MFSA
MALTA FINANCIAL SERVICES AUTHORITY

User Guide for Submitting the Register of Information

User Guidelines for submitting the Register of Information to the Malta Financial Services Authority through the Licence Holder Portal as stipulated in Article 28 (3) of the DORA Regulation

Contents

Table of Abbreviations

AP(s)   Authorised Person(s)

LH Portal   License Holder Portal

MFSA   Malta Financial Services Authority

ICT TPPs   ICT Third-Party Service Providers

RoI   Register of Information

1. Introduction

The scope of this user guide is to help a User in uploading and submitting the requested Register of Information ("RoI") for and on behalf of an Authorised Person ("AP"), through the License Holder Portal ("LH Portal").

For all resources pertaining to the creation of an RoI, the ESA validation rules and useful FAQs, refer to the [EBA website](#).

It is important to note that Significant Institutions (SIs) are not to follow this user guide and are advised instead to use the guidance provided by the European Central Bank (ECB) for the submission of the RoI.

1.1 Accessing the Licence Holder Portal

The LH Portal is a web-based application which enables all entities licensed by the MFSA (Authorised Persons) to submit PQs, access their information as well as upload regulatory returns/documentation. The LH Portal can be accessed through a web-browser via the following link: https://lhportal.mfsa.mt/.

1.2 Register and/or Log-In

A User is expected to Log-In to the LH Portal main page to be able to conclude the file submission process.
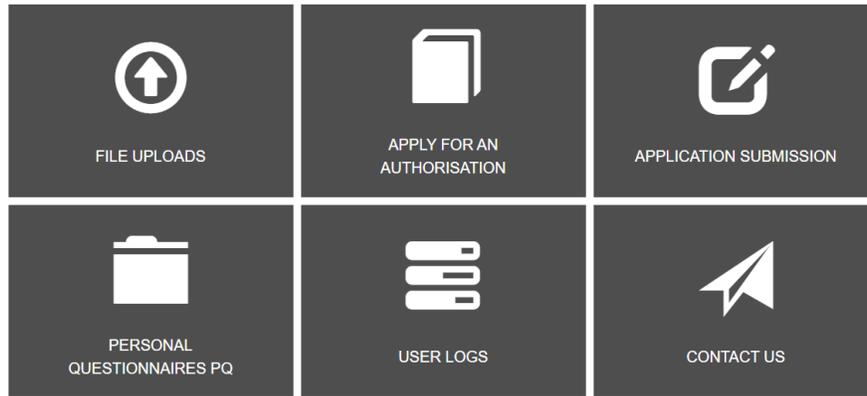
LH Portal

Figure 1: LH Portal Main Page

Access to the Register of Information (ICT Third-Party Providers) project is granted to specific Users, acting for and on behalf of an AP(s). Typically, the User is expected to be the approved Compliance Officer of the AP. Specific Users that do not have access are required to register on the portal first. Once an account is created, the designated person is to contact the Supervisory ICT Risk and Cybersecurity Team via email (roi@mfsa.mt) to have their account linked with the project.

Figure 2: LH Portal Register

Figure 3: LH Portal Register an Account Detail

2. Uploading the RoI onto the LH Portal

2.1 File Upload

Once a User has successfully signed in, through the File Uploads screen, the User is to select the name of the AP for which the RoI is being submitted, followed by selecting *Register of Information (ICT Third-Party Providers)* as a project.

2.2 File Structure

For each AP the User is expected to choose and upload **one (1) Zip File.**

The Zip file should contain:

- **one (1) root folder** with the same name as the .zip file (File naming convention without the .zip extension).
    - o Inside the root folder, the following 2 folders:
- **One (1) reports folder** with:
    - o **One (1)** 'report.json' file.
    - o All other files in plain '**.csv'** format.
- **One (1) META-INF** folder.

An example of the file structure is available at this link - please download the folder, under

"instances xBRL-CSV", search for the DORA file (DUMMYLEI123456789012.CON_FR_DORA010100_DORA_2024-12-31_20241213174803429)

Figure 4: RoI Submission Page

File structures of submissions not following the above format will be automatically rejected by the system.

2.3 Zip File Naming Convention

The following file naming convention should be used for the Zip file:

LEICODE.ScopeOfConsolidation_CountryCode_DORA010100_DORA_2025-03-31.zip

Where:

i.   **LEICODE:** This should reflect the unique LEI code for each AP.

ii.   **ScopeOfConsolidation:** This should read "IND" or "CON", depending on whether the AP is reporting the RoI at entity level or at consolidated / sub-consolidated level.

iii.   **CountryCode:** This should read as the country code of the AP.

iv.   **DORA010100:** This represents the module version and should remain unchanged.

v.   **DORA:** This represents the module name and should remain unchanged.

vi.   **2025-03-31:** This should reflect the reference date that includes the Year-Month-Day. For 2025 the reference date is fixed at 2025-03-31.

Please do not include any text other than the one specified above in the naming convention.

Naming conventions of submissions not following the above format will be automatically rejected by the system.

The Upload File(s) button will trigger the RTS validation process for the selected Zip File.

Figure 5: File submitted to queue

The file will be submitted to a queuing system and via an automatic email the User is informed accordingly if the file upload was successful or not. Upon a successful submission and validation, the Zip file together with its content is automatically shared with the MFSA.
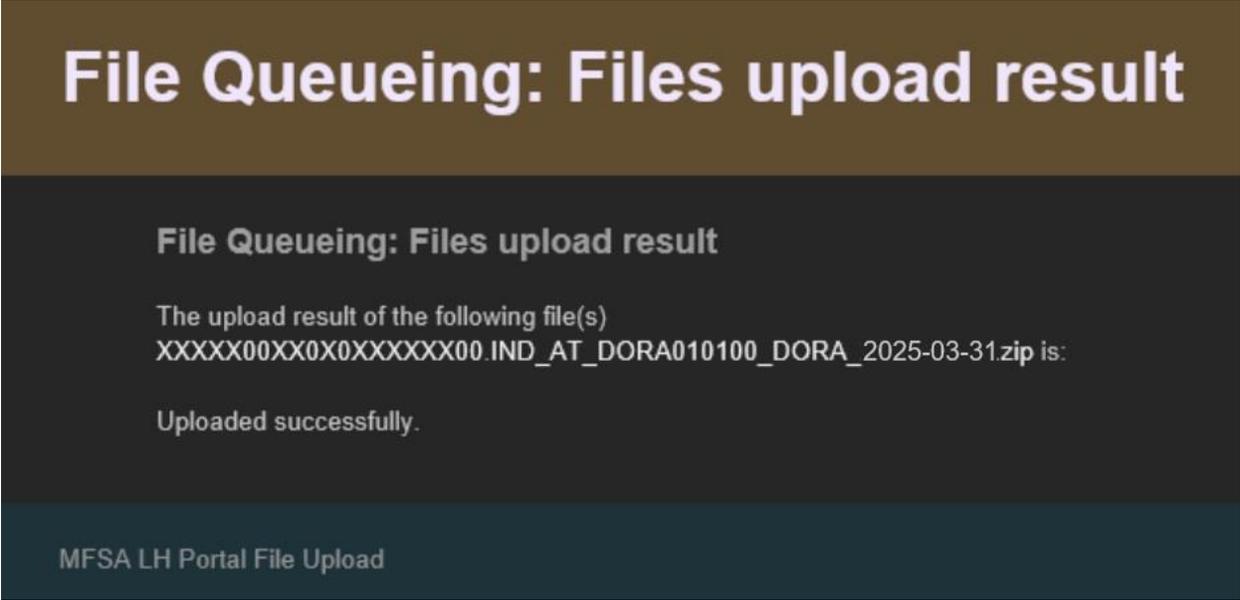
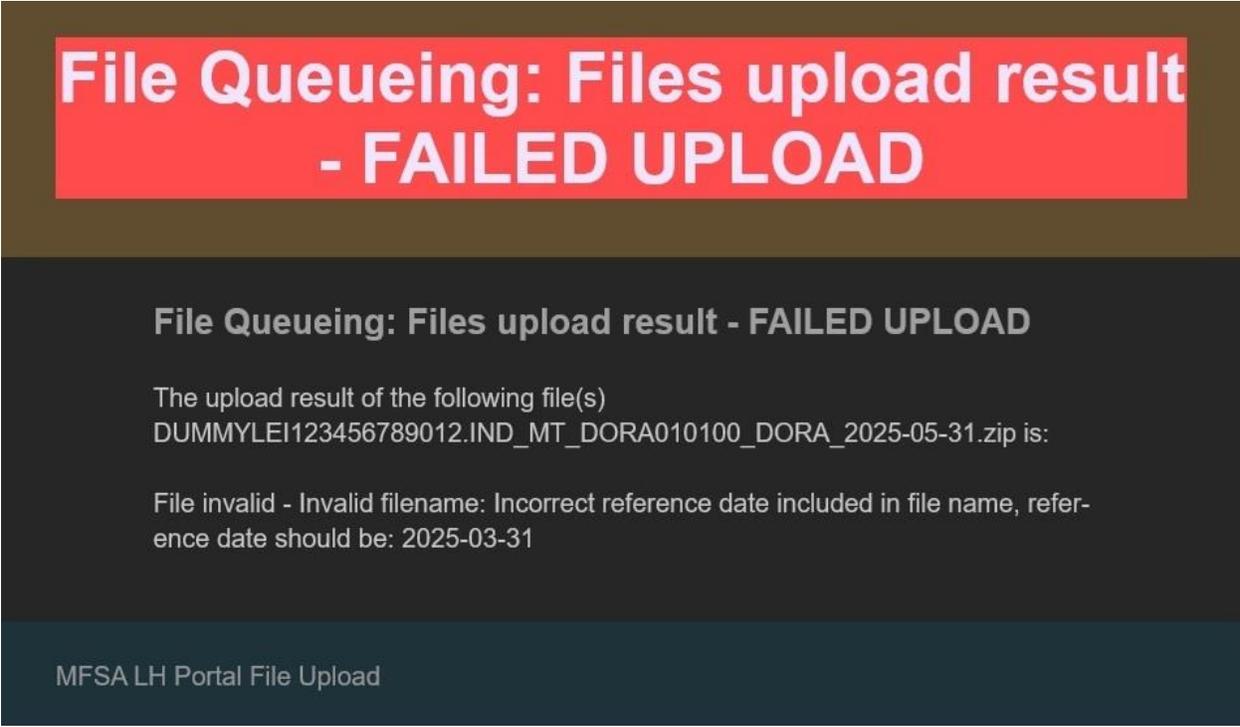*Figure 6: File Upload Result – Successful Upload*

Figure 7: File Upload Result – Failed Validation

3. Resubmissions

If an AP is required to resubmit the Data Template, the process explained in Section 2, "Uploading the RoI onto the LH Portal," must be followed again. This includes adhering to the file format, file naming conventions, and other requirements specified in Section 2. Any previously submitted Zip file with the same name will be considered superseded.

All files stipulated by the guidelines must be present in the resubmission, even if some were not updated from the initial submission. For example, if the first submission included 7 reports and 3 were incorrect, the resubmission must include a complete RoI with the 3 corrected reports and the 4 unchanged reports.

4. Contact Us

In the case of difficulties or should you have any queries, please feel free to contact us on roi@mfsa.mt.