DFSA ePortal 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 Online Forms and in particular, the following processes:

- accessing and logging on to Online Forms;
- navigating within Online Forms;
- data entry;
- reviewing, printing, saving a form;
- submission of a form 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.

1.2 About Online Forms

You may access the DFSA ePortal and use the Online Forms solely to enable the preparation and submission of information and/or data to meet your obligations under the DFSA Rulebook or any other Applicable Laws from time to time. To this end, you may:

access, retrieve, display (on an electronic screen) and enter information and data into Online Forms and other Content as generated by the Facility;

print copies of the Content; and

temporarily store the Content in electronic form by automatic page caching.

1.3 Security

Online Forms is accessed via an 'SSL VPN'.

'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 (Online Forms). A VPN uses "tunneling" to encrypt all information that is sent from your computer.

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

1.3.1 Security

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 one of the following individuals which will be required to completed step 3:
    *   Senior Executive Officer (SEO) for Authorised Firms
    *   MLRO for DNFBPs
    *   MLRO for Registered Auditors
    *   MLRO for AMIs
    *   Principal Representatives for Representative Offices

3. Enter the 'Pincode' when requested:

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

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

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

Welcome to the
DFSA ePortal

Username [   ]
Password [   ]

[I agree to the Terms of Use and Sign In]

Please read the Terms of Use here before signing in. You shall be deemed to have read and accept the Terms of Use when you sign in.

Technical Notes and the DFSA ePortal 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 the DFSA ePortal.
Click here to view the Technical Notes Guide

In addition, a full User Guide for the DFSA ePortal has been produced. The guide uses screen shots to provide step by step guidance on the end to end process of submitting your returns via the DFSA ePortal.
Please click here to view the User Guide

NOTE: Although the video guide and screenshots are related to EPRS, the link and steps are identical when initiating the process

1.4 Overview of Online Forms Submission Process

The key steps in the submission process are best summarised in the following flow diagram.
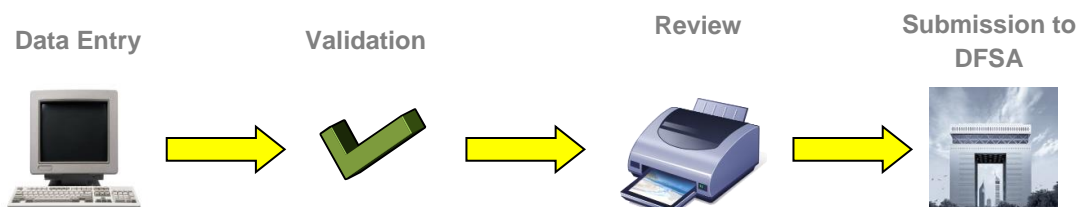
1.4.1 Data Entry

Once you have logged on to Online Forms 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 forms list that you work through.

You simply work through the forms that you wish to complete.

1.4.2 Validation

Validations are built within Online Forms to ensure the integrity of data submitted. The validations can be within, or between different questions and ensures, where appropriate, that data reconciles. Prior to submission, where any validations fail, the online forms tool will highlight the questions that need to be revisited.

1.4.3 Review

Whilst completing any form the user will at any point be able to review their progress in an easy to read format. At this point the user can choose to print, save or just review their progress on screen. Even after submitting the form to the DFSA users will still be able to go back and review their submission as a historical record will be kept.

1.4.4 Submission of Returns to the DFSA

The final step in the process is to submit the form to the DFSA. This is done at the end of the form via the 'Submit' button.

2   Getting Started

2.1   Terms of Use

The Terms of Use govern each user and its Authorised Firm's use of Online Frms. Before using Online Forms 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 Online Forms, 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 Online Forms.

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 Online Forms.

If you experience problems trying to launch OnlineForms, 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'.
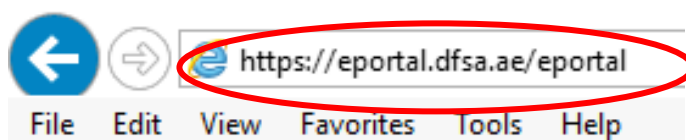
3   Logging On

There are 7 main areas within this section.

1.   Open an 'Internet Explorer' browser session

Internet Explorer

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

'https://eportal.dfsa.ae/eportal'

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

3.   You will now be re-directed to the DFSA E-Portal log in page:

4. Before using Online Forms 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 Online Forms 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 Online Forms.

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

NOTE: If you are an existing user of EPRS you can use the same 'Username' and 'Password' here that you use to login into EPRS.

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

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

6. You have now successfully logged on to the DFSA E-Portal and you should see the following screen. The final step to access Online Forms is to click on the 'Online Forms' hyperlink once:
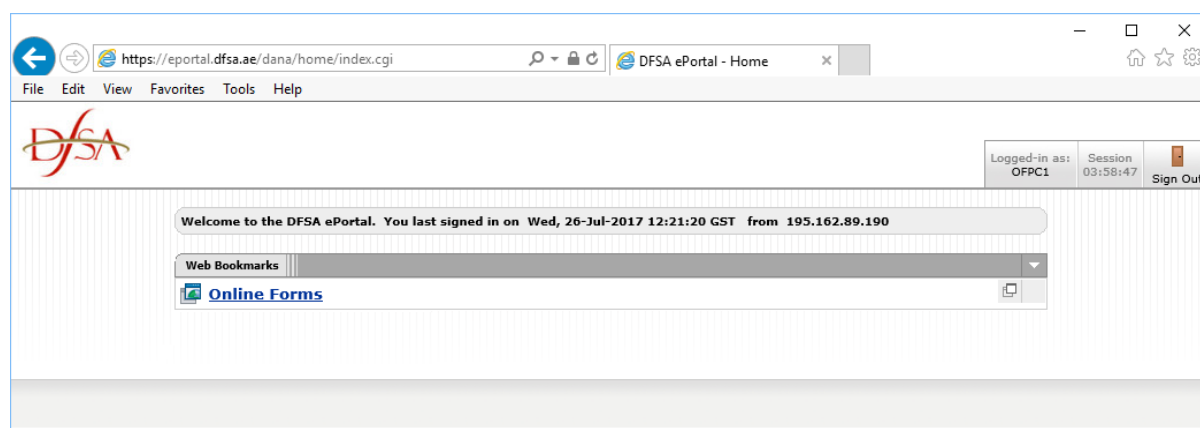
7. The initial Online Forms portal screen will be displayed.

   You have now completed the log on process.
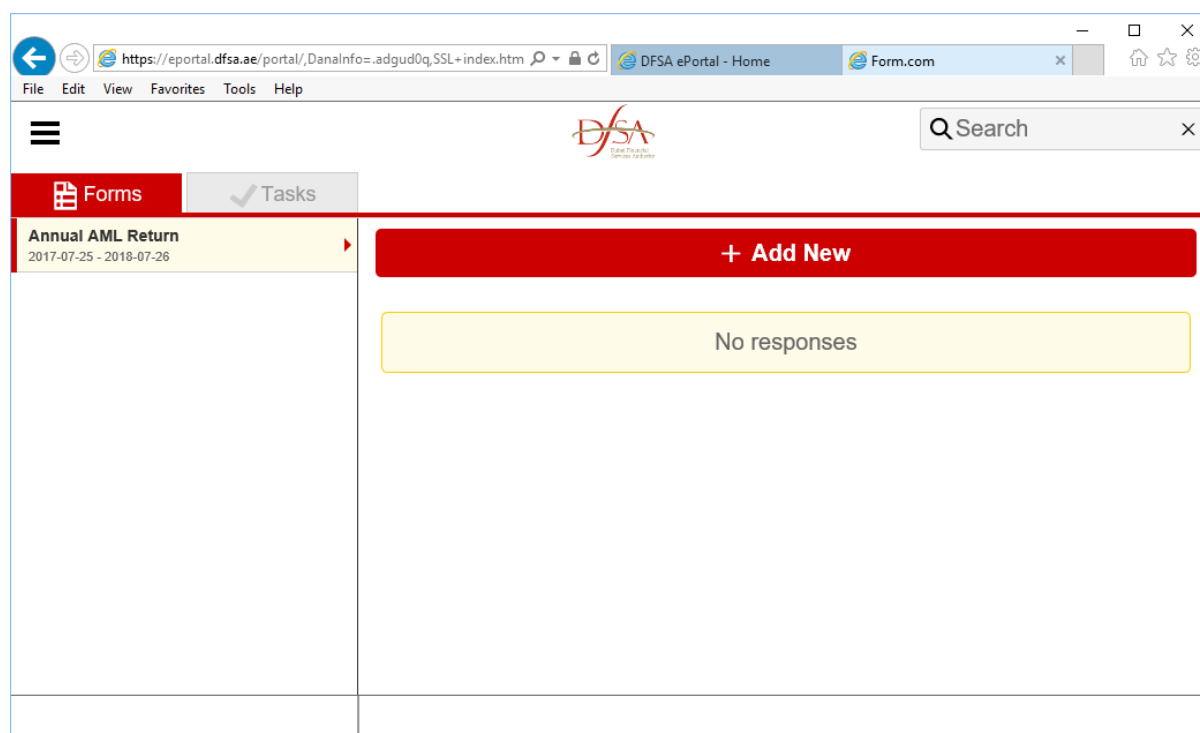
4   Change Password

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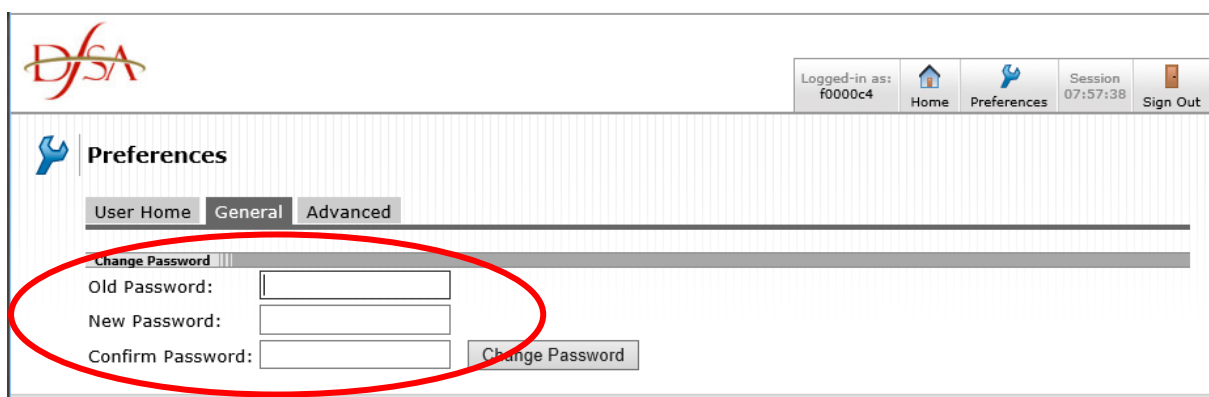
1. After you have logged in (see section 3) you will be presented with the 'Bookmarks' page:

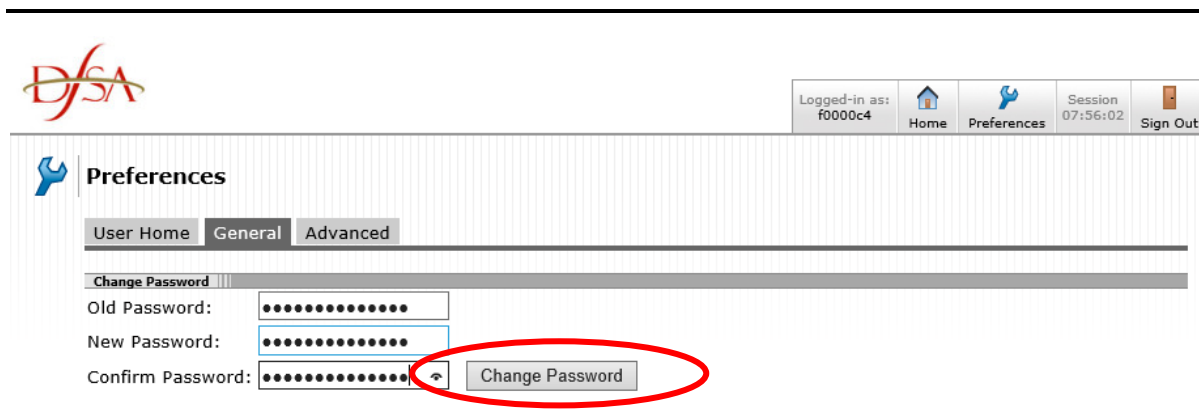2. In order to change your password click on 'Preferences':
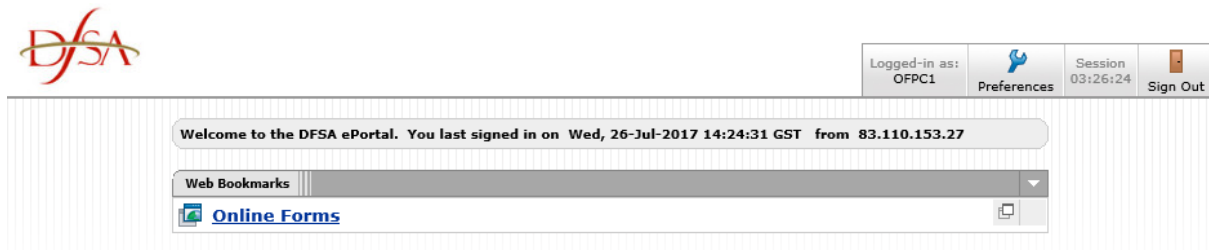
3. Then 'General':
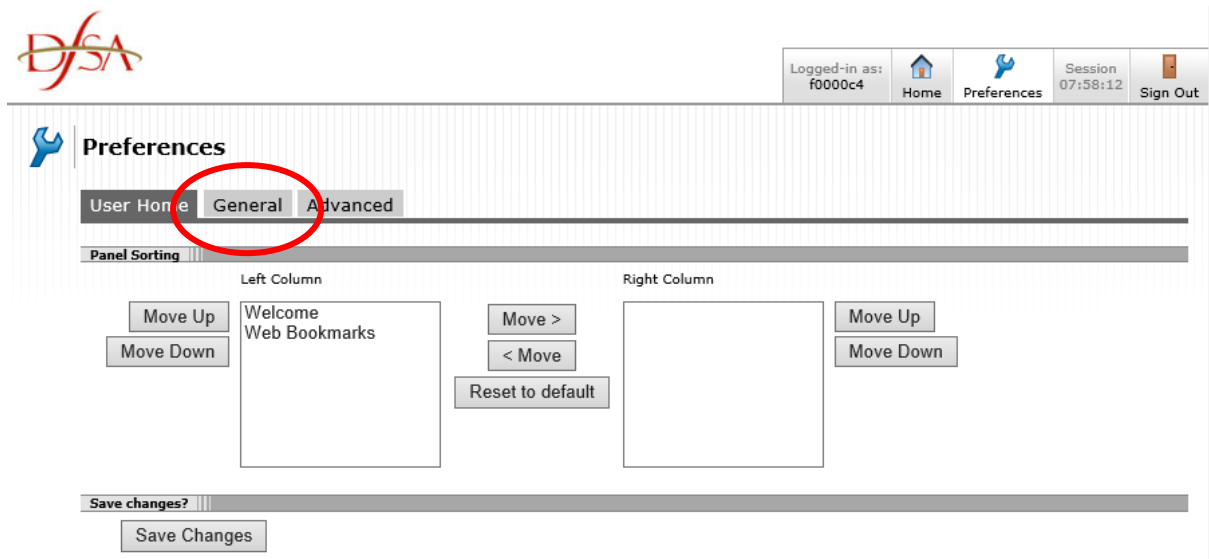
4. On the 'General' page you will be prompted to enter your current password and the new password:

5. Once you have entered all the details click n 'Change Password':
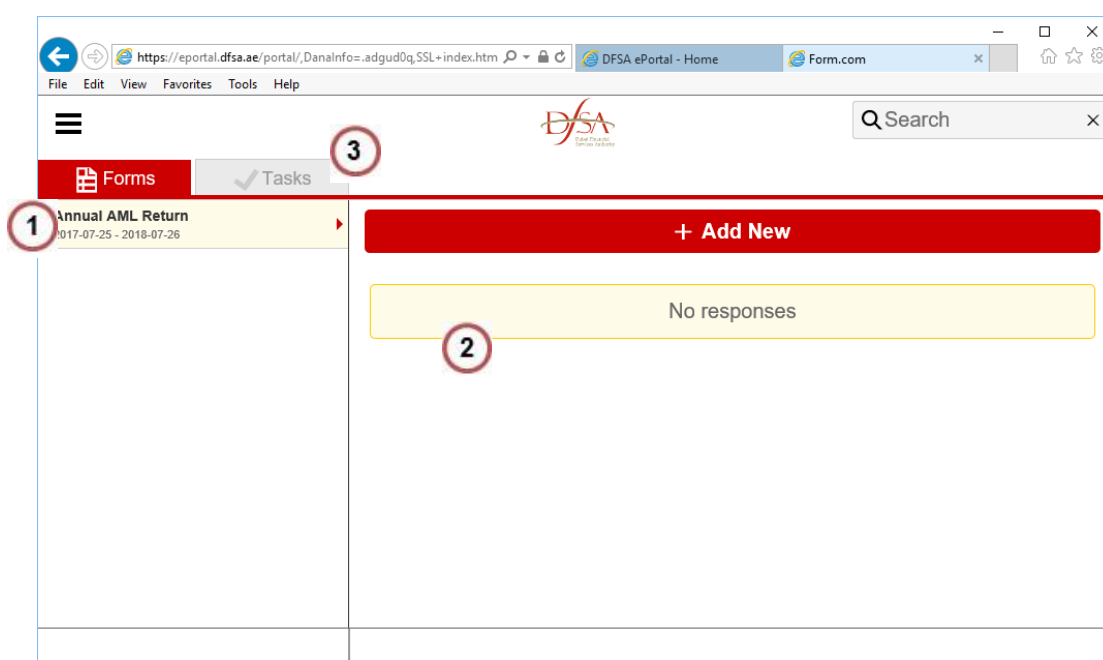
6. Finally click on 'Home', this will take you to the 'Bookmark' page where you can access the 'Online Forms' application.

> **NOTE:** If your firm uses EPRS changing the password here will also change the password for the EPRS login.

5   Using Online Forms

Once you have successfully logged on to Online Forms, you will see the Online Forms portal that lists all the forms

1. Forms Tab / Navigation Pane – will contain all relevant forms that the firm can submit to the DFSA. Overtime the list of forms may increase / decrease in number depending on the obligations that need to be met by firms at certain point in the year;
2. Main window – here, depending on the selection made in the navigation pane, the user will be able to start a new form, or will be able to view all historical submissions;
3. 'Tasks' – Users here may be given tasks to complete e.g. the DFSA has requested the firm to revisit a submission due to an error. All such tasks will be listed in the 'Tasks' tab.

5.1 Selecting and starting a new form

1. Once you have logged on to Online Forms you can click on any form in the forms list that you wish to complete.

    Left-click on a form name and select '+ Add New' in the right hand main window.

2. On selecting '+ Add New' the form will appear and the user can start to complete the form as normal.

5.2 Navigating within a form

1. Section / Page Selector – Users can quickly and efficiently navigate between various sections of the form by clicking on the title of the section

2. Form – where user will complete the form manually
3. Navigation buttons – '< Back' will take the user back one page, 'Save' will save the current progress of the form and 'Next >' will take the user to the next page.
4. Review hyperlink – On all pages the review hyperlink will be available, on selecting this hyperlink a new window will pop up displaying the full submission so that the user does not have to navigate through the pages on screen.

> *NOTE: When any of the navigation buttons are selected the form will automatically save the users progress*
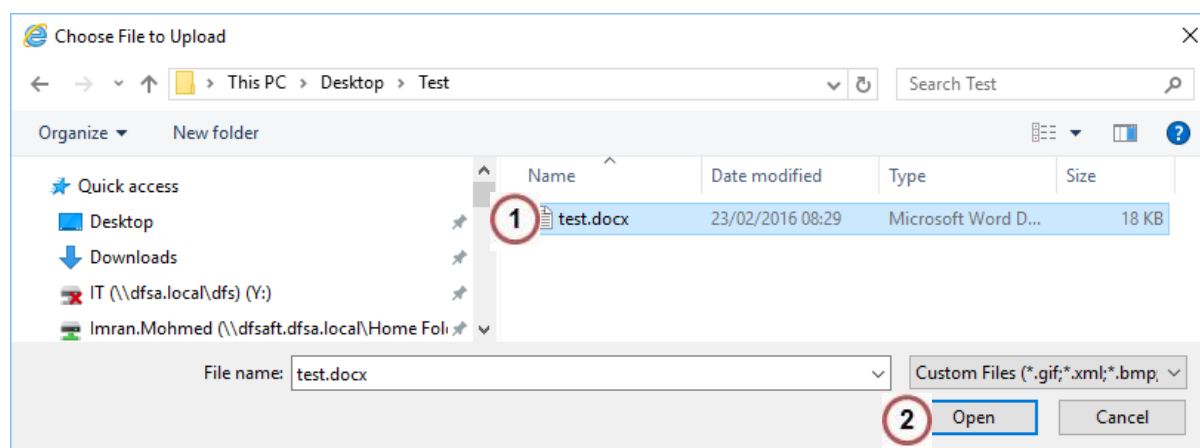
5.3 File uploads

Depending on the question asked or at the end of the form users may be asked to upload a file

☑ Please check if you want to upload a file (non electronic signature)

Upload a file

Choose File

1. Select 'Choose File'
2. A windows will appear showing the directory of your computer. Navigate to the file you wish to upload and select 'Open'

3. On selecting open the file will be uploaded:

4. To view the file that was uploaded click on 'Download'
5. Tot delete the file that was uploaded click on 'Delete'

> 💡 *NOTE: The file upload facility will allow the following file type - jpeg, jpg, gif, png, bmp, MS Word, Excel, PDF, PowerPoint*

5.4 Signature

Each form will end with a declaration that requires a signature:

6. Using a mouse, or any device that allows a user to draw, left click the mouse button and keep it pressed within the signature pane. As the mouse is being moved a line will be drawn

7. Selecting 'Clear' will clear the signature pane for you to re-enter a signature

6   Returning to a semi completed form

At any point during the use of Online Forms, the user can save their work logout without losing their progress.

In order to continue / return to the form to carry on the user will:

1. Login to Online Forms as per 'Section 3' of this document
2. Once logged in select the form you would like to continue working on

3. The right hand pane will update and under '+ Add New' a 'New Response….' Line item will appear with the status 'In Progress' – this is the form that was saved but not submitted. Select this line item:

4. The page will update once more, this time the right hand pane will show you further details of the 'In Progress' form. At the bottom of this pane you will have three options:
    a. **Edit** – Selecting this item will allow the user to go back into the form and continue as normal from their last saved point. This option will only be available while the form is 'In Progress' once the form has been submitted this option will not be available.
    b. **Copy** – Copy can be used to create another copy of the form, whether the form is in progress or submitted. This option will copy all the answers over to the copied form
    c. **Delete Permanently** – deletes the form. Once selected the answers will not be retrievable. This option will only be available while the form is 'In Progress' once the form has been submitted this option will not be available.

> *NOTE: If you delete a return there will be no ability to retrieve the deleted return. Only 'In Progress' returns can be deleted, once a form is 'Submitted' to the DFSA the delete option will not be available.*
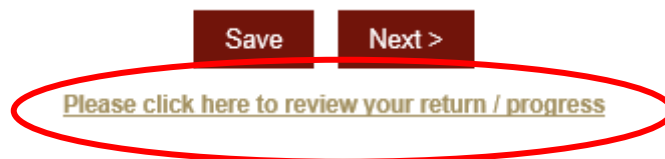
5. Select 'Edit', on selecting edit the user will be taken to the form they were working on to continue.

7   Reviewing / Printing a Form

At any point during the use of Online Forms, the user can review their progress without having to navigate between sections or questions

Every page will have the following hyperlink below the navigation buttons:

Selecting this hyperlink will open a new window and will show you the full submission (all completed questions).

An option to convert to PDF is available, however, the look and feel of the form using this option will be very different.

In order to print the form on the review page select CTRL+P on your keyboard together, you will then see the print option appear:

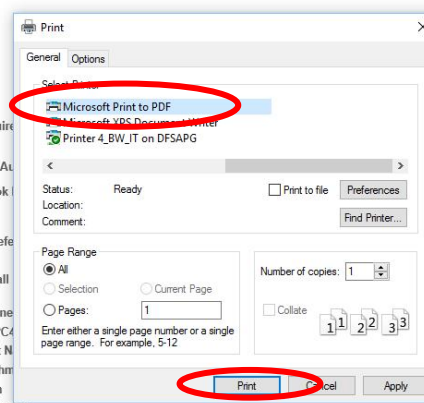Select 'Print to PDF', review the form and print

 NOTE: As the form is dynamic depending on the number of questions answered, the CTRL+P print option will add a number of blank pages at the end of the document. It is therefore advisable that you convert to PDF first and print the PDF document after checking the page range that will need to be printed.

8   Submitting a Form to the DFSA

At the end of every form, usually on the signature pages, users will be able to 'Submit' their return to the DFSA

When 'Submit' is selected, the Online Forms tool will check the form to ensure all mandatory questions have been answered / validated. If there are unanswered questions, the Online Forms tool will take you to the section where the first unanswered question was (if the current page has been answered fully).

In the below example the user attempted to submit the form without completing 'Section 2' of the form, the user was automatically taken to section 2 and informed of the areas that needed to be answered:

Annual AML Return

2. Senior management certifications
Please answer the following question:
Business Risk Assessment 2-1. Is senior management satisfied that the Relevant Person has adequately assessed business AML risk in accordance with Chapter 5 of the AML Rulebook?

Business Risk Assessment

2-1. Is senior management satisfied that the Relevant Person has adequately assessed business AML risk in accordance with Chapter 5 of the AML Rulebook?
○ Yes
○ No

Please answer the following question:
Customer Risk Assessment 2-2. Is senior management satisfied that the Relevant Person undertook adequate customer risk assessments in accordance with Chapter 6 of the AML Rulebook?
Customer Risk Assessment

2-2. Is senior management satisfied that the Relevant Person undertook adequate customer risk assessments in accordance with Chapter 6 of the AML Rulebook?
○ Yes
○ No

Please answer the following question:
AML Policies and Procedures 2-3. Is senior management satisfied the Relevant Person maintained effective AML policies and procedures, systems and controls to prevent opportunities for money laundering in relation to the Relevant Person and its activities?
AML Policies and Procedures

2-3. Is senior management satisfied the Relevant Person maintained effective AML policies and procedures, systems and controls to prevent opportunities for money laundering in relation to the Relevant Person and its activities?
○ Yes
○ No

Please answer the following question:
Customer Due Diligence 2-4. Is senior management satisfied that the Relevant Person has adequate Customer Due Diligence ("CDD") arrangements in accordance with Chapter 7 of the AML Rulebook?
Customer Due Diligence

If all the question have been answered the user will receive a thank you message, an email receipt will also be sent to the firm confirming the submission of the form.

Wed 26/07/2017 14:36

no-reply@dfsa.ae

Online submission received - Annual AML Return

To   ■ Imran Mohmed

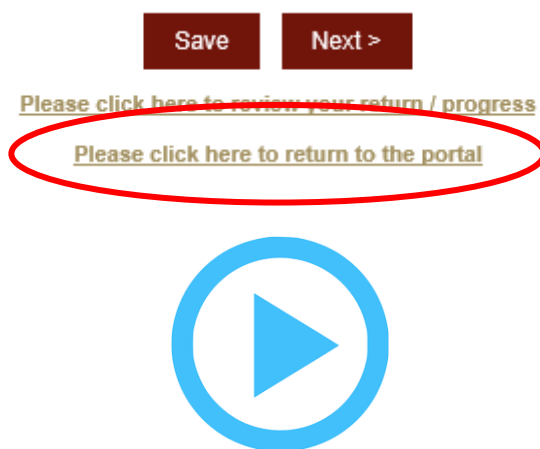Thank you for the following submission to the DFSA.

Firm Name	Demo Firm
Firm Number	OFPC1
Submission	Annual AML Return
Received	07/26/2017 14:34:54

Please do not reply to this Email as it has been automatically generated.

9   Returning to the Forms portal

1. To return to the portal where all the forms are located, select the hyperlink found on the footer of the form:

10 Copying a form

The online forms tool allows users to copy submitted or in progress forms. When using the copy feature all the data that was present in the form that is being copied will automatically be copied into a new form. Such a feature may be useful in the future where certain returns remain the same with only a few changes required.

When copying a form the new form will need to be 'Submitted' as per section 7 of this document.

In order to copy a form:

1. Login into the DFSA ePortal and select online forms
2. On the right hand main window you should see 'In Progress' or 'Completed' form
3. Select any form
4. Select 'Copy':

5. A new form will open with questions already answered:

11 Signatures

Option 1: directly into the system using a 'mouse signature'

Option 2: uploading a scan of a traditional ink signature

1.   2.   3.

If the Relevant Person is using option 2, please print the signature page of the form, obtain the signature, scan the signature page and upload into Section 11. Please ensure the *Please check if you want to upload a file (non electronic signature)* has been checked as this will display the upload facility.

12 Appendix 1 – Notes for completing the Annual AML Return

Please click here

13 Appendix 2 – Notes for completing the Representative Office Application for Authorisation Form (AUT REP)

Please click here

14 Appendix 3 – Notes for completing the application for Authorised Individual status, or to be registered as the Principal Representative of a DFSA Representative Office

Please click here

15 Appendix 4 – Notes for completing the Adviser & Arranger Application for Authorisation Form

Please click here