

Statistical Management System

(SMS)

User Guide

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Abstract

This documentation provides the how-to, from the point of view of a reporting entity, on the SMS application. The intended audience for this guide is the reporting entities whose role is to submit financial data via the SMS application. This guide covers the usage of user interface, submission mechanism and items relevant to the reporting entity like case response.



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1. Overview

1.1 Recommended Architecture

Below is the recommended architecture for the reporting entity (RE) environment. This is the ideal scenario where one reporting entity is assigned with one Labuan FSA user profile. Company XYZ is a sample reporting entity used in this section.



- 1.1.1 The above architecture consists of one RE Full Application and multiple RE Client setups.
- 1.1.2 Each RE may represent multiple OFI for submission.
- 1.1.3 A minimum of one Full Application is required for each Reporting Entity doing its own submission or representing one or more OFIs.
- 1.1.4 The RE Clients in the above architecture are data entry components utilizing the database of the RE Full Application for offline data entry (see section 3.2 on how to setup data entry clients).
- 1.1.5 A Labuan FSA user profile is registered on the RE Full Application. The RE Full Application can only be registered with one profile at any given time.

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- 1.1.6 A registered Labuan FSA user profile cannot be registered by another machine. This is to prevent multiple parties doing submissions for any particular OFI.
- 1.1.7 Submission is done by the RE Full Application synchronizing with the Labuan FSA Server and does data transfers to/from it.
- 1.1.8 The installation of the RE Full Application is preferably to be on a desktop which is permanently network enabled. This setup is to ensure there is always a centralized storage for the reporting entity data entry.





1.2 Alternate Architecture

Below is an alternate architecture for the reporting entity (RE) environment. This setup deals with the situation where one reporting entity is assigned with multiple different Labuan FSA user profile for its submission agents. Company XYZ is a sample reporting entity used in this section.



- 1.2.1 In the setup above, the RE Full Application is installed in three different OFI databases instances on the same machine in the user environment.
- 1.2.2 Each OFI database instance is registered with one Labuan FSA user profile.
- 1.2.3 One Reporting Entity may represent one or more OFIs in terms of submissions. Example above, Company XYZ is doing submissions for N number of OFIs.
- 1.2.4 Data entry clients (RE Clients) can then perform offline data entry on whichever database instance created in the Full Application. (See <u>section</u>
 <u>4.2</u> on how to setup data entry clients).

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- 1.2.5 Each database instance in the Full Application will do its own data submission/update with the Labuan FSA server.
- 1.2.6 A registered Labuan FSA user profile cannot be registered by another database instance. This is to prevent multiple parties doing submissions for any particular OFI.
- 1.2.7 The installation of the RE Full Application is preferably to be on machines that are permanently network enabled. This setup is to ensure there is always a centralized storage for the submission data of each OFI.





1.3 Recommended Requirements

- CPU Intel Core 2 Duo 1.0Ghz or above
- 2Gb DDR 2 Ram or above
- 10Gb Free Hard Disk Space or more

Software Requirements:

- Windows XP SP3
- Windows Vista
- Windows 7

NOTE: Only 32-bit OS are supported.

In both cases, user must login as System Administrator to install the software.

It is recommended to have an additional hard disk space of 4GB per user instance created.

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Work Flow 2.

This section illustrates the work flow involved for various processes in the SMS application.

2.1 Profile registration

For a new reporting entity site, the submission profile provided by Labuan FSA has to be registered with the system. This is to identify a particular reporting entity system to Labuan FSA as a submission source and to prevent multiple parties doing submission for the same Principal Officer.



- 2.1.1 Each OFI need to have one database instance.
- 2.1.2 The principal officer is required to register the OFI submission profile provided by Labuan FSA during the first login after installation.

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- 2.1.3 A successfully registered profile prevents any other parties doing submissions with the same profile other than the Principal Officer. This is known as locking a profile.
- 2.1.4 This is also to <u>prevent</u> one OFI having <u>multiple</u> <u>submission</u> <u>databases</u> handling the data entry.
- 2.1.5 To release a profile from being locked, Labuan FSA has to be notified.
- 2.1.6 Unlocking of profile should only be requested when the current OFI database instance or RE Full Application is to be decommissioned permanently.





2.2 Data entry

Data entry workflow for the SMS involves how to utilize the auto calculate and verification mechanism of forms and flagging of form as ready for submission.



- 2.2.1 Data entry is done in the local environment of the submission agent without a connection to Labuan FSA.
- 2.2.2 The first error checking is done at the form level using the calculate button. Other than basic summarization within the form, data entry checks are done on the fields. If any errors are found the form cannot be saved.
- 2.2.3 After saving changes, the form can be marked as ready for submission with the Ready button.

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inancial Services Authority



2.2.4 When a form is in Ready state and all the other forms within the same submission batch are also Ready, these forms will be submitted the next time submission to Labuan FSA is done.





2.3 Submission

The form submission workflow involves the batch check before submission to ensure all forms of the same submission batch are ready for submission. This batch check is automated.



- 2.3.1 Only the PO profile should be allowed to do submissions. Data entry accounts do not have the sufficient rights to this function.
- 2.3.2 Submission is done by batches. This means all the forms of a submission batch has to be in Ready state for submission to be done.
- 2.3.3 If one or more forms within the same submission batch are not in Ready state then the forms will remain in their current state and not be submitted to Labuan FSA.
- 2.3.4 Successful submission will change the status for all the forms in the submission batch from Ready to Submitted.

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2.4 Rejected submission

This section shows the process involved in responding to rejected submission forms, the raised cases and the use of form note in alerting Labuan FSA of submission values that exceeds Labuan FSA thresholds.



- 2.4.1 Forms that failed Labuan FSA internal checks will be rejected and have to be amended or have a <u>form note</u> raised for resubmission.
- 2.4.2 Forms are also rejected based on batches. If one form in a submission batch fails the check, all forms of the same batch will be rejected.

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- 2.4.3 Forms that failed the internal check will have a <u>Case</u> attached to each form describing which fields are affected.
- 2.4.4 <u>Cases</u> raised this way have to be responded to before resubmission of the form can be done.
- 2.4.5 Form values that exceed allowable thresholds set by Labuan FSA require a form note to be attached to the form on submission.
- 2.4.6 Other than <u>cases</u> response and raising <u>form notes</u>, resubmission follows the same flow of normal submissions.





2.5 Form states

Over the course of submission, submitted forms will change states according to the stage of processing it is in. The Hot Update function allows the update of these states to keep track of the submission forms. Below is a flow on the status changes of a particular form.



- 2.5.1 Newly downloaded forms are in **Open** status.
- 2.5.2 When data entry is done, the form can be changed to **Ready** state.Forms in **Ready** state means they are ready for submission.
- 2.5.3 When submission is done and it is successfully sent to Labuan FSA, the status will change to **Submitted**.
- 2.5.4 Forms in **Submitted** state <u>do not</u> mean that the submission has already succeeded. But rather, these forms have been transferred to Labuan FSA.

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- 2.5.5 Submitted forms will have to be processed by Labuan FSA for a series of checks. Forms that fail any of the checks will revert to **Open** status.
- 2.5.6 Successful submission is when forms are in **Accepted** state. Forms in this state means that they have passed Labuan FSA internal checks and have been stored as a successful submission.







2.6 Case states

Cases are created when there are errors or queries with the submission data. Response to a case will also go through various states. These states are explained below.



- 2.6.1 When a new case is downloaded via Hot Update, it is in **Received** state.
- 2.6.2 When a resolution has been reached on a case and it has been responded to Labuan FSA, then the case will be updated to **Responded** state.
- 2.6.3 A **Responded** case does not mean the case have been resolved. It simply means a response have been sent to Labuan FSA.
- 2.6.4 If the response did not solve the query raised by Labuan FSA the case can be re-opened. When this happens the case will be changed to **Re-Open** state.
- 2.6.5 If the response has sufficiently answered whatever query raised by the case then Labuan FSA will close the case. Then, the case will be changed to **Closed** state and the case is officially resolved.

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3. Multi-instance

Note:

This is only applicable to those that manage the submissions of multiple companies.

This setup is optional. Multi-instance should only be done if the RE is in charge of multiple OFIs. In this case, each OFI will need to have its own submission instance, registered with its Labuan FSA profile, on the RE Full Application. A new instance means a separate OFI database in the RE Full Application.





3.1 Instance Creation

Instance creation utility (createApp.bat) is located in the c:\lofsasms\tools folder.

e <u>E</u> dit <u>V</u> iew F <u>a</u> vorites	Tools	Help				1
Back 👻 🕤 👻 🍠 🔎 Sea	arch (🏷 Folders 🛛 🛄 🕇				
iress 🛅 C:\lofsasms\tools						💌 🄁 G
		Name	Size	Туре 🔺	Date Modified	Attributes
File and Folder Tasks	*	ant		File Folder	6/8/2009 7:09 PM	
🖂 eesta araa Kataa		Conf		File Folder	6/8/2009 7:09 PM	
2 Make a new rolder		🛅 templates		File Folder	6/8/2009 7:09 PM	
Publish this folder to the		junction.exe	19 KB	Application	12/1/2003 12:00 AM	A
		🐻 createApp.bat	З КВ	Windows Batch File	6/5/2009 12:47 PM	A
bilare this folder		🐻 listApp.bat	1 KB	Windows Batch File	6/5/2009 12:36 PM	A
		🐻 removeApp.bat	З КВ	Windows Batch File	6/5/2009 4:02 PM	A
Other Places	*	🔮 replace.xml	2 KB	XML Document	6/4/2009 5:36 PM	А
🛅 lofsasms						
A My Documents						
My Computer						
Mu Network Discos						
The Interview Places						
Details	¥					

A new OFI database instance is created by the steps below:

- 3.1.1 Execute createApp.bat.
 - 3.1.1.1 For Windows XP, simply double-click on createApp. The logged in user must have administrative rights to the machine.
 - 3.1.1.2 For Vista, right-click on createApp and click on "Run as administrator.



	Open				
	Open file location				
۲	Run as administrator				
R	Scan for viruses				
	Pin to Start Menu				
	Add to Quick Launch				
	Restore previous versions				
	Send To	•			
	Cut				
	Сору				
	Create Shortcut				
	Delete				
	Rename				
	Properties				

3.1.2 A console screen will appear.

ex C:\WINDOWS\system32\cmd.exe	
Existing LOFSA Form Submission System Apps: nick Nick2 ROOT	
Enter user database to create (Alphanumeric only, max: 20 characters): _	

The top part of the screen (red box above) is the listing of the existing instances.

3.1.3 Type the name of the new instance to be created (yellow box above). The instance name is an alphanumeric field but must begin with an alphabet. Wildcard characters (like \$ % ^ & #) and space are not allowed.





3.1.4 A confirmation dialog will appear. To confirm, input "Y" or "y" and hit enter, otherwise input any key and hit enter.



📾 C:\WINDOWS\system32\cmd.exe	
<pre>C:\WINDOWS\system32\cmd.exe Are you sure? Please enter Y or y to proceed: Y Processed 3224 pages for database 'lfs_Test1', file 'data' on file 1. Processed 4 pages for database 'lfs_Test1', file 'log' on file 1. RESTORE DATABASE successfully processed 3228 pages in 4.065 seconds (6.503 MB/sec)\ROOT\Error.vm\ROOT\viewAttachment.jsp\ROOT\WEB-INF\generated_web.xml\ROOT\WEB-INF\toolbox.xml\ROOT\WEB-INF\velocity.properties\ROOT\WEB-INF\web.xml\ROOT\WEB-INF\classes\org\apache\jsp\viewAttachment_jsp.class\ROOT\WEB-INF\data\busobjlocal.xml\ROOT\WEB-INF\data\busobjlocal.xml\ROOT\WEB-INF\data\busobjlocal.xml\ROOT\WEB-INF\data\busobjlocal.xml\ROOT\WEB-INF\data\busobjlocal.xml</pre>	
<pre>\ROOT\WEB-INF\data\poolman.xml\ROOT\WEB-INF\inc\index.inc\ROOT\WEB-INF\inc\logout.inc\ROOT\WEB-INF\includes\config.vm\ROOT\WEB-INF\includes\global.vm\ROOT\WEB-INF\includes\VirtualTable.vm\ROOT\WEB-INF\includes\VirtualTableColumn.vm\ROOT\WEB-INF\layout\Default.vm\ROOT\WEB-INF\layout\Default.vm\ROOT\WEB-INF\layout\NoLayout.vm\ROOT\WEB-INF\layout\XULLayout.vm\ROOT\WEB-INF\layout\XULLayout.vm\ROOT\WEB-INF\layout\XULLayout.vm\ROOT\WEB-INF\src\viewAttachment_jsp.java 24 File(s) copied Buildfile: c:\lofsasms\tools\replace.xml</pre>	
cloneTemplate: [copy] Copying 3 files to c:\lofsasms\mtfweb\apps\Test1\WEB-INF\data [copy] Copying 1 file to c:\lofsasms\mtfweb\conf\Catalina\localhost	
BUILD SUCCESSFUL Total time: O seconds	
The LOFSASMS service was stopped successfully.	
The LOFSASMS service is starting The LOFSASMS service was started successfully.	
App Test1 created successfully	
The new instance URL: The URL created is http://127.0.0.1:81/Test1/	
Press any key to continue	-

- 3.1.5 The instance creation process will then begin. The message "Press any key to continue . . ." (green box above) signals the completion of processing.
- 3.1.6 Take note of the URL created (red box above). This will be the server URL for the server connection setup in the Labuan FSA SMS application.





3.1.6.1 To copy the server URL, right click on the console screen and click on Mark.



3.1.6.2 Then select the portion of the screen to copy by holding down left click. When the texts have been selected let go of the left click button and right click.



🝺 Untitled - Notepad	
<u>File E</u> dit F <u>o</u> rmat <u>V</u> iew <u>H</u> elp	
http://127.0.0.1:81/Test1/	A
	-
1	▶ //

3.1.6.3 Paste the copied text into any text editor like normal (ctrlv). Keep this text editor open for later use.

🔮 Login Form		
CLogin Information		
User Id :		
Password :		
Server Name :	SMS@RE	E)
	Ok	Cancel

3.1.7 The newly created instance needs to be configured in the SMS application. In the login dialog, click on Server Name to bring up the server connection settings (yellow box above).



🌑 Server Connec	tion Setting	js		
	js ———			
Server Name :	SMS@RE	Ē		
Server URL :	http://1	27.0.0.1:81/		
Storage Version :	4			
Server List				
Name				
SMS@RE				
			1	
Save	Add	Delete	Ok	Cancel

3.1.8 In the server connection settings, click on Add to create a new server connection.



🔮 Server Connectio	n Settings	
Connection Settings		
Server Name :	SMS@RE	
Server URL :	http://127.0.0.1:81/	
Storage Version :	4	
Server List Name SMS@LOFSA SMS@RE SMS@RE	2	
Save	id Delete Ok	Cancel

- 3.1.9 Assign a server name for the connection (yellow box above). This is for visual purposes, so it is best to use a recognizable name. For example, if the connection is for Insurance Company XYZ, assigning SMS@InsuranceXYZ would be a good idea.
- 3.1.10 The server URL (red box) comes from step 3.1.6. Copy the URL stored and replace the one in the Server URL field.



🌑 Server Connectio	n Settings	
Connection Settings]
Server Name :	SMS@Test1	
Server URL :	http://127.0.0.1:81/Test1/	
Storage Version :	4	
Server List		
Name SMS@LOFSA		
SMS@RF SMS@Test1)
Save A	dd Delete Ok	Cancel

3.1.11 Click on Save (red above) when done. The server list will be updated with the newly added server name (blue above). Click on OK (yellow above) to apply the change.

🔮 Login Form		
CLogin Information -		
User Id :		
Password :		
Server Name :	SMS@Test	1 🔽
	Ok	Cancel

3.1.12 To login to this instance, select the server name (green above) from the login dialog.



3.2 Instance Deletion

Instance creation utility (removeApp.bat) is located in the c:\lofsasms\tools folder. An OFI instance can be removed by the steps below:

3.2.1 Execute removeApp.

3.2.1.1 For Windows XP, simply double-click on removeApp. The logged in user must have administrative rights to the machine.

	Open Open file location				
1	Run as administrator				
R	Scan for viruses				
	Pin to Start Menu				
	Add to Quick Launch				
	Restore previous versions				
	Send To				
	Cut				
	Сору				
	Create Shortcut				
	Delete				
	Rename				
	Properties				

3.2.1.2 For Vista, right-click on removeApp and click on "Run as administrator.





3.2.2 A console screen will appear. It will show the current instance already created (yellow above). Enter the instance that needs to be removed (red box) and hit enter.

(Note: ROOT cannot be deleted.)



3.2.3 A confirmation is required (red above). Punch in "Y" or "y" and hit enter to confirm. Otherwise, input any key and hit enter to cancel.



 Image: System 32\cmd.exe

 LOFSA Form Submission System Apps Listing:

 nick

 Nick2

 ROOT

 Test1

 Enter user database to remove

 (Alphanumeric only, max: 20 characters): Test1

 You will be removing LOFSA Form Submission System App: 'Test1'

 Are you sure? Please enter Y or y to proceed: y

 The LOFSASMS service was stopped successfully.

 c:\lofsasms\db\lfs_Test1.ldf

 c:\lofsasms\db\lfs_Test1.mdf

 2 file(s) moved.

 The LOFSASMS service is starting..

 The LOFSASMS service was started successfully.

 App Test1 removed successfully

 The database files are archived at c:\lofsasms\db\detach\ fold

 Remember to move them to storage if required.

 Press any key to continue . . .

3.2.4 The database instance files are moved to c:\lofsasms\db\detach. It is recommended to copy the files out and keep this folder empty.



4 Setting up

This section documents the various setup methods for the SMS application prior to first use.

4.1 Submission login profile

The SMS application for reporting entities (REs) needs to be registered with a login user profile. This login profile is provided by Labuan FSA to enable remote downloads of forms and submissions updates. This profile is provided to the Principal Officer (PO) and this user profile should be only known to him/her for security reasons.

Note:

The "readmin" registration should only be done once per instance. If multiple profile registration is required, refer to <u>3. Multi Instance</u> on how to create separate instances.

The process to register the user profile:

4.1.1 Execute LOFSA SMS application by double clicking



4.1.2 Double click on Login.



1	😌 - LOFSA 5M5							_ 🗆 🗙
E	ile	⊻iew	<u>G</u> o	Tools	<u>H</u> elp	User:	[Not logged in]	Logout
	Logir	ר						
L								
L								
L								
L								
L								
L								
L								
L								
L								
L								
	Done						11.	

4.1.3 Select the server to login to. (default: SMS@RE)

Enter the below:

User Id:	readmin
Password:	password
Then click OK	

🔮 Login Form		
C Login Information		
User Id :		
Password :		
Server Name :	SMS@RE	•
	Ok	Cancel

- Note: This login profile (readmin) is only for the registration purpose and has no rights for any other functions.
- 4.1.4 Double click on Setup.



٢	- Lofsa S	MS vi	0.2 [SM	5@RE]			
Eile	⊻iew	<u>G</u> o	Tools	Help	User:	readmin	Logout
ΞV	orkspace/						
	Setup						
Do	ne						


4.1.5 Enter the User ID and Password assigned by Labuan FSA. Click OK. It will take a few seconds to a few minutes to update the RE application.

🗳 System Setup		- 🗆 ×
Server URL	http://192.168.2.7:81/bmanager3_oracle/	
Server User Id	testnick	
Server Password	****	
Location	RE	-
	Ok	Cancel

If this step is successful, step below can be skipped.

4.1.6 If the user profile is **already registered** then an error will prevent the registration. This is to prevent one Principal Officer from having two sets of submission data.

Alert	×
	Failed to update settings. Error: User profile is already registered and cannot be registered again.
	ОК

When this happens, Labuan FSA has to be contacted for a profile unlock. Apart from the machine currently being registered, any other machines utilizing the same user profile have to be disabled from doing submissions in the future. This is to prevent duplicate submissions done on behalf of the same reporting entities.



4.1.7 To exit, click on <u>Logout</u> on the top right corner of window.

🔮 Lofs	ia SM9	5 v0.2	2 [SM5@)RE]			
<u>File</u>	<u>V</u> iew	<u>G</u> o	Tools	Help	User:	readmi	Logout
 Work 	space						
i Si	etup						\sim
Done				'	۹		11.



4.1.8 After registration is done, reporting entities can now login with their assigned profile. Double click on Login, and enter Labuan FSA's assigned username and password. Then click OK.

🔮 LOFSA SMS			- 🗆 ×
Elle <u>Vi</u> ew <u>G</u> o <u>T</u> ools <u>H</u> elp	User:	[Not logged in]	Logout
Login Form Login Information User Id : testnick Password : ******** Server Name : RE@office Ok Cancel			
Done			//



4.2 Data entry users

Additional clients can be created to aid in data entry. These users only require the client-only installation and do not require its own database to function. However, some configuration settings have to be done to enable access to the <u>Full Application Client</u>.

To create a data entry machine, choose Client Only during installation.

🗑 LOFSA SMS Client 1.0 Setu	p	_ 🗆 🗙
Choose Components Choose which features of LOF	SA SMS Client 1.0 you want to install.	3
Check the components you wa install. Click Install to start the	ant to install and uncheck the components you don't wa installation.	int to
Select the type of install: Or, select the optional components you wish to install:	Full Description Full Position your mou Client Only Position your mou Image: Client Only Over a component see its description	ise t to h,
Space required: 492.4MB		
Nullsoft Install System v2.44	< <u>B</u> ack <u>I</u> nstall	Cancel

To create data entry users, refer to Section 12: User.

Below are the steps to setup a data entry machine:

4.2.1 In the initial login screen, click on Server Name.



🔮 Login Form	
CLogin Information -]
User Id :	
Password :	
Server Name :	SMS@RE
[Ok Cancel

4.2.2 This will bring up the server setup dialog with the initial configurations.

🔮 Server Connecti	on Settings	
Connection Settings		
Server Name :	SMS@RE	
Server URL :	http://127.0.0.1:81/	
Storage Version :	4	
Server List		
SMS@RE		
L		
Save	Add Delete Ok	Cancel

4.2.3 Alter the Server URL to the IP address of the Full Application Client. For example, if the IP address for the Full Application Client is 192.168.1.2 then the Server URL will be <u>http://192.168.1.2:81/</u>.

Old: <u>http://127.0.0.1:81/</u> New: <u>http://192.168.1.2:81/</u>

To create users in the Full Application Client, refer to $\underline{12. Users}$.



Connection Settings		
Server Name :	SMS@RE	
Server URL :	http://192.168.1.2:81/	
Storage Version :	4	
Server List		
Nama		
Ivanie		
SMS@RE		

After this is done, click on **Save** to apply the changes and **OK** to exit the configuration screen.

The steps below explain how to obtain the IP address of the Full Application Client.



4.2.3.1 At the Full Application machine, click on Start → Settings → Control Panel → Network connections.



Double-click on Local Area Connection.



4.2.3.2 In the subsequent window, go to the Support Tab.

🚣 Local Area Connec	tion Status		? ×
General Support			
Connection			
Status:			Connected
Duration:		3	days 09:21:24
Speed:			100.0 Mbps
Activity			
	Sent —	<u> - I</u>	- Received
Packets:	125,969		162,315
Properties	<u>D</u> isable		
			<u>C</u> lose

4.2.3.3 The IP address is displayed in the IP address field.





5 Downloading forms from Labuan FSA

The reporting entities can fill up submission forms offline and do submission or updates with Labuan FSA on demand. This eliminates the need to have a persistent link to Labuan FSA for form submissions.

Note:

Submission forms are automatically generated by Labuan FSA.

These forms are generated on the final month of the submission period. For example, quarterly submission forms for Jan-Mar period is generated in March and should be available for download by the second week of March.

Reporting entities are now allowed to create new submission forms.



5.1 Double-click on the Form module in the module listing.



: View Go Tools Help		Liser: testnick	1
Terr Terr Terr			_
Deporting Entity	Form		
-Reporting Endly			
- licer	RE Category	- <u>R</u>	efre
Case	Code Colendar Year/Financial Year	▼ Hot	: Upo
-RE Guides	Submission period		
			mit F
	Period ending/As at	For	mHis
	View Open		Duin
			Prin
	<i> </i>		
	Form R Reporting Cat C St Submi Submission Modified	🖽	
	Primary1 TEST NICK Bank Pri Open 15-Jul 13-Mar-2	. true 🔺	
	Primary4 TEST NICK Bank Pri Open 15-Jul 13-Mar-2	, false	
	Appx(3-4 TEST NICK Bank Ap Open 31-Mar 13-Mar-2	. false	
	LBS-0906 TEST NICK Bank LBS Open 15-Jul 13-Mar-2	. false	
	LBS-0912 TEST NICK Bank LBS Open 31-Mar 13-Mar-2	. false	
	LD-09013 TEST NICK Bank LD Open 15-Feb 13-Mar-2	. false	
	LD-09123 TEST NICK Bank LD Open 31-Mar 13-Mar-2	. false	
	LM(MS)-0 TEST NICK Bank LM Open 31-Mar 13-Mar-2	. false	
	Primary1 TEST NICK Bank Pri Open 15-Feb 13-Mar-2	. false	
	Primary1 TEST NICK Bank Pri Open 31-Mar 13-Mar-2	. false	
	Primary2 TEST NICK Bank Pri Open 31-Mar 13-Mar-2	. false	
	Primary3 TEST NICK Bank Pri Open 31-Mar 13-Mar-2	. false	
	Primary3 TEST NICK Bank Pri Open 15-Jan 13-Mar-2	. false	
	Primary4 TEST NICK Bank Pri Open 15-Feb 13-Mar-2	. false	
	Primary4 TEST NICK Bank Pri Open 31-Mar 13-Mar-2	, false 🗾	
	I		

5.2 Click on Hot Update to download submission forms from Labuan FSA.



6 Navigating Form listing

The summary page comes with filters to limit the forms being read in order to narrow the search and prevent long loading times that occurs when a large set of forms are being fetched. These filters are located at the top of the Form window.

										0361.		- Index
Forn	1											
: [1			▼ Category	2					•	Refr
ode [3		▼ Calendar V	ear/Financial Year	4				•	Hot Up
ıbmissi	on period		5		 Submission 	type		6			•	Submit
riod ei	nding/As at	7 💌			Form Note	8					•	
					-	, ,					_	Forme
. vv	open										_	
₽, %												
lote	Form Ref #	Reporting Entity	Category	Code	Title	Date	Status	Submit By	Submission Date	Modified On	EŞ.	
	Appx(3-4)-09	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	LBS-091231-3	TEST NICK	Bank	LBS	Loans by Borr	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	LD-091231-3	TEST NICK	Bank	LD	DEPOSITS AN	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	LD(Investmen	TEST NICK	Bank	LD (Inv	Investments	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	LM(MS)-0912	TEST NICK	Bank	LM(MS)	ASSETS & LIA	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Primary1-091	TEST NICK	Bank	Primary 1	Asset and Liab	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Primary2-091	TEST NICK	Bank	Primary 2	Unaudited Inc	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Primary3-091	TEST NICK	Bank	Primary 3	Audited Incom	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Primary4-091	TEST NICK	Bank	Primary 4	Assets and Ca	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Primary5-091	TEST NICK	Bank	Primary 5	Asset Quality	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	RA-091231-3	TEST NICK	Bank	RA	RINGGIT ACC	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	Secondary-09	TEST NICK	Bank	Second	Loan Related I	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	55-091231-3	TEST NICK	Bank	SS	Staff Strength	For RE financial	Open	31-Mar-2010		16-Apr-2009		
	LD-090430-3	TEST NICK	Bank	LD	DEPOSITS AN	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	LD(Investmen	TEST NICK	Bank	LD (Inv	Investments	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	Primary1-090	TEST NICK	Bank	Primary 1	Asset and Liab	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	Primary2-090	TEST NICK	Bank	Primary 2	Unaudited Inc	For period: 01	Open	15-May-2009		15-Apr-2009		
	Primary4-090	TEST NICK	Bank	Primary 4	Assets and Ca	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	Primary5-090	TEST NICK	Bank	Primary 5	Asset Quality	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	RA-090430-3	TEST NICK	Bank	RA	RINGGIT ACC	As at: 30-Apr	Open	15-May-2009		15-Apr-2009		
	LBS-091231-3	TEST NICK	Bank	LBS	Loans by Borr	As at: 31-Dec	Open	15-Jan-2010		16-Apr-2009		
	55-091231-3	TEST NICK	Bank	SS	Staff Strength	As at: 31-Dec	Open	15-Jan-2010		16-Apr-2009		
	Appx(3-4)-09	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	As at: 31-Dec	Open	15-Jan-2010		16-Apr-2009		



6.1 RE

This filter limits the forms in the list by those belonging to the RE selected.

🔮 Form - Lofsa SMS v0.2 [SM9	5@Oracle_office]									
<u>File View Go Tools H</u> elp								User:	user Lo	oqout
Form										
RE TEST NICK				Catego	ry			-	Refresh	h
Code Code										bmit
Submission period				Submis	sion type			<u> </u>	Form Histo	ory
Period ending/As at	-									
View New				•						
, 				_				_		
<i>₽</i> , <i>№</i>	$ \longrightarrow $				1			_		
Form Ref #	Reporting Entity	Category	Code	Title	Date	Status Submission	Modify Date Note	<u> </u>		
Primary1-070630-39069	TEST NICK	Bank	Primary 1	Asset and Liab	As at: 30-Jun-2007	New	13-Mar-2009 0	_		
Primary4-070630-39070	TEST NICK	Bank	Primary 4	Assets and Ca	As at: 30-Jun-2007	New	13-Mar-2009 0			
Appx(3-4)-091231-38874	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	For RE financial year: 2009	New	13-Mar-2009 0			
LBS-090630-37401	TEST NICK	Bank	LBS	Loans by Borr	As at: 30-Jun-2009	New	13-Mar-2009 0			
LB5-091231-38973	TEST NICK	Bank	LBS	Loans by Borr	For RE financial year: 2009	New	13-Mar-2009 0			
LD-090131-37344	TEST NICK	Bank	LD	DEPOSITS AN	As at: 31-Jan-2009	New	13-Mar-2009 0			
LD-091231-38976	TEST NICK	Bank	LD	DEPOSITS AN	For RE financial year: 2009	New	13-Mar-2009 0			
LD(Investments)-091231-38978	TEST NICK	Bank	LD (Inve	Investments	For RE financial year: 2009	New	13-Mar-2009 0			
LM(MS)-091231-39010	TEST NICK	Bank	LM(MS)	ASSETS & LIA	For RE financial year: 2009	New	13-Mar-2009 0			
Primary1-090131-37341	TEST NICK	Bank	Primary 1	Asset and Liab	For period: 01-Jan-2009	New	13-Mar-2009 0			
Primary1-091231-39044	TEST NICK	Bank	Primary 1	Asset and Liab	For RE financial year: 2009	New	13-Mar-2009 0			
Primary2-091231-39046	TEST NICK	Bank	Primary 2	Unaudited Inc	For RE financial year: 2009	New	13-Mar-2009 0			
Primary3-091231-37444	TEST NICK	Bank	Primary 3	Audited Incom	For RE financial year: 2009	New	13-Mar-2009 0			
Primary3-091231-37445	TEST NICK	Bank	Primary 3	Audited Incom	For period: 01-Jan-2009	New	13-Mar-2009 0			
Primary4-090131-37343	TEST NICK	Bank	Primary 4	Assets and Ca	For period: 01-Jan-2009	New	13-Mar-2009 0			
Primary4-091231-39048	TEST NICK	Bank	Primary 4	Assets and Ca	For RE financial year: 2009	New	13-Mar-2009 0	-		
		n 1		· · · · ·	<u>E DEC 11</u> 0000		10.11 0000 0	-		
			14	P.	age 1 of 9 🕨 🕨					
Done										- //

From example above, forms not belonging to Test Nick are omitted from the list when Test Nick is selected in the filter and Refresh is clicked.



6.2 Category

This filter limits the forms in the list by the category or industry the forms are for.

Ele Yew Go Tools Help Us Form RE TEST NICK Category Bank Category Bank Code Category Category Bank Code Code Category Category Bank Code Code Category Category Code Too Code Code Too Code Code Code Code Code <t< th=""><th></th><th></th></t<>				
Form RE TEST NICK Category Bank Code Calendar Year/Financial Year Submission period Submission period Submission type Period ending/As at Torm Ref # Reporting Entity Category Code Title Date Status Submission Modify Date Note Primary-1-070630-39005 TEST NICK Bank Primary-1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 O Primary-1-070630-39070 TEST NICK Bank Primary-1 Asset and Ca As at: 30-Jun-2007 New 13-Mar-2009 0 LBS-090630-37401 TEST NICK Bank LBS Loans by Borr As at: 30-Jun-2009 New 13-Mar-2009 0 <td colspan="2" l<="" th=""><th>: use</th><th>er <u>Loqo</u></th></td>	<th>: use</th> <th>er <u>Loqo</u></th>		: use	er <u>Loqo</u>
RE TEST NICK Category Bank Code Calendar Year/Financial Year Submission period Submission type Period ending/As at Submission type Period ending/As at Submission type Primary1-070630-39069 TEST NICK Bank Primary1 Appx(3-4)-091231-38874 TEST NICK Bank Appx(3-4) Appx(3-4)-091231-38874 TEST NICK Bank LBS L0-091231-38874 TEST NICK Bank LBS L0-091231-38973 TEST NICK Bank LB L0 DEPOSITS AN Primary1-091231-38978 TEST NICK Bank LD DEPOSITS AN L0 DEPOSITS AN For RE financial year: 2009				
Code Calendar Year/Financial Year Submission period Submission type Period ending/As at Submission type Image: Submission Period Submission Image: Submission Period Status Submission Modify Date Image: Submission Period Status Submission Period Status Submission Period Status Submission Period Submission Primary-1 Primary-1070630-39070 TEST NICK Bank Primary 1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 Appx(3-4)-091231-38874 TEST NICK Bank Appx(3-4) Appx(3-4) Appx(3-4) LB5-090630-37401 TEST NICK Bank LB5 Loans by Borr As at: 30-Jun-2009 New 13-Mar-2009 0 LB5-091231-38973 TEST NICK Bank LB5 Loans by Borr For RE financial year: 2009 New 13-Mar-2009 0 LD-091231-38976	ר ה	Refresh		
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Submission period Submission type Period ending/As at Submission type Wew New Primary1-070630-39069 TEST NICK Bank Primary1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 Note Primary1-070630-39069 TEST NICK Bank Primary1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 Pprimary1-070630-39070 TEST NICK Bank Primary4 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 App(3-4)-091231-38974 TEST NICK Bank App(3-4) Appendix 3 & 4 For RE financial year: 2009 New 13-Mar-2009 0 L65-091231-38973 TEST NICK Bank LBS Loans by Borr As at: 31-Jan-2009 New 13-Mar-2009 0 L0-091231-38976 TEST NICK Bank LD DEPOSITS AN For RE financial year: 2009 New 13-Mar-2009 0 L0(Investments)-091231-38976	4 –	Mark Resubmit		
Period ending/As at Image: Control of the image: Contrel of the image:	1	Form History		
New Form Ref # Reporting Entity Category Code Title Date Status Submission Modify Date Note Primary1-070630-39069 TEST NICK Bank Primary1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 Primary1-070630-39070 TEST NICK Bank Primary4 Assets and Ca As at: 30-Jun-2007 New 13-Mar-2009 0 Appx(3-4)-091231-38874 TEST NICK Bank Appx(3-4) Appendix 3 & 4 For RE financial year: 2009 New 13-Mar-2009 0 LB5-090630-37401 TEST NICK Bank LB5 Loans by Borr For RE financial year: 2009 New 13-Mar-2009 0 LB5-091231-38973 TEST NICK Bank LB5 Loans by Borr For RE financial year: 2009 New 13-Mar-2009 0 LD-091231-38973 TEST NICK Bank LD DEPOSITS AN For RE financial year: 2009 New 13-Mar-2009 0 LD(Investments)-091231-38978 TEST NICK Bank LD <td>_</td> <td></td>	_			
Primary Asset and Liab Status Submission Modify Date Note Primary1070630-39069 TEST NICK Bank Primary1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 Primary1070630-39069 TEST NICK Bank Primary1 Asset and Liab As at: 30-Jun-2007 New 13-Mar-2009 0 Appx(3-4)-091231-38874 TEST NICK Bank Appx(3-4) Appx(3-4) As at: 30-Jun-2007 New 13-Mar-2009 0 B5-090630-37401 TEST NICK Bank LB5 Loans by Borr Sat : 30-Jun-2009 New 13-Mar-2009 0 LB5-091231-38973 TEST NICK Bank LB5 Loans by Borr For RE financial year: 2009 New 13-Mar-2009 0 LD-091231-38976 TEST NICK Bank LD DEPOSITS AN For RE financial year: 2009 New 13-Mar-2009 0 LD Mar-2009 0 LD IMar-2009				
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Primary4-070630-39070 TEST NICK Bank Primary4 Assets and Ca As at: 30-Jun-2007 New 13-Mar-2009 0 Appx(3-4)-091231-38074 TEST NICK Bank Appx(3-4) Appendix 3 & 4 For RE financial year: 2009 New 13-Mar-2009 0 LB5-090630-37401 TEST NICK Bank LB5 Loans by Borr As at: 30-Jun-2009 New 13-Mar-2009 .0 LB5-091231-38973 TEST NICK Bank LB5 Loans by Borr For RE financial year: 2009 New 13-Mar-2009 .0 LD-09131-37344 TEST NICK Bank LD DEPOSITS AN As at: 31-Jan-2009 New 13-Mar-2009 .0 LD-091231-38976 TEST NICK Bank LD DEPOSITS AN For RE financial year: 2009 New 13-Mar-2009 .0 LD(Investments)-091231-38978 TEST NICK Bank LD (Investments)-For RE financial year: 2009 New 13-Mar-2009 .0 Himary1-090131-37341 TEST NICK Bank LD (M(MS) ASSET S & LLA For RE financial year: 2009 New				
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Primary3-091231-37445 TEST NICK Bank Primary 3 Audited Incom For period: 01-Jan-2009 New 13-Mar-2009 0				
Primary4-090131-37343 TEST NICK Bank Primary 4 Assets and Ca For period: 01-Jan-2009 New 13-Mar-2009 0				
Primary4-091231-39048 TEST NICK Bank Primary 4 Assets and Ca For RE financial year: 2009 New 13-Mar-2009 0				
	-			
Page 1 of 2				

In example above, only forms that are of Bank category will be displayed when Bank is selected in the filter and Refresh is clicked.



6.3 Code

This filter limits the display list to forms of a certain code. Just select any code from the dropdown and click on Refresh.

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	Appx(3-4)-091231-38874	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	For RE financial year: 2009	New	13-Mar-2009 0	1	
	Appx(3-4)-091231-38873	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	As at: 31-Dec-2009	New	13-Mar-2009 0		
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Special care has to be taken when using this filter with other filters. In the example below, App1 is an insurance form, so together with the Category filtered to Bank, there will be no forms on display.



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Period ending/As at					
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6.4 Calendar Year/Financial Year

This filter limits the display to audited or un-audited forms.

- Calendar Year: Un-audited
- RE Financial Year: Audited

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Appx(3-4)-091231-38874	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	For RE financial year: 2009	New	13-Mar-2009 0			
LB5-091231-38973	TEST NICK	Bank	LBS	Loans by Borr	For RE financial year: 2009	New	13-Mar-2009 0			
LD-091231-38976	TEST NICK	Bank	LD	DEPOSITS AN	For RE financial year: 2009	New	13-Mar-2009 0			
LD(Investments)-091231-38978	TEST NICK	Bank	LD (Inve	Investments	For RE financial year: 2009	New	13-Mar-2009 0			
LM(MS)-091231-39010	TEST NICK	Bank	LM(MS)	ASSETS & LIA	For RE financial year: 2009	New	13-Mar-2009 0			
Primary1-091231-39044	TEST NICK	Bank	Primary 1	Asset and Liab	For RE financial year: 2009	New	13-Mar-2009 0			
Primary2-091231-39046	TEST NICK	Bank	Primary 2	Unaudited Inc	For RE financial year: 2009	New	13-Mar-2009 0			
Primary3-091231-37444	TEST NICK	Bank	Primary 3	Audited Incom	For RE financial year: 2009	New	13-Mar-2009 0			
Primary4-091231-39048	TEST NICK	Bank	Primary 4	Assets and Ca	For RE financial year: 2009	New	13-Mar-2009 0			
Primary5-091231-39049	TEST NICK	Bank	Primary 5	Asset Quality	For RE financial year: 2009	New	13-Mar-2009 0			
RA-091231-39053	TEST NICK	Bank	RA	RINGGIT ACC	For RE financial year: 2009	New	13-Mar-2009 0			
Secondary-091231-39055	TEST NICK	Bank	Secondary	Loan Related I	For RE financial year: 2009	New	13-Mar-2009 0			
55-091231-39058	TEST NICK	Bank	SS	Staff Strength	For RE financial year: 2009	New	13-Mar-2009 0			
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In this example all forms that are generated based on a RE"s financial year are retained after Refresh.



6.5 Submission period

This filter limits the forms on display to a certain type of submission.

- Monthly
- Quarterly
- Half-Yearly
- Yearly

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GI9a-090630-37405	TEST NICK	General Insu	GI9a Statement	For period: 01-Jan-2009 - 30-Jun-2009	New	13-Mar-2009 02 0		
GI9b-090630-37406	TEST NICK	General Insu	GI9b Statement	For period: 01-Jan-2009 - 30-Jun-2009	New	13-Mar-2009 02 0		
GIR-090630-37384	TEST NICK	General Insu	GIR Revenue A	For period: 01-Jan-2009 - 30-Jun-2009	New	13-Mar-2009 02 0		
PL-090630-37424	TEST NICK	General Insu I	PL Profit and I	For period: 01-Jan-2009 - 30-Jun-2009	New	13-Mar-2009 02 0		
G1-091231-38890	TEST NICK	General Insu	G1 Schedule 1	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
G2-091231-38895	TEST NICK	General Insu	G2 Schedule 2	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
G3-091231-38899	TEST NICK	General Insu	G3 Schedule 3	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
G4-091231-38903	TEST NICK	General Insu	G4 Schedule 4	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
G5-091231-38908	TEST NICK	General Insu	G5 Schedule 5	As at: 31-Dec-2009	New	13-Mar-2009 02 0		
G6-091231-38912	TEST NICK	General Insu	G6 Schedule 6	As at: 31-Dec-2009	New	13-Mar-2009 02 0		
GI10a-091231-38918	TEST NICK	General Insu	GI10a Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
GI10b-091231-38920	TEST NICK	General Insu	GI10b Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
GI8a-091231-38922	TEST NICK	General Insu	GI8a Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
GI8b-091231-38924	TEST NICK	General Insu	GI8b Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
GI9a-091231-38926	TEST NICK	General Insu	GI9a Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0		
GI9b-091231-38928	TEST NICK	General Insu	GI9b Statement	For period: 01-Jul-2009 - 31-Dec-2009	New	13-Mar-2009 02 0	-1	
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By selecting Half Yearly, forms of other submission periods are eliminated when Refresh is clicked.



6.6 Submission type

This filter limits the forms on display to forms of a certain submission type.

- For period
- As at

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GI9a-090630-37405	TEST NICK	General Insu	GI9a Sta	itement	For period: 01-Jan-2009 - 30-Jun-20	009	New		13-Mar-2009 02 0			
GI9b-090630-37406	TEST NICK	General Insu	GI9b Sta	itement	For period: 01-Jan-2009 - 30-Jun-20	009	New		13-Mar-2009 02 0			
GIR-090630-37384	TEST NICK	General Insu	GIR Re	venue A	For period: 01-Jan-2009 - 30-Jun-20	009	New		13-Mar-2009 02 0			
PL-090630-37424	TEST NICK	General Insu	PL Pro	fit and I	For period: 01-Jan-2009 - 30-Jun-20	009	New		13-Mar-2009 02 0			
G1-091231-38890	TEST NICK	General Insu	G1 Sch	nedule 1	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
G2-091231-38895	TEST NICK	General Insu	G2 Sch	nedule 2	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
G3-091231-38899	TEST NICK	General Insu	G3 Sch	nedule 3	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
G4-091231-38903	TEST NICK	General Insu	G4 Sch	nedule 4	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
GI10a-091231-38918	TEST NICK	General Insu	GI10a Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
GI10b-091231-38920	TEST NICK	General Insu	GI10b Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
GI8a-091231-38922	TEST NICK	General Insu	GI8a Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
GI8b-091231-38924	TEST NICK	General Insu	GI8b Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	009	New		13-Mar-2009 02 0			
GI9a-091231-38926	TEST NICK	General Insu	GI9a Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
GI9b-091231-38928	TEST NICK	General Insu	GI9b Sta	itement	For period: 01-Jul-2009 - 31-Dec-20	009	New		13-Mar-2009 02 0			
GIR-091231-38932	TEST NICK	General Insu	GIR Re	venue A	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
PL-091231-39040	TEST NICK	General Insu	PL Pro	fit and I	For period: 01-Jul-2009 - 31-Dec-20	09	New		13-Mar-2009 02 0			
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By selecting Period submission type, only the submission forms involving a period will remain after Refresh.



6.7 Period ending/As at

This filter limits the display of forms to a certain end date. For example, in order to get the <u>first half of 2009</u> then this filter should be set to 31/6/2009 in addition to the Submission period filter to Half Yearly.

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G1-090630-3 TEST NICK General Insurance G1 Scheduk	1 - In For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
G2-090630-3 TEST NICK General Insurance G2 Scheduk	2 - O For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
G3-090630-3 TEST NICK General Insurance G3 Scheduk	3 - M For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
G4-090630-3 TEST NICK General Insurance G4 Scheduk	+ 4 - 0 For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
GI10a-09063 TEST NICK General Insurance GI10a Stateme	nt of C For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
GI10b-09063 TEST NICK General Insurance GI10b Stateme	nt of C For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
GI8a-090630 TEST NICK General Insurance GI8a Stateme	nt of P For Period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
GI8b-090630 TEST NICK General Insurance GI8b Stateme	nt of P For period: 01-Jan-2009 - 30-Jun-2009	Accepted 06-Mar-2009 13-Mar-2009 0									
GI9a-090630 TEST NICK General Insurance GI9a Stateme	nt of C For period: 01-Jan-2009 - 30-Jun-2009	New 13-Mar-2009 0									
GI9b-090630 TEST NICK General Insurance GI9b Stateme	nt of C For period: 01-Jan-2009 - 30-Jun-2009	New 13-Mar-2009 0									
GIR-090630 TEST NICK General Insurance GIR Revenue	Account For period: 01-Jan-2009 - 30-Jun-2009	New 13-Mar-2009 0									
PL-090630-37 TEST NICK General Insurance PL Profit an	d loss For period: 01-Jan-2009 - 30-Jun-2009	New 13-Mar-2009 0									
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	Page 1 of 1)									
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In this example, the filters are set to Half-yearly ending 30/06/2009 so forms that remain after Refresh are those of half-yearly submission ending on 30/06/2009.



6.8 Form Note

This filter limits the list to forms that has a form note attached or otherwise.

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* RA-090430 TEST NICK Bank RA RINGG As at: Open 15-May-2 16-Apr	-200	
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By select Yes in the Form note filter, only the forms with Form Notes remains in the list. The forms with attached form note(s) are denoted by an asterisk (*) in the Note column.



6.9 View

This filter limits the forms on display to those of specific status or all states.

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Form Paf # Deporting Entity	Category	Code	Title	Data	Statue	Submission Date	Modify DataTime	Note [FT]	
G1-090630-3 TEST NICK	General Insurance	G1	Schedule 1 - I	For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
G2-090630-3 TEST NICK	General Insurance	G2	Schedule 2 - O	. For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
G3-090630-3 TEST NICK	General Insurance	G3	Schedule 3 - M	. For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
G4-090630-3 TEST NICK	General Insurance	G4	Schedule 4 - O	. For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
GI10a-09063 TEST NICK	General Insurance	GI10a	Statement of	For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
GI10b-09063 TEST NICK	General Insurance	GI10b	Statement of	For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
GI8a-090630 TEST NICK	General Insurance	GI8a	Statement of	For Period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
GI8b-090630 TEST NICK	General Insurance	GI8b	Statement of	For period: 01	Accepted	06-Mar-2009	13-Mar-2009 02:1 0		
1				2	N N				
				/age 1 or 1					
Done									1.

In the example above, only forms in Accepted state will be displayed once the View filter is changed to Accepted.



6.10 Universal Filter

The universal filter (magnifying glass \mathcal{P}) is capable of searching in all the fields currently on display in the list.

		,					·					
	View [Open				•						
	ې ب ې											_
	Note	Form Ref #	Reporting Entity	Category	Code	Title	Date	Status	Submit By	Submission Date	Modified On	E,
Ш		Appx(3-4)-09	TEST NICK	Bank	Appx(3-4)	Appendix 3 & 4	For RE financial	Open	31-Mar-2010		16-Apr-2009	

In this example, the fields on display are:

- Reference Number
- Reporting Entity
- Category
- Code
- Title
- Date
- Status
- Submit By
- Submission Date
- Modify DateTime

By clicking on the magnifying glass (P_{\bullet}), a list of searchable fields is then displayed.

🔑 🙀	
Search All Fields	=
Search Reporting Entity	(3
- Search Category	νr
- Search Code	S)
• Search Title	iry
- Search Date	iry
- Search Status	
Search Submission Date	hd
Search Modify DateTime	



6.10.1 First, select the field to search in. In this example, we will use the Code field.



6.10.2 Next type in the code to be searched. For this example, we will use Primary 4. Then press Enter. Result will be like below.

🔮 Form - Lofsa SMS v0.2 [S	5M5@Oracle_office]	
<u>File View Go T</u> ools <u>H</u> e	elp User:	user <u>Loqout</u>
Workspace Form Form Form History Form Summary Case	Form RE TEST NICK Code Calendar Year/Financial Year	Refresh Mark Resubmit
Email Log Reporting Entity Category Form Template Email Template Warispre Chark	Submission period Submission type Period ending/As at View All View Primary 4	Form History
Setup User List Group	Form Ref # Reportin Category Code Modify D N P. Primary4-090131-37343 TEST NICK Bank Primary 4 A Fo 03-Mar-20 0 Primary4-090228-37686 TEST NICK Bank Primary 4 A Fo 03-Mar-20 0 Primary4-090331-38521 TEST NICK Bank Primary 4 A Fo 03-Mar-20 0	
Done	I	

6.10.3 It is also possible to search for Codes that begin with the word Primary. This is done by adding a percentage sign (%) behind the search word. Example below shows the result of such a search.



🔮 Form - Lofsa SMS v0.2 [9	iMS@Oracle_office]				
<u>File View Go T</u> ools <u>H</u> e	elp			User:	user <u>Loqout</u>
Workspace Form	Form				
Form History	RE TEST NICK	•	Category	•	Refresh
Case	Code	•	Calendar Year/Financial Y	'ear 💌	Mark Resubmit
Email Log	Submission period	•	Submission type	-	Form History
Reporting Entity Category Form Template	Period ending/As at	•	,		
Email Template Variance Check	P primary%			×	Į
Setup	Form R Reporting Cat	Code	Submis	Modify DateT N 🖽	
User	Primary1 TEST NICK Bank	Primary 1		03-Mar-2009 1 0	
List Group	Primary2 TEST NICK Bank	Primary 2		20-Feb-2009 0 0	
	Primary3 TEST NICK Bank	Primary 3		03-Mar-2009 0 0	
	Primary4 TEST NICK Bank	Primary 3		03-Mar-2009 1 0	
	Primary5 TEST NICK Bank	Primary 5		20-Feb-2009 0 0	
	Primary1 TEST NICK Bank	Primary 1		03-Mar-2009 1 0	
	Primary2 TEST NICK Bank	Primary 2		20-Feb-2009 0 0	
	Primarv4 TEST NICK Bank	Primarv 4		03-Mar-2009 1 0	
			Page 1 of 1		
Done					

6.10.4 With the same method, Codes that ends with a certain word or character can also be filtered. This is done by adding a percentage sign (%) before the search word. Example below shows the result of such a search (ending with 5).

Form - Lofsa SMS v0.2 [SMS@Oracle_office]					
<u>File View Go T</u> ools <u>F</u>	<u>H</u> elp			User:	user <u>Loqout</u>
🖃 Workspace	Fame				
Form	Form				
-Form History	RE TEST NICK	-	Category	-	Refresh
-Form Summary					
Case		_	Calendar Year/Hinancial 1	′ear 🗾	Mark Resubmit
Email Log	Submission period	•	Submission type	•	Form History
Reporting Entity	Period ending/As at				
Category					
Form Template	View New	_			
Email Template				X	
·Variance Check					
Setup	Form R Reporting	Cat., Code	Submis	Modify DateT N 🖽	
User	Primary5 TEST NICK	Bank Primary 5		20-Feb-2009 0 0	
List Group	Primary5 TEST NICK	Bank Primary 5		20-Feb-2009 0 0	
	Primary5 TEST NICK	Bank Primary 5		01-Mar-2009 1 0	
	G5-09063 TEST NICK	Gener G5		20-Feb-2009 0 0	
	G5-09063 TEST NICK	Gener G5		20-Feb-2009 0 0	
	L5-09063 TEST NICK	Life I., L5		03-Mar-2009 1 0	
	L5-09063 TEST NICK	Life R L5		03-Mar-2009 1 0	
	Trust5-09 TEST NICK	Trust.,. Trust 5		20-Feb-2009 0 0	
	P				
			Page 1 of 1		
Done					



6.10.5 Also with the same method, certain character or word that appears somewhere in the field can also be filtered. Example below shows the search of Codes with brackets, "()", in them.

Form - Lofsa SMS v0.2 [SMS@Oracle_office]						
<u>File View Go T</u> ools <u>H</u>	lelp User: u	user <u>Loqout</u>				
Elie View Go Iools H Workspace -Form -Form -Form History -Gase -Form Summary -Case -Email Log -Reporting Entity -Category -Form Template -Form Itemplate -Wariance Check Setup -User -List Group	elp User: u Form RE TEST NICK Category V Code Calendar Year/Financial Year V Submission period V Period ending/As at V View New V Form R Reporting Cat Code Submis Modify DateT N C Appx(3-4 TEST NICK Bank Appx(3-4) 20-Feb-2009 0 0 LD(Invest TEST NICK Bank LD (Investments) 01-Mar-2009 1 0	Logout Refresh Mark Resubmit Form History				
	Page 1 of 1					
Done						



7 Submission Form User Interface

This section goes through the various buttons in the submission forms explaining their functions.

Double clicking on any form in the form listing will bring up the submission form. Below is a typical submission form (Balance Sheet for insurance brokers).

Sorm		
Eile Edit Help		User: admin
	ру	
TEST NICK BBS: Balance Sheet As at: 31-Mar-2009		Status: Open
Liabilities	USD	
	Total	
A. Other liabilities	0	
1. Borrowings	0	
2. Provision for taxation	0	
3. Premiums due to insurers / reinsurers	0	
 Claims recoveries from insurers (reinsurers yet to be paid to clients Divideod pavable 	0	
6. Sundry Creditors	0	
7. Others	ů č	
B. Shareholdersi Funds	0	
1. Paid-up capital/working funds	0	
2. Share premium account	0	
3. Reserves	0	
4. Retained profit/(loss)	0	
	UU	
Done		



7.1 Save

This button saves the currently opened form.



The form values will be computed before the form is stored. If there are invalid values in the form a message will appear like below:



When this happens, look for invalid values in the form and correct them. Invalid values are marked by an exclamation mark (!).

Valid values for form fields are defined in the guide for the individual forms. For example, *Statement of Solvency* (App1) has its own documentation.

Refer to screenshot below for a sample:



rm*			-
<u>E</u> dit <u>H</u> elp		Us	er:
ave glose Calculate Print			
TEST NICK			
App1: Statement of Solvency			
As at: 30-Jun-2009		Status	: Or
	Malaysian	Others	
	USD	ı	
A. Paid-up Capital / Working fund	100	0	
B. General: 20% of net premium income of the preceding year	20	0	
C. Life: 3% of actuarial valuation of liabilities as at last valuation date	0	0	
D. Required margin of solvency (higher between)	100	0	
1.General (A&B)	100	0	
2.Life (A&C)	0	0	
3.Composite (A&(B+C))	0	0	
E. Total Assets	50		
F. Total liabilities	3	(-1]	
G. Excess of assets over liabilities (E-F)	47	1	ſ
H. Surplus/(Deficit) of margin of solvency (G-D)	-53	1	
			_

7.2 Close

This button closes the form. If there are unsaved changes a warning will appear.





7.3 Calculate

This button calculates the values for summary fields (white).



7.4 Ready

This button changes the form status from Open to Ready. Forms in Ready state means ready for submission.

Forms in ready status are not editable.



7.5 Open

This will change the form status from Ready to Open. Doing this will enable the form for editing.

7.6 Form Note

This button brings up the form note interface. Form notes are used to inform Labuan FSA of certain form values that exceeds the allowable threshold set by Labuan FSA.

🌑 Form Note			
Form Note			
· ·			Refresh
Subject	Create DateTime	Status 🖽	Insert
	🕅 🔍 🛛 Page 0 of 0	$\mathbb{P} = \mathbb{H}$	

See <u>Form Note</u> for further details.



7.7 Reset

The Reset function is a quick way of clearing a submission form data. It resets all form values including the auto-calculated summary fields. Numeric fields are set to zero (0) and alphanumeric fields are set to empty.

Confirm	×
?	Resetting the form will blank out all filled in values for this form. Continue?
	OK Cancel

A warning will appear and clicking on OK will execute the reset function.



7.8 Print

This function allows the hard copy printing of the submission form.

Clicking on print will bring up the print dialog.

Pri	nt		<u>?</u> ×
Γ	Printer		
	<u>N</u> ame:	PDFCreator	Properties
	Status:	PDFCreator	age writer
	Туре:	Samsung SCX-5x30 Series PC	L6
	Where:	PDFCreator:	
	Comment:	eDoc Printer	Print to file
Γ	Print range		Copies
	⊙ <u>A</u> ll		Number of <u>c</u> opies: 1 🚍
	C Pages	from: 1 to: 1	
	C <u>S</u> electi	on	
Γ	Print Frame	8	
	C As laid	out on the screen	
	C The se	lected frame	
	C Each fr	rame separately	OK Cancel

Select the printer to be used.

If more copies are required increase the copies required. After that is done, click on OK to start printing.

Depending on the printer, it may be necessary to click on properties to select whether to print in landscape or portrait. Also some printers may only be able to print in black and white. These settings are dependent upon the printer specifications.



Samsung SCX-5x30 Series PCL 6 Properties	? ×
Layout Paper Graphic Extras About	
Paper Orientation Portrait C Portrait C Landscape Rotate Degrees	s
Layout Options Layout Type Multiple Pages per Side	
Pages Order Right, Then Down	A4 8.26 x 11.69 in
Double-sided Printing	C mm C inch Copies: 1 Resolution: 600 dpi
SAMSUNE	Untitled Save
	DK Cancel Help



7.9 Copy

This feature copies the data from the previous submission form and bring it to this form. The previous submission form must be in the OFI SMS application in order for this to succeed.

This feature is to cater for forms that do not require much amendments from its last submission such as forms that cater to demographic data, personnel strength et cetera.

Confirm	×
?	Are you sure you want to copy the figures from previous submission to this form?
	OK Cancel

Clicking OK at the confirmation will execute the copying.

If a previous submission form does not exist, the error like below will appear.

Serior executing behavior: undefined	
Previous submission not found. Unable to pe	rform Copy c
	►
Close Show	<u>D</u> etails >>



8 Filling up a submission form

8.1 Double click on any form to view the submission form.

🗳 Form - Lofsa SMS v0.2 [RE@c	ffice]	- 🗆 ×
<u>File Yiew Go Tools H</u> elp	User: test	nick <u>Logout</u>
Workspace Reporting Entity	Form	
Form	RE Category V	Refresh
User		
Case		Hot Update
····RE Guides	Submission period Submission type	Submit Forms
	Period ending/As at	FormHistory
	View Open	Print
	Form R Reporting Cat C St Submi Submission Modified 🖽	
	Primary1 TEST NICK Bank Pri Open 15-Jul 13-Mar-2 true	
	Primary4 TEST NICK Bank Pri Open 15-Jul 13-Mar-2 false	
	Appx(3-4 TEST NICK Bank Ap Open 31-Mar 13-Mar-2 false	
	LBS-0906 TEST NICK Bank LBS Open 15-Jul 13-Mar-2 false	
	LB5-0912 TEST NICK Bank LB5 Open 31-Mar 13-Mar-2 false	
	LD-09013 TEST NICK Bank LD Open 15-Feb 13-Mar-2 false	
	LD-09123 TEST NICK Bank LD Open 31-Mar 13-Mar-2 false	
	LM(MS)-0 TEST NICK Bank LM Open 31-Mar 13-Mar-2 false	
	Primary1 TEST NICK Bank Pri Open 15-Feb 13-Mar-2 false	
	Primary1 TEST NICK Bank Pri Open 31-Mar 13-Mar-2 false	
	Primary2 TEST NICK Bank Pri Open 31-Mar 13-Mar-2 false	
	Primary3 TEST NICK Bank Pri Open 31-Mar 13-Mar-2 false	
	Primary3 TEST NICK Bank Pri Open 15-Jan 13-Mar-2 false	
	Primary4 TEST NICK Bank Pri Open 15-Feb 13-Mar-2 false	
	Primary4 TEST NICK Bank Pri Open 31-Mar 13-Mar-2 false 💌	
	Page 1 of 12	
Done		



8.2 Example of Submission form titled Public 1: Profile of Fund

Û	Form											- 🗆 🗙
Eile	<u>E</u> dit	Help									User:	testnick
H	<u>S</u> ave	<u>c</u> lose (Calculate	Ready	Open	Form Note	Reset Prin	t Copy				
_												
	TES		ск									
	Drimony 1: Accest and Lichilitics											
	Primary T. Asset and Liabilities											
As at: 30-Jun-2007 Status: Op											Open	
	Total	tal Assets: Main Total Assets: Section 1				Total Assets: Section 2			Total Liabilities & Capital: Mai	n		
	Total	Total Liabilities & Capital: Section 1 Total Comm						& Contingenci	ies			
		LISD										
	Tota	Total Assets						(0			
	Ca	Cash and short term funds						(0			
	(remaining maturity not exceeding 1 month)					g 1 month)			_			
	Cash and balances with banks and other FIs					her FIs	_	(0			
	Money at call and deposits placements					5 DI						
	Amount due from FIS/ Interbank Placements (remaining maturity of more than 1 month)					1 month)						
	F	Resident						(0			
	r I	Von-resid	dent					(0			
	De	Dealing Securities						(0			
		Government Debt Securities						(0			
		Corporate Debt Securities							0			
		Shares						(0			
		NIDs Accel backed Securities						L. L.				
	Other dealing securities							(0			
	Miscellaneous Assets								0			
	Fixed Assets							(ō			
	Land & Buildings								0			
	ו	Transport Vehicles						(0			
	Office Equipment & Furniture							(0			
		Computer Equipment & Software						(0			
		Other Fixed Assets						(0			
	GO	Goodwill/Intangible Assets						l l	0			
		Dererreu Allowance Investment in Subsidiary/Associate Companies							0			
	Other Debtors, Deposits & Prepayments								0			
	Oth	her Asse	ts		paymone	-		0	0			-
Do	ne											
00	ne											11.


8.3 In the Public 1 form, the submission form is divided into 6 tabs.





8.4 Yellow fields are editable fields. White fields are summary fields that will be calculated one the Calculate button is clicked.

🗳 Form*				- 🗆 🗙					
<u>File Edit H</u> elp User: testnick									
🔚 Save close Calculate Ready Open Form Note Reset Print Copy									
TEST NICK Primary 1: Asset and Liabilities As at: 30-Jun-2007									
Total Assets: Main Total Assets: Section 1	Tota	Assets: Section 2	Total Liabilities & Capital: Main						
Total Liabilities & Capital: Section 1 Total Con	mmitme	ents & Contingencies							
		USD							
Total Investment Securities		441,830,891							
Investment Securities		9,631,856							
Government Debt Securities		356,346							
Corporate Debt Securities		6,460							
Shares		8,655,470							
Quoted Shares		8,568,680							
Unquoted Shares		05,790 94 790							
Asset-backed Securities		3 250							
Other investments		523,550							
Islamic Investment Securities		432,199,035							
Government Debt Securities		-5,236,320							
Corporate Debt Securities		5,350							
Shares		436,622,290							
Quoted Shares		436,546,540							
Unquoted Shares		75,750							
NIDs		754,707							
Asset-backed Securities (ABS) Other investments		550 52.250							
Other investments		52,350							
Done									
Done				//,					

8.5 To save the submission data, click on Save.

Second Se	_ 🗆 🗙
<u>Eile E</u> dit <u>H</u> elp	User: testnick
Save close Calculate Ready Open Form Note Reset Print Copy	
TEST NICK	
Primary 1: Asset and Liabilities	
As at: 30-Jun-2007	Status: Open
Total Assets: Main Total Assets: Section 1 Total Assets: Section 2 Total Liabilities 8	≩ Capital: Main



8.6 If the form is ready for submission to Labuan FSA, click on Ready to mark it for submission.

🚭 Form									
<u>File Edit H</u> elp User: testnick									
🔚 Save close Calculate (Ready) Open Form Note Reset Print Copy									
TEST NICK									
Primary 1: Asset	and Liabilities								
For period: 01-Jan-2	For period: 01-Jan-2009 - 31-Jan-2009 Status: Open								
Total Assets: Main	otal Assets: Section 1	Total Asse	ts: Section 2	Total Liabilities & Capital: Main					
Total Liabilities & Canital	Section 1 Total Cor	nmitmente &	Contingencies						

8.7 If a form has pending cases, the form cannot be ready for submission until the case has been responded to. An alert like below will appear.

Serror executing behavior: u	ndefined
There are case(s) pending for this Please respond to the case(s) first	form.
]	
Close	Show <u>D</u> etails >>

For more details on case Handling refer to the <u>Case section</u>.



8.8 Forms in ready state will be submitted the next time the Submit Form button is pressed in the form listing.

Form - Lofsa SMS v0.2 [SMS@RE_off]								
<u>File View Go I</u> ools <u>H</u> elp User: testnick								
Workspace Reporting Entity Form	Form							
Case	RE Category	Refresh						
FormSummary	Code Calendar Year/Financial Year	Hot Update						
User RE Guides	Submission period Submission type	Submit Forms						
	Period ending/As at	FormHistory						
	View Open	Print						
	<i>₽</i> , %							
	Form R Reportin Ca C St Submi Submission Modifie 🖽							
	Appx(3-4 TEST NICK Bank Ap Open 15-Apr 20-Feb-2							
	LBS-0906 TEST NICK Bank LBS Open 15-Jul 03-Mar-2							
	LD-0901 TEST NICK Bank LD Open 15-Feb 03-Mar-2							
	LD(Inves TEST NICK Bank LD Open 15-Feb 20-Feb-2							
	LM(MS)-0 TEST NICK Bank LM Open 15-Apr 20-Feb-2							
	Primary1 TEST NICK Bank Pri Open 15-Feb 03-Mar-2							
	Primary2 TEST NICK Bank Pri Open 15-Feb 20-Feb-2							
	Primary3 TEST NICK Bank Pri Open 15-Jan 03-Mar-2							
	- III III Page 1 of 4 ► ►I							
Done								

8.9 A ready form will have all cells disabled from editing. If a form needs to be edited, the form needs to be opened. To do this, click on the Open button at the top of the form.

Form									
Eile Edit Help User: testnick									
🚽 Save glose Calculate Ready Open Form Note Reset Print Copy									
TEST NICK									
Primary 1: Asset and Liabilities									
For period: 01-Jan-2009 - 31-Jan-2009	Status: Ready								
Total Assets: Main Total Assets: Section 1 Total Assets: Sec	tion 2 Total Liabilities & Capital: Main								
Total Liabilities & Capital: Section 1 Total Commitments & Contine	gencies								



9 Form note

A form note is used to mark forms that contain values that are outside the acceptable range defined by Labuan FSA. Please refer to Guidance Notes provided for more information on the threshold settings.

9.1 To add a form note, click on the Form Note button at the top of a submission form.



9.2 The form note list shows all the form notes that are attached to the current form.



🔮 Form Note									
Form Note									
P. 20									
Subject	Create DateTime	Status 🛤	Insert						
		_							
	M A Page O of O								

- 9.3 Click on Insert to add a new form note.
- 9.4 The form has to be in Open status to be able to add a Form Note.



9.5 A form note window looks like below:

🔮 Form	ote	
<u>E</u> ile <u>E</u> di	Help	User: testnick
📙 Save	nd <u>C</u> lose 💼 Sav <u>e</u> and New	
	Form LD(Investments)-090131-373 Status Active	7
	Subject	*
Descrip	on	
Done		

9.6 Fields:

- 9.6.1 Form Reference number of the form this form note is attached to.
- 9.6.2 Status State of this form note.
- 9.6.3 Subject Reason of this form note.
- 9.6.4 Description Detail description of the note.



10 Form submission history

The form history module keeps historical data on all forms submitted whether approved by Labuan FSA or not. These forms include those that failed Labuan FSA data checks.

For example, if a form has been rejected 3 times, there will be 3 revision histories. When the form is submitted the 4th time and it is accepted, a 4th revision will be created in form history and this revision will be exactly the same as the submitted version.

10.1 To access Form History, click on Form History button in the Form module listing.

🚭 Form - Lofsa SMS v0.2 [S	MS@RE_off]	_ 🗆 🗡
<u>File View Go Tools H</u> e	elp User: testr	nick <u>Loqout</u>
Workspace Reporting Entity	Form	
Form User	RE Category Leasing	Refresh
Case	Code Calendar Year/Financial Year	Hot Update
RE Guides	Submission period Submission type	Submit Forms
	Period ending/As at	FormHistory
	View All	Print
	P. %	
	Form Ref # Reporting Entity Category Code Title Date S Submit By Submission Date Modified On Note 🖽	
	LRI-0906 TEST NICK Leasing LR1 Lea For per 5u 15-Jul-2009 29-Mar-2009 29-Mar-20 false	
	For period: 01-Jan-2009 - 30-Jun-2009	
	Page 1 of 1	
Done		1.

10.2 This will bring up the form history listing.



🔮 FormH	listory									
Form	listory									
<i>P</i> .	<i>P</i> .									
Form LR1-09	Reporting Entity TEST NICK	Category Leasing	Code	Date For perio	Revision 1	Modified On 29-Mar-2009	E	Cancel		
		ie e	Page 1	of 1	► Fi					

10.3 To view a form, double click on a record in the Form History listing. This will bring up a window similar to a submission form. This historical submission form can be open side by side with a current submission form for comparisons.



SormHistory		
<u> E</u> dit <u>H</u> elp		User: testnick
<u>c</u> lose Print		
TEST NICK LR1: Leasing Submission Form For period: 01-Jan-2009 - 30-Jun-200	n 09 Status	:: Submitted
Leasing Company Type of Lease: Section	on 1 Type of Lease: Section 2 Type of Lease: Section 3	
Leasing Company Physical Presence in Labuan Country of Origin Status Registered address Office Address Financial Year End Name of Auditor Insurance Company		
Done		



11 Case

Cases are raised when forms are rejected because of out-of-range data. Cases have to be responded to before the associated form can be ready for submission.

11.1 To access the Case module, double-click on Case in the module listing.



 $11.2\,$ This brings up the Case listing.

1	Ca	se - Lo	fsa SMS v0.	2 [SM5@RE]							
Ē	ile	⊻iew	<u>G</u> o <u>T</u> ools	Help					User:	testnick	Logout
	Cá	ise									
	View	All					•				Refresh
	P.	%									
	Cas	e#	Subject	Reporting Entity	Form	Form Start	Form End Date	Create DateTime	Status	E.	
	0001	41	TEST	TEST NICK	RA-090131-37	01-Jan-2009	31-Jan-2009	29-Mar-2009 08:31	Received		
						Page 1	of 1 🔹 🕨	M			
	Done	!									1.

 $11.3\,$ To view a case, double-click on an existing case.



🔮 Case					
<u>File E</u> dit <u>H</u> elp				User:	testnick
📕 Save and <u>C</u> lose	Responded				
Case#	000141	<u>Form</u>	RA-090131-37345		•
Reporting Entity	TEST NICK	Status	Received		~
Subject	TEST				
General					
Description					
TEST					
Resolution					
Done					

11.4 To respond to a case, the Resolution field has to be filled in with the relevant information.

🔮 Case*		
<u>F</u> ile <u>E</u> dit <u>H</u> elp		User: testnick
Save and Close	Responded	
Case#	000141 Form RA-090131-37345	•
Reporting Entity	TEST NICK Status Received	~
Subject	TEST	
General		
Description		
TEST		
Resolution		
Amended erroneo	us values from form.	
Done		



11.5 Click on Save and Close or press ctrl-S to save the changes.

Case	
<u>Eile E</u> dit <u>H</u> elp	User: testnick
Save and Close Responded	
Case# 000141 Form RA-090131-37345	•
Reporting Entity TEST NICK Status Received	7
Subject TEST	
General	
Description	
TEST	
Resolution	
Amended erroneous values from form.	
Done	

- 11.6 To mark the form as a response to Labuan FSA, click on Responded. The updated case will be sent to Labuan FSA when the next Hot Update is done.
- 11.7 The submission form associated to a particular case can be traced by the form reference number. In the example above, the form reference number is RA-090131-37345. This reference number can be used in the <u>form</u> <u>listing universal filter</u> to search for a particular form.



12 User

Reporting entities can create more users to aid in data entry. This can be done by accessing the user module in the module listing. Creating local data entry users <u>does not</u> require any approval or action from Labuan FSA.



Newly created users are local users that only have access to submissions for the Principal Officer they are operating under.



The newly created users will do the data entry into one centralized database (RE Full Application) on behalf of the Principal Officer.



Procedures for creating a new user are as below:

12.1 Double-clicking on the User module will bring up the user listing.

🔮 User - Lofsa SMS v0.2	2 [SM5@RE]	
<u>File View Go T</u> ools	Help User: testnick	Logout
Workspace Reporting Entity	User	
Form Case	P. 12	Refresh
FormSummary	Name Business Unit Location Main Phone State Primary Role Modified On 🖽	Insert
User		Delete
····RE Guides		
	i d → Page 0 of 0 → Di	
Done		

12.2 Click on Insert to bring up the user window.

🔮 User			
<u>File E</u> dit <u>H</u> elp			User: testnick
🔚 Save and Close 💼 Save	and New		
Name	*	State	Active
General Address Descrip	tion		
Title		Mobile Phone	
First Name	*	Home Phone	
Middle Name		Main Phone	
Last Name	*	Other Phone	
Email		<u>Fax</u>	
Website		Primary Role	•
Done			11

Note: Fields above in Red and marked by an asterisk (*) are mandatory fields.



$12.3\,$ The details about the fields are listed below:

No	Field	Purpose
1	Name	Login username. Mandatory field.
		Active: Allow login
2	State	Inactive: Disable login
		Default is Active.
3	Title	Salutation (Mr., Ms., Mdm.)
4	First Name	First name of user.
5	Middle Name	Middle name of user.
6	Last Name	Last name of user.
7	Website	Website of user.
8	Mobile Phone	Mobile phone number.
9	Home Phone	Home phone number.
10	Other Phone	Other phone number.
11	Fax	Fax number.
12	Primary Role	Access rights assigned to this user.
12	T Timar y Role	(RE, Labuan FSA normal user or Labuan FSA
		administrator.)
13	Main Address	Main address of the user.
14	Other Address	Alternative address of user.
15	Description	Remarks.



13 RE Guides

The RE Guides are links to access submission form guides from Labuan FSA. The SMS application must have access to the internet for this module to function.

🌒 Fo	orm – Lo	ofsa S	MS v0.:	2 [5
<u>F</u> ile	⊻iew	<u>G</u> o	<u>T</u> ools	<u>H</u> ∈
🖃 Wo	rkspace			
-	Reporti	ng Enl	tity	
-	Form			
	Case			
	FormSu	ımmar'	У	
	User			
	-RE Guio	les		

To access the module double-click on the RE Guides in the module listing. This will bring up the RE Guide listing.

🌑 browser - Lofsa SMS v0	.2 [SMS@RE]	
<u>File View Go Tools F</u>	Help User: testnic	:k <u>Loqout</u>
Workspace Reporting Entity Form Case FormSummary User RE Guides	LOFSA SMS - Guidance Notes Choose one go	
Done		

Select a category from the dropdown to reach the guide download page.



🌑 browser - Lofsa SMS v0.	2 [SM5@RE]	
<u>File View Go Tools H</u>	elp	User: testnick <u>Loqout</u>
Workspace Reporting Entity Form Case FormSummary	LOFSA	A SMS - Guidance Notes
User	Form Code	Form Title
-RE Guides	Trust 1	ACTIVITIES OF LABUAN TRUST COMPANIES/OFFSHORE COMPANIES
	Trust 2	OFFSHORE COMPANIES INCORPORATED/REGISTERED
	Trust 3	PROFIT AND LOSS ACCOUNT
	<u>Trust 4</u>	STAFF STRENGTH AND TURNOVER
	Trust 5	Trust Company
Done		1.

Click on the links to view the desired guide.

🔮 browser - Lofsa SMS v0.2 [SMS@RE]	1×
<u>File View Go</u> Iools Help User: testnick Lo	gout
Elle View Go Lools Help User: testnick Loo • Workspace • Reporting Entity • Form • Case • FormSummary • User • RE Guides	
	T
Done	//.

The guide can be printed by clicking on the print button.



🚭 browser - Lofsa SMS	v0.2 [SMS@RE]	
<u>File View Go T</u> ools	Help User: testnick	Logout
Workspace Reporting Entity	📄 🖹 🍇 • 🌍 🔶 🕂 / 1 0 💿 60.1% • 🔚 🕃	
-Form Case	FirClick to print this PDF file or pages from it	

The guide can be saved for future reference by clicking on the save button.





14 Maintenance

The Full Application has its own database to store data from offline data entry. This database is a MSSQL-2005 database. It is good practice to periodically backup the database in case of unforeseen disasters.

14.1 Backing Up

Below are the steps to back up a RE database.

14.1.1 Stop the LOFSASMS service.

🗢 🍝 🔟 🖾 🛛						
Services (Local)	Name 🛆	Description	Status	Startup Type	Log On As	4
	Distributed Transac	Coordinate	Started	Automatic	Network S	
	DNS Client	Resolves a	Started	Automatic	Network S	
	Error Reporting Ser	Collects, st	Started	Automatic	Local System	
	Event Log	Enables ev	Started	Automatic	Local System	
	File Replication	Allows files		Manual	Local System	
	Help and Support	Enables He	Started	Automatic	Local System	
	HTTP SSL	This servic		Manual	Local System	
	Human Interface D	Enables ge		Disabled	Local System	
	MAPI CD-Burning	Manages C		Disabled	Local System	
	Indexing Service	Indexes co		Disabled	Local System	
	Intersite Messaging	Enables me		Disabled	Local System	
	IPSEC Services	Provides e	Started	Automatic	Local System	
	Kerberos Key Distri	On domain		Disabled	Local System	
	License Logging	Monitors a		Disabled	Network S	
		LOFSA Sta	Started	Automatic	Local System	
	Logical Disk Manager	Detects an	Started	Automatic	Local System	
	Logical Disk Manag	Configures		Manual	Local System	
	Messenger	Transmits		Disabled	Local System	
	Ba Microsoft Coffusion	Managoria		Manual	Local Suctors	

14.1.2 Stop the SQL Server (LOFSASMS) service.



Services				
<u>File Action View</u>				
Þ → 🖬 😭	◙ 暍 ▶ 🔳 ॥ ■▶			
🙀 Services (Local)	Name 🛆	Description	Status	Startup
	Security Center	Monitors s	Started	Automat
	Server 🖏	Supports fil	Started	Automat
	Server Intelligence Agent (THEREISNOSPOON)	Manages B	Started	Automat
	🎭 Shell Hardware Detection	Provides n	Started	Automat
	🎇 SigmaTel Audio Service	Manages Si	Started	Automat
	🆓 Smart Card	Manages a		Manual
	SQL Server (LOFSASMS)	Provides st	Started	Automat
	🦓 SQL Server (SQLEXPRESS)	Provides st		Automat
	SQL Server Active Directory Helper	Enables int		Disabled
	🦓 SQL Server Browser	Provides S	Started	Automat
	SQL Server Integration Services	Provides m	Started	Automat
	🦓 SQL Server VSS Writer	Provides th	Started	Automat
	SQLSERVERAGENT			Manual
	SSDP Discovery Service	Enables dis	Started	Manual
	Sybase BCKServer _ THEREISNOSPOON_BS			Manual
	Sybase MONServer _ THEREISNOSPOON_MS			Manual
	Sybase SQLServer _ THEREISNOSPOON			Manual
	(1), (1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1		1	Mana al
	V Extended Chendered			<u> </u>

- 14.1.3 Copy the files lofsa.mdf and lofsa.ldf from c:\lofsasms\db to another location. These files are the backups.
- 14.1.4 Start the SQL Server (LOFSASMS) service.
- 14.1.5 Start the LOFSASMS service.



14.2 Restoring

Below are the steps to restore the RE database.

14.2.1 Stop the LOFSASMS service.

⇐ ⇒ 🛛 🖬 🔤 [3 B B 😫 🖬 🕨 🖡	■▶				
🆏 Services (Local)	Name 🗡	Description	Status	Startup Type	Log On As	-
	🖓 Distributed Transac	Coordinate	Started	Automatic	Network S	
	DNS Client	Resolves a	Started	Automatic	Network S	
	Error Reporting Ser	Collects, st	Started	Automatic	Local System	
	🖏 Event Log	Enables ev	Started	Automatic	Local System	
	File Replication	Allows files		Manual	Local System	
	Help and Support	Enables He	Started	Automatic	Local System	
	HTTP SSL	This servic		Manual	Local System	
	Human Interface D	Enables ge		Disabled	Local System	
	MAPI CD-Burning	Manages C		Disabled	Local System	
	Indexing Service	Indexes co		Disabled	Local System	
	Intersite Messaging	Enables me		Disabled	Local System	
	IPSEC Services	Provides e	Started	Automatic	Local System	
	Kerberos Key Distri	On domain		Disabled	Local System	
	License Logging	Monitors a		Disabled	Network S	
	LOFSASMS	LOFSA Sta	Started	Automatic	Local System	
	Logical Disk Manager	Detects an	Started	Automatic	Local System	
	Logical Disk Manag	Configures		Manual	Local System	
	Messenger	Transmits		Disabled	Local System	
	BA Microsoft Coffusion	Managere		Manual	Local Cuctom	

14.2.2 Stop the SQL Server (LOFSASMS) service.



<u>File A</u> ction <u>V</u> iew	Help			
⊨ → 💽 😭	2 🗟 😫 🕨 🔳 💷 🖦			
Services (Local)	Name A	Description	Status	Startup
	Security Center	Monitors s	Started	Automat
	Server 🖏	Supports fil	Started	Automat
	Server Intelligence Agent (THEREISNOSPOON)	Manages B	Started	Automat
	🆓 Shell Hardware Detection	Provides n	Started	Automat
	🆓 SigmaTel Audio Service	Manages Si	Started	Automat
	🦓 Smart Card	Manages a		Manual
	SQL Server (LOFSASMS)	Provides st	Started	Automat
	🦓 SQL Server (SQLEXPRESS)	Provides st		Automat
	🦓 SQL Server Active Directory Helper	Enables int		Disabled
	🦓 SQL Server Browser	Provides S	Started	Automat
	SQL Server Integration Services	Provides m	Started	Automat
	🦓 SQL Server VSS Writer	Provides th	Started	Automat
	SQLSERVERAGENT			Manual
	SSDP Discovery Service	Enables dis	Started	Manual
	Sybase BCKServer _ THEREISNOSPOON_BS			Manual
	Sybase MONServer _ THEREISNOSPOON_MS			Manual
	Sybase SQLServer _ THEREISNOSPOON			Manual
			1	Mana and A
				<u> </u>

- 14.2.3 Copy the previously backed up files, lofsa.mdf and lofsa.ldf, to c:\lofsasms\db.
- 14.2.4 Start the SQL Server (LOFSASMS) service.
- 14.2.5 Start the LOFSASMS service.



14.3 Re-installation

If there is a need to re-install the SMS Full Application to another PC, the right step to do it is:

- 1. Follow instructions to backup the existing database in the existing PC as per section 14.1
- 2. Install the SMS Full Application on the new PC.
- 3. Follow instruction to restore the backup to the new PC, as per instructions 14.2.

15 Troubleshooting

This section documents the troubleshooting method for frequently faced issues.

15.1 Installation – SQL 2005 on Windows XP SP3

The MSXML6 component is required for the standalone database to be installed. However upon applying SP3 the MSXML6 component is upgraded to a version equal to that in the MSSQL 2005 installation. The setup will terminate because this component cannot be overwritten.



	Status
MSXML6	Setup failed. Refer to the Setup log for
SQL Server Books Online	Setup finished
SQL Setup Support Files	Setup finished
SQLXML4	Setup finished
SQL Native Client	Setup finished
OWC11	Setup finished
SQL Server Backward-Compatibility Files	Setup finished
Workstation Components, Books Onlin	Setup failed. Refer to the Setup log for

A utility released by Microsoft can rectify this problem. This utility can be downloaded from: <u>http://support.microsoft.com/kb/968749</u>. Refer to <u>http://support.microsoft.com/kb/968749</u> on further details.



15.2 Login – Invalid user id or password

2	Ajax callback exception
	Invalid user id or password
ĺ	Close Show <u>D</u> etails >>

Possible cause:

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

- Wrong User Id
- Wrong password

Troubleshooting:

- Registration step with id "readmin" must be successful before a user can login with the Labuan FSA provided ID. Refer Labuan FSA SMS Training Guide (RE) section 3.1.
- If registration step is done, check the user ID and password provided by Labuan FSA.

15.3 Login – Failed to contact server



🌑 Ajax callback e	exception	
Failed to contact se	erver	
,	Close	Show <u>D</u> etails >>

Possible cause:

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

- The SMS application cannot contact the SMS service configured in the Server Name.
- The SMS service as referred to in the Server Name is not running.

Troubleshooting:

• Check the SMS service configured in Server Name.



🔮 Server Connectio	n Settings	
Connection Settings		
Server Name :	SMS@RE	
Server URL :	http://127.0.0.1:81/	
Storage Version :	4	
Server List		
SMO@RE		
Save A	id Delete Ok	Cancel

The default connection should be the above.

(http://127.0.0.1:81/)

Use the above configuration when connecting from the Full Application. Otherwise, replace the IP address in Server URL with the IP address of the full application.

Refer: Labuan FSA SMS Training Guide (RE) section 3.2.

• Check SMS service.

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

• Check network connection.

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

• Check destination port.

A telnet test can determine if the necessary ports in the Full Application machine is accessible. This test should only be done if the ping test was



successful. This test can be done on the Full Application machine itself or on the machine connecting to it. Refer to <u>Telnet test</u>.

15.4 Setup – Fail to obtain Middle-Tier



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

Troubleshooting: Proceed with MSSQL 2005 database test.

15.5 Registration – Failed to update settings

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





Possible cause:

- The Full Application machine is unable to establish a connection to Labuan FSA.
- The LOFSA SMS application server may be down.

Troubleshooting:

- Check the connectivity to Labuan FSA.
 A <u>ping test</u> should be done from the Full Application machine to the URL http://www.labuanfsa.gov.my (LOFSA SMS application server).
- If the ping test is successful, then a <u>telnet test</u> should be done using the port 8082.



15.6 Tests - SMS service

At the full application machine, go to the service listing by: Start → Settings → Control Panel → Administrative Tools → Services

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

The LOFSASMS service must be in **Started** state in order for the SMS application to function.



15.7 Tests - MSSQL 2005 Database

At the Full Application machine, go to the service listing by: Start \rightarrow Settings \rightarrow Control Panel \rightarrow Administrative Tools \rightarrow Services

Services						_ 🗆 ×
<u>File Action View</u>	Help					
⇔ → 🖬 😭 🕻) 🖪 😫 🕨 🗉 🗉 💷					
🍇 Services (Local)	Name 🛆	Description	Status	Startup Type	Log On As	
	Ros RSVP	Provides n		Manual	Local System	
	Remote Access Auto Connection Ma	Creates a		Manual	Local System	
	Remote Access Connection Manager	Creates a	Started	Manual	Local System	
	Remote Desktop Help Session Manager	Manages a		Manual	Local System	
	Remote Procedure Call (RPC)	Provides th	Started	Automatic	Network Service	
	Remote Procedure Call (RPC) Locator	Manages t		Manual	Network Service	
	Remote Registry	Enables re	Started	Automatic	Local Service	
	Removable Storage			Manual	Local System	
	Routing and Remote Access	Offers rout		Disabled	Local System	
	Secondary Logon	Enables st	Started	Automatic	Local System	
	Security Accounts Manager	Stores sec	Started	Automatic	Local System	
	Security Center	Monitors s	Started	Automatic	Local System	
	Server	Supports fil	Started	Automatic	Local System	
	Server Intelligence Agent (THEREIS	Manages B	Started	Manual	Local System	
	🖏 Shell Hardware Detection	Provides n	Started	Automatic	Local System	
	SigmaTel Audio Service	Manages Si	Started	Automatic	Local System	
	🆓 Smart Card	Manages a		Manual	Local Service	
	SQL Server (LOFSASMS)	Provides st		Manual	Network Service	
	SQL Server (SQLEXPRESS)	Provides st	Started	Manual	Network Service	
	🖏 SQL Server Active Directory Helper	Enables int		Disabled	Network Service	
	SQL Server Browser	Provides S	Started	Automatic	Network Service	
	SQL Server Integration Services	Provides m	Started	Automatic	Network Service	
	Bacol Control UCC Written	Drouidoc H	Charlad	Automotic	Local Suctom	
	\Extended \Standard /					

The SQL Server (LOFSASMS) service must be in **Started** state for the SMS application to function.



15.8 Tests - Telnet

Go to Start \rightarrow Run. Type in cmd and hit enter. A console screen will appear.



Type in: telnet "IP Address" "Port" And hit enter.

The IP Address is the IP Address of the target machine, and the Port is port number the connection utilizes.





A blank console screen will appear on successful connection.



To exit, press ctrl-]. Then key in quit and hit enter.





A failed telnet test will result in the error message:

Connecting To 219.93.30.148...Could not open connection to the host, on port 81: Connect failed

This means a connection cannot be established with the machine (219. 93. 30. 148) using the port 81.

This could be caused by:

- Firewall preventing outgoing traffic.
- Network policies preventing this connection.
- Target is unreachable or target port is closed.