

Supervisory Intelligence System (SIS) v1.0 User Guide

SIS was developed to streamline processing and enhance the comprehensiveness of information for administrative applications submitted to the Supervision Department (SD). These applications include the appointment of external auditors (EA), external service arrangements (ESA), and extension of time (EOT) for regulatory submissions. SIS v1.0 also facilitates submission of reports and notifications enabling more effective monitoring by both the SD and the reporting entities.

This user manual provides a guide to navigating and utilising the EA Form, EOT Form, and ESA Form functionalities. It covers the key processes involved in initiating, processing, and viewing the applications status. In addition, this manual outlines the procedures for the submission of regulatory reporting via the platform, including document upload requirements and submission workflows. Please note that only documents in PDF, DOCX, JPG, JPEG, or PNG formats, with a maximum file size of 20MB per file, will be accepted. Submissions in any other format or exceeding the size limit may result in an error.

Please note that this manual is for Version 1.0, aimed at covering the main processes and flow within the system, and will be updated as the system development progresses.

Document Version

#	Document Version	Date Updated	Author	Description
1	V1-001	03/06/2025	Immanuel Toysim, Project Executive, ICT Unit, Labuan FSA	Updated manuals for all modules in v1.0

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1.0. User Registration

- 1) New users are required to register before assessing the system.
- 2) To register, open a web browser, and enter URL:
<https://access.labuanfsa.gov.my/#/auth/register?app=sis>.
- 3) Under **User Details** section, fill in the **Username**, **Full Name**, **Email Address**, and **Contact Number**.



Create Account
Complete your registration to access the system

User Details

CompanyA Company A

officer@companyA.com +60123456789

#	Field	Data Type
1	Username	Alphanumeric
2	Full Name	Alphanumeric (As per user's official name)
3	Email Address	Proper email format (someone@somewhere.xx)
4	Contact Number	Alphanumeric (With country code if applicable)

- 4) Under the **System Access** section, tick the checkbox for **Supervisory Intelligence System**.
 - a) If you are registering for the entity you represent, please select **I am registering for the entity I represent**.
 - b) If you are registering on behalf of another entity¹, please select **I am registering on behalf of another entity**.

Entity Details

Entity #1

Entity Name

LL Number Licence Number

Position

☒ I am registering for the entity I represent.

Entity Details + Add

Entity #1

Entity Name

LL Number Licence Number

Position ▼

☐ I am registering **on behalf** of another entity.

#	Field	Data Type
1	Entity #1	Alphanumeric
2	LL Number	Alphanumeric
3	License Number	Alphanumeric
4	Position	Dropdown

¹ For trust company/insurance manager

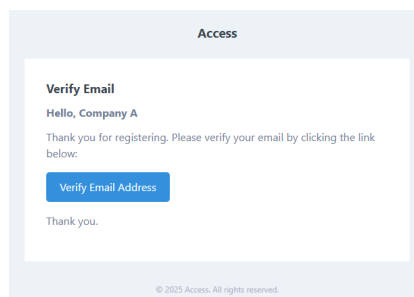
For **Position**, please select from predefined list of positions:

- | | | |
|---|---|--|
| i) Compliance Officer | ix) Others cum Compliance Officer | xv) Principle Officer cum Designated Compliance Officer. |
| ii) Compliance Officer cum DCO | x) Others cum Compliance Officer and DCO | xvi) Principle Officer cum Director |
| iii) Designated Compliance Officer (DCO) | xi) Others cum Designated Compliance Officer | xvii) Trust Officer |
| iv) Director | xii) Principle Officer | xviii) Trust Officer cum Compliance Officer |
| v) Director cum Compliance Officer | xiii) Principle Officer cum Compliance Officer | xix) Trust Officer cum Compliance Officer and DCO |
| vi) Director cum Compliance Officer and DCO | xiv) Principle Officer cum Compliance Officer and DCO | xx) Trust Officer cum Designated Compliance Officer. |
| vii) Director cum Designated Compliance Officer | | |
| viii) Others | | |

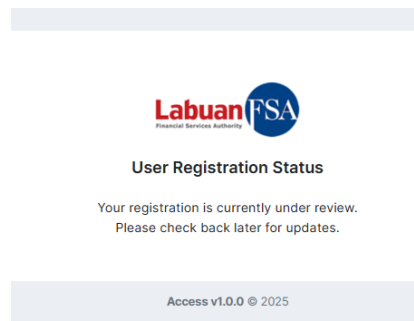
- 5) Then, tick the check box for **I agree to the Privacy Policy**.
- 6) Lastly, select **Complete Registration**.

1.1. Completing Registration

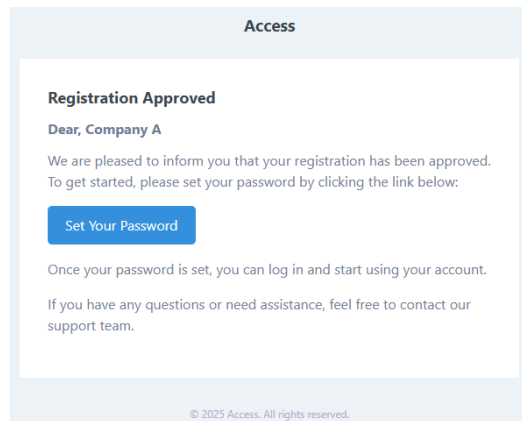
- 1) Check your email address used for the registration.
- 2) Open the email title **Please verify your email** sent by **Access – LabuanFSA** noreply.singularity@labuanfsa.gov.my



- 3) Select **Verify Email Address**.
- 4) You should be redirected to the **User Registration Status** page.



- 5) Once SIS Administrator has approved your registration, you should receive an email **Your Registration Has Been Approved** by **Access – LabuanFSA** noreply.singularity@labuanfsa.gov.my.



- 6) Select **Set Your Password** and create a password with at least **15 characters** with **combination** of capital letters, small letters, symbols and numbers (**e.g. mYpa\$\$w0rd4loG!n**).

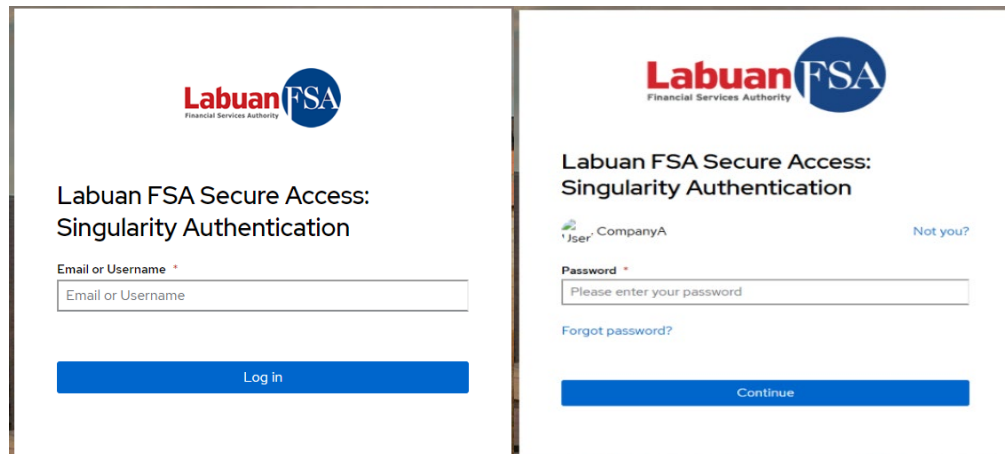
The screenshot shows the Labuan FSA logo at the top, with "Labuan" in red and "FSA" in blue. Below the logo, it says "Create Account" and "Please set your password". There are two light grey input fields: the first is labeled "Password" and the second is labeled "Confirm Password". Below these fields is a green button with white text "Save". At the bottom of the page, in a light grey footer, is the text "Access v1.0.0 © 2025".

- 7) Select **Save**.
- 8) You will be redirected to the **Access Landing Page**.

1.2. Access and Login

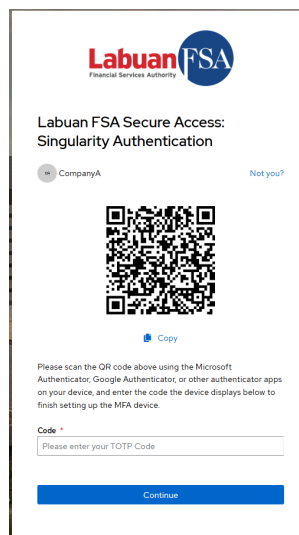
1.2.1. Accessing the Access Landing Page

- 1) Open a web browser.
- 2) Enter URL: <https://access.labuanfsa.gov.my/#/auth/signin>
- 3) Enter your registered **Username** or **Email** and select **Log In**.
- 4) Enter your **password**.



The image displays two side-by-side screenshots of the Labuan FSA Secure Access: Singularity Authentication landing page. The left screenshot shows the 'Email or Username' input field and the 'Log in' button. The right screenshot shows the 'Password' input field and the 'Continue' button.

- 5) For first time login, you need to setup the **Multi-Factor Authentication (MFA)**.
 - a) You may use any authenticator apps (**recommended Microsoft Authenticator or Google Authenticator**).
 - b) Enter the **Authentication Code**.
 - c) Select **Continue**.

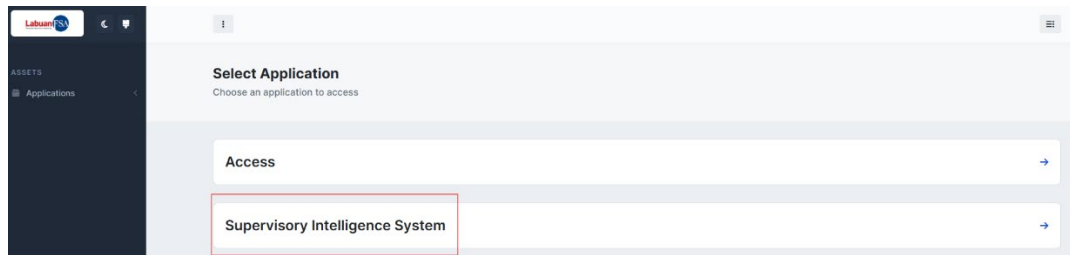


The image shows a screenshot of the Labuan FSA Secure Access: Singularity Authentication MFA setup page. It features a QR code for scanning and a 'Code' input field for the TOTP code.

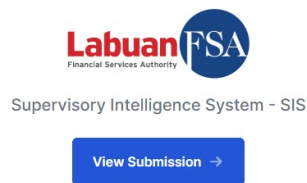
1.2.2. Accessing the Supervisory Intelligence System (SIS) v1.0 Application.

- 1) After logging in with your credentials, you should be redirected to the **Access Landing Page**.

- 2) Next, select **Supervisory Intelligence System**.



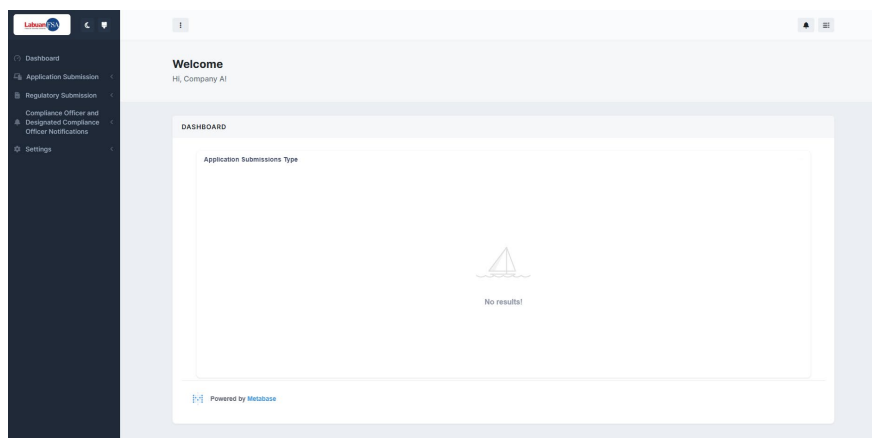
- 3) You should be redirected to <https://sis.labuanfsa.gov.my/#/>.



- 4) Select **View Submission**.
5) Then select **Log in with LabuanFSA SSO**.



- 6) You should be redirected to the **SIS Customer Portal**.



2.0. External User's Function (Customer Portal)

2.1. Selecting Active Company

The screenshot shows a form titled "Select Active Company" with the instruction "Select your current company to track and store submissions accordingly." Below the title, there are three columns representing different companies: COMPANY 1, COMPANY 2, and COMPANY 3. Each column contains a "Name of Company" field (pre-filled with "Company 1", "Company 2", and "Company 3" respectively), a "Type Of Licence" field, and a "Nature of Legal Entity" field. At the bottom of each column is a blue "Choose" button. The "COMPANY 1" header has a red "Active" status indicator.

- 1) For Insurance Manager/Trust Company users that have access to multiple companies, **Choose** on the intended company, scroll down and select **Next**.
- 2) Similarly, user can switch active company at the left side menu under **Settings** → **Switch Active Company**.

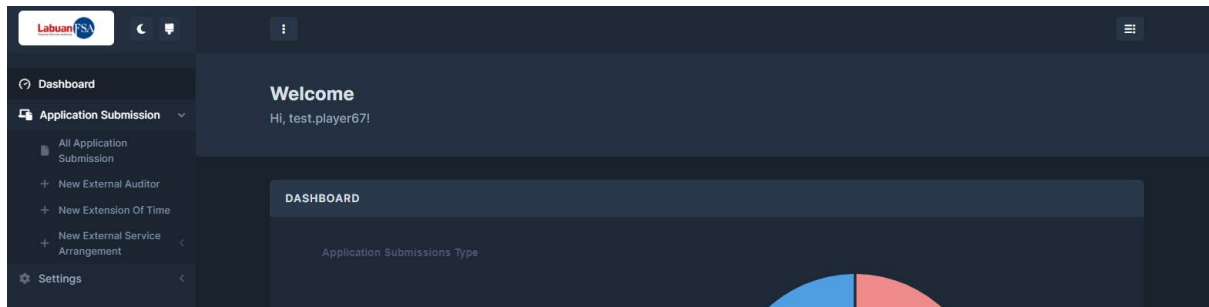
This screenshot shows the same "Change Active Company" form as above, but within a larger dashboard context. On the left, there is a sidebar menu with options: "Dashboard", "Application Submission", "Settings", and "Switch Active Company" (which is highlighted). The main content area has the title "Change Active Company" and the same instruction. The form structure is identical to the previous screenshot, with three company columns and "Choose" buttons. In this view, "COMPANY 3" is marked as "Active" with a red indicator.

Please note that user with multiple active companies need to select the intended company to view applications under the respective company in the **All Application Submission** list, as the listings are segregated by company.

2.2. External Auditor Application

2.2.1. Creating an External Auditor (EA) Application

- 1) Go to **Application Submission** on the left side bar.
- 2) Select **New External Auditor**.



- 3) Fill the application form and upload required documents.

The screenshot shows the 'Application Submission' form. The form is divided into several sections: 'APPLICATION TYPE', 'PROFILE OF LABUAN FINANCIAL INSTITUTION', 'PARTICULARS OF THE APPOINTMENT', 'PROFILE OF THE APPOINTED EXTERNAL AUDITOR', and 'ADDITIONAL INFORMATION TO BE ENCLOSED WITH APPLICATION'. Each section contains various input fields, dropdown menus, and file upload buttons. The 'APPLICATION TYPE' section includes a dropdown for 'Application Type' and a radio button for 'Is processing fee paid? (USD350)'. The 'PROFILE OF LABUAN FINANCIAL INSTITUTION' section includes fields for 'Name of Company', 'Type Of Licence', and 'Nature of Legal Entity'. The 'PARTICULARS OF THE APPOINTMENT' section includes fields for 'FYE Period' and 'Proposed Date of Annual General Meeting'. The 'PROFILE OF THE APPOINTED EXTERNAL AUDITOR' section includes fields for 'Name of Audit Firm', 'Firm No', 'Address of the Audit Firm', 'Is the Firm registered with AOB', 'Remarks if the firm not registered with AOB', 'Engagement Partner (EP) Name', 'EP Phone Number', 'EP Email', 'CV Attachment of the EP', 'Concurring Partner (CP) Name', 'CP Phone Number', 'CP Email', and 'CV Attachment of the CP'. The 'ADDITIONAL INFORMATION TO BE ENCLOSED WITH APPLICATION' section includes fields for 'Statutory Declaration by the EP', 'SD Attachment', 'Detailed assessment by the Board or Board Audit Committee, as the case may be', 'To attach assessment', 'Extract of board minutes endorsing the proposed appointment/reappointment of the EP, CP, and audit firm', and 'To attach extraction of board minutes'.

2.2.2. EA – Application Type

APPLICATION TYPE

Application Type
New Appointment No Change of Firm But Different EP and CP Appointed ✖ ▼

Is processing fee paid ? (USD350)
☒ No

Processing Fee Attachment

Choose Files No file chosen

Application Type Dropdown Selection

#	Dropdown Selection	Need Payment?
1	New Appointment - Change of Firm and The Partners	Yes
2	New Appointment - No Change of Firm But Different EP and CP Appointed	Yes
3	Reappointment - No Change Of Firm and EP and CP Appointed	No
4	New Application	Yes

2.2.3. EA – Submitting Profile of the Appointed External Auditor

- 1) The fields will be auto-populated based on the profile of the audit firm registered with Labuan FSA

PROFILE OF THE APPOINTED EXTERNAL AUDITOR

Name of Audit Firm
Name of Audit Firm

Firm No
Firm No

Address of the Audit Firm
Address

- 2) For **Is the Firm registered with AOB**, there are two selections:
Default value is **No**.
 - a) **No** - If you select **No**, then the text area for the remarks will appear, and it is a mandatory field to fill in.

Is the Firm registered with AOB

☐ No

Remarks if the firm not registered with AOB

- b) **Yes** - If you select **Yes**, then the text area for the remarks will disappear, and you can proceed with the next field.

Is the Firm registered with AOB

☒ Yes

- 3) Next, fill in the **Engagement Partner (EP) and Concurring Partner (CP)** fields.

#	Field	Data Type	Remarks
1	Engagement Partner (EP) Name	Alphanumeric	Full name of EP
2	EP Phone Number	Numeric	Valid phone number
3	EP Email	Proper email format (<i>someone@somewhere.xx</i>)	Must be valid email format
4	CV Attachment of the EP	File Upload	Upload supporting document
5	Concurring Partner (CP) Name	Alphanumeric	Full name of CP
6	CP Phone Number	Number	Valid phone number
7	CP Email	Proper email format (<i>someone@somewhere.xx</i>)	Must be valid email format
8	CV Attachment of the CP	File Upload	Upload supporting document

2.2.4. EA – Profile of Labuan Financial Institution

PROFILE OF LABUAN FINANCIAL INSTITUTION

Name of Company

Type Of Licence

Nature of Legal Entity

The fields will be auto-populated based on the profile of the company submitting the application.

2.2.5. EA – Submitting Additional Information to be Enclosed with Application

#	Field	Data Type	Remarks
1	Statutory Declaration (SD)	Dropdown selection	Options: Yes / No / Not Applicable
2	SD Attachment	File Upload	Upload SD document <i>(to download and use the provided SD template)</i>
3	Detailed assessment by the Board or Board Audit Committee, as the case may be	Dropdown selection	Options: Yes / No / Not Applicable
4	To attach assessment	File Upload	Upload board assessment document
5	Extract of board minutes endorsing the proposed appointment/reappointment of the EP, CP and audit firm	Dropdown selection	Options: Yes / No / Not Applicable
6	To attach extraction of board minutes	File Upload	Upload board minutes

2.2.6. EA – Particulars of the Appointment

To complete this section, select the calendar dates based on the table below:

#	Field	Data Type	Remarks
1	FYE Period	Calendar Selection (Date range)	Select start date and end date (e.g. 1 Jan – 31 Dec 2024)
2	Proposed Date of Annual General Meeting	Calendar Selection (Single date)	Select single date (e.g. 26 April 2024)

2.2.7. EA – Saving as draft

You can save the application as draft by clicking **Save as draft**.

2.2.8. EA – Submitting the EA Form

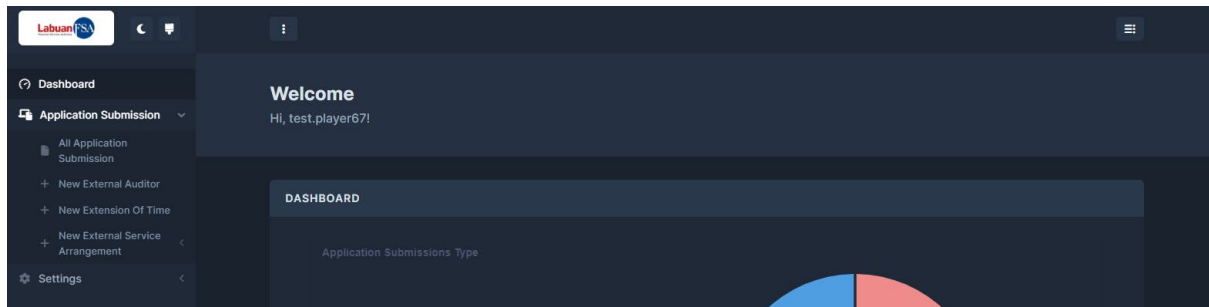
Once you have completed all the steps, click **Submit** to submit the application.

Note that once you have submitted the application, you are not able to edit or amend the application. For any amendment after submission, please liaise with Supervision Department.

2.3. Extension of Time (EOT) Application

2.3.1. Creating an EOT Application

- 1) Go to **Applications Submission** on the left side bar.
- 2) Select **New Extension of Time**.



- 3) Fill the application form and upload required documents.

The screenshot shows the 'Application Submission' form. The title is 'Application Submission' with a subtitle 'Submit Extension Of Time'. There are three main sections: 'APPLICATION TYPE', 'PROFILE OF LABUAN FINANCIAL INSTITUTION', and 'PARTICULARS OF THE REGULATORY SUBMISSION'.
1. 'APPLICATION TYPE':
- Application Type: 'Extension Of Time For Regulatory Submission' (dropdown menu).
- Is processing fee paid?: Radio button for 'No' is selected.
- Processing Fee Attachment: 'Choose Files' button, 'No file chosen' text.
2. 'PROFILE OF LABUAN FINANCIAL INSTITUTION':
- Name of Company: 'Company 3'.
- Type Of Licence: (empty field).
- Nature of Legal Entity: 'Subsidiary'.
3. 'PARTICULARS OF THE REGULATORY SUBMISSION':
- Type of Submission: 'Choose submission type...' (dropdown menu).
- Deadline of the Submission: 'Y-m-d' (empty field).
- Extension of Time Requested: 'Y-m-d' (empty field).
- Justification: 'Please choose justification' (dropdown menu).
- Others, If Any: (empty text area).
- Supporting Document Attachment: 'Choose Files' button, 'No file chosen' text.
At the bottom right are 'Save as draft' and 'Submit' buttons. The footer shows 'LFSA © 2024' and 'Supervisory Intelligence System v1.0.0'.

2.3.2. EOT – Application Type

APPLICATION TYPE

Application Type

Choose form type..

Is processing fee paid ?

☐ No

Processing Fee Attachment

Choose Files

No file chosen

#	Field	Data Type	Remarks
1	Application Type	Dropdown selection	Option: Extension of Time for Regulatory Submission
2	Is processing fee paid?	Button selection (Yes / No)	Select applicable option
3	Processing Fee Attachment	File upload	Upload receipt generated from LEPAY system

2.3.3. EOT – Profile of Labuan Financial Institution

PROFILE OF LABUAN FINANCIAL INSTITUTION

Name of Company

Company 3

Type Of Licence

Nature of Legal Entity

The fields will be auto-populated based on the profile of the company submitting the application.

2.3.4. EOT – Particulars of the Regulatory Submission

- 1) For this section, the options in the **Type of Submission** dropdown list follow suit with the **Type of License**.

Refer to the table below for detailed information:

#	Field	Data Type	Remarks
1	Type of Submission	Dropdown selection	<p>Note: Only one type of submission can be selected per application. For multiple EOT requests, submit a separate application for each.</p> <p>Option:</p> <ul style="list-style-type: none"> • Audited Financial Statement (AFS) • Actuarial Valuation Report • Independent Audit Report on Anti-Money Laundering, Counter Financing of Terrorism (IA AML/CFT) • General Internal Audit Report / Letter of Compliance • Annual Compliance Report • Summary of Reinsurance Arrangements • Annual Identification and Verification For e-KYC • Annual Summary Report of Exposure to Customers and Beneficial Owners from High-Risk Countries • Shariah Compliance Report • Shariah Internal Audit Report
2	Deadline of the Submission	Calendar Selection (Single Date)	The actual deadline of your original submission
3	Extension of Time Requested	Calendar Selection (Single Date)	The new proposed submission date

- 2) Then, select your justification.

#	Field	Data Type	Remarks
1	Justification	Dropdown selection	Options: <ul style="list-style-type: none"> • Delayed Caused by the Management • Delayed Caused by the Auditor • Other Reason
2	Others, If Any	Alphanumeric	Specify if "Other Reason" is selected. You may enter N/A if there is no justification is required.

- 3) Finally, upload your supporting document to support the justification given (in PDF, DOC etc.)

Supporting Document Attachment

Choose Files No file chosen

2.3.5. EOT – Saving as draft

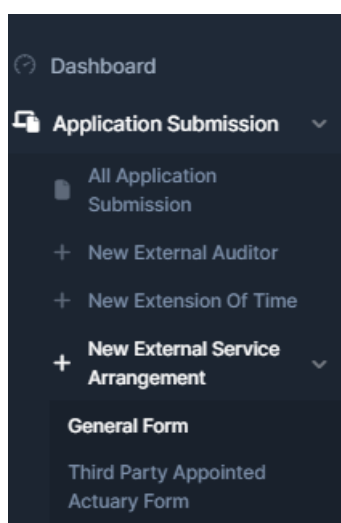
Save as draft Submit

You can save the application as draft by clicking **Save as draft**.

2.3.6. EOT – Submitting the EOT Form

Once you have completed all the steps, click **Submit** to submit the application

2.4. ESA – Selecting type of ESA application



Under **New External Service Arrangement**, select either **General Form** or **Third Party Appointed Actuary Form**.

2.5. ESA – General Form – Application Type

APPLICATION TYPE

Application Type

External Service Arrangement (General Form) ✕ ▼

Is processing fee paid ?

☐ No

Processing Fee Attachment

Choose Files

No file chosen

#	Field	Data Type	Remarks
1	Application Type	By default, and unchangeable: External Services Arrangement (General Form)	Default value: <ul style="list-style-type: none">External Services Arrangement (General Form)
2	Is processing fee paid?	Button selection (Yes / No)	Select applicable option
3	Processing Fee Attachment	File upload	Upload receipt generated from LEPAY system

2.5.1. ESA – General Form – Profile of Labuan Financial Institution

PROFILE OF LABUAN FINANCIAL INSTITUTION

Name of Company

Company 3

Type Of Licence

Nature of Legal Entity

The fields will be auto-populated based on the profile of the company submitting the application.

2.5.2. ESA – General Form – Particulars of the Appointment

PARTICULARS OF THE APPOINTMENT

Name Of Service Provider (SP)

Type of Service Provider

Please choose

Commencement of the ESA

Y-m-d

Expiry or Renewal Date

Y-m-d

Location where the material ESA is undertaken

Country

Choose Country..

City

Choose City..

Total cost of the ESA (per annum)

Currency

Choose Country..

Cost

Including upfront and ongoing expenses

Registered Address (SP)

Address

Postcode

City

Country

Choose Country..

Sub-Contractor

No

Utilisation of Cloud Services

If there is a usage of cloud service, please fill in the following:

- The cloud services
- Deployment model
- Nature of data to be held
- Locations data is stored, including back-up locations

No

Impact to LFI's Resources

Overall impact of the arrangement on employment and talent capacity within the LFI


No

#	Field	Data Type	Remarks
1	Name of Service Provider (SP)	Alphanumeric	Full legal name of the SP
2	Type of Service Provider	Dropdown selection	Options: <ul style="list-style-type: none"> Head Office GS Third Party Service Provider
3	Commencement of the ESA	Calendar Selection (Single Date)	Date the ESA agreement starts
4	Expiry of Renewal Date	Calendar Selection (Single Date)	Expiry or next renewal date of the ESA

#	Field	Data Type	Remarks
5	Location where the material ESA is undertaken – Country	Dropdown selection	Options: Commonly known countries
6	Location where the material ESA is undertaken – City	Dropdown selection	Options: Corresponding cities based on selected country
7	Total cost of the ESA (per annum) – Currency	Dropdown selection	Options: Commonly known currencies
8	Total cost of the ESA (per annum) – Cost	Numeric	Enter numeric value in selected currency (no symbols)
9	Registered Address (SP) – Address	Alphanumeric	Full registered address of the SP
10	Registered Address (SP) – Postcode	Numeric	Enter valid postcode
11	Registered Address (SP) – City	Alphanumeric	Corresponding city
12	Registered Address (SP) – Country	Dropdown selection	Options: Commonly known countries
13	Sub-Contractor	Button selection (Yes / No)	Select applicable option
14	Utilisation of Cloud Services	Button selection (Yes / No)	Select applicable option
15	Impact to LFI's Resources	Button selection (Yes / No)	Select applicable option

2.5.3. Particulars of the Outsourced Function(s)

PARTICULARS OF THE OUTSOURCED FUNCTION(S)

FUNCTION	DESCRIPTION OF THE FUNCTION	MATERIALITY	ACTIONS
<input type="text"/>	<input type="text"/>	Choose	

Add New

#	Field	Data Type	Remarks
1	Function	Alphanumeric	Enter the name of the outsourced function in the function field
2	Description of the Function	Alphanumeric	To provide a clear overview that highlights the purpose, specific tasks and responsibilities involved in the function, acronyms used in the description along with corresponding definitions for

#	Field	Data Type	Remarks
			clarity, any technical requirements or tools needed for the function, expectation e.g. any deadlines or standards to be met by the outsourced party
3	Materiality	Dropdown selection	Options: <ul style="list-style-type: none"> Material Not Material
4	Select Add Row and repeat entry steps		
5	Select Delete Row to remove selected entry		

2.5.4. Checklist

Please complete the checklist by following these steps:

CHECKLIST

A copy of board resolution, board confirmation or evidence of similar approval granted by the relevant approval authority on ESA appointment
☐ No

To attach board resolution

Choose Files
No file chosen

Outcomes of the due diligence process
☐ Not cleared

To attach outcomes of the due diligence process


Choose Files
No file chosen

#	Field	Data Type	
1	A copy of board resolution, board confirmation or evidence of similar approval granted by the relevant approval authority on ESA appointment	<ul style="list-style-type: none"> Button selection (Yes / No) File upload 	If Yes is selected, upload a copy of the board resolution, confirmation, or equivalent approval
2	Outcomes of the due diligence process	<ul style="list-style-type: none"> Button selection (Cleared / Not cleared) File upload 	If Cleared or Not cleared is selected, upload outcome document

2.5.5. ESA – Saving as draft

You can save the application as draft by clicking **Save as draft**.

2.5.6. ESA – Submitting the ESA Form

Once you have completed all the steps, click  to submit the application

2.6. ESA – Third Party Appointed Actuary Form – Application Type

APPLICATION TYPE

Application Type

External Service Arrangement (Third Party Appointed Actuary Form) ✕ ▼

Is processing fee paid ?

☐ No

Processing Fee Attachment

Choose Files

No file chosen

#	Field	Data Type	
1	Application Type	By default, and unchangeable: External Services Arrangement (Third Party Appointed Actuary Firm)	Default value: (Third Party Appointed Actuary Firm)
2	Is processing fee paid?	Button selection (Yes / No)	Select applicable option
3	Processing Fee Attachment	File upload	Upload receipt generated from LEPAY system

2.6.1. ESA – Third Party Appointed Actuary Form – Profile of Labuan Financial Institution

PROFILE OF LABUAN FINANCIAL INSTITUTION

Name of Company

Company 3

Type Of Licence

Nature of Legal Entity

The fields will be auto-populated based on the profile of the company submitting the application

2.6.2. ESA – Third Party Appointed Actuary Form – Particulars of the Appointment


PARTICULARS OF THE APPOINTMENT			
Name Of Service Provider (SP)		Registered Address (SP)	
<input type="text"/>		<input type="text"/>	
Type of Service Provider		Address	
<input type="text" value="Please choose"/>		<input type="text"/>	
Commencement of the ESA		Postcode	City
<input type="text" value="Y-m-d"/>		<input type="text"/>	<input type="text"/>
Expiry or Renewal Date		Country	
<input type="text" value="Y-m-d"/>		<input type="text" value="Choose Country.."/>	
Location where the material ESA is undertaken		Sub-Contractor	
Country	City	<input type="radio"/> No	
<input type="text" value="Choose Country.."/>	<input type="text" value="Choose City.."/>	Utilisation of Cloud Services	
Total cost of the ESA (per annum)		If there is a usage of cloud service, please fill in the following:	
Currency	Cost	<ul style="list-style-type: none"> The cloud services Deployment model Nature of data to be held Locations data is stored, including back-up locations 	
<input type="text" value="Choose Country.."/>	<input type="text"/>	<input type="radio"/> No	
Including upfront and ongoing expenses		Impact to LFI's Resources	
		Overall impact of the arrangement on employment and talent capacity within the LFI	
		<input type="radio"/> No	

#	Field	Data Type	Remarks
1	Name of Service Provider (SP)	Alphanumeric	Full legal name of the SP
2	Type of Service Provider	Dropdown selection	Options: • Head Office GS Third Party Service Provider
3	Commencement of the ESA	Calendar Selection (Single Date)	Date the ESA agreement starts
4	Expiry of Renewal Date	Calendar Selection (Single Date)	Expiry or next renewal date of the ESA
5	Location where the material ESA is undertaken – Country	Dropdown selection	Options: Commonly known countries
6	Location where the material ESA is undertaken – City	Dropdown selection	Options: Corresponding cities based on selected country
7	Total cost of the ESA (per annum) – Currency	Dropdown selection	Options: Commonly known currencies
8	Total cost of the ESA (per annum) – Cost	Numeric	Enter numeric value in selected currency (no symbols)
9	Registered Address (SP) – Address	Alphanumeric	Full registered address of the SP
10	Registered Address (SP) – Postcode	Numeric	Enter valid postcode

#	Field	Data Type	Remarks
11	Registered Address (SP) – City	Alphanumeric	Corresponding city
12	Registered Address (SP) – Country	Dropdown selection	Options: Commonly known countries
13	Sub-Contractor	Button selection (Yes / No)	Select applicable option
14	Utilisation of Cloud Services	Button selection (Yes / No)	Select applicable option
15	Impact to LFI's Resources	Button selection (Yes / No)	Select applicable option

2.6.3. ESA – Third Party Appointed Actuary Form – Particular of the Outsource Function(s)

PARTICULARS OF THE OUTSOURCED FUNCTION(S)

FUNCTION	DESCRIPTION OF THE FUNCTION	MATERIALITY	ACTIONS
<input type="text"/>	<input type="text"/>	Choose ▾	

[Add New](#)

#	Field	Data Type	Remarks
1	Function	Alphanumeric	Enter the name of the outsourced function in the function field
2	Description of the Function	Alphanumeric	To provide a clear overview that highlights the purpose, specific tasks and responsibilities involved in the function, acronyms used in the description along with corresponding definitions for clarity, any technical requirements or tools needed for the function, expectation e.g. any deadlines or standards to be met by the outsourced party
3	Materiality	Dropdown selection	Options: <ul style="list-style-type: none"> • Material • Not Material
4	Select Add Row and repeat entry steps		
5	Select Delete Row to remove selected entry		

2.6.4. ESA - Third Party Appointed Actuary Form

For appointment of third party Appointed Actuary, fill this following section.

FOR APPOINTMENT OF 3RD PARTY APPOINTED ACTUARY, FILL THIS FOLLOWING SECTION

Name of the Appointed Actuary

Fellowship

- ☐ Canadian Institute of Actuaries
- ☐ Casualty Actuarial Society of the United States of America
- ☐ China Association of Actuaries
- ☐ Institute and Faculty of Actuaries of the United Kingdom
- ☐ Institute of Actuaries of Australia
- ☐ Society of Actuaries in Ireland
- ☐ Society of Actuaries of the United States of America

Fellowship, Others

#	Field	Data Type	Remarks
1	Name of the Appointed Actuary	Alphanumeric	Full name of the appointed actuary
2	Fellowship	Checkboxes (multiple selection allowed)	Select applicable fellowship(s)
3	Fellowship, Others	Alphanumeric	Specify if Others is selected in Fellowship

2.6.5. ESA - Third Party Appointed Actuary Form – Checklist

CHECKLIST

A copy of board resolution, board confirmation or evidence of similar approval granted by the relevant approval authority on ESA appointment

☐ No

To attach board resolution

Choose Files

N...sen

Outcomes of the due diligence process

☐ Not cleared

To attach outcomes of the due diligence process

Choose Files

N...sen

For appointment of Appointed Actuary

Fellowship certification

☐ No

To attach Fellowship Certification

Choose Files

N...sen

Training log in meeting CPD requirement

☐ No

To attach training log in meeting CPD requirement:

Choose Files

N...sen

#	Field	Data Type	Remarks
1	A copy of board resolution, board confirmation or evidence of similar approval granted by the relevant approval authority on ESA appointment	<ul style="list-style-type: none"> Button selection (Yes / No) File upload 	If Yes is selected, upload a copy of the board resolution, confirmation, or equivalent approval
2	Outcomes of the due diligence process	<ul style="list-style-type: none"> Button selection (Cleared / Not cleared) File upload 	If Cleared or Not cleared is selected, upload the outcome document
3	For appointment of Appointed Actuary – Fellowship certification	<ul style="list-style-type: none"> Button selection (Yes / No) File upload 	If Yes is selected, upload the Fellowship certification
4	For appointment of Appointed Actuary – Training log in meeting CPD requirement	<ul style="list-style-type: none"> Button selection (Yes / No) File upload 	If Yes is selected, upload the CPD training log

2.6.6. Saving Draft and Submitting the ESA is the same as 2.5.5. & 2.5.6.

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3.0. Regulatory Reporting Submissions

There are 10 types of submissions under the Regulatory Submission Tab. Please ensure submission are of the appropriate quality, legible and arrange in an orderly manner.

The submission types are as follows:

- i) Audited financial statement
- ii) Actuarial valuation report
- iii) Internal audit report
- iv) Independent audit report on anti-money laundering and counter financing of terrorism
- v) Letter of compliance
- vi) Annual compliance report
- vii) Summary of reinsurance arrangements
- viii) Annual identification and verification for e-KYC
- ix) Annual summary report of exposure to customers and beneficial owners from high-risk countries
- x) Shariah compliance report
- xi) Shariah internal audit report

Please note that the submission methods are the same for each of the following groups:

- i) Audited financial statement and actuarial valuation report
- ii) Internal audit report / Letter of compliance and Shariah internal audit report.
- iii) Annual compliance report, Summary of reinsurance arrangements, Identification and verification e-KYC, Annual summary report on customer and beneficial owner exposure to high-risk Countries, and Shariah compliance report.

3.1. Audited Financial Statement and Actuarial Valuation Report

The screenshot shows a web form with two main sections: 'SUBMISSION' and 'PROFILE OF LABUAN FINANCIAL INSTITUTION'. The 'SUBMISSION' section includes a 'Financial Year End' field with a date picker (Y-m-d), an 'Attachment' section with a 'Combine Files into One' instruction and a 'Browse...' button, and a 'Save as draft' or 'Submit' button at the bottom right. The 'PROFILE OF LABUAN FINANCIAL INSTITUTION' section includes fields for 'Name of Company' (Company 3), 'Type Of Licence', and 'Nature of Legal Entity'.

- 1) Under the **Financial Year End** field, choose the relevant financial year end for your submission (e.g. 2024-12-31).
- 2) Under **Attachment**, select **Browse**, and upload your attachment.
- 3) Once the document is uploaded, choose either:
 - Save as Draft – if you wish to review or complete the submission later.
 - Submit – if your submission is complete and ready for processing.

3.2. Independent Audit Report on Anti-Money Laundering, Counter Financing of Terrorism (IA AML/CFT)

The screenshot shows a web form with two main sections: 'SUBMISSION' and 'PROFILE OF LABUAN FINANCIAL INSTITUTION'. The 'SUBMISSION' section includes a 'Date Of Submission To The Board' field with a date picker (Y-m-d), an 'Attachment' section with a 'Combine Files into One' instruction and a 'Browse...' button, and a 'Save as draft' or 'Submit' button at the bottom right. The 'PROFILE OF LABUAN FINANCIAL INSTITUTION' section includes fields for 'Name of Company' (Company 3), 'Type Of Licence', and 'Nature of Legal Entity'.

- 1) Under the **Date Of Submission To The Board** field, choose the relevant date for your submission (e.g. 2024-12-31).
- 2) Under **Attachment**, select **Browse**, and upload your attachment.
- 3) Once the document is uploaded, choose either:
 - Save as Draft – if you wish to review or complete the submission later.
 - Submit – if your submission is complete and ready for processing.

3.3. Internal Audit Report / Letter of Compliance and Shariah Internal Audit Report

The screenshot shows a web form with two main sections: 'SUBMISSION' and 'PROFILE OF LABUAN FINANCIAL INSTITUTION'. The 'SUBMISSION' section includes a 'Date Of Completion' field with a 'Y-m-d' placeholder, an 'Attachment' section with a teal box that says 'Combine Files into One' and 'Combine all files into a single document before uploading to ensure smooth processing.', and a 'Browse...' button with the text 'No file selected.' below it. The 'PROFILE OF LABUAN FINANCIAL INSTITUTION' section includes three text input fields: 'Name of Company' (with 'Company 3' entered), 'Type Of Licence', and 'Nature of Legal Entity'. At the bottom right, there are two buttons: 'Save as draft' and 'Submit'.

- 1) Under the **Date of Completion** field, choose the relevant completion date for your submission (e.g. 2024-12-31).
- 2) Under **Attachment**, select **Browse**, and upload your attachment.
- 3) Once the document is uploaded, choose either:
 - Save as Draft – if you wish to review or complete the submission later.
 - Submit – if your submission is complete and ready for processing.

3.4. Annual Compliance Report, Summary of Reinsurance Arrangements, Identification and Verification e-KYC, Annual Summary Report on Customer and Beneficial Owner Exposure to High-Risk Countries, and Shariah Compliance Report

The screenshot shows a web form with two main sections: 'SUBMISSION' and 'PROFILE OF LABUAN FINANCIAL INSTITUTION'. The 'SUBMISSION' section includes a 'For Year' field with a dropdown menu showing '2024' and a red 'x' icon, an 'Attachment' section with a teal box that says 'Combine Files into One' and 'Combine all files into a single document before uploading to ensure smooth processing.', and a 'Browse...' button with the text 'No file selected.' below it. The 'PROFILE OF LABUAN FINANCIAL INSTITUTION' section includes three text input fields: 'Name of Company' (with 'Company 3' entered), 'Type Of Licence', and 'Nature of Legal Entity'. At the bottom right, there are two buttons: 'Save as draft' and 'Submit'.

- 1) Under the **For Year** field, choose the relevant reporting year for your submission (e.g. 2024).
- 2) Under **Attachment**, select **Browse**, and upload your attachment.
- 3) Once the document is uploaded, choose either:
 - Save as Draft – if you wish to review or complete the submission later.
 - Submit – if your submission is complete and ready for processing.

4.0. Compliance Officer and Designated Compliance Officer Notifications (CO/DCO)

This section facilitates the submission of notifications related to the appointment or resignation of a Compliance Officer (CO) or Designated Compliance Officer (DCO).

Previously, these were submitted via hardcopy or email to the Supervision Department co@labuanfsa.gov.my. They must now be submitted **online via the system**.

4.1. Viewing Submitted Compliance Officer and Designated Compliance Officer Notifications

To view previously submitted notifications for CO/DCO, follow these steps:

- 1) Access the CO/DCO Notification Menu
 - On the left menu, select Compliance Officer and Designated Compliance Officer Notifications.
- 2) View All Notifications
 - Click All Compliance Officer and Designated Compliance Officer Notifications to view a full list of your submissions.
- 3) Use Filters for easy Search
 - Use the search bar or filters (e.g. by Application ID) to locate a specific submission.
- 4) Review Submission Details. Each row displays key details such as:
 - Notification Type (e.g., Appointment or Resignation)
 - Attachment (Click View Attachment to open the submitted file)
 - Company Information (Name, licence type, legal entity)
 - Officer Details (Name, contact info, designation, effective date)

The screenshot shows a web application interface titled "Compliance Officer and Designated Officer Notifications". It includes a header with "View all submitted notifications" and a "View All Notifications > All" link. Below the header is a table with columns: APPLICATION ID, NOTIFICATION TYPE, ATTACHMENT, COMPANY, and DETAILS. The table contains one row with the following data:

APPLICATION ID	NOTIFICATION TYPE	ATTACHMENT	COMPANY	DETAILS
	Notification of Compliance Officer Appointment	View attachment	Company Name: Company 3 Type Of Licence: Nature Of Legal Entity:	Name of Compliance Officer : Contact Number : Email Address : Mailing Address : Effective Date : Designation : Serve as Designated Compliance

At the bottom, it says "Showing 1 to 1 of 1 entries" and has navigation buttons: "Previous", "Page 1 of 1", "Next", and "Jump to page".

4.2. Notification of Appointment and Resignation of Compliance Officer and Designated Compliance Officer

Both Appointment and Resignation follow a similar method of submission.

- 1) Under **Compliance Officer and Designated Compliance Officer Notifications (CO/DCO)**, select **Compliance Officer Notifications** or **Designated Compliance Officer Notifications** and select either **Appointment** or **Resignation**.
- 2) Then, fill in the form.
- 3) You can either **Save as Draft** or **Submit**.

For the vacant/resignation and termination of compliance officer:

- a) Reporting entity to notify Labuan FSA within 10 working days after effective date and to identify replacement within 30 days from the date of vacancy (to appoint acting / relief compliance officer during the vacancy period)
- b) In the case where the vacancy was due to dismissal of the compliance officer by reporting entity, reporting entity is required to notified LFSA accompanied by an explanation for the compliance officer's dismissal. (*i.e. Notification Letter with detailed explanation*)

#	Field	Data Type	Remarks
1	Name of Compliance Officer / Name of Designated Compliance Officer	Alphanumeric	Full name of the compliance officer
2	Contact Number	Alphanumeric	Valid contact number (include country code if required)
3	Email Address	Alphanumeric, email format	Must be valid email format
4	Mailing Address	Alphanumeric	Full mailing address
5	Date	Calendar Selection (Single Date)	Select applicable date
6	Designation	Alphanumeric	Enter designation of the compliance officer
7	Designation or Post at Management Level	Button selection (Yes / No)	Select applicable option
8	Attachment	Document Upload	To combine all supporting document into one and upload the supporting document

Compliance Officer Notification

Submit Appointment of Compliance Officer

[View All Notifications](#) > [Compliance Officer Notifications](#) > [Appointment](#)

NOTIFICATION

Name of Compliance Officer

Contact Number

Email Address

Mailing Address

Date

Year

Designation

Serve as Designated Compliance Officer

☒ No

Attachment

Combine Files Into One

Combine all files into a single document before uploading to ensure smooth processing.

Browse...

No file selected.

PROFILE OF LABEIAN FINANCIAL INSTITUTION

Name of Company

Company 3

Type Of Licence

Nature of Legal Entity

Save as draft

Submit