

VFASP Regulatory Documentation Submissions Guide

Issued on: 06 January 2023



Regulatory Documentation	Rule	Submission date not later than	Submission Method	Soft Copy Naming Convention
VFASP RETURNS				
Interim VFASP Return	R3-3.5.4.4.2	1 month following the Reporting Date	xlsx version via LH Portal	YYYYMMDD_CODE_YYYY IVRQ {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	xlsx version via LH Portal	YYYYMMDD_CODE_ AVR YYYY
Annual VFASP Return - Representations Sheet (Unaudited)	R3-3.5.4.3.2	1 month following the Reporting Date	In original	
Audited Annual Reporting Requirements				
Annual Audited VFASP Return	R3-3.5.4.2.1 (i)	6 months after the Accounting Reference Date	xlsx version via LH Portal	YYYYMMDD_CODE_ AAVR YYYY
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_ AFS YYYY
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_ AuditorReport YYYY
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_ MFSAAuditorReport YYYY
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_ MgtLtr YYYY
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_ MgtLtrReply YYYY
Other Reporting Requirements				
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_ RMICAAP YYYY
Compliance Certificate	R3-3.1.4.2	Together with the Annual Audited Financial Statements	In original & Soft copy via LH Portal	YYYYMMDD_CODE_ CC YYYY
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_ ITAuditReport YYYY
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_ SystemsAuditReport YYYY

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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