

LICENCE HOLDER PORTAL USER GUIDELINES

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CONTENTS

1	Int		1
	1.1	What is the Licence Holder (LH) Portal?	1
2	Со	PRPORATE PROFILE	2
	2.1	WHO CAN ACCESS THE CORPORATE PROFILE (ACCESS RIGHTS)?	2
	2.2	ACTIVATION OF ACCOUNT	2
	2.3	How to access the Corporate Profile	2
	2.4	Editing Details of the Authorised Person	3
	2.5	INVOLVEMENTS OF THE AUTHORISED PERSON	5
	2.6	Editing an existing involvement	6
	2.7	NEWLY APPOINTED MFSA INVOLVEMENTS	7
	2.8	CREATING A NEW NON-PQABLE INVOLVEMENT	7
	2.9	Resignation of an Involvement	8
	2.10	NOTIFICATIONS	9
3	Sit	e Inspections	11
	3.1	LIST OF SITE INSPECTIONS	11
	3.2	DETAILS OF A SITE INSPECTION	11
	3.3	STATUS OF A SITE INSPECTION	12
	3.4	Email Notifications	13

TABLE OF FIGURES

Figure 1 - License Holder Portal Menu	3
Figure 2 - Corporate Profile Details	4
Figure 3 - Involvements which cannot be edited from the Corporate Profile	5
Figure 4 - Involvements which can be edited from the Corporate Profile	5
Figure 5 - Involvements pending addition review	5
Figure 6 - Involvements pending assessment review	6
Figure 7 - Involvements pending deletion review	6
Figure 8 - Involvements Screen	6
Figure 9 - Involvement Details	7
Figure 10 - Adding a new Involvement	8
Figure 11 - Processing a Resignation	9
Figure 12 - Email Notification	10
Figure 13 - Site Inspections Page	11
Figure 14 - Site Inspection Details	12
Figure 15 - Site Inspections Status	13
Figure 16 - Contact Us Page	14

DEFINITIONS

TERM	DEFINITION
Authorised Person	MFSA registered entities (legal or natural persons) authorised to conduct a service supervised by the Authority.
Designated Person/s	Person/s within a licenced entity an Authorised Person who is designated the responsibility of ensuring that the LH Corporate Profile is up to date. This includes updating the LH Corporate Profile when necessary. Usually the designated person is the compliance officer.
Involvement	Individuals authorised by the MFSA to fulfil a position/role within a licenced entity an Authorised Person, such as: Money Laundering Reporting Officer (MLRO) and the Compliance Officer
LH Corporate Profile	The Licence Holder Corporate Profile is a dedicated section on the LH Portal, which includes details on the licenced entity Authorised Person and the supporting involvements
MBR	Malta Business Registry
PQ	Personal Questionnaire
Technical Email	Email used by Licence Holders to receive notifications in relation to submissions made through the LH Portal File Upload section

REVISIONS

VERSION	DATE ISSUED	DETAILS
1.0	08 th June 2020	Licence Holder Corporate Profile – Guidelines & Procedures
2.0	29 th April 2022	Updating labels shown on the LH Portal
3.0	1 st July 2025	Updating the User Guide to include instructions on the upgraded Supervisory Module on LH Portal

1 Introduction

1.1 What is the Licence Holder (LH) Portal?

The LH Portal is a web-based application which enables all the Authorised Persons that are authorised by the MFSA to submit Personal Questionnaire ("PQ"), access their information, upload regulatory returns and documentation, as well as view information about their site inspections. The LH Portal can be accessed through the following <u>link</u>.

This User Guide provides a step-by-step guide to all Authorised Persons under the supervision of MFSA, on how to access and manage the information and documentation on the LH Portal.

2 Corporate Profile

The Corporate Profile is a dedicated section on the LH Portal, which includes details on the Authorised Person and the supporting involvements. The application provides Authorised Persons with the possibility to review and update their profile by submitting change requests for MFSA approval as outlined in the sections below.

2.1 Who can access the Corporate Profile (Access Rights)?

Access to the LH Portal Corporate Profile is provided to designated person/s within Authorised Persons. The designated person/s responsible for reviewing and updating the information within the entity's Corporate Profile can submit change requests as outlined in this document.

For Authorised Persons with an MFSA approved compliance officer, the latter will be assigned the designated person role. For Authorised Persons without an MFSA approved compliance officer, the MFSA shall assess and assign a designated person/s considered appropriate on a case-by-case basis.

The Authorised Person will have the facility to be assigned more than one (1) account for the LH Corporate Profile, if deemed necessary, subject to an approval communicated by the designated person to the MFSA. Additional accounts will only be considered for individuals within an MFSA approved position/role.

Sharing of passwords/accounts is strictly not allowed.

2.2 Activation of Account

An Authorised Person designated person/s who do not have an LH Portal user account or access to the LH Corporate Profile shall be registered for the first time by MFSA officials. **The designated person should NOT make use of their business email address to create an LH Portal account**. Upon registration, the designated official shall be receiving a notification through an automated email with steps on how to activate their account.

2.3 How to access the Corporate Profile

The designated person/s will be required to log onto the LH Portal (<u>link</u>) using the assigned credentials. Upon successful login, users can access the profile of the Authorised Person by clicking on 'Corporate Profile', available on the left-hand side of the screen and as illustrated in **Error! Reference source not found.**.



Figure 1 - License Holder Portal Menu

The Corporate Profile includes the details of the Authorised Person, such as:

- Name of Authorised Person
- Authorised Person Code (LH Code)
- MBR Registration Code and date (if applicable)
- Registered Address
- Email Address
- Website Address
- LEI Code
- Social media links
- List of involvements

2.4 Editing Details of the Authorised Person

Authorised Person details marked in grey such as Authorised Person code, Malta Business Registry ("MBR") registration code, MBR registration date, Address, and DORA Regulation **cannot** be edited through the LH Portal. Any changes in these details are required to be processed through the Malta Business Registry, using the relevant application forms issued by MBR.

Other entity details such as 'Technical Email', 'Website', 'LEI Code', 'SME', and links to Social Media pages, **can** be edited by the designated person/s of the Authorised Person.

To edit these fields follow the below steps:

- i) Click on the relevant field which needs to be edited
- ii) Update the contents of the relevant field

iii) Click on 'Save and Submit' in the bottom right-hand side of the page.

iv)

Figure 2 illustrates editable and non-editable details for the licenced entity.

Note: Validation checks are in place to ensure correct entry of information. Fields marked with an * are mandatory.

Authorised Person Code			
MBR Registration Code			
MBR Registration Date	22/06/2023		Cannot
Address			be curred
Address Line 2			
Town			
Country	MALTA		
Technical E-mail			
Website			
LEI Code			
SME	Micro		Can be
Upload SME Annex	Choose File No file chosen		euited
Is the Authorised	Yes	$\neg \leftarrow$	Cannot
of Regulation (EU) 2022/2554			
('DORA')?	* - R	beringe	
f			Can be
			edited
in			
y			

Figure 2 - Corporate Profile Details

2.5 Involvements of the Authorised Person

Involvements are displayed on the right-hand side of the Corporate Profile. This section includes three types of involvements:

i) Involvements as registered with the Malta Business Registry and involvements registered with MFSA that bear specific statuses (such as auditor, secretary, judicial/legal representative, subscriber): these involvements **cannot** be edited through the LH Portal and they are marked in black text. Any changes to the details of an MBR involvement shall be processed via the Malta Business Registry, using the relevant application forms. MFSA registered involvements which cannot be edited through the LH Portal shall be processed by contacting an MFSA analyst.

Secre	tary	
0		Λ.

Figure 3 - Involvements which cannot be edited from the Corporate Profile

ii) Involvements as registered with the MFSA, other than the involvements that bear specific statuses as mentioned in point (i) above: these involvements **can** be edited by the designated person/s. A clickable pen icon *is* illustrated next to these involvements, indicating that the details of these involvements can be edited from the LH Portal. These involvements are marked in light blue text. Any changes to these involvements will have to be verified by an MFSA analyst. While the involvement is awaiting to be verified, at text "Pending Update" will be attached to the involvement will have the status removed and will be marked in light blue text.

Qualif	ying Shareholder
0	
0	
0	
0	

Figure 4 - Involvements which can be edited from the Corporate Profile

New involvements that are added through the LH Portal must be verified by the MFSA.
 Until verified, these involvements will be marked with text "Pending Addition".

Website Manager

PENDING ADDITION

Figure 5 - Involvements pending addition review

iv) Involvements for whom a PQ has been submitted but has not yet been reviewed and accepted will be marked with text "Pending PQ Assessment".

Qualifying Shareholder And\Or Beneficial Owner

Indedicative Control - PENDING PQ ASSESSMENT
Indedication - PENDING PQ ASSESSMENT



v) Involvements that need to be removed are marked with text "Pending Deletion" until an MFSA analyst verifies and completes this process.

Risk Manager



Figure 8 - Involvements Screen

The above Figure 8 displays an example of how involvements are shown on the LH Portal Corporate Profile. Only the involvements marked with a pen icon can be edited. The other involvements are either awaiting MFSA review or are MBR involvements which cannot be edited from this Profile.

2.6 Editing an existing involvement

To edit the details of an existing involvement, the designated person/s of the Authorised Person are required to access the respective involvement's current details by clicking on the icon next to the involvement name and surname. Only involvements that are approved and marked in light blue text, and involvements that are marked with text "Pending Update" can be edited.

Fields highlighted in grey cannot be edited, whereas the additional details can be edited. Figure 9 shows an example of the involvement's details.

If you intend to submit a resignation or a removal, i	kindly provide the date of resignation in the designated field.
Involvement Type *	Chairperson
Identification Type *	Maltese ID Number
Identification Number *	
Name *	
Surname *	
Date of Birth	G
Email *	
Contact No *	
Date of Appointment	24/08/2024
On behalf of	
Date of Resignation	
Comments	
Documents	
Upload File:	
	* - Required
	Save and Submit Close

Figure 9 - Involvement Details

```
Fields marked with an \star are mandatory.
```

The designated person/s of the Authorised Person is to ensure that the inserted details are correct. Once the relevant fields have been updated and verified, clicking **Save and Submit** will automatically generate a change request for MFSA processing.

2.7 Newly appointed MFSA involvements

Any new appointments of PQable involvements require the submission of an online PQ together with the assessment of the Authorised Person, and these involvements should be submitted from the PQ Tab. Once the MFSA approves an individual, the Involvements section within the Corporate Profile of an Authorised Person will be automatically updated and will include the approved involvement's details.

2.8 Creating a new non-PQable involvement

This feature should only be utilised in the following circumstances:

1) Addition of active Involvements, for PQs approved prior to 8th June 2020 and which positions are not featuring in the involvements section of the Corporate Profile.

 Addition of officials whose position does not require MFSA approval through the submission of a PQ. These positions are only to be created if specific guidance to that effect is provided by the MFSA to the Authorised Person.

Important: The Authorised Person should not use this feature if an online PQ has been submitted.

To create a new involvement the designated person/s are required to click on **Add a non-PQable Involvement** on the bottom right-hand side of the involvements section within the licenced entity's corporate profile. A new window prompts the user to input the relevant details, as shown in Figure 9.

The **Date of Appointment** should indicate the date of MFSA approval for the involvement in question.

The **On behalf of** field will only be required in case the involvement is approved on behalf of the Corporate Entity.

The designated person/s is to ensure that the inserted details are correct. Once the relevant fields have been updated and verified, clicking 'Save and Submit' will automatically generate a new request for MFSA processing.

The MFSA shall contact the respective designated person/s should any further clarifications/supporting documentation be required to support the request.

New Involvement		
If you intend to submit a resignation or a removal, k	undly provide the date of resignation in the designated field.	
Involvement Type *	Actuary	~
Identification Type *	Residency Card Number	~
Identification Number *		
Name *		
Surname *		
Date of Birth *	8	
Email *		
Contact No *		
Has the position been approved by MFSA?		
Date of Appointment	a	
On behalf of		
Comments		
Documents		
Upload File:		
	*- Requi	red
	Save and Submit Close	•

Figure 10 - Adding a new Involvement

Fields marked with an \star are mandatory.

2.9 Resignation of an Involvement

In the case of a resigning involvement, the designated person/s of the Authorised Person are required to log in the resignation through the LH Portal Corporate Profile. This is done by accessing the respective involvement's details by clicking on the *involvement* icon next to the involvement's name and surname

A new window opens, and Figure 12 illustrates the fields that are related to the resignation of an involvement. In the **Date of Resignation** field, input the effective date of resignation of the involvement within the Authorised Person.

Under the documents section, the designated person/s is required to upload an official declaration from the Authorised Person confirming the resignation of the approved individual. This document should also include the effective date of resignation and whether the submitted resignation has any regulatory implications.

Any additional comments can be provided in the dedicated field.

Notwithstanding the above, the original declaration document still needs to be submitted to the MFSA, unless otherwise specified by the respective Supervisory Function.

Date of Resignation		
Comments		
Documents		
Upload File:		
	•	Required
	Save and Submit	Close

Figure 11 - Processing a Resignation

Fields marked with an \star are mandatory.

2.10 Notifications

Once the MFSA processes a request as submitted by the Authorised Person through the LH Portal, the designated person/s of the respective Authorised Person will receive an email notification, as illustrated in Figure 12, informing them on whether the MFSA has approved or rejected such request.

In case of rejection, the reason for the rejection will also be provided. If necessary, a fresh request would need to be submitted by the designated person/s of the respective licenced entity. In such cases the Licence Holder shall be notified through the LH Portal.

Corporate Profile Changes

Corporate Profile Changes

Addition of Involvement Joseph Borg to ABC Ltd. as a Director, has been accepted with the appointment date of 18/05/2020. The details have been added to the system.

Figure 12 - Email Notification

3 Site Inspections

3.1 List of Site Inspections

An Authorised Person can view details related to Site Inspections through the Site Inspections tab in the LH Portal. All the site inspections that are active and for which the user is a part of, will be listed within this page. Here the Authorised Person will have access to information about the Site Inspections, including:

- Site Inspection Reference
- Authorised Person Name
- Inspection Originator (refers to MSA user who originally created the inspection)
- Inspection Date (refers to the commencement date of the inspection)
- Status
- Created on (refers to the date when the inspection was created on LH Portal)

Licence Holder Portal	Site Inspection	S					
	Show 10 \$ entries						Search:
My Account	Reference	Authorised Person Name	Inspection Originator	Inspection Date	Status	Created On	
Apply for a Licence	BCNOCES	SHOP SLEWRIC	BCNOCES	24/04/2024	Pre-Inspection Analysis	24/04/2024	Details
Application Submissions	BCNOCES	SAMPLE DATE:	BCNOCES	24/04/2024	Pre-Inspection Analysis	24/04/2024	Details
File Uploads	BCNOCES	SALE VEC	BCNDCES	29/05/2024	Pre-Inspection Analysis	24/04/2024	Details
I User Logs	BCNOICES	SVICE OLEVER C	BCNOCES	24/04/2024	Request/Awaiting Documents from AP	24/04/2024	Details
🗎 PQ	BONCOUS	SCHOROLETARIC	BCNOCKS	23/04/2024	Pre-Inspection Analysis	16/04/2024	Details
Site Inspections	BCNOCES	SUMPRICE STUDIES	BCNOODS	29/04/2024	Interaction Commenced	16/04/2024	Details
Corporate Profile	BCNOCES	SCHOROLETARIC	BCNOODS	03/03/2024	Pre-Inspection Analysis	09/04/2024	Details
Contact Us	BCNOCE:	SKALETAR, C	BCNOORS	01/04/2024	Official Letter Sent (Announcement)	01/04/2024	Details
	BCNOCES	SAMON OF OLLETING CO	BCNOCES	26/03/2024	Pre-Inspection Analysis	25/03/2024	Details
	BONDORS	SCHOROLETARIC	BCNOCES	17/12/2024	Pre-Inspection Analysis	18/03/2024	Details
	Showing 1 to 10 of 13 entries						Previous 1 2 Next

Figure 13 - Site Inspections Page

3.2 Details of a Site Inspection

An Authorised Person can view the details of a site inspection by clicking on the 'Details' button in the last column of each site inspection. This page displays additional information about the specific site inspection, as shown in Figure 14. This page is categorised into three:

- a) Site Inspection Details: this sub-section consists of pre-populated data related to the specific site inspection such as the Authorised Person Name, the Inspection Originator, the date when the inspection was created on LH Portal and the status of the inspection.
- b) Site Inspection Documents: this sub-section consists of a list of documents which are exchanged between the MFSA and the Authorised Person. All document details can be found here such as the document file name, the date when the document was uploaded on LH Portal and the name of the user who uploaded the document. The

Authorised Person can click on the 'Add Document' button to upload any documentation.

c) Communication with MFSA: this sub-section is designed to serve as a communication tool between the MFSA and the Authorised Person, who can view all messages posted by MFSA and can add new messages by clicking on the 'Add Message' button All communication between MFSA and an Authorised Person should be submitted by this means on the LH Portal.

Site Inspection: 60000008				
Site Inspection Details				
Authorised Person Name	Inspection Originator	Created On	Status	
SALK OF LALE TO PLC	lanese kangita	30/04/2024	Pre-Inspection Analysis	
Site Inspection Documents				
			Add Docum	ient
Document		Date Received	Uploaded By	
SHARE ALLERADO		24/04/2024 13:11	Lanesis kangibili 🕘	
Communication with MFSA				
		test		
			anese hangion at 24/04/2024 13:1	1
			Add Message	
				•

Figure 14 - Site Inspection Details

3.3 Status of a Site Inspection

Every site inspection logged on LH Portal is assigned with a status, as explained in Figure 14. The status of the inspection is automatically assigned by the system, depending on the progress. A detailed list of all statuses is depicted in Figure 15.

Status	Definition	
Pre-Inspection Analysis	The Inspection is created on system and made visible to the License Holder	
Official Letter Sent (Announcement)	The Pre-Inspection Letter is issued by MFSA to the License Holder	
Request/Awaiting Documents	The MFSA requests documentation from the License Holder which shall be submitted by a stipulated date as defined in the Pre-Inspection Letter	
Documents' Analysis	The MFSA reviews and analyses the documentation received	
Interaction Commenced	The time when the Inspection commences i.e., when the MFSA visits the premises of the License Holder	
Interaction end date	The time when the Inspection is completed i.e., when the MFSA has completed all required site inspection at the License Holder's premises	
Awaiting Additional Documentation	The MFSA requests additional documentation from the License Holder post-site inspection	
Final Internal Meetings / Washup Meeting	The MFSA holds an internal meeting to discuss the findings and observations which emanate from the site inspection	
Compiling Internal Report	The MFSA compile an Internal Report detailing the entire process of the Inspection	
Schedule of Findings <u>In</u> Progress	The MFSA documents the findings, observations and recommendations in the Supervisory Report	
Schedule of Findings Sent	The Supervisory Report is made available to the License Holder	
Document Review (MFSA)	The MFSA reviews the replies submitted by the License Holder following the issuance of the Supervisory Report.	

Figure 15 - Site Inspections Status

3.4 Email Notifications

As soon as the MFSA processes a request as submitted by the Authorised Person through the LH Portal, the designated person/s of the respective Authorised Person will receive an automatic email notification on the email address registered on the Corporate Profile, prompting them to the LH Portal.

For further support, external users can reach out to an MFSA analyst through the Contact Us page on the LH Portal by:

- accessing the LH Portal through the following link
- clicking on Contact Us button
- filling in the form as illustrated in Figure 16, and enter the comments in the "Enquiry" field
- Upload Attachments (only applicable for Enquiry Type "Technical Support")

All fields are mandatory and hence cannot be left blank. The reCAPTCHA security service would also need to be ticked to protect the website from fraud and abuse.

LICENCE HOLDER PORTAL USER GUIDELINES

≡		
Licence Holder Portal External	Contact Us	
	Thank you for visiting the MFSA L	icence Holder Portal website. Please post any questions, feedback or suggestions by filling in the form below.
L My Account	Please be guided by the subject n	nenu on the enquiry form below. All fields are mandatory and cannot be left blank.
G Apply for a Licence	First Name	
Application Submissions	Last Name	
File Uploads	Fmail	
📑 User Logs	Lindi	
PQ	Are you contacting us on behalf of an Authorised	⊖ Yes ⊖ No
Contact Us	Person?	
	Name of Authorised Person	
	Enquiry Type	Select Option V
	Enquiry	
		I'm not a robot
		Send

Figure 16 - Contact Us Page

Malta Financial Services Authority

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