

MFSA

MALTA FINANCIAL SERVICES AUTHORITY

MFSA Circular to Licence Holders on Licence Holder Corporate Profile

In the upcoming days the Malta Financial Services Authority (“MFSA”) will be introducing an online Licence Holder Corporate Profile as a web-based application which can be accessed by all the individuals/entities licensed by the MFSA.

The application provides Licence Holders with the possibility to review and update their individual profile. It shall also provide Licence Holders with the possibility to submit new involvement and resignation requests for the MFSA’s approval. On signing up, all licence holders are required to review the details appearing on their profile and request changes where necessary. This exercise is aimed at bringing the current company profile up to date, and thus it is assuming that the supporting documentation for any backdated requests is readily available at the MFSA’s end. Notwithstanding the above, the MFSA shall contact the respective Compliance Officer through the contact details available on LH Portal, should any further clarifications/ supporting documentation be required to support the request.

Following the completion of this one-time exercise, any new requests including new involvements, resignations and changes are to be submitted through the LH Portal.

[A] System Login

Those Licence Holder ‘Compliance Officers’ who already have an existing LH Portal user account shall be provided with the necessary rights to access and update the corporate profile of the respective Licence Holders. Upon activation, the ‘Compliance Officer’ shall be receiving an official notification through email indicating the additional access rights to the ‘Corporate Profile’ repository on the LH Portal. The notification shall prompt users to log onto their account. The existing credentials (username & password) shall remain applicable. The LH Portal can be accessed through the following link: <https://lhportal.mfsa.com.mt>.

Those ‘Compliance Officers’ who do not have an LH Portal user account, shall be registered for the first time by MFSA officials in the coming days. Upon registration, the ‘Compliance Officer’ shall be receiving an official notification through an automated email with steps on how to activate their account. Once the account has been successfully activated, users can access the corporate profile section by following the instructions available in the ‘**Licence Holder Corporate Profile Manual**’. On first access, the Compliance Officer will be prompted to change the password. Once the password has been successfully changed, users can access the corporate profile section by following the instructions available in the ‘**Licence Holder Corporate Profile Manual**’ annexed to this circular.

NB: It remains the responsibility of the compliance officer to ensure that all data inserted is kept up to date.

[B] List of Involvements to be updated

In addition to the Licence Holder details, users are kindly requested to verify/update the details of the following ‘Involvement Types’ as applicable:

- a) Compliance Officer;
- b) Money Laundering Reporting Officer (“MLRO”);
- c) Risk Manager;
- d) Internal Auditor;
- e) Investment Committee Members; and
- f) Portfolio Managers.

For each involvement, the following fields need to be verified/updated:

- Identification Type
- Id/ Passport Number;
- Name;
- Surname;
- Email;
- Contact No; and
- Date of Appointment.

Once the relevant fields have been updated and verified the user is to click on ‘**Save and Submit**’. This will automatically generate a new request which is forwarded to the MFSA for approval. Once the MFSA approves or rejects a request, the Compliance Officer of the respective entity, will receive an email notification from the MFSA.

[C] Contact Details for Involvement Issues:

In case of issues related to new involvement requests, Licence Holders are to contact the following:

MFSA Official	Email Address	Contact Number
Ms Stephanie Said	SSaid@mfsa.com.mt	(+356) 2548 5111
Ms Helenia Farrugia Galea	HFarrugiaGalea@mfsa.com.mt	(+356) 2548 5392

In case of issues related to change in involvement details or resignations, Licence Holders are to contact the following:

MFSA Official	Email Address	Contact Number
Ms Louise Camilleri	LCamilleri@mfsa.com.mt	(+356) 2548 5502
Ms Phyllisianne Aquilina	PAquilina@mfsa.com.mt	(+356) 2548 5408

[D] Deadline for updating the Corporate Profile

The deadline for the submission of change requests to the MFSA shall be the **26 October 2018** (close of business).

Malta Financial Services Authority
04 October 2018

Annex 1 – Licence Holder Corporate Profile Manual