



# User Guide for Submitting the Register of Information

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User Guidelines for submitting the Register of Information to the Malta Financial Services Authority through the Licence Holder Portal as stipulated in Article 28 (3) of the DORA Regulation

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# Table of Abbreviations

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AP(s)	Authorised Person(s)
LH Portal	License Holder Portal
MFSA	Malta Financial Services Authority
ICT TPPs	ICT Third-Party Service Providers
RoI	Register of Information

## **1. Introduction**

The scope of this user guide is to help a User in uploading and submitting the requested Register of Information (“RoI”) for and on behalf of an Authorised Person (“AP”), through the License Holder Portal (“LH Portal”).

For all resources pertaining to the creation of an RoI, the ESA validation rules and useful FAQs, refer to the [EBA website](#).

It is important to note that Significant Institutions (SIs) are not to follow this user guide and are advised instead to use the guidance provided by the European Central Bank (ECB) for the submission of the RoI.

### **1.1 Accessing the Licence Holder Portal**

The LH Portal is a web-based application which enables all entities licensed by the MFSA (Authorised Persons) to submit PQs, access their information as well as upload regulatory returns/documentation. The LH Portal can be accessed through a web-browser via the following link:

<https://lhportal.mfsa.mt/>

### **1.2 Register and/or Log-In**

A User is expected to Log-In to the LH Portal main page to be able to conclude the file submission process.

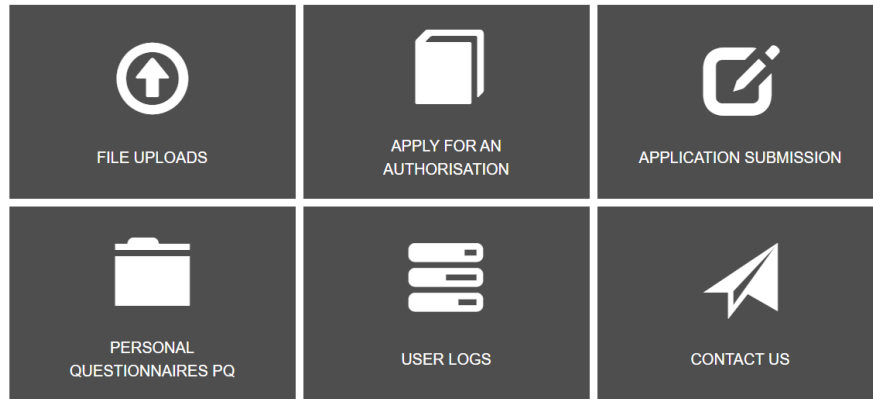


Figure 1: LH Portal Main Page

Access to the Register of Information (ICT Third-Party Providers) project is granted to specific Users, acting for and on behalf of an AP(s). Typically, the User is expected to be the approved Compliance Officer of the AP. Specific Users that do not have access are required to register on the portal first. Once an account is created, the designated person is to contact the Supervisory ICT Risk and Cybersecurity Team via email ([roi@mfsa.mt](mailto:roi@mfsa.mt)) to have their account linked with the project.



Figure 2: LH Portal Register

Figure 3: LH Portal Register an Account Detail

The screenshot shows the 'Register an account' page in the LH Portal. On the left is a dark blue sidebar with the text 'Licence Holder Portal External' and a 'Contact Us' link. The main content area is white and contains the following fields and elements:

- Register an account** (Section Header)
- Verification is necessary. Please click Send button.
- Email Address**: Input field with a 'Send verification code' button to its right.
- New Password**: Input field.
- Confirm New Password**: Input field.
- Document Type**: Dropdown menu with 'DOCUMENT TYPE' selected.
- Official Identification Document No**: Input field.
- Name**: Input field.
- Surname**: Input field.
- Buttons: 'Create' and 'Cancel' at the bottom.

## 2. Uploading the Rol onto the LH Portal

### 2.1 File Upload

Once a User has successfully signed in, through the File Uploads screen, the User is to select the name of the AP for which the Rol is being submitted, followed by selecting *Register of Information (ICT Third-Party Providers)* as a project.

### 2.2 File Structure

For each AP the User is expected to choose and upload **one (1) Zip File**.

**The Zip file** should contain **one (1) folder** with:

- **One (1) reports folder** with:
  - **One (1) 'reports.json'** file.
  - All other files in plain **' .csv'** format.
- **One (1) META-INF** folder.

An example of the file structure is available at this [link](#) - please download the folder, under "instances xBRL-CSV", search for the DORA file (DUMMYLEI123456789012.CON\_FR\_DORA010100\_DORA\_2024-12-31\_20241213174803429)

## 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.

Authorised Person: MFSA TEST

Project: Register of Information (ICT Third-Part)

Files: Choose File No file chosen

Upload File(s)

### Guidelines on File Naming Convention

#### 1. Zip file

##### Required format:

LEICODE.ScopeOfConsolidation\_COUNTRYCODE\_DORA010100\_DORA\_2025-03-31

##### Example:

0000000000AAAAAAAAA.IND\_MT\_DORA010100\_DORA\_2025-03-31.zip

Please note that you are only allowed to upload 1 ZIPPED file at a time, not exceeding 30MB.

Figure 4: Rol Submission Page

**File structures of submissions not following the above format will be automatically rejected by the system.**

### 2.3 Zip File Naming Convention

The following file naming convention should be used for the Zip file:

*LEICODE.ScopeOfConsolidation\_CountryCode\_DORA010100\_DORA\_2025-MM-DD.zip*

Where:

- i. **LEICODE:** This should reflect the unique LEI code for each AP.
- ii. **ScopeOfConsolidation:** This should read "IND" or "CON", depending on whether the AP is reporting the RoI at entity level or at consolidated / sub-consolidated level.
- iii. **CountryCode:** This should read as the country code of the AP.
- iv. **DORA010000:** This represents the module version and should remain unchanged.
- v. **DORA:** This represents the module name and should remain unchanged.
- vi. **2025-MM-DD:** This should reflect the reference date that includes the Year-Month-Day. For 2025 the reference date is fixed at 2025-03-31.

Please do not include any text other than the one specified above in the naming convention.

***Naming conventions of submissions not following the above format will be automatically rejected by the system.***

The Upload File(s) button will trigger the RTS validation process for the selected Zip File.

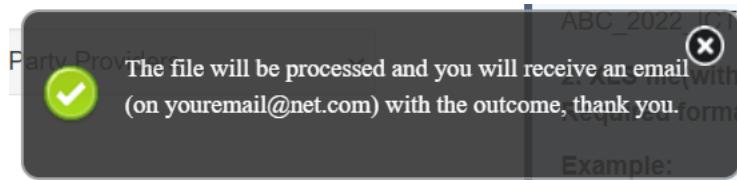


Figure 5: File submitted to queue

The file will be submitted to a queuing system and via an automatic email the User is informed accordingly if the file upload was successful or not. Upon a successful submission and validation, the Zip file together with its content is automatically shared with the MFSA.

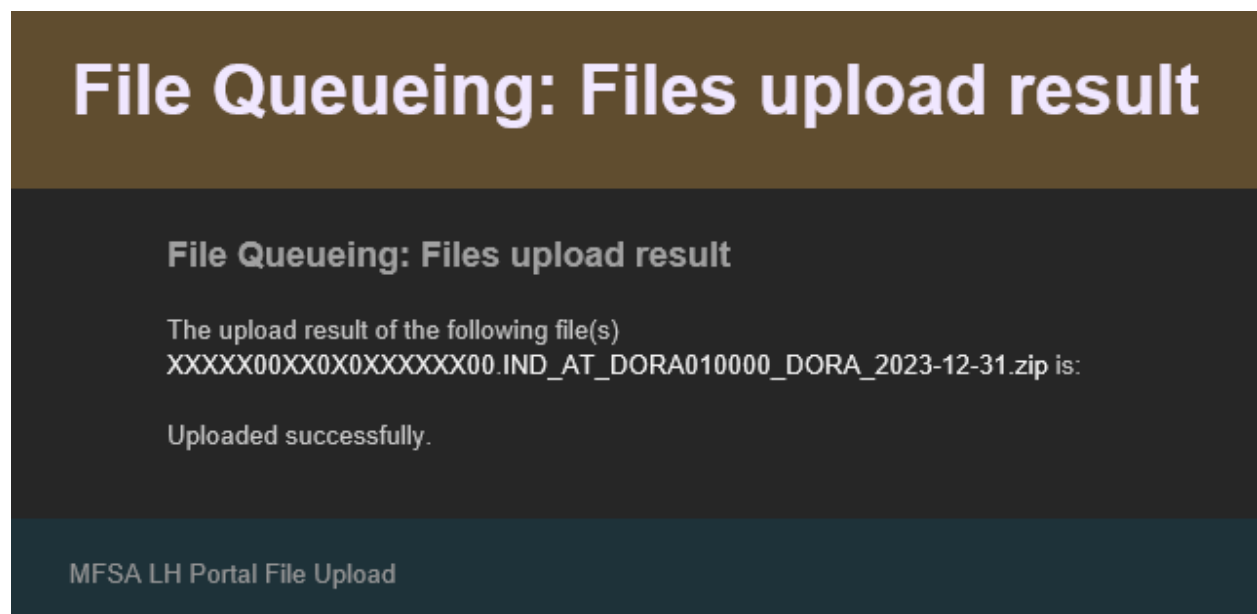
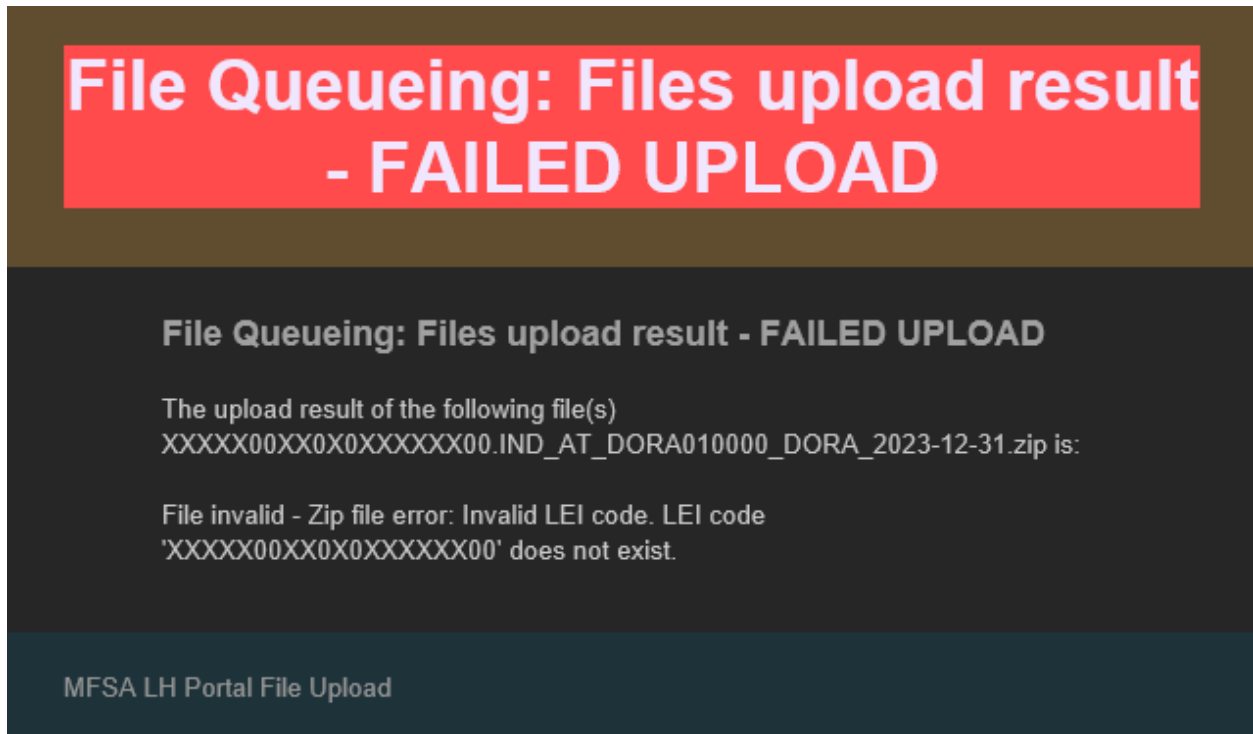


Figure 6: File Upload Result – Successful Upload





*Figure 7: File Upload Result – Failed Validation*

### **3. Resubmissions**

If an AP is required to resubmit the Data Template, the process explained in Section 2, "Uploading the Rol onto the LH Portal," must be followed again. This includes adhering to the file format, file naming conventions, and other requirements specified in Section 2. Any previously submitted Zip file with the same name will be considered superseded.

All files stipulated by the guidelines must be present in the resubmission, even if some were not updated from the initial submission. For example, if the first submission included 7 reports and 3 were incorrect, the resubmission must include a complete Rol with the 3 corrected reports and the 4 unchanged reports.

### **4. Contact Us**

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