

**By Email**

16 December 2018

**To:** Senior Executive Officers of Authorised Firms  
Finance Officers of Authorised Firms  
Compliance Officers of Authorised Firms

**RE: Submitting annual reports using the DFSA ePortal in 2019**

Dear all,

Authorised Firms (excluding Representative Offices) have used the Supervised Firm Contact Form to submit their annual (non EPRS) reports to the DFSA [since 2017](#). Starting 2019, firms will use the DFSA ePortal to complete and submit their annual reports. The appendices to this letter provide an overview of the new process. Appendix 1 outlines the process for access to the DFSA ePortal and Appendix 2 contains a list of reports that will appear in the *2019 Annual report submission template*.

An online submission creates a dynamic solution for both the firms and the DFSA. A template will prompt firms to submit only the reports it is required to complete using a single submission. Online submissions also allow for more efficient processing by the DFSA.

Firms are advised to carefully review their tailored template before 31 January 2019. Should you question an inclusion or exclusion of a required submission, after having reviewed your licence and applicable DFSA Rules, please submit a query via the [Supervised Firm Contact Form](#).

The [DFSA ePortal User Guide](#) will be revised with detailed guidance notes on how to complete the *2019 Annual report submission template*.

The DFSA will host familiarisation sessions in the New Year for the *2019 Annual report submission template*.

Firms are reminded that general communications with the DFSA should take place using the Supervised Firm Contact form whilst EPRS will remain the platform for prudential returns. Should you have any questions regarding this letter, please make a submission using the [Supervised Firm Contact form](#).

Thank you for your support in implementing these changes. I take this opportunity to wish you the very best for the coming New Year.

Yours sincerely,



**Arvind Baghel**  
Acting Managing Director, Supervision

## **Appendix 1 - DFSA ePortal process**

Log into the [DFSA ePortal](#) and there will be a form titled *2019 Annual report submission template* located on the left. This form will be ready for use from 2 January 2019. Please use this form to add and save your required reports to the portal as you receive them. Only submit the form once all the required pages have been completed.

If you have forgotten your DFSA ePortal password, use the automated reset tool detailed in [this](#) previous Dear SEO letter.

The *2019 Annual report submission template* has been designed to consider the licence held by your firm (please see the [DFSA Public Register](#)) and the relevant DFSA report submission rules (see Appendix 2 of this letter) that relate to holding such a licence. Each firm's licence contains information concerning its legal status, Financial Services, endorsements, waivers, conditions and restrictions and these determine the reports that are required to be completed.

Appendix 2 contains a list of reports that will appear in the *2019 Annual report submission template*.

## **Appendix 2 - 2019 Annual report submission template**

The online template is for the annual reports listed below.

<b><u>Report Name</u></b>	<b><u>Rule reference</u></b>	<b><u>Date due</u></b>
Annual Financial Statement's Auditors Report	<a href="#">GEN 8.6.1 (a)</a> <a href="#">GEN 8.6.2</a>	Within 4 months of the financial year end.
Annual Regulatory Return Auditors Report	<a href="#">GEN 8.6.1 (b)</a> <a href="#">GEN 8.6.2</a> <a href="#">AUD App1</a>	Within 4 months of the financial year end.
Annual Client Money Auditors Report	<a href="#">GEN 8.6.1 (c)</a> <a href="#">GEN 8.6.2</a> <a href="#">AUD App2</a>	Within 4 months of the financial year end.
Annual Insurance Monies Auditors Report	<a href="#">GEN 8.6.1 (d)</a> <a href="#">GEN 8.6.2</a> <a href="#">AUD App3</a>	Within 4 months of the financial year end.
Annual Safe Custody Auditors Report	<a href="#">GEN 8.6.1 (e)</a> <a href="#">GEN 8.6.2</a> <a href="#">AUD App4</a>	Within 4 months of the financial year end.
Annual Controllers Report	<a href="#">GEN 11.8.12</a>	Within 4 months of the financial year end.
Annual IRAP Report	<a href="#">PIB 10.3</a>	Within 4 months of the financial year end.
Annual ICAAP Report	<a href="#">PIB 10.4</a>	Within 4 months of the financial year end.
Actuarial report on general insurance business	<a href="#">PIN 6.5.5</a>	Within 4 months of Insurer's reporting date.
Actuarial investigation report	<a href="#">PIN 6.5.5</a>	4 months from Reference Date of actuarial investigation.
Annual Report of the Sharia Supervisory Board	<a href="#">IFR 3.6.2</a>	Within 14 days of receipt from the Sharia Supervisory Board.

The online template is not intended for other submissions such as Capital Adequacy Summary Report for Branches (PIB 3.2.4).

The annual AML Return will still be completed separately each year, prior to 30 September, as an online submission.

Please continue to use the Supervised Firm Contact Form for submitting reports that are not listed in the above table.