

Guidelines on Regulatory Reporting Requirements through the LH Portal

Applicable to Custodians



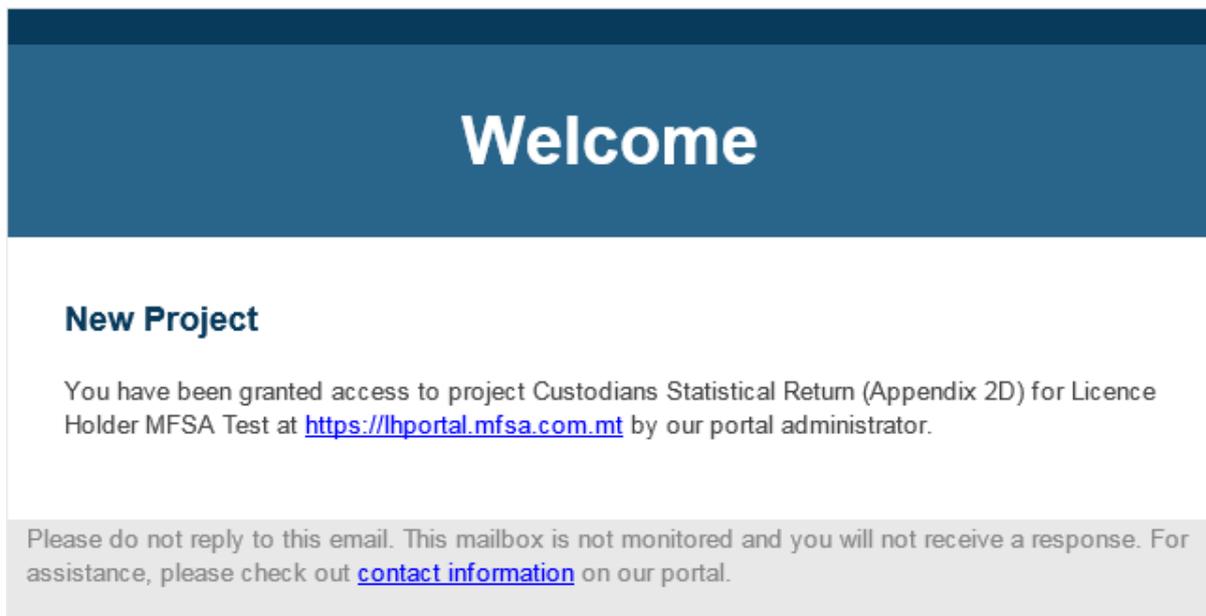
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The MFSA has developed further the Licence Holder (LH) Portal to enable licence holders to submit their regulatory reporting in relation to Custodians electronically to the MFSA. The following is a step by step guideline for accessing and uploading returns to the LH Portal.

1. User Access to the LH Portal

The Compliance Officer of each respective Custodian will receive the below e-mail, being granted access to the project "Custodians Statistical Return (Appendix 2D)" as seen in *Snapshot 1* below.



Snapshot 1

Using the <https://lhportal.mfsa.com.mt> URL, the user will be prompted to enter the username and password provided or as amended by the user as seen in *Snapshot 2*.

Log in

Enter your credentials below

E-mail

Password

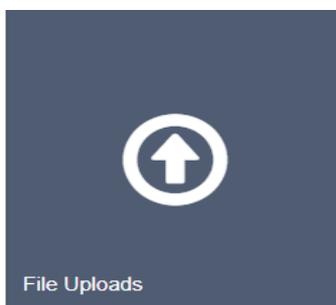
Log in

Register

Snapshot 2

2. Uploading of files and LH Portal Repositories

Step 1: Once successfully signed in, the user is to click on the “File Uploads” icon as depicted by *Snapshot 3*, located on the middle to left side of the screen to proceed to the next webpage.



Snapshot 3

Step 2: On the left-hand side the user is to choose the applicable licence holder and project type as shown by the arrows in *Snapshot 4*.

File Uploads

Use the feature below to upload files to the MFSA server. It is important that all file names are in the appropriate convention.

Licence Holder: MFSA Test ←

Project: Custodians Statistical Return (Append) ←

Files: No file chosen

Guidelines on File Naming Convention

Required format: LHCode_MonthYear.zip

Example: TESTING 2_Mar2014.zip

Please note that you are only allowed to upload a maximum of 3 ZIPPED (.ZIP) files simultaneously amounting to a total of 15Mb.

Snapshot 4

Licence Holders are required to submit the returns in excel format.

Step 3: On the right hand side of the webpage, the user will be able to view the required naming conventions. For full details on the naming convention specifics, please refer to section 3 below.

Step 4: The user should then click the “add” button to add a maximum of 3 ZIPPED (.ZIP) files simultaneously amounting to a total of 15MB and then the “Upload File(s)” button to upload the files, as seen above in *Snapshot 4*.

Subsequently the registered user will get a “File/s successfully uploaded” system notification at the bottom of the webpage as seen in *Snapshot 5*, as well as an e-mail confirming that the respective ZIP files have been uploaded successfully, as seen in *Snapshot 6*.

System Notification
File/s successfully uploaded.

Snapshot 5

Notification

New Files Uploaded

[@MFSA.COM.MT](#) has uploaded the following files for project Custodians Statistical Return (Appendix 2D) and Licence Holder MFSA Test:

TESTING 2_Dec2018

You're receiving this because you belong to the group responsible for this project.

Snapshot 6

For successful submissions, the status in LH Portal will show "File uploaded to MFSA" as seen in *Snapshot 7*.

User Logs

A list of files uploaded by users that form part of your entity.

ⓘ Start typing part of the Filename or Username and click search. (e.g. 'baw')

Filename	Project	Upload Date	Username	Status
TESTING 2_Dec2018_20191002115154400.zip	CSR	02/10/2019 11:51:54		File uploaded to MFSA ←

Snapshot 7

3. Naming Conventions

Zip File Naming Convention

The naming convention and format to be followed is: LHCode_MonthYear.zip whereby:

- the "LHCode" is the identification code as provided for every Licence Holder on the MFSA's website in the Financial Services Register Section;
- the "Month" is the first 3 digits of the respective referenced month. For example for June, the Month should be written as JUN;
- "Year" is the full 4-digit number of the respective referenced year.

Naming conventions not following the above format will be rejected by the LH Portal. The user is to ensure that only zipped folders are uploaded.

Excel Files Naming Convention

The naming convention for the excel files within the zipped folders to be followed is: LHCode_MonthYY whereby:

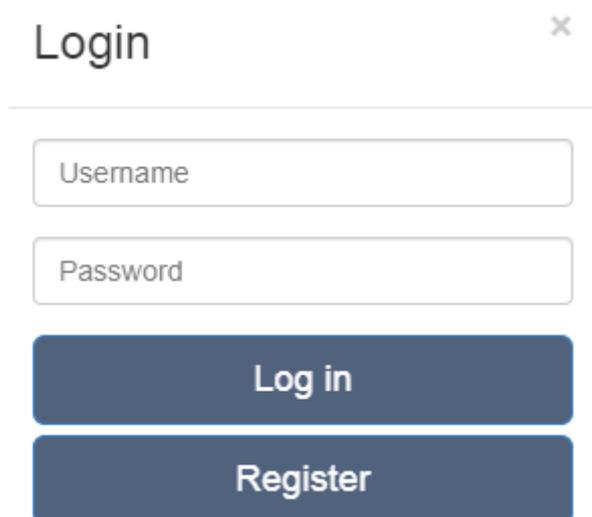
- the "LHCode" is the identification code as provided for every Licence Holder on the MFSA's website in the Financial Services Register Section;
- the "Month" is the first 3 digits of the respective referenced month. For example for June, the Month should be written as JUN;
- "YY" is the last 2 digits of the respective referenced year. For example for 2019, "YY" should be written as 19.

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

Appendix 1

i. Registering on the LH Portal

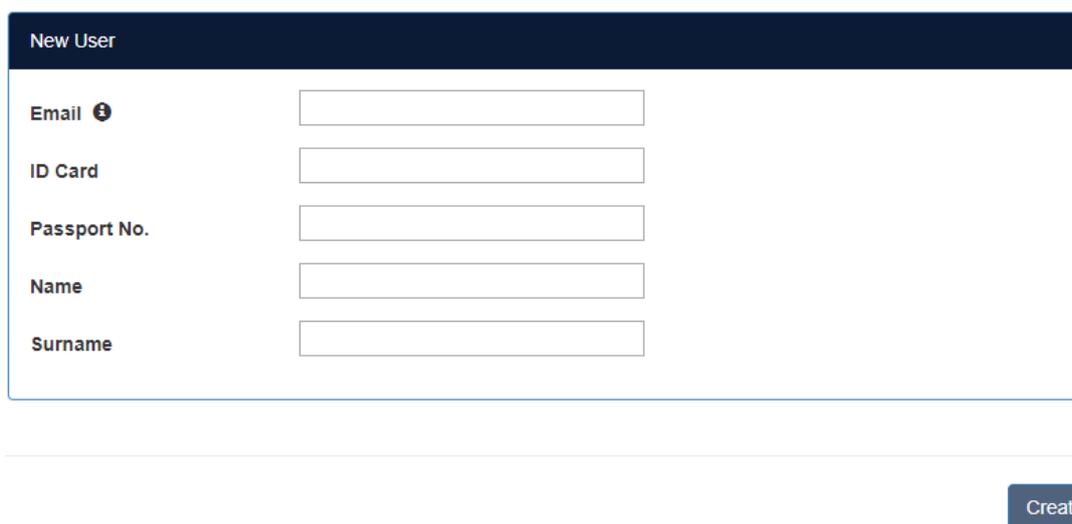
To register on the LH Portal use the <https://lhportal.mfsa.com.mt> URL and click on 'Register' as seen in *Snapshot I*.



The screenshot shows a 'Login' window with a close button (x) in the top right corner. Below the title bar, there are two input fields: 'Username' and 'Password'. Below these fields are two dark blue buttons: 'Log in' and 'Register'.

Snapshot i

Fill in the details as seen in *Snapshot II*.



The screenshot shows a 'New User' registration form. The form has a dark blue header with the text 'New User'. Below the header, there are five input fields with labels: 'Email' (with a help icon), 'ID Card', 'Passport No.', 'Name', and 'Surname'. At the bottom right of the form, there are two buttons: 'Create' (dark blue) and 'Cancel' (light blue).

Snapshot ii

You will receive an email verifying that you have been granted an account by our portal administrator with the email and password to be able to access the portal as seen in *Snapshot III*. You will need to change the password on your first log in as seen in *Snapshot IV*.

Welcome

You have been granted an account at <https://hportal.mfsa.com.mt> by our portal administrator. Please find your credentials below:

E-mail:

Password:

Please change your password as soon as possible. You may do this from your [account control panel](#).

Please do not reply to this email. This mailbox is not monitored and you will not receive a response. For assistance, please check out [contact information](#) on our portal.

Snapshot iii

Change Password

Current password

New password

Confirm new password

Change password

Snapshot IV