



Statistical Management System (SMS)

User Manual – Bank

Version 6.0

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Revision History

Revision	Amendments	Updated By	Date
1.0	Document created	Labuan FSA	7-Jan-2019
2.0	Amendment Chapter 5	Labuan FSA	22-Feb-2019
3.0	Update Bank Sector forms	Labuan FSA	27-Feb-2019
4.0	Include enhancement topics	Labuan FSA	14-Mar-2019
5.0	Include correction	Labuan FSA	19-Mar-2019
6.0	Remove Salary & Vacancy section from the document	Labuan FSA	21-Mar-2019

Contents

- 1. Introduction to Reporting Entity (RE) User Training Guide – Bank Sector 7
 - 1.1. Objective 7
 - 1.1.1 Purpose 7
 - 1.2. RE Portal Site Map..... 7
 - 1.3. How to Begin..... 8
 - 1.3.1. Void Data..... 8
 - 1.4. Browser Compatibility 9
- 2. User and Registration 9
 - 2.1. Main User Registration 9
 - 2.1.1 Objective 9
 - 2.1.2 Registration 9
 - 2.1.3 Email Verification 11
 - 2.1.4 Account Activation 12
 - 2.1.5 Account Registration Rejection..... 13
 - 2.2 Sub User Registration..... 13
 - 2.2.1 Objective 13
 - 2.2.2 How to Create Sub User 14
 - 2.2.3 Email Verification 15
 - 2.2.4 Account Activation 15
 - 2.2.5 Remove/Change of Sub User 15
 - 2.3 External Users 16
 - 2.3.1 Objective 16
 - 2.3.2 How to Grant Access to External Users 17
- 3 My Profile..... 17
 - 3.1 Objective 17
 - 3.1.1 My Profile 17
 - 3.1.2 Email Subscriptions 19
 - 3.1.3 Security Questions 21
 - 3.1.4 Change Password 23



3.1.5	Switching RE Profile	24
4	RE Profile.....	25
4.1	Objective	25
4.1.1	Business Information	26
4.1.2	Details of Office.....	28
4.1.3	Key Officers	33
4.1.4	Outsourcing.....	38
4.1.5	Board Composition	42
4.1.6	Board Committee	46
5	Submission and Forms	51
5.1	Objective	51
5.1.1	How to Submit Form and Form Permission based on User Role	51
5.1.2	Color-coded Cells	53
5.1.3	Dropdowns.....	53
5.1.4	Copy From	54
5.1.5	Submissions.....	54
5.1.6	Excel Import	56
5.1.7	Forms	59
5.1.7.1	Download Excel.....	60
5.2	Universal Forms	62
5.2.1	Anti-Money Laundering and Counter Financing of Terrorism (AML_CFT)	62
5.2.2	Report on Employment Statistics.....	63
5.3	Financial Statement and Industry-Specific Forms.....	63
5.3.1	Bank Sector forms	63
5.3.1.1	Financial Position	67
5.3.1.2	Income Statement.....	67
5.3.1.3	Financial Position-Islamic Window	68
5.3.1.4	Income Statement-Islamic Window.....	69
5.3.1.5	Statement of Cash Flow	70
5.3.1.6	Statement of Changes in Equity.....	70
5.3.1.7	Summary of Investment/Dealing Securities	71

5.3.1.8	Statement of Complaints	72
5.3.1.9	List of Exposure to a Single Counter Party or Group of Connected Counter Party	72
5.3.1.10	Top 20 Group and Individual Borrowers Listing.....	73
5.3.1.11	Top 10 Impaired Loans/Financing Listing.....	74
5.3.1.12	Top 10 Private Debt Securities (PDS) Listing.....	74
5.3.1.13	Top 10 Investments Listing	75
5.3.1.14	Top 5 Non-Investment-Grade Below BBB Listing.....	76
5.3.1.15	Top 10 Non Performing Investments Listing.....	76
5.3.1.16	Top 20 Depositors Listing.....	77
5.3.1.17	Credit Transaction and Exposure with Connected Parties.....	78
5.3.1.18	Top 10 Potential Problem Loans	78
5.3.1.19	Dealing and Investment Securities.....	79
5.3.1.20	Remittance Volume.....	80
5.3.1.21	Selected Key Statistics of Labuan Banks	80
5.3.1.22	Total Commitments And Contingencies	81
5.3.1.23	Total Commitment and Contingencies - Islamic Window.....	82
6	Extension of Time.....	82
6.1	Objective	82
6.2	How to Request for An Extension of Time	83
7	Query	86
7.1	Objective	86
7.2	How to Use Query.....	87
8	Resubmission	89
8.1	Objective	89
8.2	How to Apply for Resubmission.....	89
9	Helpdesk.....	93
9.1	General Helpdesk.....	93
9.1.1	Objective	93
9.1.2	How to Use General Helpdesk	94
9.2	Dropdown Request	96
9.2.1	Objective	96

9.2.2	How to Use Dropdown Request.....	96
10	Other Modules.....	98
10.1	Bulletin Board.....	98
10.1.1	How to Use Bulletin Board.....	98
10.2	RE Dropdown Group.....	100
10.2.1	How to Use RE Dropdown Group.....	100
10.3	Master List Group.....	101
10.3.1	How to Use Master List Group.....	101



1. Introduction to Reporting Entity (RE) User Training Guide – Bank Sector

1.1. Objective

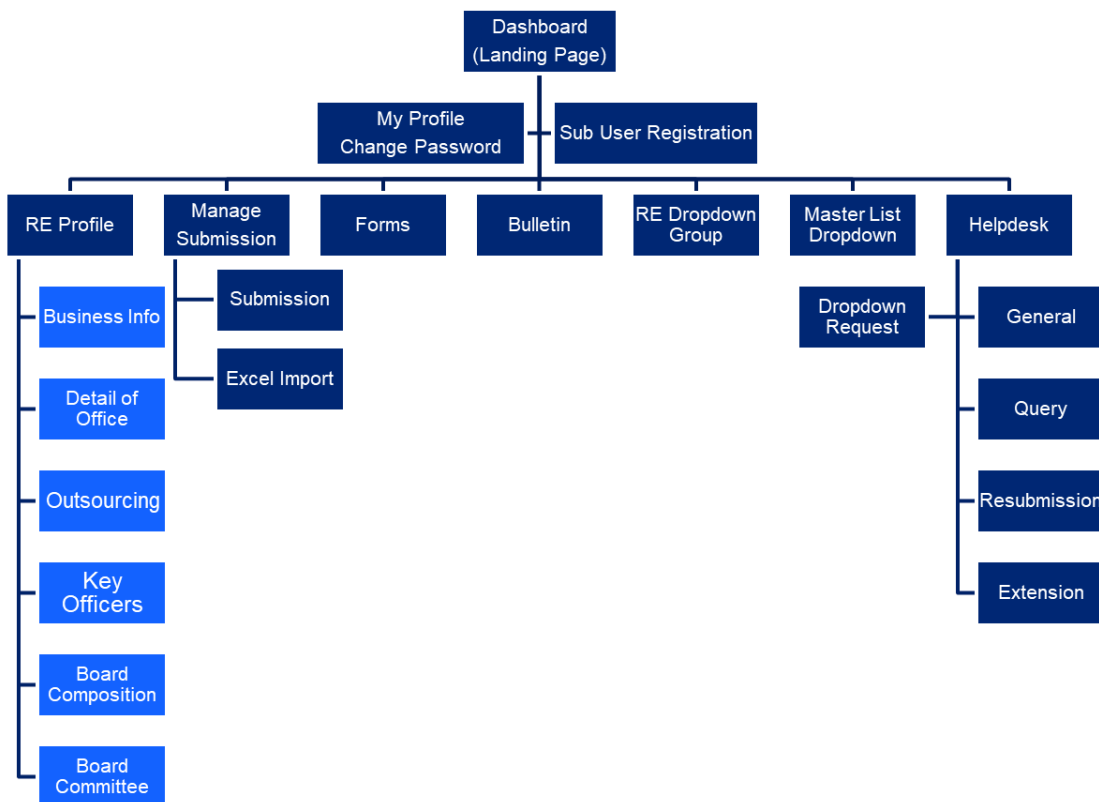
1.1.1 Purpose

The main objective of this document is to provide guidance and step-by-step process on how to use the SMS portal for the purpose of online form submission as required by LabuanFSA – especially for Reporting Entity (RE) users who belong to **Bank Sector**, as per below categories:-

- i. Commercial Bank – Conventional (CB-C)
- ii. Commercial Bank – Conventional with Islamic Window (IW)
- iii. Commercial Bank – Islamic (CB-I)
- iv. Investment Bank – Conventional (INV-C)
- v. Investment Bank – Islamic (INV-I)

1.2. RE Portal Site Map

The RE Portal site map below depicts the structure of the system for the benefit of RE User. At the same time, the diagram also shows the navigation menu applicable to RE User.

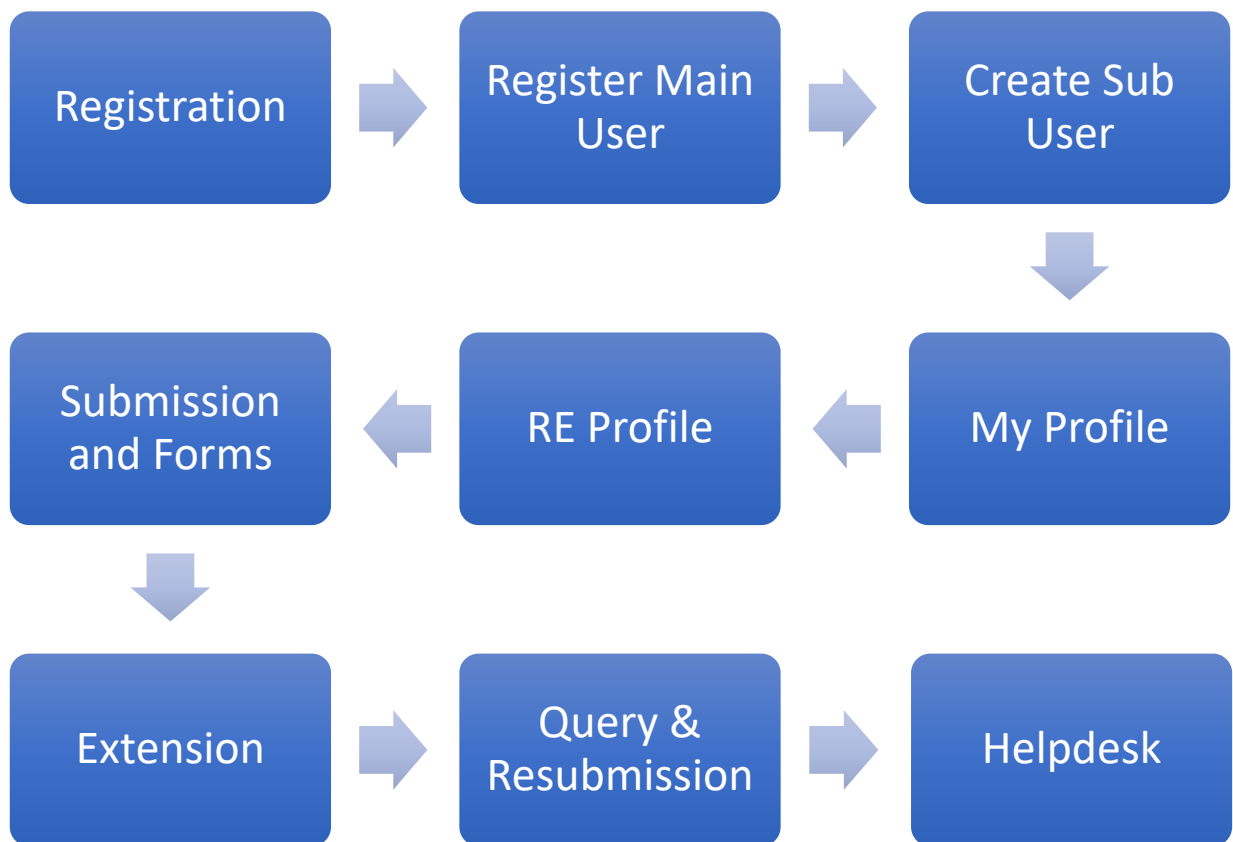


1.3. How to Begin

As per the latest guideline from Labuan FSA, REs will have to comply to the reporting regulation. The SMS Portal is developed to ensure convenient and efficient procedure for periodical form submission.

The diagram below displays the modules offered in the system. Form submissions and other relevant procedures (Extension, Query, Resubmission) will be done via online using the SMS Portal.

The next sections will explain the step-by step process from User Registration to Form Submission, replying to Query, applying for Resubmission and Extension of Time and other related modules.



1.3.1. Void Data

Generally, user will have to adhere to this rule – the system does not allow user to delete/remove any data, however the data status may be changed to 'Void' – to indicate the data is not usable anymore.

1.4. Browser Compatibility

The SMS Portal is best viewed in the latest version of Google Chrome, Microsoft Edge, Mozilla Firefox (61.0 & above), and Safari on OSX – with 1024x768 resolution. It is also compatible with Internet Explorer 11.

Please allow pop ups in your browser setting for the SMS Portal to prompt notification. User is encouraged to clear browser cookies and cache before performing the next period of submission.



The browser shortcut to clear cache is by using Control+Shift+Delete key.

2. User and Registration

2.1. Main User Registration

2.1.1 Objective

Due to security and data confidentiality, only RE Main Users (Principal Officer/Trust Officer/Directors) that are approved by Labuan FSA will be given access to use the SMS Portal.

2.1.2 Registration

RE Main User registration is done via online in the provided website URL <https://sms.labuanfsa.gov.my>.




The user must observe and fill in the following key details for verification:

- i. Labuan Registration Number (LL Number) – if applicable
- ii. License Number – if applicable
- iii. User ID – to be provided by IRU


The steps for Main User registration are as follows:

Step	Action
1	Launch a browser and go to https://sms.labuanfsa.gov.my
2	Click at the Register link
3	The following details in the screenshot will need to be entered when creating registering a new RE user. Please refer to screenshot, all the fields are mandatory.

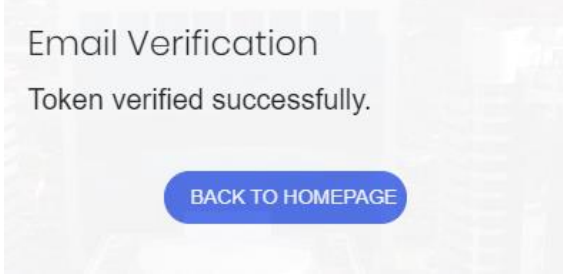

	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <h3>Register Now</h3> <div style="margin-bottom: 5px;"><input type="text" value="LL Number"/></div> <div style="margin-bottom: 5px;"><input type="text" value="Licence Number"/></div> <div style="margin-bottom: 5px;"><input type="text" value="User ID"/></div> <div style="margin-bottom: 5px;"><input type="text" value="Email"/></div> <div style="margin-bottom: 5px;"><input type="text" value="Password"/></div> <p style="font-size: small;">The password must be 8 characters including 1 uppercase letter, 1 special character and alphanumeric characters</p> <div style="margin-bottom: 5px;"><input type="text" value="Confirm Password"/></div> </div> <div style="width: 45%; border: 1px solid #ccc; padding: 10px;"> <div style="margin-bottom: 5px;"><input type="text" value="Full Name"/></div> <div style="margin-bottom: 5px;"><input type="text" value="Contact Number"/></div> <div style="margin-bottom: 5px;">Position <input type="text" value="- Position -"/></div> <div style="margin-bottom: 5px;"><input type="checkbox"/> I agree to the Terms & Conditions</div> <div style="text-align: center; margin-bottom: 10px;"><input type="button" value="REGISTER"/></div> <div style="text-align: center; font-size: small;">Already have an account? Sign In</div> </div> </div>
4	Click the Register button.
5	<p>Upon successful registration, the pop-up message below will appear.</p> <div style="text-align: center; border: 1px solid #ccc; padding: 20px; margin: 10px auto; width: 80%;">  <h3>Check Your Email</h3> <p>1. Verify your email address to use your account. We sent an email to test@solutionx.com.my with a button to verify your email address.</p> <p>2. You may only login to the system once your account is activated by SMS administrator. Your account activation will be sent to your email.</p> <p>If you have any questions, please feel free to contact us @ iru@labuanfsa.gov.my</p> <input type="button" value="OK"/> </div>
6	A system generated message will be emailed to your inbox. The next step is continued in the next section.

2.1.3 Email Verification

Next, a system-generated email will be sent to your mailbox.


 SMS Portal will send alerts and notification via email; please ensure to verify your email.

Step	Action
1	Launch a browser and go to your email inbox that was used in the registration.
2	Check for the RE User Registration email. 
3	Click the 'Verify Email Address' button to verify your email.
4	The below pop-up will appear once 'Email Verification' is successful.

	
5	<p> The account is still in Pending status until IRU Officer verified and activated the account. The next step is continued in the next section.</p>

2.1.4 Account Activation

Next, account activation notification will be sent once your account is activated.

Step	Action
1	Once your account is activated, a system generated email is sent to indicate user can now login into the portal.
2	<p>Please confirm that the following email is received in your inbox.</p> 
3	RE Main User is now able to logon to the SMS portal.

2.1.5 Account Registration Rejection

The user account approval is subject to IRU's discretion - IRU may decide to reject the user account should there be any ambiguity or data inconsistency encountered. If this situation occurs, user will be notified via email as below:



Account Registration Rejected

Dear Mentos Mint, your account has been rejected

User ID : TQ9143

Email : sukma.manaf@gmail.com

Contact No : 90009000

Company Number/Business Registration : LL03143

Please refer to the rejection reason below.

Thank you.

Reject Reason:

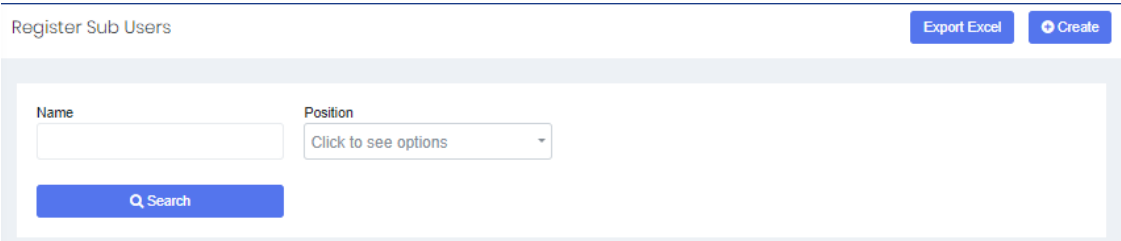

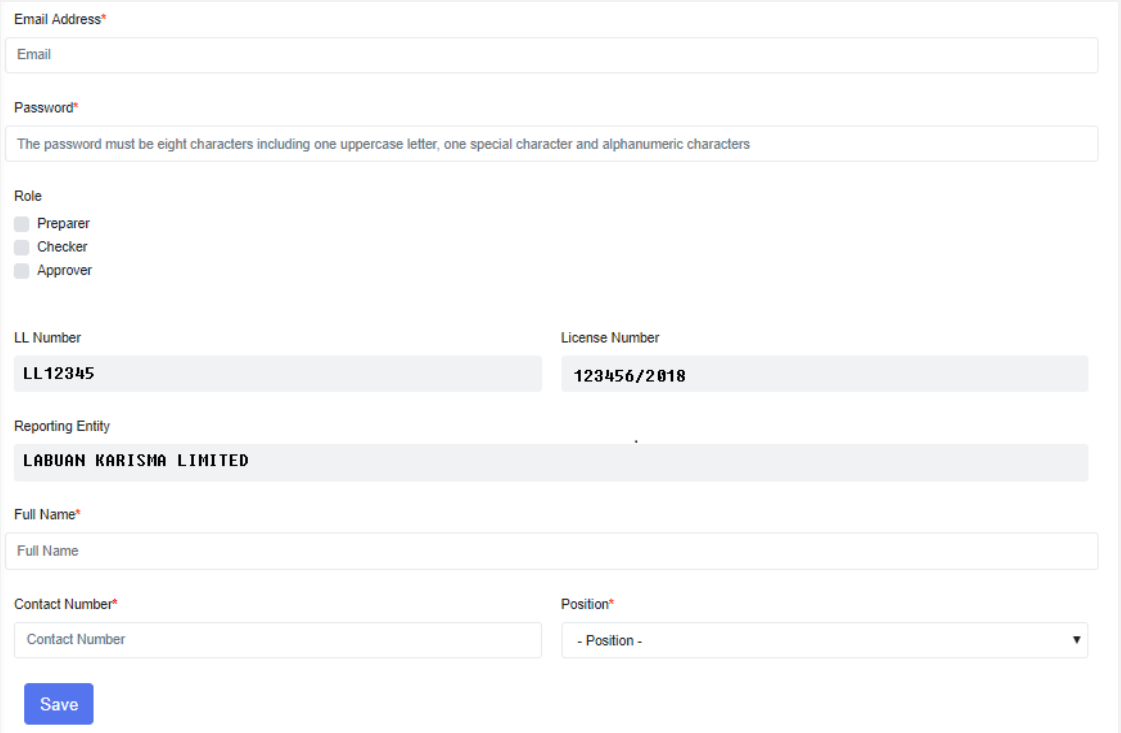
Name does not exist in our database.

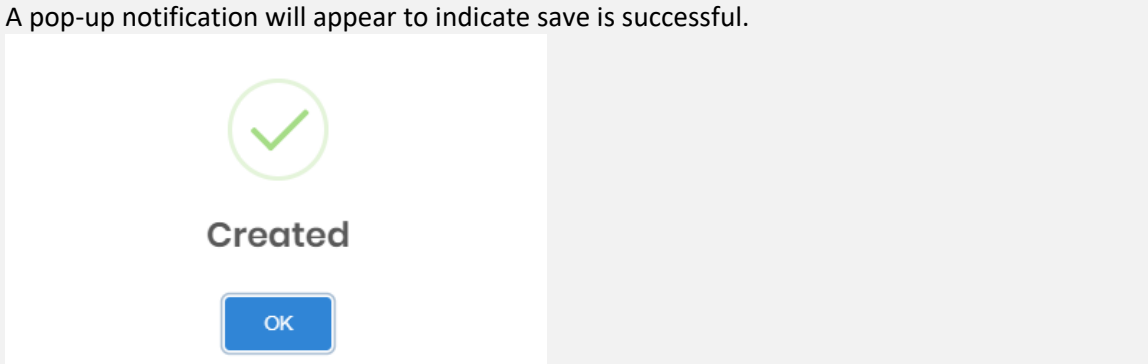
2.2 Sub User Registration

2.2.1 Objective

The Main RE User is given the privilege to create Sub User/s (Preparer/Checker/Approver role) within your organization. However, Sub User/s account approval and activation will still need to be granted by IRU officer.

2.2.2 How to Create Sub User

Step	Action
1	From the menu, select Sub User Registration.
2	<p>Click Create button</p> 
3	<p>Fill in the mandatory fields.</p> <p> There are 3 types of User Roles:</p> <ul style="list-style-type: none"> i) Preparer – the user responsible to perform data entry in the submission forms. ii) Checker – the user responsible to verify the submission forms. Checker is also allowed to re-open and edit the forms. iii) Approver – the user responsible to approve and submit the submission forms. Approver is also allowed to re-open and edit the forms. 

4	Click Save button
5	A pop-up notification will appear to indicate save is successful. 

2.2.3 Email Verification

























Refer to Section 2.1.3 for Email Verification steps.





2.2.4 Account Activation

Refer to Section 2.1.4 for Account Activation steps.

2.2.5 Remove/Change of Sub User

The RE Main User as the Administrator of Reporting Entity has the authority to set the Sub User account status to Active or Inactive. IRU will be notified via system-generated email of any changes to user account.

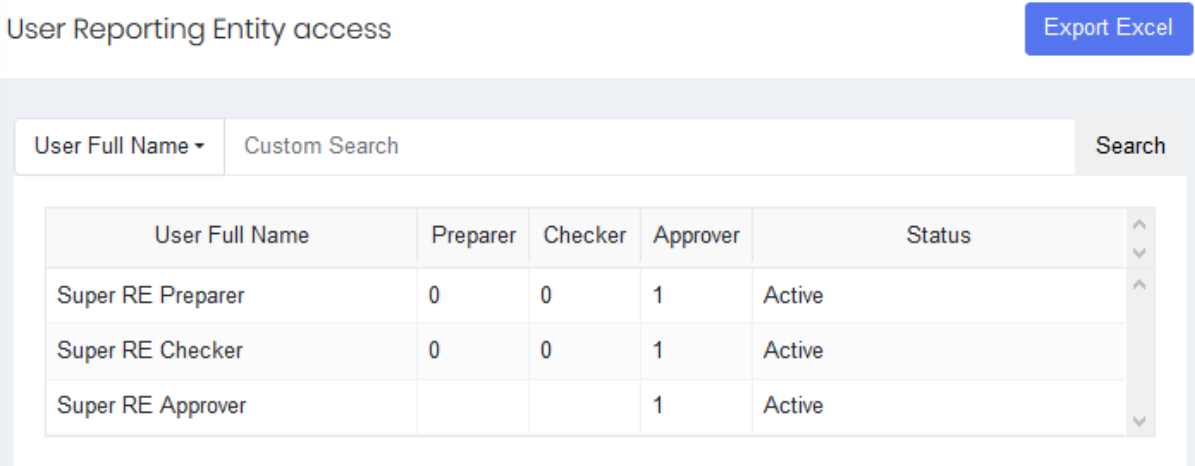
Step	Action																																								
1	<p>To activate or deactivate the Sub user account, click at the Active/Inactive icon</p> <table border="1"> <thead> <tr> <th>Name</th> <th>Position</th> <th>Approver</th> <th>Checker</th> <th>Preparer</th> <th>Status</th> <th>Registered On</th> <th></th> </tr> </thead> <tbody> <tr> <td>Abba Lucky</td> <td>Principal Officer</td> <td>Yes</td> <td></td> <td></td> <td>Active</td> <td>23/10/2018 05:05:00 pm</td> <td> </td> </tr> <tr> <td>Bubba Joy</td> <td>Trust Officer</td> <td></td> <td>Yes</td> <td></td> <td>Active</td> <td>24/10/2018 02:04:52 am</td> <td> </td> </tr> <tr> <td>Caitlin Joy</td> <td>Trust Officer</td> <td></td> <td></td> <td>Yes</td> <td>Email Verification</td> <td>24/10/2018 02:05:43 am</td> <td> </td> </tr> <tr> <td>Gold Finger</td> <td>Trust Officer</td> <td></td> <td>Yes</td> <td></td> <td>Email Verification</td> <td>07/11/2018 04:28:27 pm</td> <td> </td> </tr> </tbody> </table>	Name	Position	Approver	Checker	Preparer	Status	Registered On		Abba Lucky	Principal Officer	Yes			Active	23/10/2018 05:05:00 pm	 	Bubba Joy	Trust Officer		Yes		Active	24/10/2018 02:04:52 am	 	Caitlin Joy	Trust Officer			Yes	Email Verification	24/10/2018 02:05:43 am	 	Gold Finger	Trust Officer		Yes		Email Verification	07/11/2018 04:28:27 pm	 
Name	Position	Approver	Checker	Preparer	Status	Registered On																																			
Abba Lucky	Principal Officer	Yes			Active	23/10/2018 05:05:00 pm	 																																		
Bubba Joy	Trust Officer		Yes		Active	24/10/2018 02:04:52 am	 																																		
Caitlin Joy	Trust Officer			Yes	Email Verification	24/10/2018 02:05:43 am	 																																		
Gold Finger	Trust Officer		Yes		Email Verification	07/11/2018 04:28:27 pm	 																																		
2	To set inactive: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.																																								

	<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  <p>Change status to Inactive Are you sure?</p> <p>Yes! Cancel</p> </div> <div style="text-align: center;">  <p>Successful Record has been set to: Inactive</p> <p>OK</p> </div> </div>
3	<p>To activate: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  <p>Change status to Active Are you sure?</p> <p>Yes! Cancel</p> </div> <div style="text-align: center;">  <p>Successful Record has been set to: Active</p> <p>OK</p> </div> </div>

2.3 External Users

2.3.1 Objective

This page shows the list of external users that have been assigned to represent the RE company. This module is applicable to RE Main Users only

Step	Action
1	<p>Click at the External Users menu, the page is launched.</p> 
2	<p>The list is displaying the names and role of External Users assigned for the RE. This information is for viewing only.</p>



2.3.2 How to Grant Access to External Users

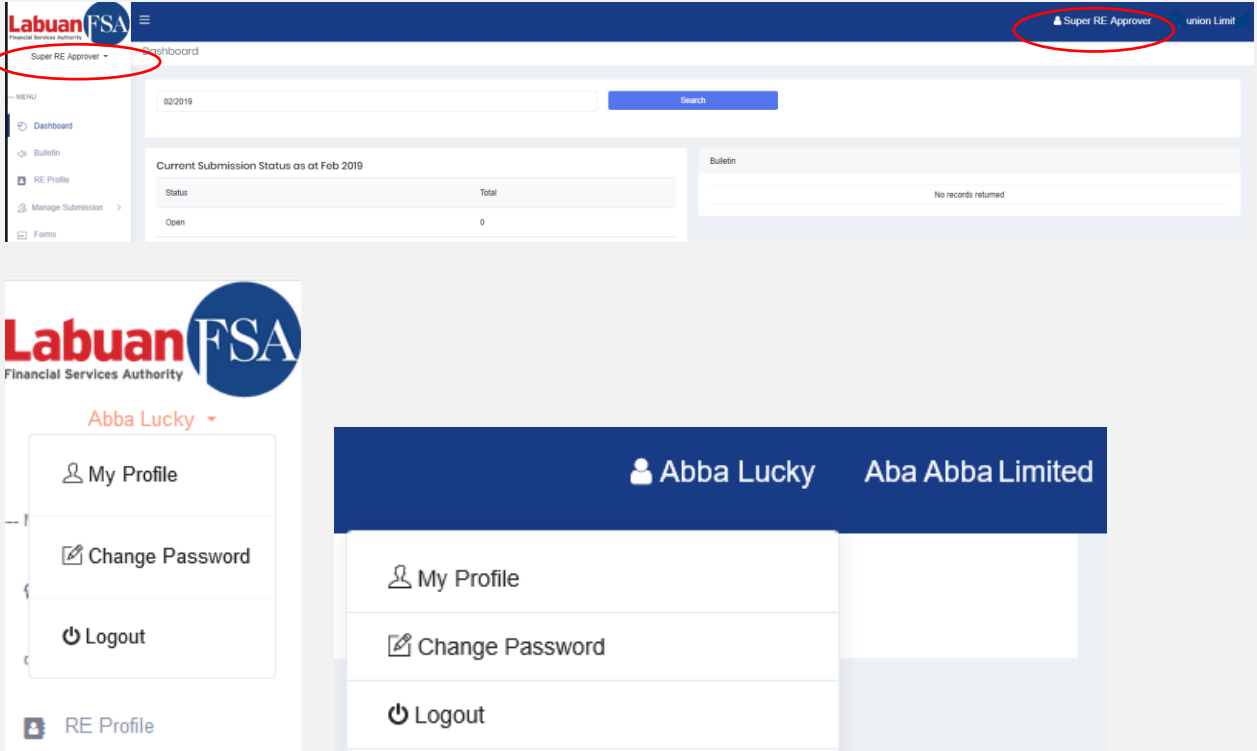
This action is carried out by Main User in the Helpdesk module, refer to Section 9.1

3 My Profile

3.1 Objective

RE User may update his/her details in the system in My Profile section. User is only allowed to update the enabled fields and may only view the information on the assigned Reporting Entity, and User Roles. Security Questions and Email Subscriptions are also be managed in this module.

3.1.1 My Profile

Step	Action
1	Login and click the User Name at top left or top right  The screenshot shows the Labuan FSA dashboard. At the top left, the user name 'Super RE Approver' is circled in red. At the top right, the user name 'Super RE Approver' and 'Union Limit' are also circled in red. The dashboard includes a search bar, a 'Current Submission Status as at Feb 2019' table, and a 'Bulletin' section. Below the dashboard, there are two user profile cards. The first card shows the user name 'Abba Lucky' and a dropdown menu with options: 'My Profile', 'Change Password', 'Logout', and 'RE Profile'. The second card shows the user name 'Abba Lucky' and 'Aba Abba Limited' and a dropdown menu with options: 'My Profile', 'Change Password', and 'Logout'.
2	Edit My Profile details – for the enabled fields ONLY.

[Security Questions](#)
[Email Subscriptions](#)

Email Address:
 Status:

Full Name*:

Contact:
 Position:

Registered On:

Click the Update button to save.

3 Assigned Reporting Entity – for viewing ONLY.



To assign or unassign a Reporting Entity to a user, the Main User is required to send a Helpdesk Request to IRU, refer to Section 9.1

[Email Subscription](#)
[Reporting Entity](#)
[RE Role List](#)

Company Name	Company Number	License Number	Owner	Sector	Status
Happy X Leasing (Labuan) Limited	LL 12345	ABC123/2018		Leasing	Active
ALA Maritim (L) Inc.	LL			Leasing	Active
A7 Insurance Limited	LL			Insurance	Active
BIT Investment Bank Limited	LL			Bank	Active
CoinE International Financial Exchange Inc.	LL		admin	Labuan Exchange	Active
MADY Managed Investments Limited	LL			Fund Manager	Active

4 User Role List – for viewing ONLY.

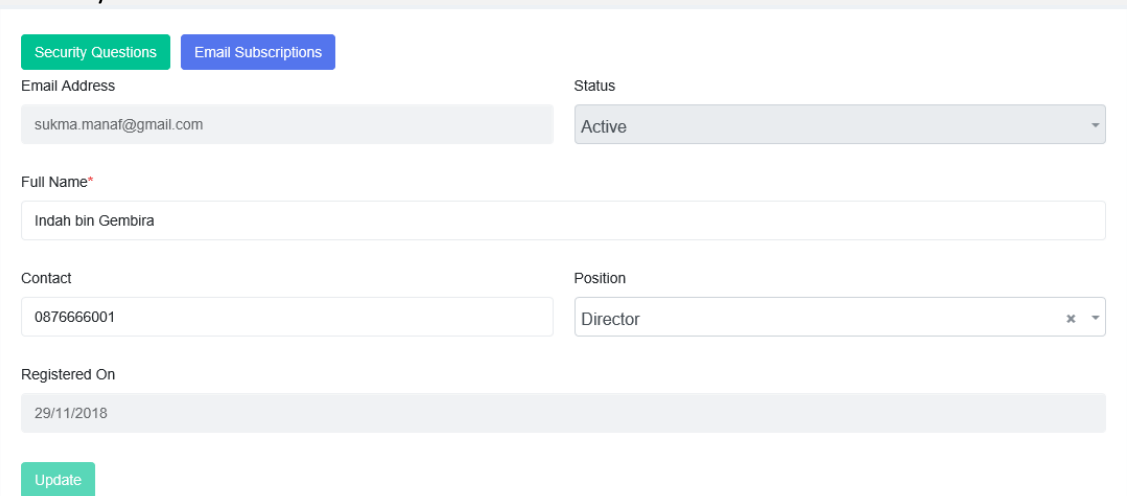



To add or remove user role, the Main User has the privilege to promote/demote the user role (Preparer/Checker/Approver) in Sub User Registration menu in Section 2.2.5

<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="display: flex; gap: 10px;"> Email Subscription Reporting Entity RE Role List </div> <div style="display: flex; gap: 10px;"> Export Excel Refresh </div> </div>
<div style="border: 1px solid #ccc; padding: 5px;"> <p>Name</p> <p>RE</p> <p>RE Approver</p> <p>Click to see options</p> </div>
Link

3.1.2 Email Subscriptions







Users will be automatically subscribed to SMS Portal system-generated email, however he/she may choose to request for subscribe/unsubscribe using the following steps.

Step	Action
1	<p>Go to My Profile</p> 
2	<p>Click the Email Subscriptions button</p> 
3	<p>The Email Subscription page is launched, listing the emails that user is subscribed to.</p>

Email Subscriptions [< Back](#)

Dropdown	+
Query	+
Submissions	+

4 Click the '+' icon to expand the list or the '-' icon to collapse the list

Dropdown	-						
<table border="1"> <thead> <tr> <th>E-mail</th> <th>Unsubscribe</th> </tr> </thead> <tbody> <tr> <td>Dropdown Request Approve (to User)[25]</td> <td style="text-align: center;"></td> </tr> <tr> <td>Dropdown Request Reject (to User)[26]</td> <td style="text-align: center;"></td> </tr> </tbody> </table>		E-mail	Unsubscribe	Dropdown Request Approve (to User)[25]		Dropdown Request Reject (to User)[26]	
E-mail	Unsubscribe						
Dropdown Request Approve (to User)[25]							
Dropdown Request Reject (to User)[26]							
Query	+						
Submissions	+						

5 Select the desired row and click 'Unsubscribe' icon, this will flow to Helpdesk to initiate request for email subscribe/unsubscribe.

Create New Question

Category

Subject

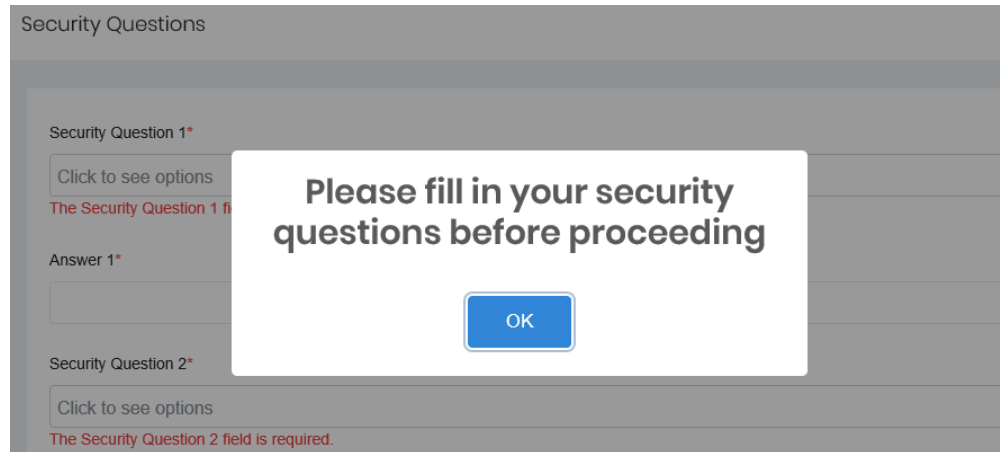
Message



Kindly refer to Section 9.1 for further explanation in Helpdesk Request.


3.1.3 Security Questions

During first time login, the system will prompt user to fill up the Security Questions as per below screenshot.



The screenshot shows a web form titled "Security Questions". It contains two question fields, each with a "Click to see options" button. A modal dialog box is overlaid on the form, displaying the text "Please fill in your security questions before proceeding" and an "OK" button. Below the dialog, the form fields are partially visible, including "Security Question 1*", "Answer 1*", "Security Question 2*", and "Answer 2*". A red error message "The Security Question 2 field is required." is visible at the bottom.

This contains a list of six (6) password reset questions that must be answered by user. Security questions acts like an extra level of security for user to verify their identity.

 Three (3) of these safe, memorable and simple questions will be prompted when user forgot the password to login into the portal.

Step	Action
1	<p>Go to My Profile</p> <p>User</p> <p>Security Questions</p> <p>Email Address: test@solutionx.com.my</p> <p>Status: Active</p> <p>Full Name*: Abba Lucky</p> <p>Contact: 7778889999</p> <p>Position: Principal Officer</p> <p>Back</p>

2

Click the Security Questions button

Security Questions

Email Address

test_RE@solutionx.com.my

3

Select the questions and fill in the answers on this page

Security Questions

Security Question 1

What is your favorite color?

Answer 1

teacher

Security Question 2

what is your mother's maiden name?

Answer 2

maiden

Security Question 3

What was your favorite food as a child?

Answer 3

child


Security Question 4

What is the street name on which you grew up?

Answer 4


street

Security Question 5


4	To save, click the Update button at bottom this page. 
---	--

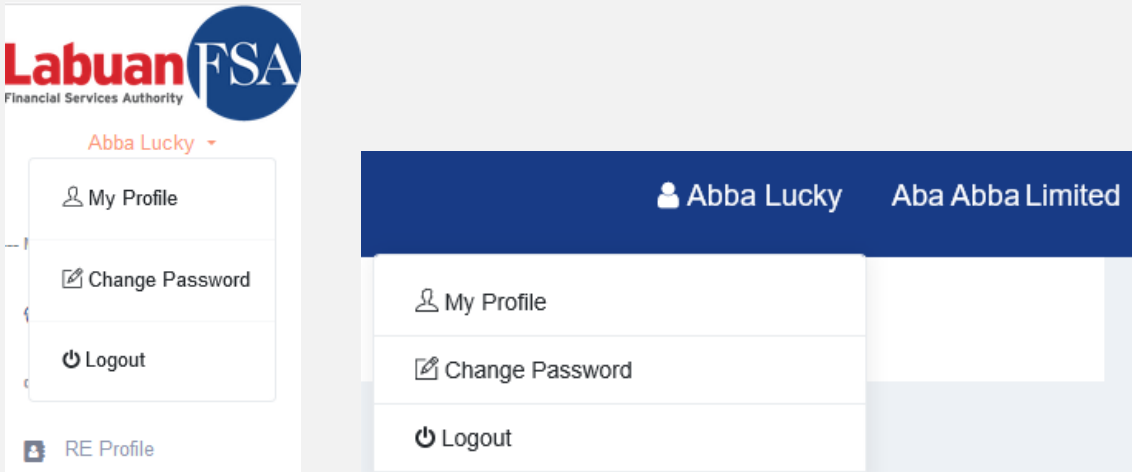
3.1.4 Change Password

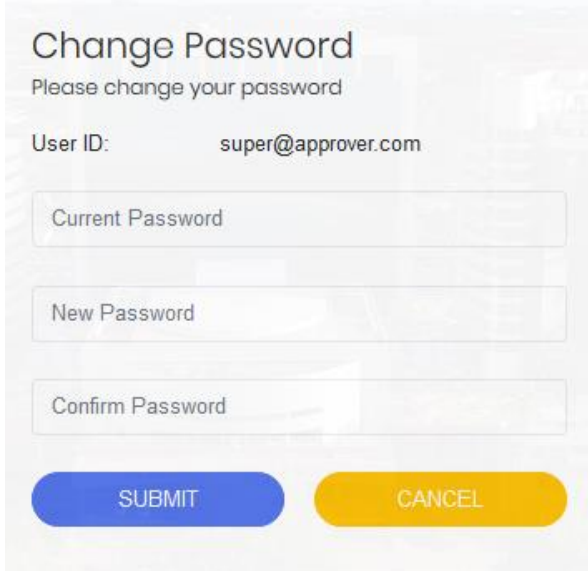
Password holds the key to security and system confidentiality. A poorly chosen password may result in a compromise of the SMS data privacy.

 SMS implements the password policy rules as below:

- All passwords must be changed at least every 90 days.
- All passwords cannot be identical or reused the past 3 passwords.
- Contain at least 8 alphanumeric characters.
- Contain both upper and lower case letters.
- Contain at least one number (for example, 0-9).
- Contain at least one special character (for example !\$%^ *()_+|~-=\`{}[]:"';>?,/)

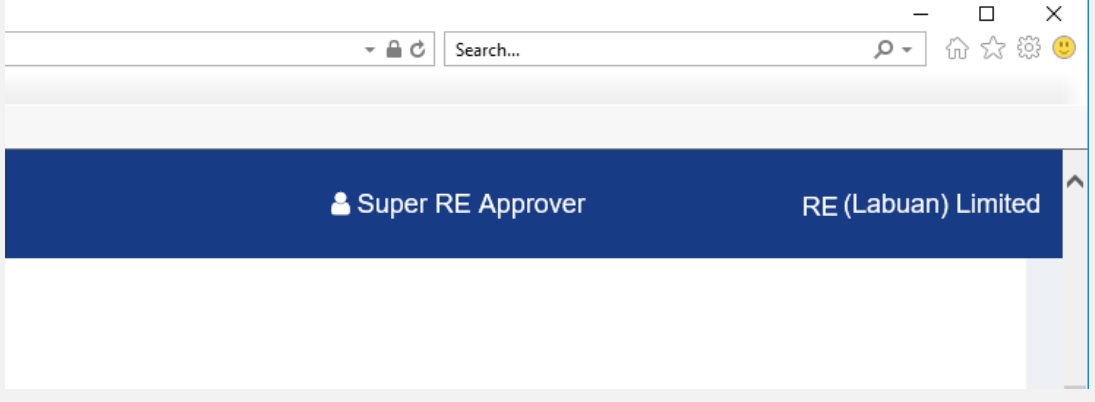
 User will be prompted via email to change password three days before the password expired. If it has exceeded password expiry date, user will still be allowed to login but will be immediately prompted to change his/her password.

Step	Action
1	<p>Click at the top left or top right corner to display the collapsible menu. Select Change Password.</p> 
2	The screen flows to a new page. Follow the instruction to change password in the page.

	
3	Click Submit to confirm the change, or click Cancel to cancel the action.

3.1.5 Switching RE Profile

RE User may be assigned to more than one RE company (if applicable). The list of RE companies are located at the top right corner.

Step	Action
1	<p>To switch from one RE to another, click at the top right corner.</p> 
2	A list of RE will appear, click the name of the desired RE to switch to.

	<div style="border: 1px solid #ccc; padding: 10px;"> <div style="background-color: #f4a460; color: white; padding: 5px; display: flex; justify-content: space-between; align-items: center;"> REPORTING ENTITIES × </div> <div style="margin-top: 10px;"> <input style="width: 100%; border: 1px solid #ccc; padding: 5px;" type="text" value="Type to search ..."/> </div> <div style="margin-top: 10px;"> <div style="border-bottom: 1px solid #ccc; padding: 5px 0 5px 20px;"> 🏢 A P Lease Lease (Labuan) Limited </div> <div style="border-bottom: 1px solid #ccc; padding: 5px 0 5px 20px;"> 🏢 Ato Insurance Limited </div> <div style="padding: 5px 0 5px 20px;"> 🏢 AbLease Limited </div> </div> </div>
3	Once clicked, the current profile will switch to the selected RE company.

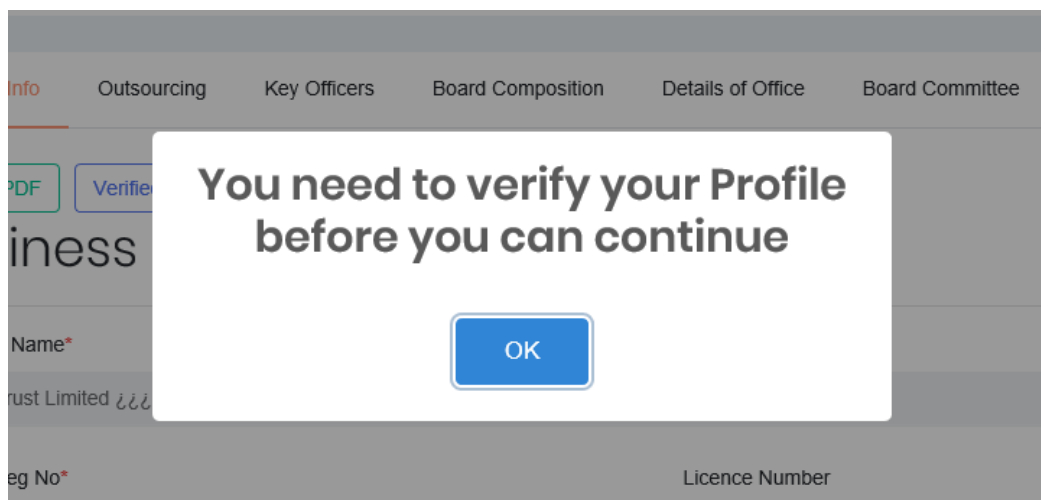
4 RE Profile

4.1 Objective

RE Users are required to ensure the RE Company Profile data are always up-to-date, and has the correct start date/effective date and end date/expired date.




RE Users are not allowed to perform any submission without verifying the Business Info or the Details of Office (Section 4.1.2). The system alert pop-up shown below will appear to remind users to verify/update these details.



4.1.1 Business Information

The 'Business Information' page will show the company profile information as Read Only – except for FYE Month and a few fields that can be updated.

 For Bank sector, user is allowed to edit 'Email', 'Rating Agency' and 'Credit Ratings' fields only. User is required to raise a Helpdesk request should they wish to update or correct any other data displayed in Business Information page.

Step	Action
1	From the menu, select RE Profile, select Business Info tab.
2	<p>The following sections are displayed:</p> <p>Business Info section:</p> <h2>Business Information</h2> <hr/> <p>Company Name*</p> <p>Amanah Cipta Bank Berhad</p> <p>Labuan Reg No SMS USER ID</p> <p><input type="text"/> BB0001</p> <p>Email Sector*</p> <p><input type="text"/> Bank</p> <p>Company Origin (COR@L) Licence Number</p> <p><input type="text"/> XYZ0001</p> <p>FYE Month* Type of Licence</p> <p><input type="text" value="December"/> Click to see options</p> <p>Important Date section:</p>

Important Date

Date of Registration (COR@L)

Date of Conditional Approval

Date of Licence Granted

13/10/2005

General Information section:

General Information (COR@L)

Trust Company

Bank Information section:

Bank Information

Approval Date for Islamic Window

Participating in Islamic Window

No

Name of Rating Agency [Create Dropdown Request](#)

Click to see options

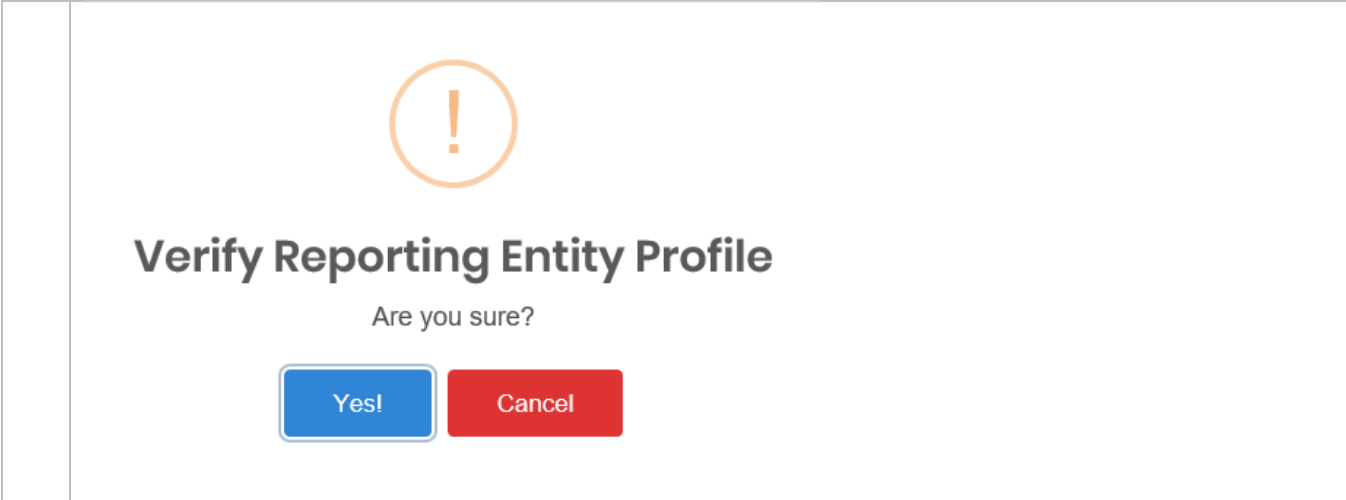
Credit Ratings [Create Dropdown Request](#)

Click to see options

3 Please verify the information on the screen and click Verify button to confirm the data is correct


Verified

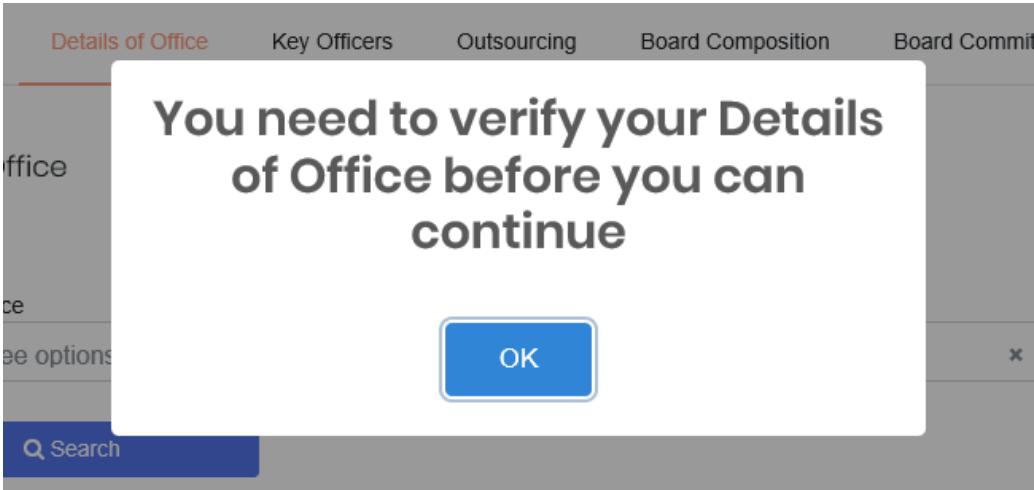
4 A pop up confirmation is displayed, click 'Yes' to confirm.



4.1.2 Details of Office

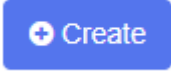
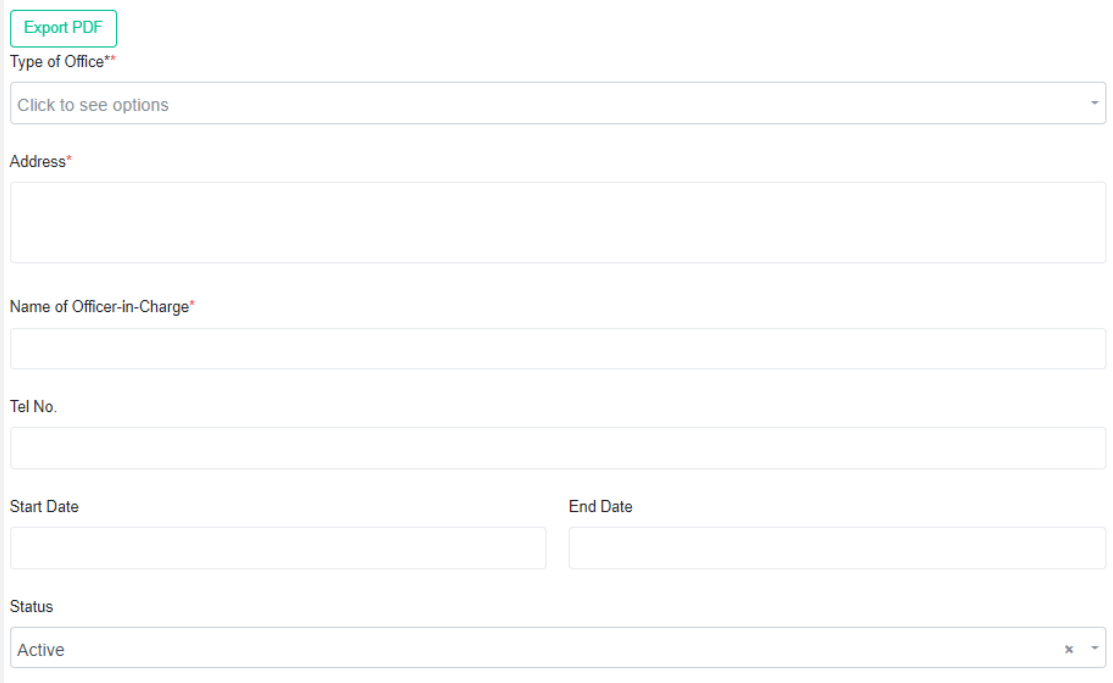

RE Users are also required to fill in this requirement before they can proceed to submission. Details of Office stores the information on RE’s office address and contact details.

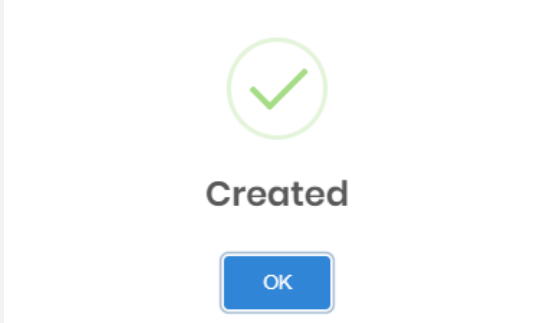

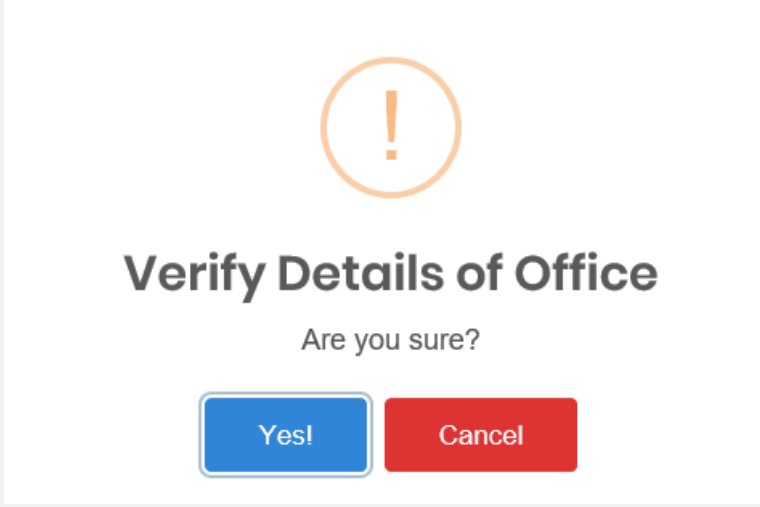
 RE Users will not be allowed to perform any submission without verifying the Business Info or the Details of Office (Section 4.1.2). The system alert pop-up shown below will appear to remind users to verify/update these details.



a) How to Create Details of Office

Steps	Action
1	In the menu click RE Profile and select Details of Office

	<p>Business Info Details of Office Key Officers Outsourcing Board Composition Board Committee</p>
2	<p>Click the Create button on the left</p> 
3	<p>Fill in the required details</p>  <p>The screenshot shows a form with the following fields:</p> <ul style="list-style-type: none"> Export PDF (button) Type of Office** (dropdown menu with "Click to see options") Address* (text input field) Name of Officer-in-Charge* (text input field) Tel No. (text input field) Start Date (date input field) End Date (date input field) Status (dropdown menu with "Active" selected)
4	<p>Click the Save button</p> 
5	<p>A pop-up notification will appear to indicate save is successful.</p>

	 <p>A confirmation dialog box with a green checkmark icon at the top. Below the icon, the word "Created" is displayed in bold. At the bottom, there is a blue button labeled "OK".</p>	
6	<p>Please verify the information on the screen and click Verify button to confirm the data is correct</p>  <p>A green rectangular button with the word "Verified" in white text.</p>	
7	<p>A pop up confirmation is displayed, click 'Yes' to confirm and vice versa</p>  <p>A confirmation dialog box with an orange exclamation mark icon at the top. Below the icon, the text "Verify Details of Office" is displayed in bold. Underneath, it asks "Are you sure?". At the bottom, there are two buttons: a blue button labeled "Yes!" and a red button labeled "Cancel".</p>	

b) Search/Filter Details of Office

1	<p>Filter the fields according to free text field or dropdown items and click Search button</p>
---	--

Details of Office [Export Excel](#) [Create](#)

Type of Office: Address: Status:

[Search](#)

Type of Office [Search](#)

Type of Office	Address	Name of Officer-in-Charge	Status	
Shoplot	test	Bernard Chaula	Active	View Delete

2 User may also use Custom Search field at the list.
Select the search criteria and enter the text, click Search to retrieve the results.

Type of Office [Search](#)

Type of Office	Address	Name of Officer-in-Charge	Status	
Shoplot	test	Bernard Chaula	Active	View Delete

c) Edit Details of Office


1 Select the desired record and click View, it will flow to the next page.

Type of Office	Address	Name of Officer-in-Charge	Status	
Manufacturing Plant	Suite 8.01, Menara IMC, 8, Jalan Sultan Ismail, 50000 Kuala Lumpur	Belinda Cargo	Active	View Delete
Shoplot	test	Bernard Chaula	Active	View Delete

2 Click the Edit button



3 Edit the enabled fields as required.
Only selected fields are allowed to be edited by user.
The End Date will determine the Status of record.

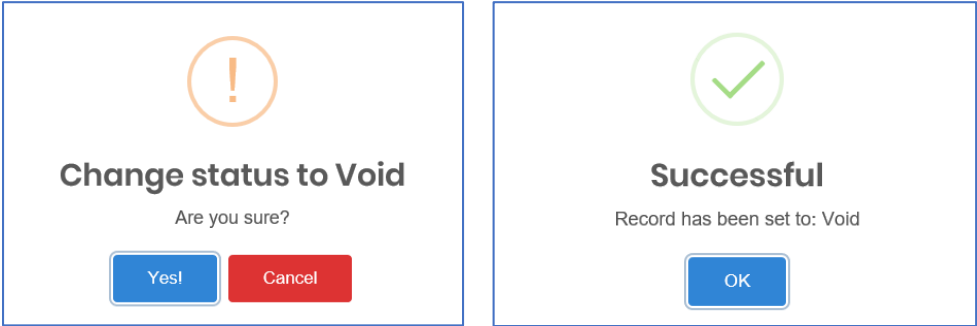
	<div style="display: flex; justify-content: space-between; align-items: center;"> Edit Export PDF </div> <p>Type of Office**</p> <p>Shoplot</p> <p>Address*</p> <p>test</p> <p>Name of Officer-in-Charge*</p> <p>Bernard Chaula</p> <p>Tel No.</p> <p>Start Date</p> <p>07/10/2013</p> <p>End Date</p> <p>Status</p> <p>Active</p>
4	<p>Click Update button to update changes</p> <p>Update</p>
5	<p>A pop-up notification will appear to indicate update is successful.</p> <div style="text-align: center;">  <p>Update successfully</p> <p>OK</p> </div>

d) Set Void/Unvoid

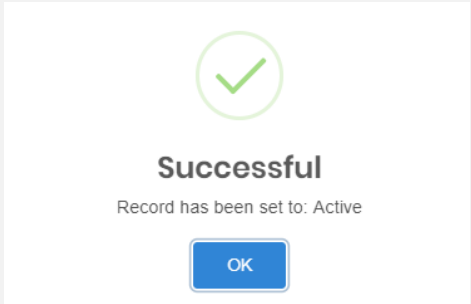
Step	Action
1	Select the desired row and click Void/Unvoid icon.

Type of Office	Name of Officer-in-Charge	Address	Country	Status	
Iskandar Malaysia marketing office	Potato Bites	77 Jalan Pudina Bangsar	Malaysia	Active	 
Kuala Lumpur marketing office	Belinda Cargo	Suite 8.01, Menara IMC, 8, Jalan Sultan Ismail, 50000 Kuala Lumpur		Active	 
Representative office outside Labuan or Malaysia	Maggie Cheung	22 Menara AIA Jalan Sultan Ismail	Malaysia	Active	 

2 To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.



3 To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.

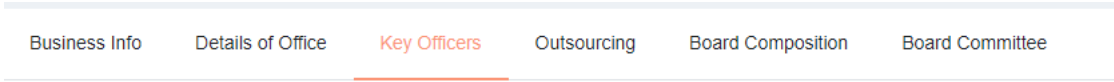

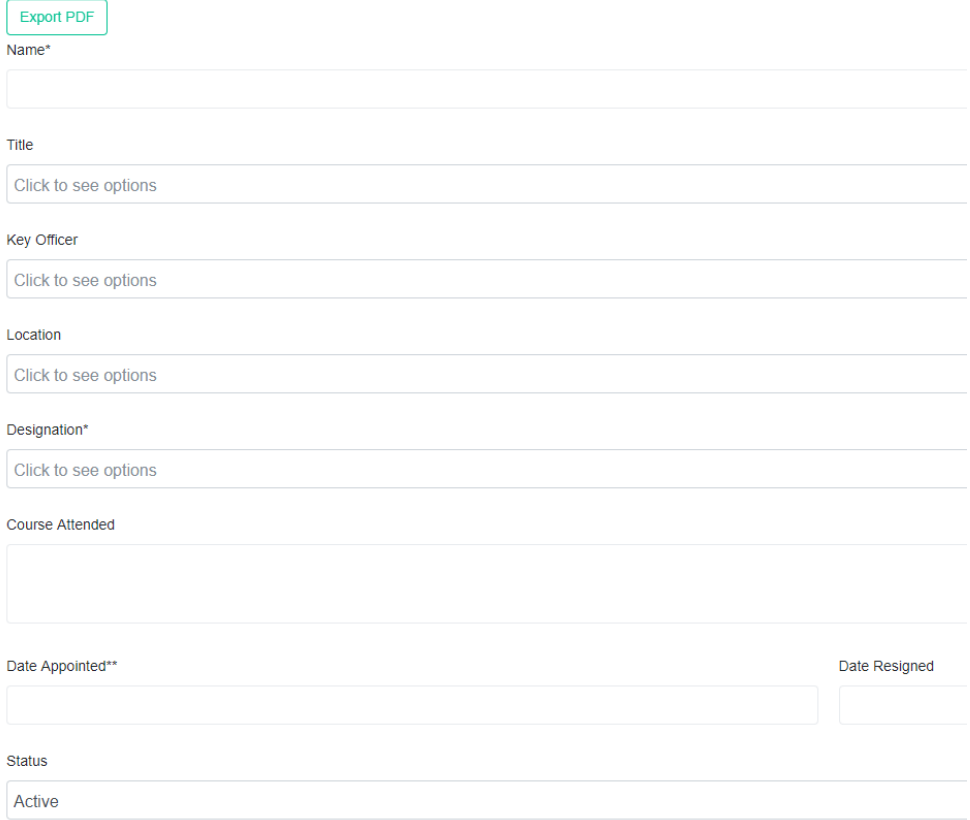





4.1.3 Key Officers

Key Officers page stores the Key Officers information, this page is applicable for all Sectors.

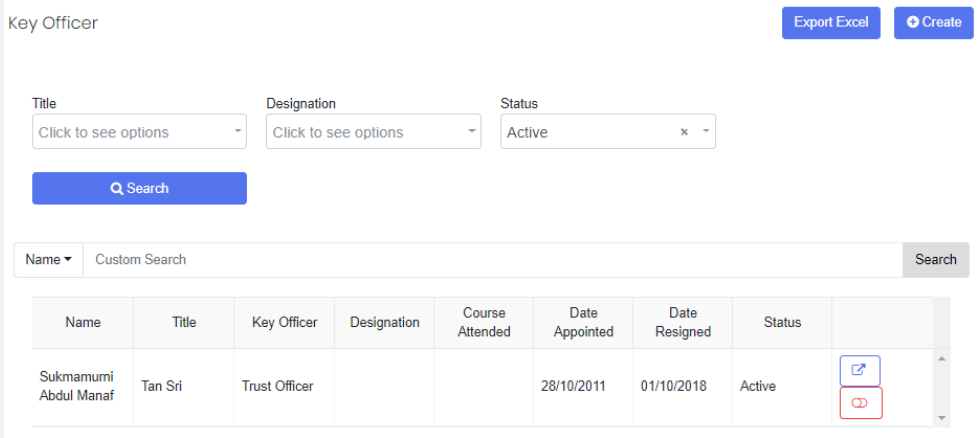
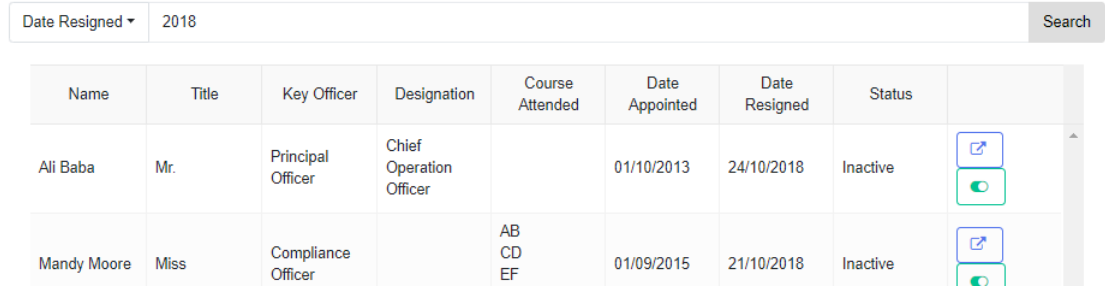
a) How to Create Key Officers

Steps	Action
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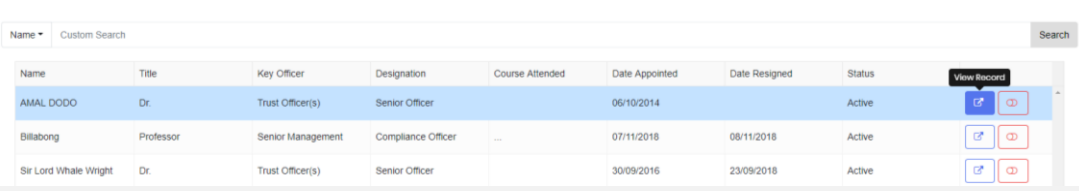

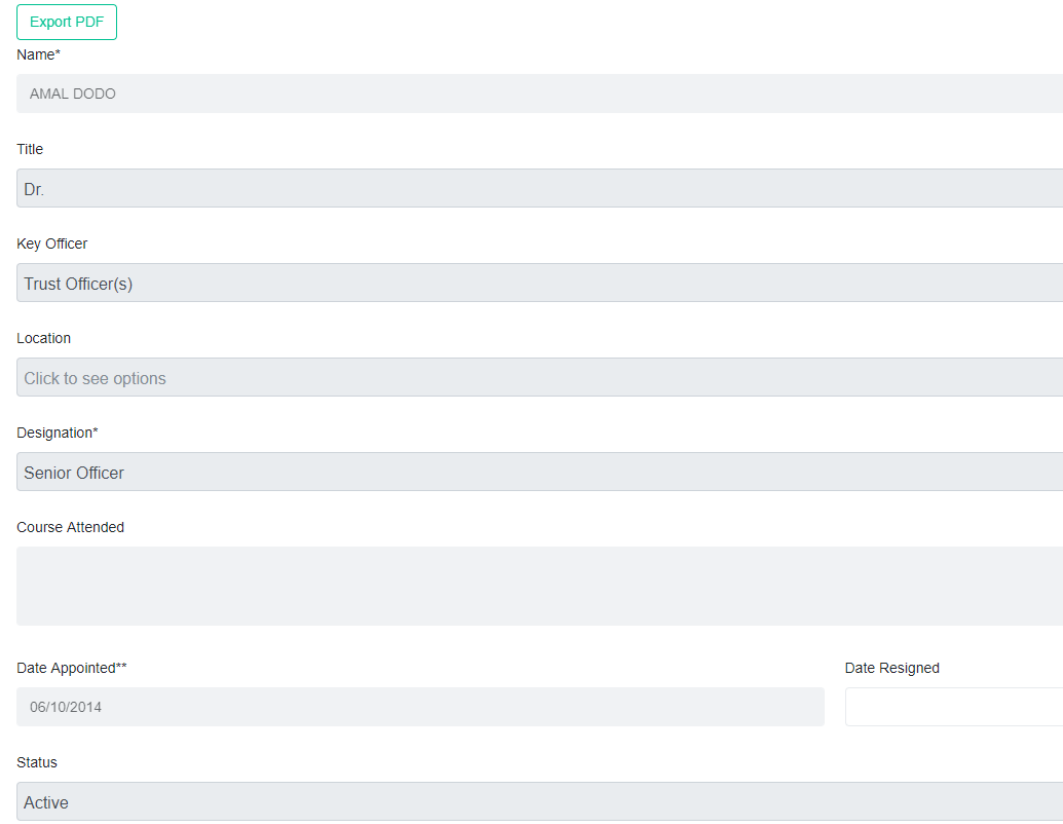
1	<p>Go to RE Profile menu and select Key Officers tab</p>  <p>A horizontal menu bar with the following items: Business Info, Details of Office, Key Officers (highlighted with an orange underline), Outsourcing, Board Composition, and Board Committee.</p>
2	<p>Click the Create button on the left and the page will flow to a blank form.</p>  <p>A blue rectangular button with a white plus sign icon and the text 'Create'.</p>
3	<p>Fill in the mandatory fields.</p>  <p>A form with the following fields and options:</p> <ul style="list-style-type: none"> Export PDF (button) Name* (text input) Title (dropdown menu with 'Click to see options') Key Officer (dropdown menu with 'Click to see options') Location (dropdown menu with 'Click to see options') Designation* (dropdown menu with 'Click to see options') Course Attended (text input) Date Appointed** (text input) Date Resigned (text input) Status (dropdown menu with 'Active')
4	<p>Click the Save button</p>  <p>A green rectangular button with the text 'Save'.</p>

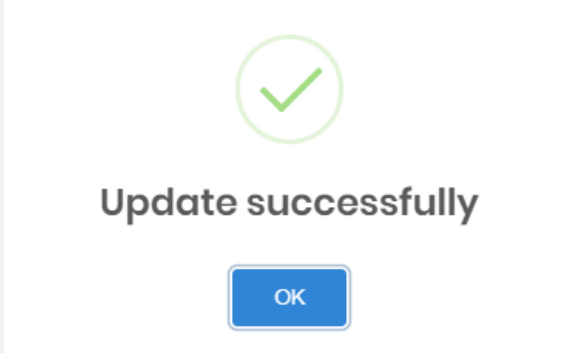
5	<p>A pop-up notification will appear to indicate save is successful.</p> <div style="text-align: center;">  <p>Created</p>  </div>
---	---

b) Search/Filter Key Officers





















Steps	Action
1	<p>Filter the fields according to free text field or dropdown items and click Search button</p> 
2	<p>User may also use Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results.</p> 

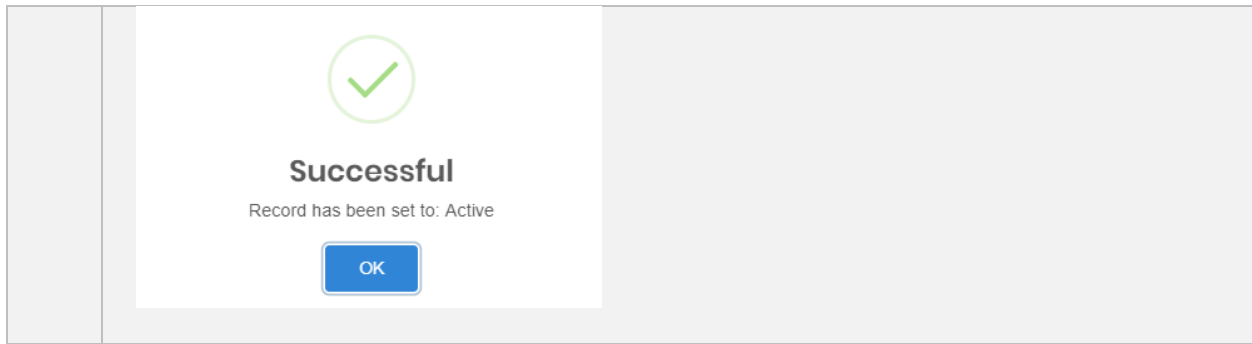
c) Edit Key Officers

Step	Action																																				
1	<p>Select the desired record and click View, it will flow to the next page.</p>  <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Key Officer</th> <th>Designation</th> <th>Course Attended</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th>View Record</th> </tr> </thead> <tbody> <tr> <td>AMAL DODO</td> <td>Dr.</td> <td>Trust Officer(s)</td> <td>Senior Officer</td> <td></td> <td>06/10/2014</td> <td></td> <td>Active</td> <td></td> </tr> <tr> <td>Billabong</td> <td>Professor</td> <td>Senior Management</td> <td>Compliance Officer</td> <td>...</td> <td>07/11/2018</td> <td>08/11/2018</td> <td>Active</td> <td></td> </tr> <tr> <td>Sir Lord Whale Wright</td> <td>Dr.</td> <td>Trust Officer(s)</td> <td>Senior Officer</td> <td></td> <td>30/09/2016</td> <td>23/09/2018</td> <td>Active</td> <td></td> </tr> </tbody> </table>	Name	Title	Key Officer	Designation	Course Attended	Date Appointed	Date Resigned	Status	View Record	AMAL DODO	Dr.	Trust Officer(s)	Senior Officer		06/10/2014		Active		Billabong	Professor	Senior Management	Compliance Officer	...	07/11/2018	08/11/2018	Active		Sir Lord Whale Wright	Dr.	Trust Officer(s)	Senior Officer		30/09/2016	23/09/2018	Active	
Name	Title	Key Officer	Designation	Course Attended	Date Appointed	Date Resigned	Status	View Record																													
AMAL DODO	Dr.	Trust Officer(s)	Senior Officer		06/10/2014		Active																														
Billabong	Professor	Senior Management	Compliance Officer	...	07/11/2018	08/11/2018	Active																														
Sir Lord Whale Wright	Dr.	Trust Officer(s)	Senior Officer		30/09/2016	23/09/2018	Active																														
2	<p>Click the Edit button</p> 																																				
3	<p>Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record.</p> 																																				
4	<p>Click Update button to update changes</p>																																				

	Update
5	<p>A pop-up notification will appear to indicate update is successful.</p> <div style="text-align: center;">  <p>Update successfully</p> <p>OK</p> </div>


d) Set Void/Unvoid

Step	Action																																				
1	<p>Select the desired row from and click Void/Unvoid icon.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Key Officer</th> <th>Designation</th> <th>Course Attended</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Ali Baba</td> <td>Mr.</td> <td>Principal Officer</td> <td>Chief Operation Officer</td> <td></td> <td>01/10/2013</td> <td>24/10/2018</td> <td>Inactive</td> <td> </td> </tr> <tr> <td>Mandy Moore</td> <td>Miss</td> <td>Compliance Officer</td> <td></td> <td>AB CD EF GH</td> <td>01/09/2015</td> <td>21/10/2018</td> <td>Inactive</td> <td> </td> </tr> <tr> <td>QWERTY</td> <td>Professor</td> <td>Compliance Officer</td> <td></td> <td>XXX YYY ZZZ</td> <td>01/10/2011</td> <td>25/10/2018</td> <td>Inactive</td> <td> </td> </tr> </tbody> </table>	Name	Title	Key Officer	Designation	Course Attended	Date Appointed	Date Resigned	Status		Ali Baba	Mr.	Principal Officer	Chief Operation Officer		01/10/2013	24/10/2018	Inactive	 	Mandy Moore	Miss	Compliance Officer		AB CD EF GH	01/09/2015	21/10/2018	Inactive	 	QWERTY	Professor	Compliance Officer		XXX YYY ZZZ	01/10/2011	25/10/2018	Inactive	 
Name	Title	Key Officer	Designation	Course Attended	Date Appointed	Date Resigned	Status																														
Ali Baba	Mr.	Principal Officer	Chief Operation Officer		01/10/2013	24/10/2018	Inactive	 																													
Mandy Moore	Miss	Compliance Officer		AB CD EF GH	01/09/2015	21/10/2018	Inactive	 																													
QWERTY	Professor	Compliance Officer		XXX YYY ZZZ	01/10/2011	25/10/2018	Inactive	 																													
2	<p>To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Change status to Void</p> <p>Are you sure?</p> <p>Yes! Cancel</p> </div> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Successful</p> <p>Record has been set to: Void</p> <p>OK</p> </div> </div>																																				
3	<p>To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p>																																				

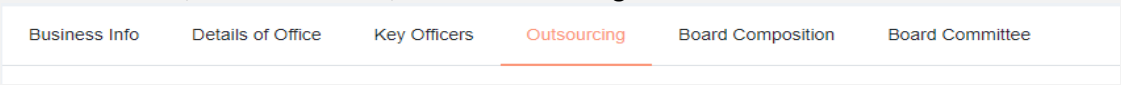
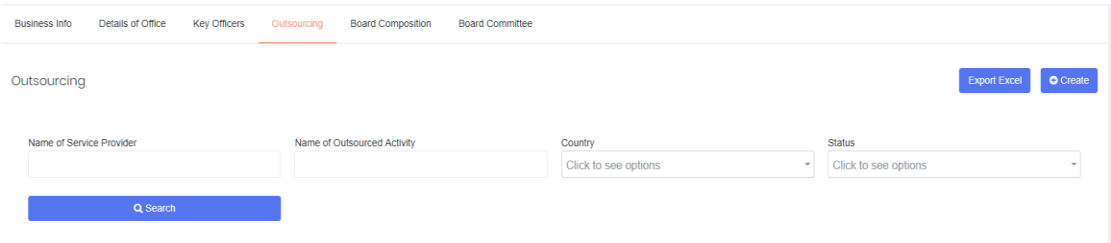



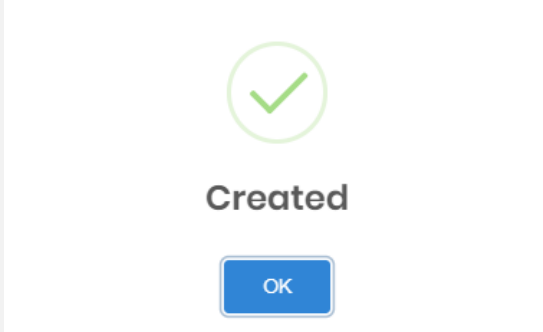
4.1.4 Outsourcing

This page describes the Outsourcing activity for the Reporting Entity.

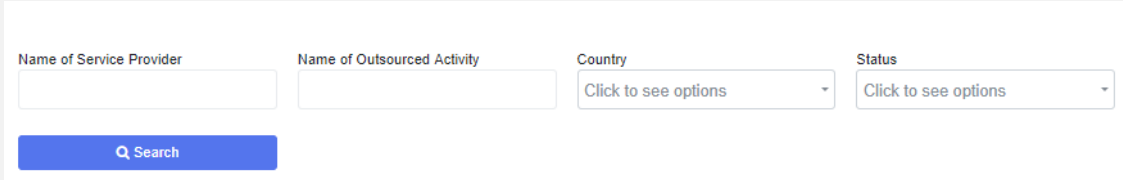
 This page is applicable to all sectors.





a) Create Outsourcing

Step	Action
1	<p>From the menu, select RE Profile, select Outsourcing tab.</p> 
2	<p>Click Create button</p> 
3	<p>Fill in the required details.</p>













	<p>Name of Service Provider*</p> <input type="text"/>
	<p>Name of Outsourced Activity*</p> <input type="text"/>
	<p>Brief Description of Outsourced Activity / Type of Services*</p> <input type="text"/>
	<p>Internal or External Party* Regulated</p> <p>Click to see options Click to see options</p>
	<p>Subcontract*</p> <p>Click to see options</p>
	<p>Location*</p> <input type="text"/>
	<p>Country*</p> <p>Click to see options</p>
	<p>Contract Start Date* Contract End Date</p> <input type="text"/> <input type="text"/>
4	<p>Click Save button.</p> 
5	<p>A pop-up notification will appear to indicate save is successful.</p> 

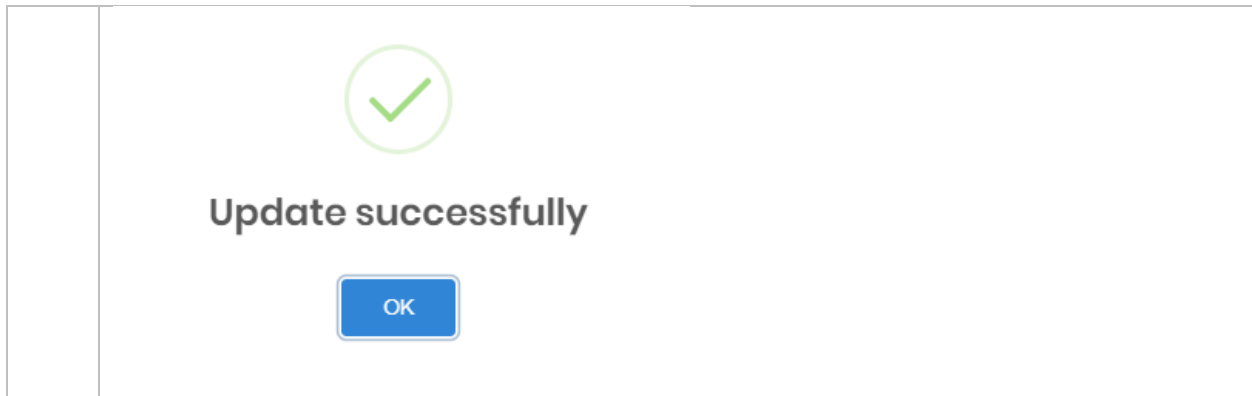
b) Search/Filter Outsourcing

Step	Action
1	<p>From the screen, select an item in the dropdown and click Search button.</p> 
2	<p>The result of the search is displayed in the list</p>

















Name of Service Provider ▾		Custom Search					Search
Name of Service Provider	Name of Outsourced Activity	Country	Internal or External Party	Regulated	Subcontract	Status	
Portabello	Trading	NETHERLANDS	External	Yes	Yes	Active	 
test test sample	sample text	BARBADOS	External	Yes	Yes	Active	 

c) Edit Outsourcing

Step	Action																								
1	<p>Select a row from Outsourcing tab and click View Record icon.</p> <table border="1"> <thead> <tr> <th>Name of Service Provider</th> <th>Name of Outsourced Activity</th> <th>Country</th> <th>Internal or External Party</th> <th>Regulated</th> <th>Subcontract</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Portabello</td> <td>Trading</td> <td>NETHERLANDS</td> <td>External</td> <td>Yes</td> <td>Yes</td> <td>Active</td> <td> </td> </tr> <tr> <td>test test sample</td> <td>sample text</td> <td>BARBADOS</td> <td>External</td> <td>Yes</td> <td>Yes</td> <td>Active</td> <td> </td> </tr> </tbody> </table>	Name of Service Provider	Name of Outsourced Activity	Country	Internal or External Party	Regulated	Subcontract	Status		Portabello	Trading	NETHERLANDS	External	Yes	Yes	Active	 	test test sample	sample text	BARBADOS	External	Yes	Yes	Active	 
Name of Service Provider	Name of Outsourced Activity	Country	Internal or External Party	Regulated	Subcontract	Status																			
Portabello	Trading	NETHERLANDS	External	Yes	Yes	Active	 																		
test test sample	sample text	BARBADOS	External	Yes	Yes	Active	 																		
2	<p>Click Edit button to enable the fields. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record.</p> <p>Name of Service Provider*</p> <input type="text" value="Portabello"/> <p>Name of Outsourced Activity*</p> <input type="text" value="Trading"/> <p>Brief Description of Outsourced Activity / Type of Services*</p> <input type="text" value="Foreign exchange"/> <p>Internal or External Party* Regulated</p> <p>External Yes</p> <p>Subcontract*</p> <input type="text" value="Yes"/>																								
3	Click Update button to save the changes.																								
4	A pop-up notification will appear to indicate update is successful.																								




d) Set Void/Unvoid

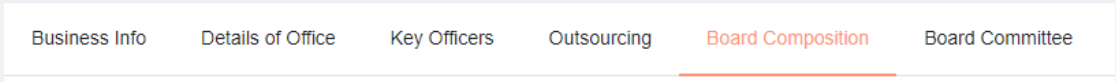

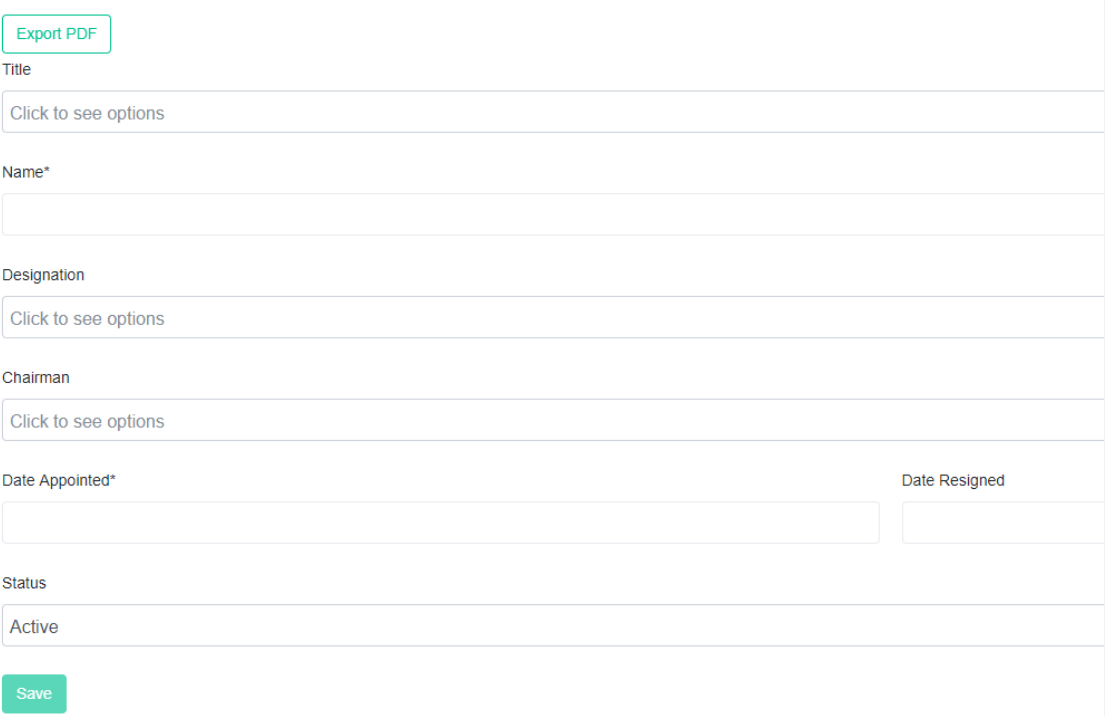
Step	Action																								
1	<p>Identify a row from Outsourcing tab and click Void/Unvoid icon.</p> <table border="1"> <thead> <tr> <th>Name of Service Provider</th> <th>Name of Outsourced Activity</th> <th>Country</th> <th>Internal or External Party</th> <th>Regulated</th> <th>Subcontract</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Portabello</td> <td>Trading</td> <td>NETHERLANDS</td> <td>External</td> <td>Yes</td> <td>Yes</td> <td>Active</td> <td> </td> </tr> <tr> <td>test test sample</td> <td>sample text</td> <td>BARBADOS</td> <td>External</td> <td>Yes</td> <td>Yes</td> <td>Inactive</td> <td> </td> </tr> </tbody> </table>	Name of Service Provider	Name of Outsourced Activity	Country	Internal or External Party	Regulated	Subcontract	Status		Portabello	Trading	NETHERLANDS	External	Yes	Yes	Active	 	test test sample	sample text	BARBADOS	External	Yes	Yes	Inactive	 
Name of Service Provider	Name of Outsourced Activity	Country	Internal or External Party	Regulated	Subcontract	Status																			
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test test sample	sample text	BARBADOS	External	Yes	Yes	Inactive	 																		
2	<p>To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Change status to Void</p> <p>Are you sure?</p> <p>Yes! Cancel</p> </div> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Successful</p> <p>Record has been set to: Void</p> <p>OK</p> </div> </div>																								
3	<p>To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Change status to Active</p> <p>Are you sure?</p> <p>Yes! Cancel</p> </div> <div style="border: 1px solid blue; padding: 10px; text-align: center;">  <p>Successful</p> <p>Record has been set to: Active</p> <p>OK</p> </div> </div>																								


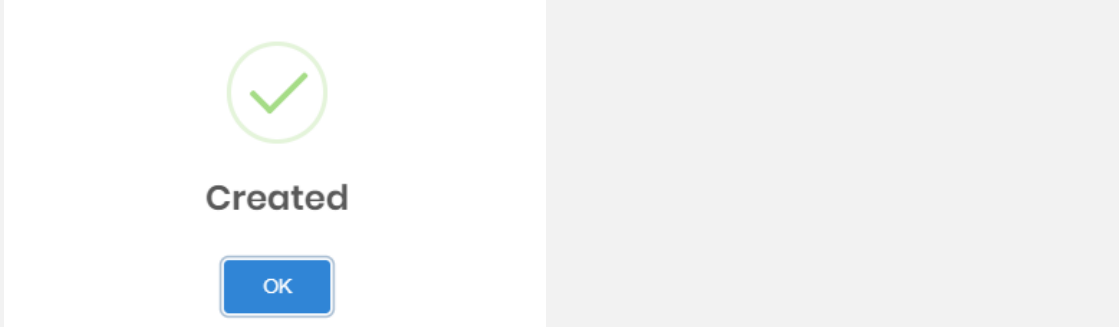
4.1.5 Board Composition

As part of corporate governance, REs will have to report its Board Composition information to ensure transparency in the company's set up.

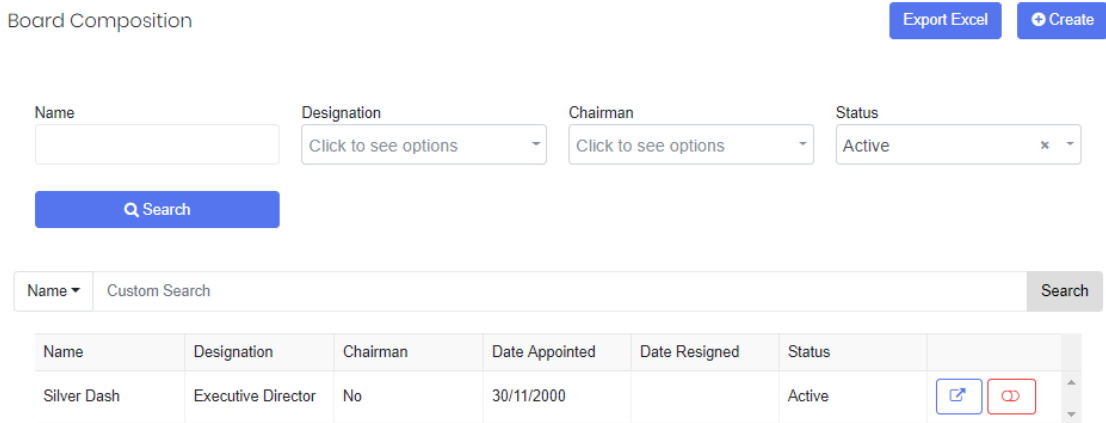

 This page is only applicable to Subsidiary only.

a) Create Board Composition

Step	Action
1	<p>Go to RE Profile menu and select Board Composition tab</p> 
2	<p>Create Button on the left</p> 
3	<p>Fill in the fields.</p> 

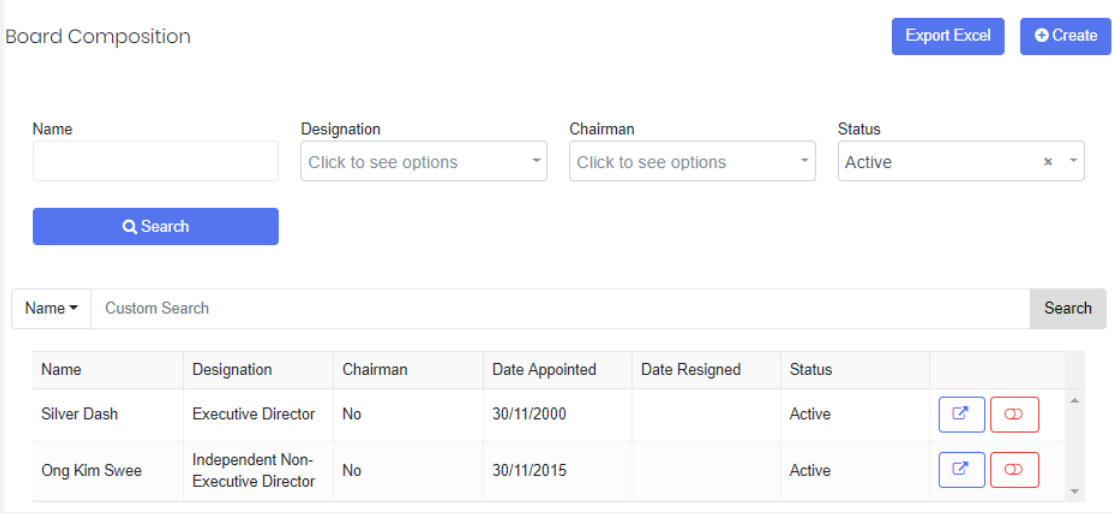

4	Click the Save button 
5	A pop-up notification will appear to indicate save is successful. 


b) Search/Filter Board Composition

Steps	Action
1	<p>Filter the fields according to free text field or dropdown items and click Search button</p> 
2	<p>User may also use Custom Search field at the list.</p> <p>Select the search criteria and enter the text, click Search to retrieve the results.</p> 













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c) Edit Board Composition

Step	Action																					
1	<p>Select the desired record and click View, it will flow to the next page.</p>  <p>The screenshot shows the 'Board Composition' management page. At the top right, there are 'Export Excel' and 'Create' buttons. Below the header, there are filter fields for 'Name', 'Designation', 'Chairman', and 'Status'. A 'Search' button is located below the filters. A table displays the following records:</p> <table border="1"> <thead> <tr> <th>Name</th> <th>Designation</th> <th>Chairman</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th>Actions</th> </tr> </thead> <tbody> <tr> <td>Silver Dash</td> <td>Executive Director</td> <td>No</td> <td>30/11/2000</td> <td></td> <td>Active</td> <td> </td> </tr> <tr> <td>Ong Kim Swee</td> <td>Independent Non-Executive Director</td> <td>No</td> <td>30/11/2015</td> <td></td> <td>Active</td> <td> </td> </tr> </tbody> </table>	Name	Designation	Chairman	Date Appointed	Date Resigned	Status	Actions	Silver Dash	Executive Director	No	30/11/2000		Active		Ong Kim Swee	Independent Non-Executive Director	No	30/11/2015		Active	
Name	Designation	Chairman	Date Appointed	Date Resigned	Status	Actions																
Silver Dash	Executive Director	No	30/11/2000		Active																	
Ong Kim Swee	Independent Non-Executive Director	No	30/11/2015		Active																	
2	<p>Click the Edit button</p> 																					
3	<p>Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record.</p>																					

	<p>Title</p> <p>Mr.</p> <p>Name*</p> <p>Silver Dash</p> <p>Designation</p> <p>Executive Director</p> <p>Chairman</p> <p>No</p> <p>Date Appointed*</p> <p>30/11/2000</p> <p>Date Resigned</p> <p>Status</p> <p>Active</p>
4	<p>Click Update button to update changes</p> <p>Update</p>
5	<p>A pop-up notification will appear to indicate update is successful.</p> <div style="text-align: center;">  <p>Update successfully</p> <p>OK</p> </div>


d) Set Void/Unvoid

Step	Action																					
1	<p>Select the desired row and click Void/Unvoid icon.</p> <table border="1"> <thead> <tr> <th>Name</th> <th>Designation</th> <th>Chairman</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Silver Dash</td> <td>Executive Director</td> <td>No</td> <td>30/11/2000</td> <td></td> <td>Active</td> <td> </td> </tr> <tr> <td>Ong Kim Swee</td> <td>Independent Non-Executive Director</td> <td>No</td> <td>30/11/2015</td> <td></td> <td>Active</td> <td> </td> </tr> </tbody> </table>	Name	Designation	Chairman	Date Appointed	Date Resigned	Status		Silver Dash	Executive Director	No	30/11/2000		Active	 	Ong Kim Swee	Independent Non-Executive Director	No	30/11/2015		Active	 
Name	Designation	Chairman	Date Appointed	Date Resigned	Status																	
Silver Dash	Executive Director	No	30/11/2000		Active	 																
Ong Kim Swee	Independent Non-Executive Director	No	30/11/2015		Active	 																
2	<p>To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p>																					

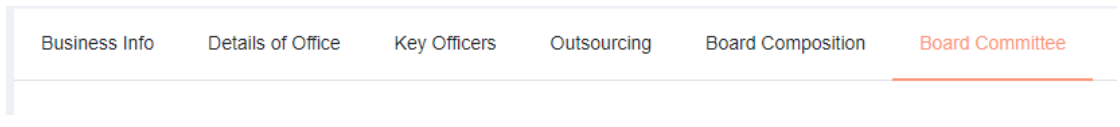
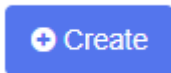
	<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid #ccc; padding: 10px; width: 45%;">  <p style="text-align: center;">Change status to Void</p> <p style="text-align: center;">Are you sure?</p> <div style="display: flex; justify-content: center; gap: 10px;"> Yes! Cancel </div> </div> <div style="border: 1px solid #ccc; padding: 10px; width: 45%;">  <p style="text-align: center;">Successful</p> <p style="text-align: center;">Record has been set to: Void</p> <div style="display: flex; justify-content: center; gap: 10px;"> OK </div> </div> </div>
3	<p>To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> <div style="display: flex; justify-content: space-around; background-color: #f0f0f0; padding: 10px;"> <div style="border: 1px solid #ccc; padding: 10px; width: 45%;">  <p style="text-align: center;">Change status to Active</p> <p style="text-align: center;">Are you sure?</p> <div style="display: flex; justify-content: center; gap: 10px;"> Yes! Cancel </div> </div> <div style="border: 1px solid #ccc; padding: 10px; width: 45%;">  <p style="text-align: center;">Successful</p> <p style="text-align: center;">Record has been set to: Active</p> <div style="display: flex; justify-content: center; gap: 10px;"> OK </div> </div> </div>

4.1.6 Board Committee

The role of Board Committee is to provide guidance for the RE company. This information must also be supplied and updated by REs.

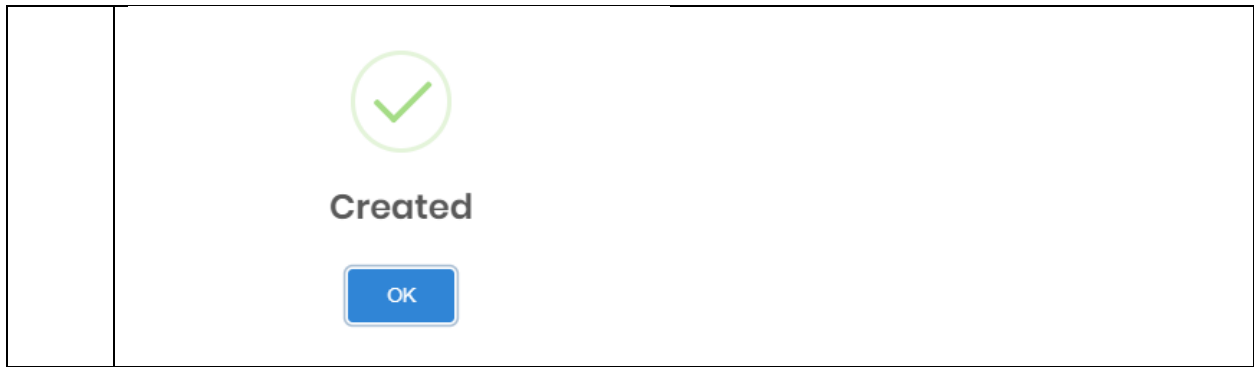
 This page is only applicable to Subsidiary only.

a) Create Board Committee

1	<p>Go to RE Profile menu and select Board Committee</p> 
2	<p>Click the Create Button on the left, the page will flow to a blank form</p> 

3	<p>Fill in the details</p> <p>Export PDF</p> <p>Title</p> <p>Click to see options</p> <p>Name*</p> <p><input type="text"/></p> <p>Board Committee*</p> <p>Click to see options</p> <p>Designation*</p> <p>Click to see options</p> <p>Chairman*</p> <p>Click to see options</p> <p>Date Appointed* Da</p> <p><input type="text"/></p> <p>Status</p> <p>Active</p> <p>Save</p>
4	<p>Click the Save button</p> <p>Save</p>
5	<p>A pop-up notification will appear to indicate save is successful.</p>





b) Search/Filter Board Committee

Steps	Action														
1	<p>Filter the fields according to free text field or dropdown items and click Search button</p> <p>Board Committee Export Excel Create</p> <p>Name <input type="text"/> Designation Click to see options Board Committee Click to see options Status Active x</p> <p>Chairman Click to see options</p> <p>Search</p> <p>Board Committee <input type="text"/> Custom Search Search</p> <table border="1"> <thead> <tr> <th>Board Committee</th> <th>Name</th> <th>Designation</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Nominating Committee</td> <td>Raj Singh</td> <td>Independent Non-Executive Director</td> <td>31/10/2013</td> <td></td> <td>Active</td> <td>🔗 🔴</td> </tr> </tbody> </table>	Board Committee	Name	Designation	Date Appointed	Date Resigned	Status		Nominating Committee	Raj Singh	Independent Non-Executive Director	31/10/2013		Active	🔗 🔴
Board Committee	Name	Designation	Date Appointed	Date Resigned	Status										
Nominating Committee	Raj Singh	Independent Non-Executive Director	31/10/2013		Active	🔗 🔴									
2	<p>User may also use Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results.</p> <p>Board Committee <input type="text"/> Custom Search Search</p> <table border="1"> <thead> <tr> <th>Board Committee</th> <th>Name</th> <th>Designation</th> <th>Date Appointed</th> <th>Date Resigned</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>Nominating Committee</td> <td>Raj Singh</td> <td>Independent Non-Executive Director</td> <td>31/10/2013</td> <td></td> <td>Active</td> <td>🔗 🔴</td> </tr> </tbody> </table>	Board Committee	Name	Designation	Date Appointed	Date Resigned	Status		Nominating Committee	Raj Singh	Independent Non-Executive Director	31/10/2013		Active	🔗 🔴
Board Committee	Name	Designation	Date Appointed	Date Resigned	Status										
Nominating Committee	Raj Singh	Independent Non-Executive Director	31/10/2013		Active	🔗 🔴									

c) Edit Board Committee

1 **Select the desired record and click View, it will flow to the next page.**

Board Committee [Export Excel](#) [+ Create](#)

Name Designation Board Committee Status

Chairman

[Search](#)

Board Committee Custom Search [Search](#)

Board Committee	Name	Designation	Date Appointed	Date Resigned	Status	
Nominating Committee	Raj Singh	Independent Non-Executive Director	31/10/2013		Active	View Delete

2 **Click the Edit button**

[Edit](#)

3 **Edit the enabled fields as required.**
Only selected fields are allowed to be edited by user.
The End Date will determine the Status of record.

Title


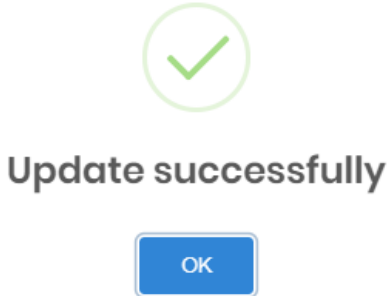
Name*

Board Committee**


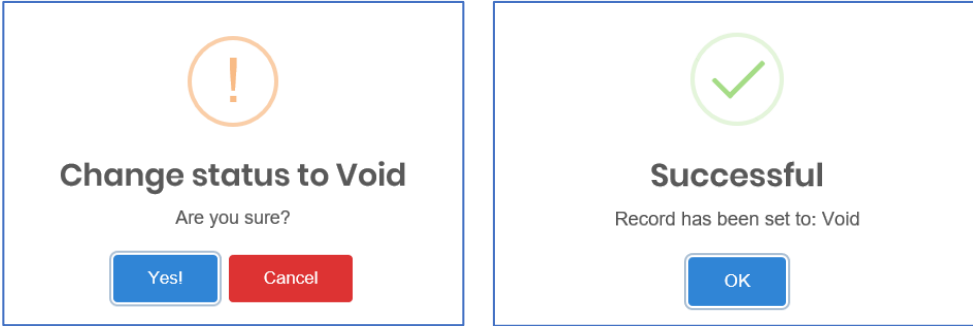
Designation**

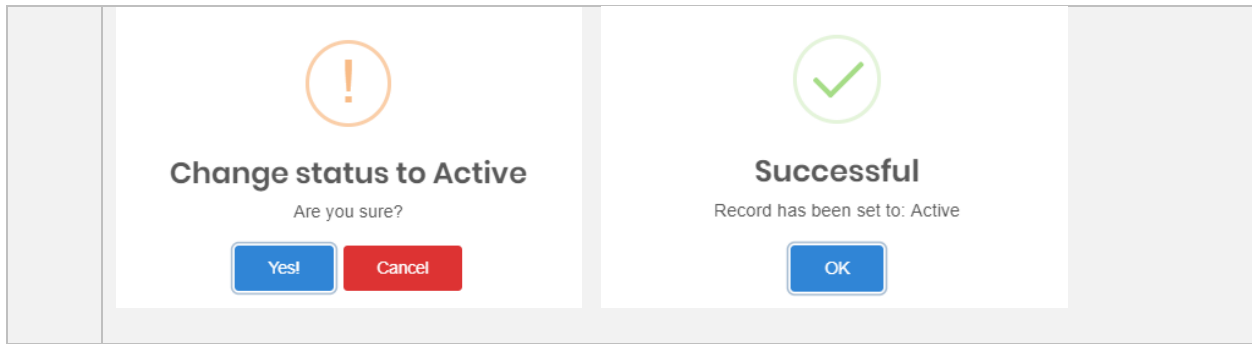
Chairman**

Date Appointed* Date Resigned

4	<p>Click Update button to update changes</p> 
5	<p>A pop-up notification will appear to indicate update is successful.</p> 

d) Set Void/Unvoid

Step	Action
1	<p>Select the desired row from and click Void/Unvoid icon.</p> 
2	<p>To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p> 
3	<p>To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.</p>



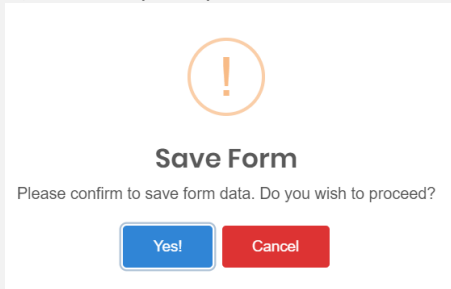

5 Submission and Forms

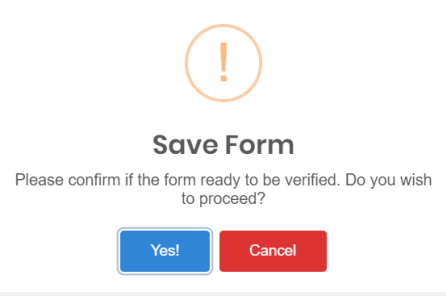

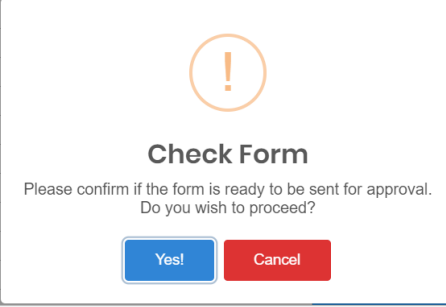

5.1 Objective

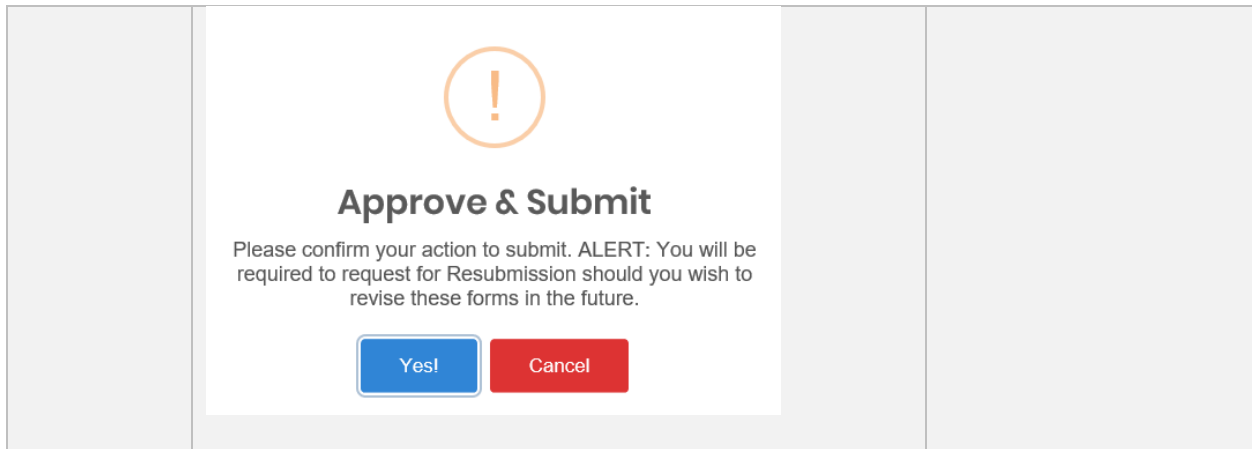
This module lists all the submissions according to End Date and Calendar/Financial Year End (FYE) for the Reporting Entity.

5.1.1 How to Submit Form and Form Permission based on User Role

The system will only allow specific user roles to perform certain actions according to table below:-

Role	Permission	Form Status
Preparer	a) User is allowed to 'Save as Draft' – to save the form as draft	Open
	b) User is prompted to confirm 'Save as Draft' action 	Pending Verification
	c) When the form is ready for verification, click 'Save' to proceed. 	
	d) User is prompted to confirm 'Save' action	

	 <p>Save Form Please confirm if the form ready to be verified. Do you wish to proceed?</p> <p>Yes! Cancel</p>	
Checker	<p>a) User is allowed to 'Save as Draft' – to save the form as draft</p> <p>b) When the form is ready to be sent for approval, click 'Check' button to change the status to 'Ready'</p>  <p>c) User is prompted to confirm 'Check' action</p>  <p>Check Form Please confirm if the form is ready to be sent for approval. Do you wish to proceed?</p> <p>Yes! Cancel</p>	<p>Open</p> <p>Ready</p>
Approver	<p>a) User is allowed to 'Save as Draft' – to save the form as draft</p> <p>b) When the form is ready to be submitted, click 'Approve & Submit' button</p> <p>c) User may click 'Edit' button to re-open the form.</p>  <p>d) User is prompted to confirm 'Approve and Submit' action</p>	<p>Open</p> <p>Submitted</p> <p>Accepted (if successful)</p> <p>Open</p>





5.1.2 Color-coded Cells

The system applies color-coded cells to the forms to indicate type of input required from user.

Cell Color	Description
Grey	No input required. Cell is disabled
Yellow	Input is expected from user. Cell is editable.
Green	Cell has auto-calculated formula. Cell is not editable
Blue	Cell value is derived from sub form data. Cell is not editable
Red	Cell has invalid data upon click 'Save' or 'Check' button. Cell data must be corrected in order to save the form.


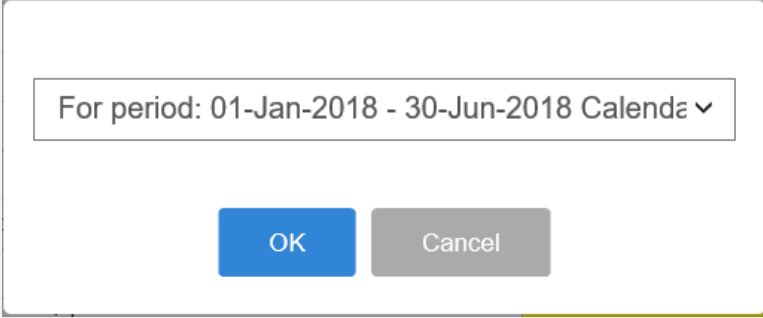
5.1.3 Dropdowns

The SMS forms are furnished with two types of dropdowns as below:

Type	Description	Button
Master List Dropdown	<p>The general dropdowns used across multiple sectors.</p> <p>To add items in the dropdown, user must request to IRU using Dropdown Request module. This is covered in Section 9.2</p>	
RE Dropdown Group	<p>The entity-specific dropdowns.</p> <p>User is given the privilege to create/add items to RE dropdown in the forms. This is covered in Section 10.2</p>	

5.1.4 Copy From

This feature is provided to facilitate RE Users filling up the form by copying data from the selected form.

Step	Action
1	Load any form in the Submission or Forms menu.
2	Locate the button at the bottom left of the page. Click at the button 
3	A pop up appears with dropdown selection of available forms to be copied. 
4	Select the form and click OK
5	The screen is automatically refreshed, the form is loaded with copied data from the source form.
6	Click Save as Draft or Save to confirm the changes.


5.1.5 Submissions





Step	Action
1	Go to Manage Submission menu, then select Submission.
2	Select a month at the End Date calendar. Select a status from the Status dropdown. Select a category from the Category dropdown. The Category shows the grouping of the forms. The status dropdown displays the submission status for the period: <ul style="list-style-type: none">• New – all forms are not submitted yet• Incomplete – one or more forms have been submitted and processed• Completed – all forms have been submitted and processed

End Date Status Category

- 3 Click Search button. The search result is populated in the list panel.
- Total – shows the total number of forms
 - Open – the forms that are still being worked on by Preparer and waiting to be checked by Checker (in 'Pending Verification' status)
 - Ready – the forms that have been checked by Checker and waiting to be approved by Approver
 - Submitted – the forms that are currently in processing
 - Accepted – the forms that have been processed and accepted
 - Rejected – the forms that have been rejected by system

The Download Form icon allows user to download all the forms in one click.



End Date	Due Date	CY/FY	Total	Open	Ready	Submitted	Accepted	Rejected	Submitted Date	Status	
31/12/2017	01/11/2018	Calendar Year	6	6	0	0	0	0	-	New	 
31/12/2017	30/06/2018	RE Financial Year	2	2	0	0	0	0	-	New	 

The Submitted Date shows the date when the was submitted for processing

- 4 Select a row and click View icon, it will flow to Forms page where the forms are listed.

The forms can be filtered according to the search fields:

Forms

Code Form End Date Status

Click Search button to view the search results.

- 5 Select the desired form in the list and click View button

Forms Export Excel

Code Form End Date From Status - Please Select -

Q Search

Code Custom Search Search

Form List

Code	Form	CY / FY	End Date	Due Date	Submitted Date	Status	
AML	Anti-Money Laundering and Counter Financing of Terrorism (AML/CFT)	Calendar Year	30/06/2018	15/07/2018	-	New	↗ ↓
EMPLOYMENT	Report On Employment Statistics	Calendar Year	30/06/2018	15/07/2018	-	New	↗ ↓
MB 4.1	Financial Position	Calendar Year	30/06/2018	15/07/2018	-	New	↗ ↓

The Download Form icon allows user to download the particular form in one click.

6 Select the desired form and click View – this will flow to the Submission form which is covered in section 5.2 and 5.3

5.1.6 Excel Import

As a new feature, the system allows RE User to import Excel forms (that were downloaded as explained in the previous section).

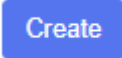
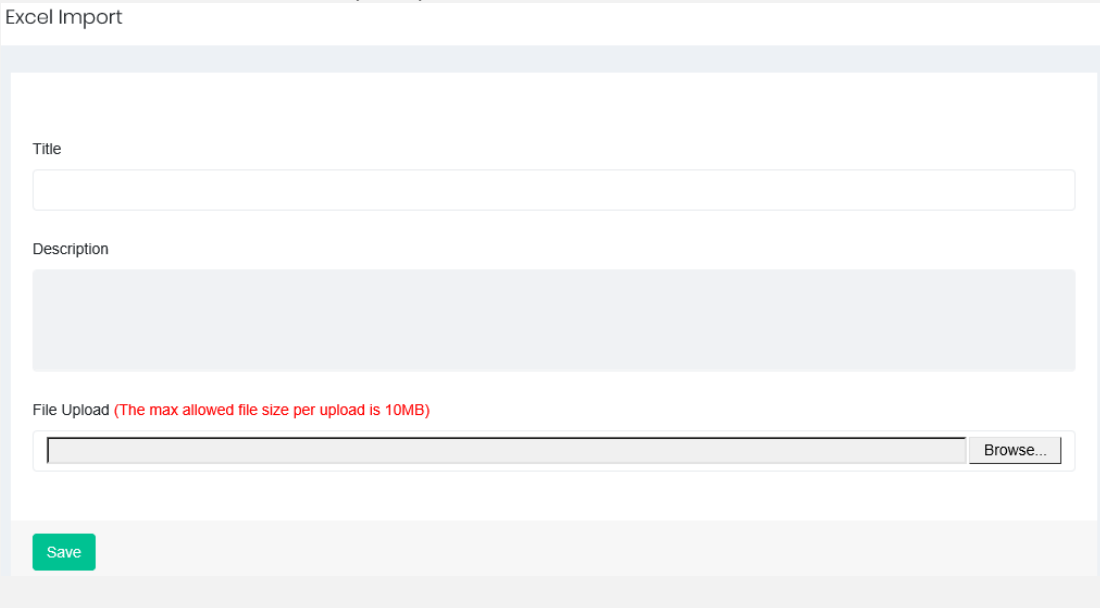

Excel Import task can only be performed for New or Open form status, otherwise it will result in error.

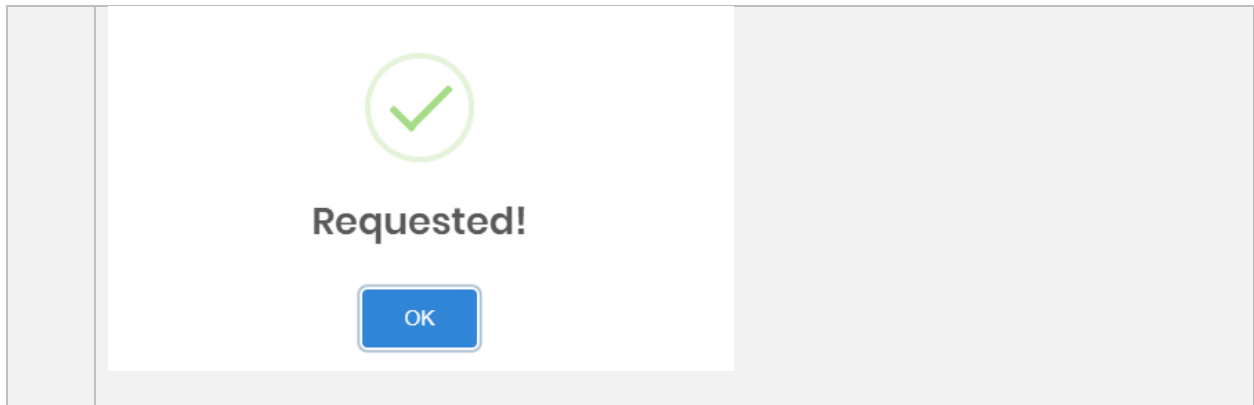
The Status for Excel Import results are described below:

Status	Description
Started	The processing engine is started
Submitted	The file is submitted for processing
In Progress	The file processing is in progress
Completed	The file processing is completed with success.
Completed with Error	The file processing is completed with error – please check error description

Aborted	The file processing is aborted due to invalid file format or invalid parameters.
----------------	--

a) How to Use Import

Step	Action
1	Go to Manage Submission menu and select Excel Import.
2	Click Create button to create a new import task. 
3	Fill in the Title and select the file/s to be imported. Reminder: Maximum file size per upload is 10MB Excel Import 
4	Click the Save button 
5	A pop-up notification will appear to indicate task creation is successful.



b) Search/View Import task

Step	Action																				
1	<p>Filter according to the below criteria, and click Search button</p> <p>RE Excel Import <input type="button" value="Export Excel"/> <input type="button" value="Create"/></p> <div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p>Status <input type="text" value="Click to see options"/> Created Date <input type="text"/></p> <p style="text-align: center;"><input type="button" value="Search"/></p> </div> <p>Name <input type="text" value="Custom Search"/> <input type="button" value="Search"/></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Name</th> <th>Description</th> <th>Status</th> <th>Created Date</th> <th></th> </tr> </thead> <tbody> <tr> <td>Test 2</td> <td>{\"LL13405-EMPLOYMENT-201806_Abaunion.xlsx\": [\"Sheet: EMPLOYMENT Cell: F9 value is required\"]}</td> <td>Completed with Error(s)</td> <td>01/11/2018 04:47:26 pm</td> <td><input type="button" value="View"/></td> </tr> <tr> <td>Test 2</td> <td></td> <td>Not Started</td> <td>01/11/2018 04:47:26 pm</td> <td><input type="button" value="View"/></td> </tr> <tr> <td>SSSS</td> <td>{\"16thVAHA LL02788-L 1.3-201809 FILE.xlsx\": [\"Form belongs to a different RE than the RE who ...\"]}</td> <td>Completed with Error(s)</td> <td>01/11/2018 04:35:12 pm</td> <td><input type="button" value="View"/></td> </tr> </tbody> </table>	Name	Description	Status	Created Date		Test 2	{\"LL13405-EMPLOYMENT-201806_Abaunion.xlsx\": [\"Sheet: EMPLOYMENT Cell: F9 value is required\"]}	Completed with Error(s)	01/11/2018 04:47:26 pm	<input type="button" value="View"/>	Test 2		Not Started	01/11/2018 04:47:26 pm	<input type="button" value="View"/>	SSSS	{\"16thVAHA LL02788-L 1.3-201809 FILE.xlsx\": [\"Form belongs to a different RE than the RE who ...\"]}	Completed with Error(s)	01/11/2018 04:35:12 pm	<input type="button" value="View"/>
Name	Description	Status	Created Date																		
Test 2	{\"LL13405-EMPLOYMENT-201806_Abaunion.xlsx\": [\"Sheet: EMPLOYMENT Cell: F9 value is required\"]}	Completed with Error(s)	01/11/2018 04:47:26 pm	<input type="button" value="View"/>																	
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SSSS	{\"16thVAHA LL02788-L 1.3-201809 FILE.xlsx\": [\"Form belongs to a different RE than the RE who ...\"]}	Completed with Error(s)	01/11/2018 04:35:12 pm	<input type="button" value="View"/>																	
2	Select the desired row and click View, it will flow to the detail page.																				

	<div style="border: 1px solid #ccc; padding: 10px;"> <div style="display: flex; justify-content: space-between; align-items: center;"> Excel Import Detail < Back </div> <div style="margin-top: 10px;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 20%;">Title</td><td>Test 2</td></tr> <tr><td>Created by</td><td>super@approver.com</td></tr> <tr><td>Created On</td><td>01/11/2018 04:47PM</td></tr> <tr><td>Status</td><td>Completed with Error(s)</td></tr> <tr><td>Error Description</td><td>{'LL13405-EMPLOYMENT-201806 Abaunion.xlsx':['Sheet: EMPLOYMENT Cell: F9 value is required']}</td></tr> </table> <p style="margin-top: 10px;">📎 Attachments (1)</p> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px; display: flex; align-items: center;"> LL13405-EMPLOYMENT-201806 Abaunion.xlsx </div> </div> </div>	Title	Test 2	Created by	super@approver.com	Created On	01/11/2018 04:47PM	Status	Completed with Error(s)	Error Description	{'LL13405-EMPLOYMENT-201806 Abaunion.xlsx':['Sheet: EMPLOYMENT Cell: F9 value is required']}
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Created by	super@approver.com										
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Status	Completed with Error(s)										
Error Description	{'LL13405-EMPLOYMENT-201806 Abaunion.xlsx':['Sheet: EMPLOYMENT Cell: F9 value is required']}										
3	<p>The result page shows the status and Error Description (if any).</p> <p>If there is no error encountered, the file data is uploaded and reflected in the Forms. Please go to the Submissions or Forms to view the results of the import task.</p>										

5.1.7 Forms

Step	Action								
1	Go to Forms menu. The comprehensive Forms page is launched.								
2	Filter according to the search fields below. Click Search button to view the results. <div style="border: 1px solid #ccc; padding: 10px; margin-top: 10px;"> <div style="display: flex; justify-content: flex-end; margin-bottom: 10px;"> Export Excel </div> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Title <input type="text"/></td> <td style="width: 25%;">Code <input type="text"/></td> <td style="width: 25%;">Calendar Year/Financial Year - Please Select - ▼</td> <td style="width: 25%;">Submission Period - Please Select - ▼</td> </tr> <tr> <td>Submission Type - Please Select - ▼</td> <td>End Date <input type="text"/></td> <td>Form Note - Please Select - ▼</td> <td>Status - Please Select - ▼</td> </tr> </table> <div style="margin-top: 10px;"> 🔍 Search </div> </div>	Title <input type="text"/>	Code <input type="text"/>	Calendar Year/Financial Year - Please Select - ▼	Submission Period - Please Select - ▼	Submission Type - Please Select - ▼	End Date <input type="text"/>	Form Note - Please Select - ▼	Status - Please Select - ▼
Title <input type="text"/>	Code <input type="text"/>	Calendar Year/Financial Year - Please Select - ▼	Submission Period - Please Select - ▼						
Submission Type - Please Select - ▼	End Date <input type="text"/>	Form Note - Please Select - ▼	Status - Please Select - ▼						
3	Select the desired form in the list and click View button								

Title

Code

Calendar Year/Financial Year
- Please Select - ▼

Submission Period
- Please Select - ▼

Submission Type
- Please Select - ▼

End Date

Form Note
- Please Select - ▼


Status
- Please Select - ▼

Form Batch ▼ Custom Search Search

Form List

Form Batch	Form Ref#	Calendar/FY	Code	Title	Date Description	Submitted Date	Status	
20180930-5545	MB4.2-180930-312961	Calendar Year	MB 4.2	Income Statement	For period: 01-Jul-2018 - 30-Sep-2018		New	<input type="button" value="View"/> <input type="button" value="Download"/>
20180930-5545	MB4.1-180930-.....	Calendar Year	MB 4.1	Financial Position	For period: 01-Jul-2018 - 30-.....		New	<input type="button" value="View"/> <input type="button" value="Download"/>

The Download Form icon allows user to download the particular form in one click.



4 Select the desired form and click View – this will flow to the Submission form which is covered in section 5.2 and 5.3





5.1.7.1 Download Excel

This feature is provided for users to download and save the Forms from the system. The forms can be downloaded with or without data.

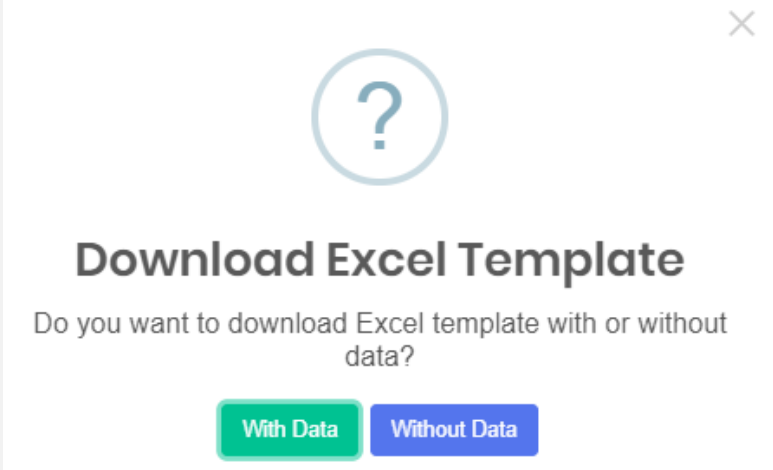
Reminder: please set your browser setting to ‘Allow Pop-up’ from this website.

Step	Action
1	Go to Submissions or Forms page
2	Select the desired item in the list and click Download Form icon

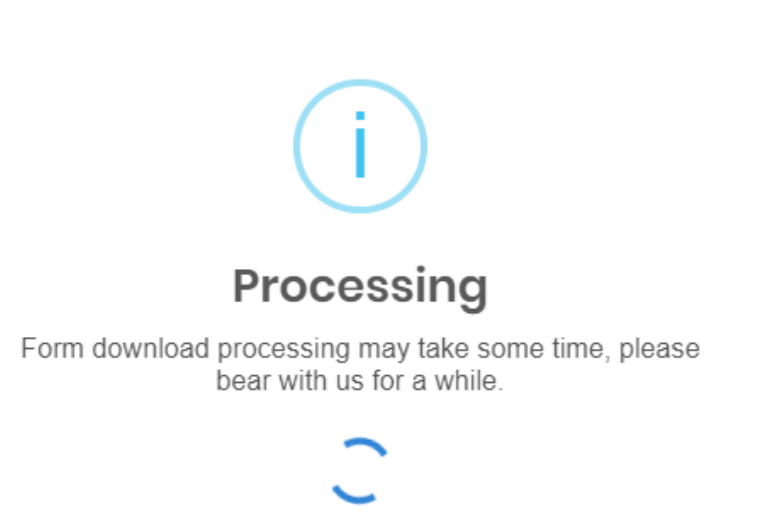


Form List								
Form Batch	Form Ref#	Calendar/FY	Code	Title	Date Description	Submitted Date	Status	
20180930-5545	MB4.2-180930-312961	Calendar Year	MB 4.2	Income Statement	For period: 01-Jul-2018 - 30-Sep-2018		New	 
20180930-5545	MB4.1-180930-312960	Calendar Year	MB 4.1	Financial Position	For period: 01-Jul-2018 - 30-Sep-2018		New	 
20180630-4999	SALARYCOMM-180630-310603	Calendar Year	SALARYCOMM	Salaries, wages and commissions	For period: 01-Jan-2018 - 30-Jun-2018		New	 
20180630-4999	AML-180630-310594	Calendar Year	AML	Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT)	For period: 01-Jan-2018 - 30-Jun-2018		Ready	 

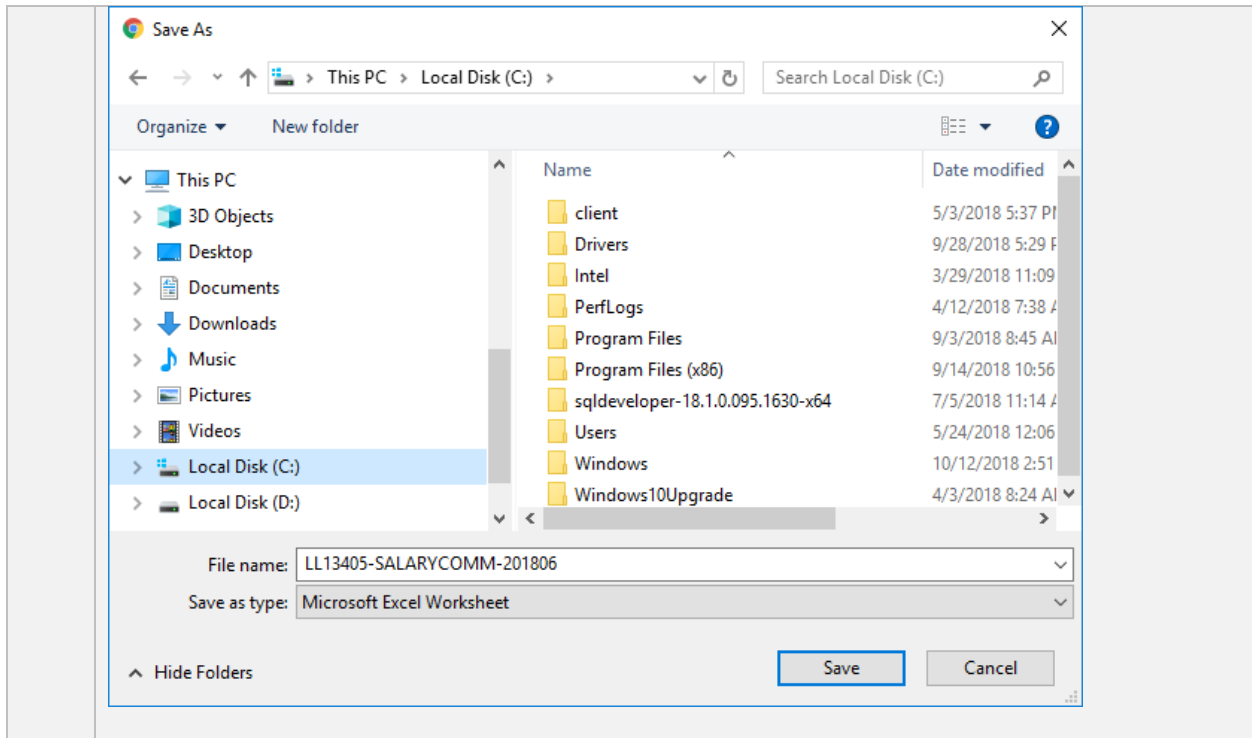
3 The confirmation screen pops up, please select With Data or Without Data.



4 The download processing screen pops up to show the download is in progress.



5 Once the file/s are ready for download, user will be prompted to save the file/s



5.2 Universal Forms

Universal forms are generally applicable to all Sectors.

5.2.1 Anti-Money Laundering and Counter Financing of Terrorism (AML_CFT)

Step	Action
1	Go to Submissions or Forms page to select the AML_CFT form - Anti-Money Laundering and Counter Financing of Terrorism (AML_CFT)
2	All fields are mandatory The figures must be equal or greater than zero

AML CFT

Anti-money Laundering And Counter Financing Of Terrorism

	Total
Number of customers from higher risk countries based on FATF/ the Government of Malaysia classification	0
Number of customers from higher risk countries if any, based on own classification	0
Number of foreign PEPs	0
Number of domestic PEPs and PEPFIO	0
Number of High Net Worth customers	0
Number of NPOs customers	0
Total of Inward International Fund Transfers (USD)	0
Total of Outward International Fund Transfers (USD)	0
Correspondent banking relationships in higher risk countries for ML/TF based on FATF/ the Government of Malaysia classification ⓘ	
Correspondent banking relationships in OTHER higher risk countries for ML/TF based on own classification ⓘ	

Follow the steps in topic 5.1.1 to submit the form

5.2.2 Report on Employment Statistics

Step	Action																																			
1	Go to Submissions or Forms page to select the Employment form																																			
2	<p>All fields are mandatory</p> <p>EMPLOYMENT</p> <p>Report on Employment Statistics</p> <table border="1"> <thead> <tr> <th>Position</th> <th>Number of Employee</th> <th>Resident Status</th> <th>Country of Origin</th> <th>Σ</th> </tr> </thead> <tbody> <tr> <td>TOTAL</td> <td>1</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Supervisory Staff</td> <td>1</td> <td>Non-Permanent Resident</td> <td>AMERICAN SAMOA</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Follow the steps in topic 5.1.1 to submit the form</p>	Position	Number of Employee	Resident Status	Country of Origin	Σ	TOTAL	1				Supervisory Staff	1	Non-Permanent Resident	AMERICAN SAMOA																					
Position	Number of Employee	Resident Status	Country of Origin	Σ																																
TOTAL	1																																			
Supervisory Staff	1	Non-Permanent Resident	AMERICAN SAMOA																																	

5.3 Financial Statement and Industry-Specific Forms

5.3.1 Bank Sector forms

The forms for Bank Sector are grouped according to category:

- Main Forms: the financial statement forms
- SMD Forms: Supervision and Monitoring forms (form code begins with 'SM')



Form Code	Form Title	Type	Frequency	Compulsory to fill?
FP	Financial Position		Monthly	
FP-01	Financial Position	Main form		Yes
FP-02	Deposit Placed and Reverse Repurchase Agreement with Banks and Other Financial Institutions	Sub form		Yes
FP-03	Pledged Securities under Repurchase Agreement	Sub form		Yes
FP-04	Financial Assets Designated as Fair Value Through Profit or Loss	Sub form		Yes
FP-05	Financial Assets Held for Trading	Sub form		Yes
FP-06	Held to Maturity Investments	Sub form		Yes
FP-07	Available for Sale Financial Assets	Sub form		Yes
FP-08	Loans/Financing and Advances	Sub form		Yes
FP-09	Loans/Financing and Advances - Details	Sub form		Yes
FP-10	Trade Receivables	Sub form		Yes
FP-11	Amount Due from Financial Institutions/Parent/Head Office/Related Parties	Sub form		Yes
FP-12	Investment in Properties by Location/Other Properties	Sub form		Yes
FP-13	Property, Plant and Equipment	Sub form		Yes
FP-14	Government Debt Securities in Nominal Value	Sub form		Yes
FP-15	Deposits Accepted by Customer Type	Sub form		Yes
FP-16	Deposits Accepted by Contract Type	Sub form		Yes
FP-17	Deposits Accepted by Customer and Maturity	Sub form		Yes
FP-18	Deposits Accepted by Number of Accounts	Sub form		Yes
FP-19	Amount Due to Financial Institutions/Parent/Head Office/Related Parties	Sub form		Yes
IS	Income statement		Monthly	
IS-01	Income Statement	Main form		Yes
IS-02	Other Comprehensive Income	Sub form		Yes


IS-03	Interest/Finance Income on Loans/Financing and Advances	Sub form		Yes
IS-04	Interest/Finance Income from Amount Due from Financial Institutions	Sub form		Yes
IS-05	Interest/Finance Income from Financial Assets Held for Trading/Held to Maturity/Available for Sale	Sub form		Yes
IS-06	Interest/Finance Expense on Deposits Accepted	Sub form		Yes
IS-07	Interest/Finance Expense on Amount Due to Financial Institutions	Sub form		Yes
IS-08	Administration Cost	Sub form		Yes
FP-IW	Financial Position-Islamic Window		Monthly	
FP-IW-01	Financial Position-Islamic Window	Main form		Yes
FP-IW-02	Financing and Advancing - IW			Yes
FP-IW-03	Deposits Accepted by Customer - IW			Yes
FP-IW-04	Deposits Accepted by Number of Accounts - IW			
IS-IW	Income Statement - Islamic Window		Monthly	
IS-IW-01	Income Statement	Main form		
IS-IW-02	Other Comprehensive Income			
CF	Statement of Cash Flows	Main form		
CE	Statement of Changes In Equity	Main form		
INV	Summary of Investment/Dealing Securities		Monthly	
INV	Summary of Investment/Dealing Securities	Main form		
SM.01	Statement of Complaints	Main form	Yearly	
SM.02	List of Exposure to a Single Counter Party or Group of Connected Counter Party	Main form	Half Yearly	
SM.03	Top 20 Group and Individual Borrowers Listing	Quarterly		
SM.03-01	Top 20 Group Borrowers	Main form		
SM.03-02	Top 20 Individual Borrowers	Sub form		

SM.04	Top 10 Impaired Loans/Financing Listing	Main form	Quarterly
SM.05	Top 10 Private Debt Securities (PDS) Listing	Main form	Quarterly
SM.06	Top 10 Investments Listing	Main form	Quarterly
SM.07	Top 5 Non-Investment-Grade Below BBB Listing	Main form	Quarterly
SM.08	Top 10 Non Performing Investments Listing	Main form	Quarterly
SM.09	Top 20 Depositors Listing	Main form	Quarterly
SM.10	Credit Transaction and Exposure with Connected Parties	Main form	Quarterly
SM.11	Top 10 Potential Problem Loans		Quarterly
SM.11-01	Top 10 Potential Problems Loan - Month in arrears (MIA)	Main form	
SM.11-02	Top 10 Potential Problems Loan - Watchlist	Sub form	
SM.11-03	Top 10 Potential Problems Loan - Restructuring and Reschedule Listing	Sub form	
SM.12	Dealing and Investment Securities		Quarterly
SM.12-01	HFT Dealing Securities Listing	Main form	
SM.12-02	AFS Investment Securities Listing	Sub form	
SM.12-03	HFT Investment Securities Listing	Sub form	
SM.12-04	AFS Dealing Securities Listing	Sub form	
RemVol	Remittance Volume (Customers Remittance Only)		Quarterly
Keystat	Selected Key Statistics of Labuan Banks	Main form	Quarterly
TC	Total Commitments and Contingencies		Monthly
TC-01	Total Commitments and Contingencies	Main form	
TC-02	Credit Commitments by Maturity	Sub form	
TC-03	Total Commitments and Contingencies - Interest Rate Related Contract	Sub form	
TC-04	Total Commitments and Contingencies - - Derivatives Type Details	Sub form	
TC-IW	Total Commitments and Contingencies – Islamic Window	Monthly	

TC-IW-01	Total Commitments and Contingencies - IW	Main form	
TC-IW-02	Credit Commitments by Maturity - IW	Sub form	
TC-IW-03	Total Commitments and Contingencies - Interest Rate Related Contract - IW	Sub form	
TC-IW-04	Total Commitments and Contingencies - Derivatives Type Details - IW	Sub form	


5.3.1.1 Financial Position

Follow the below steps to fill in the submission form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the FP forms. Click View icon.
2	<p>The main form is FP-01. All fields are mandatory in main form and sub forms</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

5.3.1.2 Income Statement

Financial Position form has to be submitted prior to submitting Income Statement form. Follow the below steps to fill in the submission forms:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the IS forms. Click View icon.
2	<p>Fill in the form below – main form IS-01 and the sub forms as required</p>  <p>The screenshot shows a form titled 'Income Statement' with a table. The table has two columns: 'USD' and a column for values. The values are mostly 0. The rows are: Continuing Operations, Net Interest/Finance, Interest/Finance Income, Interest/Finance Income from Loans/Financing and Advances, Interest/Finance Income from Amount Due from Financial Institutions, Interest/Finance Income from Financial Assets Measured at FVTPL, Interest/Finance Income from Financial Assets Measured at Amortised Cost, Interest/Finance Income from Instruments at FVOCI, Interest/Finance Income from Financial Assets Designated as Fair Value Through Profit or Loss, Other Interest/Finance Income, and Accretion of Discount on Securities.</p> <p>Follow the steps in topic 5.1.1 to submit the form</p>

5.3.1.3 Financial Position-Islamic Window

Follow the below steps to fill in the submission forms:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Financial Position-Islamic Window (FP-IW). Click View icon.

2 Fill in the form below – main form- FP-IW-01.

FP-IW-01 FP-IW-02 FP-IW-03 FP-IW-04

Financial position-islamic window

	USD
TOTAL ASSETS	0
Cash and Cash Equivalents	0
Cash and Balances with Banks and Other Financial Institutions	
Short Term Deposits	0
Money at Call	
Money Market	
Specific Investment Accounts Placed with Remaining Maturity Less Than or Equal to 3 Months	
General Investment Accounts Placed with Remaining Maturity Less Than or Equal to 3 Months	
Other Short Term Deposits	
Other Cash and Cash Equivalents	
Deposits Placed	
Financial Investment	0
Pledged Securities under Repurchase Agreement	
Financial Assets Designated as Fair Value Through Profit or Loss	

Save as Draft Save Check Download Excel

Follow the steps in topic 5.1.1 to submit the form

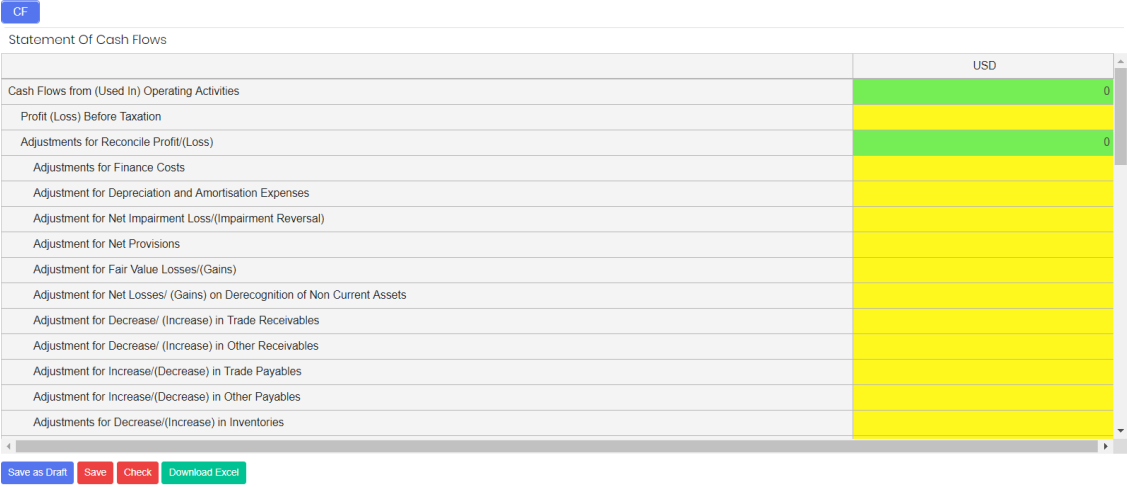
5.3.1.4 Income Statement-Islamic Window

Follow the below steps to fill in the submission forms:

Step	Action																														
1	Go to menu Submissions or Forms. Filter the list to select the Income Statement-Islamic Window (IS-IW). Click View icon.																														
2	<p>Fill in the form below – main form- IS-IW-01.</p> <p>IS-IW-01 IS-IW-02</p> <p>Income Statement</p> <table border="1"> <thead> <tr> <th></th> <th>USD</th> </tr> </thead> <tbody> <tr> <td>Continuing Operations</td> <td></td> </tr> <tr> <td>Net Finance</td> <td>0</td> </tr> <tr> <td>Finance Income</td> <td>0</td> </tr> <tr> <td>Finance Income from Loans/Financing and Advances</td> <td></td> </tr> <tr> <td>Finance Income from Amount Due from Financial Institutions</td> <td></td> </tr> <tr> <td>Finance Income from Financial Assets Measured at FVTPL</td> <td></td> </tr> <tr> <td>Finance Income from Financial Assets Measured at Amortised Cost</td> <td></td> </tr> <tr> <td>Finance Income from Instruments at FVOCI</td> <td></td> </tr> <tr> <td>Finance Income from Financial Assets Designated as Fair Value Through Profit or Loss</td> <td></td> </tr> <tr> <td>Other Finance Income</td> <td>0</td> </tr> <tr> <td>Accretion of Discount on Securities</td> <td></td> </tr> <tr> <td>Miscellaneous Other Finance Income</td> <td></td> </tr> <tr> <td>(-) Finance Expense</td> <td>0</td> </tr> <tr> <td>Finance Expense on Deposits Accepted</td> <td></td> </tr> </tbody> </table> <p>Save as Draft Save Check Download Excel</p> <p>Follow the steps in topic 5.1.1 to submit the form</p>		USD	Continuing Operations		Net Finance	0	Finance Income	0	Finance Income from Loans/Financing and Advances		Finance Income from Amount Due from Financial Institutions		Finance Income from Financial Assets Measured at FVTPL		Finance Income from Financial Assets Measured at Amortised Cost		Finance Income from Instruments at FVOCI		Finance Income from Financial Assets Designated as Fair Value Through Profit or Loss		Other Finance Income	0	Accretion of Discount on Securities		Miscellaneous Other Finance Income		(-) Finance Expense	0	Finance Expense on Deposits Accepted	
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Miscellaneous Other Finance Income																															
(-) Finance Expense	0																														
Finance Expense on Deposits Accepted																															

5.3.1.5 Statement of Cash Flow

Financial Position form has to be submitted prior to submitting this form.
Follow the below steps to fill in the submission forms:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Statement of Cash Flows form. Click View icon.
2	<p>Fill in the form below – main form-CF.</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

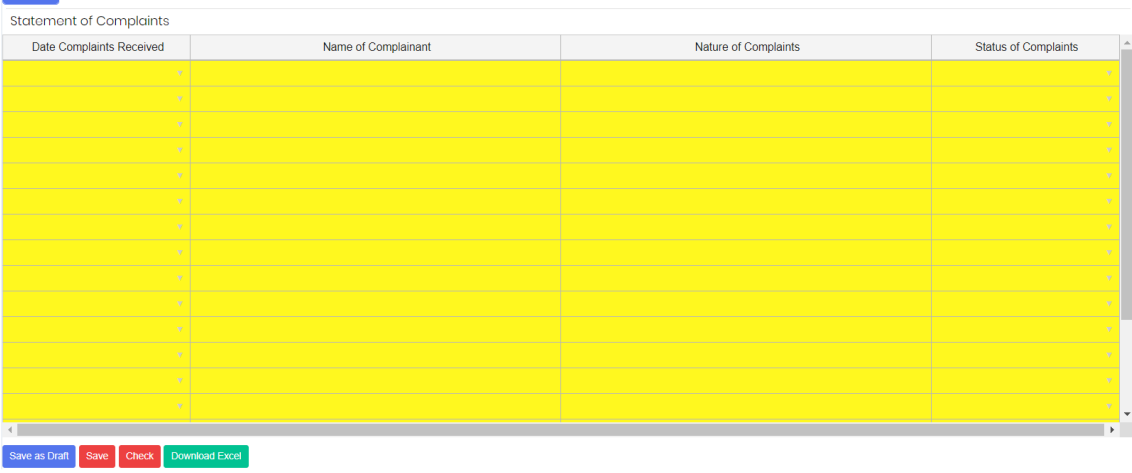
5.3.1.6 Statement of Changes in Equity

Financial Position form has to be submitted prior to submitting this form.
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Statement of Changes In Equity form. Click View icon.
2	Fill in the form below – main form- CE.

5.3.1.8 Statement of Complaints

Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.01 form. Click View icon.
2	<p>Fill in the form below – main form-SM.01.</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

5.3.1.9 List of Exposure to a Single Counter Party or Group of Connected Counter Party

Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.02 form. Click View icon.
2	Fill in the form below – main form-SM.02.

SM.02

List of Exposure to a Single Counter Party or Group of Connected Counter Party

Single Counterparty Name	Type of Exposure	Country of Exposure	Sector	Outstanding Balance (USD)	Tenure	Maturity

Save as Draft Save Check Download Excel

Follow the steps in topic 5.1.1 to submit the form

5.3.1.10 Top 20 Group and Individual Borrowers Listing

Follow the below steps to fill in the form:

Step	Action																																																																																																																								
1	<p>Go to menu Submissions or Forms. Filter the list to select the SM.03 form. Click View icon.</p>																																																																																																																								
2	<p>Fill in the form below – main form-SM.03-01 and sub form if necessary.</p> <p>SM.03-01 SM.03-02</p> <p>Top 20 Group Borrowers</p> <table border="1"> <thead> <tr> <th>No</th> <th>Group Borrower's Name</th> <th>Amount Outstanding (USD)</th> <th>Approved Limit</th> <th>Sector</th> <th>Country Of Borrower</th> <th>Country of Exposure</th> <th>E</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>8</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>9</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>10</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>11</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>12</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>13</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>14</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <p>Save as Draft Save Check Download Excel</p> <p>Follow the steps in topic 5.1.1 to submit the form</p>	No	Group Borrower's Name	Amount Outstanding (USD)	Approved Limit	Sector	Country Of Borrower	Country of Exposure	E	1								2								3								4								5								6								7								8								9								10								11								12								13								14							
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5.3.1.11 Top 10 Impaired Loans/Financing Listing
Follow the below steps to fill in the form:

Step	Action																																																												
1	Go to menu Submissions or Forms. Filter the list to select the SM.04 form. Click View icon.																																																												
2	<p>Fill in the form below – main form-SM.04.</p> <div style="border: 1px solid #ccc; padding: 5px;"> <p>SM 04</p> <p>Top 10 Impaired Loans/Financing Listing</p> <table border="1"> <thead> <tr> <th>No</th> <th>Borrower's Name</th> <th>Outstanding Balance (USD)</th> <th>Sector</th> <th>Reason of Classification</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td><td></td><td></td></tr> <tr><td>8</td><td></td><td></td><td></td><td></td></tr> <tr><td>9</td><td></td><td></td><td></td><td></td></tr> <tr><td>10</td><td></td><td></td><td></td><td></td></tr> <tr> <td>TOTAL</td> <td></td> <td style="background-color: #90EE90;">0</td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: right; margin-top: 10px;"> Save as Draft Save Check Download Excel </p> </div> <p>Follow the steps in topic 5.1.1 to submit the form</p>	No	Borrower's Name	Outstanding Balance (USD)	Sector	Reason of Classification	1					2					3					4					5					6					7					8					9					10					TOTAL		0		
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8																																																													
9																																																													
10																																																													
TOTAL		0																																																											

5.3.1.12 Top 10 Private Debt Securities (PDS) Listing
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.05 forms. Click View icon.
2	Fill in the form below – main form SM.05.

SM.05

Top 10 Private Debt Securities (PDS) Listing

	Issuer/ Counterparty	Amount (USD)
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

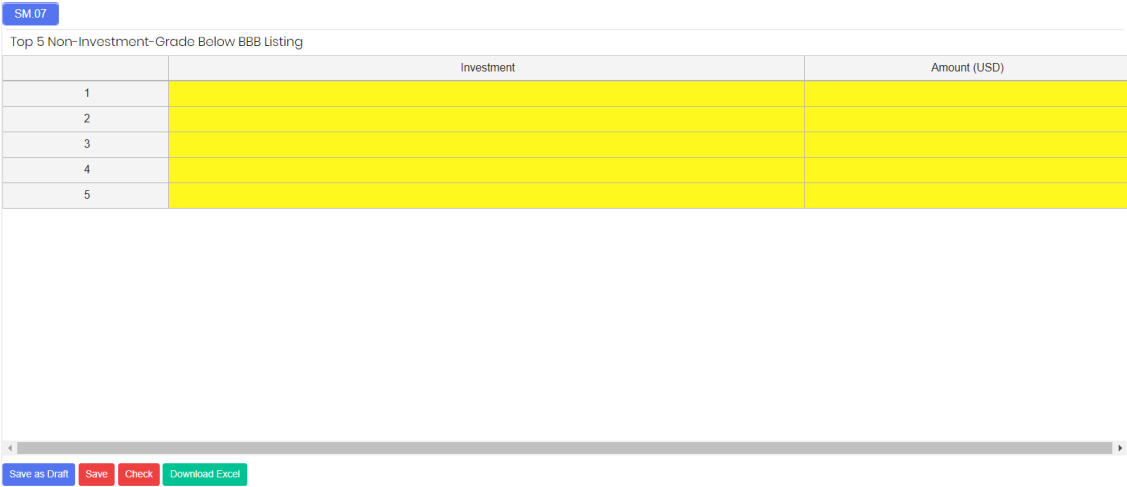
Save as Draft Save Check Download Excel

Follow the steps in topic 5.1.1 to submit the form

5.3.1.13 Top 10 Investments Listing
 Follow the below steps to fill in the form:

Step	Action																																	
1	Go to menu Submissions or Forms. Filter the list to select the SM.06 form. Click View icon.																																	
2	Fill in the form below – main form SM.06. <div style="border: 1px solid #ccc; padding: 5px;"> <p>SM.06</p> <p>Top 10 Investments Listing</p> <table border="1"> <thead> <tr> <th></th> <th>Investment</th> <th>Amount (USD)</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td></tr> <tr><td>8</td><td></td><td></td></tr> <tr><td>9</td><td></td><td></td></tr> <tr><td>10</td><td></td><td></td></tr> </tbody> </table> <p>Save as Draft Save Check Download Excel</p> </div> <p>Follow the steps in topic 5.1.1 to submit the form</p>		Investment	Amount (USD)	1			2			3			4			5			6			7			8			9			10		
	Investment	Amount (USD)																																
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6																																		
7																																		
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9																																		
10																																		

5.3.1.14 Top 5 Non-Investment-Grade Below BBB Listing
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.07 forms. Click View icon.
2	<p>Fill in the form below – main form-SM.07.</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

5.3.1.15 Top 10 Non Performing Investments Listing
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.08 form. Click View icon.
2	Fill in the form below – main form SM.08.

SM.08

Top 10 Non Performing Investments Listing

	Investment	Amount (USD)
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

Save as Draft Save Check Download Excel

Follow the steps in topic 5.1.1 to submit the form

5.3.1.16 Top 20 Depositors Listing
Follow the below steps to fill in the form:

Step	Action																																																																																																									
1	Go to menu Submissions or Forms. Filter the list to select the SM.09 form. Click View icon.																																																																																																									
2	<p>Fill in the form below – main form-SM.09.</p> <p>SM.09</p> <p>Top 20 depositors listing</p> <table border="1"> <thead> <tr> <th></th> <th>Depositor</th> <th>Nationality</th> <th>Type of Depositor</th> <th>Type of Deposit</th> <th>Amount (Original Currency)</th> <th>Conversion in L</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>8</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>9</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>10</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>11</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>12</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>13</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>14</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <p>Save as Draft Save Check Download Excel</p> <p>Follow the steps in topic 5.1.1 to submit the form</p>		Depositor	Nationality	Type of Depositor	Type of Deposit	Amount (Original Currency)	Conversion in L	1							2							3							4							5							6							7							8							9							10							11							12							13							14						
	Depositor	Nationality	Type of Depositor	Type of Deposit	Amount (Original Currency)	Conversion in L																																																																																																				
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5.3.1.17 Credit Transaction and Exposure with Connected Parties
Follow the below steps to fill in the form:

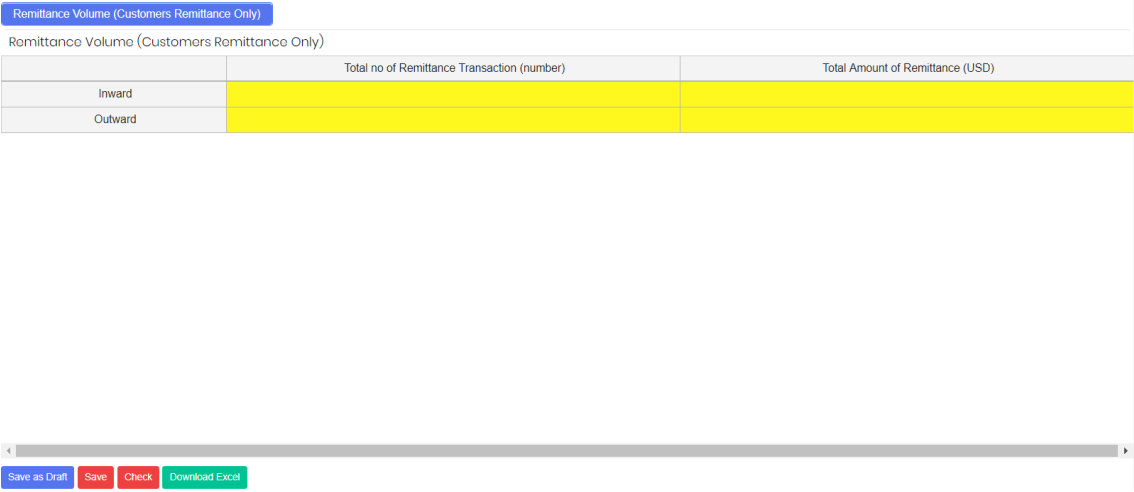
Step	Action																																			
1	Go to menu Submissions or Forms. Filter the list to select the SM.10 form. Click View icon.																																			
2	<p>Fill in the form below – main form-SM.10.</p> <div style="border: 1px solid #ccc; padding: 5px;"> <p style="margin: 0;">SM.10</p> <p style="margin: 0; font-size: small;">Credit Transaction and Exposure with Connected Parties</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 10%;">Total Outstanding Value (USD)</th> <th style="width: 10%;">Total Number of Connected Party Accounts/Counterparty</th> <th style="width: 10%;">Total Exposure (Total Outstanding + Unutilised Limit) (USD)</th> <th style="width: 10%;">Total Credit Exposure which is Non Performing or Indefault (USD)</th> </tr> </thead> <tbody> <tr> <td>Credit facility & leasing (except guarantee)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Off-balance sheet exposures ⓘ</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Equities and Private Debt Securities held</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>TOTAL</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Total exposure to connected parties as % of capital base (max to 100%)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Total exposure to connected parties as % of total outstanding credit exposures (max 25%)</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p style="margin-top: 10px; font-size: small;"> Save as Draft Save Check Download Excel </p> </div> <p>Follow the steps in topic 5.1.1 to submit the form</p>		Total Outstanding Value (USD)	Total Number of Connected Party Accounts/Counterparty	Total Exposure (Total Outstanding + Unutilised Limit) (USD)	Total Credit Exposure which is Non Performing or Indefault (USD)	Credit facility & leasing (except guarantee)					Off-balance sheet exposures ⓘ					Equities and Private Debt Securities held					TOTAL	0	0	0	0	Total exposure to connected parties as % of capital base (max to 100%)					Total exposure to connected parties as % of total outstanding credit exposures (max 25%)				
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TOTAL	0	0	0	0																																
Total exposure to connected parties as % of capital base (max to 100%)																																				
Total exposure to connected parties as % of total outstanding credit exposures (max 25%)																																				

5.3.1.18 Top 10 Potential Problem Loans
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.11 forms. Click View icon.

5.3.1.20 Remittance Volume

Follow the below steps to fill in the form:

Step	Action
1	<p>Go to menu Submissions or Forms. Filter the list to select the Remittance Volume forms. Click View icon.</p>
2	<p>Fill in the form below – main form Remittance Volume (Customers Remittance Only)</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

5.3.1.21 Selected Key Statistics of Labuan Banks

Follow the below steps to fill in the form:

Step	Action
1	<p>Go to menu Submissions or Forms. Filter the list to select the Keystat form. Click View icon.</p>
2	<p>Fill in the form below – main form- Keystat.</p>

Keystat


Selected Key Statistics of Labuan Banks

Key statistics	Status of Customer	Details (applicable for Derivatives only)	Type of Instruments (applicable for Derivatives only)	Currency	Outstanding FC amount	USD equivalent

Save as Draft Save Check Download Excel

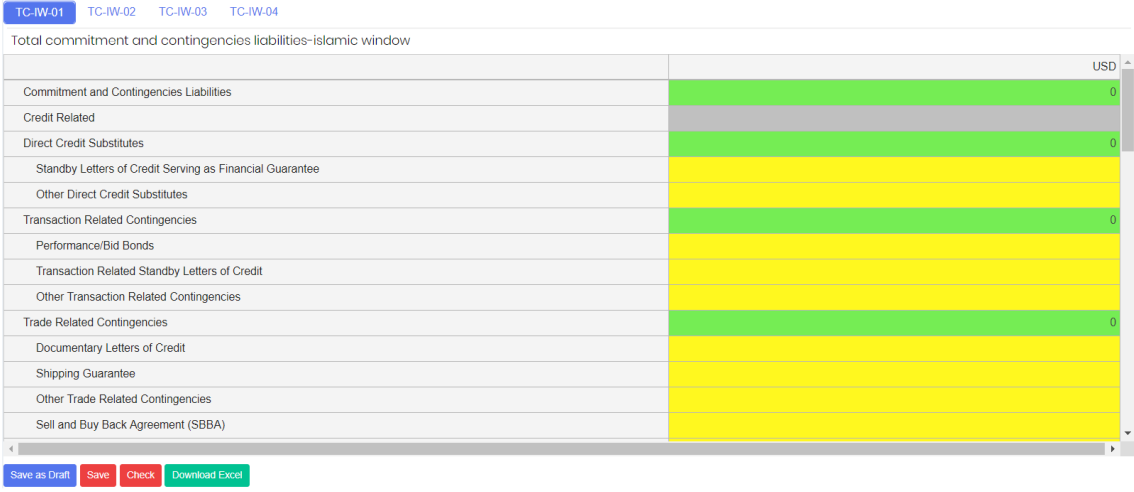
Follow the steps in topic 5.1.1 to submit the form

5.3.1.22 Total Commitments And Contingencies
 Follow the below steps to fill in the form:

Step	Action																												
1	Go to menu Submissions or Forms. Filter the list to select the Purchase/Received Foreign Currency form. Click View icon.																												
2	Fill in the form below – main form-TC-01 and sub forms if necessary.  <p>Commitments and Contingencies Liabilities</p> <table border="1"> <thead> <tr> <th>COMMITMENTS AND CONTINGENCIES LIABILITIES</th> <th>USD</th> </tr> </thead> <tbody> <tr><td>Credit Related</td><td></td></tr> <tr><td>Direct Credit Substitutes</td><td>0</td></tr> <tr><td>Standby Letters of Credit Serving as Financial Guarantee</td><td></td></tr> <tr><td>Other Direct Credit Substitutes</td><td></td></tr> <tr><td>Transaction Related Contingencies</td><td>0</td></tr> <tr><td>Performance/Bid Bonds</td><td></td></tr> <tr><td>Transaction Related Standby Letters of Credit</td><td></td></tr> <tr><td>Other Transaction Related Contingencies</td><td></td></tr> <tr><td>Trade Related Contingencies</td><td>0</td></tr> <tr><td>Documentary Letters of Credit</td><td></td></tr> <tr><td>Shipping Guarantee</td><td></td></tr> <tr><td>Other Trade Related Contingencies</td><td></td></tr> <tr><td>Sell and Buy Back Agreement (SBBA)</td><td></td></tr> </tbody> </table> <p>Save as Draft Save Check Download Excel</p>	COMMITMENTS AND CONTINGENCIES LIABILITIES	USD	Credit Related		Direct Credit Substitutes	0	Standby Letters of Credit Serving as Financial Guarantee		Other Direct Credit Substitutes		Transaction Related Contingencies	0	Performance/Bid Bonds		Transaction Related Standby Letters of Credit		Other Transaction Related Contingencies		Trade Related Contingencies	0	Documentary Letters of Credit		Shipping Guarantee		Other Trade Related Contingencies		Sell and Buy Back Agreement (SBBA)	
COMMITMENTS AND CONTINGENCIES LIABILITIES	USD																												
Credit Related																													
Direct Credit Substitutes	0																												
Standby Letters of Credit Serving as Financial Guarantee																													
Other Direct Credit Substitutes																													
Transaction Related Contingencies	0																												
Performance/Bid Bonds																													
Transaction Related Standby Letters of Credit																													
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Trade Related Contingencies	0																												
Documentary Letters of Credit																													
Shipping Guarantee																													
Other Trade Related Contingencies																													
Sell and Buy Back Agreement (SBBA)																													

Follow the steps in topic 5.1.1 to submit the form


5.3.1.23 Total Commitment and Contingencies - Islamic Window
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the TC-IW form. Click View icon.
2	<p>Fill in the form below – main form- TC-IW-01.</p>  <p>Follow the steps in topic 5.1.1 to submit the form</p>

6 Extension of Time

6.1 Objective

RE User is allowed to request for Extension if the RE is not able to submit before/on the due date. A standard processing fee is charged by LabuanFSA for an extension of request, and payment must be made prior to the request. The proof of payment document MUST be uploaded in the portal in order to proceed with extension request.

 The application for an extension of time will be closed three days before the due date, in example, the system will not allow any application for extension on 13th of January if the Due Date falls on 15th of January.

The status of extension is described as the followings:

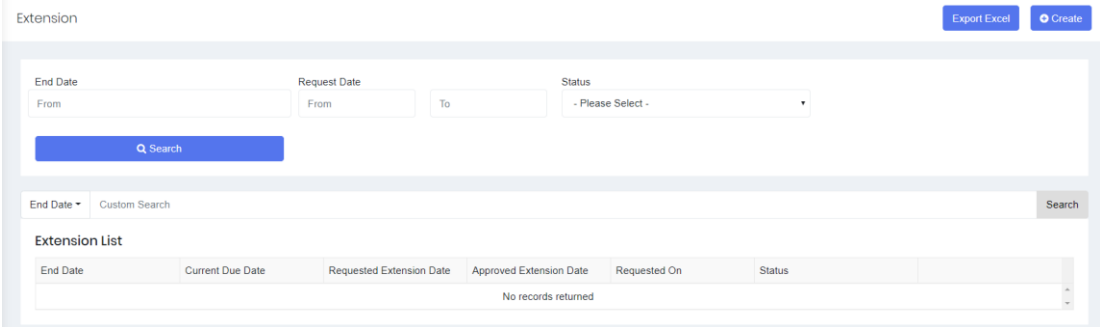
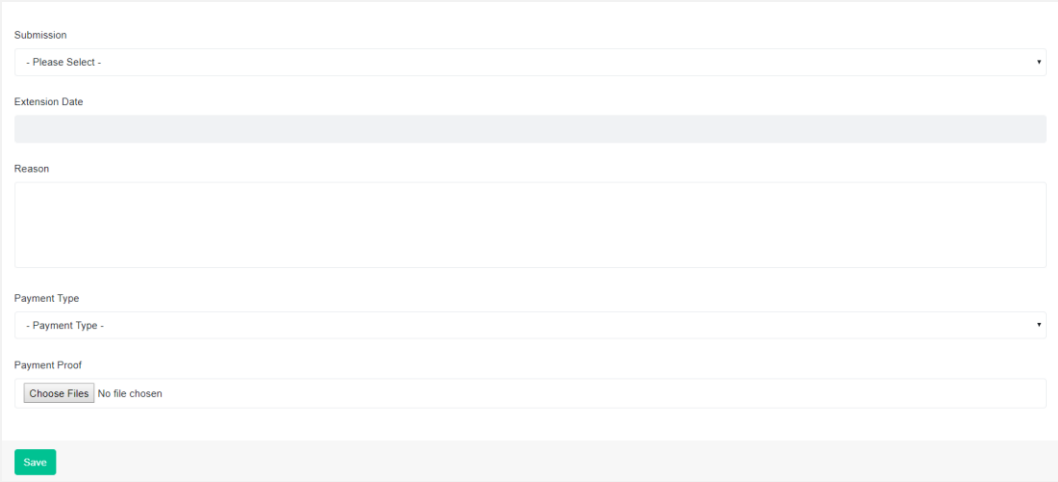
Status	Description
Paid	A new Extension request is received and processing fee is paid
In Progress	The application is being processed by the processing officer
Approved	The application is approved by HOU

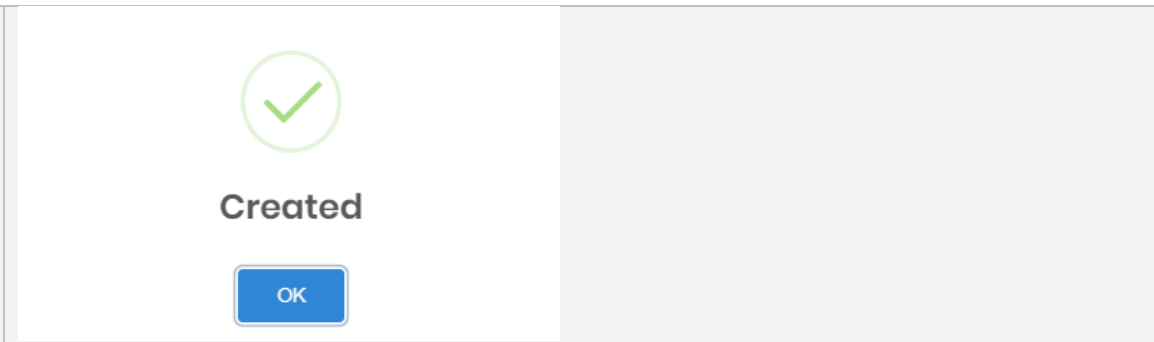
Rejected

The application is approved by HOU

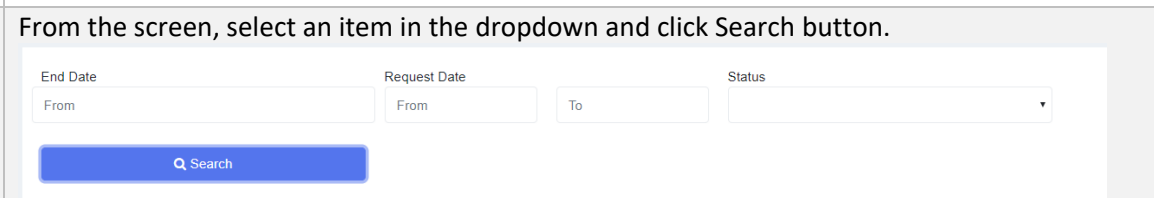
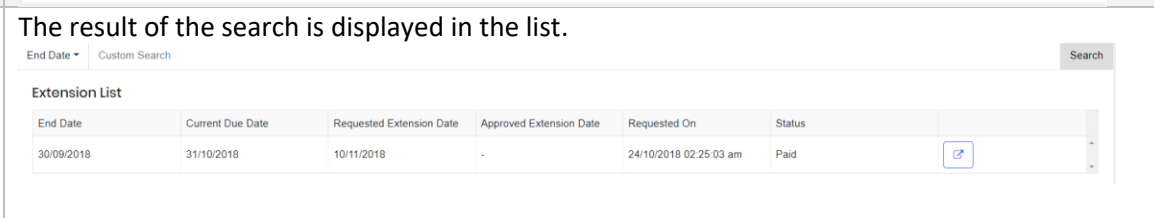
6.2 How to Request for An Extension of Time

a) Create Extension

Step	Action
1	From the menu, select Extension.
2	Click Create button 
3	Fill in the mandatory fields. 
4	Click Save button.
5	A pop-up notification will appear to indicate save is successful.

	
6	A system-generated email will be sent to IRU to notify of the Extension request.

b) Search/Filter Extension

Step	Action
1	From the screen, select an item in the dropdown and click Search button. 
2	The result of the search is displayed in the list. 

c) Extension Approval/Rejection

Step	Action
1	User will receive an email notification to indicate if the application is approved.



Extension Approval

Dear Super RE Approver,
your extension request as follow,

Company Number : LL 018018
Company Name : A Aunion Limited
Requested Date : 30/10/2018
Extension Status : Approved
Extension Approval Date : 28/11/2018

Please use the button below to login to your account.
Thank you.

[Click Here](#)

2 Take note of the Due Date of the submission forms are changed following the Extension Approval Date.

Extension [Export Excel](#) [+ Create](#)

End Date Request Date To Status

[Q Search](#)

End Date Custom Search

Extension List

End Date	Current Due Date	Requested Extension Date	Approved Extension Date	Requested On	Status	
30/09/2018	28/11/2018	30/11/2018	28/11/2018	30/10/2018 11:36:27 am	Approved	View
30/09/2018	28/11/2018	10/11/2018	-	24/10/2018 02:25:03 am	Paid	View

3 Select the desired row and click View to view the detail of the approved application.

Extension Request Detail
← Back

Approved

RE Name	Abaunion Limited
Requester	Super RE Approver
Request Date Time	30/10/2018 11:36AM
Request Extension Date	30/11/2018
Submission ID	20180930-5545
End Date	30/09/2018
Calendar/FY End	Calendar Year


Reason

Please extend

7 Query

7.1 Objective

A Query is raised based on data discrepancies or variance differences in the submission forms. RE User will receive query notification via email and is responsible to provide an answer or reply within a specific time frame via this module.

 There are two types of Query

- i. System generated Query that is triggered automatically when the form failed data validation
- ii. Manual Query raised by IRU Officer

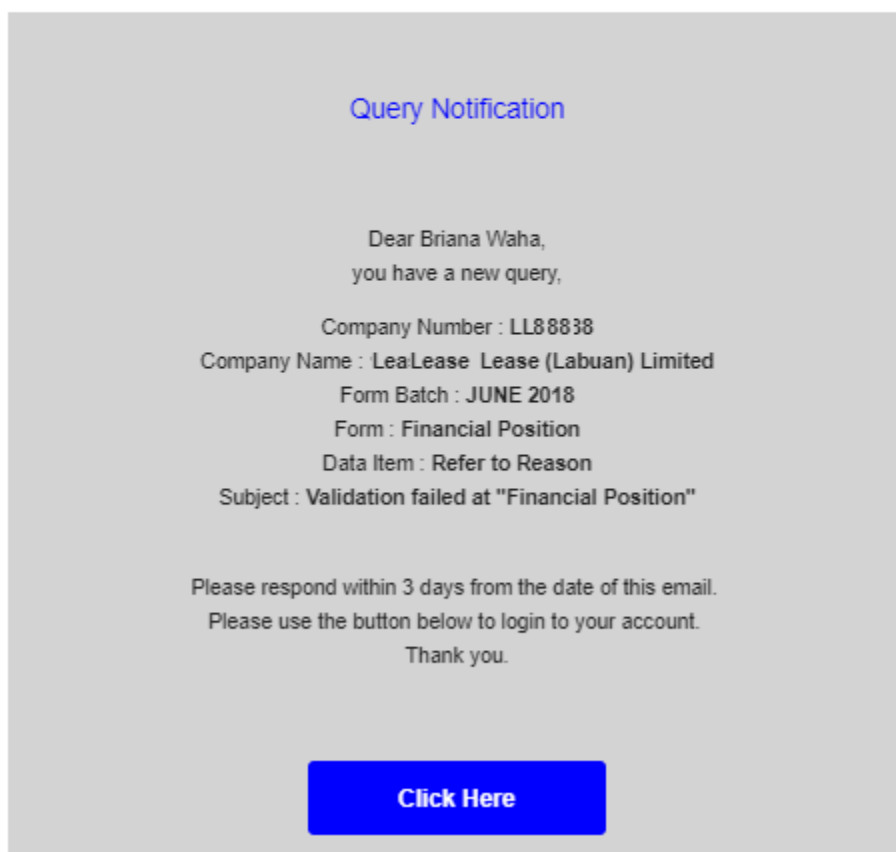
IRU will review the reply and may decide to close the Query, or to instruct RE to resubmit the affected form/s. If the RE has to resubmit the form/s, this process will be handled in Resubmission module.

The status of Query is described as the followings:

Status	Description
New	A new query has just been raised

Responded	The query is responded (either by RE User or IRU)
Closed	The query is closed by IRU
Open	The query that was closed previously, is now opened by IRU
Closed with Resubmission	The query is closed by IRU, however RE User is required to apply for a resubmission for the selected form/s

Below is the sample of auto-generated email of query notification:



7.2 How to Use Query

a) Search/Filter Query

Step	Action
------	--------

1 From the screen, select an item in the dropdown and click Search button.

Query Ref# Date of Query From To Date of Reply From To Date of Settlement From To

Created By Data item Status - Please Select -

Q Search

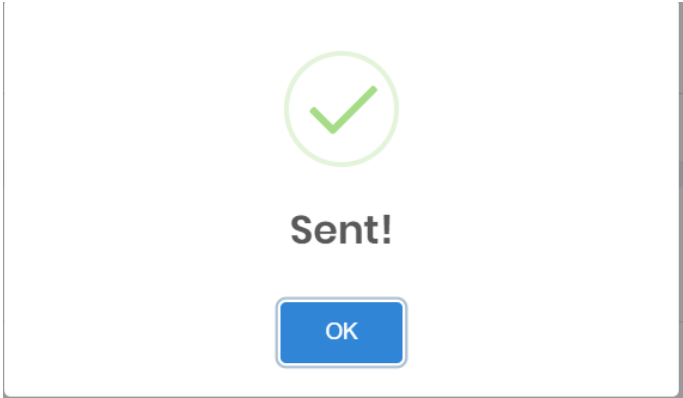
2 The result of the search is displayed in the list.

Query List

Query Ref#	Subject	Data item	Created By	Query Date	Reply Date	Settle Date	Status	
476	Validation failed at "Salaries, wages and commissions"	Refer to Reason - 20180630-4619 - Salaries, wages and commissions	system	09/11/2018 06:15:15 pm	-		New	
475	Validation failed at "Salaries, wages and commissions"	Refer to Reason - 20180630-4619 - Salaries, wages and commissions	system	09/11/2018 06:15:15 pm	-		New	
474	Validation failed at "Financial Position"	Refer to Reason - 20180630-4619 - Financial Position	system	09/11/2018 06:15:14 pm	-		New	

b) Reply Query

Step	Action																		
1	<p>Select a row from Query tab and click View Record icon.</p> <div style="border: 1px solid #ccc; padding: 10px; margin: 10px 0;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Query Ref#</th> <th>Subject</th> <th>Data item</th> <th>Created By</th> <th>Query Date</th> <th>Reply Date</th> <th>Settle Date</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>476</td> <td>Validation failed at "Salaries, wages and commissions"</td> <td>Refer to Reason - 20180630-4619 - Salaries, wages and commissions</td> <td>system</td> <td>09/11/2018 06:15:15 pm</td> <td>-</td> <td></td> <td>New</td> <td></td> </tr> </tbody> </table> </div>	Query Ref#	Subject	Data item	Created By	Query Date	Reply Date	Settle Date	Status		476	Validation failed at "Salaries, wages and commissions"	Refer to Reason - 20180630-4619 - Salaries, wages and commissions	system	09/11/2018 06:15:15 pm	-		New	
Query Ref#	Subject	Data item	Created By	Query Date	Reply Date	Settle Date	Status												
476	Validation failed at "Salaries, wages and commissions"	Refer to Reason - 20180630-4619 - Salaries, wages and commissions	system	09/11/2018 06:15:15 pm	-		New												
2	<p>Key in your reply and upload file if necessary.</p> <div style="border: 1px solid #ccc; padding: 10px; margin: 10px 0;"> <p>Your Reply</p> <p style="border: 1px solid #ccc; padding: 5px; min-height: 40px;">Enter your reply</p> <p>Choose File No file chosen</p> <p style="text-align: center;">Reply</p> </div>																		
3	<p>Click Reply button to send.</p>																		

4	<p>A pop-up notification will appear to indicate the reply is sent.</p> 
5	<p>The communication trail is recorded in the system until IRU decides to close the Query.</p>

8 Resubmission

8.1 Objective

RE User may apply for resubmission to submit forms that are required to be resubmitted due to:

- Audit requirement
- Error correction
- Other reason

Once a Resubmission request is raised by user, IRU will receive a notification via email. IRU Officer will be responsible to review the request and to decide whether the procession fee shall be applied or waived. A system-generated email will be sent to RE User once the result of Resubmission request is approved by IRU.

The form/s will have to be submitted via the portal before the due date.

8.2 How to Apply for Resubmission

a) Create Resubmission

Step	Action
1	From the menu, select Resubmission.
2	Click Create button.

Resubmission Export Excel + Create

Request Date Status

From To - Please Select - ▼

🔍 Search

3 **Only for Bank sector**, a pop up appears to prompt selection of Category of form.

Main Forms consists of all the financial statements forms while SMD forms consists of Supervision and Monitoring forms.

Select Forms Category

Category

- Select -

Main Forms

SMD Forms

Select

4 Fill in the required search criteria – Year, Month, Form Code, Form Name and Calendar/FYE. Click Search button to retrieve the forms.

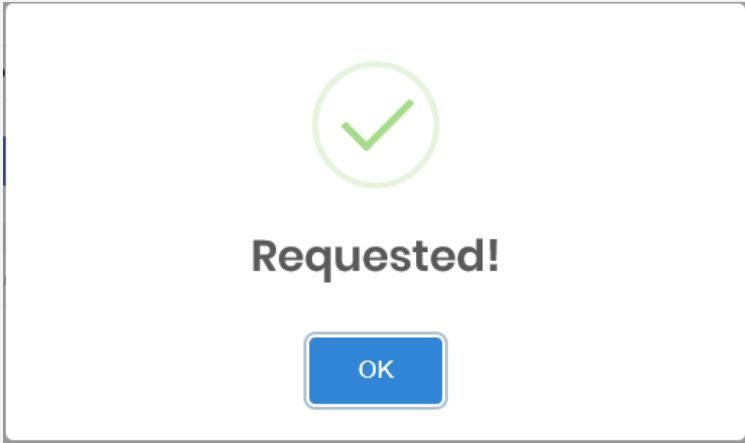
Year Month Code Form Name Calendar / FYE ▼

🔍 Search

<input type="checkbox"/>	Calendar / FYE	Period Ending	Code	Form
<input type="checkbox"/>	Calendar Year	31/12/2017	AML	Anti-Money Laundering and Counter Financing of Terrorism (AML/CFT)
<input type="checkbox"/>			AML	Anti-money laundering and counter financing of terrorism (AML/CFT)
<input type="checkbox"/>	Calendar Year	31/12/2017	EMPLOYMENT	Report On Employment Statistics
<input type="checkbox"/>			EMPLOYMENT	Report on Employment Statistics
<input type="checkbox"/>	Calendar Year	31/12/2017	L 1.1	Financial Position

5 Select the form/s to be resubmitted and click ADD button. Fill in the mandatory fields - Data Item, Requested Resubmission Date and Reason.



	<table border="1"> <thead> <tr> <th>Calendar Year</th> <th>31/12/2017</th> <th>L 1.2</th> <th>Income Statement</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td></td> <td>L 1.2-01</td> <td>Profit & loss</td> </tr> <tr> <td><input type="checkbox"/></td> <td></td> <td>L 1.2-02</td> <td>Other operating income</td> </tr> <tr> <td><input type="checkbox"/></td> <td></td> <td>L 1.2-03</td> <td>Other income</td> </tr> <tr> <td><input type="checkbox"/></td> <td></td> <td>L 1.2-04</td> <td>Other expenses</td> </tr> </tbody> </table> <p>+ Add All</p> <p>Requested Resubmission Date (**The effective Resubmission Date will be three days after approval OR as approved by LFSA)</p> <p>Reason</p> <p>Save</p>	Calendar Year	31/12/2017	L 1.2	Income Statement	<input type="checkbox"/>		L 1.2-01	Profit & loss	<input type="checkbox"/>		L 1.2-02	Other operating income	<input type="checkbox"/>		L 1.2-03	Other income	<input type="checkbox"/>		L 1.2-04	Other expenses
Calendar Year	31/12/2017	L 1.2	Income Statement																		
<input type="checkbox"/>		L 1.2-01	Profit & loss																		
<input type="checkbox"/>		L 1.2-02	Other operating income																		
<input type="checkbox"/>		L 1.2-03	Other income																		
<input type="checkbox"/>		L 1.2-04	Other expenses																		
6	Click Save button.																				
7	<p>A pop-up notification will appear to indicate request is successful.</p> 																				
8	The system will notify the processing department via email. Next, the user will receive an email to indicate the request has been processed after the designated department decides if the processing fee will be imposed or waived.																				

9	Once your request is processed and processing fee is decided, the status will change to 'Pending Payment'. Select the record from the list and click View.														
	<table border="1"> <tr> <td>28/11/2018</td> <td>25/10/2018</td> <td>24/10/2018 12:55:01 pm</td> <td>Super RE Approver</td> <td>Super RE Approver</td> <td>Pending Payment</td> <td></td> </tr> </table>	28/11/2018	25/10/2018	24/10/2018 12:55:01 pm	Super RE Approver	Super RE Approver	Pending Payment								
28/11/2018	25/10/2018	24/10/2018 12:55:01 pm	Super RE Approver	Super RE Approver	Pending Payment										
10	Fill in the Payment Method and upload the proof of payment.														
	<div style="border: 1px solid #ccc; padding: 10px;"> <h3>Payment Detail</h3> <p>- Payment Type - ▼</p> <p><input type="text" value="Browse..."/></p> <p><input type="button" value="Upload"/> <input type="button" value="Submit Payment"/></p> </div>														
11	Email will be sent to notify of Resubmission approval. The status of the affected form/s will be set to 'Open' with new Due Date.														
	<table border="1"> <thead> <tr> <th>Resubmission Date</th> <th>Approved Resubmission Date</th> <th>Request Date</th> <th>Initiate By</th> <th>Request By</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>01/11/2018</td> <td>31/10/2018</td> <td>26/10/2018 11:21:20 am</td> <td>Eddie The Super Administrator</td> <td>Super RE Approver</td> <td>Approved</td> <td></td> </tr> </tbody> </table>	Resubmission Date	Approved Resubmission Date	Request Date	Initiate By	Request By	Status		01/11/2018	31/10/2018	26/10/2018 11:21:20 am	Eddie The Super Administrator	Super RE Approver	Approved	
Resubmission Date	Approved Resubmission Date	Request Date	Initiate By	Request By	Status										
01/11/2018	31/10/2018	26/10/2018 11:21:20 am	Eddie The Super Administrator	Super RE Approver	Approved										
12	Resubmission Reminder email will be sent to user to alert him/her to submit the form on or before its due date.														

b) Search/Filter Resubmission

Step	Action														
1	From the screen, select an item in the dropdown and click Search button.														
	<div style="border: 1px solid #ccc; padding: 10px;"> <p>Request Date Status</p> <p>From <input type="text"/> To <input type="text"/> - Please Select - ▼</p> <p><input type="button" value="Search"/></p> </div>														
2	The result of the search is displayed in the list														
	<div style="border: 1px solid #ccc; padding: 10px;"> <p>Resubmission Date Custom Search <input type="button" value="Search"/></p> <p>Resubmission List</p> <table border="1"> <thead> <tr> <th>Resubmission Date</th> <th>Approved Resubmission Date</th> <th>Request Date</th> <th>Initiate By</th> <th>Request By</th> <th>Status</th> <th></th> </tr> </thead> <tbody> <tr> <td>25/10/2018</td> <td>-</td> <td>24/10/2018 12:55:01 pm</td> <td>Super RE Approver</td> <td>Super RE Approver</td> <td>Pending</td> <td></td> </tr> </tbody> </table> </div>	Resubmission Date	Approved Resubmission Date	Request Date	Initiate By	Request By	Status		25/10/2018	-	24/10/2018 12:55:01 pm	Super RE Approver	Super RE Approver	Pending	
Resubmission Date	Approved Resubmission Date	Request Date	Initiate By	Request By	Status										
25/10/2018	-	24/10/2018 12:55:01 pm	Super RE Approver	Super RE Approver	Pending										

9 Helpdesk

This module is provided as an online Helpdesk Support for RE Users to raise any questions, update email subscription, grant user access and so on. It is intended to provide REs with support and response related to the RE's need or request pertaining to the submission forms or the portal.

9.1 General Helpdesk

9.1.1 Objective

RE User may raise a Helpdesk request for general topic to IRU through this module. IRU Officer will respond and communicate using this module as the helpdesk platform.

The status of Helpdesk is described as the followings:

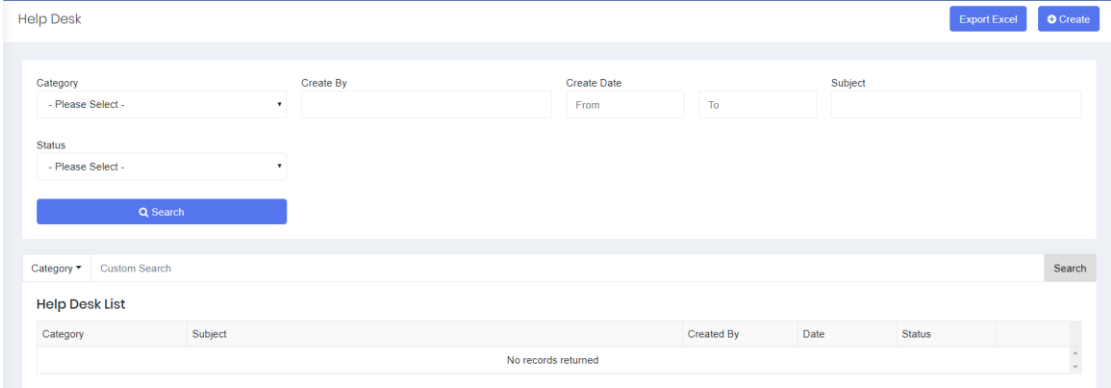
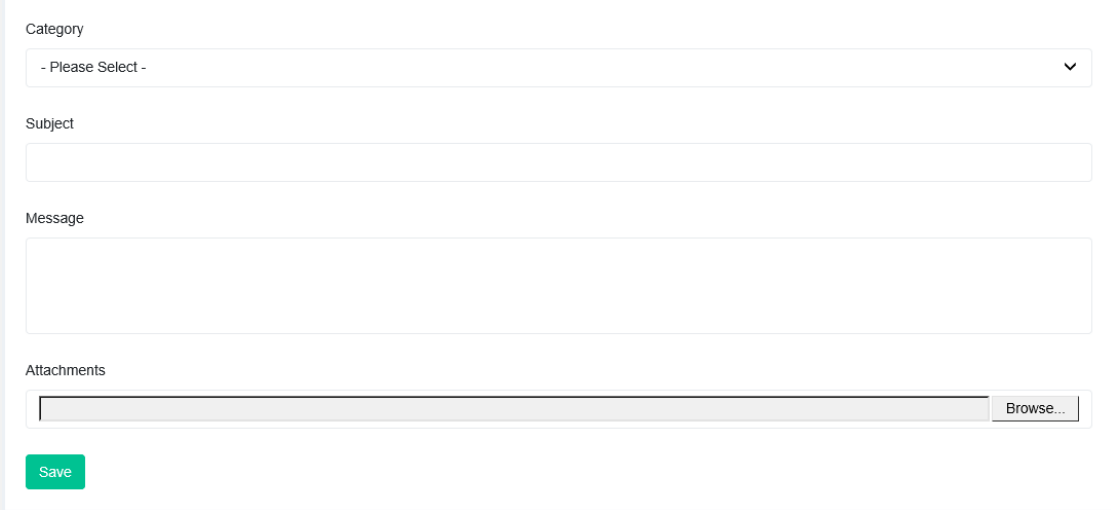
Status	Description
New	A new Helpdesk request has just been raised
Responded	The request is responded (either by RE User or IRU)
Closed	The request is closed by IRU
Open	The request that was closed previously, is now opened by IRU
On Hold	The query is put on hold by IRU
Approved	The Helpdesk request is approved
Rejected	The Helpdesk request is rejected

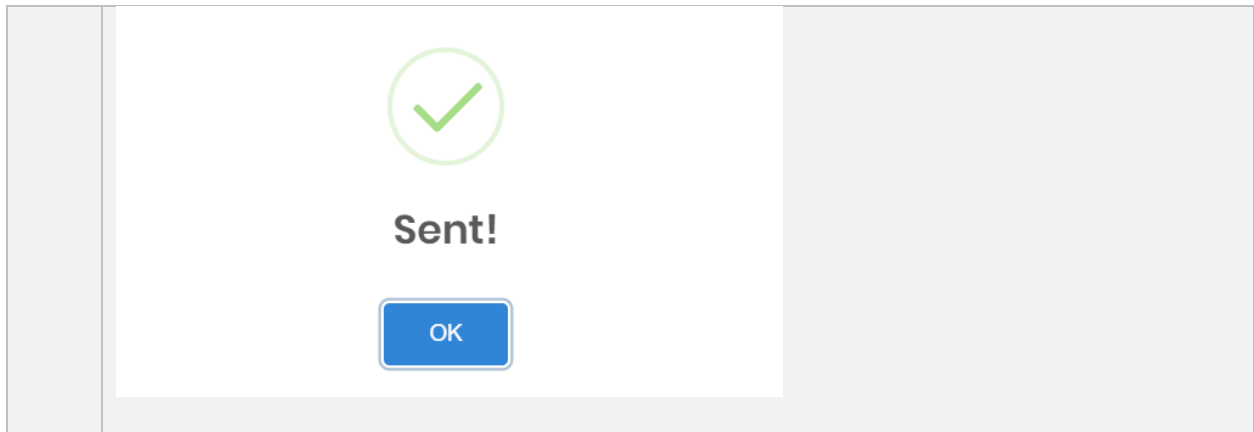
The Helpdesk request is categorized according to the below:

Category	Description
General Enquiry	Any general topic to enquire to
Update of Business Info	The Request to update Business Info data
Update of Email Subscriptions	The request to update email subscriptions
Grant Access to External User	The request to assign an external user to the Reporting Entity
Forms & Data Items Enquiry	Any enquiry pertaining to forms and data items
Bank-specific Enquiry	Specific to cater for Bank requirements, the respond is handled by Relationship Manager; only applicable to Bank sector

9.1.2 How to Use General Helpdesk

a) Create General Helpdesk

Step	Action
1	From the menu, select General Helpdesk.
2	Click Create button 
3	Select the Category. Fill in the mandatory fields, add Attachment if required. 
4	Click Save button.
5	A pop-up notification will appear to indicate request is sent.

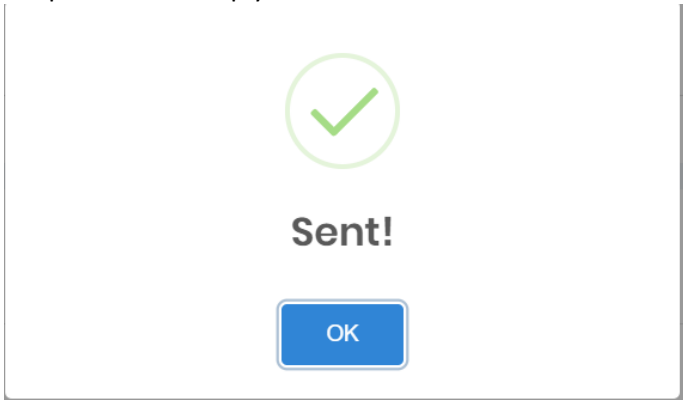


b) Search/Filter General Helpdesk

Step	Action
1	<p>From the screen, select an item in the dropdown and click Search button.</p>
2	<p>The result of the search is displayed in the list</p>

c) Reply General Helpdesk

Step	Action
1	<p>Select a row from Query tab and click View Record icon.</p>
2	<p>Key in your reply and upload file if necessary.</p>

	<p>Your Reply</p> <p>Enter your reply</p> <p>Browse...</p> <p>Reply</p>
3	Click Reply button to send.
4	<p>A pop-up notification will appear to indicate the reply is sent. An email is sent to notify the recipients of the reply.</p> 
5	A system-generated email will be sent to user when the Helpdesk request status is Closed, Approved or Rejected.

9.2 Dropdown Request

9.2.1 Objective

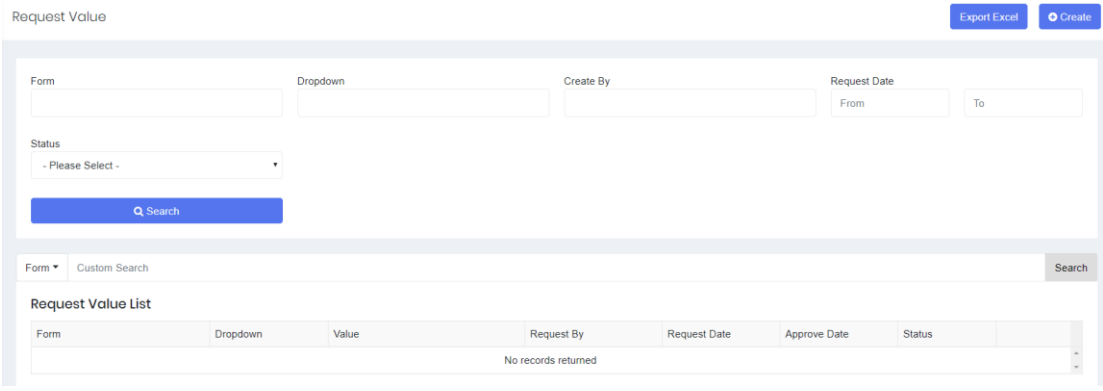
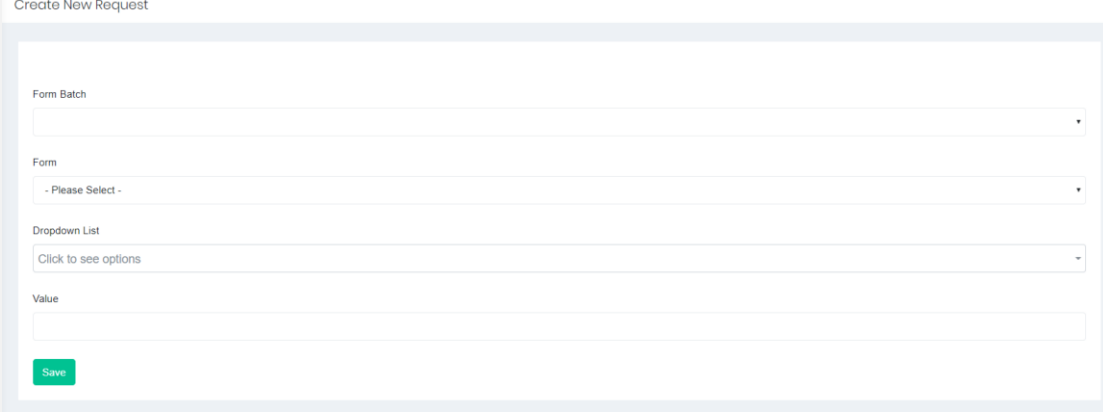
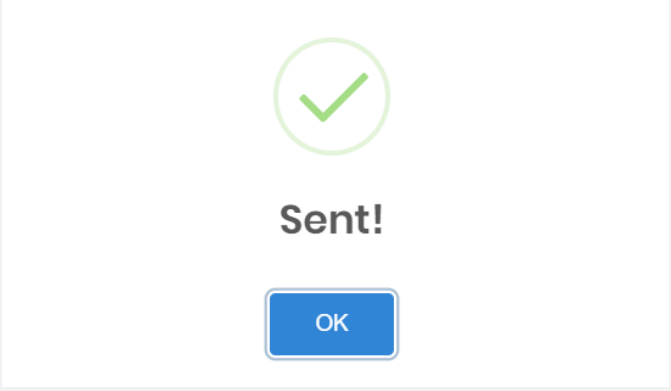
RE User may request for Master List (general dropdown items) using this module.

The status of Dropdown Request is described as the followings:

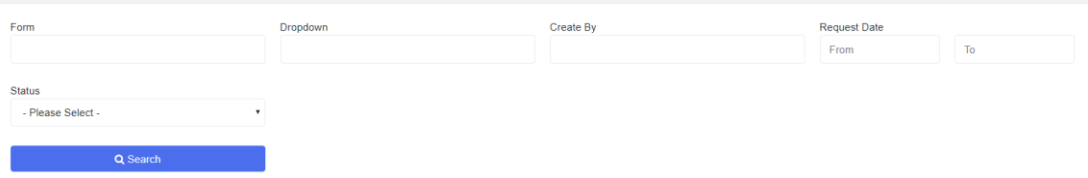
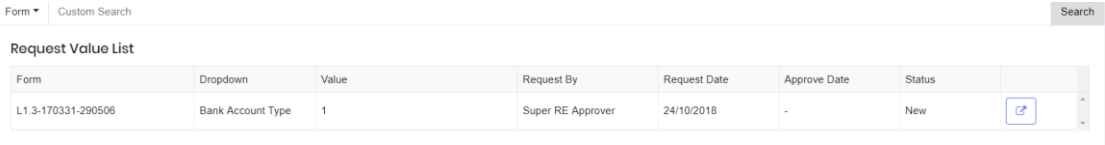
Status	Description
New	A new request has just been raised
Approved	The request is approved by IRU
Rejected	The request is rejected by IRU

9.2.2 How to Use Dropdown Request

a) Create Dropdown Request

Step	Action
1	From the menu, select Dropdown Request.
2	<p>Click Create button</p> 
3	<p>Fill in the mandatory fields.</p> 
4	Click Save button.
5	<p>A pop-up notification will appear to indicate request is sent.</p> 

b) Search/Filter Dropdown Request

Step	Action
1	<p>From the screen, select an item in the dropdown and click Search button.</p> 
2	<p>The result of the search is displayed in the list</p> 


10 Other Modules

10.1 Bulletin Board

The Bulletin Board allows user to view and download any new announcement from Labuan FSA. When a new announcement is posted by Labuan FSA, email will be sent to users who subscribed to Bulletin notification.

10.1.1 How to Use Bulletin Board

a) Search/Filter Bulletin

Step	Action
1	<p>From the screen, select date and click Search button.</p> 
2	<p>The result of the search is displayed.</p>

	<p>BANK & LABUAN EXCHANGE 3 Published on 26 Feb 2019, 2:21pm Banks Labuan Exchange</p> <hr/> <p>BANK & LABUAN EXCHANGE 2 Published on 26 Feb 2019, 11:39am We show these (Board Composition, Board Committee) if Sector is Bank and Bank Type is Subsidiary ...</p> <hr/> <p>BANK & LABUAN EXCHANGE Published on 26 Feb 2019, 10:58am HERE ARE THE LIST BANK & LABUAN EXCHANGE BANK & LABUAN ...</p>
--	--

3 Click at the Title in red font, it will flow to Bulletin detail page. User may download the documents in this page.


Bulletin Detail


BANKS only

Eddie The Administrator
22 Feb 2019, 10:27pm

This info is published for Bank Sector only

User may download any attached documents in this page.

 Download (1)

 Bulletin Item.jpg



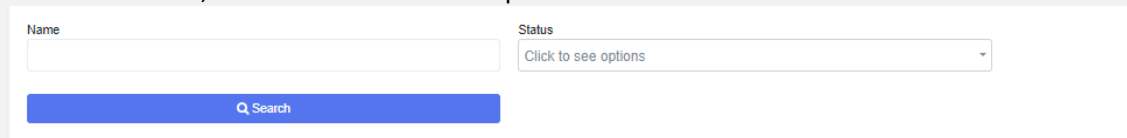
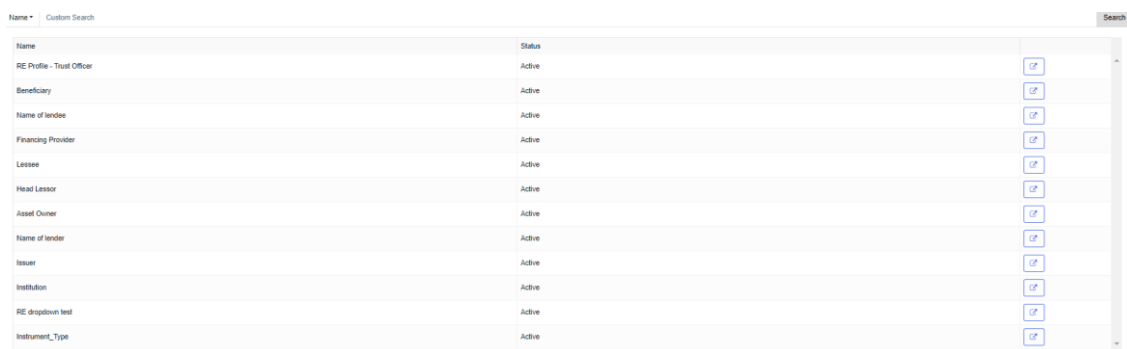
10.2 RE Dropdown Group

As mentioned in Section 5.13, RE Dropdown group is the company-specific dropdown which can be created and updated by RE Users.

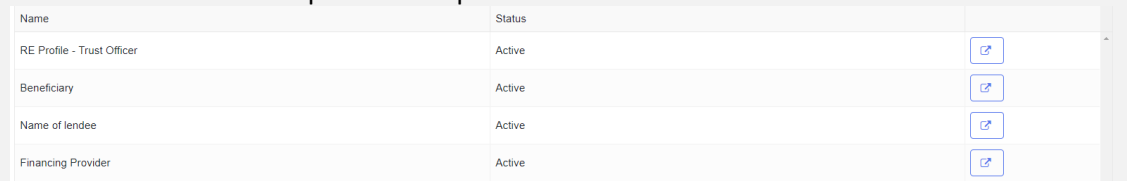
The method to create RE Dropdown can be referred in topic 5.1.3


10.2.1 How to Use RE Dropdown Group

a) Search/Filter Dropdown Group

Step	Action
1	<p>From the screen, select an item in the dropdown and click Search button.</p> 
2	<p>The result of the search is displayed in the list</p> 

b) Edit RE Dropdown Group

Step	Action
1	<p>Select a row from RE Dropdown Group and click View Record icon.</p> 
2	<p>Click Edit button to enable the fields</p>

	<p>Name*</p> <input type="text" value="RE Profile - Trust Officer"/> <p>Description</p> <input type="text" value="RE Profile - Trust Officer"/> <p>Status</p> <input type="text" value="Active"/> <p><input type="button" value="Update"/></p> <p><input type="button" value="RE Dropdown"/></p>
3	Click Update button to save the changes.
4	<p>A pop-up notification will appear to indicate update is successful.</p> <div style="text-align: center;">  <p>Update successfully</p> <input type="button" value="OK"/> </div>

10.3 Master List Group

Master List Group refers to the dropdowns that are used globally in the forms across all sectors. RE User can only view the dropdowns and their items.

To suggest a new dropdown item to be included, please refer to section 9.2 Dropdown Request.

10.3.1 How to Use Master List Group

a) Search/Filter Dropdown Group

Step	Action
1	<p>From the screen, select an item in the dropdown and click Search button.</p> <div style="border: 1px solid #ccc; padding: 5px;"> <p>Name <input type="text"/></p> <p>Status <input type="text" value="Click to see options"/></p> <p><input type="button" value="Search"/></p> </div>
2	The result of the search is displayed in the list

Name Custom Search Search

Name	Status	
Campaign Type	Active	
Currency	Active	
Country	Active	
Benefit Type	Active	
Branch Type	Active	

3 Click the View icon to view the dropdown and its items.

Master List Dropdown < Back

Name*
Position type

Description
Position type

Status
Active

Item List Export Excel Refresh

Sequence Number	Name	Status	
1	Senior Management	Active	
2	Middle Management	Active	
3	Supervisory Staff	Active	
4	Others	Active	

