

By Email

24 July 2018

Senior Executive Officers of DFSA Regulated Entities
Principal Representatives of Representative Offices
Senior Executive Officers of Authorised Market Institutions
Audit Principals at Registered Auditors
Compliance Officers of Authorised Firms
Money Laundering Reporting Officers of Relevant Persons

RE: Updates to DFSA ePortal

Dear all,

We have previously discussed efficiency initiatives intended to enhance our interactions with the regulated community. Last year we introduced the DFSA ePortal as a platform to host certain electronic forms and regulatory submissions to the DFSA.

The purpose of this letter is to remind you of the DFSA ePortal and notify you of a new process for submitting online applications for Authorised Individual status.

DFSA ePortal

The DFSA ePortal can be accessed using the following [link](#). Before attempting to log in, please consider the following:

- For Authorised Firms that are currently submitting prudential returns through the Electronic Prudential Reporting System (“EPRS”), please use the EPRS username and password to log onto the DFSA ePortal.
- For all firms that do not use the EPRS system but have been previously required to submit other regulatory reports, please use the log in details provided to you last August. The username will be your DFSA firm reference number (please see the [DFSA Public Register](#) if unsure). Once you submit your credentials, you will be prompted to change the password as part of the logging in process.
- If you have forgotten your password for either EPRS or the DFSA ePortal, please refer to page 4 of the [respective user guide](#) on how to use the automated password reset facility. Please ensure that the DFSA licensed/registered individual listed below is aware when you use this process as they will be the contact point.

Authorised Firms (excluding Rep Offices)
Representative Offices
DNFBP’s
Registered Auditors
Authorised Market Institutions

Senior Executive Officer
Principal Representative
Money Laundering Reporting Officer
Money Laundering Reporting Officer
Money Laundering Reporting Officer

- For entities that were licensed/registered after 1 August 2017, and do not already have EPRS or DFSA ePortal log in details, these details will be issued to the individual noted above prior to 1 August 2018.

Applications for Authorised Individuals

From 1 August 2018, Authorised Firms will use an electronic form to make applications for Authorised Individual status. This electronic form will replace the paper based version (AUT-IND1) that is currently available on our website. The DFSA will continue to accept the paper based version until 31 August 2018, when the link to the Word version will be removed from the DFSA website. Other applications, such as AUT-IND2 and AUT-IND3 will be converted to electronic form in due course.

To access this form, please log onto the [DFSA ePortal](#).

Other regulatory reports

The DFSA would also like to take this opportunity to remind all Relevant Persons¹ that the annual AML Return must be submitted using the [DFSA ePortal](#). The AML Return will be open for completion from 1st August 2018 with the deadline for submission being 30th September 2018.

Firms are also reminded that general communications with the DFSA will still take place using the Supervised Firm Contact form whilst EPRS will remain the platform for prudential returns. Should you have any questions regarding this letter, please make a submission using the [Supervised Firm Contact form](#).

Yours sincerely



Bryan Stirewalt
Managing Director, Supervision

¹ Rule 14.5.1 of the Anti-Money Laundering, Counter-Terrorist Financing and Sanctions Module (AML) of the DFSA Rulebook specifies the Relevant Persons who are required to submit the annual AML Return.