Q. I am an entity licensed by Labuan FSA, what are the documents should I read for regulatory submission requirement?

A. Please browse at Labuan IBFC website at <u>https://www.labuanibfc.com/areas-of-business/98-2343/operational-requirements/statistical-management-system.html</u>. There are guidance documents available for download.

Q. What are the deadlines for the regulatory submissions?

A. Generally SMS and manual form submissions are due by 15th after end of reporting period (except for Credit transaction and exposure with connected parties). For audited figure submission which reported in SMS, it will be due within 6 months after financial year. Details refer to regulatory reporting schedule which available in the website.

Q: When should I generate the SMS form?

A: In order to avoid any non-compliance issues due to technical or operational matters, REs are advised to perform "Hot-update" to generate all the relevant forms on 1st week of reporting month.

Q. What if the deadline fall on a public holiday?

A. Submission deadline will remain on the same date. REs are advised to submit during working day to avoid non-compliance due to technical issue. For example, For Dec 16 submission, if the deadline, 15 Jan 2017 falls on Sunday, REs are advised to submit latest by 13 Jan 2017 (Friday).

Q. How often I would get the pre-submission reminder email?

A. Pre-submission reminder is auto generated by the system 7 day before due.

Q. What is the content of the Pre-submission reminder?

A. Sample of emails for the industries as below.

Reminder 7 days before due

RE: xxxxx (Labuan) Branch Category: Bank Calendar: Calendar Year Schedule: Monthly Period ending/As at: 2016-12-31 00:00:00 Due On: 2017-01-15 00:00:00

Reminder 7 days before due

RE: xxxxx (Labuan) Branch Category: Insurance Calendar: Calendar Year Schedule: Quarterly Period ending/As at: 2016-12-31 00:00:00 Due On: 2017-01-15 00:00:00

Q. What is the content of the 1-day and 3-day late reminder and what is next action?

A. Sample of emails for the industries as below.

<u>1-day late</u>

RE: XXXX Investment Bank (Labuan) Ltd. Category: Bank Calendar: Calendar Year Schedule: Monthly Period ending/As at: 2015-01-31 00:00:00 Due On: 2015-02-15 00:00:00

3-day late

RE: XXXX Insurance (Labuan) Ltd. Category: Insurance Calendar: Calendar Year Schedule: Quarterly

Period ending/As at: 2015-12-31 00:00:00 Due On: 2016-01-15 00:00:00

My next action is to log in to SMS and submit the forms immediately without further delay.

Q. What should I do if I received variance failed email?

A. SMS provides variance checks to detect significant changes in the values of items reported in the current submission as compared with the values of the same items reported in the preceding submission.

REs are required to review and confirm the variances indicated by the system to ensure consistency and credibility of the data submitted to Labuan FSA. The submitted forms would be automatically rejected if the variance exceeded the set threshold. If variance

failed occurs, REs are required to response to the case raised by filling up the form notes, and resubmit the forms within three working days from the date of this email.

Please	refer	to t	he	simplified	d stens	are	listed	belov	Ν.
i icusc	ICICI	10 1	inc.	Simplified	a steps	arc	nsteu	DCIO	· • •

	Steps	Action	Expected
1.	Log in to SMS and go to the case raised. The case located under Workspace	-	Forms are rejected based on batches. If one form in the same submission batch fails the check, all forms of the same batch will be rejected too.
2.	Response to the case and refer to "Description" given to get further clarification	To respond to a case, the "Resolution" field has to be filled in with the relevant information.	Status of the case will be updated to "Responded"
3	Click Hot Update to update the forms' status.		Status of submission batch will updated from "Submitted" to "Open"
4	If the forms were rejected due to error	Update and amend the data	Provide reasonable justification and refer item 6 & 7 below
5	Otherwise, go to the particular form	Click "Form Note" button	Provide the reason of the variance in the form note field and perform item no. 6 & 7 below
6	Click "Save" and "Ready"		Status of the form will be updated to "Ready"
7	Resubmit Forms	All forms of same submission batch in "Ready" mode	Status of the form will be updated to "Submitted"

Q. What if I cannot log in to SMS?

A. Please ensure you have internet connection, user ID and password are correct.

Q. What should I do if I want to reinstall my SMS program?

A. Please request for ID unlock from Industry Reporting Unitof Labuan FSA before proceed with reinstallation.

Backup your current computer (if still accessible):

- 1. Backup the entire LOFSASMS folder (C:\lofsasms) from your existing computer (ensure you are logged out from the SMS) to a thumb drive or any external hard disk.
- 2. Alternatively, please refer to SMS User Guide for step-by-step backup instruction.
- 3. Restoration process continues from the new computer at Step 3 (Installation & restoration of SMS) below.

Installation & restoration of SMS:

- 1. Perform full SMS installation on Windows 7 Professional (32-bit compatible only).
- 2. STOP LOFSASMS & SQL SERVER (LOFSA SMS) services from your Control Panel\All Control Panel Items\Administrative Tools\Services.
- 3. Restoration: Copy the entire LOFSASMS folder that you backup and paste it to your newly installed pc. (C:\lofsasms)
- 4. Over-ride all the contents folder.
- 5. START LOFSASMS & SQL SERVER (LOFSA SMS) services.
- 6. Login as READMIN & register your PO_ID.
- 7. Once successfully registered, sign in as usual.
- 8. Verify all previous submissions (if applicable) and perform hot-update.

Q. What is the usage of form notes in the SMS?

A. To provide explanation of the threshold met based on the validation rules.

Q. How do I know my variance case has been settled?

A. After variance case steps has been carried out, REs can log in to the system and check the status of case if it is updated after click refresh.

Q. What is the function of hotupdate?

A. It is like a refresh button to update the information from Labuan FSA to REs or vice versa.

Q. I cannot log in to SMS in my computer, what should I do?

A. REs are advised to check on the connectivity are advised to perform SMS database backup regularly. It is recommended that the database backup to be performed at the earliest possible after submission season.

Q. What if all my forms ready and I cannot not submit the forms?

A. There are some more forms not in in ready status. Please check thoroughly.

Q: How do I know the submission has been successfully submitted?

A: You may check the status within 24 hours after submission completed. The status will change from "Submitted" to "Accepted" The system verification process at Labuan FSA will take not more than 24 hours.

Q. What if I received error message?

A. Upon error message received, please check against SMS user guide for troubleshooting. If the error remains, REs to provide errors' screenshot and send to Labuan FSA for further advice.

Below are several error messages for your quick answers.

1. During Login –Invalid user id or password

Satury Collback exception	
Invalid user id or password	
Close	Show Details >>

Possible cause: Wrong user id or password

🌑 Login Form		
Login Information		
User Id :	testnick	
Password :	*****	
Server Name :	SMS@RE	
	Ok	Cancel

Troubleshooting: (1) Registration step with id "readmin" must be successful before a user can login with the Labuan FSA provided User ID.

(2) If registration step is done, check the User ID and password provided by Labuan FSA.

2. During Login – Failed to contact server

Sjax callback exception	
Failed to contact server	
L Chan D Chan D	
	ecalis >>

Possible cause: The SMS application cannot contact the SMS service configured in the Server Name

🚭 Login Form		
C Login Information -		
User Id :	testnick	
Password :	*****	
Server Name :	SMS@RE	
[Ok	Cancel

Troubleshooting: (1) Check the SMS service configured in Server Name.

The default connection should be as below, http://127.0.0.1:81/. Use the above configuration when connecting from the Full Application.

Otherwise, replace the IP address in Server URL with the IP address of the full application.

🍧 Server Connectio	n Settings	
Connection Settings		
Server Name :	SMS@RE	
Server URL :	http://127.0.0.1:81/	
Storage Version :	4	
Server List		
Name		
SMS@RE		
]
Save 4	dd Delete	Ok Cancel

(2) Check SMS service.

If the SMS service is down on the SMS Full Application machine, then the SMS application will not be able to function. Refer to SMS service test.

(3) Check network connection.

If the SMS service is down on the SMS Full Application machine, then the SMS application will not be able to function. Refer to SMS service test.

A ping test on the connecting machine can determine if the SMS service machine is accessible. Refer to Ping test.

(4) Check destination port.

A telnet test can determine if the necessary ports in the Full Application machine is accessible. This test should only be done if the ping test was successful. This test can be done on the Full Application machine itself or on the machine connecting to it. Refer to Telnet test.

3. During Setup – Fail to obtain Middle-Tier

This usually happens when registering the Labuan FSA profile with the initial "readmin" login.

4	Ajax callback exception
	Failed to obtain Middle-Tier
	Close Show <u>D</u> etails >>

Possible cause: Full Application computer is unable to locate the local MSSQL 2005 database.

Troubleshooting: Proceed with MSSQL 2005 database test.

4. During Registration – Failed to update settings. Error: WrappedException.

Alert		×
<u>.</u>	Failed to update settings. Error: WrappedException: java.net.UnknownHostException:wcms2.lofsa.gov.my	
	OK	
Alert		×
<u>.</u>	Failed to update settings. Error: WrappedException: java.net.ConnectException:Connection timed out: connect	
	ОК	

Possible cause: (1) The Full Application machine is unable to establish a connection to Labuan FSA.

(2) The Labuan FSA SMS application server may be down.

Troubleshooting: Check the connectivity to Labuan FSA. A ping test should be done from the Full Application machine to the URL http://www.labuanfsa.gov.my

(LOFSA SMS application server). If the ping test is successful, then a telnet test should be done using the port 8082.

Troubleshooting test – SMS service

At the full SMS application's computer, go to the service listing by: Start > Settings > Control Panel > Administrative Tools > Services. Ensure the LOFSASMS service in "Started" state in order for the SMS application to function.

⇐ ⇒ 🖭 😭	3 ♣ 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1					
🖏 Services (Local)	Name 🛆	Description	Status	Startup Type	Log On As	
	PSEC Services	Provides e	Started	Automatic	Local System	
	Kerberos Key Distribution Center	On domain		Disabled	Local System	
	Cicense Logging	Monitors a		Disabled	Network S	
		LOFSA Sta	Started	Automatic	Local System	
	🍓 Logical Disk Manager	Detects an	Started	Automatic	Local System	
	🖓 Logical Disk Manager Administra	Configures		Manual	Local System	
	Messenger .	Transmits		Disabled	Local System	
	Microsoft Software Shadow Co	Manages s		Manual	Local System	
	Net Logon	Maintains a		Manual	Local System	-
	NetMeeting Remote Desktop Sh	Enables an		Disabled	Local System	
	Network Connections	Manages o	Started	Manual	Local System	
	Network DDE	Provides n		Disabled	Local System	
	Network DDE DSDM	Manages D		Disabled	Local System	
	Network Location Awareness (N	Collects an	Started	Manual	Local System	
	Network Provisioning Service	Manages X		Manual	Local System	
	NT LM Security Support Provider	Provides s		Manual	Local System	
	Performance Logs and Alerts	Collects pe		Automatic	Network S	
	Plug and Play	Enables a c	Started	Automatic	Local System	1

Troubleshooting test – MSSQL 2005 Database test

At the full SMS application's computer, go to the service listing by: Start > Settings > Control Panel > Administrative Tools > Services. Ensure the SQL Server (LOFSASMS) service in "Started" state in order for the SMS application to function. Refer snapshot.

🍇 Services						
<u>File A</u> ction <u>V</u> iew	Help					
) 🖪 😫 🕨 🗉 🗉 🕬					
🆏 Services (Local)	Name A	Description	Status	Startup Type	Log On As	
	Reversion Contraction Contractico Contract	Provides n		Manual	Local System	
	Remote Access Auto Connection Ma	Creates a		Manual	Local System	
	Remote Access Connection Manager	Creates a	Started	Manual	Local System	
	Remote Desktop Help Session Manager	Manages a		Manual	Local System	
	Remote Procedure Call (RPC)	Provides th	Started	Automatic	Network Service	
	Remote Procedure Call (RPC) Locator	Manages t		Manual	Network Service	
	Remote Registry	Enables re	Started	Automatic	Local Service	
	Removable Storage			Manual	Local System	
	Routing and Remote Access	Offers rout		Disabled	Local System	
	Secondary Logon	Enables st	Started	Automatic	Local System	
	Security Accounts Manager	Stores sec	Started	Automatic	Local System	
	Security Center	Monitors s	Started	Automatic	Local System	
	Server .	Supports fil	Started	Automatic	Local System	
	Server Intelligence Agent (THEREIS	Manages B	Started	Manual	Local System	
	Shell Hardware Detection	Provides n	Started	Automatic	Local System	
	SigmaTel Audio Service	Manages Si	Started	Automatic	Local System	
	🏶 Smart Card	Manages a		Manual	Local Service	
	SQL Server (LOFSASMS)	Provides st		Manual	Network Service	
	SQL Server (SQLEXPRESS)	Provides st	Started	Manual	Network Service	
	SQL Server Active Directory Helper	Enables int		Disabled	Network Service	
	SQL Server Browser	Provides S	Started	Automatic	Network Service	
	SQL Server Integration Services	Provides m	Started	Automatic	Network Service	
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	Listended A Standard /					

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