

# Electronic Prudential Reporting System (EPRS) User Guide

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# 1 Introduction

## 1.1 Objective of the User Guide

The objective of this User Guide is to provide step by step instruction to Authorised Firms (“you”) on the use of the DFSA’s Electronic Prudential Reporting System (EPRS) and in particular, the following processes:

- accessing and logging on to EPRS;
- navigating within EPRS;
- data entry;
- validation of data;
- printing reports; and
- submission of returns to the DFSA

The User Guide also contains a series of short video guide at the end of each section. By clicking on this icon,  a web page will open showing you a video presentation of the steps covered.

In addition to this User Guide, there is an online demonstration of EPRS that can be viewed via the DFSA website at the following address:

<http://www.dfsa.ae/Resources-For-Firms/Systems-Reporting#EPRS>

## 1.2 About EPRS

EPRS is a web based application enabling Authorised Firms to submit their prudential returns on-line. EPRS contains a database to collect and store data and a software application to analyse the data collected for the purpose of assessing and monitoring prudential risk levels, both on a Firm specific and systemic basis.

The application for analysis of data collected is also designed to provide analytical reports to the DFSA that may be used (subject to the DFSA’s obligations for protection, use and disclosure of information set out in Regulatory Law No 1 of 2004) in preparing and providing information on an aggregate basis to external stakeholders.

EPRS offers key benefits to Authorised Firms including, validation of returns prior to submission, pre-population of linked data to avoid re-keying and automated acknowledgement of returns submitted to the DFSA.

## 1.3 Security

EPRS is accessed via an ‘SSL VPN’ tool that will be automatically installed when you first log in.

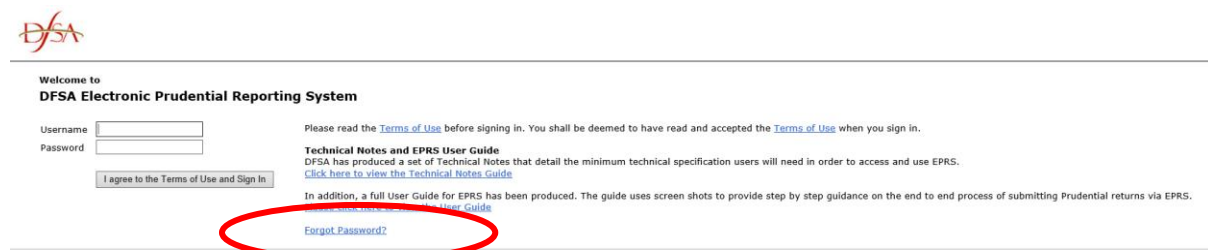
‘SSL’ (Secure Socket Layer) is a protocol for managing the security of message transmission on the internet.

'VPN' (Virtual Private Network) enables IP traffic to travel securely over the internet by encrypting all traffic from one network (your computer) to another (EPRS). A VPN uses "tunneling" to encrypt all information that is sent from your computer.

As such your connection to the EPRS will be via a secure and encrypted channel (SSL VPN), allowing for a secure and safe means of sending your information.

### 1.3.1 Password Reset

If you have forgotten your password or need to reset the password, please use the 'Forgot Password?' link on the login page:



Welcome to  
**DFSA Electronic Prudential Reporting System**

Username   
Password

☐ I agree to the Terms of Use and Sign In

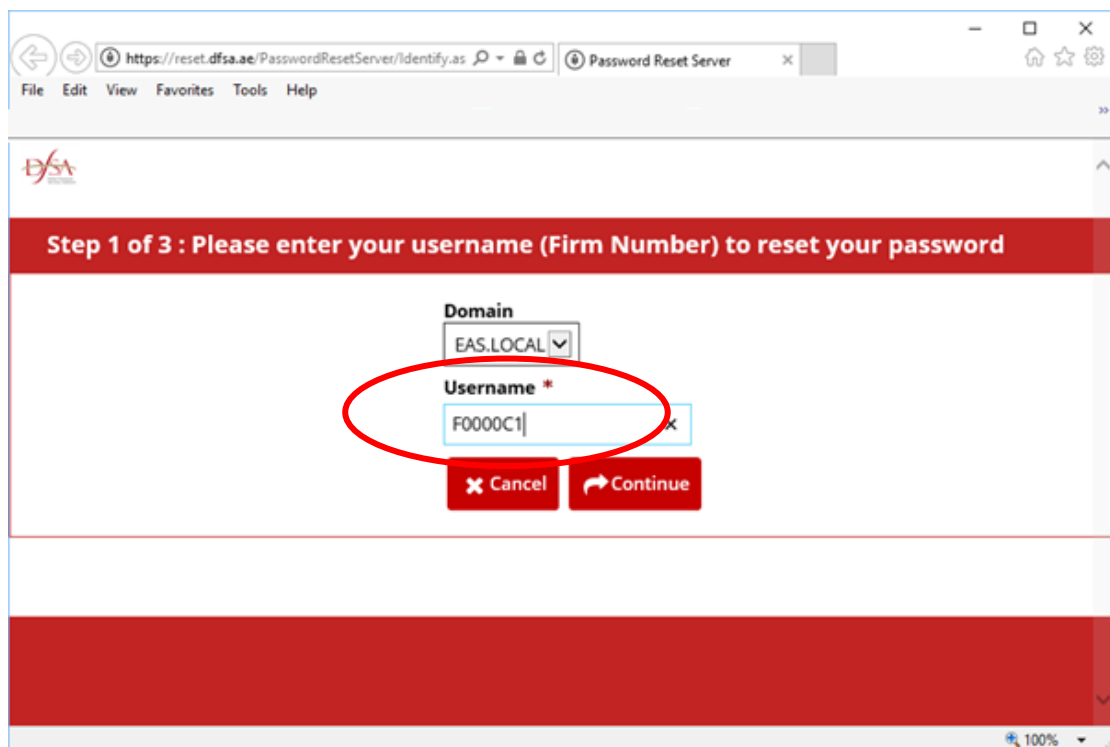
Please read the [Terms of Use](#) before signing in. You shall be deemed to have read and accepted the [Terms of Use](#) when you sign in.

**Technical Notes and EPRS User Guide**  
DFSA has produced a set of Technical Notes that detail the minimum technical specification users will need in order to access and use EPRS.  
[Click here to view the Technical Notes Guide](#)

In addition, a full User Guide for EPRS has been produced. The guide uses screen shots to provide step by step guidance on the end to end process of submitting Prudential returns via EPRS.  
[Click here to view the User Guide](#)

[Forgot Password?](#)

1. On selecting the 'Forgot Password?' link the user will be taken to the first step where they are requested to enter their username / firm ID:



https://reset.dfsa.ae/PasswordResetServer/Identify.as Password Reset Server

File Edit View Favorites Tools Help

**Step 1 of 3 : Please enter your username (Firm Number) to reset your password**

Domain  
EAS.LOCAL

**Username \***  
F0000C1

2. On selecting 'Continue' an email, with a Pincode, will be sent to the Senior Executive Officer (SEO) that is required to complete step 2. Enter the 'Pincode' when requested:

The screenshot shows a web browser window with the URL <https://reset.dfsa.ae/PasswordResetServer/ConfirmIdentity.aspx>. The page title is "Password Reset Server". The DFSA logo is in the top left. A red banner at the top reads "Step 2 of 3 : Enter Pincode". On the right, a small box says "Step 1 of 1". The main text states: "An email has been sent to the primary email account (SEO) registered with the DFSA. Please enter the pincode found in the email." Below this is a text input field labeled "Pincode" and a red "Continue" button with a right-pointing arrow.

3. On selecting continue, you will now be requested to enter a new password:

The screenshot shows the next step in the password reset process. The URL is <https://reset.dfsa.ae/PasswordResetServer/ResetPassword.aspx>. The page title is "Password Reset Server". The DFSA logo is in the top left. A red banner at the top reads "Step 3 of 3 : Please enter your new password". A green success message with a checkmark icon says "Your identity has been confirmed!". Below this is a text box containing "EAS.LOCAL" and "f0000c1". There are two text input fields: "New Password" and "Confirm New Password". Below these is a link "Offline Reset?". At the bottom is a grey "Reset Password" button with a circular arrow icon.

4. Enter your new password and then select 'Reset Password'

Step 3 of 3 : Please enter your new password

✓ Your identity has been confirmed!

EAS.LOCAL  
f0000c1

**New Password**  
.....

**Confirm New Password**  
.....

[Offline Reset?](#)

**Reset Password**

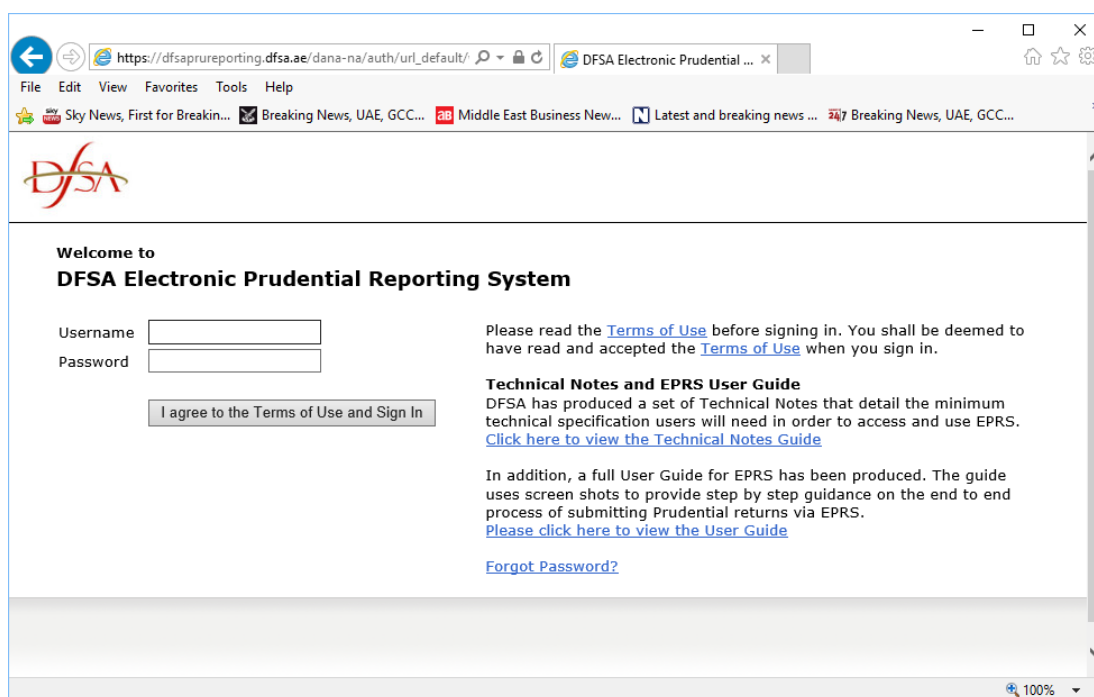
5. Finally select 'Login' to return to the main EPRS login page where you can login with your new password

Successful

✓ Password Reset Succeeded

EAS.LOCAL  
f0000c1

**Login**



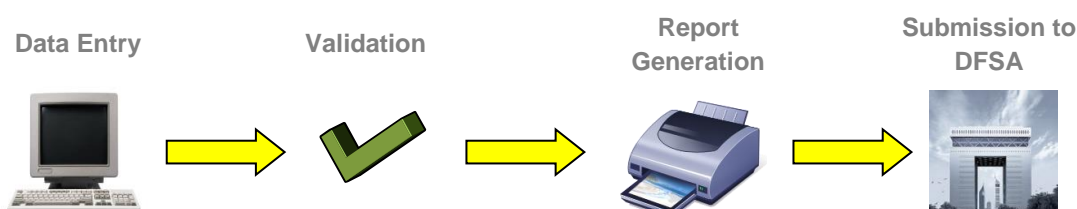
The screenshot shows a web browser window with the URL [https://dfsaprrreporting.dfsa.ae/dana-na/auth/url\\_default/](https://dfsaprrreporting.dfsa.ae/dana-na/auth/url_default/). The page features the DFSA logo and a welcome message: "Welcome to DFSA Electronic Prudential Reporting System". There are input fields for "Username" and "Password", and a button labeled "I agree to the Terms of Use and Sign In". To the right, there is a "Please read the [Terms of Use](#) before signing in. You shall be deemed to have read and accepted the [Terms of Use](#) when you sign in." section. Below this, there is a "Technical Notes and EPRS User Guide" section with a link to "Click here to view the Technical Notes Guide". Further down, there is a section about a full User Guide for EPRS with a link to "Please click here to view the User Guide". At the bottom right, there is a link for "Forgot Password?".



**NOTE:** The Senior Executive Office (SEO) of the firm will receive the necessary emails to reset the password.

## 1.4 Overview of EPRS Submission Process

The key steps in the EPRS submission process are best summarised in the following flow diagram.



### 1.4.1 Data Entry

Once you have logged on to EPRS you will be presented with the forms that are specific to your category of firm and the Financial Services activities conducted.

The forms are presented in a task list that you work through systematically. Where possible, data entered in one area that is also required in another form will be pre-populated to avoid re-keying.

You simply work through the task list to complete all forms relevant to the category of your firm and the Financial Services activities you perform.

#### **1.4.2 Validation**

Validations are built within EPRS to ensure the integrity of data submitted. The validations can be within, or between different forms and ensures, where appropriate, that data reconciles. Prior to submitting your forms you will have to pass all the validations. Where any validations fail, a list will indicate the nature of the validation failure.

#### **1.4.3 Report Generation**

Once validations have been passed, firms should generate a full pack of forms. The EPRS produces the forms in PDF versions of the DFSA return forms. An Authorised Firm must keep a hard copy of the return submitted using EPRS together with the form B100 Declaration of by Authorised Firm, or Statement of Directors (Please refer to PIB Rule 1.6 and PIN Rule 6.5 respectively).

#### **1.4.4 Submission of Returns to the DFSA**

The final step in the process is to submit the forms to the DFSA. This is achieved within the EPRS by promoting the forms. Once this has been done firms will receive an automated receipt. Following the submission of the forms the data is locked and cannot be altered.



## 2 Getting Started

### 2.1 Terms of Use

The Terms of Use govern each user and its Authorised Firm's use of EPRS. Before using EPRS each time, you must signify your acceptance of the Terms of Use by clicking on the 'I agree to the Terms of Use and Sign In' button on the welcome and sign in webpage. By clicking that button and/or by using EPRS, you agree to be bound by the Terms of Use, as amended from time to time. If you do not agree with any part of the Terms of Use you must not access and use EPRS.

### 2.2 Technical Notes

Please ensure you have read the 'Technical Notes' prior to reading this User Guide. The 'Technical Notes' document will ensure you have the necessary and correct system setup to allow you to login and successfully use EPRS.

If you experience problems trying to launch EPRS, this may be due to your computer settings not conforming to the requirements specified in the 'Technical Notes'. To resolve such problems you should contact your IT Support function and ensure your computer settings conform to the requirements specified in the 'Technical Notes'.

## 3 Logging On

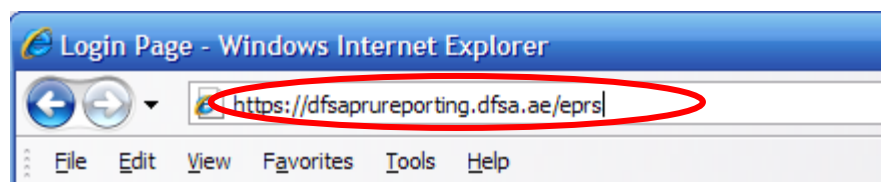
*There are 7 main areas within this section.*

1. Open an 'Internet Explorer' browser session



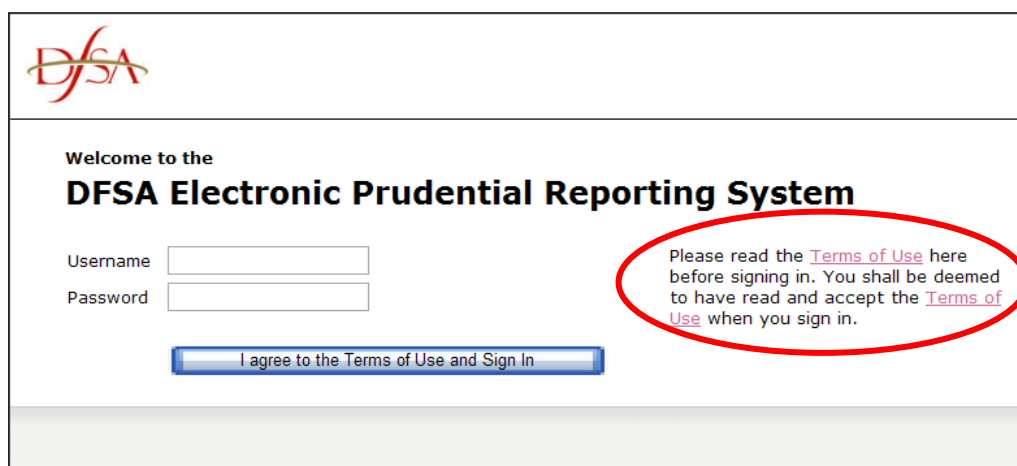
2. In the 'Internet Explorer' address bar enter the following URL:

<https://dfsaprureporting.dfsa.ae/eprs>

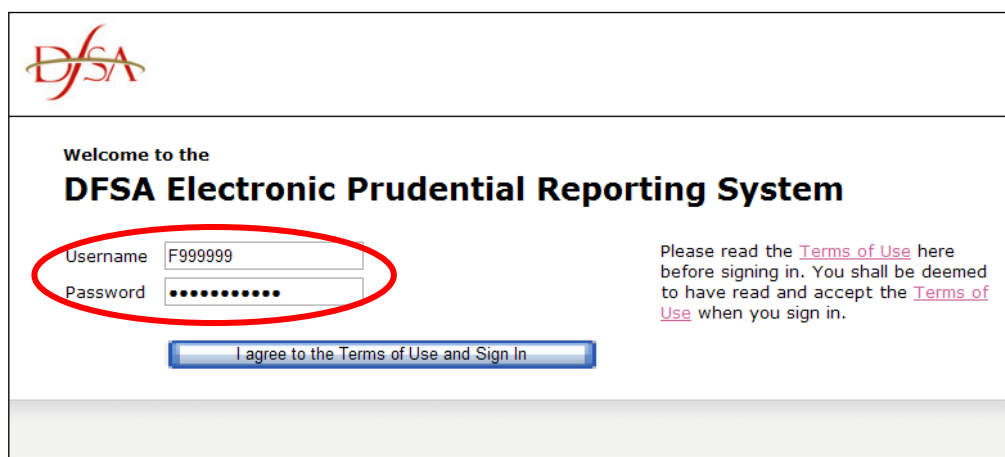


The above URL can be saved to 'Favourites' for future access.

3. You will now be re-directed to the EPRS log in page:



4. Before using EPRS each time, you must signify your acceptance of the Terms of Use by clicking on the 'I agree to the Terms of Use and Sign In' button on the welcome and sign in webpage. By clicking that button and/or by using EPRS you are signifying your agreement to the Terms of Use, as amended from time to time. If you do not agree with any part of the Terms of Use, you must not access or use EPRS.
5. After reading the Terms of Use enter the 'Username' and 'Password' provided by the DFSA.

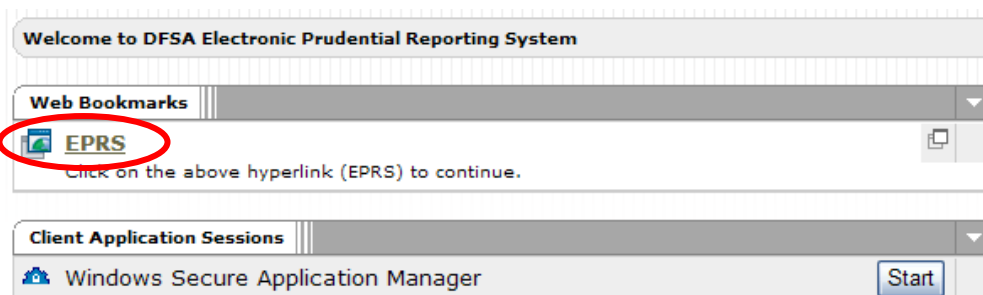


**NOTE:** The 'Username' is NOT case sensitive; however, the 'Password' IS case sensitive.



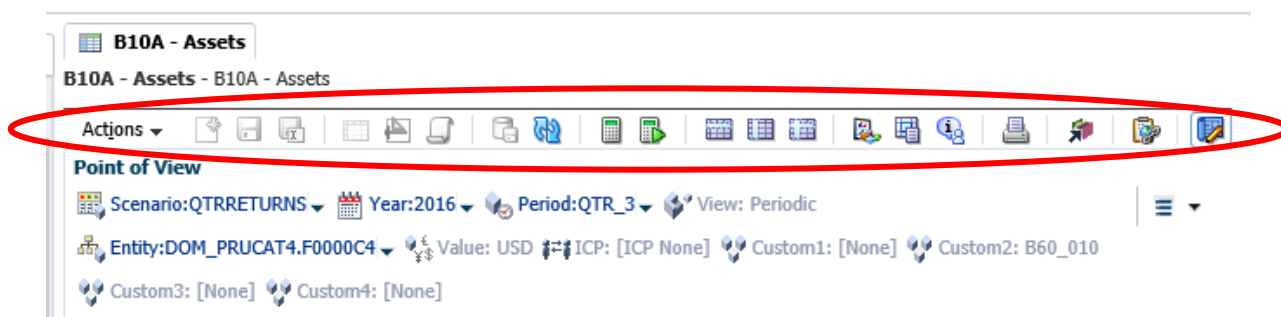
If you cannot remember your username and/or password please contact the EPRS Helpdesk via the [Supervised Firm Contact Form](#).

6. You have now successfully logged on to EPRS and you should see the following screen. The final step to access EPRS is to click on the 'EPRS' hyperlink once:



7. The initial EPRS screen will be displayed.

You have now completed the log on process – ensure that the icons below 'Navigate' appear correctly:

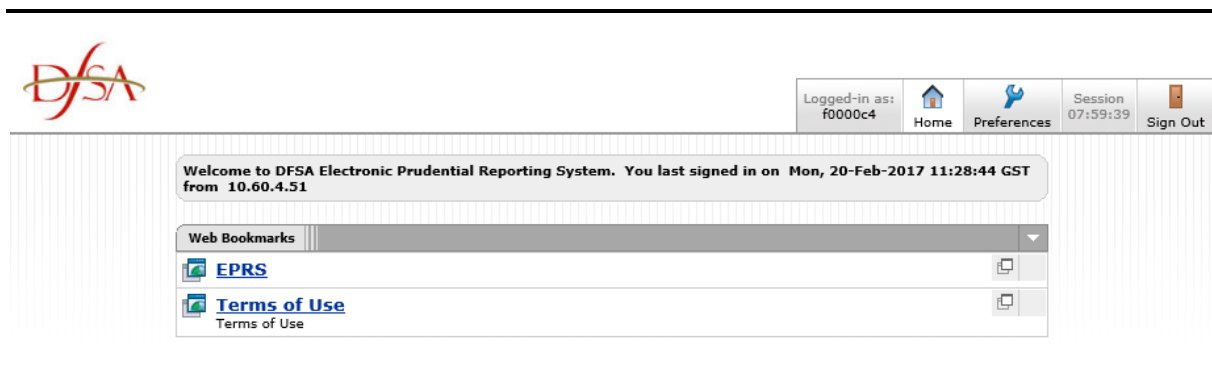


## 4 Change Password

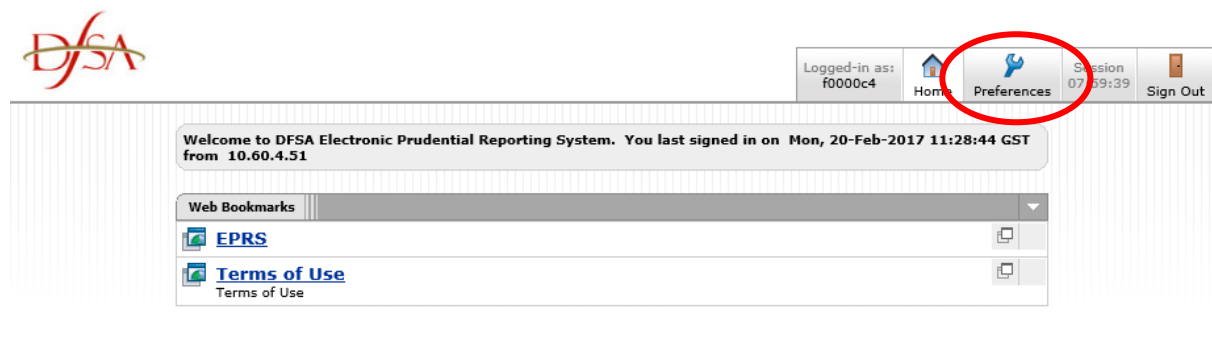
Passwords will expire every 180 days. You will be prompted to change your password when you next login after 180 days have passed.

Passwords can also be changed on an ad hoc basis. The following steps describe how to change the password:

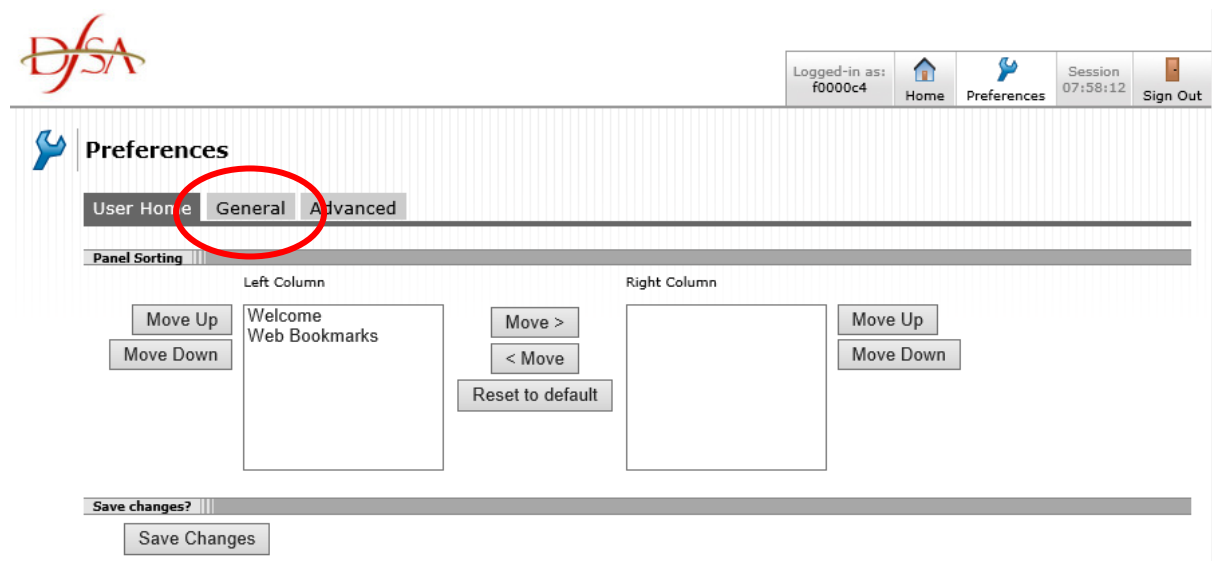
1. After you have logged in (see section 3) you will be presented with the 'Bookmarks' page:



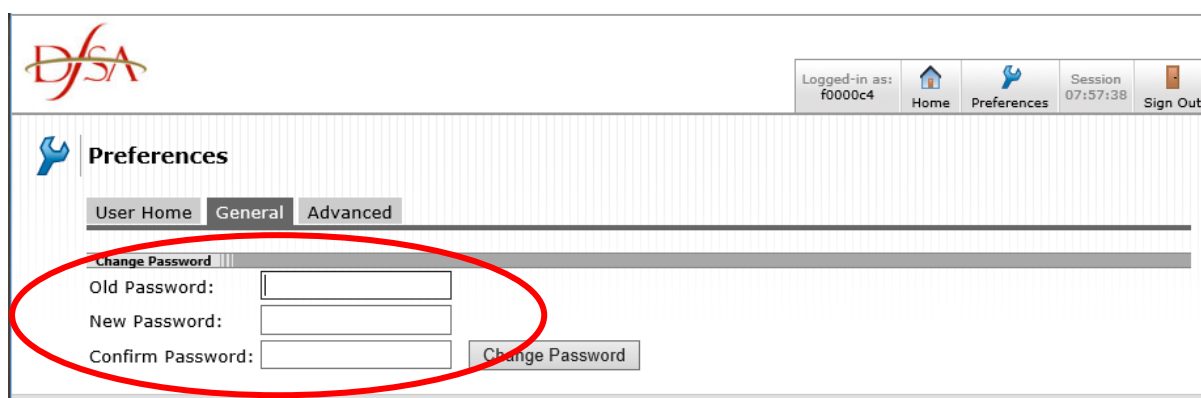
2. In order to change your password click on 'Preferences':



3. Then 'General':

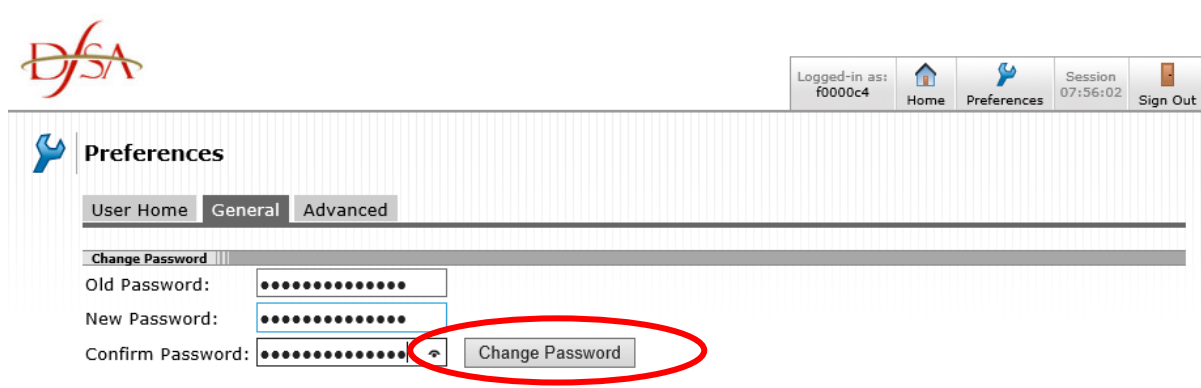


4. On the 'General' page you will be prompted to enter your current password and the new password:



The screenshot shows the 'Preferences' page of the EPRS system. The 'General' tab is selected. Under the 'Change Password' section, there are three input fields: 'Old Password:', 'New Password:', and 'Confirm Password:'. A red oval highlights these three fields. To the right of the 'Confirm Password' field is a 'Change Password' button. The top navigation bar includes the DfSA logo, a 'Logged-in as: f0000c4' status, and links for 'Home', 'Preferences', 'Session 07:57:38', and 'Sign Out'.

5. Once you have entered all the details click on 'Change Password':



This screenshot shows the same 'Preferences' page, but the 'Old Password', 'New Password', and 'Confirm Password' fields are now filled with masked characters (dots). The 'Change Password' button is highlighted with a red oval. The top navigation bar remains the same.

6. Finally click on 'Home', this will take you to the 'Bookmark' page where you can access the 'EPRS' application.



## 5 Using EPRS

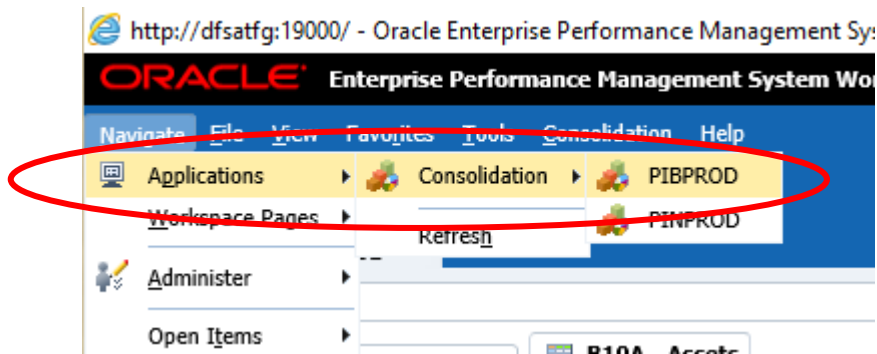
Once you have successfully logged on to EPRS, you must click on the correct application to use.

You will only have access to the application and forms relevant to the category of your firm and the Financial Services activities you conduct.

### 5.1 Selecting an Application

*There are 3 main areas within this section.*

1. Once you have successfully logged in to EPRS the following screen will appear, click on 'Navigate' then 'Consolidation':



*NOTE: If the menu does not expand as shown above, then please consult the 'Technical Notes Guide' and make the necessary changes found in the section 'Important Client Configuration'. The Technical Notes Guide can be found by visiting the DFSA Website ([www.dfsa.ae](http://www.dfsa.ae)).*

2. If PIB applies to your firm, click on 'PIBPROD'. If PIN applies to your Firm, click on 'PINPROD'
3. On selecting the correct application, you will see a task list containing the relevant forms you will need to complete:

http://dfsatfg:19000/ - Oracle Enterprise Performance Management System Workspace, Fusion Editi - Internet Explorer

**ORACLE** Enterprise Performance Management System Workspace, Fusion Edition

Logged in as F0000C4 Help Log Off

Navigate File View Favorites Tools Consolidation Help

PIBPROD x

**Task Lists**

- Domestic Category 1
  - B10A - Assets**
  - B10B - OBS Exposures
  - B10C - Liabilities - Domesti
  - B10D - Equity
  - B30 - Profit and Loss
  - B60 - Capital Resources Ca
  - B60A - Credit Risk - Overvi
  - B60A1 - Credit Risk - BS Ex
  - B60A2 - Credit Risk - CP Ex
  - B60A3 - Credit Risk - Secur
  - B60B - Market Risk - Overv
  - B60B1 - Market Risk - Inter
  - B60B2 - Market Risk - Matu
  - B60B3 - Market Risk - Dura
  - B60B4 - Market Risk - Equi
  - B60B5 - Market Risk - Curr
  - B60B6 - Market Risk - Opt
  - B60B7 - Market Risk - VaR
  - B60C - Operational Risk
  - B70 - Large Exposure
  - B80 - Liquidity
  - B090 - LCR
  - B120 - Interest Rate Risk -
  - B130 - Credit Activity
  - B130 - Credit Activity-Report
  - B140 - Arrears and Provisi
  - B150 - Loans Restructured
  - R160 - Investment Activit

**B10A - Assets**  
 B10A - Assets - B10A - Assets
 

Actions
 

Point of View
 Scenario:QTRRETURNS Year:2016 Period:QTR\_3 View: Periodic Entity:DOM\_PRUCAT4.F0000C4
 Value: USD ICP: [ICP None] Custom1: [None] Custom2: B60\_010 Custom3: [None] Custom4: [None]

	QTR_3 - Quarter 3
<b>FORM B10A: Assets</b>	
<b>B010A_0050T - Cash and Cash Balances at Banks</b>	
B010A_00510 - Cash on Hand	
B010A_00520 - Deposits	
B010A_00530 - Money Market Placements	
<b>B010A_0100T - Financial Assets Held for Trading</b>	
B010A_01010 - Derivatives	
B010A_01020 - Equity Instruments	
B010A_01030 - Debt Securities	
B010A_01040 - Loans and Advances	
B010A_01050 - Islamic Contracts	
<b>B010A_0150T - Financial Assets Designated at Fair Value through Profit or Loss</b>	
B010A_01510 - Equity Instruments	
B010A_01520 - Debt Securities	
B010A_01530 - Loans and Advances	
B010A_01540 - Islamic Contracts	
<b>B010A_0200T - Available-for-sale Financial Assets</b>	
B010A_02010 - Equity Instruments	
B010A_02020 - Debt Securities	
B010A_02030 - Loans and Advances	
B010A_02040 - Islamic Contracts	
<b>B010A_0250T - Loans and Receivables</b>	
B010A_02510 - Debt Securities	
B010A_02520 - Loans and advances	
B010A_02530 - Islamic Contracts	
<b>B010A_0300T - Held-to-maturity Investments</b>	
B010A_03010 - Debt Securities	
B010A_03020 - Loans and Advances	
B010A_03030 - Islamic Contracts	

100%



**NOTE:** The screen shot above is illustrative. The task list presented will vary for each user depending on the financial services activities your Firm conducts.

## 5.2 Selecting the 'Year' and 'Period'

There are 4 main areas within this section.

1. Once you have logged on to EPRS and selected the application, you can click on the first form in your task list.

Right-click on and select open on the first form in the task list. The right hand pane will update and display the relevant form in a grid format:

The screenshot displays the Oracle Enterprise Performance Management System Workspace, Fusion Edition. The interface is divided into several sections. On the left, the 'Task Lists' pane shows a tree structure of tasks, with 'B10A - Assets' highlighted and a red circle around it. A context menu is open over 'B10A - Assets' with 'Open' selected. The main area displays the 'B10A - Assets' form in a grid format, showing various asset categories and their values for QTR\_3 - Quarter 3. The top navigation bar includes 'Navigate', 'File', 'View', 'Favorites', 'Tools', 'Consolidation', and 'Help'. The top right shows 'Logged in as F0000C4' and 'Log Off'.

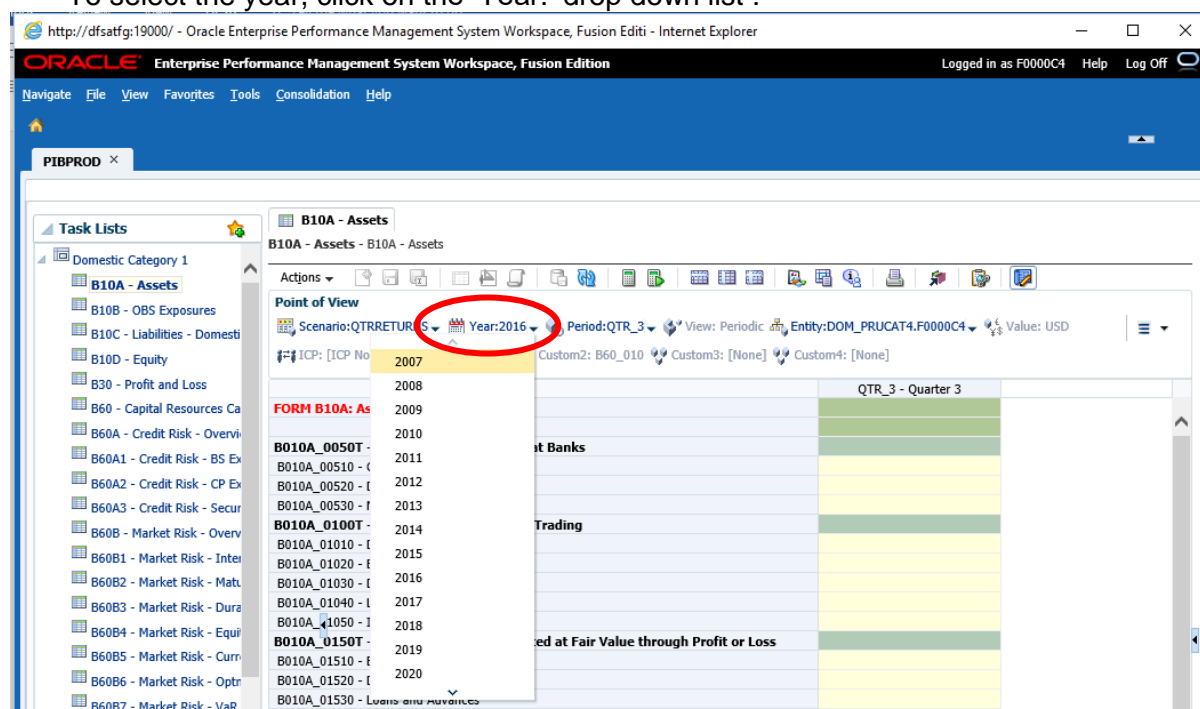
FORM B10A: Assets		QTR_3 - Quarter 3
<b>B010A_0050T - Cash and Cash Balances at Banks</b>		
B010A_00510 - Cash on Hand		
B010A_00520 - Deposits		
B010A_00530 - Money Market Placements		
<b>B010A_0100T - Financial Assets Held for Trading</b>		
B010A_01010 - Derivatives		
B010A_01020 - Equity Instruments		
B010A_01030 - Debt Securities		
B010A_01040 - Loans and Advances		
B010A_01050 - Islamic Contracts		
<b>B010A_0150T - Financial Assets Designated at Fair Value through Profit or Loss</b>		
B010A_01510 - Equity Instruments		
B010A_01520 - Debt Securities		
B010A_01530 - Loans and Advances		
B010A_01540 - Islamic Contracts		
<b>B010A_0200T - Available-for-sale Financial Assets</b>		
B010A_02010 - Equity Instruments		
B010A_02020 - Debt Securities		
B010A_02030 - Loans and Advances		
B010A_02040 - Islamic Contracts		
<b>B010A_0250T - Loans and Receivables</b>		
B010A_02510 - Debt Securities		
B010A_02520 - Loans and advances		
B010A_02530 - Islamic Contracts		
<b>B010A_0300T - Held-to-maturity Investments</b>		
B010A_03010 - Debt Securities		
B010A_03020 - Loans and Advances		
B010A_03030 - Islamic Contracts		



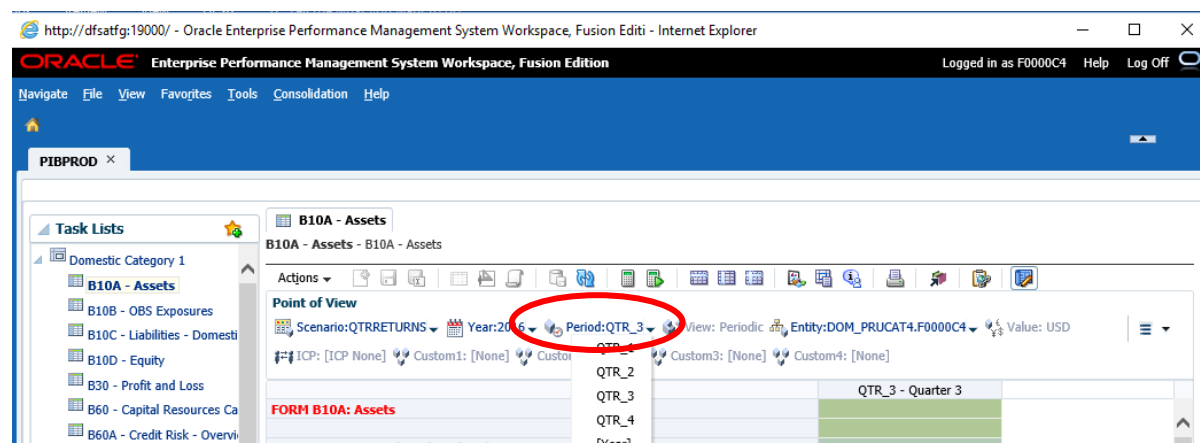


2. Before entering data in a form, you must ensure that you are entering data for the correct year and period (quarter).

To select the year, click on the 'Year:' drop down list :



3. After clicking the 'Year:' drop down list you will see a list of years to choose from. Click on the year that data is to be entered into.
4. You will need to follow the same process when selecting 'Period'. Click on the 'Period' drop down:



Then click on the relevant 'Quarter'.





*NOTE: If you incorrectly select the 'Year' or 'Period', EPRS will not let you enter any data. If you have selected a 'Year' or 'Quarter' in the past, EPRS will show the previously entered data. If you try and select a 'Year' or 'Quarter' in the future, EPRS will display 'NO ACCESS' and data cannot be entered.*

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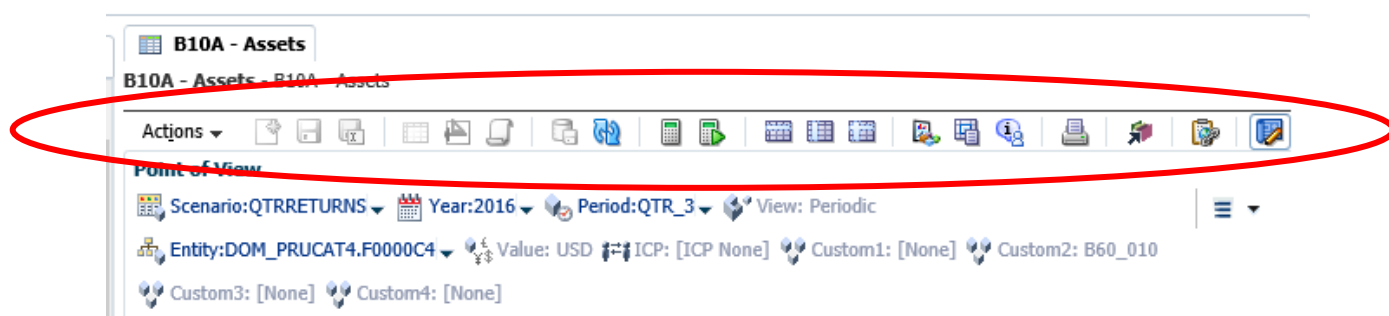
## 6 Entering Data into a Form

There are 5 main areas within this section.

1. There are 5 different colours of cells in the forms representing the cell's characteristics:






<b>BLUE CELLS</b>		Data cannot be entered into these cells. These cells are used for descriptive text and/or separators between rows and columns.
<b>CREAM CELLS</b>		Indicates cells in which data can be entered as well as data that has been entered and saved.
<b>YELLOW CELLS</b>		Once data has been entered into a cream cell, the cell will turn yellow. This informs you that data has been entered but not yet saved/submitted.
<b>GREEN CELLS</b>		Data cannot be entered as the cells are automatically populated from data entered into cream cells.  These cells are commonly used for totals.
<b>WHITE CELLS</b>		Allows you to enter alpha numeric data (descriptive text).

2. When you are completing a form, there are a number of buttons available in the toolbar:

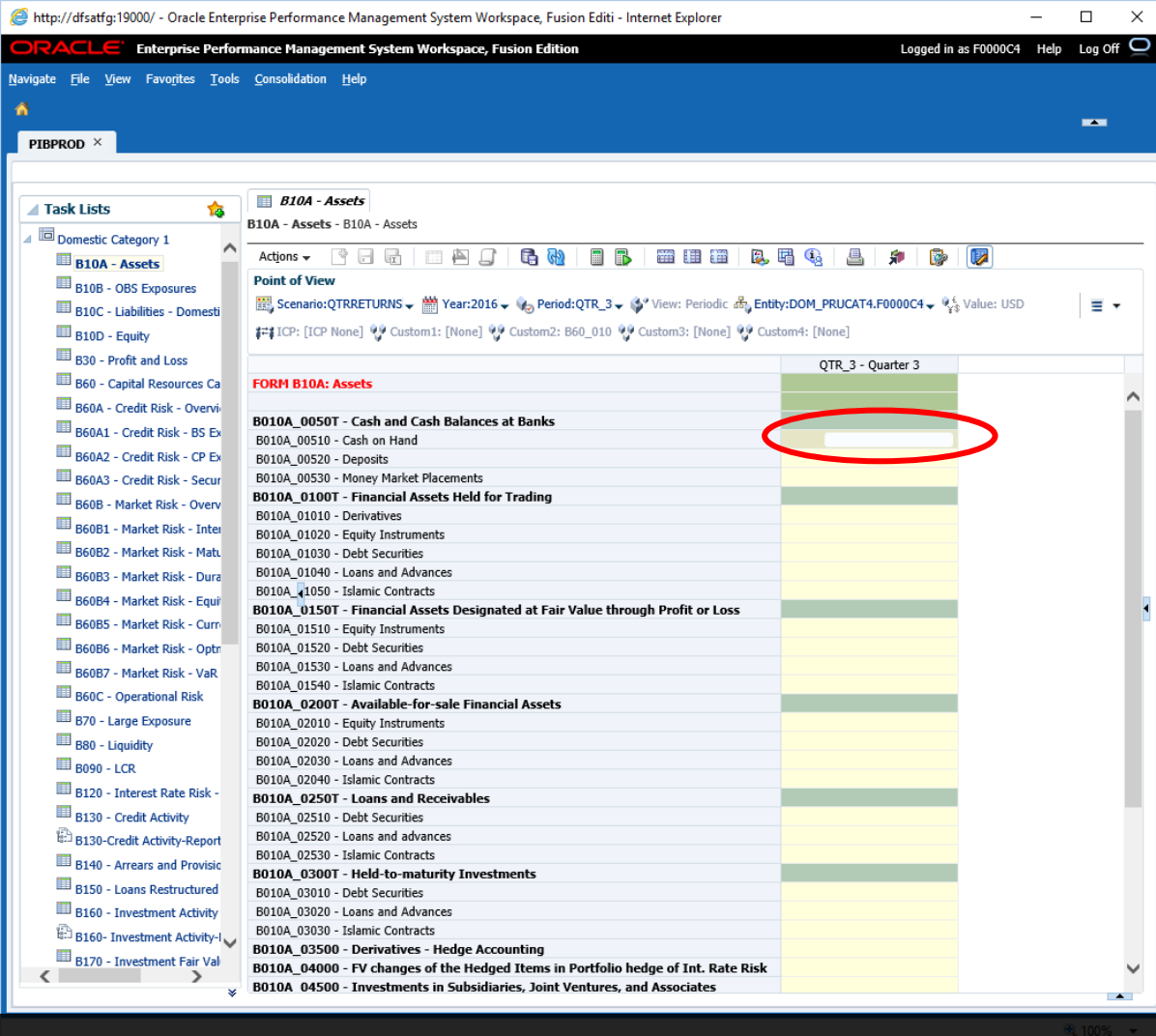


The below table shows the buttons that will be most relevant during your use of EPRS:

	<b>Submit</b>	Saves the data that has been keyed into the form to the database
	<b>Refresh</b>	Refreshes the form with data from the database – clearing any changes that have been made since the last 'Save'
	<b>Calculate</b>	Calculates any account

	<b>Force Calculate</b>	Calculates all cells on the form regardless of whether they have been changed
	<b>Cell Text</b>	Shows the cell text window – allows you to input annotations to cells
	<b>Instructions</b>	Displays a window of detailed instructions for the form (where appropriate)
	<b>Print</b>	Prints the form
	<b>Manage Process</b>	Will be used to Submit your return to the DFSA

3. To enter and submit data, you must first click on the cell that requires data:



The screenshot shows the Oracle Enterprise Performance Management System Workspace, Fusion Edition. The browser address bar indicates the URL is <http://dfsatfg:19000/>. The page title is "Enterprise Performance Management System Workspace, Fusion Edition". The user is logged in as F0000C4. The interface includes a navigation menu on the left with a "Task Lists" section. Under "Domestic Category 1", the "B10A - Assets" task is selected. The main content area displays the "FORM B10A: Assets" for QTR\_3 - Quarter 3. The form includes a "Point of View" section with the following details: Scenario: QTRRETURNS, Year: 2016, Period: QTR\_3, View: Periodic, Entity: DOM\_PRUCAT4.F0000C4, Value: USD. The form lists various asset categories and their corresponding values. A red circle highlights a cell in the "B010A\_00510 - Cash on Hand" row, indicating where data should be entered.

4. Enter data and either press the 'Tab' key (move to next cell on the right) or the 'Enter' key on the keyboard (move to next cell down).

After entering a value and moving to another cell, the cell will turn yellow. Indicating data has been entered but not saved:


The screenshot shows the Oracle Enterprise Performance Management System Workspace, Fusion Edition. The browser address bar indicates the URL is <http://dfsatfg:19000/>. The page title is "Oracle Enterprise Performance Management System Workspace, Fusion Edition". The user is logged in as "F0000C4".

The left sidebar shows a task list with the following items:

- Domestic Category 1
  - B10A - Assets
  - B10B - OBS Exposures
  - B10C - Liabilities - Domestic
  - B10D - Equity
  - B30 - Profit and Loss
  - B60 - Capital Resources Ca
  - B60A - Credit Risk - Overvi
  - B60A1 - Credit Risk - BS Ex
  - B60A2 - Credit Risk - CP Ex
  - B60A3 - Credit Risk - Secur
  - B60B - Market Risk - Overv
  - B60B1 - Market Risk - Inter
  - B60B2 - Market Risk - Matu
  - B60B3 - Market Risk - Dura
  - B60B4 - Market Risk - Equi
  - B60B5 - Market Risk - Curr
  - B60B6 - Market Risk - Opt
  - B60B7 - Market Risk - VaR
  - B60C - Operational Risk
  - B70 - Large Exposure
  - B80 - Liquidity
  - B090 - LCR
  - B120 - Interest Rate Risk -
  - B130 - Credit Activity
  - B130 - Credit Activity - Report
  - B140 - Arrears and Provisi
  - B150 - Loans Restructured
  - B160 - Investment Activity
  - B160 - Investment Activity - I
  - B170 - Investment Fair Val

The main area displays the "FORM B10A: Assets" for "QTR\_3 - Quarter 3". The table shows various asset categories and their values. A red circle highlights a yellow cell containing the value "1234", indicating data entered but not saved.

Category	Value
B010A_0050T - Cash and Cash Balances at Banks	1234
B010A_00510 - Cash on Hand	
B010A_00520 - Deposits	
B010A_00530 - Money Market Placements	
B010A_0100T - Financial Assets Held for Trading	
B010A_01010 - Derivatives	
B010A_01020 - Equity Instruments	
B010A_01030 - Debt Securities	
B010A_01040 - Loans and Advances	
B010A_01050 - Islamic Contracts	
B010A_0150T - Financial Assets Designated at Fair Value through Profit or Loss	
B010A_01510 - Equity Instruments	
B010A_01520 - Debt Securities	
B010A_01530 - Loans and Advances	
B010A_01540 - Islamic Contracts	
B010A_0200T - Available-for-sale Financial Assets	
B010A_02010 - Equity Instruments	
B010A_02020 - Debt Securities	
B010A_02030 - Loans and Advances	
B010A_02040 - Islamic Contracts	
B010A_0250T - Loans and Receivables	
B010A_02510 - Debt Securities	
B010A_02520 - Loans and advances	
B010A_02530 - Islamic Contracts	
B010A_0300T - Held-to-maturity Investments	
B010A_03010 - Debt Securities	
B010A_03020 - Loans and Advances	
B010A_03030 - Islamic Contracts	
B010A_03500 - Derivatives - Hedge Accounting	
B010A_04000 - FV changes of the Hedged Items in Portfolio hedge of Int. Rate Risk	
B010A_04500 - Investments in Subsidiaries, Joint Ventures, and Associates	

5. Finally, to submit the entry into the system click on the submit button . After doing this the cell should turn cream again. Cream is visually informing you that the number has successfully been entered and saved:

http://dfsatfg:19000/ - Oracle Enterprise Performance Management System Workspace, Fusion Editi - Internet Explorer

ORACLE Enterprise Performance Management System Workspace, Fusion Edition

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HomePage PIBPROD x

**Task Lists**

- Domestic Category 1
  - B10A - Assets
  - B10B - OBS Exposures
  - B10C - Liabilities - Domesti
  - B10D - Equity
  - B30 - Profit and Loss
  - B60 - Capital Resources Ca
  - B60A - Credit Risk - Overvi
  - B60A1 - Credit Risk - BS Ex
  - B60A2 - Credit Risk - CP Ex
  - B60A3 - Credit Risk - Secur
  - B60B - Market Risk - Overv
  - B60B1 - Market Risk - Inter
  - B60B2 - Market Risk - Matu
  - B60B3 - Market Risk - Dura
  - B60B4 - Market Risk - Equi
  - B60B5 - Market Risk - Curr
  - B60B6 - Market Risk - Opt
  - B60B7 - Market Risk - VaR
  - B60C - Operational Risk
  - B70 - Large Exposure
  - B80 - Liquidity
  - B090 - LCR
  - B120 - Interest Rate Risk -
  - B130 - Credit Activity
  - B130 - Credit Activity-Report
  - B140 - Arrears and Provisi
  - B150 - Loans Restructured

**B10A - Assets**

B10A - Assets - B10A - Assets

Actions

**Point of View**

Scenario: QTRRETURNS Year: 2016 Period: QTR\_3 View: Periodic Entity: DOM\_PRUCAT4.F0000C4

Value: USD ICP: [ICP None] Custom1: [None] Custom2: B60\_010 Custom3: [None] Custom4: [None]

**FORM B10A: Assets**

	QTR_3 - Quarter 3
<b>B010A_0050T - Cash and Cash Balances at Banks</b>	
B010A_00510 - Cash on Hand	1,234
B010A_00520 - Deposits	1,234
B010A_00530 - Money Market Placements	
<b>B010A_0100T - Financial Assets Held for Trading</b>	
B010A_01010 - Derivatives	
B010A_01020 - Equity Instruments	
B010A_01030 - Debt Securities	
B010A_01040 - Loans and Advances	
B010A_01050 - Islamic Contracts	
<b>B010A_0150T - Financial Assets Designated at Fair Value through Profit or Loss</b>	
B010A_01510 - Equity Instruments	
B010A_01520 - Debt Securities	
B010A_01530 - Loans and Advances	
B010A_01540 - Islamic Contracts	
<b>B010A_0200T - Available-for-sale Financial Assets</b>	
B010A_02010 - Equity Instruments	
B010A_02020 - Debt Securities	
B010A_02030 - Loans and Advances	
B010A_02040 - Islamic Contracts	
<b>B010A_0250T - Loans and Receivables</b>	
B010A_02510 - Debt Securities	
B010A_02520 - Loans and advances	
B010A_02530 - Islamic Contracts	
<b>B010A_0300T - Held-to-maturity Investments</b>	
B010A_03010 - Debt Securities	
B010A_03020 - Loans and Advances	



**NOTE:** You can enter data in multiple cells before having to click on the submit button after each entry. Once you have entered your data ensure the 'Submit' button is selected to save your data.



**NOTE:** It is advisable that you submit data (thereby saving) into the EPRS often enough to ensure that in the event that your computer fails (power surge, browser failure etc.), you will not have to re-type all your entries.



**NOTE:** EPRS has been designed so that you can enter data over a period of time and not necessarily in one sitting. As and when data has been submitted / saved you can log off and come back at a later time to carry on from where you left off.

## 6.1 Linked Forms

There are certain instances within EPRS where one form has been broken down into two or more sub-forms. This has been done to allow you to complete sections of a form in a uniform and simple manner.

*There are 4 main areas within this section.*

1. A linked form can be identified by the link icon:

The screenshot shows the EPRS interface for 'B60A1 - Credit Risk - BS Exposures'. The 'Point of View' section includes filters for Scenario (QTRRETURNS), Year (2016), Period (QTR\_3), View (Periodic), Entity (DOM\_PRUCAT4.F0000C4), Value (USD), and Account. Below this is a table with the following rows:

FORM B60A1: Credit Risk Capital Requirement - Balance Sheet Exposur		
Credit Risk Capital Requirement - Balance Sheet Exposures		>>Right Click Here
Credit Conversion for Off Balance Sheet Exposures		>>Right Click Here
Breakdown of Total Exposures by Risk Weights		>>Right Click Here


A red circle highlights the link icons in the second column of the table.

2. To open a linked form you must Right Click in the green cell and click on 'Linked Form':

The screenshot shows the same EPRS interface as before, but with a right-click context menu open over the 'Linked Form' icon in the 'Credit Risk Capital Requirement - Balance Sheet Exposures' row. The menu options are:

- Cell Information
- Cell Text
- Linked Form** (highlighted with a red circle)
- Source Transactions
- Destination Transactions
- Entity Details
- Cell History
- Copy

3. On clicking 'Linked Form' a new form will appear in the same window:

- You can now complete the form as normal. Once you have entered data and clicked on the submit button  within the linked form you can close the form.



## 6.2 Multiple Value Selection

There are 8 main areas within this section.

- When you are completing forms, certain forms will require you to make a number of selections for a particular entry. One example of this would be the entry of 'Individual Currency Positions', here you must select the currencies of your FX Exposures.
- Whenever you come across a field that requires you to select multiple entries you will see the following icon:



- When you left click on the icon you will see all the values you can select from:



Oracle Enterprise Performance Management System Workspace, Fusion Edition

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Task Lists

- B100 - Equity
- B30 - Profit and Loss
- B60 - Capital Resources Ca
- B60A - Credit Risk - Overvi
- B60A1 - Credit Risk - BS Ex
- B60A2 - Credit Risk - CP Ex
- B60A3 - Credit Risk - Secur
- B60B - Market Risk - Overv
- B60B1 - Market Risk - Inter
- B60B2 - Market Risk - Matu
- B60B3 - Market Risk - Durr
- B60B4 - Market Risk - Equi
- B60B5 - Market Risk - Curr
- B60B6 - Market Risk - Optr
- B60B7 - Market Risk - VaR
- B60C - Operational Risk
- B70 - Large Exposure
- B80 - Liquidity
- B90 - LCR
- B120 - Interest Rate Risk -
- B130 - Credit Activity
- B130 - Credit Activity-Report
- B140 - Arrears and Provisi
- B150 - Loans Restructured
- B160 - Investment Activity
- B160 - Investment Activity-I
- B170 - Investment Fair Val
- B180 - FX Exposure

B180 - FX Exposure - B180 - FX Exposure

Point of View

Scenario: QTRRETURNS Year: 2016 Period: QTR\_3 View: Periodic Entity: DOM\_PRUCAT4.F0000C4 Value: USD Custom1: B47\_08100 Custom3: B93\_010

	All Positions Long	All Positions Short	Net Positions Long	Net Positions Short
FORM B180: FX Exposure				
Individual Currency Positions				
Currency Code - Currency Code				

Member Selection

Custom2

Currency Code.[Base]

- B72\_010
- B72\_015
- B72\_020
- B72\_025
- B72\_030
- B72\_035
- B72\_040
- B72\_045
- B72\_050
- B72\_055
- B72\_060
- B72\_065
- B72\_070
- B72\_075
- B72\_080
- B72\_085
- B72\_090
- B72\_095
- B72\_100

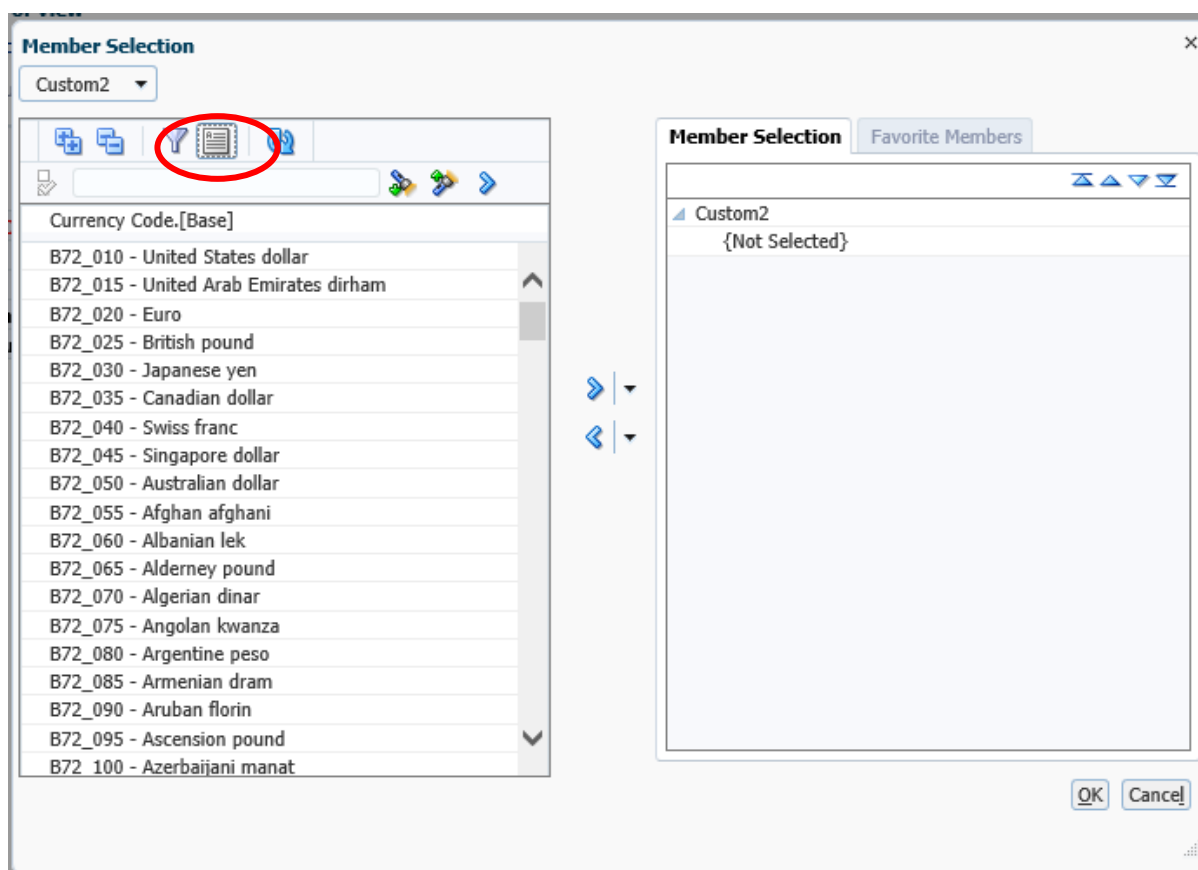
Member Selection Favorite Members

Custom2

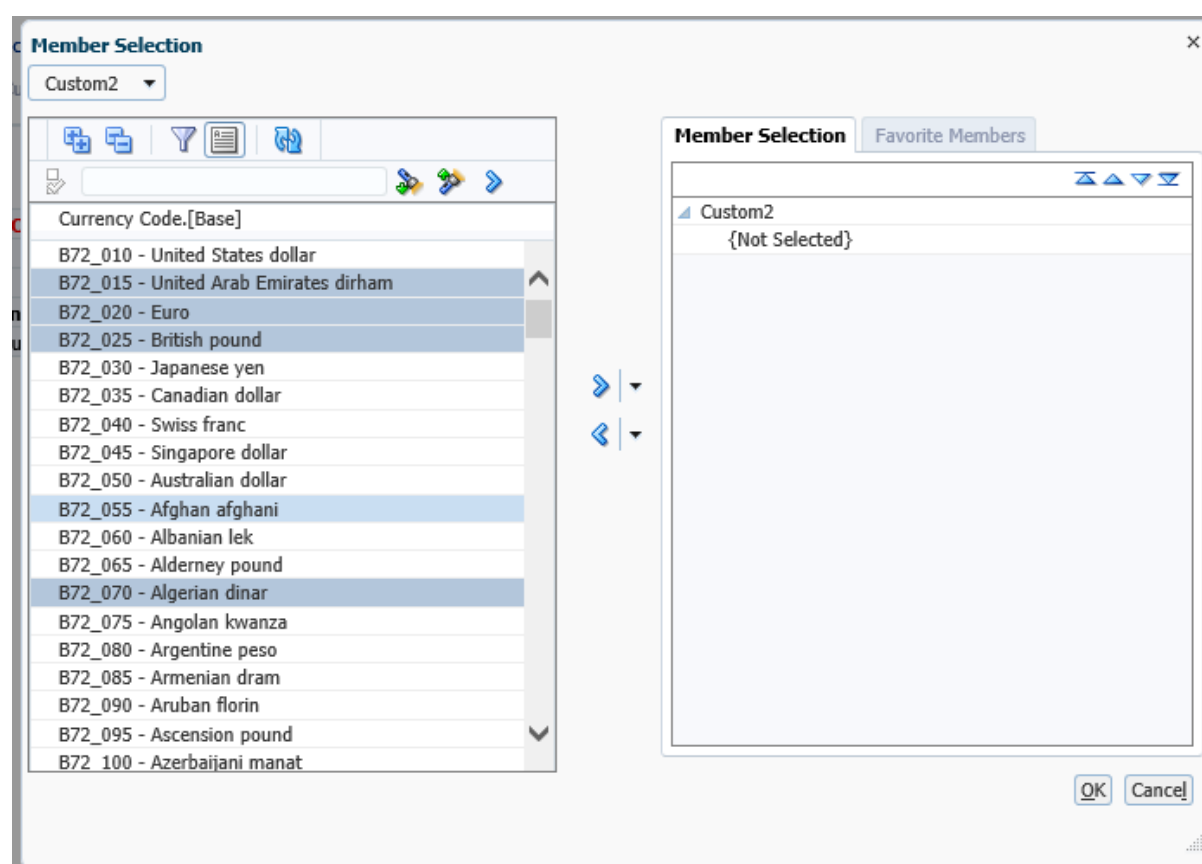
{Not Selected}

OK Cancel

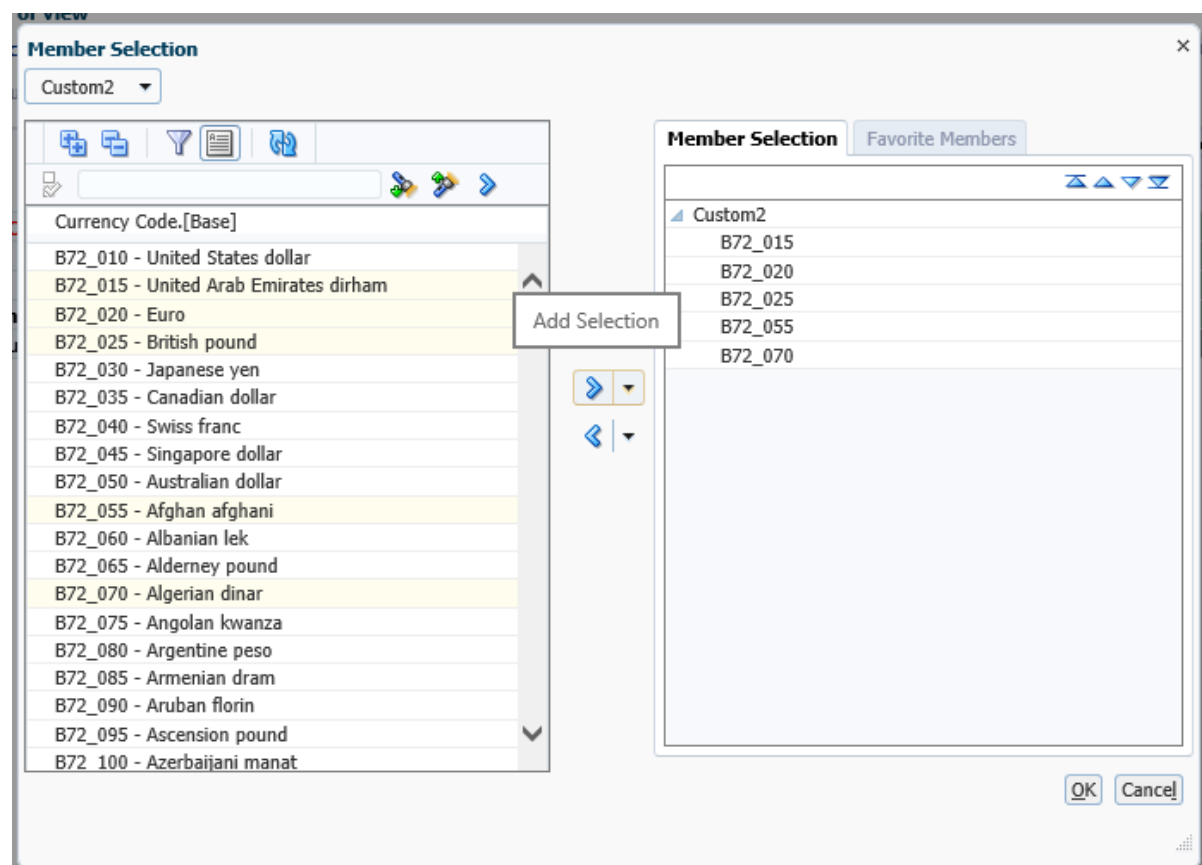
4. Ensure you click on the 'Description' tick box to display actual values against the codes:



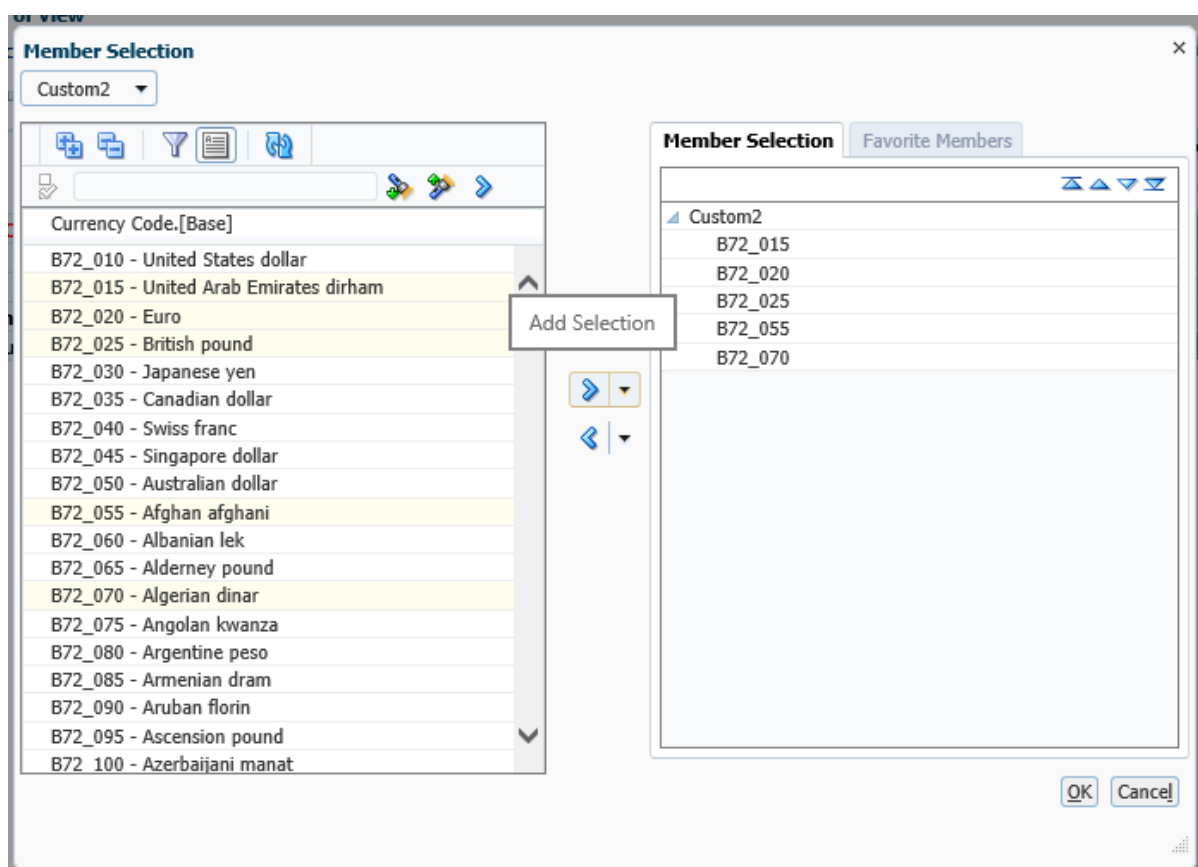
5. To make a selection you must click on the relevant codes (to select multiple codes keep CTRL on your keyboard pressed):



6. Finally, when you select 'Add Selection' all the selections will move to the right.



7. Once you have selected your preferred values click on 'OK'



8. When you click 'OK' you will see that the form now has additional lines that relate to your selection:

Oracle Enterprise Performance Management System Workspace, Fusion Edition

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Task Lists

B100 - Equity

B30 - Profit and Loss

B60 - Capital Resources Ca

B60A - Credit Risk - Overvi

B60A1 - Credit Risk - BS Ex

B60A2 - Credit Risk - CP Ex

B60A3 - Credit Risk - Secur

B60B - Market Risk - Overv

B60B1 - Market Risk - Inter

B60B2 - Market Risk - Mah

B60B3 - Market Risk - Dura

B60B4 - Market Risk - Equi

B60B5 - Market Risk - Curr

B60B6 - Market Risk - Optr

B60B7 - Market Risk - VaR

B60C - Operational Risk

B70 - Large Exposure

B80 - Liquidity

B90 - LCR

B120 - Interest Rate Risk -

B130 - Credit Activity

B130-Credit Activity-Report

B140 - Arrears and Provisi

B150 - Loans Restructured

B160 - Investment Activity

B160- Investment Activity-I

B170 - Investment Fair Val

B180 - FX Exposure

B120 - Interest Rate Risk - NTB - Open X

B160 - Investment Activity X

B150 - Loans Restructured X

B180 - FX Exposure X

B180 - FX Exposure - B180 - FX Exposure

Actions

Point of View

Scenario:QTRRETURNS Year:2016 Period:QTR\_3 View: Periodic Entity:DOM\_PRUCAT4.F0000C4 Value: USD Custom1: B47\_06100 Custom3: B93\_010

	All Positions Long	All Positions Short	Net Positions Long	Net Positions Short
FORM B180: FX Exposure				
Individual Currency Positions				
Currency Code - Currency Code				
B72_015 - United Arab Emirates dirham				
B72_020 - Euro				
B72_025 - British pound				
B72_055 - Afghan afghani				
B72_070 - Algerian dinar				



## 7 Validations Form

*There are 10 main areas within this section.*

1. Once you have completed all the forms relevant to your Firm, you will need to complete the 'Validations' form.

The 'Validations' form is used to ensure that, where appropriate, data entered in one form matches the same data entered in another form. E.g. 'Profit and Loss' on form B30 must match 'Provisions for Impairment' form B130.


EPRS will not let you submit your Firm's return until all validations have been passed.

The 'Validations' form will help you identify where there are any discrepancies, so that you can go back and make the necessary changes.

2. Click on the 'Validations' form within the task pane:



3. Before viewing all the validations you must force EPRS to calculate all your forms, ensuring all calculations are performed and up to date.

In order to do this, click the 'force calculate' button 

4. If there are discrepancies in the values you have entered, a value will appear in 'Total All Validations', shown in the screenshot below.

If all your forms validate correctly, with no discrepancies, the 'Total All Validations' cell will be blank:

**VALIDATIONS**

Every Line shown below in Blue must be zero before you can proceed.  
If the total shown below is zero then no further analysis is required but if a value is shown then one or more validations have not been met and must be resolved

**Total All Validations**

Assets must equal Liabilities and Equity

B010A\_0000T - on Balance Sheet (Form B10A)

B010C\_1000T - on Balance Sheet (Form B10C)

B010D\_2000T - on Balance Sheet (Form B10D)

**Assets must equal Liabilities and Equity - MUST BE ZERO**

B010A\_0000T - on Balance Sheet (Form B10A)

B010C\_4000T - on Balance Sheet (Form B10B)

B010D\_1000T - on Balance Sheet (Form B10C)

B010D\_2000T - on Balance Sheet (Form B10D)

Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - USD) 0.00

Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Euro) 0.00

Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Open) 0.00

Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Other) 0.00

**Sums should be equal - MUST BE ZERO**

Assets - Related Party Schedule

Liabilities - Related Party Schedule

- To find any discrepancies, scroll down the page. You will find where EPRS checks for validations and the respective data element and form the value belongs to.

As with step 3, the areas where the data elements are not validating can be identified by a number appearing in the cell that ends with 'MUST BE ZERO'.

- To visit the form where there is an incorrect value appearing, right click on the cell and click 'Linked Form'. The form containing that data element will then open in a new window.

The screenshot shows the EPRS system interface with the following details:

- Tab:** B10A - Assets X, Validations\_Form\_DomCat1 X
- Page Title:** /validations\_Form\_DomCat1 - Validations Form Domestic Cat 1
- Actions:** A row of icons for various actions like save, print, etc.
- Point of View:**
  - Scenario: QTRRETURNS
  - Year: 2016
  - Period: QTR\_3
  - View: Periodic
  - Entity: DOM\_PRUCAT4.F0000C4
  - Value: USD
  - ICP: [ICP None]
- Custom Fields:** Custom1: TotalCustom1, Custom2: TotalCustom2, Custom3: TotalCustom3, Custom4: [None]
- Table Data:**

	Quarter 3
<b>Sums should be equal - MUST BE ZERO</b>	-2,647
Assets - Related Party Schedule	
Liabilities - Related Party Schedule	
Equity - - Related Party Schedule	
Total Assets - Balance Sheet	2,647
Total Liabilities - Balance Sheet	
Total Equity - Balance Sheet	
<b>Sums should be equal - MUST BE ZERO</b>	-2,647
<b>B60A1 - Credit Conversion for OBS Exposures - The figure carried over under "Original Off Balance Sheet Exposures (Pre Cor</b>	
B101_10500 - Exposure Net of Value Adjustments and Provisions	
B101_11200 - Net Exposure after CRM Substitution Effects	
<b>Sums should be equal - MUST BE ZERO</b>	
<b>B60A1 - Breakdown of Total Exposures by Risk Weights - The sum should be the same as the sum of weighted figures</b>	
Exposure Net of Value Adjustments - Row 1	
Exposure Net of Value Adjustments - Row 2	
Exposure Net of Value Adjustments - Row 3	
Exposure Net of Value Adjustments - Row 4	
Exposure Net of Value Adjustments - Row 5	
Exposure Net of Value Adjustments - Row 6	
Exposure Net of Value Adjustments - Row 7	
Exposure Net of Value Adjustments - Row 8	
Exposure Net of Value Adjustments - Row 9	
- Context Menu:**
  - Cell Information
  - Cell Text
  - Linked Form** (highlighted with a red circle)
  - Force Calculate
  - Force Calculate Contribution
  - Manage Process
  - Source Transactions
  - Destination Transactions
  - Entity Details
  - Cell History
  - Copy

7. You must now make the necessary changes to ensure the validation is passed.

8. Close the form so that you are back to the validation form

9. Now click on the 'force calculate' button 

The validation form will recalculate and update the validation.

From the above screen you can now see that the 'MUST BE ZERO' cell is blank, which means the validation is now correct.

10. You must complete the previous steps for each validation that is incorrect (i.e. values not equal to zero)





## 8 Reports

As part of the process of submitting your prudential returns to the DFSA, you must ensure that a printed copy of all the forms you submit is produced and retained (Please refer to PIB Rule 1.6 and PIN Rule 6.5).

### 8.1 Printing Individual Reports

*There are 10 main areas within this section.*

1. Right click on the report menu and select open from the task list :



2. A new window /tab will appear showing all the reports:

http://dfsatfg:19000/ - Oracle Enterprise Performance Management System Workspace, Fusion Editi - Internet Explorer

ORACLE Enterprise Performance Management System Workspace, Fusion Edition

Logged in as F0000C4 Help Log Off

Navigate File View Favorites Tools Help

HomePage PEPRC New\_Reports\_DOMCAT1 - View

/New Reports 2014/New\_Reports\_DOMCAT1

Scenario: QTRRETURNS Year: 2007 Period: [Year] Entity: DOM\_PRUCAT4.F0000C4

Book Table of Contents: New\_Reports\_DOMCAT1

Name	Member Selection	Report Location
Report Cover Page-	QTRRETURNS, 2007, [Year], DOM_PRU...	/DFS/PIB/Reviewed
B10A-Assets	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10B - OBS Exposures	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10C - Liabilities (Domestic)	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10D- Equity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B30- Profit Loss	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60-Capital Resources	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A- Credit Risk-Overview	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A1-Balance Sheet Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A2-Credit Risk-Counterparty Risk Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A3-Credit Risk -Securitisation	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B - Market Risk - Overview	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B1 - Market Risk - Interest Rate	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B2 - Market Risk - Maturity Approach	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B3 - Market Risk - Duration Approach	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B4 - Market Risk - Equity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B5 - Market Risk - Currency	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B6 - Market Risk - Opns Cmdts	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B7 - Market Risk - VaR	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60C-Operational Risk	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B70-Large Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B80- Liquidity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B090-LCR	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B120-Interest Rate in the Non-Trading Book	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B130-Credit Activity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B140-Arrears and Provisions	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B150-Loans Restructured	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B160- Investment Activity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B170- Investments Fair Value	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B180- FX Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B190 -Funding Schedule	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports

Show Report

100%

3. Ensure that the 'Point of View' is set correctly for the reports you are about to generate. The 'Entity:' should contain text with your firm reference number included. If this is not select your report will not display any figures:
- 4.

http://dfsatfg:19000/ - Oracle Enterprise Performance Management System Workspace, Fusion Edition - Internet Explorer

Oracle Enterprise Performance Management System Workspace, Fusion Edition

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Navigate File View Favorites Tools Help

HomePage PIBPROD New\_Reports\_DOMCAT1 - View

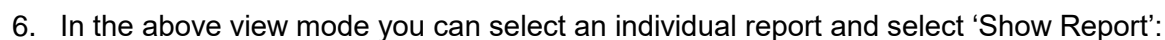
/New Reports 2014/New\_Reports\_DOMCAT1

Scenario: QTRRETURNS Year: 2007 Period: [Year] Entity: DOM\_PRUCAT4.F0000C4

Book Table of Contents: New\_Reports\_DOMCAT1

Name	Member Selection	Report Location
Report Cover Page-	QTRRETURNS, 2007, [Year], DOM_PRU...	/DFS/PIB/Reviewed
B10A-Assets	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10B - OBS Exposures	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10C- Liabilities (Domestic)	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B10D- Equity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B30- Profit Loss	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60-Capital Resources	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A- Credit Risk-Overview	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A1-Balance Sheet Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A2-Credit Risk-Counterparty Risk Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60A3-Credit Risk -Securitisation	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B - Market Risk - Overview	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B1 - Market Risk - Interest Rate	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B2 - Market Risk - Maturity Approach	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B3 - Market Risk - Duration Approach	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B4 - Market Risk - Equity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B5 - Market Risk - Currency	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B6 - Market Risk - Opns Cmdts	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60B7 - Market Risk - VaR	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B60C-Operational Risk	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B70-Large Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B80- Liquidity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B090-LCR	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B120-Interest Rate in the Non-Trading Book	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B130-Credit Activity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B140-Arrears and Provisions	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B150-Loans Restructured	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B160- Investment Activity	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B170- Investments Fair Value	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B180- FX Exposure	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports
B190 -Funding Schedule	QTRRETURNS, 2007, [Year], DOM_PRU...	/last updated reports

5. On selecting 'Entity:' you may need to traverse through the tree structure to find your firm number. On finding your firm number select it and click on 'OK':



http://dfsatfg:19000/ - Oracle Enterprise Performance Management System Workspace, Fusion Edition - Internet Explorer

ORACLE Enterprise Performance Management System Workspace, Fusion Edition

Logged in as F0000C4 Help Log Off

Navigate File View Favorites Tools Help

HomePage PIBPROD New\_Reports\_DOMCAT1 - View

/New Reports 2014/New\_Reports\_DOMCAT1

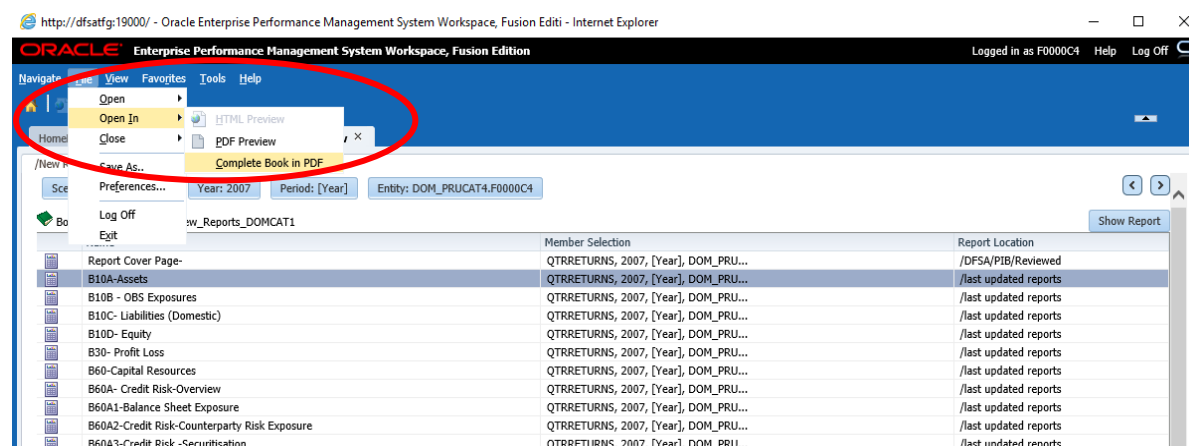
Scenario: QTRRETURNS Year: 2007 Period: [Year] Entity: DOM\_PRUCAT4.F0000C4

Book Table of Contents: New\_Reports\_DOMCAT1

Name	Member Selection	Report Location
Report Cover Page	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B10A-Assets	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B10B - OBS Exposures	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B10C - Liabilities (Domestic)	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B10D - Equity	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B30 - Profit Loss	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60 - Capital Resources	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60A - Credit Risk-Overview	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60A1 - Balance Sheet Exposure	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60A2 - Credit Risk-Counterparty Risk Exposure	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60A3 - Credit Risk - Securitisation	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B - Market Risk - Overview	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B1 - Market Risk - Interest Rate	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B2 - Market Risk - Maturity Approach	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B3 - Market Risk - Duration Approach	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B4 - Market Risk - Equity	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B5 - Market Risk - Currency	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B6 - Market Risk - Opns Cmdts	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60B7 - Market Risk - VaR	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B60C - Operational Risk	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B70 - Large Exposure	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B80 - Liquidity	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B090 - LCR	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B120 - Interest Rate in the Non-Trading Book	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B130 - Credit Activity	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B140 - Arrears and Provisions	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B150 - Loans Restructured	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B160 - Investment Activity	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B170 - Investments Fair Value	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B180 - FX Exposure	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports
B190 - Funding Schedule	QTRRETURNS, 2007, [Year], DOM_PRUCAT4.F0000C4	/last updated reports

7. A PDF version of your form will appear
8. To print the report select the 'print' icon

9. In order to print the whole report pack, on the list of reports screen click on 'File' -> 'Open In' -> 'Complete Book in PDF':



10. A new tab window / tab will be opened that will have a consolidated list of reports in one PDF file which can then be printed using the print icon.

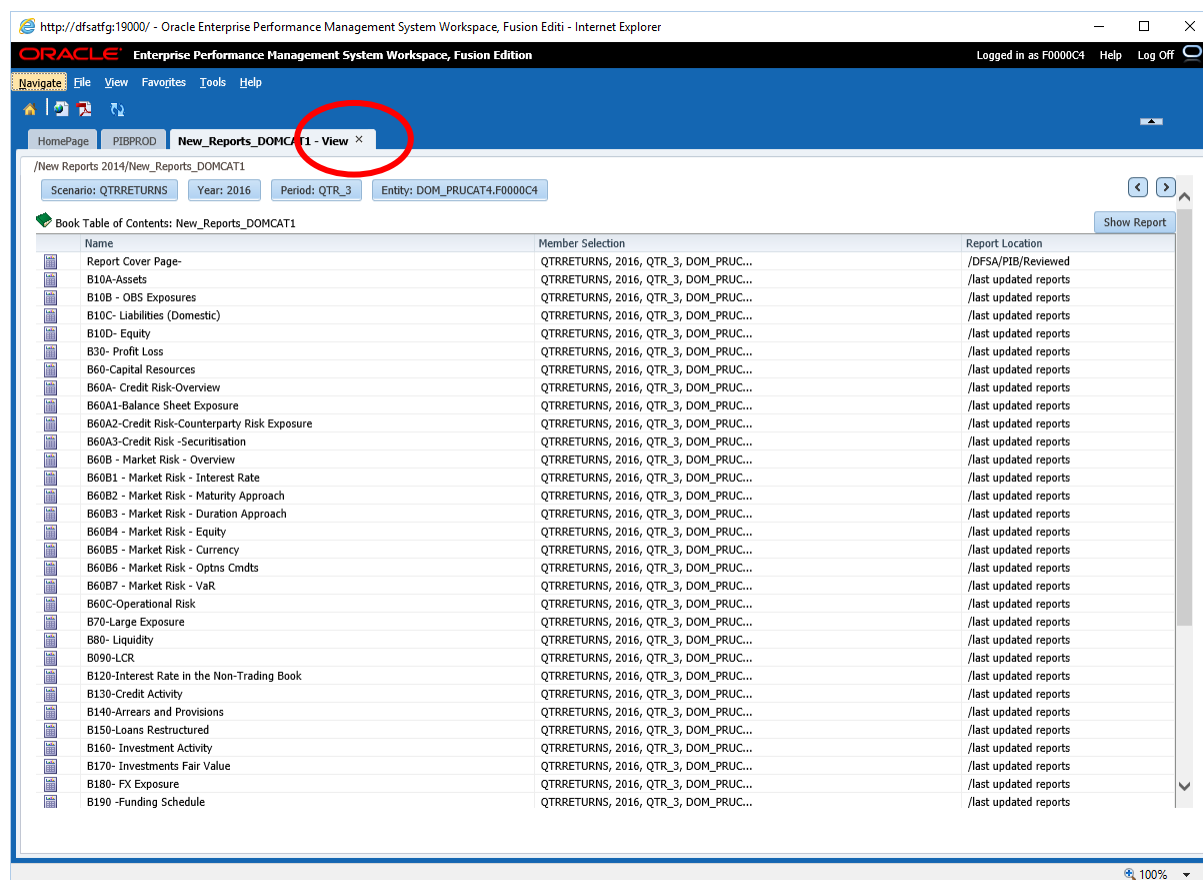


## 8.2 Confirming that the Report Pack has been printed

The last step prior to submitting your prudential returns to the DFSA is to ensure that you have confirmed that the report pack has been printed and the relevant individuals have signed the B100 – Declaration by Authorised Firm required by PIB, or the Statement of Directors required by PIN.

*There are 6 main areas within this section.*

1. In order to get back to the task list from the reports screen you will need to close the report using the 'X' button found in the pane (NOT the red 'X' button found on Internet Explorer):



2. You will now see the following screen:

Oracle Enterprise Performance Management System Workspace, Fusion Edition

Logged in as F0000C4 Help Log Off

Task Lists

- B090 - LLK
- B120 - Interest Rate Risk - NTB
- B130 - Credit Activity
- B130 - Credit Activity-Report
- B140 - Arrears and Provisions
- B150 - Loans Restructured
- B160 - Investment Activity
- B160 - Investment Activity-Report
- B170 - Investment Fair Value
- B180 - FX Exposure
- B190 - Funding Schedule
- B190 - Funding Schedule-Report
- B200 - Funding Concentration
- B210 - Wealth Management
- B220 - Fund and Account Management
- B230 - Dealing Overview & Personnel
- B240 - Dealing and Arranging
- B250 - Outward Remittance
- B260 - Inward Remittance
- B280 - Staffing and Conduct
- B290 - RPS - Domestic
- B300 - Leverage Ratio
- Validations\_Form\_DomCat1
- New\_Reports\_DOMCAT1
- B100 - Pack Printed Form
- Process Control
- Domestic Category 3A
- Domestic Category 4

Validations\_Form\_DomCat1 - Validations Form Domestic Cat 1

Actions

Point of View

Scenario: QTRRETURNS Year: 2016 Period: QTR\_3 View: Periodic Entity: DOM\_PRUCAT4.F0000C4 Value: USD ICP: [ICP None]

Custom1: TotalCustom1 Custom2: TotalCustom2 Custom3: TotalCustom3 Custom4: [None]

VALIDATIONS

Every Line shown below in Blue must be zero before you can proceed.  
If the total shown below is zero then no further analysis is required but if a value is shown then one or more validations have not been met and must be resolved

Total All Validations

Validation	Value
Assets must equal Liabilities and Equity	
B010A_0000T - on Balance Sheet (Form B10A)	2,647
B010C_1000T - on Balance Sheet (Form B10C)	2,647
B010D_2000T - on Balance Sheet (Form B10D)	
Assets must equal Liabilities and Equity - MUST BE ZERO	
B010A_0000T - on Balance Sheet (Form B10A)	2,647
B010C_4000T - on Balance Sheet (Form B10B)	
B010D_1000T - on Balance Sheet (Form B10C)	2,647
B010D_2000T - on Balance Sheet (Form B10D)	
Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - USD)	5,294.00
Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Euro)	0.00
Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Open)	0.00
Sum of Assets, Liabilities, Equity, and OBS Exposures on IRR NTB (Form B120 - Other)	0.00
Sums should be equal - MUST BE ZERO	
Assets - Related Party Schedule	5,294
Liabilities - Related Party Schedule	

3. Right click on 'Pack Printed' and select open rom within the task list. This will display a form in the right hand pane:



Oracle Enterprise Performance Management System Workspace, Fusion Edition - Windows Internet Explorer

ORACLE Enterprise Performance Management System Workspace, Fusion Edition

Logged in as F0000C4 | Help | Log Off

Navigate File View Favorites Tools Administration Actions Help

Search [ ] Advanced

PIBPROD \*

Project View

Domestic Category 3A

- B10
- B10A1-
- B10A2-
- B10A3-
- B10A4-
- B30
- B50-1-
- B60-
- B70-
- B70A1
- B120
- B180
- B190
- B200
- B230
- B260
- B270
- Validations\_DOMCAT3\_NEW
- DOMCAT3A\_NEW
- Pack Printed Form**
- Process Control
- Forms for 2012 Annual Ret...
- New\_Forms\_DomCat3A

Scenario:QTRRETURNS | Year:2012 | Period:QTR\_2 | View:Periodic | Entity:DOM\_PRUCAT4.F0000C4 | Value:USD | ICP:[]CP Non<>>


Pack Printed Form - Has the Pack Been Printed

	Quarter 2
<b>VERIFY THAT PACK HAS BEEN PRINTED</b>	
Prior to submitting your prudential returns please confirm the following by inserting "1" in the box. next to confirmation.	
<b>CONFIRMATION</b>	
I confirm that the relevant individuals have signed the "Statement by Directors" required by PIN Rule 6.5 or form B10 - "Declaration by Authorised Firm" required by PIB Rule 1.6	
This annual return is for: (number of calendar days)*	
*To be ignored for quarterly returns	

100%

If you have successfully printed the reports and the relevant individuals have signed the B100 – Declaration by Authorised Firm required by PIB, or the Statement by Directors required by PIN, enter '1' into the cream cell.

If this is an Annual Return please also ensure you enter the number of calendar days the Annual Return is for:

4. Finally click on the submit button 
5. By clicking on the submit button you have confirmed that the report pack has been printed and the relevant individuals have signed the Form B100 – Declaration by Authorised Firm required by PIB, or the Statement of Directors required by PIN.



## 9 Process Control

Process Control is the function used to submit the completed return to the DFSA. This step has two functions:

- informs the DFSA that the return has been submitted and may be reviewed; and
- locks the data – once the return is submitted you cannot make further changes or amendments.

*There are 7 main areas within this section.*

1. First you must visit the 'Process Control' page by right clicking 'Process Control' in the task list and selecting open:



2. The following screen will appear:

	Calc Status	Review Level	Pass / Fail	Validation
Domestic Cat 4 Firm for Demo	OK	Review Level 1	✗	✗

3. Before the data can be submitted to the DFSA using process control, all the validations must be passed (refer Chapter 6). If the validations have not been passed, two red crosses will be displayed in the last two boxes. To drill down and see the validations which have not been passed, click on the red cross under the 'Validation' column, a pop up window will appear detailing all the validations:

	<Entity Curr Total>	<Entity Curr Adjs>	<Entity Currency>
Calculate Status	OK	OK ND	OK
LOCK - Validation Lock Account	1,000		1,000

4. The message box in the previous step details which validations have been unresolved. You must now revisit the 'Validations' form and perform the steps detailed in chapter 6.

If as above 1000 is appearing, it is more than likely you have not put a '1' on the B100 – Pack Printed Form.

5. Once you have passed all your validations, revisit the 'Process Control' page as identified in step 1.
6. If you have correctly resolved your validations, the validation box will contain a green tick:

**Data Process Control** × **B100 - Pack Printed Form** ×

Actions

Scenario:QTRRETURNS Year:2016 Period:QTR\_3 Entity:F0000C4

	Calc Status	Review Level	Pass / Fail	Validation
Domestic Cat 4 Firm for Demo	OK	Review Level 1	✓	✓

7. You will now be able to submit your return to the DFSA as a final version – In order to Submit your return please follow the steps in Section 9 on this document.



**NOTE:** If you have cleared all the validations and still cannot see 2 green ticks you must click on your firm number and select 'Force Calculate' (see below video guide)



## 10 Submitting your Return to the DFSA

There are 4 main areas within this section.

1. Following on from the previous section, in order to submit the data you will need to ensure you are in the 'Process Control' screen:

Scenario:QTRRETURNS Year:2013 Period:QTR\_2

**View**

Data View Top Member

Local F0000C4 Update

Entity	Calc Status	Review Level	Pass / Fail	Validation
F0000C4	OK	Review Level 1	✓	✓

2. Click on the firm number, the row will be highlighted:

**Data Process Control** × **B100 - Pack Printed Form** ×

Actions

Scenario:QTRRETURNS Year:2016 Period:QTR\_3 Entity:F0000C4

	Calc Status	Review Level	Pass / Fail	Validation
Domestic Cat 4 Firm for Demo	OK	Review Level 1	✓	✓

3. Click on the 'Manage Process' icon and click on 'Submit':

**Data Process Control** × **B100 - Pack Printed Form** ×

Actions

Scenario:QTRRETURNS Year:2016 Period:QTR\_3 Entity:F0000C4

	Review Level	Pass / Fail	Validation
Domestic Cat 4 Firm for Demo	Review Level 1	✓	✓

- Start
- Promote
- Submit**
- Approve
- Publish
- Sign Off
- Reject

4. A new pop up box will appear, clicking on OK will submit your return to the DFSA:

**Submit** ×

Point Of View QTRRETURNS 2016 QTR\_3 <Entity Curr Total>

Comment

Attachment


Attachments


Attach Detach

Apply Action To: Selected Entity Only










Help **OK** Cancel


5. The status of your return will also change to 'Submitted'


**Data Process Control** ×


B100 - Pack Printed Form ×


Actions



Scenario:QTRRETURNS

Year:2016

Period:QTR\_3

Entity:F0000C4

	Calc Status	Review Level	Pass / Fail	Validation
Domestic Cat 4 Firm for Demo	OK	Submitted	✓	✓

