

ASSIST PRO GUIDE

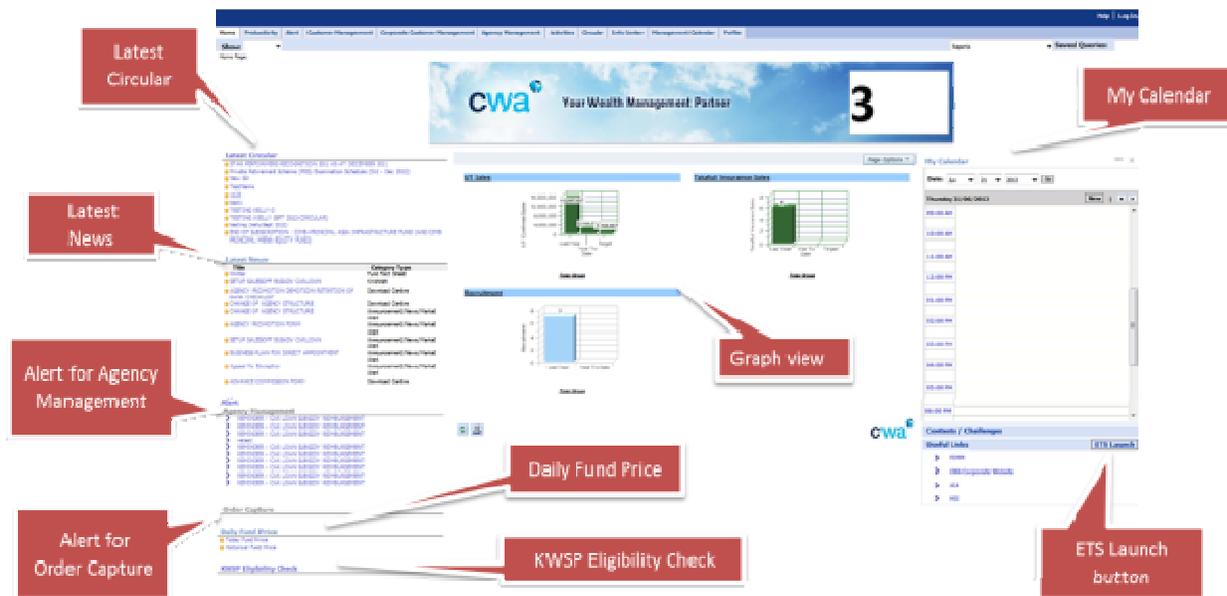
17/6/2013
CIMB Wealth Advisors Bhd
Version 1.0

Contents

1. 0 Home.....	3
2. 0 Basic User Interface & Navigation.....	5
3. 0 Knowing Your Customer	13
3. 1 Retail Customer.....	13
3.1.1 Customer Profile	13
3.1.2 Customer Products.....	15
3.1.3 Customer Ledger.....	20
3.1.4 Perform e-Switch Transaction.....	23
3.1.5 KWSP Eligibility Check.....	29
3.1.6 Update Customer Contact Details	34
3. 2 Corporate Customer.....	37
3.2.1 Corporate Customer Profile	37
3.2.2 Corporate Customer Products	38
3.2.3 Corporate Customer Ledger.....	42
3.2.4 Update Corporate Customer Contact Details	44
4. 0 Agent Management	47
4.1 Agent Benefit	48
4.2 Contest Achievement.....	49
4.3 Licensing.....	50
4.4 Agent Structure	51
4.5 Commission & Income Statement	58
5. 0 Circular	74
6. 0 Alert.....	76
7. 0 Profile.....	83
7.1 Agent Profile	83
7.1.1 Change Password.....	83
7.1.2 Change2nd Level Password.....	84
7.2 Update Personal Information	86

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

Section	Descriptions
KWSP Eligibility Check	<p>Quick link to the KWSP Eligibility Check function.</p> <p>Please refer to the KWSP Eligibility Check section in this Guide for more details.</p>
My Calendar	<p>Displays the activities and events managed by CWA for agents.</p>
Contests / Challenges	<p>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.</p>
Useful Links	<p>Displays the link to e-Training System (ETS). To launch the ETS, please click ETS Launch</p> <p>Other useful links i.e. FiMM, AIA Direct, MII and CWA Corporate website are provided.</p>
Graph View	<p>Display charts that illustrate your unit trust sales, insurance/takaful sales and recruitment.</p> <p>Detailed reports are available in the Productivity screen.</p>

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

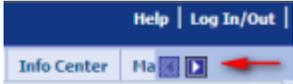
Name	ID No	Gender	Race	Marital Status	Religion	Annual Income	Priority Status
MUHAMMAD ABDUL RAZAK ZANUDDIN	760121-14-5831					RM4,000 - RM 60,000	
IMA OMBGJONG ADAGD KMAE KLGEDA	800220-71-5020	FEMALE	BUMI	NA		NOT AVAILABLE	
DLGMDAD ADAGD KMGKMK	600803-10-5690	FEMALE	BUMI	M		NOT AVAILABLE	
HAEIF MAB MMDM ADA E KLGB	530624-11-5091	MALE	BUMI	M		RM4,000 - RM 60,000	
MEKM ADAGD GMFD KHLB KMFJDE	530206-08-5352	FEMALE	BUMI	MARRIED		RM4,000 - RM 60,000	
DMKMG ADAGD DMGKMG	530908-10-5936						
KMDMBG ADAGD IMKMDFBDA	500001-05-5242	FEMALE	BUMI	MARRIED		RM4,000 - RM 60,000	
DFEGMDDD ADA ICLGB GMGGDK	630121-04-5619	MALE	BUMI	MARRIED		RM4,000 - RM 60,000	VIC
EFJMDKMA ADA DADMGDK	490313-10-5327	MALE	BUMI	MARRIED		RM4,000 - RM 60,000	
MKGMB DLEGDD ADA MKDMA	650309-08-5095	MALE	BUMI	NOT AVAILABLE		NOT AVAILABLE	

Customer Management Screen

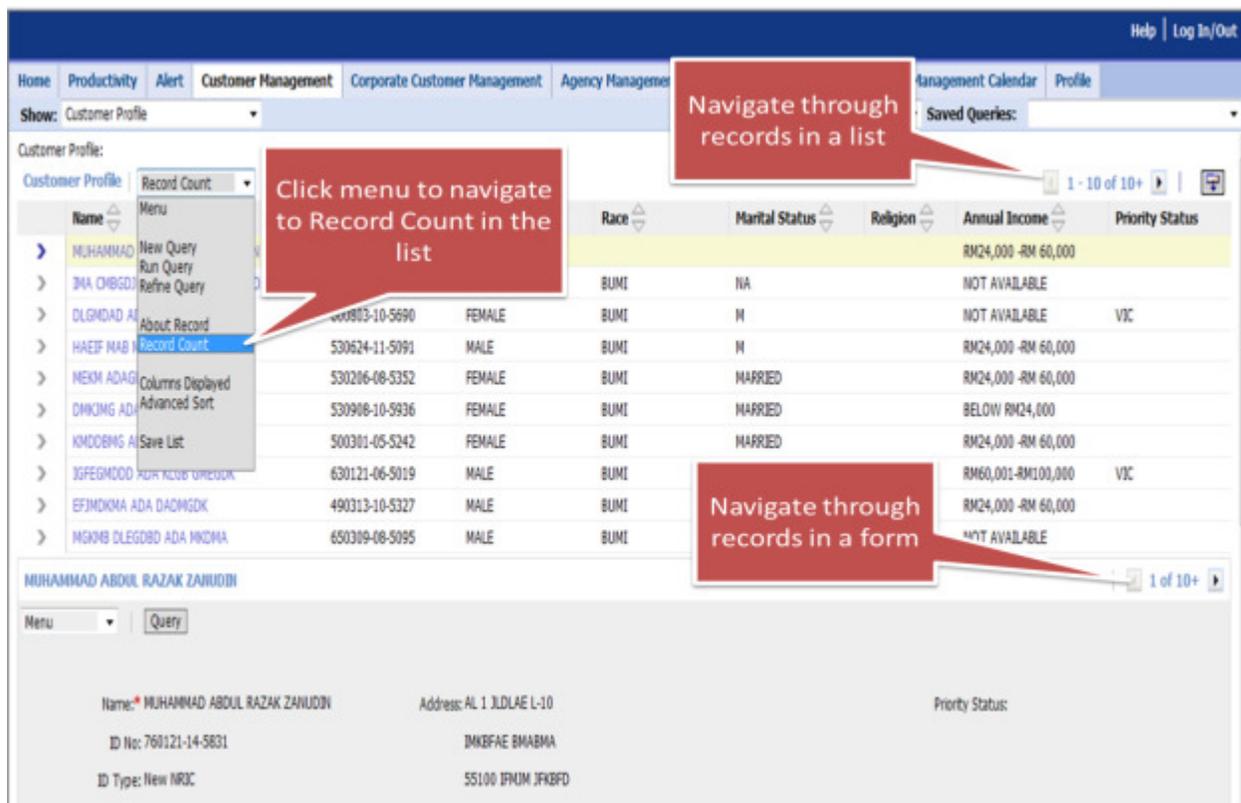
Customer Profile View

Name	ID No
MUHAMMAD ABDUL RAZAK ZANUDDIN	760121-14-5831
IMA OMBGJONG ADAGD KMAE KLGEDA	800220-71-5020
DLGMDAD ADAGD KMGKMK	600803-10-5690
HAEIF MAB MMDM ADA E KLGB	530624-11-5091
MEKM ADAGD GMFD KHLB KMFJDE	530206-08-5352
DMKMG ADAGD DMGKMG	530908-10-5936
KMDMBG ADAGD IMKMDFBDA	500001-05-5242
DFEGMDDD ADA ICLGB GMGGDK	630121-04-5619
EFJMDKMA ADA DADMGDK	490313-10-5327
MKGMB DLEGDD ADA MKDMA	650309-08-5095

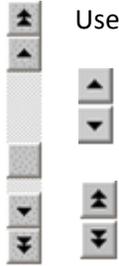
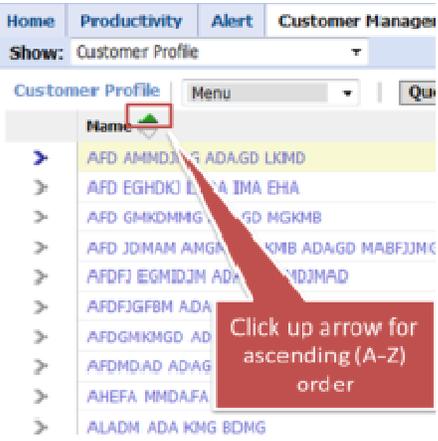
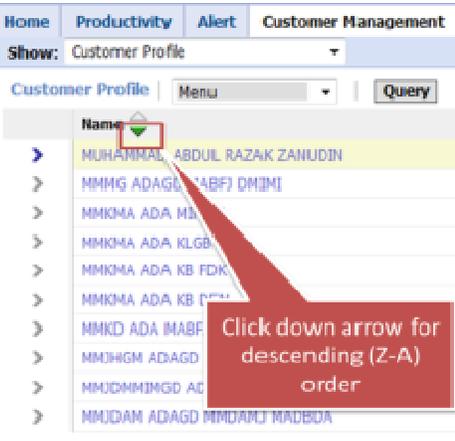
Customer Profile View

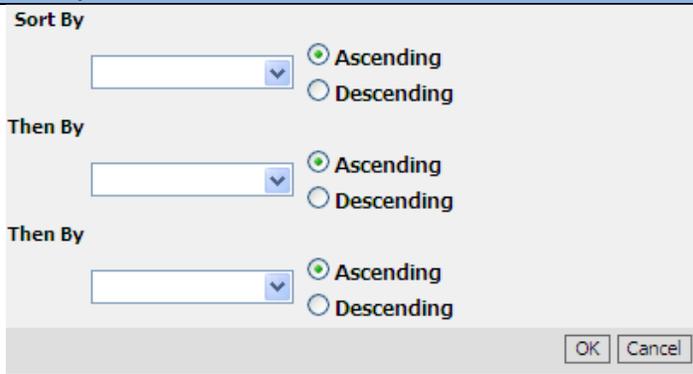
Section	Descriptions
Screen Tab	<p>Screen tabs provide one-click access to screens within ASSIST PRO (E.g. Home, Productivity, Alert, etc.)</p> <p>To access a screen using the screen tabs</p> <ol style="list-style-type: none"> i. Click the screen tab. ii. The screen appears and the screen tab of the active screen is highlighted <p>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.</p> 
View Tab	<p>To access a view using the view tabs</p> <ol style="list-style-type: none"> 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. <p>In the example above, the 'Customer Profile' view is selected.</p> <p>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. Show: </p>
View -> List Applet	<p>In the view tab (list applet), information is provided in a listing format.</p> <p>A list contains rows of records with column headers. Each record contains multiple fields.</p> <p>To show more rows, click the Show more button at the top of the list. </p> <p>To return to the shorter version of the list, click the Show less button. </p> <p>Use the vertical scroll bars to see the previous or next set of records in a list.</p>
View -> Form Applet	<p>In the view tab (list applet), information is provided in a form format.</p> <p>A form contains information about a single record.</p> <p>There are two types of forms: standard and long.</p> <p>Standard form contains all the fields that are required for the record.</p> <p>Long form contains additional fields that are not shown in the standard form.</p> <p>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. </p>

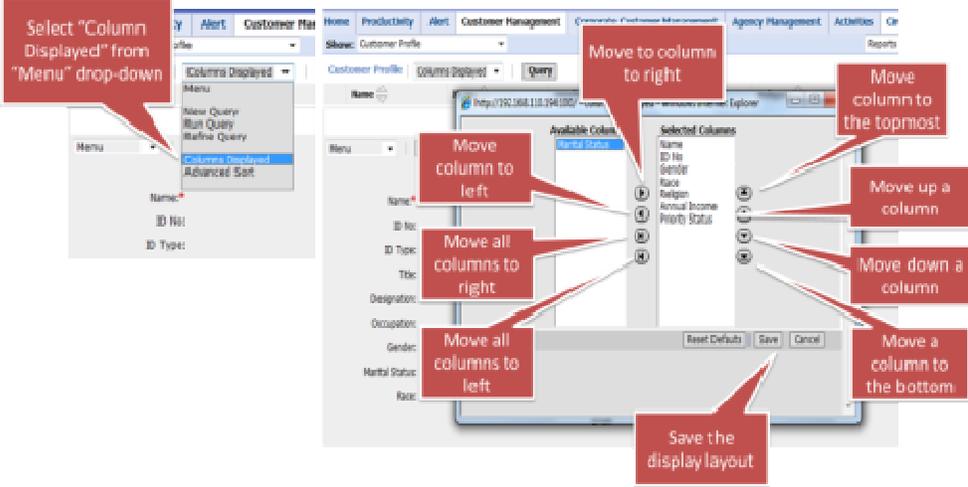
Section	Descriptions
	<p data-bbox="483 233 1393 268">To return to the shorter version of the form, click the Show less button. </p> <p data-bbox="483 306 1417 342">To see the previous or next record, you can use the record navigation buttons.</p> <p data-bbox="483 342 565 378"> </p>



Section	Descriptions		
Menu Button 	<p>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.</p>		
Record Navigation Buttons 	<p>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.</p>		
Show More and Show Less Buttons 	<p>Show more and show less buttons appear at the top of lists and may appear at the top of forms.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>Click In a list</p> <p> To show additional rows in the list.</p> <p> To show less rows in the list.</p> </td> <td style="width: 50%; vertical-align: top;"> <p>In a form</p> <p>To switch from a form's standard (short) version to its long version.</p> <p>To switch from a form's long version to its standard (short) version.</p> </td> </tr> </table>	<p>Click In a list</p> <p> To show additional rows in the list.</p> <p> To show less rows in the list.</p>	<p>In a form</p> <p>To switch from a form's standard (short) version to its long version.</p> <p>To switch from a form's long version to its standard (short) version.</p>
<p>Click In a list</p> <p> To show additional rows in the list.</p> <p> To show less rows in the list.</p>	<p>In a form</p> <p>To switch from a form's standard (short) version to its long version.</p> <p>To switch from a form's long version to its standard (short) version.</p>		

Section	Descriptions
Vertical Scroll Bars	 <p>Use vertical scroll bars to navigate between records in a list.</p> <p>Click the previous or next button to navigate to the next record or previous record in the list.</p> <p>Click the previous record set or next record set button to navigate to the next or previous set of records in the list.</p>
Sorting	<p>To perform simple sort (one column only)</p> <ol style="list-style-type: none"> Click the column header by which you want to sort. The list will be sorted in ascending order. To sort in descending order, click the column header again. <div style="display: flex; justify-content: space-around;"> <div data-bbox="451 688 889 1129">  </div> <div data-bbox="954 688 1409 1129">  </div> </div> <p>To perform an advanced sort (multiple columns)</p> <ol style="list-style-type: none"> In a list, click the <u>menu button</u>, and then click Advanced Sort. The Sort Order dialog box appears. From the 'Sort by' drop-down list, select the first column sort by. From the 'Then by' drop-down list, select the second column to sort by. From the second 'Then by' drop-down list, select the third column to sort by. Use the Ascending and Descending option buttons to define the sort order for each column you selected for the advanced sort. 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.

Section	Descriptions																				
																					
<p>Organizing Columns in a List</p>	<p>To change columns displayed in a list</p> <ol style="list-style-type: none"> i. In the list, click the <u>menu button</u>, 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. <table border="0" style="margin-left: 20px;"> <tr> <td>Click</td> <td>To</td> </tr> <tr> <td></td> <td>Show the selected columns.</td> </tr> <tr> <td></td> <td>Hide the selected columns.</td> </tr> <tr> <td></td> <td>Show all columns.</td> </tr> <tr> <td></td> <td>Hide all columns.</td> </tr> </table> iii. In the Selected Columns box, select a column name and use the following buttons to reorder the columns. <table border="0" style="margin-left: 20px;"> <tr> <td>Click</td> <td>To</td> </tr> <tr> <td></td> <td>Move the selected column to the top of the list.</td> </tr> <tr> <td></td> <td>Move the selected column up one position in the list.</td> </tr> <tr> <td></td> <td>Move the selected column down one position in the list.</td> </tr> <tr> <td></td> <td>Move the selected column to the bottom of the list.</td> </tr> </table> iv. Click Save. Note: To change the settings back to the default, click Reset Defaults. 	Click	To		Show the selected columns.		Hide the selected columns.		Show all columns.		Hide all 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.
Click	To																				
	Show the selected columns.																				
	Hide the selected columns.																				
	Show all columns.																				
	Hide all 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.																				

Section	Descriptions
	
<p>Query Or Refine Query</p>	<p>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.</p> <p>To create a query</p> <ol style="list-style-type: none"> 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</u> button. – 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</u> button, 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. 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'. <p>To run a query</p> <ol style="list-style-type: none"> Click Go. – or – Click the <u>menu</u> button, and then click Run Query. 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																
	<div data-bbox="451 195 1425 745" style="border: 1px solid black; padding: 10px;"> <p>Step 1: Select "New Query" button or select "Query" button</p> <p>Step 2: Enter criteria in the appropriate field</p> <p>Step 3: Select "Run Query" or click "Go" button</p> <p>Step 4: Query returns all records matching the criteria</p> </div> <p>Simple Query Operators and Examples</p> <p>When you create a query, you use operators or conditions which the application uses to search the database for matching records.</p> <table border="1" data-bbox="440 989 1430 1791"> <thead> <tr> <th>Operator</th> <th>Example</th> </tr> </thead> <tbody> <tr> <td>*</td> <td>*rang* finds <i>arrange, arranged, orange, orangutan, range, ranges, ranging, rang, strange, stranger, strangest</i> and so on. Notes: <ul style="list-style-type: none"> You cannot use * to find dates. </td> </tr> <tr> <td>?</td> <td>?rag finds <i>brag, crag, and drag</i>. t?pe finds <i>type</i> and <i>tape</i>.</td> </tr> <tr> <td><</td> <td><20/06/01 finds all records in which the value of the query field is less than 20 June 2001.</td> </tr> <tr> <td>></td> <td>>31/05/01 finds all records in which the value of the query field is greater than 31 May 2001.</td> </tr> <tr> <td><></td> <td><>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 <i>Paris</i>.</td> </tr> <tr> <td><=</td> <td><=500 finds all records in which the value in the query field is less than or equal to 500.</td> </tr> <tr> <td>>=</td> <td>>=500 finds all records in which the value in the query field is greater than or equal to 500.</td> </tr> </tbody> </table>	Operator	Example	*	*rang* finds <i>arrange, arranged, orange, orangutan, range, ranges, ranging, rang, strange, stranger, strangest</i> and so on. Notes: <ul style="list-style-type: none"> You cannot use * to find dates. 	?	?rag finds <i>brag, crag, and drag</i> . t?pe finds <i>type</i> and <i>tape</i> .	<	<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 <i>Paris</i> .	<=	<=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.
Operator	Example																
*	*rang* finds <i>arrange, arranged, orange, orangutan, range, ranges, ranging, rang, strange, stranger, strangest</i> and so on. Notes: <ul style="list-style-type: none"> You cannot use * to find dates. 																
?	?rag finds <i>brag, crag, and drag</i> . t?pe finds <i>type</i> and <i>tape</i> .																
<	<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 <i>Paris</i> .																
<=	<=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.

Customer Profile: Customer Profile | Menu | Query | Query Results | 1 - 10 of 10+ | [Filter]

Name	ID No	Gender	Race	Marital Status	Religion	Annual Income	Priority Status
NDIAFPR YRM ZYW IZSHZM	530330-11-5213	MALE	BUMI	NOT AVAILABLE		NOT AVAILABLE	VIC
ZARAZM YRM ZYKPO IZHRWJ	56040-10-4509	MALE	BUMI	MARRIED		NOT AVAILABLE	VIC
HEVW PZNDZ ZUJMMWR YRM HEVW NFHGZKSZ	630517-08-5091	MALE	BUMI	SINGLE		RM24,000 - RM 60,000	VIC
ZY IZSHZM YRM BZBNLY	520189-03-5397	MALE	BUMI	MARRIED		ABOVE RM100,000	VIC
AZSLGN YRMGR NBI ZNRM	570402-04-5186	FEMALE	BUMI	MARRIED		RM24,000 - RM 60,000	VIC
NBI NDIAFPR YRM RHZND	540811-01-5423	MALE	BUMI	MARRIED		RM24,000 - RM 60,000	VIC
MLJHGDZNS YRMGR SZHRM	560761-04-5080	FEMALE	BUMI	MARRIED		BELOW RM24,000	VIC
ZADRHZ YRMGR PSZRFVWRM	631104-06-5130	FEMALE	BUMI	SINGLE		NOT AVAILABLE	VIC
HSDPVE ZD X WLLZSHZNB	591116-05-5255	MALE	INDIAN	MARRIED		RM65,001 - RM100,000	VIC
HGZSLN YRM NLMIO	630203-01-5007	MALE	BUMI	MARRIED		RM24,000 - RM 60,000	VIC

List View

NDIAFPR YRM ZYW IZSHZM | 1 of 10+ | [Filter]

Menu | Query

Name: NDIAFPR YRM ZYW IZSHZM | Address: PL 891 QZQDM SLMRQZD | Priority Status: VIC
 ID No: 530330-11-5213 | WPKTPH
 ID Type: New NRIC | 77689 WPKTRM
 Title: EN | G2V4TTZHF
 Designation: | Postcode: 22300 | State: TERENGGANU
 Occupation: NOT AVAILABLE | Mobile Phone No: 985 6688772 | Region: NORTHERN
 Gender: MALE | Office No: | Country: MALAYSIA
 Marital Status: NOT AVAILABLE | Home No: |
 Race: BUMI | Fax No: |
 Email: |

More Info

KWSP No: | Spouse Name: | Education Level: |
 Other ID No: 4434626 | No of dependents: | Preferred Language: ENGLISH
 Other ID Type: Old NRIC | Religion: | Contact Method: |
 Annual Income: NOT AVAILABLE

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.

Customer Profile

Menu | Go | Cancel | **Enter Query**

Name: A* | Marital Status: [Dropdown]

ID No: | Mobile Phone #: |

Gender: [Dropdown] | Home #: |

Race: [Dropdown] | Office #: |

Status: [Dropdown] | Contact Class: [Dropdown]

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.

Name	ID No	Gender	Race	Marital Status	Religion	Annual Income	Priority Status
RHEEM SZORRY YRM PS2NRYH	760519-10-5493	MALE	BUMI	SINGLE		NOT AVAILABLE	
NLSYV RPSHQZO SBHSZM YRM NLSZNYW ZAMQZH	630186-06-5459	MALE	BUMI	HOT AVAILABLE		RM60,001-RM100,000	
HSPRLI @ ZYWFO HSPRLI YRM HSZSRW	630405-08-5919	MALE	BUMI	MARRIED		NOT AVAILABLE	

3.1.2 Customer Products

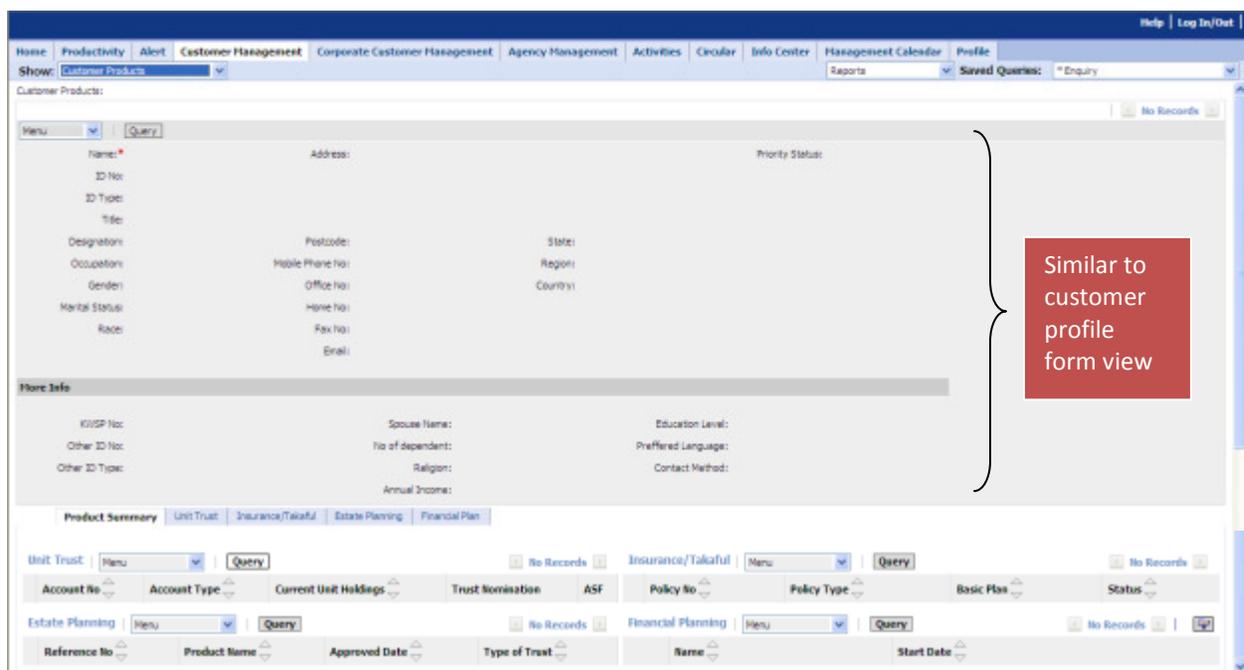
This view summarizes the products purchased by your customers i.e. unit trust, insurance, trust nominations, wills & trust and financial plan under its respective product category.

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.

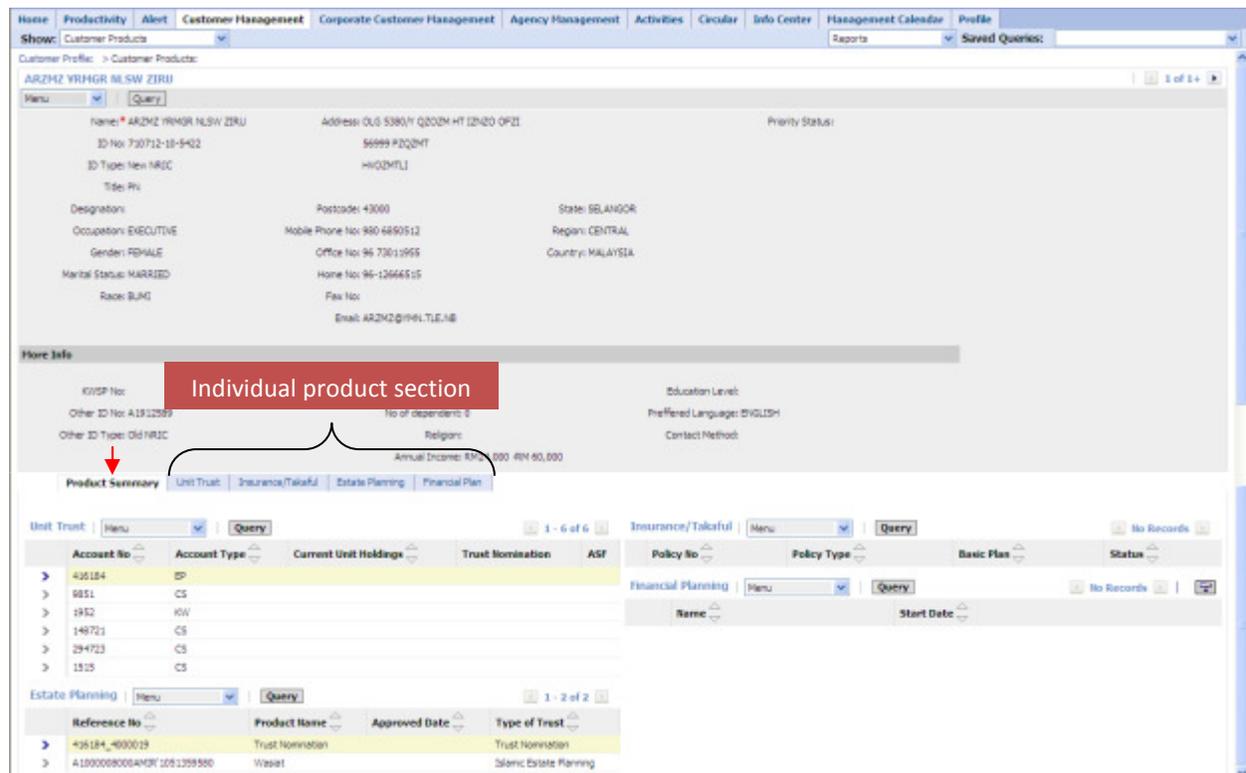


Customer Products View

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.

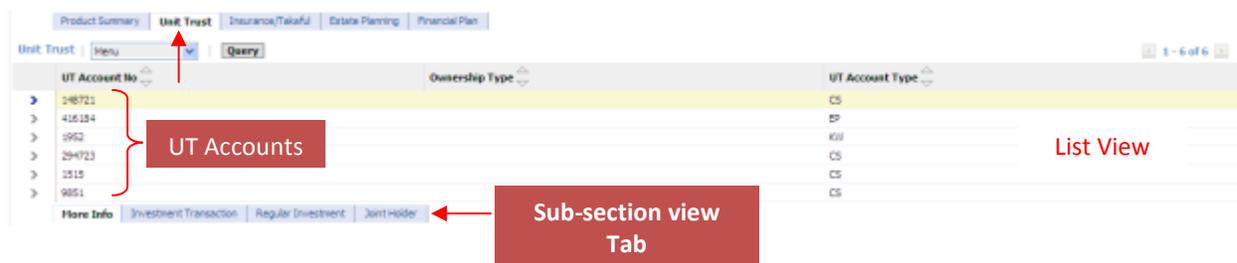


Customer with two product categories

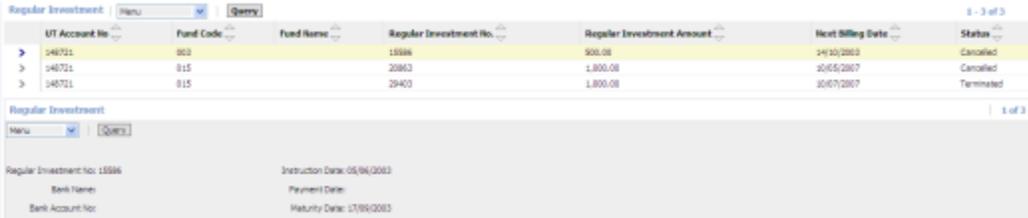
ii. Unit Trust

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.

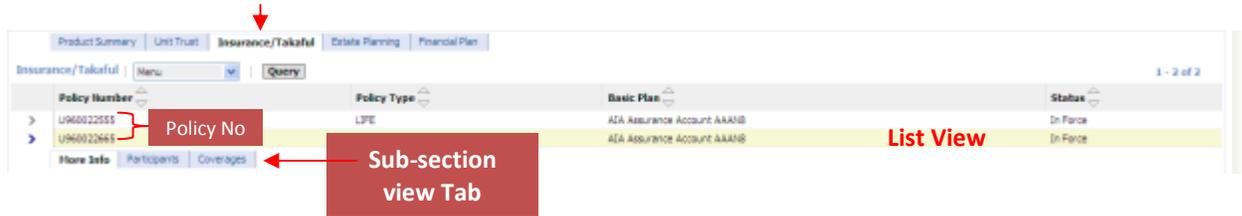
Sub-section	Description
<p>More Info</p>	<p>Displays the unit trust account details such as account type, date account is opened, first investment date, total investment, total redemption, total income distribution reinvested, main telephone, office telephone, email address, permanent address and correspondence address.</p> 
<p>Investment Transaction</p>	<p>Displays all unit trust funds that the customer has invested. There are two list views i.e. investment holding and investment transaction.</p> <ul style="list-style-type: none"> 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. 
<p>Regular Investment</p>	<p>Displays regular investment details that the customer has enrolled i.e. regular investment amount, next billing date and status.</p> 
<p>Joint Holder</p>	<p>Displays the joint holder details of the unit trust account, if applicable.</p> 

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	<p>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.</p>
Participants	<p>Displays the participant details under the insurance policy number.</p>
Coverages	<p>Displays the coverages under the insurance policy number.</p>

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.

Reference No	Product Name	Status	Approved Date	Type of Trust	Remarks
474632_3014623	Trust Nomination	ACTIVE		Revocable	

Plan Name	Fee (RHT)
Setup Fee	100.00

v. Financial Plan

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

FP #	Invoice #	Status	Product Code	Product Name	Payment Term	Start Date	Plan Fee
No Records							

Sequence	Transaction Amount	Payment Method	Payment Type	Payment Id	Receipt #
No Records					

3.1.3 Customer Ledger

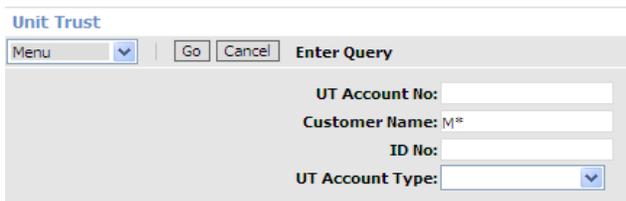
This function enables you to view and print the unit holder ledger of your customer.

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.



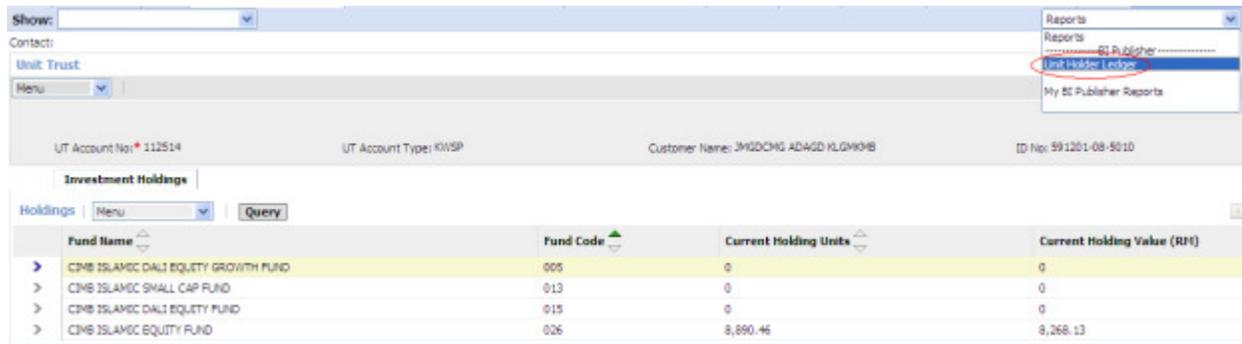
After you click the Go button, customers that match your criteria will be displayed in the list view below.

UT Account No	UT Account Type	Customer Name	ID No
10224	KWSP	MMJMA ADA DLKJK @ MMJMA LMDDDH	561129-10-6253
10313	CASH	MBDJM ADAGD MKDDFBDDA	701201-08-6376
111253	CASH	ELG EHAE IFD @ FHCCDHK ELG	530416-01-5635
112514	KWSP	JMGDCMG ADAGD KLGKMKMB	591201-08-5010
113701	KWSP	EF ED AE LGDLAE	580324-08-5965
113704	KWSP	BMMGMDDAH ADA GF KLGKMKMB	631125-09-5025
120642	KWSP	MMDMMA ADA MABFJ DMEGDB	560410-10-6509
123394	KWSP	AMBMDMMG ADAGD LGGKMA	520406-09-5054
125494	KWSP	KLGKMKMB GMGGM ADA GMEGDK	600417-01-5777
125621	CASH	DMFM GMJDK KFBMMK EGMG ADA DMFM IMEEDK	740905-05-5609

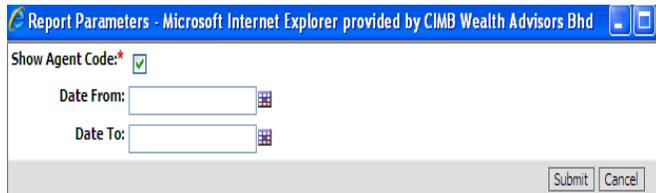
- 3) Click the 'account no.' and the view below will be displayed. Move the cursor to select the fund under the 'Holdings' view.

Fund Name	Fund Code	Current Holding Units	Current Holding Value (RM)
CIMB ISLAMIC DALI EQUITY GROWTH FUND	005	0	0
CIMB ISLAMIC SMALL CAP FUND	013	0	0
CIMB ISLAMIC DALI EQUITY FUND	015	0	0
CIMB ISLAMIC EQUITY FUND	026	8,890.46	8,268.13

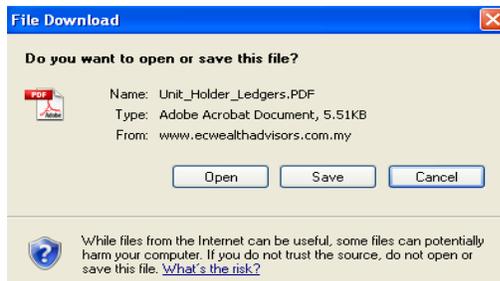
4) After selecting the fund, select Unit Holder Ledger under the Report menu (on top right).



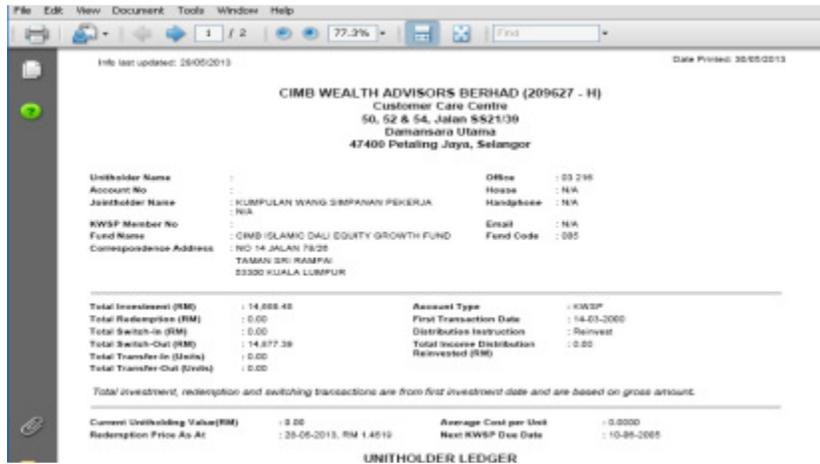
5) System will prompt you a selection. Un-check 'Show Agent Code' if you do not want to display the agent code in the ledger. Enter the date range. Click Submit.



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: 26/05/2013 Date Printed: 26/05/2013

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

Unitholder Name	:		Office	:	03 216
Account No	:		Home	:	N/A
Jointholder Name	:	KUMPULAN WANG SIMPANAN PEKERJA	Handphone	:	N/A
	:	N/A		:	
KWSP Member No	:		Email	:	N/A
Fund Name	:	CIMB ISLAMIC DALI EQUITY GROWTH FUND	Fund Code	:	095
Correspondence Address	:	NO 14 JALAN 78/28 TAMAN SRI RAMPAI 53300 KUALA LUMPUR			

Total Investment (RM)	:	14,828.48	Account Type	:	KWSP
Total Redemption (RM)	:	0.00	First Transaction Date	:	14-01-2000
Total Switch-In (RM)	:	0.00	Distribution Instruction	:	Reinvest
Total Switch-Out (RM)	:	14,877.39	Total Income Distribution	:	0.00
Total Transfer In (Malin)	:	0.00	Reinvested (RM)	:	
Total Transfer Out (Malin)	:	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	:	26-05-2013, RM 1.4610	Next KWSP Use Date	:	10-06-2005

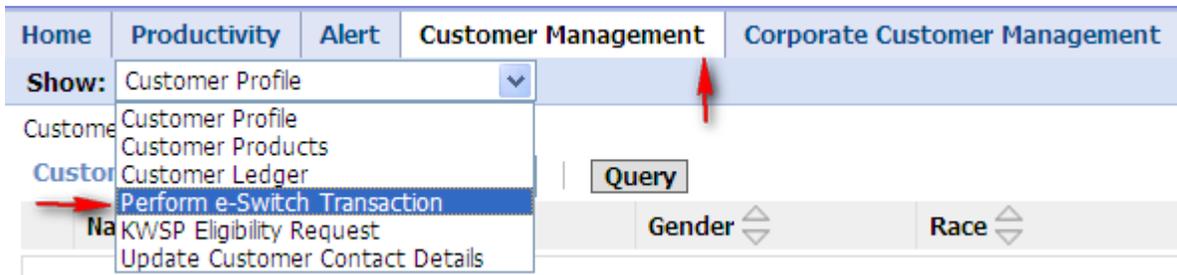
UNITHOLDER LEDGER

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

3.1.4 Perform e-Switch Transaction

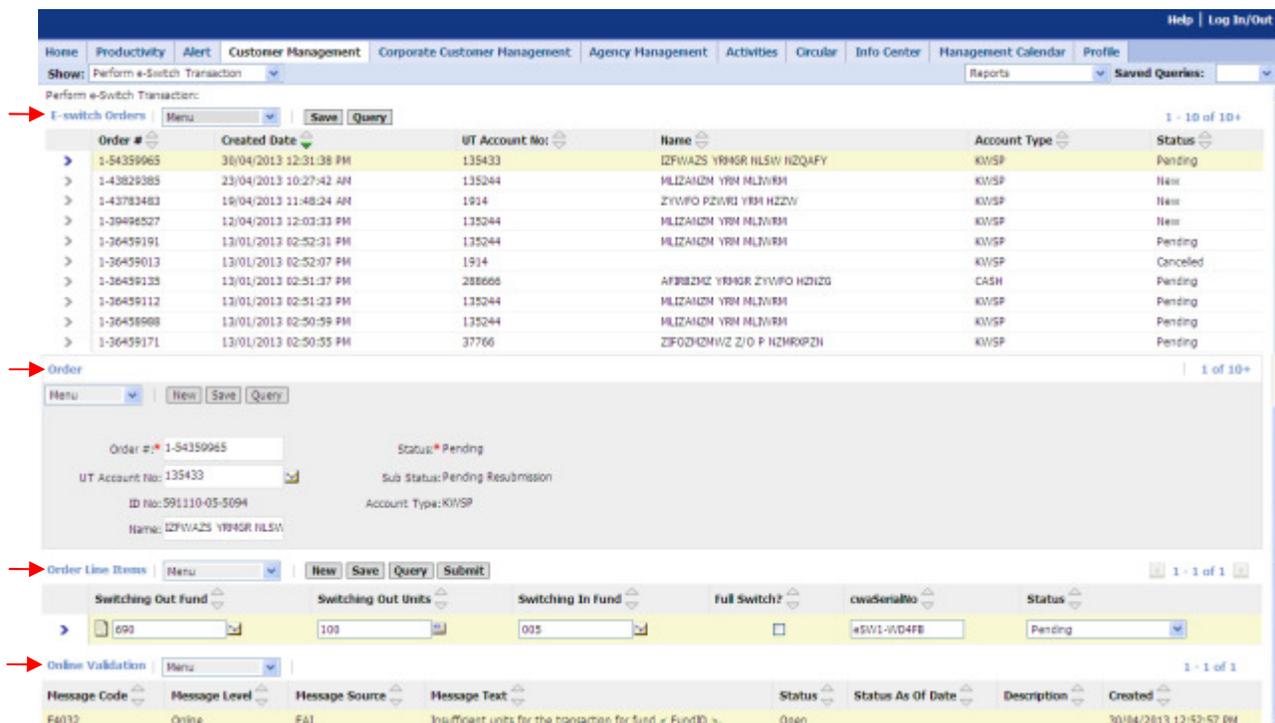
e-Switch submission is allowed for retail customers only.

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.

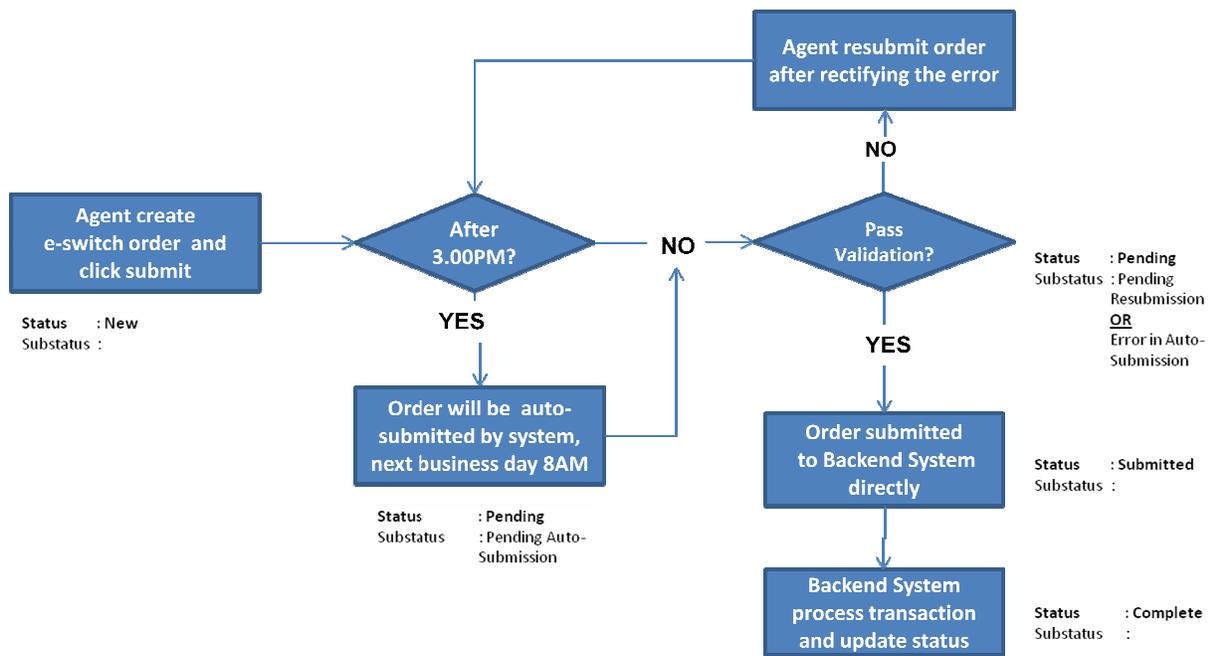


Under the Perform e-switch transaction view, you will see the following details i.e.

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.

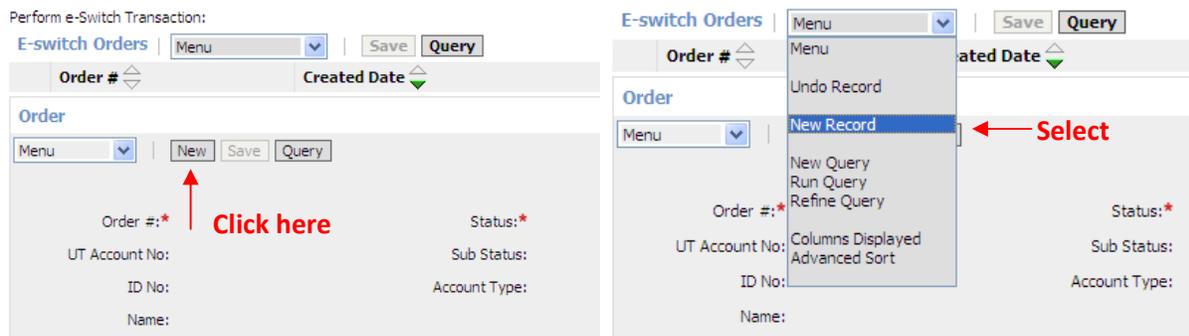


e-Switch submission is termed as order in ASSIST PRO.
The overall workflow is illustrated in the diagram below



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.

UT Account No.	Status	UT Account Type	Name	ID Type	ID No.	Date of Birth	ASF	Trust Nomination
135244	Active	KWSP	MLIZANZH YRM MLDWRM	New NRJC	590918-10-6099	18/09/1959	No	
135433	Active	KWSP	IDPVAZS YRMGR NLSW NQZAFY	New NRJC	591118-05-5094	10/11/1959	No	
157853	Active	CASH	MLIZARZS YRMGR SZPMA	New NRJC	550529-10-6072	28/05/1955	No	
1914	Active	KWSP	ZYVFO PZWRZ YRM HZDW	New NRJC	590404-07-6195	04/04/1959	No	
288666	Active	CASH	APRDNZS YRMGR ZYVFO HENZG	New NRJC	540718-05-3490	18/07/1984	No	
30017	Active	KWSP	LNZS YRM NLRM	New NRJC	540518-10-5001	18/03/1984	No	
3011	Active	KWSP	YDPSGRZI QZBROVY YRM ZYVFO	New NRJC	600601-07-5941	01/06/1960	No	
32191	Active	KWSP	DLMT GPMP GRM	New NRJC	680828-08-5461	26/08/1968	No	
358293	Active	CASH	KDGRXP ZJO HZHGRZTL	New NRJC	480921-04-5437	21/09/1948	No	
37766	Active	KWSP	ZPQZMHWZ ZJO P NZMRXPZN	New NRJC	531102-06-5343	02/11/1953	No	

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.

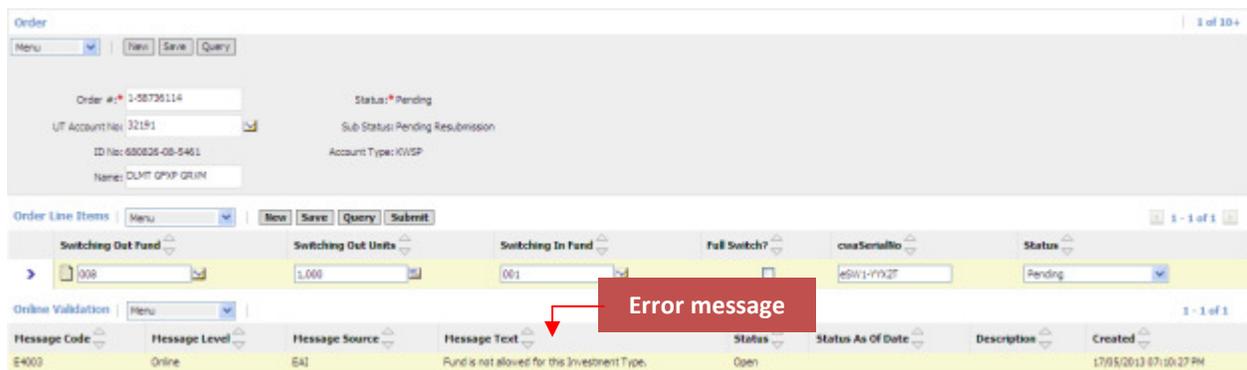
Switching Out Fund	Switching Out Units	Switching In Fund	Full Switch?	cwaSerialNo	Status
005	1,000	008	<input type="checkbox"/>	e5W2-17TLIN	New

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.

Switching Out Fund	Switching Out Units	Switching In Fund	Full Switch?	cwaSerialNo	Status
005	1,000	008	<input type="checkbox"/>	e5W2-17TLIN	Submitted

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.

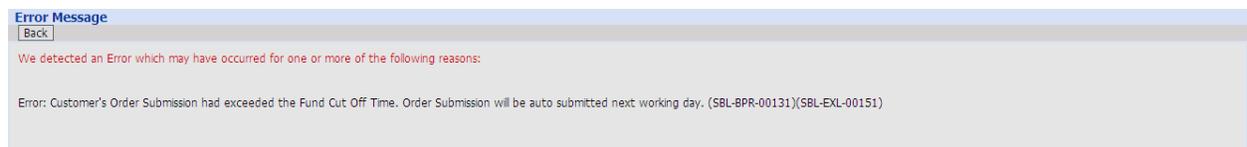
Each error message corresponds to the record selected at the Order Line Items and you will need to rectify them accordingly before you can click the 'Submit' button again.



The screenshot shows the 'Order' details for Order # 1-08736114, which is in a 'Pending' status. Below this, the 'Order Line Items' table shows a single item with a status of 'Pending'. The 'Online Validation' table contains one message with the following details:

Message Code	Message Level	Message Source	Message Text	Status	Status As Of Date	Description	Created
E4003	Online	SAI	Fund is not allowed for this Investment Type.	Open			17/05/2013 07:10:27 PM

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.



Error Message
[Back](#)

We detected an Error which may have occurred for one or more of the following reasons:

Error: Customer's Order Submission had exceeded the Fund Cut Off Time. Order Submission will be auto submitted next working day. (SBL-BPR-00131)(SBL-EXL-00151)

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.

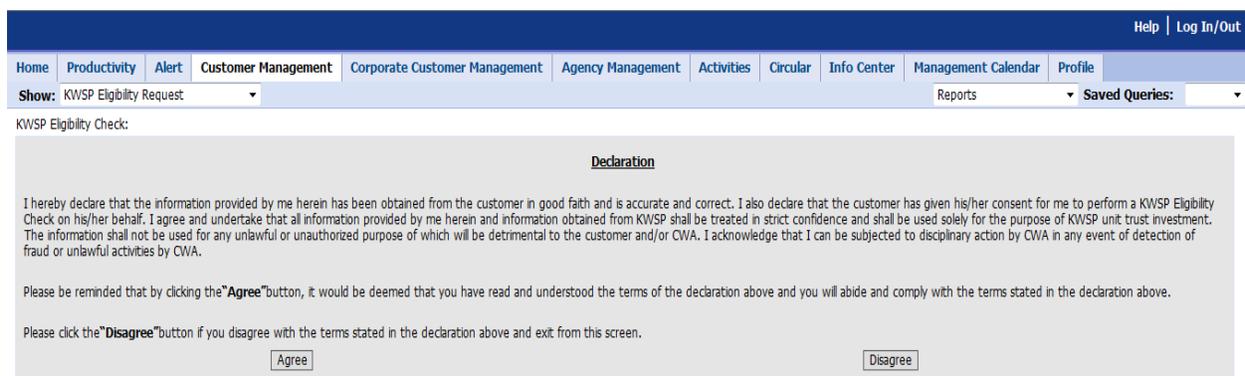
There are two ways for you to access the KWSP Eligibility Check function in ASSIST PRO as below:-

- 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.

KWSP Eligibility Check

Menu

ID Type:*

ID No.:*

KWSP No.:*

Withdrawal Amount:*

Submit?:

KWSP Eligibility Check

Menu

Click here

ID Type:*

ID No.:*

KWSP No.:*

Withdrawal Amount:*

Submit?:

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

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status	KWSP Response
<input checked="" type="checkbox"/>	1-58191807		New NRIC	800711-06-5888	56122345	1,000	New	

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

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status	KWSP Response
<input checked="" type="checkbox"/>	1-58191810		Passport	A1762979	55596271	2,000	New	
<input checked="" type="checkbox"/>	1-58191807		New NRIC	800711-06-5888	56122345	1,000	New	

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.

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status	KWSP Response
<input checked="" type="checkbox"/>	1-58191810	15/05/2013 03:18:44 PM	Passport	A1762979	55596271	2,000	Submitted	
<input checked="" type="checkbox"/>	1-58191807	15/05/2013 03:18:43 PM	New NRIC	800711-06-5888	56122345	1,000	Submitted	

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

KWSP Eligibility Check

Menu | Save | Cancel

ID Type: * New NRIC

ID No.: 901212-14-7890

KWSP No.: 67864000

Withdrawal Amount: * 3000

Submit?:

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.

KWSP Eligibility Check | Menu | Query | New | Submit

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status
<input checked="" type="checkbox"/>	1-		New NRIC	901212-14-7890	67864000	3,000	New
<input type="checkbox"/>	1-	05/2013 03:18:44 PM	Passport	A1762979	55556271	2,000	Submitted
<input type="checkbox"/>	1-	05/2013 03:18:43 PM	New NRIC	800711-06-5888	56122345	1,000	Submitted

Note:

- Cut off time for the eligibility check is at 10.00am, 1.00pm and 3.00pm daily. Results will be available at 12.30pm, 3.30pm and 5.30pm based on the submission time respectively. All entries submitted after 3.00pm shall be processed on the next business day.
- Information provided is for informational purposes only. It is not intended to be used for any other purpose.
- All submitted entry and information is subject to verification.
- Agents are advised to ensure the accuracy of the information provided.
- Any submission of KWSP is in compliance with the six (6) months servicing period as prescribed in the code of Unit Trust Consultant Agreement Schedule 2 (Code of Agency Regulations).

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.

KWSP Eligibility Check | Menu | Query | New | Submit

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status	KWSP Response
<input checked="" type="checkbox"/>	1-35555529		New NRIC	900712-14-5698	11152397	1,000	New	

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 <u>Eligible</u> or Rejected with any one of the common <u>rejections reasons</u> below: <ul style="list-style-type: none"> • 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. <ul style="list-style-type: none"> • 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.

How to Retrieve or Query KWSP Eligibility Check Request

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.

KWSP Eligibility Check

Menu | Go | Cancel | Query Assistant | Enter Query

ID Type:

ID No.:

KWSP No.:

Withdrawal Amount:

Submit?:

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

KWSP Eligibility Check | Menu | Query | New | Submit | Query Results | 1 - 1 of 1

Submit?	Request Id	Date Submitted	ID Type	ID No.	KWSP No.	Withdrawal Amount	Request Status	KWSP Response
<input type="checkbox"/>	1-36483671		New FRIC	541111-03-5220	12345678	1,000	New	

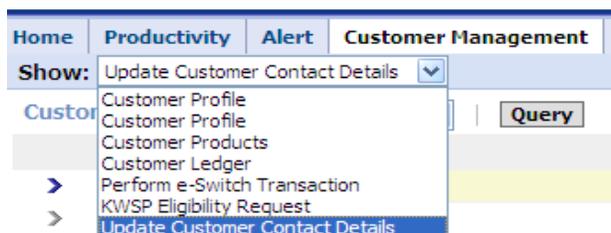
3.1.6 Update Customer Contact Details

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 note 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.

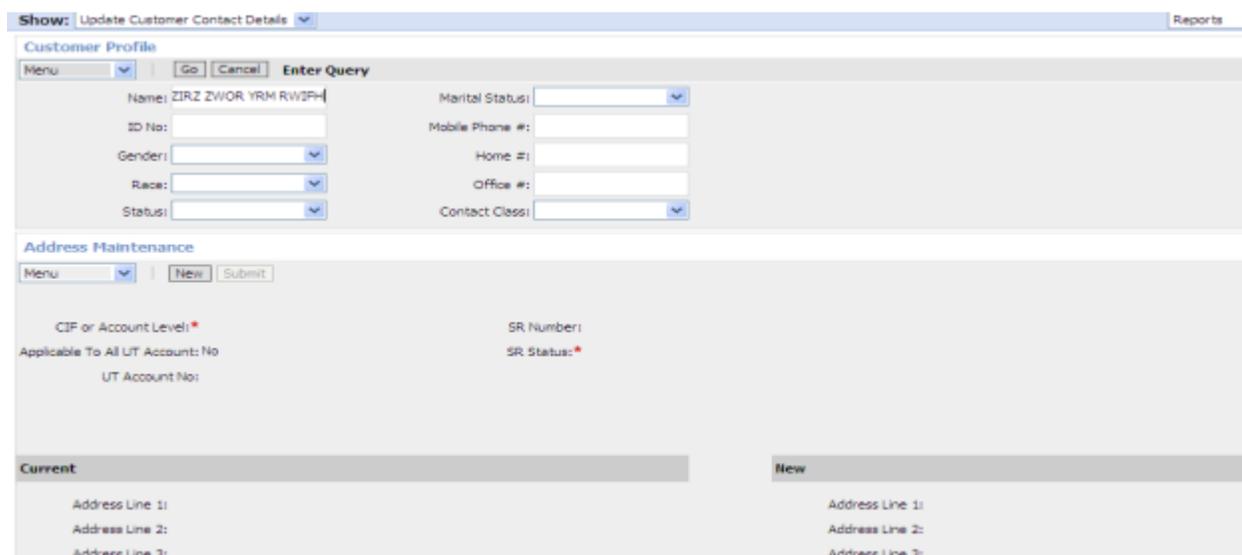
- 1) Select Update Customer Contact Details under drop down menu.



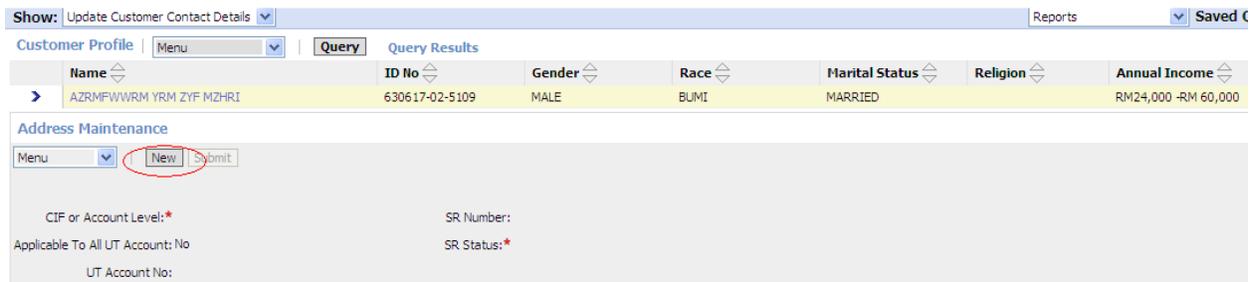
- 2) System will display the Update Customer Contact Details view. Perform the Query function to search your customer.



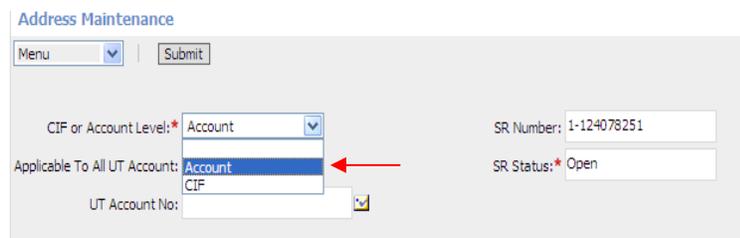
- 3) Key in your search criteria in any of the fields available and click the 'Go' button.



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



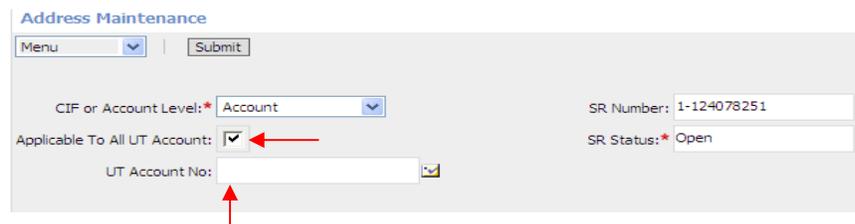
4) You will need to decide whether to update the contact information at CIF (Customer Information File) level or Account level.



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:

New

Address Line 1: Z-7-Y92 ZINZMVV GVIIZXV XLMWLNRMRFN

Address Line 2: ML 1 QZOZM KQF 1/8

Address Line 3: YZMWZI WZNZMHZIZ KVIWZMZ

Address Line 4: 52179 KVGZORMT QZBZ

Postcode: 47820

State: SELANGOR Mobile Phone #: 980 6745829

Country: MALAYSIA Main Fax #:

Region: CENTRAL Office #:

Email: Home #:

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

Address Maintenance

Menu Submit

CIF or Account Level: CIF SR Number: 1-124078251

Applicable To All UT Account: SR Status: Open

UT Account No:

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.

Address Maintenance

Menu New Submit

CIF or Account Level: CIF SR Number: 1-124078251

Applicable To All UT Account: SR Status: Assigned

UT Account No:

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.

The screenshot shows a table with the following columns: Company Reg. No., Company Name, Company Web Site, Status, and Main Phone #. The table contains several rows of data, with the first row highlighted in yellow.

Company Reg. No.	Company Name	Company Web Site	Status	Main Phone #
3930293	KORPUS BERKAS KUALA LUMPUR		CUSTOMER	
38941	KORPUS BERKAS PERKAMPARAN		CUSTOMER	
34424	KORPUS BERKAS SEREMBAN		CUSTOMER	
60008	KORPUS BERKAS SEREMBAN		CUSTOMER	
481	KORPUS BERKAS SEREMBAN		CUSTOMER	
352	KORPUS BERKAS SEREMBAN		CUSTOMER	
474	KORPUS BERKAS SEREMBAN		CUSTOMER	

List View

The screenshot shows a form with the following fields: Company Name, Company Reg. No., Primary Contact Person Name, Contact Designation, Contact Telephone, Address Line 1, Address Line 2, Address Line 3, Address Line 4, Postcode, State, and Region.

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.

Corporate Customer Profile

Menu Enter Query

Company Reg. No:

Company Name:

Company Web Site:

Status:

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

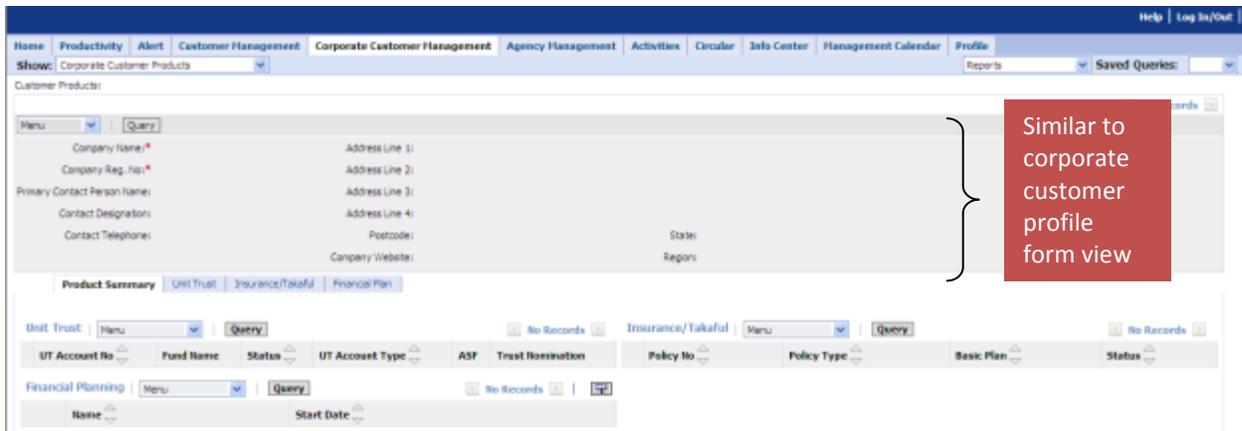
This view summarizes the products purchased by your corporate customers i.e. unit trust, insurance, trust nominations, wills & trust and financial plan under its respective product category.

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.

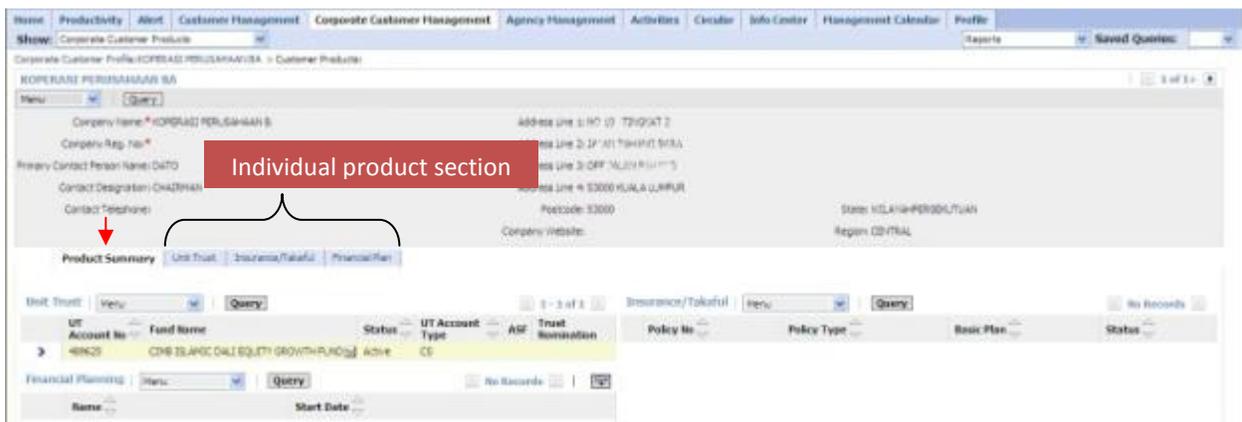


Customer Products View

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.

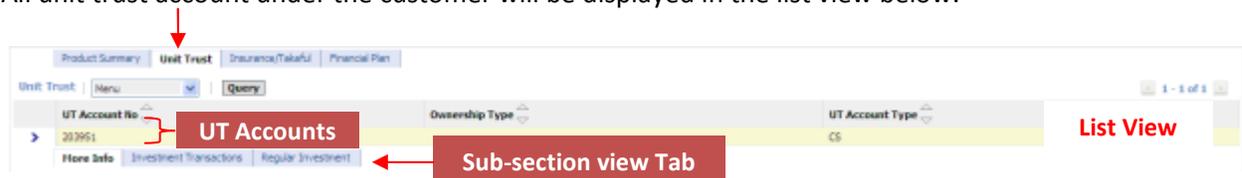


Customer with one product category

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
<p>More Info</p>	<p>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.</p> 
<p>Investment Transaction</p>	<p>Displays all unit trust funds that the customer has invested. There are two list views i.e. investment holding and investment transaction.</p> <ul style="list-style-type: none"> 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. 
<p>Regular Investment</p>	<p>Displays regular investment details that the customer has enrolled i.e. regular investment amount, next billing date and status.</p> 

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**

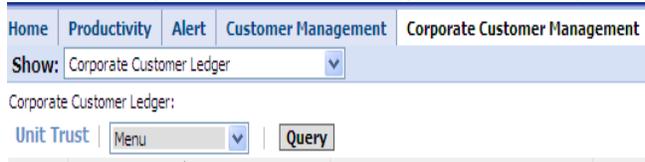
This section provides details about financial plan owned by the corporate customer.

Not available at the moment.

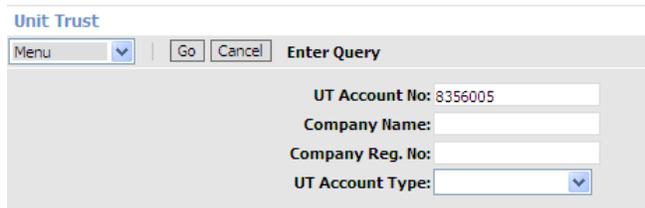
3.2.3 Corporate Customer Ledger

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

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



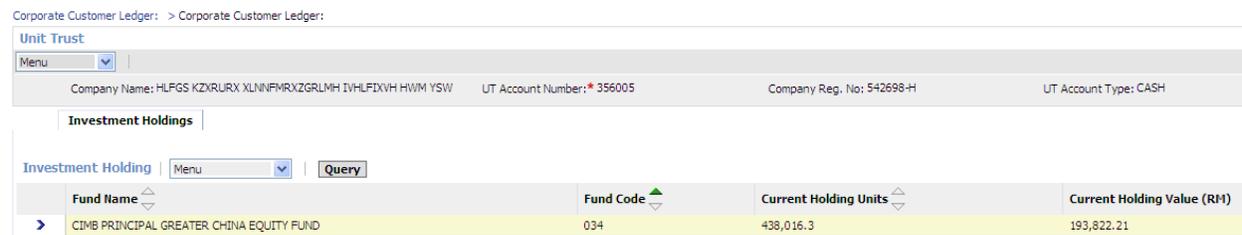
2) Click the Query button and enter the search criteria in any of the field below in order to search your customer.



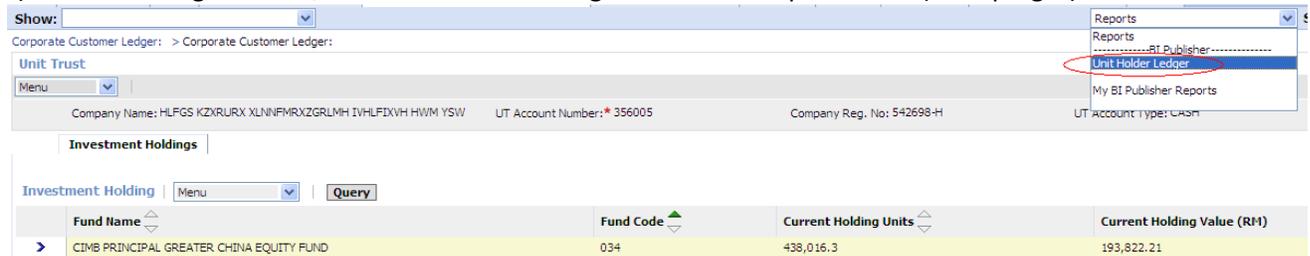
After you click the Go button, system will display the list of your customers.



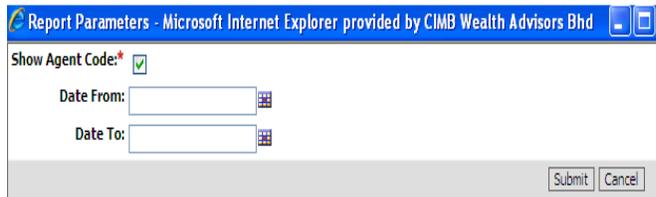
3) Click the account no, system will then display the account screen. Select the fund that you wish to view.



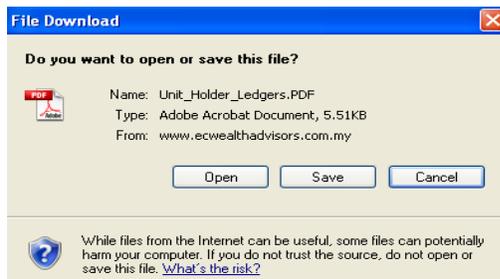
4) After selecting the fund, select Unit Holder Ledger under the Report menu (on top right).



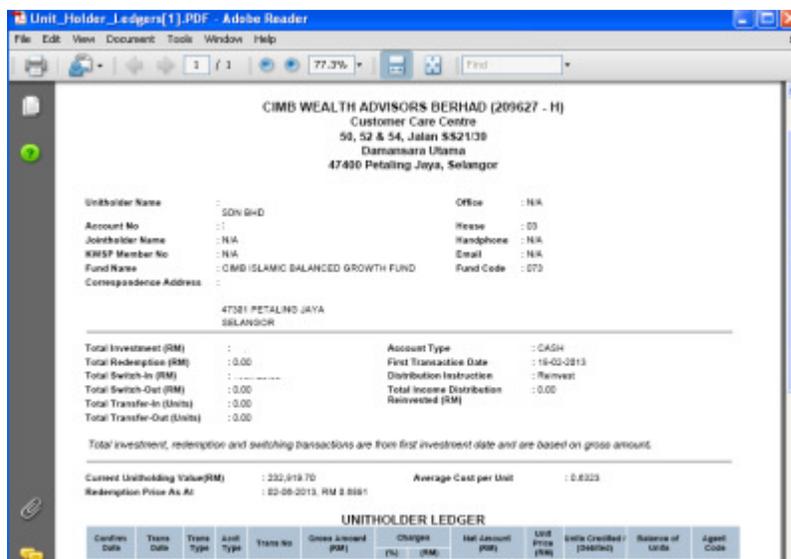
5) System will prompt you a selection. Un-check 'Show Agent Code' if you do not want to display the agent code in the ledger. Enter the date range. Click Submit.



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.

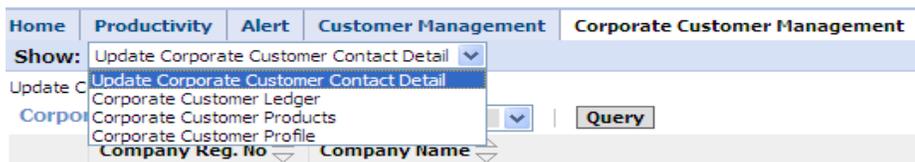
3.2.4 Update Corporate Customer Contact Details

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

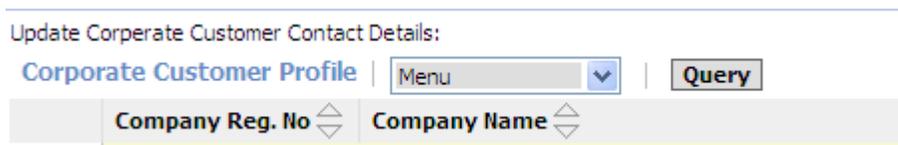
Please take note that this function will not update the customer contact details into the system directly, similar to retail customer. The request submitted by you will be routed to Customer Service Department (CSD), CWA for verification purpose with the customer. Once verification is done, the information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



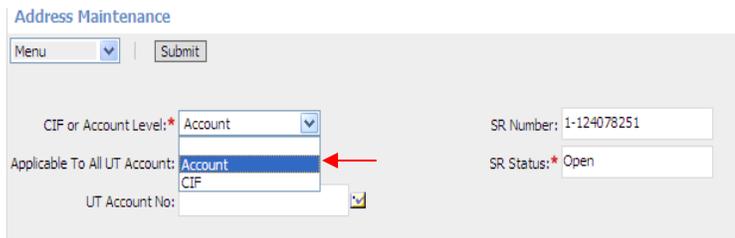
- 3) Key in your search criteria in any of the fields under Corporate Customer Profile and click 'Go' button.



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.



The screenshot shows the 'Address Maintenance' form. At the top left, there is a 'Menu' dropdown and a 'Submit' button. Below this, the 'CIF or Account Level' is set to 'Account'. To the right, the 'SR Number' is '1-124078251' and the 'SR Status' is 'Open'. The 'Applicable To All UT Account' dropdown menu is open, showing 'Account' and 'CIF' options. A red arrow points to the 'Account' option. Another red arrow points to the 'Applicable To All UT Account' checkbox, which is currently unchecked. The 'UT Account No' field is empty.

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.

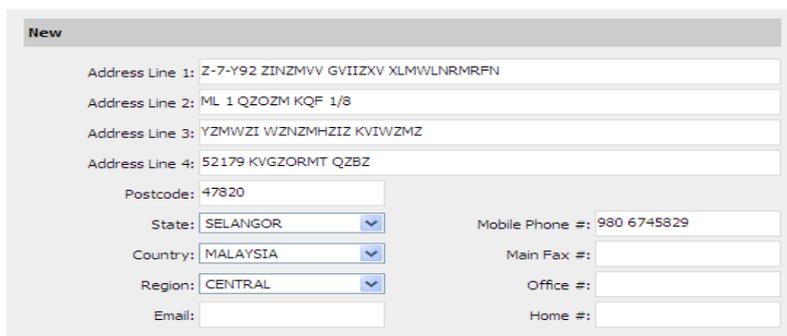


This screenshot is similar to the previous one, but the 'Applicable To All UT Account' checkbox is now checked. A red arrow points to this checkbox. Another red arrow points to the 'UT Account No' field, which is still empty.

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.



The screenshot shows a 'New' contact information form. It contains the following fields:

- Address Line 1: Z-7-Y92 ZINZMVV GVIIZXV XLMWLNRMRFN
- Address Line 2: ML 1 QZOZM KQF 1/8
- Address Line 3: YZMWZI WZNZMHZIZ KVIWZMZ
- Address Line 4: 52179 KVGZORMT QZBZ
- Postcode: 47820
- State: SELANGOR (dropdown)
- Country: MALAYSIA (dropdown)
- Region: CENTRAL (dropdown)
- Email: (empty text field)
- Mobile Phone #: 980 6745829
- Main Fax #: (empty text field)
- Office #: (empty text field)
- Home #: (empty text field)

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

Address Maintenance

Menu

CIF or Account Level:* CIF SR Number: 1-124078251

Applicable To All UT Account: SR Status:* Open

UT Account No:

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.

Address Maintenance

Menu

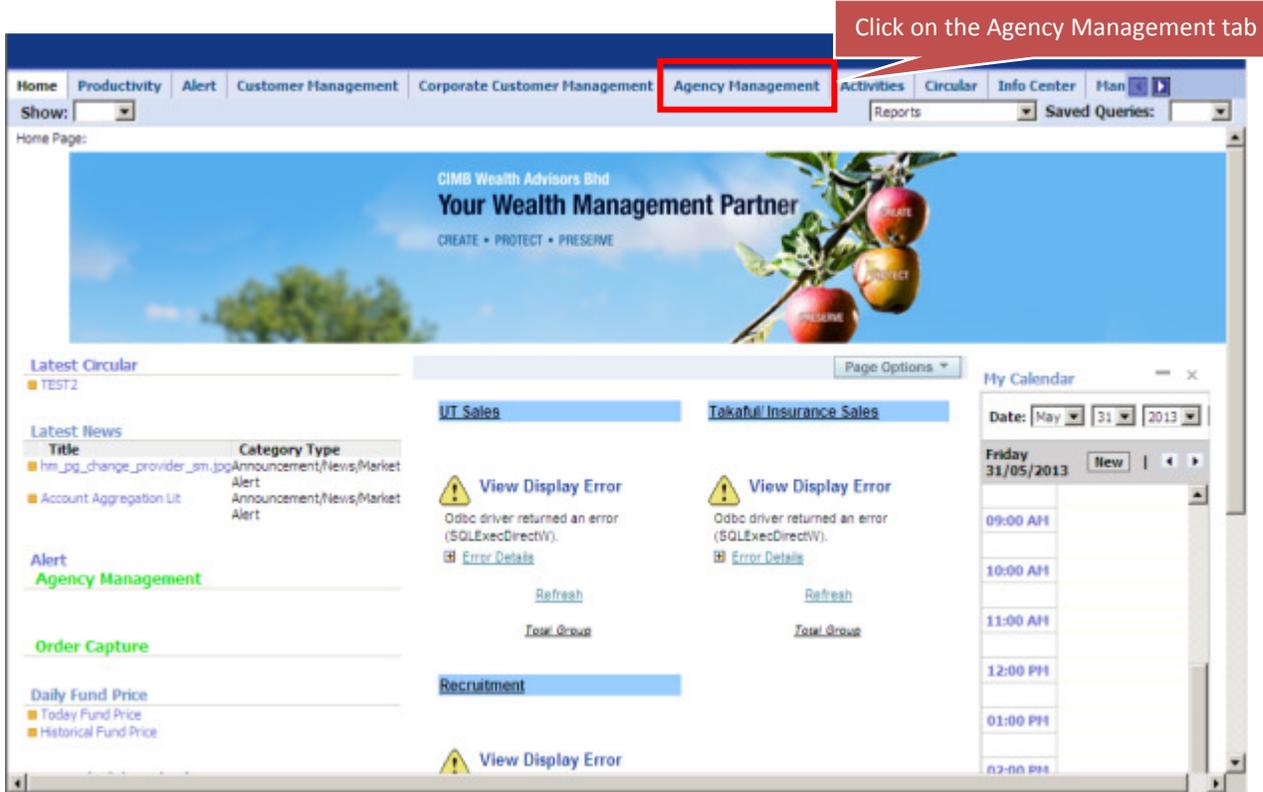
CIF or Account Level:* CIF SR Number: 1-124078251

Applicable To All UT Account: SR Status:* Assigned

UT Account No:

4.0 Agent Management

Click on the Agency Management tab

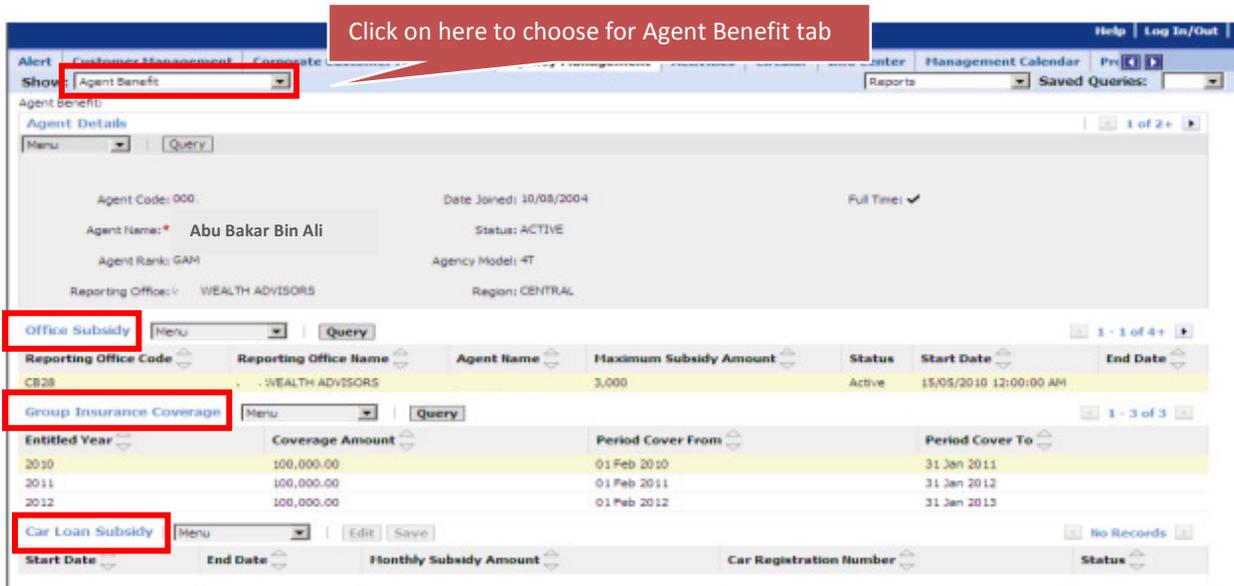


The screenshot shows the CWA web application interface. The navigation menu at the top includes: Home, Productivity, Alert, Customer Management, Corporate Customer Management, **Agency Management** (highlighted with a red box), Activities, Circular, Info Center, and Man. Below the navigation menu, there is a 'Show:' dropdown and 'Reports' and 'Saved Queries:' dropdowns. The main content area features a banner for CIMB Wealth Advisors Bhd with the text 'Your Wealth Management Partner' and 'CREATE • PROTECT • PRESERVE'. Below the banner, there are several panels: 'Latest Circular' with a 'TEST2' item; 'Latest News' with a table of news items; 'Alert' with 'Agency Management' highlighted in green; 'Order Capture'; 'Daily Fund Price' with 'Today Fund Price' and 'Historical Fund Price' options; and a 'My Calendar' widget showing the date 'Friday 31/05/2013'. There are also several 'View Display Error' messages and a 'Recruitment' section.

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



Click on here to choose for Agent Benefit tab

Agent Code: 000 Date Joined: 10/08/2004 Full Time:

Agent Name: Abu Bakar Bin Ali Status: ACTIVE

Agent Rank: GAM Agency Model: 4T

Reporting Office: WEALTH ADVISORS Region: CENTRAL

Office Subsidy

Reporting Office Code	Reporting Office Name	Agent Name	Maximum Subsidy Amount	Status	Start Date	End Date
CB28	WEALTH ADVISORS		3,000	Active	15/05/2010 12:00:00 AM	

Group Insurance Coverage

Entitled Year	Coverage Amount	Period Cover From	Period Cover To
2010	100,000.00	01 Feb 2010	31 Jan 2011
2011	100,000.00	01 Feb 2011	31 Jan 2012
2012	100,000.00	01 Feb 2012	31 Jan 2013

Car Loan Subsidy

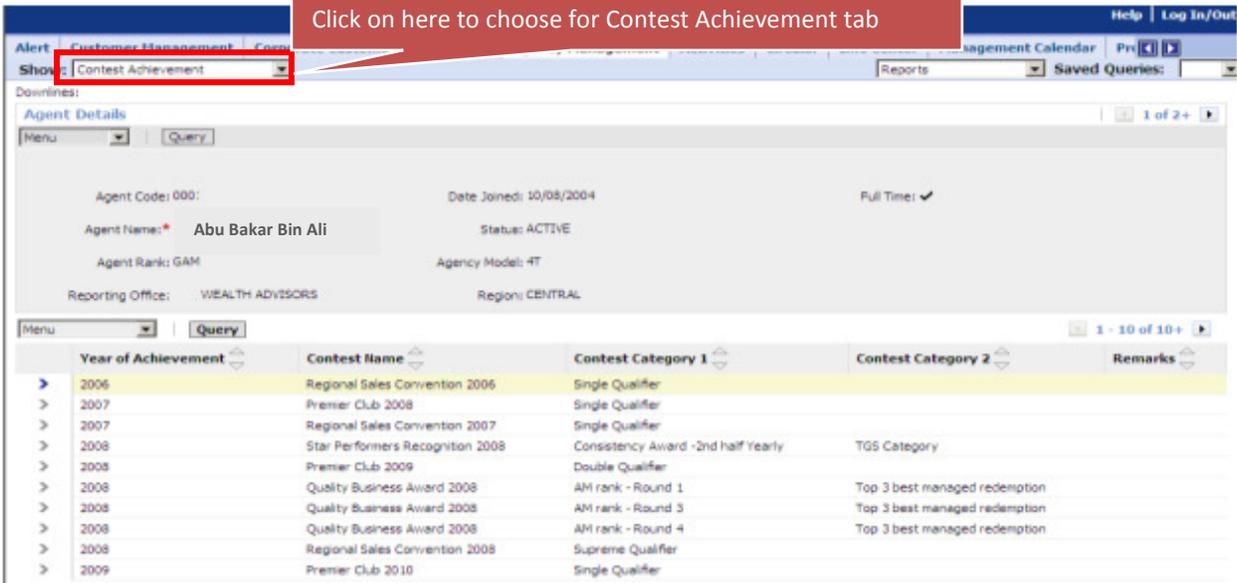
Start Date	End Date	Monthly Subsidy Amount	Car Registration Number	Status
No Records				

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

Click on here to choose for Contest Achievement tab



The screenshot shows the 'Contest Achievement' tab selected in the navigation menu. The main area displays 'Agent Details' for Abu Bakar Bin Ali, including Agent Code: 000, Date Joined: 10/08/2004, Full Time: checked, Agent Name: Abu Bakar Bin Ali, Status: ACTIVE, Agent Rank: GAM, Agency Model: 4T, Reporting Office: WEALTH ADVISORS, and Region: CENTRAL.

Year of Achievement	Contest Name	Contest Category 1	Contest Category 2	Remarks
> 2006	Regional Sales Convention 2006	Single Qualifier		
> 2007	Premier Club 2008	Single Qualifier		
> 2007	Regional Sales Convention 2007	Single Qualifier		
> 2008	Star Performers Recognition 2008	Consistency Award - 2nd half Yearly	TGS Category	
> 2008	Premier Club 2009	Double Qualifier		
> 2008	Quality Business Award 2008	AM rank - Round 1	Top 3 best managed redemption	
> 2008	Quality Business Award 2008	AM rank - Round 3	Top 3 best managed redemption	
> 2008	Quality Business Award 2008	AM rank - Round 4	Top 3 best managed redemption	
> 2008	Regional Sales Convention 2008	Supreme Qualifier		
> 2009	Premier Club 2010	Single Qualifier		

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

Click on here to choose for Licensing tab

Agent Details

Agent Code: Date Joined: 10/08/2004 Full Time:

Agent Name: Abu Bakar Bin Ali Status: ACTIVE

Agent Rank: GAM Agency Model: 4T

Reporting Office: WEALTH ADVISORS Region: CENTRAL

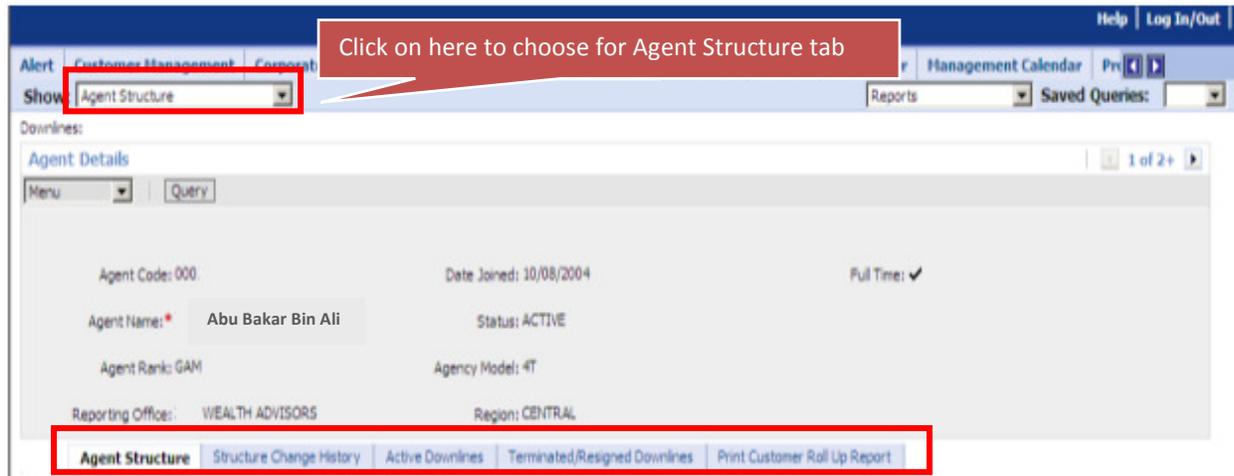
Licensing

License Type	AIA Agent Code	Membership No	Start Date	Expiry Date	License Status
FIAM		011-C-1871	01/01/2011	31/12/2011	Expired
LIAM	0000057	AAA-1A	01/12/2008	01/12/2012	Active
MTA	0000057	MTA-14541	26/01/2011	26/02/2011	Expired
CEILLI	000000		01/12/2008	01/01/2099	Active
IEP			14/04/2010	31/12/2099	Active
FIAM		011-0-08874	10/08/2004	31/12/2013	Active
MTA	00P	MTA-838058	19/01/2011	19/01/2013	Active
FIAM		011-0-08874	01/01/2012	31/12/2012	Active

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

- License Type - FIAM, 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

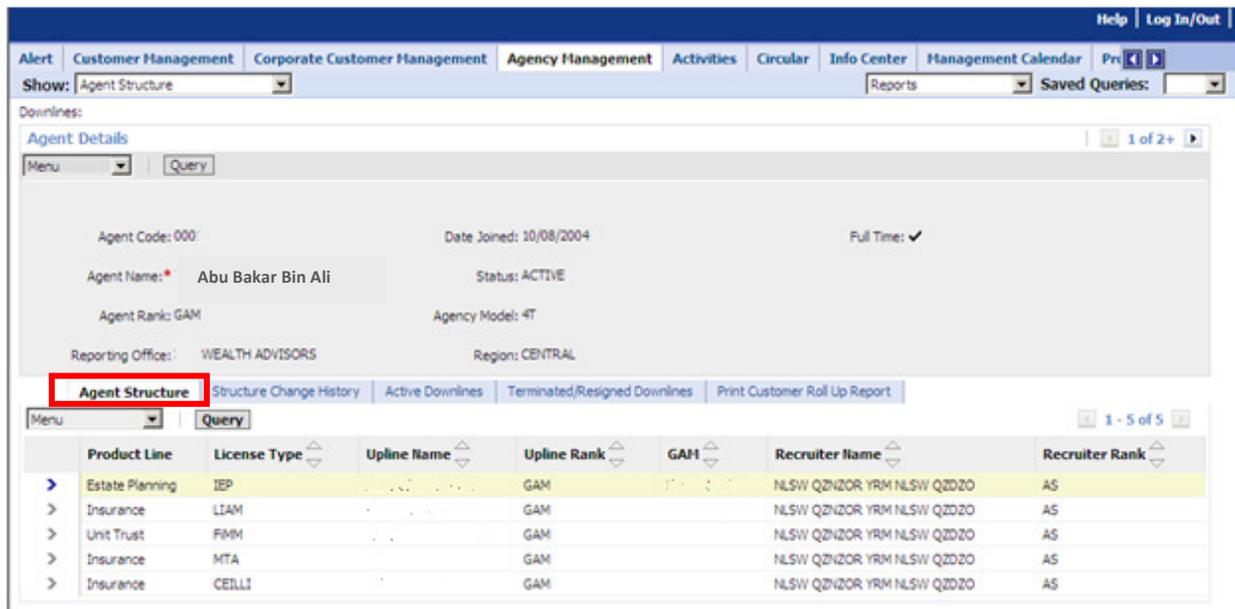
4.4 Agent Structure



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



The screenshot displays the 'Agent Structure' tab for agent Abu Bakar Bin Ali. The agent's details include: Agent Code: 000, Date Joined: 10/08/2004, Full Time: checked, Agent Name: Abu Bakar Bin Ali, Status: ACTIVE, Agent Rank: GAM, Agency Model: 4T, Reporting Office: WEALTH ADVISORS, and Region: CENTRAL. Below the details, the 'Agent Structure' tab is selected, showing a table of product lines. The table has columns for Product Line, License Type, Upline Name, Upline Rank, GAM, Recruiter Name, and Recruiter Rank. The first row is highlighted in yellow.

Product Line	License Type	Upline Name	Upline Rank	GAM	Recruiter Name	Recruiter Rank
Estate Planning	IEP		GAM		NLSW QZNZOR YRM NLSW QZDZO	AS
Insurance	LIAM		GAM		NLSW QZNZOR YRM NLSW QZDZO	AS
Unit Trust	FMM		GAM		NLSW QZNZOR YRM NLSW QZDZO	AS
Insurance	MTA		GAM		NLSW QZNZOR YRM NLSW QZDZO	AS
Insurance	CEILLI		GAM		NLSW QZNZOR YRM NLSW QZDZO	AS

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

The screenshot displays the 'Agent Details' section for agent Abu Bakar Bin Ali. The 'Structure Change History' tab is highlighted with a red box. Below the agent details, a table lists the history of structure changes.

Structure Change Type	License Type	Previous	New	Effective Date
Promotion	FMM	UTC	AS	Jul 2005
Change of Sales Office	FMM	WEALTH ADVISORS	XCELLENCE CONSULTANTS	Dec 2007
Change of Agency Structure	FMM	WEALTH ADVISORS	WEALTH ADVISORS	Dec 2007
Promotion	FMM	AS	AM	Jan 2008
Change of Agency Structure	FMM	WEALTH ADVISORS	WEALTH ADVISORS	Feb 2008
Promotion	FMM	AM	GAM	Jul 2009
Change of Sales Office	FMM	XCELLENCE CONSULTANTS	WEALTH ADVISORS	Jun 2010
Demotion	FMM	GAM	AM	

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

The screenshot displays the 'Active Downlines' section of a software application. At the top, there is a navigation menu with options like 'Alert', 'Customer Management', 'Corporate Customer Management', 'Agency Management', 'Activities', 'Circular', 'Info Center', 'Management Calendar', and 'Print'. Below this is a 'Show:' dropdown and a 'Reports' dropdown. The main content area is titled 'Downlines:' and contains an 'Agent Details' section for 'Abu Bakar Bin Ali'. The agent's details include: Agent Code: 000, Date Joined: 10/08/2004, Full Time: checked, Agent Name: Abu Bakar Bin Ali, Status: ACTIVE, Agent Rank: GAM, Agency Model: 4T, Reporting Office: WEALTH ADVISORS, and Region: CENTRAL. Below the details are several tabs: 'Agent Structure', 'Structure Change History', 'Active Downlines', 'Terminated,Resigned Downlines', and 'Print Customer Roll Up Report'. The 'Active Downlines' tab is selected and contains two sub-applets: 'Direct Downlines' and 'Indirect Downlines'. The 'Direct Downlines' table has columns for Product Line, Agent Name, Agent Rank, and Reporting Office. The 'Indirect Downlines' table has columns for Product Line, Type, Code, Agent Name, Agent Rank, Reporting Office, Level, Upline Code, Upline Name, and Upline Rank. Red boxes highlight the headers of both tables, and red callout boxes identify them as the 1st and 2nd applets.

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

The screenshot shows a software interface with a top navigation bar containing 'Alert', 'Customer Management', 'Corporate Customer Management', 'Agency Management', 'Activities', 'Circular', 'Info Center', 'Management Calendar', and 'Print'. Below this is a 'Show:' dropdown and 'Reports' and 'Saved Queries' buttons. The main content area is titled 'Downlines:' and includes an 'Agent Details' section for 'Abu Bakar Bin Ali'. The agent's details include: Agent Code: 00016134, Date Joined: 10/08/2004, Full Time: checked, Agent Name: Abu Bakar Bin Ali, Status: ACTIVE, Agent Rank: GAM, Agency Model: 4T, Reporting Office: WEALTH ADVISORS, and Region: CENTRAL. Below the details is a navigation bar with 'Agent Structure', 'Structure Change History', 'Active Downlines', 'Terminated/Resigned Downlines' (highlighted with a red box), and 'Print Customer Roll Up Report'. The 'Terminated/Resigned Downlines' section contains a table with the following data:

Product Line	License Type	Agent Code	Agent Name	Agent Rank	Status	Effective Period
> Unit Trust	FMM	00016134	REB HRLD KLS PFVM	UTC	TERMINATED	Apr 2007
> Unit Trust	FMM	00019719	GZM YVY XSL	UTC	TERMINATED	Jul 2008
> Unit Trust	FMM	00020850	XSLD PZR SLV	UTC	TERMINATED	Dec 2008
> Unit Trust	FMM	00019943	QZMRXV GVL QJLMT OV1	UTC	TERMINATED	Jan 2009
> Unit Trust	FMM	00021230	NPSZHNZV ZAIPO HSESIRO YRM XSV HLS	UTC	TERMINATED	Jan 2009
> Unit Trust	FMM	00022503	XSLMT BRG PVPF	UTC	TERMINATED	Jan 2009
> Unit Trust	FMM	00022734	ZVZN YRM MLIWRM	UTC	TERMINATED	Jan 2009
> Unit Trust	FMM	00023976	IZVHS PFNZI Z/O WLIZR IZQ	UTC	RESIGNED	Jan 2009
> Unit Trust	FMM	00019496	IZAOZM YRM ZYWFO IZSNZM	UTC	TERMINATED	Jan 2010
> Unit Trust	FMM	00021712	HLISVACVM YRMGR NVV 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**

Step 2: Click on Report to select the roll up report you wish to view

Step 1: Choose the Period you wish to view for 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

DATE: 17/08/2010 10:23:54 PM
PAGE: 1 OF 1

IND.	ACC. NO.	HOLDER NAME	ADDRESS	TEL. NO. (H/NO)	AGENT CODE	RANK	AGENT NAME	PROD.	UNIT
1.	32362	UMT BIRU YAMT @ GAMB	30 GUNEM KEMASIP KESTRA 1 QULM YRMT WESORE 1 QZQZM PUNANZUMT 1198 PUSZ PRINZYDOP	084 222761 018 8523889	00017337	UTC	BPRV DUMT	027	101,500.00
2.	113076	ZMR YRMR NAWZRU	YHMY QZQZM PUNANZ KDRG PN 1 QZQZM GRZQZ 1198 PUSZ PRINZYDOP KDRG	088 728048	00017337	UTC	BPRV DUMT	027	32,200.00
3.	263972	NLBA RAAZU DUMT YRM ZYWPOQZS	ML 4 QZQZM SZY RUPH@RIS 1 SEMY YOMAZI YDZF YQMTA HUCZMPLJ	018 5983474	00017337	UTC	BPRV DUMT	027	4,040.00

Sample Insurance Policyholder Roll Up report

Insurance_Roll_Up_Report[1].PDF - Adobe Reader

File Edit View Document Tools Window Help

1 / 1 72.3% Find

CMB WEALTH ADVISORS BERHAD (20627-H)
 TERMINATED/ RESIGNED AGENT'S POLICYHOLDER LIST ROLL UP TO UPLINE
 FOR PERIOD

DATE: 17/05/2013 12:24:16 PM
 PAGE: 1 OF 1

SALES OFFICE:
 UPLINE:
 GAN:

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

IEP_Roll_Up_Report[1].PDF - Adobe Reader

File Edit View Document Tools Window Help

1 / 1 72.3% Find

CMB WEALTH ADVISORS BERHAD (20627-H)
 TERMINATED/ RESIGNED AGENT'S IEP CLIENT LIST ROLL UP TO UPLINE
 FOR PERIOD

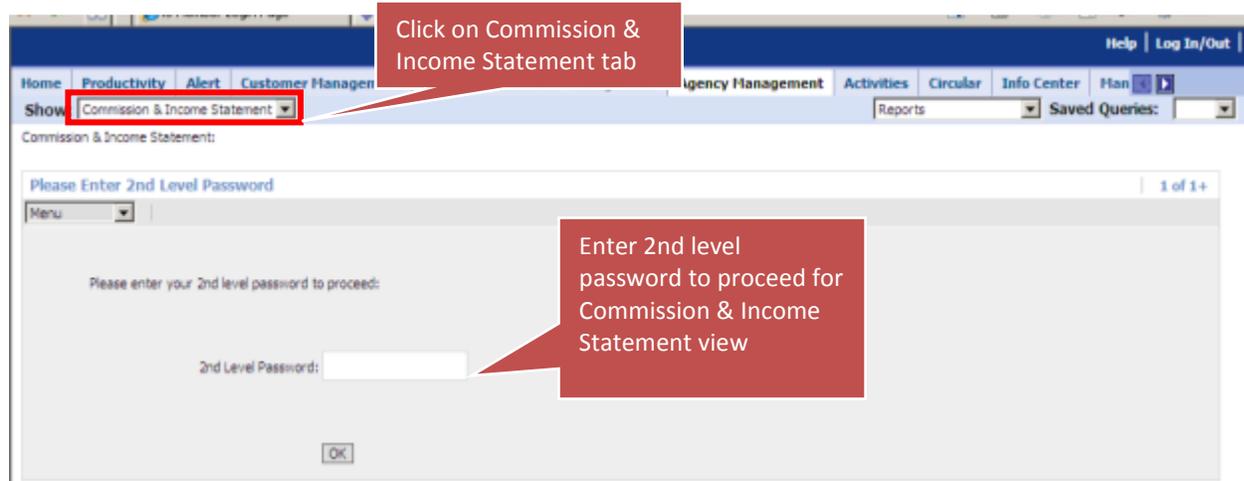
DATE: 17/05/2013 12:25:05 PM
 PAGE: 1 OF 1

SALES OFFICE:
 UPLINE:
 GAN:

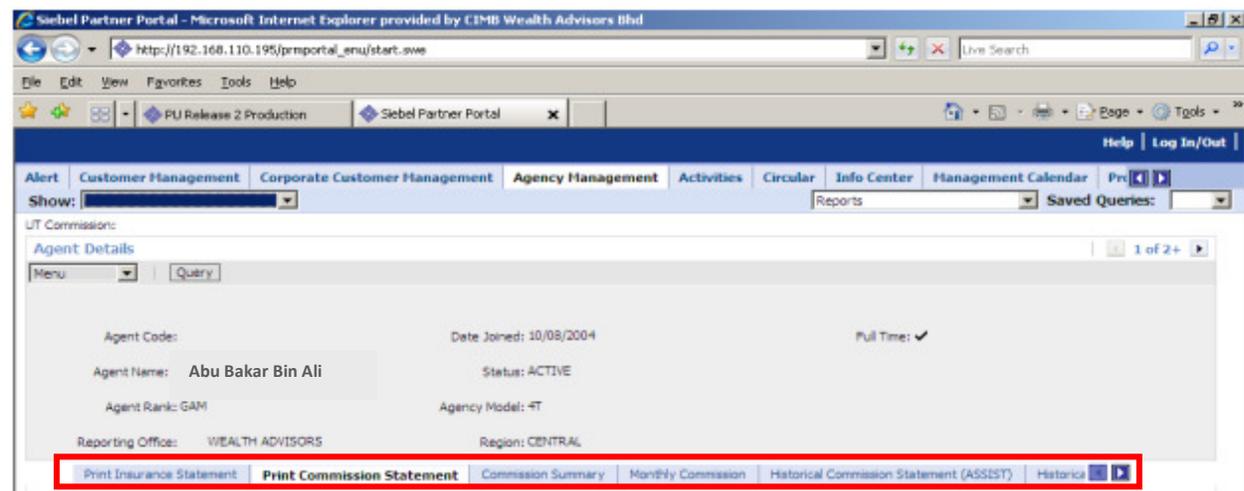
UPLINE STATUS :

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.



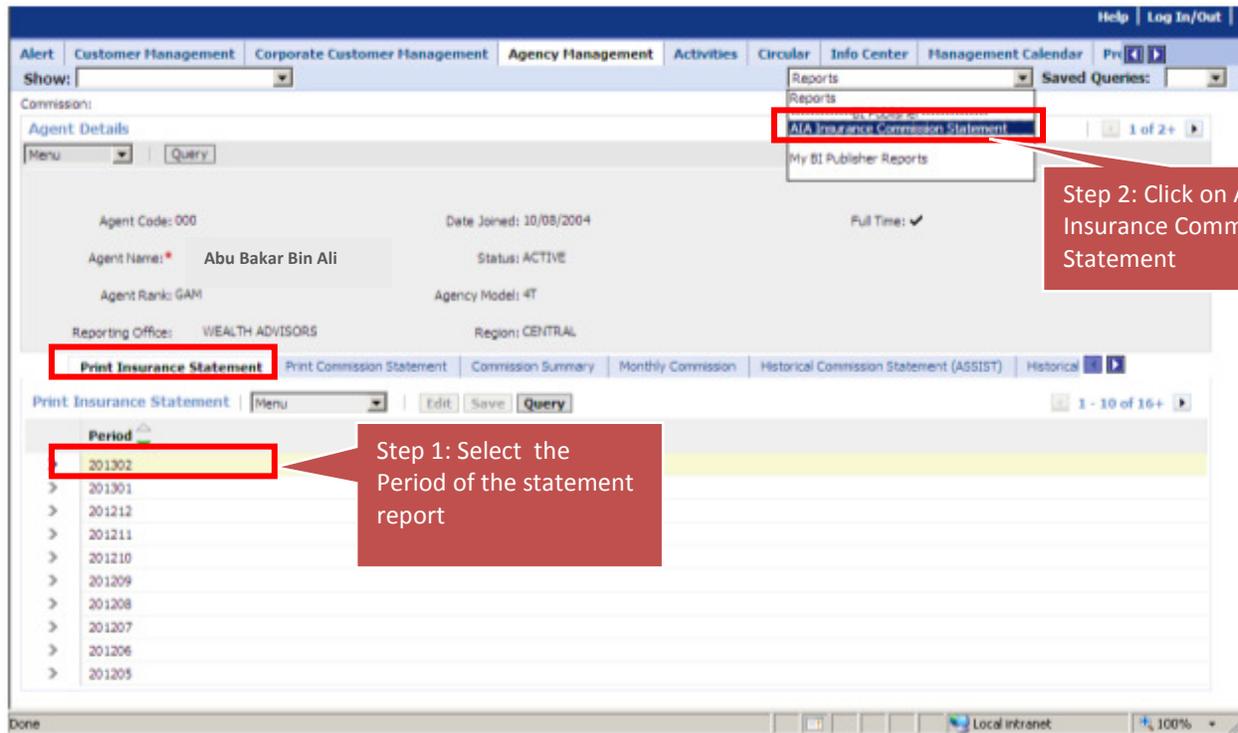
Commission & Income Statement View provides functions to print and view the following reports:-

- 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. Print Insurance Statement



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 (000052131)
 377 FMJMA EHMGM
 GMKMA FADGHE
 FMJMA LMAE JMCM
 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

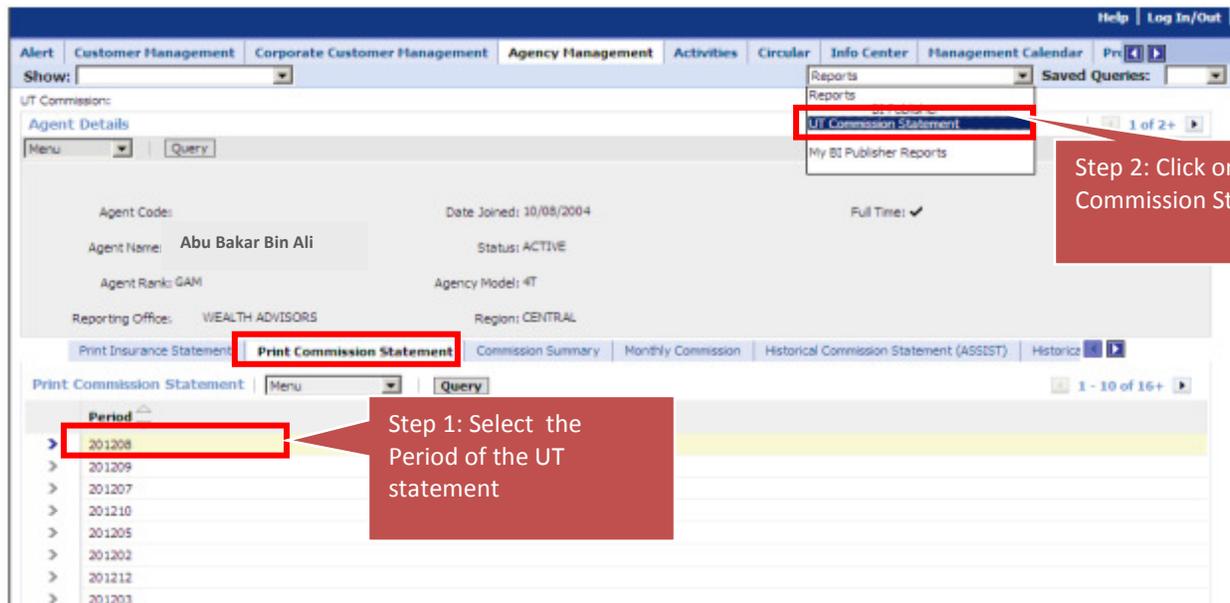
	YTD FYP/ FYC (RM)	YTD Bonus Entitlement (RM)	YTD Bonus Paid (RM)	Commission (RM)

TOTAL COMMISSION FOR THE MONTH	990.57
LAST MONTH BALANCE	0.00
TOTAL ADJUSTMENT	0.00
NET COMMISSION PAYABLE	990.57

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)**



The screenshot displays the CWA system interface. At the top, there is a navigation bar with tabs for 'Alert', 'Customer Management', 'Corporate Customer Management', 'Agency Management', 'Activities', 'Circular', 'Info Center', and 'Management Calendar'. Below this, a 'Show:' dropdown is visible. The main content area is titled 'UT Commission: Agent Details' and shows information for 'Abu Bakar Bin Ali', including 'Date Joined: 10/08/2004', 'Status: ACTIVE', 'Agent Rank: GAM', and 'Agency Model: 4T'. A 'Print Commission Statement' button is highlighted with a red box. A dropdown menu is open, showing 'UT Commission Statement' selected. Below this, a table of 'Period' options is shown, with '201208' selected. A red callout box points to the selected period with the text 'Step 1: Select the Period of the UT statement'. Another red callout box points to the 'UT Commission Statement' option in the dropdown menu with the text 'Step 2: Click on UT Commission 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 MIDD ADA MABFJ DMGKMA / 00009279
 Ganman Aukat
 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)
<i>CIMB EQUITY FUND (TIER STRUCTURE)</i>								
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	Personal Sales (RM)	Commission (RM)
	0.00	0.00
Downlines Name	Rank	Total Group Sales (*) (RM)
GMJDAM ADAGD AFFMAE	AS	752,375.00
AFFDFJ CMDMMG ADAGD GFEEDA	UTC	752,375.00
ALDGMJKD ADAGD MA DMGKMA	AS	752,375.00
IGMBDFMG ADAGD EHAGMK	AS	752,375.00
TOTAL SALES AND COMMISSION		3,009,500.00
		5,003.20

CIMB EQUITY FUND (TIER STRUCTURE)

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

CIMB EQUITY FUND1 (TIER STRUCTURE)-KWSP

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

CIMB EQUITY FUND1 (TIER STRUCTURE)-KWSP

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

GRAND 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**

The screenshot displays the 'Commission Summary' report interface. At the top, there are navigation tabs: Alert, Customer Management, Corporate Customer Management, Agency Management, Activities, Circular, Info Center, Management Calendar, and Reports. Below these are filters for Agent Rank (GAM) and Agency Model (4T). The main content area is divided into three applets:

- 1st applet - Commission Summary:** A table showing total commission for the period 2013.

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
- 2nd applet - Commission by Product Line:** A table showing commission breakdown by product line for UT.

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
- 3rd applet - Commission by Commission Type:** A table showing commission breakdown by commission type for UT.

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

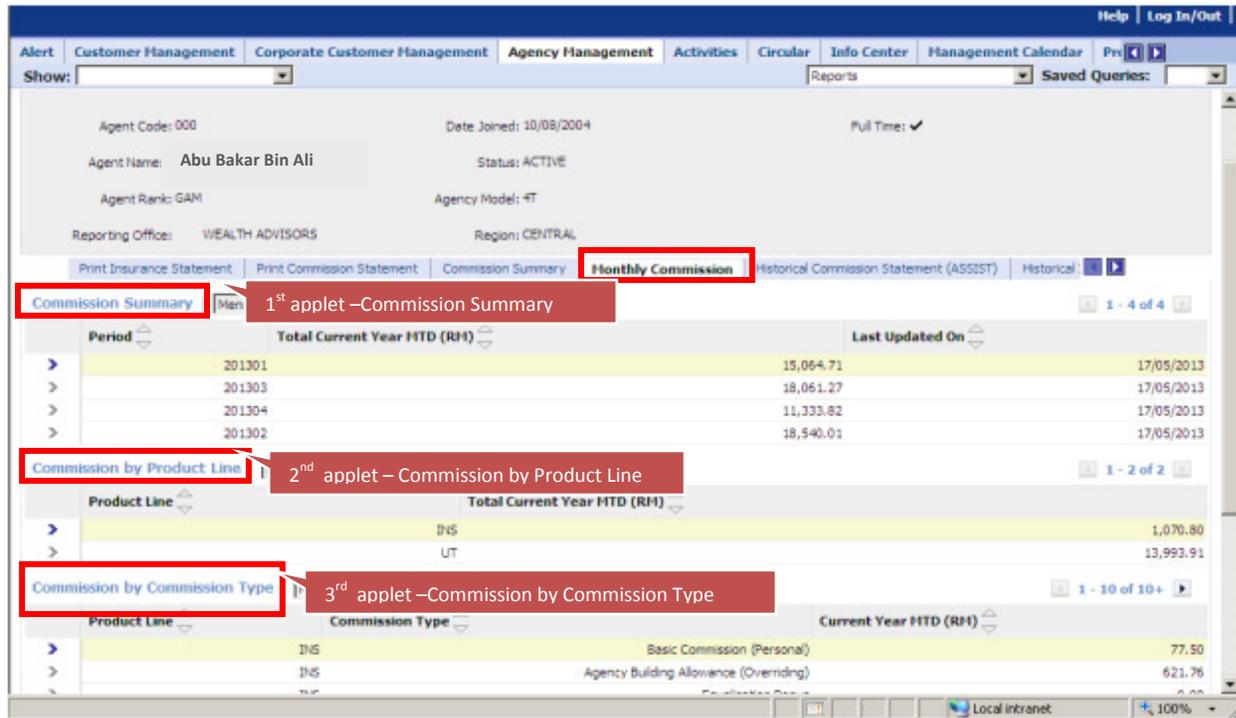
A note at the bottom states: 'i. Unit Trust commission information will be updated on the 30th or 31st day of each calendar month. ii. Insurance commission information will be updated on the 7th working day of the following calendar month from the Sales Closing Date.'

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

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



The screenshot displays the 'Monthly Commission' tab for agent Abu Bakar Bin Ali. The interface includes a navigation menu at the top with options like 'Alert', 'Customer Management', and 'Agency Management'. The main content area is divided into three applets:

- 1st applet – Commission Summary:** A table showing commission data by period. The table has columns for 'Period', 'Total Current Year HTD (RM)', and 'Last Updated On'. Data rows include periods 201301 through 201304.
- 2nd applet – Commission by Product Line:** A table showing commission data by product line. The table has columns for 'Product Line' and 'Total Current Year HTD (RM)'. Data rows include product lines 'INS' and 'UT'.
- 3rd applet – Commission by Commission Type:** A table showing commission data by commission type. The table has columns for 'Product Line', 'Commission Type', and 'Current Year HTD (RM)'. Data rows include commission types like 'Basic Commission (Personal)' and 'Agency Building Allowance (Overriding)'.

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 Code: 000 Date Joined: 10/08/2004
 Agent Name: Abu Bakar Bin Ali Status: ACTIVE
 Agent Rank: GAM Agency Model: 4T
 Reporting Office: WEALTH ADVISORS Region: CENTRAL

Print Insurance Statement | Print Commission Statement | Commission Summary | **Monthly Commission** | Historical Commission Statement (ASSIST) | Historical

Commission Summary | Menu | Query

Period	Total Current Year	Last Updated On
201301	15,064.71	17/05/2013
201303	18,061.27	17/05/2013
201304	11,333.82	17/05/2013
201302	18,540.01	17/05/2013

Commission by Product Line | Menu | Query

Product Line	Total Current Year HTD (RH)
INS	1,070.80
UT	13,993.91

Commission by Commission Type | Menu | Query

Product Line	Commission Type	Current Year HTD (RH)
INS	Basic Commission (Personal)	77.50
INS	Agency Building Allowance (Overriding)	621.76

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)**

The screenshot shows the ASSIST system interface. At the top, there is a navigation bar with tabs for Alert, Customer Management, Corporate Customer Management, Agency Management, Activities, Circular, Info Center, Management Calendar, and Print. Below this is a 'Show:' dropdown and 'Reports' and 'Saved Queries' dropdowns. The main content area is titled 'Agent Details' and shows information for Agent Code: 000, Agent Name: Abu Bakar Bin Ali, Agent Rank: GAM, Reporting Office: WEALTH ADVISORS, Date Joined: 10/08/2004, Status: ACTIVE, Agency Model: 4T, and Region: CENTRAL. Below the agent details is a menu with options: Print Insurance Statement, Print Commission Statement, Commission Summary, Monthly Commission, **Historical Commission Statement (ASSIST)**, and History. Below the menu is an 'Attachments' section with a table. The table has two columns: 'Description' and 'Attachment Name'. The first row contains '201201' in the 'Description' column and 'Attachment 1' in the 'Attachment Name' column. Two red callout boxes provide instructions: 'Step 1: Select the Period of the statement' pointing to '201201', and 'Step 2: Click on the file Attachment' pointing to 'Attachment 1'.

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

vi. **Historical Income Statement (ASSIST)**

The screenshot shows the CWA system interface. At the top, there is a navigation menu with options: Alert, Customer Management, Corporate Customer Management, Agency Management, Activities, Circular, Info Center, Management Calendar, and Print. Below the menu, there are dropdowns for 'Show:' and 'Reports', and a 'Saved Queries:' field. The main content area is titled 'Downlines:' and contains an 'Agent Details' section with fields for Agent Code, Date Joined (10/08/2004), Full Time (checked), Agent Name, Status (ACTIVE), Agent Rank (GAM), Agency Model (4T), Reporting Office (WEALTH ADVISORS), and Region (CENTRAL). Below this, there is a navigation bar with links: Print Commission Statement, Commission Summary, Monthly Commission, Historical Commission Statement (ASSIST), and **Historical Income Statement (ASSIST)** (highlighted with a red box). Underneath is an 'Attachments' table with columns 'Description' and 'Attachment Name'. The table contains one row with '2012' in the 'Description' column and 'Attachment 1' in the 'Attachment Name' column. Two red callout boxes provide instructions: 'Step 1: Select the Period of the statement' pointing to '2012', and 'Step 2: Click on the file Attachment' pointing to 'Attachment 1'.

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

vii. **Print UT Income Statement**

The screenshot shows a software interface for printing an UT Income Statement. At the top, there is a navigation bar with tabs: Customer Management, Corporate Customer Management, Agency Management, Activities, Circular, Info Center, Management Calendar, and Profile. Below the navigation bar, there is a 'Show:' dropdown menu set to 'Reports' and a 'Saved Queries:' dropdown. The main content area is titled 'Print UT Income Statement:' and contains an 'Agent Details' section. The agent details include: Agent Code: 00028277, Date Joined: 08/12/2011, Full Time: checked, Agent Name: Abu Bakar Bin Ali, Status: ACTIVE, Agent Rank: UTC, Agency Model: 4T, Reporting Office, and Region: CENTRAL. Below the agent details, there is a 'Print UT Income Statement' button highlighted with a red box. To the left of this button is a 'Period' dropdown menu set to '2012', also highlighted with a red box. Two red callout boxes provide instructions: 'Step 1: Select the Period of the statement' pointing to the '2012' dropdown, and 'Step 2: Go to 'Reports dropdown button', click on UT Income Statement' pointing to the 'Print UT Income Statement' button.

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**

The screenshot shows a web application interface for printing an insurance income statement. At the top, there is a navigation menu with options: Customer Management, Corporate Customer Management, Agency Management, Activities, Circular, Info Center, Management Calendar, Profile, and Log In. Below the navigation menu, there is a 'Show:' dropdown menu and a 'Reports' dropdown menu, both highlighted with red boxes. The main content area is titled 'Print Insurance Income Statement:' and contains an 'Agent Details' section. The 'Agent Details' section has a 'Menu' dropdown and a 'Query' button. Below this, there are several fields: Agent Codes, Date Joined: 10/08/2004, Full Time: , Agent Name, Status: ACTIVE, Agent Rank: AS, Agency Model: 4T, Reporting Office: SALES OFFICE, and Region: CENTRAL. At the bottom of the 'Agent Details' section, there is a 'Print Insurance Income Statement' button, which is highlighted with a red box. Below the 'Agent Details' section, there is a 'Period' dropdown menu with '2012' selected, highlighted with a red box. A red callout box points to the '2012' selection with the text 'Step 1: Select the Period of the statement'. Another red callout box points to the 'Reports' dropdown menu with the text 'Step 2: Go to 'Reports dropdown button', click on 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 PENGAJAH 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 BERAGIH 31 DISEMBER /
 FOR THE YEAR ENDING 31 DECEMBER

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

1. Nama / Name

2. Alamat / Address

3. No. Pendaftaran (No. Pendaftaran) / Reference No. (Registration No.)

4. No. Cukai Pendapatan / Income Tax No.

BAHAGIAN B / PART B : MAKLUMAT PENERIMA / RECIPIENT'S PARTICULARS

1. Nama / Name

2. Alamat / Address

3. No. Pendaftaran / Kad Pengiraan / Polis / Tentera / Pasport *
 Registration / Identity Card / Police / Army / Passport No. *
 (* Potong yang tidak berkenaan / Delete whichever is not applicable)

4. No. Cukai Pendapatan / Income Tax No.

5. Mestahin di Malaysia / Resident in Malaysia
 Ya / Enter: C / C1 / SG / DG / D / TP / T / J / TF
 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	815,000.00
(b) Lain-lain / Others	0.00
(Sila nyatakan / Please specify)	
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	100.00
(Sila nyatakan / Please specify)	
JUMLAH / TOTAL :	815,000.00

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

Saya //

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

Jawatan / Designation

dengan ini mengaki 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 pengajih berkenaan dalam tempoh yang ditetapkan oleh Akta tersebut adalah merupakan suatu kesalahan, dan jika disebabkan 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.

I 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 that, 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.

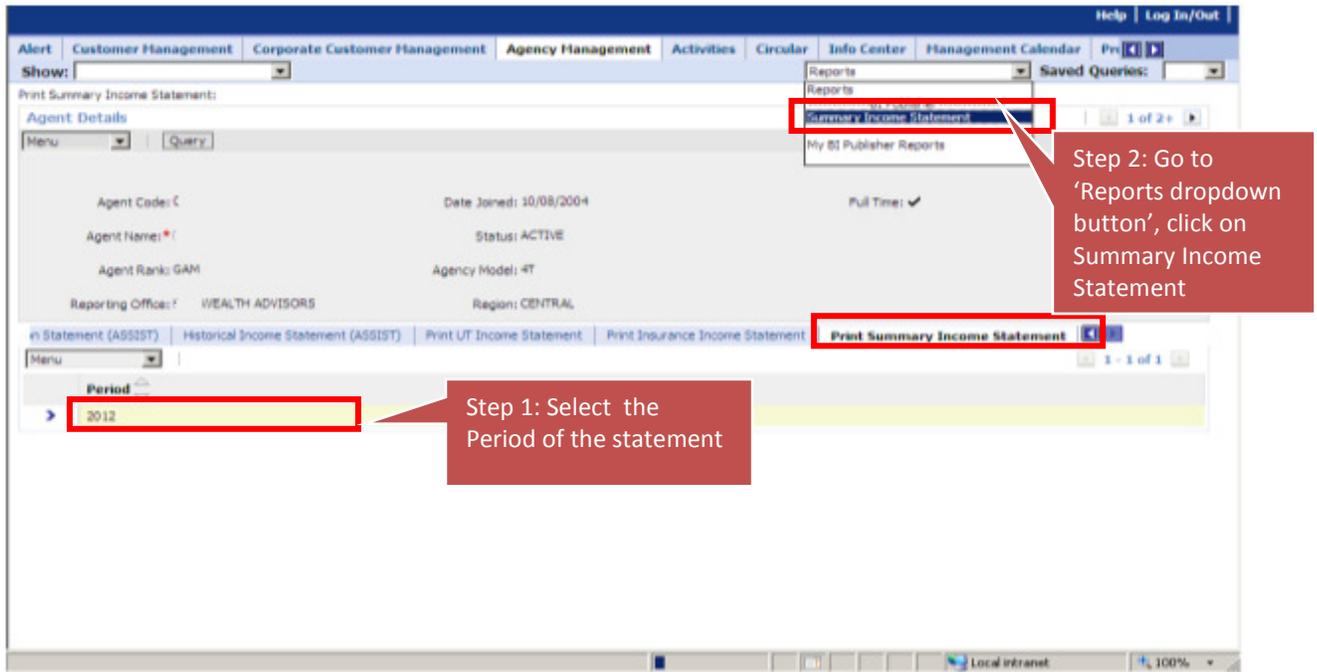
Tarikh / Date:

Tandatangan ** / Signature **

Cap Syarikat / Company Stamp

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

ix. **Print Summary Income Statement**



The screenshot shows a web application interface for printing a Summary Income Statement. The interface includes a navigation bar with tabs like 'Alert', 'Customer Management', 'Corporate Customer Management', 'Agency Management', 'Activities', 'Circular', 'Info Center', and 'Management Calendar'. A 'Reports' dropdown menu is open, showing 'Summary Income Statement' selected. A 'Period' dropdown menu shows '2012' selected. Red callout boxes provide instructions: 'Step 1: Select the Period of the statement' and 'Step 2: Go to 'Reports' dropdown button', click on Summary Income Statement'.

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 **Date** : 18/01/2013
(new / old NRIC; Passport No)
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
<hr/>	
TOTAL INCOME FOR YEAR ENDED 2012 :	1,081,126.51

THIS IS A COMPUTER GENERATED STATEMENT
NO SIGNATURE IS REQUIRED

5.0 Circular

Click on Circular tab

1st applet – Circular & Announcements

Step 1: Select circular you wish to view

2nd applet – Literature

Step 2: Click on circular / attachment to view

New	Ref #	Description	Date Posted
>	*	STAR PERFORMERS RECOGNITION 2011 AS AT DECEMBER 2011	22/04/2012 04:48:32 PM
>	*	New SD	22/04/2012 05:12:46 PM
>	*	1123	09/06/2012 09:36:30 AM
>	*	794618 test1	15/04/2012 03:40:52 PM
>	*	123456789/ASD TESTING KELLY-3	06/04/2012 05:26:41 PM
>	*	456789/2012/ASD TESTING (KELLY SEPT 2012-CIRCULAR)	06/04/2012 05:22:33 PM
>	*	12345/2012/Asd testing (kellySept 2012)	06/04/2012 05:21:55 PM
>	*	205/2012/UTPS END OF SUBSCRIPTION : CIMB-PRINCIPAL ASIA INFRASTRUCTURE FUND (AND CIMB PRINCIPAL MENA EQUITY FUND)	24/01/2012 03:10:22 PM
>	*	204/2012/ASD RESULT LISTING FOR INSURANCE EXAMINATION DATE 9 JUNE 2012	24/01/2012 03:08:53 PM
>	*	202/2012/CAO MASTER AGENCY BUILDER 2012: PROGRESS REPORT AS AT MAY	24/01/2012 03:07:48 PM

Name	Description	Size (In Bytes)	Type
Star Performers- December2011		4,932	htm
Top Personal Regular Saving Plan(RSP) Producer-Result as at Dec 2011		15,665	pdf
Top Producer in sales volume-result as at Dec 2011		19,711	pdf

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

Step 1: Click on Query

New	Ref #	Name	Description	Date Posted
>	*	STAR PERFORMERS RECOGNITION 2011 AS AT DECEMBER 2011		22/04/2012 04:48:32 PM
>	*	New SD		22/04/2012 05:12:46 PM
>	*	1123		09/06/2012 09:36:30 AM
>	*	794618	test1	15/04/2012 03:40:52 PM
>	*	123456789/ASD	TESTING KELLY-3	06/04/2012 05:26:41 PM
>	*	456789/2012/ASD	TESTING (KELLY SEPT 2012-CIRCULAR)	06/04/2012 05:22:33 PM
>	*	12345/2012/Asd	testing (kellySept 2012)	06/04/2012 05:21:55 PM
>	*	205/2012/UTPS	END OF SUBSCRIPTION : CIMB-PRINCIPAL ASIA INFRASTRUCTURE FUND (AND CIMB PRINCIPAL MENA EQUITY FUND)	24/01/2012 03:10:22 PM
>	*	204/2012/ASD	RESULT LISTING FOR INSURANCE EXAMINATION DATE 9 JUNE 2012	24/01/2012 03:08:53 PM
>	*	202/2012/CAD	MASTER AGENCY BUILDER 2012: PROGRESS REPORT AS AT MAY	24/01/2012 03:07:48 PM

Step 2: You can query based on Ref #, Name of Circular, Date Posted only

Search Form Fields:

- Ref #:
- Name:
- Description:
- Date Posted:

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

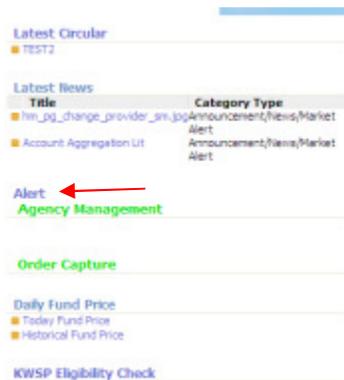
ASSIST PRO will generate alerts to notify on the status of your submission or events so that you can take the necessary actions. You can access and view the alerts at two locations i.e. Home or Alert screen.

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.

Home Productivity **Alert** Customer Management Corporate Customer Management Agency Management Activities Circular Info Center

Show: My Alerts

Alert:

Menu Query

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 MQZQG 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 NLSZNVVW 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	
> 1-1YOXYM	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	

1 - 10 of 10+ >

You need to click next button to retrieve more alerts.

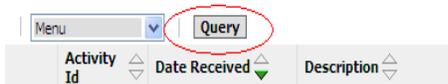
You are able to sort the alerts based on your preference by clicking the required column header.



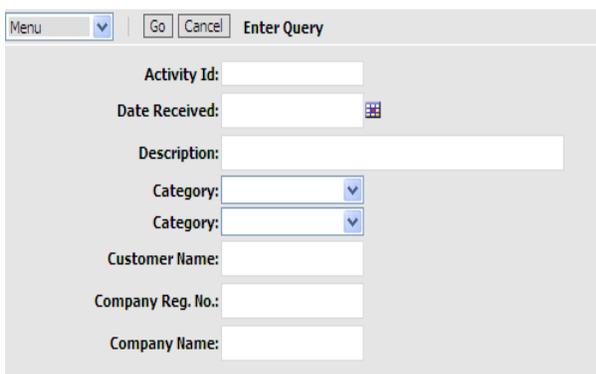
The green arrow indicates current sorting option, as explained in the basic navigation section.

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.	<ul style="list-style-type: none"> • 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	<p><EXAM TYPE> EXAM CONFIRMATION</p> <p>Your/Your downline <exam type> Examination has been CONFIRMED as follows:-</p> <p>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></p>
2	Exam Result	<p><EXAM TYPE> EXAM RESULTS</p> <p>Your/Your downline <exam type> result has been released as follows:-</p> <p>Name: <Agent Name> Exam Type: <CUTE/PCEIA/TBE etc> Exam Date: <dd/mm/yyyy> Exam Results: <Passed/Failed/Absent></p>
3	Non-Insurance License Approval	<p><LICENSE TYPE> LICENSE APPROVED!!</p> <p>Your/Your downline <license type> license registration has been APPROVED. You/your downline may now proceed to sell <product type> products.</p> <p>Name: <Agent Name> Agent Code: <CWA Agent Code> Effective Date: <license effective date></p> <p>Happy Selling!!</p> <p>cc. <Upline Name><Sales Office> <ADC Name><Office Name></p>
4	Insurance License Approval	<p><LICENSE TYPE> LICENSE APPROVED!!</p> <p>Your/Your downline <license type> license registration has been APPROVED. You/your downline may now proceed to sell <product type> products.</p> <p>For submission of proposal forms, please fill in the agent details as follows:-</p> <p>Agency Name: KL-CWA</p>

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 Continuous 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	<p>REMINDER - CAR LOAN SUBSIDY REIMBURSEMENT</p> <p>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.</p>
10	Demotion	<p>NOTIFICATION ON DEMOTION</p> <p>You - <Agent Name><Agent Code> have been demoted from <old rank> to <new rank> effective <>. For details, please refer to your ADC/Agent Upline.</p> <p>cc. <Upline Name><Sales Office> <ADC Name><Office Name></p>
11	Change of Upline	<p>CHANGE OF UPLINE</p> <p>Your/Your downline application for Change of Upline has been APPROVED. Details are as follows:-</p> <p>Agent Name/Code/Rank: <>/<>/<> Old Upline/Code/Rank: <>/<>/<> New Upline/Code/Rank: <>/<>/<> Effective Month: <></p> <p>cc. <New Upline Name><Sales Office> <ADC Name><Office Name></p>
12	Change of Reporting Office	<p>CHANGE OF REPORTING OFFICE</p> <p>Your application for Change of Reporting Office has been APPROVED. Details are as follows:-</p> <p>Agent Name/Code/Rank: <> Old Reporting Office: <> New Reporting Office: <> Effective Month: <></p> <p>cc. <ADC Name><Office Name></p>

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.

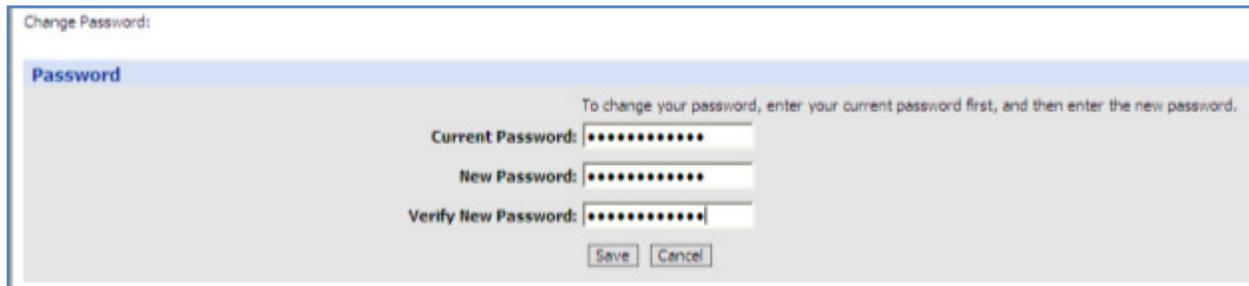
The 2nd level password option is applicable for GAM and AM only.

Follow the steps below to change the respective level password.

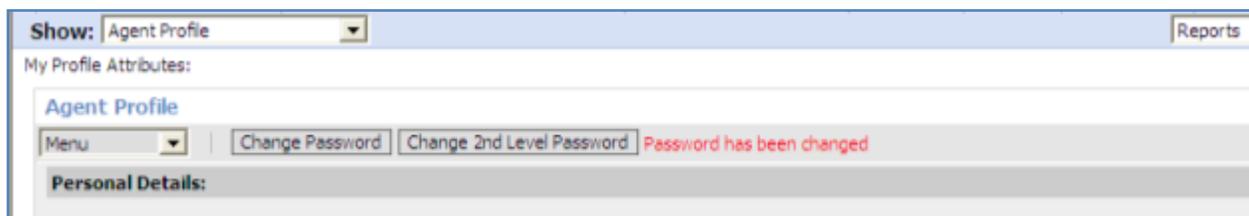
7.1.1 Change Password

- 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.



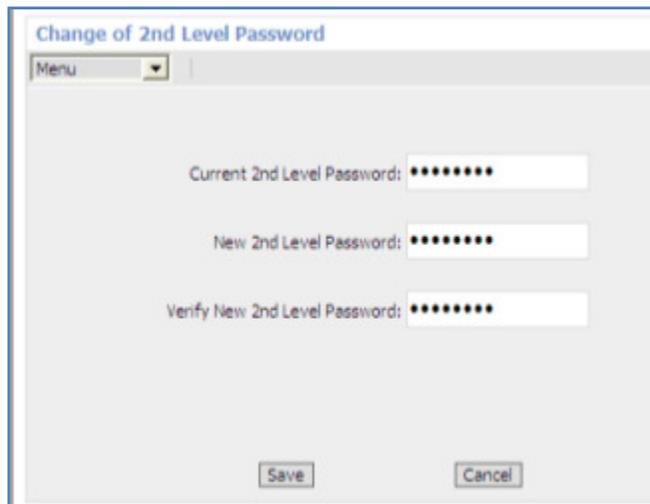
7.1.2 Change 2nd Level Password

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



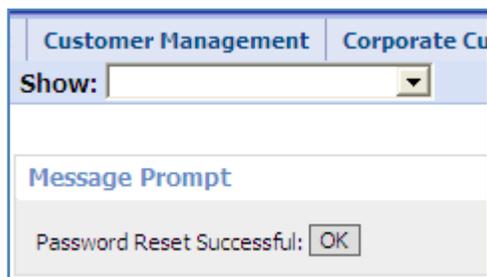
- 2) Enter current 2nd level password and new 2nd level password. The password must contain minimum 7 characters with at least one numeric, one upper case alphabet and one special character.

- 3) Click 'Save' button.



The screenshot shows a dialog box titled "Change of 2nd Level Password". At the top left, there is a "Menu" dropdown. The main area contains three password input fields, each with a label and a masked password (seven dots): "Current 2nd Level Password:", "New 2nd Level Password:", and "Verify New 2nd Level Password:". At the bottom of the dialog, there are two buttons: "Save" and "Cancel".

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



The screenshot shows a "Message Prompt" dialog box. At the top, there are two tabs: "Customer Management" and "Corporate Cu". Below the tabs is a "Show:" dropdown menu. The main area of the dialog contains the text "Password Reset Successful:" followed by an "OK" button.

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.

The screenshot shows the 'Update Personal Information' interface. At the top, there is a navigation bar with options like Home, Productivity, Alert, Customer Management, etc. Below that, a 'Show:' dropdown is set to 'Update Personal Information'. The main content area is titled 'Update Personal Information' and has a 'Menu' dropdown set to 'New'. There are two tabs: 'Current' and 'New'. The 'Current' tab displays existing information: Address Line 1: A17- MAS, Address Line 2: JALAN BUKIT, Address Line 3: (empty), Address Line 4: (empty), Postcode: 5, State: WILAYAH-PERSEKUTUAN, Region: CENTRAL, Country: MALAYSIA, Office #: (empty), Home #: (empty), Main Fax #: (empty), Mobile Phone #: (empty), and Email: (empty). The 'New' tab displays input fields for updated information: Address Line 1: NO 75 JALAN 123456, Address Line 2: TAMAN CXHAY, Address Line 3: (empty), Address Line 4: (empty), Postcode: (empty), State: WILAYAH-PERSEKUTU (dropdown), Region: CENTRAL (dropdown), Country: MALAYSIA (dropdown), Office #: (empty), Home #: (empty), Main Fax #: (empty), Mobile Phone #: (empty), and Email: nupdate@yahoo.com. A red arrow points to the 'New' tab.

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.

The screenshot shows the 'Update Personal Information' interface after the information has been updated. The 'New' tab is selected, and its fields are now greyed out. The 'Current' tab displays the updated information: Address Line 1: (empty), Address Line 2: (empty), Address Line 3: (empty), Address Line 4: (empty), Postcode: (empty), State: (empty), Region: CENTRAL, Country: MALAYSIA, Office #: 603-4142000, Home #: 603-4142000, Main Fax #: 603-4142000, Mobile Phone #: 019-3991111, and Email: Update@coventryadeps.com.my. A red arrow points to the 'New' tab.