

By Email

4th April 2017

To the Senior Executive Officers (SEO) of DFSA Regulated Entities

Re: Supervised Firm Contact Form – Annual Reporting

Dear Senior Executive Officer

Further to our recent [DFSA in Action](#) publication, where we discussed efficiency initiatives and improved interactions with the regulated community, this letter sets out an initiative to utilise the [Supervised Firm Contact Form](#) for all Authorised Firms. Over the course of the last couple of years, the DFSA has been developing its IT systems to manage the increased numbers of queries arising from Authorised Firms. The DFSA system that is now in place allows for instant recording/tracking capabilities and automated response receipts to Authorised Firms detailing the date/time and the nature of the enquiry.

In line with the DFSA's Business Plan for 2017/2018 and its commitment to execute its core functions with professional and efficiency, please note that we will require Authorised Firms to use the [Supervised Firm Contact Form](#) when making submissions of all annual/regular reports sent to the DFSA. Such reports will include, but are not limited to:

- Annual Financial Statements Auditor's Report
- Annual Regulatory Return Auditor's Report
- Annual Client Money Auditor's Report
- Annual Insurance Monies Auditor's Report
- Annual Safe Custody Auditor's Report
- Annual Fund Auditor's Report
- Annual IRAP Report
- Annual ICAAP Report
- Annual Anti-Money Laundering Report
- Annual Controllers Report
- Annual CIR Report
- Annual Report of the Shari'a Supervisory Board (Islamic Firms)
- Capital Adequacy Summary Report (Branches, PIB 3.2.4)
- Interim Fund Auditor's Report

EPRS submissions are unaffected by this change and will continue to be submitted using the existing method.

In addition, please note that the DFSA will no longer be using the Email addresses listed below in relation the upcoming to annual/regular reports sent to the DFSA.

- Annual Anti-Money Laundering Report: AMLReturns@dfsa.ae
- Annual Financial Statements Auditor's Report: AuditReports@dfsa.ae

This change will not alter the existing designated Relationship Managers (RM) who will remain as the primary DFSA contact for your firm, if your firm is managed under a designated RM arrangement. Please continue to contact them, as usual, for all ongoing supervisory matters.

In addition to links provided throughout this letter to the Contact Form, a link can also be found on the home page of the DFSA website (see image to the right) and under "Your Resources" selection.

Once you have accessed the link you will be directed to a page where the details about your Firm and the submission can be inputted.

We request that you submit each report separately selecting the relevant tick box (the website will be updated to display the standard reports), clearly state the items you are submitting in the 'Details of your enquiry' box and note also your Relationship Manager's name in this box.



You are encouraged to make a test submission prior to actually submitting the required returns, if you wish.

We thank you in advance for supporting this initiative which is part of our commitment to improving the efficiency and effectiveness of our supervisory processes. Should you have any questions regarding this letter, please do not hesitate to contact Jeremy Cox on 04 362 1523 or by Email at jcox@dfsa.ae.

Yours sincerely



Bryan Stirewalt
Managing Director, Supervision

Copied to: Finance Officers
Compliance Officers