

FSRA Connect User Manual

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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.

FSRA Connect is designed to centralize and streamline interactions between the Financial Services Regulatory Authority (FSRA) and the Authorised Persons. As it develops, it will handle a variety of requests and issues that will make it the primary platform for regulatory engagements. The current interaction on FSRA connect is as follows:

- Submission of Regulatory Reports: Initially, FSRA Connect will manage the submission of Non-EPRS Regulatory Reports. As the system develops, it will handle additional types of reports, consolidating all reporting requirements into one platform.
- 2. **Firm Information Management**: Firms will be able to view and edit their basic information through FSRA Connect. This will include contact details, Regulated activities, and other relevant firm data. Future updates will add additional firm related data, such as FSP conditions/restrictions
- 3. Application Processing: Future phases will introduce more functionalities for submitting and processing various applications, such as Approved Persons, Change in Control and FSP Cancellation. Additional functionality relating to FSRA related applications, notifications and processes will also be implemented. This will centralise the application workflows and reduce the need of email submissions, facilitating a more efficient review and decision-making process.
- 4. **Portal User Management and Access Control**: The system will offer portal user access within firms, ensuring that only authorised individuals can perform specific actions or view sensitive information.

By integrating these functionalities, FSRA Connect will become the primary tool for the firms to interact with the FSRA in the Future, enhancing efficiency and transparency in regulatory processes.

The Purpose of the Manual is a s follows:

- To provide detailed instructions and guidelines for entities required to submit non-EPRS regulatory reports or returns to the FSRA's Supervision department.
- To provide a step-by-step guide on the various applications submission process.
- To provide guidance on the payment process on FSRA connect.
- To assist portal user with different functionalities available on FSRA connect.

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.

1. LOGIN TO FSRA CONNECT

1.1 First Login

Portal Users (upon being nominated by the FSP applicant 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.

Dear John Smith,	
Please click on this link to reset your password for the below:	
Username : John Smith@fsra.portal Firm Name : DEMO	
If you didn't request a password reset or haven't tried to log in to your account recently need support, please contact <u>authorisation@adgm.com</u>	or
Regards, Financial Services Regulatory Authority	
»)(≪ ADGM ©©	80

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 password contains:	for wajdan.alhubail@fsra.portal, make sure the			
* Minimum of 10 cha * 1 capital case lette * 1 lower case letter * 1 number (0-9) * 1 special character	aracters and Maximum of 20 characters r (A-Z) (a-Z) r (1@#\$%^&*(),-?":{}<>>			
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 Authenticatio	n			
A verification code has been sent to your regis please enter the verification code here to proce	etered email, eed 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

1.2 Access FSRA Connect

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

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.

1.3 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.

Username		
Password		
By clicking on the Login, yo	ou are accepting the Term	s and Conditions. Login
Privacy - Terma		Forgot Password

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*.

1.4 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**.

We	lcome to the FSRA C	
Username		
Password		
By clicking on the L	ogin, you are accepting the Terms	and Conditions.

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.

»)(« ADGM					
Change Your Password					
Enter a new password for wajdan.alhubail@fsra.portal, make sure the password contains:					
* Minimum of 10 characters and Maximum of 20 characters * 1 capital case letter (A-Z) * 1 lower case letter (a-z) * 1 oumber (0-9) * 1 special character (1@#\$%^&*(),.?":{}<>)					
New Password					
Confirm Password					
	Change Password				

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

2. PORTAL NAVIGATION

2.1 Home Page

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

- 1. Pending Actions, this section lists all actions requiring the logged in user's attention.
- 2. Open Requests, this list shows all open requests and their status.
- 3. Pending payments, this section will list any outstanding application or annual payments.
- **4.** Regulatory Reporting Calendar displays the list of assigned regulatory reports, their due dates and status.
- 5. Frequent Service(s), this section will provide quick links to the mostly used services.
- 6. FSRA Point of Contact, this section will outline the designated FSRA point of contact for the Firm.
- 7. Quick Links, this section will provide a link to the FSRA rulebook, ADGM website and FSRA Guides and Templates.
- 8. Alerts Dashboard, this report will highlight number of pending actions and payments.
- 9. News & Announcements displays recent announcements made by the FSRA.
- **10.** 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).

- 11. From My Requests, the portal users will be able to submit and track their requests, i.e., Draft RBP.
- **12. Guides & Templates,** this section will provide the latest guides and templates to be downloaded or viewed.
- 13. Navigate to Primary Username to logout of the portal.

» (« ADGM		0
Home Firm Profile My Requests	Guides and Templates	
Frequent Services > FSP Submission > Approved Person Addition / Cancellation > Request	Pending Action(s) Following are actions requiring your immediate attendon 0 items Q, Search ID Type Assigned To Assigned On Status	Alerts Open Actions Pending Payments Overdue Actions Overdue Payments
FSRA Point of Contact Name: Test Portal Authorization Management 1 Email Address: ajaykrishna.pa@absyz.com.invalid	Open Request(s) Following list is showing the list of open requests and their status 0 items Q, Search Q, Y ID Request Type V Submitted By V Status V	Announcements View All Exciting News: Our Brand Has Evolved! 23 Oct 2024 We are thrilled to announce that we have updated our branding to better reflect our mission and vision. Our new look is deviced on technoop over
Quick Links Rulebook ADGM Website Guides and Templates	Pending Payment(s) Following list is showing all pending payments requiring your attention. 1 items Q. Search ID Request Type Amount Involce Creat Status	Read more

2.2 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 will display the Firm's FSP licenses number and authorization date once obtained.
- **3.** Firm Portal users, this section will outline all users who have been authorised to access the Firm profile under the FSRA connect portal.
- **4. Approved Persons,** this section will outline all the approved persons under this firm once authorised.
- 5. Regulated Activities section lists the Firm's authorised regulated activities once authorised.

>) (CADGM			14	John Smith (2) DEMO
Home Firm Profile My Requests	Buides and Templates			1111-44
R > HINK INCHALL General Payments File Repository				
General				/ Edt
Firm Name DEMO	Email	Phone		
Address Al Maryah, Al Magam Tower, 20th Floor	City Abu Dhabi	Country	AE	
Financial Year End	Legal Statue	Prudential Categor	N,	
Country of Ultimate Parent Domicile	Home State Regulator	Primary Sector		
Client Type	Start Up	FATCA & CRS Compliance		
Stage Registered	Status Active	Location	Maryah Island	
Tax Registration No				
Authorisation				
FSP Number	Authorieation Date			
Firm Portal User(s)				+ Add
1 iteens			Q. Search	Q Y
Name Role	V User	Type v	Statue	V Update
John Smith Portal User	Pvima	ry Portal User	Active	V 68
Approved Persons				
0 items			Q. Search	۹. 🔻
Reference Number Name	V Role V	Status V Effectiv	ve Date 🗸 🗸 Withdrawn Date	~
Regulated Activities				
O litems			Q. Search	Q Y
Activity Type Status	Ý	Effective Date	V Withdrawn / Revoked Date	× .

2.3 PORTAL USERS

There are two types of portal users provisioned in FSRA Connect portal as follows:

Permission	Primary Portal user	Secondary Portal user
Access the Portal	Y	Y
View Announcements	Y	Y
View & action Pending Payments	Y	Y
View Firm Profile	Y	Y
Raise a Request	Y	Y
View & edit all requests	Y	Y
View Templates and Guides	Y	Y
Add Secondary Portal Users (up to 4 only)	Y	N
Deactivate a Secondary portal user	Y	Ν

Note: Primary users can only be added and changed by the Supervision team. If you wish to change the primary user please contact your designated relationship manager or if your assigned to the pool, send an email to the FSRA Pooled Supervision team at pooled supervision@adgm.com.

2.3.1 Add a Secondary Portal User

The primary user can add up to 4 secondary portal users 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 Firm profile link.
- 3. Locate the Firm Portal user(s) section, then click +Add button

Firm Portal User(s)					+ Add
1 items				Q Search	Q Y
Name	Role V	User Type 🗸 🗸	Status	~	Update
John Smith	Portal User	Primary Portal User	Active		💉 Edit

4. Populate all mandatory fields and select the required user type – Secondary then click **Save** button.

Create Portal User				
First Name *			Last Name*	
Email*			Mobile	Unite 💌
Role*	Select an Option	Ŧ	User Type *	Select an Option
Status*	Active	Ŧ		
				Cancel Save
				Galicei Save

2.3.2 Deactivate a Secondary Portal User

The primary user can edit or deactivate the secondary portal user record 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 Firm profile link.
- **3.** Locate the Firm Portal user(s) section, then click Edit button next to the Portal User you wish to amend or deactivate.

Γ	Firm Portal User(s)				+ Add
I	1 items			Q Search	Q Y
I	Name	Role ~	User Type 🗸 🗸	Status ~	Update
l	John Smith	Portal User	Secondary Portal User	Active	🖌 Edit

4. Update the status to inactive if the access is no longer required or amend the details then click **Save** button.

	U	pdate	Portal User	
First Name*	John		Last Name*	Smith
Email*	john.smith@email.com		Mobile	Unite v 50999998888
Role*	Portal User	•	User Type*	Secondary Portal User 💌
Status*	Inactive	•		
				Cancel Save

3. REGULATORY REPORTING

3.1 SUBMIT A REGULATORY REPORT

You can submit the required regulatory reports 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 Regulatory Reporting link.

>) ≪ A	DGM			
Home	Firm Profile	Regulatory Reporting 🗸	My Requests	Guides and Templates

3. From the **Submit Regulatory Report** section, expand the **Report type** drop down and select the required report.

» (« A	DGM				
Home	Firm Profile	Regulatory Reporting 🗸	My Requests	Guides and Templates	
🕈 > REGULATOR	RY REPORTING				
Submit a Re Please ensure	gulatory Report the regulatory report is con	plete and correct template version is us	ed before uploading to avoi	d any return for correction.	
Report Type		Select an Opti	on		r

4. Complete the required questionnaire, add any comments and upload the report file then click **Submit** button.

Note: All questions are mandatory so please make sure they are answered, a minimum of one file needs to be uploaded to proceed. Additional supporting files can be uploaded as well if needed.

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

Submit a Regulatory Report. Please ensure the regulatory report is complete and correct template version is used before uploading to avoid any return for co	redion.		
Report Type *	Financial Statements Auditor's Report		
Reporting Period	Jul, 2023 - Jun, 2024		
Are the Financial Statements produced on a Going Concern basis?*	🔿 Yes 🔿 No		
Has the auditor provided a qualified report?*	○ Yes ○ No		
Has the auditor included an Emphasis of Matter statement or otherwise raised any concerns or issues in its report?*	○ Yes ○ No		
Have the financial statements been produced in accordance with IFRS?*	○ Yes ○ No		
Has the firm made a loss (as at the year-end)?*	○ Yes ○ No		
Do the Financial Statements reconcile with the Regulatory Returns?*	○ Yes ○ No		
Comments			
Supporting Documents *	Upload Files Or drop files		
Cancel	Submit		

5. Once submitted, you will be able to view your report submission under my submitted regulatory reports section.

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"

	Submitted Reg 1 items	ulatory Reports			Q Search	٩ 🔻
	ID	Report Type V	Submitted By	Submitted On V	Status	~
	RG-2339	Actuarial Report	John Smith	23 Dec 2024	Submitted	
L						

Note: All submitted Reports will remain online as an audit trail, you will be able to add revised and supporting files to the same submission however, once submitted it cannot be deleted.

3.2 UPDATE REGULATORY REPORT SUBMISSION

You may upload additional supporting files or upload revisions of your report if advised by supervision team post submission 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 Regulatory Reporting link.



3. From the **Submitted Regulatory Reports** section, click on the required **Submission ID** to view the submission details page.

Submitted Reg 1 items	gulatory Reports				Q Search	۹. ۲
ID	Report Type V	Submitted By	Submitted On	Statu	8	~
RG-2339	Actuarial Report	John Smith	23 Dec 2024	Subm	itted	
	·					

4. On the Regulatory Report submission page, click on the **Edit** button on the top right corner.

Note: you will not be able to edit the previously answered questions nor delete the initial files uploaded, however you will be able to upload additional files.

Regulatory Report - RG-2340	← Back to Regulatory Reporting Page
Report Id	RG-2340
Report Type	Capital adequacy summary report
Firm Name	DEMO
Home State Regulator Date	10 Dec 2024
Submitted By	John Smith
Submitted On	23 Dec 2024
Comments	
Supporting Documents	소. Upload Files Or drop files
Uploaded File Name	/ Delete
Capital Adequacy Report V1.docx.pdf	音 Delete

5. Upload the required file or files and click **Save** button.

Regulatory Report - RG-2340	5 Backt	o Regulatory Reporting Page 📝 Edit
Report Id	RG-2340	
Report Type	Capital adequacy summary report	
Firm Name	DEMO	
Home State Regulator Date*	10-Dec-2024	÷.
Submitted By	John Smith	
Submitted On	23 Dec 2024	
Comments		9 Ix
Supporting Documents *	↑ Unload Files Or don files	
University Sile Name		Download all files
Capital Adequacy Report V1 docx.pdf	音 Delete	
Cance	Save	

3.3 AML RETURNS

3.3.1 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.

3.3.2 SUBMIT 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 Regulatory Reporting link and select AML Returns.

» (« Al	DGM						The full	John Smith OEMO
Home	Firm Profile	Regulatory Reporting	My Requests	Guides and Templates				Titter H
♠ > AML RETUR	N S	AML Returns						
Saved AML F	Returns	Other Regulatory Reports						+ Add
0 items							Q, Search	Q Y
ID	Created By		Created On		~ s	tatus		✓ Delete
Submitted A	ML Returns							
0 items							Q Search	Q Y
ID	Submitted By		Submitted	On		 ✓ Status 		~

- **3.** Click +Add Button to open the AML form.
- 4. 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).

a. 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 guestion marked with an asterisk remaining unanaseed. 2. Relevant Persons have the optication is some their work in progress at any stage of litings that All. Relum form: The tended saved fire can be accessed for relevant and are mandment 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 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 cipies (refer to onic): above). If the Download Report button there are unpopulated mandatory fields, which once completed and the report is saved. the said button should be visible. 5. The AML. Return form to be edited after submission. Any resubmission will require completion all the questions again.
 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. Relevant Persons should receive a notification on their malbox 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:
 In completing this MLR feature. Behavior Phenome should refer to the Arti-Monry Laundering and Sanctions Pulse and Guidance (AML). A Obsamp of defined terms synchronic half. Chapter 3. A neterrorism of defined terms synchronic half. Chapter 3. A neterrorism of defined terms synchronic half. Chapter 3. A neterrorism the AML Return to "Monry Laundering" includes a reference to Terrorism (TF). Proliferation Financing (TF). Phase methods are implies of the preceding synchronic and sanctions non-compliance unless the contest provides or implies of thermise. A neterrorism the AML Return to "Monry Laundering" includes a reference to Terrorism (TF). Phase methods are implies of the preceding synchronic and sanctions non-compliance unless the contest provides or implies of thermise. A neterrorism the AML Return to "Monry Laundering" includes a reference to Terrorism (TF). Phase methods are implies of the preceding synchronic and synchronic and sanctions non-compliance unless the contest provides of the preceding synchronic and synchystropy and synchronic and synchronic and synchronic and sync
1 Core Information +
2 Supplementary Information +
3 Correspondent Banking and Wire Transfers +
4 Customers and Transactions Data +
5 Declaration +
Submit Form Save Form Download PDF

b. Representative Office AML Form

AML Return for Representative Offices
Guidance
Technical Guidance prior to start filling out and submitting the online AML Return form:
 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. Representative Offices have the option to save their work in progress at any stage of liling the AML Return form. The related save set of any stage of liling the AML Return form. The related save set of any stage of liling the AML Return form is required to be uploaded under "joined AML Return form ission. Representative Offices are reminded that a signed cowy of the filled AML Return form is required to be uploaded under "joined AML Return form ission. 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 2 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 40x characters, where additional space is needed. Representative Offices are required to publica the detailed answers separately highlighting for each answer the related question and its number. 7. Representative Offices should needing a number of the main to relative to the submission.
General Guidance while completing the AML Return form:
 In completing this AML Return, Representative Offices should refer to the Anti-Money Laundening and Sanctions Rules and Guidance (AML). A for demond terms is provided in AML Chapter 3. A reference in the AML Return Viscon Viscon
1 Core Information + 2 Declaration +
Submit Form Save Form Download PDF

5. Once all mandatory fields are populated, click on the **Download PDF** button to download a copy of the populated form for sign off.

2 Declaration		+
	Submit Form Save Form Download PDF	

- 6. Once downloaded, print & sign or digitally sign the AML return form copy and upload it.
- 7. 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.
- 8. 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.

2 Declaration	-
21.1 I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this return is comp 22.1 I understand that under ADGM's: a. Financial Services and Markets Regulators 2015, section 219, it is an offence to mislead the Regulator by knowingly or concentential Searvices and Markets Regulators 2015, section 349, it is a contravention of the Regulators by knowingly or concentential Searvices and Markets Regulators 2015, section 349, it is a contravention of the Regulators to knowingly or recklessly b. Commercial Licensing regulations 2015, section 349, it is a contravention of the Regulations to knowingly or recklessly 23.1 Understand that any present data provide to the ADGM will be used to discharge is regulatory functions under the Abu 24.1 confirm that I have the authority to complete this form, to declare as specified above and sign this form for, or on behalf of,	tels and correct. recklessly providing to the FSRA any information which is false, misleading, or deceptive or to conceal information where the provide false or misleading information to the Registrar, in a material particular. Data Law No. 4 (2013 and other relevant legislation and may be disclosed to third parties for those purposes only, the Representative office.
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, .xis, .xisx, .jpg, .jpeg, .pdf, .bmp, .txt, .ppt, .pdt, .ods, .odp). 	
Submit Form Save F	Download PDF

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.

9. 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.

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

Submitted AM 1 items	L Returns			Q, Search	Q T
ID	Submitted By 🗸 🗸 🗸	Submitted On	✓ Statue		\sim
AML-0436	John Smith	23 Dec 2024	Submitted - late		

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"

4. MY REQUESTS

To raise a request to FSRA, click on **My Requests** link present on the portal main menu, you will then be redirected to **My Requests** page and the following sections will be displayed:

- **1. Submit a New Request**, this section displays the request form, whereby the user can select the request type, fill the form, and submit.
- 2. Draft Request(s) section displays all the requests that have been saved for further editing later. These requests will not be visible to the FSRA and will remain with the user until they are submitted.
- 3. Returned Request(s) section displays all the requests that have been returned for correction or update.
- 4. The portal user will be able to view all his submitted and under review requests under the **Submitted Requests** section.

> <mark>⟩</mark> ≪ A[DGM				- Hilling		John Smith OEMO
Home	Firm Profile	My Requests G	Suides and Templates				
🕇 > MY REQUEST	1						
Submit New F Please ensure	equest Ill required pre-requisites a	and supporting material are pro	vided before submitting the request to avoid any retu	rns for correction and delays, click on 'Subr	nit New Request' button to pr	oceed. Subm	t New Request
Draft Request 0 items	(s)					Q Search	Q T
Request ID	Request Type	~	Created By 🗸	Created On	 ✓ Status 	\checkmark	Delete
Returned Req 0 items	uest(s)					Q Search	Q T
Request ID	Request Type	✓ Firm N	ame 🗸 Status	✓ Submittee	i By	V Submitted On	~
Submitted Re	quest(s)					O Search	
Request ID	Request Type	~	Submitted By	✓ Submitted On	✓ _ Stat	us	

4.1 APPROVED PERSONS (APS) REQUEST

You can submit a request to add, amend or withdraw an Approved Person under your submitted FSP application.

4.1.1 APPROVED PERSONS - ADDITION

To add an additional approved person, follow the steps below:

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 My Requests link.

>>) (< A	DGM		
Home	Firm Profile	My Requests	Guides and Templates

3. Click on Submit New Request Button on the top right-side corner.

»)(« A	DGM				John Smith
Home	Firm Profile	My Requests	Guides and Templates		
A > музеров	FRIR				
Submit Nev Please onsu	w Request are all required pre-requisi	tes and supporting material	are provided before submitting the request to avoid any returns for corre	ction and delays, click on 'Submit New Request' button to proceed.	Submit New Request

4. Expand the **Request Type** drop down and select **Approved Persons (APS) Status Application**

» (« AD	GM				
Home	Firm Profile	Regulatory Reporting 🗸	My Requests	Guides and Templates	-card (1)
A > MY REQUEST	S > CREATE MY REQUEST				
Submit a New Please ensure a	Request all required pre-requisites a	and supporting material are provided	before submitting the request t	o avoid any returns for correction and del	ays
Request Type		Select an 0	Option	~)
		Chan	ge In Control		
		Appro	ved Person Status Application		

5. Expand the Change relating to Approved Person drop down and select the Addition option.

♠ > MY REQUESTS > CREATE MY REQUEST			
Submit a New Request Please ensure all required pre-requisites and supporting material a	re provided before submitting the request to avoid any return	s for correction and delays	
Request Type	Approved Person S	tatus Application	
Draft	Submitted	Under Review	Close
Change relating to Approved Person *	Addition	v	

- 6. Populate all mandatory fields under the General Information and Citizenship section.
- 7. Click Here to Add New Role button and populate the Role details.

					Click Here To	Add New Role(s)
Role(s) to be assigned * 🔘	Role	~	Proposed Effective Date	~	Update	Action
				_		

	Add N	ew Role		
Email*	raj@invalid.com	Role *	Licensed Director and SEO	v
Is the role full time?*	Yes 💌	Will the proposed candidate be performing their duties on an outsourced basis $\ensuremath{^\circ}$	No	•
			Ca	ncel Add

8. Upload all required supporting documents by selecting the type of document from the File Type dropdown and then click on Upload file button.

Supporting Documents		
Select File Type*	Select an Option	Cr drop files

9. Click Proceed to Pay button and confirm.

Cance	ncel Sav	ive Proc	ceed To Pay

- 10. Select the Mode of Payment:
 - 1. Please refer to section <u>Card Payment</u> to view detailed steps on how to perform a card payment.
 - 2. Please refer to section <u>Bank Transfer</u> to view detailed steps on how to notify the FSRA of a bank transfer payment.
- **11.** Request will be forwarded to FSRA Authorisation team for review.

4.1.2 APPROVED PERSONS – UPDATE

To update the existing approved person roles, follow the below steps:

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 My Requests link.

>> <mark> </mark> ≪ ∧	DGM			
Home	Firm Profile	My Requests	Guides and Templates	

3. Click on Submit New Request Button on the top right-side corner.

»)(« A	DGM				John Smith OEMO
Home	Firm Profile	My Requests	Guides and Templates		
A · MY REQUE	212				
Submit New Please ensur	v Request re all required pre-requisit	tes and supporting material	are provided before submitting the request to avoid any return	s for correction and delays, click on 'Submit New Request' button to pro	Submit New Request

4. Expand the **Request Type** drop down and select **Approved Persons (APS) Status Application**

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays						
Request Type	Select an Option					
	Change in Control					
	Approved Person Status Application					

5. Expand the **Change relating to Approved Person** drop down and select the **Update** option.

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays							
Request Type		Approved Person Addition or Cancellation Reg	quest				
Draft	Submission Returned	Submitted	Under Review	Close			
FSP Submission Number		😢 RQ-0664					
Change relating to Approved Person*		Update	•				

6. From the **Approved Person** search bar, look up and select the required approved person.

Approved Person*	×	

7. You will have two options; you can add new roles or withdraw existing roles.

7.1 To add one or more roles, follow the below steps:

- a. Click on the **Click here to Add New Role(s)** button, to add an additional role to selected approved person.
- b. Populate the **New Role** details then click **Add** button.
- c. Repeat the above steps to add more roles if needed.

		Add Ne	w Role		
Email *	Taglapandra multislant com		Role *	Select an Option	*
is the role full time? *	Select an Option	٠	Will the proposed candidate be performing their duties on an outsourced basis.*	Select an Option	*
					Cancel Add

d. Upload all required supporting documents by selecting the type of document from the File Type dropdown and then click on Upload file button.

Supporting Documents		
Select File Type*	Select an Option	

e. Click Proceed to Pay button and confirm.



f. Select the Mode of Payment:

- a. Please refer to section <u>Card Payment</u> to view detailed steps on how to perform a card payment.
- b. Please refer to section <u>Bank Transfer</u> to view detailed steps on how to notify the FSRA of a bank transfer payment.
- 7.2 To Withdraw an existing role, follow the below steps:
 - a. Click on the **Click here to Withdraw role(s)** button, to return all the existing roles assigned to the selected approved person.



b. Select the specific role, click Next button, then provide the Withdrawal date.

Select Rules For Withdrawal					
Role V	Action				
MURO - Temporary	- Remove				
Licensed Director and SEO	+ Aas				
	Cover Not				

c. Provide the required reason by answering the list of questions displayed.

Role(s) to be Withdrawn 🕼		Role	V Action
		MLRO - Temporary	— Remove
Reason for Withdrawal "		End of contract	¥
Please provide an explanation of the reason for the Approved or Recognised Person's withdrawal e.g., reason for resignation, dismissal, suspension etc., or any other relevant information. *			
		Test	
Are there any circumstances which lead the Authorised Person to believe that t	he Approved/	No	•
Person is no longer fit and proper?*			
Supporting Documents			
Select File Type	Select an Option	Uptood Files Or drop files	
	Uploaded File Nar	me V File category	∨ Delete
Supporting Users ()		searchQ	
	Cancel	Save Proceed To Pay & Download Pdf	

d. Click **Download pdf** button to download and sign the form.

» ADGM	Withdrawal of Approved Person Status (APS-2)
Withdrawal of Appr	oved Person Status
This form must be submitted by an Authorised Person1 a status.	pplying to withdraw an individual's Approved Person2
Alternatively, if the Approved Person will cease to perform an Approved Person, then the Change of Approved Person	n one of the Controlled Functions but will continue to be on status (APS-3) must be completed.
In some cases, we may require additional information. If herein as the contact person.	this is necessary, we shall contact the person identified
We occasionally refer to various Rules, sections, or chap guidance and are not an exhaustive list of the Rules that responsibility to research the Rulebooks for any Rules th	ters of the FSRA Rulebooks. They are provided only as may be applicable to your situation. It is your at might be pertinent to your application or notification.
The use of abbreviations or acronyms should be avoided	, but where used they must be clearly defined.
An Authorised Person should also ensure that it appropri withdrawals.	ately notifies the Registration Authority of any relevant
1. General Information	
Details about the Authorised Person:	
Name of the Authorised Person:	06TESTRAAC3011
Financial Services Permission Number:	
Name of Approved Person:	
2. Withdrawal Details	

e. Upload the signed form and any other supporting documents.

Supporting Documents			
Select File Type	Select an Option	Lipiced Face Or drop files	
	Uploaded File Name V	File category V	Delete
	ADGM.pptx	Change in Approved Person Status	1 Delete
	ADGM.pptx	Revised Job Description	a Delete
	ADGM.pptx	Signed Approved Person Status Application	a Delete

f. You have an option to add any portal users you would like to be able to view this request once submitted. By default, the request will only be visible to submitter.

Please specify other portal users who require read access to this request ${\rm I}\!{\rm I}$	search	Q

Note:

Please note that the users need to be added to the FSRA Connect Portal to be listed in this section.

- 8. Click submit to forward the request to FSRA Authorisation team.
- **9.** Once submitted, you will be able to view your submission under submitted Requests section.

4.1.3 APPROVED PERSONS – WITHDRAWAL

To withdraw the existing approved person role(s), follow the below steps:

- 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 My **Requests** link.

> <mark>⟩</mark> (« Δ	DGM			
Home	Firm Profile	My Requests	Guides and Templates	

3. Click on Submit New Request Button on the top right-side corner.



4. Expand the **Request Type** drop down and select **Approved Persons (APS) Status Application.**

Submit a New Request Please ensure all required pre-requisites and supporting materia	are provided before submitting the request to avoid any returns for correction and dela	ays
Request Type	Select an Option]
	Change In Control	
	Approved Person Status Application	

5. Expand the **Change relating to Approved Person** drop down and select the **Withdrawal** option.

Request Type		Approved Person Addition or Cancellation Req	juest	
Draft	Submission Returned	Submitted	Under Review	Close
FSP Submission Number		😢 RQ-0664		
Change relating to Approved Person*		Withdrawal	▼	

6. From the Approved Person search bar, look up and select the required approved person.

Approved Person*	📧 c	×

7. Click on the **Click here to select the required roles to withdraw** button.

	Select Roles F	For Withdrawal	
Role	Ŷ	Action	
MLRO - Temporary		+ Add	
Licensed Director and SEO		+ Add	
			Cancel Nead

8. Select the specific role, click Next button, provide the Withdrawal date and add.

Select Roles	For Withdrawal
Role V	Action
MLRO - Temporary	- Remove
Licensed Director and SEO	+ Add
	Cancel Net

9. Provide the required reason by answering the list of questions displayed.

Role(s) to be Withdrawn 🕼		Role	V Action
		MLRO - Temporary	- Remove
Reason for Withdrawal*		End of contract	•
Please provide an explanation of the reason for the Approved or Recognised Pe e.g., reason for resignation, dismissal, suspension etc., or any other relevant in	rson's withdrawal formation.*		
		Test	
Are there any circumstances which lead the Authorised Person to believe that t	he Approved/		
Person is no longer fit and proper?*	in a supproved	No	•
Supporting Documents			
Select File Type			
	Select an Option	Upload Files Or drop files	
	Uploaded File Nar	ne v File category	V Delete
Supporting Users ()		search Q	
	Cancel	Save Proceed To Pay 🛃 Download Pdf	

10. Click Download pdf button to download and sign

» (« ADGM	Withdrawal of Approved Person Status (APS-2)
Withdrawal of Appr This form must be submitted by an Authorised Person 1 a	oved Person Status applying to withdraw an individual's Approved Person2
status. Alternatively, if the Approved Person will cease to perfor an Approved Person, then the Change of Approved Pers	n one of the Controlled Functions but will continue to be on status (APS-3) must be completed.
In some cases, we may require additional information. If herein as the contact person. We occasionally refer to various Rules, sections, or char address of the Rules to the relation of the Rules to	this is necessary, we shall contact the person identified ters of the FSRA Rulebooks. They are provided only as
responsibility to research the Rulebooks for any Rules that The use of abbreviations or acronyms should be avoided	It and the applicable to your situation. It is your at might be pertinent to your application or notification.
An Authorised Person should also ensure that it appropr withdrawals.	ately notifies the Registration Authority of any relevant
1. General Information Details about the Authorised Person:	
Name of the Authorised Person:	06TESTRAAC3011
Financial Services Permission Number:	
Name of Approved Person:	
2. Withdrawal Details	

11. You have an option to add any portal users you would like to be able to view this request once submitted under **Supporting users**. By default, the request will only be visible to submitter.

Please specify other portal users who require read access to this request ${\rm I}\!\!\!\!\!$	search	۹

Note:

Please note that the users need to be added to the FSRA Connect Portal to be listed in this section.

12. Upload the signed form and any other supporting documents.

Supporting Documents			
Select File Type	Select an Option	Upload Files Or drop files	
		· · · · · · · · · · · · · · · · · · ·	
	Uploaded File Name 🗸 🗸	File category V	Delete
	ADGM.pptx	Change in Approved Person Status	💼 Delete
	ADGM.pptx	Revised Job Description	Delete
	ADGM.pptx	Signed Approved Person Status Application	💼 Delete

- **13.** Click submit to forward the request to FSRA Authorisation team.
- **14.** Once submitted, you will be able to view your submission under submitted Requests section.

4.2 FSP WITHDRAWAL REQUEST

4.2.1 SUBMIT A FSP WITHDRAWAL REQUEST

To Submit an FSP Withdrawal request the following steps need to be followed:

- 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 My requests link.
- 3. Click on the Submit New Request button.

») ≪ A	DGM				John Smith
Home	Firm Profile	My Requests	Guides and Templates		1 TTHALL
A + NY REDUE	111				
Submit New Please ensur	v Request re all required pre-requisit	es and supporting material	are provided before submitting the request to avoid any retu	ms for correction and delays, click on 'Submit New Request' button to proc	eed. Submit New Request

4. Expand the Request Type drop down and select FSP Withdrawal Application.

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays	
Request Type	Select an Option
	Fund
	Change In Control
	Approved Person Status Application
	FSP Withdrawal Application

5. Validate the **Details about the Authorised Person's Contact Person** and add in any missing details.

Submit a New Request Tesse ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays Request Type FSP Withdrawal Application										
Draft Ret	turned For Correction	Submitted	Under Review	Completed						
Details about the Authorised Person Name of the Authorised Person FSP Number										
Details about the Authorised Person's Contact Person Name of contact person*										
Position or title of contact person *										
Contact person's telephone number*			•							
Contact person's e-mail address *										

6. Fill in the Ceasing to carry on Regulated Activities section

Ceasing to carry on Regulated Activities	
Provide details on the following specific matters	
Why is the Authorised Person requesting to cancel its Financial Services $\ensuremath{Permission}\xspace^*$	
Is the Authorised Person seeking to wind up its entire business, regulated and unregulated?*	○ Yes ○ No
Provide further information on the above *	$\blacksquare \ I \ \sqcup \ \ominus \ \blacksquare \ I = I = I = I = I = I $
Has the Authorised Person notified the ADGM's Registration Authority?*	○ Yes ○ No
Has the Authorised Person ceased carrying on Regulated Activities in or from the ADGM?*	Ves No
Please confirm whether the Authorised Person's lead regulator has been notified of its intention to cancel its Financial Services Permission from the FSRA?*	○ Yes ○ No
Has the Authorised Person notified all of its Clients in regard to its intention to cancel its Financial Services Permission?*	○ Yes ○ No
Has the Authorised Person discharged all obligations owed to its Clients in respect of whom it has carried on Regulated Activities in or from the ADGM?*	○ Yes ○ No
Has the Authorised Person returned to Clients all Client Assets, Insurance Monies, Relevant Money and/or any other property belonging to Clients?*	○ Yes ○ No ○ N/A
Does the Authorised Person intend to transfer any of its business to another firm, regulated by the FSRA or another financial services regulator?*	○ Yes ○ No

- 7. Once fully populated, click **Save** button on the form action bar.
- 8. Download a pdf version of the populated FSP withdrawal form by clicking on the **Download pdf** button on the action bar.

Cancel Save Submit 上 Download Pdf	_				
		Cancel	Save	Submit	🕁 Download Pdf

9. Upload the signed FSP Withdrawal form and other supporting documents listed.

Supporting Documents		
Select File Type	Select an Option	
	Signed FSP Withdrawal Form Copy of rotification to Clearls setting and Authorised Person's intention to cancel its Financial Services Permission Evidence of cancellation of Automoted Person's registration agreement with the US Internal Reviewa Service for FATCA purposes Resolution of the Authorises Person's Gowming Body approving this application to cancel its Financial Services Permission Other supporting documents	V Delete

10. Click **Submit** button to forward the request to FSRA Supervision for review.

4.2.2 REVISE A FSP WITHDRAWAL REQUEST

The FSP Withdrawal request can be returned for correction by the FSRA Supervision team. An email notification regarding the request return will be sent to the request Submitter to action.

To revise the FSP withdrawal request follow the below steps:

- 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 My requests link.
- 3. Locate the **Returned for Correct** list and click on the FSP Withdrawal **Request ID (REQ-** xxx).

»)« A[DGM				1		John Smith 2 DEMO
Home	Firm Profile	My Requests G	uides and Templates				
A > MY REQUEST	5						
Submit New F Please ensure	equest all required pre-requisites a	ind supporting material are prov	vided before submitting the request to avoid any ret	urns for correction and delays, click on 'Submit N	New Request' button to pr	roceed. Subm	t New Request
Draft Request 0 items	(s)					Q Search	Q Y
Request ID	Request Type	~	Created By \vee	Created On	 ✓ Status 	~	Delete
Returned Req 0 items	uest(s)					Q, Search	Q 🔻
Request ID	Request Type	V Firm Na	ame 🗸 Status	✓ Submitted By	1	V Submitted On	~
Submitted Re	quest(s)					Q Search	9 7
Request ID	Request Type	~	Submitted By	✓ Submitted On	 ✓ State 	us	~

- 4. Click Edit button on the top right section of the form.
- 5. Modify the required sections as needed then click **Save** button.
- **6.** Click **Submit** button to forward the revised FSP withdrawal request to the FSRA Supervision team.

Cancel	Save	Submit	

7. Once submitted, you will be able to view your submission under submitted Requests section.

4.3 CHANGE IN CONTROL REQUEST

To Submit a Change in Control request, the following steps need to be followed:

4.3.1 ADD A NEW CONTROLLER

To add a new Controller , follow the below steps:

- 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 **My requests** link.
- 3. Click on the Submit New Request button.

»)(« A	DGM				
Home	Firm Profile	My Requests	Guides and Templates		
A · MY REQUE	1818				
Submit New Please ensur	v Request re all required pre-requisi	tes and supporting material	are provided before submitting the request to avoid any returns	for correction and delays, click on 'Submit New Request' button to proceed.	Submit New Request

- 4. Expand the Request Type drop down and select Change in Control.
- 5. Confirm that you are seeking **approval** and state the reason for approval as **Add New Controller(s)**.

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays							
Request Type Change in Control							
Draft	Submitted		Under Review	\rangle	Closed		
Is the Approved Person seeking approval or notifying of a change under the	Approval						
State the reason for seeking approval notification with reference to GEN 8.8 control*	Add New Controlle	rr(s)	•				

6. Click +Add button and populate the new controller details.

New Controller(s) - Natural and Non-Natural Persons	
Controller*	+ Add
	Name \checkmark Type \checkmark % Shareholding \checkmark Edit Delete
Comments	
Please specify other portal users who require read access to this request	searchQ
	Cancel Save Proceed To Pay

7. To add additional controllers, repeat step 6 as needed.

8. You have an option to add any portal users you would like to be able to view this request once submitted under **Supporting users**. By default, the request will only be visible to submitter.



Please note that the users need to be added to the FSRA Connect Portal to be listed in this section.

9. Upload all required supporting documents by selecting the type of document from the File Type dropdown and then click on Upload file button.



10. Click Proceed to Pay button and confirm.

Cancel	Save	Proceed To Pay

- **11.** Select the Mode of Payment:
 - 1. Please refer to section <u>Card Payment</u> to view detailed steps on how to perform a card payment.
 - 2. Please refer to section <u>Bank Transfer</u> to view detailed steps on how to notify the FSRA of a bank transfer payment.
- **12.** Request will be forwarded to FSRA Authorisation team for review once the payment is completed.

4.3.2 CHANGE IN THE LEVEL OF CONTROL

To indicate a change in control level , follow the below steps:

- 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 **My requests** link.
- 3. Click on the Submit New Request button.

»)(« A	DGM				John Smith
Home	Firm Profile	My Requests	Guides and Templates		
🕈 + MY HEOU	ESIS				
Submit Nev Please ensu	w Request and required pre-requisi	tes and supporting material	are provided before submitting the request to avoid any returns for correction	n and delays, click on "Submit New Request" button to proceed.	Submit New Request

- 4. Expand the Request Type drop down and select Change in Control.
- 5. Confirm if you are seeking **approval** or notifying of a change under the Rulebook.
- 6. State the reason for approval or notification as **Change in the Level of control of an** existing controller beyond or below a specified threshold.

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays Request Yone Channel In Control							
Dratt		Under Review		Closed			
Is the Approved Person seeking approval or notifying of a change under the Rulebook*	Approval		T				
State the reason for seeking approval/notification with reference to GEN 8.8 – Changes relating to control *	Select an Option	La Controller	•)			
Comments	Cessenion of a Commoner Change in the level of control of an existing Controller beyond or below a specified threshold Add New Controller(s)						

7. Click +**Select the required Controller** button, to look up existing controllers and select the required one.

Change in Control Level Controller*				+	Select the required Controller
	Name \vee	Type \lor	% Shareholding \sim	Edit	Delete
	Company XGLo	Private Company Limited	67	🖋 Edit	Delete
Comments	BIU	िस+ स+ डा इ			

8. Specify the change in control threshold and level and indicate whether the controller has significant influence or not.

	Change in Control Level	
Please include below the Controller to which the change applies*		×
Select the relevant threshold change*		•
Specify Level of Control*		v
Specify New Shareholding %*		
Significant Influence		
Nature of Significant Influence*		
		<i>i</i>
		Cancel Save

- 9. To change additional controllers, repeat step 7 as needed.
- **10.** You have an option to add any portal users you would like to be able to view this request once submitted under **Supporting users**. By default, the request will only be visible to submitter.

Please specify other portal users who require read access to this request	search	Q	
		-	_

Note:

Please note that the users need to be added to the FSRA Connect Portal to be listed in this section.

11. Upload all required supporting documents by selecting the type of document from the File Type dropdown and then click on Upload file button.

Supporting Documents		
Select File Type*	Select an Option	2. Dathed Files Or drop files

- **12.** If there is an increase of level of control, there will be a payment to pay before submission otherwise you will be able to directly submit the request to the FSRA.
- **13.** To complete the payment, click on the **Proceed to Pay** button.



- 14. Select the Mode of Payment:
 - 3. Please refer to section <u>Card Payment</u> to view detailed steps on how to perform a card payment.
 - 4. Please refer to section <u>Bank Transfer</u> to view detailed steps on how to notify the FSRA of a bank transfer payment.
- **15.** Request will be forwarded to FSRA Authorisation team for review once payment is complete.

4.3.3 CEASSATION OF A CONTROLLER

To cease a controller, follow the below steps:

- 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 **My requests** link.
- 3. Click on the Submit New Request button.

»)(« A	DGM			John Smith
Home	Firm Profile	My Requests	Guides and Templates	
A + MY REDUE	-515			
Submit New Please ensur	v Request re all required pre-requisit	les and supporting material	re provided before submitting the request to avoid any returns for correction and delays, click on Submit New Requ	uest button to proceed.

- 4. Expand the **Request Type** drop down and select **Change in Control**.
- 5. Confirm if you are seeking approval or notifying of a change under the Rulebook.
- 6. State the reason as Cessation of a Controller.

Submit a New Request Please ensure all required pre-requisites and supporting material are provided before submitting the request to avoid any returns for correction and delays Request Type Change In Control					
Dratt Submitted		Under Review	\rangle	Closed	
Is the Approved Person seeking approval or notifying of a change under the Rulebook*	Approval		v		
State the reason for seeking approval notification with reference to GEN 8.8 – Changes relating to control *	Select an Option	a Controllar	*)	
Comments	Cessation of a Compose Change in the level of control of an existing Controller beyond or below a specified threshold Add New Controller(s)				

7. Click +**Select the required Controller** button, to look up existing controllers and select the required one.

Change in Control Level Controller*				+ se	lect the required Controller
	Name 🗸	Type 🗸	% Shareholding 🛛 🗸	Edit	Delete
	Company XGLo	Private Company Limited	67	/ Edit	💼 Delete
Comments	■• B I ⊻	ei+ ei+ ≣(⊇			

- 8. To edit additional controllers, repeat step 7 as needed.
- 9. PProvide the reason for cessation.
- **10.** You have an option to add any portal users you would like to be able to view this request once submitted under **Supporting users**. By default, the request will only be visible to submitter.

Please specify other portal users who require read access to this request	search	α

Note:

Please note that the users need to be added to the FSRA Connect Portal to be listed in this section.

11. Upload all required supporting documents by selecting the type of document from the File Type dropdown and then click on Upload file button.

Supporting Documents		
Select File Type*	Select an Option	C. Uphonel Films Or drop files

12. Request will be forwarded to FSRA Authorisation team for review once payment is complete.

5. APPLICATION FEE PAYMENT

The firm will be notified via email to complete the application - Authorisation fees. To complete the payment, follow the below steps:

- 1. Log in to FSRA Connect, from the home page then click on the **Payment ID** under the **Pending Payments** widget. The user will be redirected to the Payment page.
 - *a.* You can download and review the invoice by clicking on the Invoice download button.
 - b. You can view the outstanding amount due for payment once on the payment page.
- 2. Select the Source of Payment from the list of available values.
- 3. Select the Mode of Payment
 - *a.* Please refer section <u>Card Payment</u> to view detailed steps on how to perform a card payment.
 - *b.* Please refer to section <u>Bank Transfer</u> to view detailed steps on how to notify the FSRA of a bank transfer payment.

5.1.1 Card Payment

To complete the payment by card in USD

- 1. Select the relevant **Source of Payment** from the dropdown list.
- 2. Select Mode of Payment as Card Payment.
- 3. Select Source of Payment Type as Individual.
- 4. Provide the **First Name** and **Last Name** of the individual mentioned on the card which is being used to complete the payment.
- 5. Then, click on the **Proceed to Pay** button on the right bottom corner of the page. The Portal User will be redirected to the payment gateway page.
- 6. Once on the payment gateway page, fill out the required details.
- 7. Then, click the Pay button.
- 8. After clicking the **Pay** button, the Portal User will be redirected to a security page. Provide the requested details and click on the **Submit** button.
- 9. After providing the details on the security page, if the transaction is successful, you will be redirected to the payment details page on FSRA Connect where details related to the completed payment can be viewed.

5.1.2 Bank Transfer

The entity should complete the bank transfer to ADGM FSRA's bank account outside of FSRA Connect.

Note: The fee remitted must be net of all service charges for both sides of the transaction.

The Portal User is required to submit the details of the bank transfer on FSRA Connect so the payment can be verified by the FSRA.

On the payment page:

- 1. Select the relevant Source of Payment from the dropdown list.
- 2. Select Mode of Payment as Bank Transfer.
- 3. Scroll down to the bottom of the page to view the ADGM Bank Account Details.
- 4. Select Source of Payment type
 - a. If you select Corporate, you will need to provide the Corporate Name.
 - b. If you select **Individual**, you will need to provide the **First Name** and **Last Name** of the individual.
- 5. Provide the Bank Transfer Reference Number.
- 6. It is optional to add a description in the text area provided.
- 7. Upload the relevant Bank Transfer Confirmation file.
- 8. Check the confirmation checkbox.
- 9. Click on the Submit for Approval button at the bottom of the page.

Note:

Please note that the payment status will remain as incomplete if the above step is not completed on the system.

5.1.3 Payment partially received

If for any reason, the payment was not received in full by the FSRA, the entity will be notified via email that the outstanding amount requires payment.

Note:

- 1. Please refer to section <u>Card Payment</u> to see detailed steps on how to perform a card payment.
- 2. Please refer to section <u>Bank Transfer</u> to see detailed steps on how to notify the FSRA of a bank transfer payment.

5.1.4 Payment received from incorrect source

If for any reason, the payment was received from an incorrect source by the FSRA, the entity will be notified via email and they will have to complete the payment process again on FSRA Connect.

Note:

- 1. Please refer to section <u>Card Payment</u> to see detailed steps on how to perform card payment.
- 2. Please refer to section <u>Bank Transfer</u> to see detailed steps on how to notify the FSRA of a bank transfer payment.