



***FSRA Connect
User Manual***

Version 2.0 dated 22/01/2024.

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ABOUT FSRA CONNECT

FSRA Connect is the Financial Services Regulatory Authority's (FSRA) online regulatory services system. The platform is being developed and will be launched in phases. The first phase of the FSRA Connect will relate to basic firm information, together with the portal for submission of the Non-EPRS Regulatory Reports.

Future updates will add additional firm related data, such as FSP conditions/restrictions and approved persons and recognised individuals as will additional functionality relating to FSRA related applications, notifications and processes.

1. INTRODUCTION

This manual applies to entities submitting their non-EPRS regulatory reports or returns to the FSRA's Supervision department.

Note: Reporting under FUNDS remains outside of the system and will be added at a later date.

Please contact your FSRA primary contact if you have any questions or difficulty accessing the system.

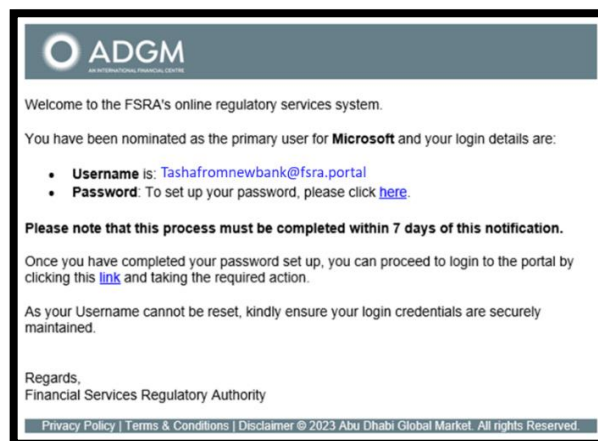
2. LOGIN TO FSRA CONNECT

2.1 First Login

Portal Users (previously nominated by the Entity during the Authorisation process) will receive an email request to setup their account for FSRA Connect once FSRA has set up the Portal Users access for the entity.

1. Click on the link to setup your password in the email you received from FSRA Connect.

Note: The password must be set up within 7 days of receiving the email.



2. Once you click the link, you will be asked to set up a new password. You will be guided on the password requirements. Once you have provided a password that satisfies the password requirements, click on the **Change Password** button.

ADGM

Change Your Password

Enter a new password for tashafornewbank@fsra.portal, make sure the password contains:

- * Minimum of 8 characters and Maximum of 15 characters
- * 1 letter (a-z A-Z)
- * 1 number (0-9)
- * 1 special charater (!@#\$%^&*()..?":{}|<>)

New Password

Confirm Password

Change Password

3. After setting your new password, you will then be redirected to the two-factor verification page on FSRA Connect. You will receive a verification code by email and SMS (if your mobile number has been registered). Enter the verification code and then click the **Submit** button.

Note: The two-factor verification will be required every time you attempt to login to FSRA Connect.

ADGM

Two Factor Authentication

A verification code has been sent to your registered email, please enter the verification code here to proceed with login

Submit

Resend Code

4. After you have set a new password, you will be redirected to FSRA Connect **Home** page.
5. Portal Users are requested to note the login credentials safely in order to access FSRA Connect at all times.

Note: The username will be derived from your email address and be appended with @fsra.portal

2.2 Access FSRA Connect

You can access FSRA Connect Portal via the ADGM website or directly using the FSRA Connect URL: <https://fsraconnect.adgm.com>

Once on the ADGM website - URL: <https://adgm.com/>,

1. Click on the **eServices** link.
2. Then, from the list of services section click on FSRA Connect.
3. Click on the Access FSRA Connect portal button.

2.3 Login to FSRA Connect

Please refer to section – Access FSRA Connect for instructions on how to access the portal.

1. Please enter your username and password and then click on the **Login** button on FSRA Connect login page.

Note: *By clicking on the Login, you are accepting the Terms and Conditions.* Also please note that *FSRA Connect login is protected by reCAPTCHA verification.*

2.4 Forgot Password

In the case you have forgotten your password, complete the following steps to recover access to FSRA Connect by setting up a new password.

1. On the FSRA Connect login page, click on **Forgot Password**.

2. On the Forgot Password page, provide your FSRA Connect username and click the **Reset Password** button.

Note: Your FSRA Connect username is required to recover the password.

3. You will receive an email to your registered email address with a link to reset your password.
4. Once you click the link, you will be asked to set up a new password. You will be guided on the password requirements. Once you have provided a password that satisfies the password requirements, click on the **Change Password** button.

5. After setting your new password, you will then be redirected to the FSRA connect home page.

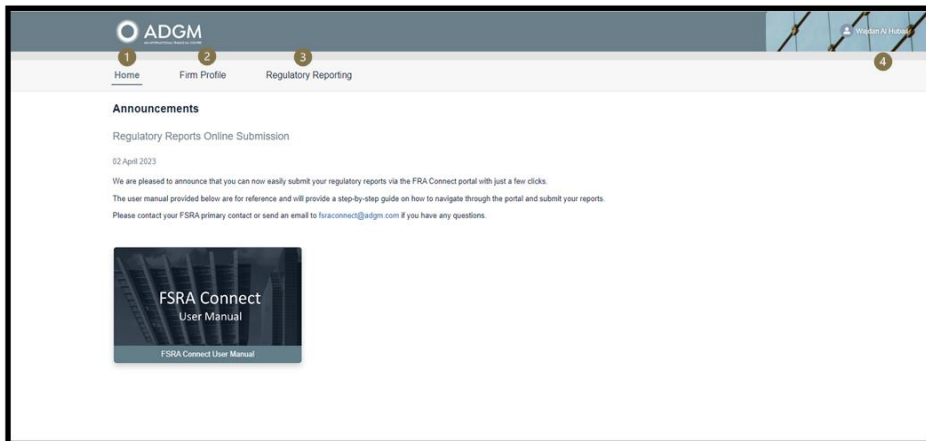
3. PORTAL NAVIGATION

3.1 Home Page

Once you have logged in to FSRA Connect you will be directed to the **Home page**.

1. **News & Announcements** displays recent announcements made by the FSRA.
2. Navigate to the **Firm Profile** to view the firm details such as FSP number, prudential category, regulated activities etc (only visible once the entity has been licensed).
3. Under **Reporting**, the portal user will be able to submit a Regulatory report and view the lists of returns or reports submitted.

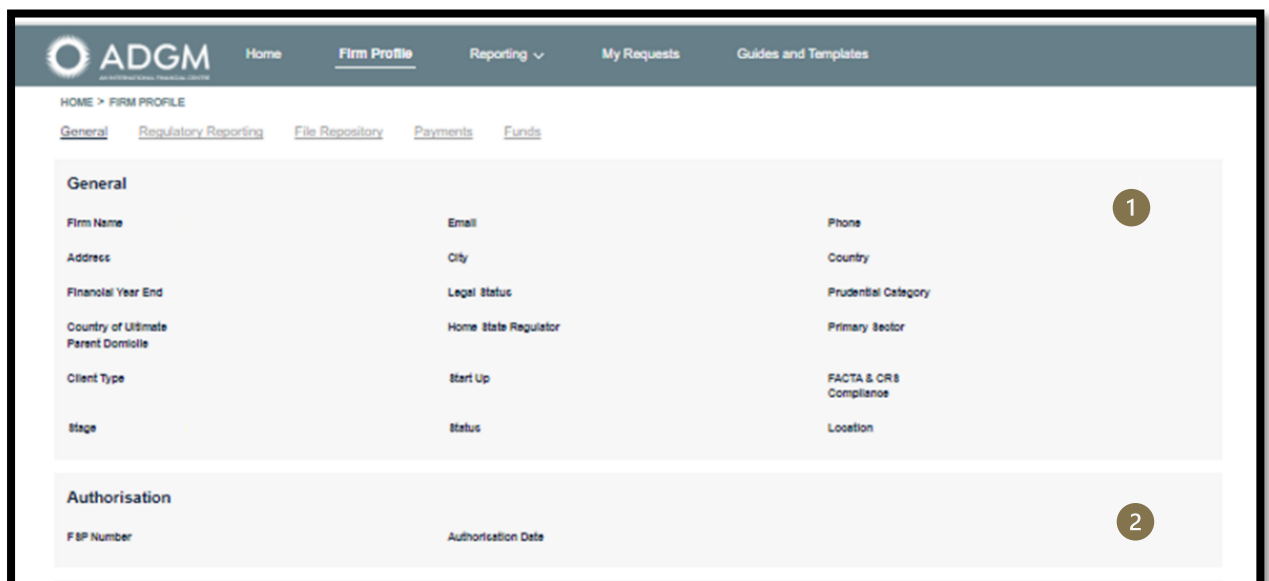
4. From **My Requests**, the portal users will be able to submit and track their requests, i.e., Draft RBP.
5. Navigate to **Primary Username** to logout of the portal.



3.2 Firm Profile

To access the firm profile, from the home page click on the **Firm Profile** link. You will then be redirected to the firm profile page and the following sections will be displayed:

1. **General**, this section shows the general information of the firm such as address, legal status in addition to the assigned Prudential category.
2. **Authorisation** section displays the Firm's FSP licenses number and authorization date.
3. **Firm Portal User(s)** section displays all individuals who have been granted access to the portal.
4. **Ultimate Beneficiary Owner(s)** section will outline all authorised beneficiaries and their status.
5. **Controller(s)** section lists all authorised Controllers details and their status.
6. **Approved Persons** Section displays all the authorised approved persons details and their status.
7. **Regulated Activities** section lists the Firm's authorised regulated activities.



The screenshot displays a user management interface with five sections, each containing a search bar and a table of records:

- Firm Portal User(s)** (3 items): Table with columns: Name, Role, User Type, Status, Update.
- Ultimate Beneficiary Owner(s)** (4 items): Table with columns: Name, UBO Type, % Shareholding, Status, Effective Date, Withdrawn Date.
- Controllers** (5 items): Table with columns: Name, Type, % Shareholding, Status, Effective Date, Withdrawn Date, Update, Delete.
- Approved Persons** (6 items): Table with columns: Name, Role, Status, Effective Date, Withdrawn date.
- Regulated Activities** (7 items): Table with columns: Activity Type, Status, Effective Date, Withdrawn / Revoked Date.

4. AML RETURNS

4.1 General Guidance while completing the AML Return form.

- In completing this AML Return, Relevant Persons should refer to the Anti-Money Laundering and Sanctions Rules and Guidance (AML).
- A Glossary of defined terms is provided in AML Chapter 3.
- A reference in the AML Return to "Money Laundering" includes a reference to Terrorist Financing (TF), Proliferation Financing (PF), the financing of unlawful organizations and sanctions non-compliance unless the context provides or implies otherwise.
- All Relevant Persons must complete and submit this AML Return by the end of April each year in accordance with
- AML 4.6.1. The AML Return must cover the period from 1 January to 31 December of the preceding year (unless previously authorised by the FSRA).
- Relevant Persons must retain a signed copy of the completed AML Return along with all supporting materials (refer to
- the above-mentioned Guidance 6).
- Separately, a Relevant Person must also report at least semi-annually to its Governing Body or Senior Management on the matters set out in AML 12.4.1. In accordance with AML 12.4.3, copies of these reports and the records made under AML 12.4.2(c) must be submitted to the Relevant Person's ADGM Regulator.
- For any queries, please reach out to FCCP by email at amlreturn@adgm.com.

4.2 Submit an AML Return

You can submit the AML Return as follows:

1. Login to the FSRA Connect Portal - please refer to section – Access FSRA Connect for instructions on how to access the portal.
2. From the home page, click on the Reporting link and select AML Returns.



3. Populate all the mandatory fields under each of the sections listed.

Note: The number of sections vary depending on the type of Firm (FIs, DNFBPs, or Representative Office).

3.1 FIs and DNFBPs AML Form

AML Return for FIs and DNFBPs

Guidance

Technical Guidance prior to start filling out and submitting the online AML Return form:

1. Relevant Persons are reminded that all answers are mandatory. The system will not allow any submission in case of any mandatory question marked with an asterisk remaining unanswered.
2. Relevant Persons have the option to save their work in progress at any stage of filling the AML Return form. The related saved file can be accessed for review and amendment prior to submission.
3. **Relevant Persons are reminded that a signed copy of the filled AML Return form is required to be uploaded under "Signed AML Return" prior to submission.**
4. **Once the AML Return form is fully completed, Relevant Persons should ensure saving the form to allow the "Download Report" button to appear after the form is saved. Once downloaded, the AML Return form can be printed, signed, and uploaded (refer to point 3 above). If the "Download Report" button does not appear, it is an indication that there are unpopulated mandatory fields, which once completed and the report is saved, the said button should be visible.**
5. **The AML Return form cannot be edited after submission. Any resubmission will require completing all the questions again.**
6. Text fields allow a maximum of 40k characters, where additional space is needed. Relevant Persons are required to upload the detailed answers separately highlighting for each answer the related question and its number.
7. Relevant Persons should receive a notification on their mailbox confirming that the AML Return for the relevant year was successfully submitted on the date of such submission.

General Guidance while completing the AML Return form:

1. In completing this AML Return, Relevant Persons should refer to the Anti-Money Laundering and Sanctions Rules and Guidance (AML).
2. A Glossary of defined terms is provided in AML Chapter 3.
3. A reference in the AML Return to "Money Laundering" includes a reference to Terrorist Financing (TF), Proliferation Financing (PF), the financing of unlawful organizations and sanctions non-compliance unless the context provides or implies otherwise.
4. All Relevant Persons must complete and submit this AML Return by the end of April each year in accordance with AML 4.6.1. The AML Return must cover the period from 1 January to 31 December of the preceding year (unless previously authorised by the FSRA).
5. Relevant Persons must retain a signed copy of the completed AML Return along with all supporting materials (refer to the above-mentioned Guidance 6).
6. Separately, a Relevant Person must also report at least semi-annually to its Governing Body or Senior Management on the matters set out in AML 12.4.1. In accordance with AML 12.4.3, copies of these reports and the records made under AML 12.4.2(c) must be submitted to the Relevant Person's ADGM Regulator.
7. For any queries, please reach out to FCCP by email at amlreturn@adgm.com.

1 Core Information +

2 Supplementary Information +

3 Correspondent Banking and Wire Transfers +

4 Customers and Transactions Data +

5 Declaration +

SUBMIT FORM **SAVE FORM**

3.2 Representative Office AML Form

AML Return for Representative Offices

Guidance

Technical Guidance prior to start filling out and submitting the online AML Return form:

1. Representative Offices are reminded that all answers are mandatory. The system will not allow any submission in case of any mandatory question marked with an asterisk remaining unanswered.
2. Representative Offices have the option to save their work in progress at any stage of filling the AML Return form. The related saved file can be accessed for review and amendment prior to submission.
3. **Representative Offices are reminded that a signed copy of the filled AML Return form is required to be uploaded under 'Signed AML Return' prior to submission.**
4. **Once the AML Return form is fully completed, Representative Offices should ensure saving the form to allow the 'Download Report' button to appear after the form is saved. Once downloaded, the AML Return form can be printed, signed, and uploaded (refer to point 3 above). If the 'Download Report' button does not appear, it is an indication that there are unpopulated mandatory fields, which once completed and the report is saved, the said button should be visible.**
5. **The AML Return form cannot be edited after submission. Any resubmission will require completing all the questions again.**
6. Text fields allow a maximum of 40k characters, where additional space is needed, Representative Offices are required to upload the detailed answers separately highlighting for each answer the related question and its number.
7. Representative Offices should receive a notification on their mailbox confirming that the AML Return for the relevant year was successfully submitted on the date of such submission.

General Guidance while completing the AML Return form:

1. In completing this AML Return, Representative Offices should refer to the Anti-Money Laundering and Sanctions Rules and Guidance (AML).
2. A Glossary of defined terms is provided in AML Chapter 3.
3. A reference in the AML Return to "Money Laundering" includes a reference to Terrorist Financing (TF), Proliferation Financing (PF), the financing of unlawful organizations and sanctions non-compliance unless the context provides or implies otherwise.
4. Representative Offices must complete and submit this AML Return by the end of April each year in accordance with AML 4.6.1. The AML Return must cover the period from 1 January to 31 December of the preceding year (unless previously authorized by the FSRA).
5. Representative Offices must retain a signed copy of the completed AML Return along with all supporting materials (refer to the above-mentioned Guidance 6).
6. Separately, Representative Offices must also report at least semi-annually to its Governing Body or Senior Management on the matters set out in AML 12.4.1. In accordance with AML 12.4.3, copies of these reports and the records made under AML 12.4.2(c) must be submitted to the Relevant Person's ADGM Regulator.
7. For any queries, please reach out to FCCP by email at amireturn@adgm.com.

1 Core Information +

2 Declaration +

SUBMIT FORM SAVE FORM

4. Once all mandatory fields are populated, click **Save** button to activate the **Download PDF** button and download a copy of the populated form.

5 Declaration +

SUBMIT FORM SAVE FORM **DOWNLOAD PDF** 4

Note: If the 'Download PDF' button does not appear, it is an indication that there are unpopulated mandatory fields.

5. Once downloaded, print & sign or digitally sign the AML return form copy and upload it.
6. To upload the file, expand the upload supporting documents drop down under the Declaration section and select **Signed AML Return** file type, then click **Upload Files** button or drag and drop the file to attach the signed AML document.
7. Repeat the same to Upload **the MLRO Emirates ID or Trade License if the MLRO function is outsourced**, as well as any other additional supporting files.

5 Declaration
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5.1. I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this return is complete and correct.

5.2. I understand that under ADGM's:

- a. Financial Services and Markets Regulations 2015, section 216, it is an offence to mislead the Regulator by knowingly or recklessly providing to the FSRA any information which is false, misleading, or deceptive or to conceal information where the concealment of such information is likely to mislead or deceive the FSRA; and
- b. Commercial Licensing regulations 2015, section 39(4), it is a contravention of the Regulations to knowingly or recklessly provide false or misleading information to the Registrar, in a material particular.

5.3. I understand that any personal data provided to the ADGM will be used to discharge its regulatory functions under the Abu Dhabi Law No. 4 of 2013 and other relevant legislation and may be disclosed to third parties for those purposes only.

5.4. I confirm that I have the authority to complete this form, to declare as specified above and sign this form for, or on behalf of, the Relevant person.

Name of the person filling this AML Return*

Function of the person filling this AML Return*

Emirates ID Number*

Upload supporting documents Signed AML Return

• A file name cannot contain the following special characters: * ? # % ~ & : { } | ' > " \ /
 • Acceptable Formats (.doc, .docx, .dot, .xls, .xlsx, .jpg, .jpeg, .pdf, .bmp, .txt, .ppt, .pptx, .odt, .ods, .odp).

Note: AML Signed copy and MLRO Emirates ID or Trade License if the MLRO function is outsourced files upload are mandatory for submission.

You can only upload these file types: doc, docx, odt, pdf, rtf, txt, csv, ods, xls, xlsx, bmp, jpg, png, ppt, pptx.

8. Click **Submit Form** button to forward your submission to the FSRA.

Note: The AML Return form cannot be edited after submission. Any resubmission will require completing all the questions again. Only one resubmission is permitted a year.

9. Once submitted, you will be able to view your report submission under submitted AML Returns section.

Home
Firm Profile
Reporting
My Requests
More
|

HOME > AML RETURNS

Saved AML Returns

0 items

ID	Created By	Created On	Status
No items found			

Submitted AML Returns

1 items

ID	Submitted By	Submitted On	Status
AML-0431	John Smith	18 Jan 2024	Submitted - on time

Note: please note that the status of your submission will reflect immediately, if the submission was made on time, it will show as “Submitted – on time”, if the submission was completed post the due date, it will show as “Submitted – late”