

CORPORATE PROFILE – LICENCE HOLDER MANUAL

Document Version: Version 1.0 as of 01/10/2018

Document Classification: MFSA Restricted

Contents

1	Introduction.....	2
2	Licence Holder Portal.....	2
2.1	What is the Licence Holder Portal.....	2
2.2	Who can access the Corporate Profile (Access Rights)	2
2.3	How to access the Corporate Profile.....	2
2.4	Details available in the Corporate Profile	3
2.5	Involvements	3
3	Editing Existing Involvements	4
3.1.1	What can be edited?.....	4
3.1.2	How to edit an existing involvement.....	5
4	Creating a new involvement.....	6
5	Submission of supporting documentation.....	7
6	Moving forward	8
7	Notifications	8
8	Version History and Distribution Details	8

1 Introduction

The MFSA is currently updating the Licence Holder Corporate Profile including Licence changes in entity/involvement contact details, addition of new involvements and notice of resignations. Therefore, the MFSA has developed a work stream for Licence Holders to be able to update their own profile (subject to approval by the MFSA) via the Licence Holders Portal (LH Portal) to achieve the following:

- i) Bring the current Licence Holder information/data in line with the latest changes in a timely manner. Licence Holders now have the possibility to update a number of fields related to the information available at MFSA related to Licences, add new involvements and/or submit resignations through the LH Portal.
- ii) Through a specifically designed workflow, the MFSA shall be in a position to either 'approve' or 'reject' the requests put forward by the respective Licence Holder.
- iii) Following the completion of this one time exercise, the licence holders shall be expected to start submitting requests in relation to change in current corporate/involvement details and new involvements through the LH Portal.

2 Licence Holder Portal

2.1 What is the Licence Holder Portal

The Licence Holder Portal is a web-based application which can be accessed by all the individuals/entities licenced by the MFSA. The application provides Licence Holders with the possibility to review and update their profile and submit new involvement and resignation requests for approval.

2.2 Who can access the Corporate Profile (Access Rights)

The Compliance Officer is the Licence Holder's official contact person with the MFSA who will have access to the Corporate Profile. Any change requests or new involvements are to be submitted by the Compliance Officer.

2.3 How to access the Corporate Profile

The Compliance Officer will be required to log onto the individual entity's account through the LH Portal. Upon accessing the LH Portal (<https://lhportal.mfsa.com.mt/>) users can access their profile by Clicking on 'Corporate Profile', available on the left hand side of the screen and as illustrated in Figure 1, below.

In case you are experiencing any issues with the corporate profile or login details, please get in contact with the 'unit designated official' as identified through the official MFSA circular.

Figure 1 - LHPortal Menu



2.4 Details available in the Corporate Profile

The Corporate Profile includes the details of the Licence Holder, such as:

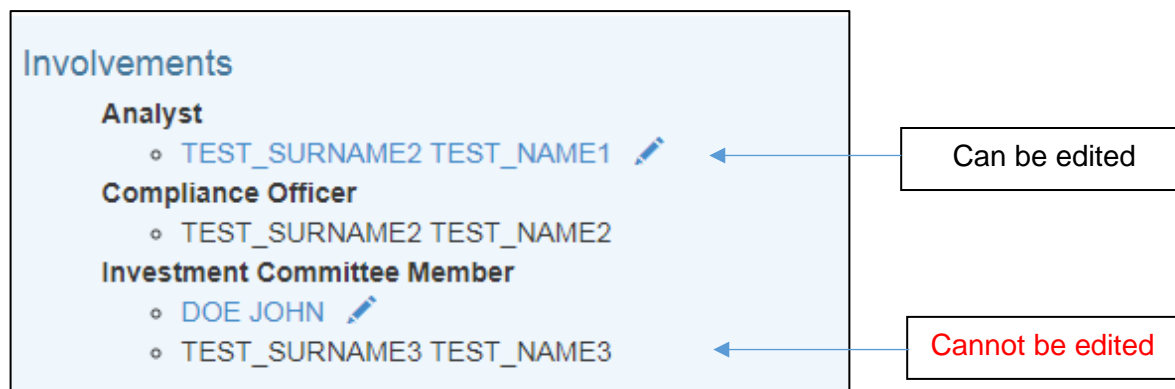
- Name of Entity
- Registered Address
- Telephone Number
- Entity Email Address
- Website Address
- Social media links
- List of involvements

2.5 Involvements

This section shall include two types of entity involvements:

- i) Entity involvements as registered by the Registry of Companies. These are marked in black text, as illustrated in Figure 2.
- ii) Entity involvements as registered by the MFSA. These are marked in light blue text, as illustrated in Figure 2.

Figure 2 - List of involvements



3 Editing Existing Involvements

3.1.1 What can be edited?

- i) Entity details marked in grey such as company registration number, registration date and address **cannot** be edited. Any change request for these details will be processed through the Registry of Companies, using the relevant applications forms. (Refer to Figure 3).
- ii) Other Entity details such as 'Technical Email', 'Website', 'Legal Identifier' (LEI) and 'Social Media' pages, **can** be edited by the Compliance Officer. (Refer to Figure 3).

Licence Holder MFSA TEST ▼

MFSA TEST

Identification TEST

Company Number NOT IN ROC

Registration Date

Address TEST Cannot be edited

Address Line 2 TEST

Town TEST

Country MALTA

Technical E-mail *

Website ⓘ Can be edited

Legal Identifier (LEI) *

* - Required

Figure 3 - Company Profile

- iii) All involvements requiring registration by the Registry of Companies and visible on the Corporate Profile **cannot** be edited. Should a change to these details be requested, the Compliance Officer will be required to apply through the Registry of Companies, using the relevant application forms. (Refer to Figure 2).
- iv) All involvements registered by the MFSA and marked in **light blue** text can be edited by the Compliance Officer. A 'pen' is illustrated next to these involvements, indicating that these fields can be edited. (Refer to Figure 2).

3.1.2 How to edit an existing involvement

To edit an existing involvement, the Compliance Officer will click on the respective involvement which can be edited and a new window with the current details will pop up. Details highlighted in grey cannot be edited, whereas details highlighted in white can be edited. This is illustrated in Figure 4 below:

TEST_NAME4 TEST_SURNAME4

Involvement Type * Investment Advisor

Identification Type * ID Number

ID / Passport Number * 00000000 Cannot be edited

Name * Test_Name4

Surname * Test_Surname4

Email * test@test4.com Can be edited

Contact No 00000000

Date of Appointment * 13/09/2018

Date of Resignation

* - Required

Save and Submit
Close

Figure 4 - Editing an existing involvement

The Compliance Officer is to ensure that the inserted details are correct. Once the relevant fields have been updated and verified the user is to click on ‘Save and Submit’. This will automatically generate a ‘change request’ which is forwarded to the MFSA for approval.

TEST_NAME4 TEST_SURNAME4

Involvement Type *	<input type="text" value="Investment Advisor"/>	
Identification Type *	<input type="text" value="ID Number"/>	
ID / Passport Number *	<input type="text" value="00000000"/>	Cannot be edited
Name *	<input type="text" value="Test_Name4"/>	
Surname *	<input type="text" value="Test_Surname4"/>	
Email *	<input type="text" value="test@test4.com"/>	Can be edited
Contact No	<input type="text" value="00000000"/>	
Date of Appointment *	<input type="text" value="13/09/2018"/>	
Date of Resignation	<input type="text" value=""/>	

* - Required

4 Creating a new involvement

To create a new involvement the Compliance Officer will click on ‘**add a new involvement**’ on the bottom right hand side. A new window will pop up prompting the user to input the relevant details, as illustrated in Figure 5.

Fields marked with an * are mandatory.

New Involvement

Involvement Type *

Identification Type *

ID / Passport Number *

Name *

Surname *

Email *

Contact No

Date of Appointment *

* - Required

Figure 5 - Adding a new involvement

The Compliance Officer is to ensure that the inserted details are correct. 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.

5 Submission of supporting documentation

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 the portal should any further clarifications/ supporting documentation be required to support the request.

6 Moving forward

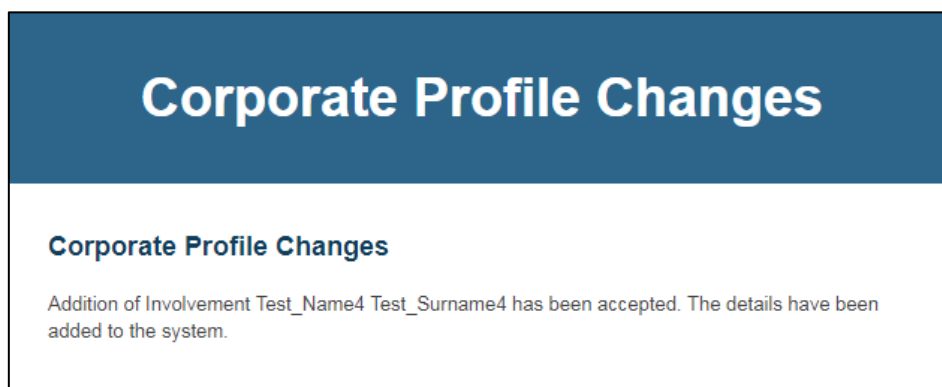
Following the completion of this one-time exercise, any new requests including new involvements, resignations and changes are to be submitted through the LH Portal.

All the supporting documentation shall be submitted in accordance with the guidelines established by the respective functions within the MFSA.

7 Notifications

Once the MFSA approves or rejects a request, the Compliance Officer of the respective entity, will receive an email notification from the MFSA. The notification will be similar to the one illustrated in Figure 6 below:

Figure 6 - Sample Notification



In case of rejection, the reason for the rejection shall be included and if necessary a fresh request would need to be submitted by the Compliance Officer of the respective entity.

8 Version History and Distribution Details

Document Version	1.0
Author	Malta Financial Services Authority
Last Updated	01/10/2018
Document Title	CORPORATE PROFILE – LICENCE HOLDER MANUAL
Document Classification	MFSA Restricted
<i>Distribution To</i>	
MFSA Securities Licence Holders	04 th October 2018