Electronic Prudential Reporting System (EPRS)

User Guide

Dubai Financial Services Authority

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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/your-resources/regulatory/system-reporting

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.

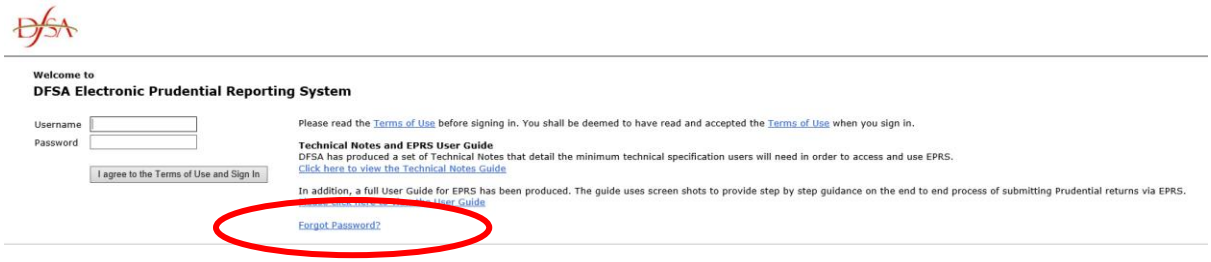
'SSL' (Secure Socket Layer) is a protocol for managing the security of message transmission on the internet.

'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.

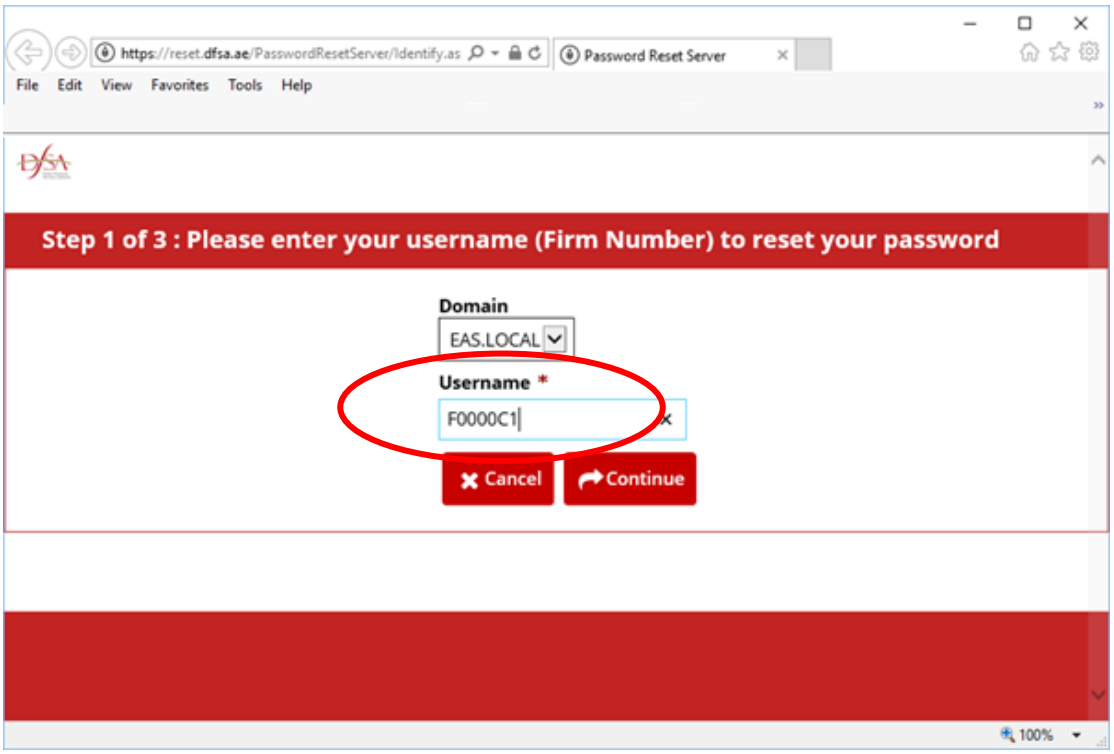
As such your connection to the EPRS will be via a secure and encrypted channel (SSL VPN), allowing for a secure and safe means of sending your information.

1.3.1 Password Reset

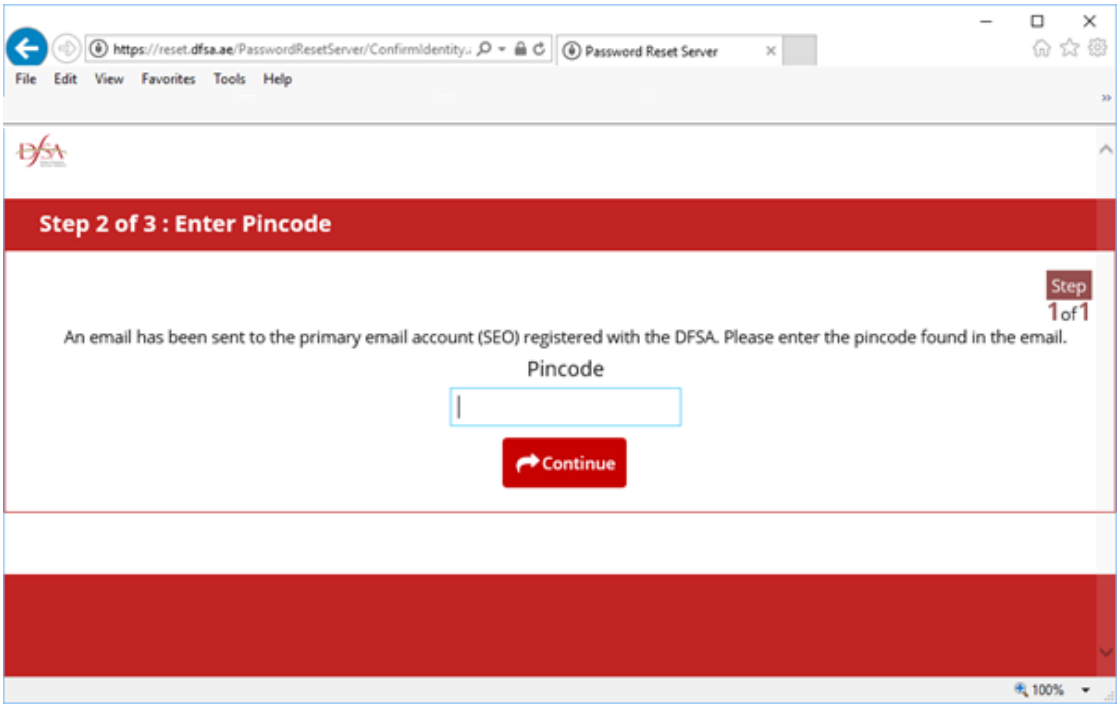
If you have forgotten your password or need to reset the password, please use the 'Forgot Password?' link on the login page:



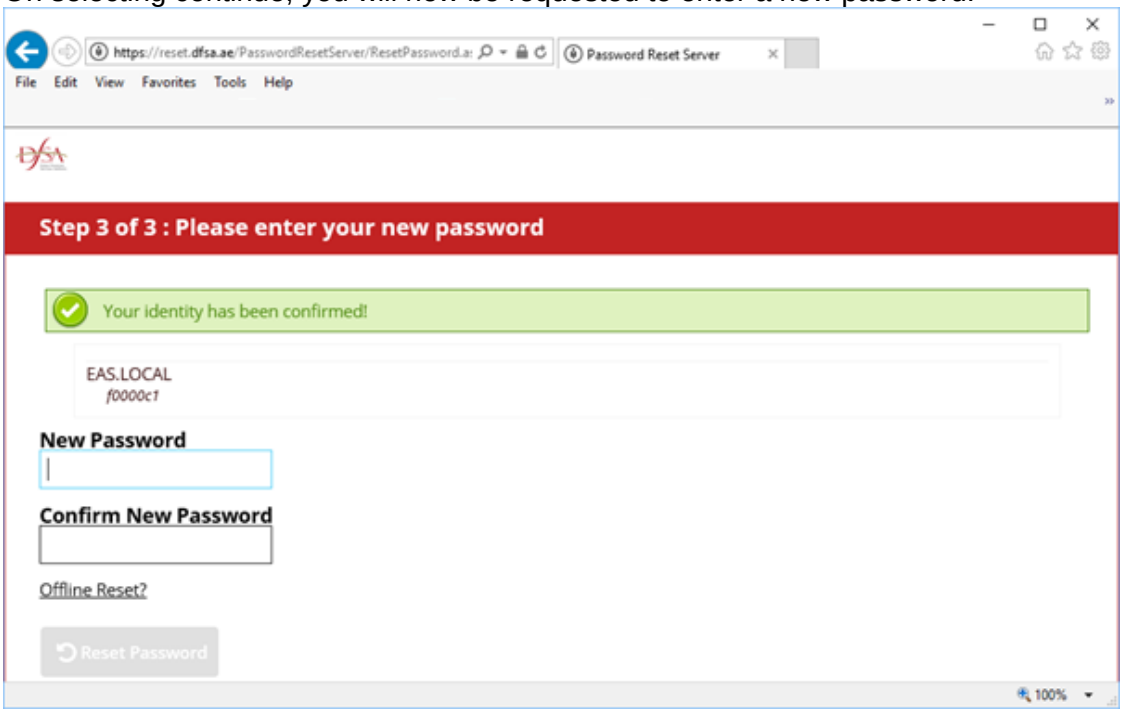
1. On selecting the 'Forgot Password?' link the user will be taken to the first step where they are requested to enter their username / firm ID:



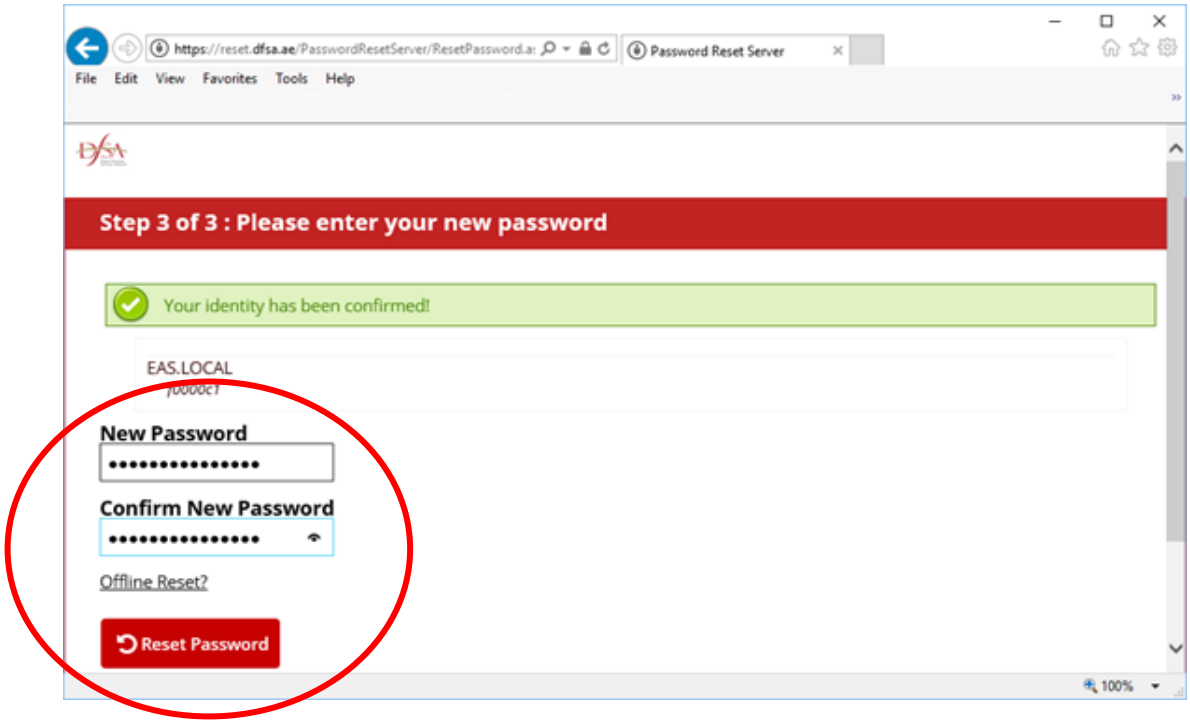
2. On selecting 'Continue' an email, with a Pincode, will be sent to the Senior Executive Officer (SEO) that is required to complete step 2. Enter the 'Pincode' when requested:



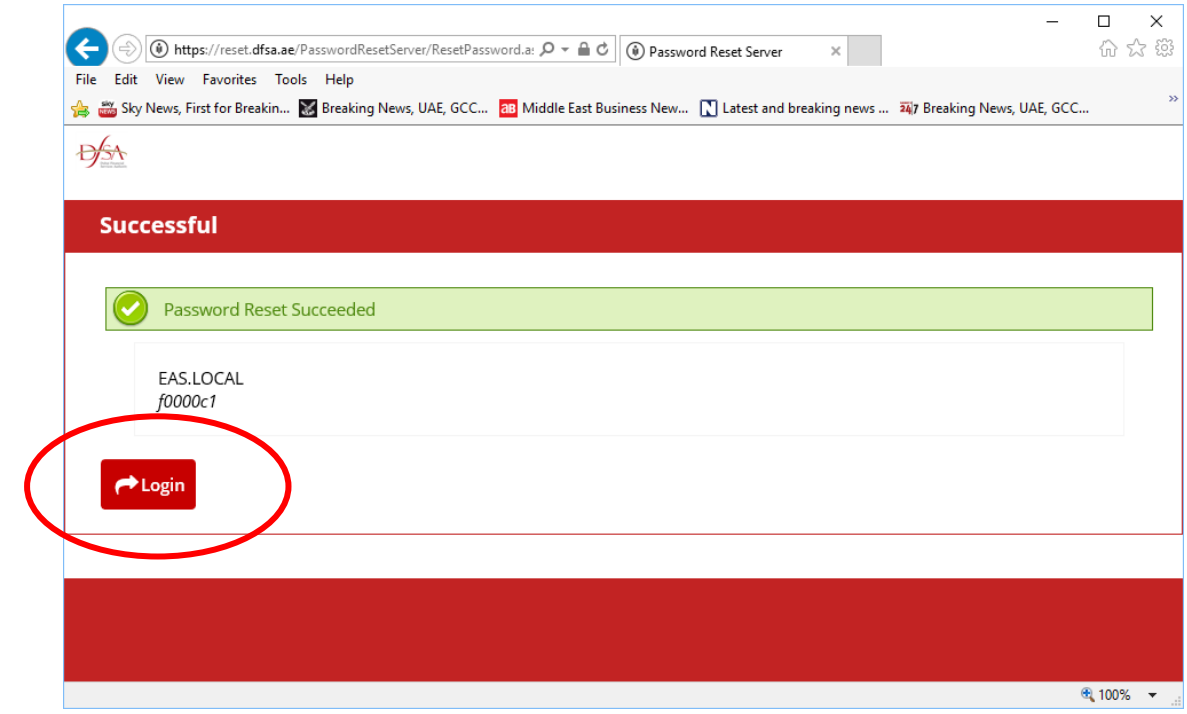
3. On selecting continue, you will now be requested to enter a new password:

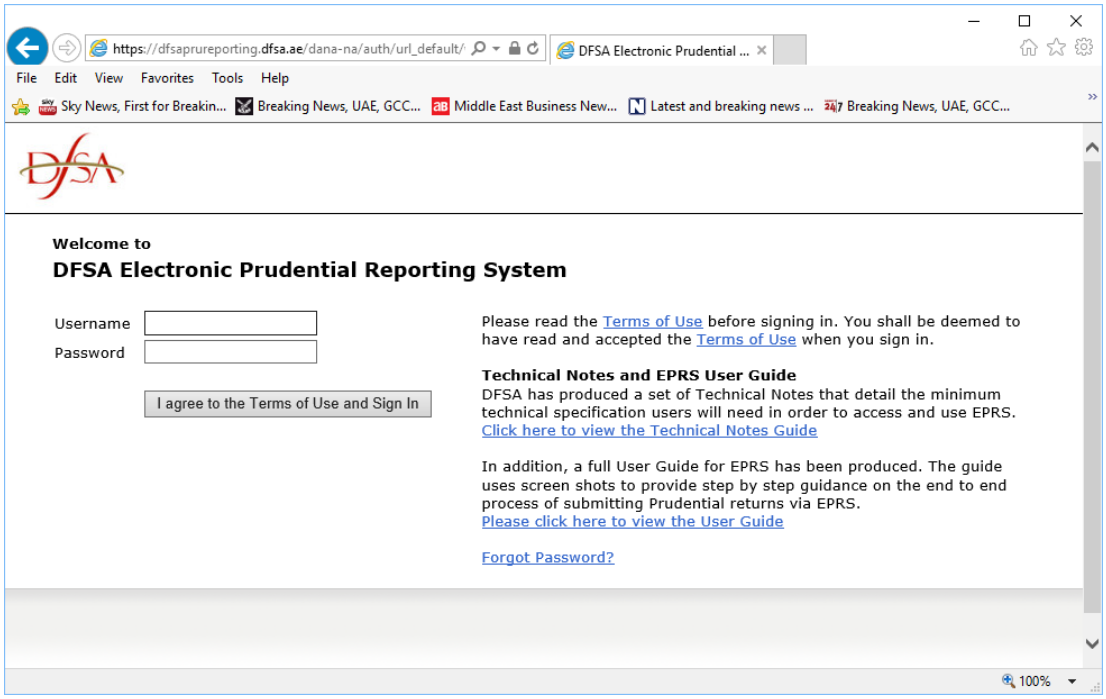


4. Enter your new password and then select ‘Reset Password’



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

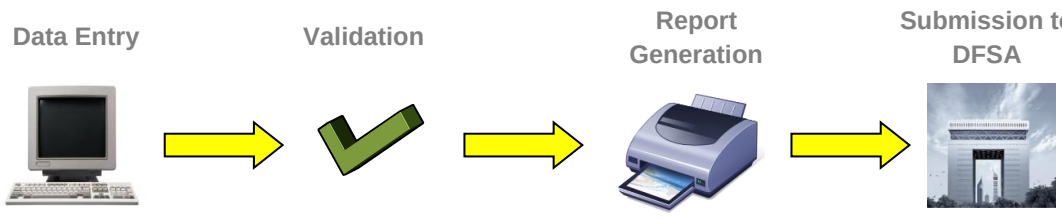




NOTE: The Senior Executive Office (SEO) of the firm will receive the necessary emails to reset the password.

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

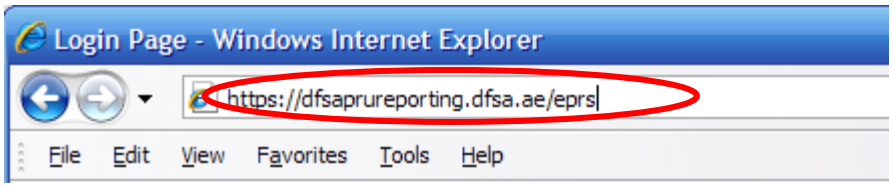
There are 7 main areas within this section.

1. Open an 'Internet Explorer' browser session



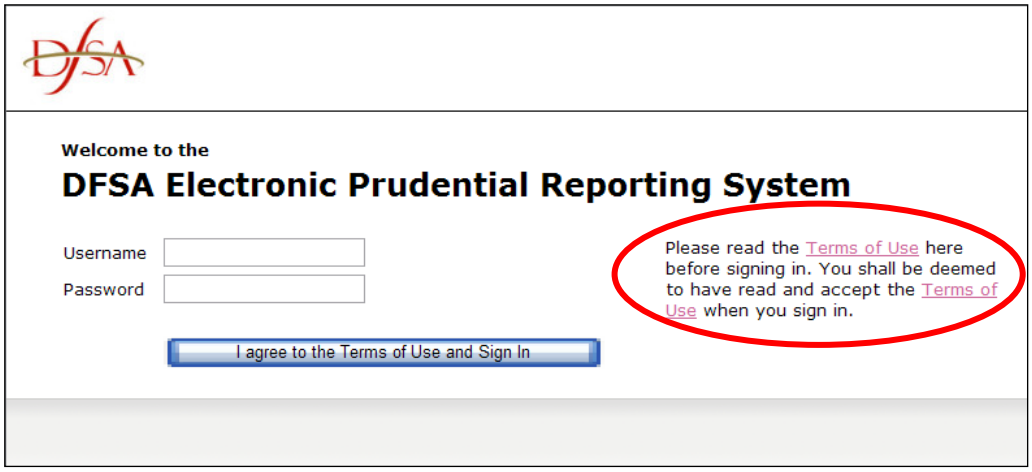
2. In the 'Internet Explorer' address bar enter the following URL:

   'https://dfsaprureporting.dfsa.ae/eprs'



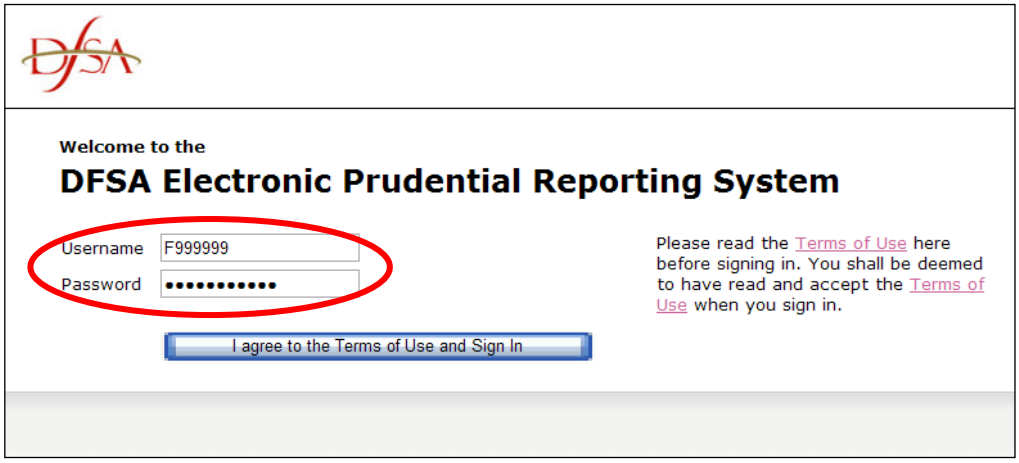
   The above URL can be saved to 'Favourites' for future access.

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.

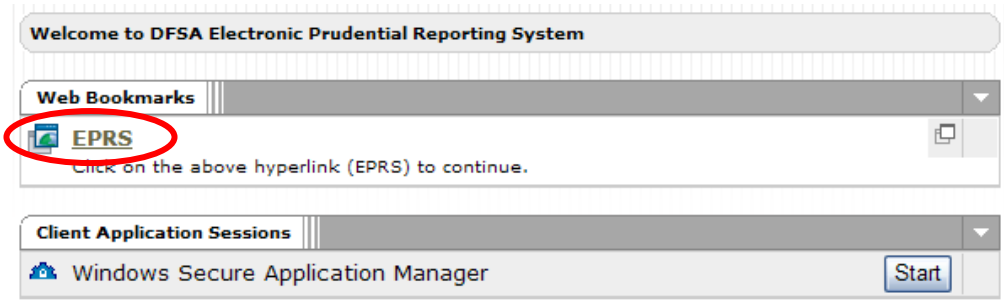
5. After reading the Terms of Use enter the 'Username' and 'Password' provided by the DFSA.



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

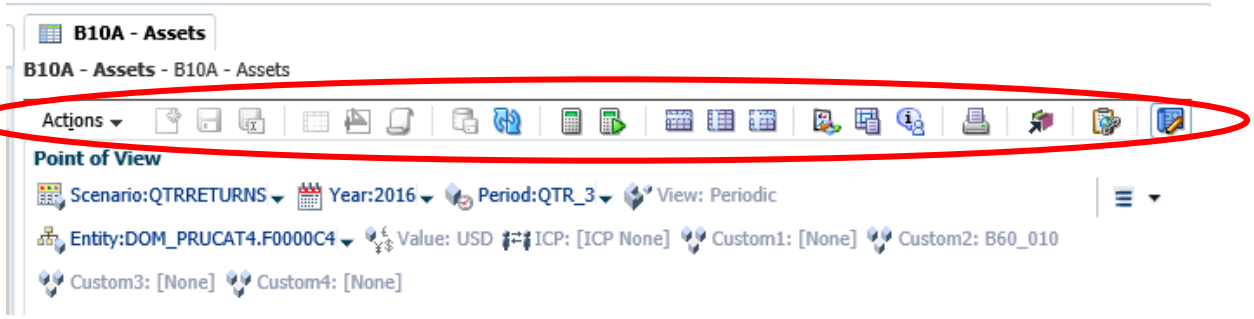
If you cannot remember your username and/or password please contact the EPRS Helpdesk via the Supervised Firm Contact Form.

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

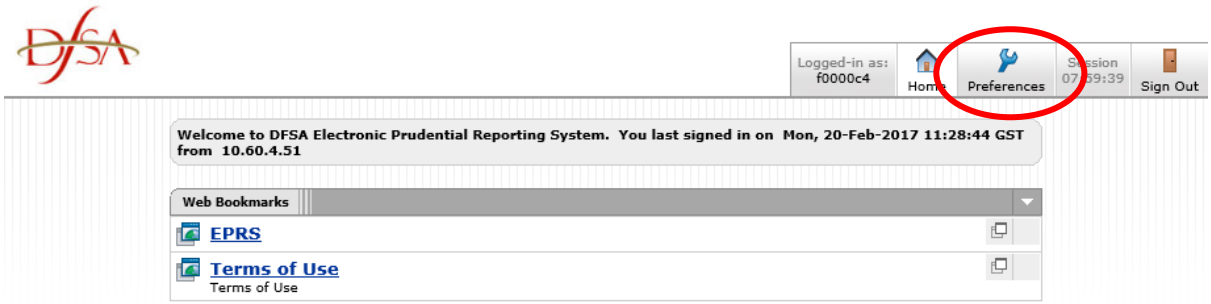
Passwords will expire every 180 days. You will be prompted to change your password when you next login after 180 days have passed.

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

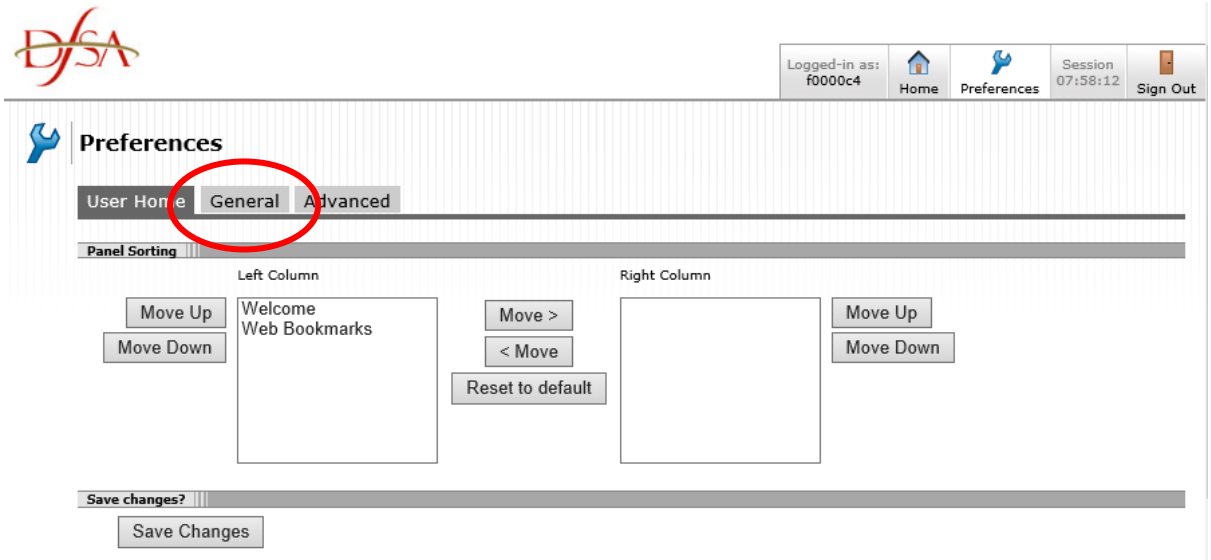
1. After you have logged in (see section 3) you will be presented with the 'Bookmarks' page:



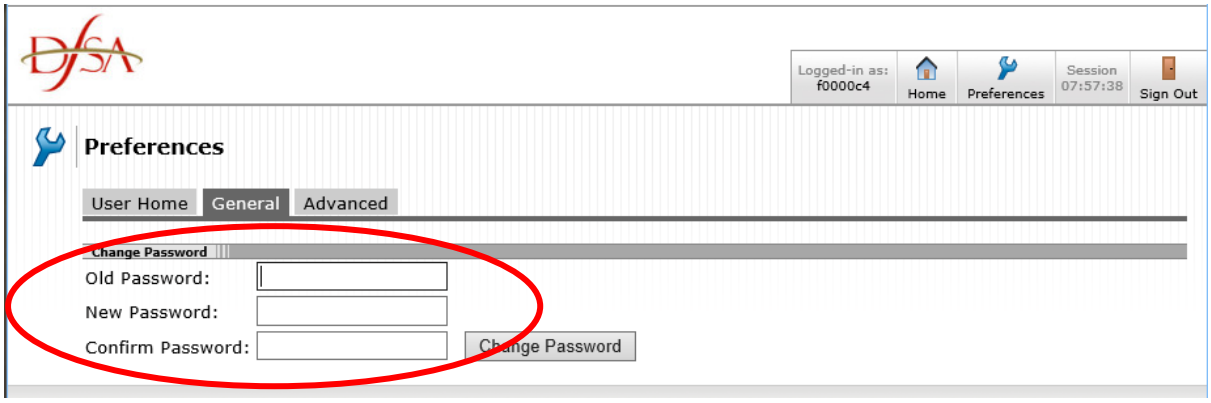
2. In order to change your password click on ‘Preferences’:



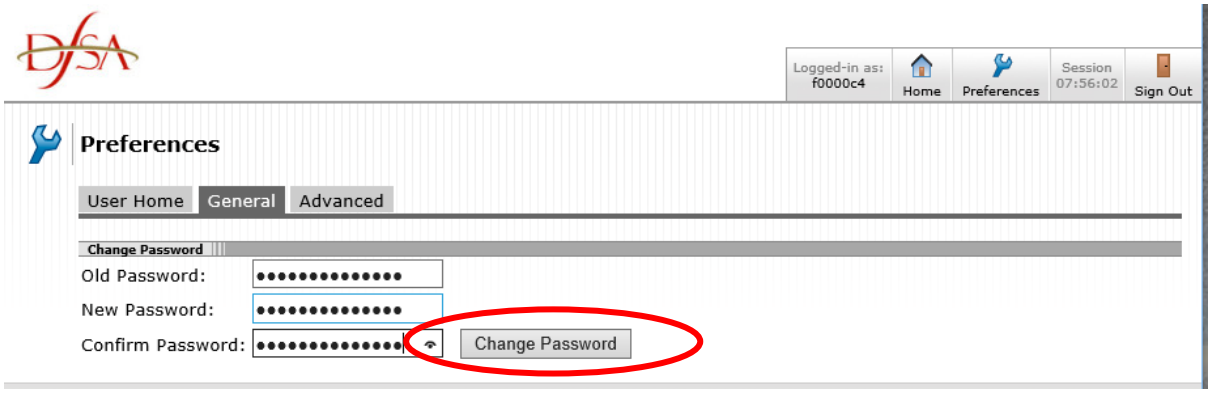
3. Then ‘General’:



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



5. Once you have entered all the details click n ‘Change Password’:



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

5 Using EPRS

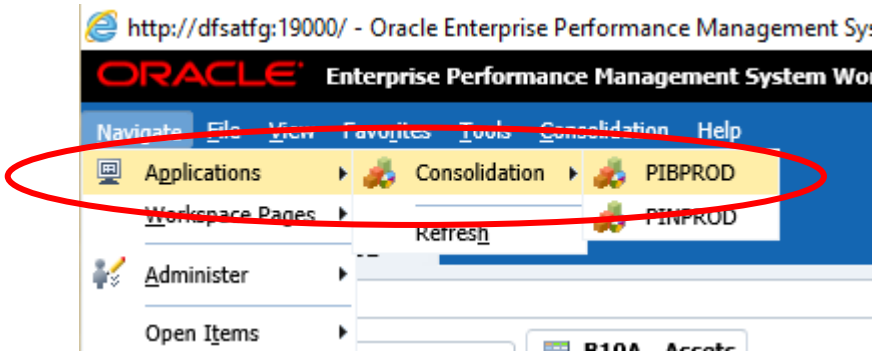
Once you have successfully logged on to EPRS, you must click on the correct application to use.

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.

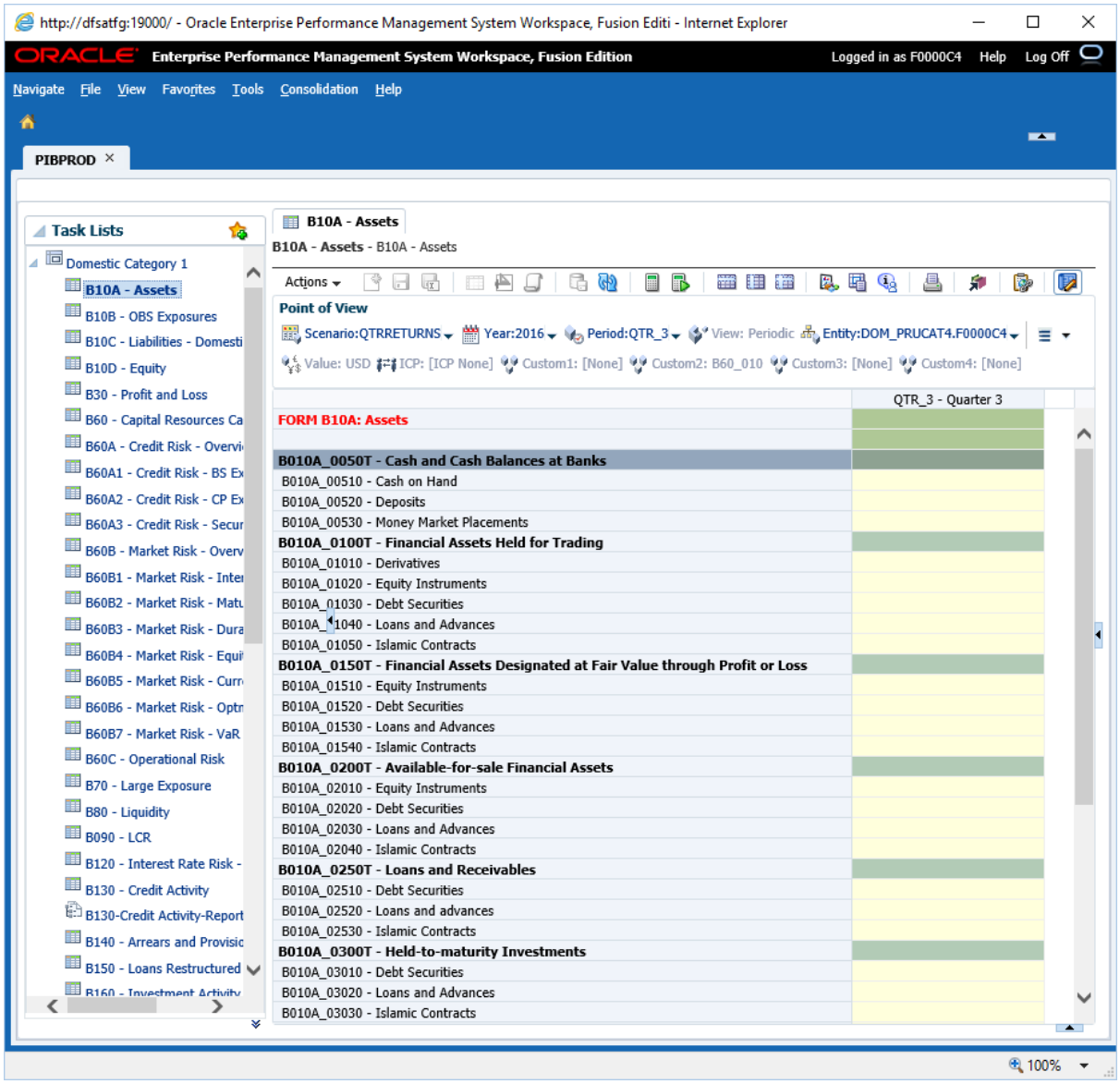
1. Once you have successfully logged in to EPRS the following screen will appear, click on ‘Navigate’ then ‘Consolidation’:



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).

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:



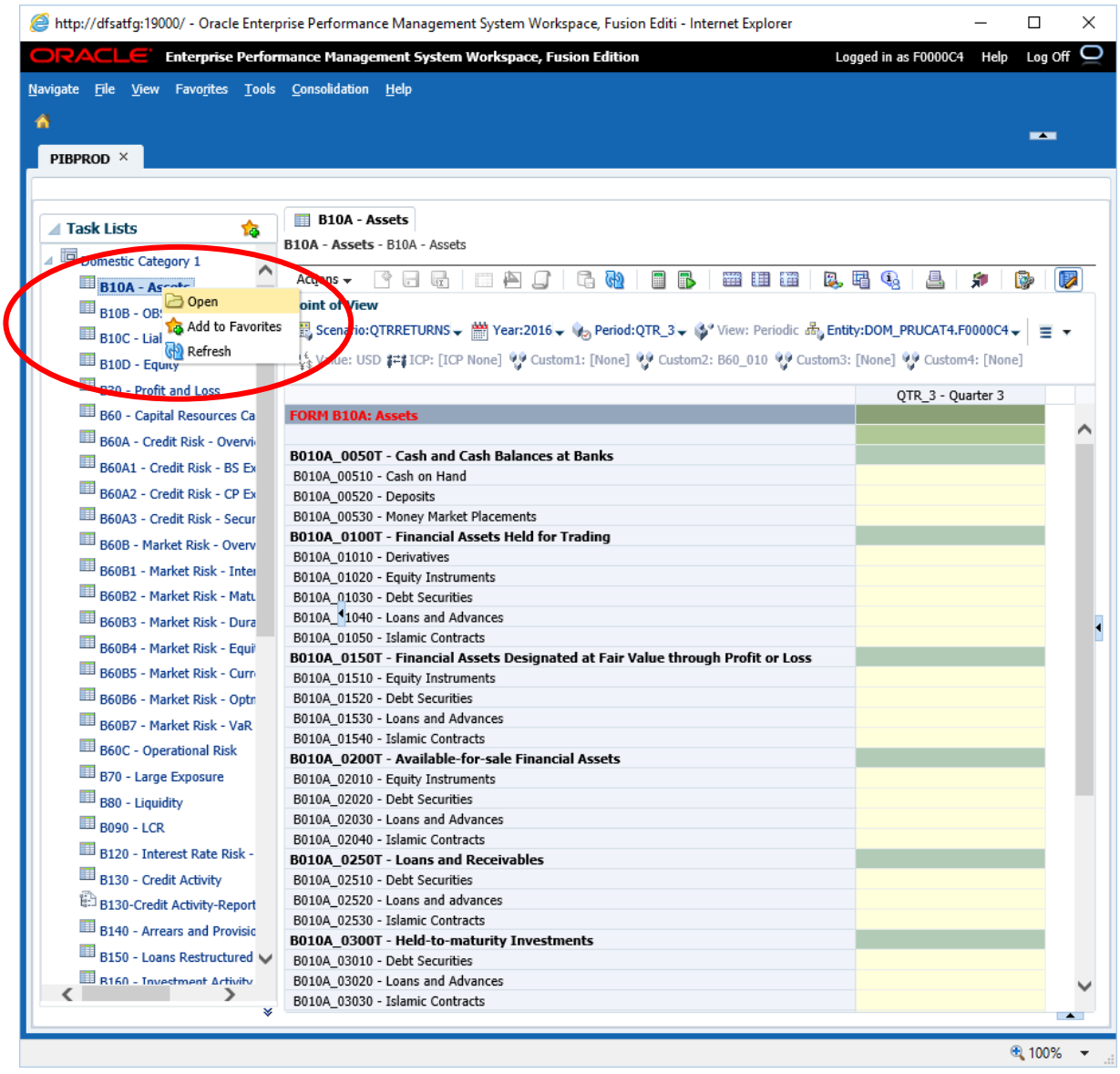
NOTE: The screen shot above is illustrative. The task list presented will vary for each user depending on the financial services activities your Firm conducts.

5.2 Selecting the 'Year' and 'Period'

There are 4 main areas within this section.

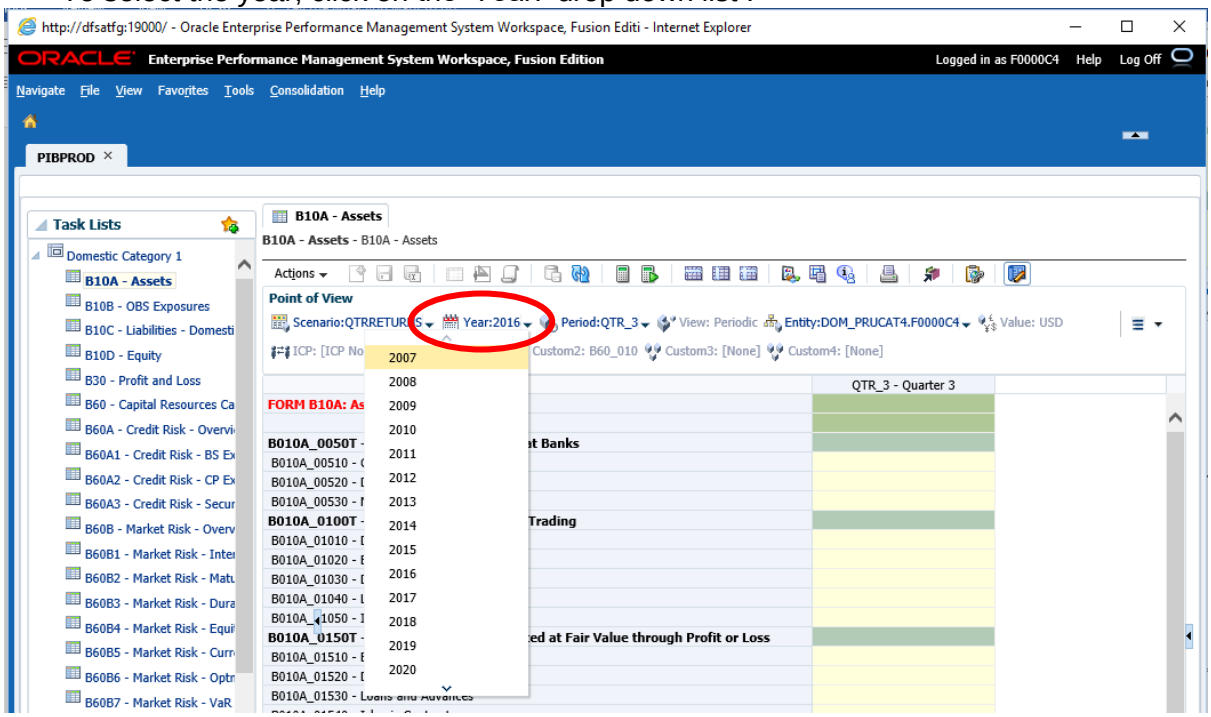
1. Once you have logged on to EPRS and selected the application, you can click on the first form in your task list.

   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:



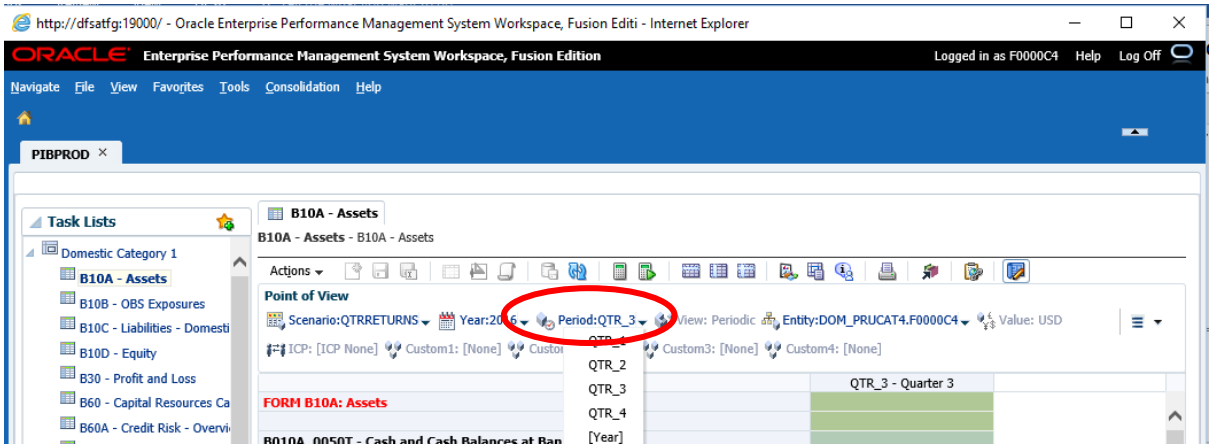
2. Before entering data in a form, you must ensure that you are entering data for the correct year and period (quarter).

   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.

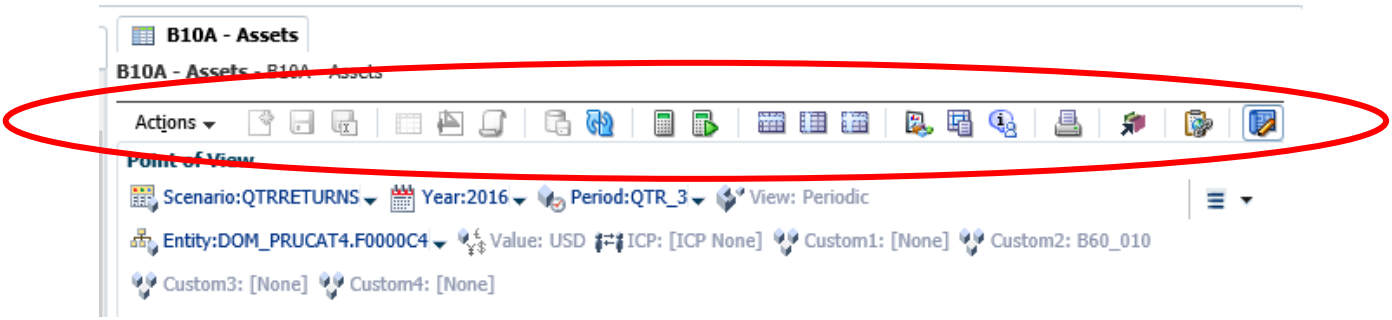
6 Entering Data into a Form

There are 5 main areas within this section.

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

BLUE CELLS	AED	Data cannot be entered into these cells. These cells are used for descriptive text and/or separators between rows and columns.
CREAM CELLS	40	Indicates cells in which data can be entered as well as data that has been entered and saved.
YELLOW CELLS	100	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.
GREEN CELLS	229	Data cannot be entered as the cells are automatically populated from data entered into cream cells. These cells are commonly used for totals.
WHITE CELLS	Balance Sheet	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:

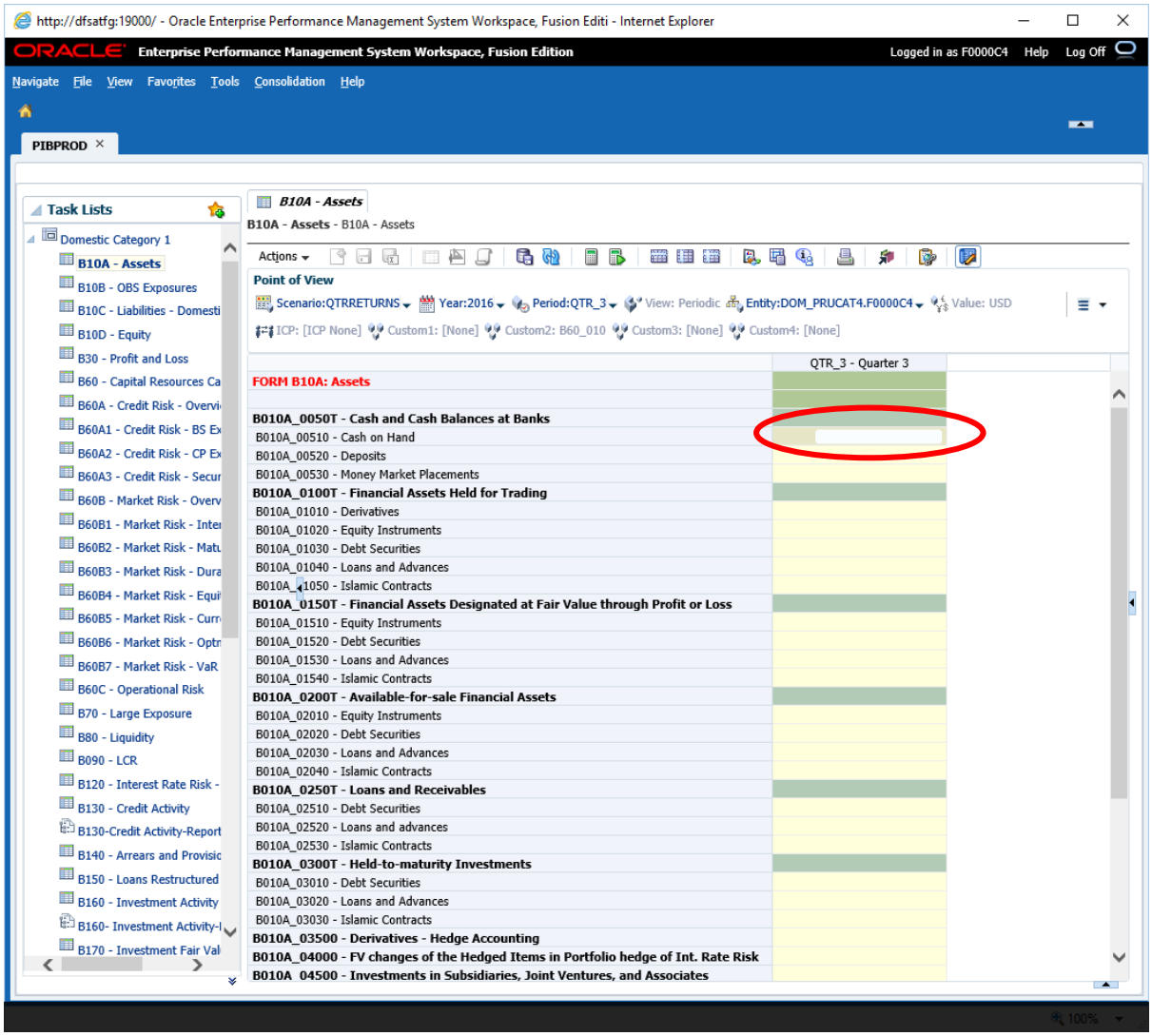


The below table shows the buttons that will be most relevant during your use of EPRS:

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

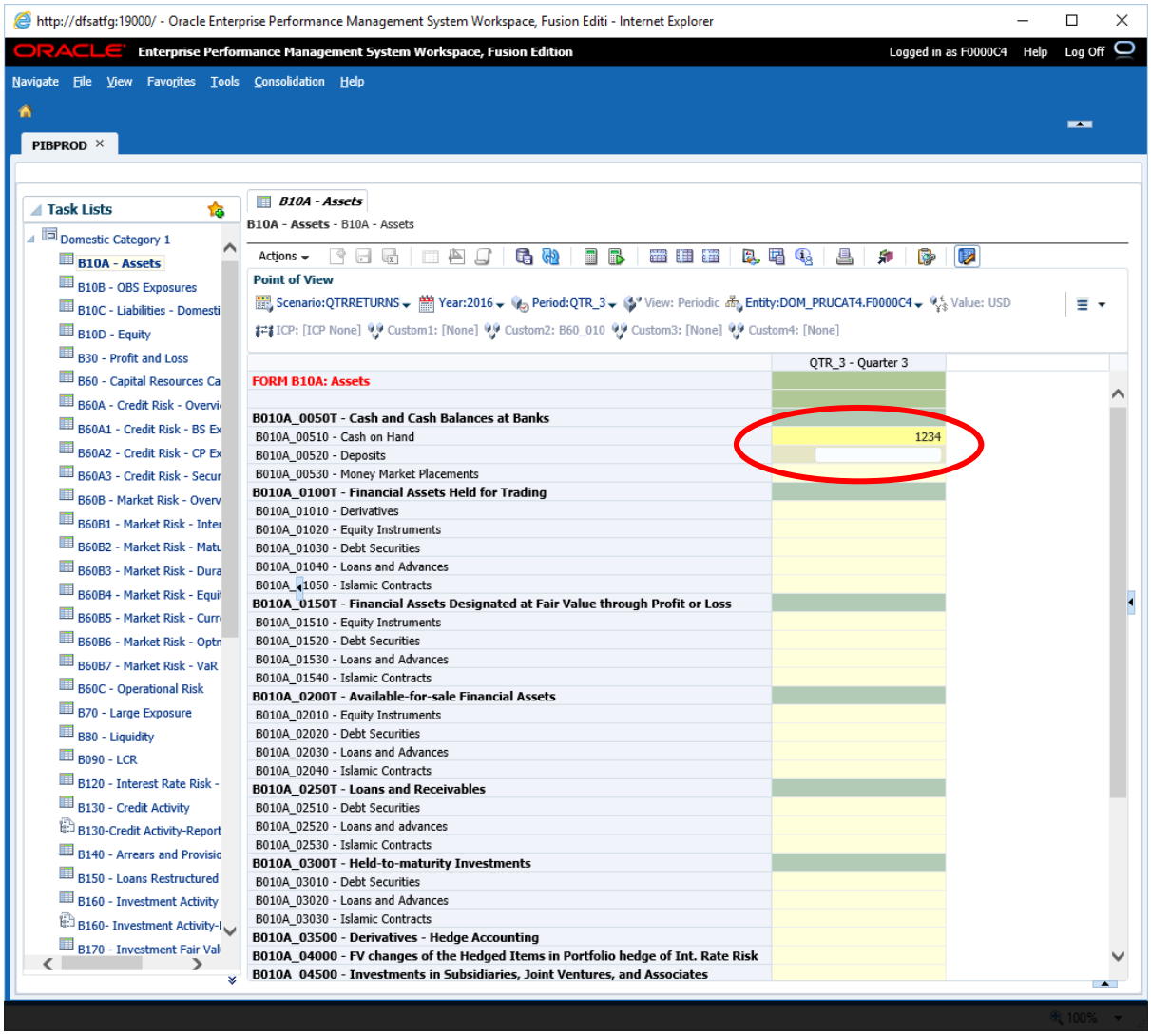
	Force Calculate	Calculates all cells on the form regardless of whether they have been changed
	Cell Text	Shows the cell text window – allows you to input annotations to cells
	Instructions	Displays a window of detailed instructions for the form (where appropriate)
	Print	Prints the form
	Manage Process	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:

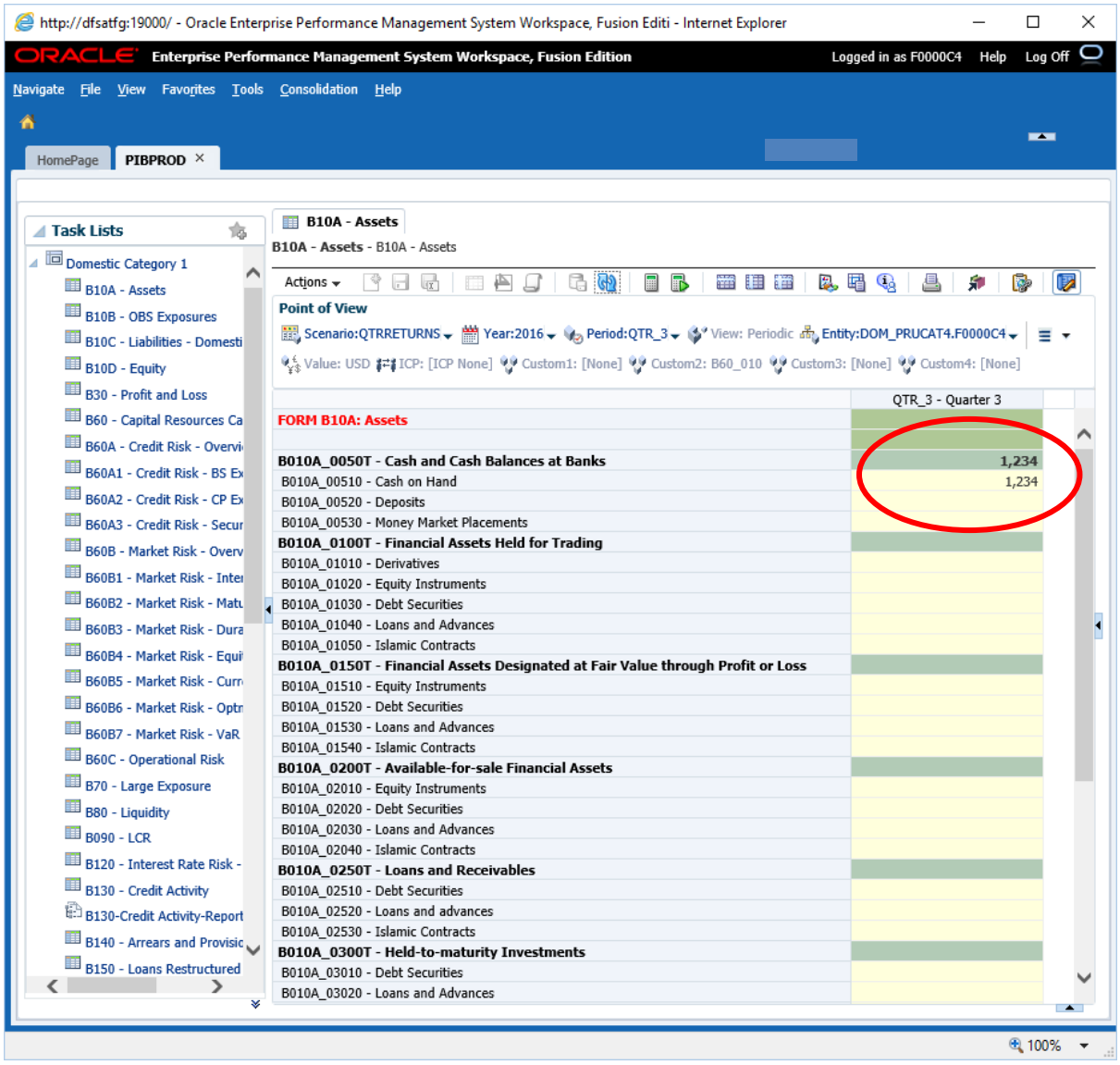


4. Enter data and either press the 'Tab' key (move to next cell on the right) or the 'Enter' key on the keyboard (move to next cell down).

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



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:



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.

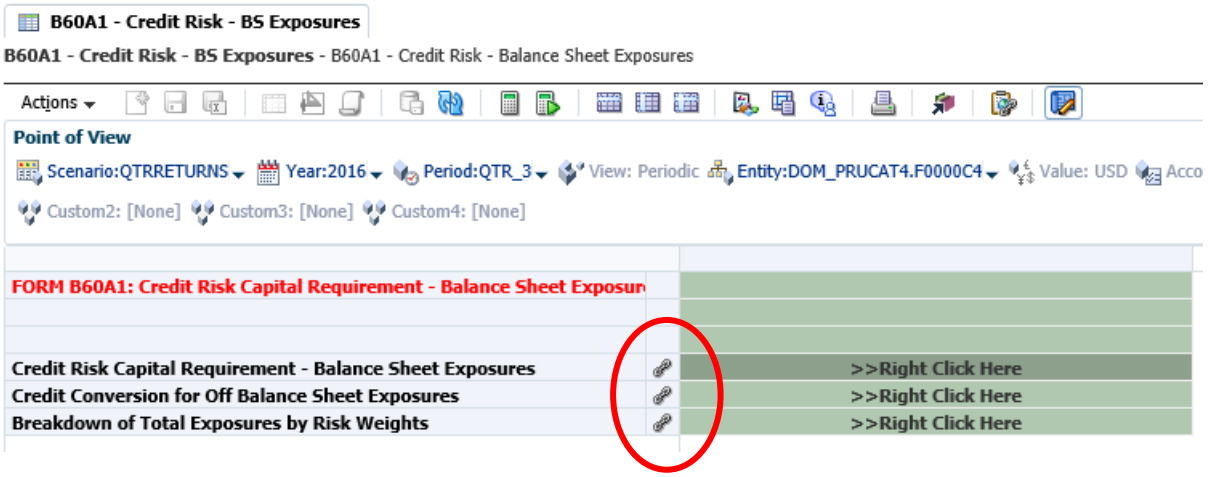
NOTE: EPRS has been designed so that you can enter data over a period of time and not necessarily in one sitting. As and when data has been submitted / saved you can log off and come back at a later time to carry on from where you left off.

6.1 Linked Forms

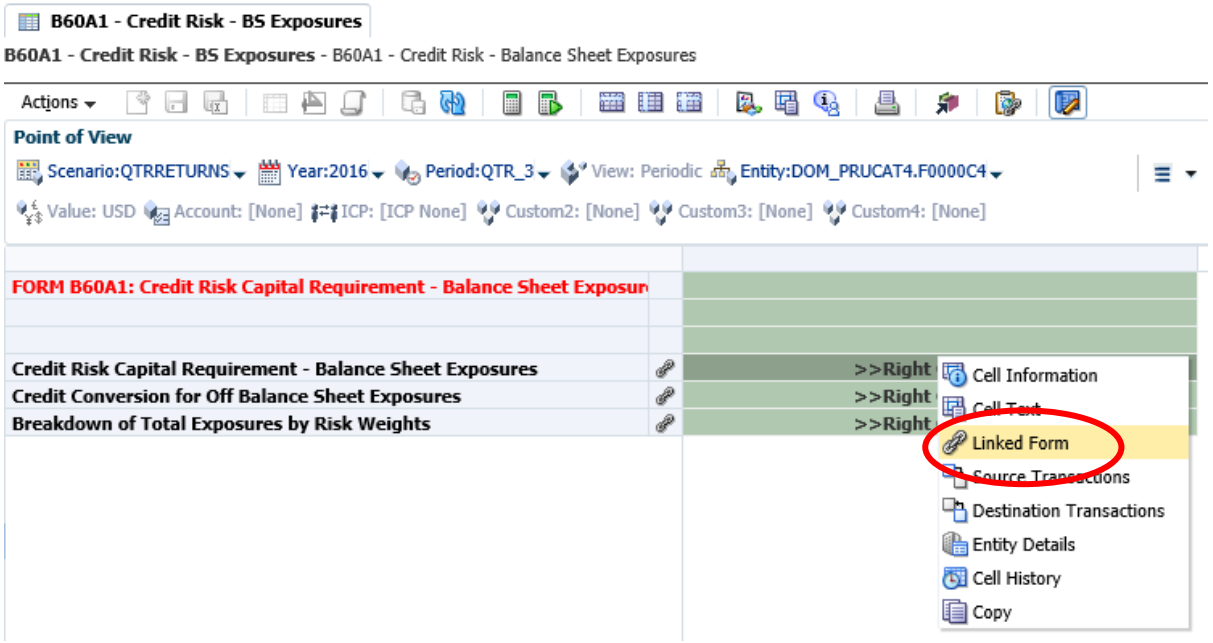
There are certain instances within EPRS where one form has been broken down into two or more sub-forms. This has been done to allow you to complete sections of a form in a uniform and simple manner.

There are 4 main areas within this section.

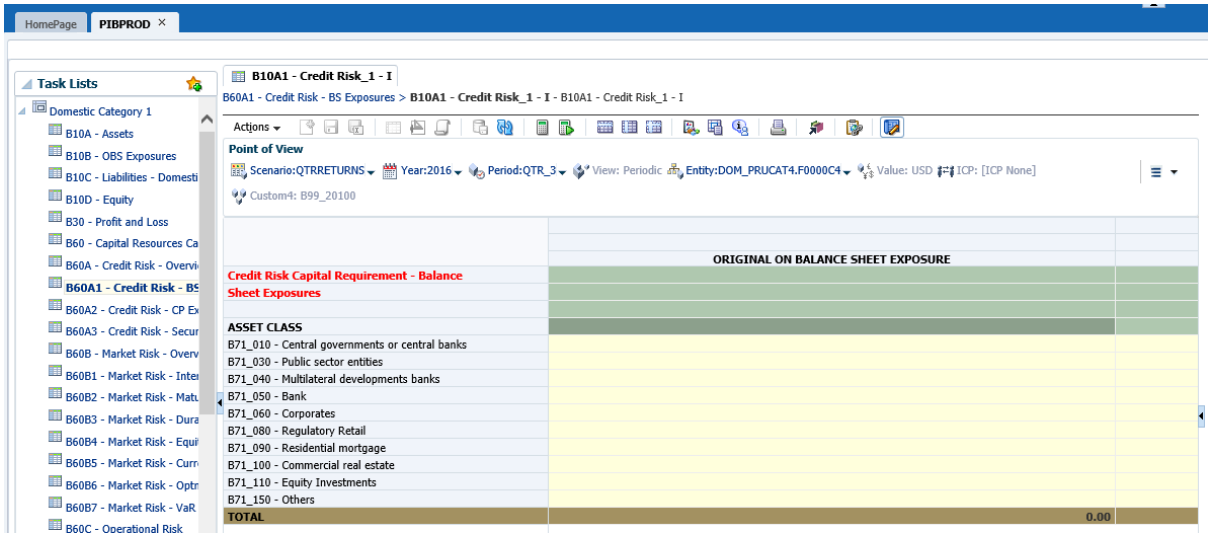
1. A linked form can be identified by the link icon:



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



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



4. 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

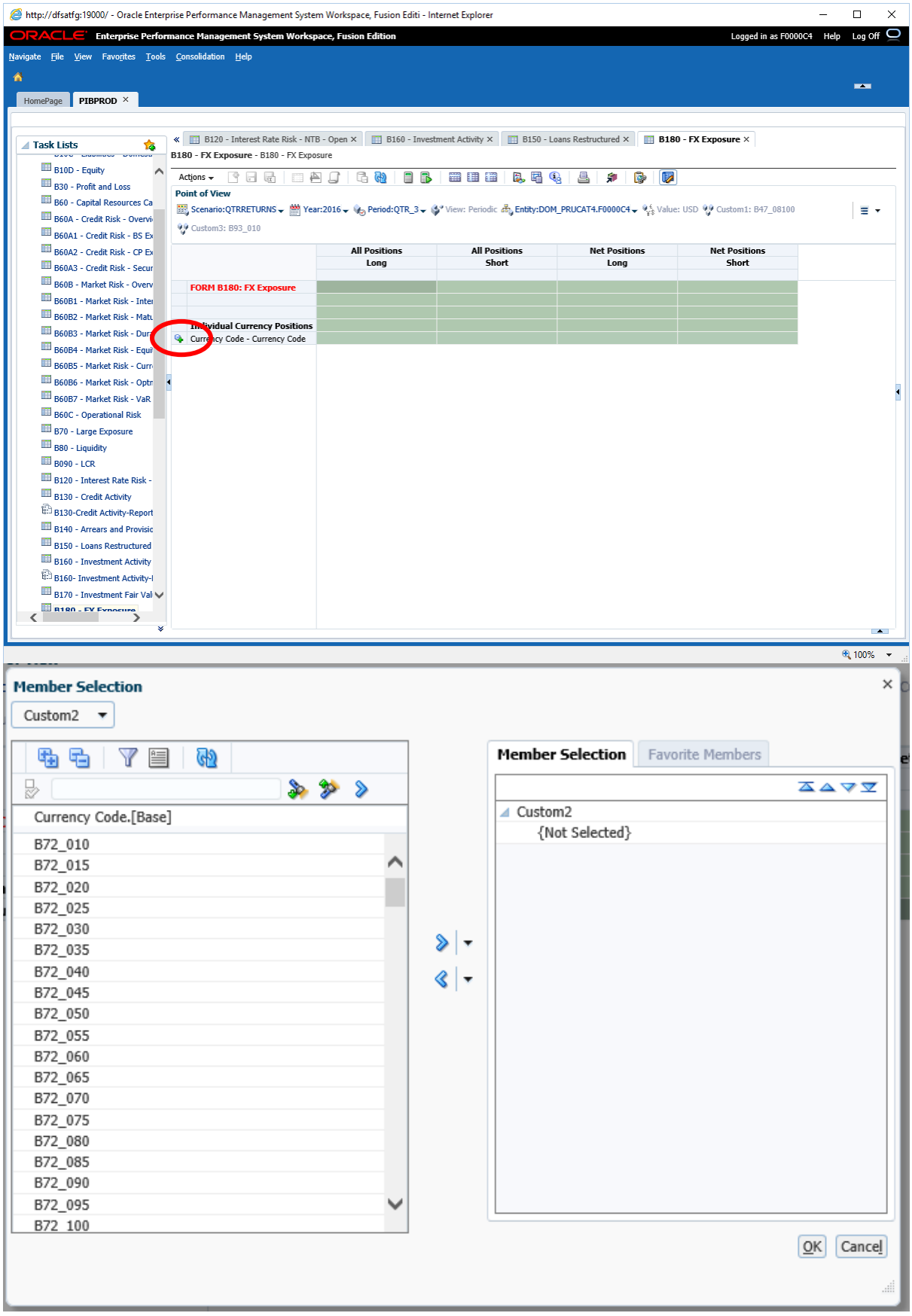
There are 8 main areas within this section.

1. 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.

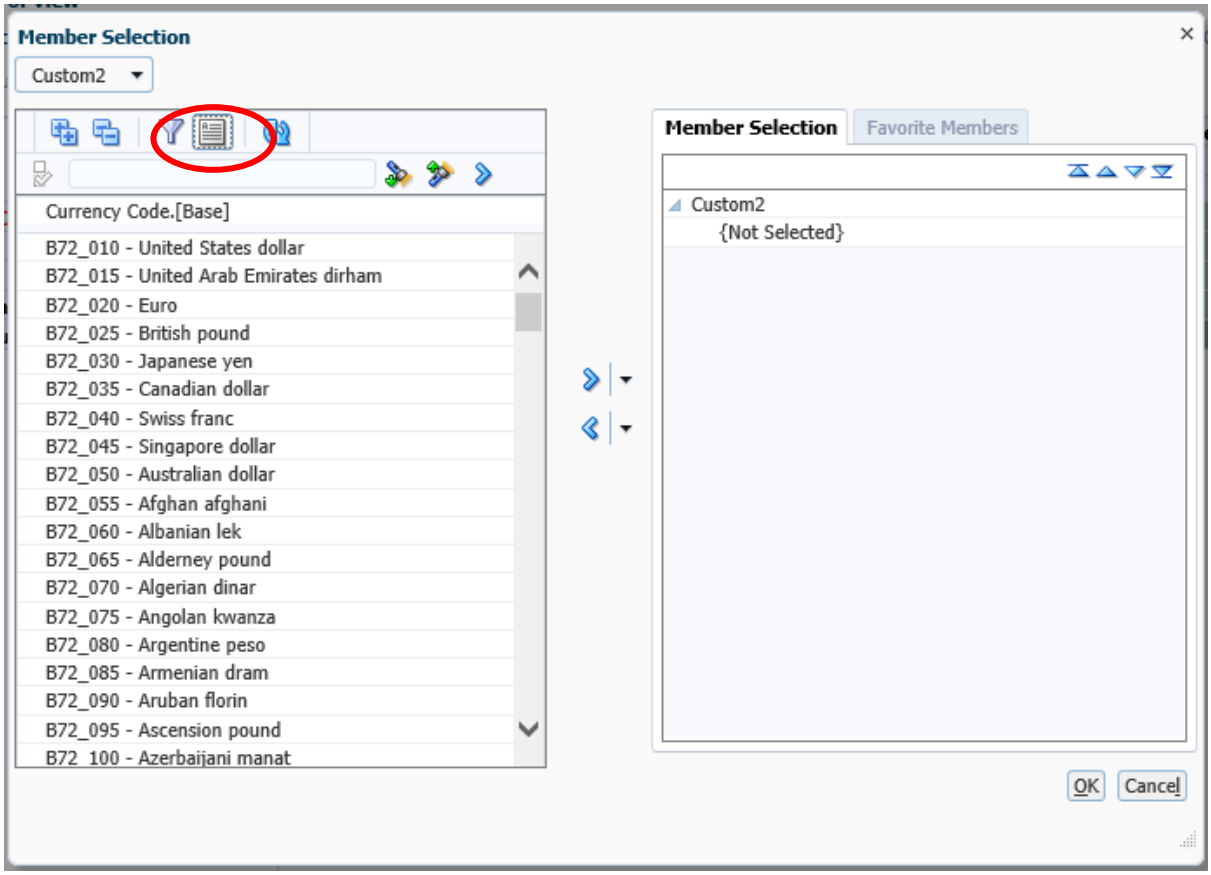
2. Whenever you come across a field that requires you to select multiple entries you will see the following icon:



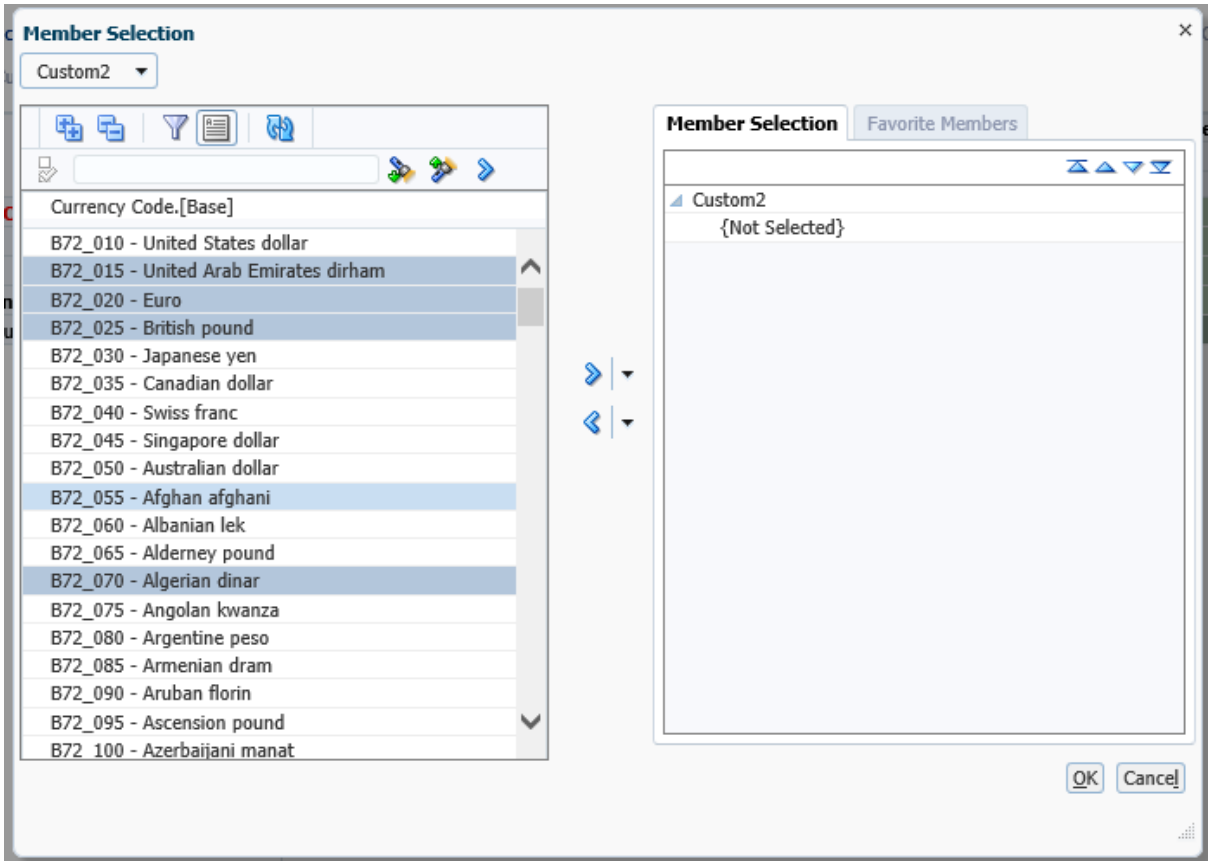
3. When you left click on the icon you will see all the values you can select from:


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
HomePage PIBPROD
Task Lists
B120 - Interest Rate Risk - NTB - Open
B160 - Investment Activity
B150 - Loans Restructured
B180 - FX Exposure
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_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
100%
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

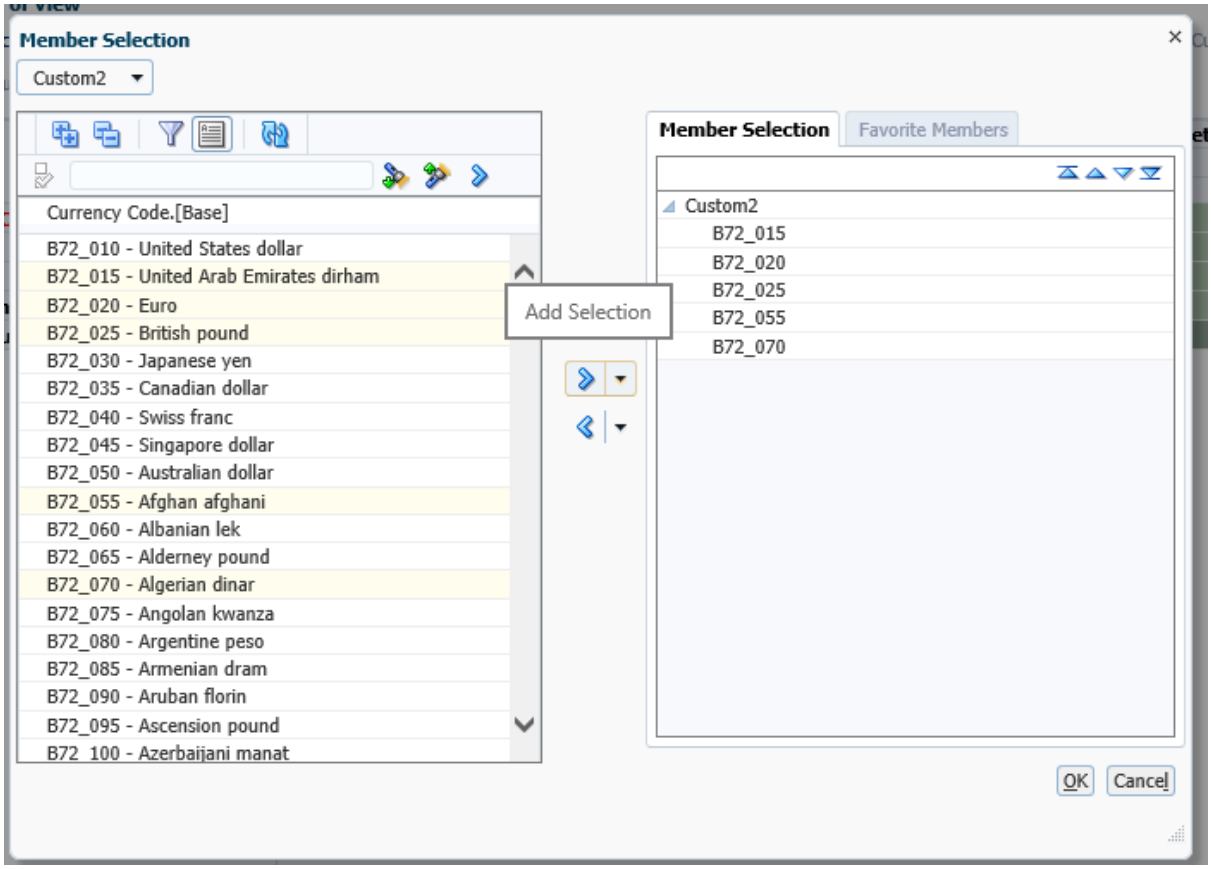
4. Ensure you click on the ‘Description’ tick box to display actual values against the codes:



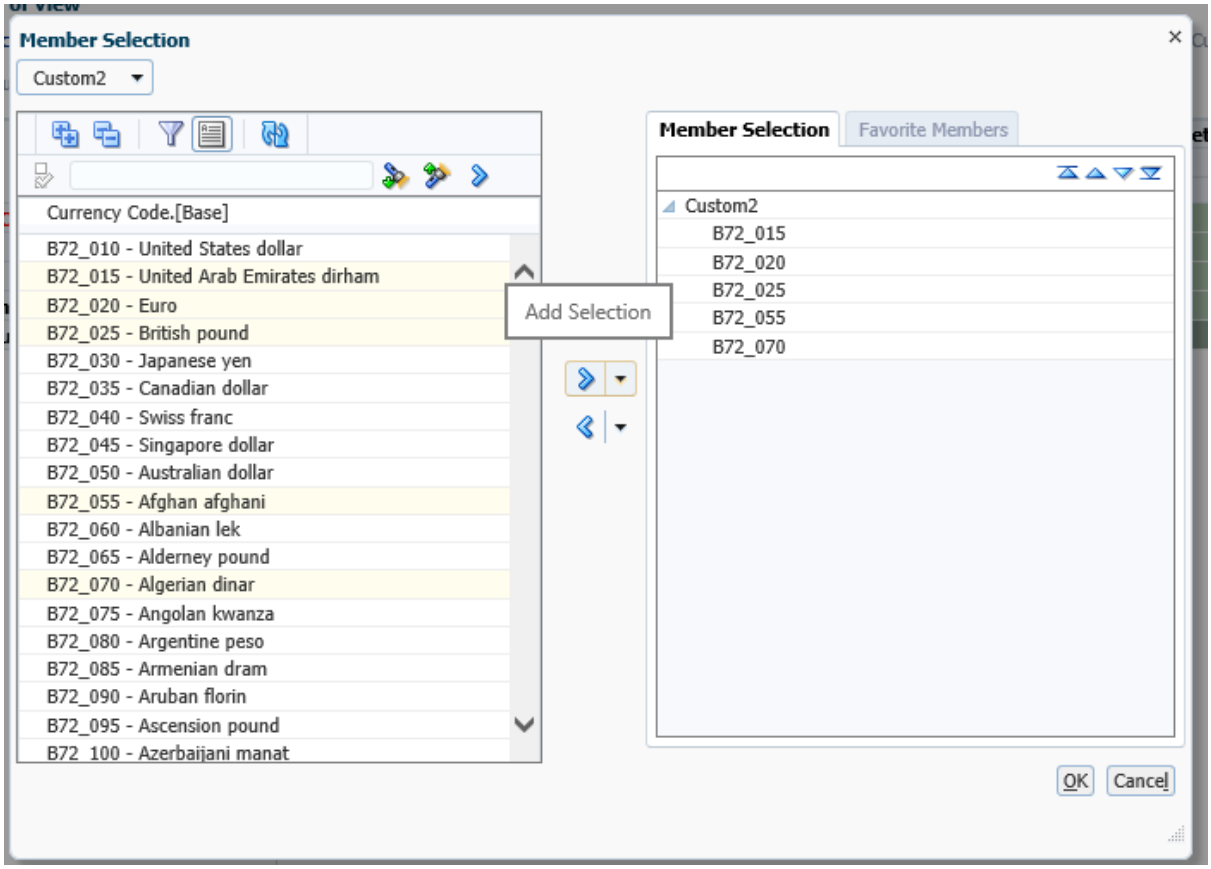
5. To make a selection you must click on the relevant codes (to select multiple codes keep CTRL on your keyboard pressed):



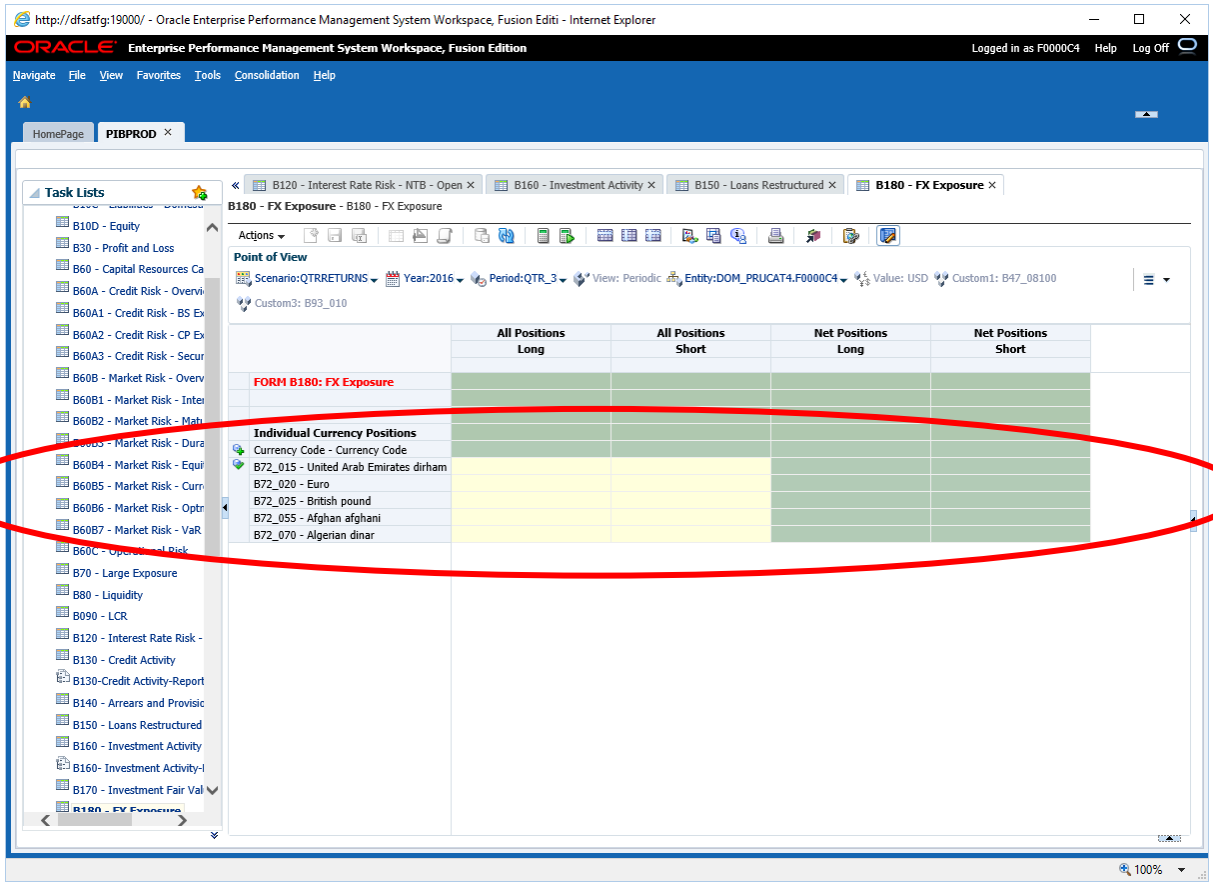
6. Finally, when you select ‘Add Selection’ all the selections will move to the right.



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:


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
HomePage PIBPROD
Task Lists
B120 - Interest Rate Risk - NTB - Open
B160 - Investment Activity
B150 - Loans Restructured
B180 - FX Exposure
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_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
B72_015 - United Arab Emirates dirham
B72_020 - Euro
B72_025 - British pound
B72_055 - Afghan afghani
B72_070 - Algerian dinar
100%

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:

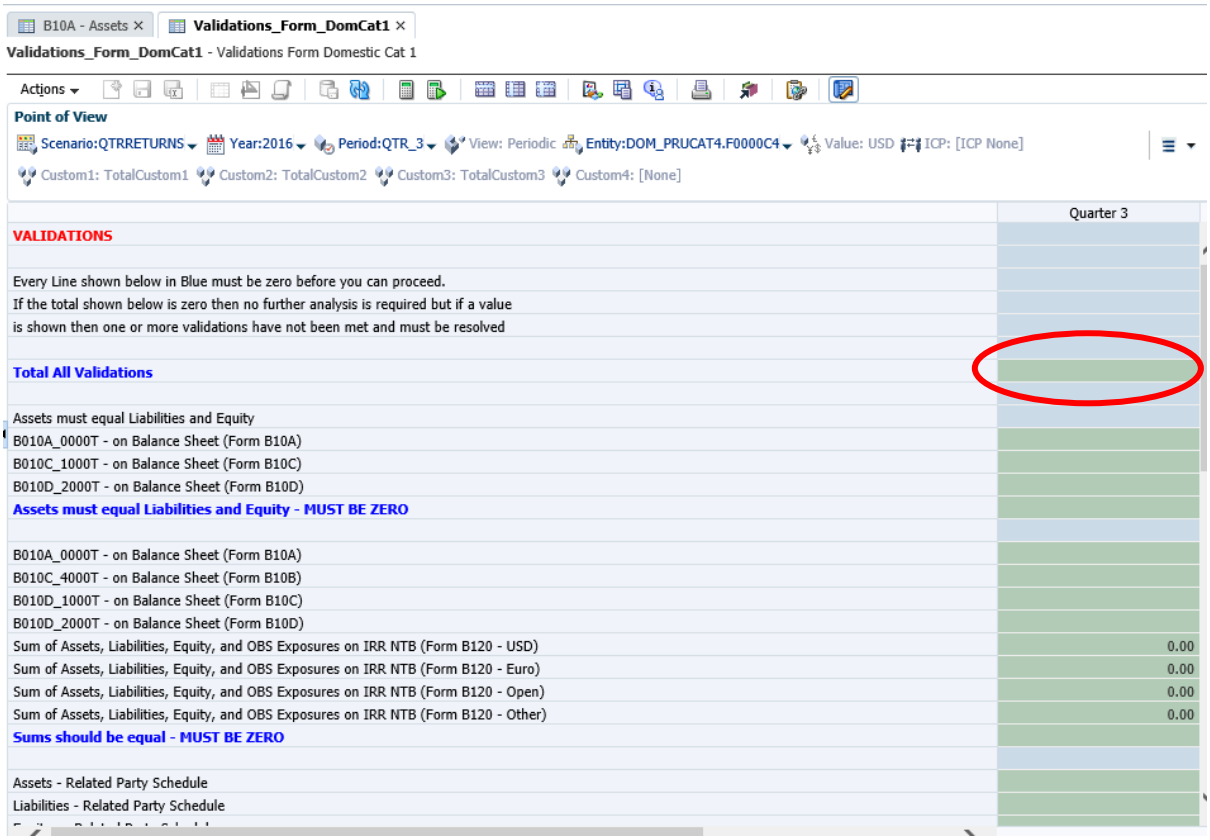


3. Before viewing all the validations you must force EPRS to calculate all your forms, ensuring all calculations are performed and up to date.

   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.

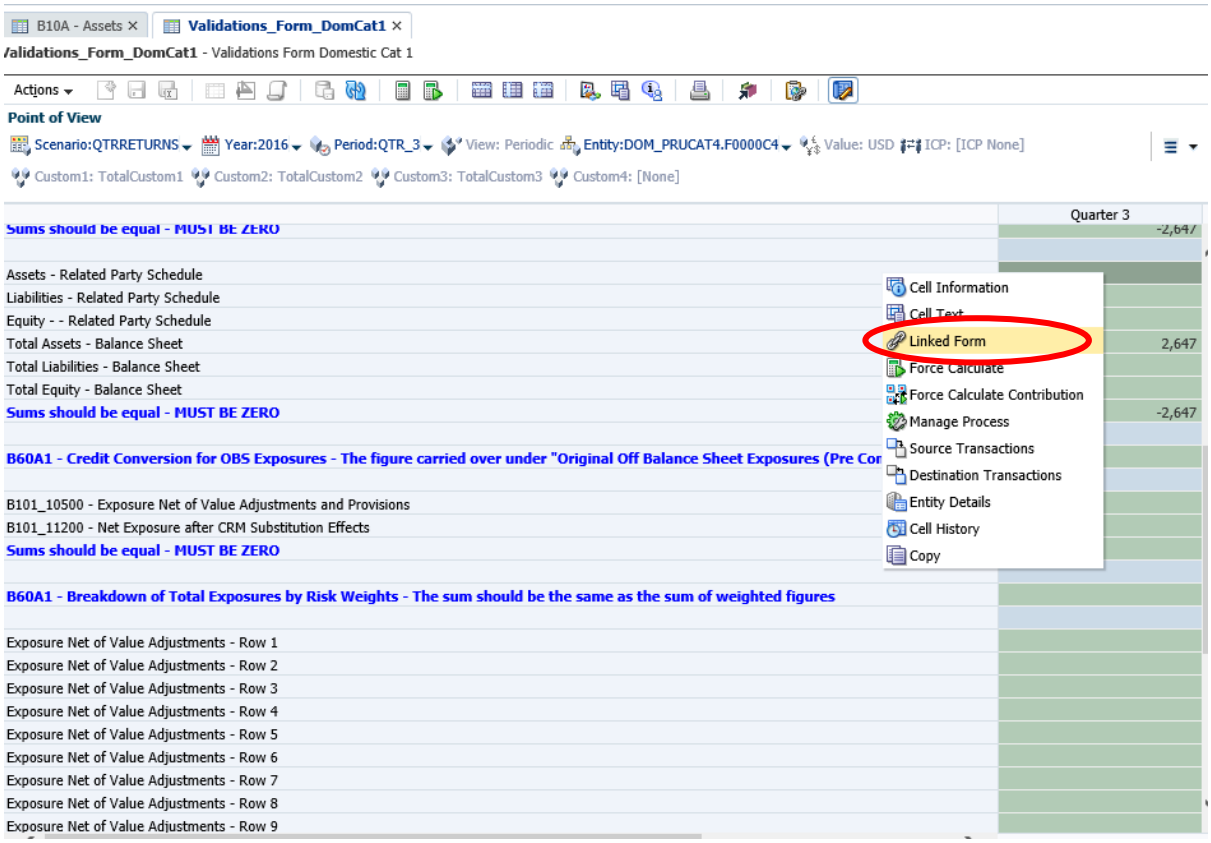
If all your forms validate correctly, with no discrepancies, the 'Total All Validations' cell will be blank:



5. 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'.

6. 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.



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).

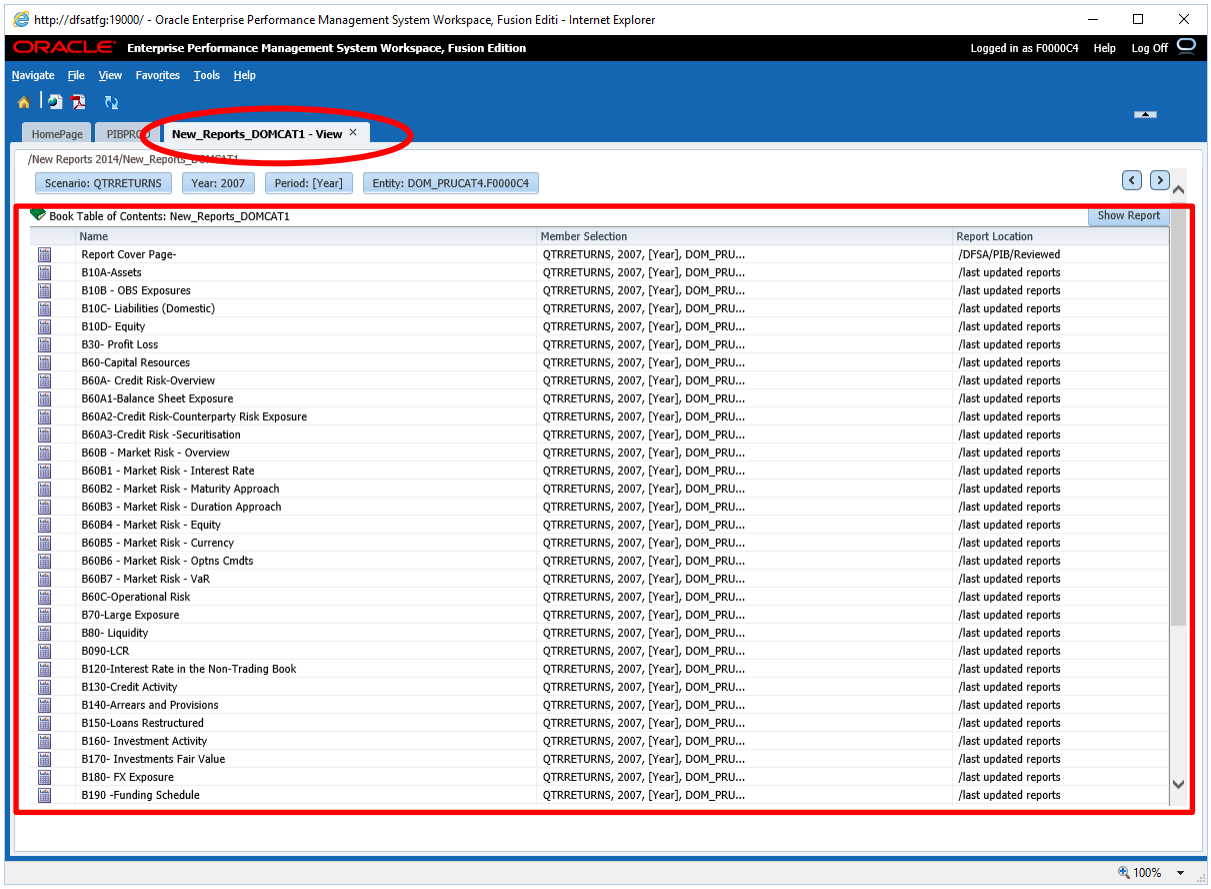
8.1 Printing Individual Reports

There are 10 main areas within this section.

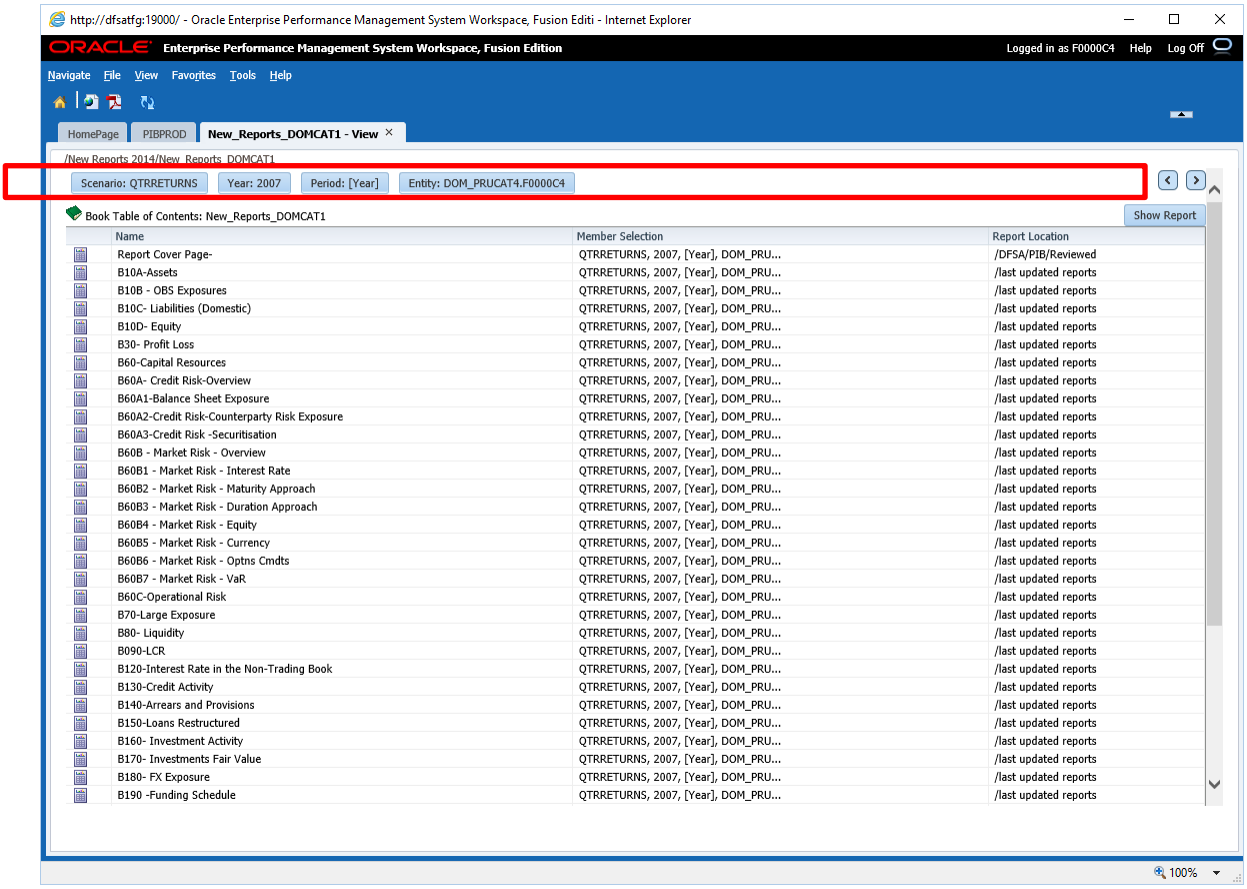
1. Right click on the report menu and select open from the task list :



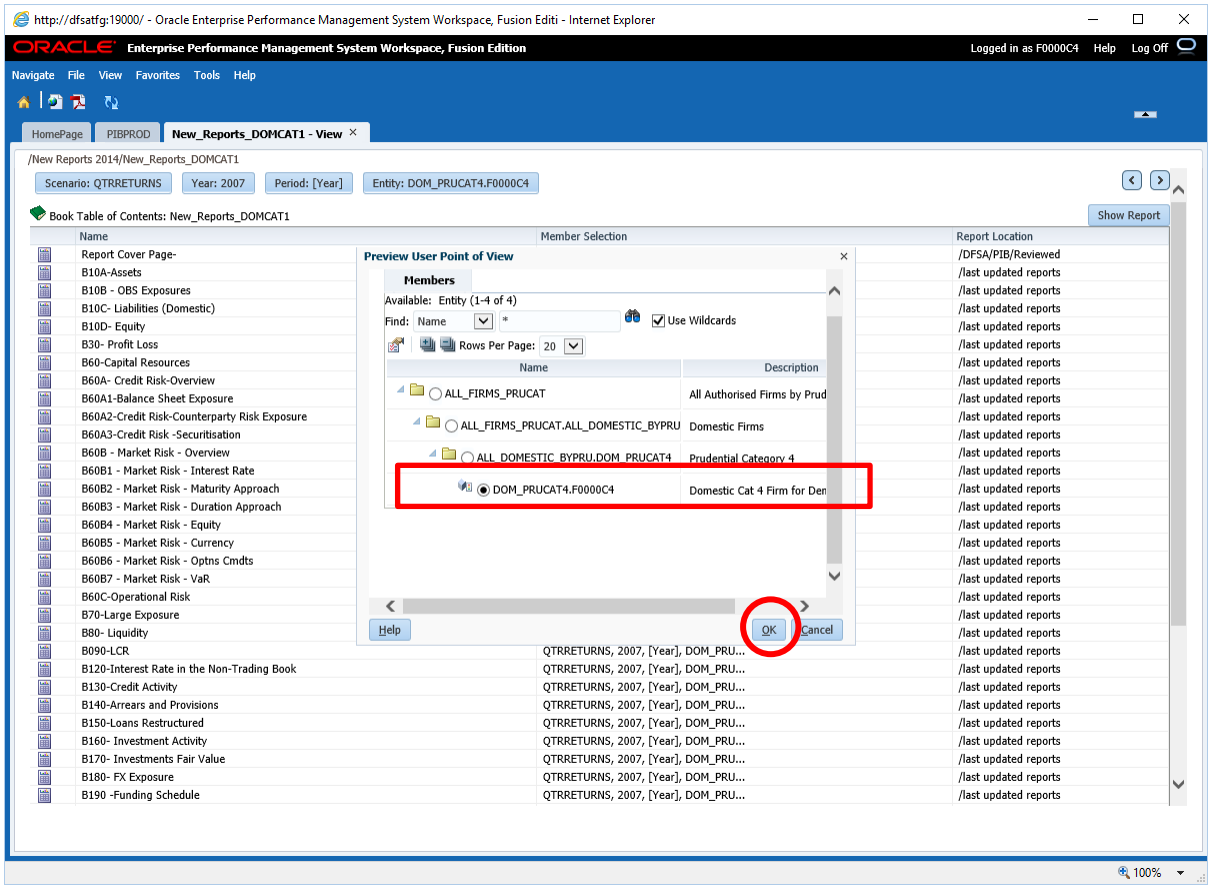
2. A new window /tab will appear showing all the reports:


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
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
Show Report
Name
Member Selection
Report Location
Report Cover Page- QTRRETURNS, 2007, [Year], DOM_PRU... /DFSA/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 - Optns 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
100%

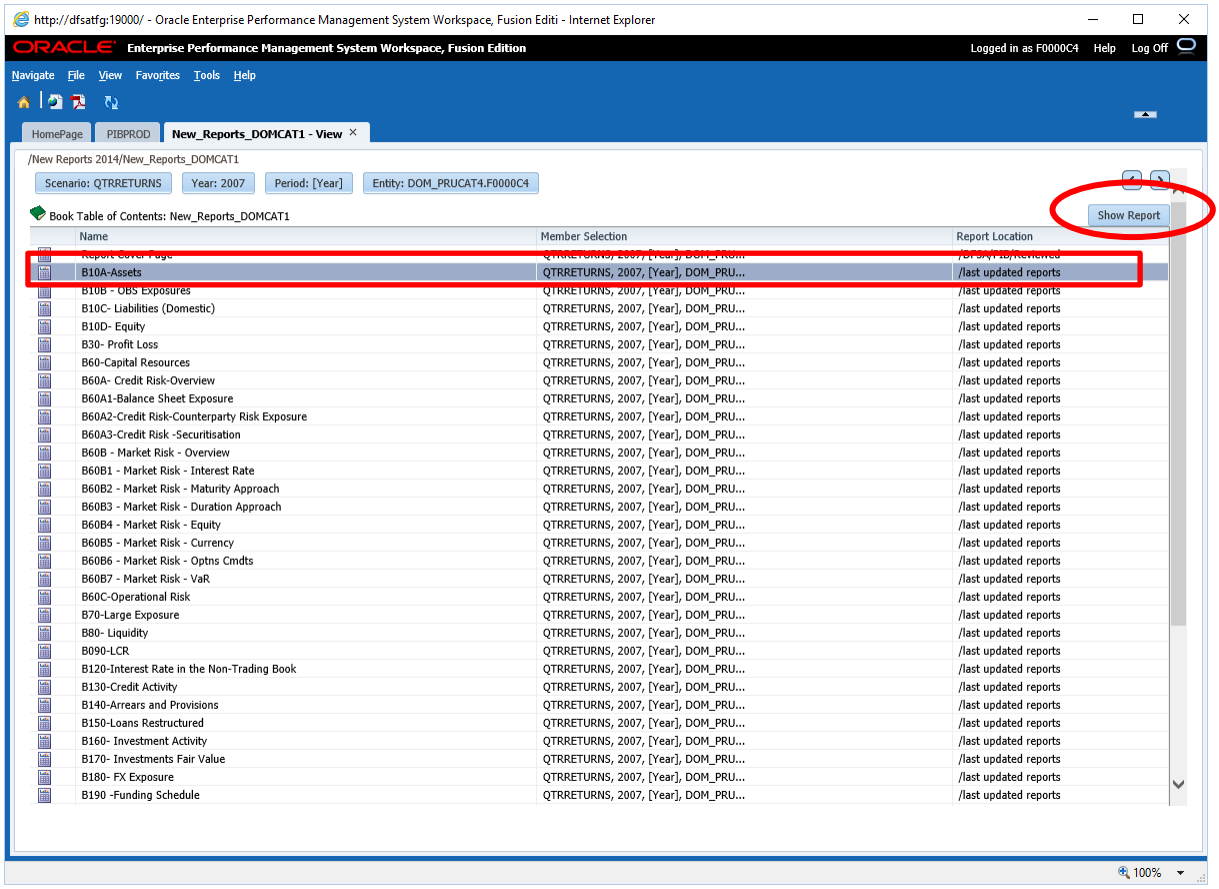
3. Ensure that the 'Point of View' is set correctly for the reports you are about to generate. The 'Entity:' should contain text with your firm reference number included. If this is not select your report will not display any figures:
4.



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':



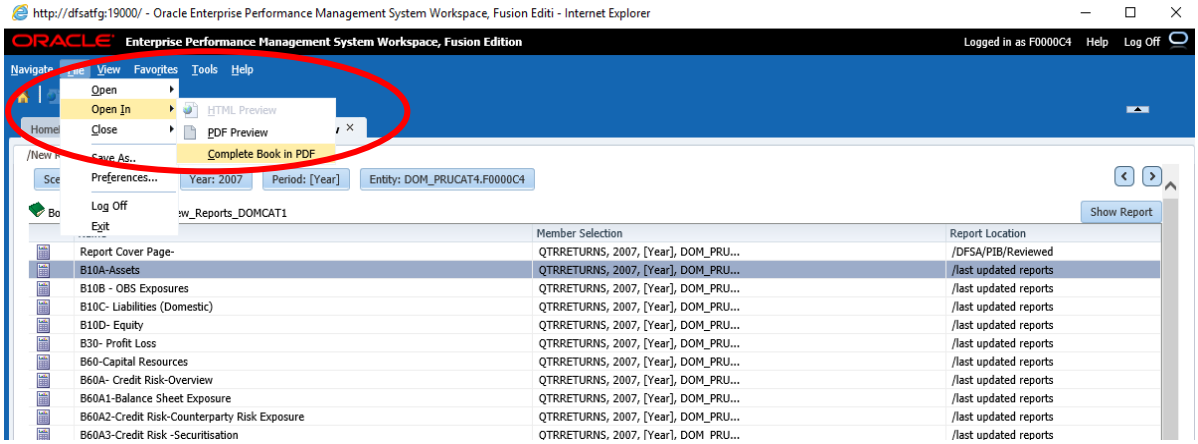
6. In the above view mode you can select an individual report and select ‘Show Report’:



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’:



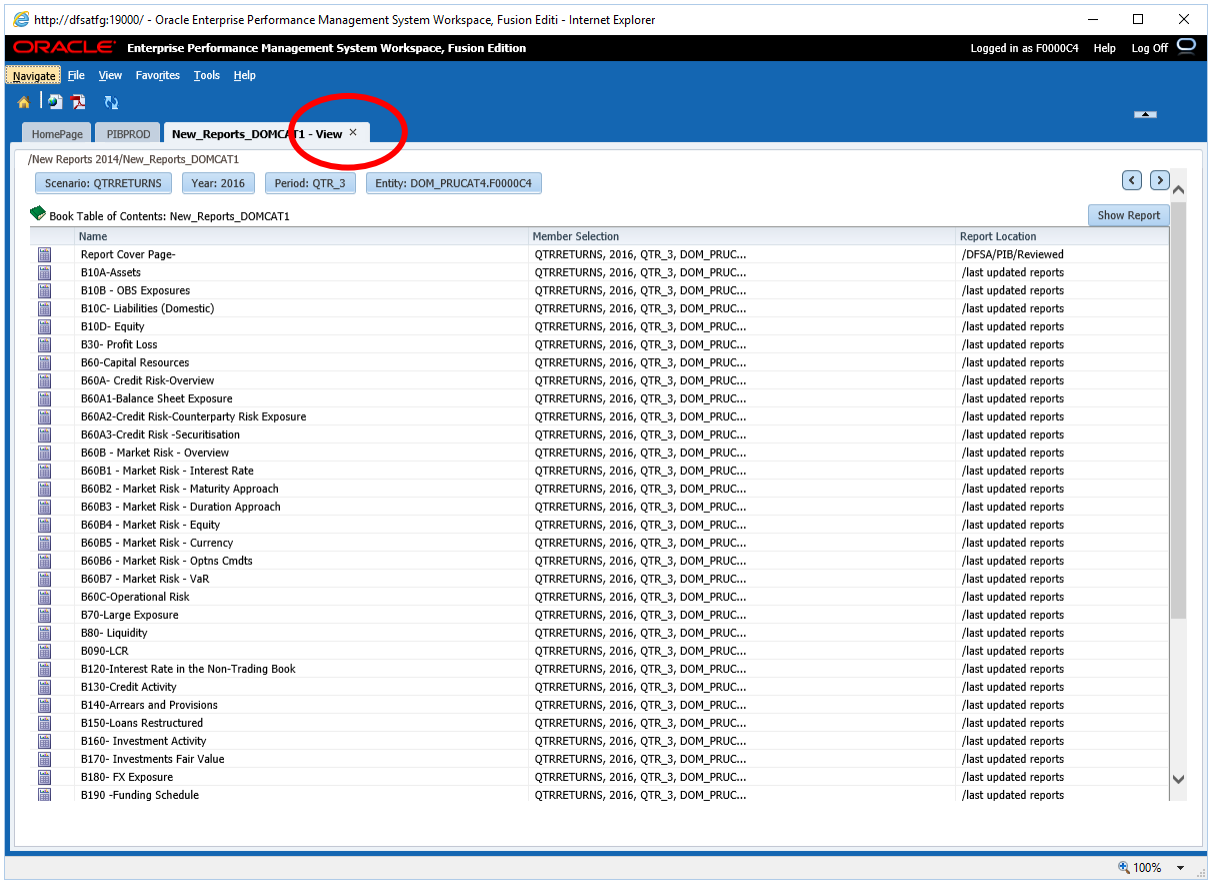
10. A new tab window / tab will be opened that will have a consolidated list of reports in one PDF file which can then be printed using the print icon.

8.2 Confirming that the Report Pack has been printed

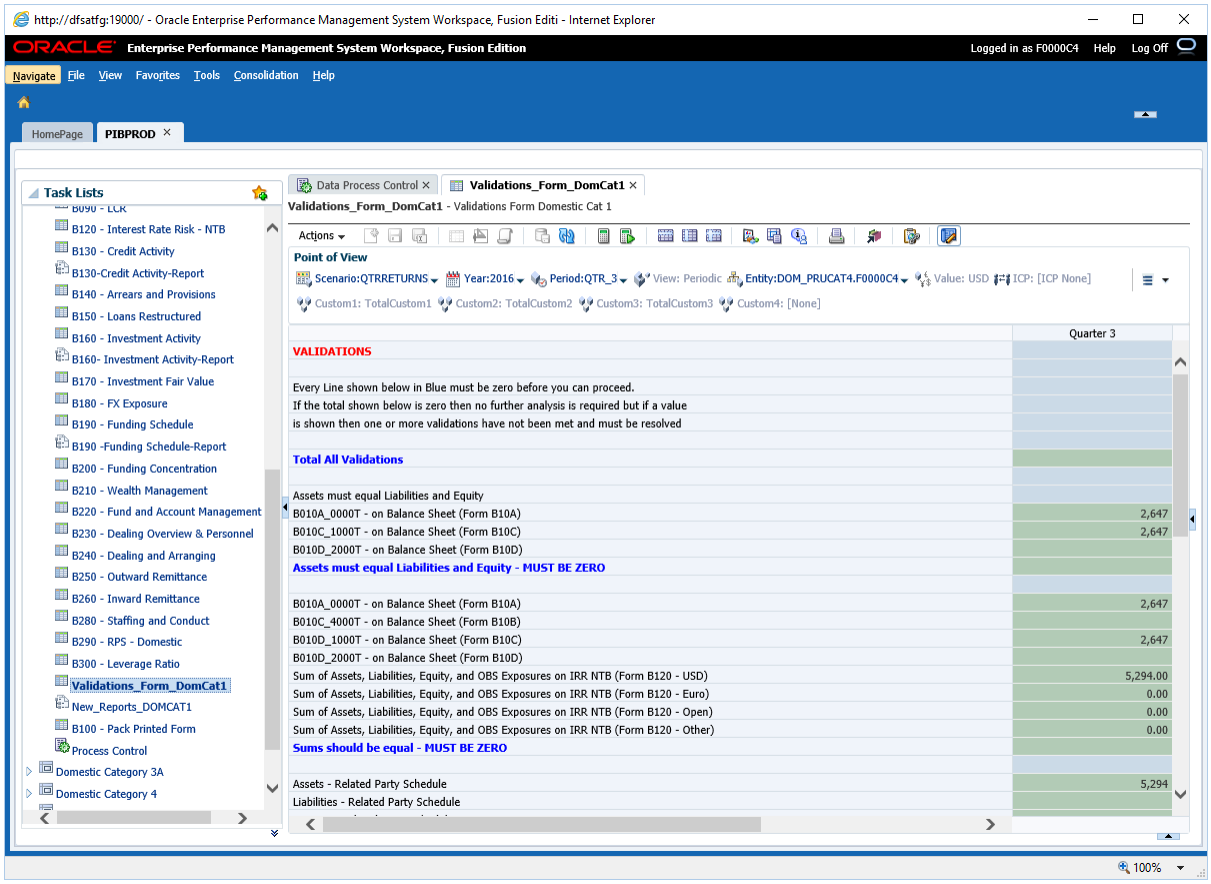
The last step prior to submitting your prudential returns to the DFSA is to ensure that you have confirmed that the report pack has been printed and the relevant individuals have signed the B100 – Declaration by Authorised Firm required by PIB, or the Statement of Directors required by PIN.

There are 6 main areas within this section.

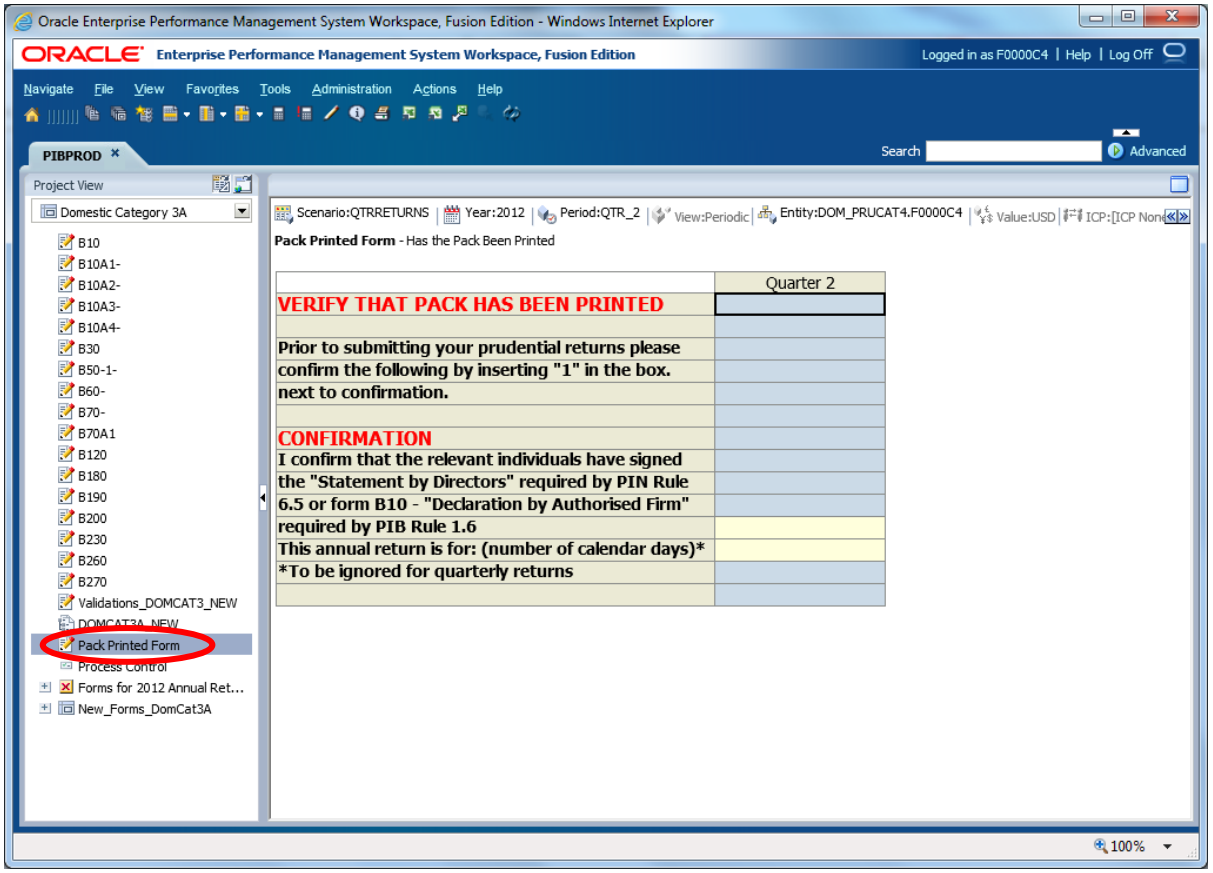
1. In order to get back to the task list from the reports screen you will need to close the report using the 'X' button found in the pane (NOT the red 'X' button found on Internet Explorer):



2. You will now see the following screen:

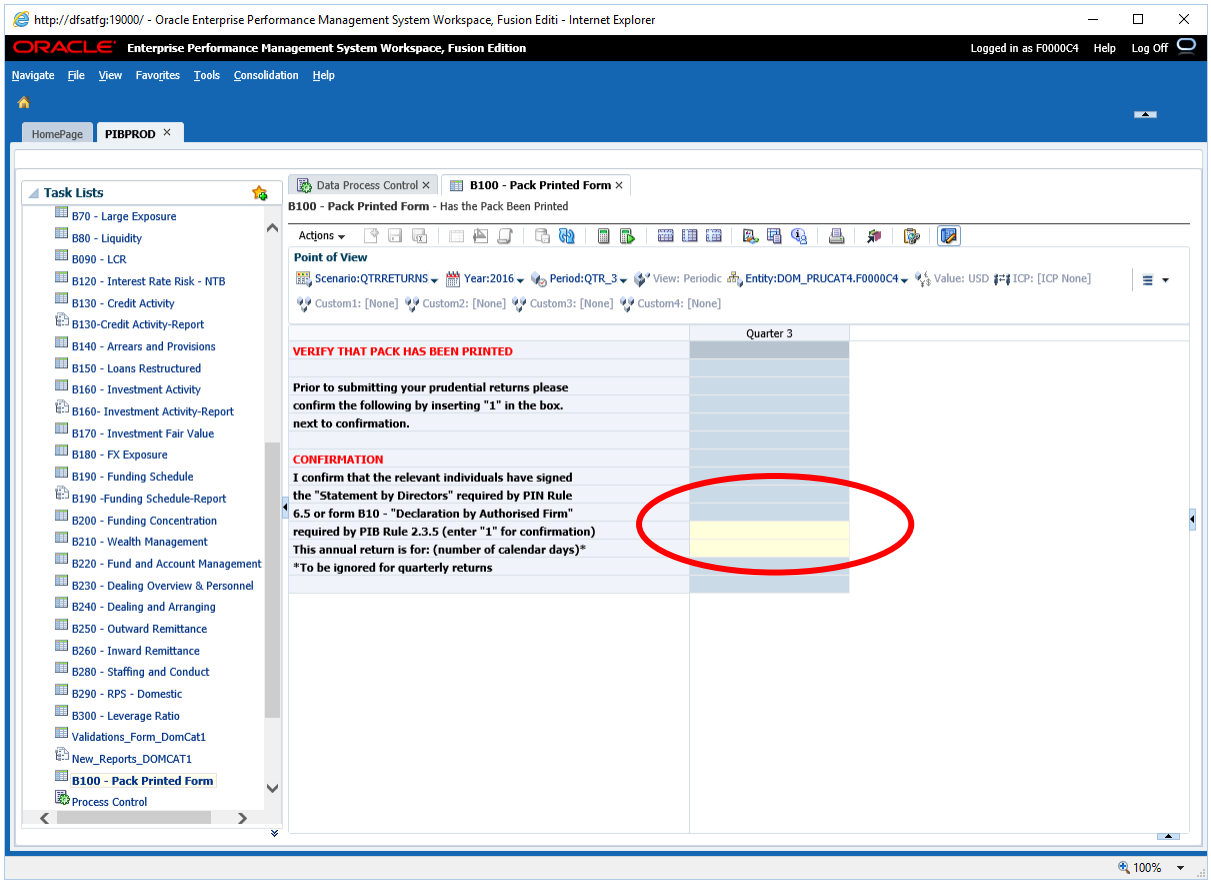


3. Right click on ‘Pack Printed’ and select open rom within the task list. This will display a form in the right hand pane:


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
PIBPROD
Search
Advanced
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:[ICP None]
Pack Printed Form - Has the Pack Been Printed
Quarter 2
VERIFY THAT PACK HAS BEEN PRINTED
Prior to submitting your prudential returns please
confirm the following by inserting "1" in the box.
next to confirmation.
CONFIRMATION
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:

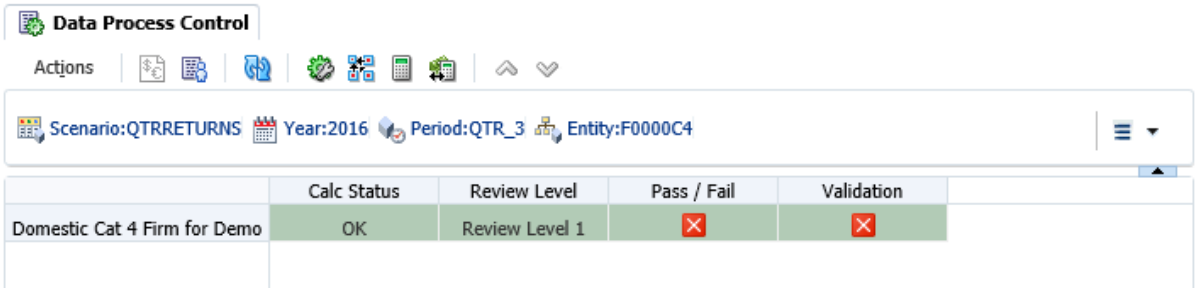
- informs the DFSA that the return has been submitted and may be reviewed; and
- locks the data – once the return is submitted you cannot make further changes or amendments.

There are 7 main areas within this section.

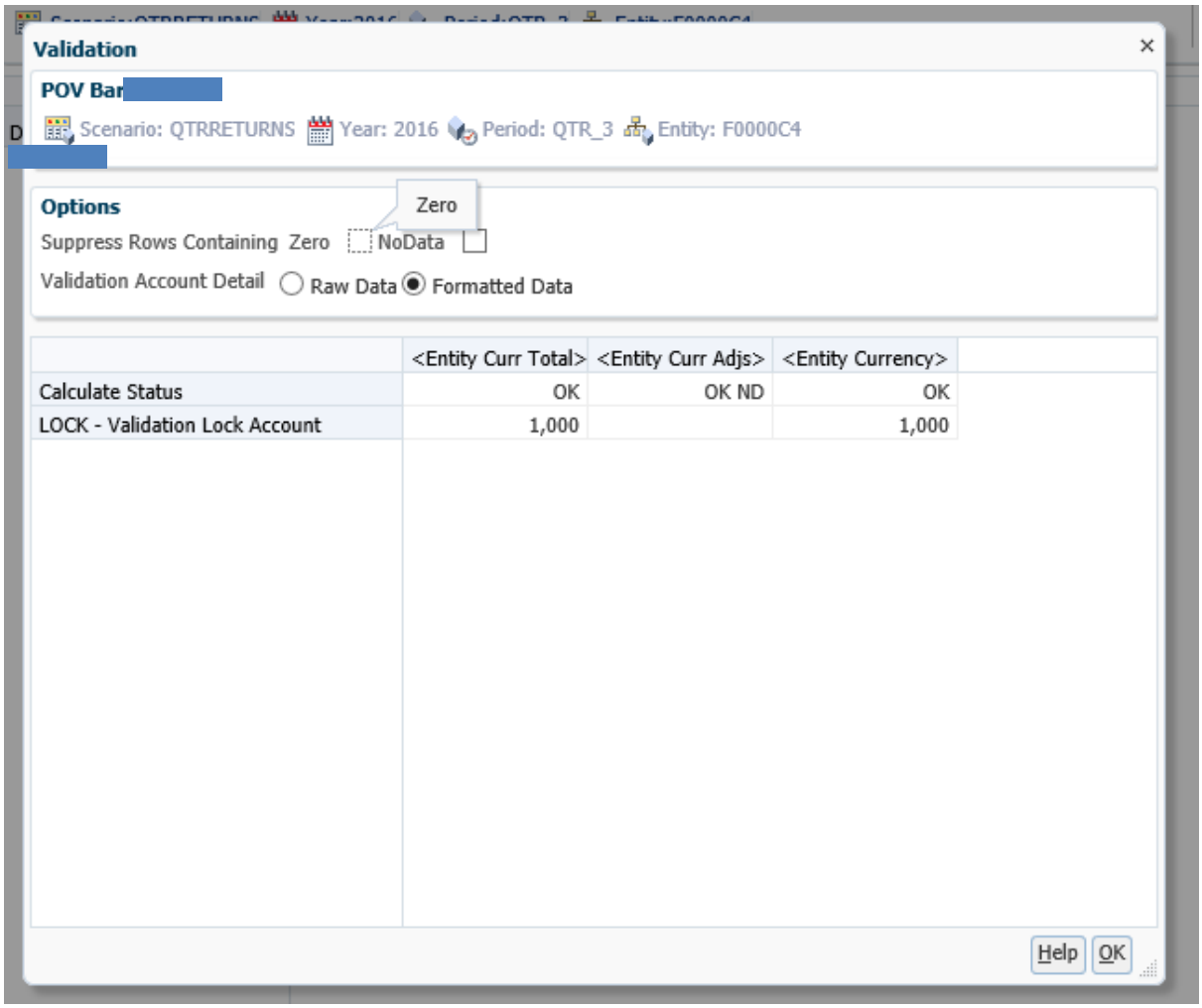
1. First you must visit the 'Process Control' page by right clicking 'Process Control' in the task list and selecting open:



2. The following screen will appear:



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:

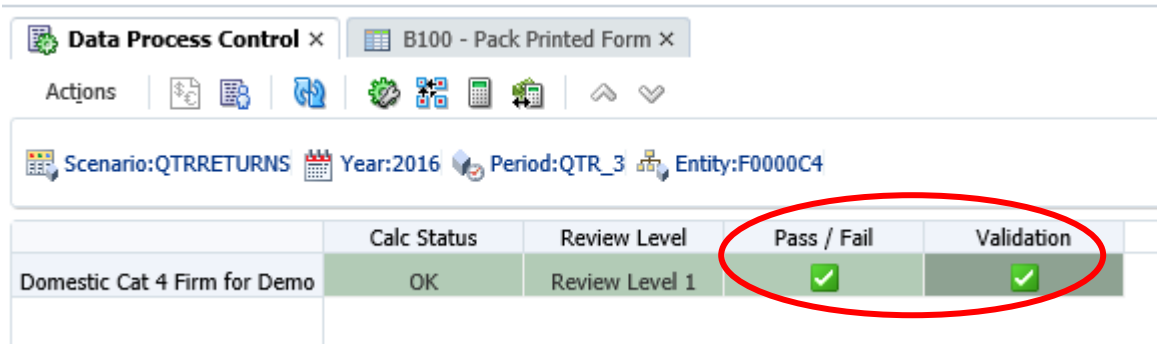


4. The message box in the previous step details which validations have been unresolved. You must now revisit the 'Validations' form and perform the steps detailed in chapter 6.

   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:



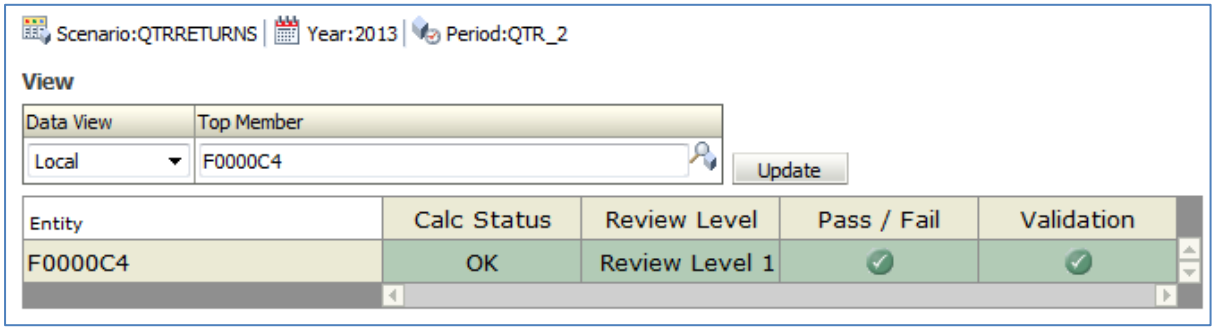
7. You will now be able to submit your return to the DFSA as a final version – In order to Submit your return please follow the steps in Section 9 on this document.

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) .

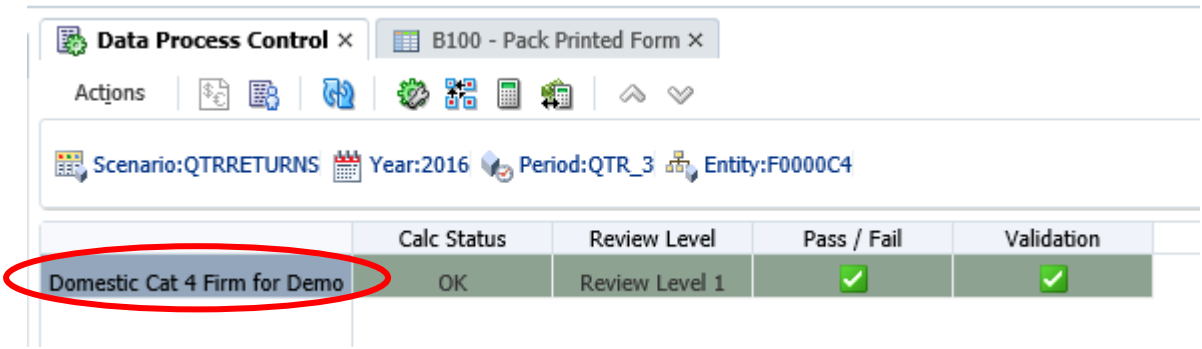
10 Submitting your Return to the DFSA

There are 4 main areas within this section.

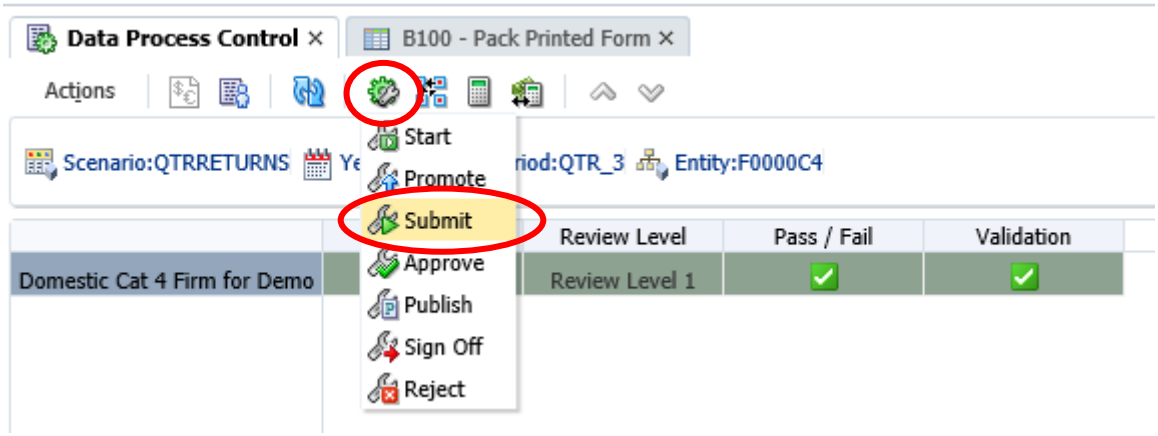
1. Following on from the previous section, in order to submit the data you will need to ensure you are in the 'Process Control' screen:



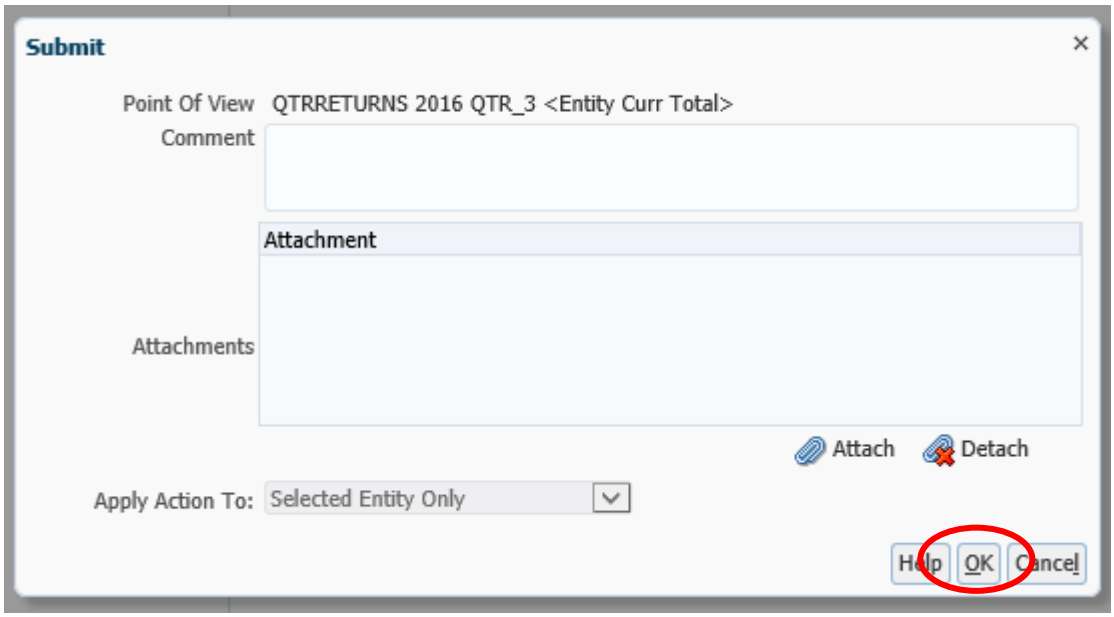
2. Click on the firm number, the row will be highlighted:



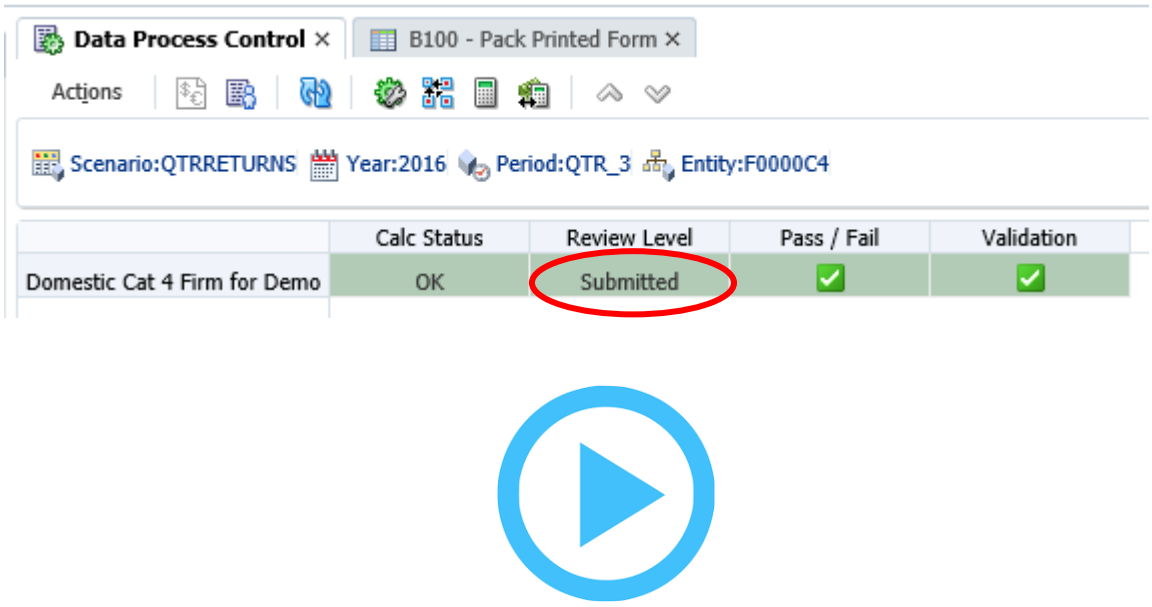
3. Click on the 'Manage Process' icon and click on 'Submit':



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



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