

BY EMAIL

26 July 2020

To: Senior Executive Officers (SEOs) of DFSA Authorised Firms; Audit Principals of Registered Auditors; Money Laundering Reporting Officers (MLROs) of Designated Non-Financial Business or Profession (DNFBPs); and Principal Representatives of Representative Offices.

RE: Enhancements to the DFSA's Supervised Firm Contact Form (SFCF) and DFSA ePortal

Dear SEO, Audit Principal, MLRO and Principal Representative:

Over the last few years, the DFSA has streamlined the point of contact for all Firms through the SFCF and the DFSA ePortal. In order to improve the user experience and to add more functionality to this process, we are making certain enhancements. These enhancements will impact DFSA Authorised Firms, Registered Auditors, DNFBPs and Representative Offices (Firms).

The SFCF

The SFCF will relocate from the DFSA's website to the DFSA ePortal. In making this change we have taken the opportunity to enhance the SFCF's content and functionality. This will allow us flexibility to:

- Quickly adapt to and reflect current trends/demands;
- Provide relevant 'follow on' questions to obtain a detailed and accurate assessment of a request; and
- Display relevant information intended to pre-empt potential requests and potentially avoid the need to make a submission.

In addition, the DFSA's ePortal will save all submissions and provide a comprehensive email receipt to the user of the SFCF.

Other changes

In other enhancements, the completed submissions / contents of the following existing Forms on the DFSA ePortal will no longer be available, indefinitely:

- Form #2: Authorised Individual status or Principal Representative Application online version 2 8/18; and
- Form #9: Application to vary an Authorised Individual or withdraw an Authorised Individual/Principal Representative, version 1 8/19.

Firms will be able to download a copy of the completed submission for their records within three days of submission to the DFSA. After three days, the contents will no longer be available on the DFSA ePortal. This step is taken to ensure protection of sensitive personal information submitted via the ePortal.

Firms are reminded of their obligation to maintain adequate records, and should ensure that they retain / download a copy of all existing and future submissions. Firms should assume that the DFSA will not be able to assist with any requests for retrieval of these submitted forms.

As the DFSA ePortal requires a secure log in, it is realised that some regulated entities may require greater flexibility and additional log in options. Please make a submission using the existing [SFCF](#) to discuss these options.

These changes will take place on Monday, 03 August 2020. For a limited period of time, the existing SFCF will also run in parallel on the DFSA's website. However, Firms are encouraged to familiarise themselves with the enhancements and to use the new SFCF via the DFSA ePortal as soon as possible.

I take this opportunity to thank a number of Firms who assisted the DFSA with testing of the new SFCF and provided valuable feedback.

If you have any questions in relation to this letter, please contact us using the existing [SFCF](#) found on the DFSA Website.

Yours Sincerely,



Justin Baldacchino
Managing Director, Supervision

cc. Compliance Officers