

# 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 entity<sup>1</sup>, please select **I am registering on behalf of another entity**.

**Entity Details** + Add

**Entity #1**

Entity Name	
LL Number	Licence Number
Position	
<input checked="" type="checkbox"/> I am registering for the entity I represent.	

**Entity Details** + Add

**Entity #1**

Entity Name	
LL Number	Licence Number
Position	
<input type="checkbox"/> 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

<sup>1</sup> For trust company/insurance manager

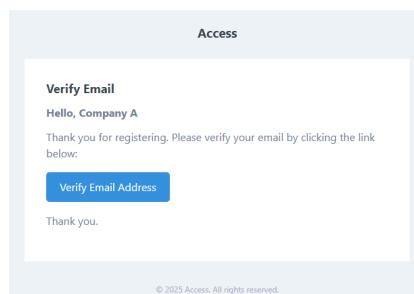
For **Position**, please select from predefined list of positions:

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

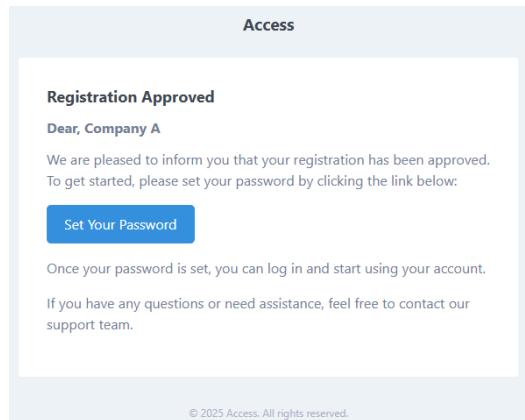
- 1) Check your email address used for the registration.
- 2) Open the email title **Please verify your email** sent by **Access – LabuanFSA** [noreply.singularity@labuanfsa.gov.my](mailto:noreply.singularity@labuanfsa.gov.my)



- 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](mailto: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**).

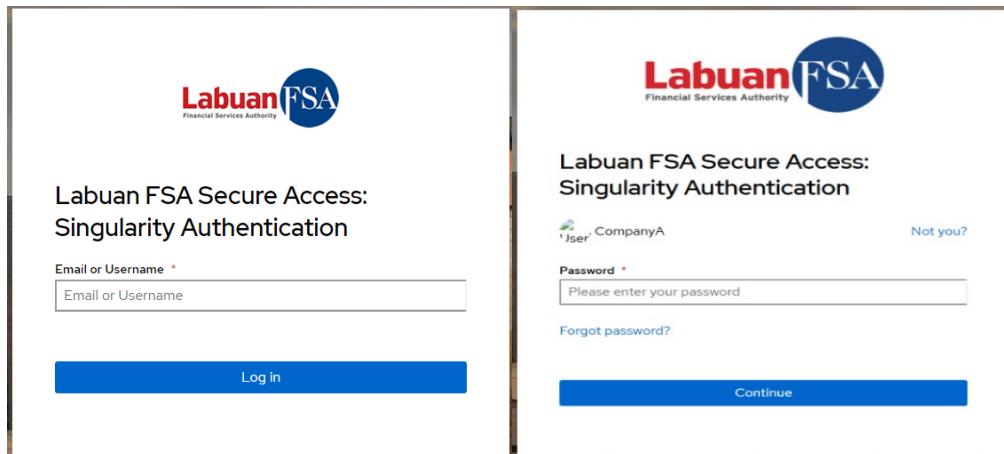
A screenshot of a 'Create Account' page for 'Labuan FSA'. The page title is 'Create Account' and a sub-instruction says 'Please set your password'. There are two input fields: 'Password' and 'Confirm Password', both with placeholder text. Below the fields is a green 'Save' button. At the bottom, a note reads 'Access v1.0.0 © 2025'.

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

## 1.2. Access and Login

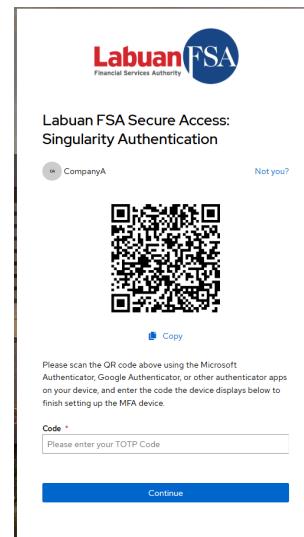
### 1.2.1. Accessing the Access Landing Page

- 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 contains two side-by-side screenshots of a web-based login interface. Both screenshots feature the 'Labuan FSA' logo at the top. The left screenshot shows the initial login screen with the text 'Labuan FSA Secure Access: Singularity Authentication' and a text input field labeled 'Email or Username' with a placeholder 'Email or Username'. A blue 'Log in' button is at the bottom. The right screenshot shows the password entry screen with the same header and a text input field labeled 'Password' with a placeholder 'Please enter your password'. Below the password field is a 'Forgot password?' link. A blue 'Continue' button is at the bottom. There are also 'User' and 'Not you?' links on the right side of the right screenshot.

- 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 MFA setup page. It features the 'Labuan FSA' logo and the text 'Labuan FSA Secure Access: Singularity Authentication'. It displays a QR code with a 'Copy' link below it. A text input field is provided for entering the TOTP code with a placeholder 'Please enter your TOTP Code'. A blue 'Continue' button is at the bottom. There are also 'CompanyA' and 'Not you?' links on the right side.

### 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/#/>.

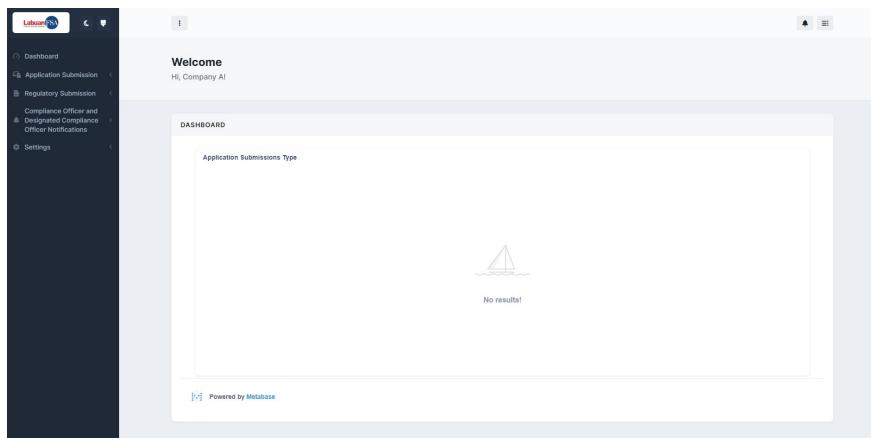


4) Select **View Submission**.

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

**Select Active Company**

Select your current company to track and store submissions accordingly.

COMPANY 1	COMPANY 2	COMPANY 3
Name of Company Company 1	Name of Company Company 2	Name of Company Company 3
Type Of Licence	Type Of Licence	Type Of Licence
Nature of Legal Entity	Nature of Legal Entity	Nature of Legal Entity
<b>Choose</b>	<b>Choose</b>	<b>Choose</b>

- 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**.

**Change Active Company**

Select your current company to track and store submissions accordingly.

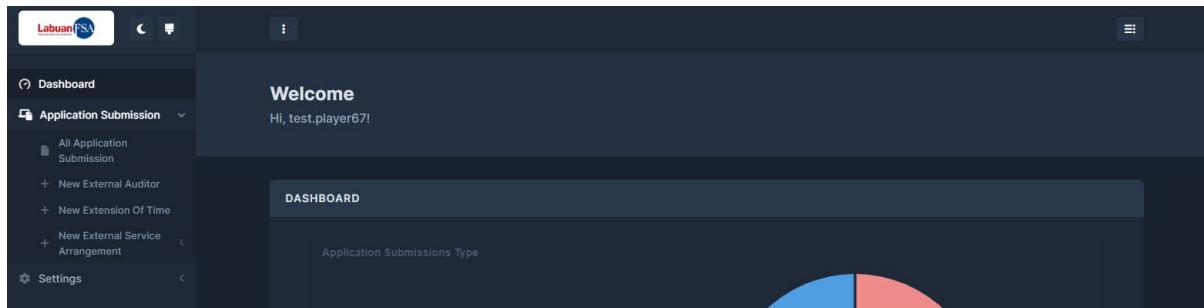
COMPANY 1	COMPANY 2	COMPANY 3
Name of Company Company 1	Name of Company Company 2	Name of Company Company 3
Type Of Licence	Type Of Licence	Type Of Licence
Nature of Legal Entity	Nature of Legal Entity	Nature of Legal Entity
<b>Choose</b>	<b>Choose</b>	<b>Choose</b>

*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.

## 2.2.2. EA – Application Type

APPLICATION TYPE

Application Type

New Appointment No Change of Firm But Different EP and CP Appointed X ▼

Is processing fee paid ? (USD350)

No

Processing Fee Attachment

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

Firm No

Address of the Audit Firm

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

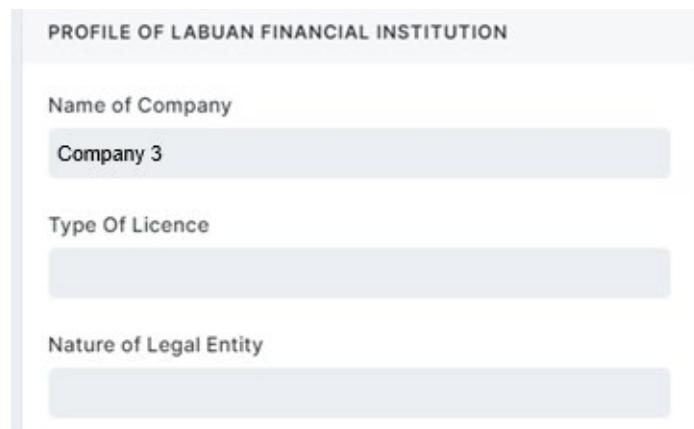
b) **Yes** - If you select **Yes**, then the text area for the remarks will disappear, and you can proceed with the next field.

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



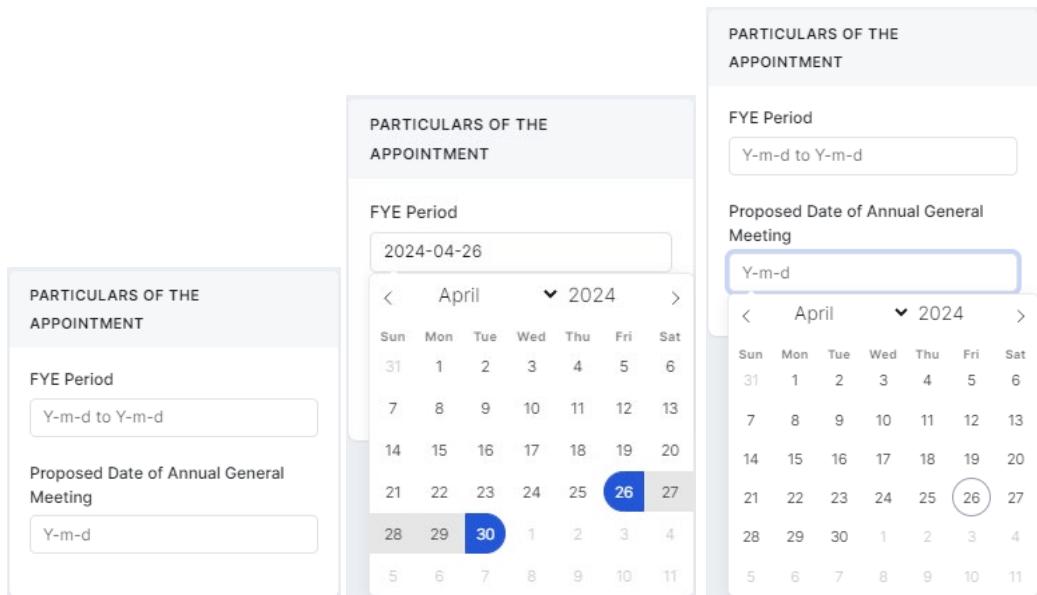
PROFILE OF LABUAN FINANCIAL INSTITUTION			
#	Field	Data Type	Remarks
1	Statutory Declaration (SD)	Dropdown selection	Options: Yes / No / Not Applicable
2	SD Attachment	File Upload	Upload SD document <i>(to download and use the provided SD template)</i>
3	Detailed assessment by the Board or Board Audit 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

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



The screenshot shows the 'PARTICULARS OF THE APPOINTMENT' section. It contains two calendar date pickers. The left one is for the 'FYE Period' (Y-m-d to Y-m-d) and the right one is for the 'Proposed Date of Annual General Meeting' (Y-m-d). Both pickers show a date range for April 2024, with the 26th highlighted in blue on both.

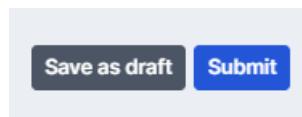
PARTICULARS OF THE APPOINTMENT						
FYE Period						
2024-04-26						
<	April	▼	2024	►	>	
Sun	Mon	Tue	Wed	Thu	Fri	Sat
31	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	1	2	3	4
5	6	7	8	9	10	11

PARTICULARS OF THE APPOINTMENT						
FYE Period						
Y-m-d to Y-m-d						
Proposed Date of Annual General Meeting						
Y-m-d						

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

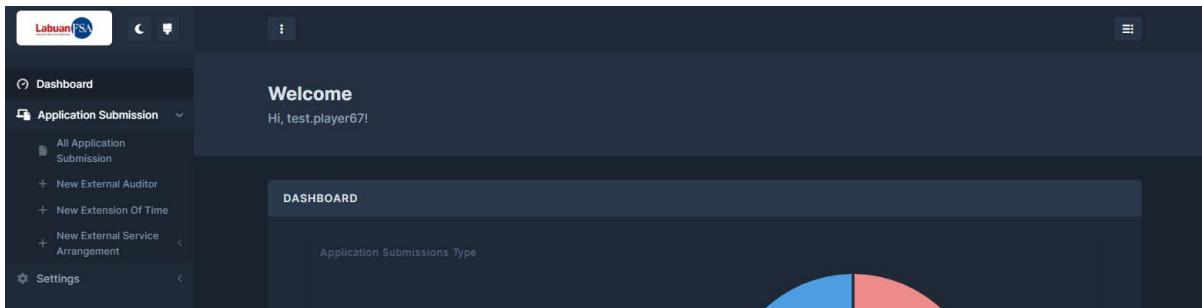
Once you have completed all the steps, click **Submit** to submit the application.

*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.

A screenshot of the 'Application Submission' form for 'New Extension Of Time'. The form is divided into three main sections: 'APPLICATION TYPE' (with 'Extension Of Time For Regulatory Submission' selected), 'PROFILE OF LABUAN FINANCIAL INSTITUTION' (with 'Name of Company' set to 'Company 3' and 'Type Of Licence' as 'Subsidiary'), and 'PARTICULARS OF THE REGULATORY SUBMISSION' (with fields for 'Type of Submission', 'Deadline of the Submission', 'Extension of Time Requested', 'Justification', and 'Others, If Any'). There are also sections for 'Processing Fee Attachment' and 'Supporting Document Attachment'. At the bottom are 'Save as draft' and 'Submit' buttons.

### 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
<b>1</b>	Type of Submission	Dropdown selection	<p>Note:</p> <p>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"> <li>• Audited Financial Statement (AFS)</li> <li>• Actuarial Valuation Report</li> <li>• Independent Audit Report on Anti-Money Laundering, Counter Financing of Terrorism (IA AML/CFT)</li> <li>• General Internal Audit Report / Letter of Compliance</li> <li>• Annual Compliance Report</li> <li>• Summary of Reinsurance Arrangements</li> <li>• Annual Identification and Verification For e-KYC</li> <li>• Annual Summary Report of Exposure to Customers and Beneficial Owners from High-Risk Countries</li> <li>• Shariah Compliance Report</li> <li>• Shariah Internal Audit Report</li> </ul>
<b>2</b>	Deadline of the Submission	Calendar Selection (Single Date)	The actual deadline of your original submission
<b>3</b>	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: • 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

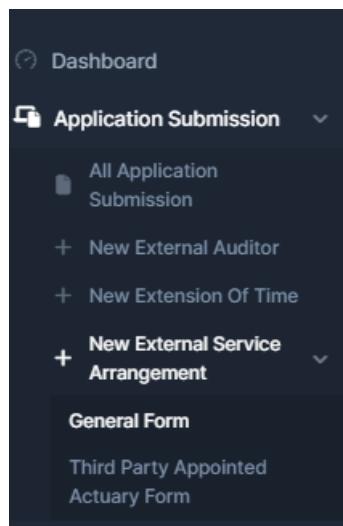
### 2.3.5. EOT – Saving as draft

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

### 2.3.6. EOT – Submitting the EOT Form

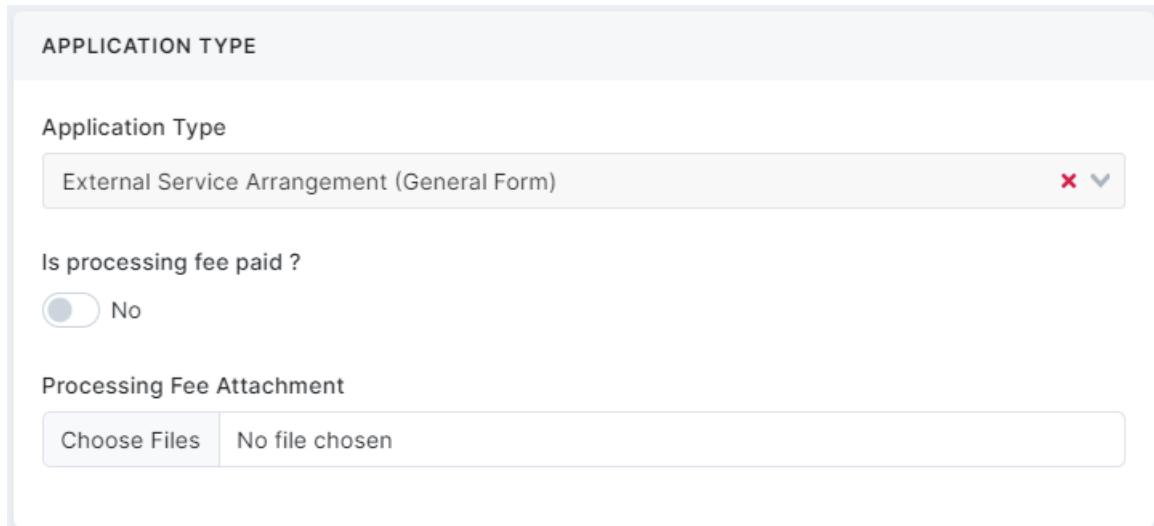
Once you have completed all the steps, click  to submit the application

## 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"><li>External Services Arrangement (General Form)</li></ul>
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)  
[Redacted]

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: [Redacted]

Including upfront and ongoing expenses

Registered Address (SP)  
Address  
[Redacted]

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"> <li>Head Office GS</li> <li>Third Party Service Provider</li> </ul>
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"/>	<input type="button" value="Choose"/>	<input type="button" value="Delete"/>
<input type="button" value="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"><li>• Material</li><li>• Not Material</li></ul>
4	Select <b>Add Row</b> and repeat entry steps		
5	Select <b>Delete Row</b> 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  No file chosen

Outcomes of the due diligence process  Not cleared  To attach outcomes of the due diligence process  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"> <li>• Button selection (Yes / No)</li> <li>• File upload</li> </ul>	If <b>Yes</b> 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"> <li>• Button selection (Cleared / Not cleared)</li> <li>• File upload</li> </ul>	If <b>Cleared</b> or <b>Not cleared</b> 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 **Submit** 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) Address
Type of Service Provider	Postcode      City      Country Please choose      Choose Country..
Commencement of the ESA	Sub-Contractor Y-m-d
Expiry or Renewal Date	Utilisation of Cloud Services Y-m-d
Location where the material ESA is undertaken	If there is a usage of cloud service, please fill in the following:
Country	<ul style="list-style-type: none"> <li>• The cloud services</li> <li>• Deployment model</li> <li>• Nature of data to be held</li> <li>• Locations data is stored, including back-up locations</li> </ul>
City	<input type="radio"/> No
Choose Country..	Impact to LFI's Resources Overall impact of the arrangement on employment and talent capacity within the LFI
Cost	<input type="radio"/> No
Currency	Including upfront and ongoing expenses

#	Field	Data Type	Remarks
<b>1</b>	Name of Service Provider (SP)	Alphanumeric	Full legal name of the SP
<b>2</b>	Type of Service Provider	Dropdown selection	Options: • Head Office GS Third Party Service Provider
<b>3</b>	Commencement of the ESA	Calendar Selection (Single Date)	Date the ESA agreement starts
<b>4</b>	Expiry of Renewal Date	Calendar Selection (Single Date)	Expiry or next renewal date of the ESA
<b>5</b>	Location where the material ESA is undertaken – Country	Dropdown selection	Options: Commonly known countries
<b>6</b>	Location where the material ESA is undertaken – City	Dropdown selection	Options: Corresponding cities based on selected country
<b>7</b>	Total cost of the ESA (per annum) – Currency	Dropdown selection	Options: Commonly known currencies
<b>8</b>	Total cost of the ESA (per annum) – Cost	Numeric	Enter numeric value in selected currency (no symbols)
<b>9</b>	Registered Address (SP) – Address	Alphanumeric	Full registered address of the SP
<b>10</b>	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
		Choose	
<input type="button" value="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: • Material • Not Material
4	Select <b>Add Row</b> and repeat entry steps		
5	Select <b>Delete Row</b> 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 <b>Others</b> 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**  
 N...sen

Outcomes of the due diligence process  Not cleared **To attach outcomes of the due diligence process**  
 N...sen

For appointment of Appointed Actuary

*Fellowship certification*  No **To attach Fellowship Certification**  
 N...sen

*Training log in meeting CPD requirement*  No **To attach training log in meeting CPD requirement:**  
 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"> <li>• Button selection (Yes / No)</li> <li>• File upload</li> </ul>	If <b>Yes</b> 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"> <li>• Button selection (Cleared / Not cleared)</li> <li>• File upload</li> </ul>	If <b>Cleared</b> or <b>Not cleared</b> is selected, upload the outcome document
3	For appointment of Appointed Actuary – <i>Fellowship certification</i>	<ul style="list-style-type: none"> <li>• Button selection (Yes / No)</li> <li>• File upload</li> </ul>	If <b>Yes</b> is selected, upload the Fellowship certification
4	For appointment of Appointed Actuary – <i>Training log in meeting CPD requirement</i>	<ul style="list-style-type: none"> <li>• Button selection (Yes / No)</li> <li>• File upload</li> </ul>	If <b>Yes</b> 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.

### 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.

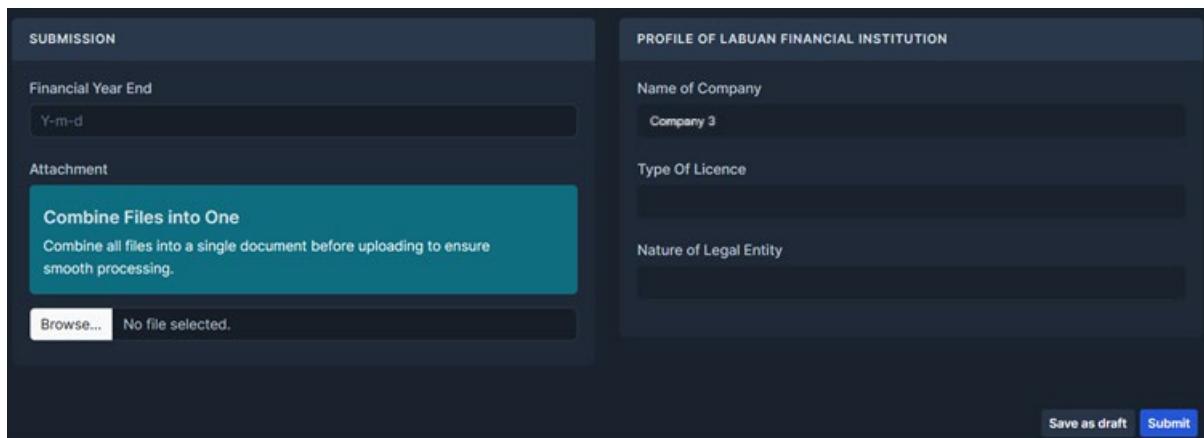
The submission types are as follows:

- 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



**SUBMISSION**

Financial Year End  
Y-m-d

Attachment

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

Browse... No file selected.

**PROFILE OF LABUAN FINANCIAL INSTITUTION**

Name of Company  
Company 3

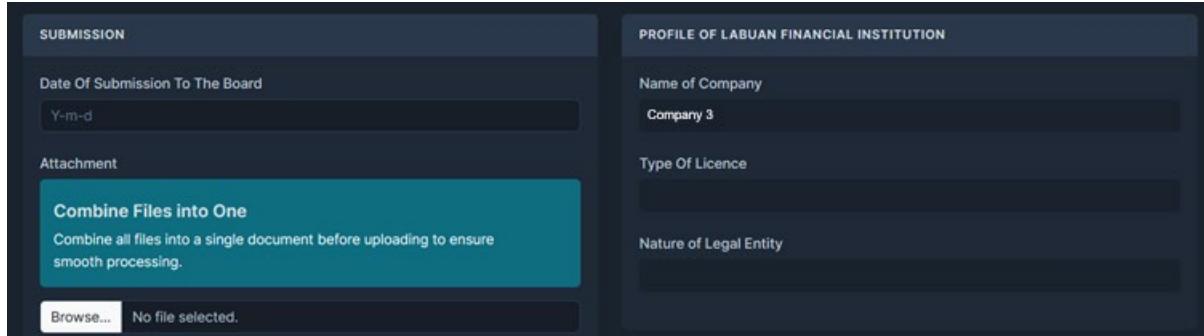
Type Of Licence

Nature of Legal Entity

Save as draft **Submit**

- 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)



**SUBMISSION**

Date Of Submission To The Board  
Y-m-d

Attachment

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

Browse... No file selected.

**PROFILE OF LABUAN FINANCIAL INSTITUTION**

Name of Company  
Company 3

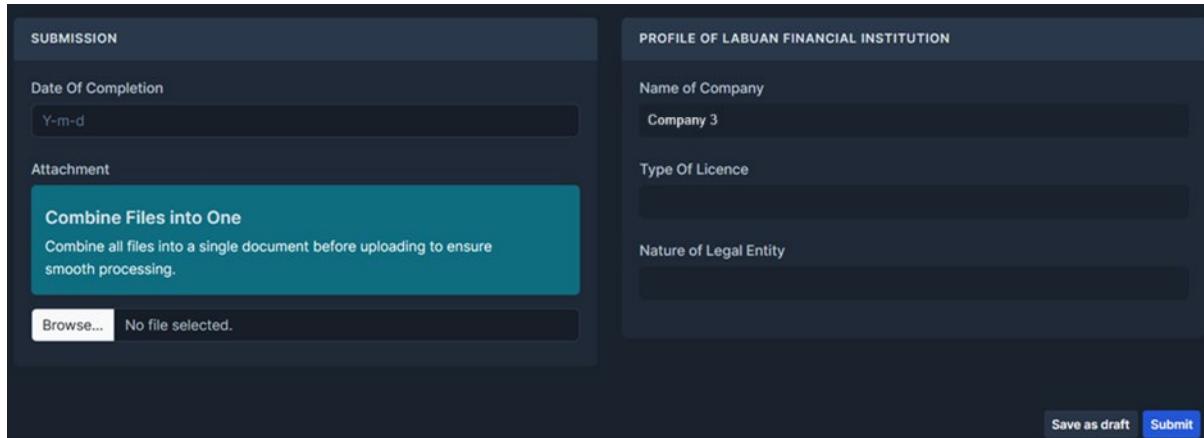
Type Of Licence

Nature of Legal Entity

Save as draft **Submit**

- 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



**SUBMISSION**

Date Of Completion  
Y-m-d

Attachment

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

Browse... No file selected.

**PROFILE OF LABUAN FINANCIAL INSTITUTION**

Name of Company  
Company 3

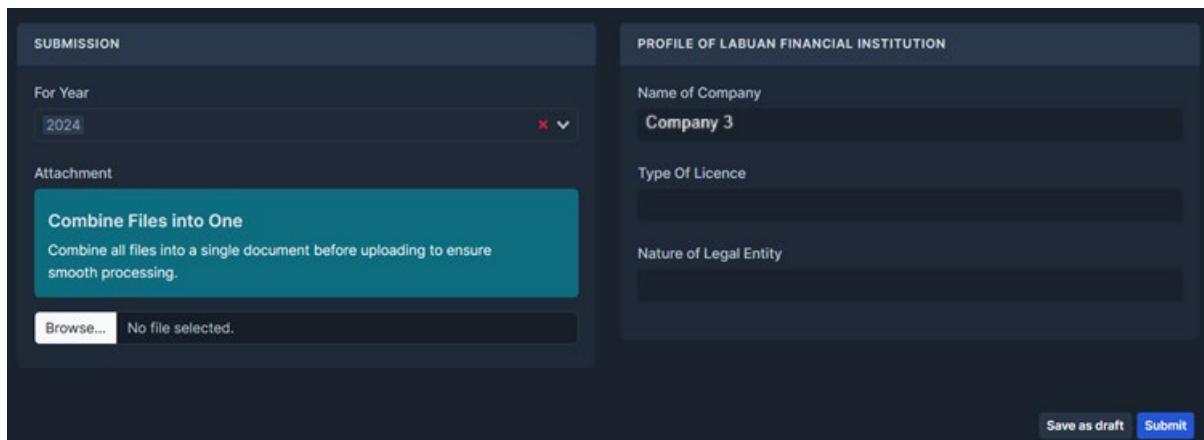
Type Of Licence

Nature of Legal Entity

**Save as draft** **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



**SUBMISSION**

For Year  
2024

Attachment

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

Browse... No file selected.

**PROFILE OF LABUAN FINANCIAL INSTITUTION**

Name of Company  
Company 3

Type Of Licence

Nature of Legal Entity

**Save as draft** **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](mailto: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)

Compliance Officer and Designated Officer Notifications				
View all submitted notifications				
APPLICATION ID	NOTIFICATION TYPE	ATTACHMENT	COMPANY	DETAILS
	Notification of Compliance Officer Appointment	<a href="#">View attachment</a>	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
Showing 1 to 1 of 1 entries				
<a href="#">Previous</a> <a href="#">Page 1 of 1</a> <a href="#">Next</a> <a href="#">Jump to page</a>				

## 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	PROFILE OF LABUAN FINANCIAL INSTITUTION
Name of Compliance Officer	Name of Company Company 3
Contact Number	Type Of Licence
Email Address	Nature of Legal Entity
Mailing Address	
Date Y-m-d	
Designation	
Serve as Designated Compliance Officer <input checked="" type="radio"/> No	
Attachment	
<b>Combine Files into One</b> Combine all files into a single document before uploading to ensure smooth processing.	
<input type="button" value="Browse..."/> No file selected.	
<input type="button" value="Save as draft"/> <input type="button" value="Submit"/>	