Statistical Management System (SMS)

User Manual

Version 4.0

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Revision History

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1. Introduction to SMS User Manual

1.1. Objective

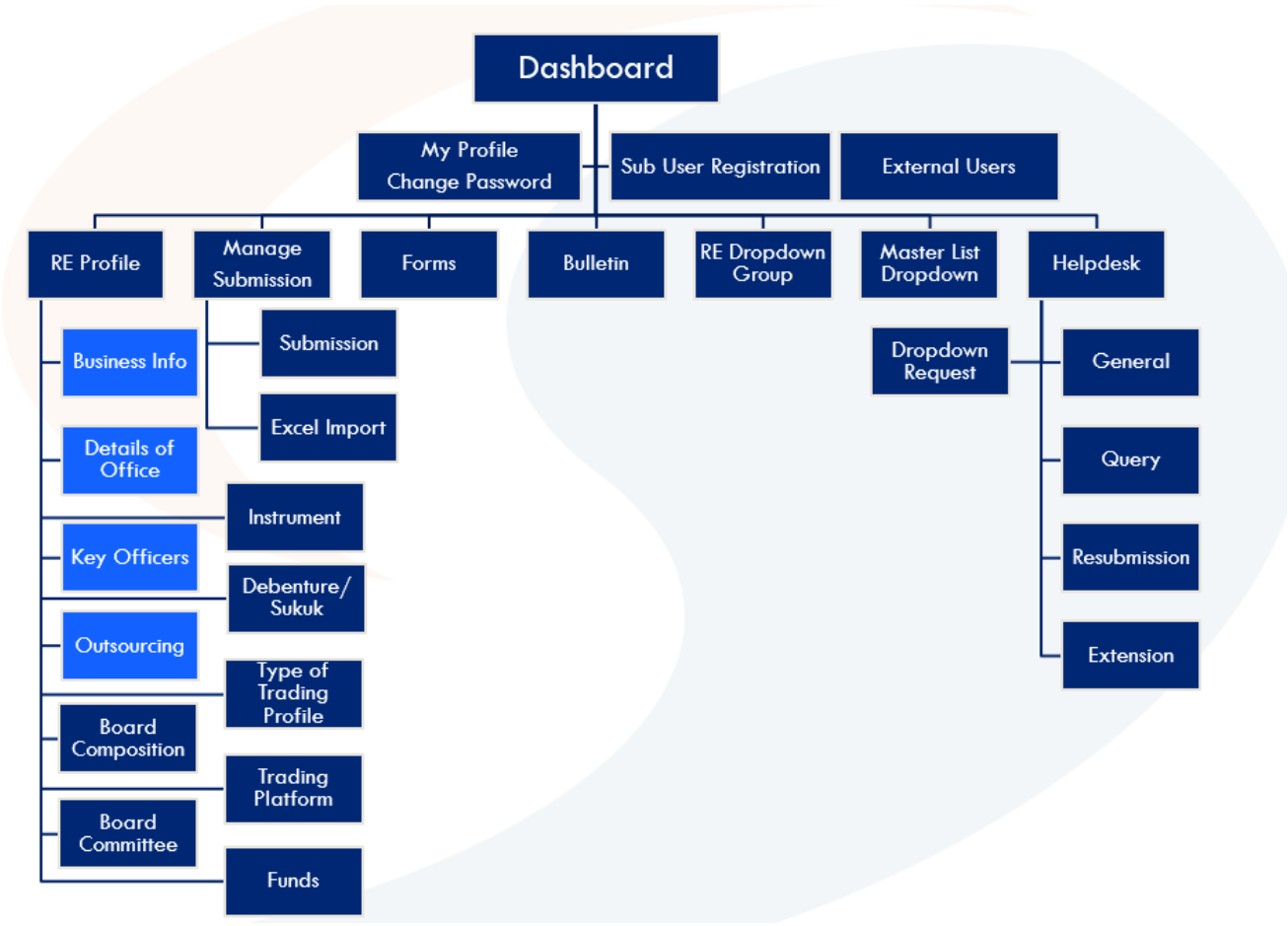
1.1.1 Purpose

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 Labuan FSA – especially for Reporting Entity (RE) users who belong to **Other Sector**, as per below categories:-

i. Labuan Trust Company (Foundation/Funds)
ii. Labuan Exchange Company
iii. Labuan International Commodity Trading Company
iv. Leasing
v. Money Broker
vi. Fund Manager
vii. Securities Licensee

1.2. RE Portal Site Map

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

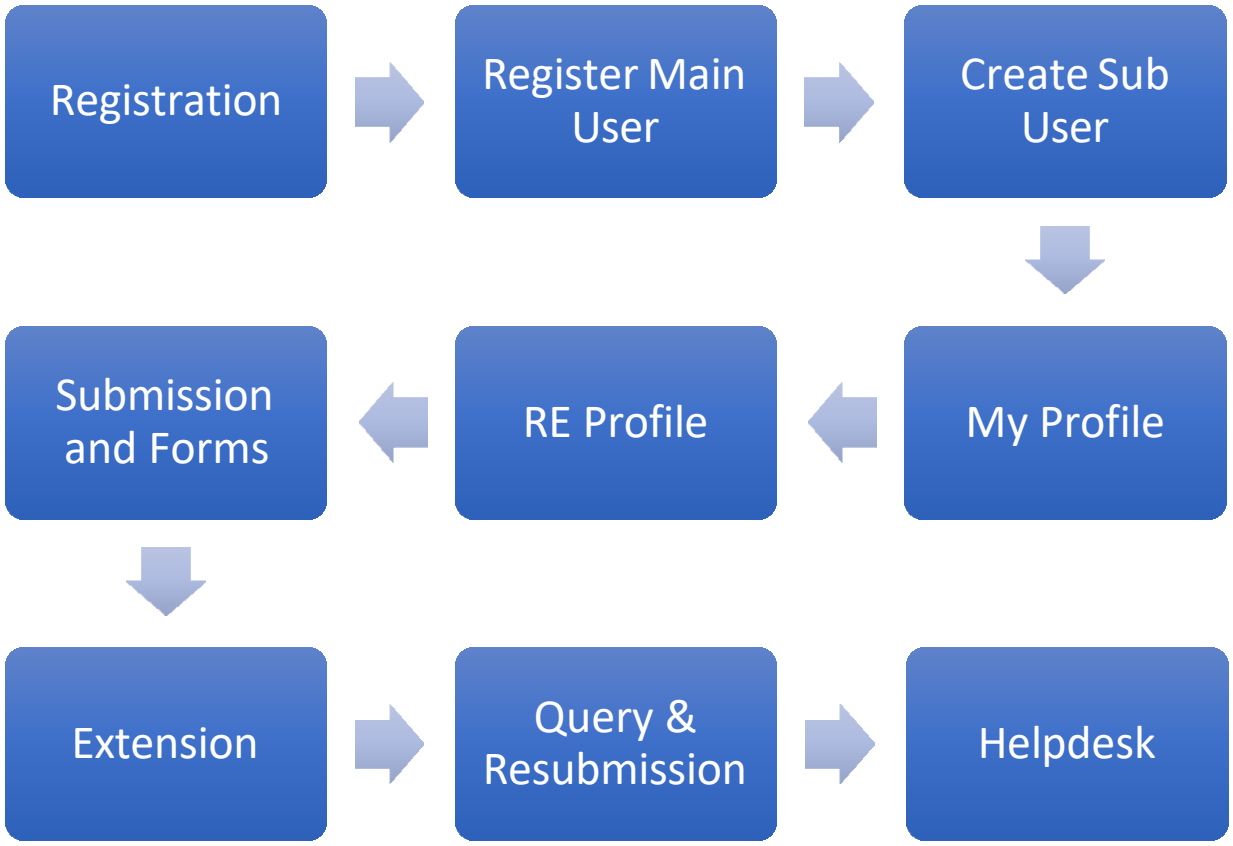


1.3. How to Begin

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.

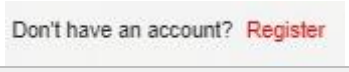
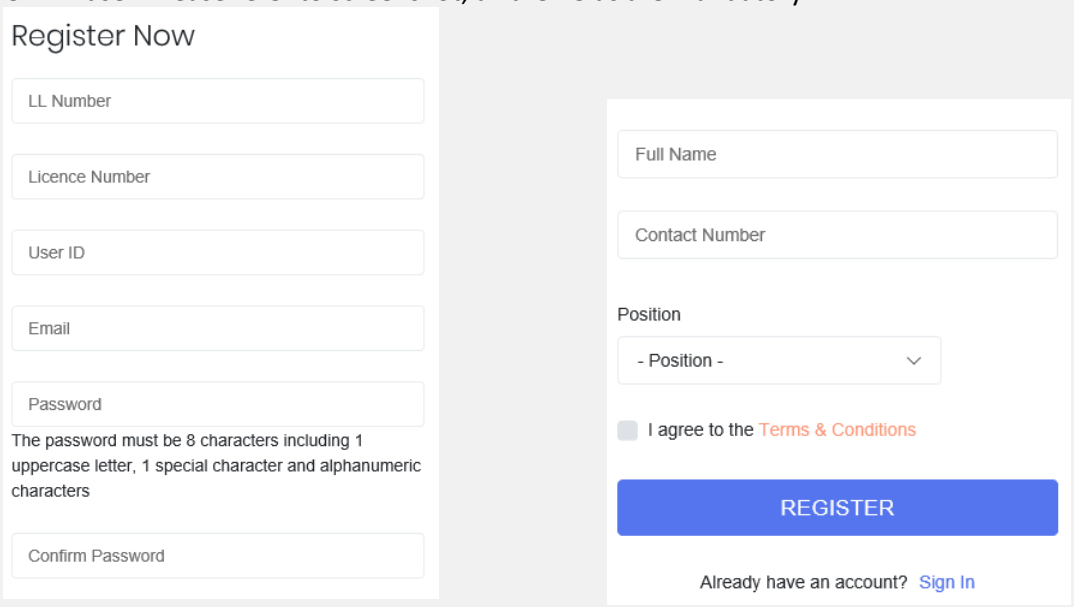
2.1.2 Registration

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 Labuan FSA

The steps for Main User registration are as follows:

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

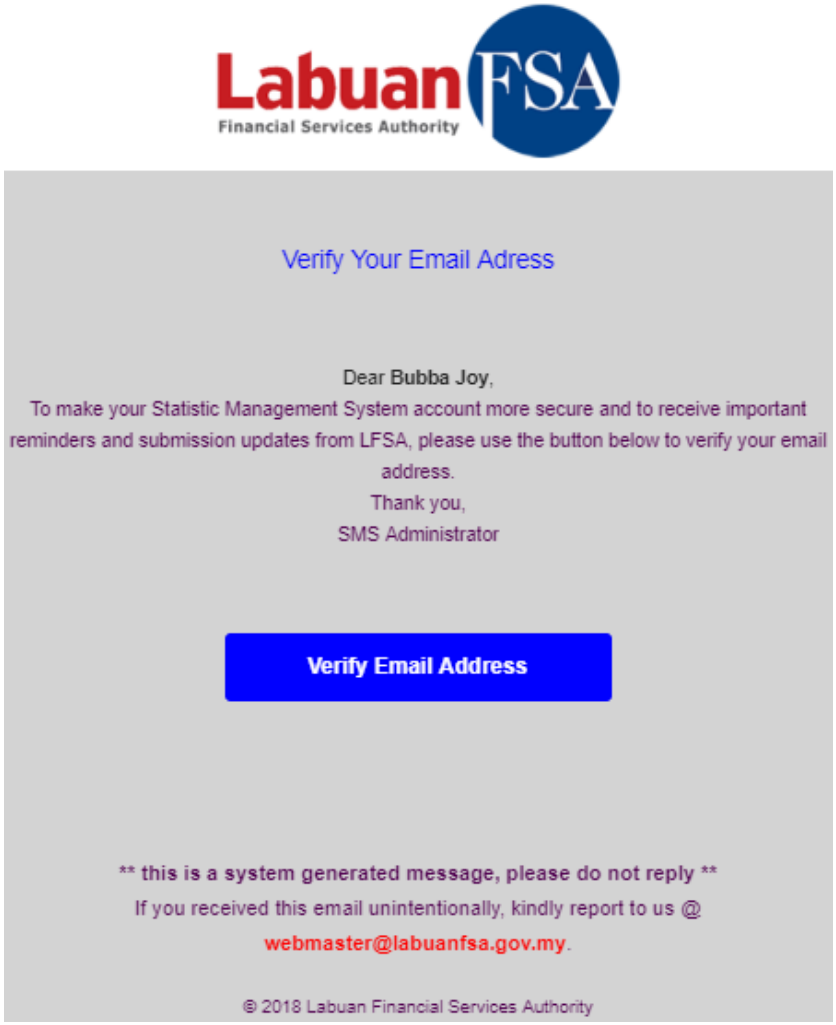
4	Click the Register button.
5	Upon successful registration, the pop-up message below will appear.
6	A system generated message will be emailed to your inbox. The next step is continued in the next section.

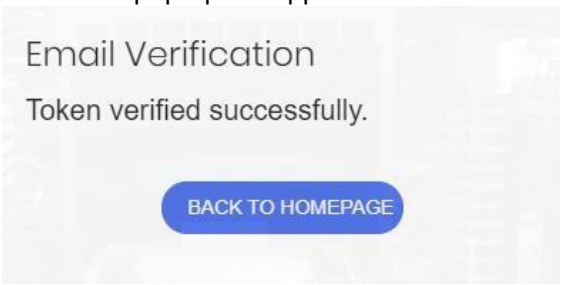
2.1.3 Email Verification

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

Account Registration Rejected

Dear **Mentos Mint**, your account has been rejected

User ID : **TQ9143**

Email : **sukma.manaf@gmail.com**

Contact No : **90009000**

Company Number/Business Registration : **LL03143**

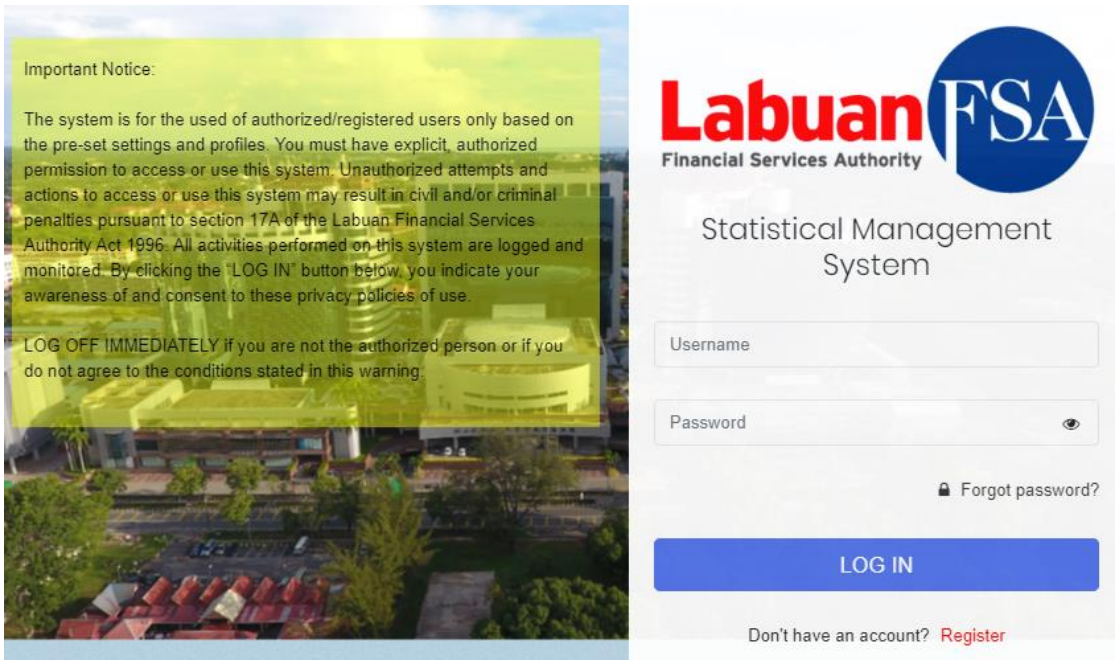
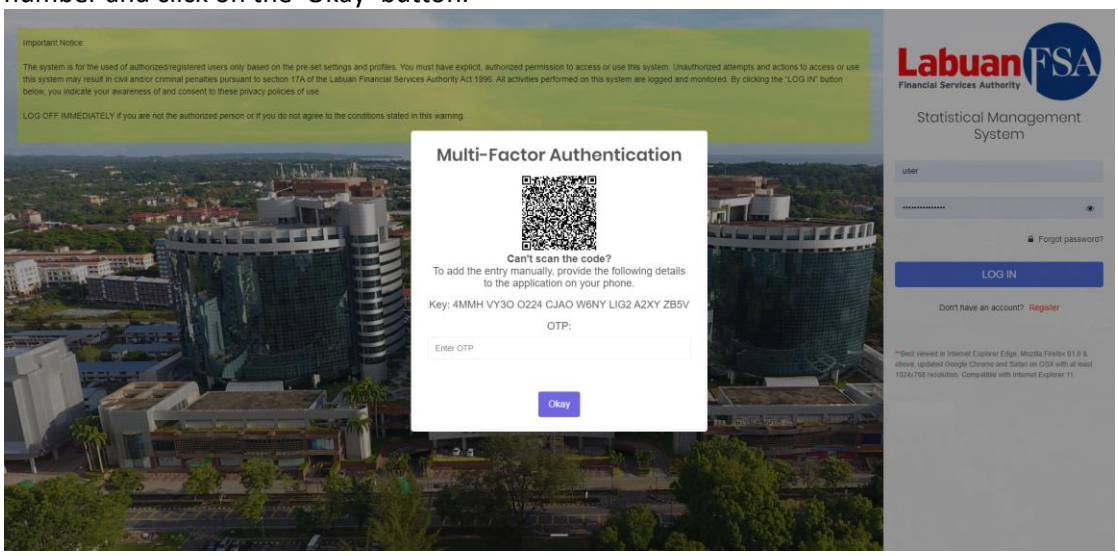
Please refer to the rejection reason below.

Thank you.

Reject Reason:

Name does not exist in our database.

2.1.6 How to Login

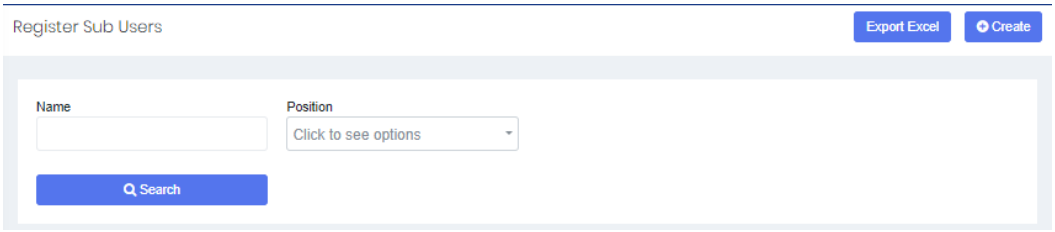
Step	Action
1	Launch a browser and go to https://sms.labuanfsa.gov.my
2	This is the SMS portal website. User can key in the Username and Password to login and click **LOGIN**. 
3	QR code will appear for multi-factor authentication. User can scan the QR code using authentication app or can enter the Key manually to get the OTP number. Enter the OTP number and click on the 'Okay' button. 
4	Dashboard page will appear.

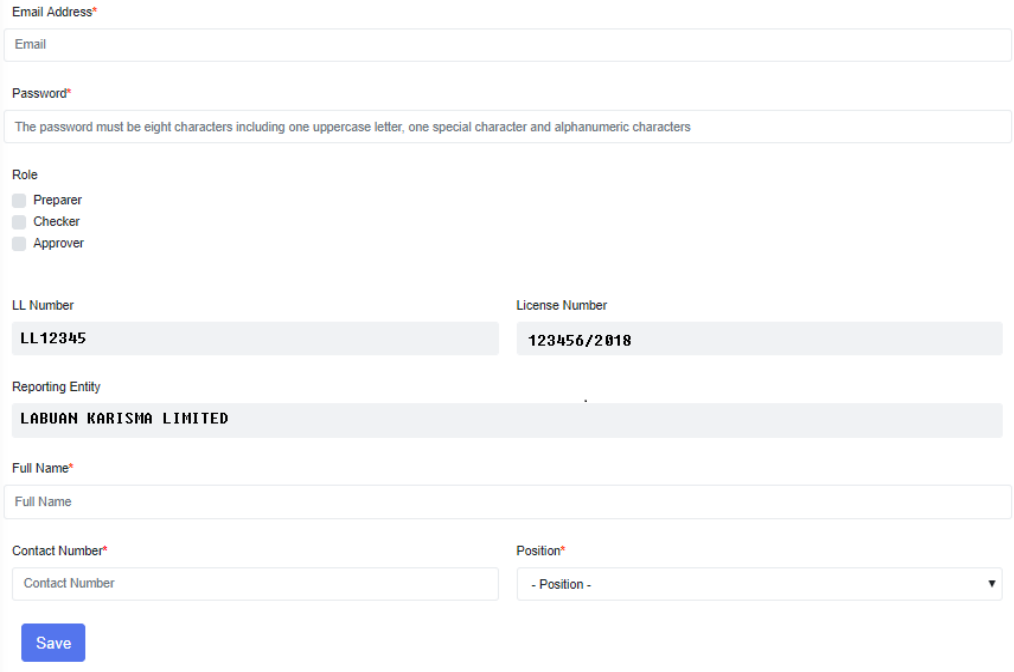
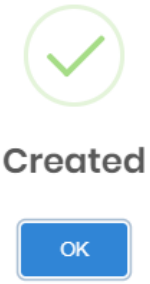
2.2 Sub User Registration

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 Labuan FSA 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. A Preparer does not have the privilege to verify or approve and submit the forms. ii) Checker – the user responsible to verify the submission forms. Checker is also allowed to re-open and edit the forms. A Checker can also perform the Preparer role. iii) Approver – the user responsible to approve and submit the submission forms. Approver is also allowed to re-open and edit the forms. An Approver can also perform the Preparer and Checker roles.

	
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.

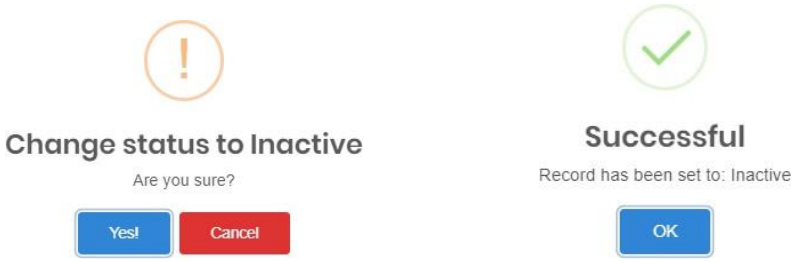
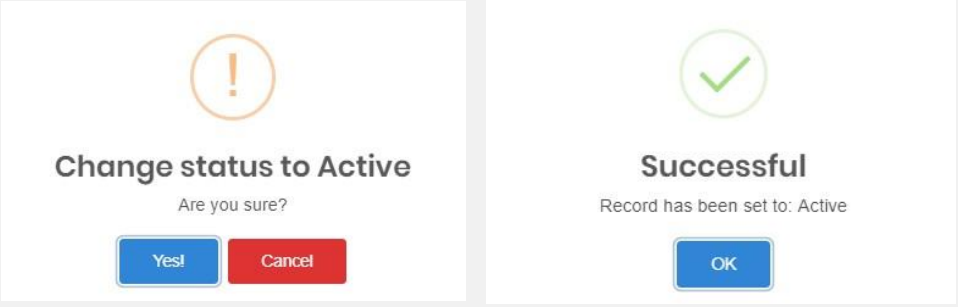
2.2.4 Account Activation

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. Labuan FSA will be notified via system-generated email of any changes to user account.

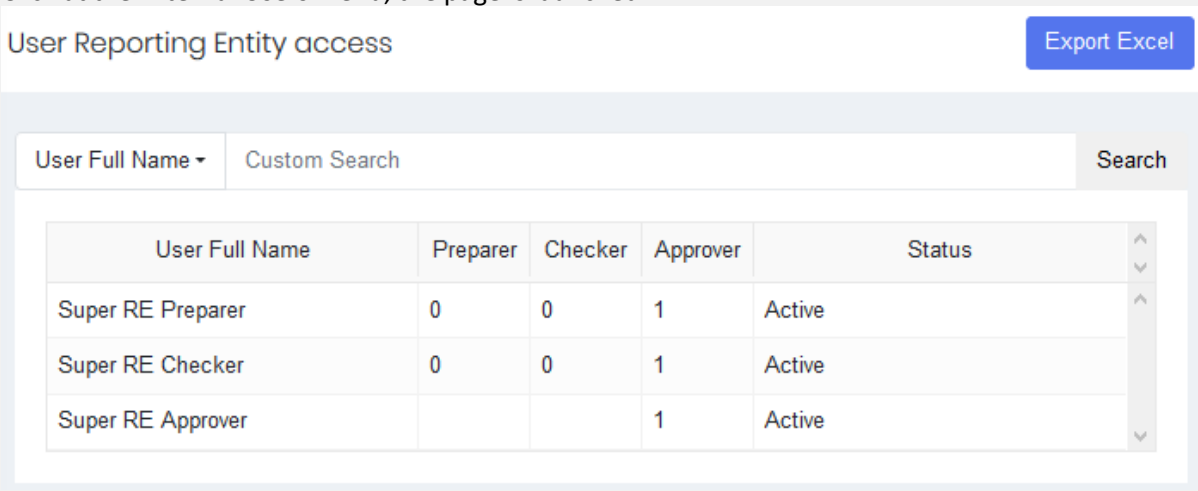
Step	Action
1	To activate or deactivate the Sub user account, click at the Active/Inactive icon
2	To set inactive: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.

	
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

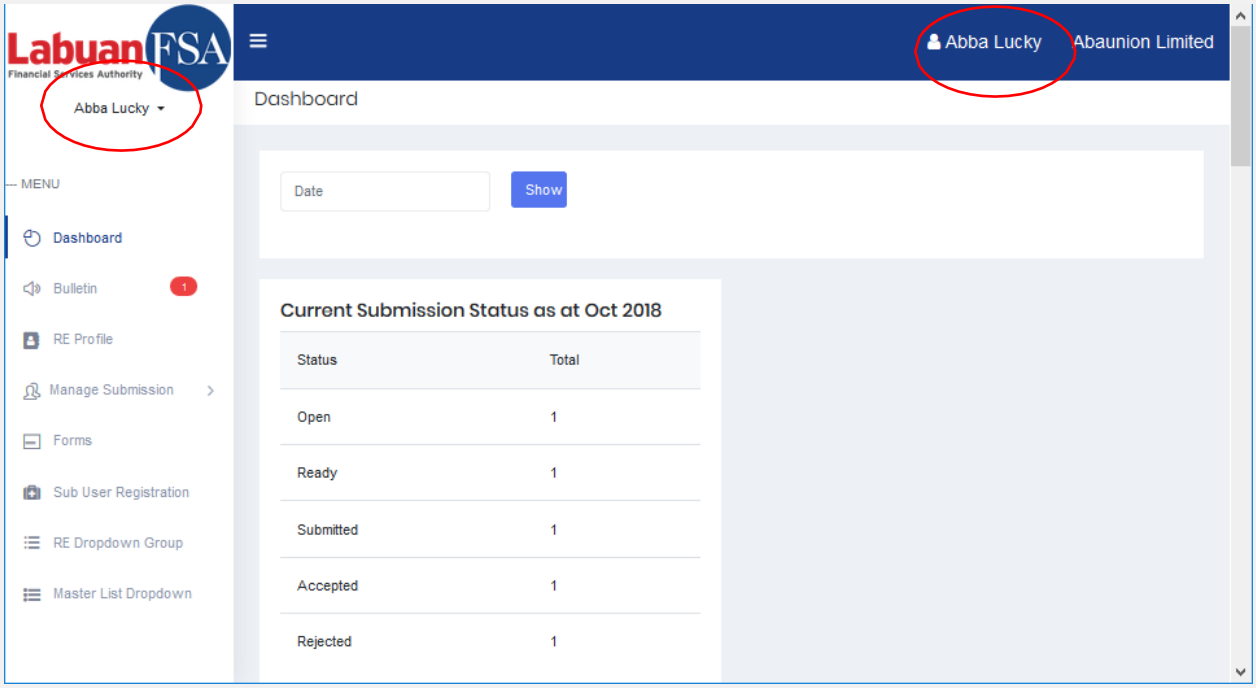
3 My Profile

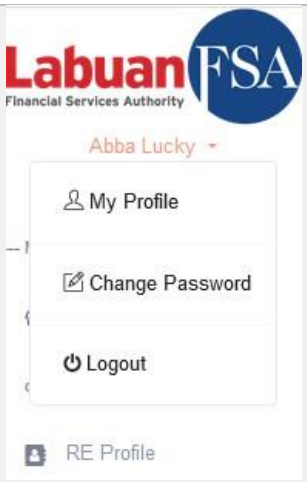
3.1 Objective

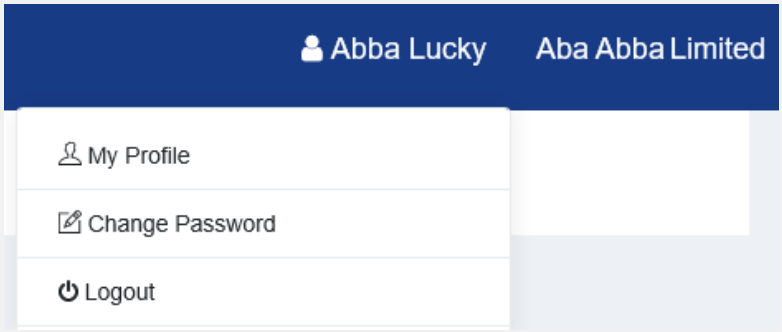
RE User may update his/her details in the system in My Profile section. User is only allowed to update the enabled fields and may only view the information on the assigned Reporting Entity, and User Roles. Security Questions and Email Subscriptions may also be managed in this module.

3.1.1 My Profile

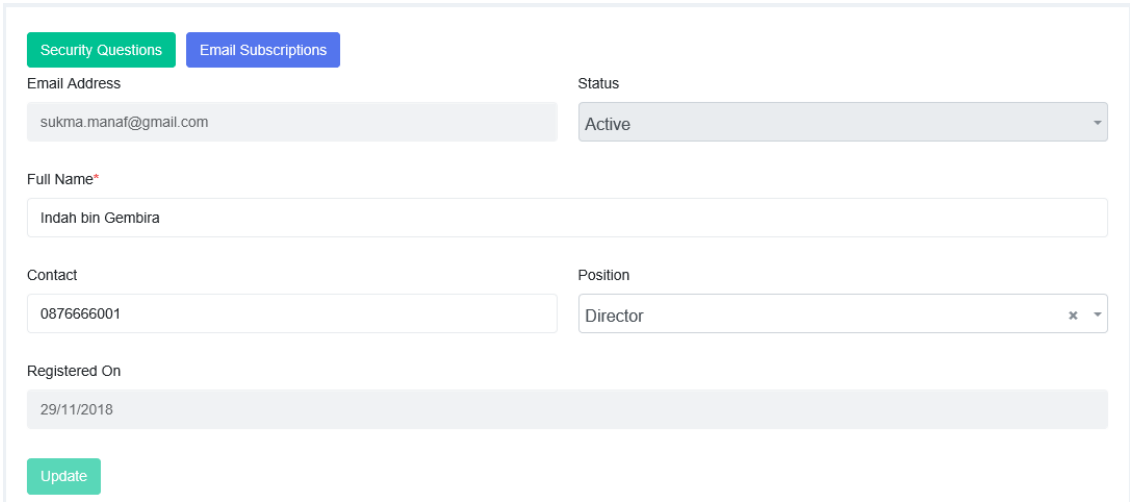
Step	Action
1	Login and click the User Name at top left or top right



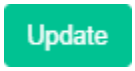




2 Edit My Profile details – for the enabled fields ONLY.

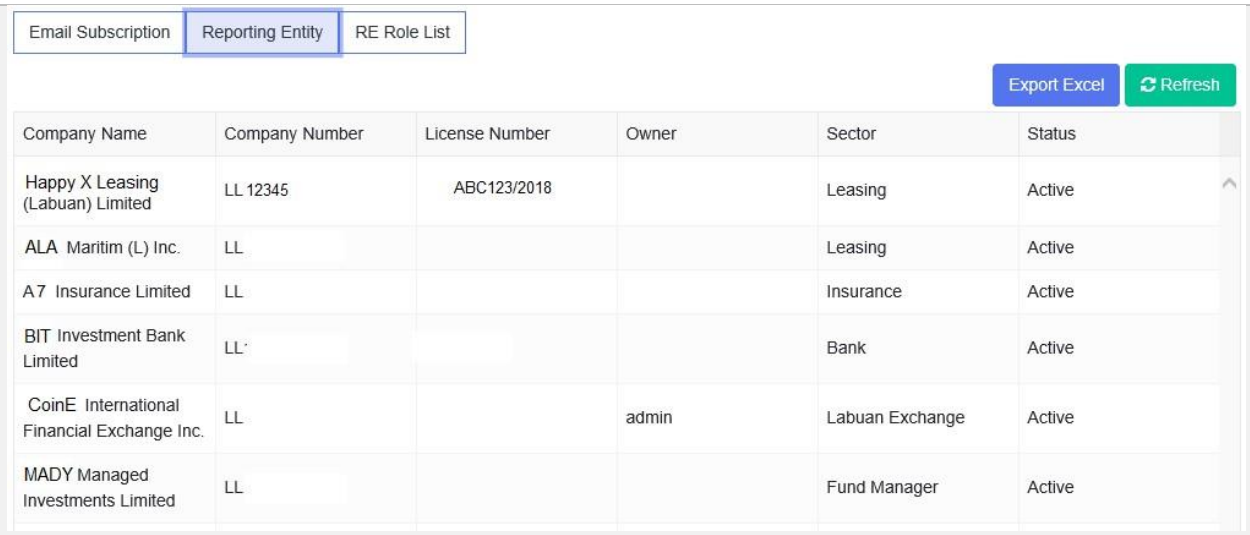


Click the Update button to save.



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 Labuan FSA, refer to Section 9.1

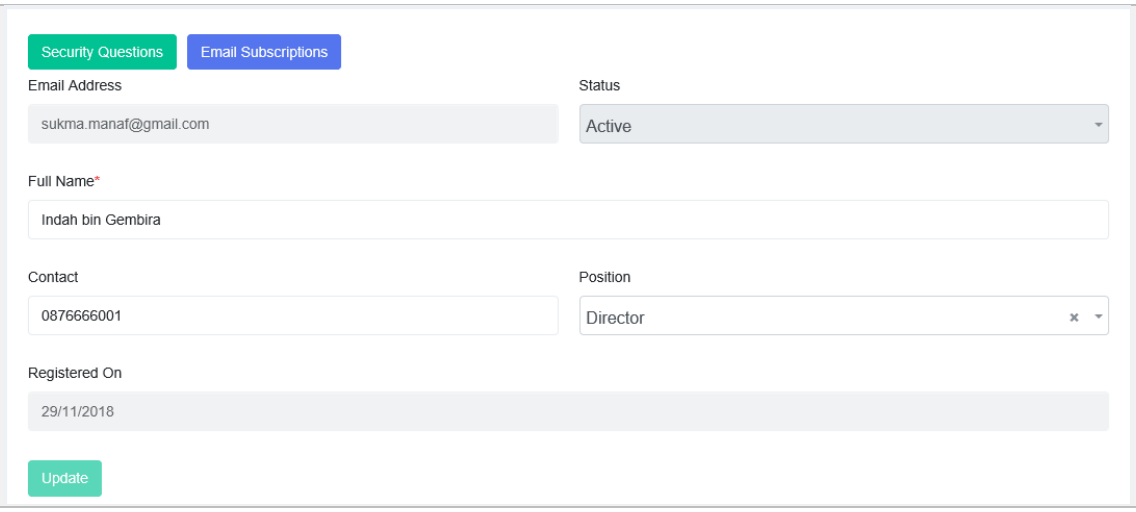


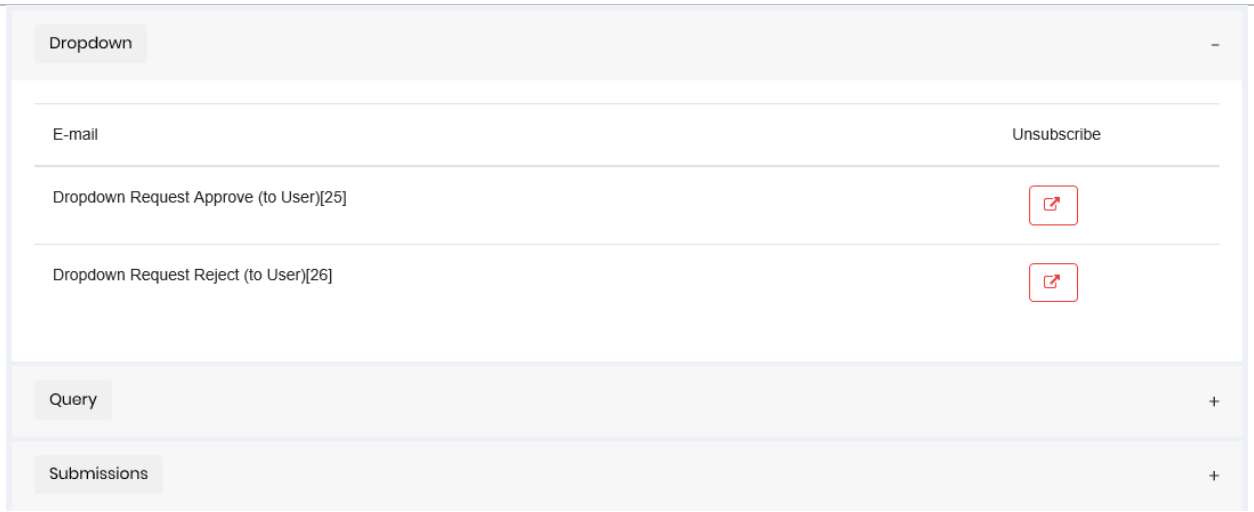
4	User Role List – for viewing ONLY. To add or remove user role, the Main User has the privilege to promote/demote the user role (Preparer/Checker/Approver) in Sub User Registration menu in Section 2.2.5

3.1.2 Email Subscriptions

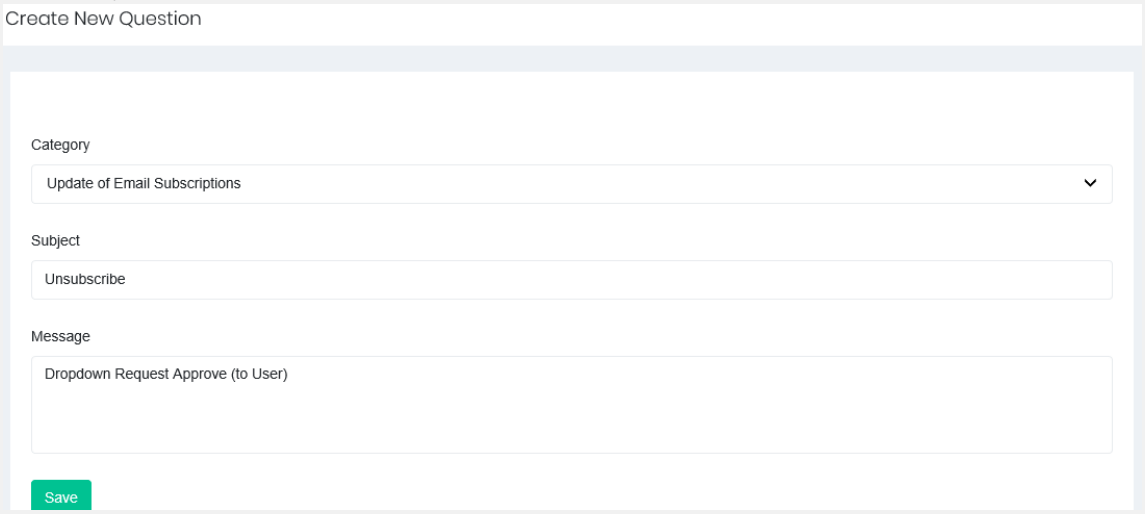
Users will be automatically subscribed to SMS Portal system-generated email, however he/she may choose to request for subscribe/unsubscribe using the following steps.

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



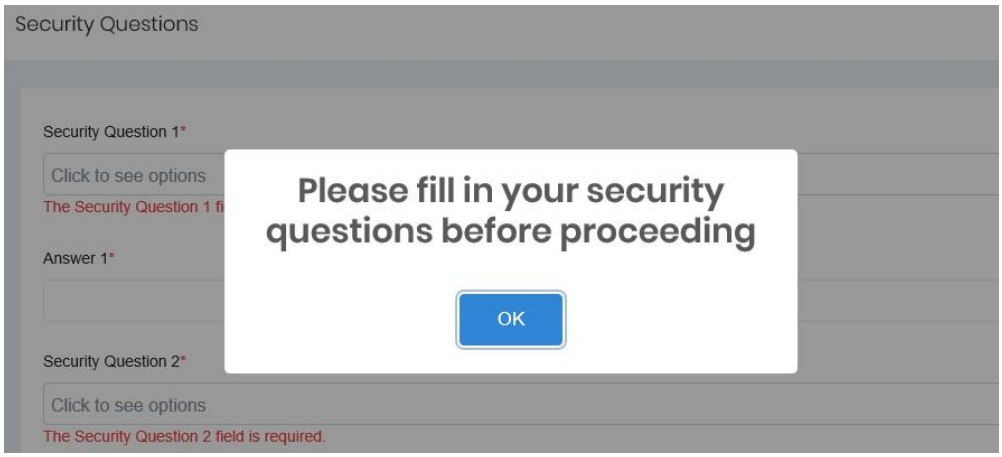
5 Select the desired row and click 'Unsubscribe' icon, this will flow to Helpdesk to initiate request for email subscribe/unsubscribe.



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

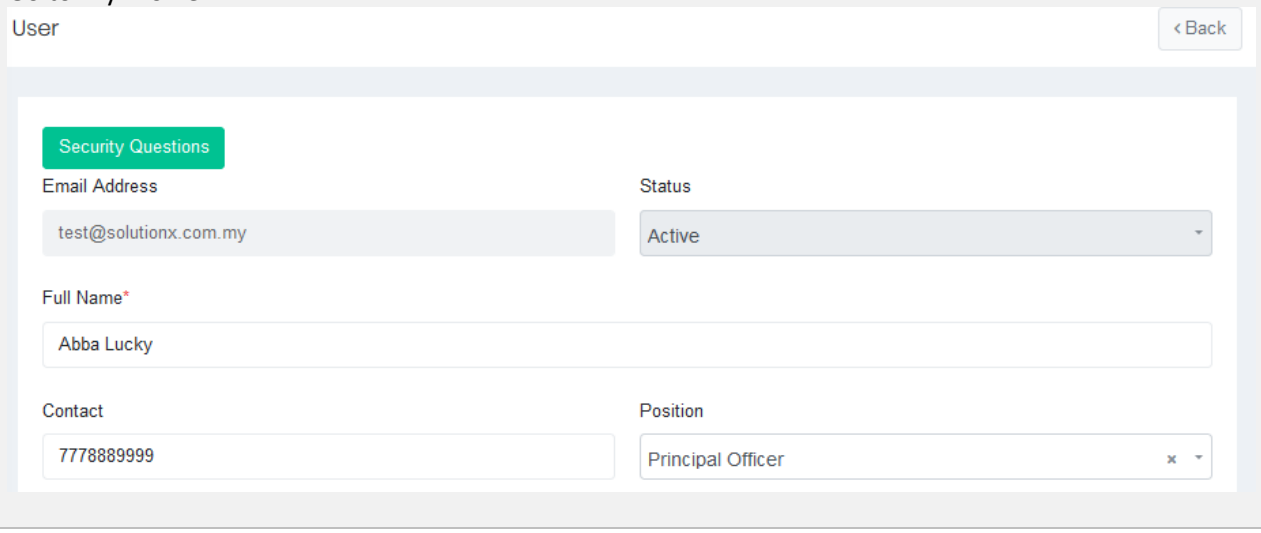
3.1.3 Mandatory Security Questions

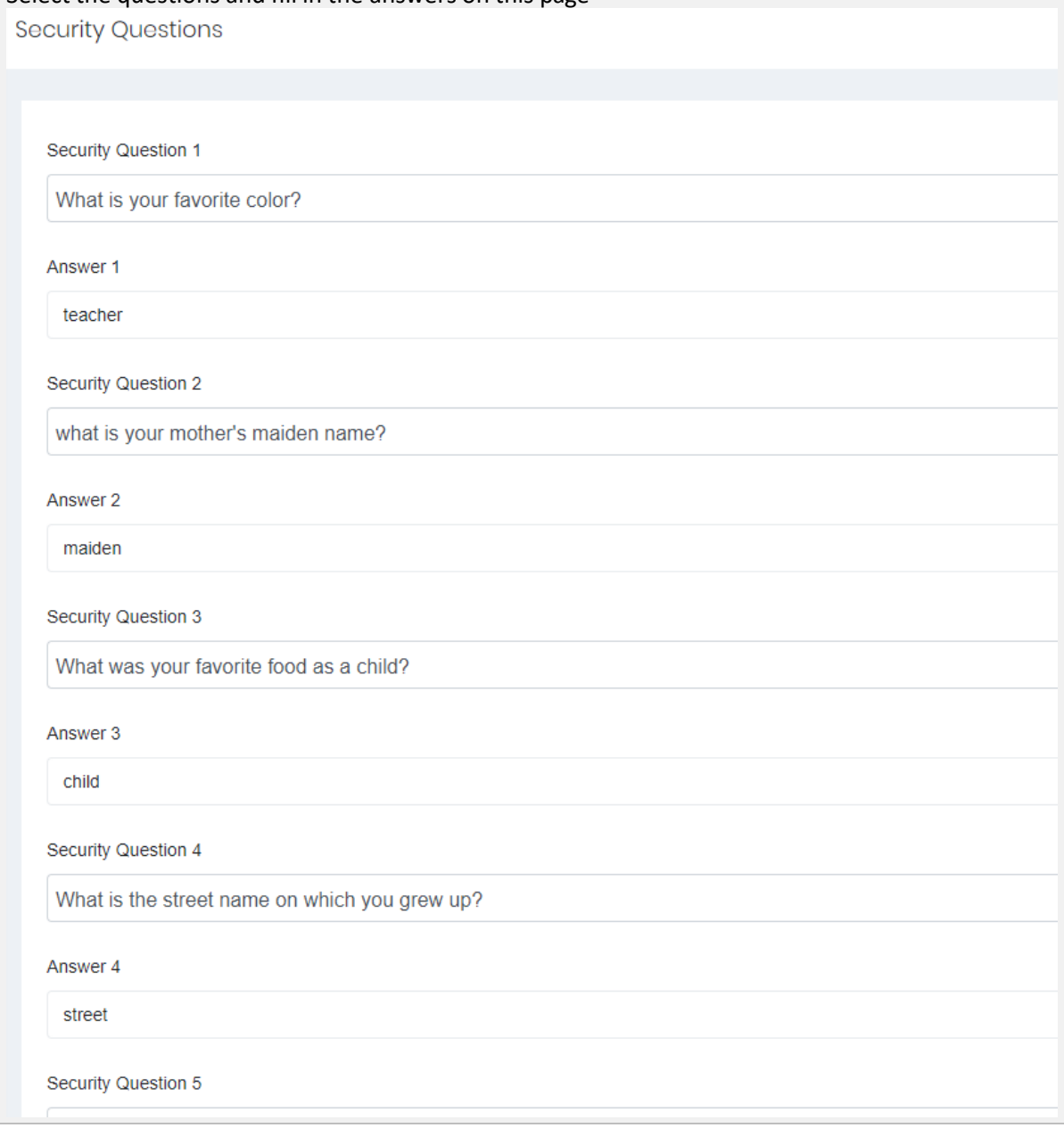
During first time login, the system will prompt user to fill up the Security Questions as per below screenshot.



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

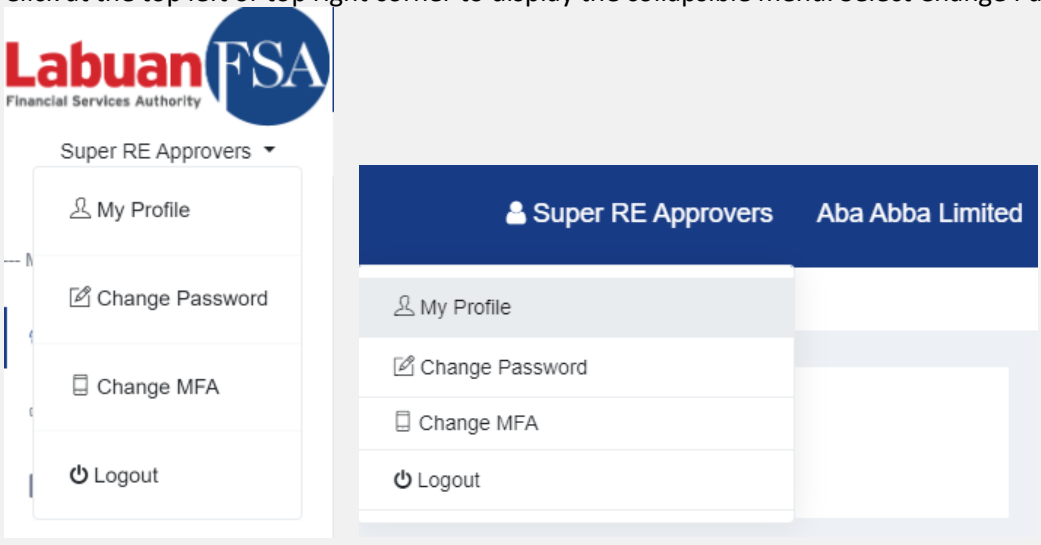
3.1.4 Change Password

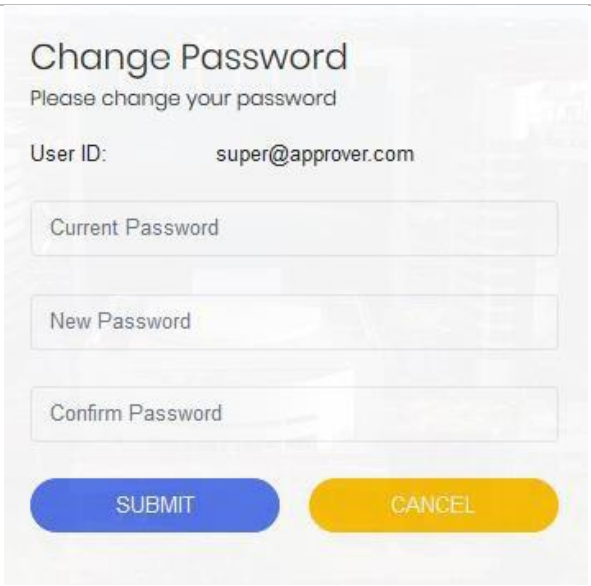
Password holds the key to security and system confidentiality. A poorly chosen password may result in a compromise of the SMS data privacy.

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.

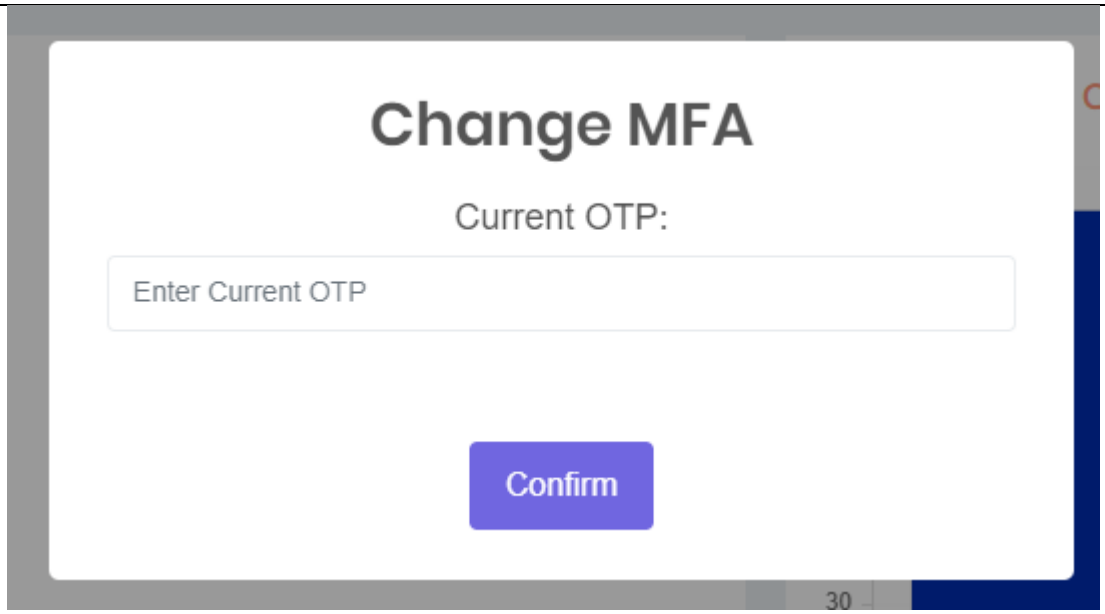
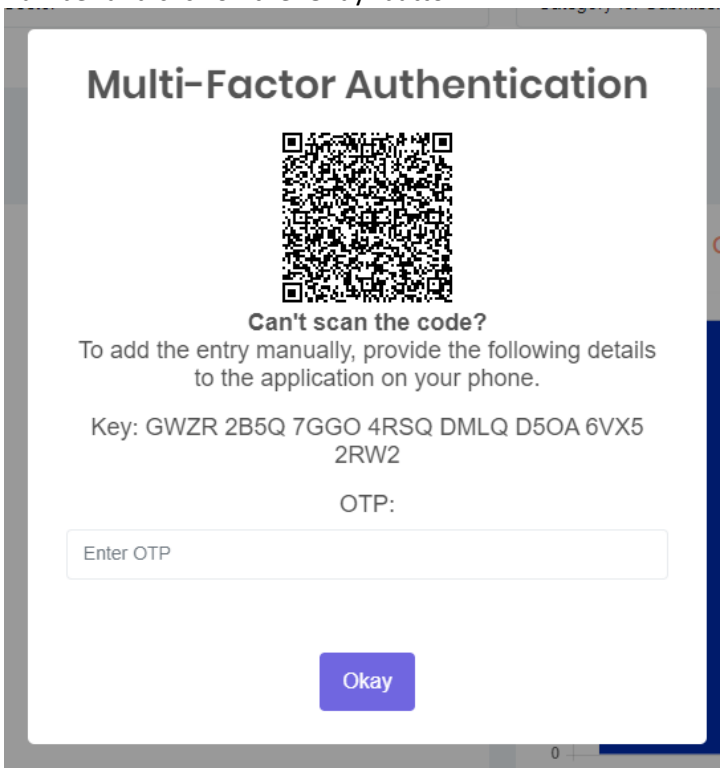
Step	Action
1	Click at the top left or top right corner to display the collapsible menu. Select Change Password. 
2	The screen flows to a new page. Follow the instruction to change password in the page.

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

3.1.5 Change MFA

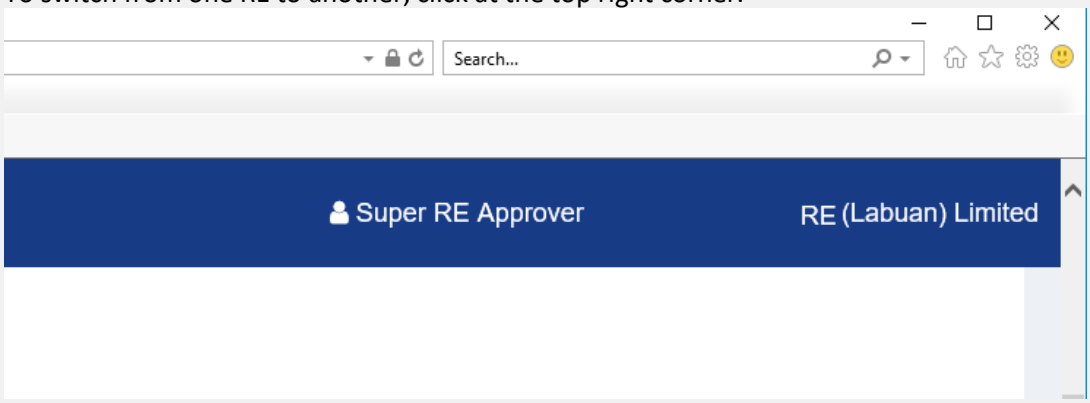
MFA is multi-factor authentication that an authentication method that requires the user to provide two or more verification factors to gain access.

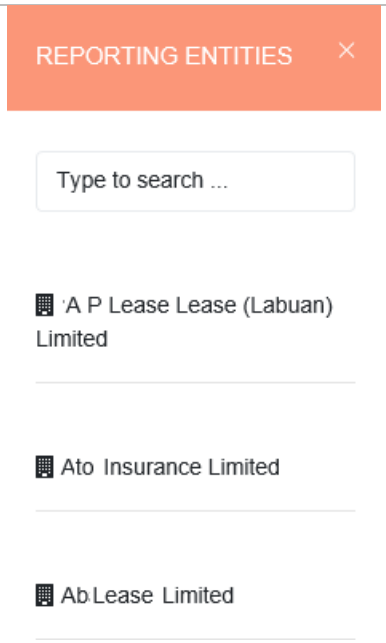
Step	Action
1	Click at the top left or top right corner to display the collapsible menu. Select **Change MFA**.
2	The Change MFA popup will appear. Key in the required current OTP and click **Confirm**.

	
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.

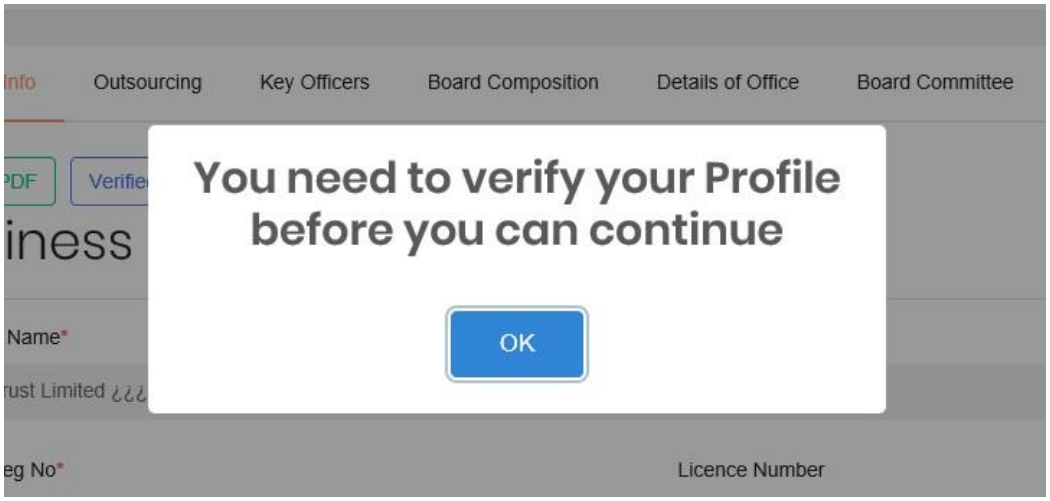
	
3	Once clicked, the current profile will switch to the selected RE company.

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.

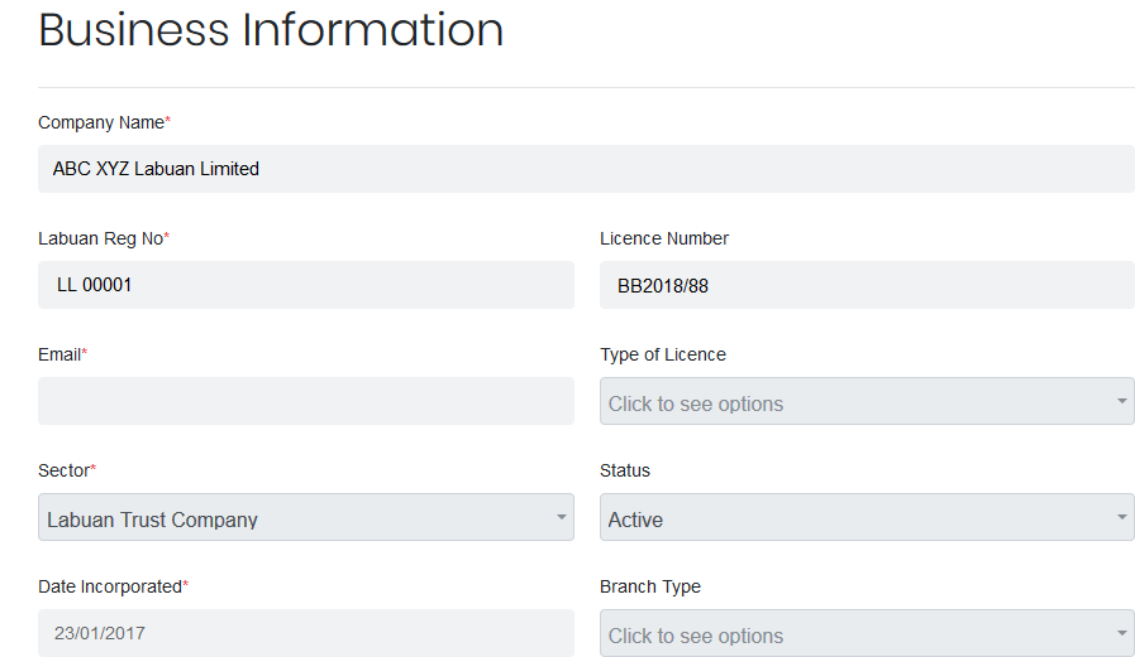
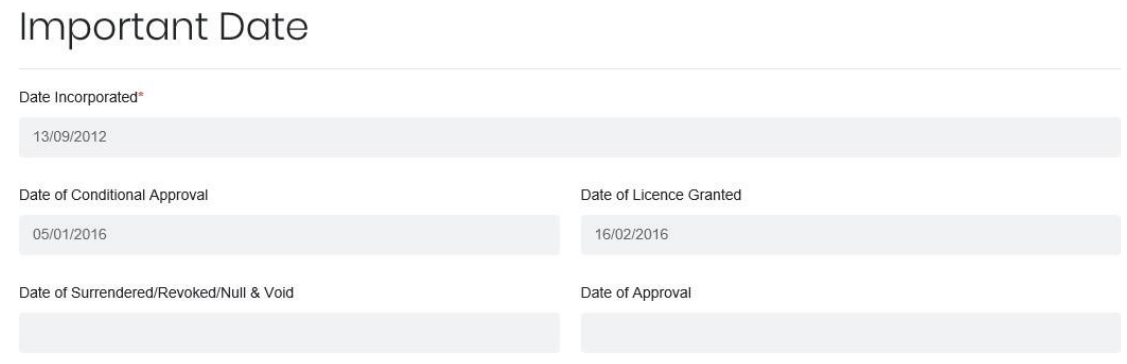
RE Users will not be allowed to perform any submission without verifying the Business Info or the Details of Office (Section 4.1.2). The system alert pop-up shown below will appear to remind users to verify/update these details.

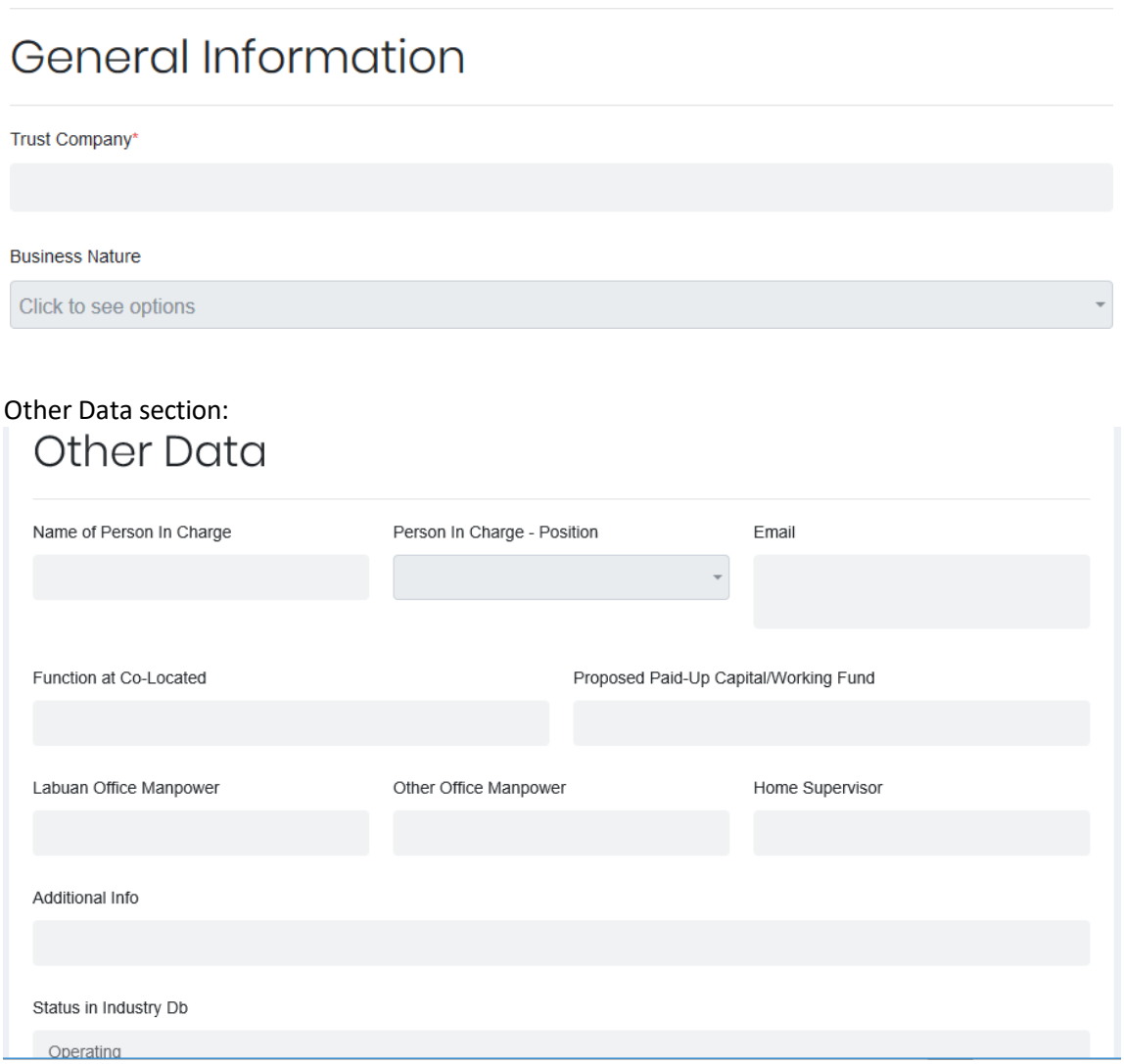
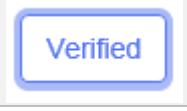


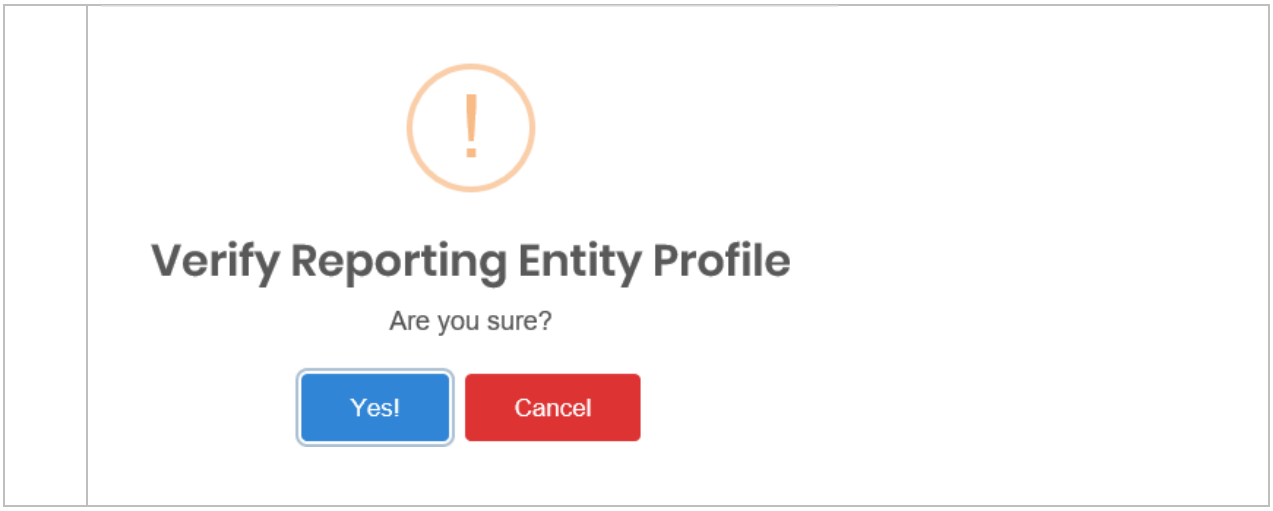
4.1.1 Business Information

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

User is required to raise a Helpdesk request should they wish to update or correct any data pertaining to 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:  Important Date section: 

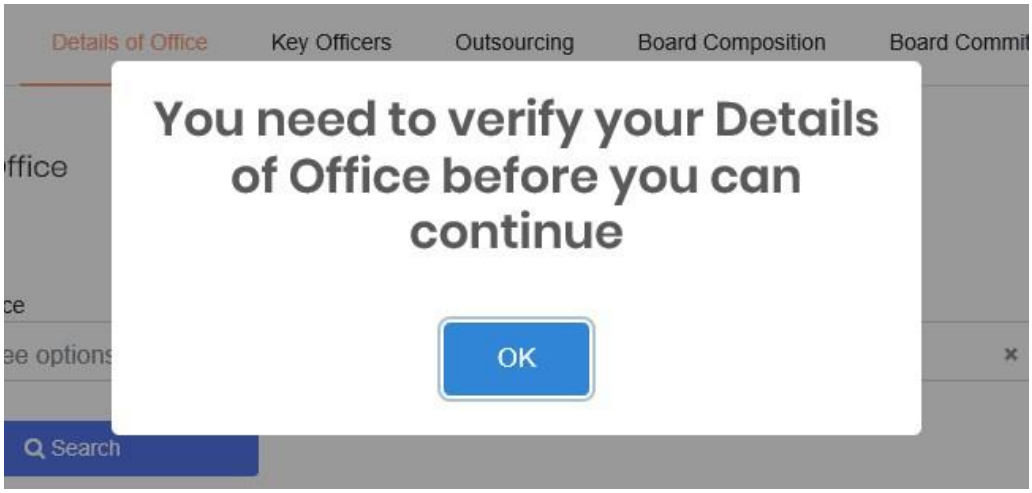
	General Information section:  Other Data section:
3	Please verify the information on the screen and click Verify button to confirm the data is correct 
4	A pop up confirmation is displayed, click 'Yes' to confirm and vice versa



4.1.2 Details of Office

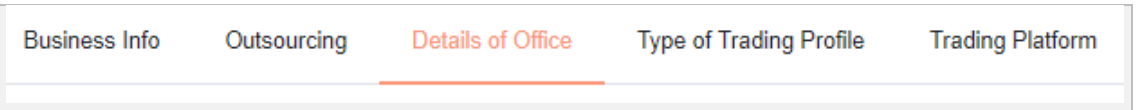
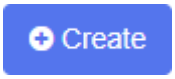
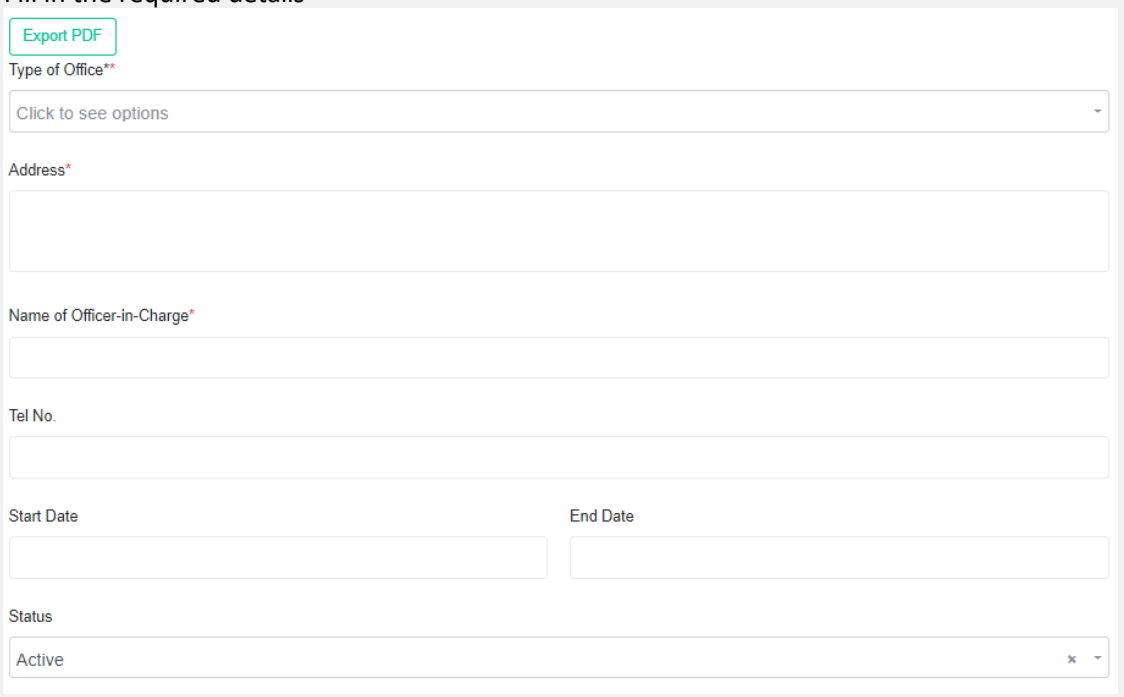
RE Users are also required to fill in this requirement before they can proceed to submission. Details of Office stores the information on RE's office address and contact details.

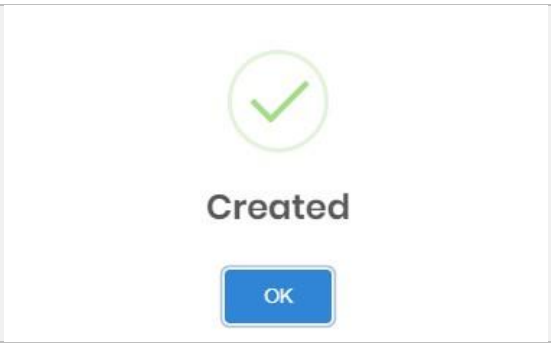
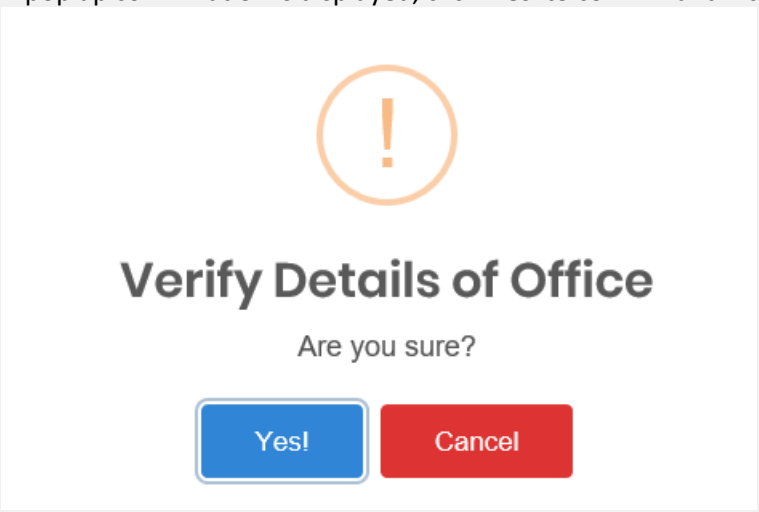
RE Users will not be allowed to perform any submission without verifying the Business Info or the Details of Office (Section 4.1.2). The system alert pop-up shown below will appear to remind users to verify/update these details.



a) How to Create Details of Office

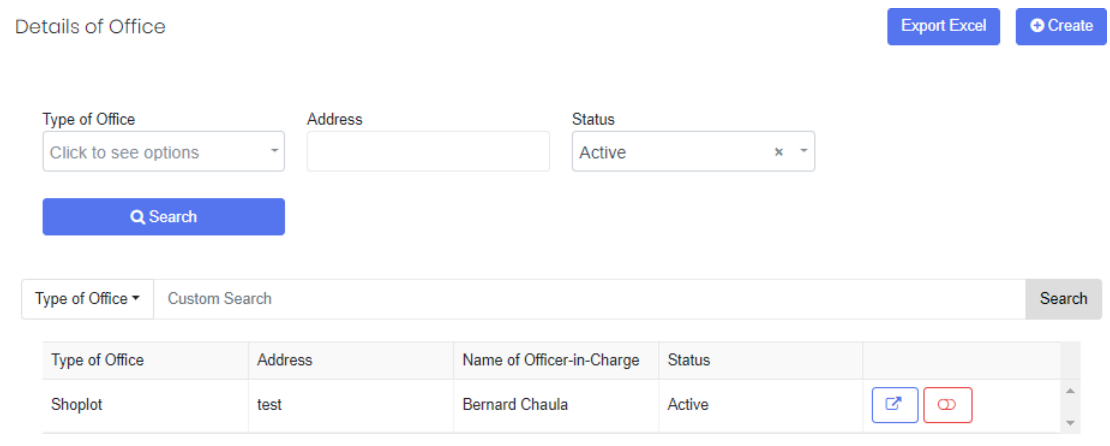
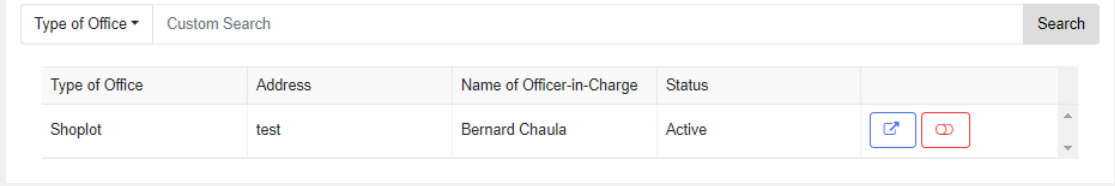
Steps	Action
1	In the menu click RE Profile and select Details of Office

	
2	Click the Create button on the left 
3	Fill in the required details 
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful.

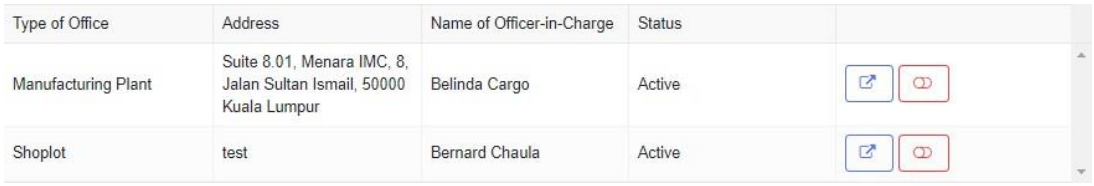
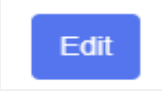
	
6	Please verify the information on the screen and click Verify button to confirm the data is correct Verified
7	A pop up confirmation is displayed, click 'Yes' to confirm and vice versa 

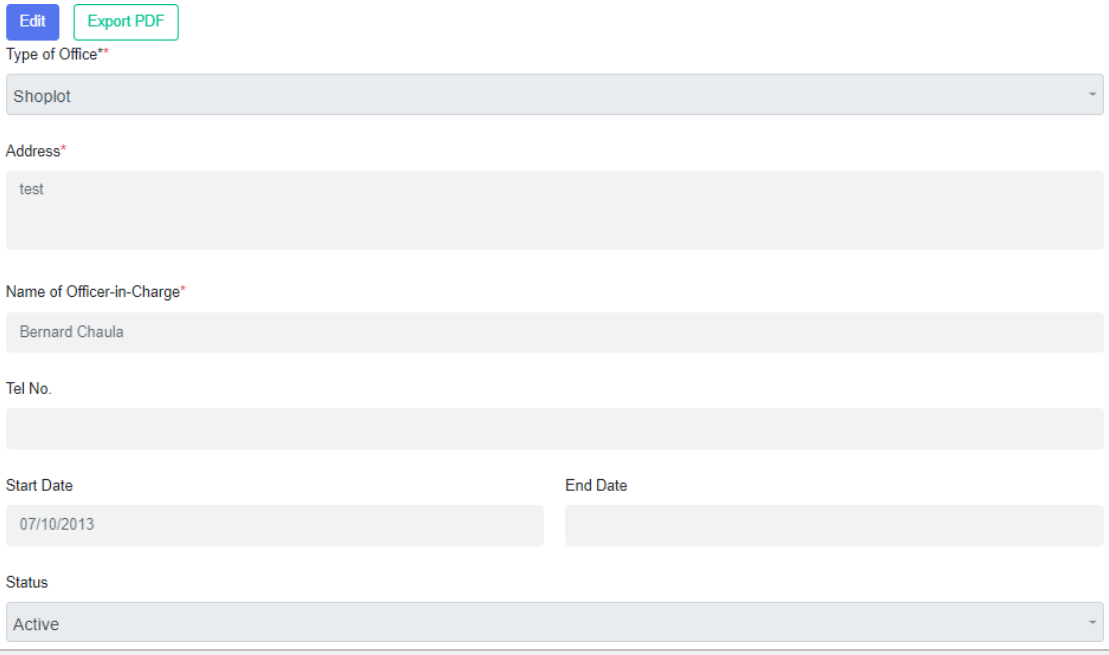
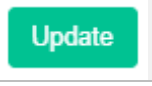
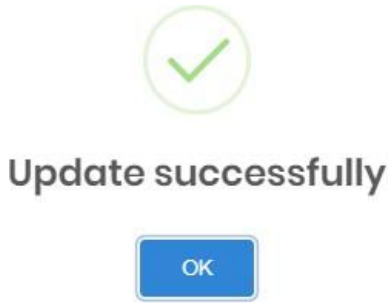
b) Search/Filter Details of Office

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

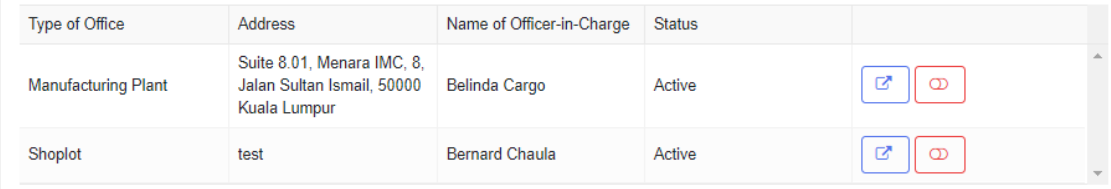
	
2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results. 

c) Edit Details of Office

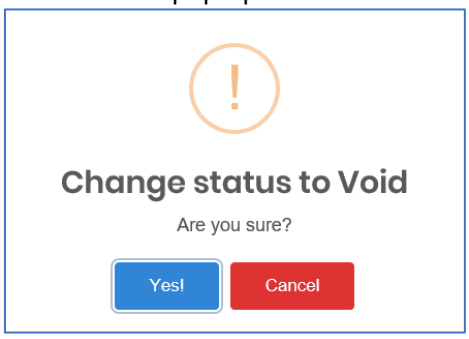
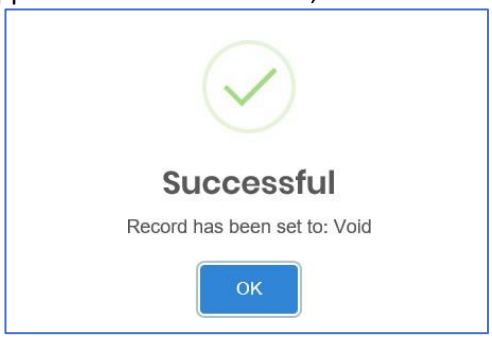
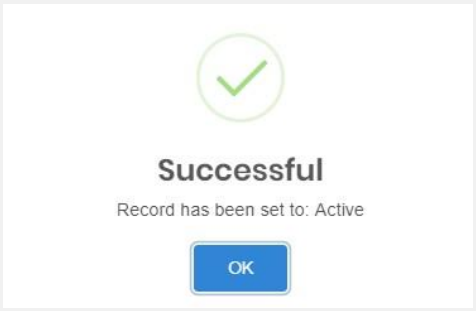
1	Select the desired record and click View, it will flow to the next page. 
2	Click the Edit button 
3	Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record.

	
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. 

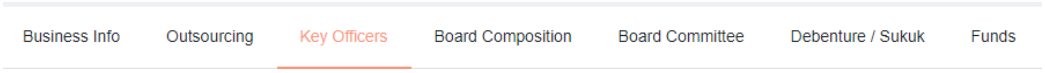
Type of Office	Address	Name of Officer-in-Charge	Status	
Manufacturing Plant	Suite 8.01, Menara IMC, 8, Jalan Sultan Ismail, 50000 Kuala Lumpur	Belinda Cargo	Active	
Shoplot	test	Bernard Chaula	Active	

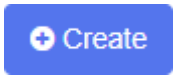
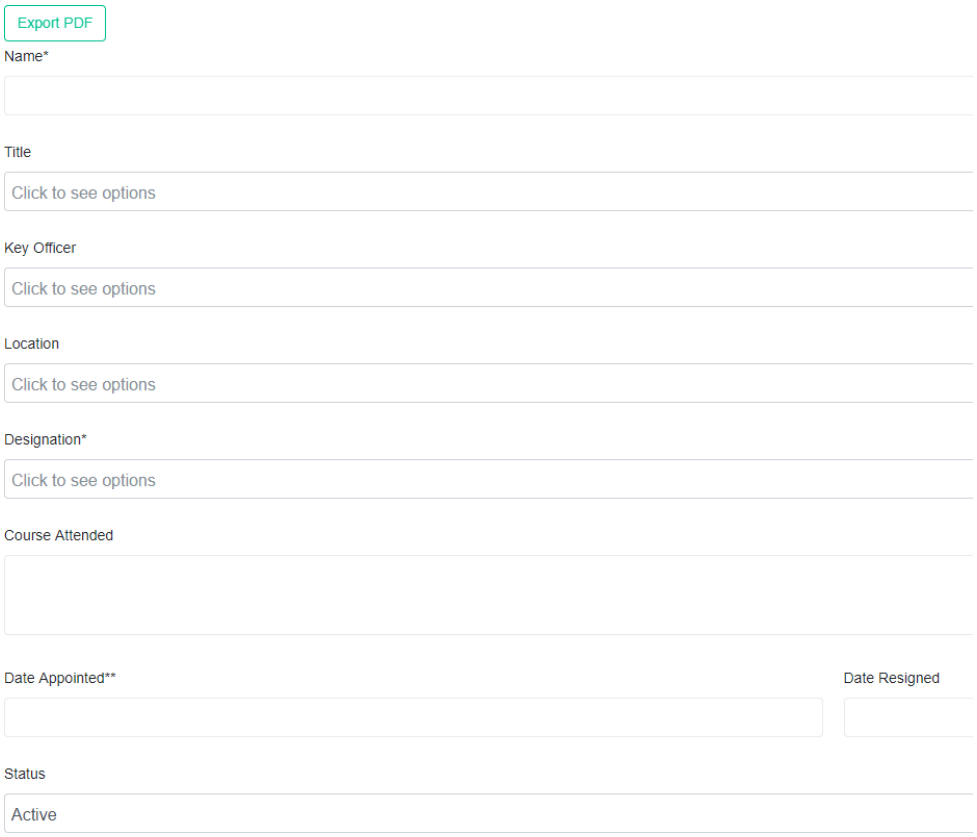
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa. 

4.1.3 Key Officers

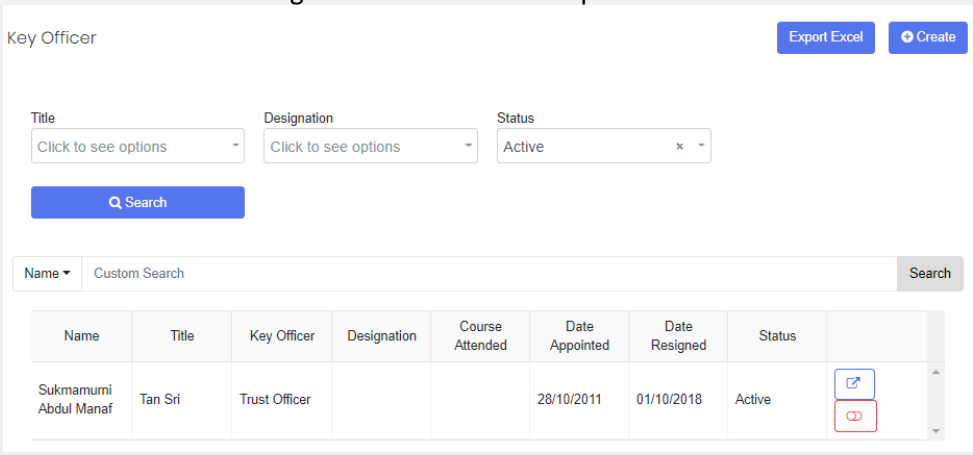
Key Officers page stores the Key Officers information, this page is applicable for all Sectors.

a) How to Create Key Officers

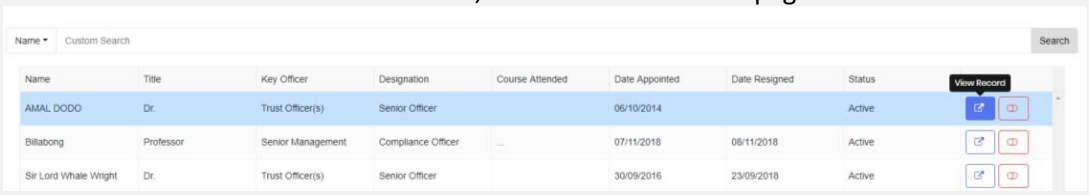
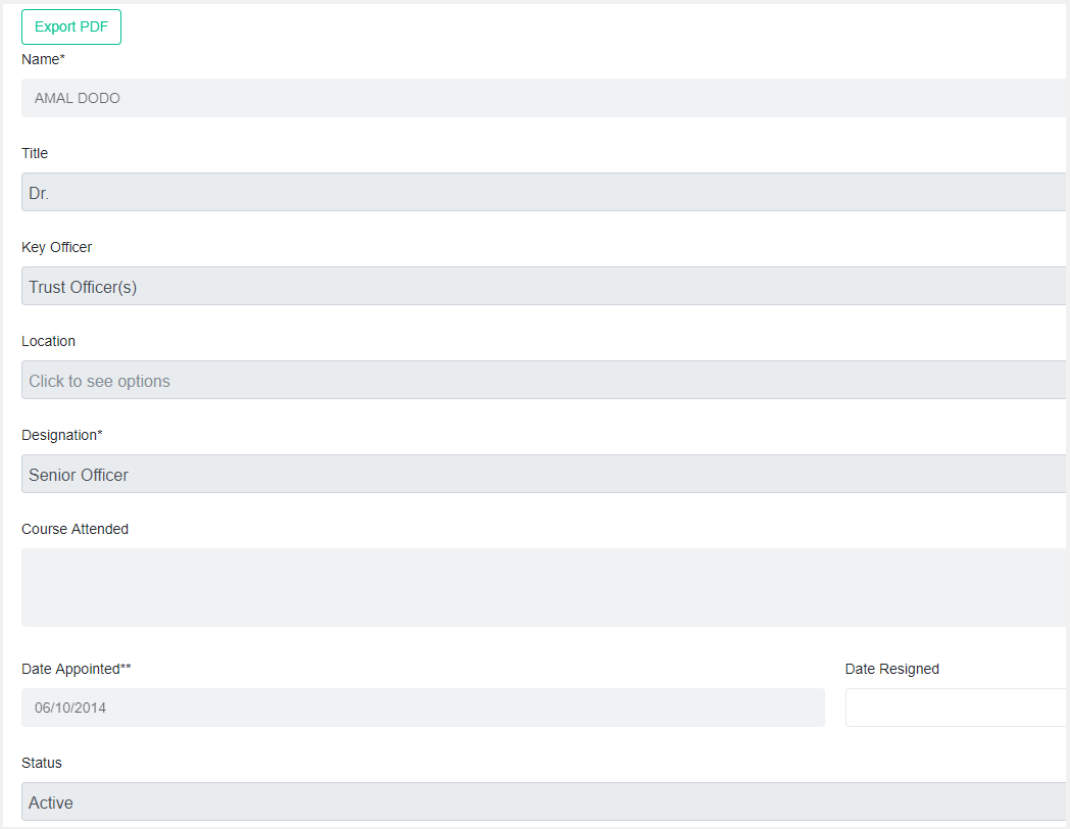
Steps	Action
1	Go to RE Profile menu and select Key Officers tab 
2	Click the Create button on the left and the page will flow to a blank form.

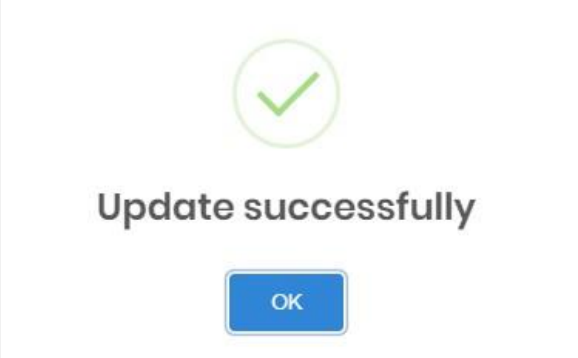
	
3	Fill in the mandatory fields. 
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful.

b) Search/Filter Key Officers

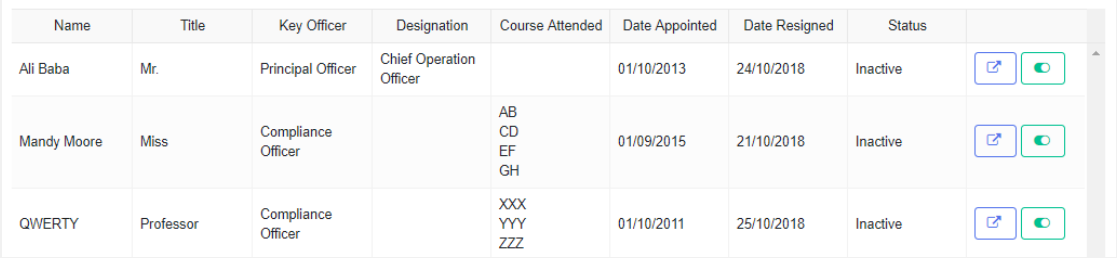
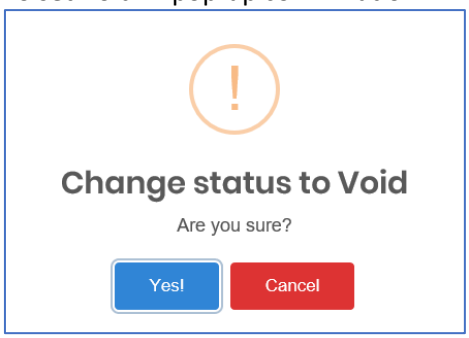
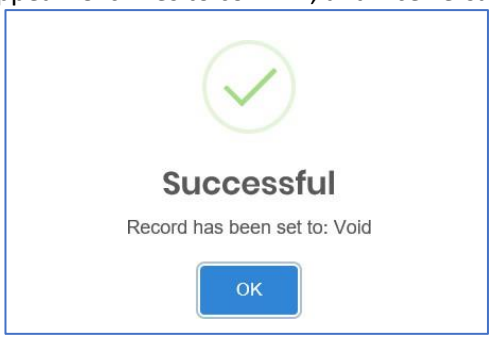
Steps	Action
1	Filter the fields according to free text field or dropdown items and click Search button 
2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results.

c) Edit Key Officers

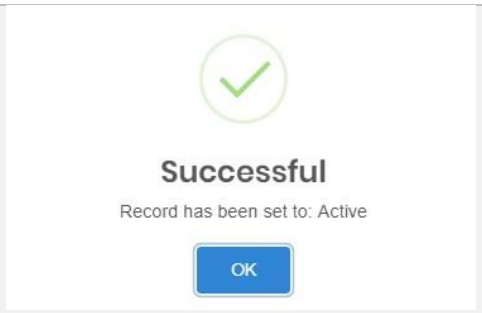
Step	Action
1	Select the desired record and click View, it will flow to the next page. 
2	Click the Edit button
3	Edit the enabled fields as required. Only selected fields are allowed to be edited by user. The End Date will determine the Status of record. 
4	Click Update button to update changes

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.

Name	Title	Key Officer	Designation	Course Attended	Date Appointed	Date Resigned	Status
Ali Baba	Mr.	Principal Officer	Chief Operation Officer		01/10/2013	24/10/2018	Inactive
Mandy Moore	Miss	Compliance Officer		AB CD EF GH	01/09/2015	21/10/2018	Inactive
QWERTY	Professor	Compliance Officer		XXX YYY ZZZ	01/10/2011	25/10/2018	Inactive

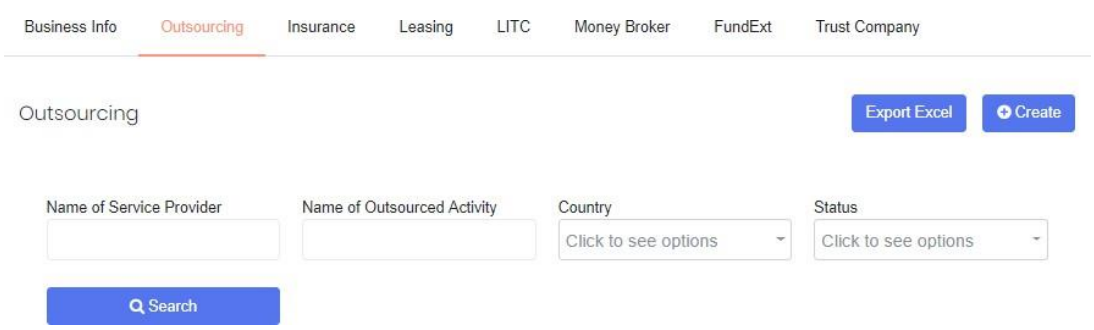
	

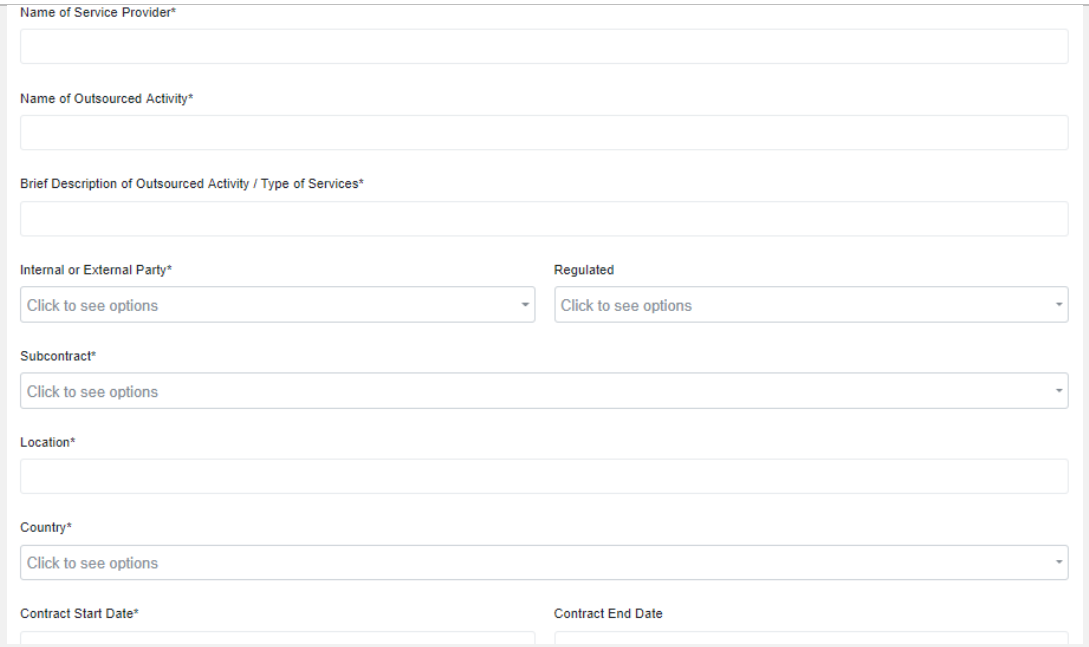
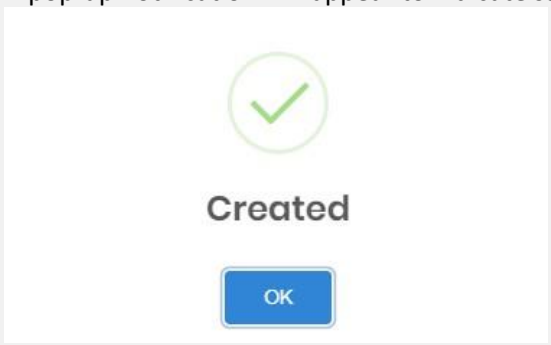
4.1.4 Outsourcing

This page describes the Outsourcing activity for the Reporting Entity.

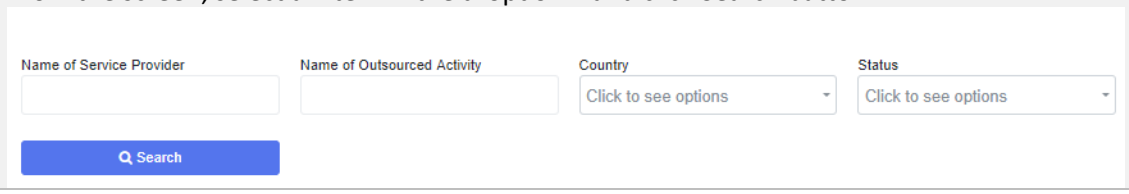
This page is applicable to all sectors.

a) Create Outsourcing

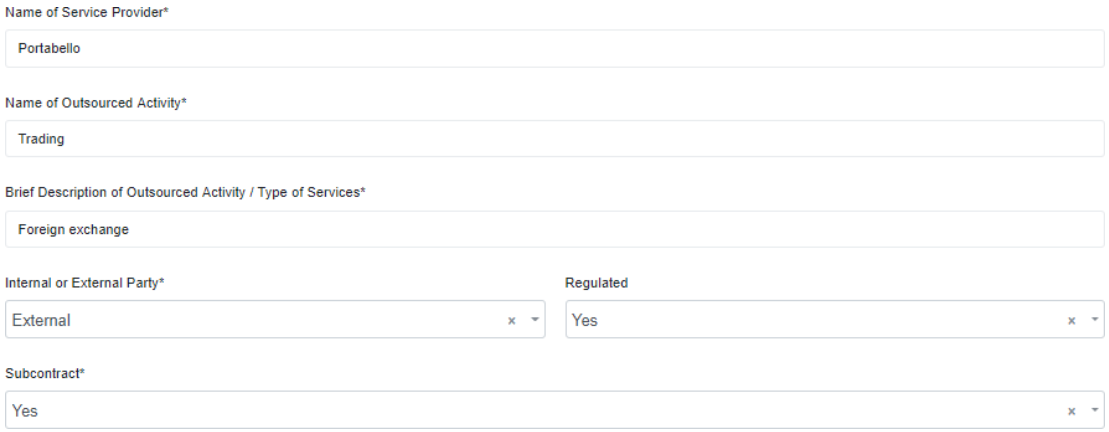
Step	Action
1	From the menu, select RE Profile, select Outsourcing tab.
2	Click Create button 
3	Fill in the required details.

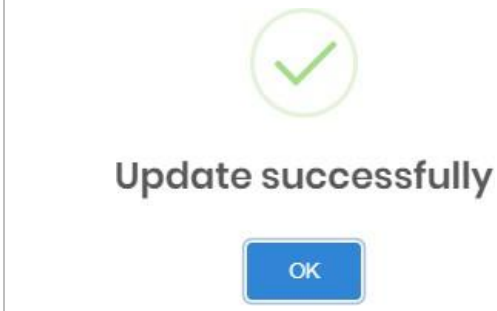
	
4	Click Save button.
5	A pop-up notification will appear to indicate save is successful. 

b) Search/Filter Outsourcing

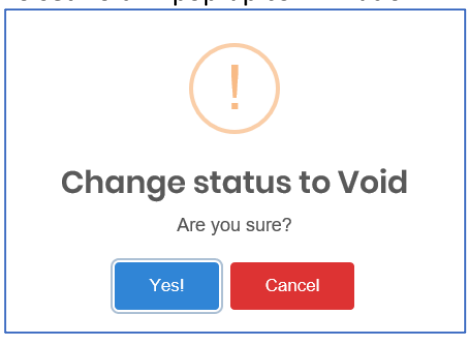
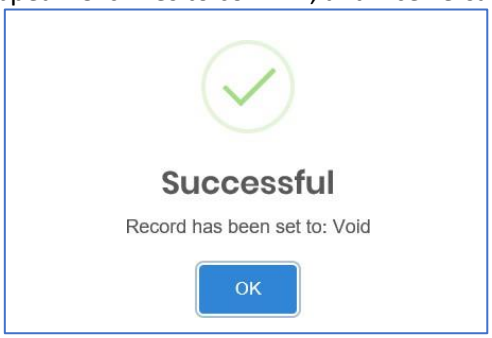
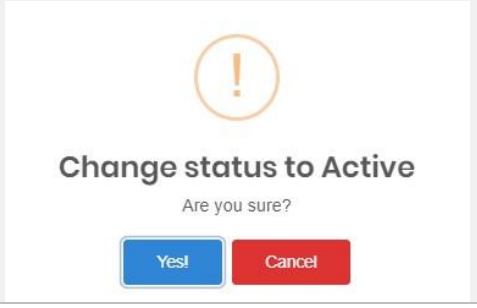
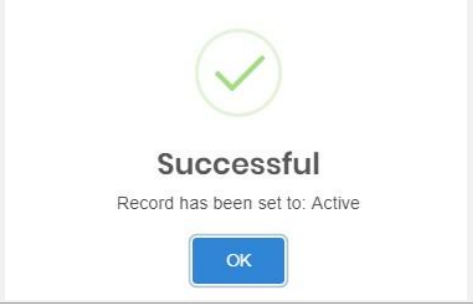
Step	Action
1	From the screen, select an item in the dropdown and click Search button. 
2	The result of the search is displayed in the list

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

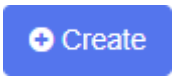
Step	Action
1	Identify a row from Outsourcing tab and click Void/Unvoid icon.
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  

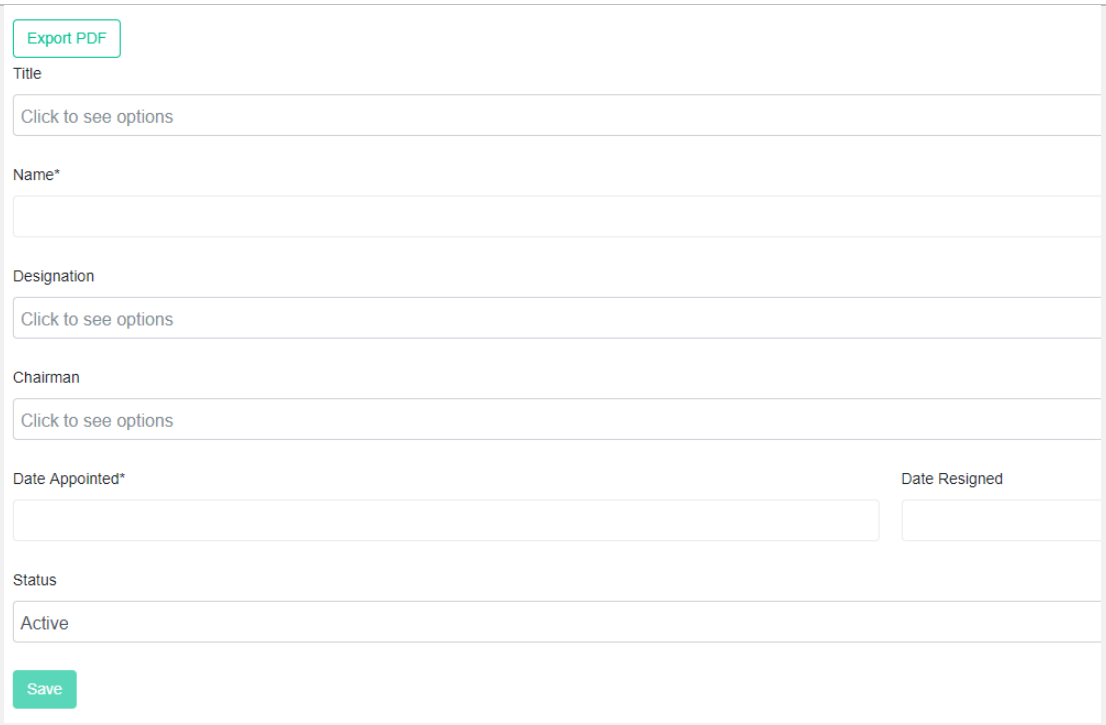
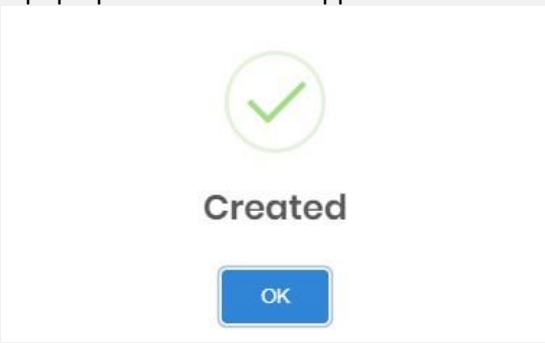
4.1.5 Board Composition

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 Labuan Trust Company.

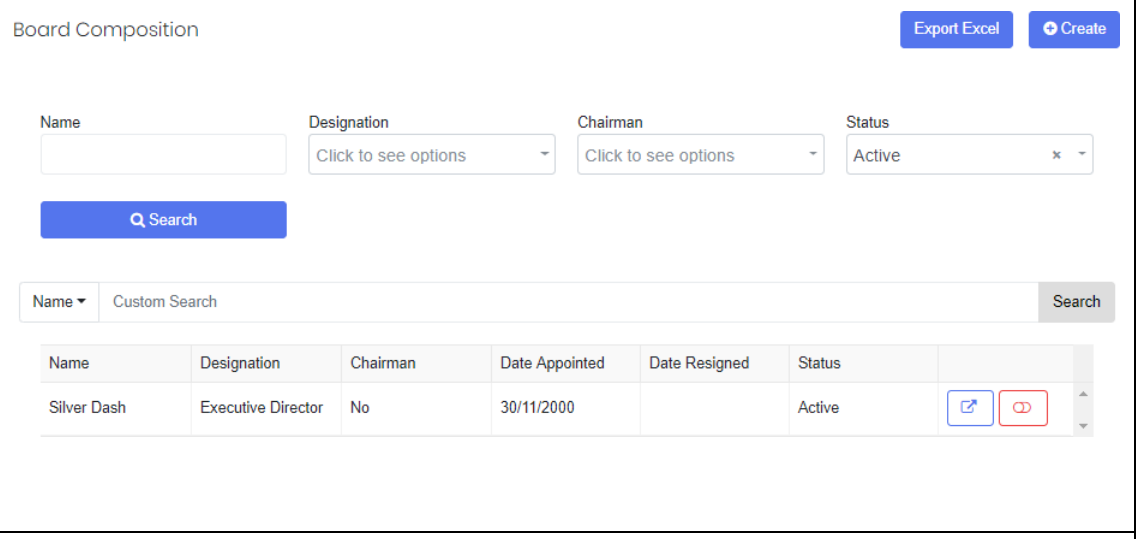
a) Create Board Composition

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. 

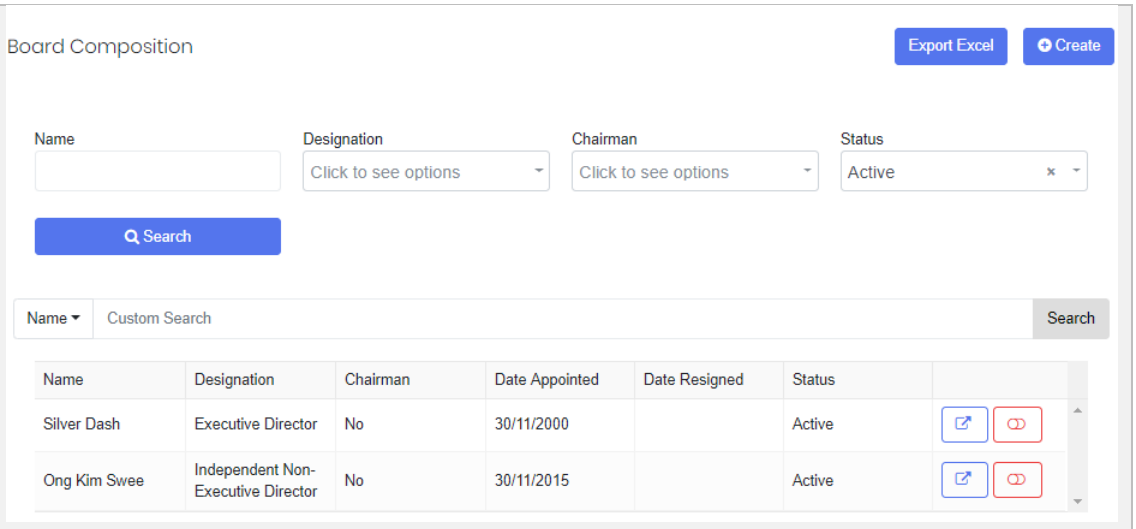
b) Search/Filter Board Composition

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.

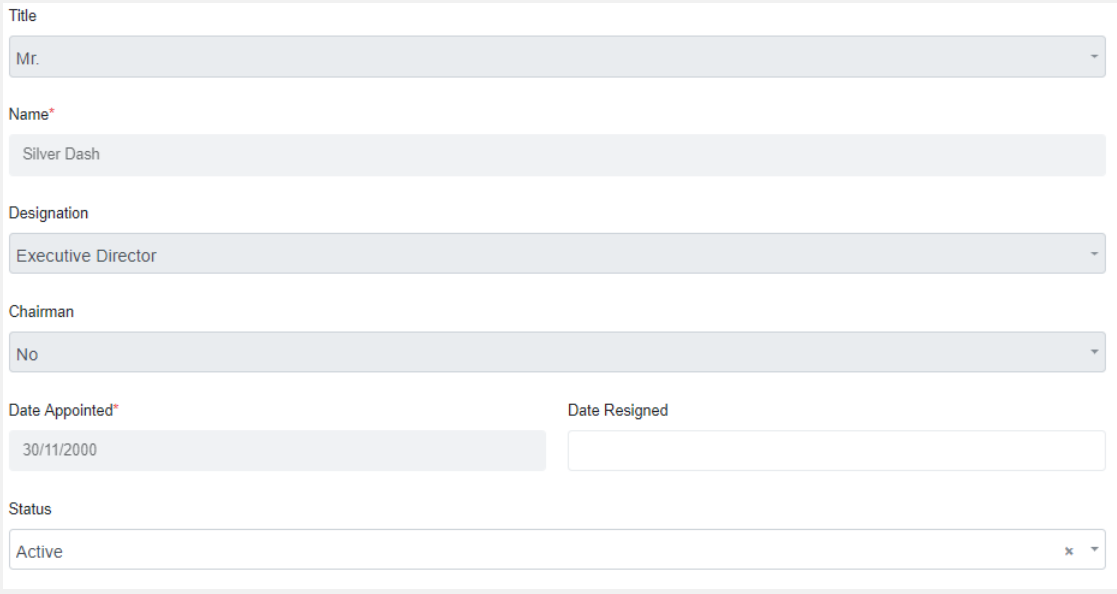
c) Edit Board Composition

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

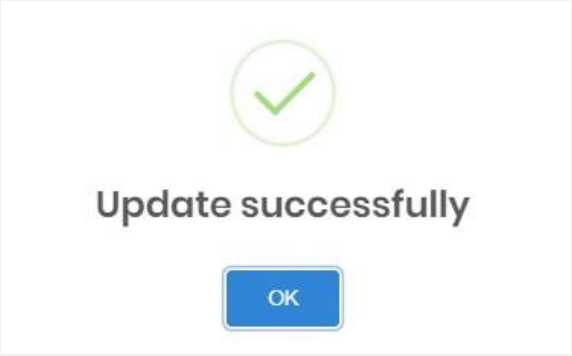


2 Click the Edit button

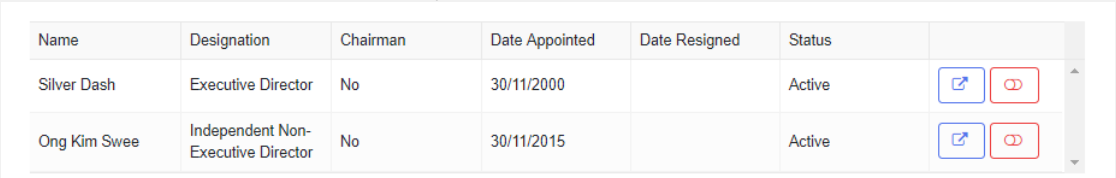
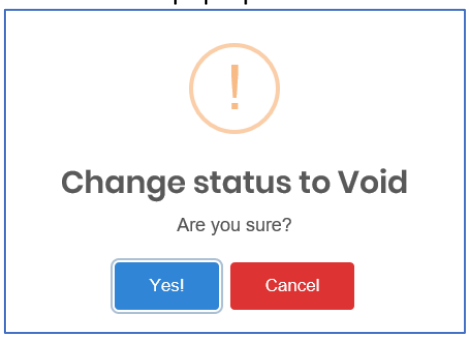
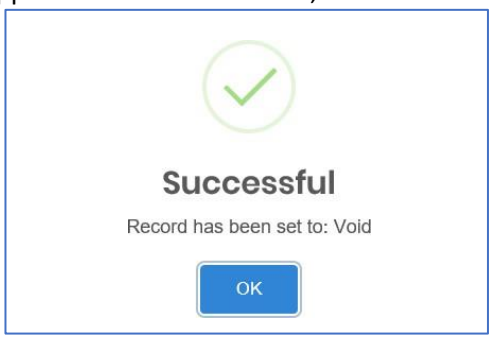
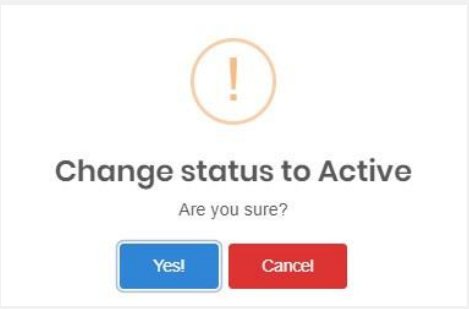
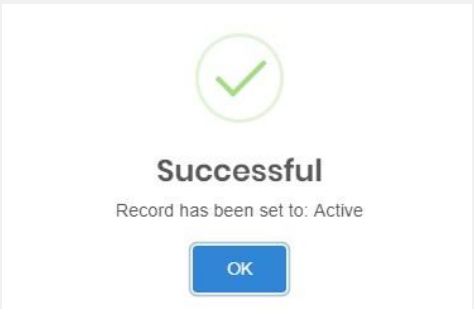
3 Edit the enabled fields as required.
Only selected fields are allowed to be edited by user.
The End Date will determine the Status of record.



4 Click Update button to update changes

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

d) Set Void/Unvoid

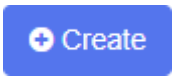
Step	Action
1	Select the desired row and click Void/Unvoid icon. 
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  

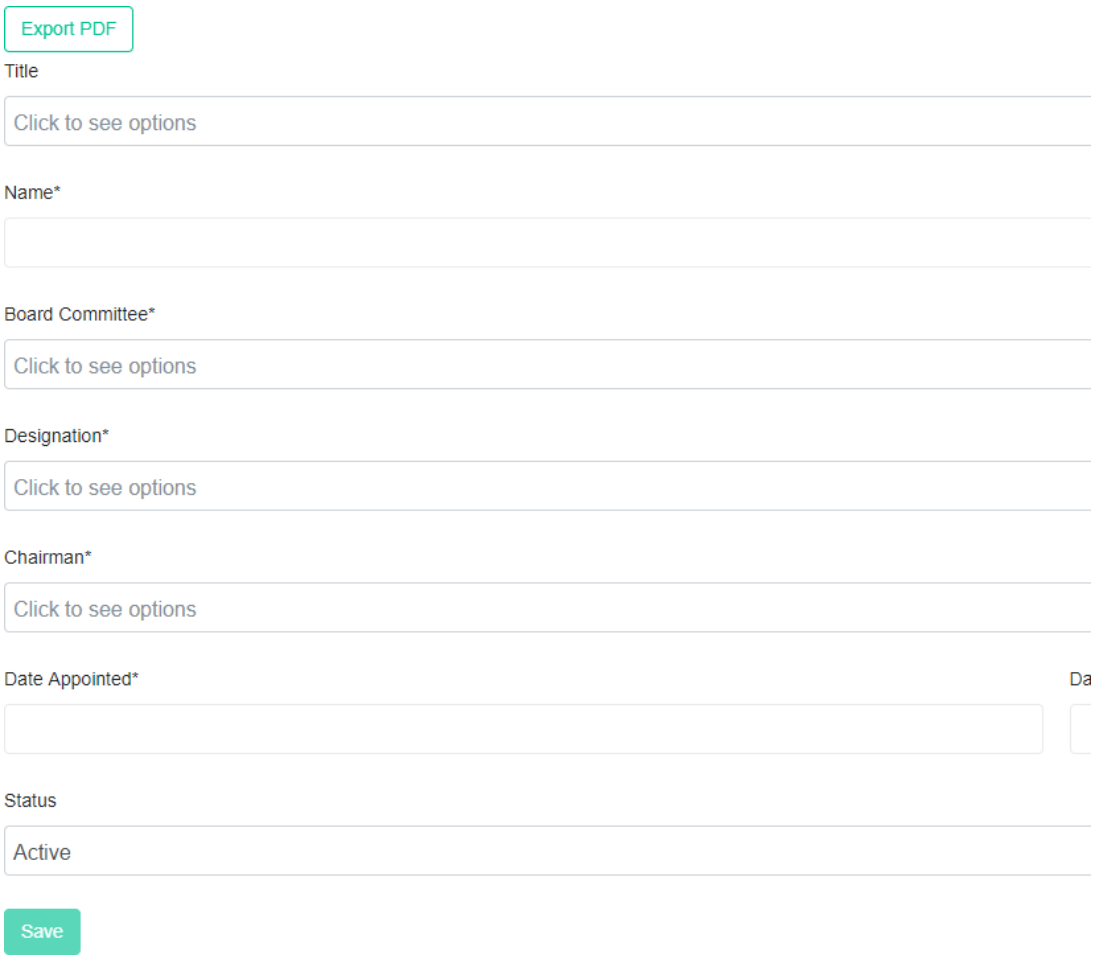
4.1.6 Board Committee

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

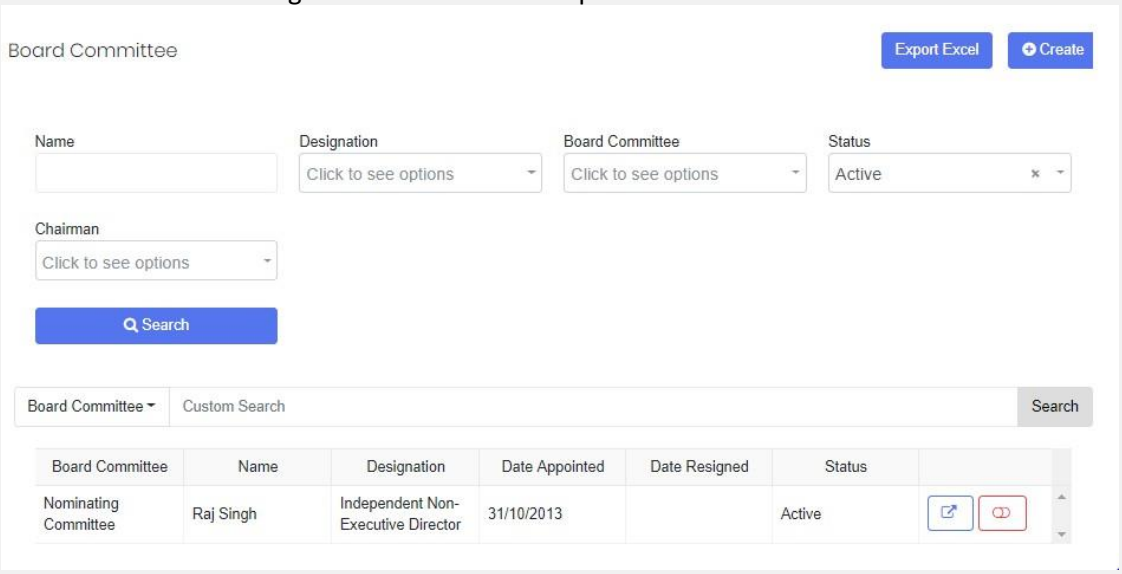
This page is only applicable to Labuan Trust Company.

a) Create Board Committee

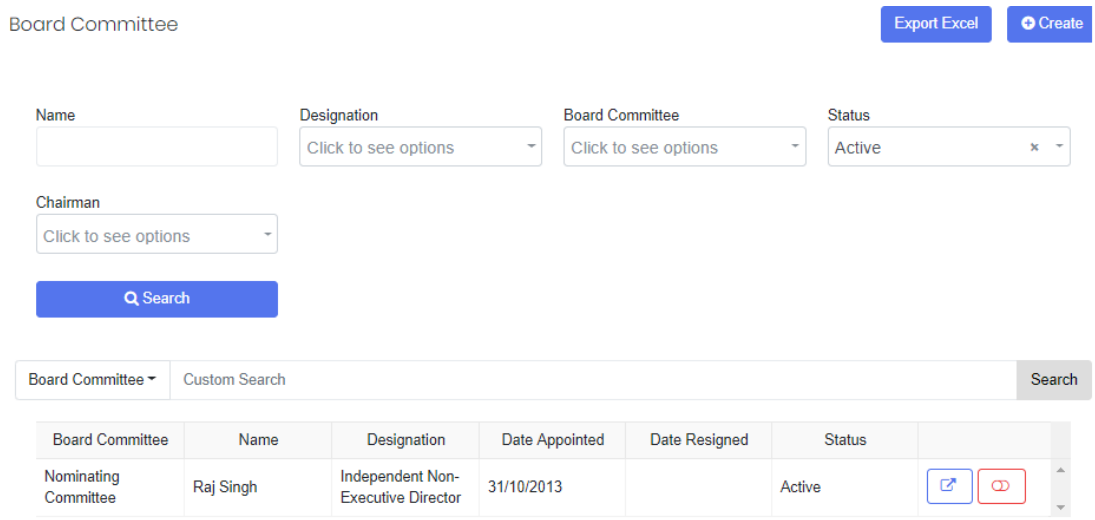
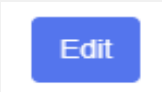
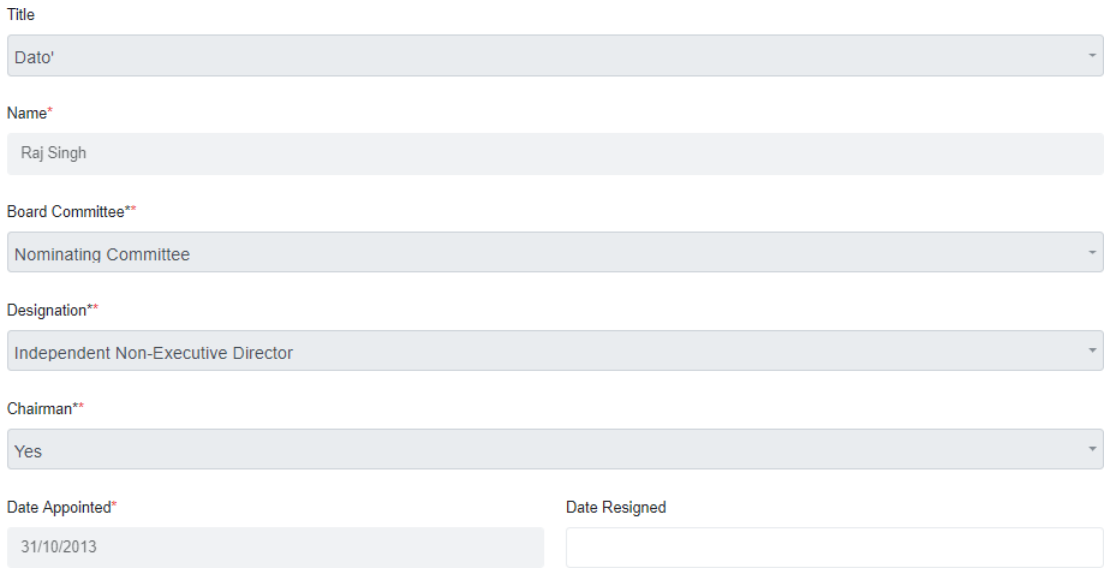
1	Go to RE Profile menu and select Board Committee
2	Click the Create Button on the left, the page will flow to a blank form 
3	Fill in the details

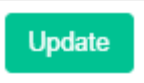
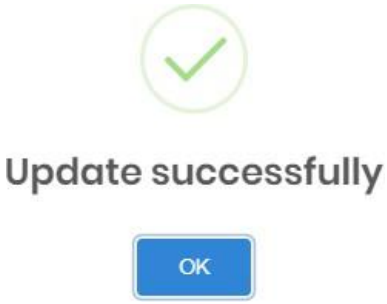
	
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful.

b) Search/Filter Board Committee

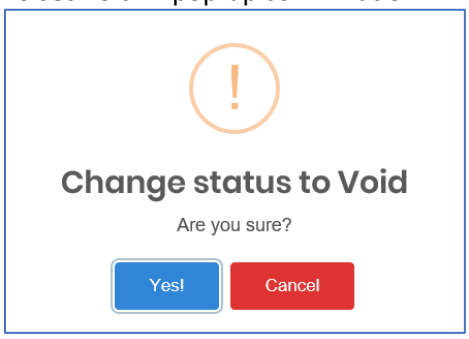
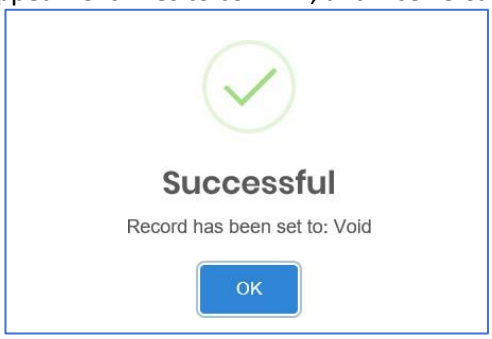
Steps	Action
1	Filter the fields according to free text field or dropdown items and click Search button 
2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results.

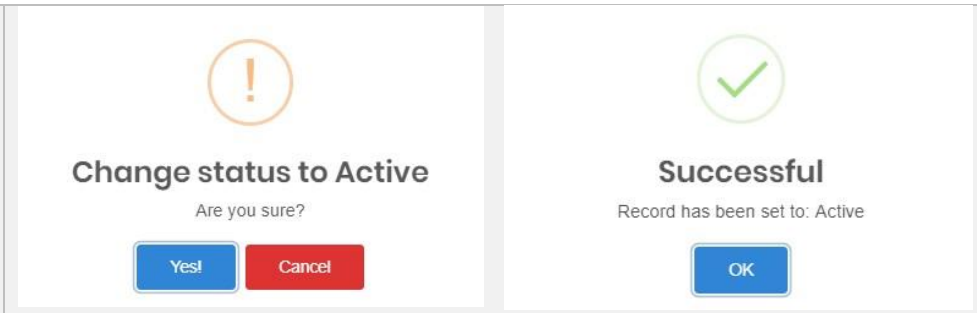
c) Edit Board Committee

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

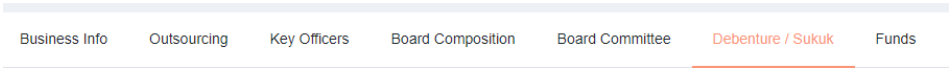
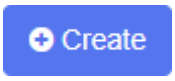
Step	Action
1	Select the desired row from and click Void/Unvoid icon.
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.

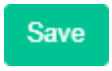


4.1.7 Debenture/Sukuk

The detail of Debenture/Sukuk will have to be provided by Labuan Trust Company only.

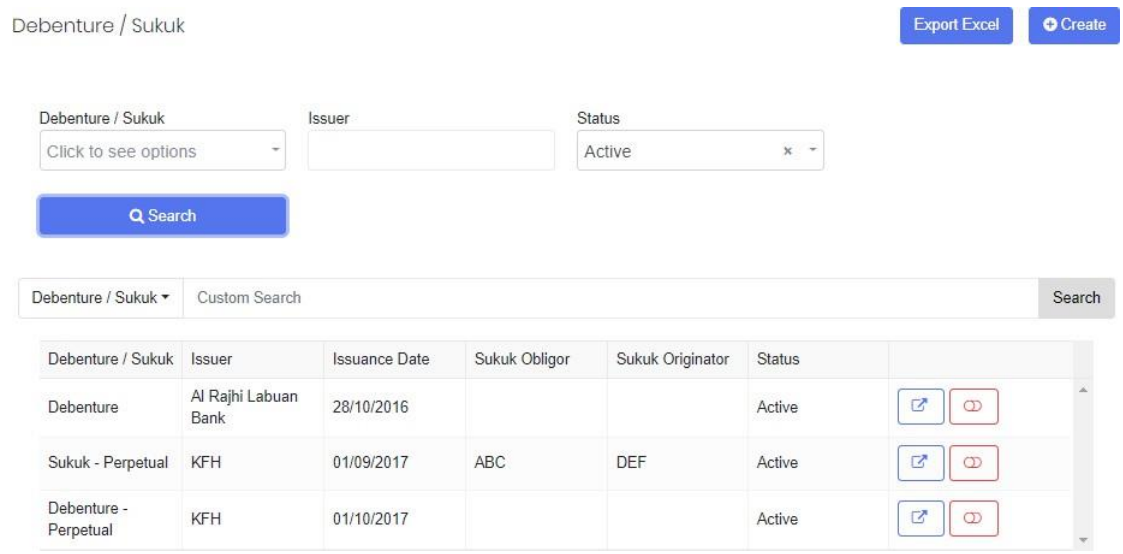
a) Create Debenture/Sukuk

Steps	Action
1	In the menu, click RE Profile and select Debenture/Sukuk 
2	Click the Create button on the left 
3	Fill in the required details

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

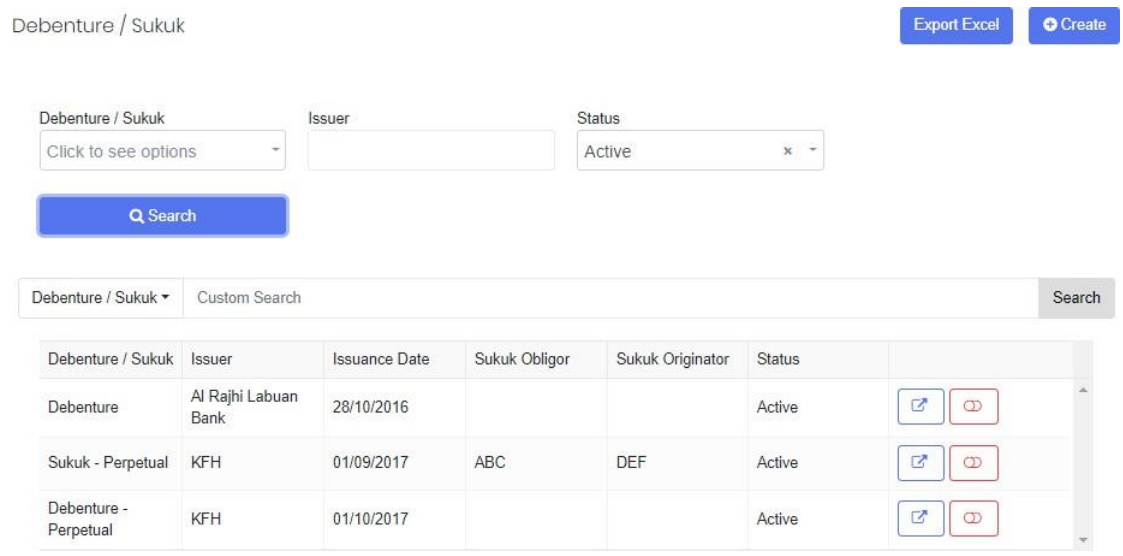
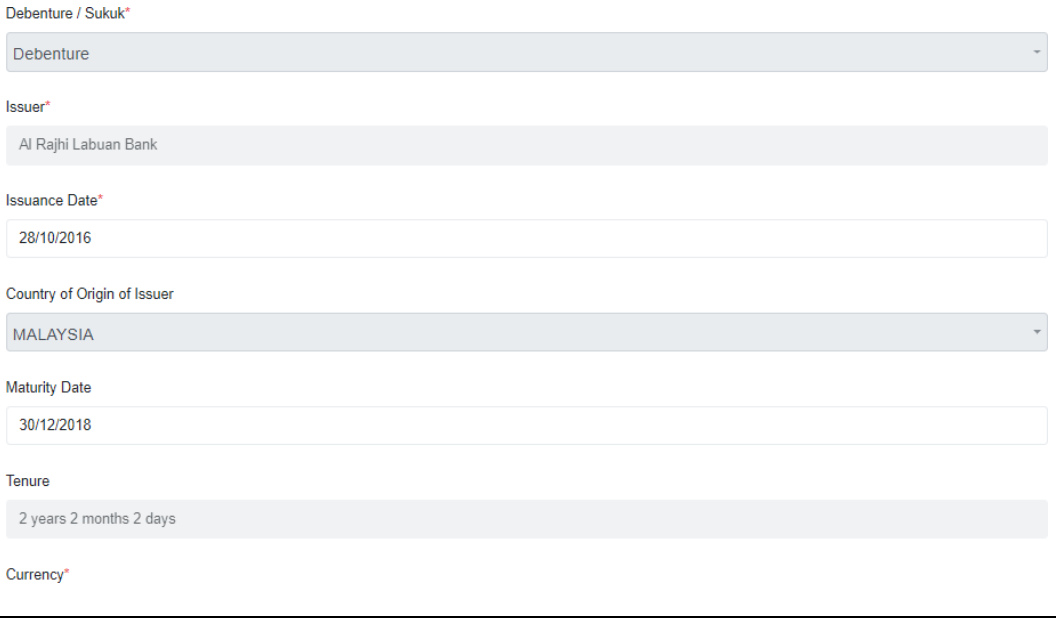
b) Search/Filter Debenture/Sukuk

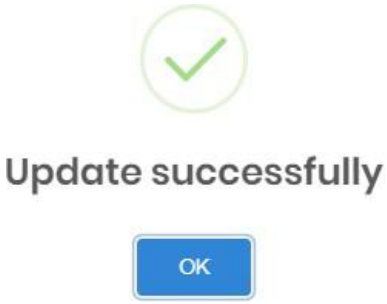
Steps	**Action**
1	Filter the fields according to free text field or dropdown items and click Search button

	
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.

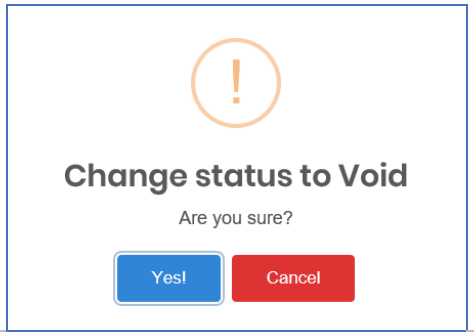
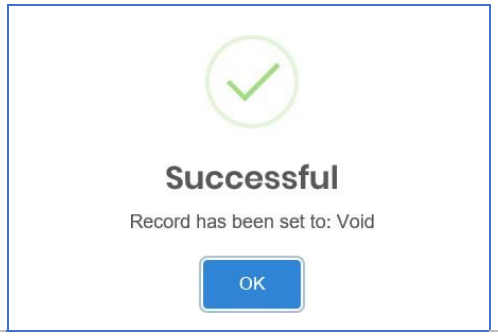
c) Edit Debenture/Sukuk

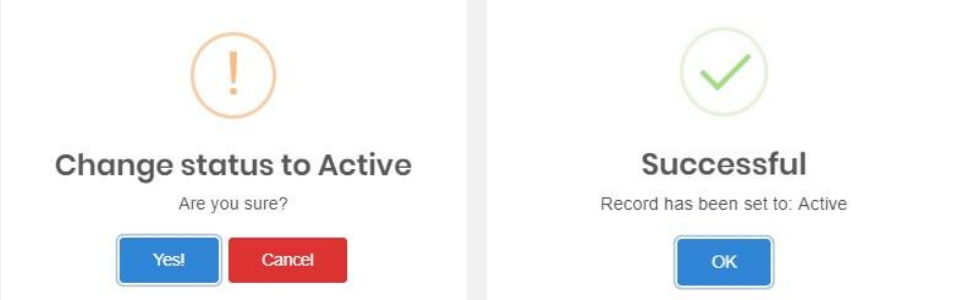
1	Select the desired record and click View, it will flow to the next page.

	
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. 

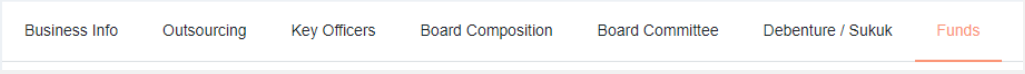
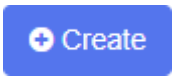
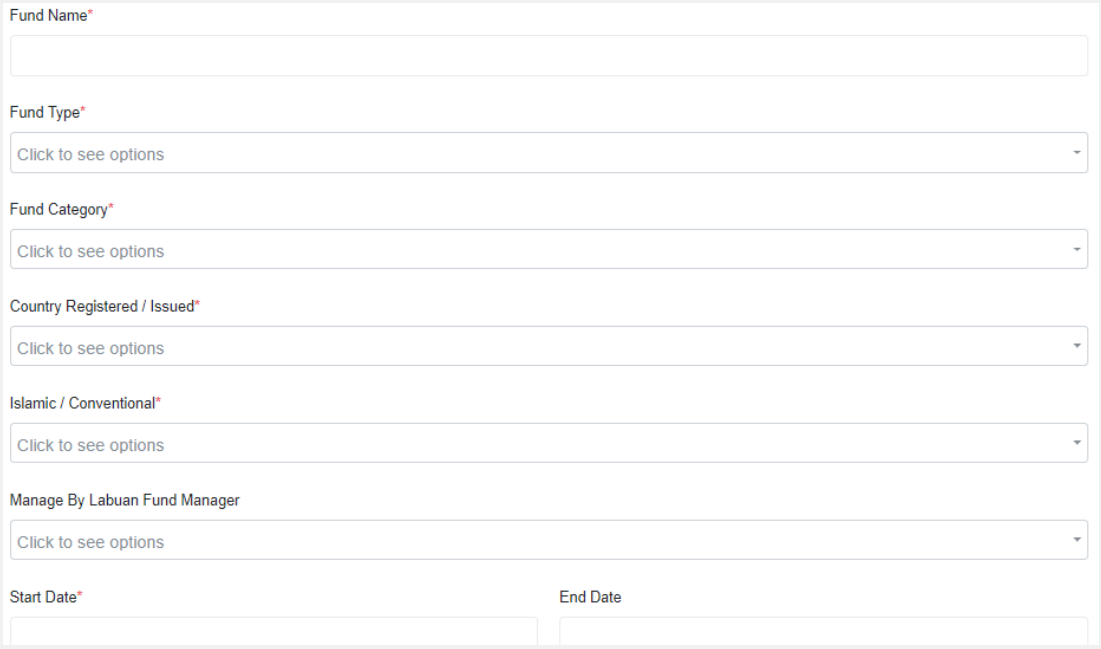
d) Set Void/Unvoid

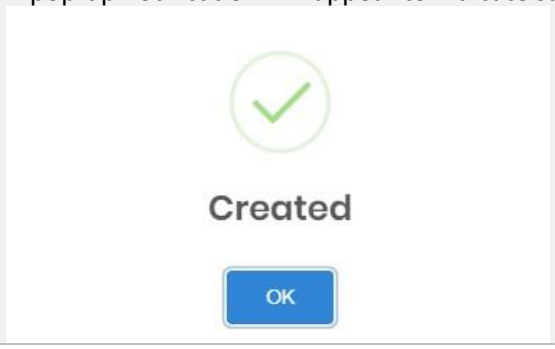
Step	Action
1	Select the desired row and click Void/Unvoid icon.
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  

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

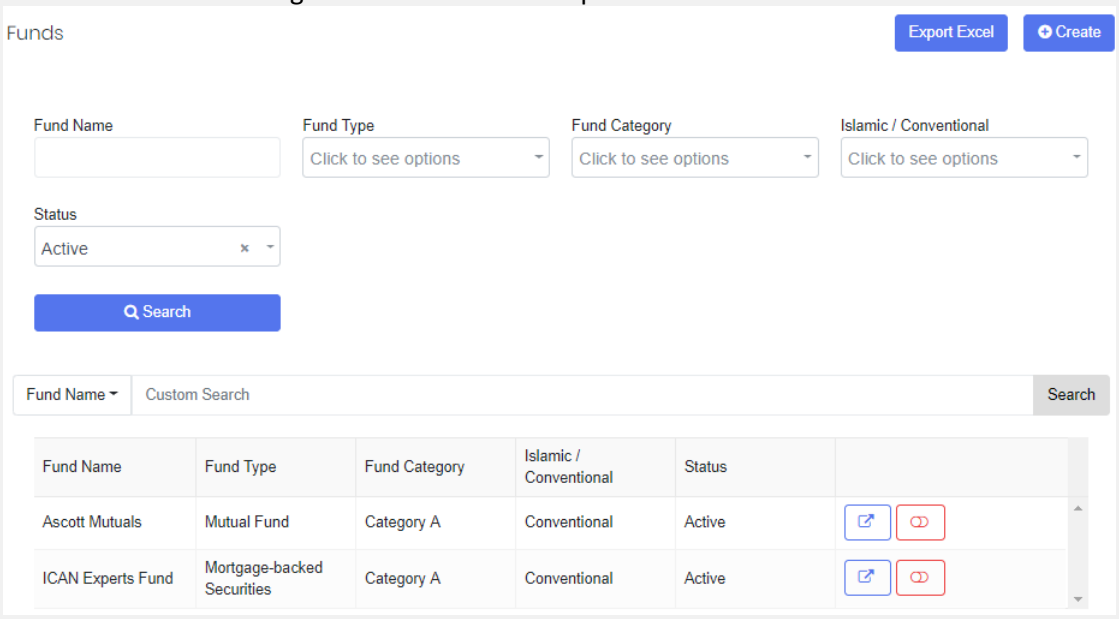
4.1.8 Funds

a) Create Funds

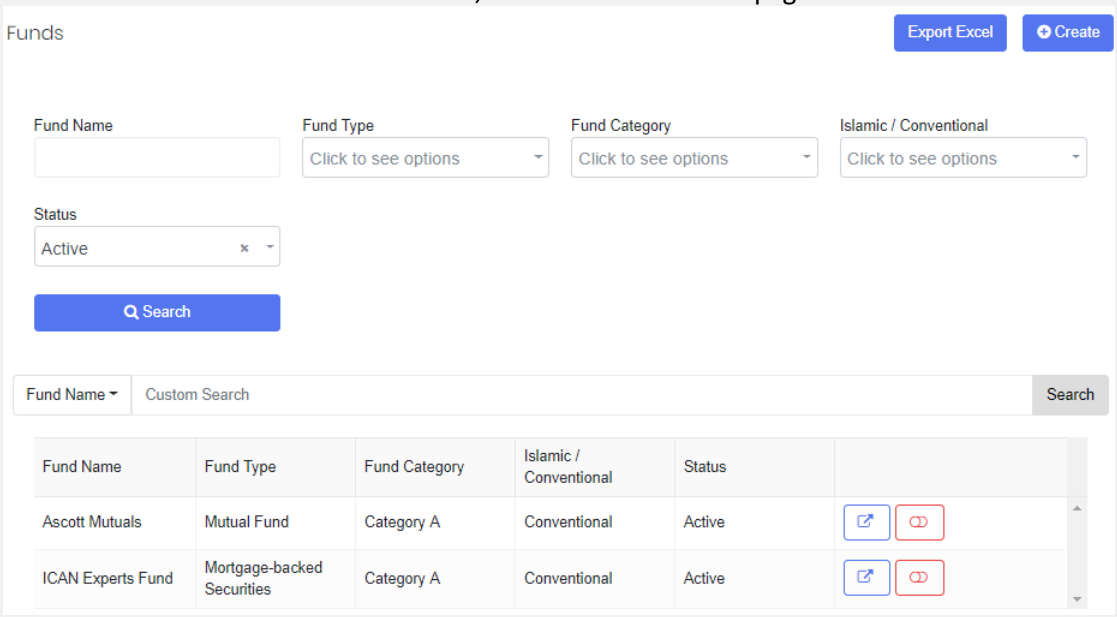
Steps	Action
1	Go to RE Profile menu and select Funds tab 
2	Click the Create Button on the left, it will flow to a blank form 
3	Fill in the details 

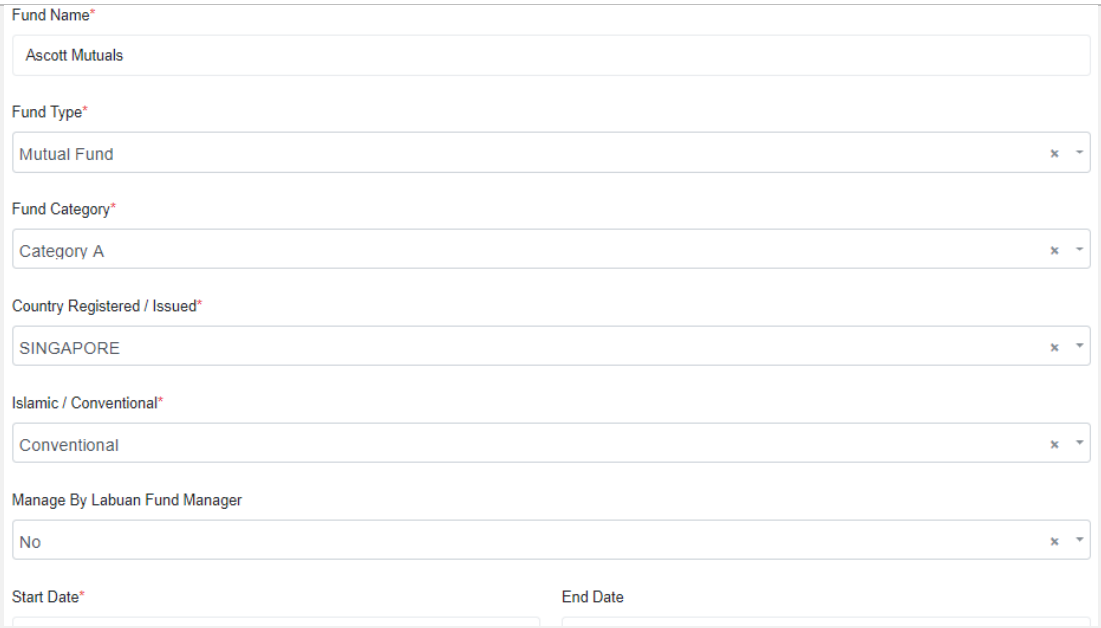
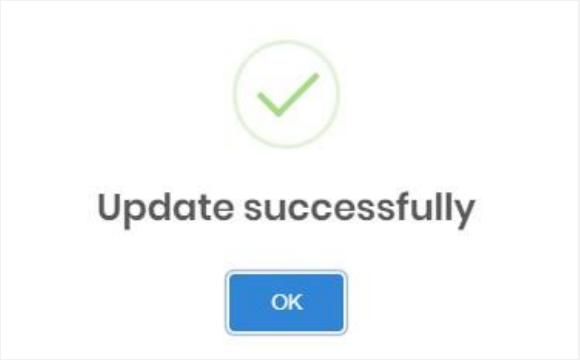
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful. 

b) Search/Filter Funds

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.

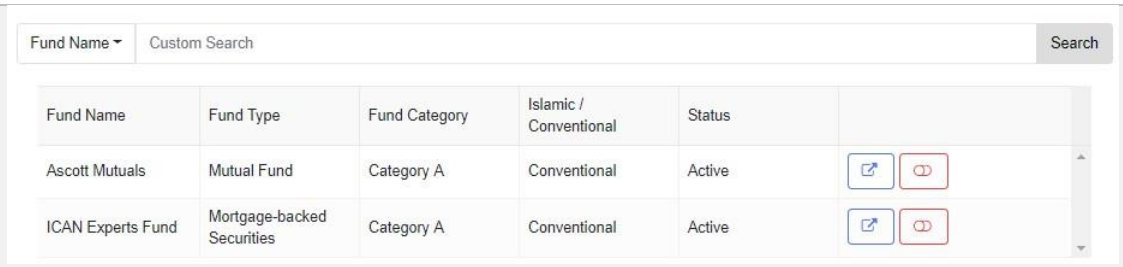
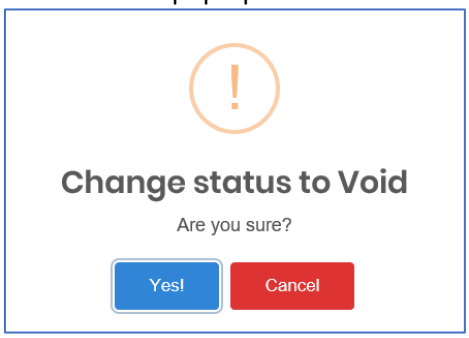
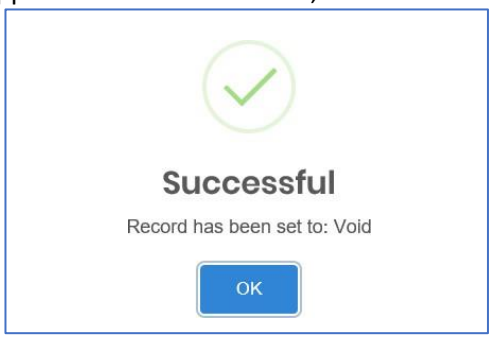
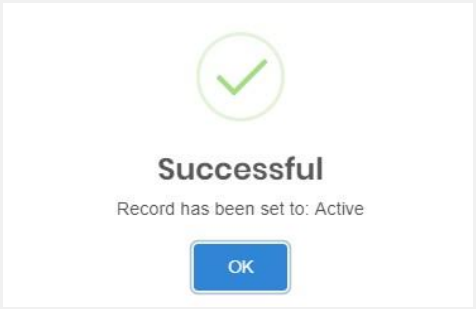
c) Edit Funds

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

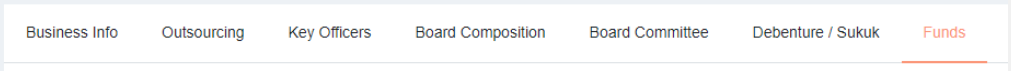
Step	Action
1	Select the desired row from and click Void/Unvoid icon.

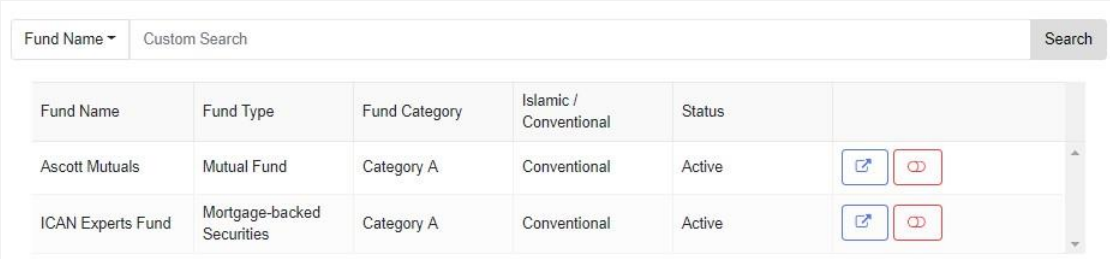
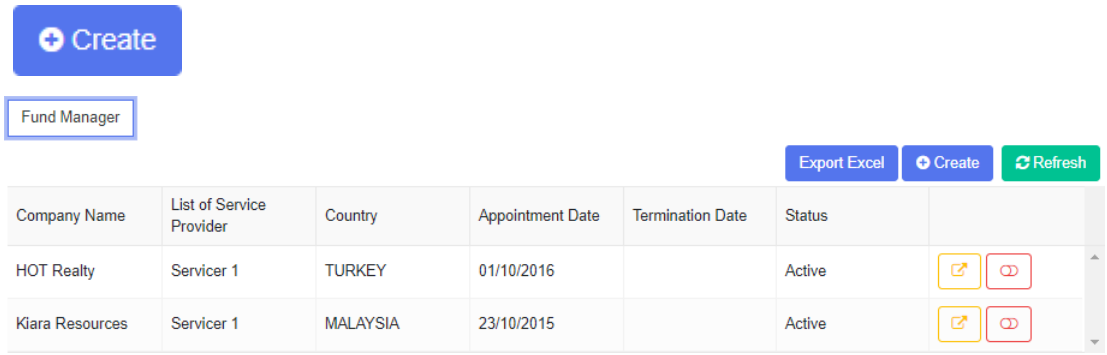
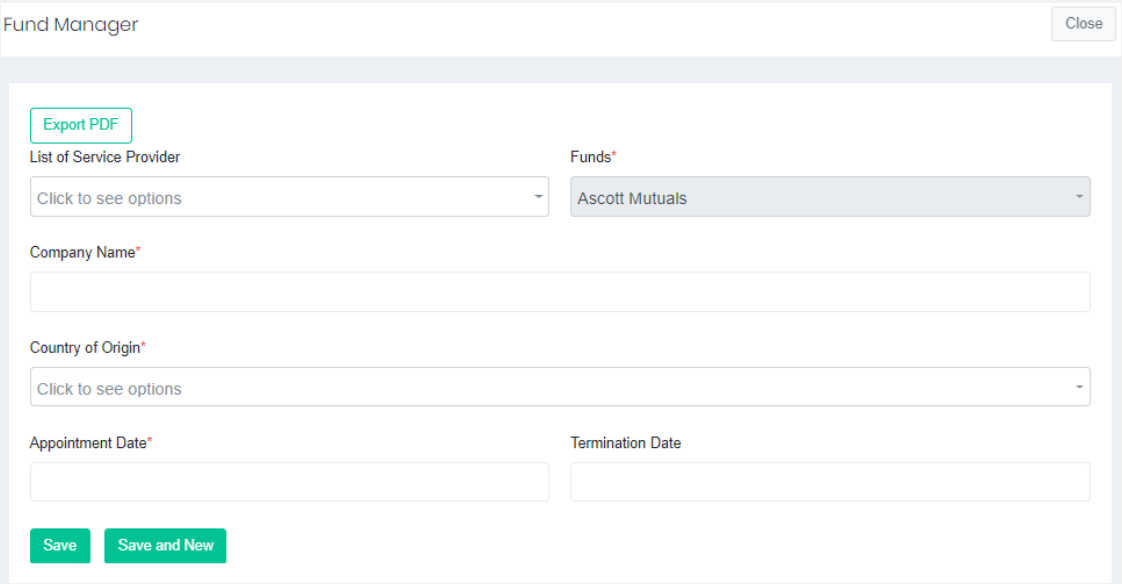
	
2	To set Void: A pop-up confirmation will appear. Click Yes to confirm, and vice versa.  
3	To revert to previous status: A pop-up confirmation will appear. Click Yes to confirm, and vice versa. 

4.1.8.1 Fund Manager

Fund Manager is associated to the Funds record that was created earlier in 4.1.7. User may create more than one Fund Manager for each Fund.

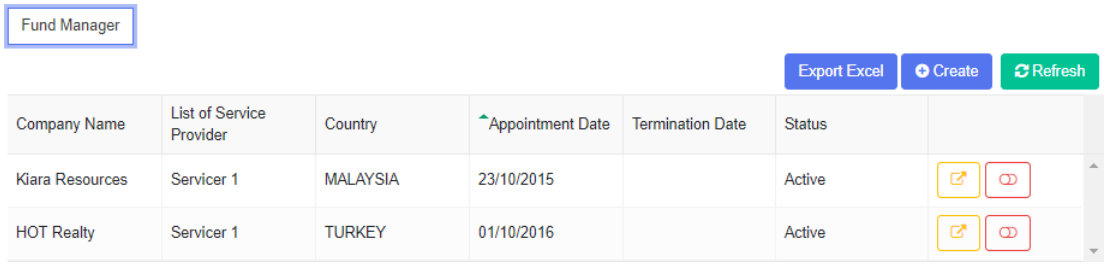
a) How to Create Fund Manager

Steps	Action
1	Go to RE Profile menu and select Funds tab, and select the desired Fund in the list. 

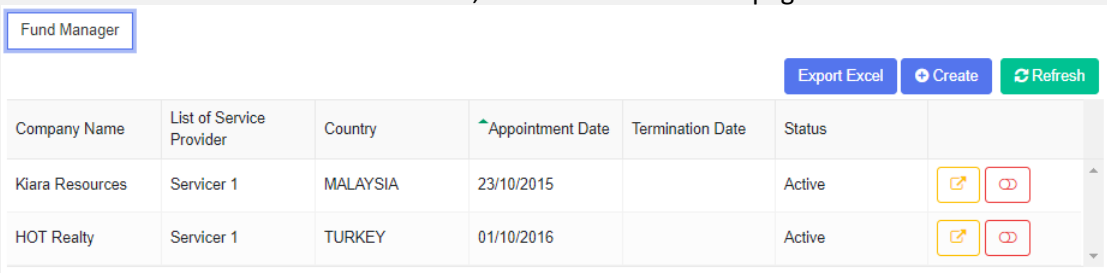
	
2	Click the Create button at the bottom of the page, it will flow to a blank form 
3	Fill in the details 
4	Click the Save button to save once, or click Save and New button to create one record after another.

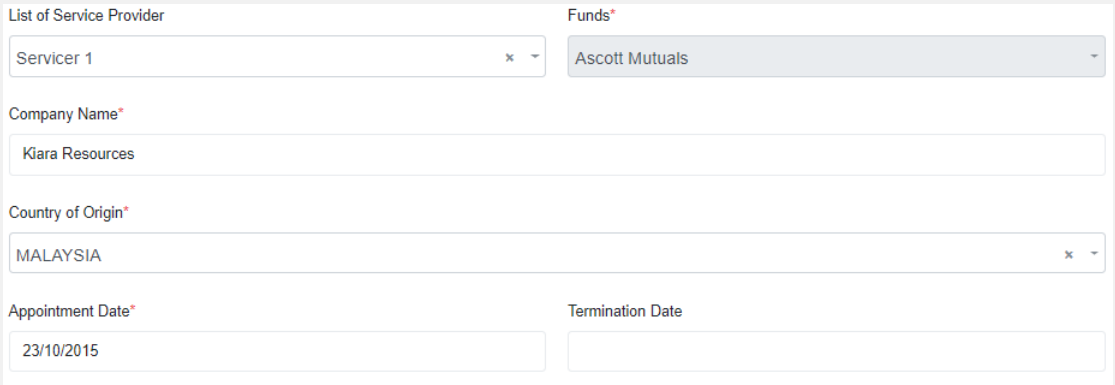
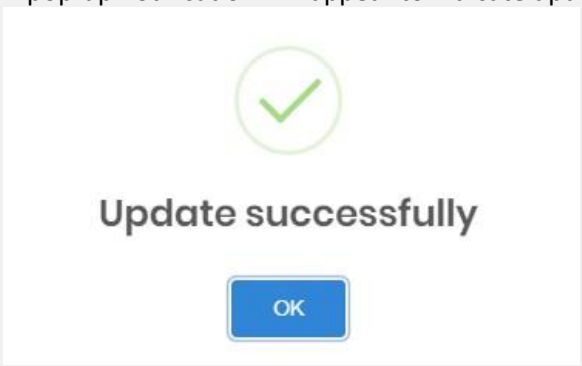
5	A pop-up notification will appear to indicate save is successful.

b) Sort Fund Manager

Step	Action
1	To sort the data, double-click on the column header 

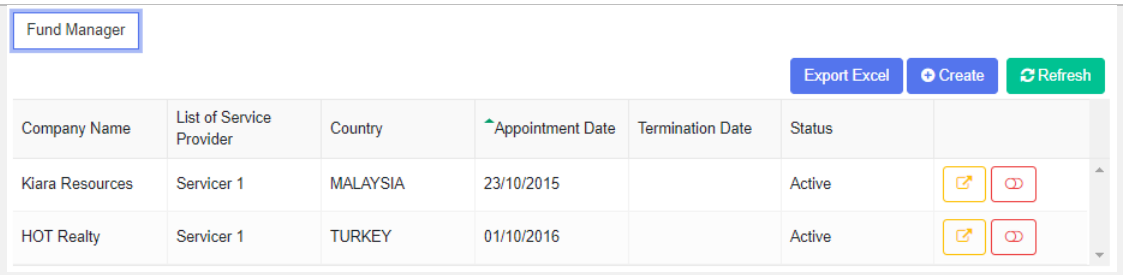
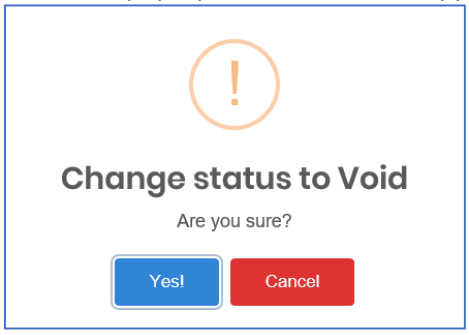
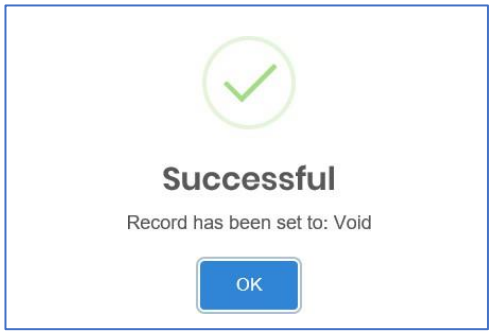
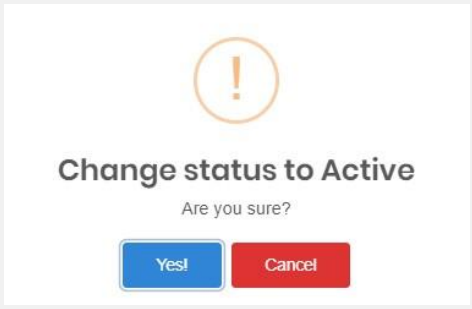
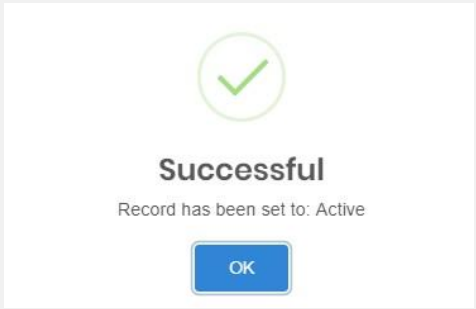
c) Edit Fund Manager

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. 

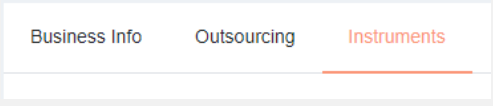
d) Set Void/Unvoid

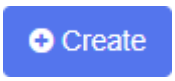
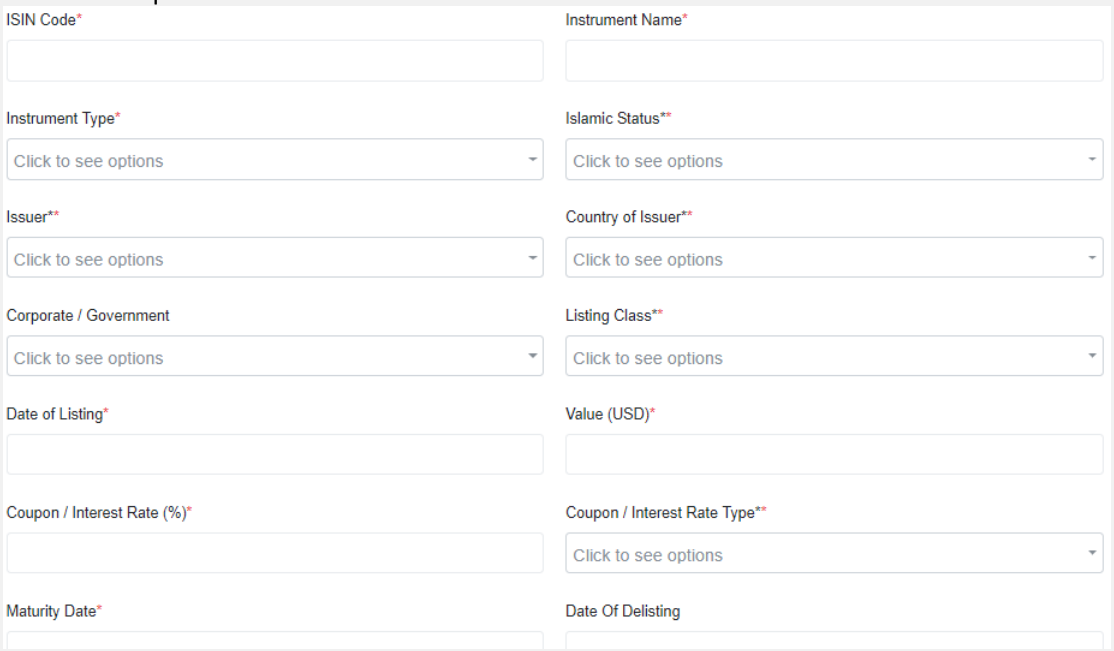
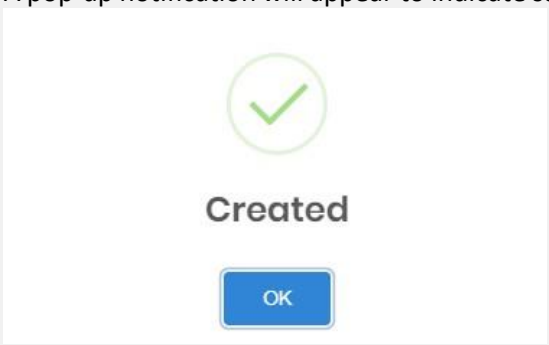
Step	Action
1	Select the desired row from and click Void/Unvoid icon.

	
2	To 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.  

4.1.9 Instruments

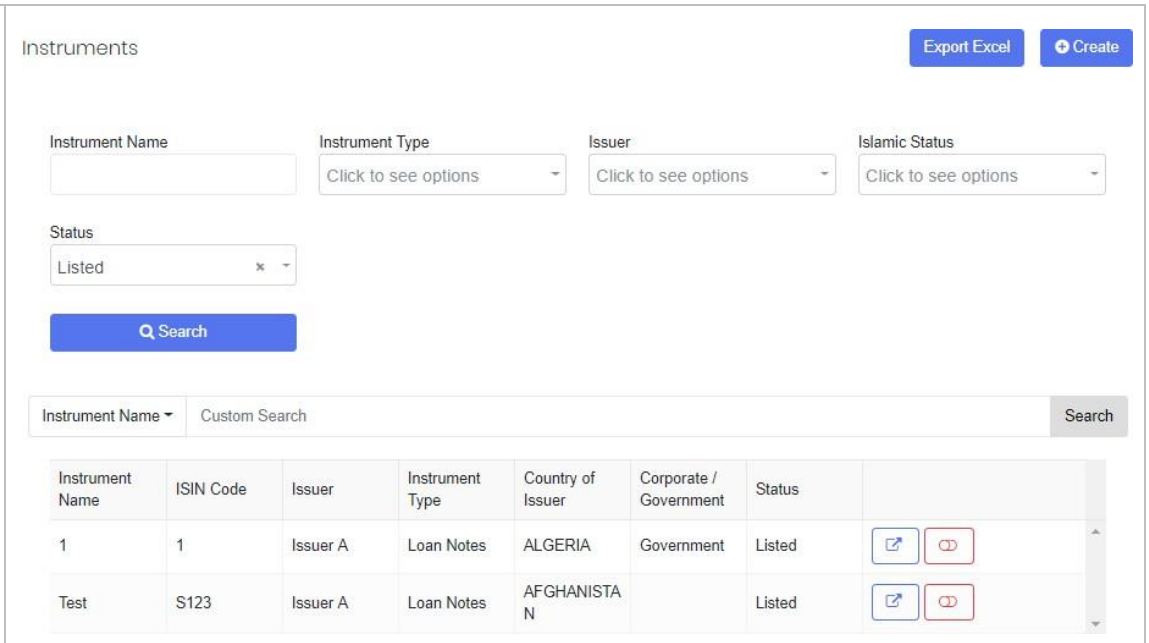
a) How to Create an Instrument

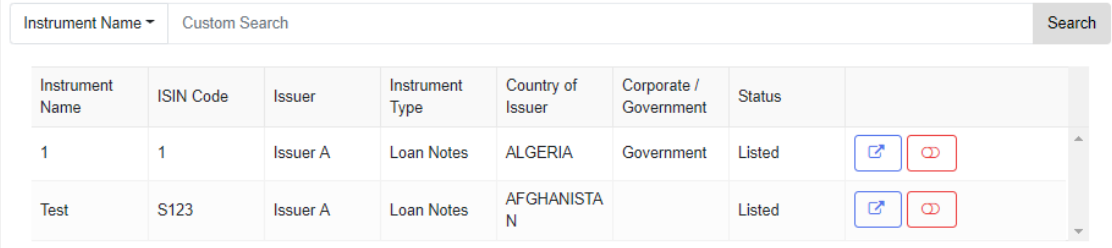
Steps	Action
1	In the menu click RE Profile and select Instrument 
2	Click the Create button on the left

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

b) Search/Filter Instrument

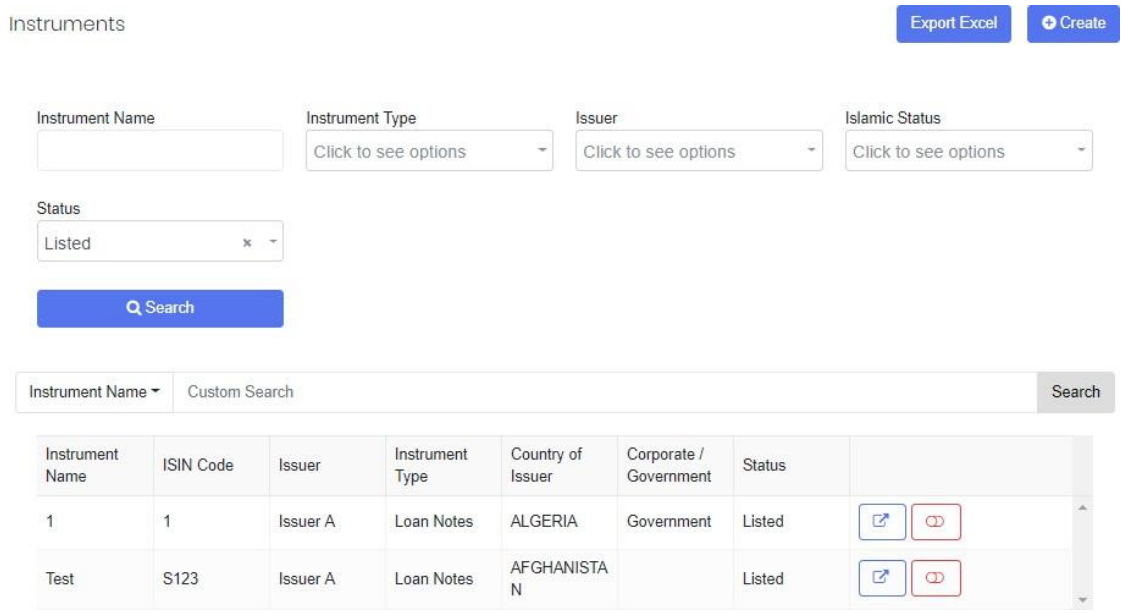
1	Filter the fields according to free text field or dropdown items and click Search button

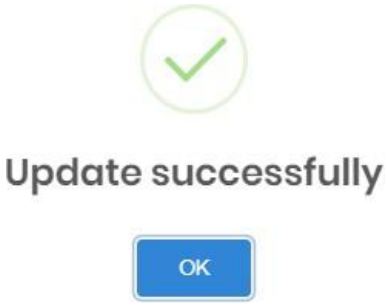


2	User may also user Custom Search field at the list. Select the search criteria and enter the text, click Search to retrieve the results. 

c) Edit Instrument

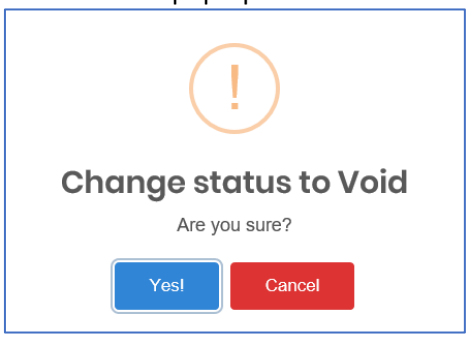
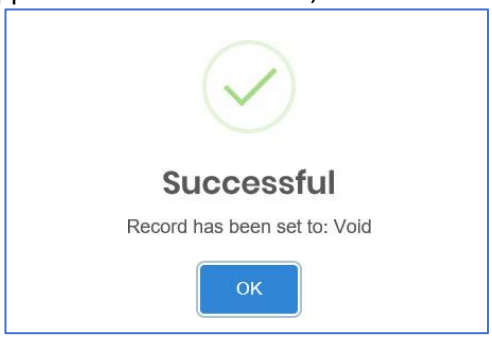
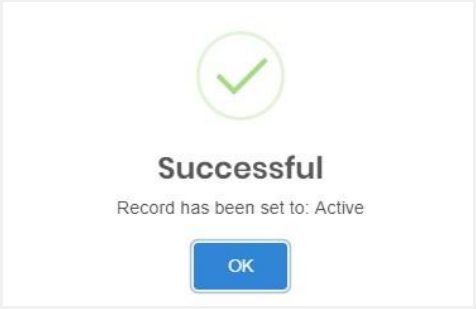
1	Select the desired record and click View, it will flow to the next page.

	
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

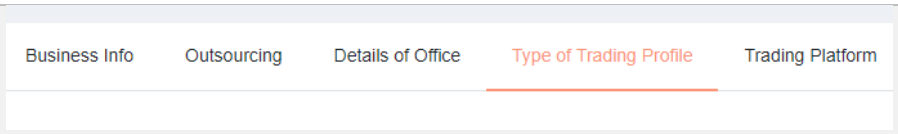
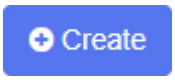
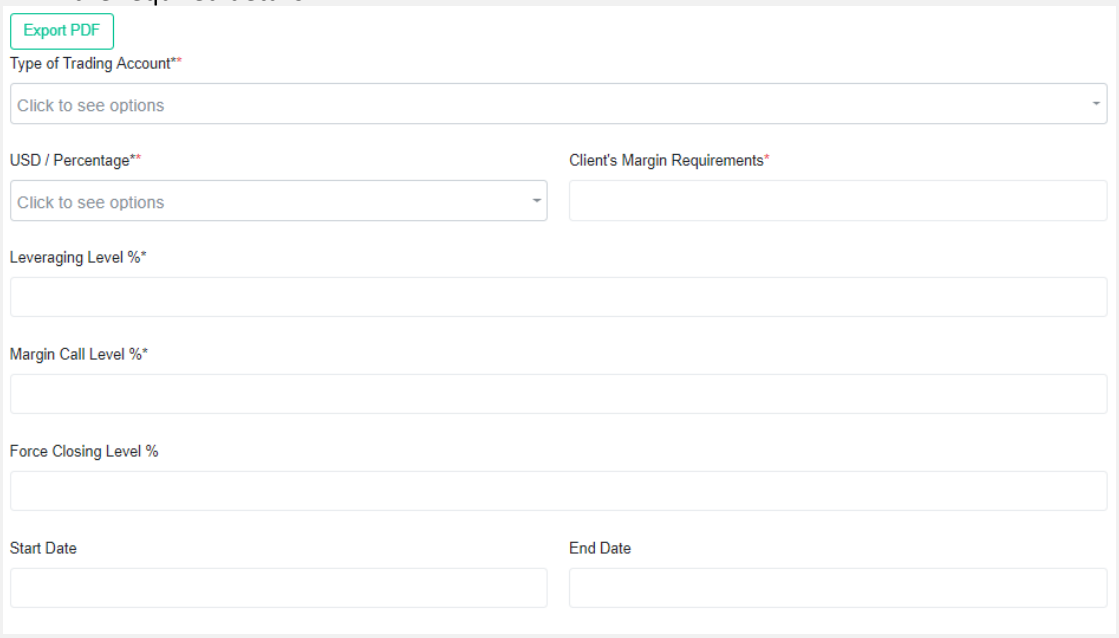
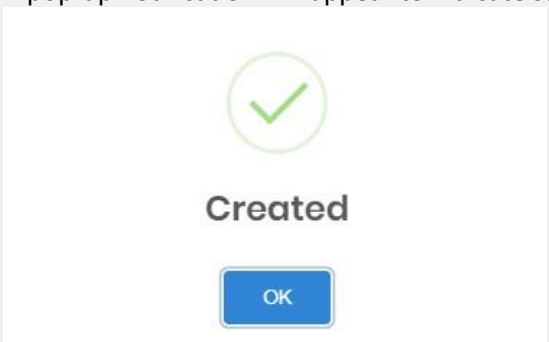
Step	Action
1	Select the desired row and click Void/Unvoid icon.

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. 

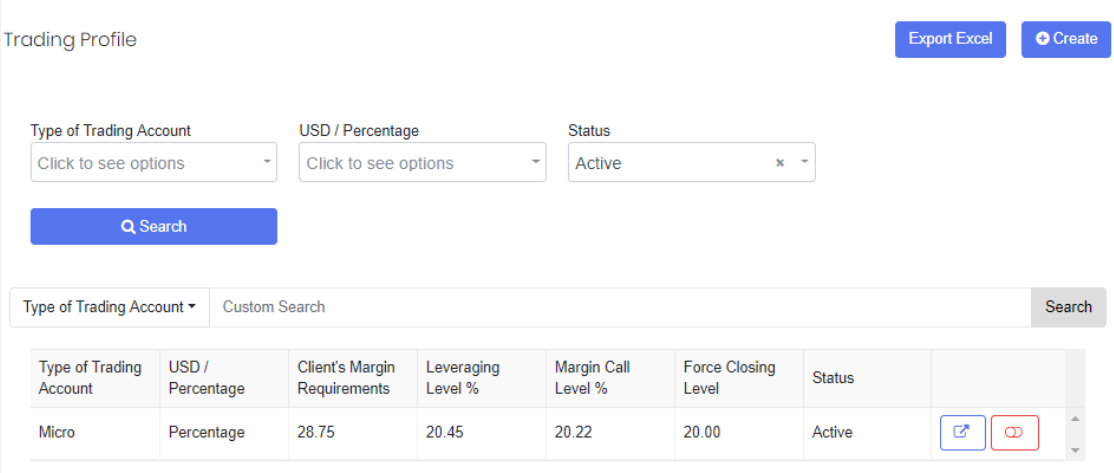
4.1.10 Type of Trading Profile

a) How to Create Type of Trading Profile

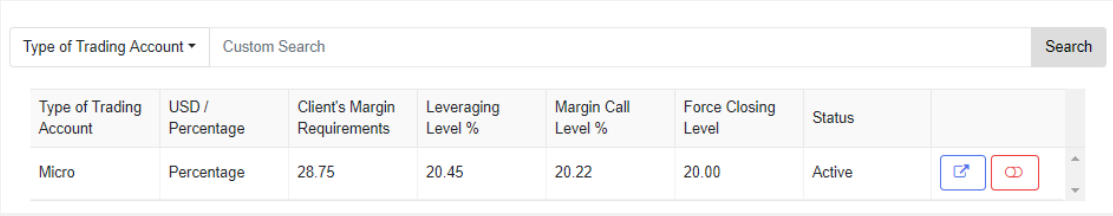
Steps	Action
1	Go to RE Profile menu and select Type of Trading Profile tab

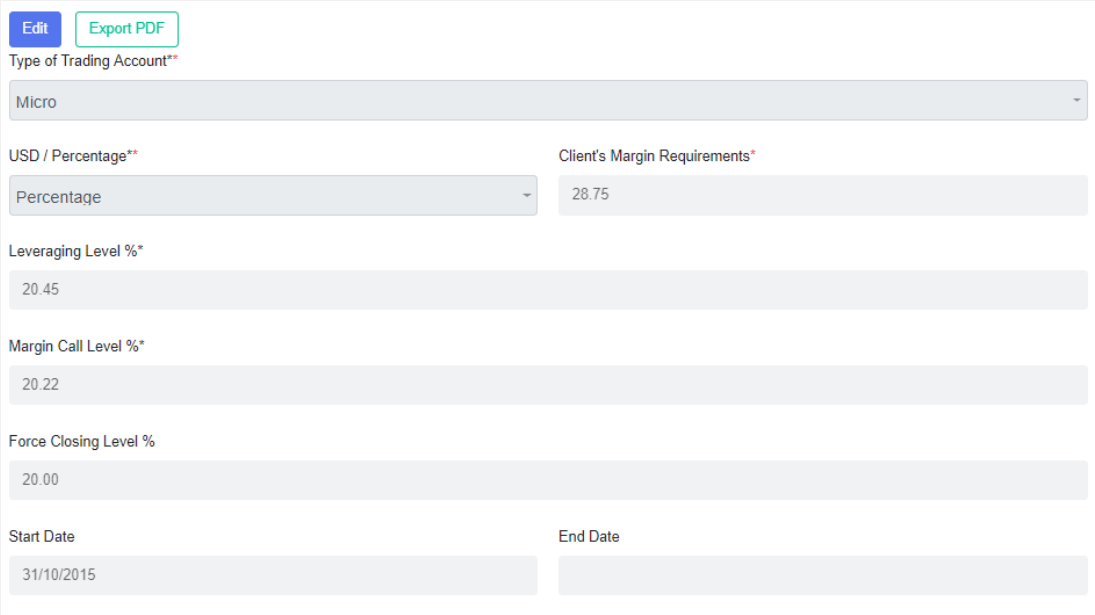
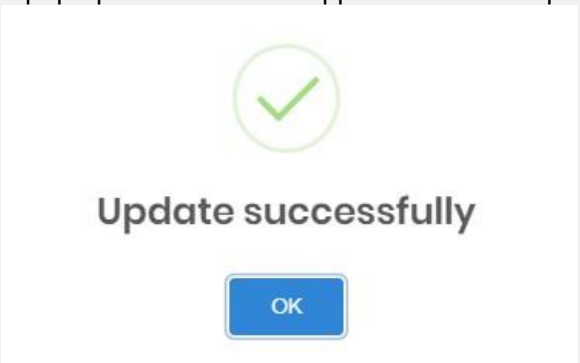
	
2	Click the Create button on the left 
3	Fill in the required details 
4	Click the Save button
5	A pop-up notification will appear to indicate save is successful. 

b) Search/Filter Type of Trading Profile

Step	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.

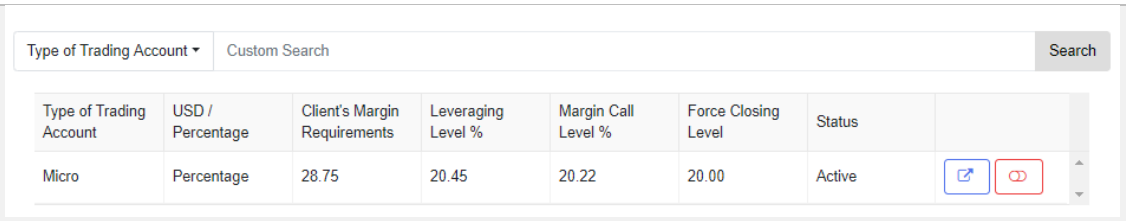
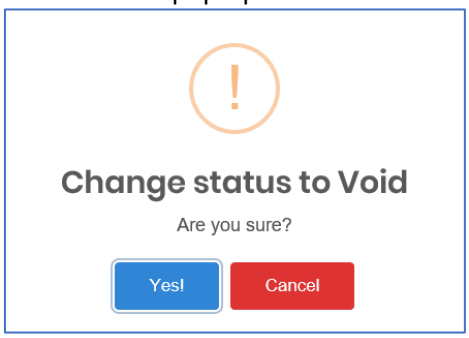
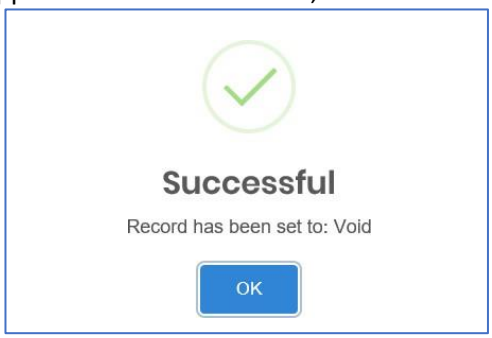
c) Edit Type of Trading Profile

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. 

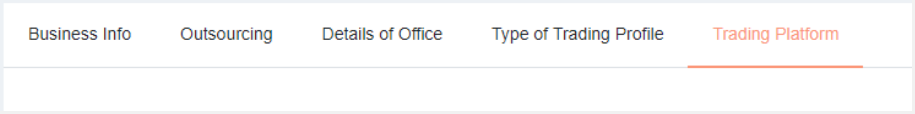
d) Set Void/Unvoid

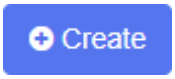
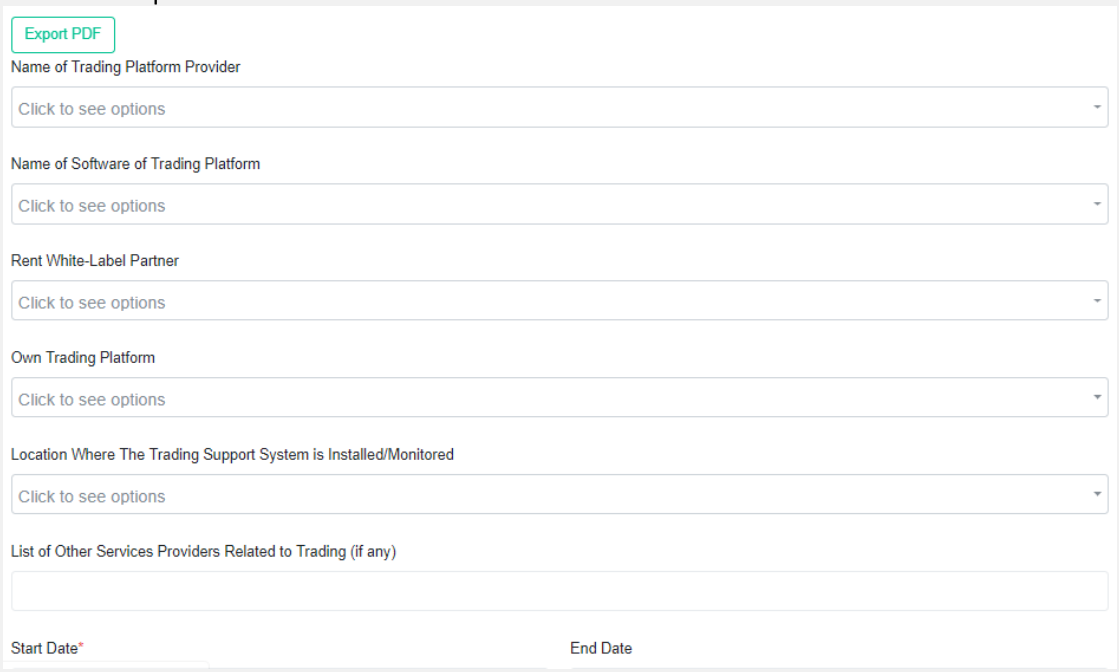
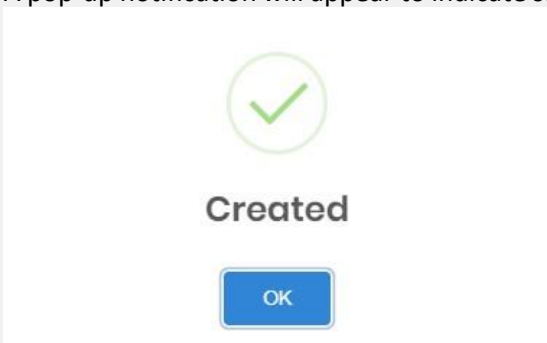
Step	Action
1	Select the desired row and click Void/Unvoid icon.

	
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.

4.1.11 Trading Platform

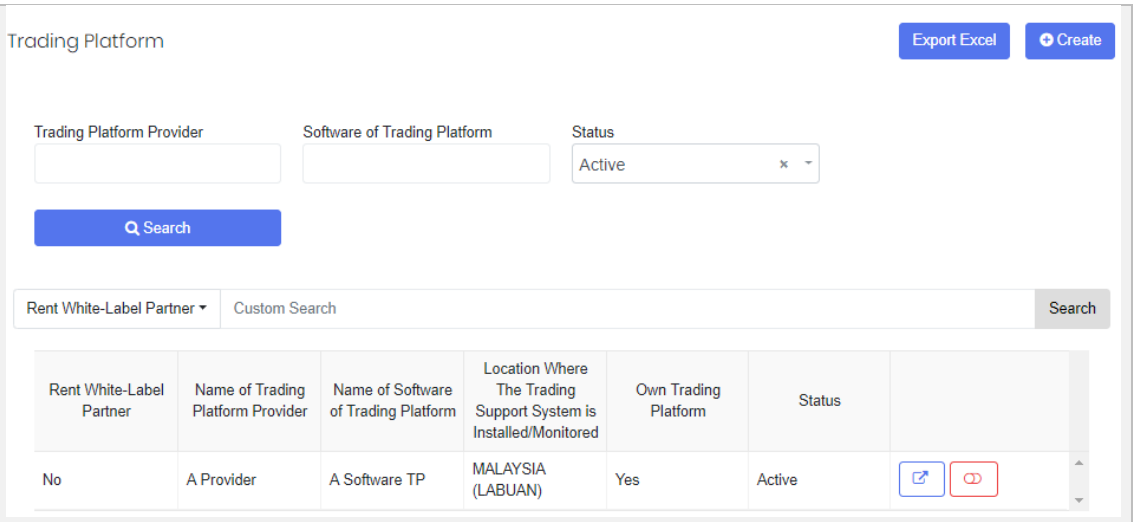
a) How to Create Trading Platform

Steps	Action
1	Go to RE Profile menu and select Trading Platform tab 
2	Click the Create button on the left

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

b) Search/Filter Trading Platform

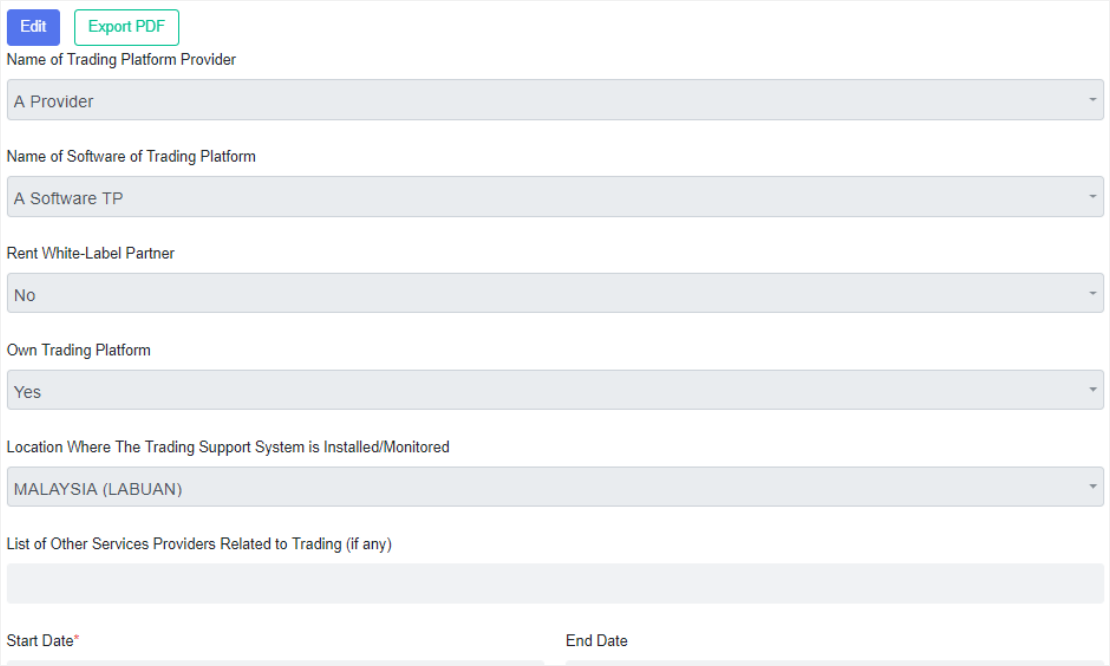
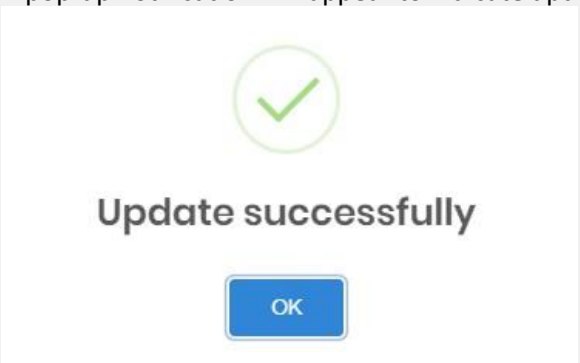
Step	**Action**
1	Filter the fields according to free text field or dropdown items and click Search button



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.

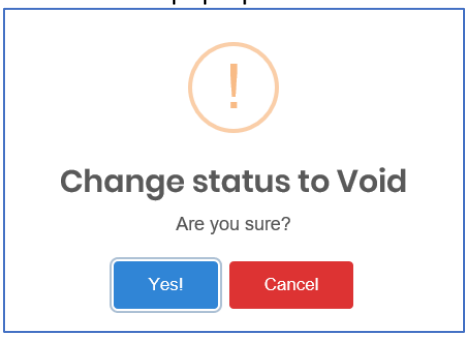
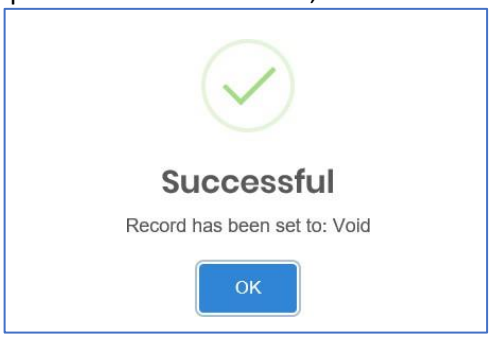
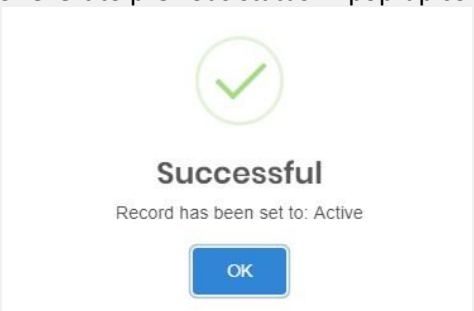
c) Edit Trading Platform

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. 

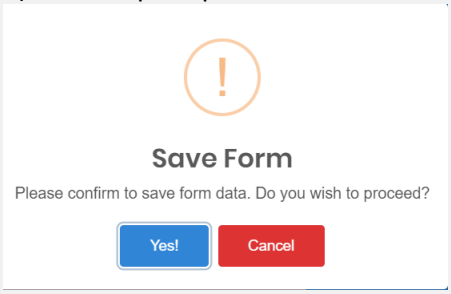
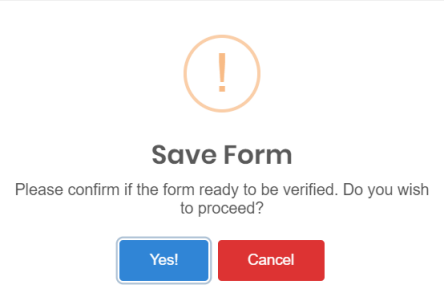
5 Submission and Forms

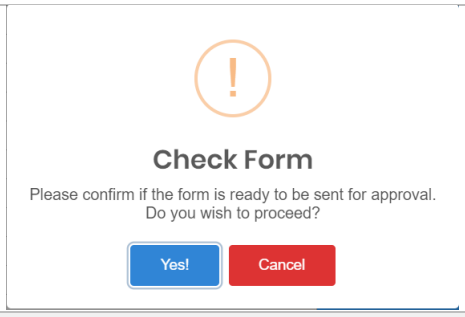
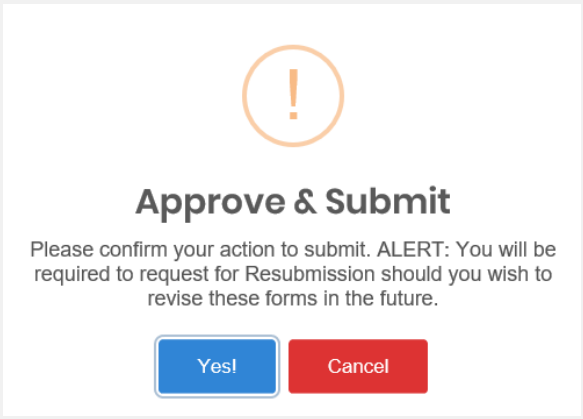
5.1 Objective

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 is derived from sub form data. Cell is not editable

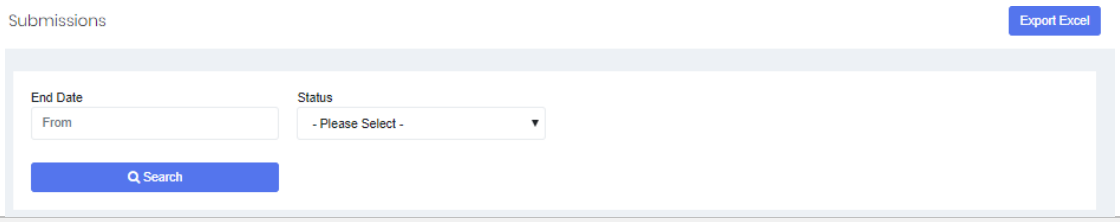
Red	Cell has invalid data upon click 'Save' or 'Check' button. Cell data must be corrected in order to save the form.

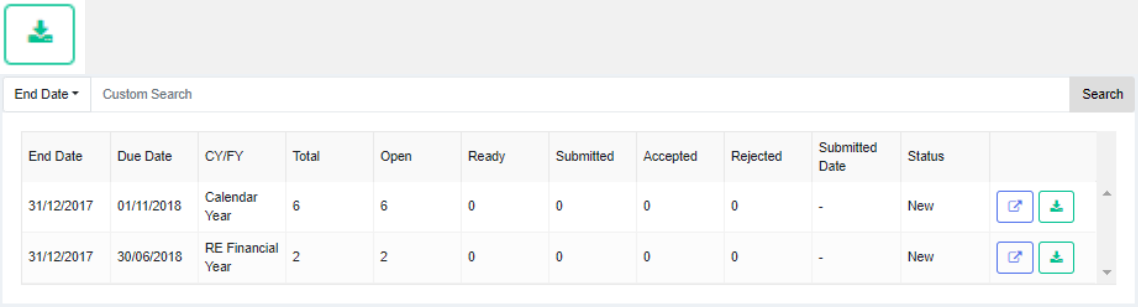
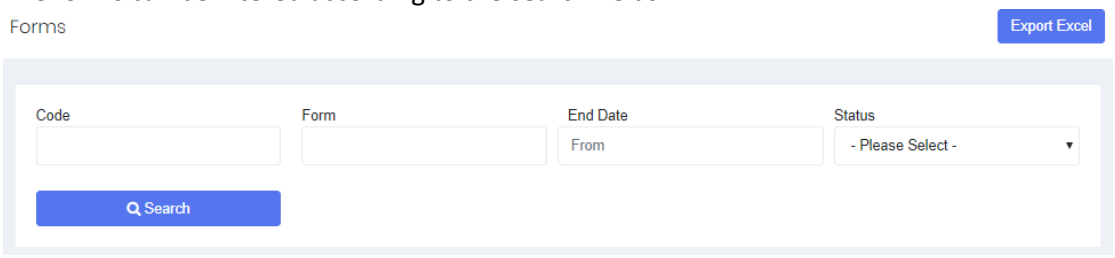
5.1.3 Item Dropdowns

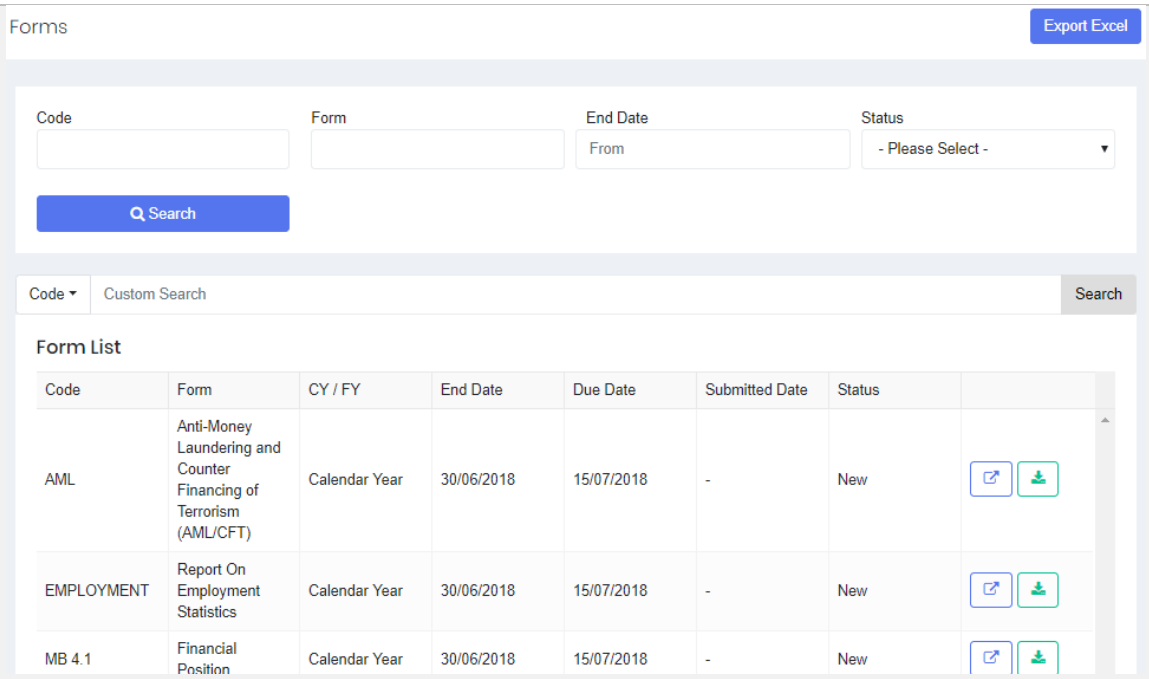
The SMS forms are furnished with two types of dropdowns as below:

Type	Description	Button
Master List Dropdown	The general dropdowns used across multiple sectors. To add items in the dropdown, user must request to Labuan FSA 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 add items to RE dropdown in the forms. This is covered in Section 10.2	Add RE List Value

5.1.4 Submissions

Step	Action
1	Go to Manage Submission menu, then select Submissions.
2	Select a month at the End Date calendar. Select a status from the Status dropdown. 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

5.1.5 Excel Import

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

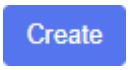
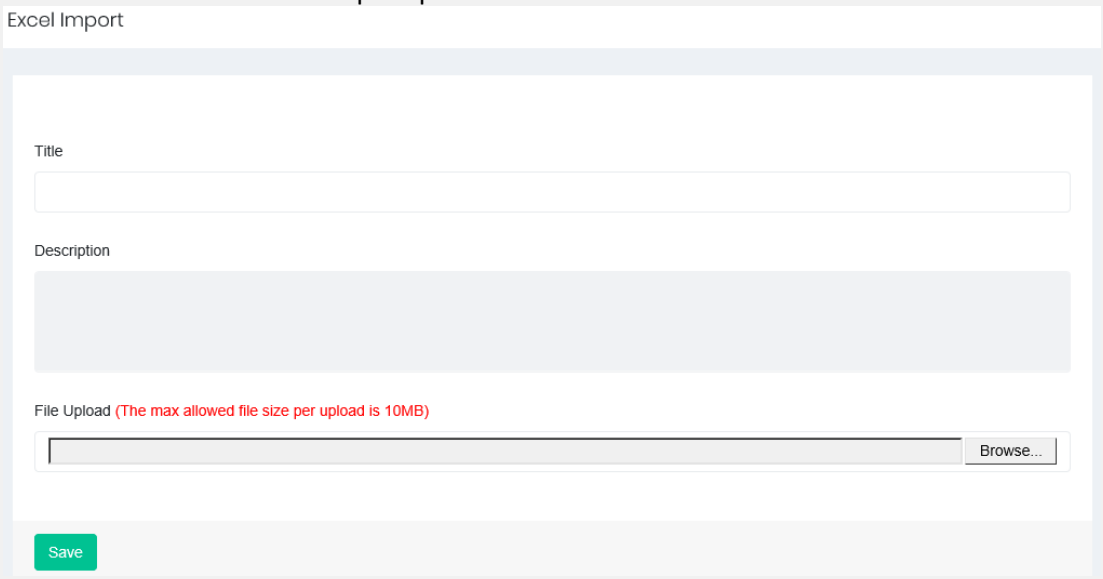
Excel Import task can only be performed for New or Open form status, otherwise it will result in error.

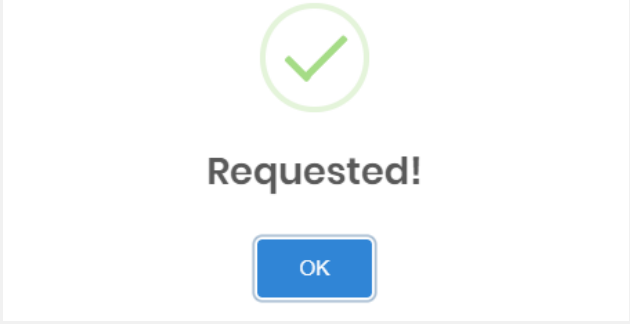
The Status for Excel Import results are described below:

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

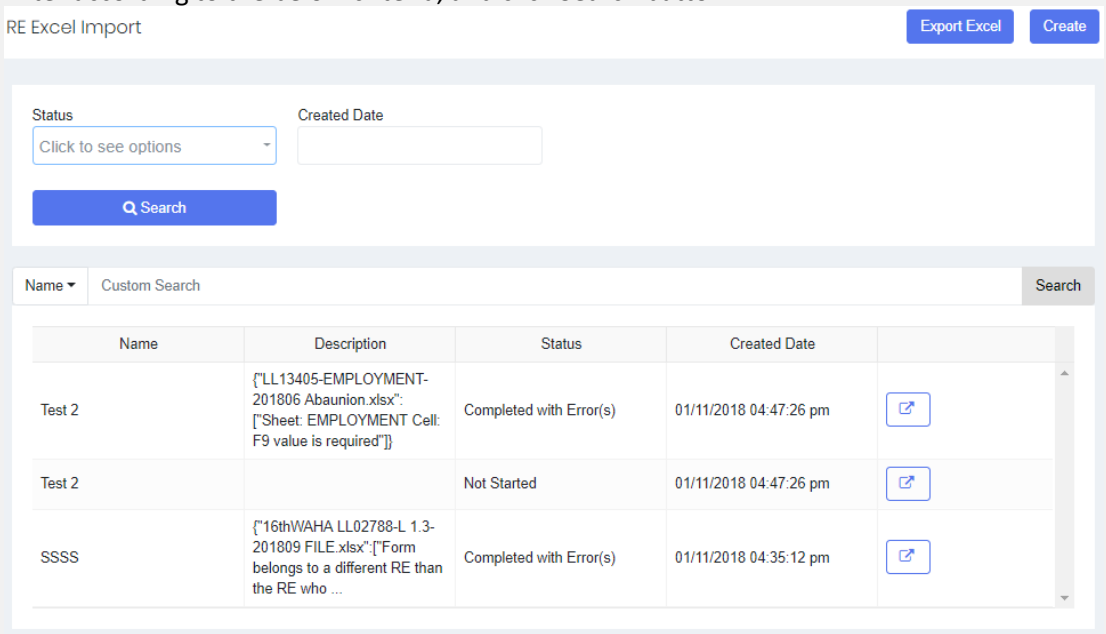
Aborted	The file processing is aborted due to invalid file format or invalid parameters.

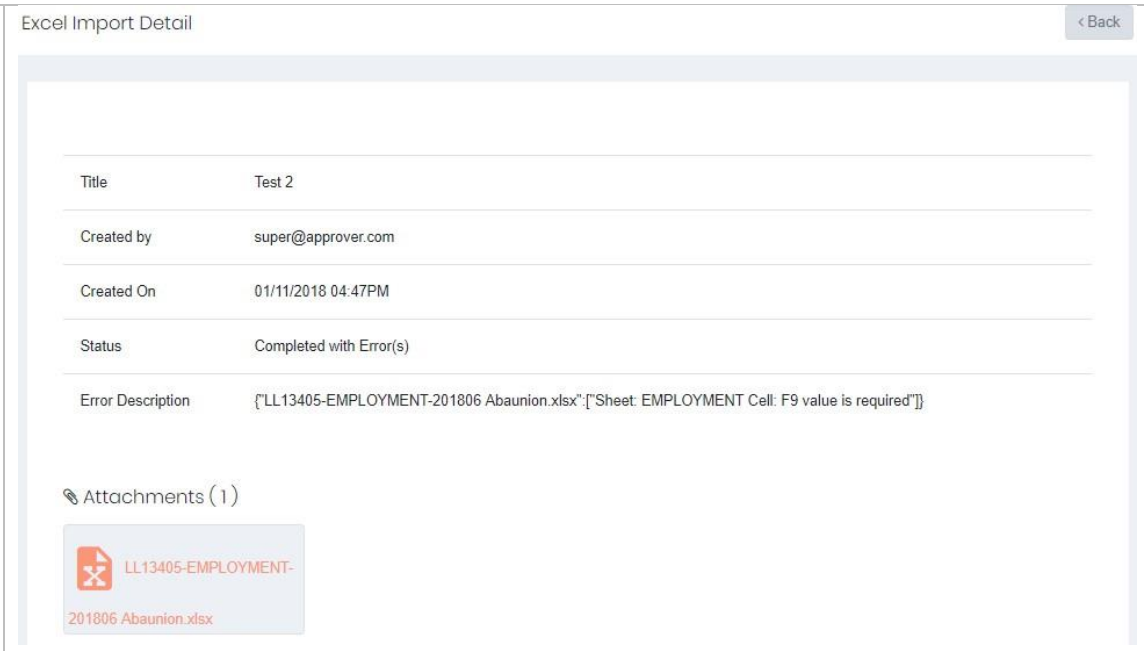
a) How to Use Import

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.

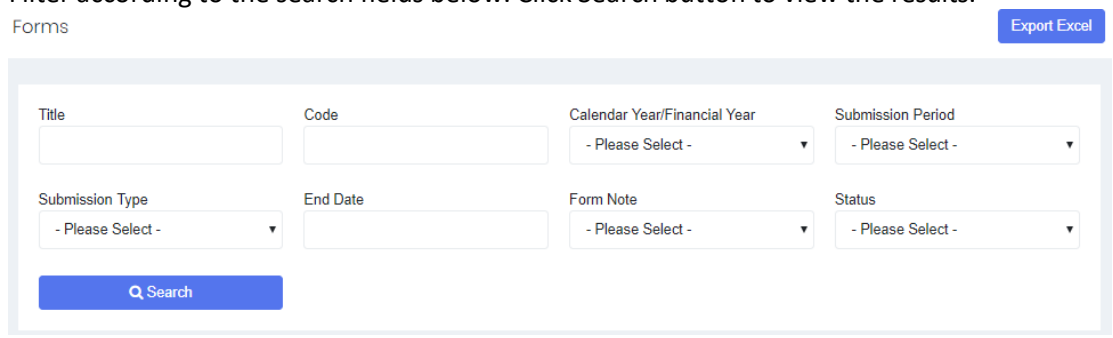


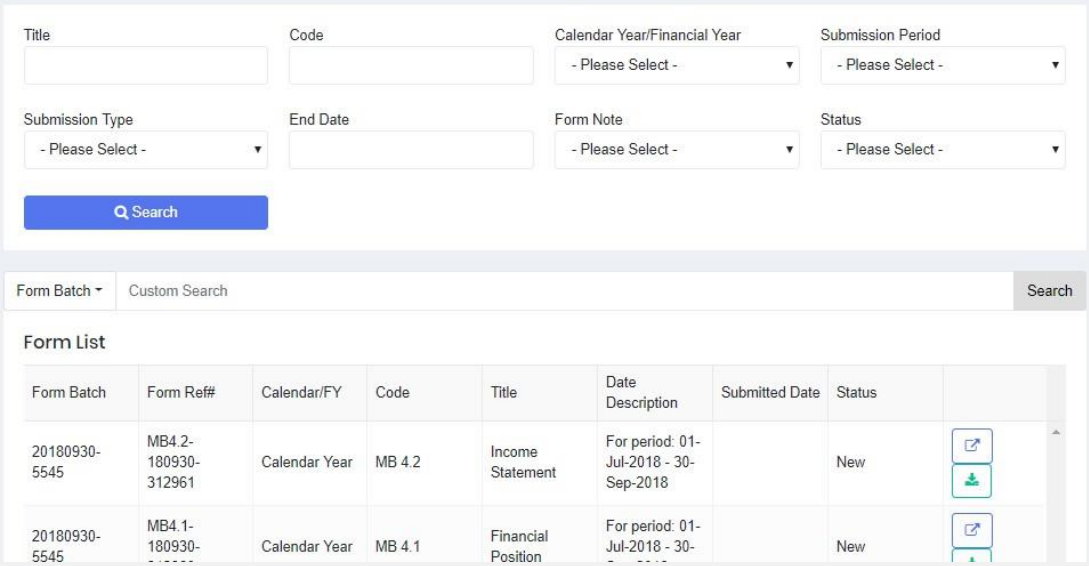
b) Search/View Import task

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.

5.1.6 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

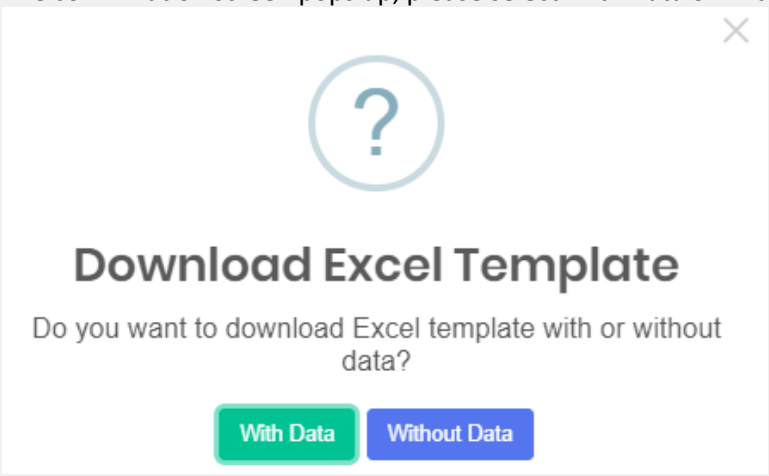
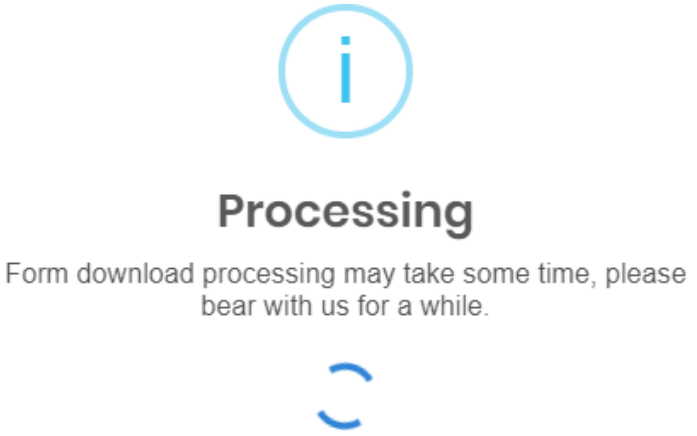
	 The Download Form icon allows user to download the particular form in one click.
4	Select the desired form and click View – this will flow to the Submission form which is covered in section 5.2 and 5.3

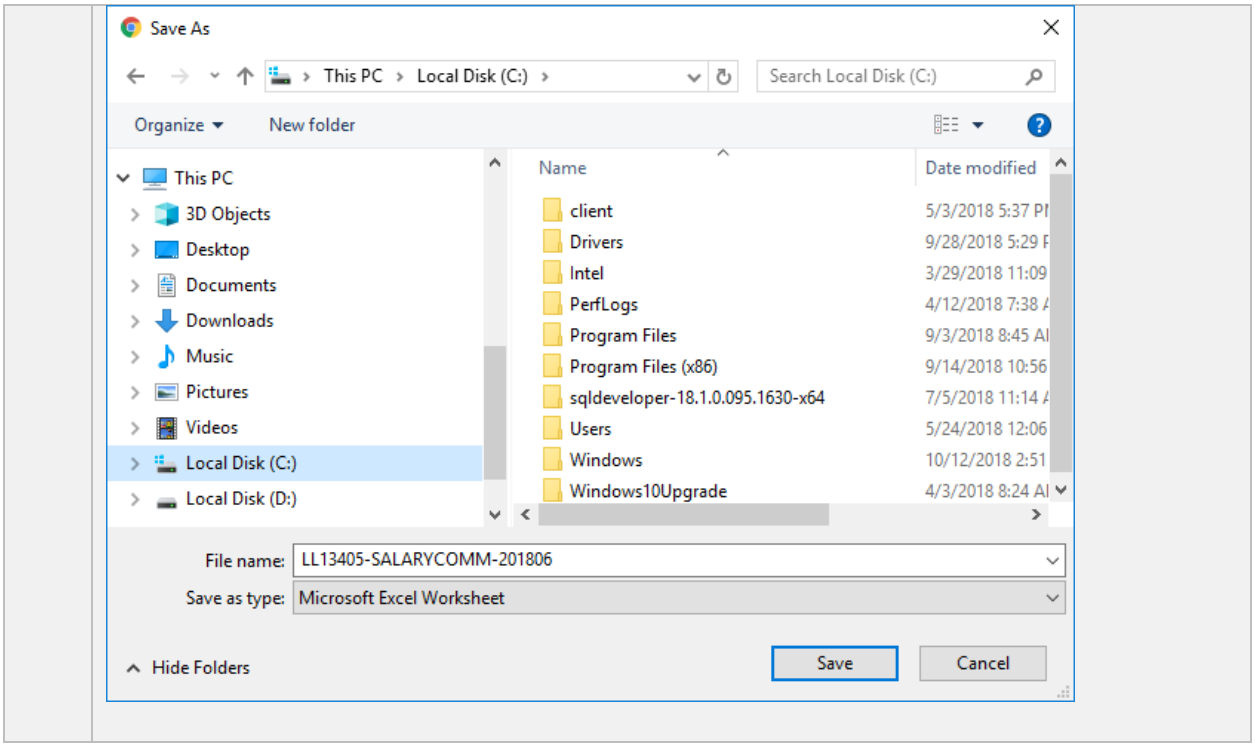
5.1.6.1 Download Excel

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. 
4	The download processing screen pops up to show the download is in progress. 
5	Once the file/s are ready for download, user will be prompted to save the file/s



5.2 Universal Forms

Universal forms are generally applicable to all Sectors.

5.2.1 Anti-Money Laundering (AML)

This form is not applicable to all sectors.

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

AML

Anti-money laundering and counter financing of terrorism (AML/CFT)

	Total
Number of customers from higher risk countries based on FATF classification	2
Number of customers from higher risk countries if any, based on FI own classification	2
Number of foreign PEPs	2
Number of domestic PEP and PEPFIO	2
Number of High Net worth customers	3
Number of NPOs customers	2
Total of Inward International Fund Transfers (USD)	2
Total of Outward International Fund Transfers (USD)	3
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	

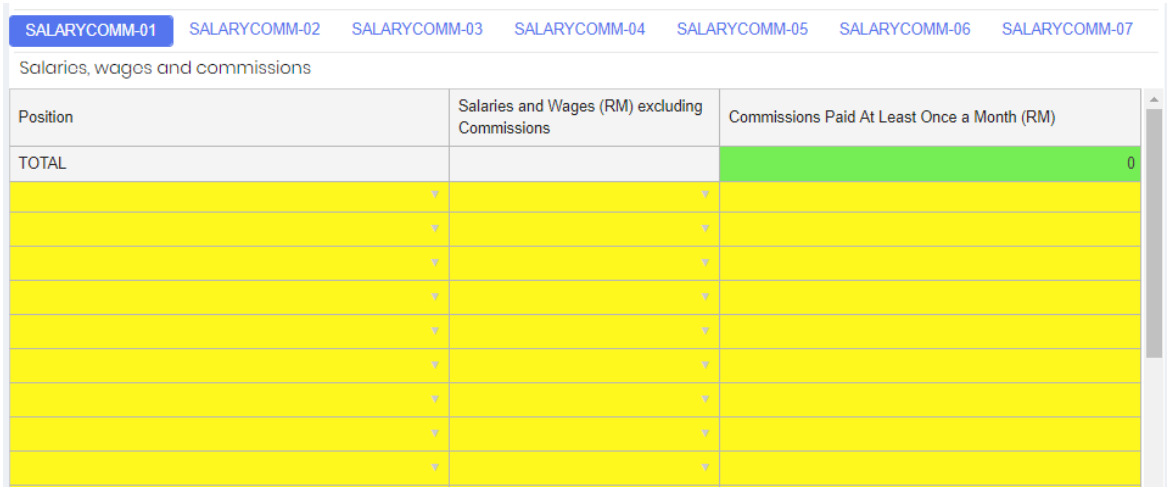
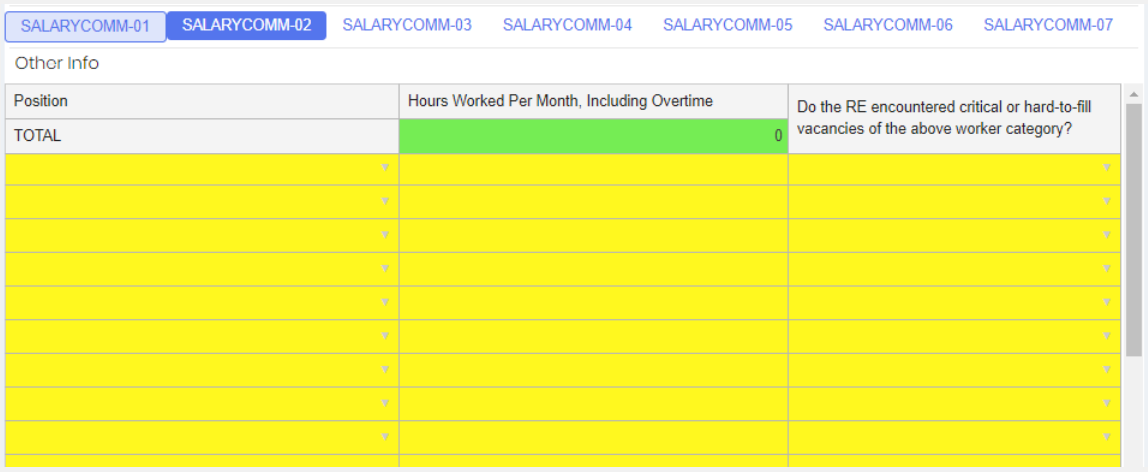
5.2.2 Employment

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

5.2.3 Salary and Vacancy Related Info

This is a **confidential** form that may only be filled by Approver role. User who does not belong to Approver role may not access the form.

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Salary and Vacancy Related Info form. Click View icon.

2	The main form is SALARYCOMM-01. All fields are mandatory Fill in the main form below 
3	Sub form SALARYCOMM-02 
4	Sub form SALARYCOMM-03

SALARYCOMM-01 | SALARYCOMM-02 | **SALARYCOMM-03** | SALARYCOMM-04 | SALARYCOMM-05 | SALARYCOMM-06 | SALARYCOMM-07

Vacancies

Position	Total Number of Job Vacancies on the last business day of the month	Number of Job Vacancies due to New Jobs Created	
		Total Number of Employee Count	Minimum basic starting salaries (RM)
TOTAL	0	0	0

5 Sub form SALARYCOMM-04

Turnover

Position	New Hires and Recalls for the entire month (Employee Count)	Separations (Employee	
		Quits and Resignations (except retirements)	Total Layoffs and Discharges
TOTAL	0	0	0

6 Sub form SALARYCOMM-05

Expectations 1

Item	Response
Expected New Jobs to be Created in the coming 3 to 6 months	
Expected Layoffs & Discharges in the coming 3 to 6 months	

7 Sub form SALARYCOMM-06

SALARYCOMM-01 | SALARYCOMM-02 | SALARYCOMM-03 | SALARYCOMM-04 | SALARYCOMM-05 | **SALARYCOMM-06** | SALARYCOMM-07

Expectations 2

for June and December Reporting Period only: Expected New Jobs to be Created by Position	Number of Jobs
TOTAL	0

8 Sub form SALARYCOMM-07

SALARYCOMM-01 | SALARYCOMM-02 | SALARYCOMM-03 | SALARYCOMM-04 | SALARYCOMM-05 | SALARYCOMM-06 | **SALARYCOMM-07**

Salaries, wages and commissions

Last employee business activity involvement for newly recruit for the last 6 months.

5.3 Financial Statement and Industry-Specific Forms

5.3.1 Labuan Trust Company

Form Code	Form Title	Type	Frequency	Compulsory to fill?
LTC 1.1	**Financial Position**		Half yearly	
LTC 1.1-01	Financial Position	Main form		Yes
LTC 1.1-02	Other investments	Sub form		
LTC 1.1-03	Other fixed assets	Sub form		
LTC 1.1-04	Due from directors/shareholders	Sub form		
LTC 1.1-05	Due from related parties	Sub form		
LTC 1.1-06	Trade receivables & payables - ageing schedule	Sub form		
LTC 1.1-07	Other receivables	Sub form		
LTC 1.1-08	Other assets	Sub form		
LTC 1.1-09	Other fixed liabilities	Sub form		
LTC 1.1-10	Due from directors/shareholders	Sub form		
LTC 1.1-11	Due to related parties	Sub form		
LTC 1.1-12	Funds held in trust for clients	Sub form		
LTC 1.1-13	Other payables, advances and accruals	Sub form		
LTC 1.1-14	Other liabilities	Sub form		
LTC 1.2	**Income statement**		Half yearly	
LTC 1.2-01	Income statement	Main form		Yes

LTC 1.2-02	Revenue	Sub form		Yes
LTC 1.2-03	Other expenses	Sub form		
LTC 1.2-04	Other income	Sub form		
LTC 1.3	**Nominee Activities by Labuan Trust Companies**		Half yearly	
LTC 1.3-01	Nominee Activities by Labuan Trust Companies	Main form		
LTC 1.3-02	Number of non-Labuan companies administered	Sub form		
LTC 1.4	**Complaints**	Main form	Half yearly	
LTC 1.5	**Labuan Trust**		Half yearly	
LTC 1.5-01	Trust Profile	Main form		Yes
LTC 1.5-02	Assets under management	Sub form		
LTC 1.6	**Training Attended by Trust Officer**	Main form	Half yearly	Yes

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 LTC forms. Click View icon.
2	The main form is LTC 1.1-01. All fields are mandatory The numbers must be equal or greater than zero Fill in the main form below

LTC 1.1-01 | LTC 1.1-02 | LTC 1.1-03 | LTC 1.1-04 | LTC 1.1-05 | LTC 1.1-06 | LTC 1.1-07 | LTC 1.1-08 | LTC 1.1-09 | LTC 1.1-10 | LTC 1.1-11 | LTC 1.1-12 | LTC 1.1-13 | LTC 1.1-14

Financial position

ASSETS	USD
Non-current Assets	0
Property, plant and equipment	
Investments	0
Corporate/Debt securities	
Other Investments	0
Investment in subsidiary/associate	
Other fixed assets	0
Current Assets	0

3 Main form LTC 1.2-01

LTC 1.2-01 | LTC 1.2-02 | LTC 1.2-03 | LTC 1.2-04

Income statement

	USD	Labuan	Malaysia	
Revenue	0			
Other income	0			
Total Income	0			
Staff costs	0			
Rental expenses	0			
Legal and professional services expenses	0			
Directors' remuneration	0			
Sales and marketing costs	0			

4 Main form LTC 1.3-01

LTC 1.3-01 | LTC 1.3-02

Number of companies that the trust company acting as nominee

	Labuan Trust Company	Corporation wholly owned by Labuan Trust Company	Officer of Labuan Trust Company
Labuan companies	0	0	0
Director			
Shareholder			
Non-Labuan companies	0	0	0
Director			
Shareholder			

5 Main form LTC 1.4

LTC 1.4

Type of complaints	Complainant	Status	Number

6 Main form LTC 1.5-01

LTC 1.5-01 LTC 1.5-02

Trust profile

				Applicable to registered trust	
Type of trust	Registration status	Private/Corporate	Nature	Original currency	Type c

7 Main form LTC 1.6

LTC 1.6

Details of training

Name of the approved Trust Officer	Title of training attended	Training date	No. of training days	CPD hours
Total				0

5.3.2 Labuan Trust Company/Foundation

Form Code	Form Title	Type	Frequency	Compulsory to fill?
LF Charitable	Charitable Foundation	Main form	Quarterly	Yes
LF Non Charitable	Non Charitable Foundation	Sub form	Quarterly	Yes
LF Operational			Yearly	
LF Operational-01	Details of Approved Representative Office (If any)	Main form		
LF Operational-02	Other services providers	Sub 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 LF forms. Click View icon.
2	Fill in the form below – main form LF Charitable
3	Fill in the form below – main form LF Non Charitable

LF Non-Charitable

Country Origin of Founder (s)	Nature of Labuan Foundation	Source	Date of Endowment		Country Origi Contributor(s)
			Month	Year	

4 Fill in the form below – main form LF Operational-01

LF Operational-01 LF Operational-02

Details of approved representative office (if any)

Registration Number of LF	Location of Representative Office	Senior Management		M
		Malaysian	Non-Malaysian	Malaysian

5 Sub form LF Operational-02

LF Operational-01 LF Operational-02

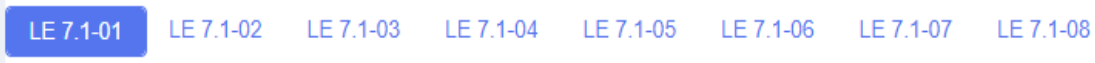
Other services providers

Registration Number of LF	Description	Location of Other Services Providers

5.3.3 Labuan Exchange

Form Code	Form Title	Type	Frequency	Compulsory to fill?
LE 7.1	**Financial Position**		Half yearly	
LE 7.1-01	Financial Position	Main form		Yes
LE 7.1-02	Other investments	Sub form		
LE 7.1-03	Other fixed assets	Sub form		
LE 7.1-04	Other receivables, deposits and pre-payments	Sub form		
LE 7.1-05	Other assets	Sub form		
LE 7.1-06	Other fixed liabilities	Sub form		
LE 7.1-07	Other payables, expenses & accruals	Sub form		
LE 7.2	**Income statement**		Half yearly	
LE 7.2-01	Income statement	Main form		Yes
LE 7.2-02	Other operating income	Sub form		
LE 7.2-03	Other income	Sub form		
LE 7.2-04	Other expenses	Sub form		
LE 7.3	**LE's trading information**	Main form	Half yearly	

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 LE forms. Click View icon.
2	Main form and sub form 
3	Fill in the form below – main form LE 7.1-01

Financial position

ASSETS	USD
Non-current Assets	0
Property, plant and equipment	
Investments	0
Corporate/ Debt securities	
Other investments	0
Investment in subsidiary/associate	
Other fixed assets	0
Current Assets	0
Cash and deposits	0
Fixed deposits/ Money market	
Cash and bank balances	

4 Sub form LE 7.1-02 Other investments

LE 7.1-01 | LE 7.1-02 | LE 7.1-03 | LE 7.1-04 | LE 7.1-05 | LE 7.1-06 | LE 7.1-07 | LE 7.1-08

Other investments — Main Form

List of other investments	USD
Total	

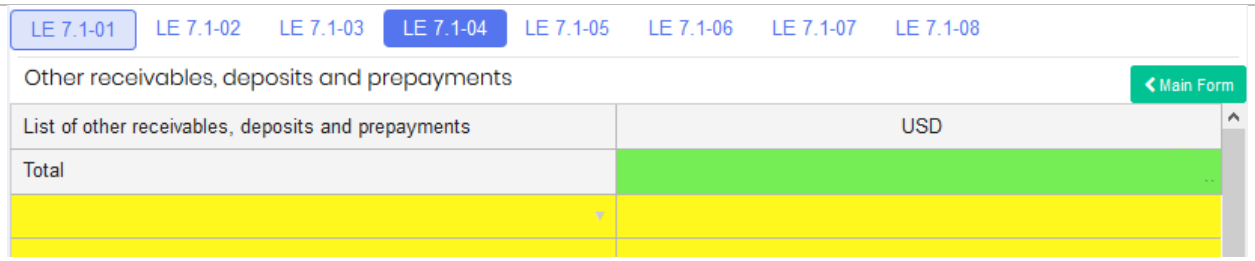
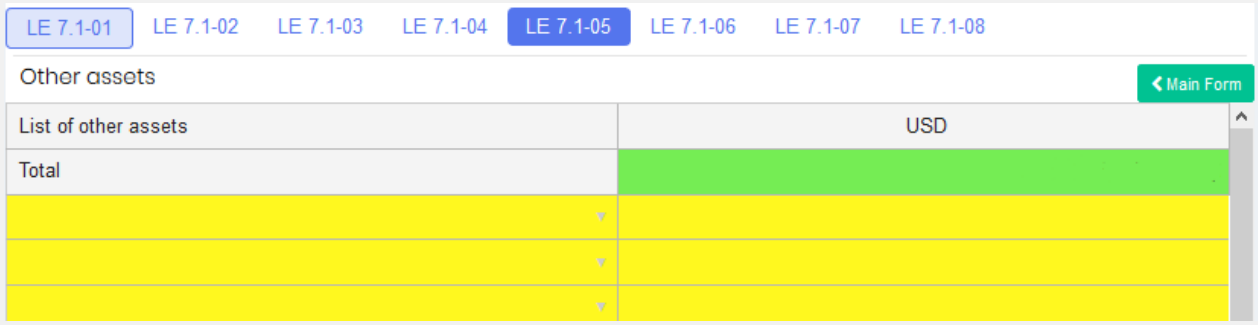
5 Sub form LE 7.1-03 Other fixed assets

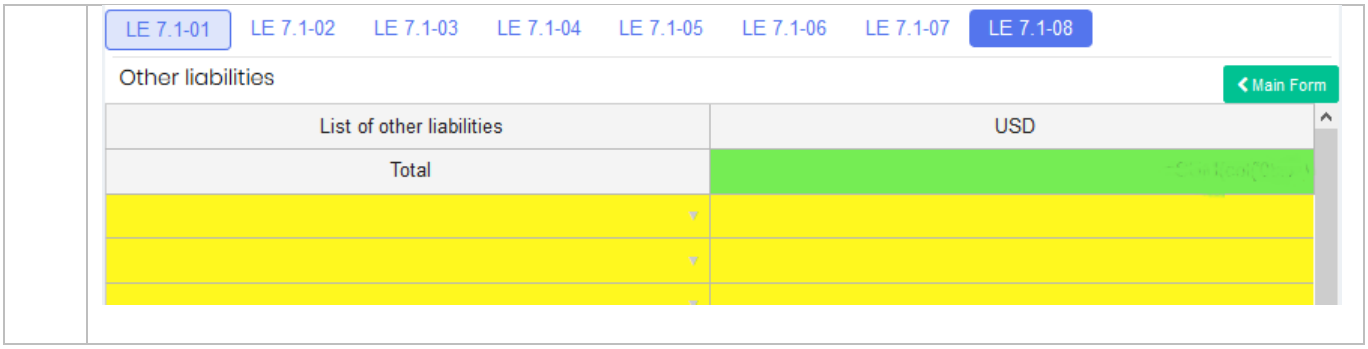
LE 7.1-01 | LE 7.1-02 | LE 7.1-03 | LE 7.1-04 | LE 7.1-05 | LE 7.1-06 | LE 7.1-07 | LE 7.1-08

Other fixed assets — Main Form

List of other fixed assets	USD
Total	

6 Sub form LE 7.1-04 Other receivables, deposits and prepayments

	
7	Sub form LE 7.1-05 Other assets 
8	Sub form LE 7.1-06 Other fixed liabilities
9	Sub form LE 7.1-07 Other payables, advances and accruals
10	Sub form LE 7.1-08 Other liabilities



5.3.4 Labuan International Commodity Trading Company

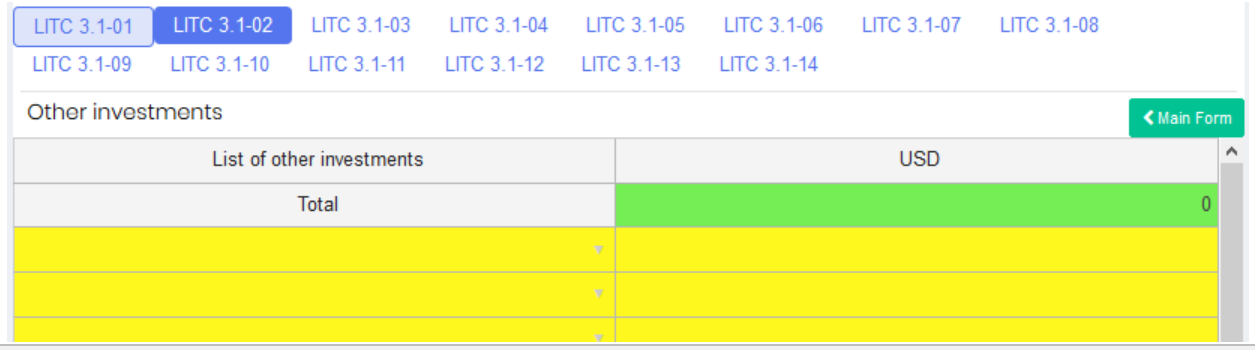
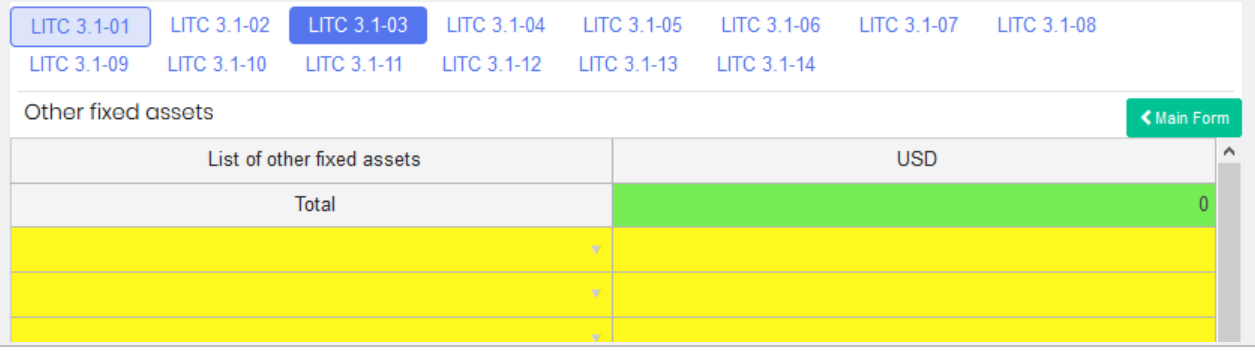
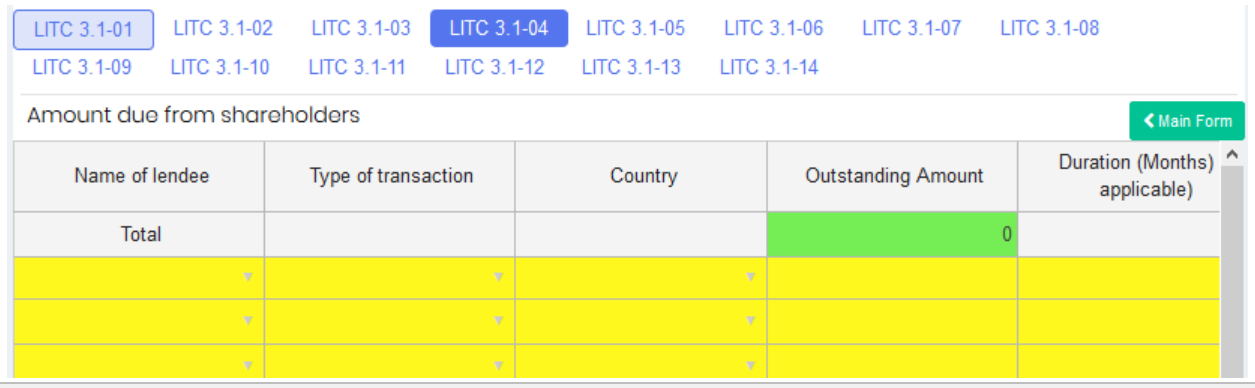
Form Code	Form Title	Type	Frequency	Compulsory to fill?
LITC 3.1	**Financial Position**		Half yearly	
LITC 3.1-01	Financial Position	Main form		Yes
LITC 3.1-02	Other investments	Sub form		
LITC 3.1-03	Other fixed assets	Sub form		
LITC 3.1-04	Amount due from shareholders	Sub form		
LITC 3.1-05	Amount due from related parties	Sub form		
LITC 3.1-06	Trade receivables - ageing schedule	Sub form		
LITC 3.1-07	Other receivables, deposits and prepayments	Sub form		
LITC 3.1-08	Other assets	Sub form		
LITC 3.1-09	Other fixed liabilities	Sub form		
LITC 3.1-10	Amount due to shareholders	Sub form		
LITC 3.1-11	Amount due to related parties	Sub form		
LITC 3.1-12	Trade payables - ageing schedule	Sub form		

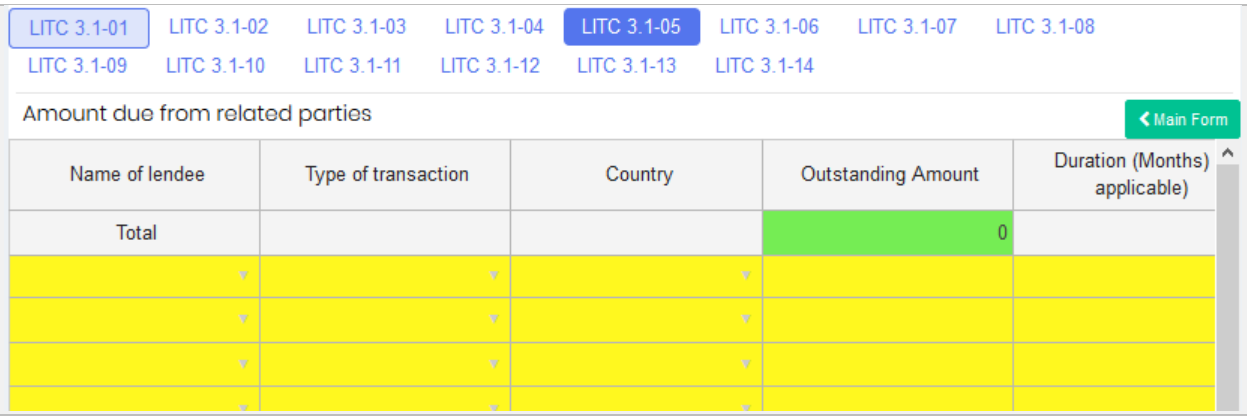
LITC 3.1-13	Other payables, advances and accruals	Sub form		
LITC 3.1-14	Other liabilities	Sub form		
LITC 3.2	**Income statement**		Half yearly	
LITC 3.2-01	Income statement	Main form		Yes
LITC 3.2-02	Other income	Sub form		
LITC 3.2-03	Other expenses	Sub form		
LITC 3.3	**Trading Activities**	Main form	Half yearly	Yes
LITC 3.4	**Financing Facilities**	Main form	Half yearly	

Follow the below steps to fill in the submission forms:

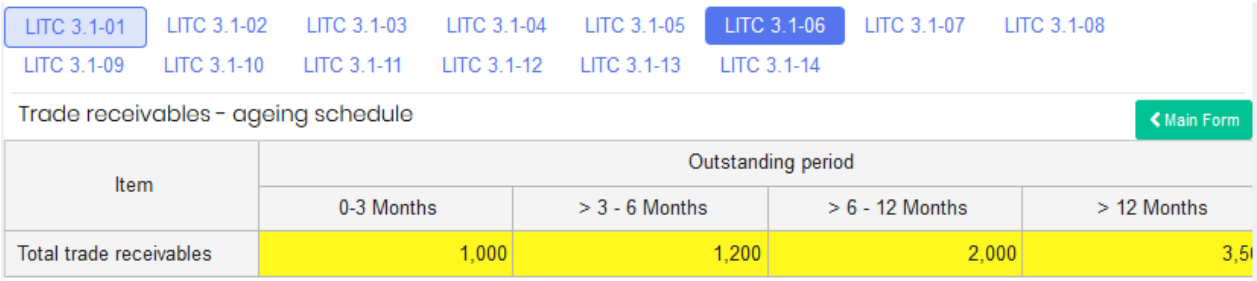
Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the LITC forms. Click View icon.
2	Main form and sub form LITC 3.1-01 LITC 3.1-02 LITC 3.1-03 LITC 3.1-04 LITC 3.1-05 LITC 3.1-06 LITC 3.1-07 LITC 3.1-08 LITC 3.1-09 LITC 3.1-10 LITC 3.1-11 LITC 3.1-12 LITC 3.1-13 LITC 3.1-14
3	Fill in the form below – Main form LITC 3.1-01 Financial Position Financial position

ASSETS	USD
Non-current Assets	0
Property, plant and equipment	
Investments	0
Corporate/Debt securities	
Other investments	0
Investment in subsidiary/associate	
Other fixed assets	0
Current Assets	0
Deposits, cash and bank balances	
Amount due from related parties	0
Directors/Shareholders	0
Related parties	0

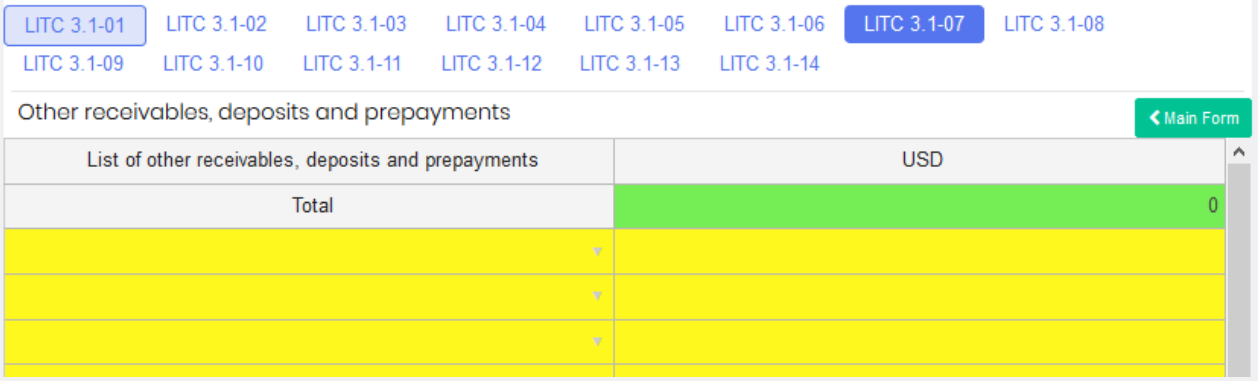
3	Sub form LITC 3.1-02 
4	Sub form LITC 3.1-03 
5	Sub form LITC 3.1-04 
6	Sub form LITC 3.1-05



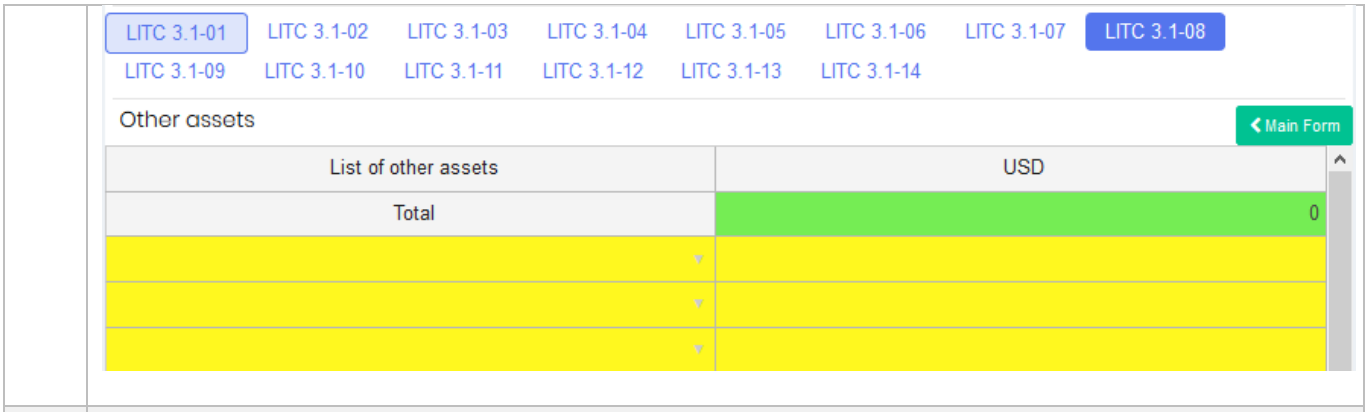
7 Sub form LITC 3.1-06



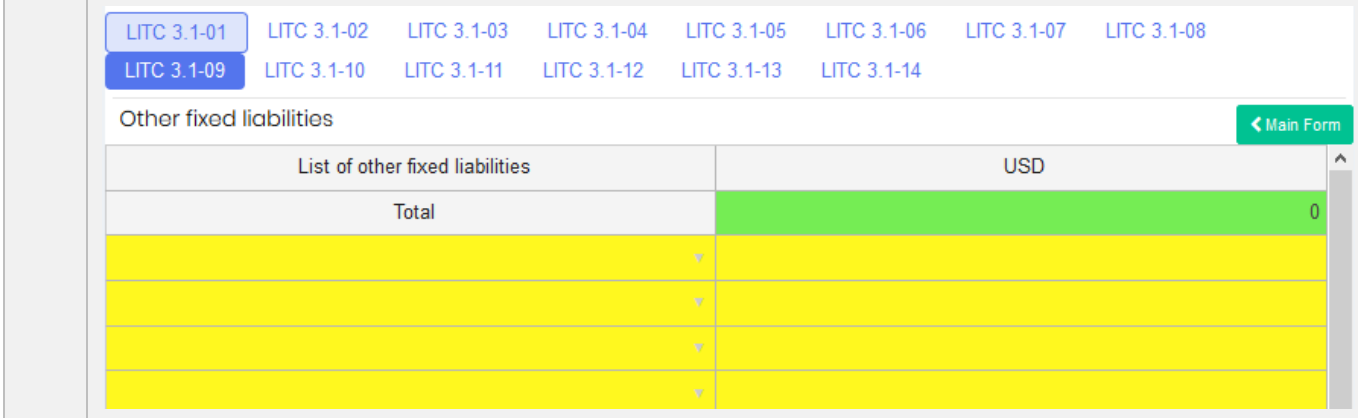
8 Sub form LITC 3.1-07



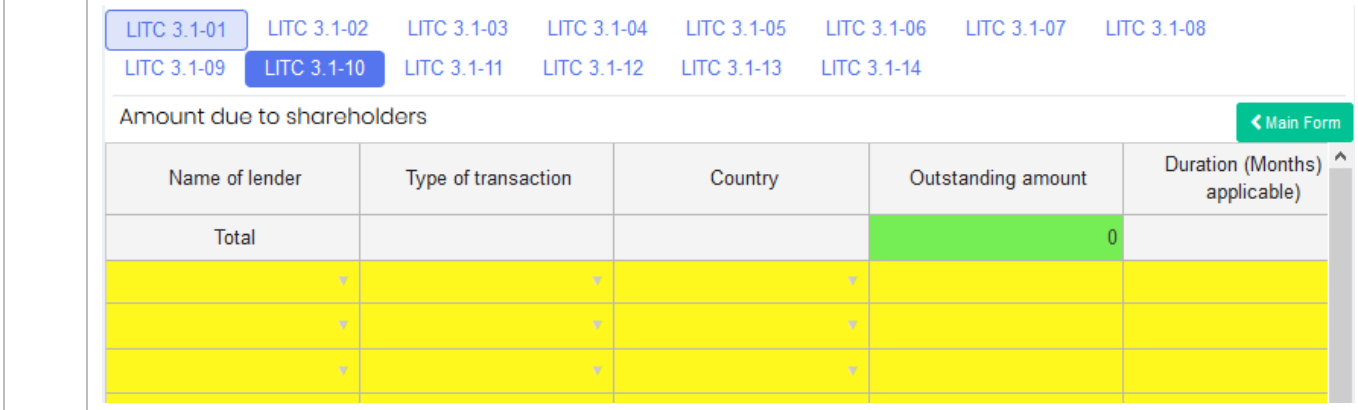
9 Sub form LITC 3.1-08



10 Sub form LITC 3.1-09



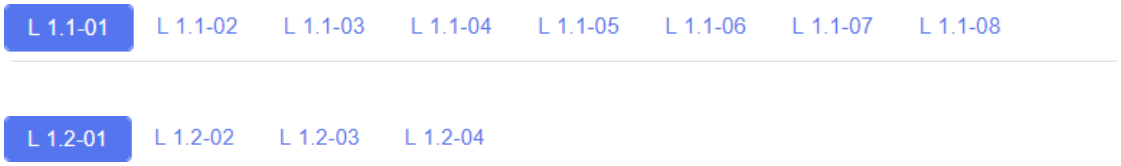
11 Sub form LITC 3.1-10

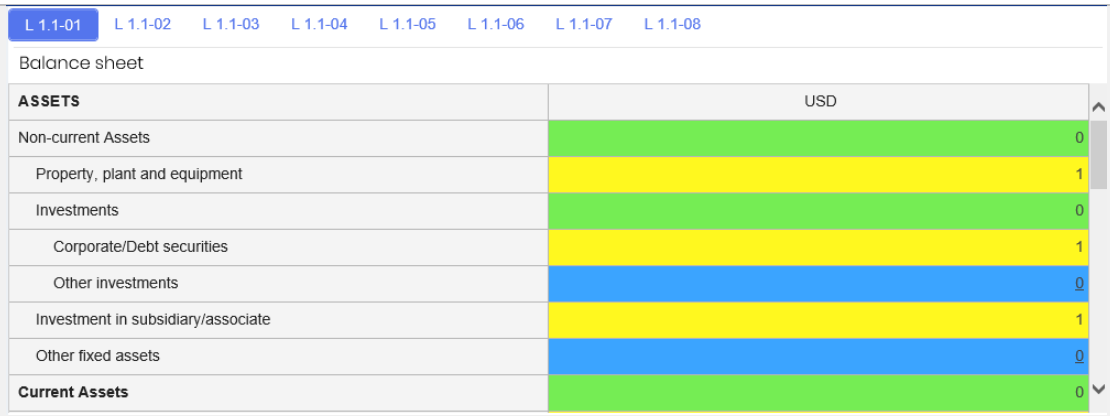


5.3.5 Leasing

Form Code	Form Title	Type	Frequency	Compulsory to fill?
L 1.1	**Financial Position**		Half yearly	
L 1.1-01	Balance Sheet	Main form		Yes
L 1.1-02	Other investments	Sub form		
L 1.1-03	Other fixed assets	Sub form		
L 1.1-04	Other receivables, deposits and pre-payments	Sub form		
L 1.1-05	Other assets	Sub form		
L 1.1-06	Other fixed liabilities	Sub form		
L 1.1-07	Other payables, expenses & accruals	Sub form		
L 1.1-08	Other liabilities	Sub form		
L 1.2	**Income Statement**		Half yearly	
L 1.2-01	Profit & loss	Main form		Yes
L 1.2-02	Other operating income	Sub form		
L 1.2-03	Other income	Sub form		
L 1.2-04	Other expenses	Sub form		
L 1.3	Leasing Activities		Half yearly	
L 1.3-01	Leasing Activities	Main form		
L 1.3-02	Insurance Coverage	Sub form		
L 1.3-03	Financing	Sub 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 Leasing forms. Click View icon.
2	The main forms and sub forms are arranged as below 
3	Fill in the form below – main form L 1.1-01



4 Sub form L 1.1-02

5 Sub form L 1.1-03

6 Sub form L 1.1-04

L 1.1-01 | L 1.1-02 | L 1.1-03 | L 1.1-04 | L 1.1-05 | L 1.1-06 | L 1.1-07 | L 1.1-08

Other receivables, deposits and prepayments — Main Form

List of other receivables, deposits and prepayments	USD
TOTAL	0
deposits and prepayments	4
other receivables	4

7 Sub form L 1.1-05

L 1.1-01 | L 1.1-02 | L 1.1-03 | L 1.1-04 | L 1.1-05 | L 1.1-06 | L 1.1-07 | L 1.1-08

Other assets — Main Form

List of other assets	USD
TOTAL	0
Accrued Interest	5
Accruals	5

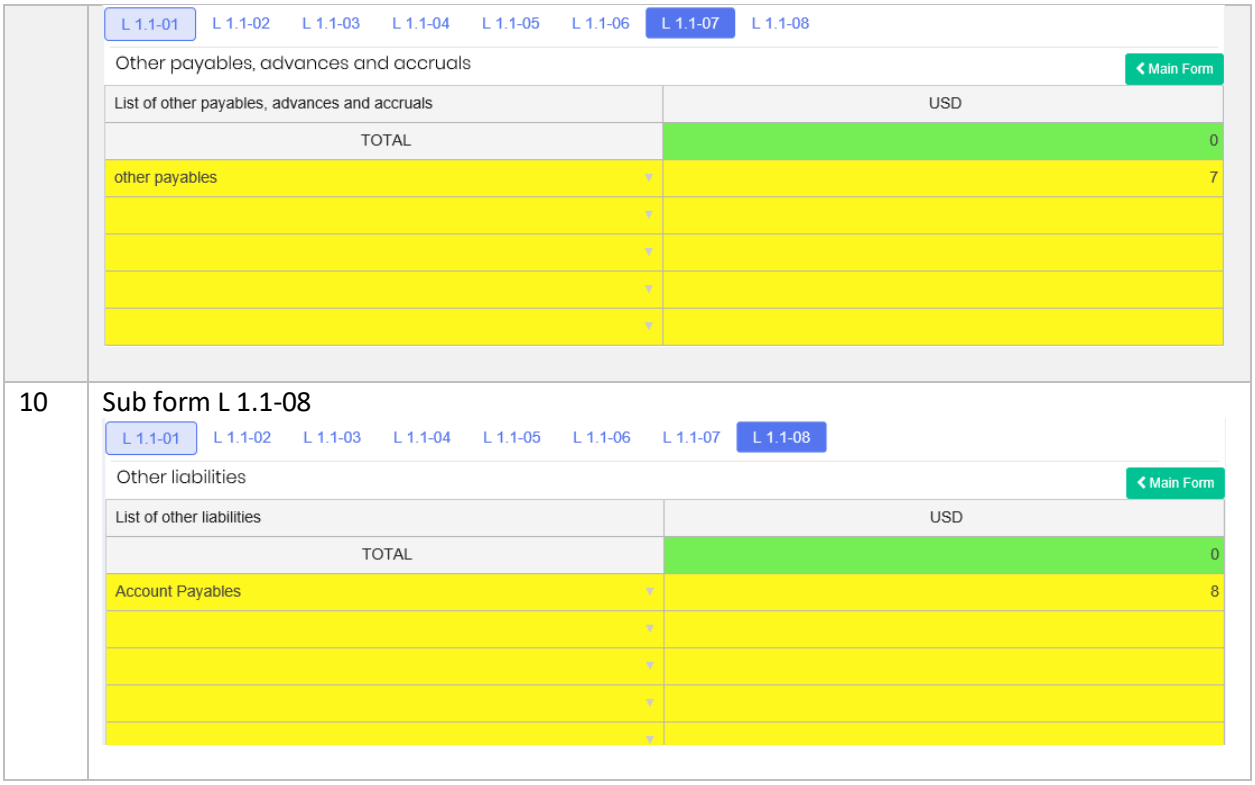
8 Sub form L 1.1-06

L 1.1-01 | L 1.1-02 | L 1.1-03 | L 1.1-04 | L 1.1-05 | L 1.1-06 | L 1.1-07 | L 1.1-08

Other fixed liabilities — Main Form

List of other fixed liabilities	USD
TOTAL	0
other fixed liabilities 2	6
other fixed liabilities 2	6

9 Sub form L 1.1-07

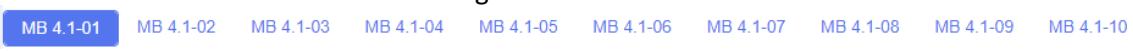


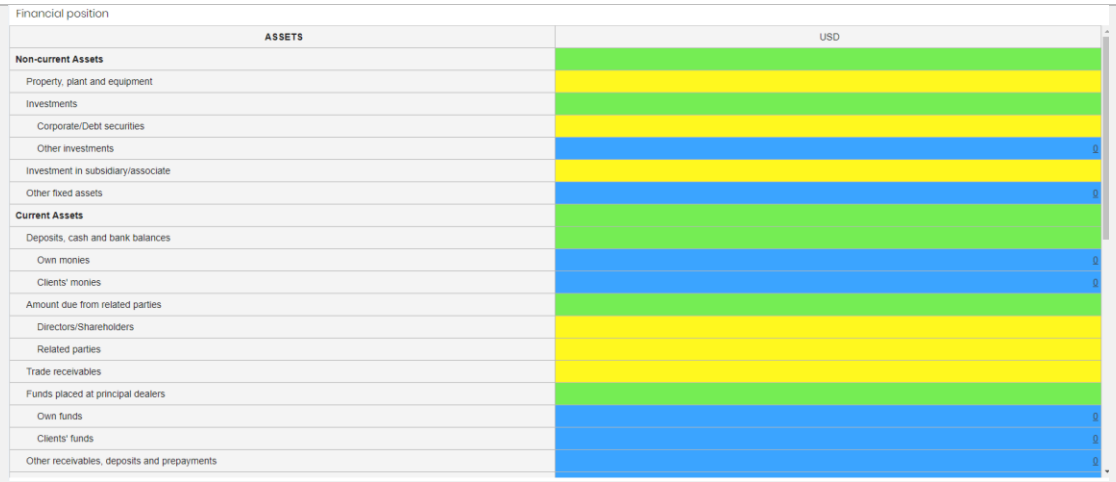
5.3.6 Money Broker

Form Code	Form Title	Type	Frequency	Compulsory to fill?
MB 4.1	**Financial Position**		Quarterly	
MB 4.1-01	Financial Position	Main form		Yes
MB 4.1-02	Other investments	Sub form		
MB 4.1-03	Other fixed assets	Sub form		
MB 4.1-04	Other receivables, deposits and prepayments	Sub form		
MB 4.1-05	Other assets	Sub form		
MB 4.1-06	Other fixed liabilities	Sub form		
MB 4.1-07	Other payables, advances and accruals	Sub form		

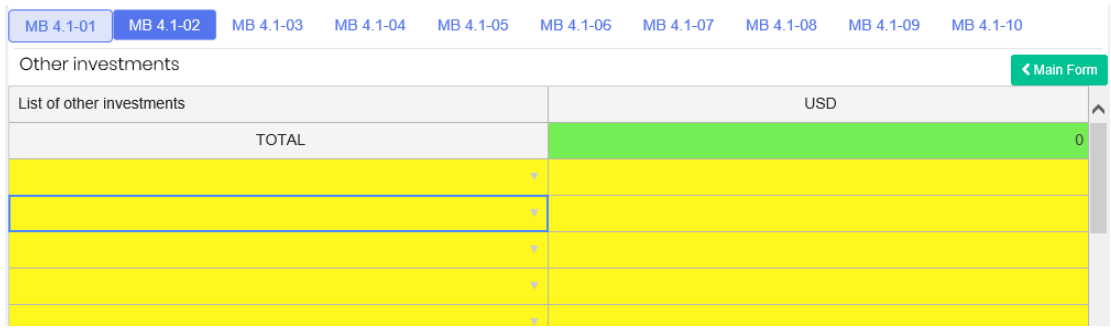
MB 4.1-08	Other liabilities	Sub form		
MB 4.1-09	Funds placed at principal dealers	Sub form		
MB 4.1-10	Deposits, cash and bank balances	Sub form		
MB 4.2	**Income statement**		Quarterly	
MB 4.2-01	Income statement	Main form		Yes
MB 4.2-02	Revenue	Sub form		Yes
MB 4.2-03	Other income	Sub form		
MB 4.2-04	Other IT expenses	Sub form		
MB 4.2-04	Other expenses	Sub form		
MB 4.3	**List of Introducing Brokers**	Main form	Half yearly	
MB 4.4	**Client Profile**	Main form	Half yearly	
MB 4.5	**Number of Complaints**	Main form	Half yearly	
MB 4.6	**Details of Clients**	Main form	Half yearly	
MB 4.7	**Trading Report**	Main form	Half yearly	

Follow the below steps to fill in the submission forms:

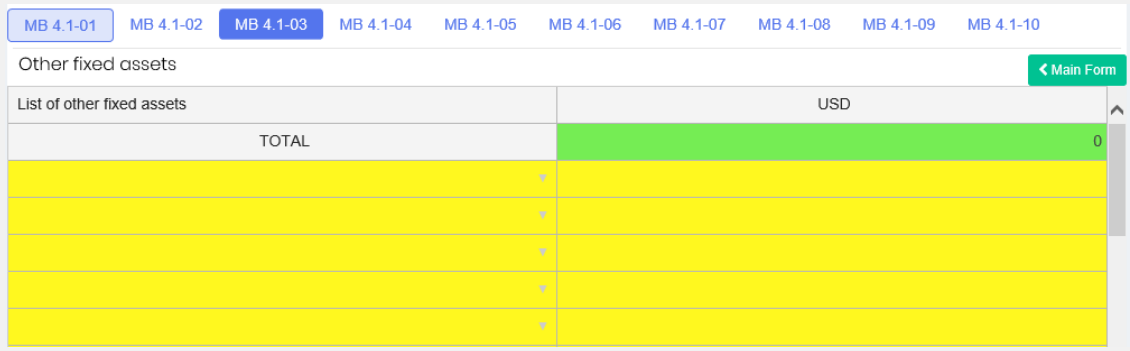
Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Money Broker forms. Click View icon.
2	The main forms and sub forms are arranged as below 
3	Fill in the form below – main form MB 4.1-01



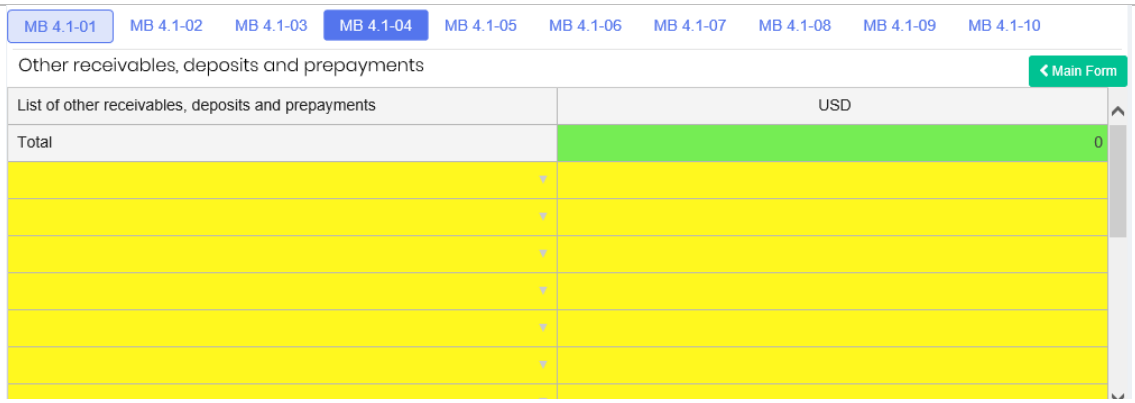
4 Sub form MB 4.1-02



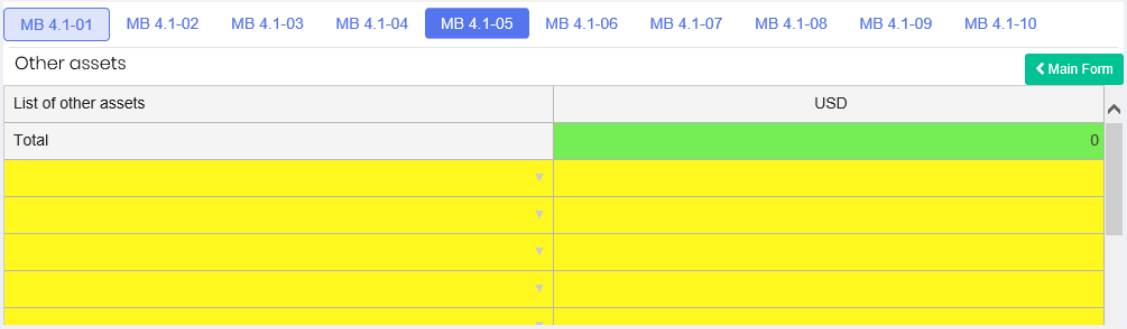
5 Sub form MB 4.1-03



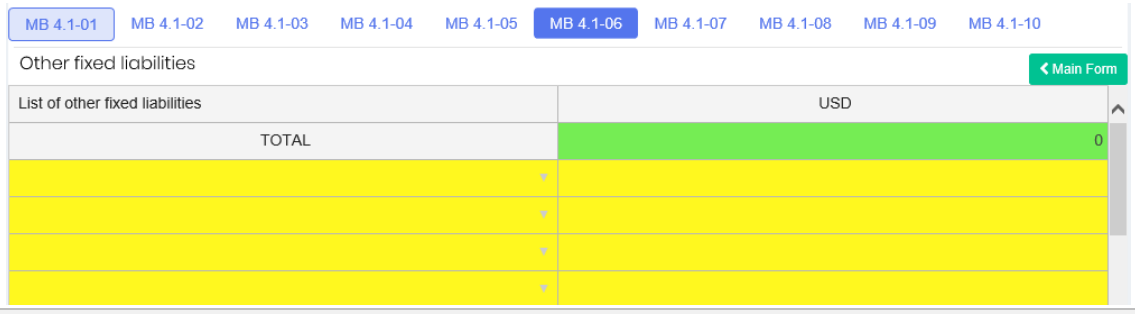
6 Sub form MB 4.1-04



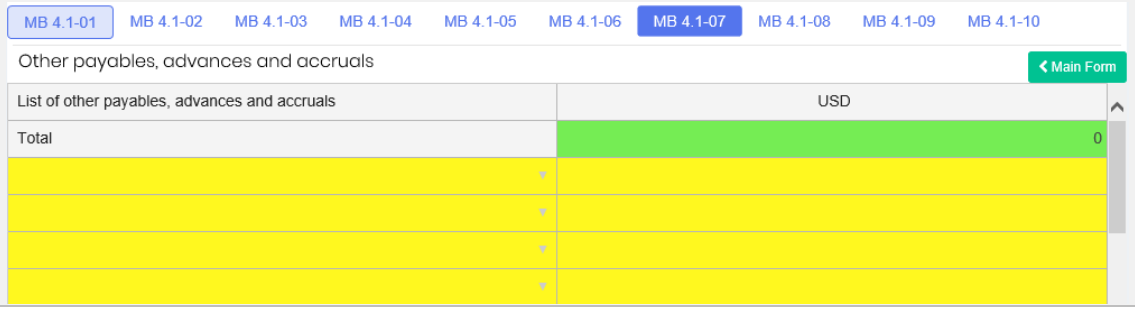
7 Sub form MB 4.1-05



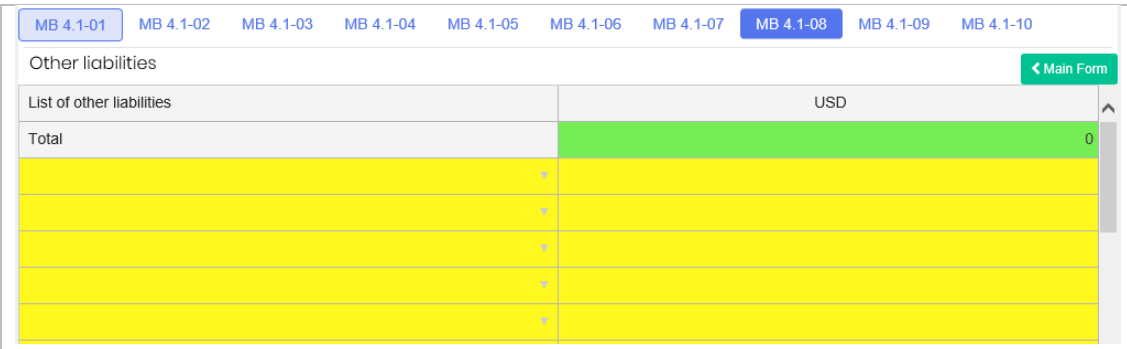
8 Sub form MB 4.1-06



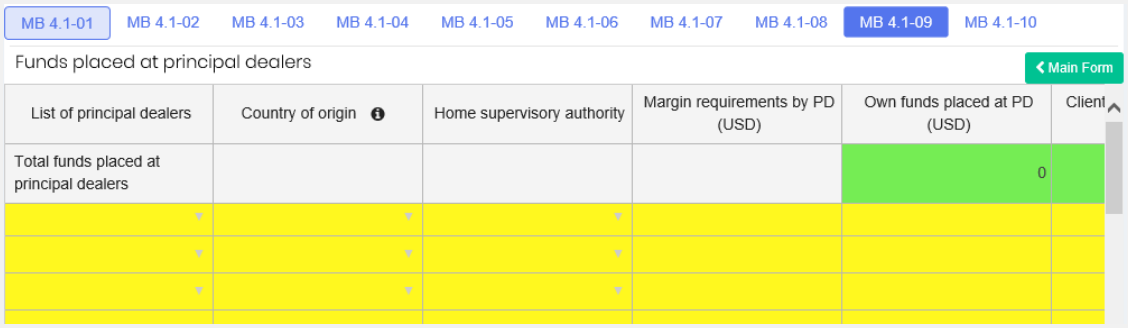
9 Sub form MB 4.1-07



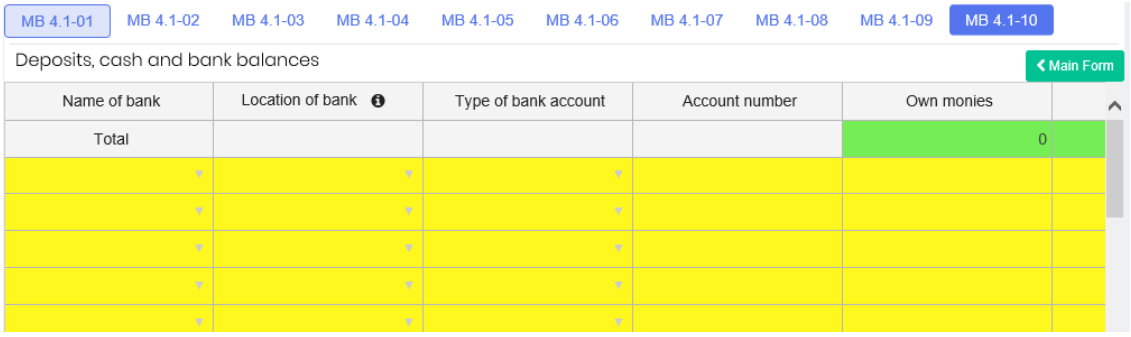
10 Sub form MB 4.1-08



11 Sub form MB 4.1-09



12 Sub form MB 4.1-10



5.3.7 Fund Manager and Securities Licensee

Form Code	Form Title	Type	Frequency	Compulsory to fill?
FM 5.1	**Assets**		Half yearly	
FM 5.1-01	Assets	Main form		Yes

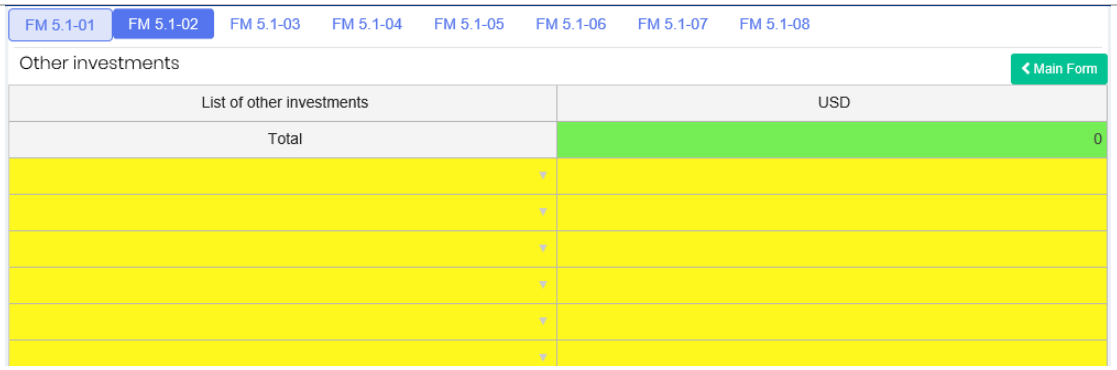
FM 5.1-02	Other investments	Sub form		
FM 5.1-03	Other fixed assets	Sub form		
FM 5.1-04	Other receivables, deposits and prepayments	Sub form		
FM 5.1-05	Other assets	Sub form		
FM 5.1-06	Other fixed liabilities	Sub form		
FM 5.1-07	Other payables, advances and accruals	Sub form		
FM 5.1-08	Other liabilities	Sub form		
FM 5.2	**Income statement**		Half yearly	
FM 5.2-01	Income statement	Main form		Yes
FM 5.2-02	Other operating income	Sub form		
FM 5.2-03	Other income	Sub form		
FM 5.2-04	Direct operating expenses	Sub form		
FM 5.2-04	Other expenses	Sub form		
FM 5.3	**Fund Profiling**		Half yearly	
FM 5.3-01	Investors profiling	Main form		
FM 5.3-02	Fund allocation	Sub form		
FM 5.4	**Fund Performance**		Half yearly	
FM 5.4-01	Financial Position	Main form		
FM 5.4-02	Other receivables	Sub form		
FM 5.4-03	Other payables and accruals	Sub form		
FM 5.4-04	Income Statement	Sub form		
FM 5.4-05	Other expenses	Sub form		
FM 5.4-06	Revenue	Sub form		

FM 5.4-07	Other income	Sub form		
FM 5.4-08	Other fund expenses	Sub form		

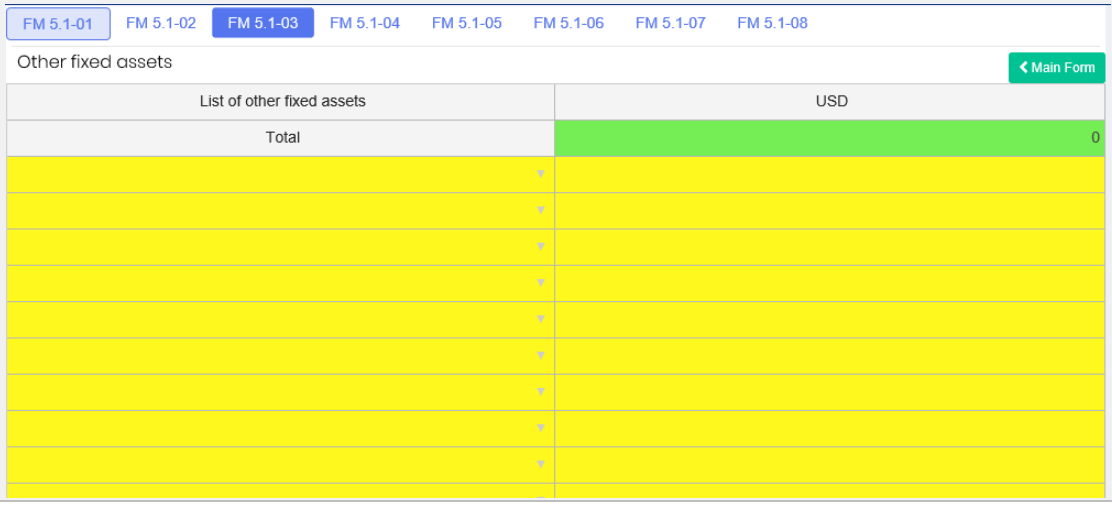
Follow the below steps to fill in the submission forms:

Step	Action
1	Go to menu Submissions or Forms. Filter the list to select the Fund Manager/Securities Licensee forms. Click View icon.
2	The main forms and sub forms are arranged as below FM 5.1-01 FM 5.1-02 FM 5.1-03 FM 5.1-04 FM 5.1-05 FM 5.1-06 FM 5.1-07 FM 5.1-08 FM 5.2-01 FM 5.2-02 FM 5.2-03 FM 5.2-04 FM 5.2-05 FM 5.3-01 FM 5.3-02 FM 5.4-01 FM 5.4-02 FM 5.4-03 FM 5.4-04 FM 5.4-05 FM 5.4-06 FM 5.4-07 FM 5.4-08
3	Fill in the form below – main form FM 5.1-01 FM 5.1-01 FM 5.1-02 FM 5.1-03 FM 5.1-04 FM 5.1-05 FM 5.1-06 FM 5.1-07 FM 5.1-08 Assets
4	Sub form FM 5.1-02

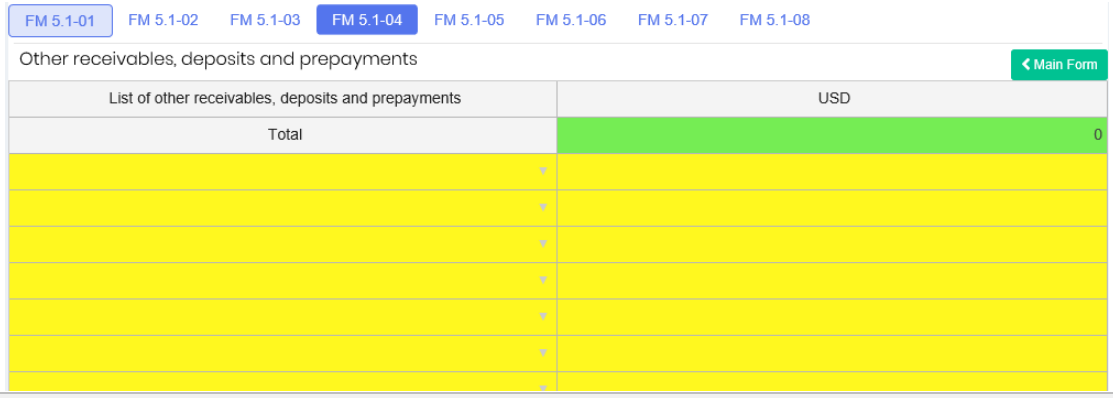
ASSETS	USD
Non-current Assets	0
Property, plant and equipment	
Investments	0
Corporate/ Debt securities	
Other investments	0
Investment in subsidiary/associate	
Other fixed assets	0
Current Assets	0
Deposits, cash and bank balances	0
Fixed deposits/Money market	
Cash and bank balances	
Amount due from related parties	0
Directors/Shareholders	
Related parties	



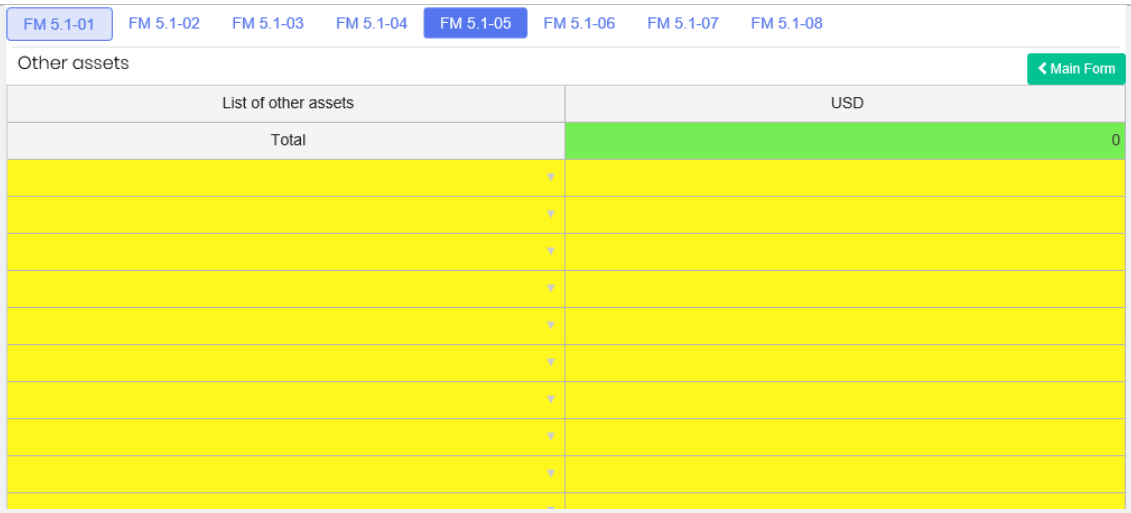
5 Sub form FM 5.1-03



6 Sub form FM 5.1-04



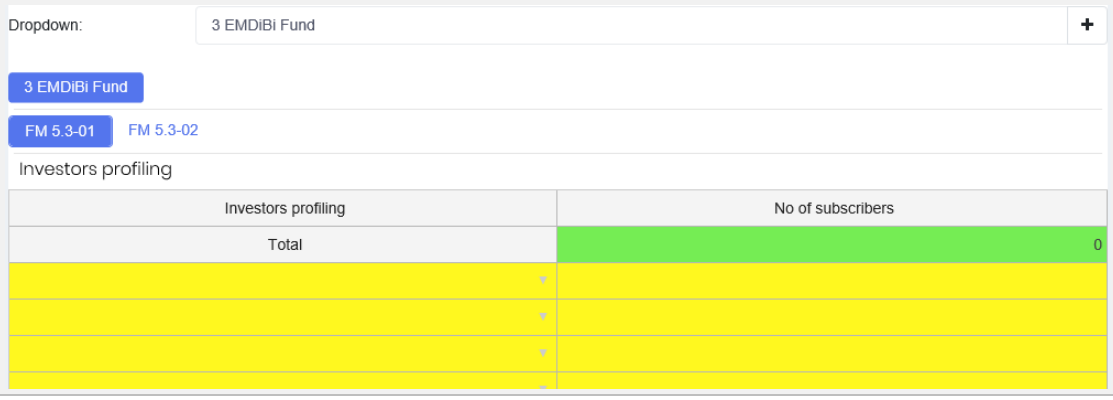
7 Sub form FM 5.1-05



8 Sub form FM 5.1-06

9 Sub form FM 5.1-07

10 Sub form FM 5.1-08

11	Main form FM 5.3-01 To generate the form for the first time, user must select the Fund dropdown and click '+' icon. 
12	Main form FM 5.4-01 To generate the form for the first time, user must select the Fund dropdown and click '+' icon.

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 Labuan FSA 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.

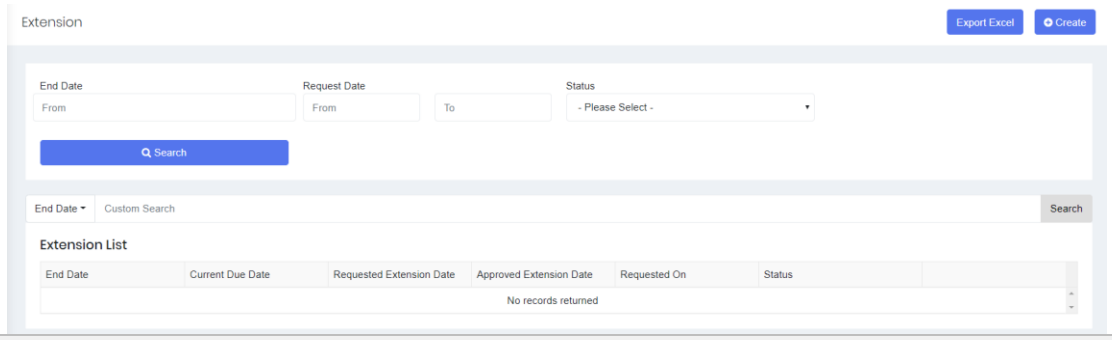
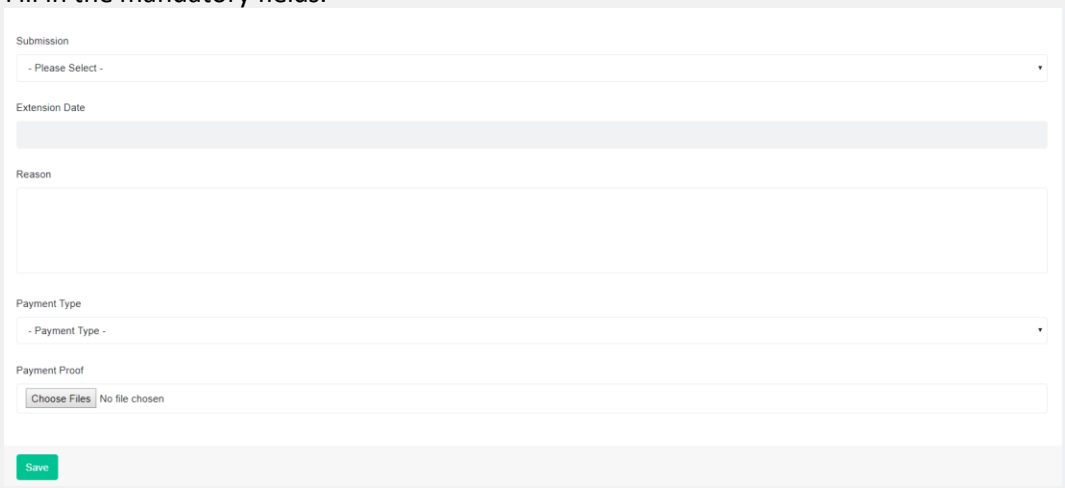
The application for an extension of time will be closed three days before the due date, in example, the system will not allow any application for extension on 13th of January if the Due Date falls on 15th of January.

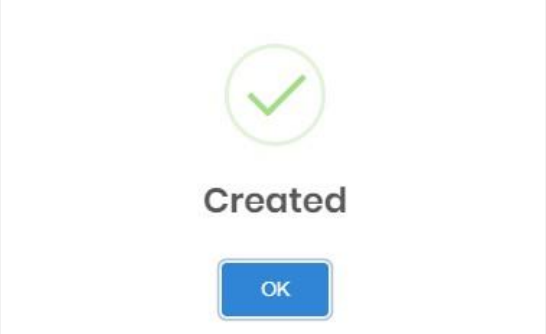
The status of extension is described as the followings:

Status	Description
Paid	A new Extension application is received and processing fee is paid
In Progress	The application is being processed
Approved	The application is approved by Labuan FSA HOU
Rejected	The application is approved by Labuan FSA HOU

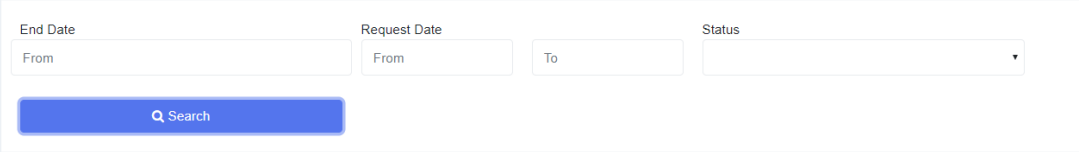
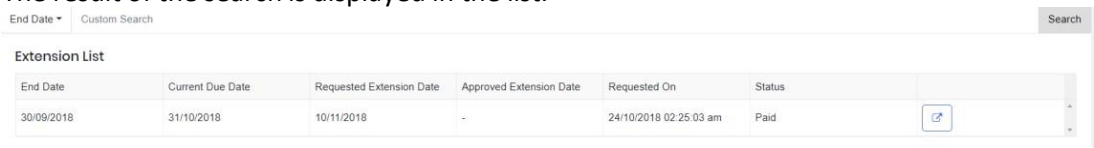
6.2 How to Request for An Extension of Time

a) Create Extension

Step	Action
1	From the menu, select Extension.
2	Click Create button 
3	Fill in the mandatory fields. 

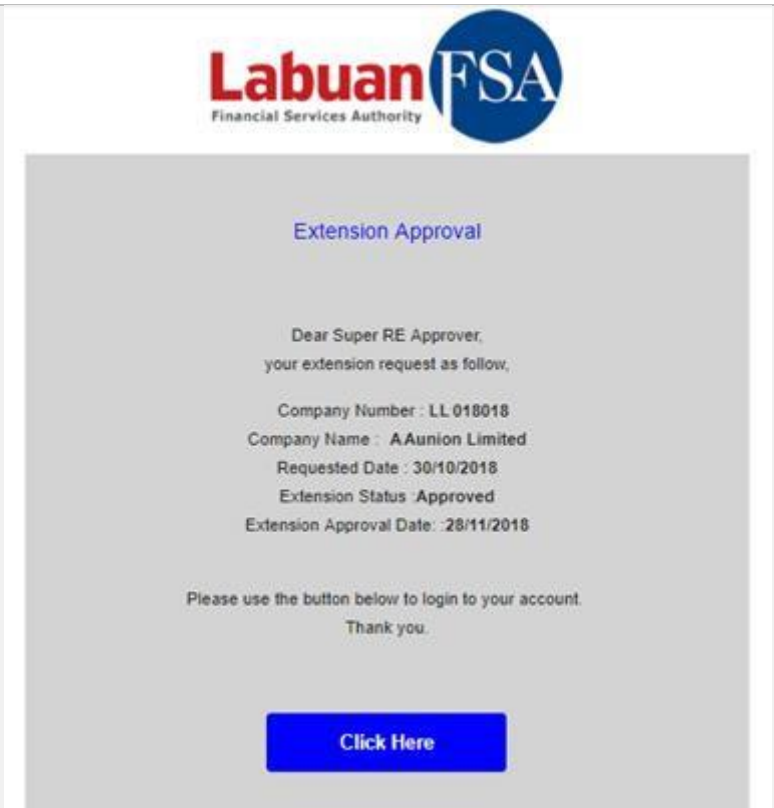
4	Click Save button.
5	A pop-up notification will appear to indicate save is successful. 
6	A system-generated email will be sent to Labuan FSA to notify of the Extension request.

b) Search/Filter Extension

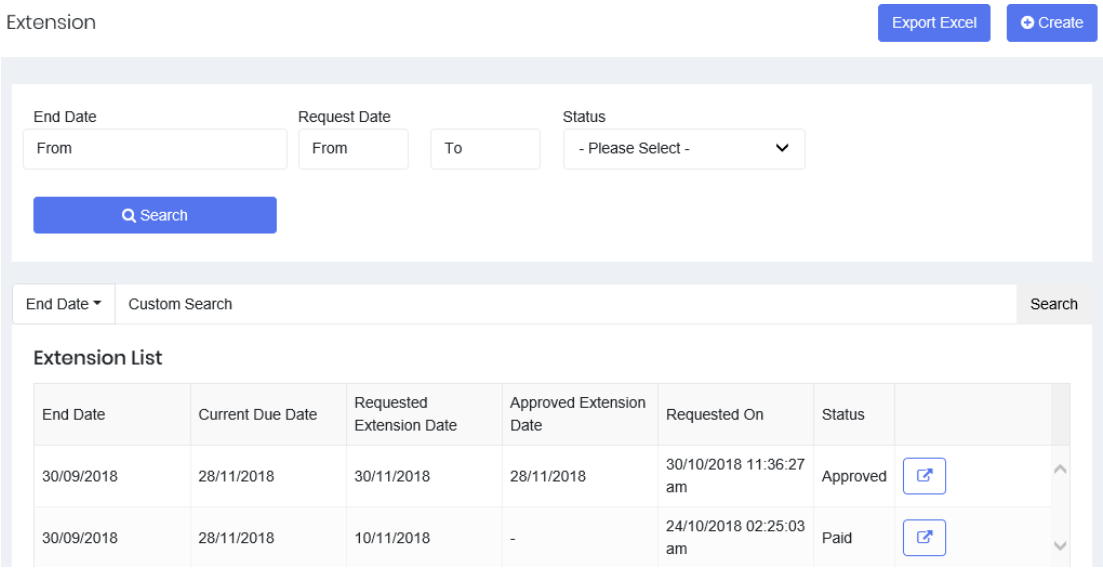
Step	Action
1	From the screen, select an item in the dropdown and click Search button. 
2	The result of the search is displayed in the list. 

c) Extension Approval/Rejection

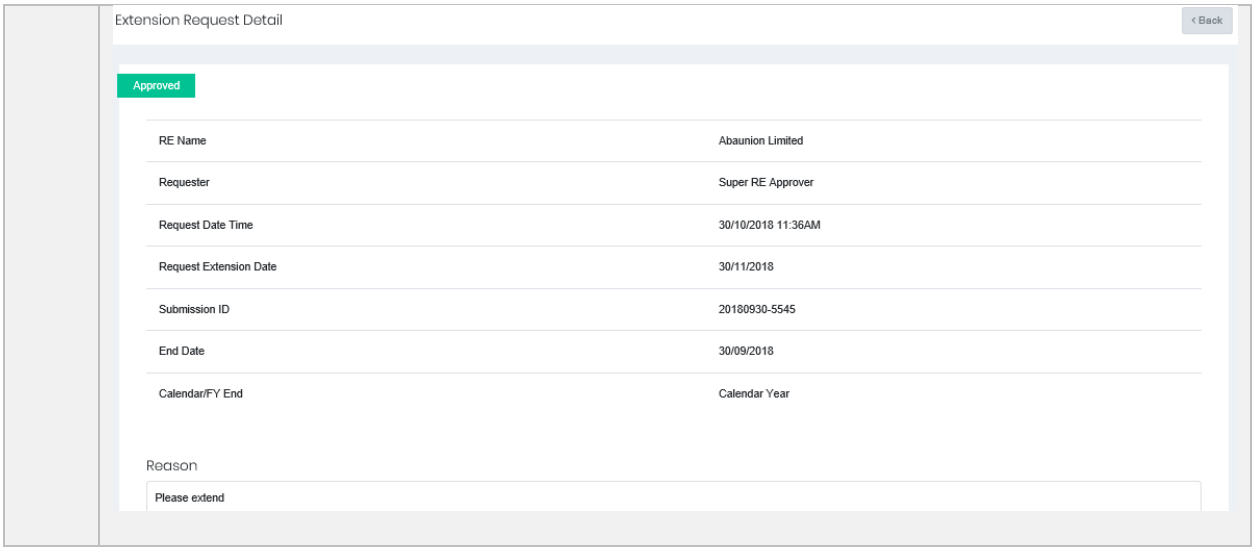
Step	Action
1	User will receive an email notification to indicate if the application is approved.



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

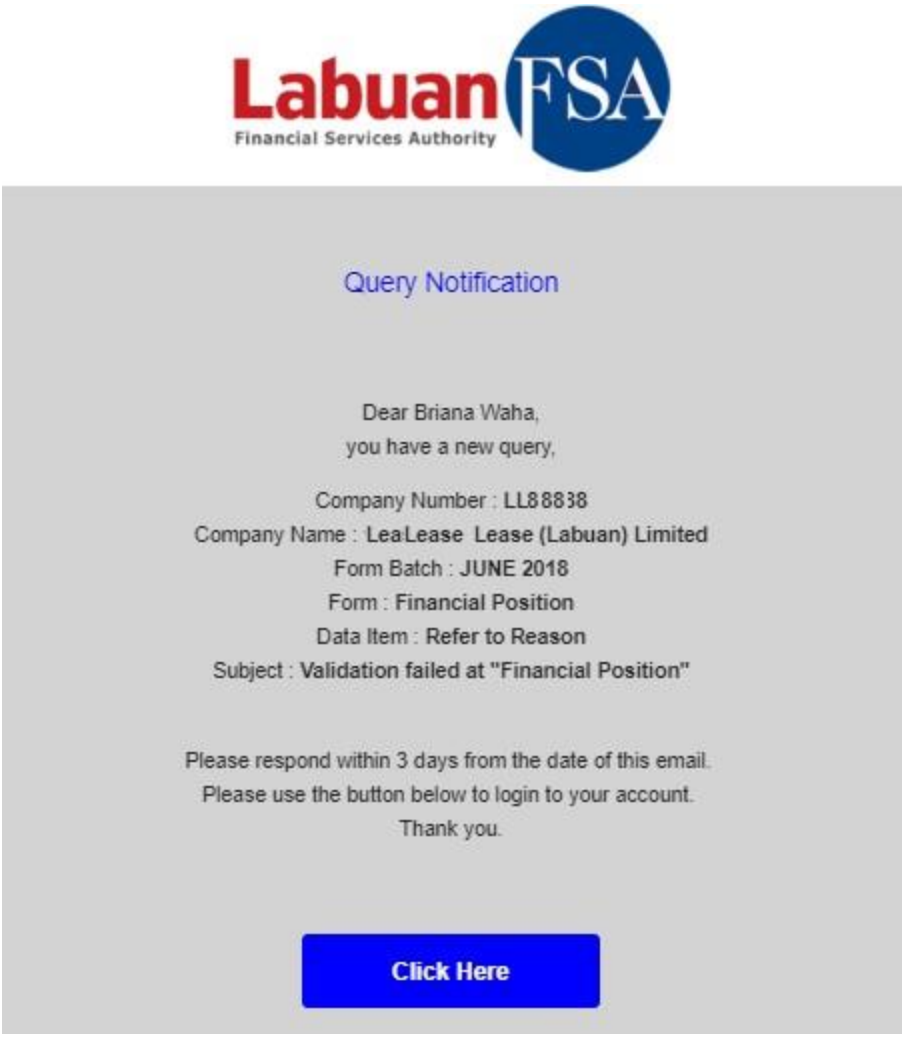
i. System generated Query that is triggered automatically when the form failed data validation
ii. Manual Query raised by Labuan FSA Officer

Labuan FSA 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 Labuan FSA)
Closed	The query is closed by Labuan FSA
Open	The query that was closed previously, is now opened by Labuan FSA
Closed with Resubmission	The query is closed by Labuan FSA, however RE User is required to apply for a resubmission for the selected form/s

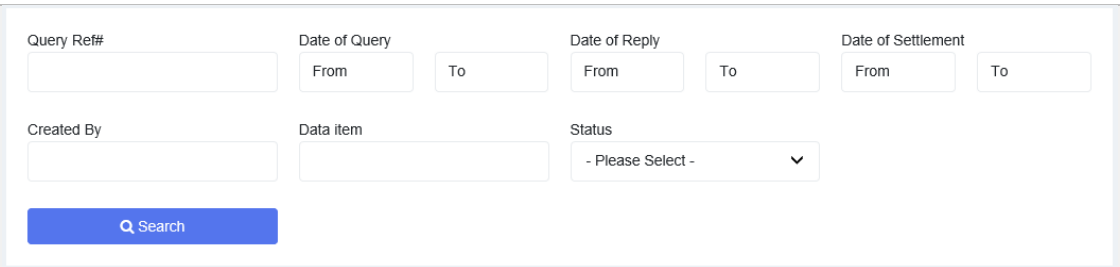
Below is the sample of auto-generated email of query notification:



7.2 How to Use Query

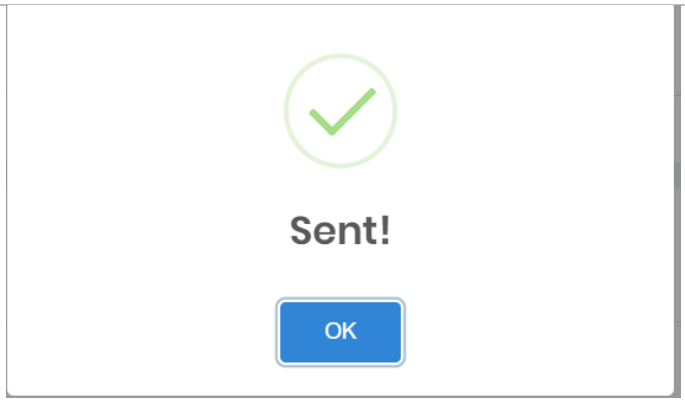
a) Search/Filter Query

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

b) Reply Query

Step	Action
1	Select a row from Query tab and click View Record icon. Query Ref# | Subject | Data item | Created By | Query Date | Reply Date | Settle Date | Status 476 | Validation failed at "Salaries, wages and commissions" | Refer to Reason - 20180630-4619 - Salaries, wages and commissions | system | 09/11/2018 06:15:15 pm | - | | New
2	Key in your reply and upload file if necessary. Your Reply Enter your reply Choose File No file chosen Reply
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 Labuan FSA 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

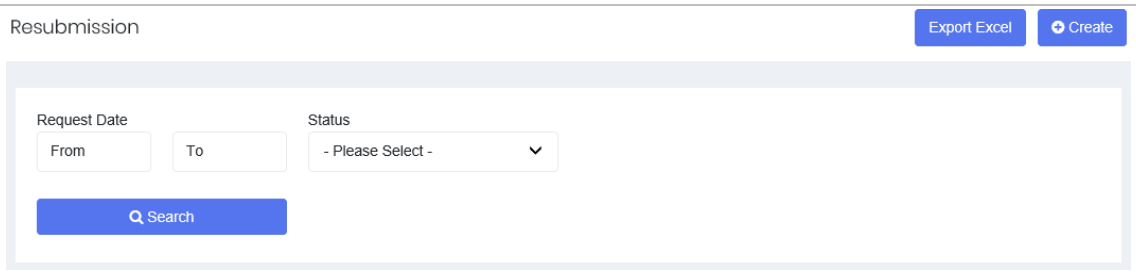
Once a Resubmission request is raised by user, Labuan FSA will receive a notification via email. Labuan FSA Officer will be responsible to review the request and to decide whether the procession fee shall be applied or waived. A system-generated email will be sent to RE User once the result of Resubmission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

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

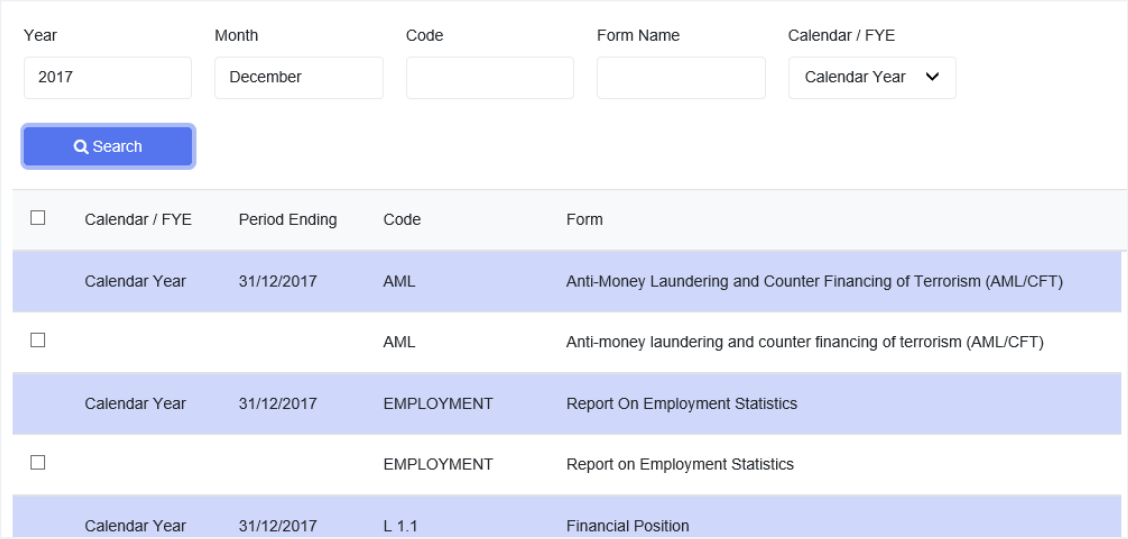
8.2 How to Apply for Resubmission

a) Create Resubmission

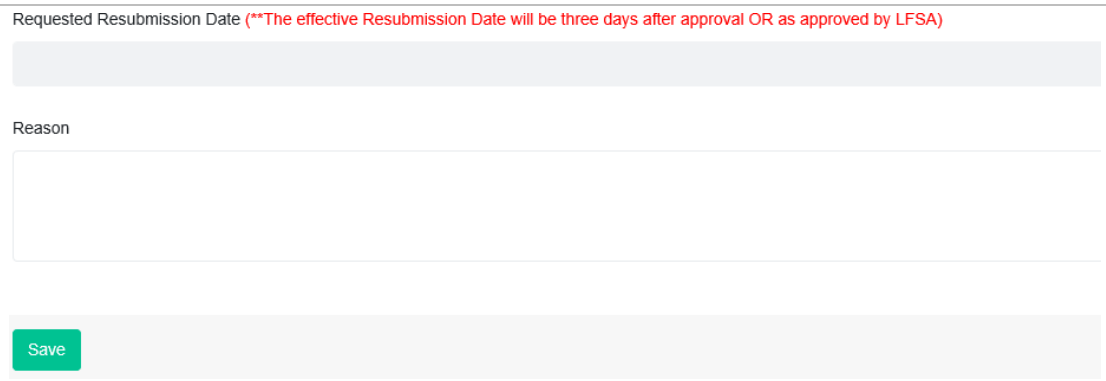
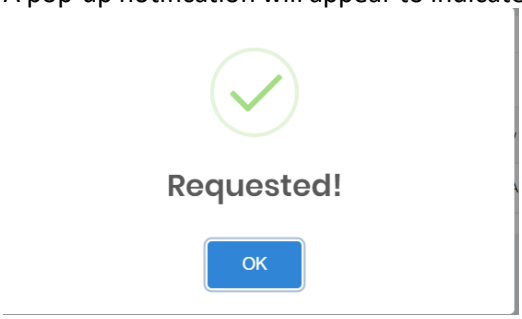
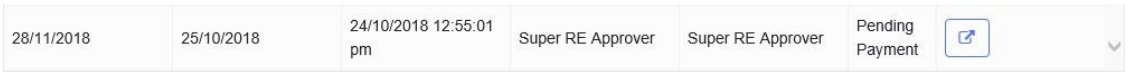
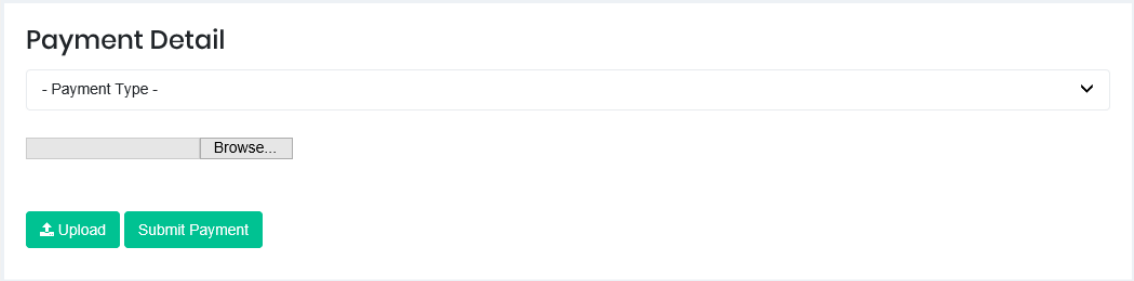
Step	Action
1	From the menu, select Resubmission.
2	Click Create button.



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

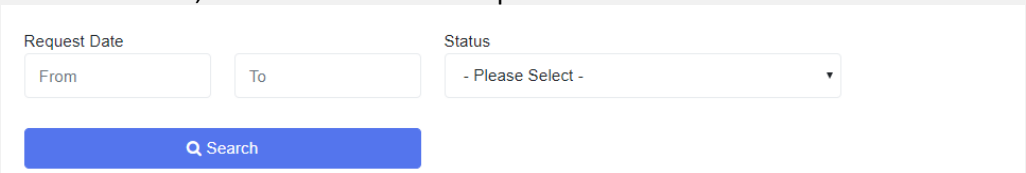
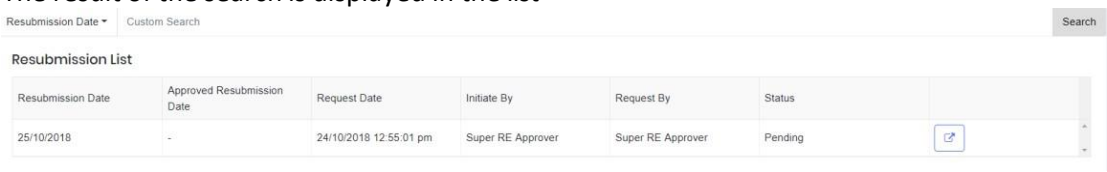


4 Select the form/s to be resubmitted and click ADD button.
Fill in the mandatory fields - Data Item, Requested Resubmission Date and Reason.

	
5	Click Save button.
6	A pop-up notification will appear to indicate request is successful. 
7	User will receive an email to indicate whether the request has been processed after Labuan FSA decides if the processing fee has to be paid or waived.
8	Once your request is processed and processing fee is required, the status will change to 'Pending Payment'. Select the record from the list and click View. 
9	Fill in the Payment Method and upload the proof of payment. 
10	Email will be sent to notify of Resubmission approval and vice versa. The status of the affected form/s will be set to 'Open' with new Due Date.

Resubmission Date	Approved Resubmission Date	Request Date	Initiate By	Request By	Status	
01/11/2018	31/10/2018	26/10/2018 11:21:20 am	Eddie The Super Administrator	Super RE Approver	Approved	

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 acts like an online Helpdesk Support module for RE Users to raise any questions or concerns.

9.1 General Helpdesk

9.1.1 Objective

RE User may raise a Helpdesk request for general topic to Labuan FSA through this module. Labuan FSA 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 Labuan FSA)
Closed	The request is closed by Labuan FSA
Open	The request that was closed previously, is now opened by Labuan FSA
On Hold	The query is put on hold by Labuan FSA
Approved	The Helpdesk request is approved

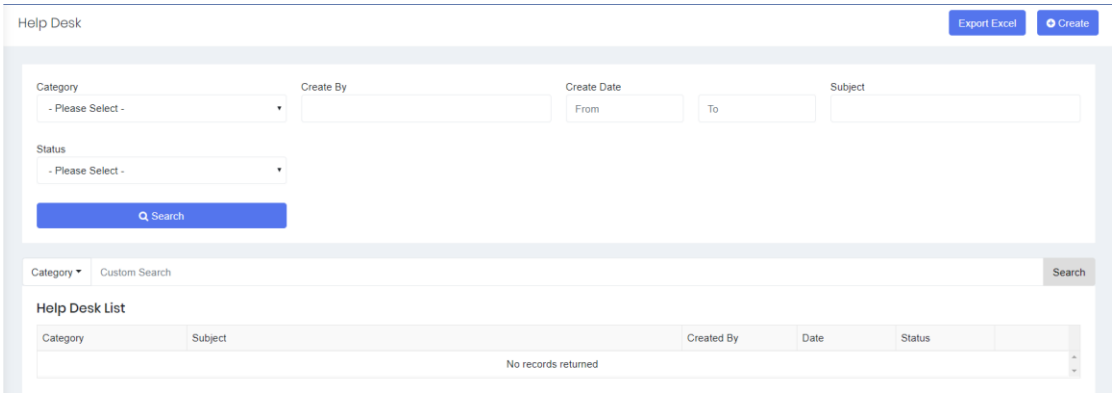
Rejected	The Helpdesk request is rejected

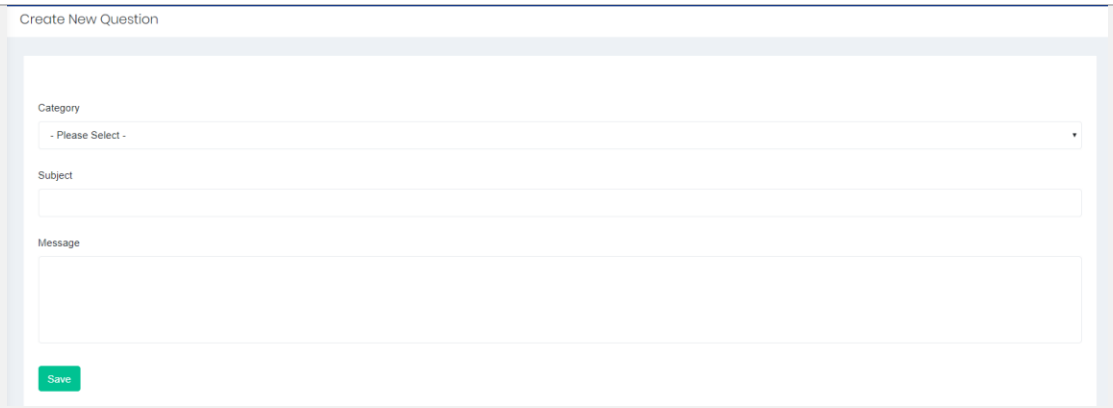
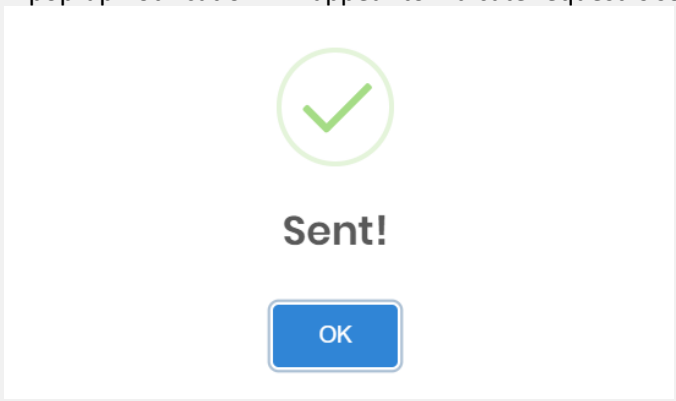
The Helpdesk request is categorized according to the below:

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

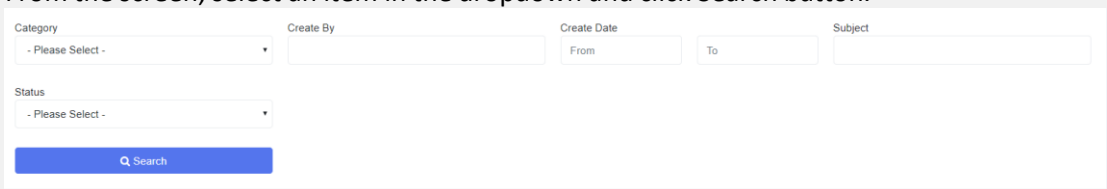
9.1.2 How to Use General Helpdesk

a) Create General Helpdesk

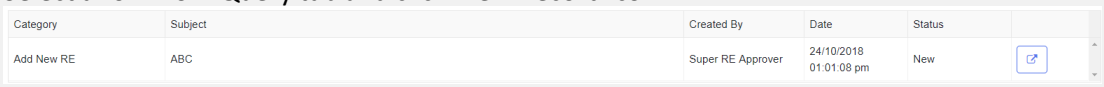
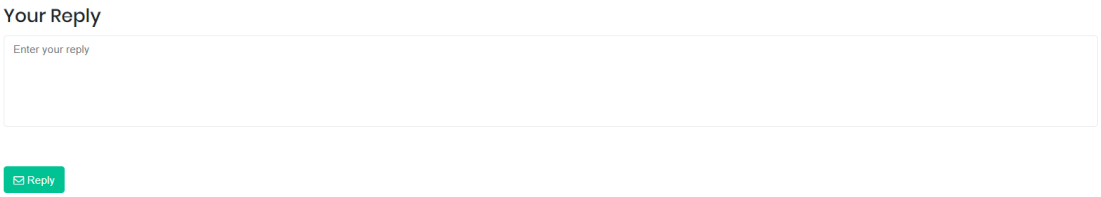
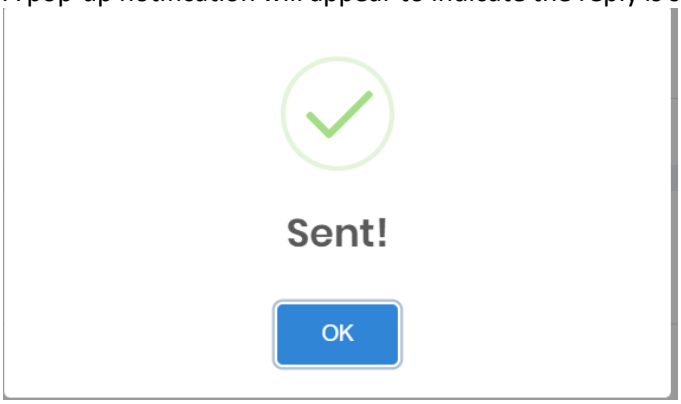
Step	Action
1	From the menu, select General Helpdesk.
2	Click Create button 
3	Select the Category. Fill in the mandatory fields.

	
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. 
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

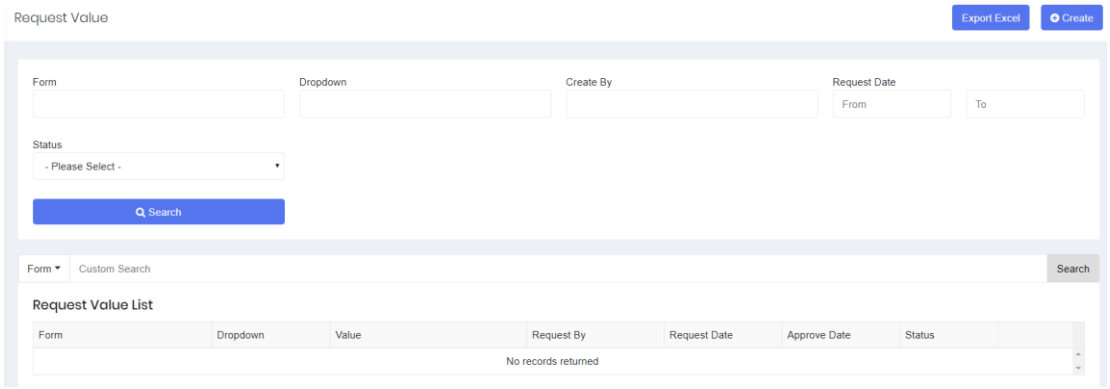
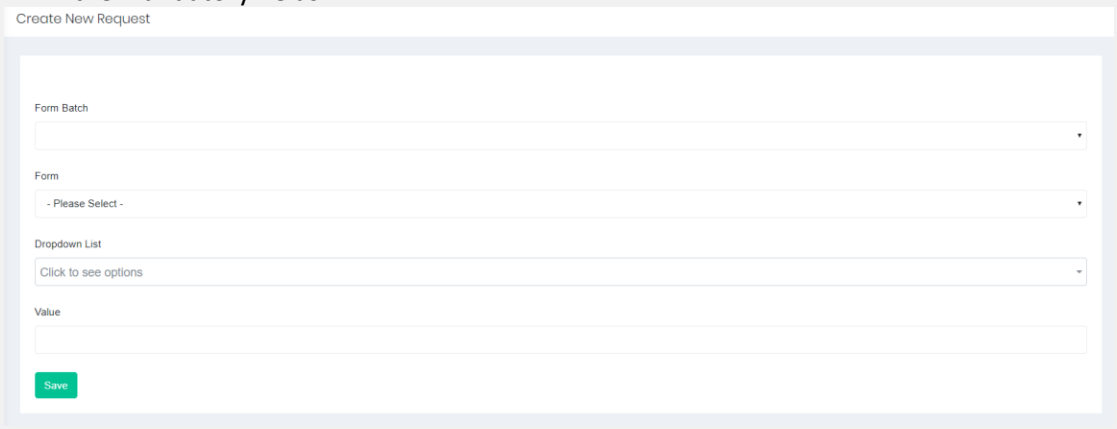
RE User may request for Master List (general dropdown items) using this module.

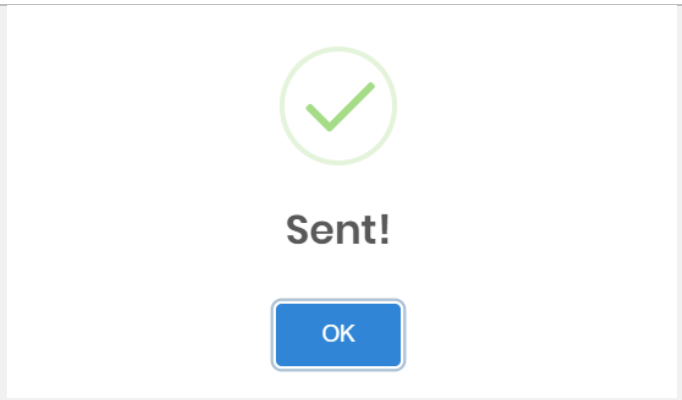
The status of Dropdown Request is described as the followings:

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

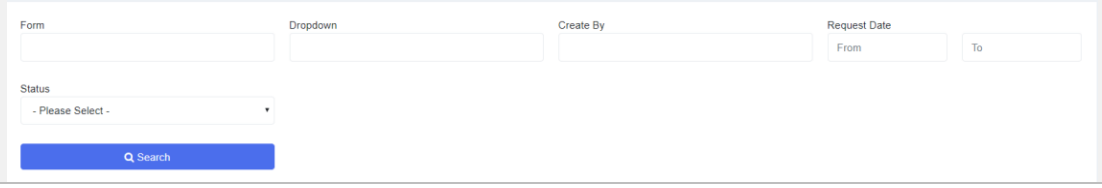
9.2.2 How to Use Dropdown Request

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

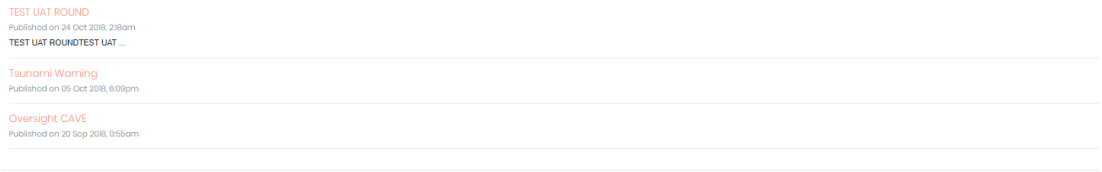
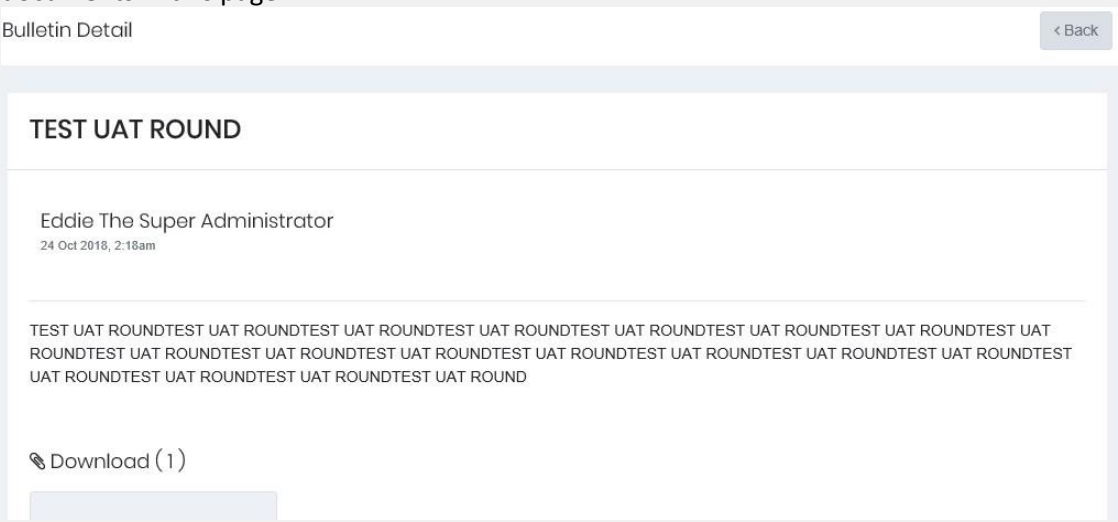
10.1 Bulletin Board

The Bulletin Board allows user to view and download any new announcement from Labuan FSA.

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

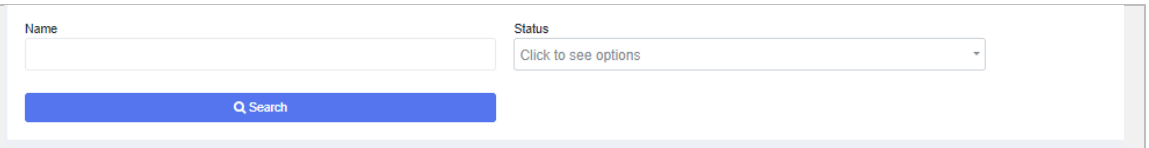
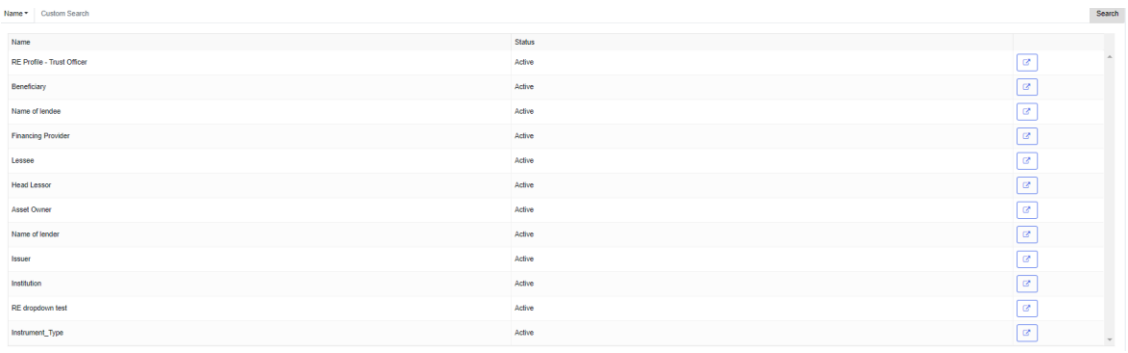
10.2 RE Dropdown Group

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

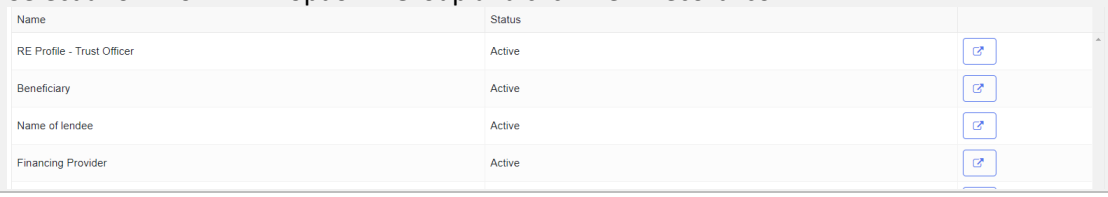
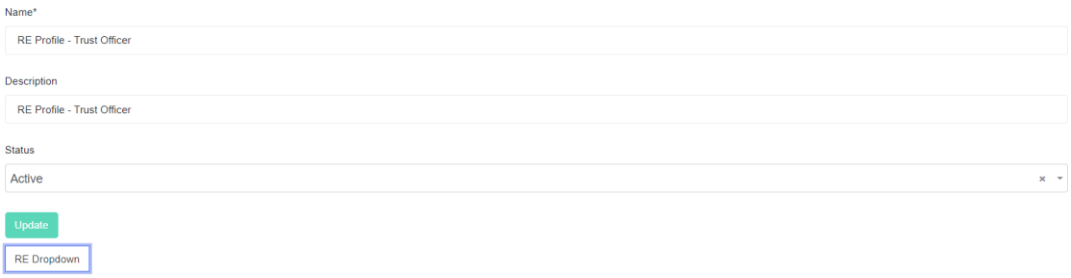
10.2.1 How to Use RE Dropdown Group

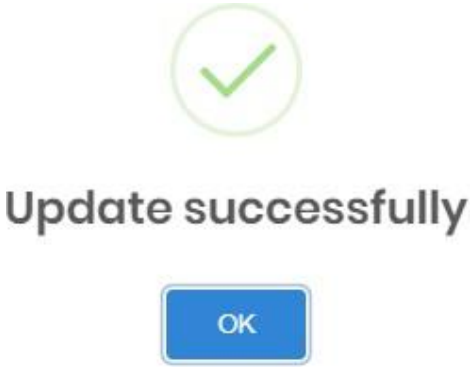
a) Search/Filter Dropdown Group

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.

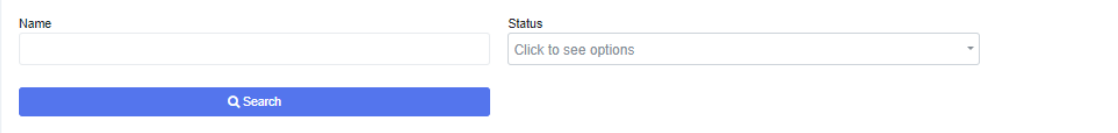
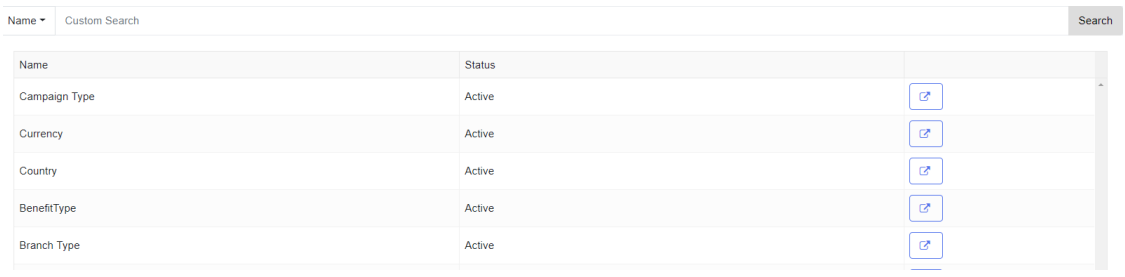
10.3 Master List Group

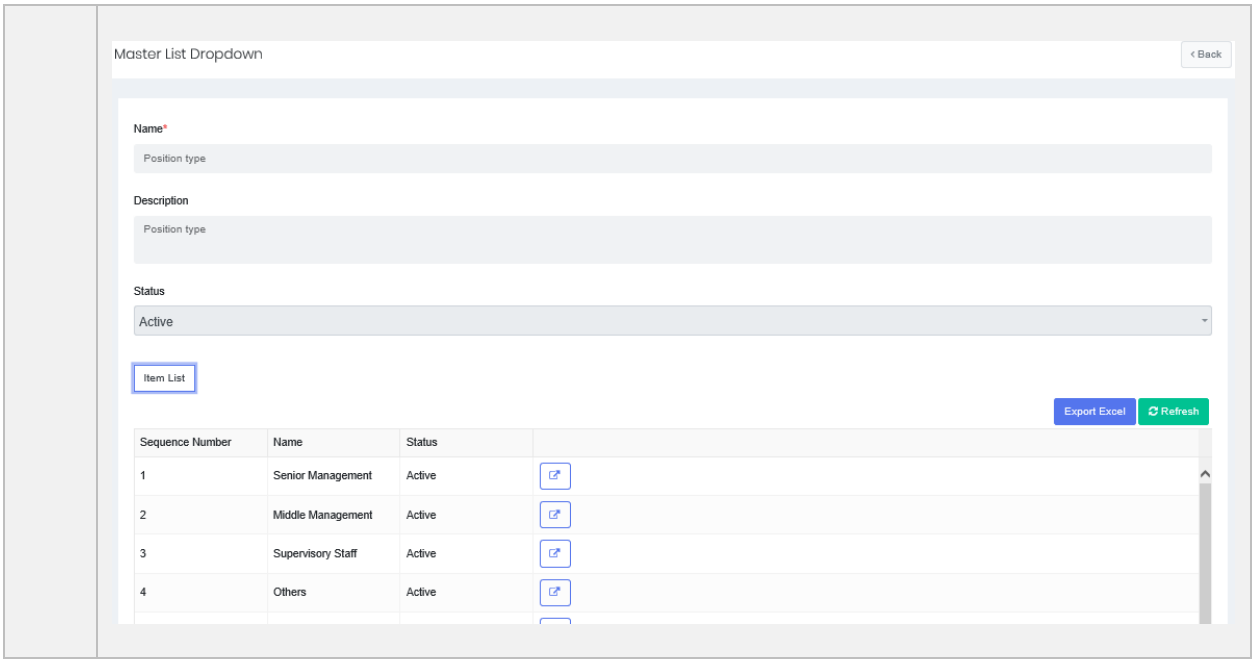
Master List Group refers to the dropdowns that are used globally in the forms across all sectors. RE User may view the dropdowns and their items ONLY.

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.


Master List Dropdown
‹ Back
Name*
Position type
Description
Position type
Status
Active
Item List
Export Excel
Refresh
Sequence Number
Name
Status
1
Senior Management
Active
2
Middle Management
Active
3
Supervisory Staff
Active
4
Others
Active