

# VFASP Regulatory Documentation Submissions Guide

Issued on: 01 June 2021

Regulatory Documentation	Rule	Submission date not later than	Submission Method	Soft Copy Naming Convention
<b>VFASP RETURNS</b>				
Interim VFASP Return	R3-3.5.4.4.2	1 month following the Reporting Date	xlsm version via LH Portal	YYYYMMDD_CODE_yyyyIVRQ(respective-quarter)
Interim VFASP Return - Representations Sheet	R3-3.5.4.4.3	1 month following the Reporting Date	In original	
Annual VFASP Return (Unaudited)	R3-3.5.4.3.1	1 month following the Reporting Date	xlsm version via LH Portal	YYYYMMDD_CODE_AVRyyyy
Annual VFASP Return - Representations Sheet (Unaudited)	R3-3.5.4.3.2	1 month following the Reporting Date	In original	
<b>Audited Annual Reporting Requirements</b>				
Annual Audited VFASP Return	R3-3.5.4.2.1 (i)	6 months after the Accounting Reference Date	xlsm version via LH Portal	YYYYMMDD_CODE_AAVRyyyy
Annual Audited VFASP Return - Representations Sheet	R3-3.5.4.2.2	6 months after the Accounting Reference Date	In original	
Audited Annual Financial Statements	R3-3.5.4.2.1 (ii), R3-3.5.4.2.4, R3-3.5.4.2.5	6 months after the Accounting Reference Date	Original via mail & Soft copy via LH Portal	YYYYMMDD_CODE_AVSYyyyy
Auditors' Report & Opinion	R3-3.5.4.2.1 (iv)	6 months after the Accounting Reference Date	In original & Soft copy via LH Portal	YYYYMMDD_CODE_AuditorReportyyyy
Auditors' Report to the MFSA	R3-3.5.4.2.7	6 months after the Accounting Reference Date	In original & Soft copy via LH Portal	YYYYMMDD_CODE_MFSAAuditorReportyyyy
Auditors' Management Letter	R3-3.5.4.2.3	6 months after the Accounting Reference Date	In original & Soft copy via LH Portal	YYYYMMDD_CODE_MgtLtryyyy
Remedial action taken on Auditors' Management Letter	R3-3.5.4.2.6	6 months after the Accounting Reference Date	In original & Soft copy via LH Portal	YYYYMMDD_CODE_MgtLtrReplyyyyy
<b>Other Reporting Requirements</b>				
Risk Management and Internal Capital Adequacy Assessment Report (RMICAAP)	R3-3.5.4.5	4 months after the Accounting Reference Date	In original & Soft copy via LH Portal	YYYYMMDD_CODE_RMICAAPyyyy
Compliance Certificate	R3-3.1.4.2	Together with the Annual Audited Financial Statements	In original & Soft copy via LH Portal	YYYYMMDD_CODE_CCyyyy
IT Audit Report {as applicable}	R3-3.1.6.7.2	Together with the Annual Audited Financial Statements	In original & Soft copy via LH Portal	YYYYMMDD_CODE_ITAuditReportyyyy
Systems Audit Report {as applicable}	R3-3.1.6.6.1	Together with the Annual Audited Financial Statements	In original & Soft copy via LH Portal	YYYYMMDD_CODE_SystemsAuditReportyyyy

Licence Holders are to follow the 'Guidelines on File Naming Convention' provided on the right-hand side of the File Uploads Tab within the LH Portal, when submitting the above documents in zip files.

### Soft Copy Naming Convention Guide:

YYYY = Year of submission date --> ex: 2021

MM = Month of submission date --> ex: 04

DD = Day of submission date --> ex: 30

CODE = Licence Holder Code found in the entity's Corporate Profile on the MFSA LH Portal

yyyy = Year the document relates to --> ex: 2020

Ex: 20210430\_VFAS01\_2021IVRQ1

### Disclaimer

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