

# **Guidelines on Regulatory Reporting Requirements and the Submission of Financial Documentation through the LH Portal**

*Applicable to Collective Investment Schemes, Fund Managers, Investment Firms and Recognised Persons*

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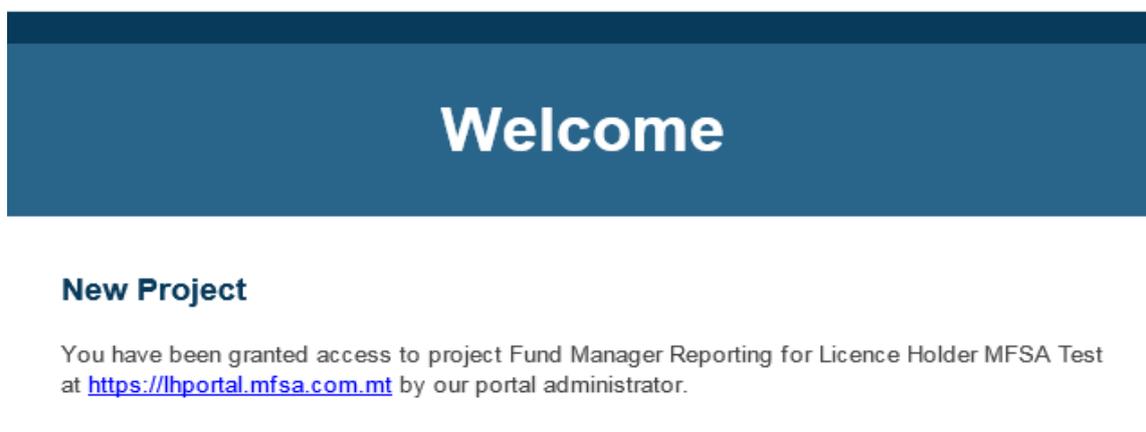
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The MFSA has further developed the Licence Holder (LH) Portal to enable collective investment schemes, fund managers, investment firms and recognised persons to submit their regulatory reporting electronically to the MFSA. The registered users of the licence holders/ recognition certificate holders shall submit all regulatory reporting via the LH Portal User Interface. Nonetheless, physical submissions of documentation are still required.

## 1. User Access to LH Portal

The Compliance Officer of each respective licence holder/ recognition certificate holder will receive the below e-mail, being granted access to the respective project on the Licence Holder Portal 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

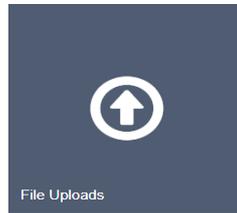
Log in

Register

*Snapshot 2*

## 2. Uploading of files and LH Portal Repositories

**Step 1:** 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 (which should correspond to the licence type of the licence holder) 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  ▼ ←

Project  ▼ ←

Files:  No file chosen

**Snapshot 4**

The user will be granted access to different repositories/projects depending on the type of licence granted to the licence holder/recognition certificate holder by the MFSA. The user will be required to submit the necessary documentation according to licence type.

Below is a comprehensive list of project access rights that will be granted according to licence type/recognition type.

Licence Holder Type	Project Name
<b>Fund Managers</b>	
De-Minimis Fund Manager	Fund Manager Reporting
Full AIFM	Fund Manager Reporting
UCITS Manager	Fund Manager Reporting
<b>Investment Firms</b>	
All classes	Investment Firms Reporting
<b>Funds</b>	
Alternative Investor Fund	Collective Investment Schemes & Recognized Persons Reporting
Notified AIF	Collective Investment Schemes & Recognized Persons Reporting
Professional Investor Fund	Collective Investment Schemes & Recognized Persons Reporting
Retail Collective Investment Scheme	Collective Investment Schemes & Recognized Persons Reporting
<b>Recognised Persons</b>	
Recognised Fund Administrator	Collective Investment Schemes & Recognized Persons Reporting
Recognised Private Collective Investment Scheme	Collective Investment Schemes & Recognized Persons Reporting
Recognised Incorporated Cell Company	Collective Investment Schemes & Recognized Persons Reporting

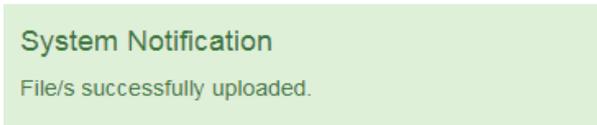
**Table 1: Project access rights per licence type**

Licence holders are required to submit any returns in excel format and other financial documentation, in particular the annual report and related confirmations, in pdf format.

**Step 3:** On the right hand side of the webpage, the user will be able to view the required naming conventions and licence specific guidelines on the documentation that needs to be submitted. For full details of the naming convention specifics, please refer to section 3 below. At the right hand side of the screen, the different types of “reports” are provided in tabular format by Licence Holder type.

**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 click 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 well as an e-mail confirming that the respective ZIP files have been uploaded successfully.



System Notification  
File/s successfully uploaded.

**Snapshot 5**

### 3. Naming Conventions

The naming convention and format to be followed is: LHCode\_MMMYYYY\_Report.zip whereby:

- the “LHCode” is the 4 letter code as provided for every Licence Holder on the MFSA’s website in the Financial Services Register Section and as can be found on the Corporate Profile;
- the “MMM” is the first 3 digits of the respective referenced month. For example for June, the MMM is JUN;
- “YYYY” is the year is the full 4-digit number of the respective referenced year; and
- the different types of “reports” are provided in the below table and broken down in the file uploads section on the right hand side. The following is a table of the naming conventions for different types of documentation: (Using CODE as the LH Code and January 2019 as the reference period):

Documentation Type	Naming Convention/file type
<b>Audited Financial Statements</b>	CODE_JAN2019_AFS.zip
<b>Additional Financial Documentation (to include all of the below documentation in a zip file, as applicable depending on licence type):</b> -Auditors’ Management Letter -Auditors’ Report (not to be confused with independent auditors’ report) -Auditors’ Confirmation -Auditors’ Note regarding ISA Net Revenues -Comments to management letter -Custodians’ Report (unless included in pack) -Directors’ Confirmation -Financial Derivatives Report -Letter from the Board of Directors -Self-assessment certificate on potential closet indexing	CODE_JAN2019_AFD.zip
<b>Interim Financial Statements</b>	CODE_JAN2019_IFS.zip
<b>Annual Fund Return</b> -Including a signed representation sheet and the respective Auditor’s report	CODE_JAN2019_AFR.zip
<b>MiFID Firms Quarterly Reporting</b>	CODE_JAN2019_MFREP.zip
<b>Appendix 2B Return in excel (Fund Manager Return)</b> -Including a signed representation sheet	CODE_JAN2019_APPRET2B.zip
<b>Other Regulatory Requirements</b>	CODE_JAN2019_OTH.zip

**Table 2: Grouping of documentation and naming conventions per documentation type**

**Only** the above-mentioned documentation are to be included in each respective zip file (eg. Management letters shall not be included with the Audited Financial Statements (AFS) zip file but only in the AFD zip file as explained in *Table 2*). 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.

 CODE\_JAN2019\_AFS

 Compressed (zipped) Folder

#### 4. Submissions

For a complete list of the required regulatory returns per licence type, please refer to the following links:

**Fund Managers, Collective Investment Schemes and Recognised Persons:**

<https://www.mfsa.mt/wp-content/uploads/2019/10/Fund-Managers-Collective-Investment-Schemes-and-Recognised-Persons-Documentation-Timetable.pdf>

**Investment Firms:**

<https://www.mfsa.mt/wp-content/uploads/2021/09/Documentation-Timetable.pdf>

**NB:** The Compliance Officer will remain responsible to ensure that all documentation is submitted electronically through the LH Portal and physically to the MFSA's offices. The Compliance Officer will be retained responsible for any discrepancies between the two sets of documentation.

Going forward the MFSA will also be considering the implementation of a digital signature system and further details will be communicated at a later date.

In the case of difficulties or should you have any queries, please feel free to contact the MFSA on [lhportalinvestments@mfsa.mt](mailto:lhportalinvestments@mfsa.mt).