

By Email

31 July 2017

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: DFSA ePortal and Annual AML Return 2017

Dear all,

In our last [DFSA in Action](#) publication dated September 2016, we discussed several efficiency initiatives that should enhance our interactions with the regulated community. Further to this, and in line with the DFSA's Business Plan for 2017/2018, I am pleased to inform you about the DFSA's roll-out of its online applications as introduced in [Consultation Paper No.105](#).

We see many benefits of using an online submission over traditional paper-based returns for both the regulated community and the DFSA. Online Forms are dynamic in nature automatically adapting to both the type of firm completing a submission and how questions are being answered by a firm. Our aim is to receive concise responses to directly relevant questions that can be swiftly be analysed and presented back to the regulated community. New concepts such as straight-through processing of certain submissions will also be introduced overtime.

DFSA ePortal

The DFSA has created a new facility on the DFSA's website named the [DFSA ePortal](#). The DFSA ePortal is the platform that will host electronic forms and regulatory submissions to the DFSA. The initial online application that will be available on the DFSA ePortal will be the Annual AML Return.

Please note that regular communications will still take place either directly with your Relationship Manager or by using the [Supervised Firm Contact form](#).

In order to access the items within the DFSA ePortal, you should use the Electronic Prudential Reporting System ("EPRS") login details issued earlier this year. Entities that currently do not use EPRS will be issued with a user name and password to access the DFSA ePortal over the next few days.

I encourage you to carefully read the guide located on the DFSA ePortal homepage (please use the link above) for specific instructions upon how to operate the DFSA ePortal and complete the online applications.

These changes will be come into effect on 1 August 2017.

Annual AML Return

The DFSA has revised the format of the Annual AML Return that Relevant Persons are required to submit to the DFSA annually under Rule 14.5.1 of the Anti-Money Laundering, Counter-Terrorist Financing and Sanctions Module (AML) of the DFSA Rulebook. Some of the key features of the new form is its dynamic nature that recognises the type of Relevant Person completing the Form. In addition, it will provide the Relevant Person with an automatic notification of receipt upon submission.

This form is required to be submitted to the DFSA by the end of September each year.

This is the first regulatory submission that will be on the DFSA ePortal. As such, the DFSA will be engaging with the regulated community to get feedback and comments to further enhance this experience. We expect that to take place towards the end of this year.

Should you have any questions regarding this letter, please contact your DFSA Relationship Manager if one has been assigned, or by using the [Supervised Firm Contact form](#).

Yours sincerely



Bryan Stirewalt
Managing Director, Supervision