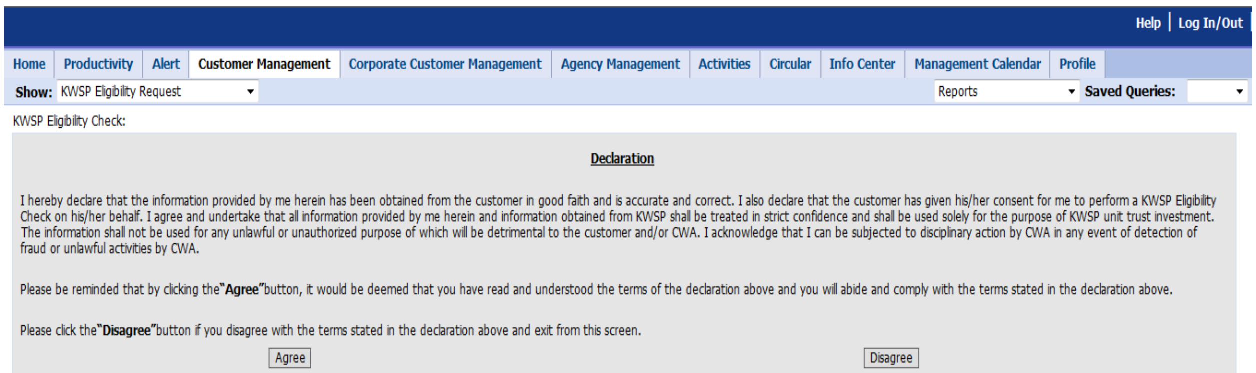
3.1.5 KWSP Eligibility Check

With this function, you are able to perform eligibility check on the customer's KWSP withdrawal prior to submission of the physical documents at the counter.
The objective of this eligibility check is to assist you in minimizing the common rejections from KWSP such as invested with other IPDs, invested less than 3 months, insufficient amount, etc.

There are two ways for you to access the KWSP Eligibility Check function in ASSIST PRO as below:-

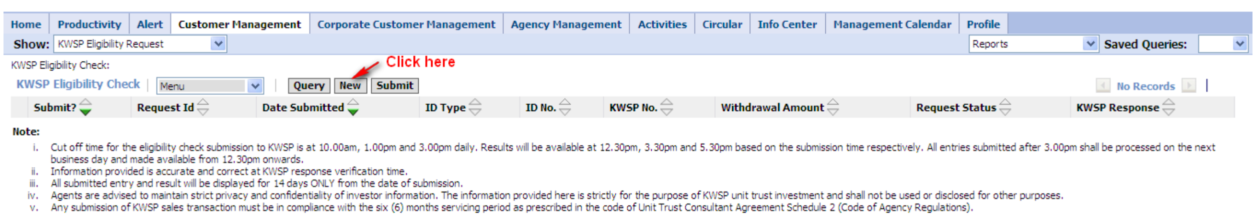
- Home page -> KWSP Eligibility Check
- Customer Management -> KWSP Eligibility Request

Once you click on either of the links above, a declaration page will be shown before you can proceed.
Read the declaration carefully and click 'Agree' or 'Disagree' button accordingly.
If you click the 'Disagree' button, you will be redirected to 'Home' screen.

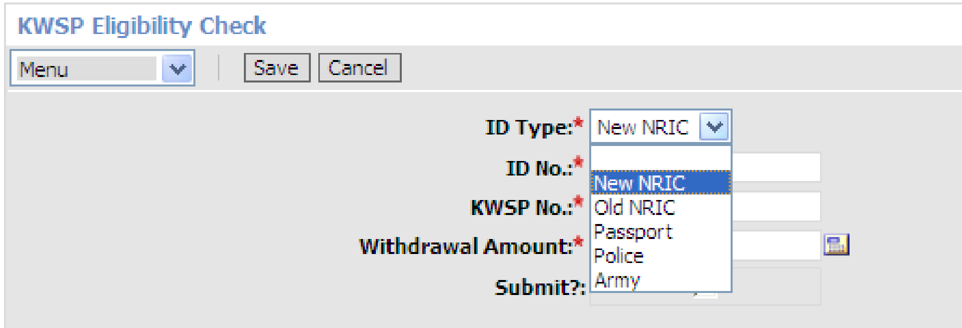


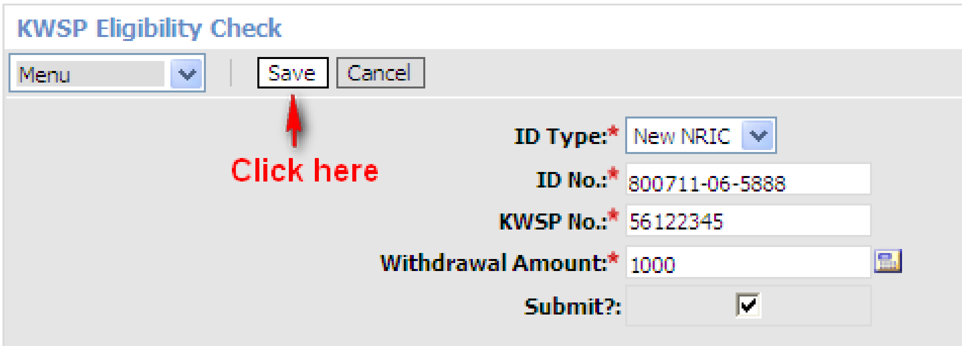
When you click the 'Agree' button, the view below will be displayed.

1) To create a new request, click the 'New' button.

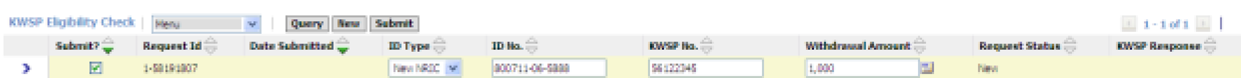


Once you click the 'New' button, the below screen will be shown for input.
You will need to complete all the mandatory fields marked * i.e. ID Type, ID No, KWSP No and Withdrawal Amount. You can select only one ID Type from the available drop-down list.
Please check the 'Submit?' box and click the 'Save' button.

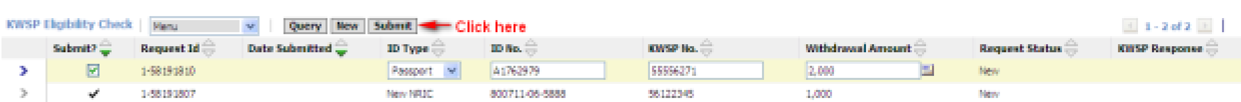




Your request has been created and saved in the list below.
To create additional records, click the 'New' button and repeat the steps again.

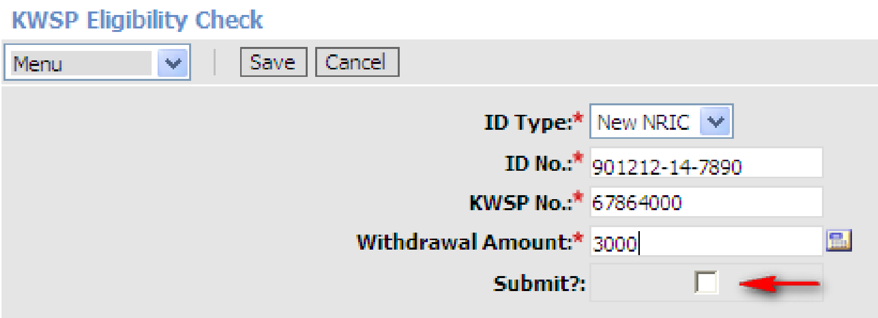


2) To submit the request, click the 'Submit' button. Only request where the Submit? box is checked will be submitted.

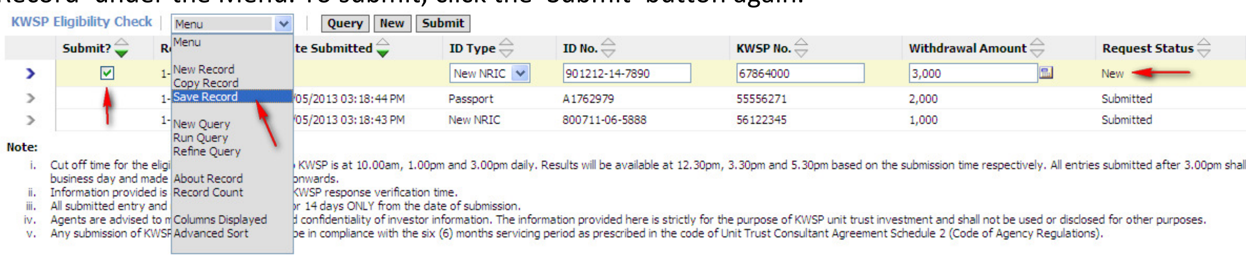


Once you click the 'Submit' button and pass all validations, the date submitted will be reflected and the Request Status will be shown as Submitted.

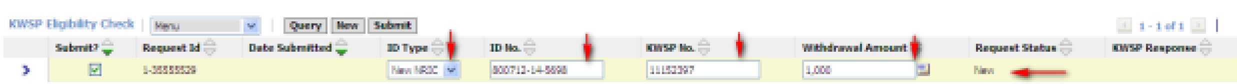
3) If you would like to create requests and submit at a later stage, please DO NOT check the 'Submit?' button during creation.



To check the 'Submit?' button for requests that you want to submit, check the box and select 'Save Record' under the Menu. To submit, click the 'Submit' button again.



You can edit the request details if the Request Status = New.
To edit the request details, select the row that you want to change.
The editable fields will turn into white color rectangular box i.e. ID Type, ID No, KWSP No and Withdrawal Amount.
Once you have changed the details, select 'Save Record' under the Menu.



In KWSP Eligibility Check, the submission and response is on batch basis as explained under the **Note** at the bottom of the list view. Only one unique customer is allowed to be submitted in a batch.

Understanding the 'Request Status' and KWSP Response

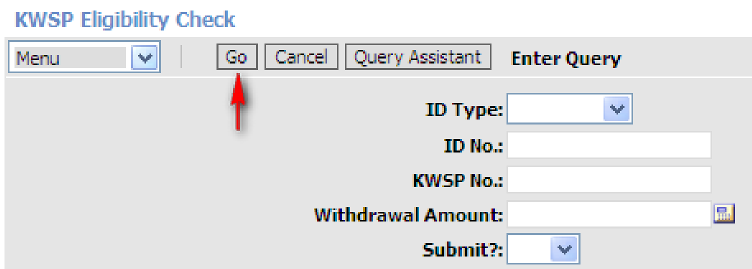
Request Status	KWSP Response	Remarks
New		Request is created as draft and waiting to submit. Record is editable at this stage.
Submitted		Request is submitted into the system and pending for batch job to run. The date submitted is recorded in the system. Note: The batch job will not run on weekends and Selangor public holidays.
Submitted	Pending Response	The respective batch job has completed and request has been sent to KWSP for processing.
Submitted	Eligible **OR** <Rejection Reason>	The response from KWSP is returned and reflected either as Eligible or Rejected with any one of the common rejections reasons below: • Insufficient fund • Invalid minimum withdrawal amount • Last withdrawal less than 3 months • Member exceeded 55 years • Invalid ID Type • Invalid ID number • Invalid member number
Failed		The request did not pass system validations upon submit i.e. • Customer is under 6 months KWSP investment servicing period of other agents • Customer is less than 18 years old based on new NRIC • Customer is deceased based on CWA records
Failed	No Response	A transmission error occurred between KWSP system and ASSIST PRO where no results are available. Please create a new request for the customer and resubmit again.

<u>How to Retrieve or Query KWSP Eligibility Check Request</u>

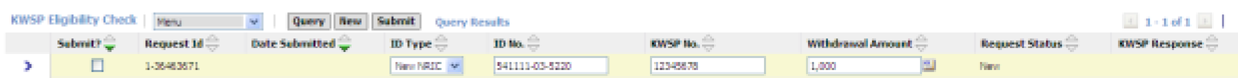
All submitted entry and result will be displayed for 14 calendar days ONLY from the date submitted.

To query, click on the 'Query' button.

The screen will be shown and you may enter your criteria in any of the search criteria below i.e. ID Type, ID No, KWSP No, Withdrawal Amount and Submit?.
Click 'Go' once you have input your search criteria.



Results will be displayed in the list view if any matching request is found.



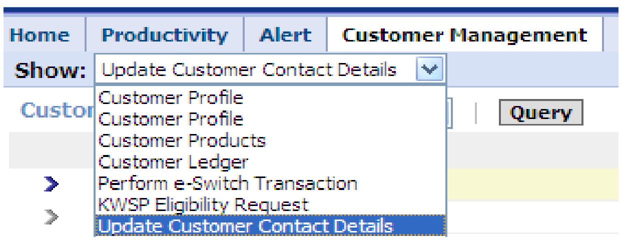
3.1.6 Update Customer Contact Details

This function allows you to submit the request update your customer contact information such as correspondence address, contact numbers and e-mail address.

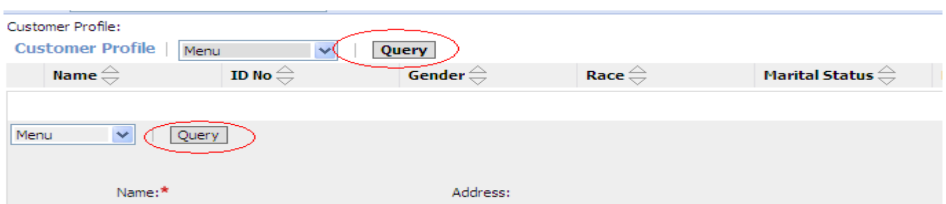
Please take not that this function will not update the customer contact details into the system directly. The request submitted by you will be routed to Customer Service Department (CSD), CWA for verification purpose with customer. Once verification is done, the information will be updated into the system.

Follow the steps below to update customer contact details.

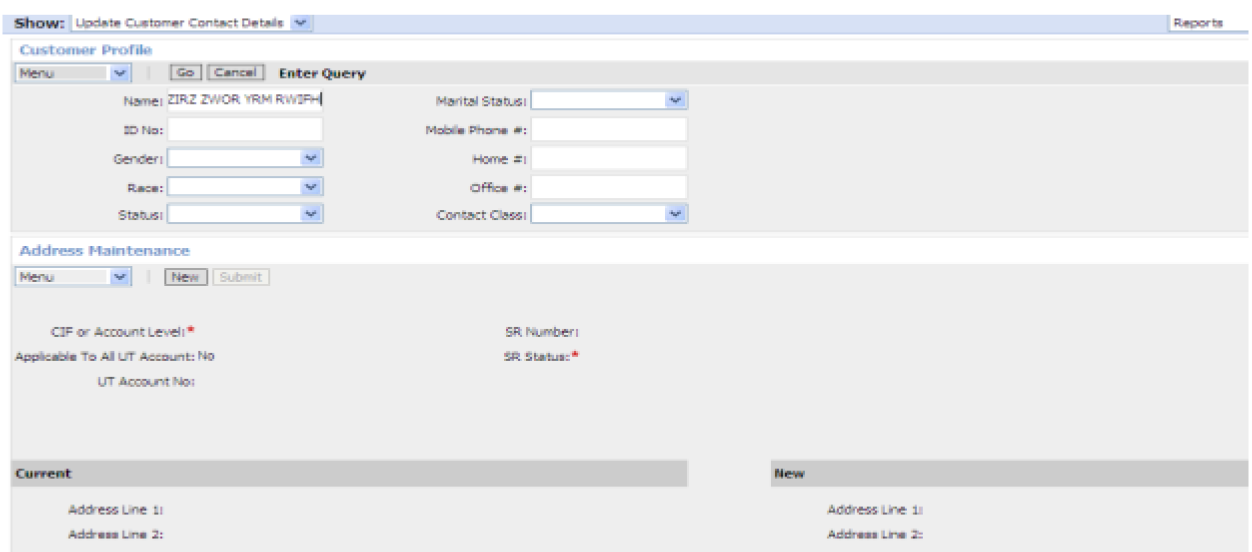
1) Select Update Customer Contact Details under drop down menu.



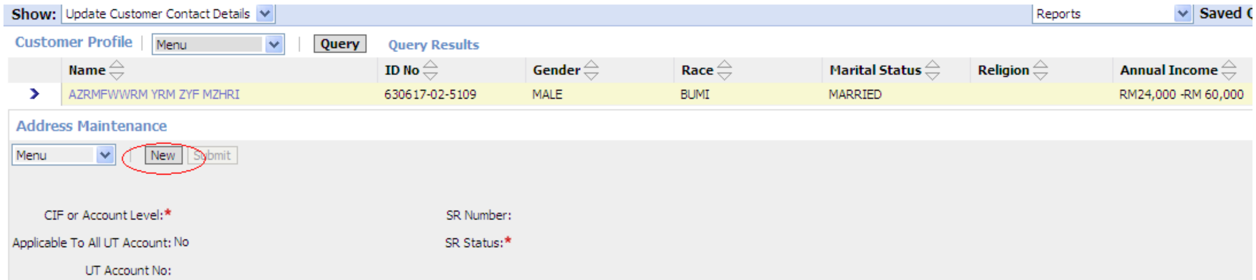
2) System will display the Update Customer Contact Details view. Perform the Query function to search your customer.



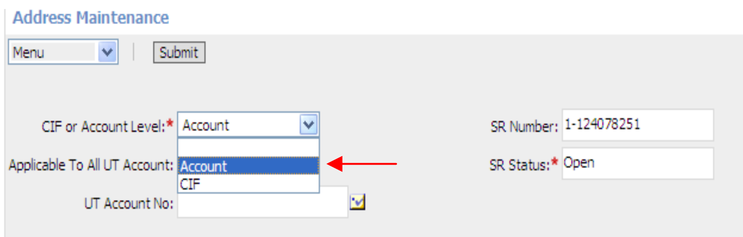
3) Key in your search criteria in any of the fields available and click the 'Go' button.



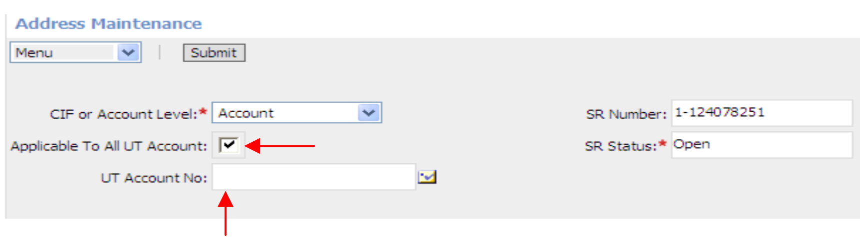
3) System will then display your customer information. Click the New button under Address Maintenance screen.



4) You will need to decide whether to update the contact information at CIF (Customer Information File) level or Account level.



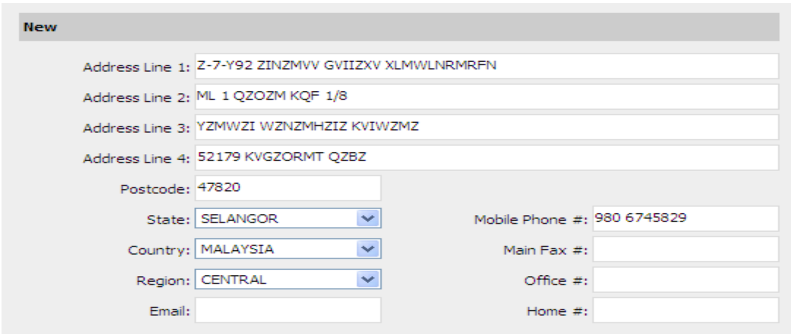
If you select Account, the contact information is updated at account level only.
Here, you have the option to update all accounts (if customer has more than 1 account) by checking the 'Applicable To All Account' box.
To update a specific UT account number, key in the account number in 'UT Account No' field.



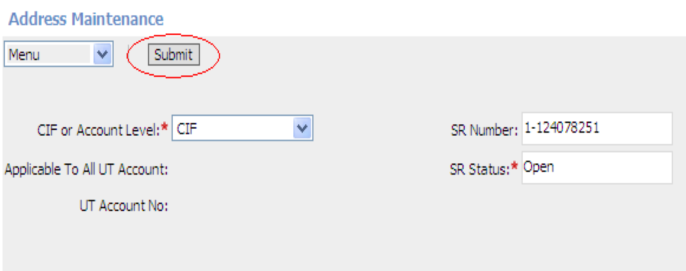
If you select CIF, the information is updated at CIF level only.

Note : CIF or Customer Information File is customer's main profile in the system. This main profile consist of customers contact information and products information. At the product information level such as unit trust and insurance, system also keep contact information e.g. address for unit trust account. So, customer may have different address at CIF and product level.

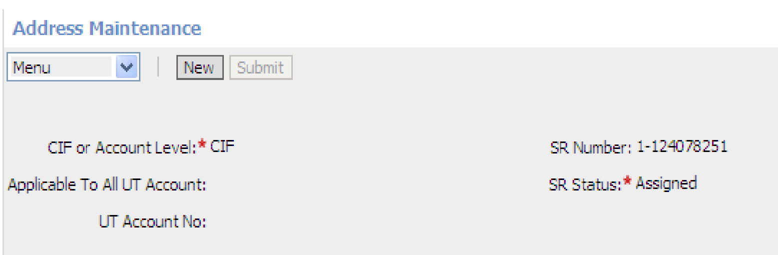
5) After the selection of either Account or CIF is done, system will then display the current contact information. You need to update the new contact information under ‘New’ column, as below:



6) Once the contact information is updated, click the submit button for further process.

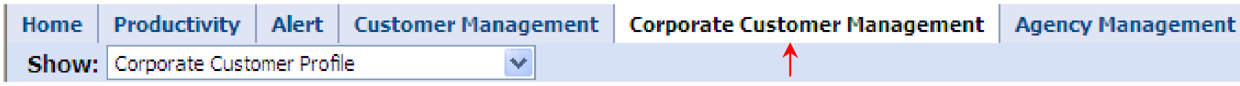


7) After submitting, the request status will change to Assigned, indicating that the request already reach CSD for verification process. At this stage, the record will be locked and no further update can be done.



3. 2 Corporate Customer

Corporate customers' information is made available under the Corporate Customer Management Screen



A total of four views are available under this screen i.e.

1. Corporate Customer Profile
2. Corporate Customer Products
3. Corporate Customer Ledger
4. Update Corporate Customer Contact Detail

3.2.1 Corporate Customer Profile

This view provides a snapshot of the corporate customer details such as address, company website, primary contact person, contact designation and contact telephone of all the corporate customers serviced by you.

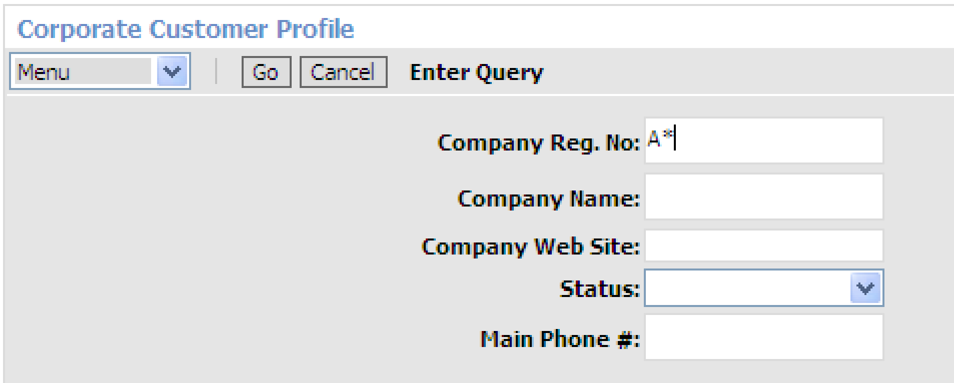
Both list and form view is also available as below, similar to Customer Management Screen.

List View

Form View

To search a particular customer, please refer to the basic navigation guidelines under the Query section.

The fields searchable under the 'Query' function are Company Name, Company Reg No, Company Web Site, Status and Main Phone.



Upon any successful matching based on your search criteria, results will be displayed in the list view. The form view will show the relevant details based on the selected record in the list view.
When you click the corporate customer name, it will redirect you to Corporate Customer Product View which displays the customer asset.

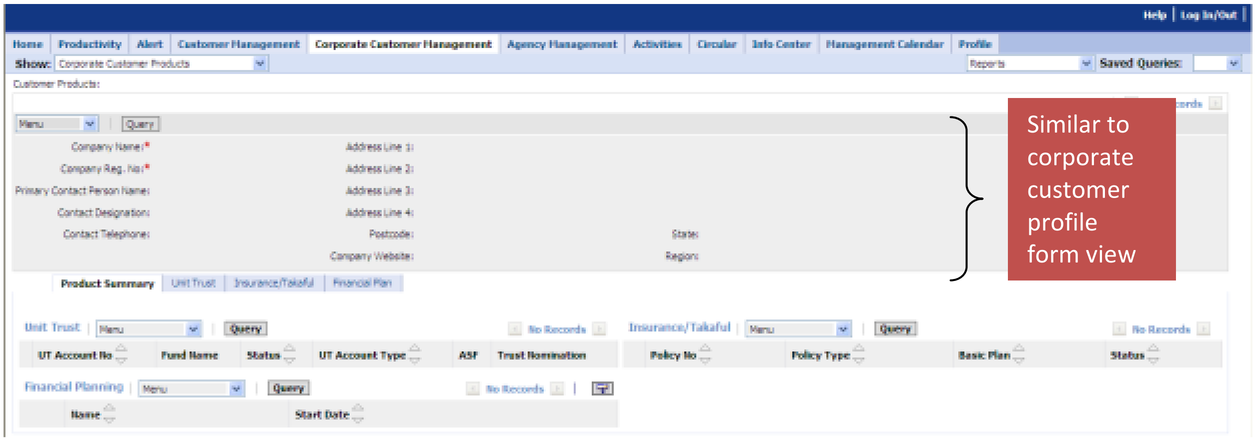
3.2.2 Corporate Customer Products

This view summarizes the products purchased by your corporate customers i.e. unit trust, insurance, trust nominations, wills & trust and financial plan under its respective product category.

No	Section	Descriptions
i.	Product Summary	Display all the customer products under respective category.
ii.	Unit Trust	Display customer unit trust account and investment details.
iii.	Insurance/Takaful	Display customer insurance policy details.
v.	Financial Plan	Display customer financial plan details.

The upper section shows the corporate customer profile details as shown below.
To search a particular corporate customer, please refer to the basic navigation guidelines under the Query section.

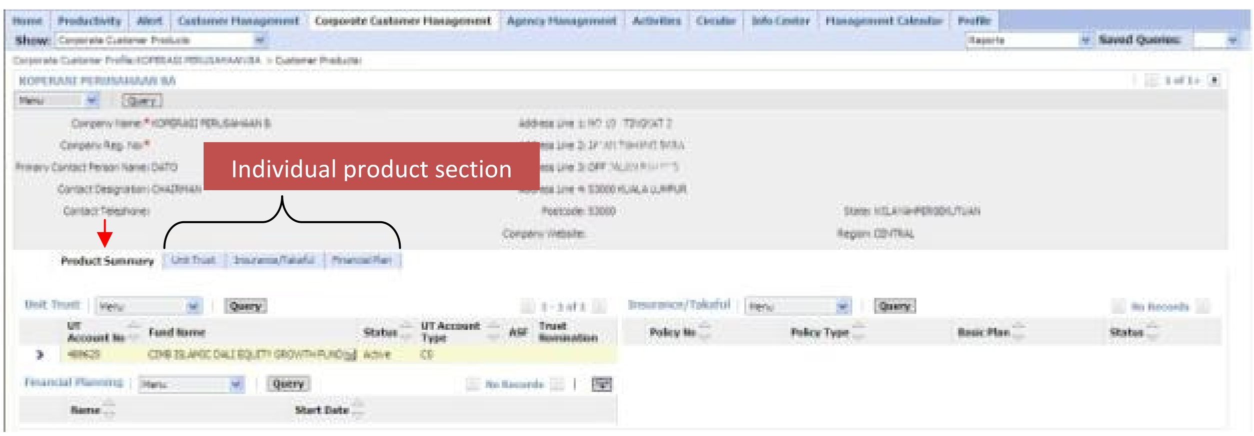
Upon any successful matching based on your search criteria, the corporate customer details will be displayed accordingly with his/her product details tabulated in its respective section.



Customer Products View

Product Summary

This section shows all products owned by the corporate customer under three product categories i.e. Unit Trust, Insurance/Takaful and Financial Planning. Minimum information is provided under the product summary view.
To view more details of the individual product category owned by the customer, you will need to click the respective section as shown below.

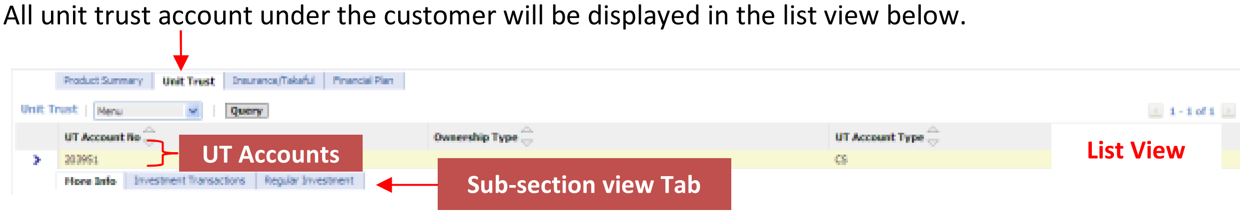


Customer with one product category

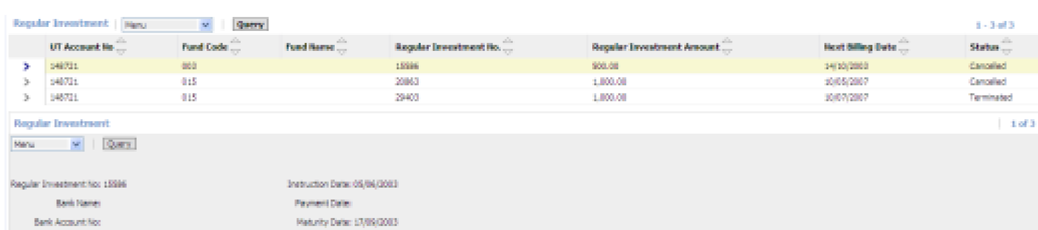
i. Unit Trust

This section provides more details about the unit trust investments owned by the customer in terms of unit trust account details, investment holdings and regular investment.

All unit trust account under the customer will be displayed in the list view below.



The selected unit trust account details will be displayed in each sub-section view below.
You can navigate each sub-section by clicking its tab.

Sub-section	Description
More Info	Displays the unit trust account details such as account type, date account opened, first investment date, total investment, total redemption, total income distribution reinvested, main telephone, office telephone, email address, permanent address and correspondence address. 
Investment Transaction	Displays all unit trust funds that the customer has invested. There are two list views i.e. investment holding and investment transaction. • Investment holding shows the fund name and overall summary of the customer holdings under the fund selected. • Investment transactions show the details of the transactions made within the fund. 
Regular Investment	Displays regular investment details that the customer has enrolled i.e. regular investment amount, next billing date and status. 

ii. Insurance/Takaful

This section provides details about the insurance policy owned by the corporate customer such as policy number, policy type and status.

Group insurance and VIP insurance policy details are not available at the moment (please refer to AIA Direct).

iii. Financial Plan

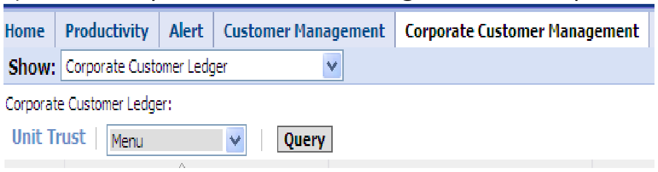
This section provides details about financial plan owned by the corporate customer.

Not available at the moment.

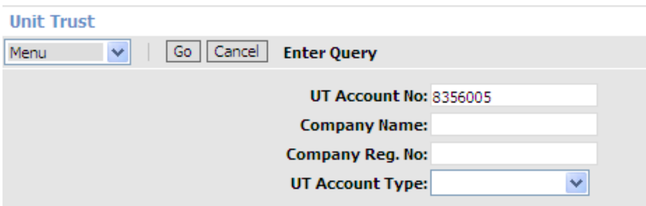
3.2.3 Corporate Customer Ledger

To view and print the ledger for your corporate customer, below are the steps:

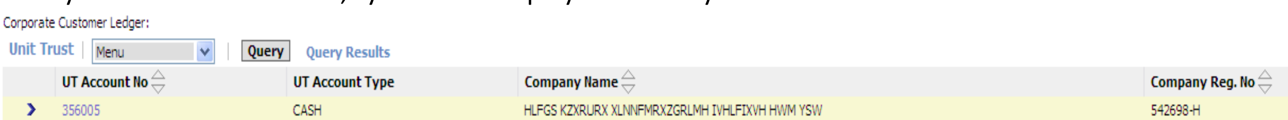
1) Select Corporate Customer Ledger, under Corporate Customer Management tab.



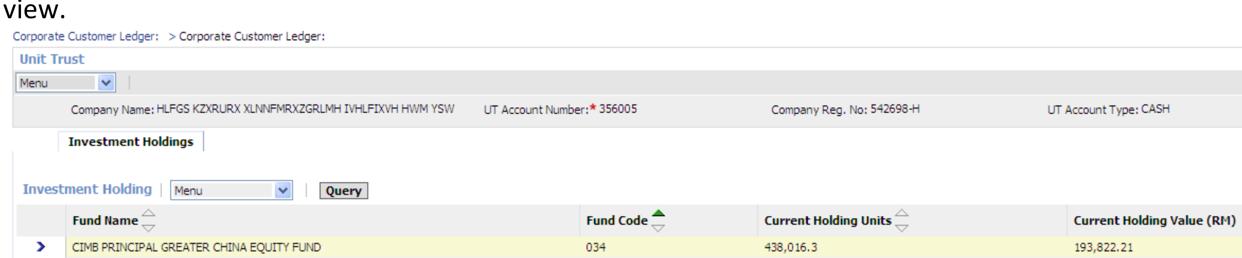
2) Click the Query button and enter the search criteria in any of the field below in order to search your customer.



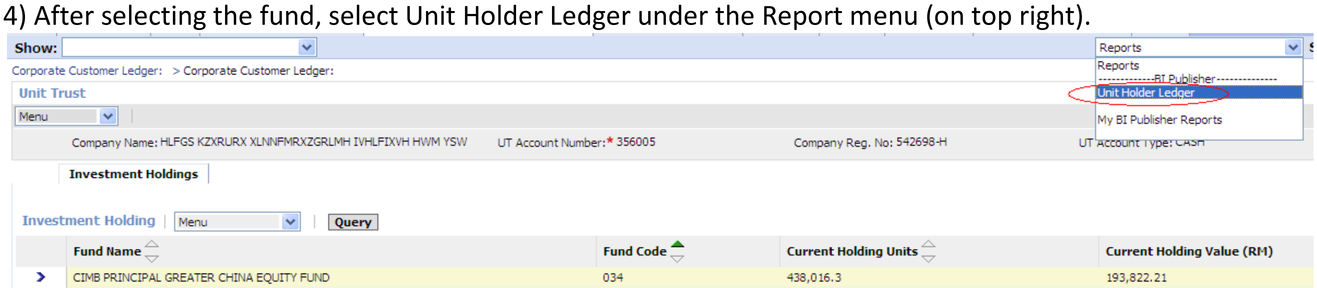
After you click the Go button, system will display the list of your customers.



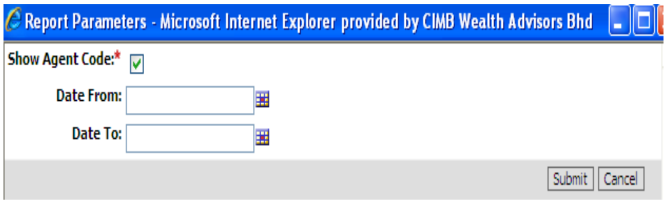
3) Click the account no, system will then display the account screen. Select the fund that you wish to view.



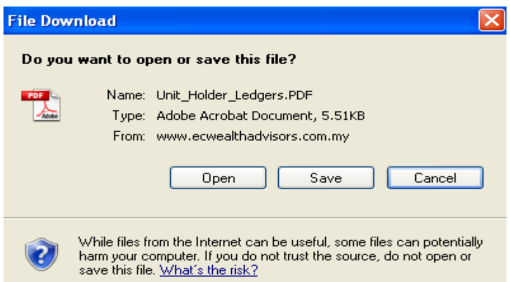
4) After selecting the fund, select Unit Holder Ledger under the Report menu (on top right).



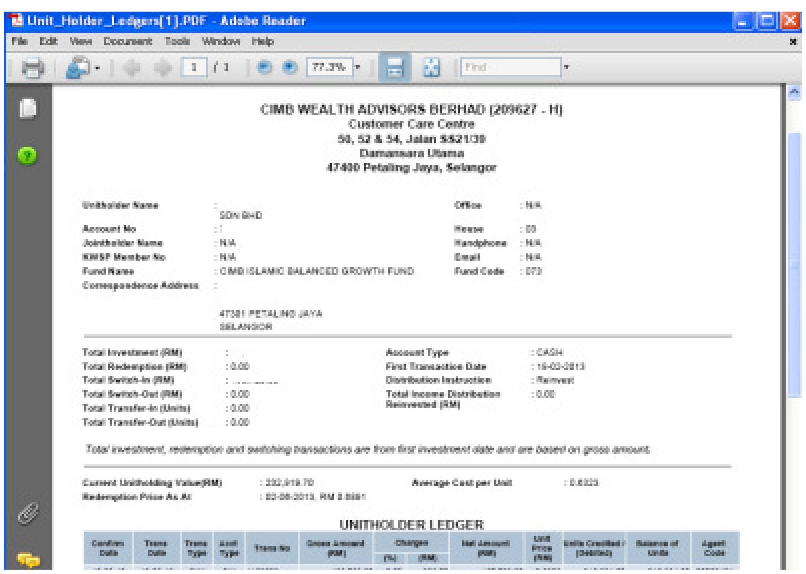
5) System will prompt you a selection. Un-check 'Show Agent Code' if you do not want to display the agent code in the ledger. Enter the date range. Click Submit.



6) Select Open to view the ledger.



7) If you have selected the option to Open the ledger file, system will then display the ledger. You can also print the ledger by using the standard printing function.



8) Should you need to print ledger for other funds, repeat step 3 onwards.

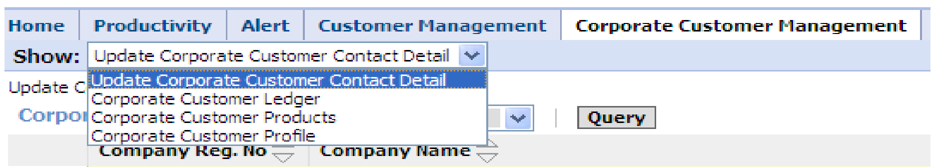
3.2.4 Update Corporate Customer Contact Details

This function allows you to submit the request update your corporate customer contact information such as correspondence address, contact numbers or e-mail address.

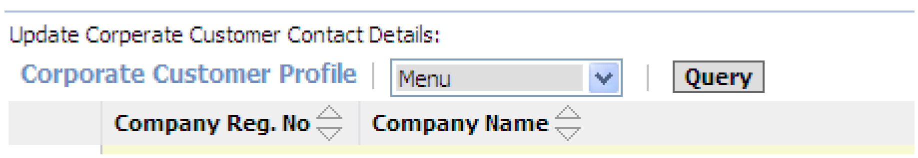
Please take not that this function will not update the customer contact details into the system directly, similar to retail customer. The request submitted by you will be routed to Customer Service Department (CSD), CWA for verification purpose with the customer. Once verification is done, the information will be updated into the system.

Follow the steps below to update corporate customer contact details.

1) Select Update Corporate Customer Contact Details

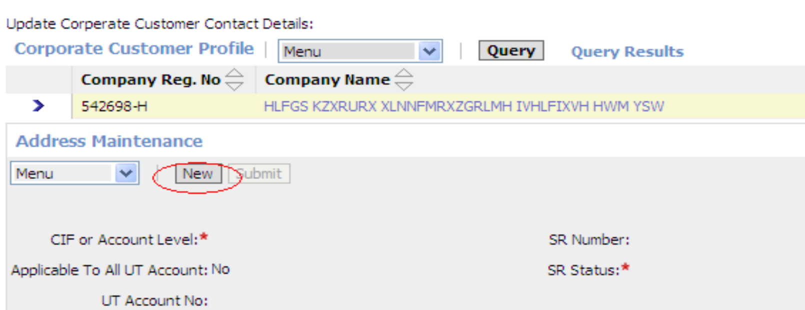


2) System will display the Update Corporate Customer Contact Details screen. Perform the Query function to search your customer.

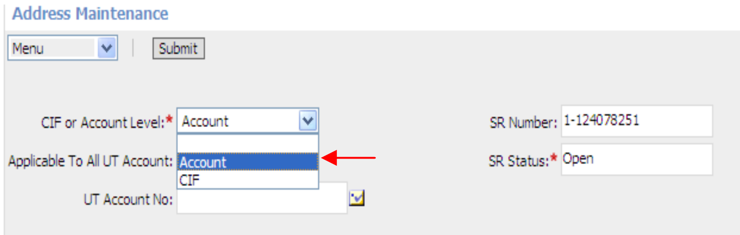


3) Key in your search criteria in any of the fields under Corporate Customer Profile and click 'Go' button.

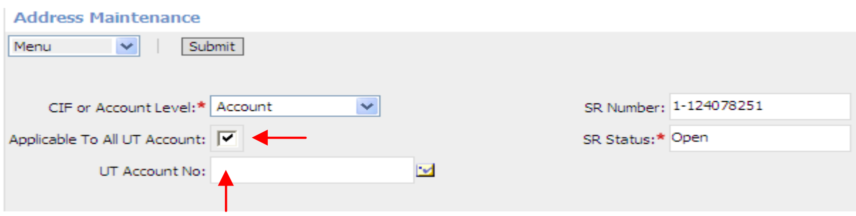
System will then display your corporate customer information. Click the New button under Address Maintenance screen.



4) You will need to decide whether to update the contact information at CIF (Customer Information File) level or Account level.



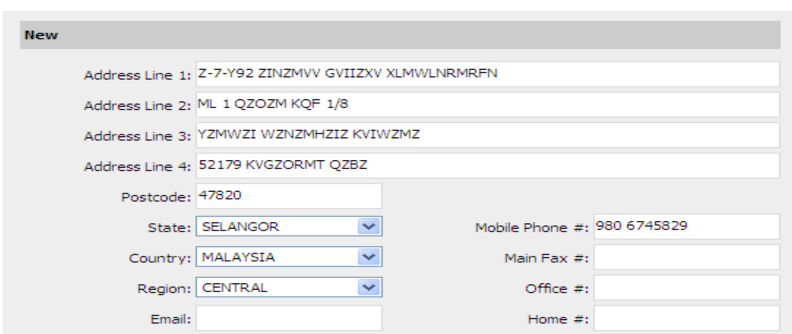
If you select Account, the contact information is updated at account level only.
Here, you have the option to update all accounts (if customer has more than 1 account) by checking the 'Applicable To All Account' box.
To update a specific UT account number, key in the account number in 'UT Account No' field.



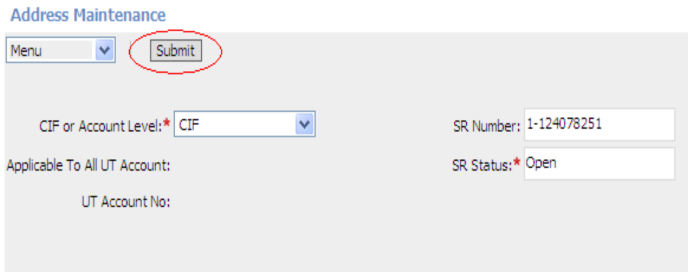
If you select CIF, the information is updated at CIF level only.

Note: CIF or Customer Information File for corporate customer has the same function with individual retail customer.

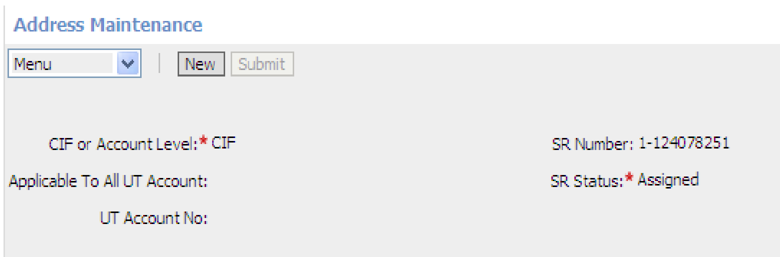
5) After the selection of either Account or CIF is done, system will then display the current contact information. You need to update the new contact information under New column, as below.



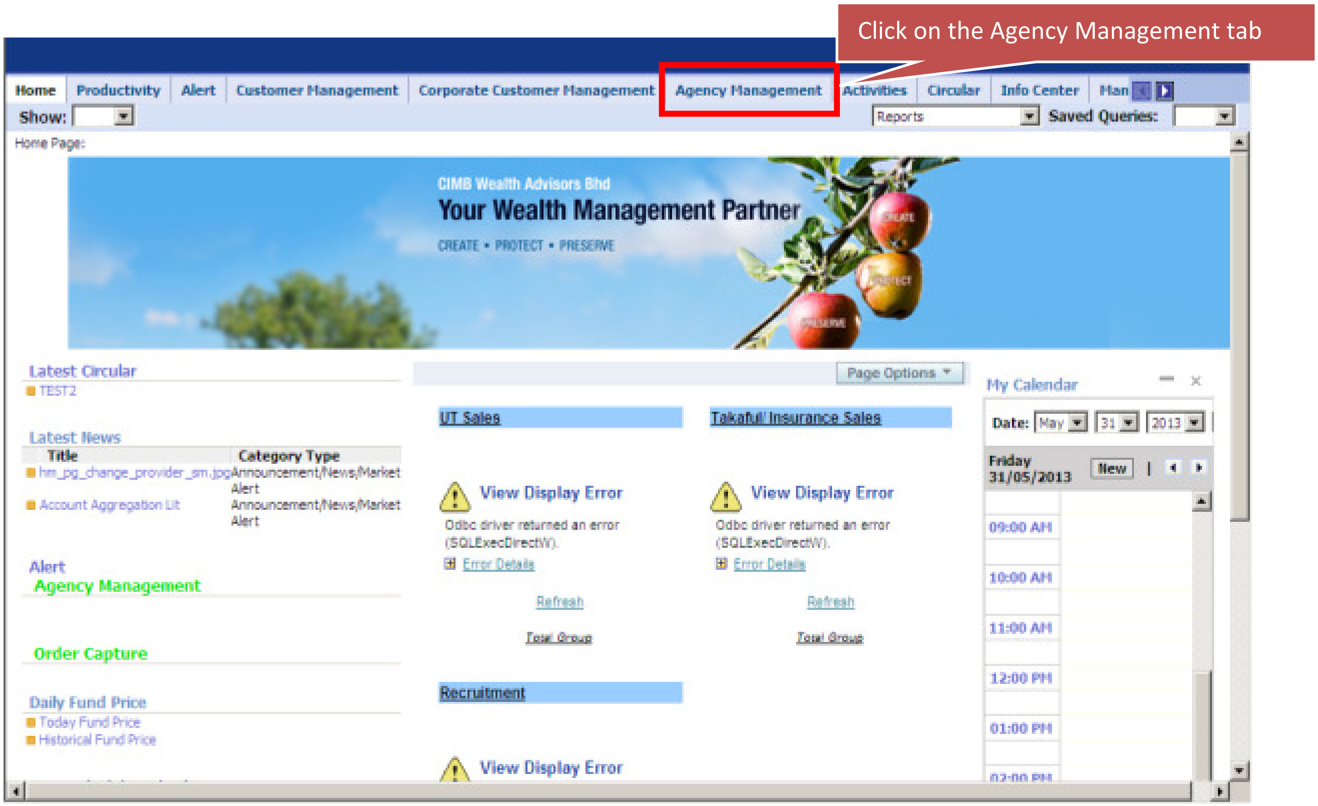
6) Once the contact information is updated, click the submit button for further process.



7) After submitting, the request status will change to Assigned, indicating that the request already reach CSD for verification process. At this stage, the record will be locked and no further update can be done.



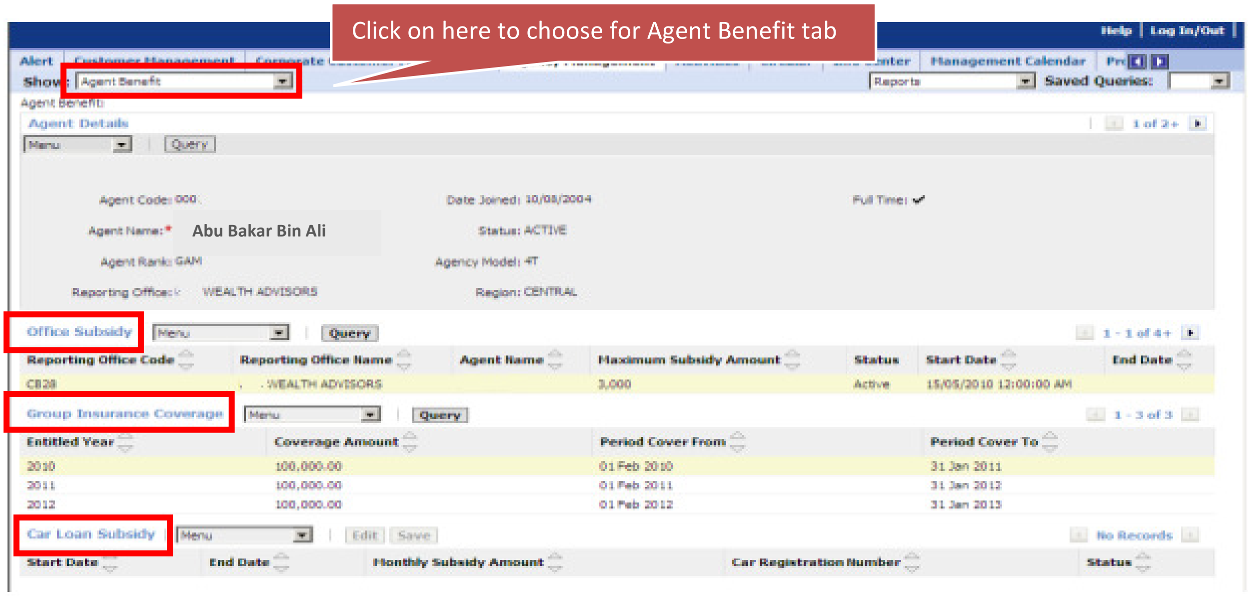
4. 0 Agent Management



A total of **five (5)** views are available under Agency Management screen i.e.

1. Agent Benefit
2. Contest Achievement
3. Licensing
4. Agent Structure
5. Commission & Income Statement

4.1 Agent Benefit



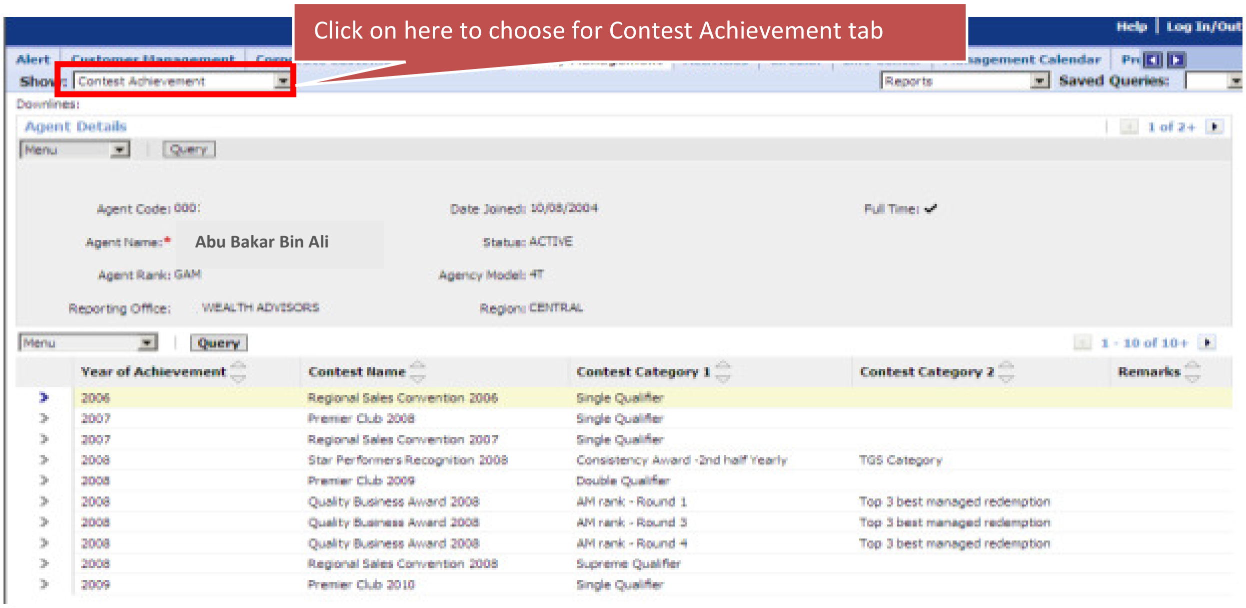
Agent Benefit View consists of 3 applets as below:

i. Office Subsidy – sales office information and maximum subsidy entitlement

ii. Group Insurance Coverage - period of cover and coverage amount

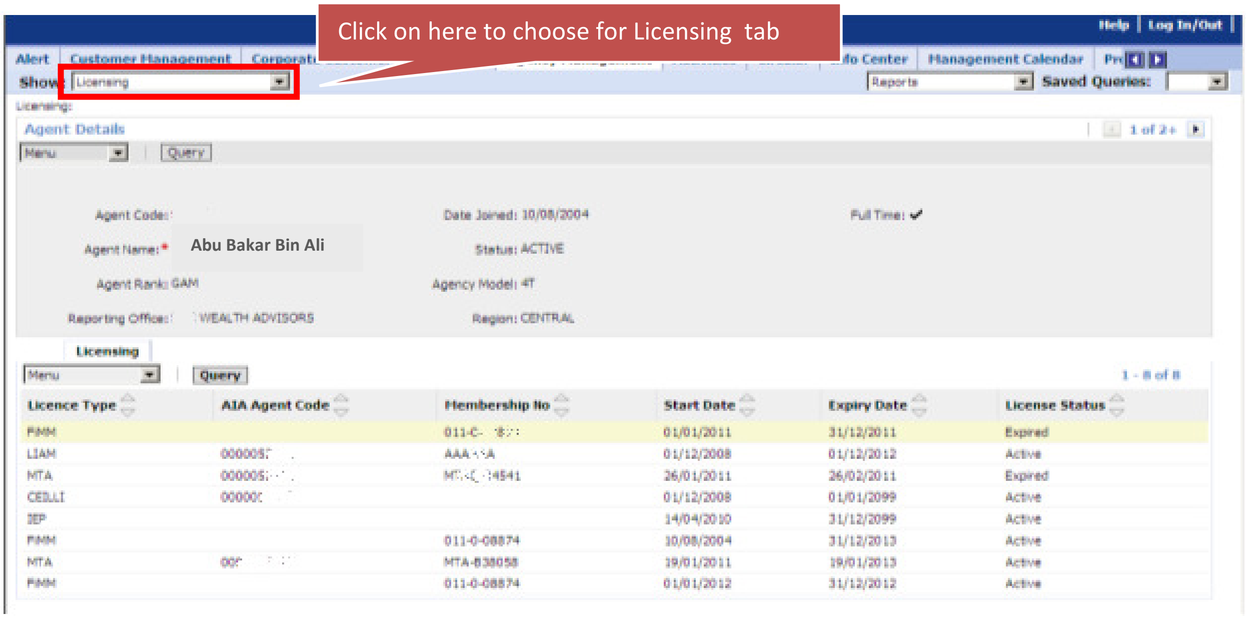
iii. Car Loan Subsidy – subsidy information and status (Active/Terminated)

4.2 Contest Achievement



This view will list down all the contests or agency campaigns achieved by the agent, which includes information such as Year of Achievement, Contest Name and Contest Category.

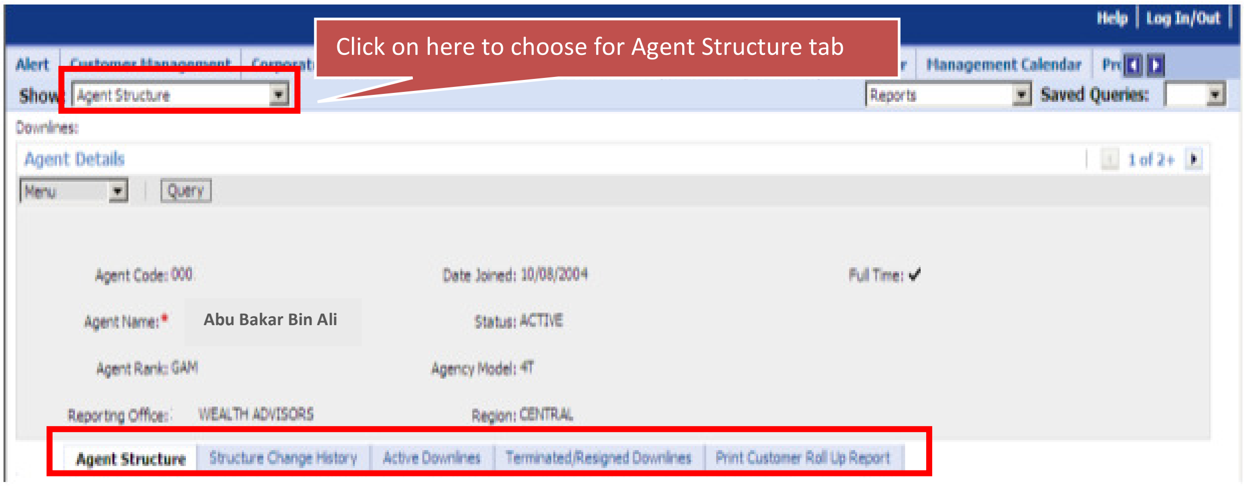
4.3 Licensing



This view provides licensing information (for all product lines) of an agent, as follows:-

- License Type - FiMM, LIAM, PIAM, MTA, CEILLI, IEP
- AIA Agent Code (applicable to Insurance license only)
- Membership No of respective license
- Start Date (or effective Date) of respective license
- Expiry Date of respective license
- License Status of respective licensing – Active/Terminated

4.4 Agent Structure



This view consists of 5 tabs namely:-

i. Agent Structure

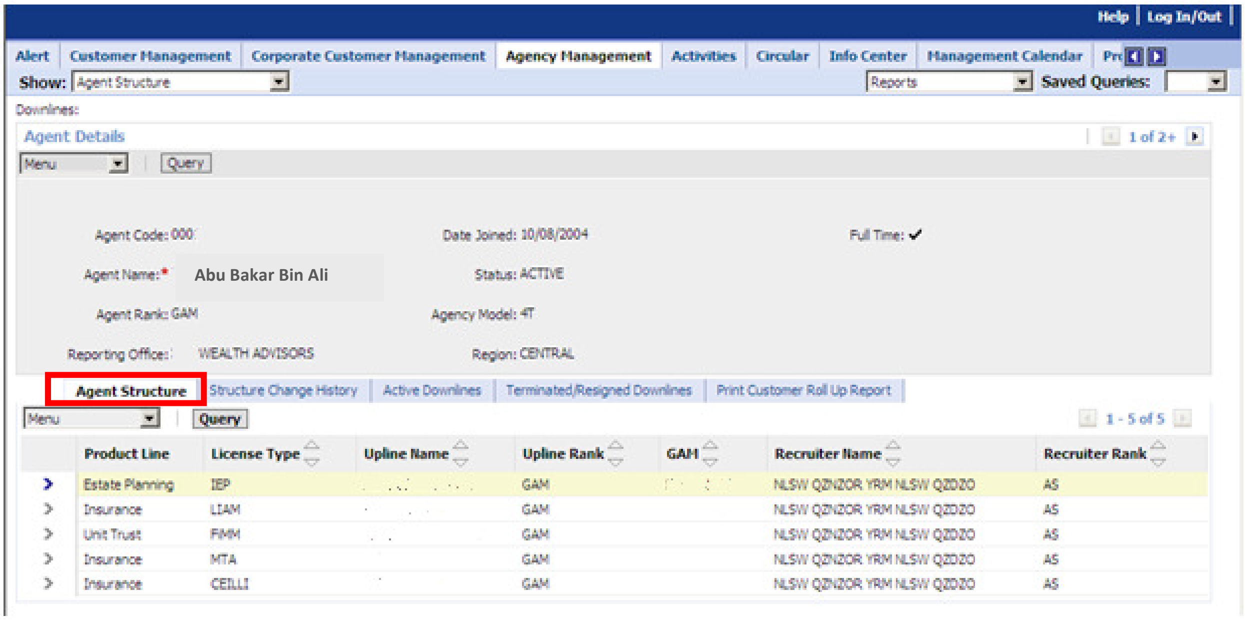
ii. Structure Change History

iii. Active Downlines

iv. Terminated/Resigned Downlines

v. Print Customer Roll Up Report

i. Agent Structure



Agent Structure tab provides agency structure by product lines.

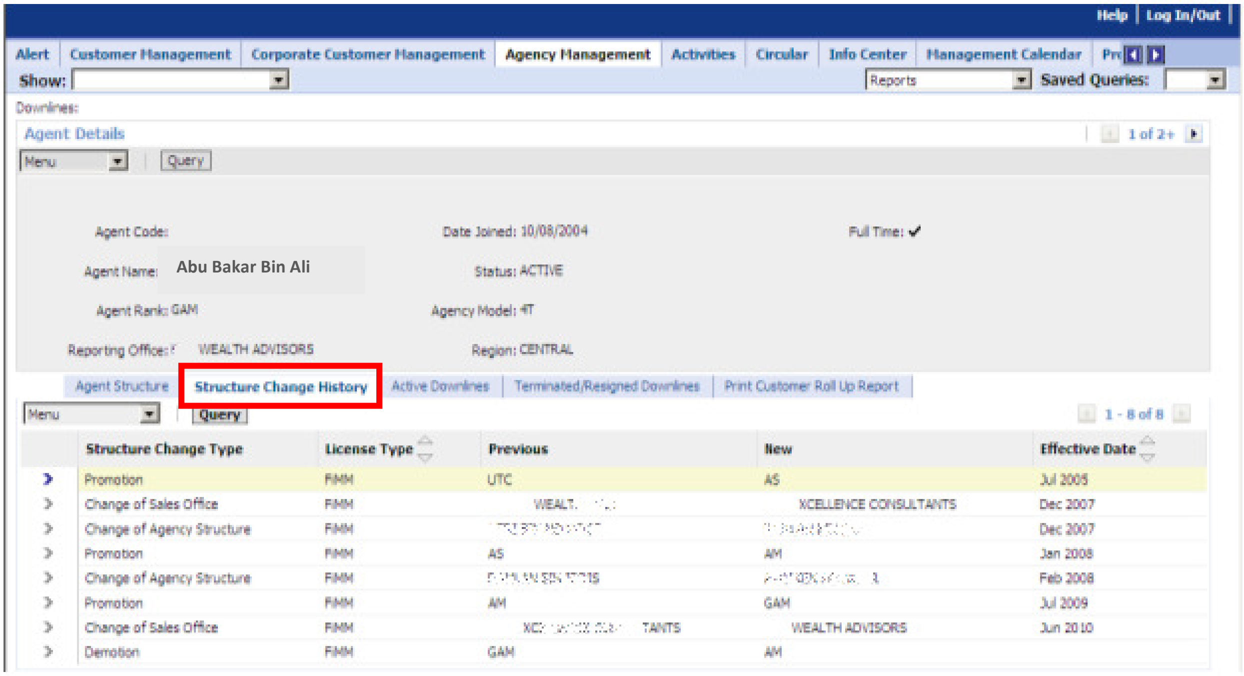
Agency Structure for Unit Trust is referred as Master Agency Structure.

Agency structure for other product lines such as Insurance & Estate Planning are referred as Child Agency Structure.

Agent Structure tab consists of upline & recruiter information (name and rank) and GAM name.

Recruiter information is defaulted to ‘Unit Trust’ recruiter.

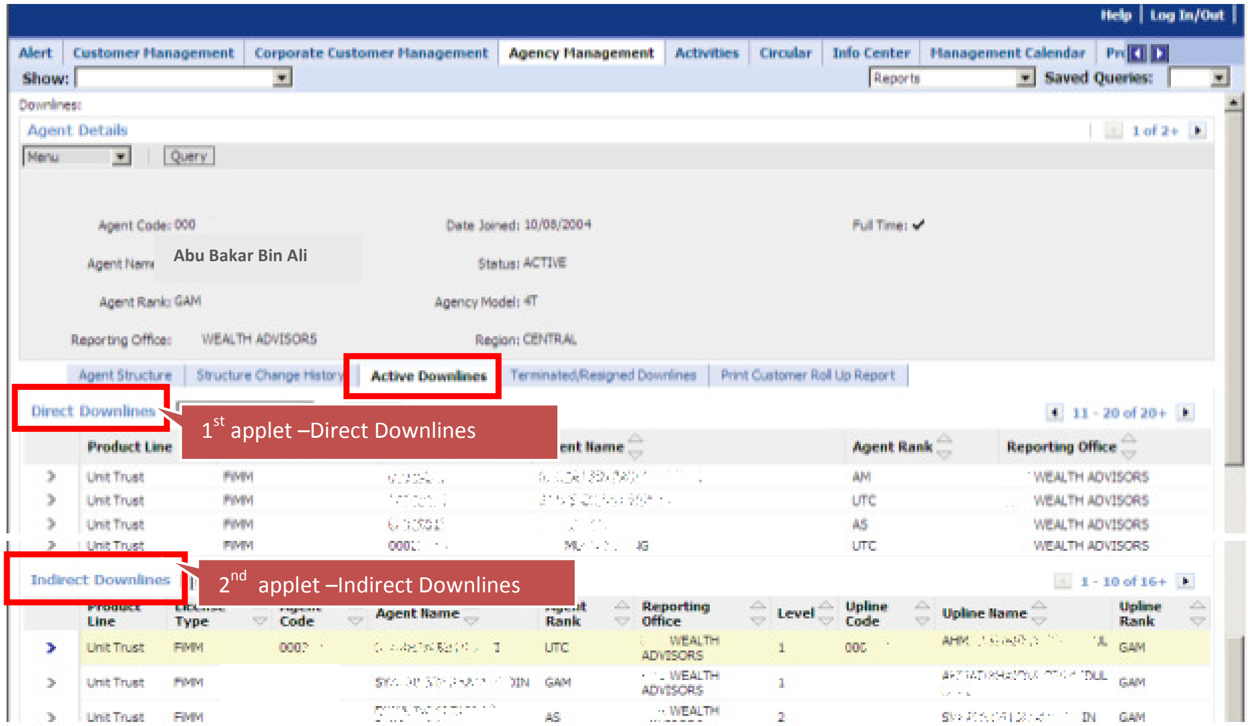
ii. Structure Change History



Structure Change History tab provides the details of the agency changes, i.e. change of sales office, change of upline, promotion information etc, which includes old value and new value of the agency changes, and the effective date of the change.

For example as shown above: Promotion for agent code (15727) from UTC to AS, effective Jul 2005.

iii. Active Downlines



Active Downlines provides the list of Active Direct and Indirect downlines by product lines of an agency leader.

The list will be updated from month to month, depending on the agent movement/changes (i.e. new recruits, agent resigned/terminated/promoted for the month) within the agency structure of an agency leader.

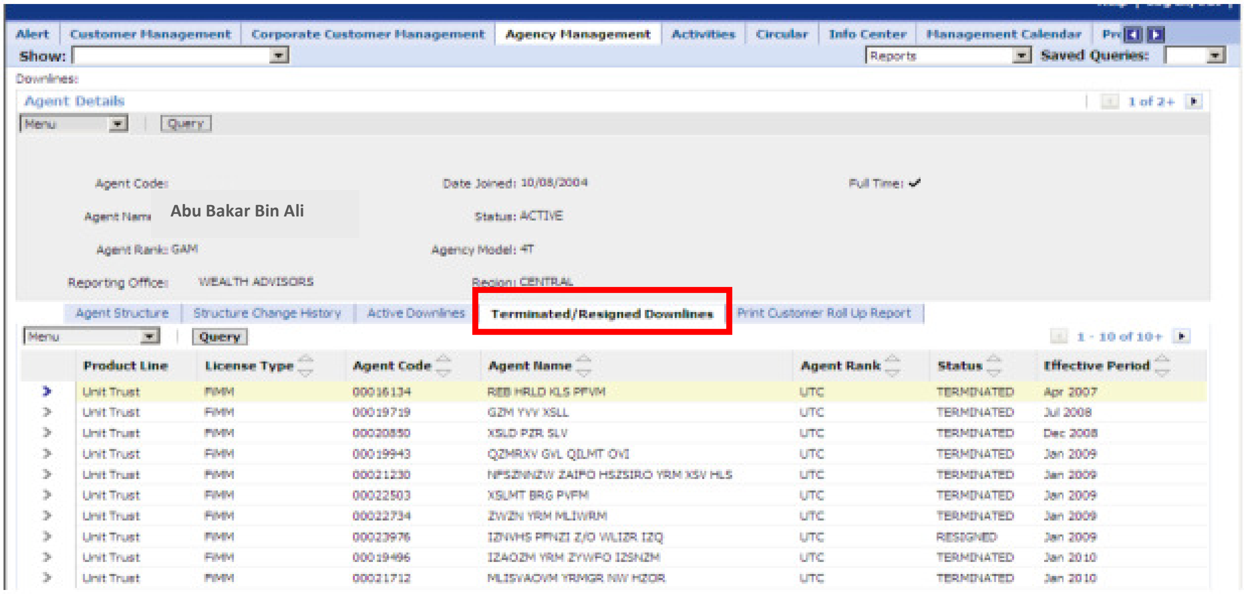
Consists of 2 applets.

- Direct Downlines (1st applet)
- Indirect Downlines (2nd applet)

When you click on any of the Direct Downlines list applet – the Indirect downlines of the respective Direct Downline will be displayed.

Note: Any changes in the agency structure arising from the agent movement or changes, the new data will be refreshed and updated into Active Downlines list by 30th or 31st of the month.

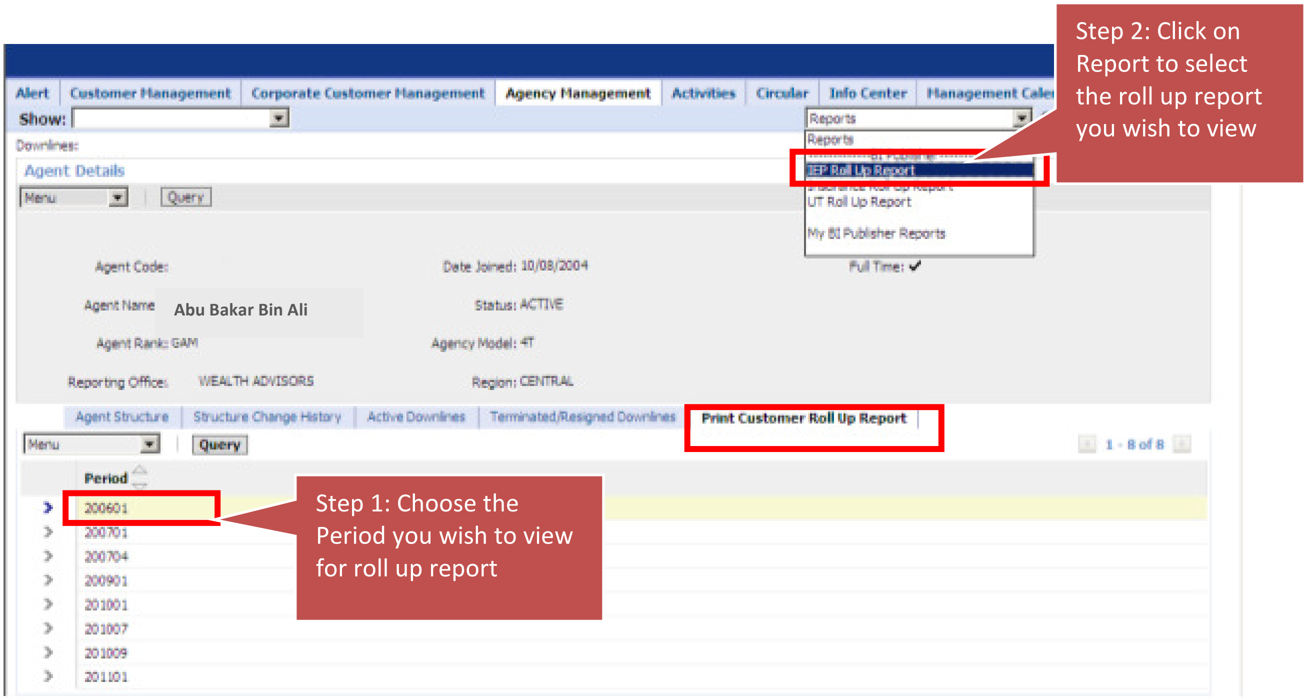
iv. Terminated/Resigned Downlines



Product Line	License Type	Agent Code	Agent Name	Agent Rank	Status	Effective Period
Unit Trust	FIMM	00016134	REB HRLD KLS PFVM	UTC	TERMINATED	Apr 2007
Unit Trust	FIMM	00019719	GZM YVY XSLL	UTC	TERMINATED	Jul 2008
Unit Trust	FIMM	00020850	XSLD PZR SLV	UTC	TERMINATED	Dec 2008
Unit Trust	FIMM	00019943	QZMRXV GVL QILMT OVI	UTC	TERMINATED	Jan 2009
Unit Trust	FIMM	00021230	NFSZNNZW ZAIPO HSZSIRO YRM XSV HLS	UTC	TERMINATED	Jan 2009
Unit Trust	FIMM	00022503	XSLMT BRG PVFM	UTC	TERMINATED	Jan 2009
Unit Trust	FIMM	00022734	ZWZN YRM MLIWRM	UTC	TERMINATED	Jan 2009
Unit Trust	FIMM	00023976	IZNVHS PFNZI Z/O WLIZR IZQ	UTC	RESIGNED	Jan 2009
Unit Trust	FIMM	00019496	IZAOZM YRM ZYWFO IZSNZM	UTC	TERMINATED	Jan 2010
Unit Trust	FIMM	00021712	MLISVAOVM YRMGR NW HZOR	UTC	TERMINATED	Jan 2010

This view provides the monthly terminated/resigned downlines of an agency leader for each product lines.

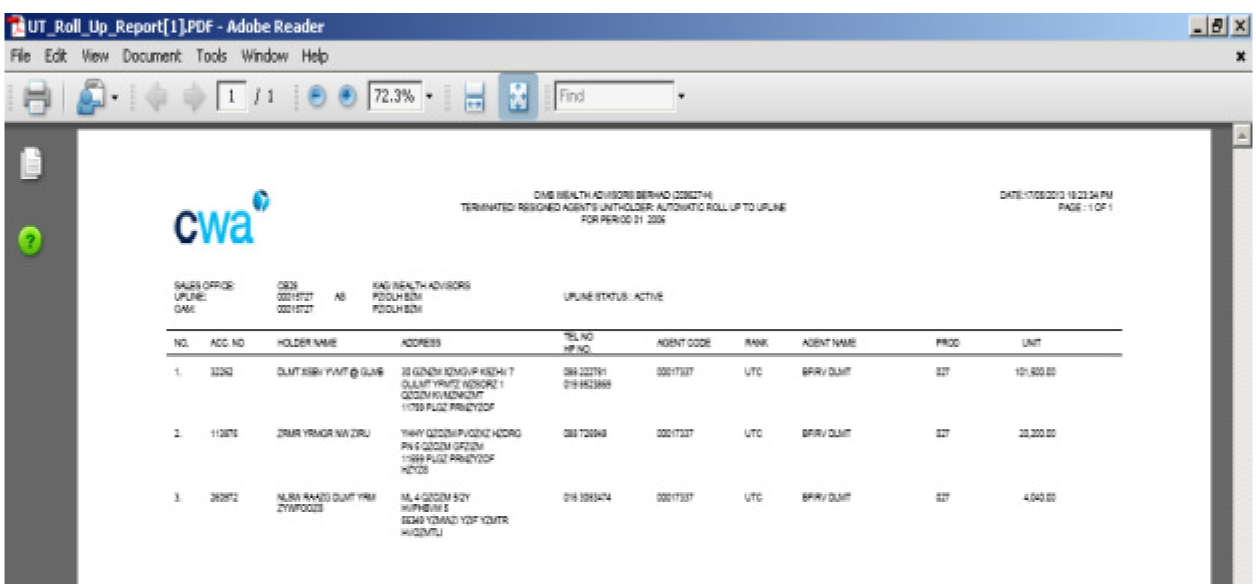
v. Print Customer Roll Up Report



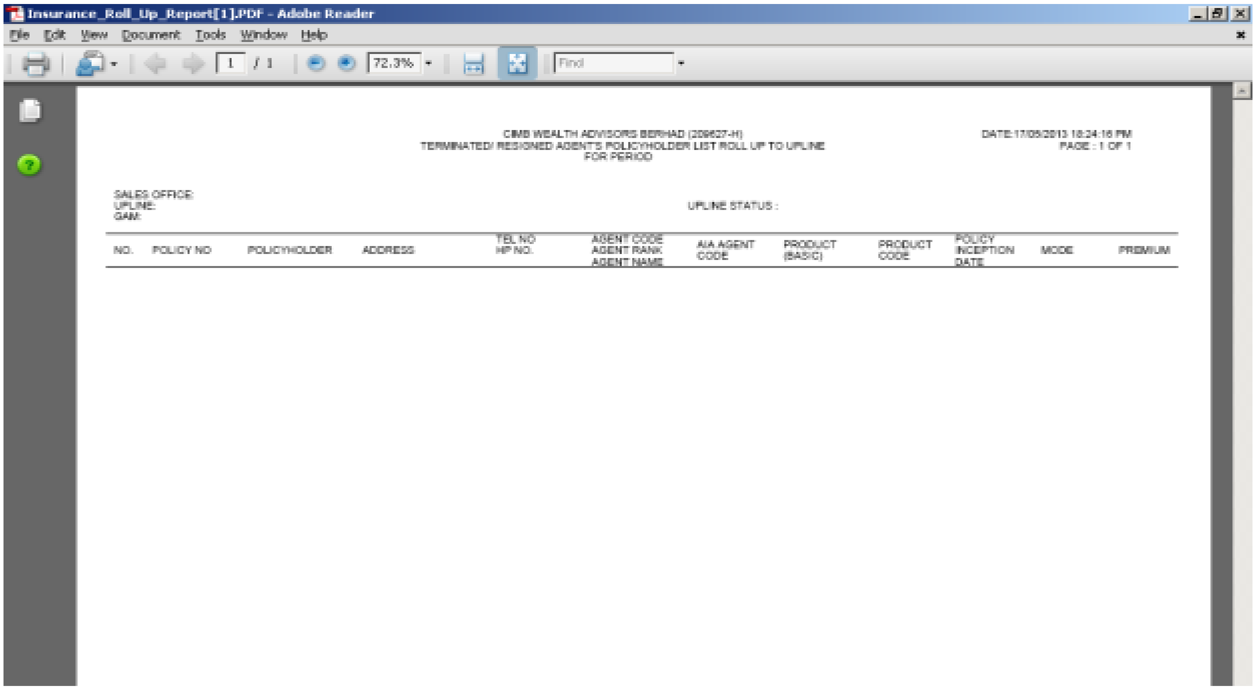
This view allows agent to view & print the customer roll up report for all product lines.

- To select period
- To select report type on 'Reports' dropdown list (on top right hand corner)
- Once click, the report will be generated in pdf format.

Sample Unit Trust Customer Roll Up report



Sample Insurance Policyholder Roll Up report



CIMB WEALTH ADVISORS BERHAD (209627-H)
TERMINATED/ RESIGNED AGENT'S POLICYHOLDER LIST ROLL UP TO UPLINE
FOR PERIOD

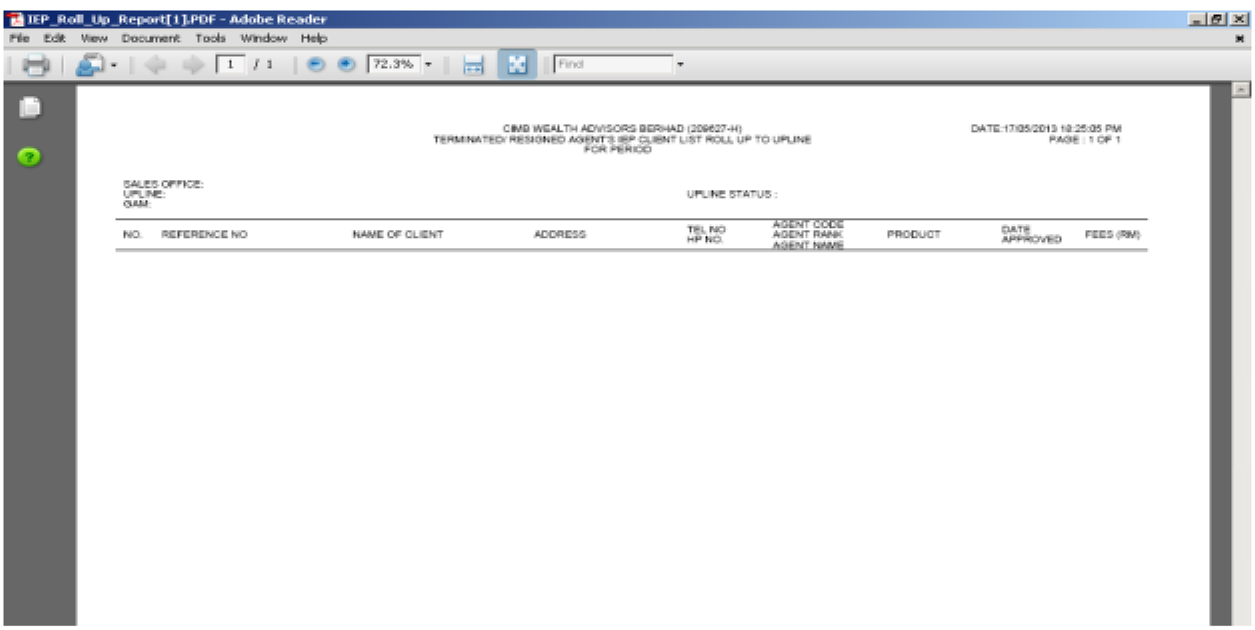
DATE:17/05/2013 18:24:16 PM
PAGE : 1 OF 1

SALES OFFICE:
UPLINE:
GAM:

UPLINE STATUS :

NO.	POLICY NO	POLICYHOLDER	ADDRESS	TEL NO HP NO.	AGENT CODE AGENT RANK AGENT NAME	AIA AGENT CODE	PRODUCT (BASIC)	PRODUCT CODE	POLICY INCEPTION DATE	MODE	PREMIUM

Sample IEP Customer Roll Up report



CIMB WEALTH ADVISORS BERHAD (209627-H)
TERMINATED/ RESIGNED AGENT'S IEP CLIENT LIST ROLL UP TO UPLINE
FOR PERIOD

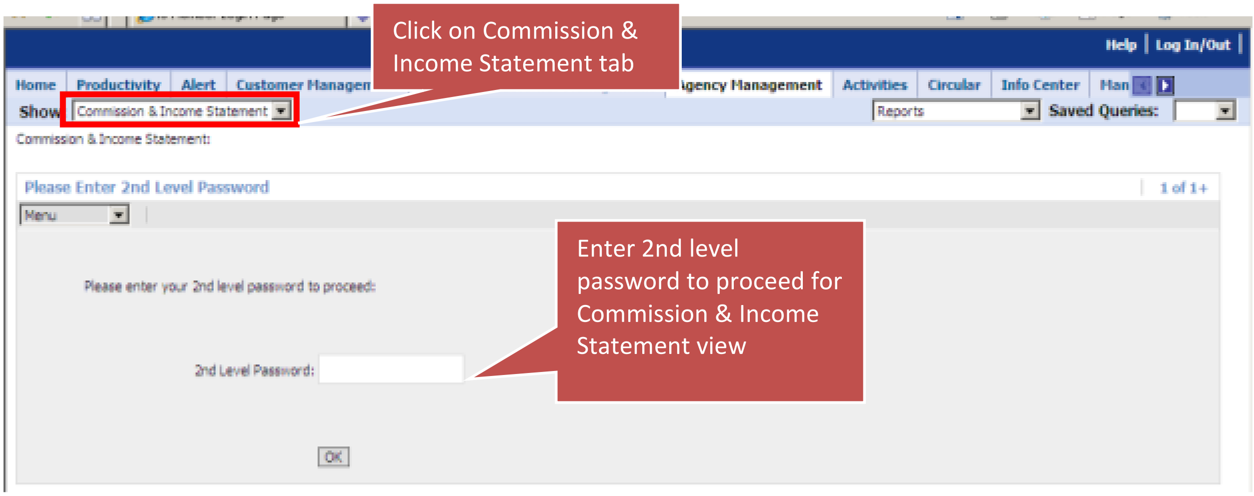
DATE:17/05/2013 18:25:05 PM
PAGE : 1 OF 1

SALES OFFICE:
UPLINE:
GAM:

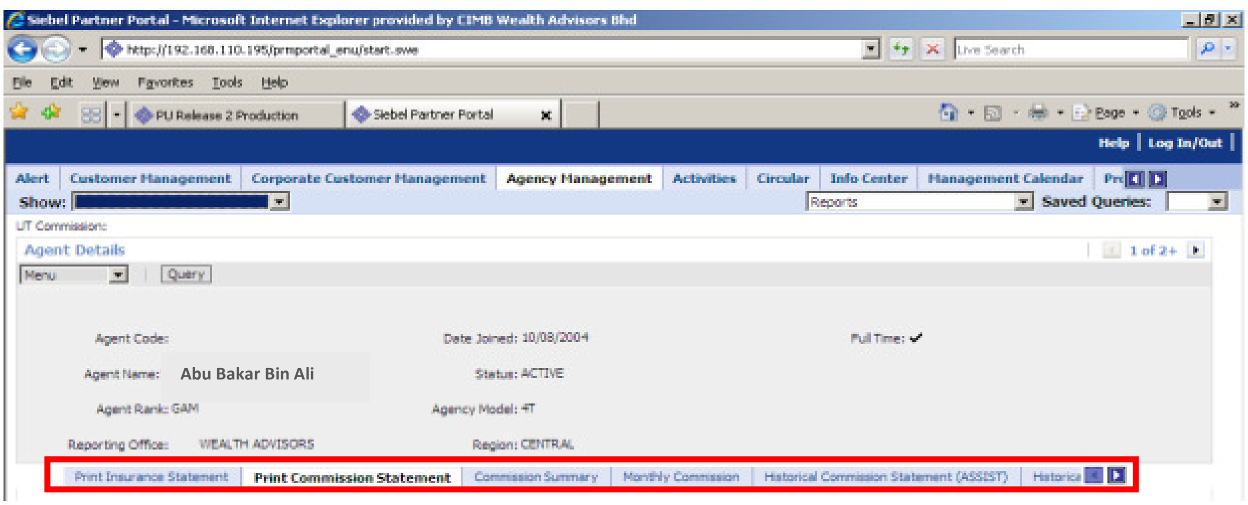
UPLINE STATUS :

NO.	REFERENCE NO	NAME OF CLIENT	ADDRESS	TEL NO HP NO.	AGENT CODE AGENT RANK AGENT NAME	PRODUCT	DATE APPROVED	FEES (RM)

4.5 Commission & Income Statement



For rank of AM and GAM, agent is required to enter 2nd level password to access the Commission & Income Statement View.



Commission & Income Statement View provides functions to print and view the following reports:-

i. Print Insurance Statement –From April-13 onwards

ii. Print Commission Statement (refers to Unit Trust Statement) From April-13 onwards

iii. Commission Summary

iv. Monthly Commission - From Jan-13 onwards

v. Print Historical Commission (ASSIST)- From Jan-2010 till March-2013

vi. Print Historical Income Statement (ASSIST)- From Year 2010 till Year 2012

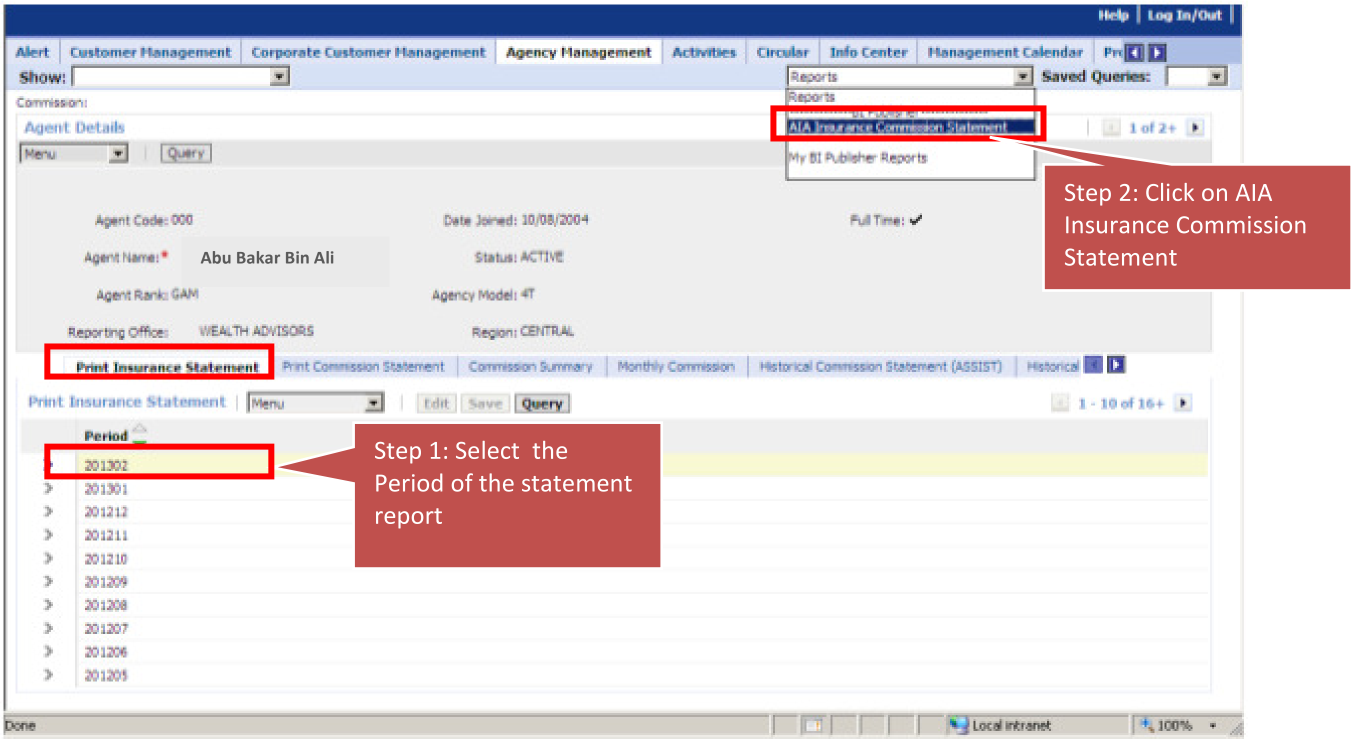
vii. Print UT Income Statement- From Year 2013 onwards

viii. Print Insurance Income Statement - From Year 2013 onwards

ix. Print Summary Income Statement - From Year 2013 onwards

The steps to retrieve information and report are explained in each of the respective view below.

i. <u>Print Insurance Statement</u>



To print Insurance Statement

- ➢ Select Period.
- ➢ Then go to ‘Reports dropdown list (on top right hand cover)’, click on AIA Insurance Commission Statement.
- ➢ Insurance Commission Statement will be generated in pdf format.

Sample Insurance Commission Statement

ILAE JMA (0000052131)
377 FMJMA EHIMGM
GMKMA FADGHB
FMJMA IJMAE JMKM
58200 WILAYAHPERSEKUTUAN

CIMB Wealth Advisors Berhad (209627-H)
Page 1 of 1
20/05/2013

GAM CW20 Sri Petaling Branch

SALES COMMISSION STATEMENT FOR THE PERIOD OF 21/03/2012 - 20/04/2012

BASIC COMMISSION

Conventional Insurance

Policy No	Policyholder Name	Policy Year	Premium	Commission (RM)
W960105045		1	1,487.50	520.63
W960034598	DDLGMDB JF BHGDAE	3	986.00	147.90
	SUB-TOTAL SALES COMMISSION			668.53
TOTAL BASIC COMMISSION				668.53

AGENCY BUILDING ALLOWANCE

Conventional Insurance

Agent	Rank	Policy Year	1	2	3	4	5 and above*	Commission (RM)
ILAE JMA	GAM	Premium(RM)	1,487.50	0.00	986.00	0.00	0.00	312.04
		Commission (RM)	252.88	0.00	59.16	0.00	0.00	
	SUB-TOTAL SALES COMMISSION							312.04
TOTAL AGENCY BUILDING ALLOWANCE								312.04

PERSISTENCY BONUS

PRODUCT CATEGORY	Year	Target Ratio (%)	Achieved Ratio (%)	Total Premium/ Contribution (RM)	Commission (RM)
Conventional Insurance	1	90	0.00	0.00	
	2	80	88.49	0.00	0.00
TOTAL PERSISTENCY BONUS					0.00

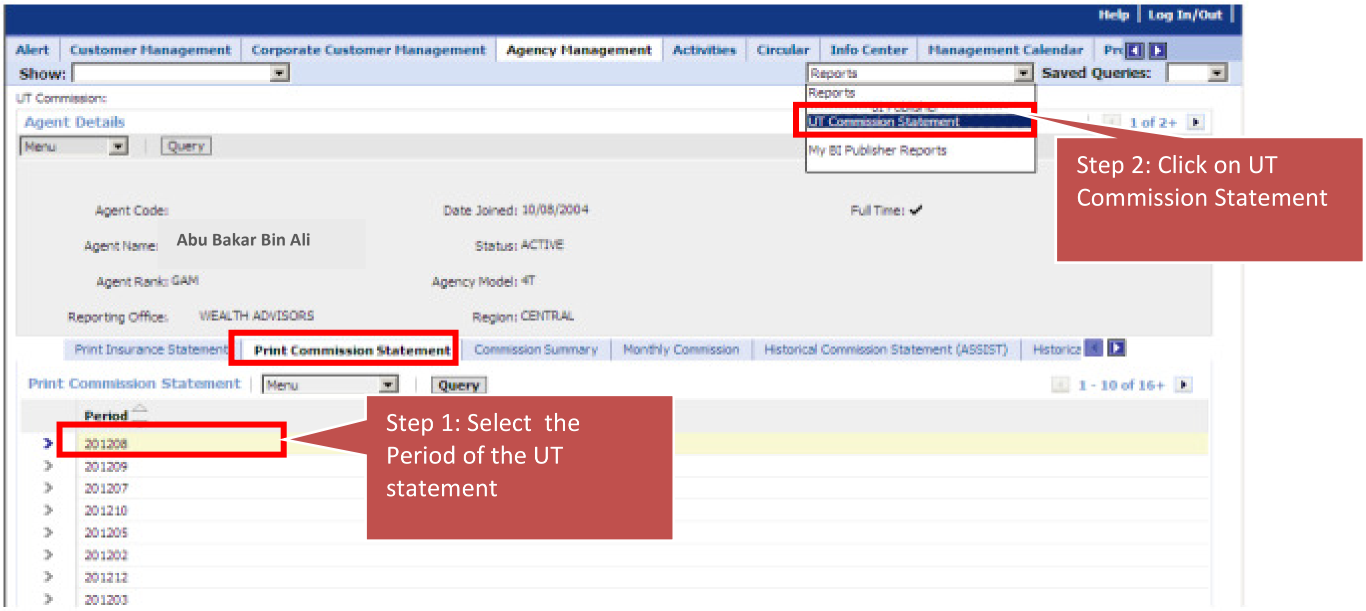
YTD FYP/ FYC (RM)	YTD Bonus Entitlement (RM)	YTD Bonus Paid (RM)	Commission (RM)

	Commission (RM)
TOTAL COMMISSION FOR THE MONTH	980.57
LAST MONTH BALANCE	0.00
TOTAL ADJUSTMENT	0.00
NET COMMISSION PAYABLE	980.57

Notes:

1. The above commission will be credited into your account on the 7th working day of the following month from the Sales Closing Date.
2. Please advise us in writing any discrepancy within 14 days from the date of issue of this statement.

ii. Print Commission Statement (refers to Unit Trust Statement)



To print UT Commission Statement

- Select Period
- Select UT Commission Statement from 'Reports dropdown list (on top right hand cover)'
- Upon click, UT Commission Statement will be generated in pdf format

Sample UT Commission Statement

DHMM MMDD ADA MABFJ DMGKMA / 00009279
Gaman Aukit
Falan Gampin
Eeremban
70450
NEGERI

CIMB Wealth Advisors Berhad (209627-H)
Page 1 of 2

AM /

SALES COMMISSION STATEMENT FOR THE PERIOD OF 21/04/2011 - 20/05/2011

PERSONAL SALES COMMISSION

Processing Date	Transaction Date	Disbursement Date	Account Number	Fund Code	Unitholder Name	Personal Sales (RM)	Unit Price	Commission (RM)
CIMB EQUITY FUND (TIER STRUCTURE)								
29/04/2011	28/04/2011	29/04/2011	351575	005	MUHAMMAD ABDUL	650.00	1.2197	
29/04/2011	28/04/2011	29/04/2011	280703	005	ALDMMDMA ADAGD ALDBDA	650.00	1.2197	
29/04/2011	28/04/2011	29/04/2011	351575	026	MUHAMMAD ABDUL	650.00	0.8464	
29/04/2011	28/04/2011	29/04/2011	172706	005	MFDDMIMA ADA EMKMB @ MKDA	650.00	1.2197	
18/05/2011	16/05/2011	18/05/2011	417878	005	LGH ALDMMIMG ADAGD DMGKMG	650.00	1.2245	
18/05/2011	16/05/2011	18/05/2011	418411	038	KLGB GMDDFJ MAFMD ADA MKDA	650.00	0.4560	
	TOTAL SALES AND COMMISSION					**3,900.00**		**13.00**

GRAND TOTAL PERSONAL SALES COMMISSION **13.00**

OVERRIDING COMMISSION

CIMB EQUITY FUND (TIER STRUCTURE)-KWSP

		Personal Sales (RM)	Commission (RM)
Personal Sales		0.00	0.00
Downlines Name	**Rank**	**Total Group Sales (*) (RM)**	**Commission (RM)**
GMJDAM ADAGD AFFMAE	AS	752,375.00	1,000.64
AFDFJ CMDMMG ADAGD GFEEDA	UTC	752,375.00	1,000.64
ALDGMJKD ADAGD MA DMGKMA	AS	752,375.00	1,000.64
IGMBDFMG ADAGD EHAGMK	AS	752,375.00	1,000.64
TOTAL SALES AND COMMISSION		**3,009,500.00**	**5,003.20**

CIMB EQUITY FUND (TIER STRUCTURE)

		Personal Sales (RM)	Commission (RM)
Personal Sales		0.00	0.00
Downlines Name	**Rank**	**Total Group Sales (*) (RM)**	**Commission (RM)**
ALDGMJKD ADAGD MA DMGKMA	AS	328,232.00	928.38
AFDFJ CMDMMG ADAGD GFEEDA	UTC	328,232.00	928.38
DMMMJD ADA MJDME	AS	328,232.00	928.38
GMJDAM ADAGD AFFMAE	AS	328,232.00	928.38
IGMBDFMG ADAGD EHAGMK	AS	328,232.00	928.38
TOTAL SALES AND COMMISSION		**1,641,810.00**	**5,570.28**

CIMB EQUITY FUND1 (TIER STRUCTURE)-KWSP

		Personal Sales (RM)	Commission (RM)
Personal Sales		0.00	0.00
Downlines Name	**Rank**	**Total Group Sales (*) (RM)**	**Commission (RM)**
ALDGMJKD ADAGD MA DMGKMA	AS	328,232.00	928.38
AFDFJ CMDMMG ADAGD GFEEDA	UTC	328,232.00	928.38
DMMMJD ADA MJDME	AS	328,232.00	928.38
GMJDAM ADAGD AFFMAE	AS	328,232.00	928.38
IGMBDFMG ADAGD EHAGMK	AS	328,232.00	928.38
TOTAL SALES AND COMMISSION		**1,641,810.00**	**5,570.28**

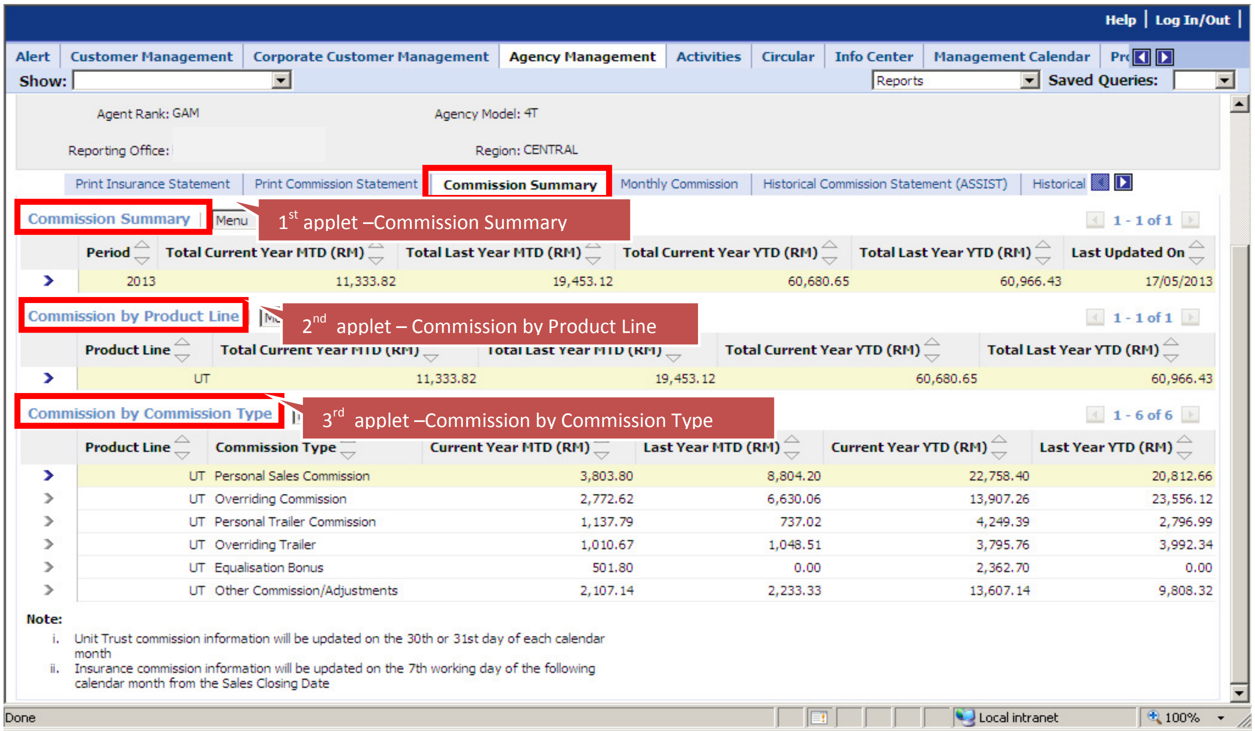
CIMB EQUITY FUND1 (TIER STRUCTURE)-KWSP

		Personal Sales (RM)	Commission (RM)
Personal Sales		0.00	0.00
Downlines Name	**Rank**	**Total Group Sales (*) (RM)**	**Commission (RM)**
ALDGMJKD ADAGD MA DMGKMA	AS	19,545.00	24.43
TOTAL SALES AND COMMISSION		**19,545.00**	**48.86**

GRANT TOTAL OVERRIDING COMMISSION **8,668.89**

TRAILER COMMISSION	**Commission (RM)**
PERSONAL TRAILER COMMISSION	276.26
OVERRIDING TRAILER COMMISSION	247.46
GRAND TOTAL TRAILER COMMISSION	**523.72**

iii. Commission Summary



Period	Total Current Year MTD (RM)	Total Last Year MTD (RM)	Total Current Year YTD (RM)	Total Last Year YTD (RM)	Last Updated On
2013	11,333.82	19,453.12	60,680.65	60,966.43	17/05/2013

Product Line	Total Current Year MTD (RM)	Total Last Year MTD (RM)	Total Current Year YTD (RM)	Total Last Year YTD (RM)
UT	11,333.82	19,453.12	60,680.65	60,966.43

Product Line	Commission Type	Current Year MTD (RM)	Last Year MTD (RM)	Current Year YTD (RM)	Last Year YTD (RM)
UT	Personal Sales Commission	3,803.80	8,804.20	22,758.40	20,812.66
UT	Overriding Commission	2,772.62	6,630.06	13,907.26	23,556.12
UT	Personal Trailer Commission	1,137.79	737.02	4,249.39	2,796.99
UT	Overriding Trailer	1,010.67	1,048.51	3,795.76	3,992.34
UT	Equalisation Bonus	501.80	0.00	2,362.70	0.00
UT	Other Commission/Adjustments	2,107.14	2,233.33	13,607.14	9,808.32

Commission Summary view provides an overview of the Total Commission for UT and Insurance (1st applet), and breakdown of total commission by product line (2nd applet) and by each commission type (3rd applet), based on the following details. For example: current month is March 2013

a) Total Current MTD (Month-to-date) – i.e. March 2013

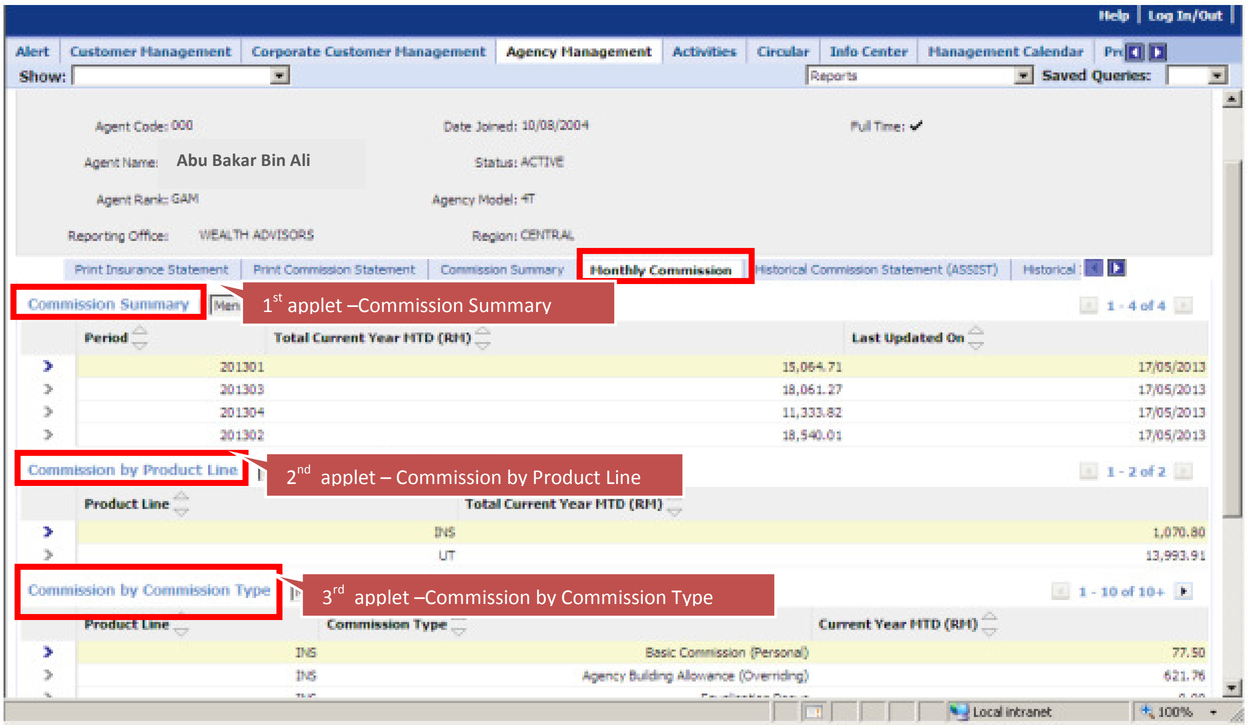
b) Total Last Year MTD (Month-to-date) – i.e. March 2012

c) Total Current Year YTD (Year-to-date) – i.e. January 2013 – March 2013

d) Total Last Year YTD (Year-to-date) – i.e. January 2013 – March 2012

To select Product Line, then breakdown commission for the selected Product Line will be displayed.

iv. Monthly Commission



Monthly Commission tab provides monthly total commission with breakdown details by commission type for both UT and Insurance product line. This tab consists of 3 applets.

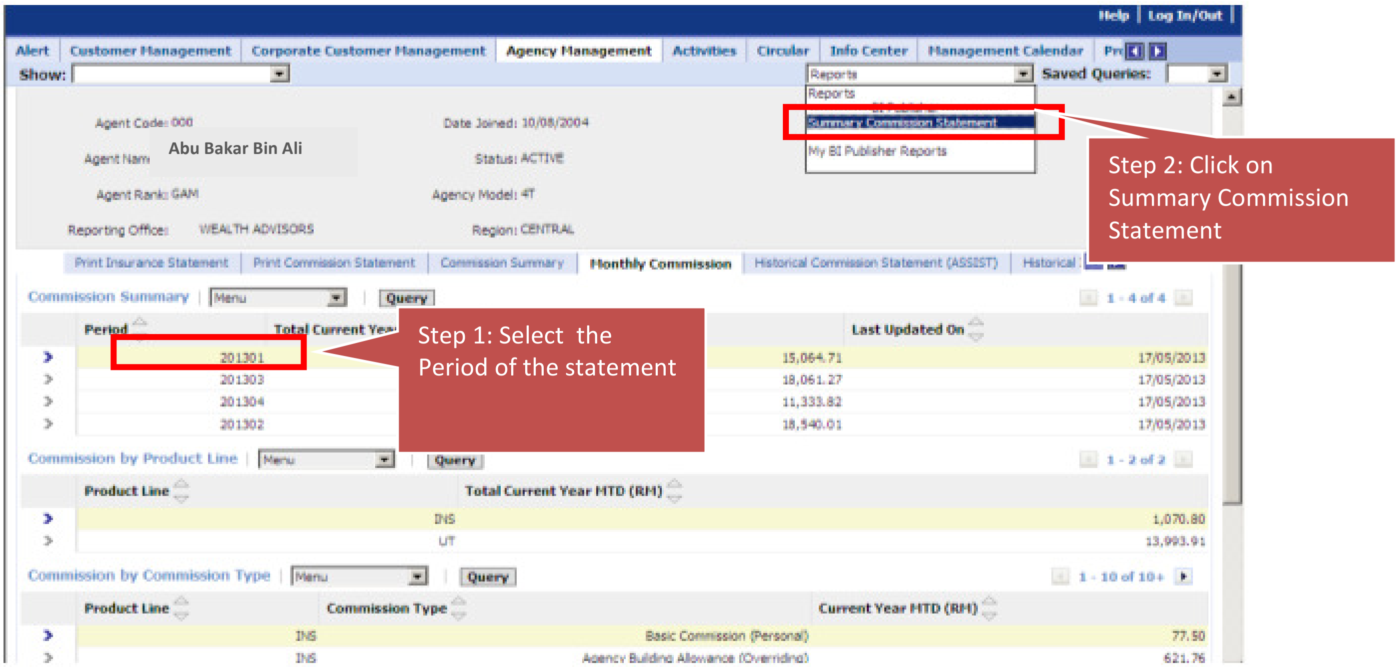
a) Commission Summary – to select period

b) Commission by Product Line – to select product line

c) Commission by Commission Type - breakdown commission amount based on defined period & product line

To select period, then select product line, breakdown commission for the selected period and product line will be displayed.

Print Summary Commission Statement



Agent can print the Summary Commission Statement in this tab by clicking on the ‘Summary Commission Statement’ from the Reports dropdown button (on top right hand corner).

Sample Summary Commission Statement

SUMMARY COMMISSION STATEMENT FOR 02/2010

ALD MIKMD ADAGD GMADC (00008796)
AL 61
BHDBMAM JMIHHDHI HMEG
LKAHDFMKM

GAM

SALES COMMISSION STATEMENT FOR THE PERIOD OF -

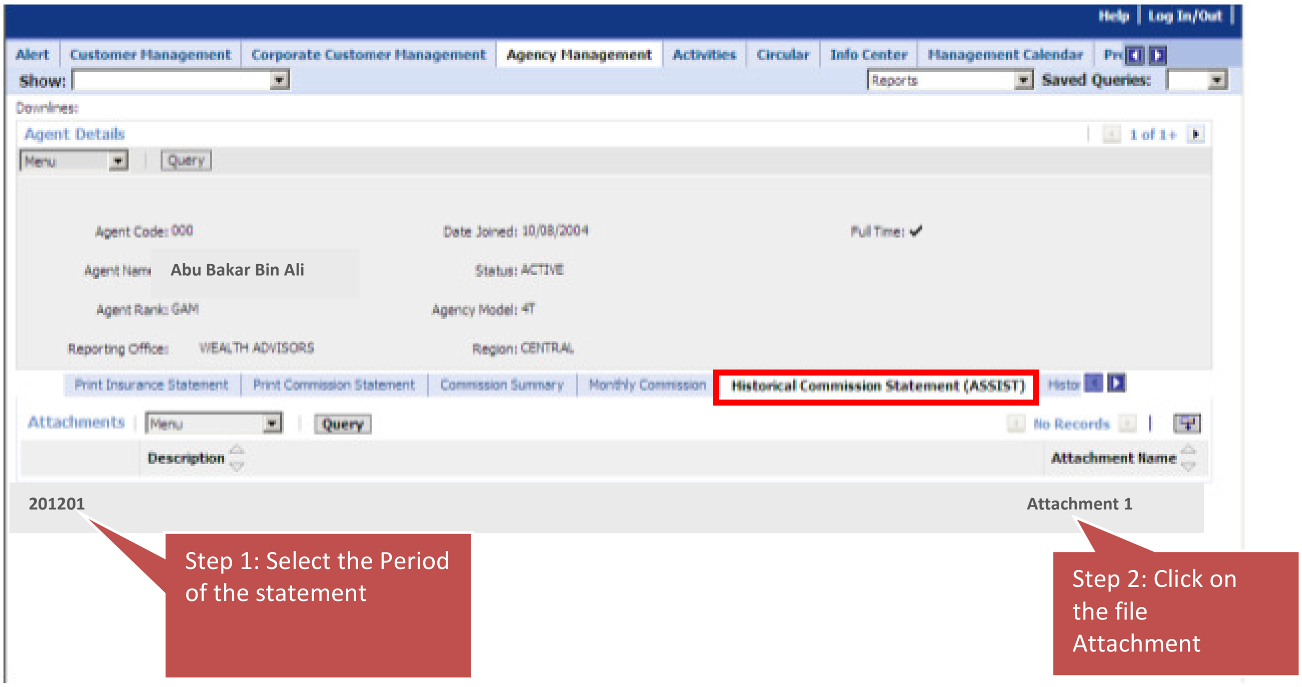
UNIT TRUST	
	AMOUNT (RM)
TOTAL UNIT TRUST SALES COMMISSION FOR THE MONTH	0

INSURANCE	
	AMOUNT (RM)
TOTAL INSURANCE SALES COMMISSION OF THE MONTH	0

GRAND TOTAL COMMISSION FOR THE MONTH	0

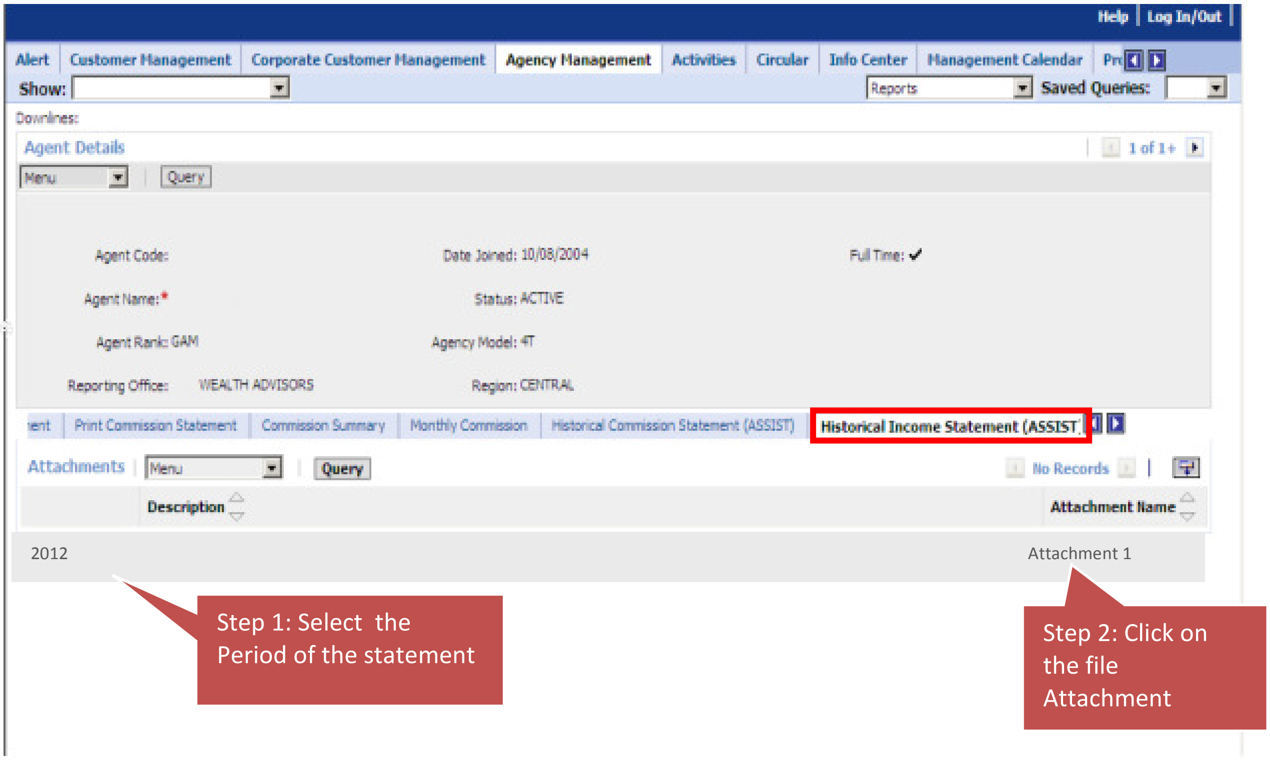
Note: TBA

v. Historical Commission Statement (ASSIST)



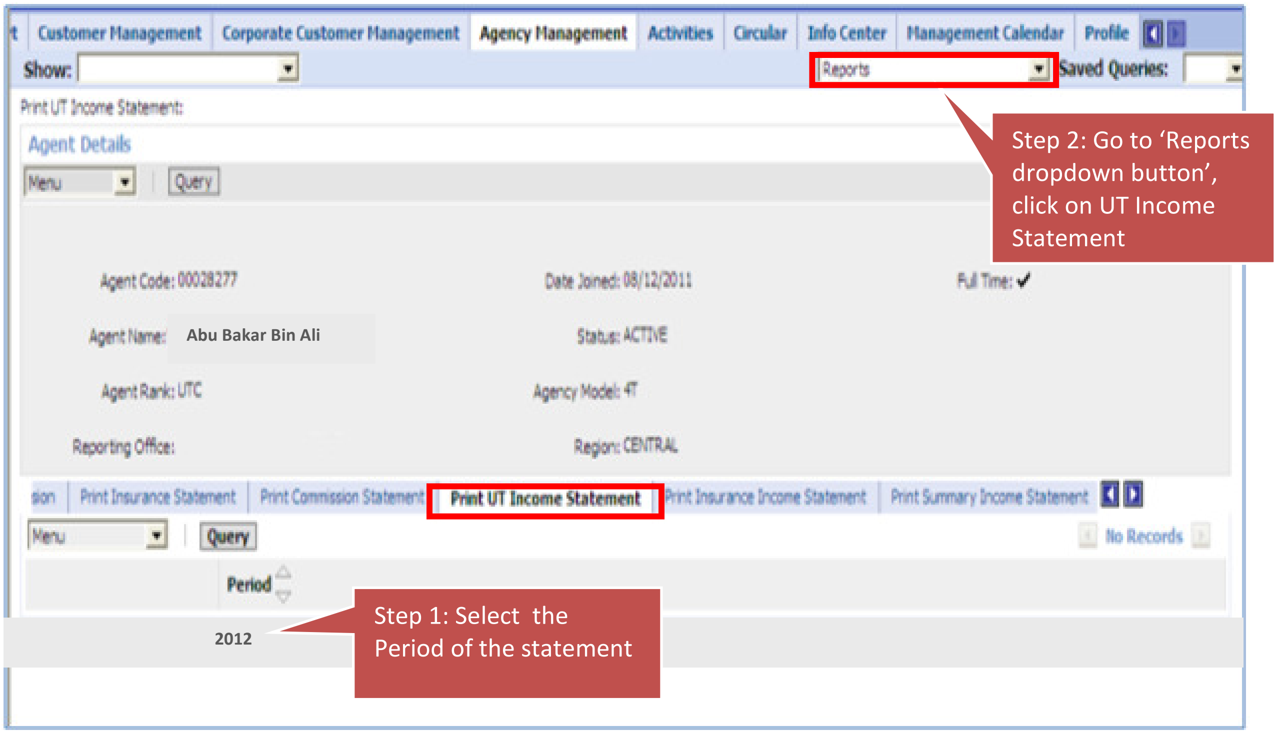
Select period, then click on attachment name, the report will be generated in pdf format.

vi. Historical Income Statement (ASSIST)



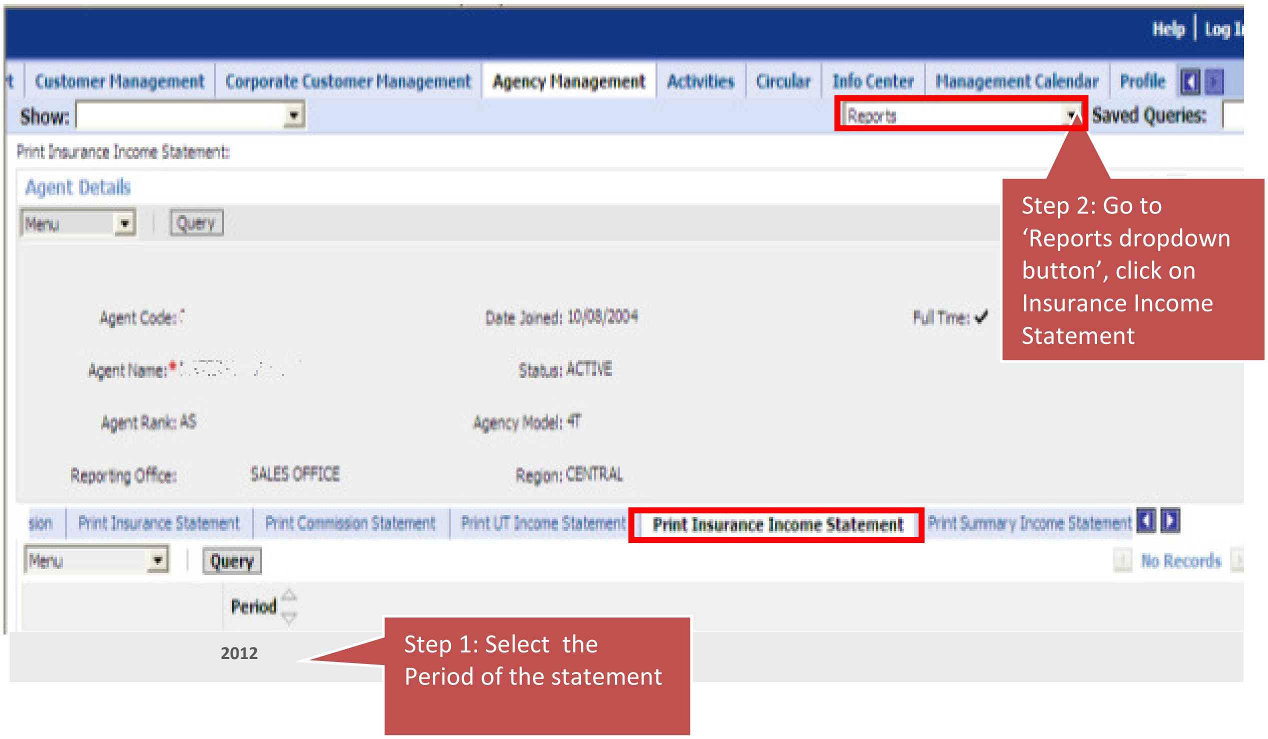
Select period, then click on attachment name, the report will be generated in pdf format.

vii. Print UT Income Statement



Select period, then go to 'Reports dropdown button', click on UT Income Statement, the report will be generated in pdf format.

viii. Print Insurance Income Statement



Select period, then go to 'Reports dropdown button', click on Insurance Income Statement, the report will be generated in pdf format.

Sample UT/Insurance Income Statement

PENYATA BAYARAN INSENTIF BERBENTUK WANG TUNAI DAN BUKAN WANG TUNAI KEPADA EJEN, PENGEDAR ATAU PENGAGIH TERTAKLUK KEPADA SEKSYEN 83A AKTA CUKAI PENDAPATAN 1967

STATEMENT OF MONETARY AND NON-MONETARY INCENTIVE PAYMENT TO AN AGENT, DEALER OR DISTRIBUTOR PURSUANT to SECTION 83A OF THE INCOME TAX ACT 1967

Borang ini ditetapkan di bawah seksyen 152 Akta Cukai Pendapatan 1967

This form is prescribed under section 152 of the Income Tax Act 1967

BAGI TAHUN BERAKHIR 31 DISEMBER / *FOR THE YEAR ENDED 31 DECEMBER*: 2011

BAHAGIAN A / *PART A* : MAKLUMAT SYARIKAT PEMBAYAR / *PAYER COMPANY'S PARTICULARS*

1. Nama / *Name*: [illegible]
2. Alamat / *Address*: [illegible]
3. No. Rujukan (No. Pendaftaran) / *Reference No. (Registration No.)*: [illegible]
4. No. Cukai Pendapatan / *Income Tax No.* C [illegible]

BAHAGIAN B / *PART B* : MAKLUMAT PENERIMA / *RECEIPIENT'S PARTICULARS*

1. Nama / *Name*: [illegible]
2. Alamat / *Address*: [illegible]
3. No. Pendaftaran / Kad Pengenalan / Polis / Tentera / Pasport * *Registration / Identity Card / Police / Army / Passport No** (* Potong yang tidak berkenaan / *Delete whichever is not applicable*): [illegible]
4. No. Cukai Pendapatan / *Income Tax No.*
   Isi / *Enter* : C / C1 / SG / OG / D / TP / TJ / TF
5. Mastautin di Malaysia / *Resident in Malaysia*: 1 — 1 = Ya / *Yes* 2 = Tidak / *No*

BAHAGIAN C / *PART C* : MAKLUMAT BAYARAN INSENTIF / *PARTICULARS OF INCENTIVE PAYMENT*

			RM
1.	**Nilai insentif berbentuk wang tunai / *Value of monetary incentive***		
	(a) Komisen / bonus / *Commission / bonus*		815,930.65
	(b) Lain-lain / *Others*	(Sila nyatakan / *Please specify*)	0.00
2.	**Nilai insentif berbentuk bukan wang tunai / *Value of non-monetary incentive***		
	(a) Kenderaan / *Vehicle*		0.00
	(b) Rumah / *House*		0.00
	(c) Pakej Pelancongan / perjalanan / *Tour / travel package*		0.00
	(d) Lain-lain / *Others*	Cash Voucher (Sila nyatakan / *Please specify*)	100.00
		JUMLAH / *TOTAL* :	816,030.65

BAHAGIAN D / *PART D* : AKUAN PEMBAYAR / *PAYER'S DECLARATION*

Saya / *I*: KONG LAN

No. Pendaftaran / Kad Pengenalan / Polis / Tentera / Pasport * *Registration / Identity Card / Police / Army / Passport No.* * (* Potong yang tidak berkenaan / *Delete whichever is not applicable*): [illegible]

Jawatan / *Designation*: Director

dengan ini mengakui bahawa maklumat yang diberikan dalam penyata ini adalah benar, betul dan lengkap seperti mana yang dikehendaki di bawah seksyen 83A Akta Cukai Pendapatan 1967. Saya juga sedia maklum bahawa kegagalan menyediakan dan menyerahkan salinan penyata ini kepada ejen, penyedar atau pengagih berkenaan dalam tempoh yang ditetapkan oleh Akta tersebut adalah merupakan suatu kesalahan,dan jika disabitkan kesalahan, boleh dikenakan denda tidak kurang daripada dua ratus ringgit (RM200) dan tidak melebihi dua ribu ringgit (RM2,000) atau hukuman penjara untuk satu tempoh tidak melebihi enam (6) bulan atau kedua-duanya sekali di bawah subseksyen 120(1) Akta yang sama.

hereby declare that the information given in this statement is true, correct and complete as required under section 83A of the Income Tax Act 1967. I am also aware that failure to prepare and render a copy of this statement to the relevant agent dealer or distributor within the period stipulated by the Act is an offence and shall, on conviction, be liable to a fine of not less than two hundred ringgit (RM200) and not more than two thousand ringgit (RM2,000) or to imprisonment for a term not exceeding six (6) months or to both under subsection 120(1) of the same Act.

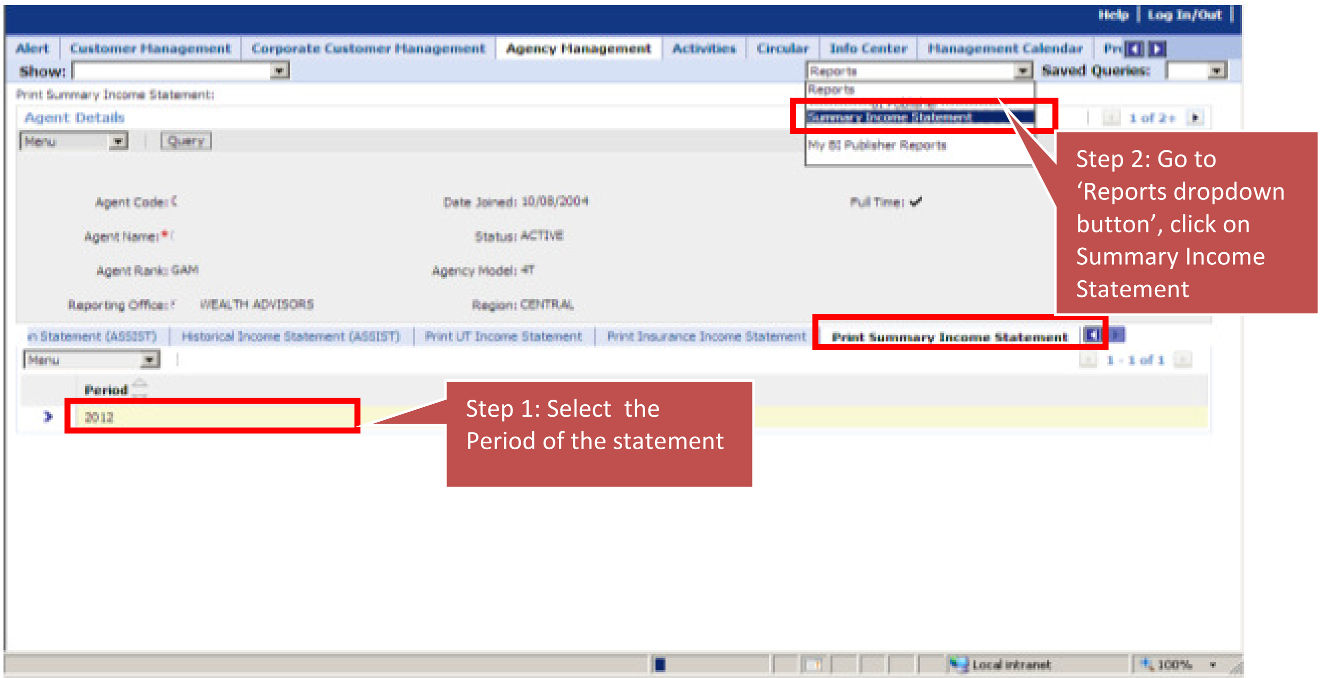
Tarikh / *Date* : [illegible]
Hari / *Day* Bulan / *Month* Tahun / *Year*

Tandatangan ** / *Signature* **

Cap Syarikat / *Company Stamp*

** Nota: Pengakuan ini hendaklah dibuat oleh pemegang jawatan dalam syarikat selaras dengan peruntukan Akta Cukai Pendapatan 1967 /
** *Note : This declaration must be made by a designed officer of the company pursuant to Income Tax Act 1967*

ix. **<u>Print Summary Income Statement</u>**



Summary Income Statement is a consolidated statement for UT and Insurance Income Statement. For printing – Select period, then go to ‘Reports dropdown button’, click on Summary Income Statement, the report will be generated in pdf format.

Sample Summary Income Statement

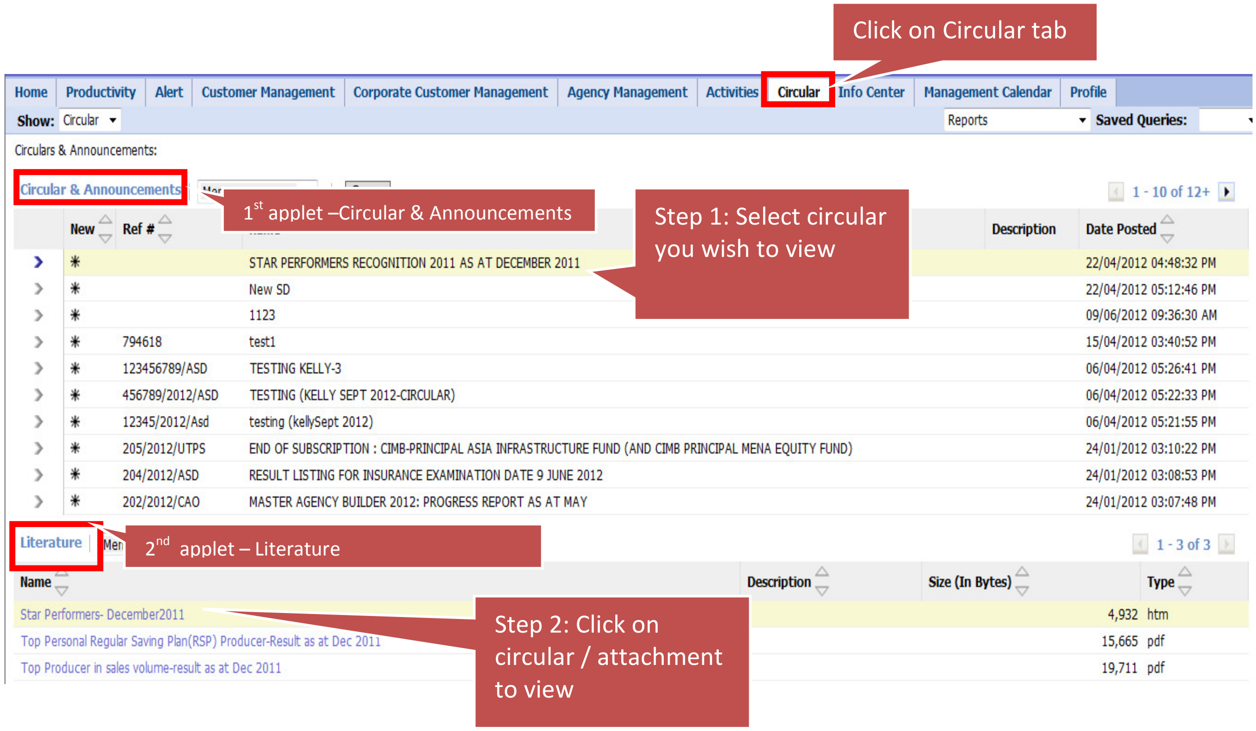
SUMMARY OF INCOME STATEMENT FOR YEAR ENDED 2012

Agent Name	:	HSFSZWZ YRMGR ZOZMT HSFPLI	**Agent Code**	:	00006713
NRIC	:	680105-07-5458 *(new / old NRIC; Passport No)*	**Date**	:	18/01/2013
Address	:	67-6 QZOZM 8/72U PFZOZ OFNKFI HZGVORGV XVMGIV DZMTHZ NZQF HVXGRLM 4			

		(RM)
1.	**CIMB WEALTH ADVISORS SDN BHD**	
	Total Income for Unit Trust Business and other non-UT products	1,033,959.57
2.	**ASTRID WEALTH PLANNERS**	
	Total Income for Insurance Business	47,166.94
	TOTAL INCOME FOR YEAR ENDED 2012 :	**1,081,126.51**

THIS IS A COMPUTER GENERATED STATEMENT
NO SIGNATURE IS REQUIRED

5. 0 Circular



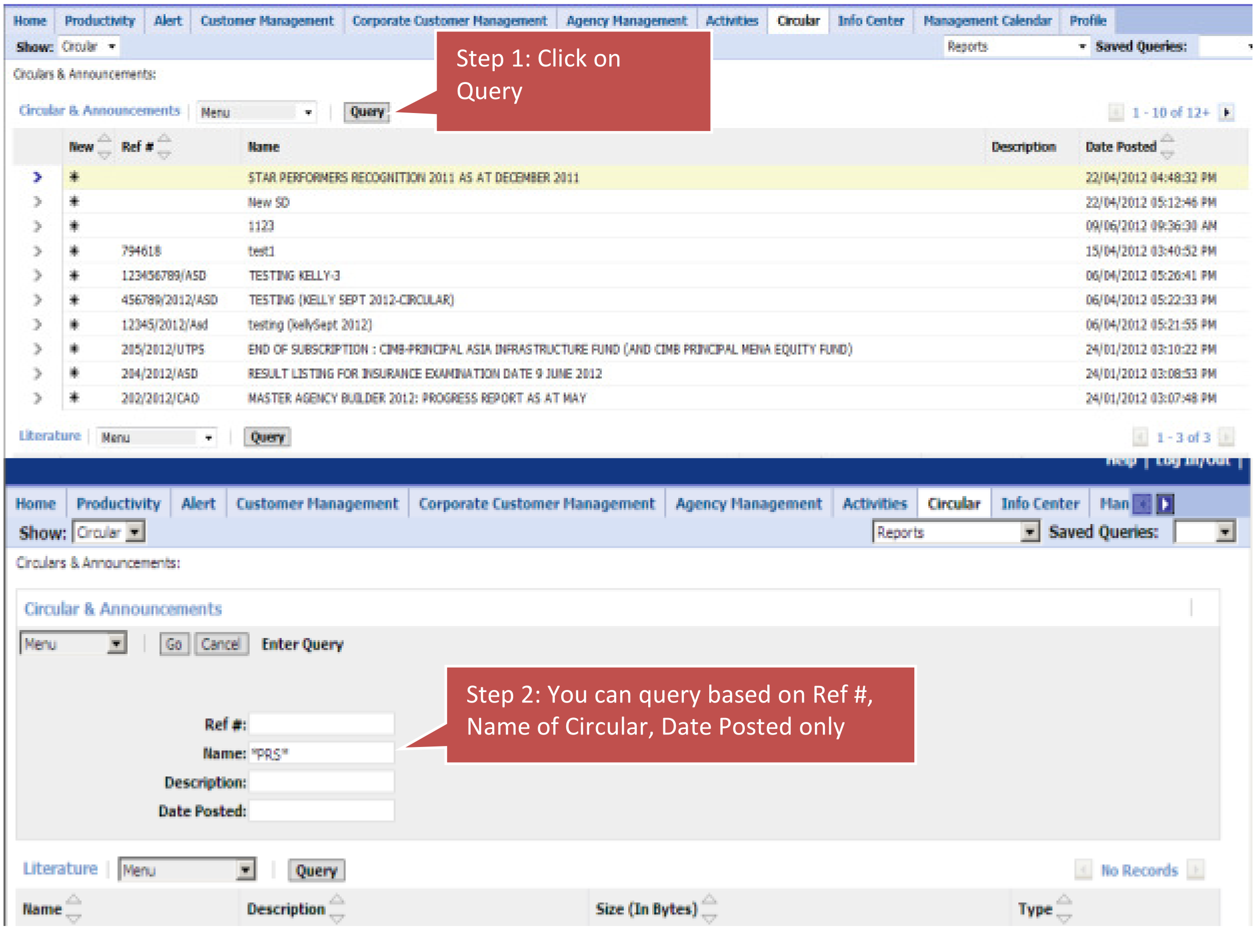
Consists of 2 applets

- Circular & Announcements (1st applet)
- Literature (2nd applet)

To view a circular, click on the Circular Name at the 1st applet. The selected circular and the attachments of the circular (if any) will be displayed at the 2nd applet

- 1st attachment is defaulted to Circular
- 2nd attachment (and onwards) will be the circular attachments

How to search for a circular



Click on Query button at Circular & Announcements applet.
Once click, the above search page will be displayed.

Input by Ref # , Name and Date Posted of a circular only. The relevant circular based on the search item will be displayed.
i.e. Query by circular name of *PRS* - any circular name stated PRS will be displayed.

6. 0 Alert

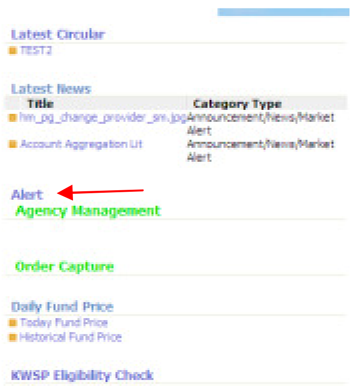
ASSIST PRO will generate alerts to notify on the status of your submission or events so that you can take the necessary actions. You can access and view the alerts at two locations i.e. Home or Alert screen.

Home screen

Alerts are listed at home screen, on the left side.

However, only Agency Management and Order Capture alerts are listed.

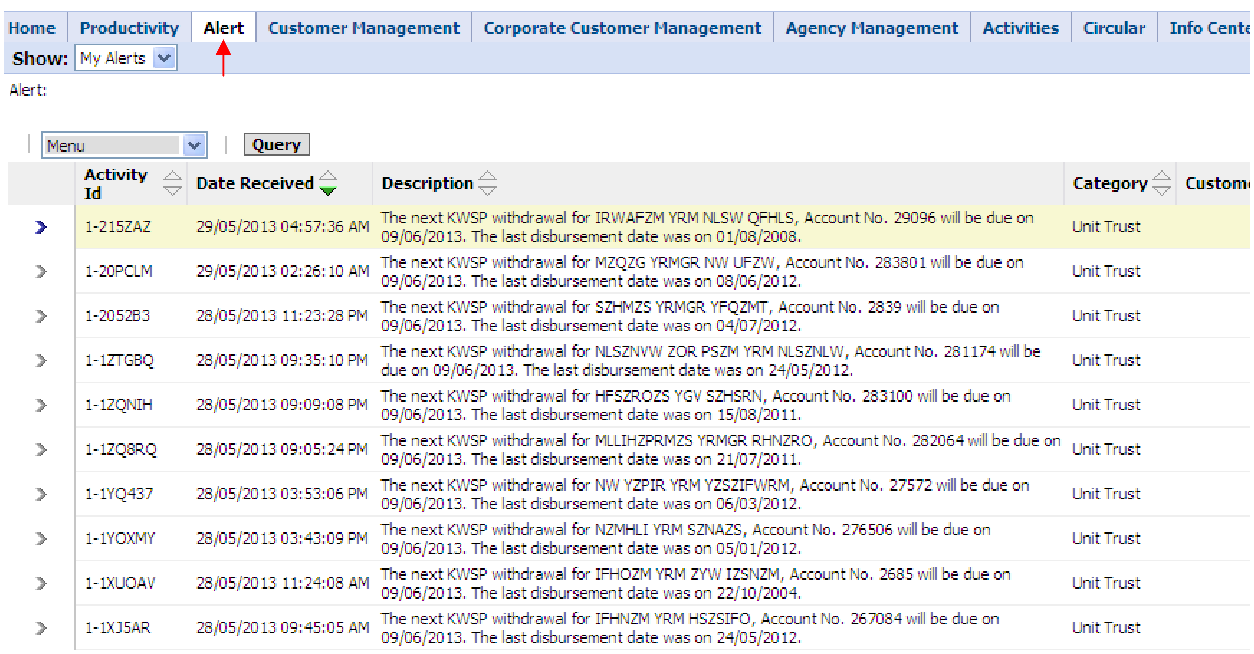
To view the alert details, click on the specific alert.



Alert screen

When you click on the 'Alert' tab, a list of alert assigned to you will be displayed as shown below.

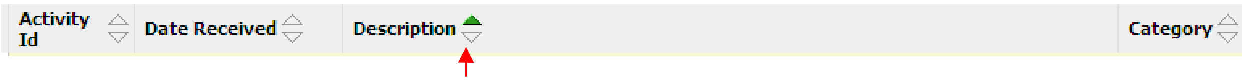
The list will show 10 records by default and sorted by the latest date.



Activity Id	Date Received	Description	Category	Custom
1-215ZAZ	29/05/2013 04:57:36 AM	The next KWSP withdrawal for IRWAFZM YRM NLSW QFHLS, Account No. 29096 will be due on 09/06/2013. The last disbursement date was on 01/08/2008.	Unit Trust	
1-20PCLM	29/05/2013 02:26:10 AM	The next KWSP withdrawal for MZQZG YRMGR NW UFZW, Account No. 283801 will be due on 09/06/2013. The last disbursement date was on 08/06/2012.	Unit Trust	
1-2052B3	28/05/2013 11:23:28 PM	The next KWSP withdrawal for SZHMZS YRMGR YFQZMT, Account No. 2839 will be due on 09/06/2013. The last disbursement date was on 04/07/2012.	Unit Trust	
1-1ZTGBQ	28/05/2013 09:35:10 PM	The next KWSP withdrawal for NLSZNVW ZOR PSZM YRM NLSZNLW, Account No. 281174 will be due on 09/06/2013. The last disbursement date was on 24/05/2012.	Unit Trust	
1-1ZQNIH	28/05/2013 09:09:08 PM	The next KWSP withdrawal for HFSZROZS YGV SZHSRN, Account No. 283100 will be due on 09/06/2013. The last disbursement date was on 15/08/2011.	Unit Trust	
1-1ZQ8RQ	28/05/2013 09:05:24 PM	The next KWSP withdrawal for MLLIHZPRMZS YRMGR RHNZRO, Account No. 282064 will be due on 09/06/2013. The last disbursement date was on 21/07/2011.	Unit Trust	
1-1YQ437	28/05/2013 03:53:06 PM	The next KWSP withdrawal for NW YZPIR YRM YZSZIFWRM, Account No. 27572 will be due on 09/06/2013. The last disbursement date was on 06/03/2012.	Unit Trust	
1-1YOXMY	28/05/2013 03:43:09 PM	The next KWSP withdrawal for NZMHLI YRM SZNAZS, Account No. 276506 will be due on 09/06/2013. The last disbursement date was on 05/01/2012.	Unit Trust	
1-1XUOAV	28/05/2013 11:24:08 AM	The next KWSP withdrawal for IFHOZM YRM ZYW IZSNZM, Account No. 2685 will be due on 09/06/2013. The last disbursement date was on 22/10/2004.	Unit Trust	
1-1XJ5AR	28/05/2013 09:45:05 AM	The next KWSP withdrawal for IFHNZM YRM HSZSIFO, Account No. 267084 will be due on 09/06/2013. The last disbursement date was on 24/05/2012.	Unit Trust	

You need to click next button to retrieve more alerts.

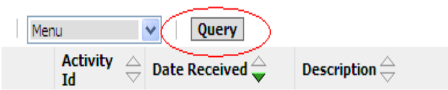
You are able to sort the alerts based on your preference by clicking the required column header.



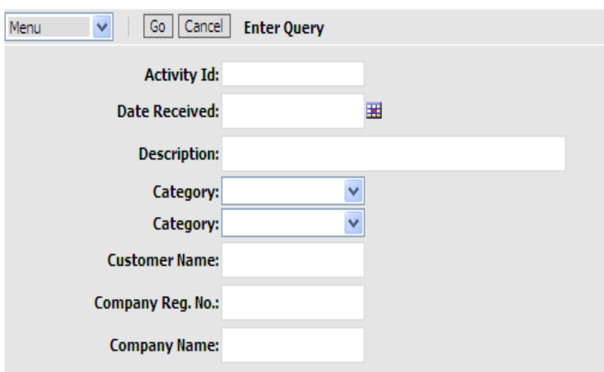
The green arrow indicates current sorting option, as explained in the basic navigation section.

You can also search the alerts using the standard query function as below.

1) Click ‘Query’ button.



2) System will display the query screen shown below. You can key-in your search criteria in any of the available fields and click ‘Go’.



3) You can also query using wild card search under the ‘Description’ field. For example, you can search an alert for a particular customer name or alert message by including *XXXXXX* in your search criteria, in the ‘Description’ field.

For e.g.:

To click go after entering your search criteria.

Two types of alerts are available in ASSIST PRO.

Manual Alert

This alert is manually triggered to you from time to time on specific matters when required by CWA. For example in the event of pending cases follow up, request to update your customer’s address and others.

System Alert

This standard alert is generated by the system when certain processes take place such as KWSP Rejection, e-Switching mandate activation, order cancellation and etc.
The full system alerts under different category is listed in the respective table below:-

i. **Unit Trust Category**

No	Alert Type	Alert Message
1	KWSP Account where last disbursement date equals to 90 days	The next KWSP withdrawal for <customer name>, Account No. <account no> will be due on <KWSP due date>. The last disbursement date was on <disbursement date>.
2	Rejection of KWSP investment transaction with penalty	KWSP Investment for Customer Name: xxxxxxx, Account No: xxxx, submitted on: xx/xx/xxxx(Transaction Date) has been rejected by KWSP due to < KWSP Reason >. Please note that penalty of RM100 is imposed for the first and second rejection and penalty of RM150 is imposed for third rejection onwards, in which the penalty amount will be deducted from the next commission.
3	Rejection of KWSP investment transaction without penalty	KWSP Investment for Customer Name: xxxxxxx, Account No: xxxx, submitted on: xx/xx/xxxx(Transaction Date) has been rejected by KWSP due to < KWSP Reason >. No penalty will be deducted from commission.
4	KWSP upfront rejection - thumbprint quality below 120 dpi	KWSP investment for <customer name>, Account No. <account no> submitted on <transaction date> has been rejected due to <upfront rejected reason>.
5	Reactivation of KWSP Eligibility Check access	Your access to KWSP Eligibility Check has been reactivated.
6	Redemption Submitted by Terminated/Resigned Agent serving notice period Note: Alert will be triggered to Upline, GAM and ADM	Agent Code: xxx, Agent Name: xxxxxxx has submitted Redemption for xxx Units of Fund xx. Agent is serving notice.
7	Large Amount Redemption Note: Alert will be triggered to Upline, GAM and ADM	Agent Code: xxx, Agent Name: xxxxxxx has submitted Redemption for xxx Units of Fund xx.
8	eSwitch Authorization approved or revoked.	• eSwitch mandate for <customer name>, Account No <account no> has been activated. • eSwitch mandate for <customer name>, Account No <account no> has been revoked.

No	Alert Type	Alert Message
9	Order cancellation – applicable to all type of order	<order type> submitted on <transaction date> for customer <XX> has been rejected. For more details, please call Agency Hotline.
10	RSP enrollment failure (Maybank).	Standing Instruction Application for <customer name>, Account No <account no> with <bank name> has not been successful due to <reason>.
11	RSP enrollment failure	Standing Instruction Application for <customer name>, Account No <account no> with <bank name> has not been successful.
12	RSP default payment	Standing Instruction deduction for <customer name>, Account No <account no> for <transaction date>has not been successful due to <SI rejection reason>.

Note *: Highlighted alerts are yet to be activated.*

ii. **Estate Planning Category**

No	Alert Type	Alert Message
1	Trust Nomination Pending Resubmission Orders	We are unable to process your <order type> application submitted on <date> for customer <XX> due to <Rejection Reason>. Please resubmit within 10 working days from this notification, otherwise the application will be cancelled.
2	IEP or Conventional Will & Trust Document Collection – upon creation of Document Activity in Order screen.	The document for your <order type> application submitted on <XX> for customer <XX> is ready for collection at CWA <collection branch>.

iii. **Insurance Category**

No	Alert Type	Alert Message
1	Policy Maturity – alert to be triggered 3 months before the maturity date of the Policy	Your customer Name: xxxxxxx with <order type> will mature in 3 months.
2	Policy Document Collection – upon creation of Document Activity in Policy screen.	The document for your <order type> application submitted on <XX> for customer <XX> is ready for collection at CWA <collection branch>.

iv. **Agency Management Category**

No	Alert Type	Alert Message
1	Exam Registration Status	<EXAM TYPE> EXAM CONFIRMATION Your/Your downline <exam type> Examination has been CONFIRMED as follows:- Name: <candidate Name> I/C: <candidate I/C> Exam No.: <alpha-numerical> Exam Date: <dd/mm/yyyy> Exam Session: <xx:xx AM/PM to xx:xxAM/PM> Exam Centre: <centre name>
2	Exam Result	<EXAM TYPE> EXAM RESULTS Your/Your downline <exam type> result has been released as follows:- Name: <Agent Name> Exam Type: <CUTE/PCEIA/TBE etc> Exam Date: <dd/mm/yyyy> Exam Results: <Passed/Failed/Absent>
3	Non-Insurance License Approval	<LICENSE TYPE> LICENSE APPROVED!! Your/Your downline <license type> license registration has been APPROVED. You/your downline may now proceed to sell <product type> products. Name: <Agent Name> Agent Code: <CWA Agent Code> Effective Date: <license effective date> Happy Selling!! cc. <Upline Name><Sales Office> <ADC Name><Office Name>
4	Insurance License Approval	<LICENSE TYPE> LICENSE APPROVED!! Your/Your downline <license type> license registration has been APPROVED. You/your downline may now proceed to sell <product type> products. For submission of proposal forms, please fill in the agent details as follows:- Agency Name: KL-CWA

No	Alert Type	Alert Message
		Agency Code: 06150 Agent Name: <Agent Name> AIA Agent Code: <AIA Agent Code> Happy Selling!! cc. <Upline Name><Sales Office> <ADC Name><Office Name>
5	License renewal fee deduction failure.	ATTENTION: <LICENSE TYPE> RENEWAL FEES DUE Your <License Type> License renewal will expire on <xx/xx/xxxx>. License Renewal fee is <RM00.00>. As to-date, amount deducted towards renewal from your commission is RM <xxx>. Please settle the balance due of <xxx> by the expiry date Note: Kindly disregard this alert if you have already settled the renewal fee.
6	Card Collection	<LICENSE TYPE> AUTHORISATION CARD COLLECTION Your/your downline <license type> authorisation card is ready for collection at <Reporting Office>. Please collect the card by <14 days from date notice> Agent Name/Code/Rank: <>/<>/<> Card Type: <New Authorisation Card/Renewal Authorisation Card>
7	Certificate Collection	<EXAM TYPE> CERTIFICATE COLLECTION Your/Your downline <exam type> Certificate is ready for collection at <Reporting Office>. Please collect the certificate by <14 days from date notice> Agent Name/Code/Rank: <>/<>/<> Certificate Type: <exam type>
8	SD Due	REMINDER - FIMM SD DUE Your FiMM Statutory Declaration (SD) for Continuos Eligibility Requirement will expire on <SD due date>. Please submit a new SD to <Reporting Office Branch> by the expiry date. Failing which shall result to de-registration by FiMM. cc. <New Upline Name><Sales Office> <ADC Name><Office Name>

No	Alert Type	Alert Message
9	Car loan reimbursement	REMNDER - CAR LOAN SUBSIDY REIMBURSEMENT We will be paying the car loan subsidy payments in your January <yyyy> commission. Please submit your Car Loan Installment Slips to <Reporting Office Branch> by 10 January <yyyy>. The car loan subsidy will only be reimbursed accordingly to timely submission of the required receipts.
10	Demotion	NOTIFICATION ON DEMOTION You - <Agent Name><Agent Code> have been demoted from <old rank> to <new rank> effective <>. For details, please refer to your ADC/Agent Upline. cc. <Upline Name><Sales Office> <ADC Name><Office Name>
11	Change of Upline	CHANGE OF UPLINE Your/Your downline application for Change of Upline has been APPROVED. Details are as follows:- Agent Name/Code/Rank: <>/<>/<> Old Upline/Code/Rank: <>/<>/<> New Upline/Code/Rank: <>/<>/<> Effective Month: <> cc. <New Upline Name><Sales Office> <ADC Name><Office Name>
12	Change of Reporting Office	CHANGE OF REPORTING OFFICE Your application for Change of Reporting Office has been APPROVED. Details are as follows:- Agent Name/Code/Rank: <> Old Reporting Office: <> New Reporting Office: <> Effective Month: <> cc. <ADC Name><Office Name>

***Note** : Highlighted alerts are yet to be activated.*

7. 0 Profile

The ‘Profile’ screen provides information of you as a user in ASSIST PRO.
Two views are available under this screen i.e.

1. Agent Profile
2. Update Personal Information

7.1 Agent Profile

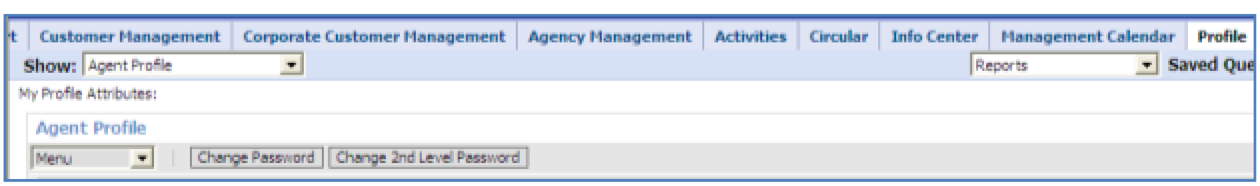
This view provides your personal information such as name, gender, ID No, address, email address, income tax number, spouse information and commission information.

In addition, you can change and update your password under this view.
Two password levels are made available depending on your rank.
The 2nd level password option is applicable for GAM and AM only.

Follow the steps below to change the respective level password.

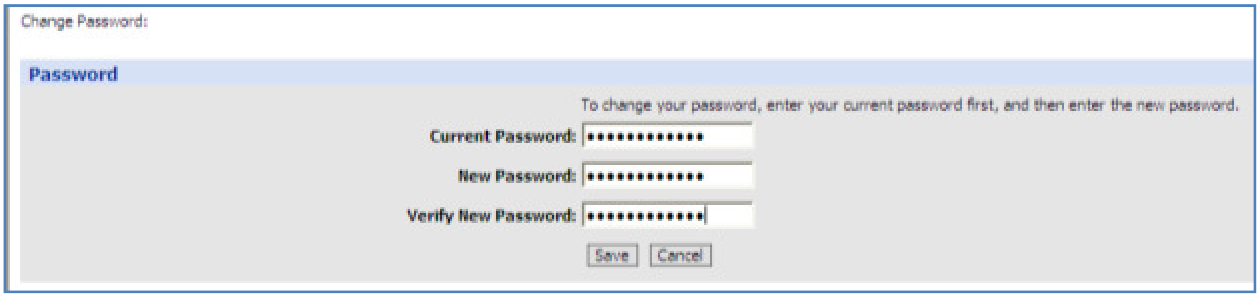
7.1.1 Change Password

1) Navigate to Profile and click ‘Change Password’ button

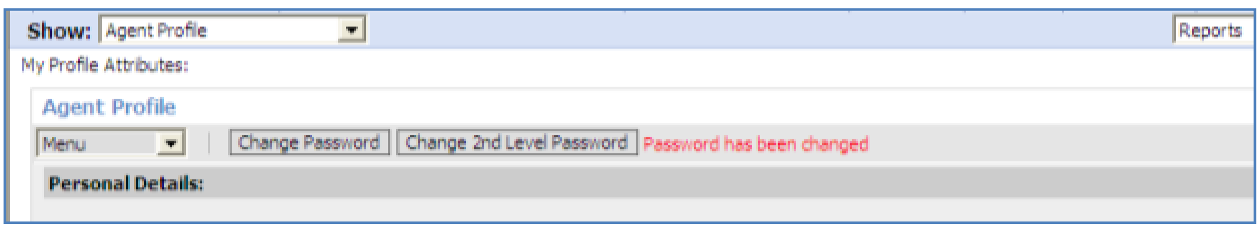


2) Enter current password and new password. The password must contain minimum 7 characters with at least one numeric, one upper case alphabet and one special character.

3) Click Save button.

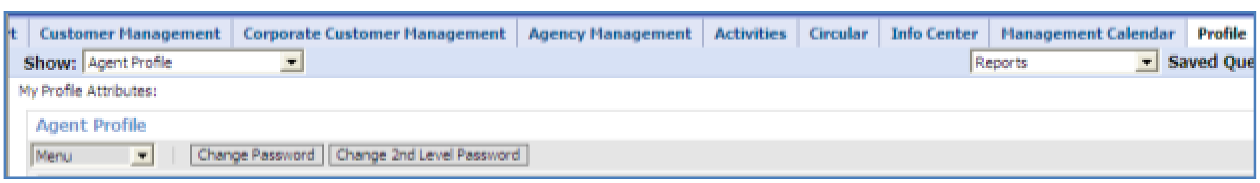


4) The message “Password has been changed” will be displayed to indicate successful change of password.



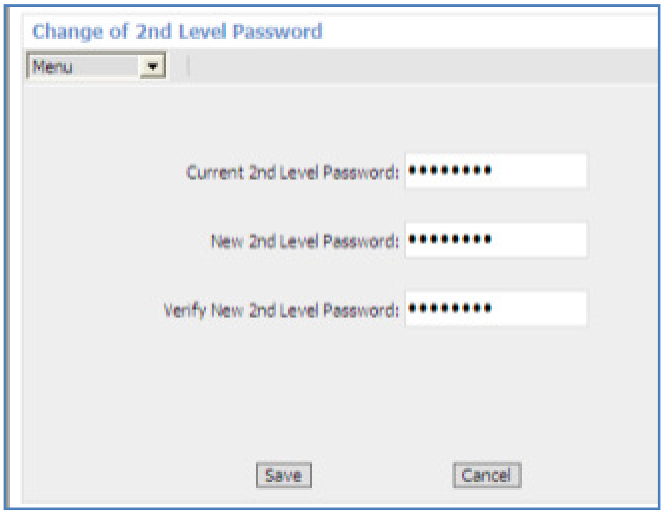
7.1.2 Change2nd Level Password

1) Navigate to Profile and click on Change 2nd Level Password button

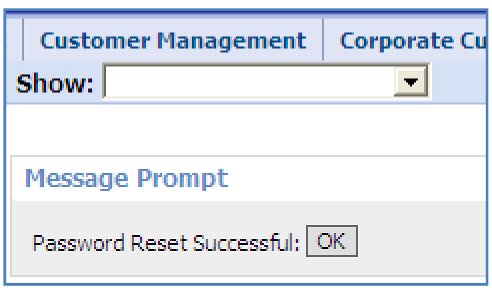


2) Enter current 2nd level password and new 2nd level password. The password must contain minimum 7 characters with at least one numeric, one upper case alphabet and one special character.

3) Click 'Save' button.



4) The message "Password Reset Successful" will be displayed to indicate successful change of 2nd level password. Click 'OK'.

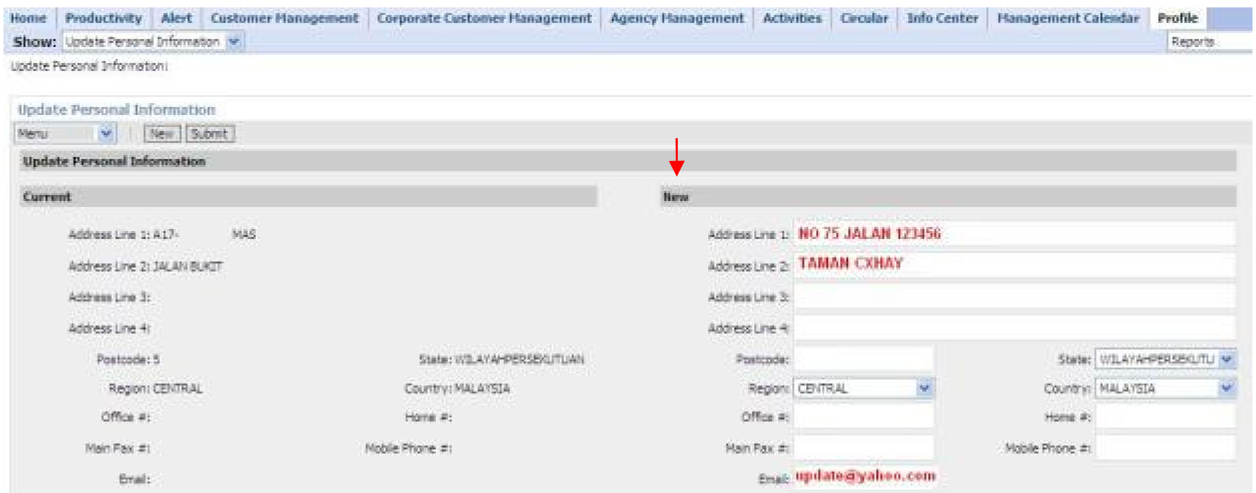


7.2 Update Personal Information

This view allows you to update your personal correspondence information such as address, email address, mobile phone and phone.

To update your personal information, follow the steps below.

1. Click 'New' and the below screen will be displayed.
   Your current details will be populated on the left side.
   Enter your latest information on the white fields available on the right side.



2. Click the 'Submit' button once you have completed.
   If successful, the fields on the right side will turn grey and the request will be processed by Agency Services Department.