Statistical Management System (SMS)

User Manual – Bank

Version 7.0

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Revision History

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

1.1. Objective

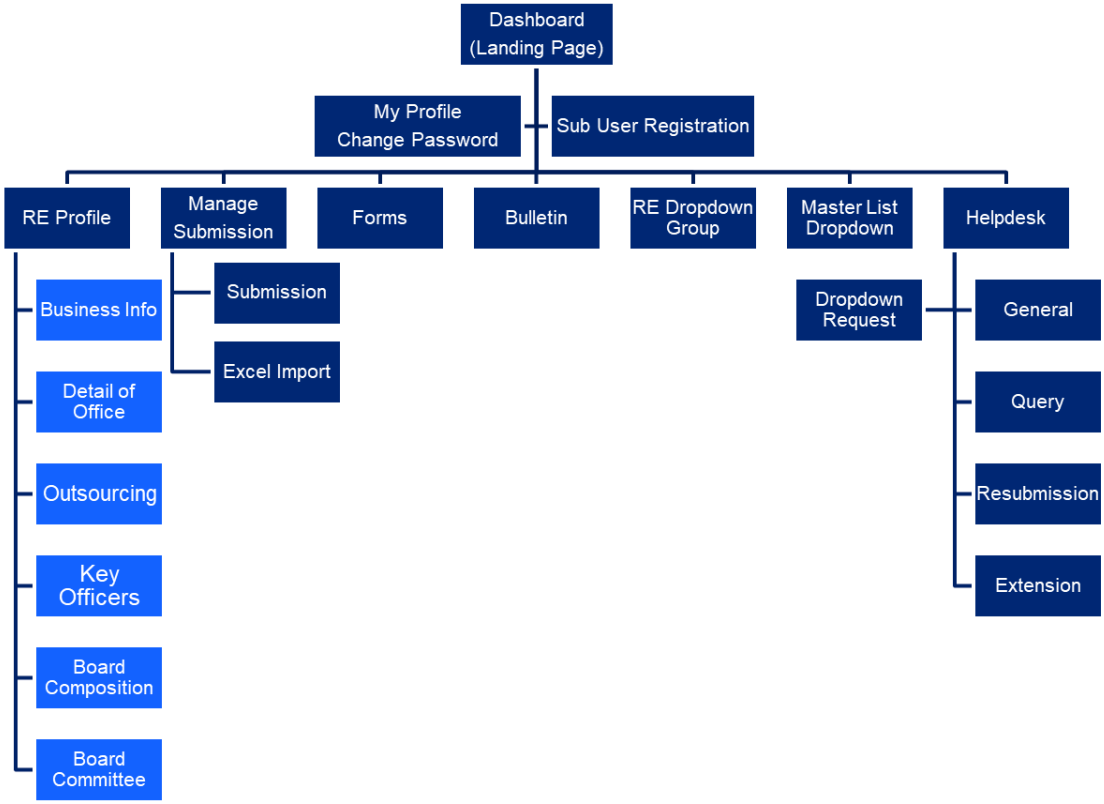
1.1.1 Purpose

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.

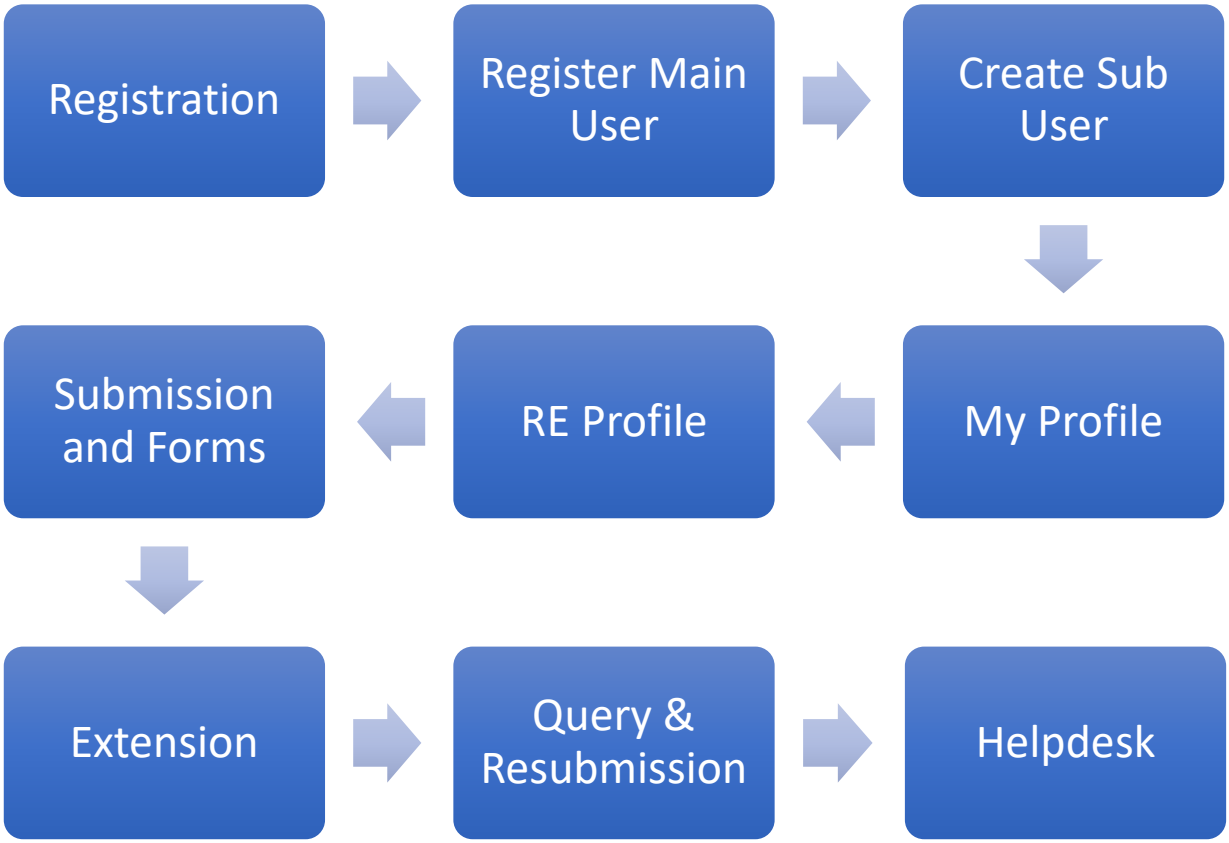


1.3. How to Begin

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

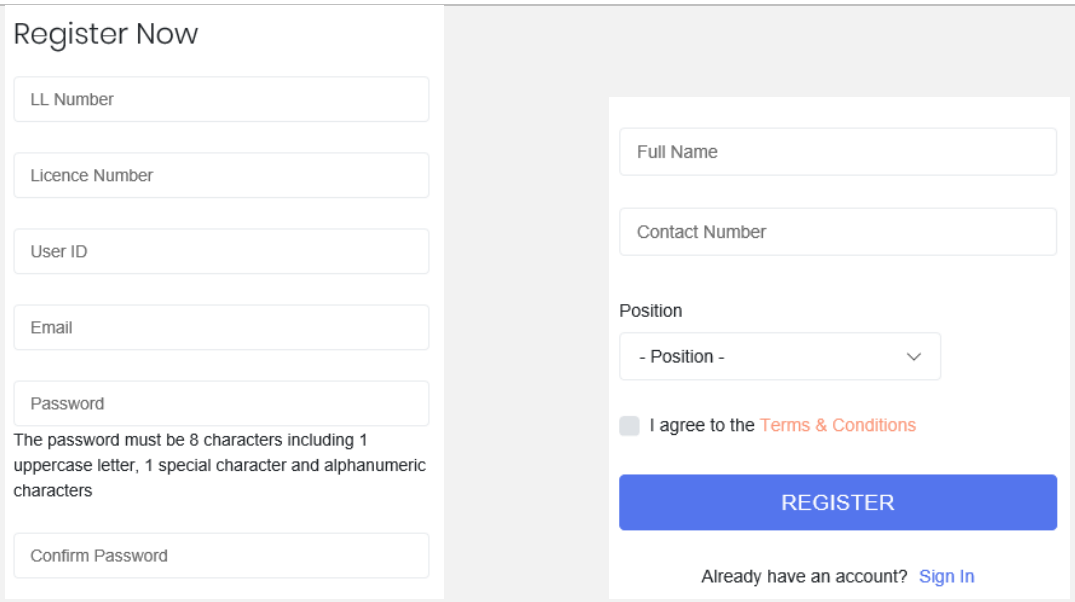
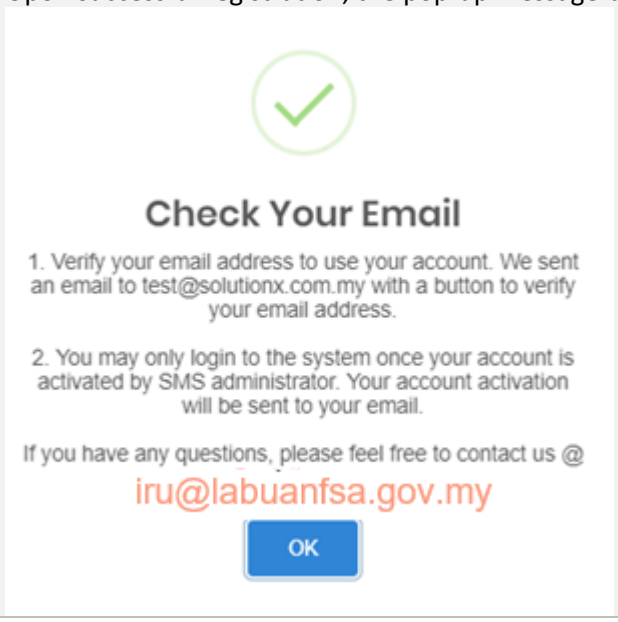
RE Main User registration is done via online in the provided website URL https://sms.labuanfsa.gov.my.

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:

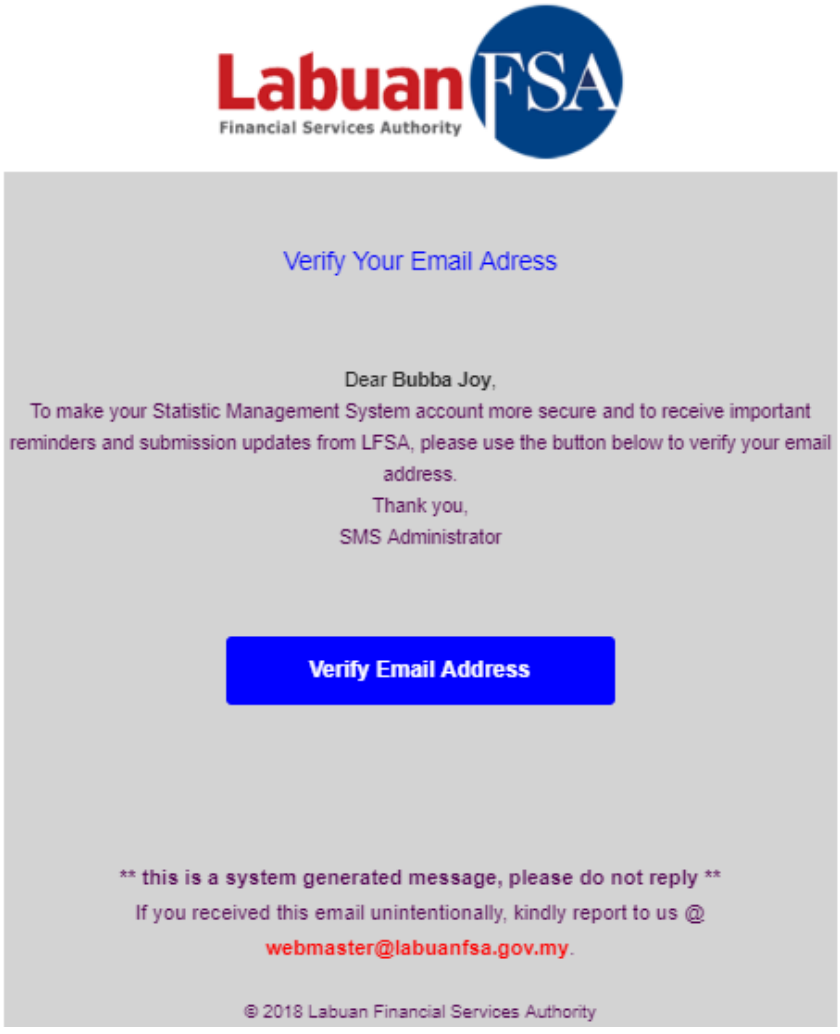
Step	Action
1	Launch a browser and go to https://sms.labuanfsa.gov.my
2	Click at the Register link Don't have an account? Register
3	The following details in the screenshot will need to be entered when creating registering a new RE user. Please refer to screenshot, all the fields are mandatory.

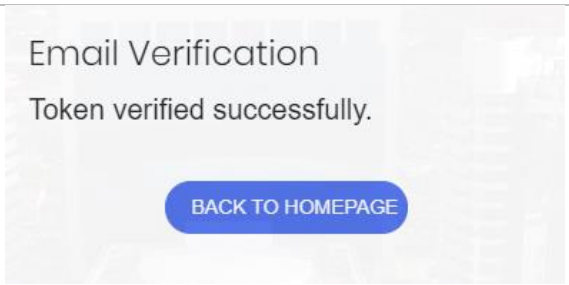
	
4	Click the Register button.
5	Upon successful registration, the pop-up message below will appear. 
6	A system generated message will be emailed to your inbox. The next step is continued in the next section.

2.1.3 Email Verification

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

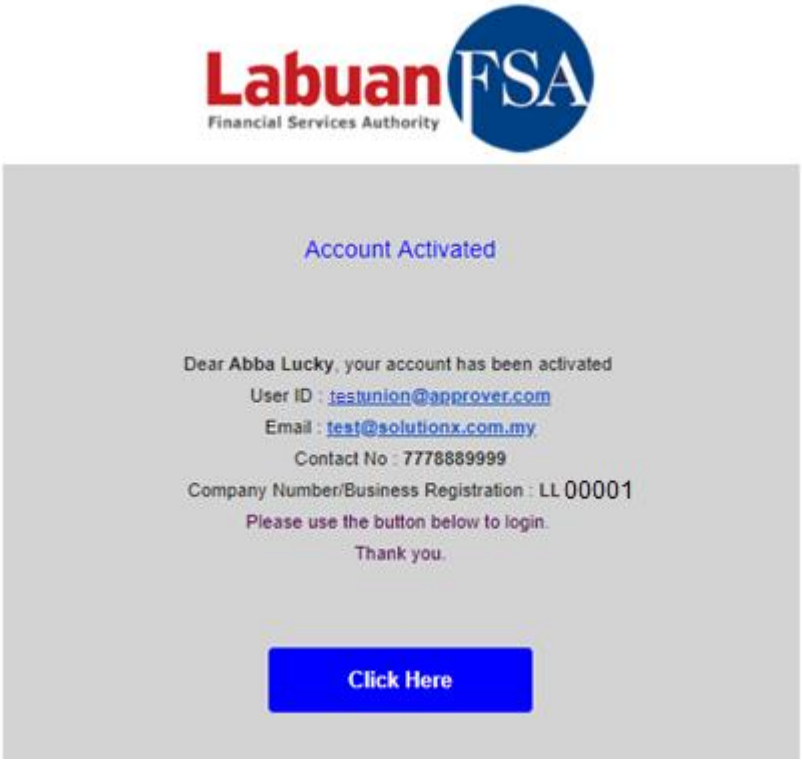
SMS Portal will send alerts and notification via email; please ensure to verify your email.

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	The account is still in Pending status until IRU Officer verified and activated the account. The next step is continued in the next section.

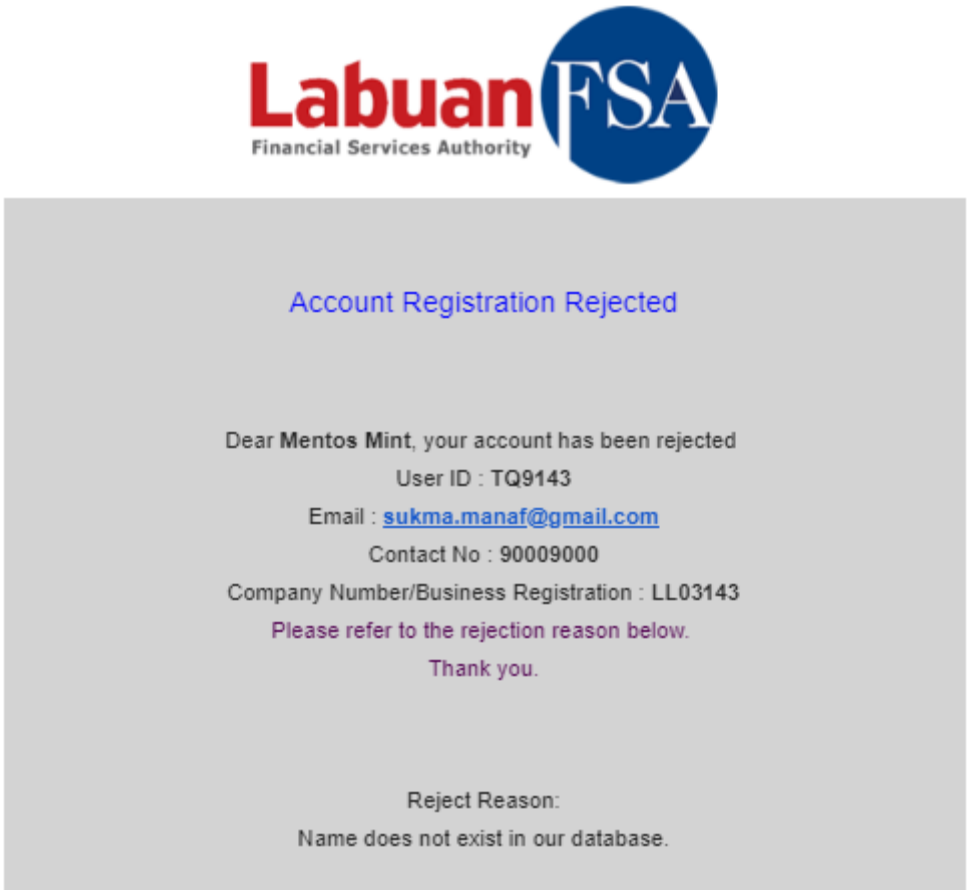
2.1.4 Account Activation

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	Please confirm that the following email is received in your inbox. 
3	RE Main User is now able to logon to the SMS portal.

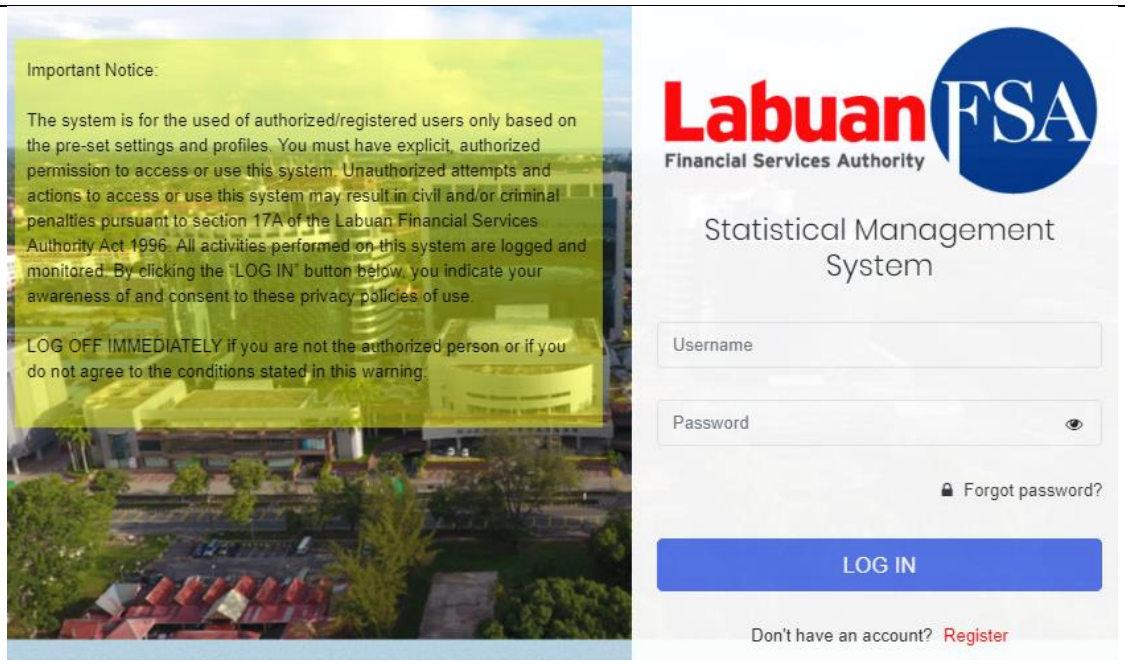
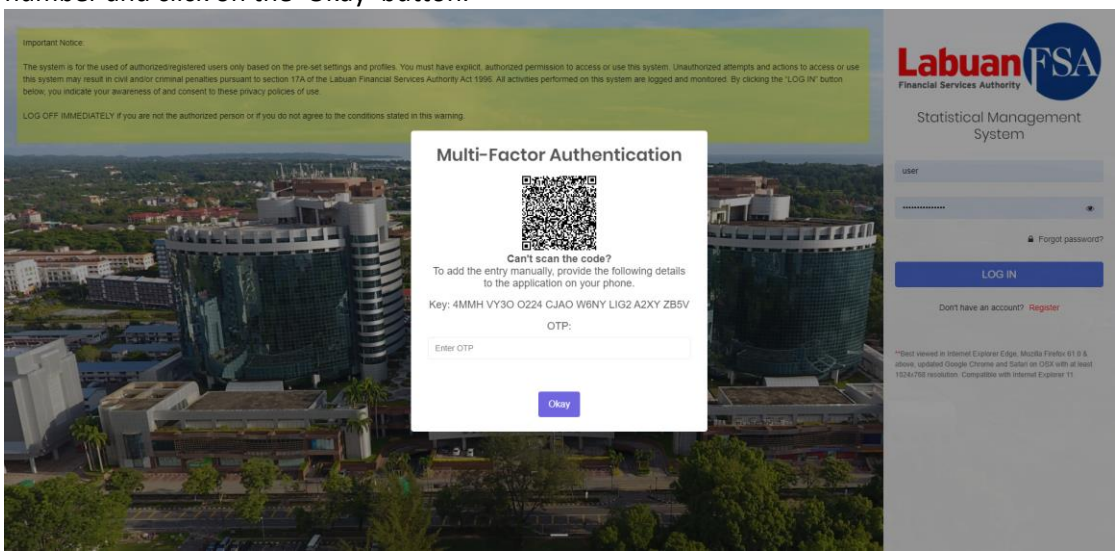
2.1.5 Account Registration Rejection

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:



2.1.6 How to Login

Step	Action
1	Launch a browser and go to https://sms.labuanfsa.gov.my
2	This is the SMS portal website. User can key in the Username and Password to login and click **LOGIN**.

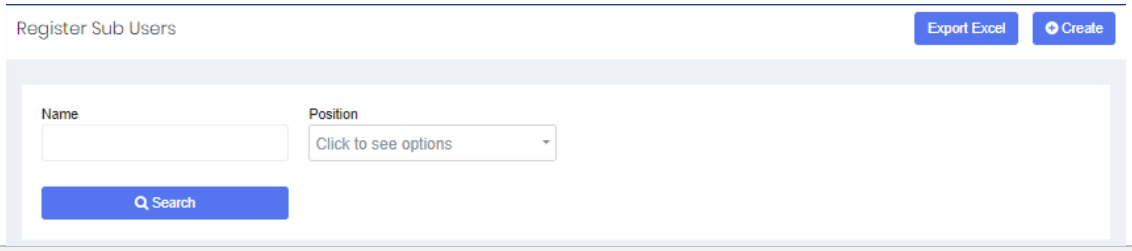
	
3	QR code will appear for multi-factor authentication. User can scan the QR code using authentication app or can enter the Key manually to get the OTP number. Enter the OTP number and click on the 'Okay' button. 
4	Dashboard page will appear.

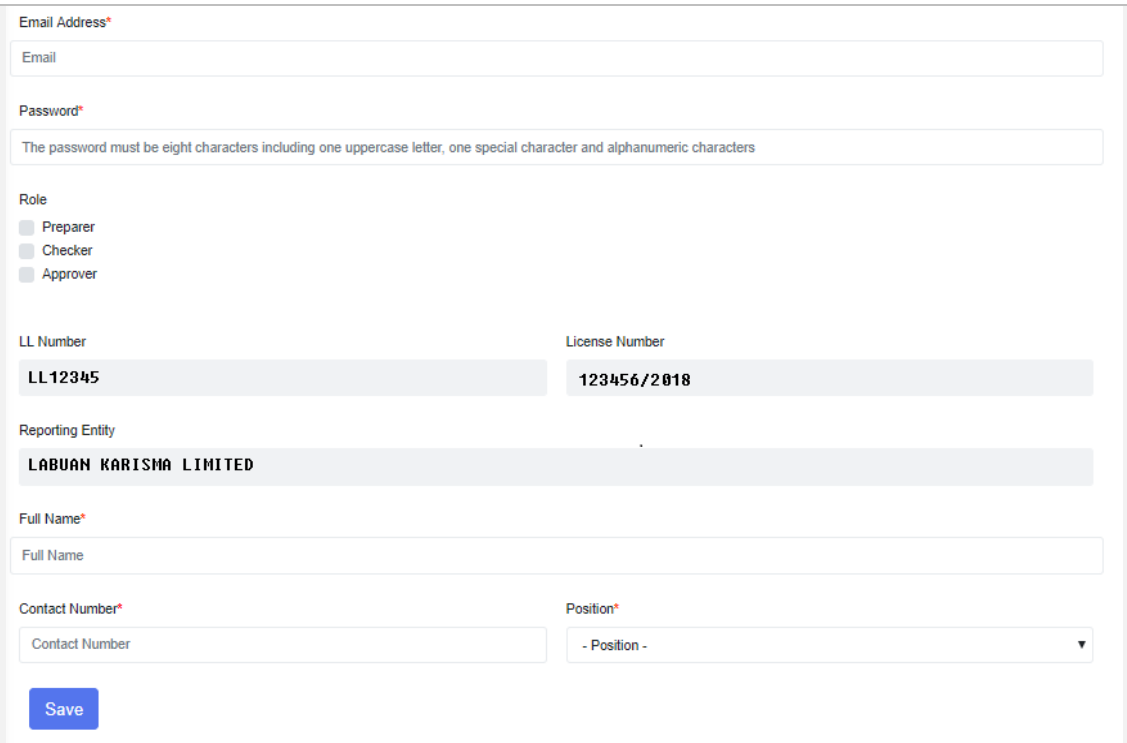
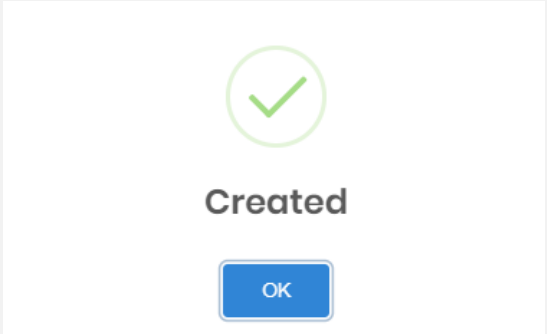
2.2 Sub User Registration

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	Click Create button 
3	Fill in the mandatory fields. There are 3 types of User Roles: 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

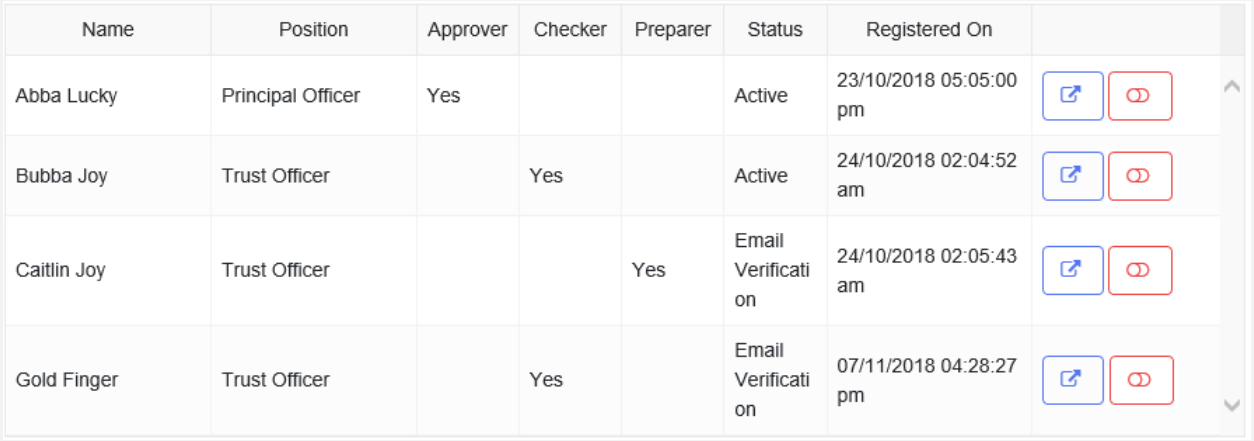
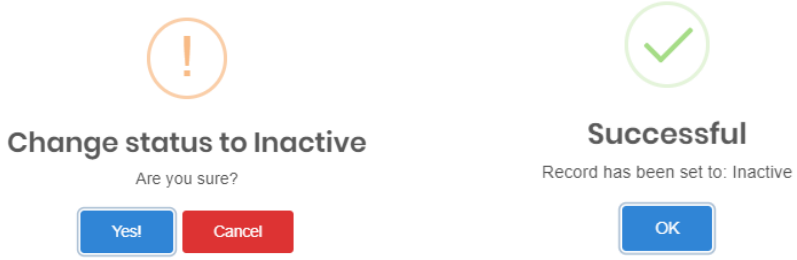
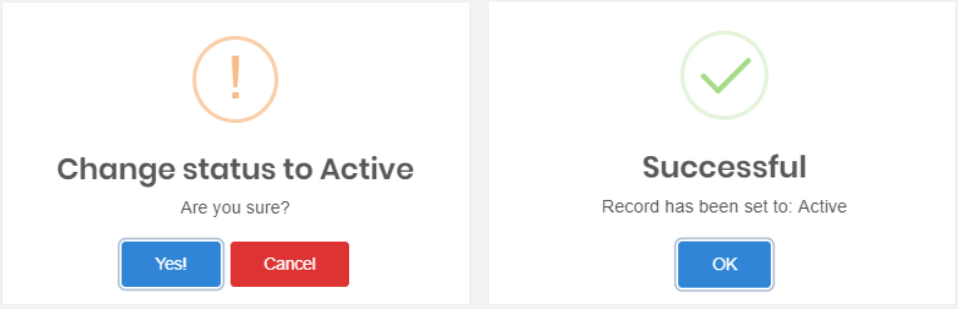
Refer to Section 2.1.3 for Email Verification steps.

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.

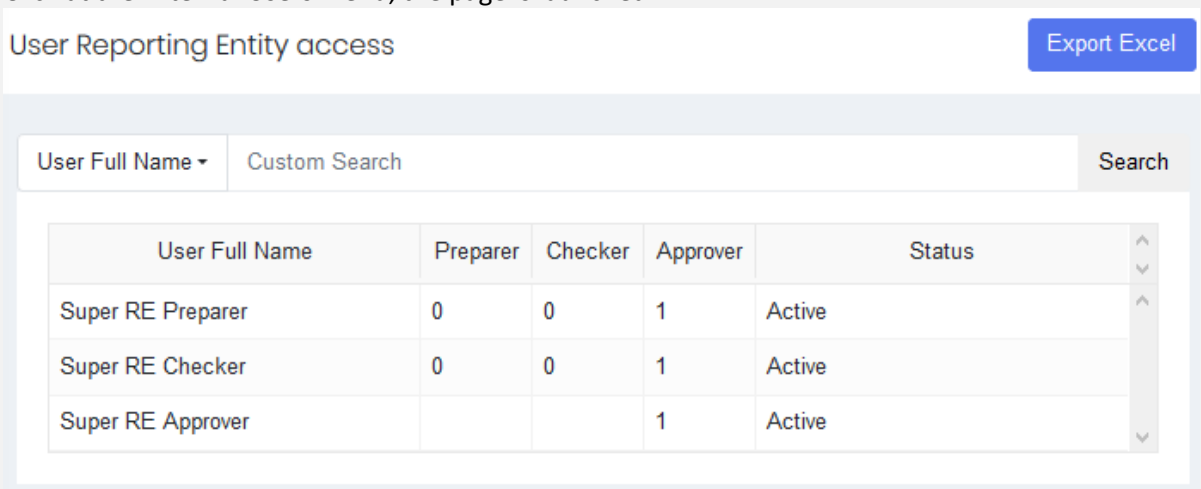
Step	Action
1	To activate or deactivate the Sub user account, click at the Active/Inactive icon 
2	To set inactive: A pop-up confirmation will appear. Click Yes to confirm, and vice versa. 
3	To activate: A pop-up confirmation will appear. Click Yes to confirm, and vice versa. 

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	Click at the External Users menu, the page is launched. 
2	The list is displaying the names and role of External Users assigned for the RE. This information is for viewing only.

2.3.2 How to Grant Access to External Users

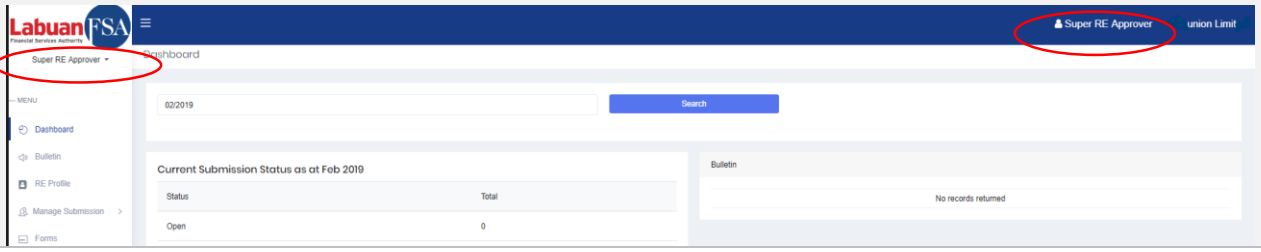
This action is carried out by Main User in the Helpdesk module, refer to Section 9.1

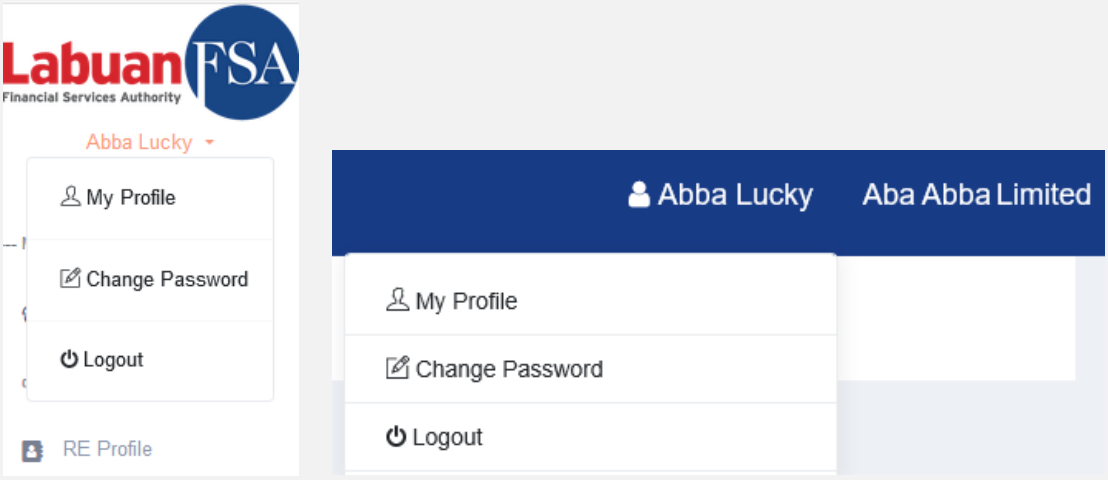
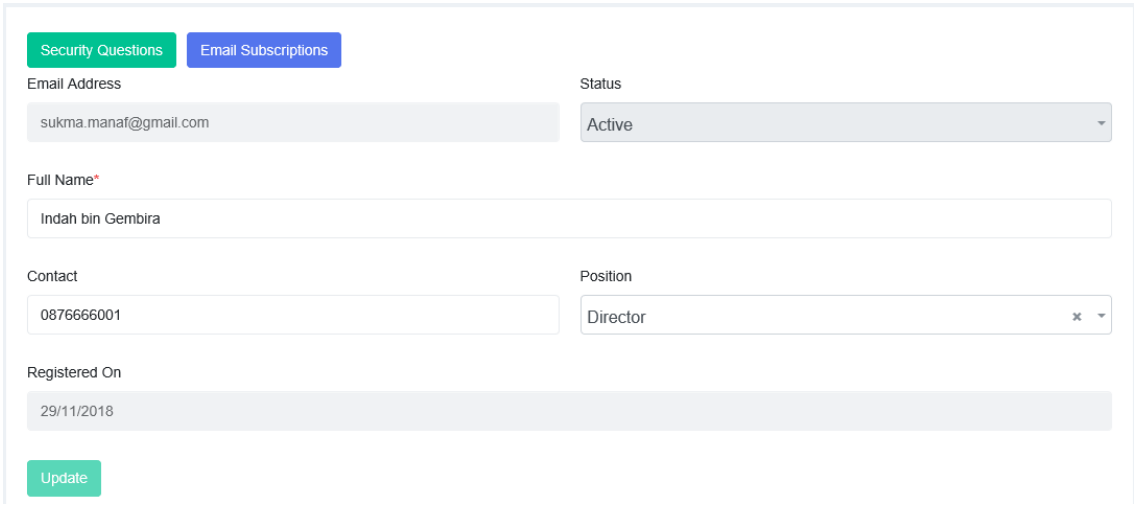
3 My Profile

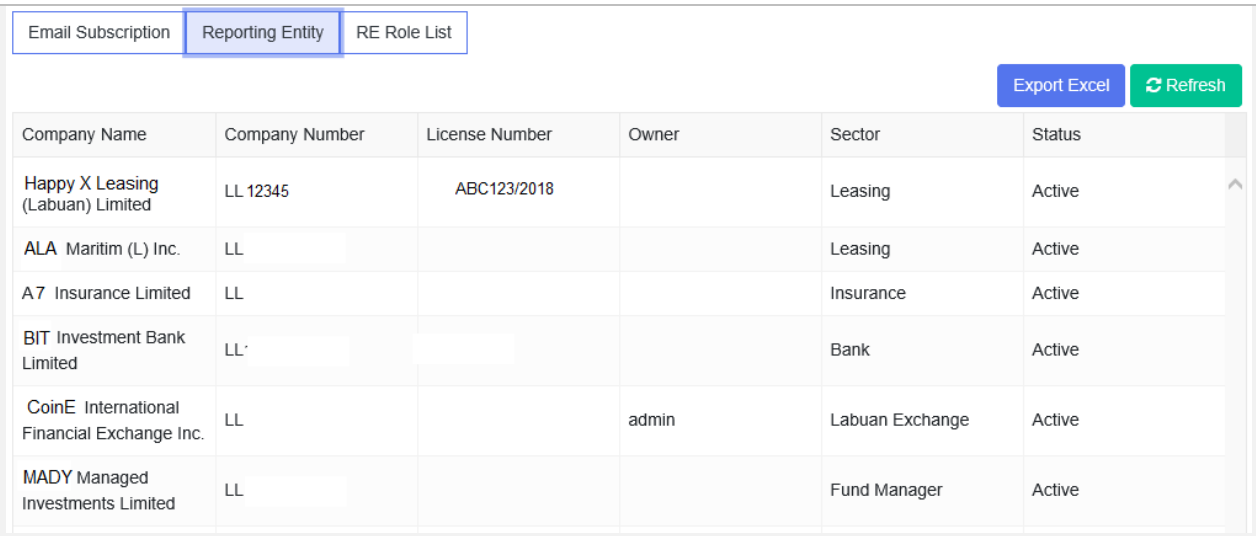
3.1 Objective

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

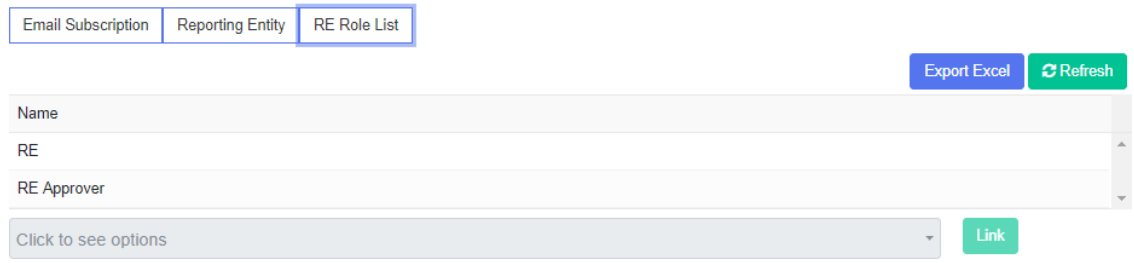
Step	Action
1	Login and click the User Name at top left or top right 

	
2	Edit My Profile details – for the enabled fields ONLY.  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



4 User Role List – for viewing ONLY.

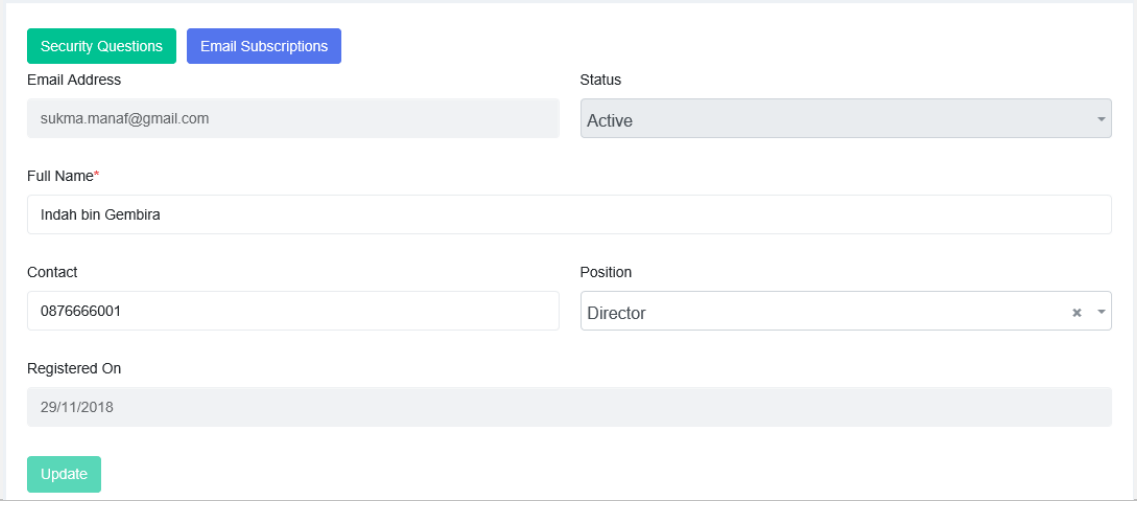
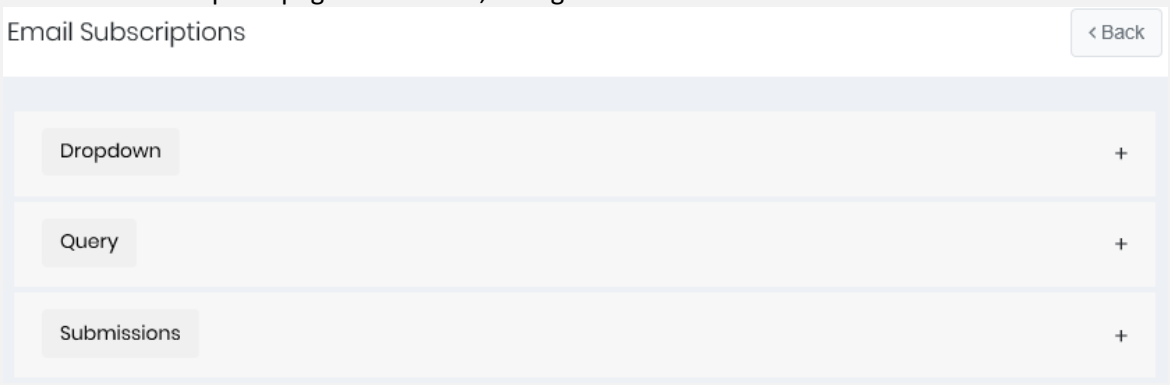
To add or remove user role, the Main User has the privilege to promote/demote the user role (Preparer/Checker/Approver) in Sub User Registration menu in Section 2.2.5

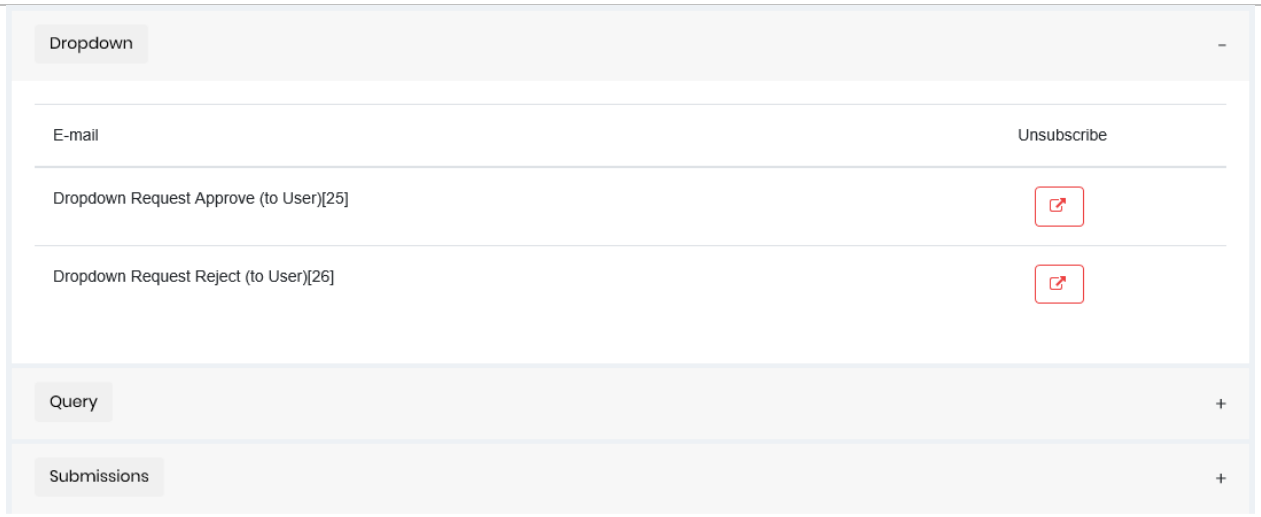
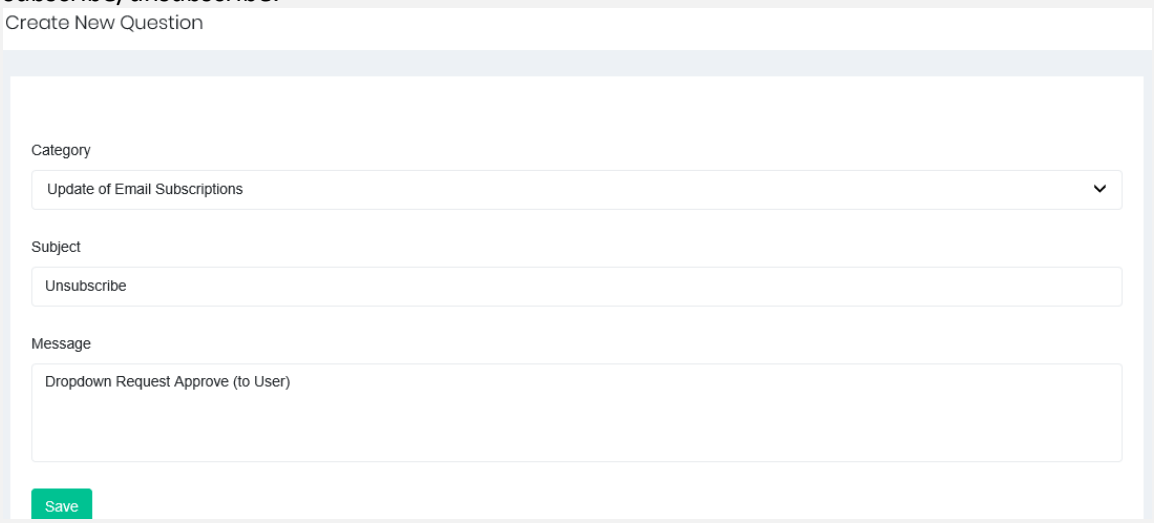


3.1.2 Email Subscriptions

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.

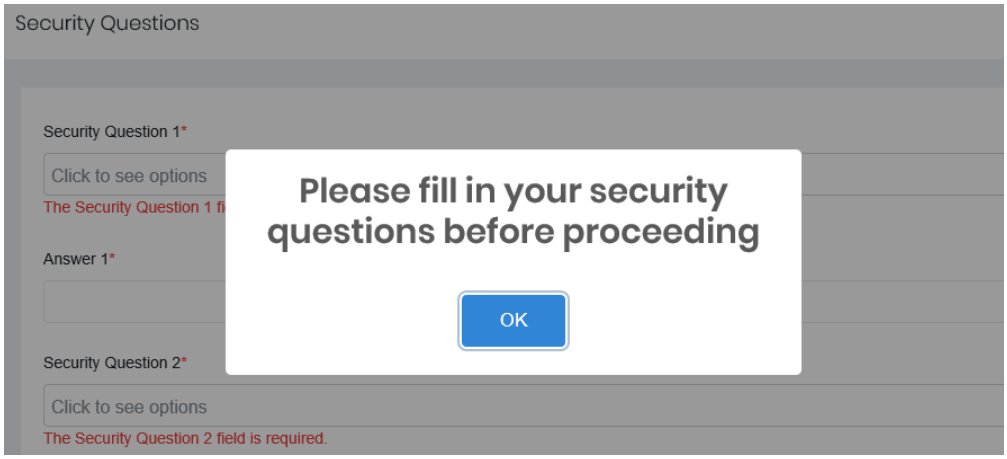
Step	Action
1	Go to My Profile

	
2	Click the Email Subscriptions button
3	The Email Subscription page is launched, listing the emails that user is subscribed to. 
4	Click the '**+**' icon to expand the list or the '**-**' icon to collapse the list

	
5	Select the desired row and click 'Unsubscribe' icon, this will flow to Helpdesk to initiate request for email subscribe/unsubscribe.  Kindly refer to Section 9.1 for further explanation in Helpdesk Request.

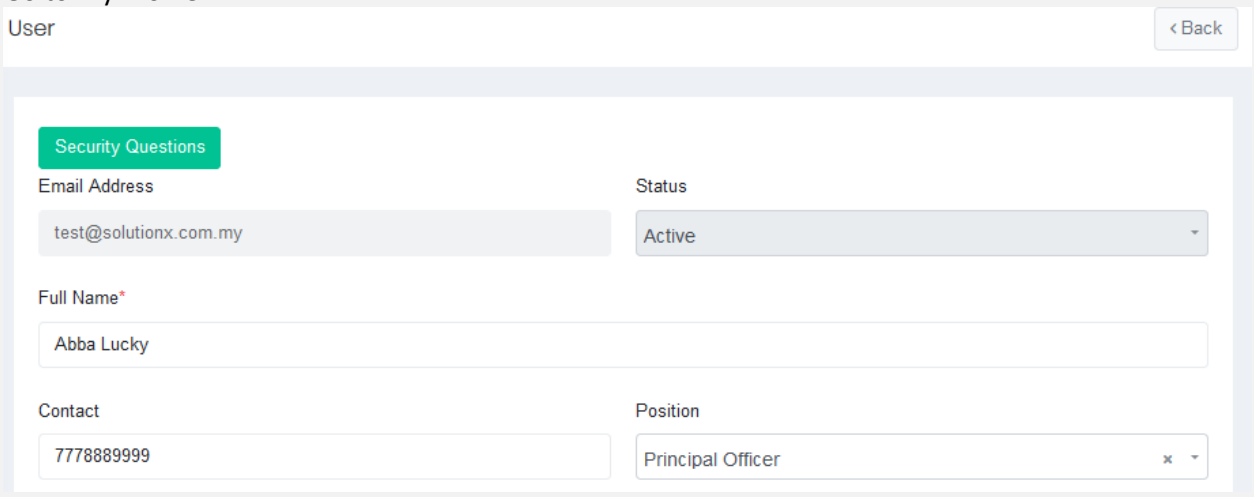
3.1.3 Mandatory Security Questions

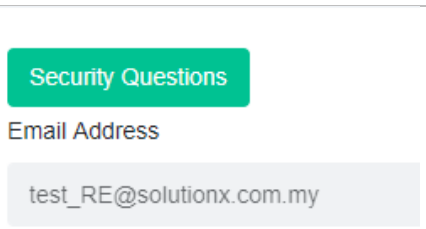
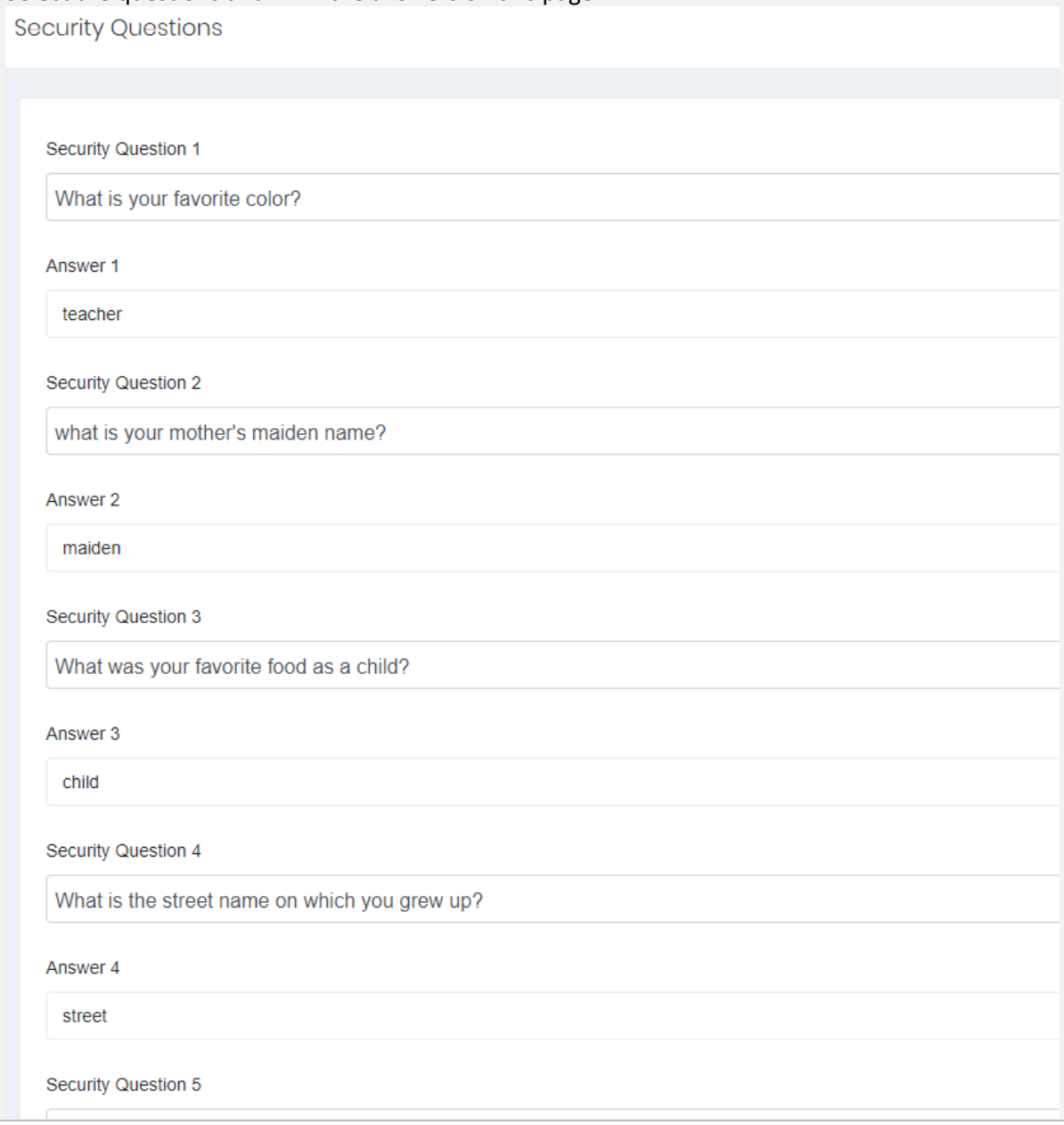
During first time login, the system will prompt user to fill up the Security Questions as per below screenshot.



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	Go to My Profile 
2	Click the Security Questions button

	
3	Select the questions and fill in the answers on this page 
4	To save, click the Update button at bottom this page.

	Update

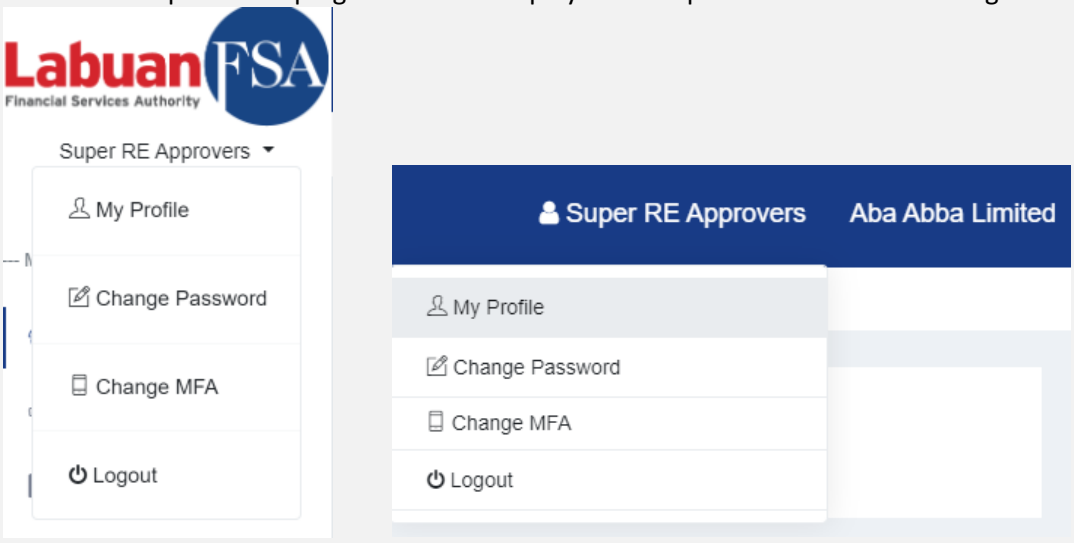
3.1.4 Change Password

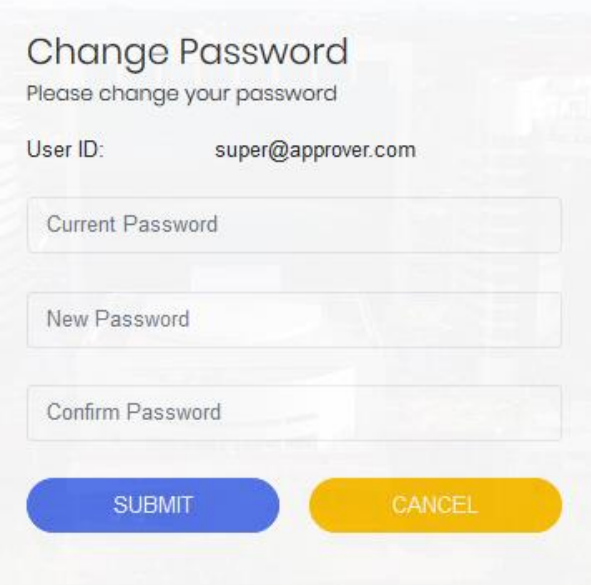
Password holds the key to security and system confidentiality. A poorly chosen password may result in a compromise of the SMS data privacy.

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 !$%^ *()_+|~-=\`{}[]:";'>?,/)

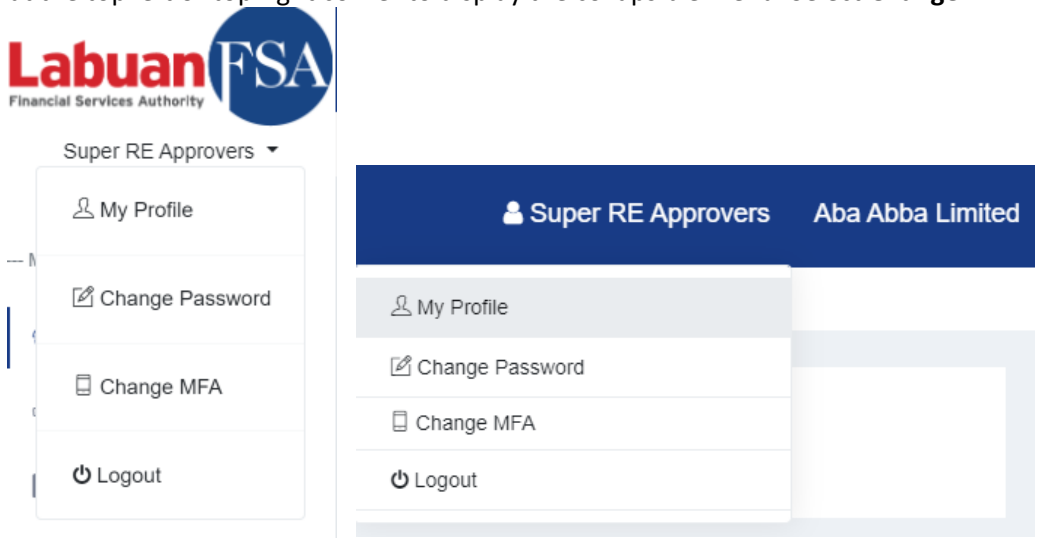
User will be prompted via email to change password three days before the password expired. If it has exceeded password expiry date, user will still be allowed to login but will be immediately prompted to change his/her password.

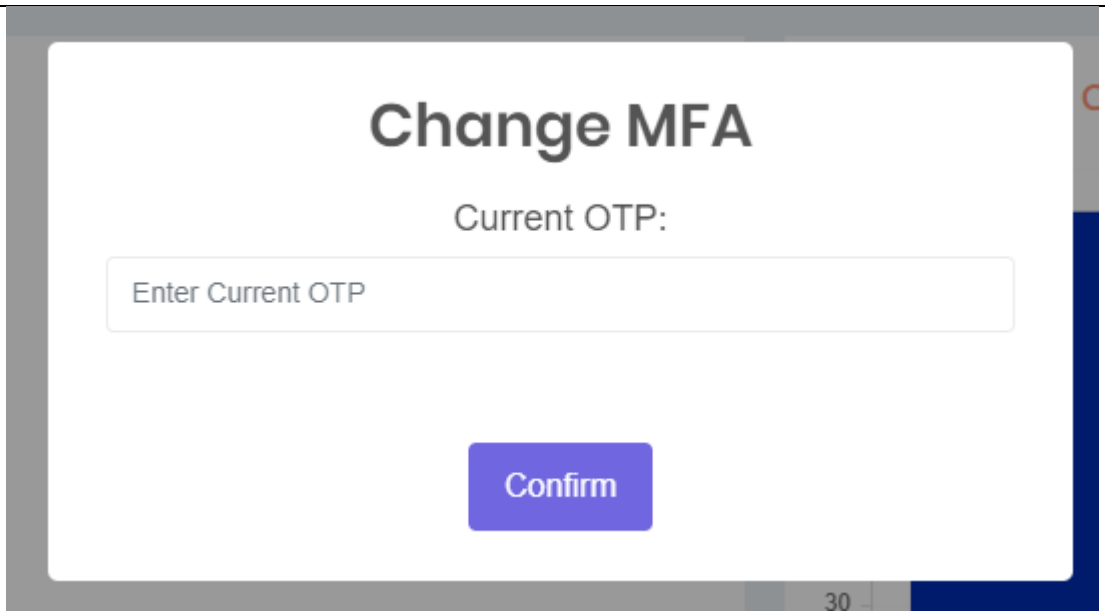
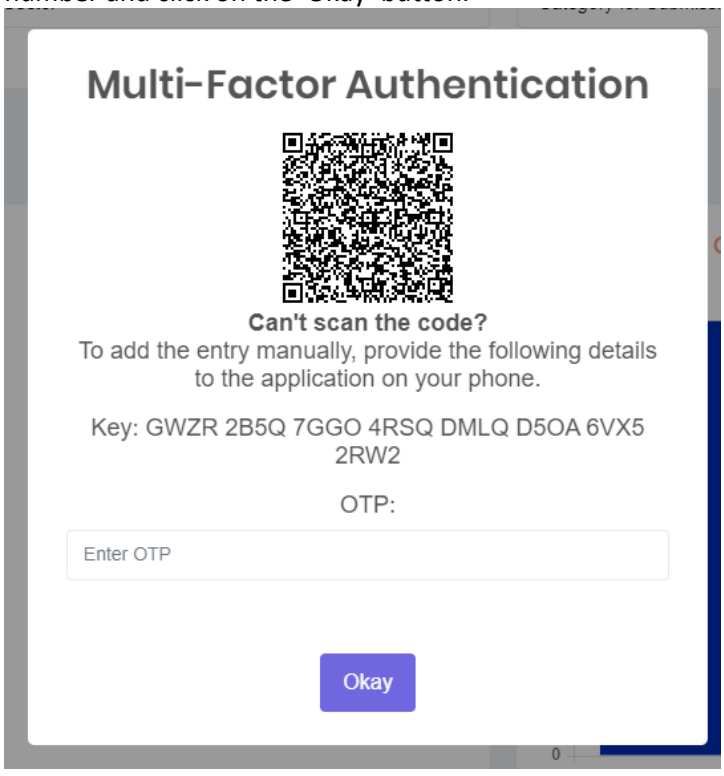
Step	Action
1	Click at the top left or top right corner to display the collapsible menu. Select Change Password. 
2	The screen flows to a new page. Follow the instruction to change password in the page.

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

3.1.5 Change MFA

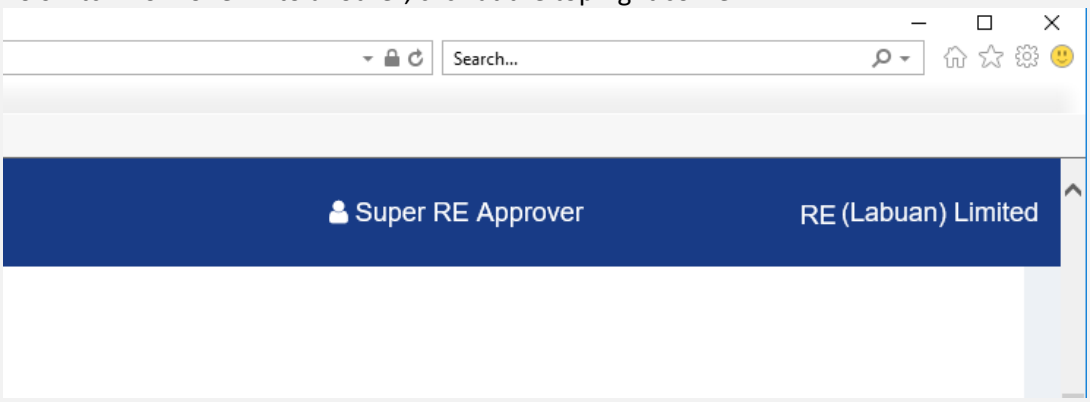
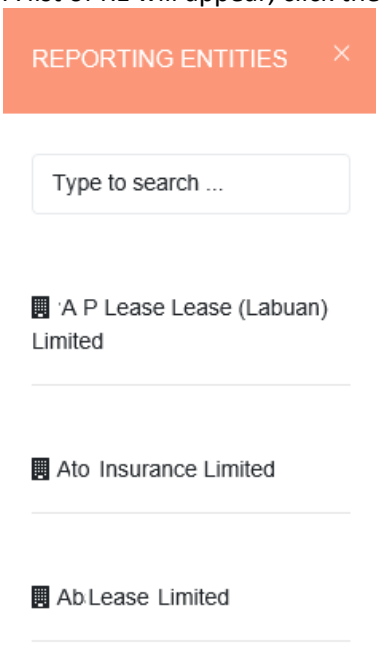
MFA is multi-factor authentication that an authentication method that requires the user to provide two or more verification factors to gain access.

Step	Action
1	Click at the top left or top right corner to display the collapsible menu. Select **Change MFA**. 
2	The Change MFA popup will appear. Key in the required current OTP and click **Confirm**.

	
3	QR code will appear for multi-factor authentication. User can scan the QR code using authentication app or can enter the Key manually to get the OTP number. Enter the OTP number and click on the 'Okay' button. 

3.1.6 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.

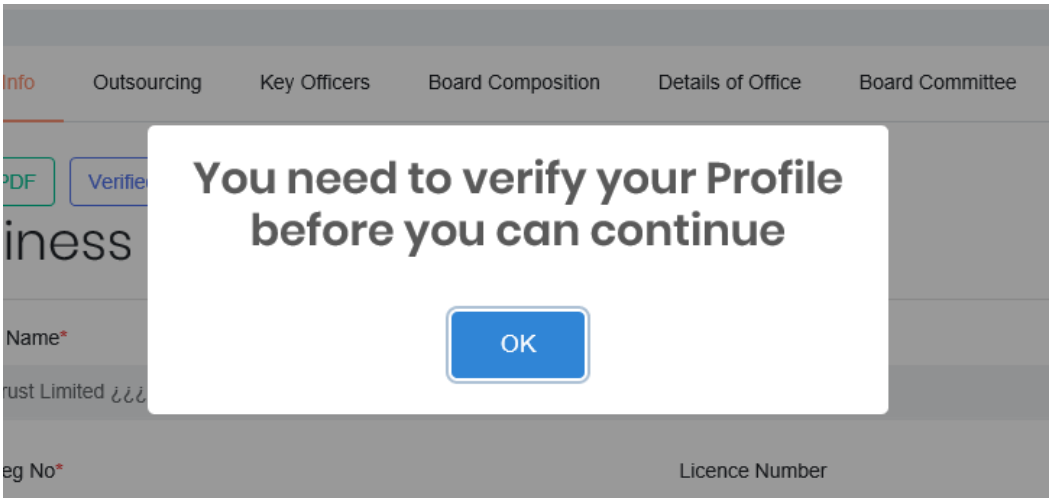
Step	Action
1	To switch from one RE to another, click at the top right corner. 
2	A list of RE will appear, click the name of the desired RE to switch to. 
3	Once clicked, the current profile will switch to the selected RE company.

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	The following sections are displayed: Business Info section:

Business Information

Company Name*

Amanah Cipta Bank Berhad

Labuan Reg No

SMS USER ID

BB0001

Email

Sector*

Bank

Company Origin (COR@L)

Licence Number

XYZ0001

FYE Month*

December

Type of Licence

Click to see options

Important Date section:

Important Date

Date of Registration (COR@L)

Date of Conditional Approval

Date of Licence Granted

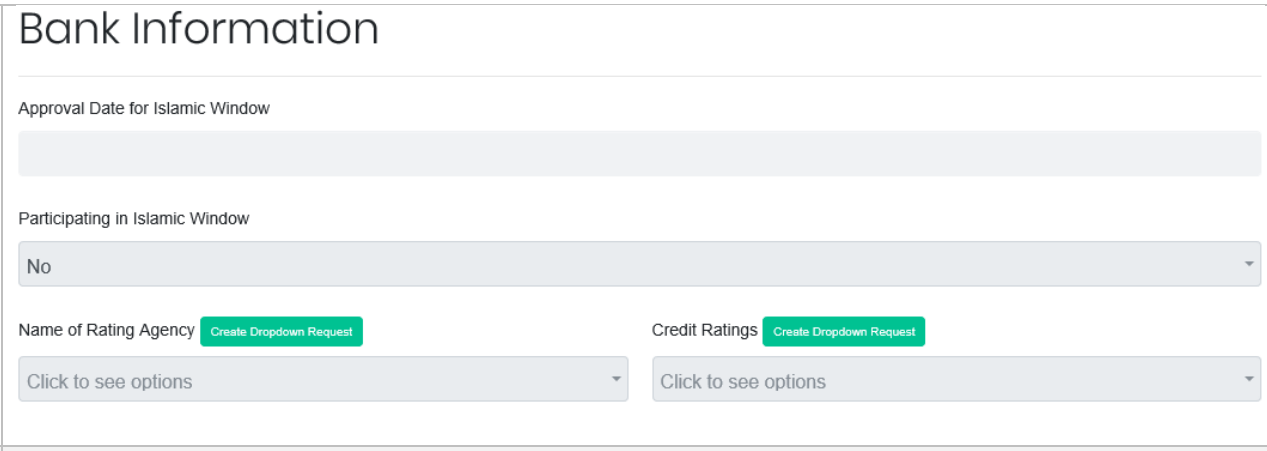
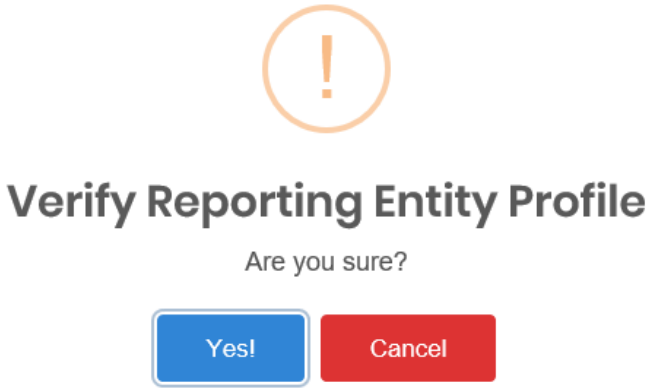
13/10/2005

General Information section:

General Information (COR@L)

Trust Company

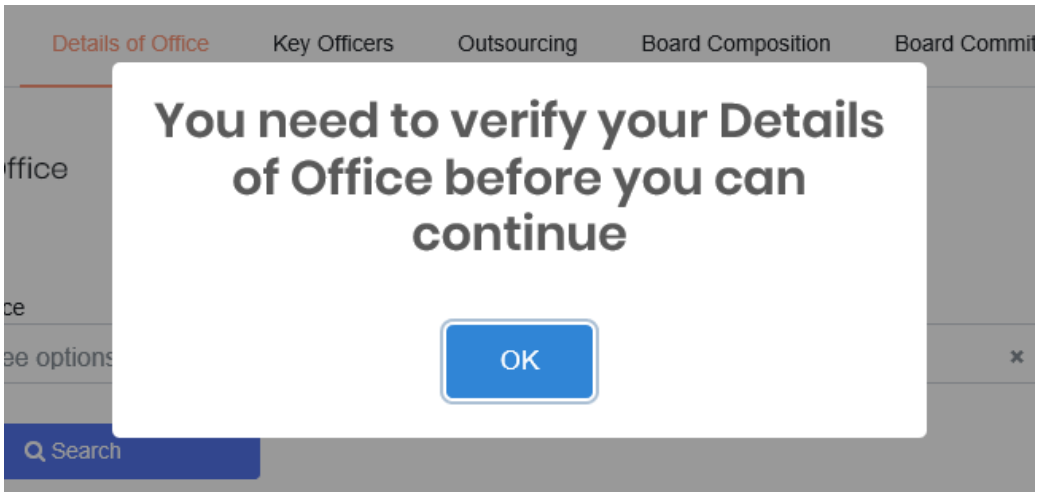
Bank Information section:

	
3	Please verify the information on the screen and click Verify button to confirm the data is correct
4	A pop up confirmation is displayed, click 'Yes' to confirm. 

4.1.2 Details of Office

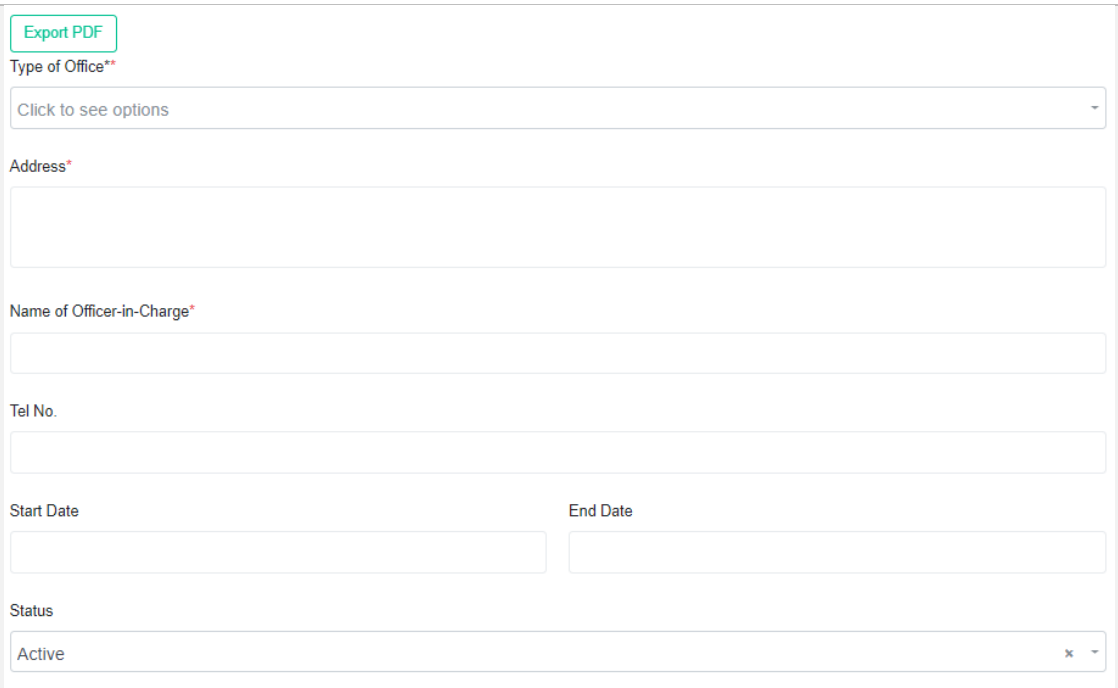
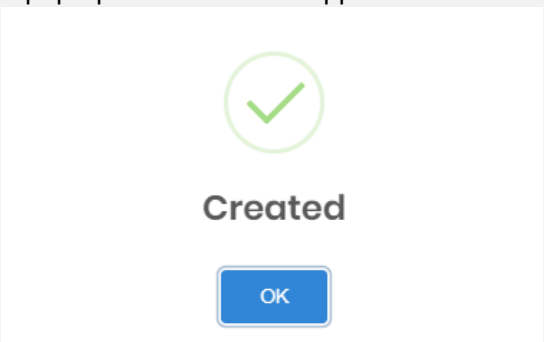
RE Users are also required to fill in this requirement before they can proceed to submission. Details of Office stores the information on RE's office address and contact details.

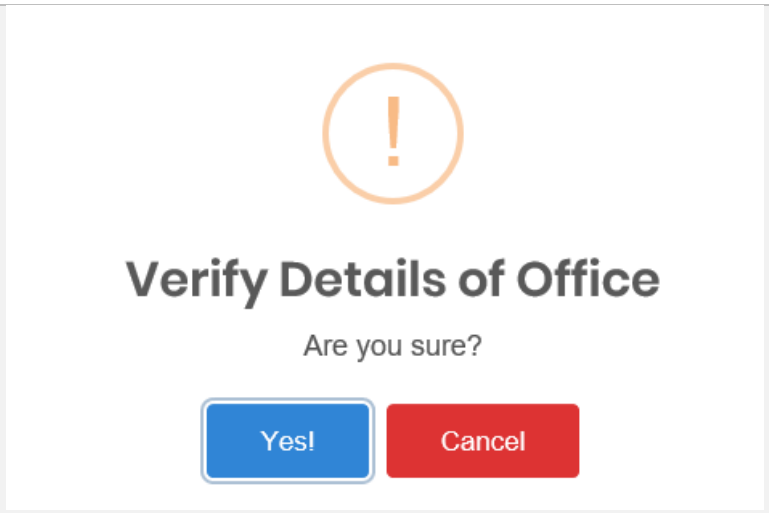
RE Users will not be allowed to perform any submission without verifying the Business Info or the Details of Office (Section 4.1.2). The system alert pop-up shown below will appear to remind users to verify/update these details.



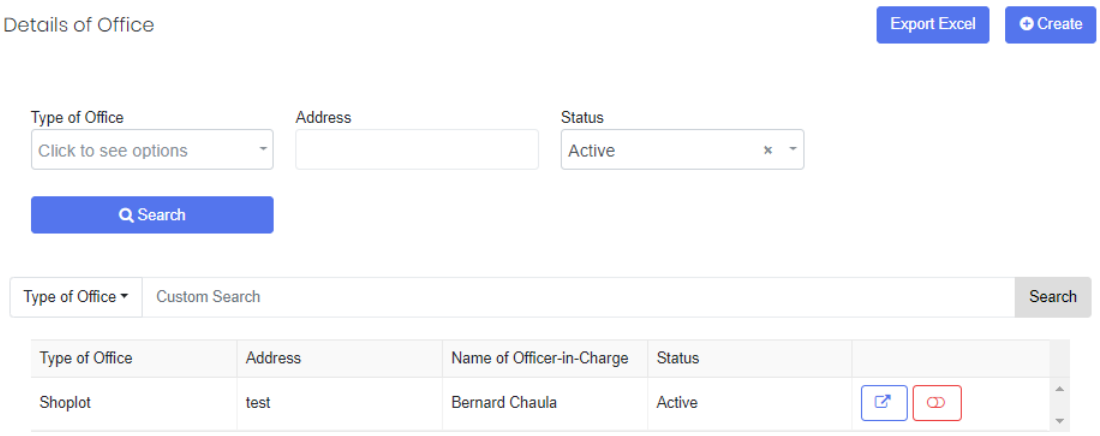
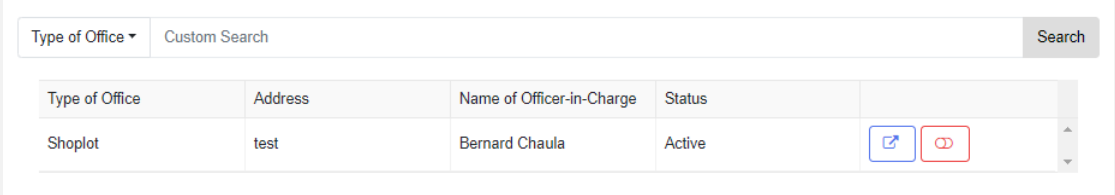
a) How to Create Details of Office

Steps	Action
1	In the menu click RE Profile and select Details of Office Business Info | Details of Office | Key Officers | Outsourcing | Board Composition | Board Committee
2	Click the Create button on the left Create
3	Fill in the required details

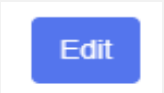
	
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful. 
6	Please verify the information on the screen and click Verify button to confirm the data is correct
7	A pop up confirmation is displayed, click 'Yes' to confirm and vice versa

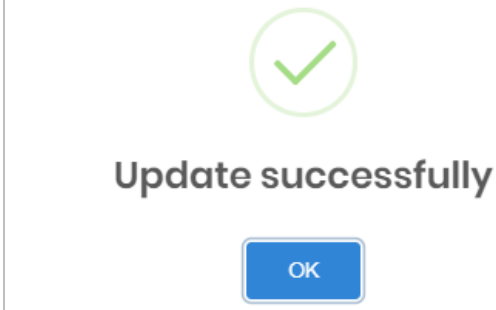


b) Search/Filter Details of Office

1	**Filter the fields according to free text field or dropdown items and click Search button** 
2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results. 

c) Edit Details of Office

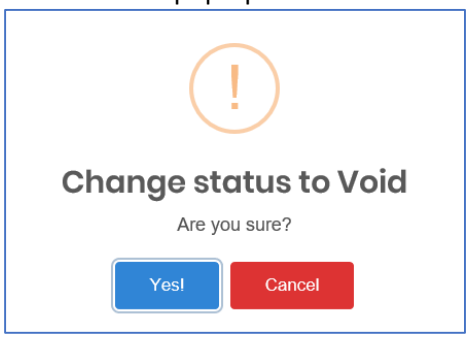
1	Select the desired record and click View, it will flow to the next page.
2	Click the Edit button 
3	Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record.
4	Click Update button to update changes
5	A pop-up notification will appear to indicate update is successful.

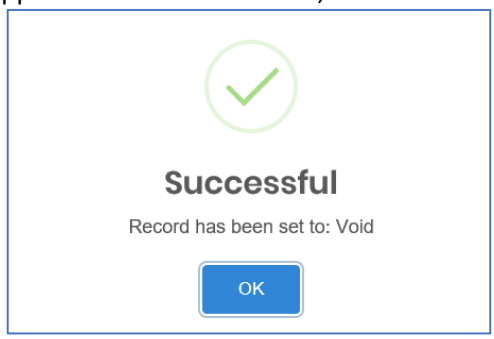


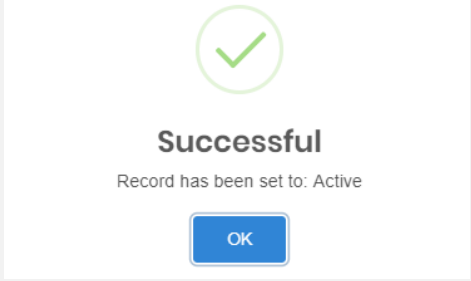
d) Set Void/Unvoid

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

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	



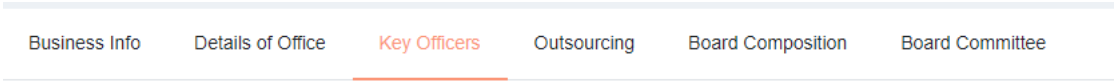
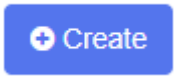


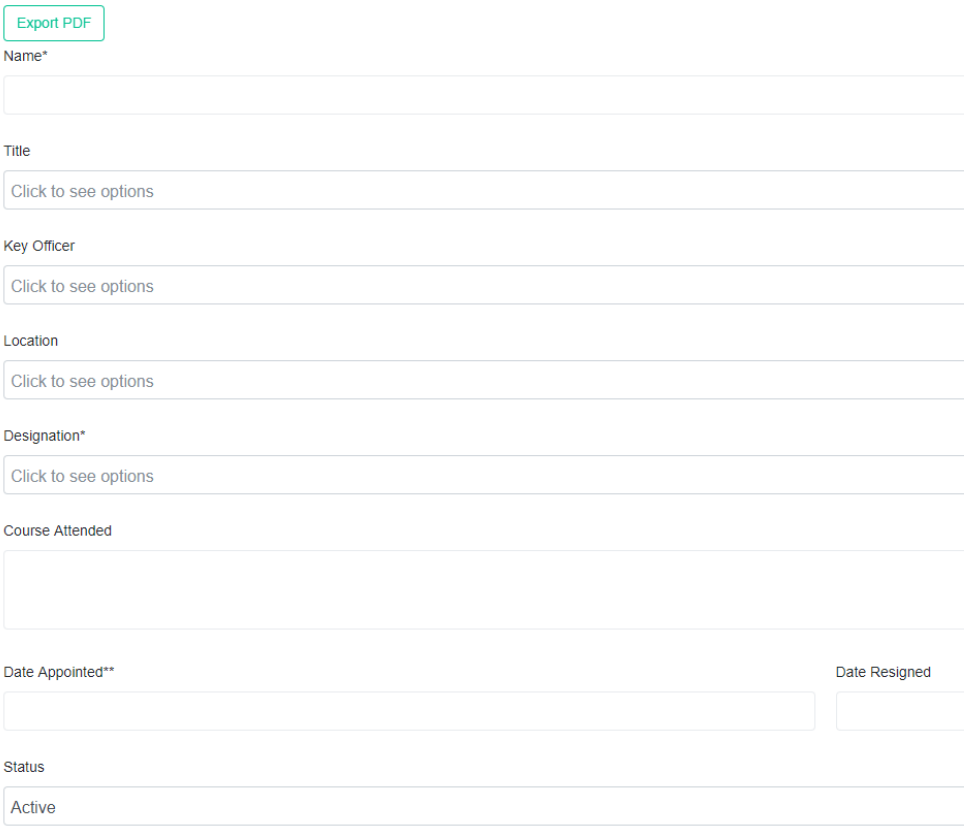
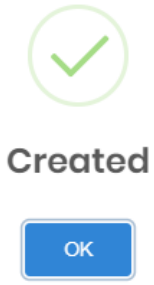


4.1.3 Key Officers

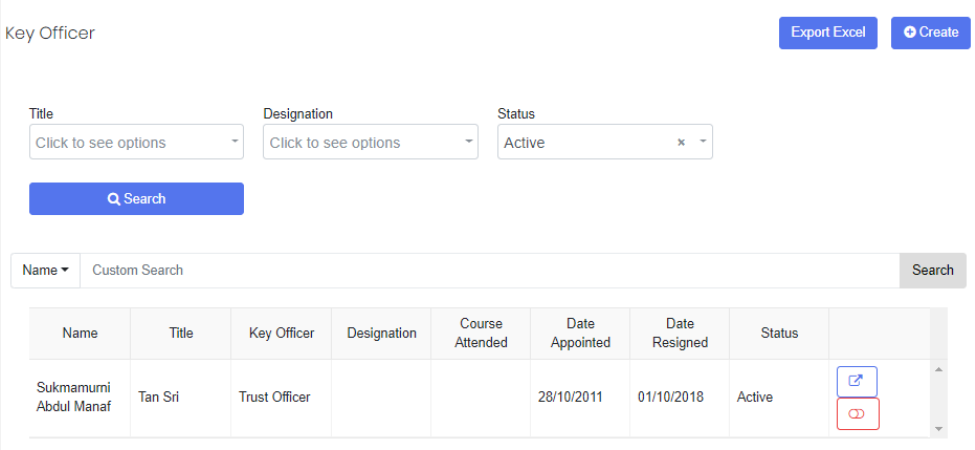
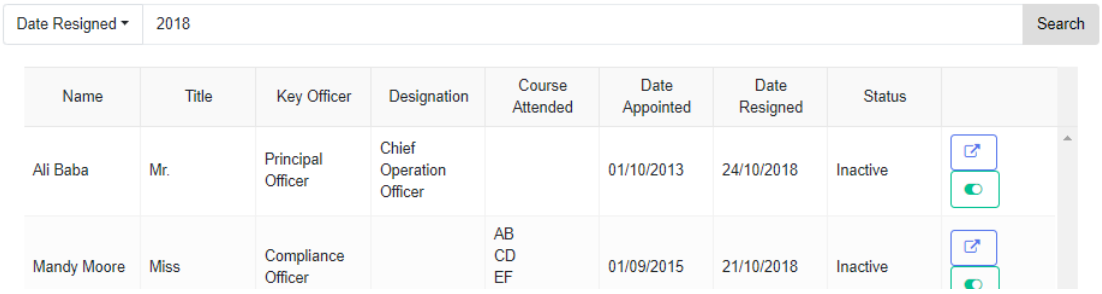
Key Officers page stores the Key Officers information, this page is applicable for all Sectors.

a) How to Create Key Officers

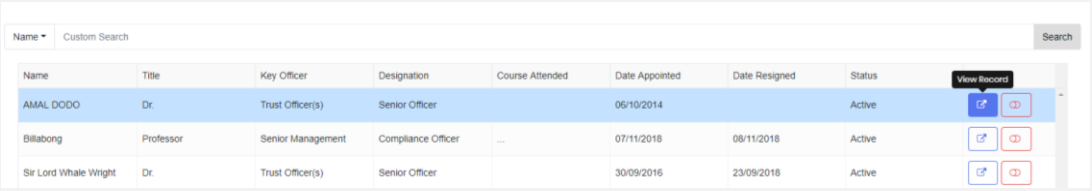
Steps	Action
1	Go to RE Profile menu and select Key Officers tab 
2	Click the Create button on the left and the page will flow to a blank form. 
3	Fill in the mandatory fields.

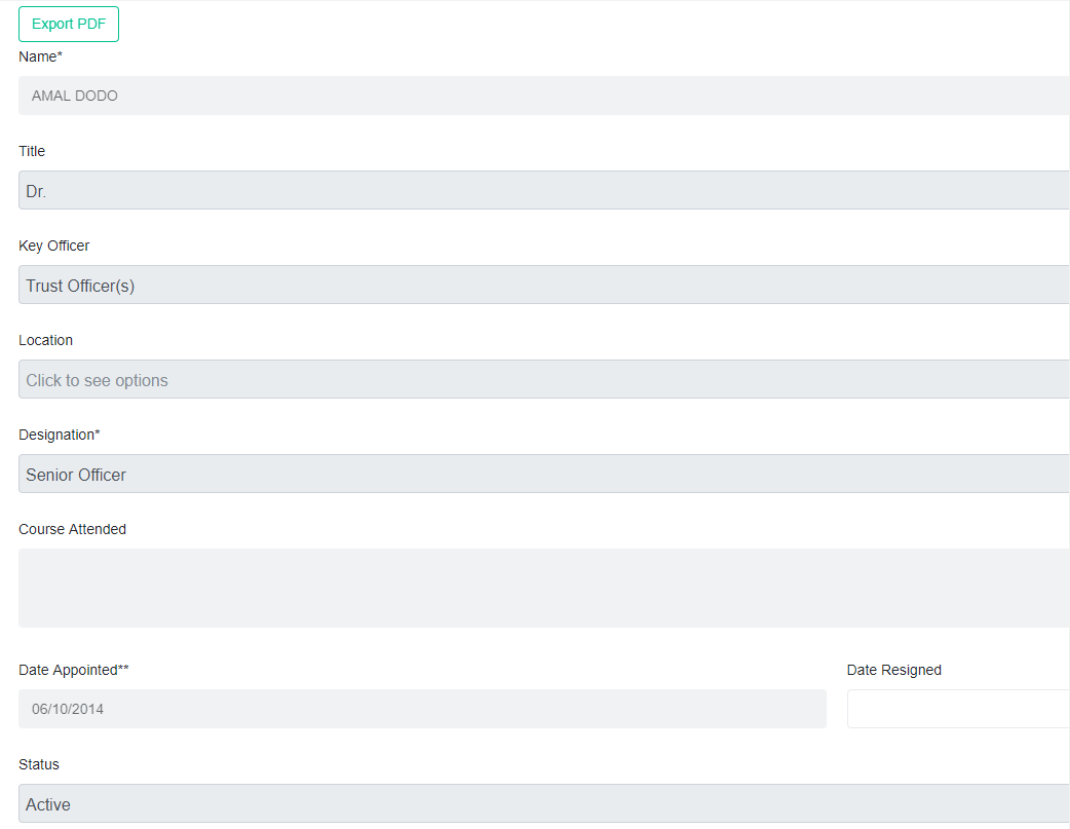
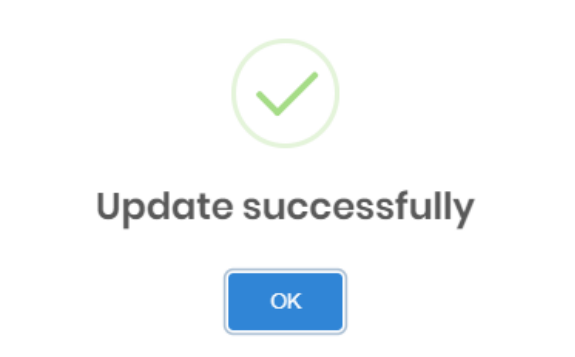
	
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful. 

b) Search/Filter Key Officers

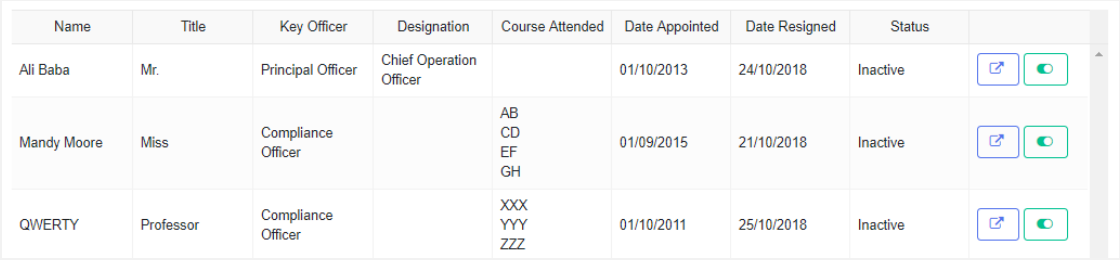
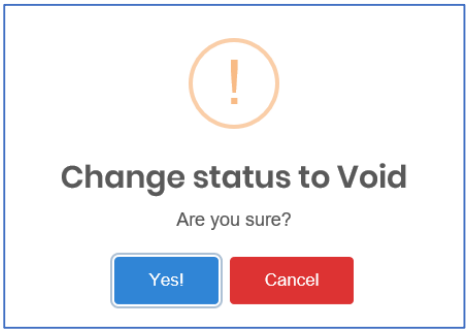
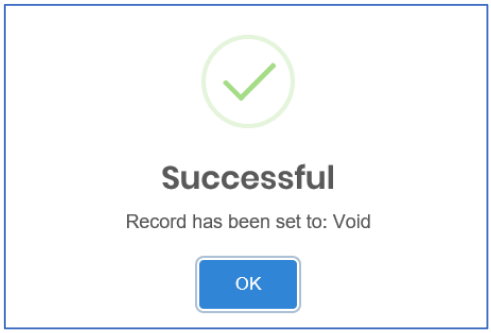
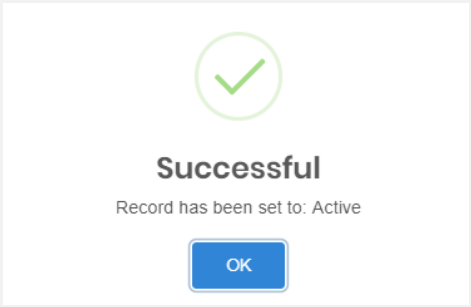
Steps	Action
1	Filter the fields according to free text field or dropdown items and click Search button 
2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results. 

c) Edit Key Officers

Step	Action
1	Select the desired record and click View, it will flow to the next page. 
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. 
4	Click Update button to update changes
5	A pop-up notification will appear to indicate update is successful. 

d) Set Void/Unvoid

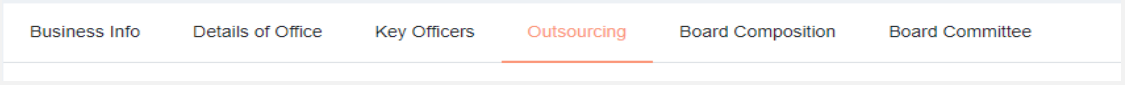
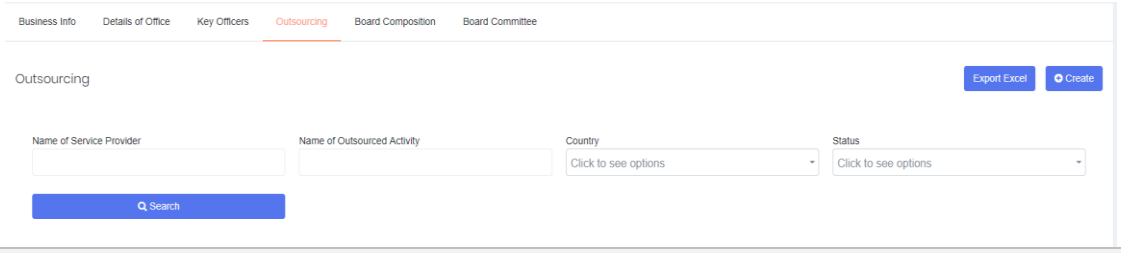
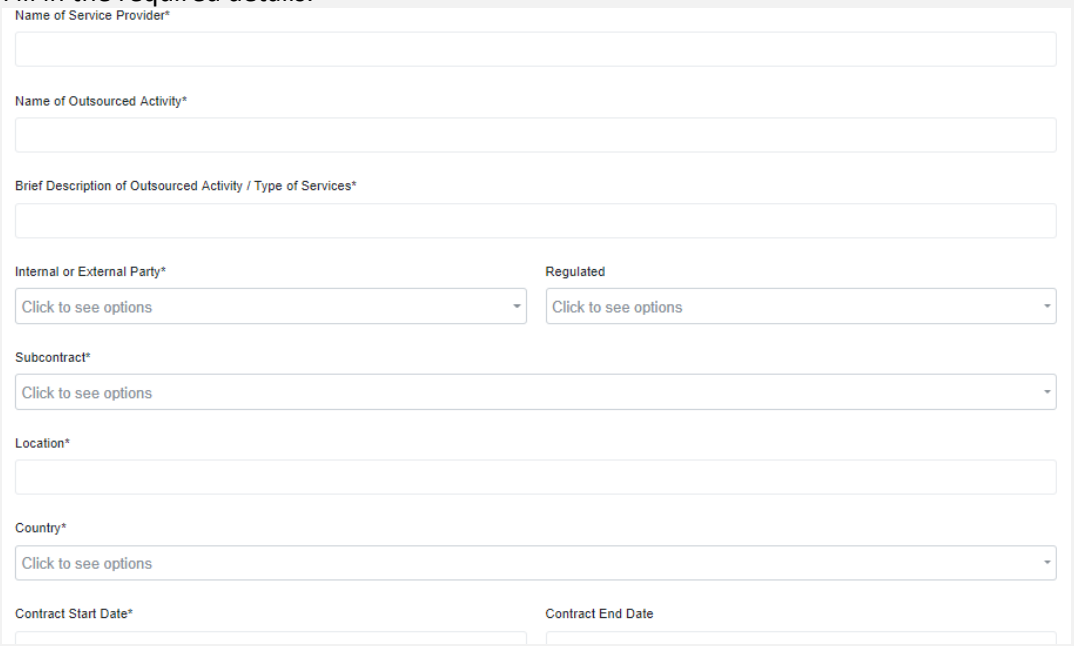
Step	Action
1	Select the desired row from and click Void/Unvoid icon. 
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa. 

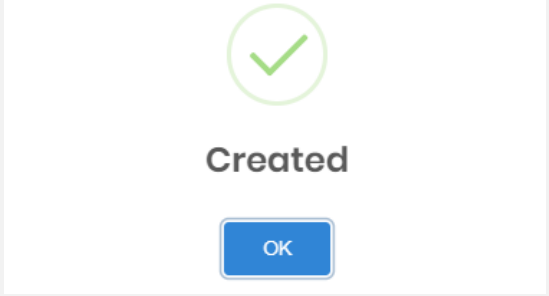
4.1.4 Outsourcing

This page describes the Outsourcing activity for the Reporting Entity.

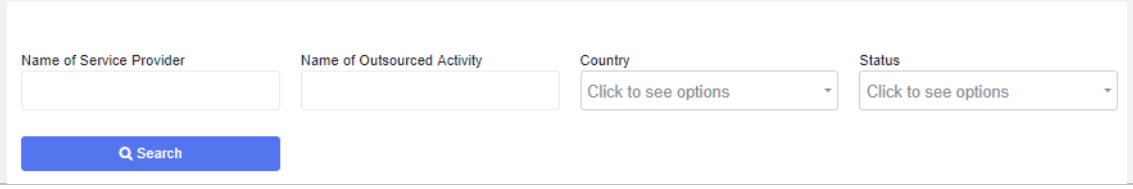
This page is applicable to all sectors.

a) Create Outsourcing

Step	Action
1	From the menu, select RE Profile, select Outsourcing tab. 
2	Click Create button 
3	Fill in the required details. 
4	Click Save button.
5	A pop-up notification will appear to indicate save is successful.

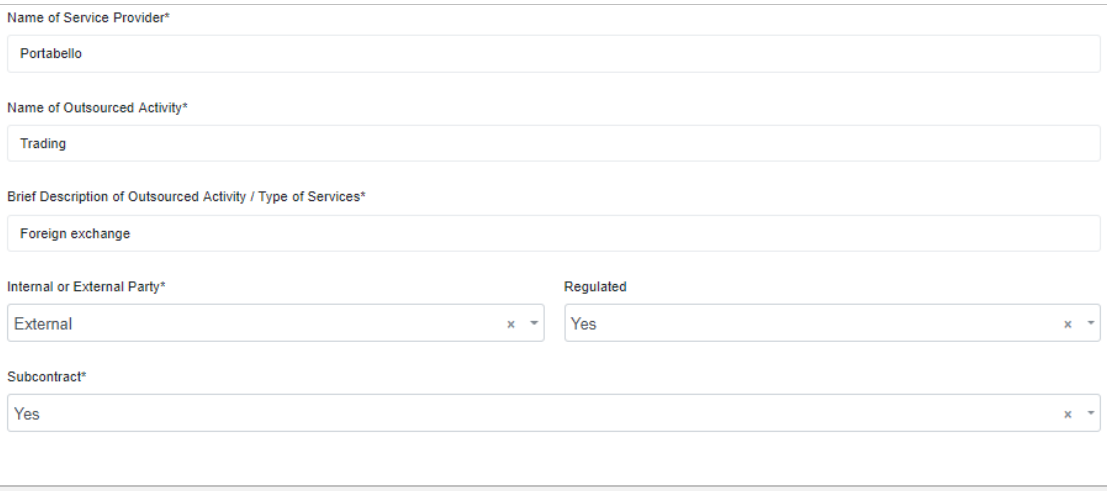
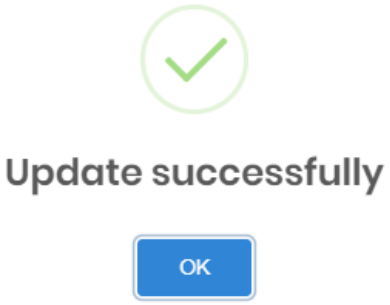


b) Search/Filter Outsourcing

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

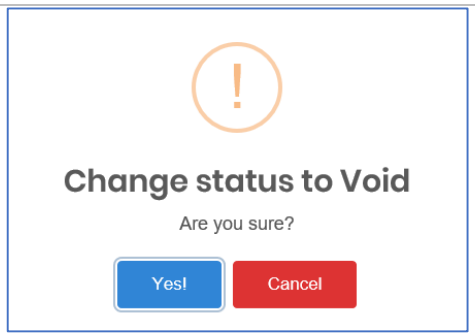
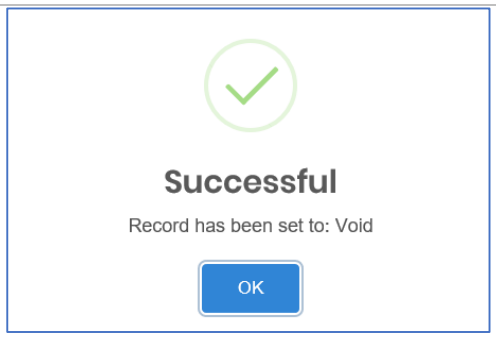
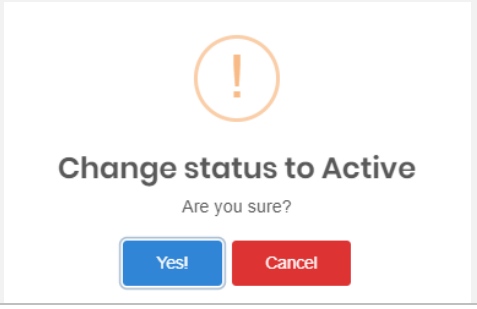
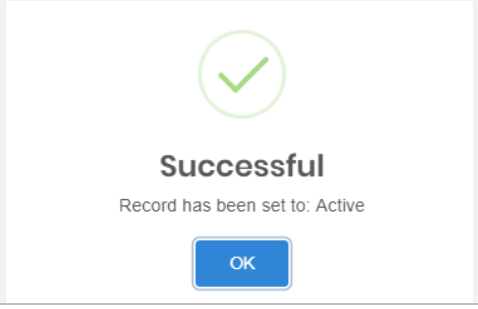
c) Edit Outsourcing

Step	Action
1	Select a row from Outsourcing tab and click View Record icon.
2	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.

	
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	Identify a row from Outsourcing tab and click Void/Unvoid icon.
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.

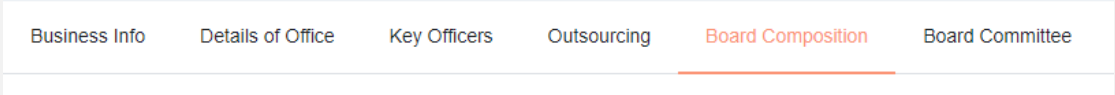
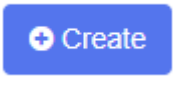
	 
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  

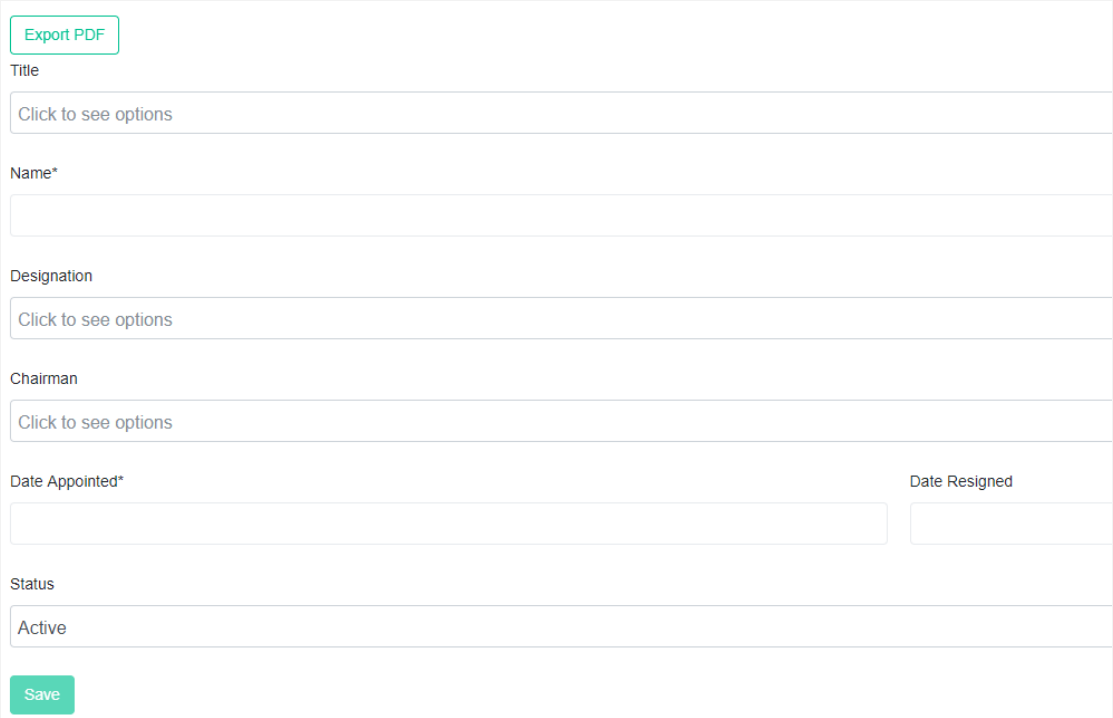
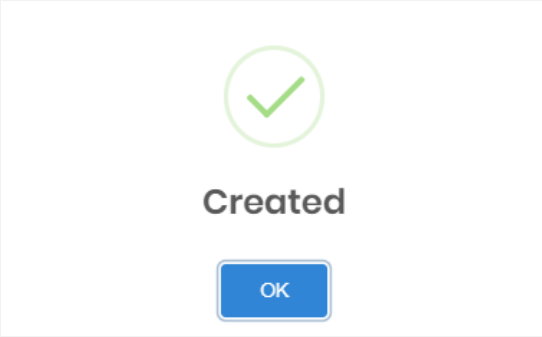
4.1.5 Board Composition

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.

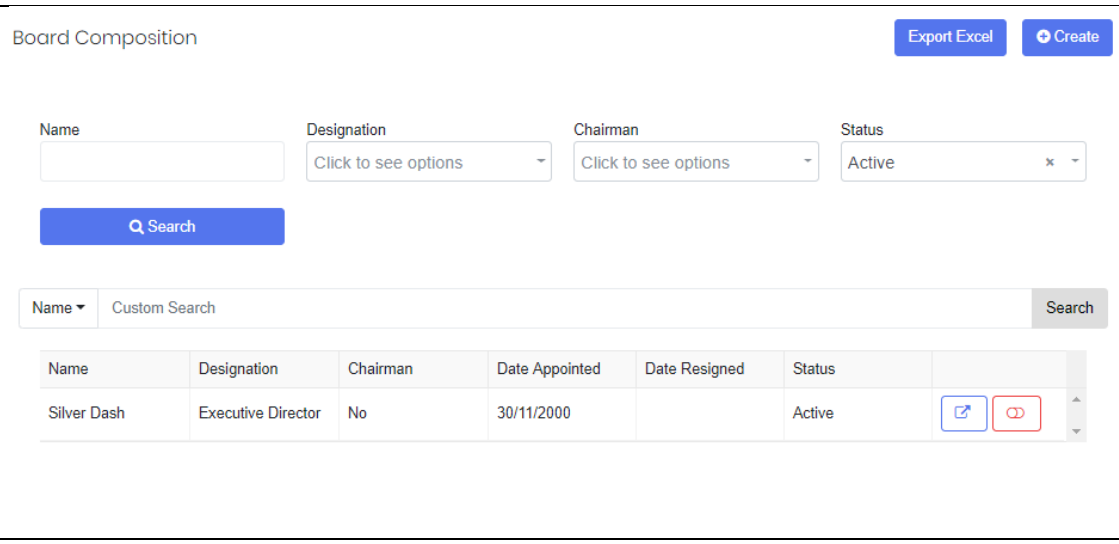
a) Create Board Composition

Step	Action
1	Go to RE Profile menu and select Board Composition tab 
2	Create Button on the left 

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

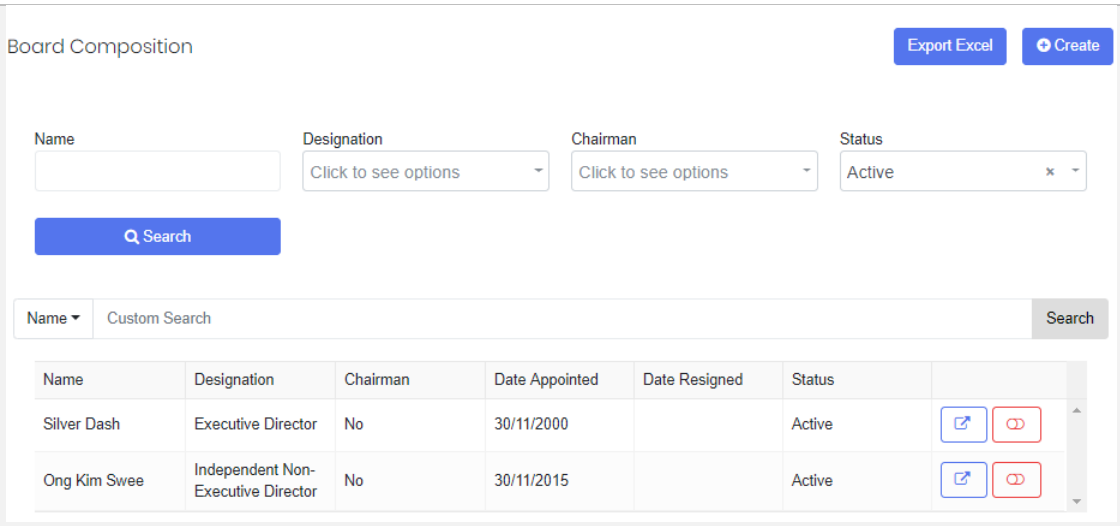
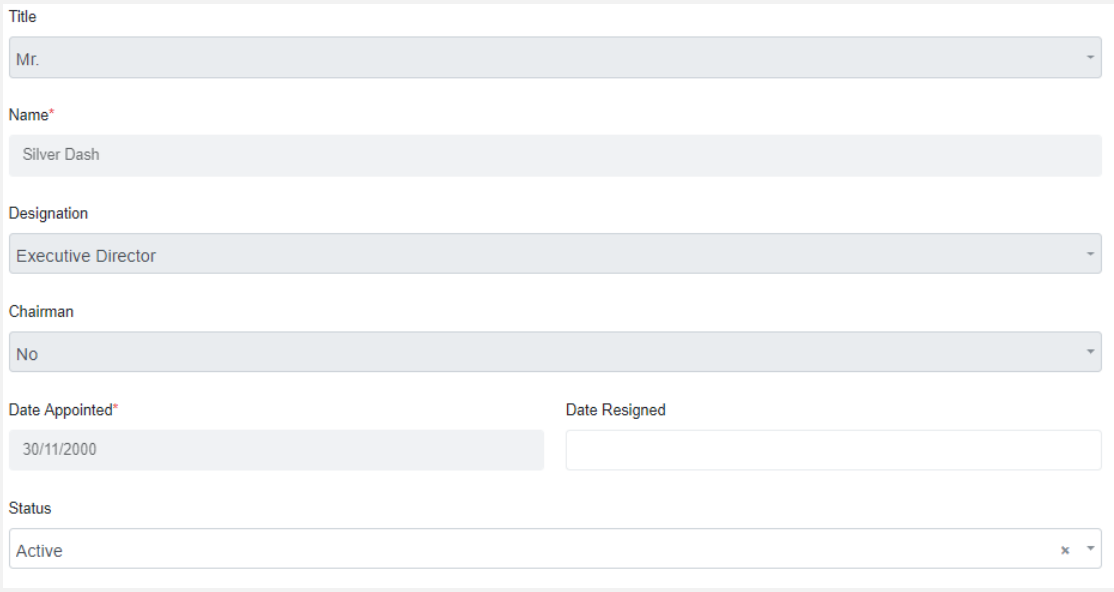
b) Search/Filter Board Composition

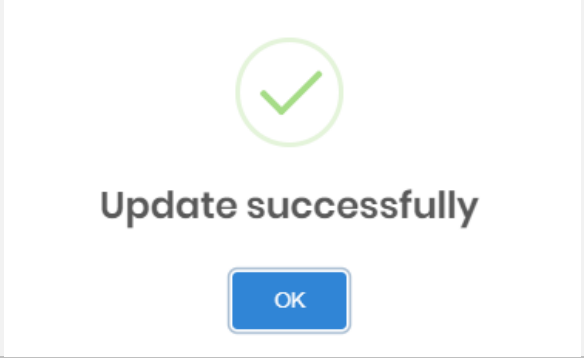
Steps	**Action**
1	Filter the fields according to free text field or dropdown items and click Search button

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

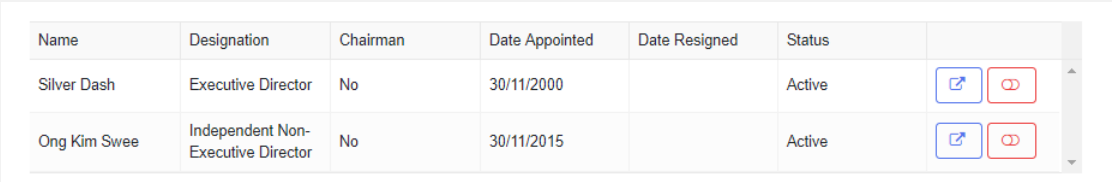
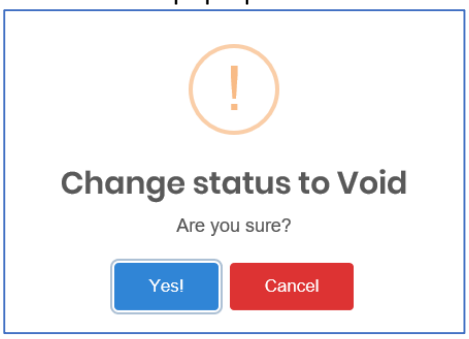
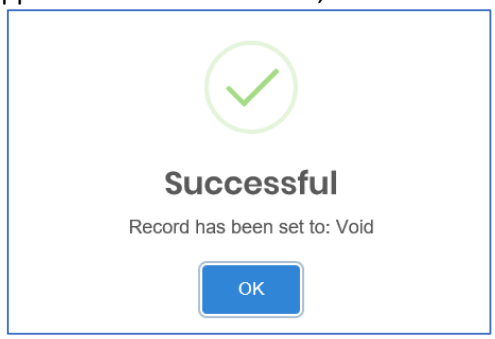
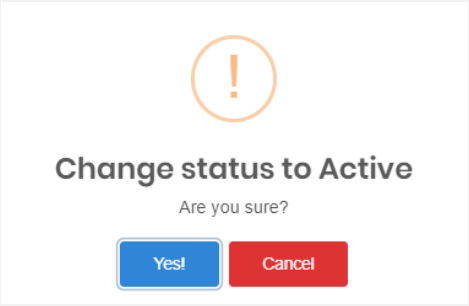
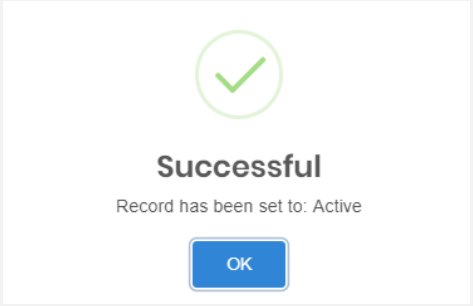
c) Edit Board Composition

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

	
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. 
4	Click Update button to update changes

5	A pop-up notification will appear to indicate update is successful. 

d) Set Void/Unvoid

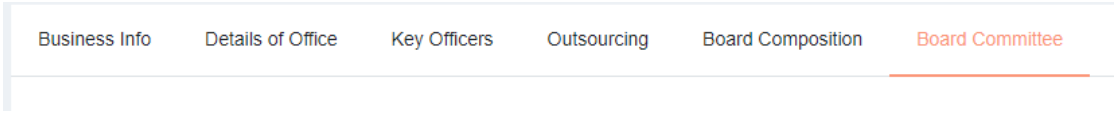
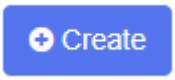
Step	Action
1	Select the desired row and click Void/Unvoid icon. 
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  

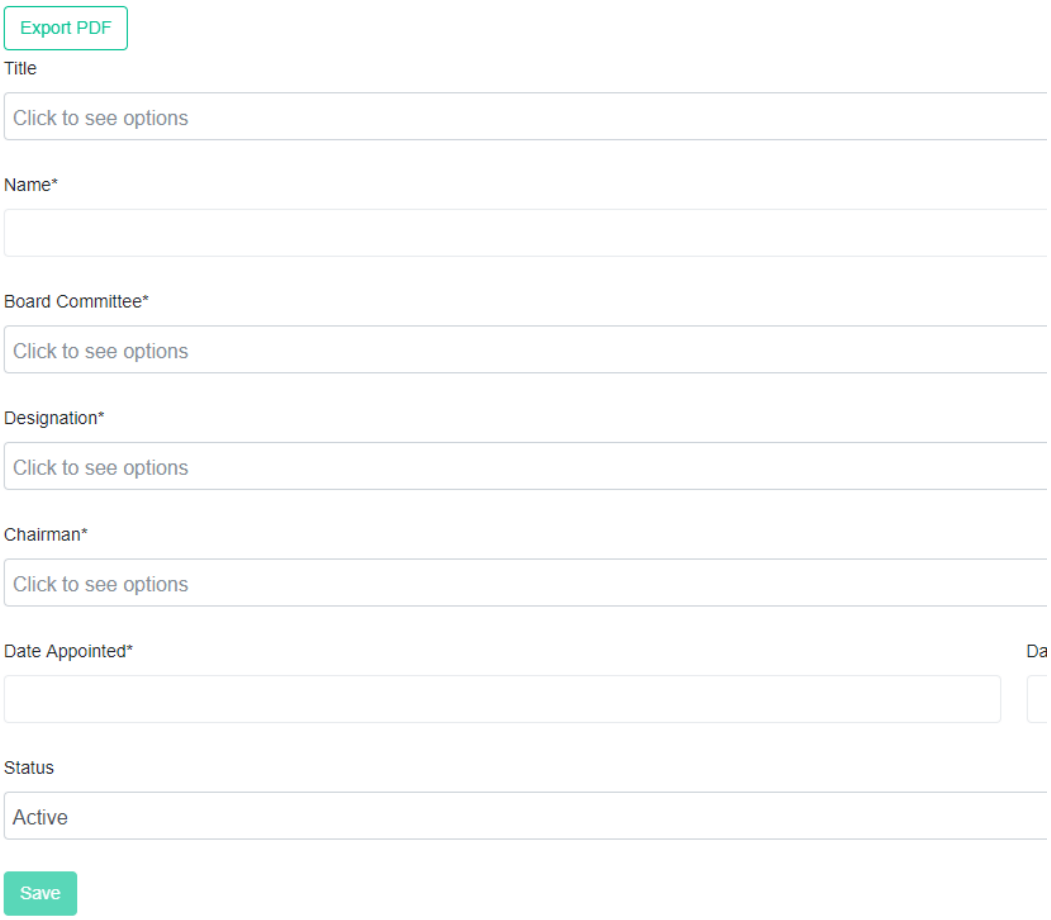
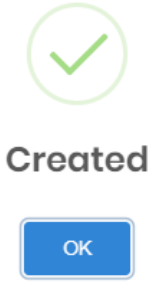
4.1.6 Board Committee

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

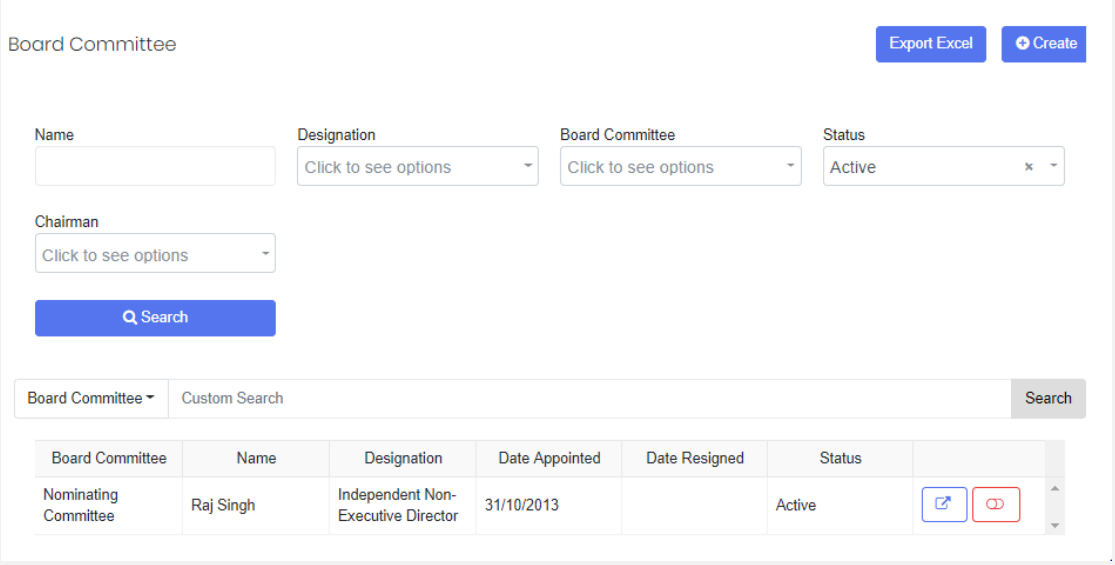
This page is only applicable to Subsidiary only.

a) Create Board Committee

1	Go to RE Profile menu and select Board Committee 
2	Click the Create Button on the left, the page will flow to a blank form 
3	Fill in the details

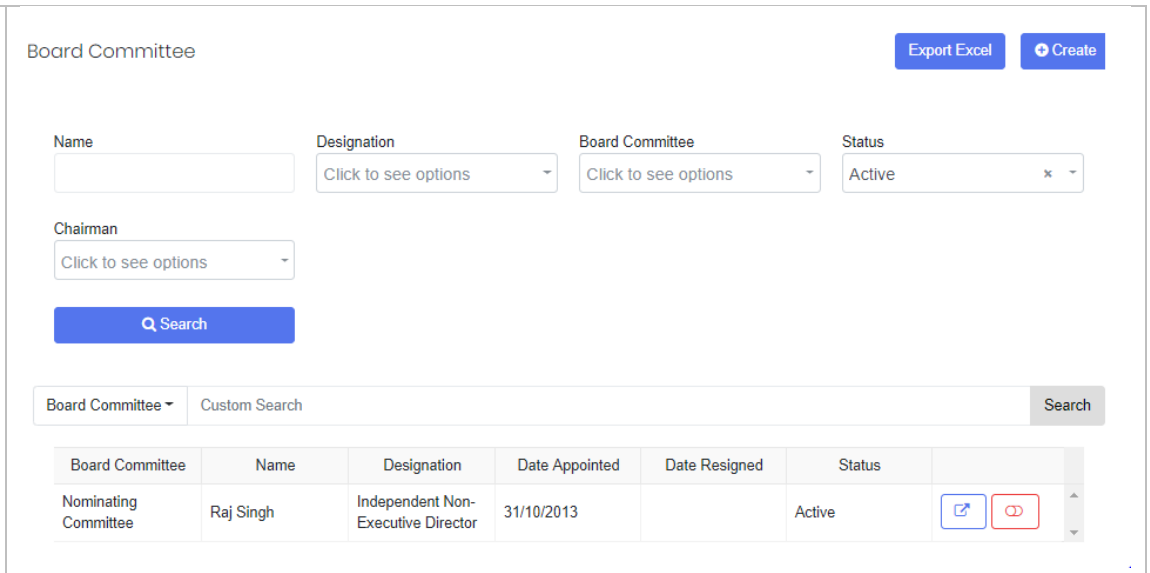
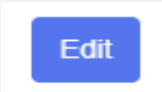
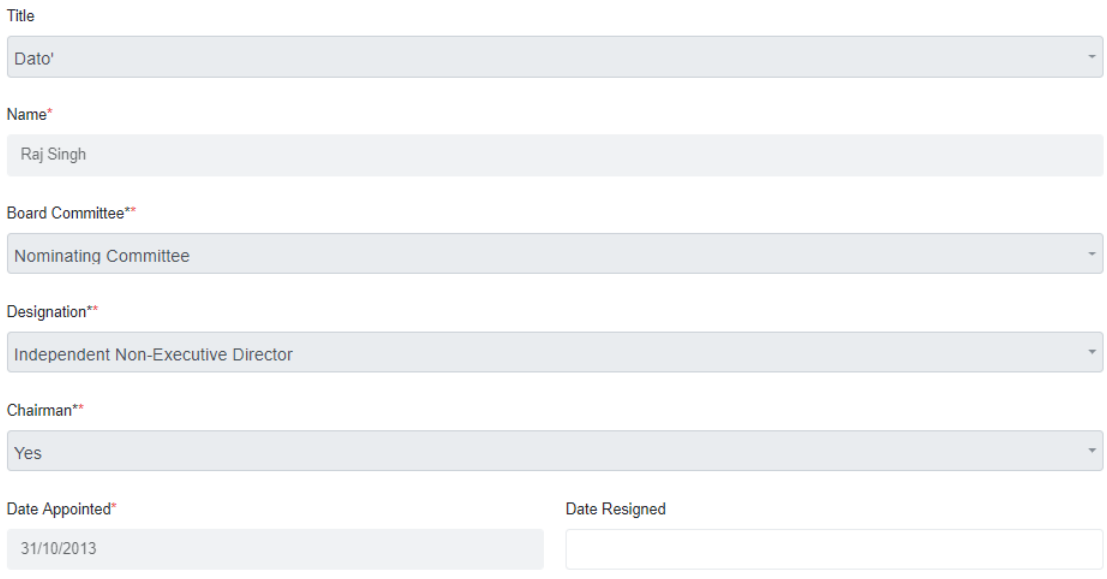
	
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful. 

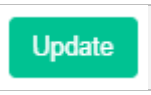
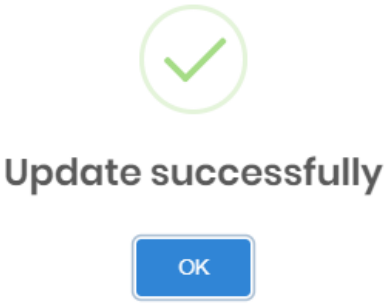
b) Search/Filter Board Committee

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

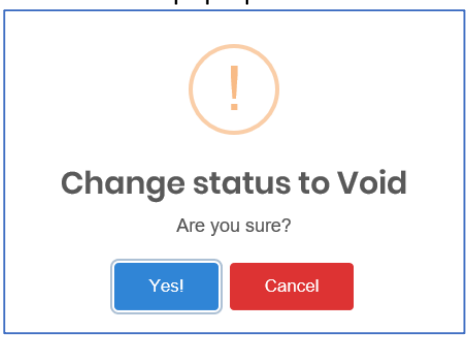
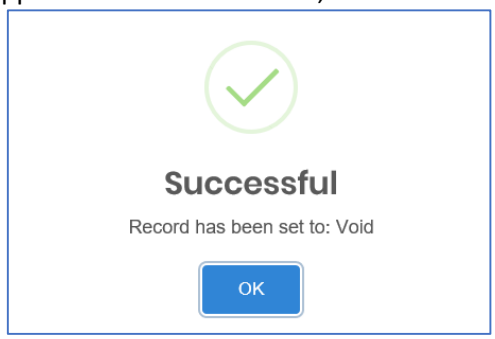
c) Edit Board Committee

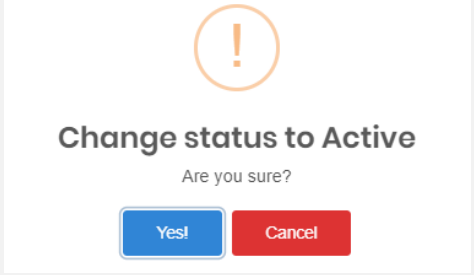
1	**Select the desired record and click View, it will flow to the next page.**

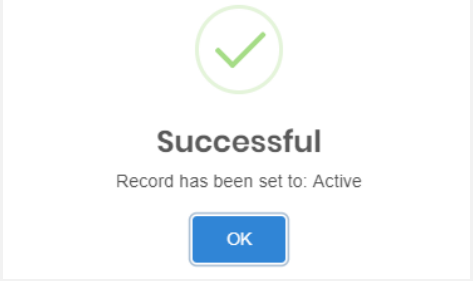
	
2	Click the Edit button 
3	Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record. 
4	Click Update button to update changes

	
5	A pop-up notification will appear to indicate update is successful. 

d) Set Void/Unvoid

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





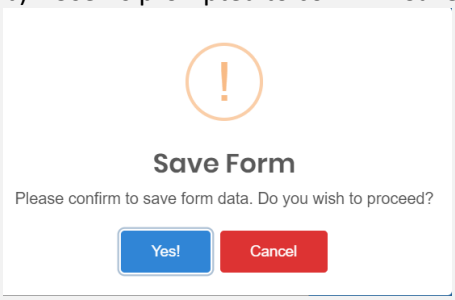
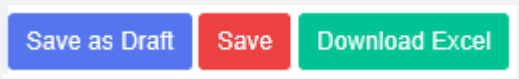
5 Submission and Forms

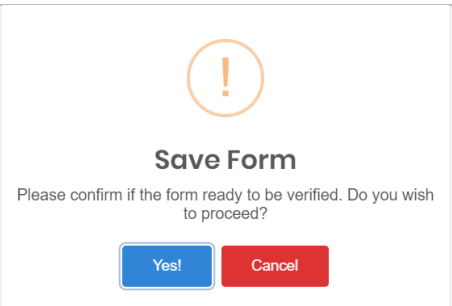
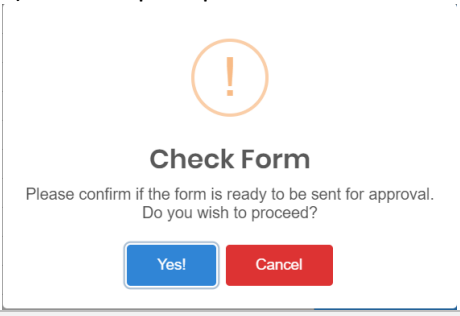
5.1 Objective

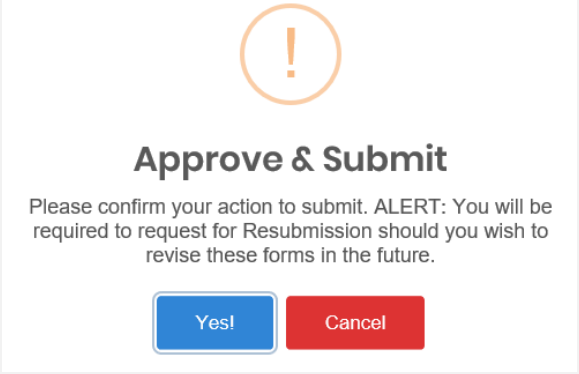
This module lists all the submissions according to End Date and Calendar/Financial Year End (FYE) for the Reporting Entity.

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 b) User is prompted to confirm 'Save as Draft' action  c) When the form is ready for verification, click 'Save' to proceed.  d) User is prompted to confirm 'Save' action	Open Pending Verification

		
Checker	a) User is allowed to 'Save as Draft' – to save the form as draft b) When the form is ready to be sent for approval, click 'Check' button to change the status to 'Ready' c) User is prompted to confirm 'Check' action 	Open Ready
Approver	a) User is allowed to 'Save as Draft' – to save the form as draft b) When the form is ready to be submitted, click 'Approve & Submit' button c) User may click 'Edit' button to re-open the form. d) User is prompted to confirm 'Approve and Submit' action	Open Submitted Accepted (if successful) Open



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.

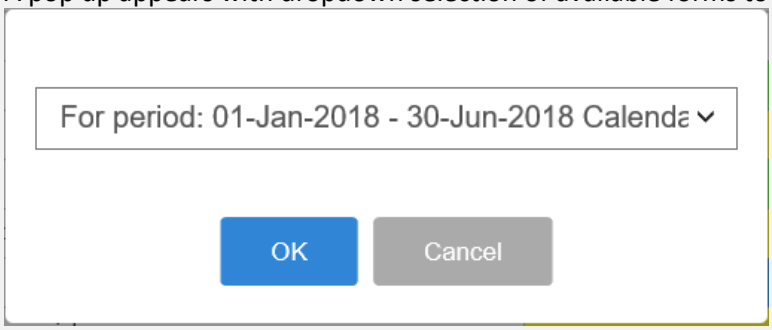
5.1.3 Dropdowns

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

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

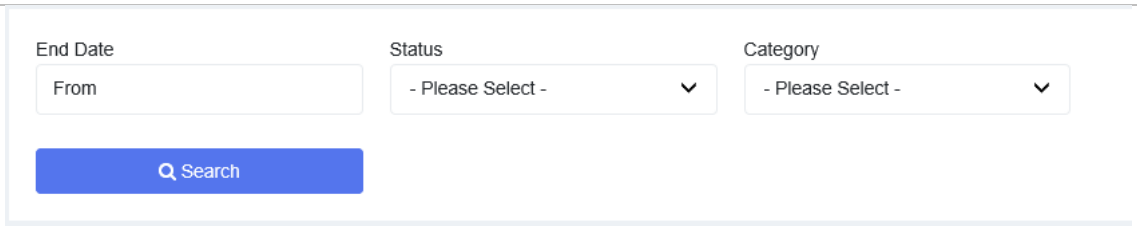
5.1.4 Copy From

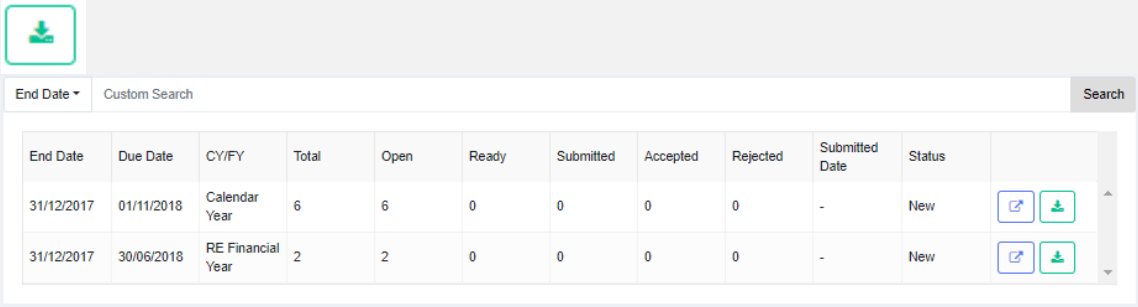
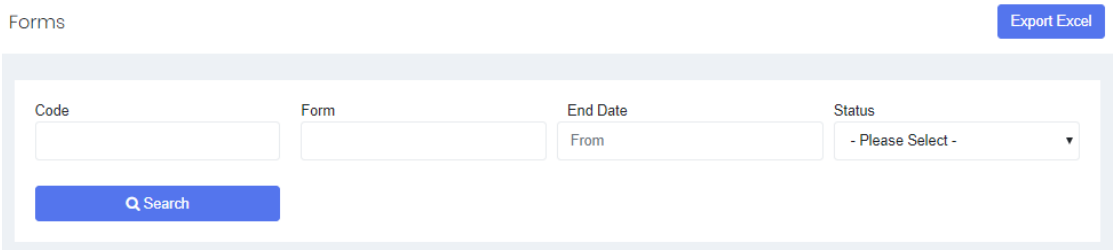
This feature is provided to facilitate RE Users filling up the form by copying data from the selected form.

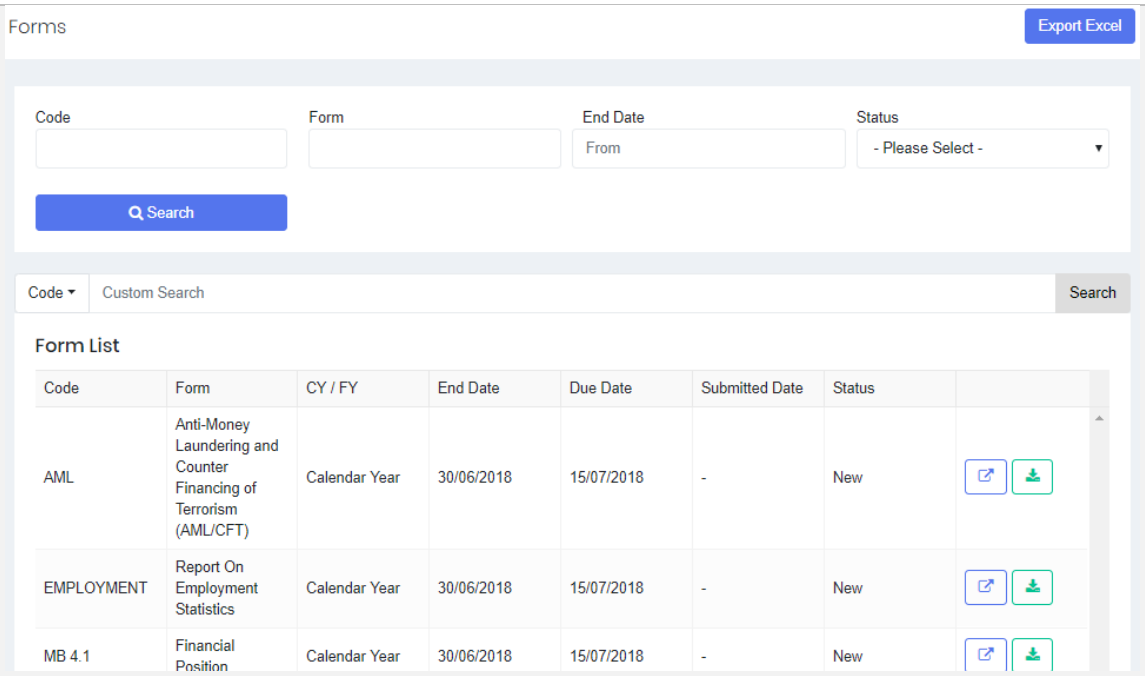
Step	Action
1	Load any form in the Submission or Forms menu.
2	Locate the button at the bottom left of the page. Click at the button
3	A pop up appears with dropdown selection of available forms to be copied. 
4	Select the form and click OK
5	The screen is automatically refreshed, the form is loaded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



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.  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:  Click Search button to view the search results.
5	Select the desired form in the list and click View button

	 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).

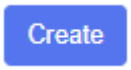
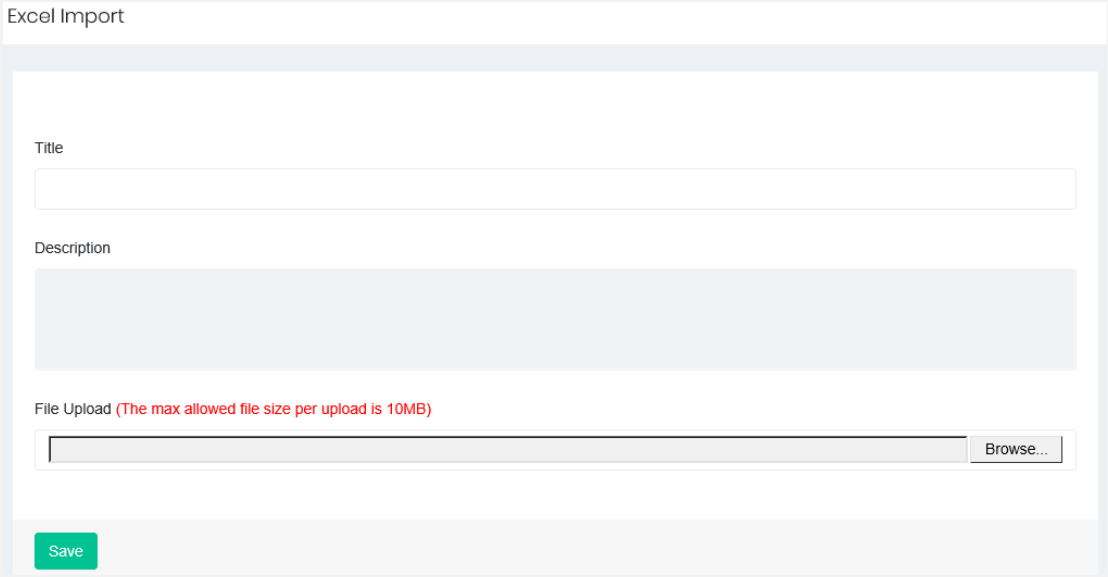
Excel Import task can only be performed for New or Open form status, otherwise it will result in error.

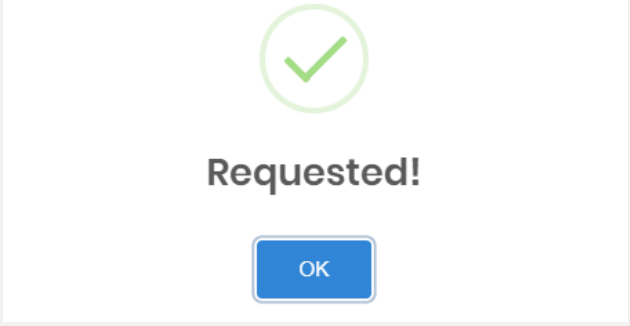
The Status for Excel Import results are described below:

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

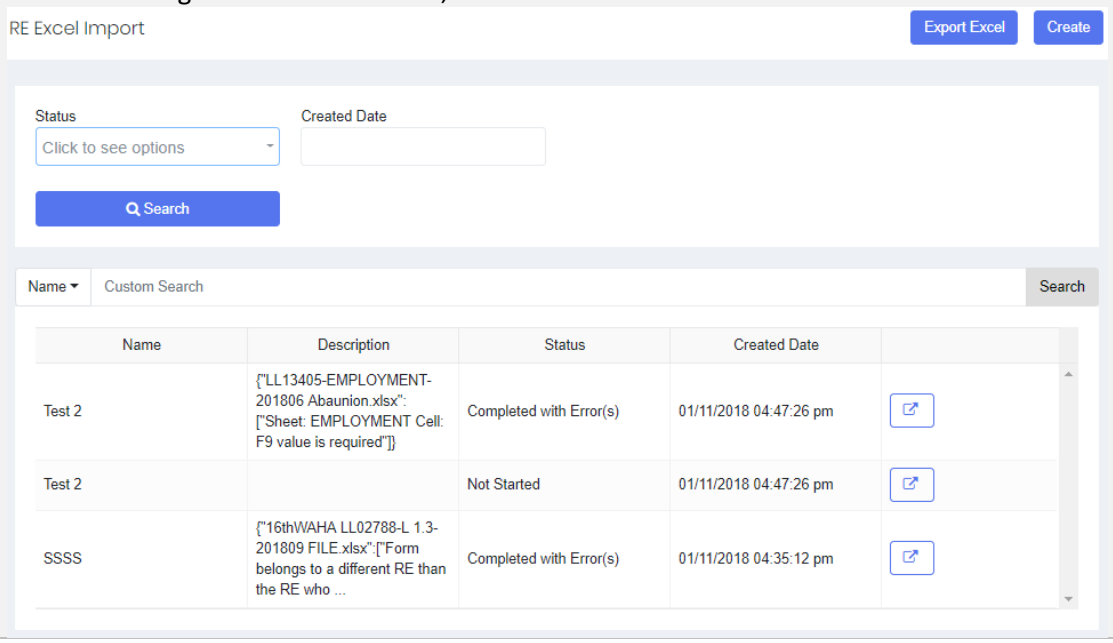
Aborted	The file processing is aborted due to invalid file format or invalid parameters.

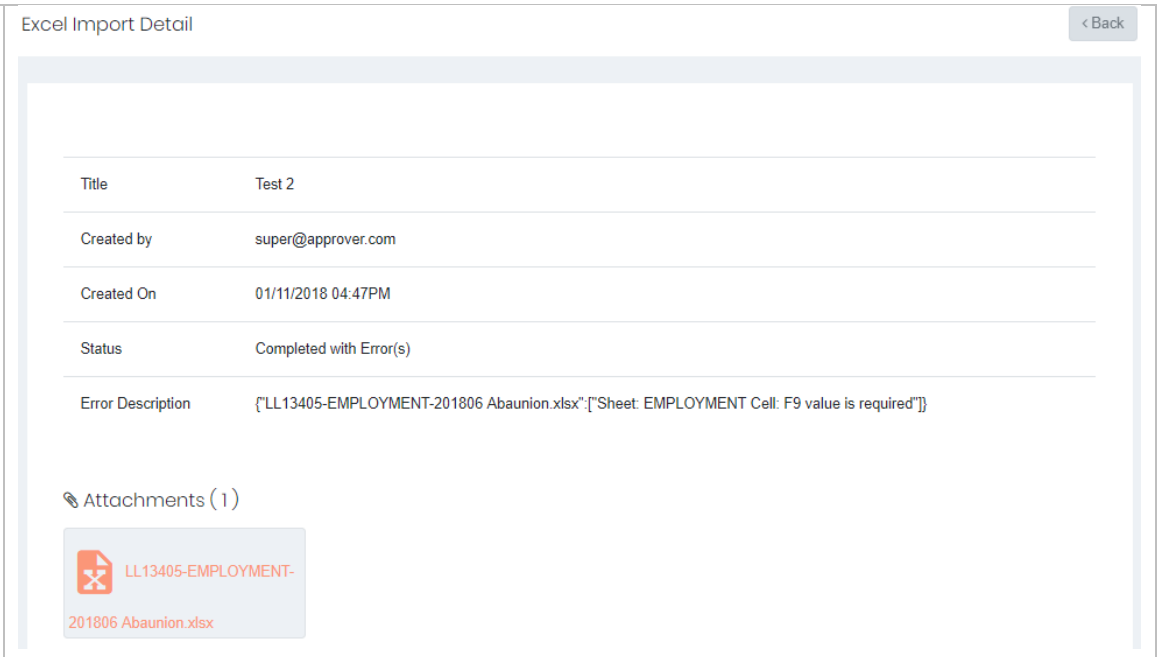
a) How to Use Import

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

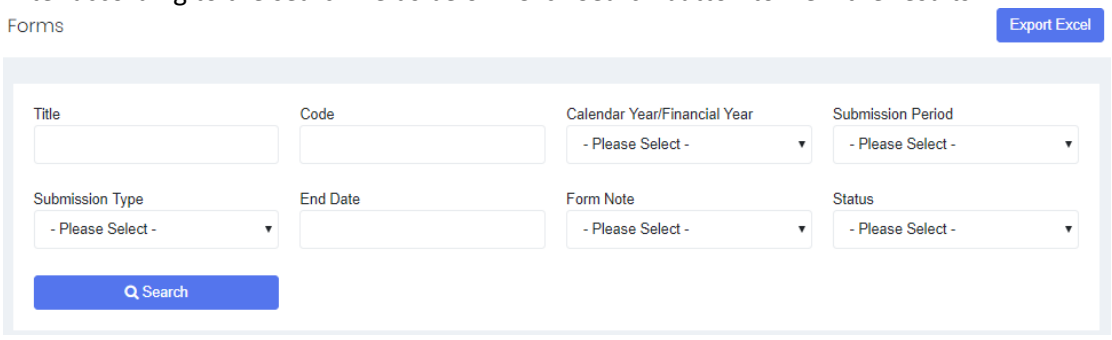


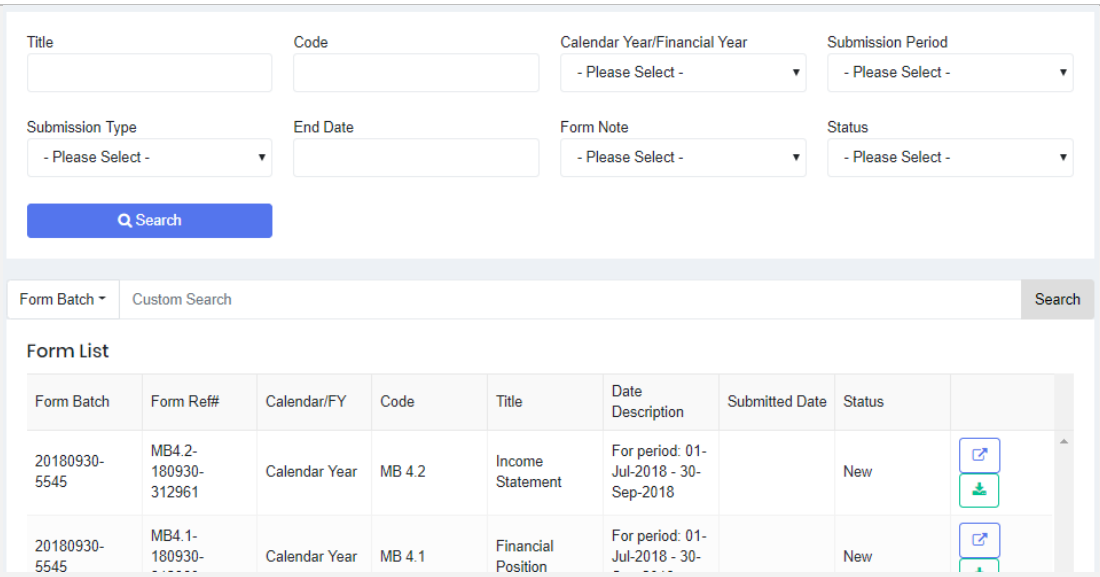
b) Search/View Import task

Step	Action
1	Filter according to the below criteria, and click Search button 
2	Select the desired row and click View, it will flow to the detail page.

	
3	The result page shows the status and Error Description (if any). 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.

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. 
3	Select the desired form in the list and click View button



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

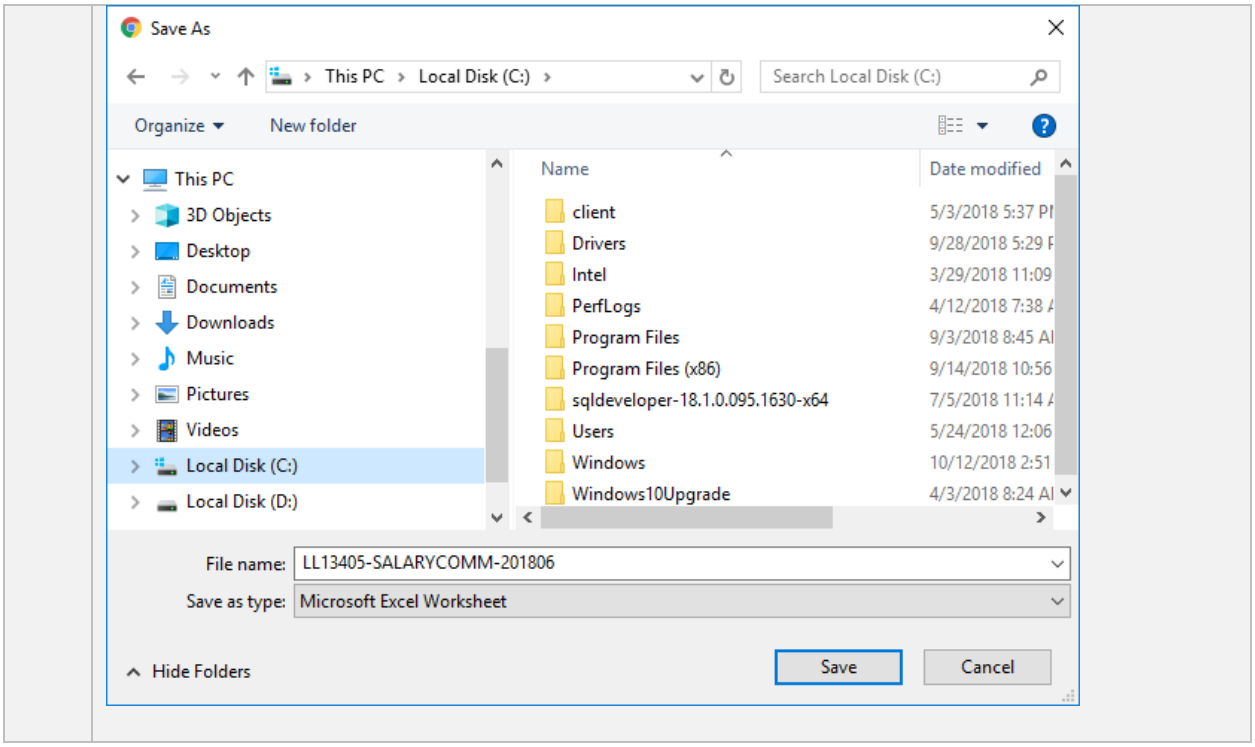
5.1.7.1 Download Excel

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 Counter 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. Download Excel Template Do you want to download Excel template with or without data? With Data Without Data
4	The download processing screen pops up to show the download is in progress. Processing Form download processing may take some time, please bear with us for a while.
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	All fields are mandatory EMPLOYMENT Report on Employment Statistics Position / Number of Employee / Resident Status / Country of Origin TOTAL 1 Supervisory Staff 1 Non-Permanent Resident AMERICAN SAMOA Follow the steps in topic 5.1.1 to submit the form

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	The main form is FP-01. All fields are mandatory in main form and sub forms Follow the steps in topic 5.1.1 to submit the form

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	Fill in the form below – main form IS-01 and the sub forms as required Follow the steps in topic 5.1.1 to submit the form

IS-01 IS-02 IS-03 IS-04 IS-05 IS-06 IS-07 IS-08

Income Statement

	USD
Continuing Operations	
Net Interest/Finance	0
Interest/Finance Income	0
Interest/Finance Income from Loans/Financing and Advances	0
Interest/Finance Income from Amount Due from Financial Institutions	0
Interest/Finance Income from Financial Assets Measured at FVTPL	0
Interest/Finance Income from Financial Assets Measured at Amortised Cost	0
Interest/Finance Income from Instruments at FVOCI	0
Interest/Finance Income from Financial Assets Designated as Fair Value Through Profit or Loss	
Other Interest/Finance Income	0
Accretion of Discount on Securities	

5.3.1.3 Financial Position-Islamic Window

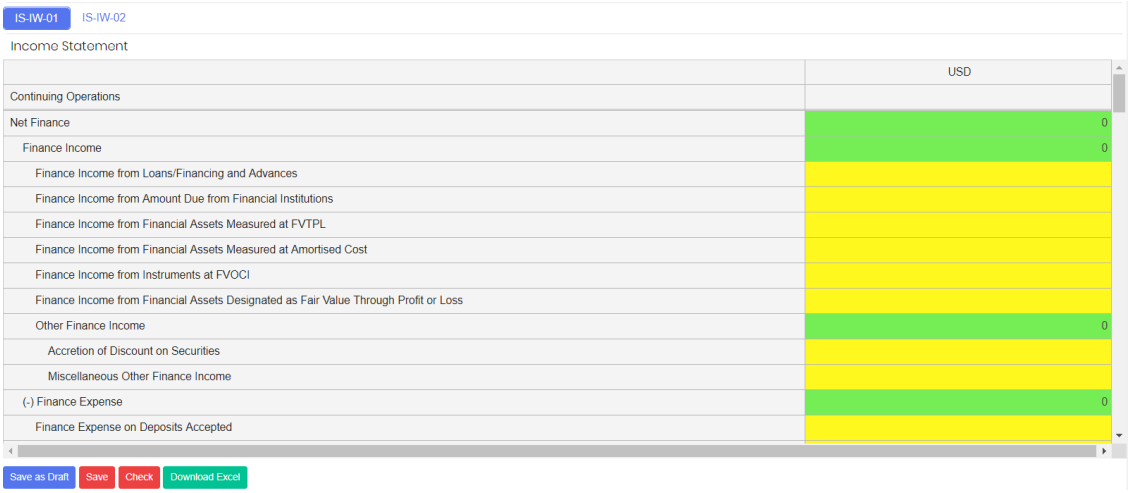
Follow the below steps to fill in the submission forms:

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. Follow the steps in topic 5.1.1 to submit the form

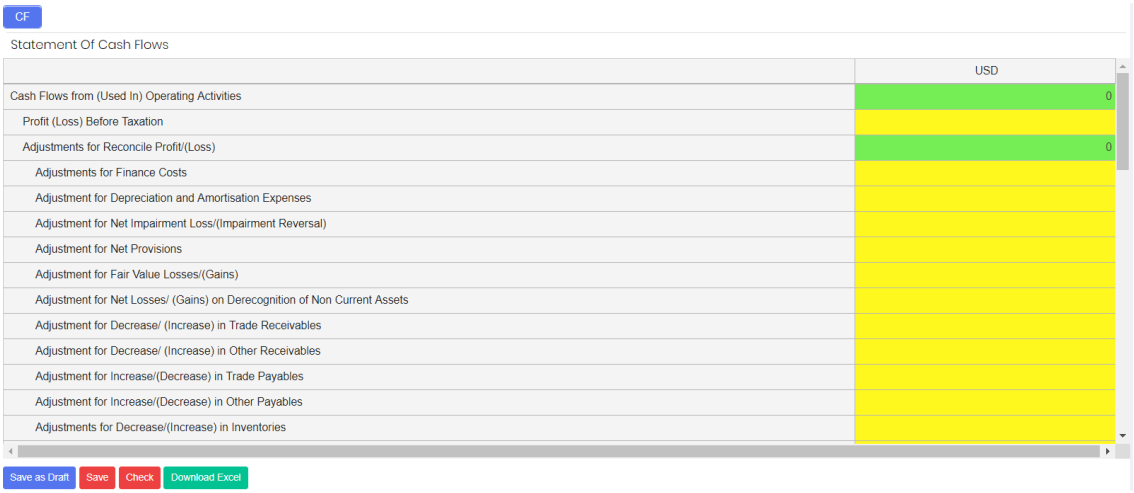
5.3.1.4 Income Statement-Islamic Window

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	Fill in the form below – main form- IS-IW-01.  Follow the steps in topic 5.1.1 to submit the form

5.3.1.5 Statement of Cash Flow

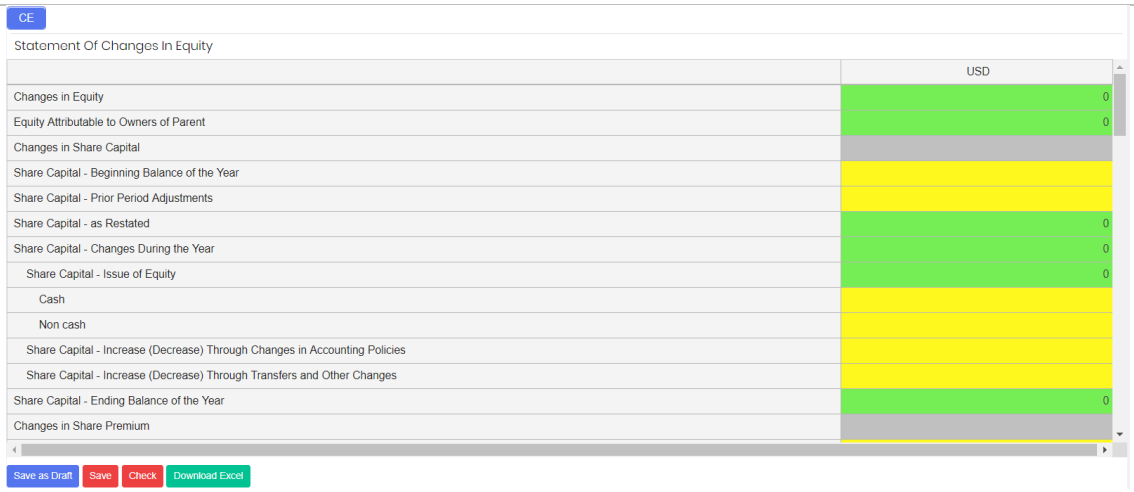
Financial Position form has to be submitted prior to submitting this form.
Follow the below steps to fill in the submission forms:

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

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.



Follow the steps in topic 5.1.1 to submit the form

5.3.1.7 Summary of Investment/Dealing Securities

Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the INV Forms. Click View icon.
2	Fill in the form below – main form INV. Follow the steps in topic 5.1.1 to submit the form

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	Fill in the form below – main form-SM.01. Follow the steps in topic 5.1.1 to submit the form

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

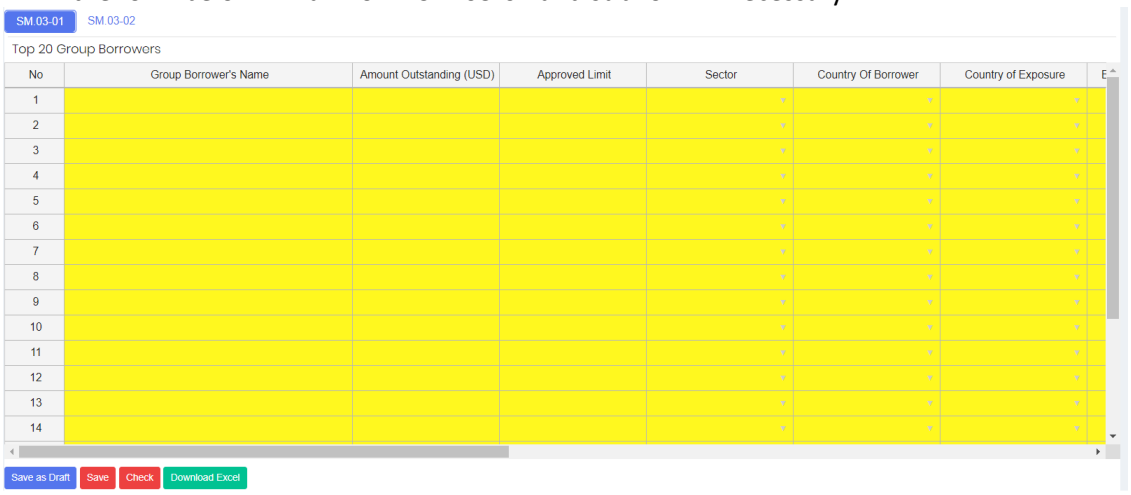
Follow the below steps to fill in the form:

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.

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	Go to menu Submissions or Forms. Filter the list to select the SM.03 form. Click View icon.
2	Fill in the form below – main form-SM.03-01 and sub form if necessary.  Follow the steps in topic 5.1.1 to submit the form

5.3.1.11 Top 10 Impaired Loans/Financing Listing

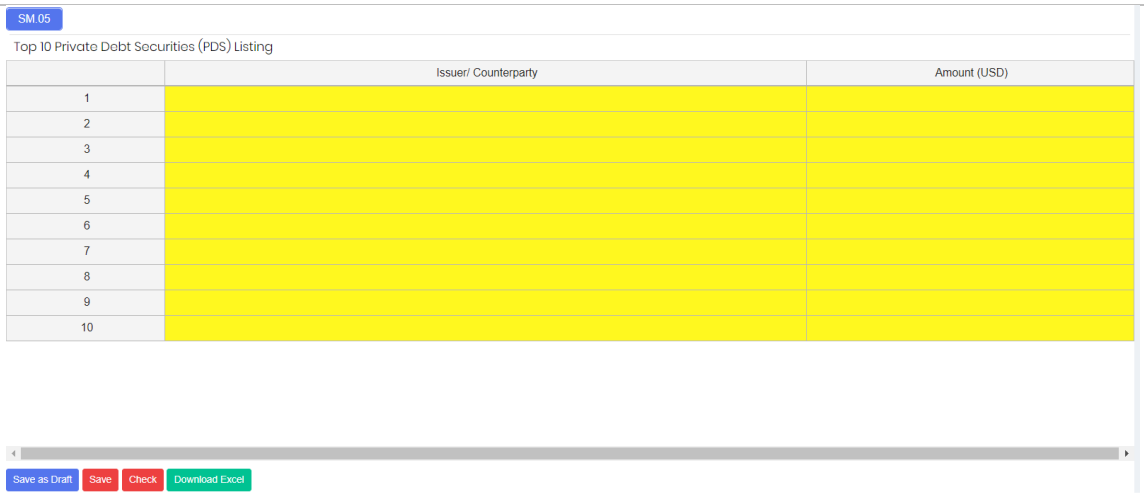
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.04 form. Click View icon.
2	Fill in the form below – main form-SM.04. Follow the steps in topic 5.1.1 to submit the form

5.3.1.12 Top 10 Private Debt Securities (PDS) Listing

Follow the below steps to fill in the form:

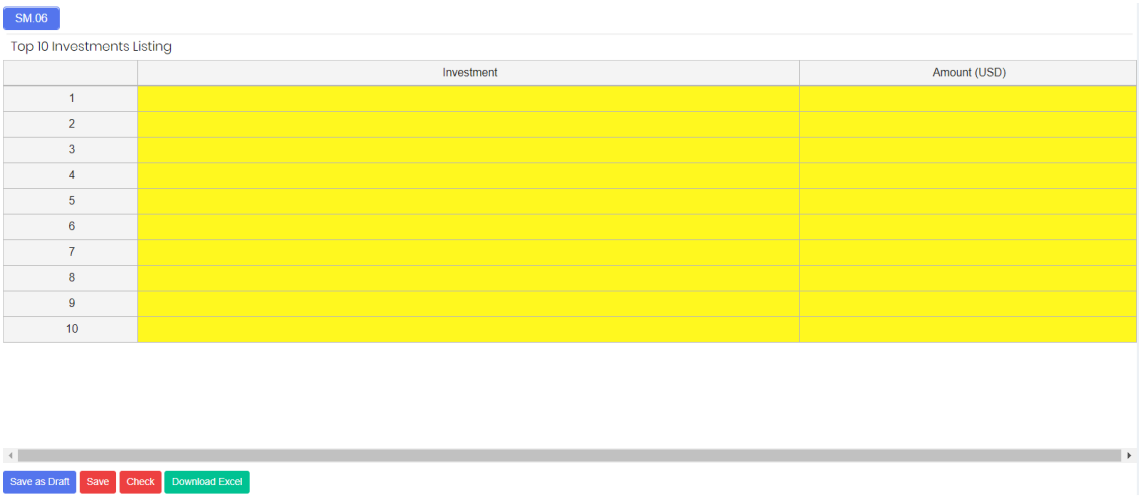
Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.05 forms. Click View icon.
2	Fill in the form below – main form SM.05.



Follow the steps in topic 5.1.1 to submit the form

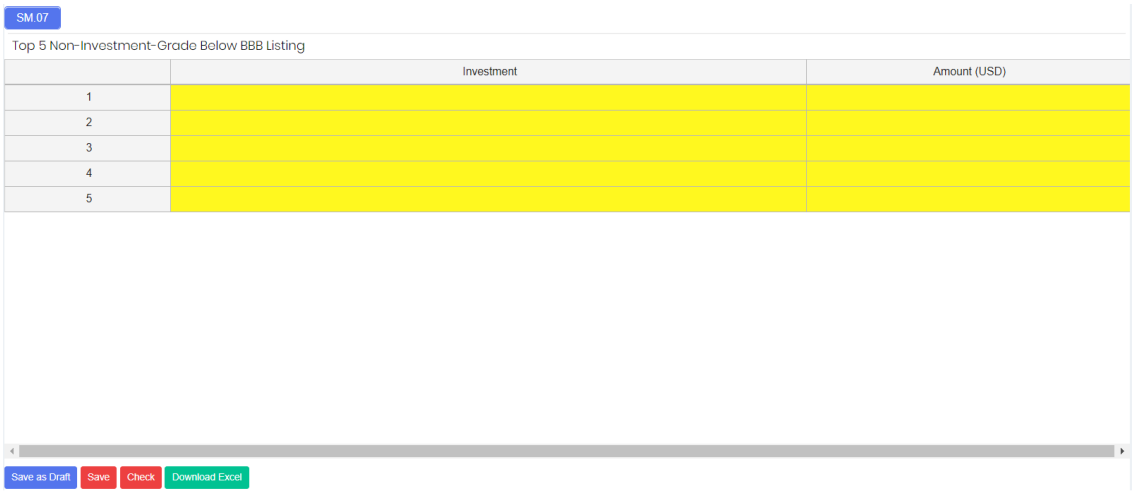
5.3.1.13 Top 10 Investments Listing

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.  Follow the steps in topic 5.1.1 to submit the form

5.3.1.14 Top 5 Non-Investment-Grade Below BBB Listing

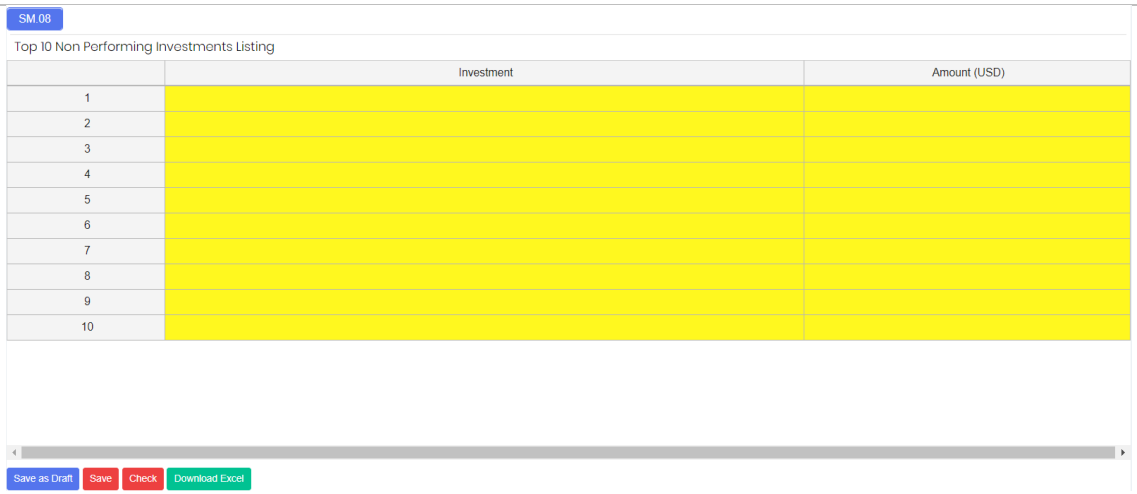
Follow the below steps to fill in the form:

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

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.



Follow the steps in topic 5.1.1 to submit the form

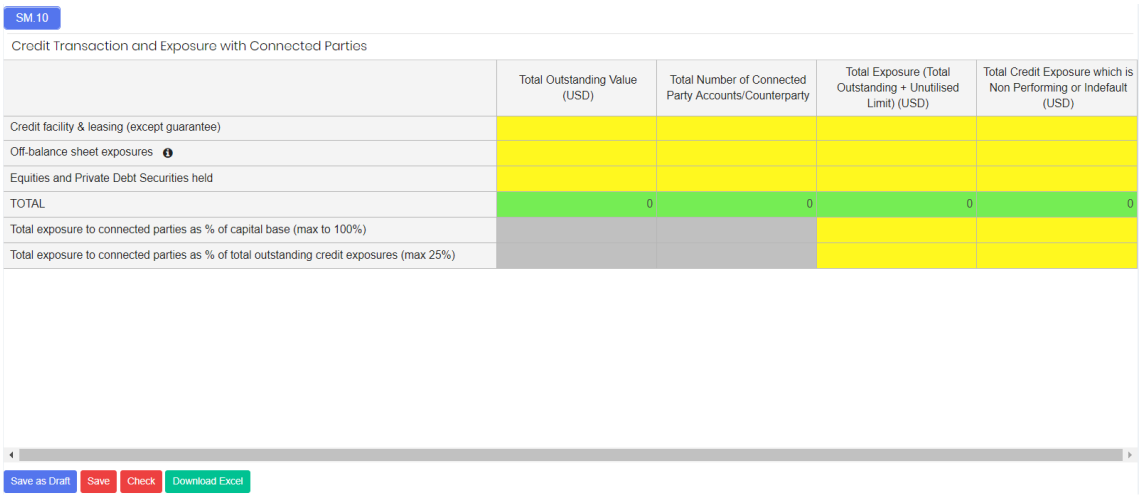
5.3.1.16 Top 20 Depositors Listing

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	Fill in the form below – main form-SM.09. Follow the steps in topic 5.1.1 to submit the form

5.3.1.17 Credit Transaction and Exposure with Connected Parties

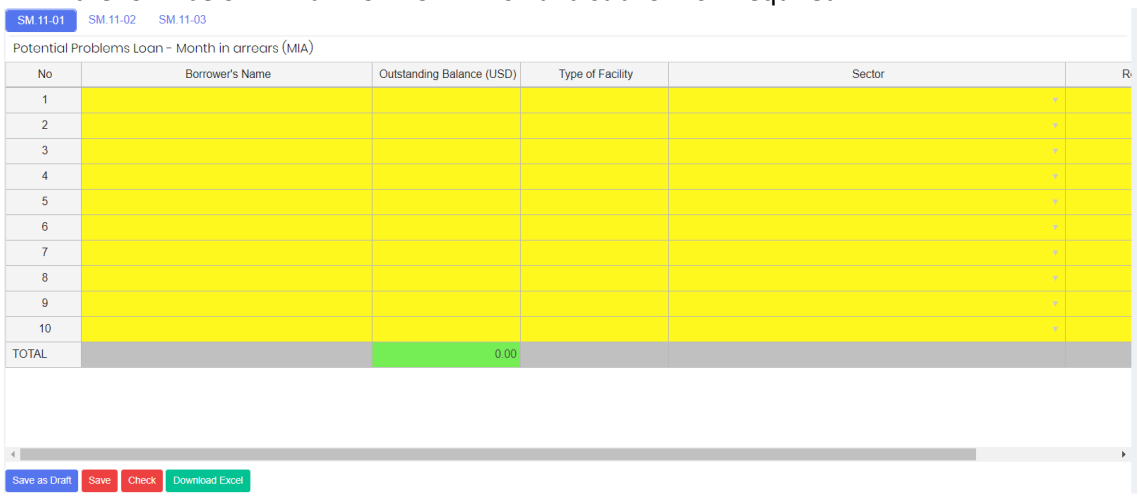
Follow the below steps to fill in the form:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the SM.10 form. Click View icon.
2	Fill in the form below – main form-SM.10.  Follow the steps in topic 5.1.1 to submit the form

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.

2	Fill in the form below – main form SM.11-01 and sub forms if required.  Follow the steps in topic 5.1.1 to submit the form

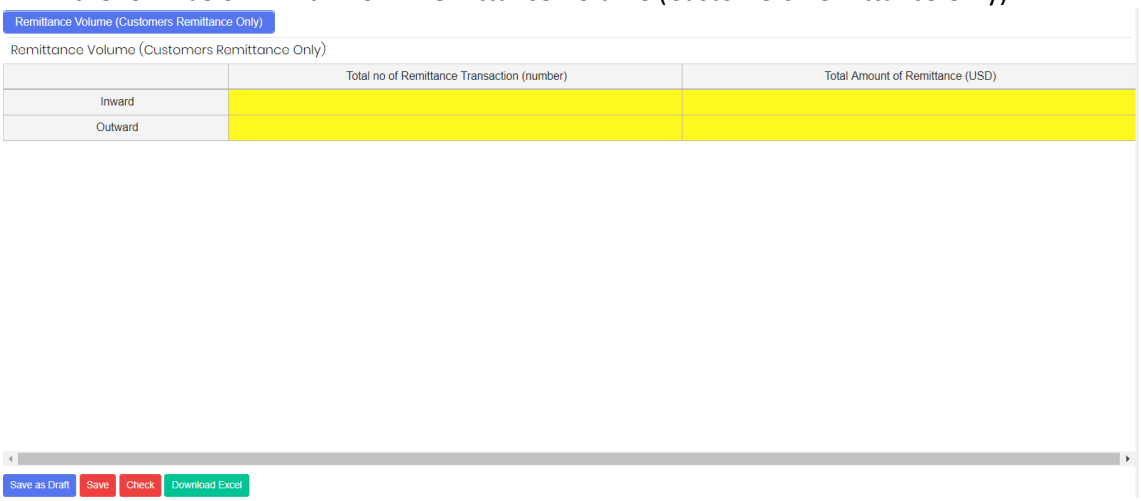
5.3.1.19 Dealing and Investment Securities

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.12 forms. Click View icon.
2	Fill in the form below – Main form SM.12-01 and the sub forms if required Follow the steps in topic 5.1.1 to submit the form

5.3.1.20 Remittance Volume

Follow the below steps to fill in the form:

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

5.3.1.21 Selected Key Statistics of Labuan Banks

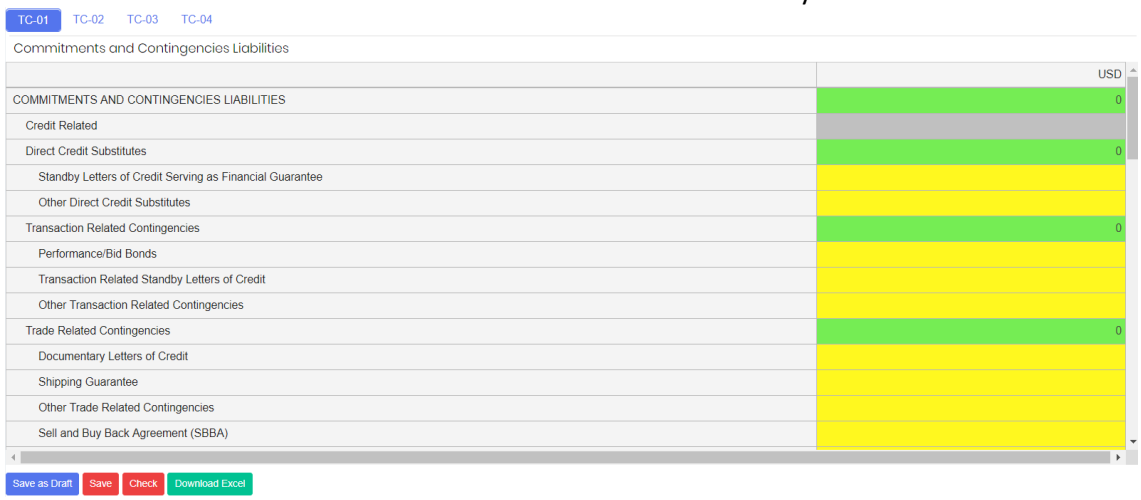
Follow the below steps to fill in the form:

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

Follow the steps in topic 5.1.1 to submit the form

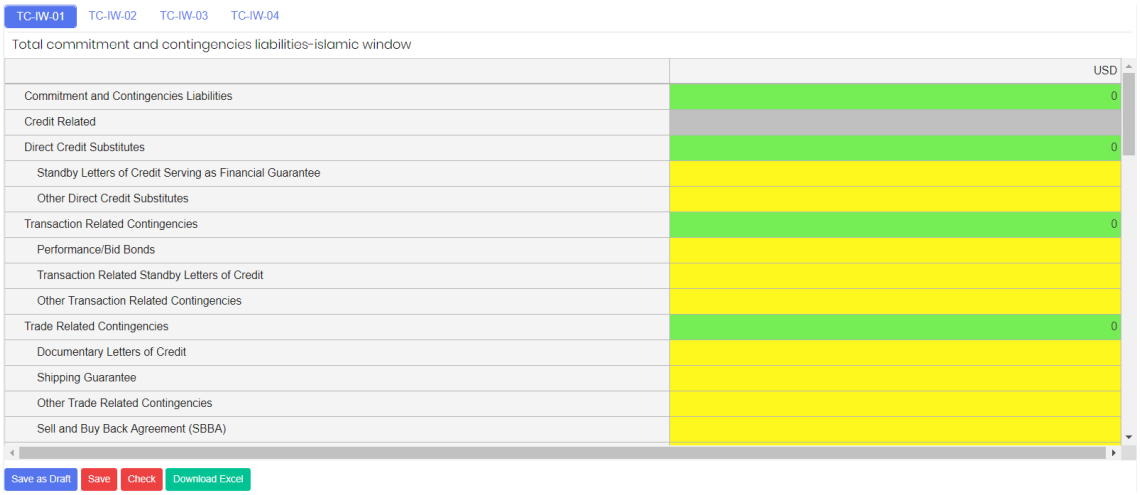
5.3.1.22 Total Commitments And Contingencies

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.  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	Fill in the form below – main form- TC-IW-01.  Follow the steps in topic 5.1.1 to submit the form

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.

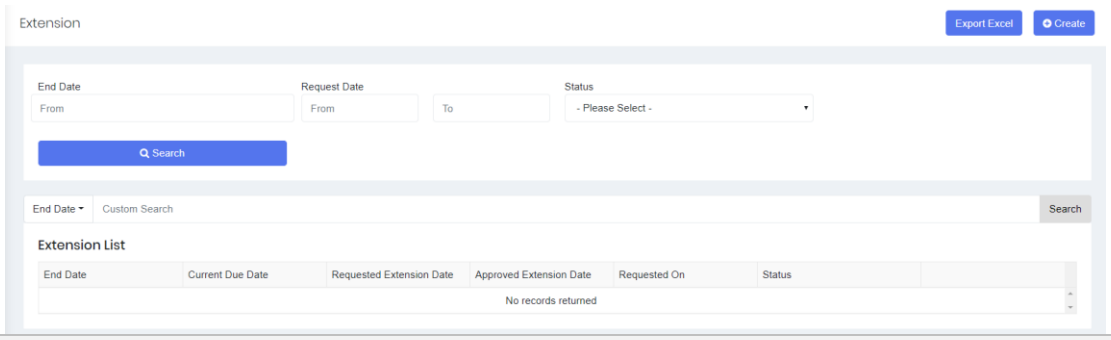
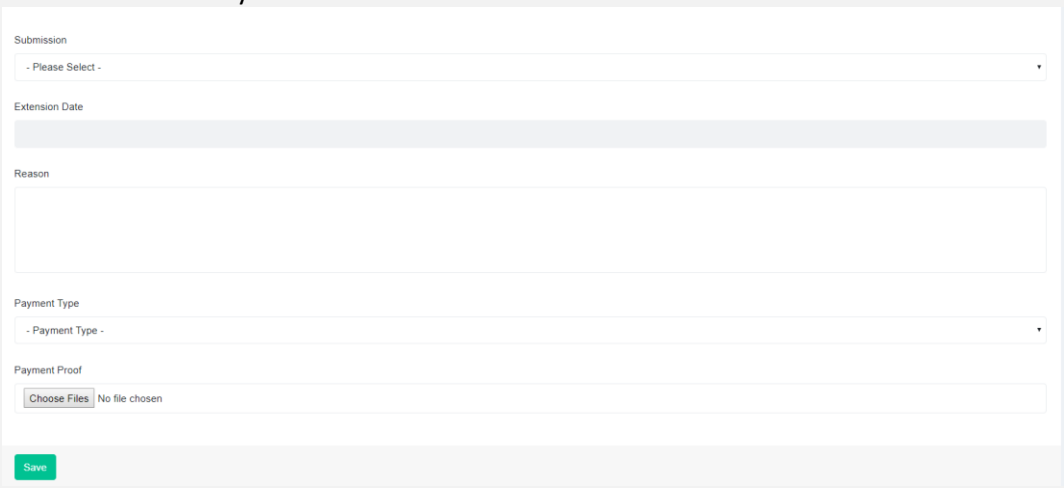
The status of extension is described as the followings:

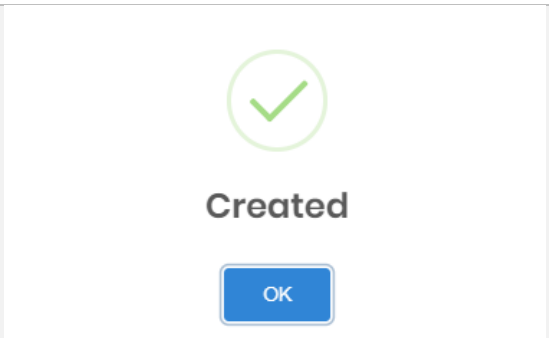
Status	Description
Paid	A new Extension request is received and processing fee is paid
In Progress	The application is being processed by the processing officer
Approved	The application is approved by HOU

Rejected	The application is approved by HOU

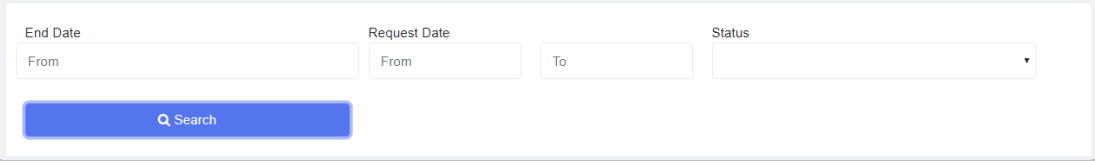
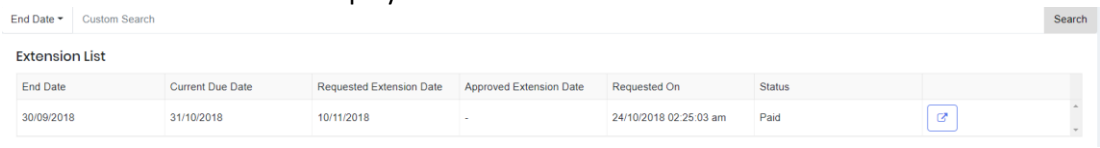
6.2 How to Request for An Extension of Time

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.

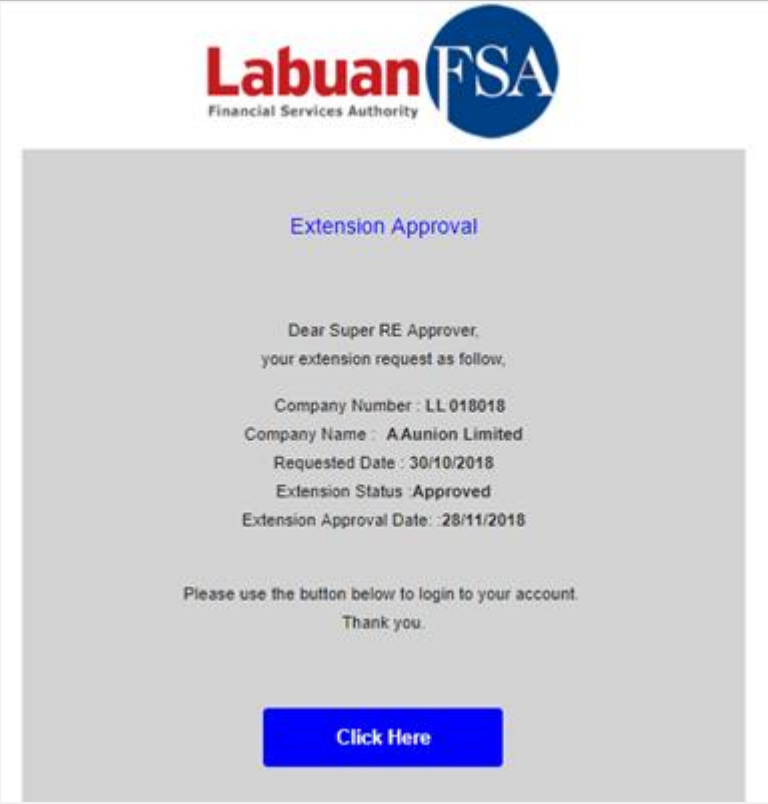
	
6	A system-generated email will be sent to IRU to notify of the Extension request.

b) Search/Filter Extension

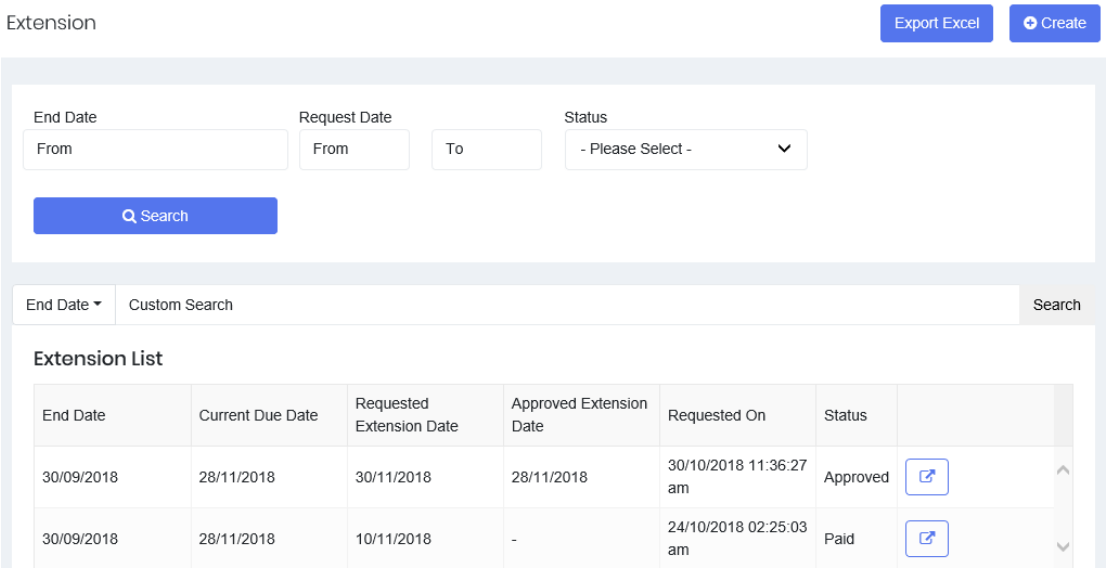
Step	Action
1	From the screen, select an item in the dropdown and click Search button. 
2	The result of the search is displayed in the list. 

c) Extension Approval/Rejection

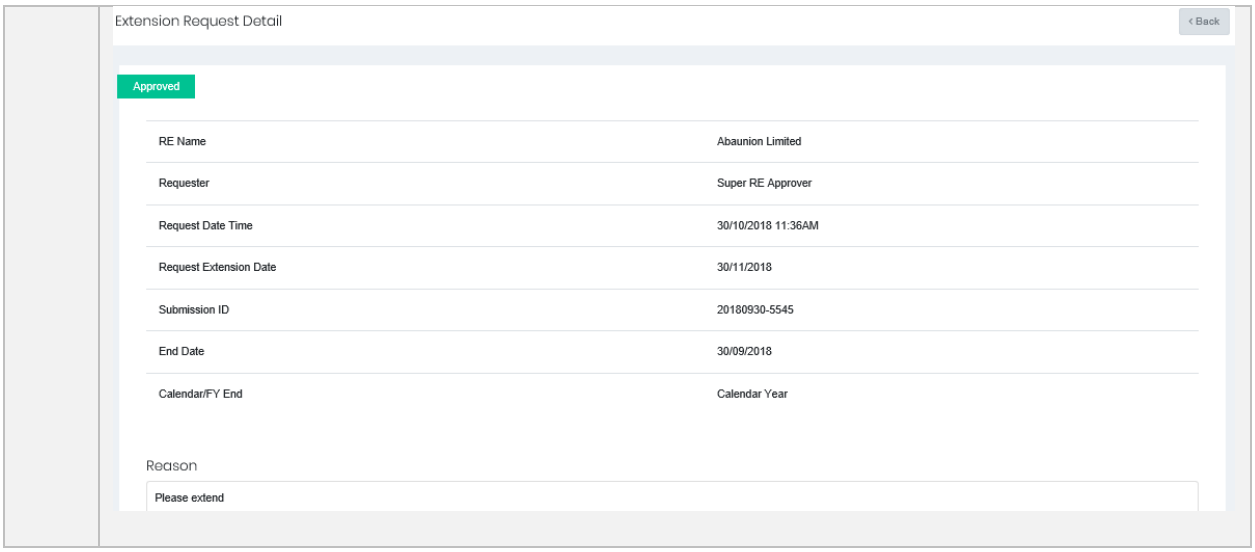
Step	Action
1	User will receive an email notification to indicate if the application is approved.



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



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



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

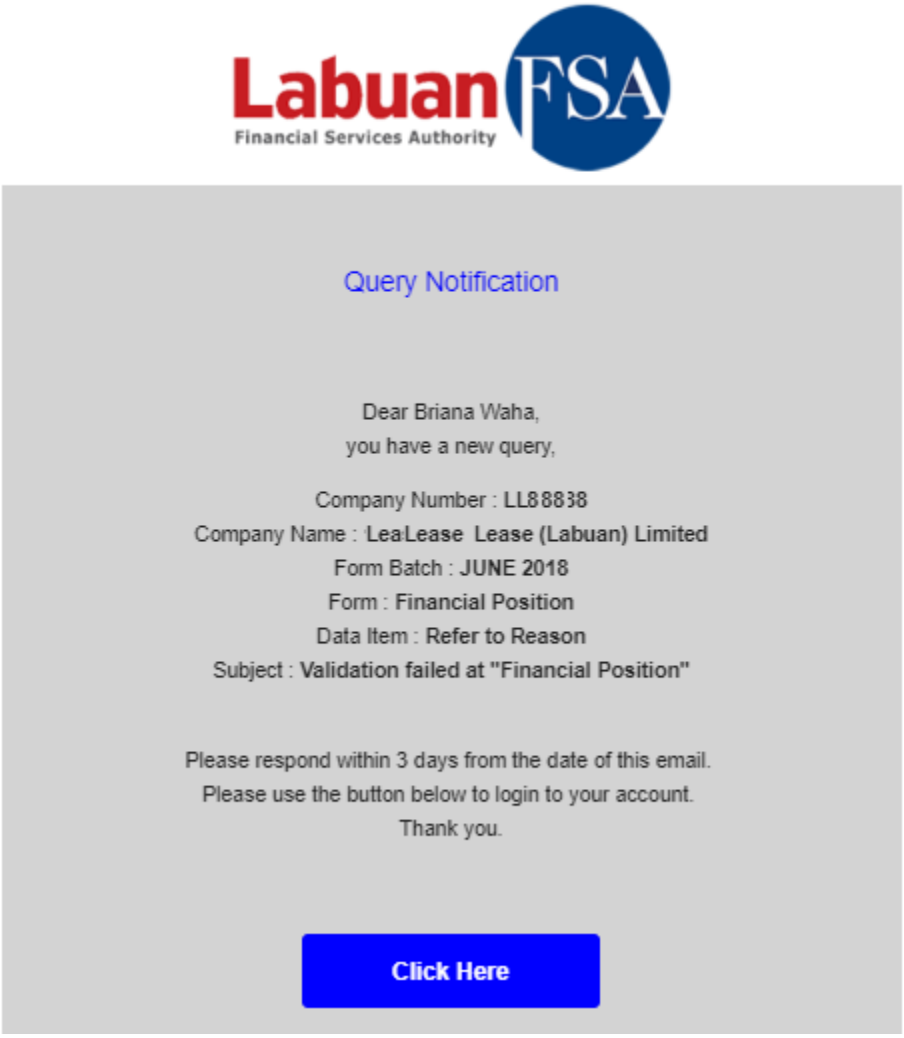
IRU will review the reply and may decide to close the Query, or to instruct RE to resubmit the affected form/s. If the RE has to resubmit the form/s, this process will be handled in Resubmission module.

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

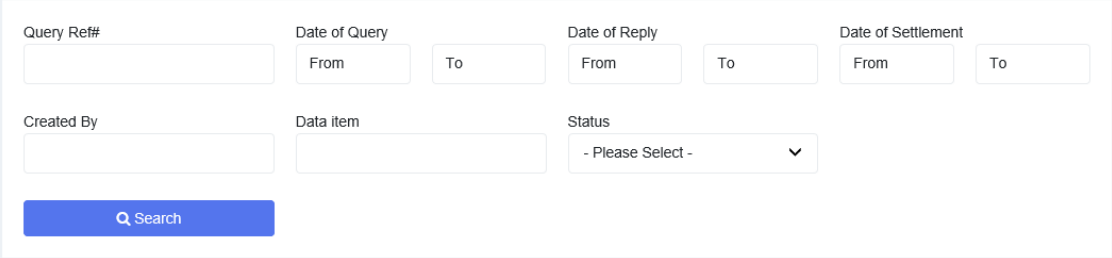
Below is the sample of auto-generated email of query notification:



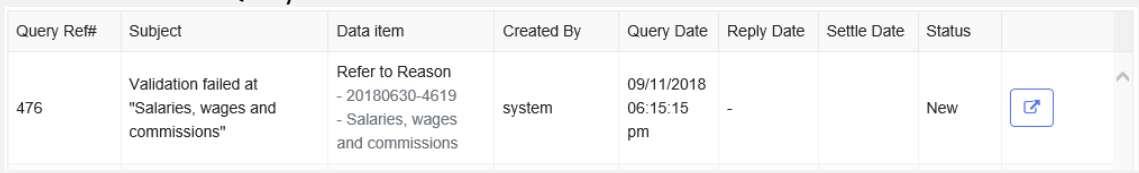
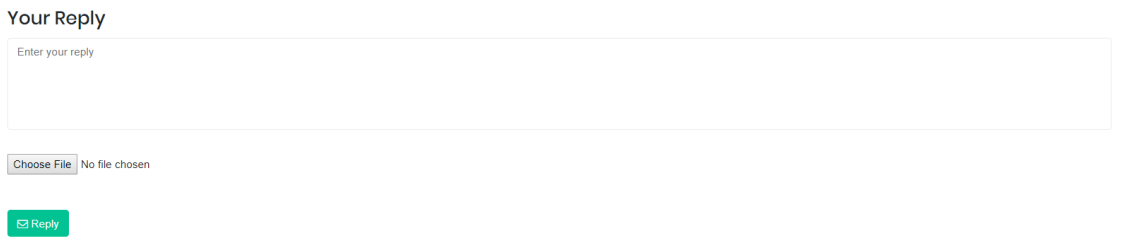
7.2 How to Use Query

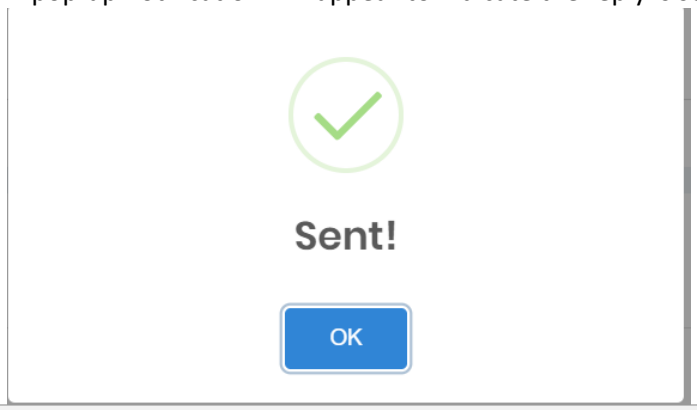
a) Search/Filter Query

Step	Action

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

b) Reply Query

Step	Action
1	Select a row from Query tab and click View Record icon. 
2	Key in your reply and upload file if necessary. 
3	Click Reply button to send.

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

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

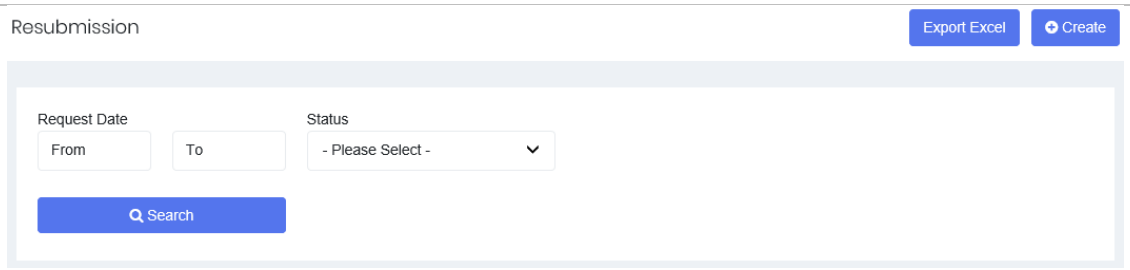
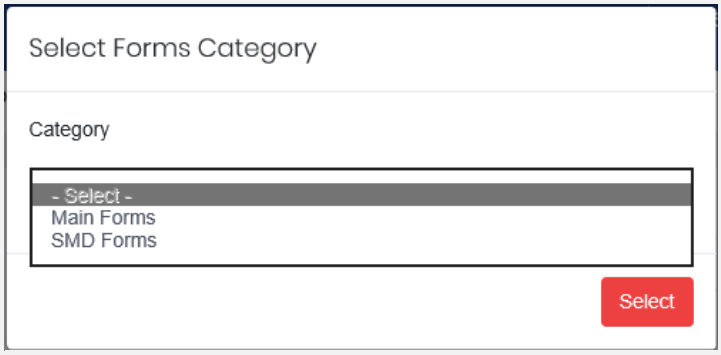
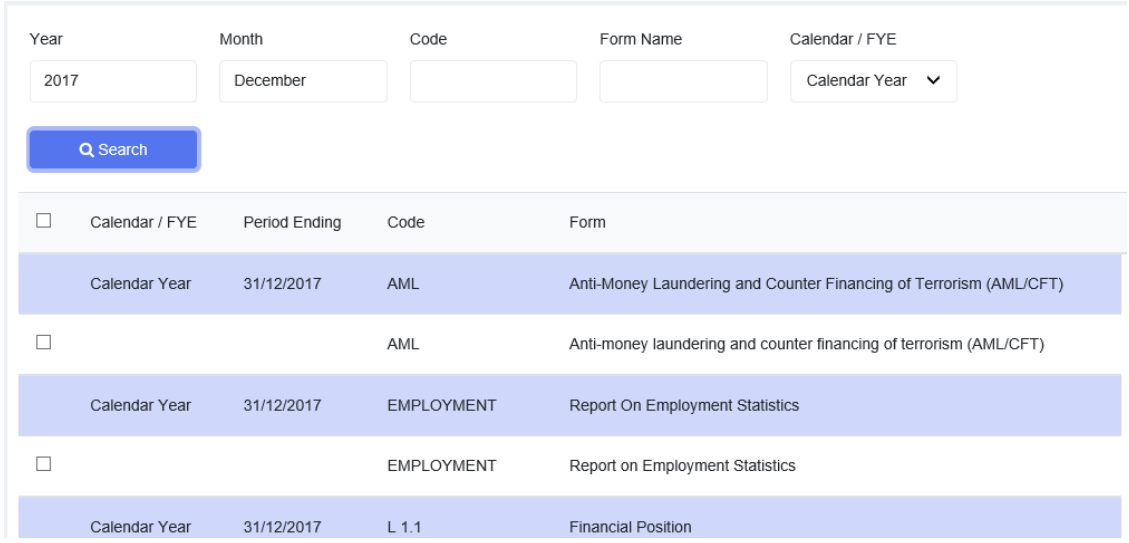
Once a Resubmission request is raised by user, IRU will receive a notification via email. IRU Officer will be responsible to review the request and to decide whether the procession fee shall be applied or waived. A system-generated email will be sent to RE User once the result of Resubmission request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

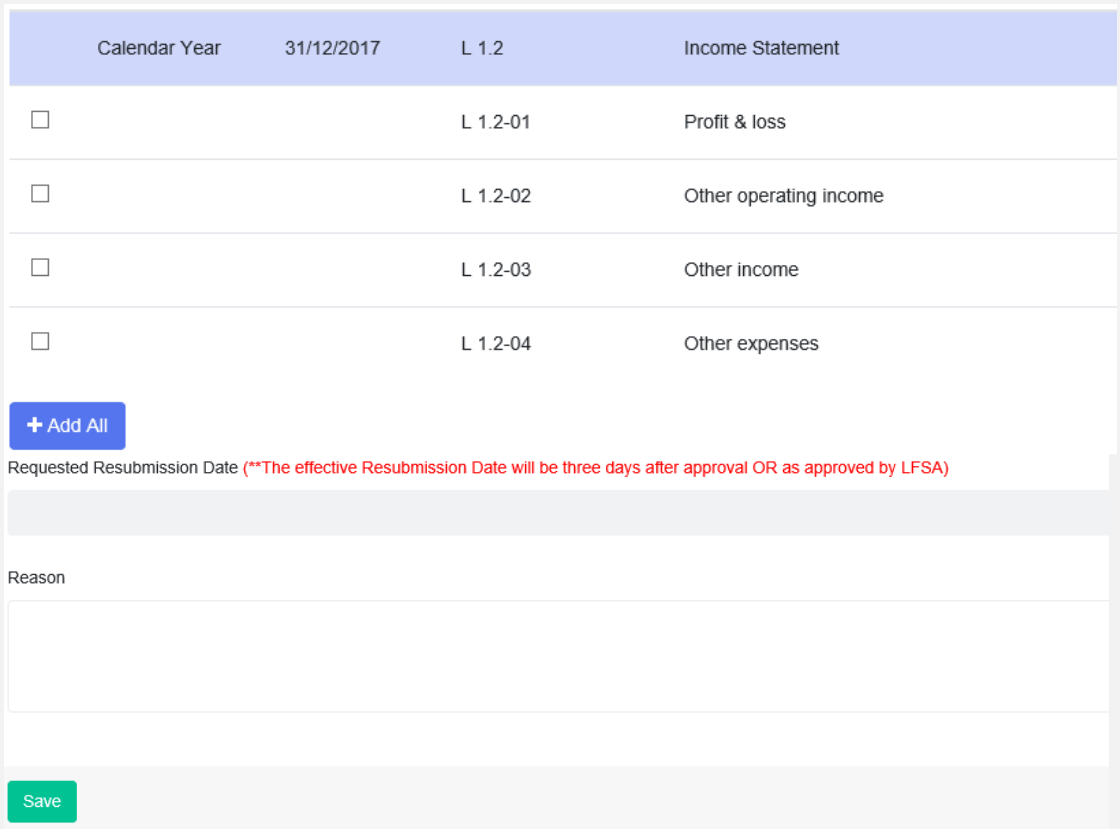
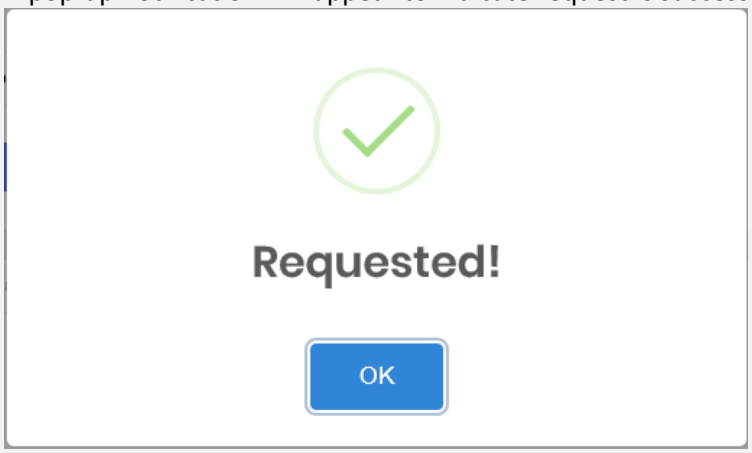
The form/s will have to be submitted via the portal before the due date.

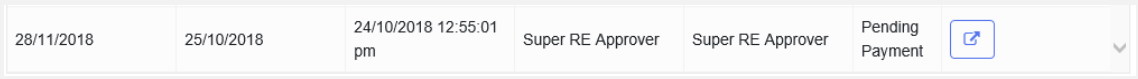
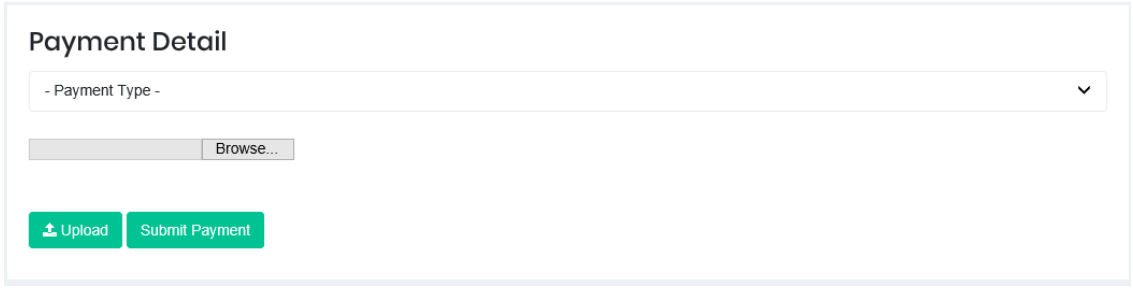
8.2 How to Apply for Resubmission

a) Create Resubmission

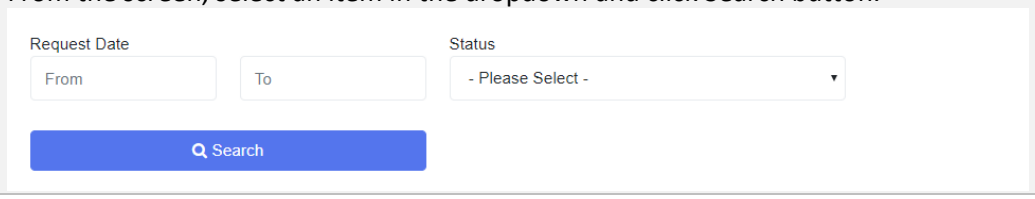
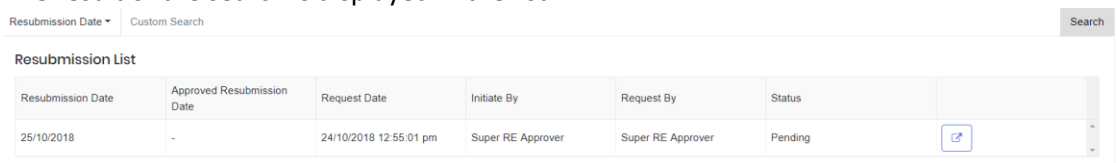
Step	Action
1	From the menu, select Resubmission.
2	Click Create button.

	
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. 
4	Fill in the required search criteria – Year, Month, Form Code, Form Name and Calendar/FYE. Click Search button to retrieve the forms. 
5	Select the form/s to be resubmitted and click ADD button. Fill in the mandatory fields - Data Item, Requested Resubmission Date and Reason.

	
6	Click Save button.
7	A pop-up notification will appear to indicate request is successful. 
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. 
10	Fill in the Payment Method and upload the proof of payment. 
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.
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. 
2	The result of the search is displayed in the list 

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:

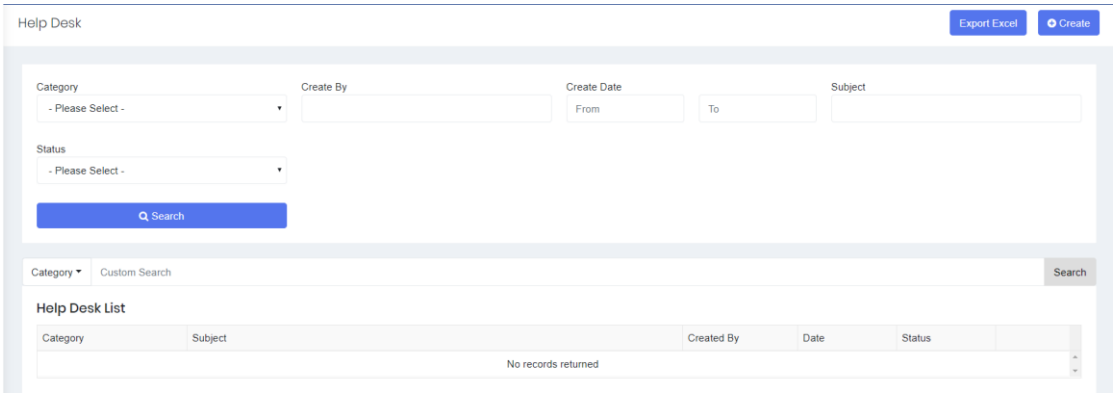
Status	Description
New	A new Helpdesk request has just been raised
Responded	The request is responded (either by RE User or IRU)
Closed	The request is closed by IRU
Open	The request that was closed previously, is now opened by IRU
On Hold	The query is put on hold by IRU
Approved	The Helpdesk request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

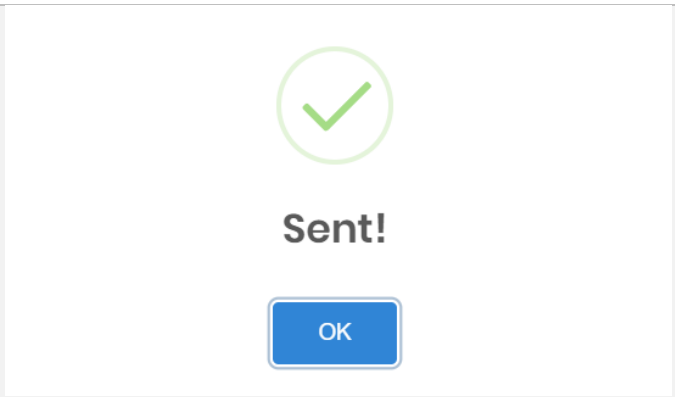
The Helpdesk request is categorized according to the below:

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

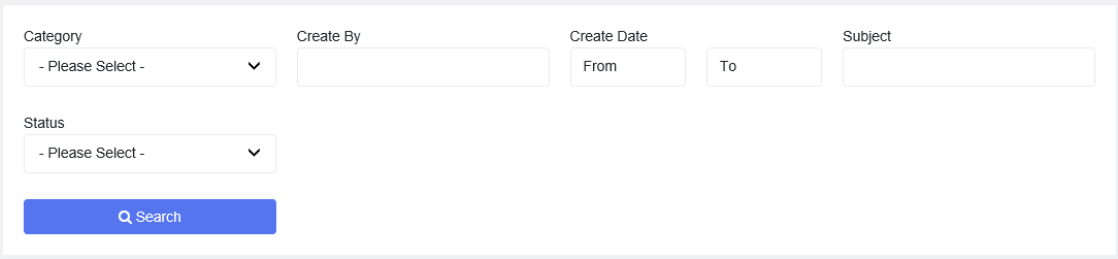
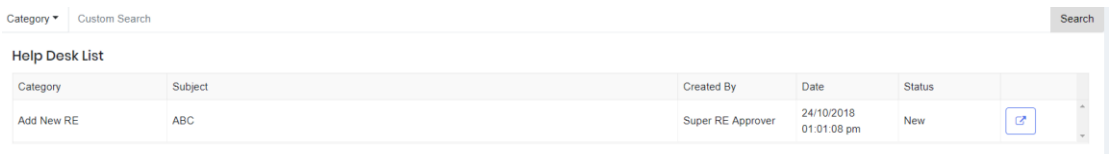
9.1.2 How to Use General Helpdesk

a) Create General Helpdesk

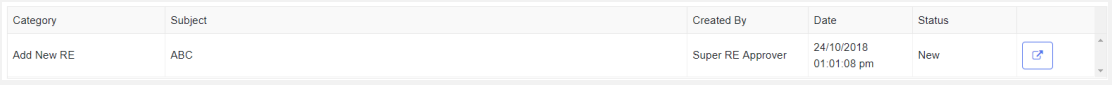
Step	Action
1	From the menu, select General Helpdesk.
2	Click Create button 
3	Select the Category. Fill in the mandatory fields, add Attachment if required.
4	Click Save button.
5	A pop-up notification will appear to indicate request is sent.

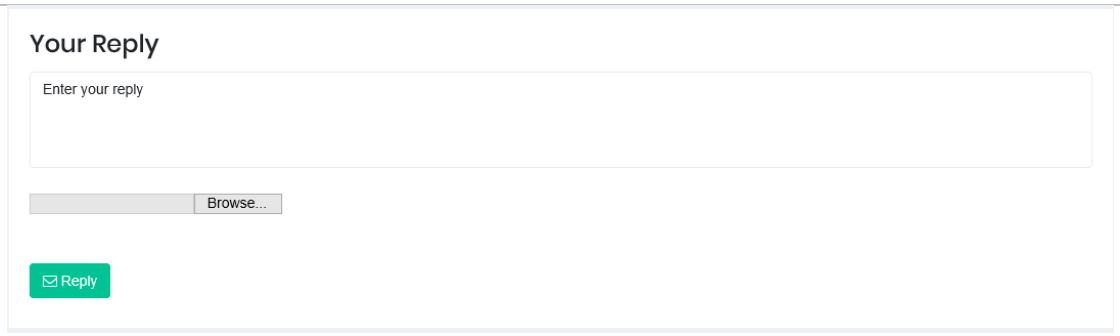
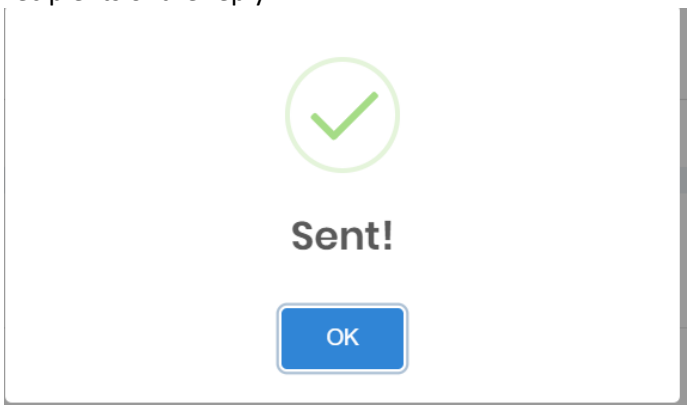
	

b) Search/Filter General Helpdesk

Step	Action
1	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) Reply General Helpdesk

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

	
3	Click Reply button to send.
4	A pop-up notification will appear to indicate the reply is sent. An email is sent to notify the recipients of the reply. 
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

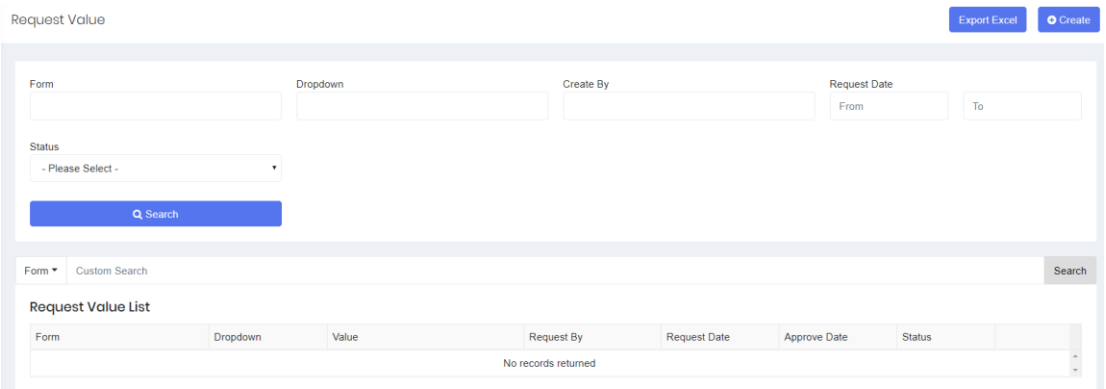
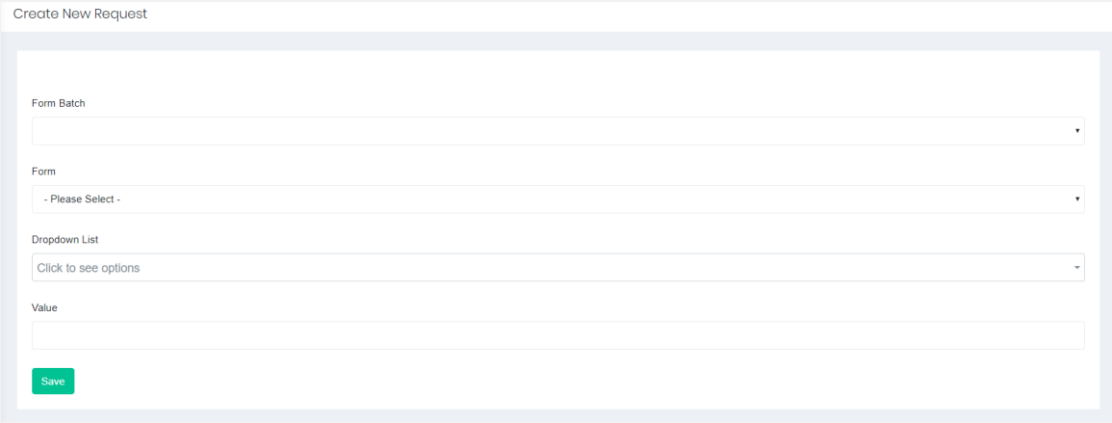
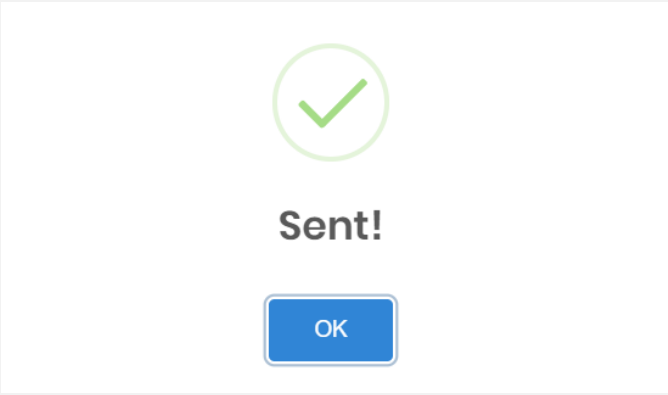
RE User may request for Master List (general dropdown items) using this module.

The status of Dropdown Request is described as the followings:

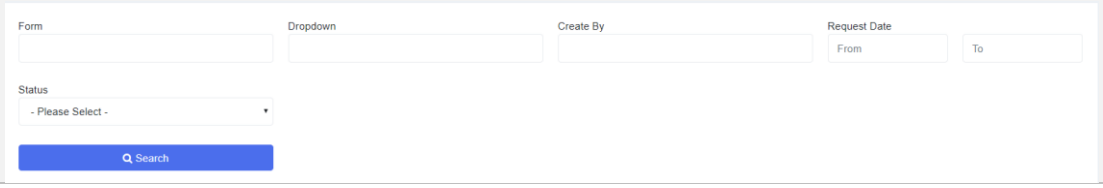
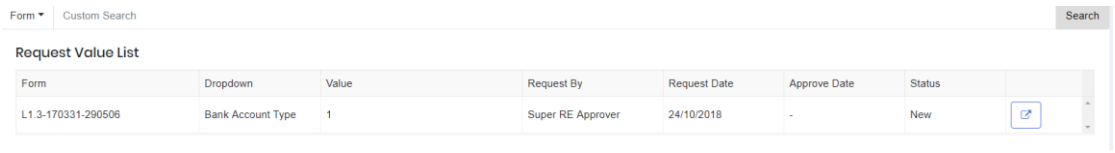
Status	Description
New	A new request has just been raised
Approved	The request is approved by IRU
Rejected	The request is rejected by IRU

9.2.2 How to Use Dropdown Request

a) Create Dropdown Request

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

b) Search/Filter Dropdown Request

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 

10 Other Modules

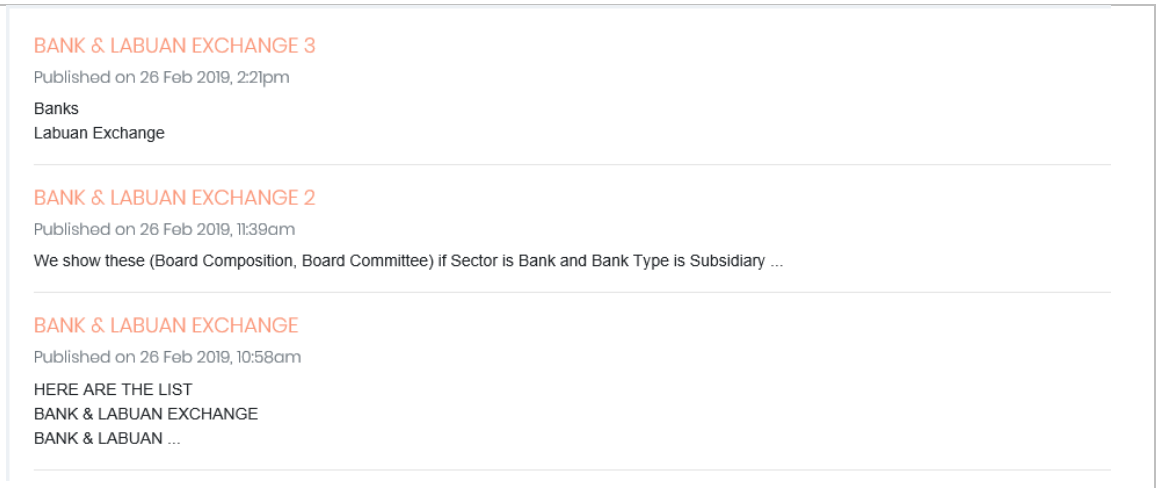
10.1 Bulletin Board

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.

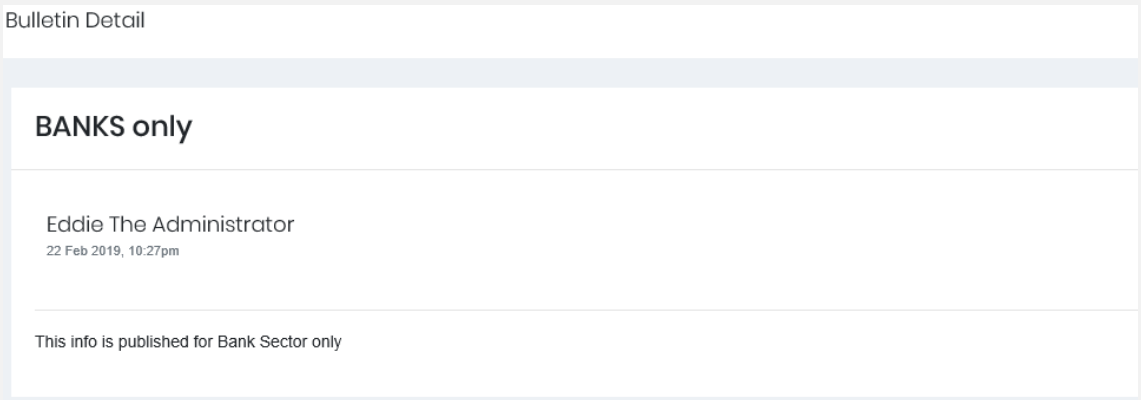
10.1.1 How to Use Bulletin Board

a) Search/Filter Bulletin

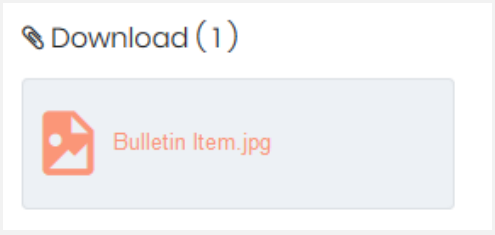
Step	Action
1	From the screen, select date and click Search button.
2	The result of the search is displayed.



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



User may download any attached documents in this page.



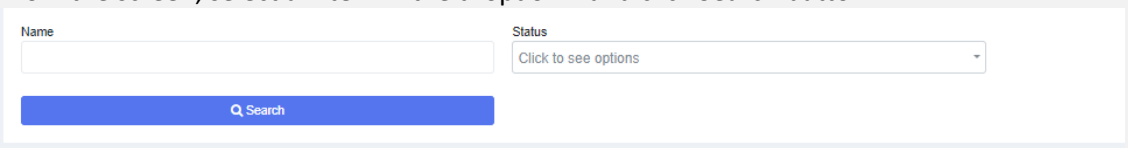
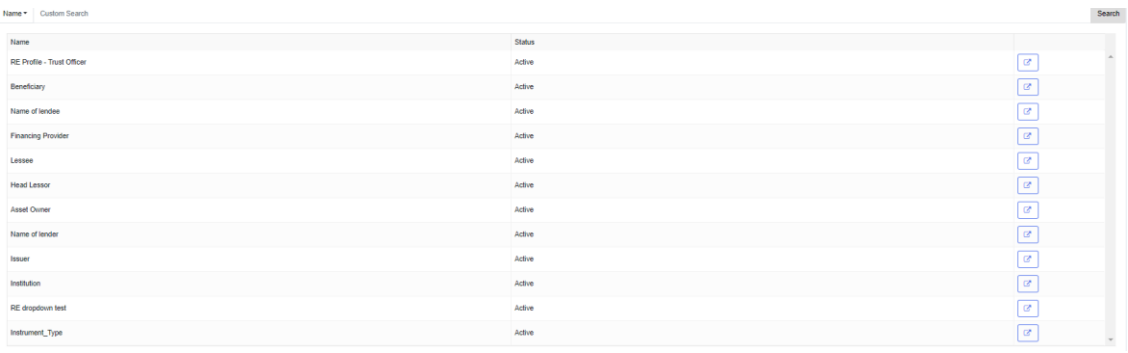
10.2 RE Dropdown Group

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

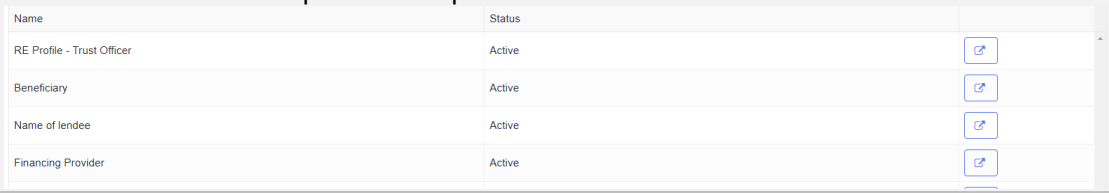
The method to create RE Dropdown can be referred in topic 5.1.3

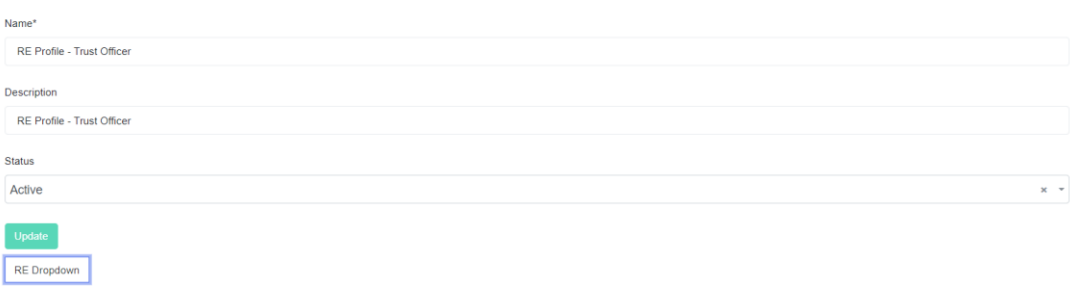
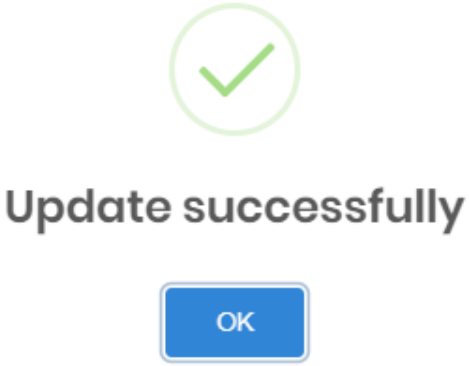
10.2.1 How to Use RE Dropdown Group

a) Search/Filter Dropdown Group

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

b) Edit RE Dropdown Group

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

	
3	Click Update button to save the changes.
4	A pop-up notification will appear to indicate update is successful. 

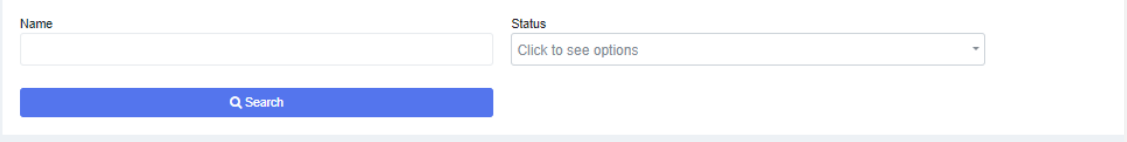
10.3 Master List Group

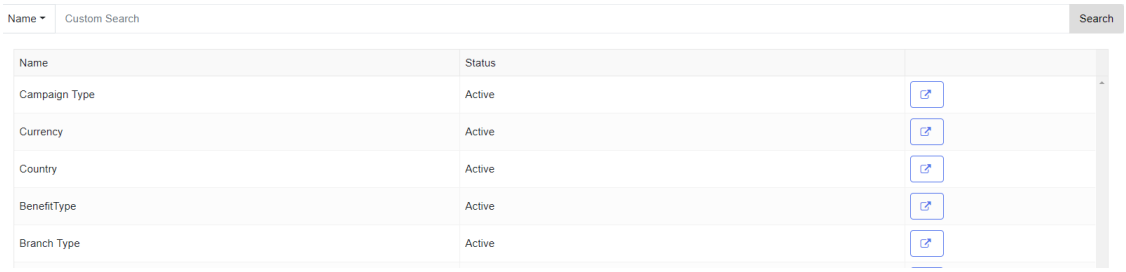
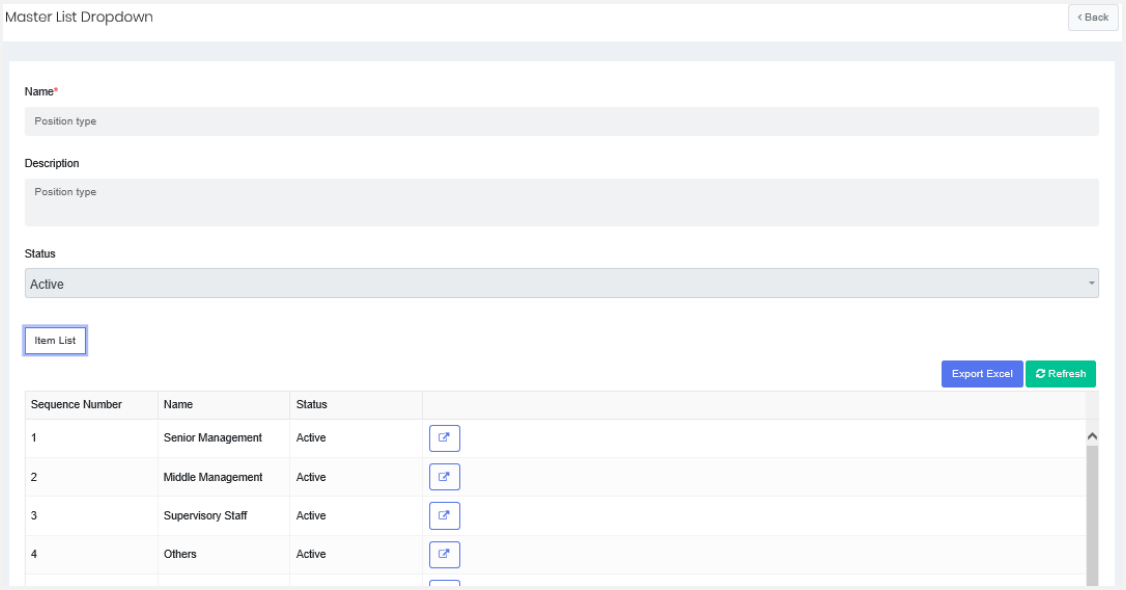
Master List Group refers to the dropdowns that are used globally in the forms across all sectors. RE User can only view the dropdowns and their items.

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



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