



Electronic Submission User Guide

Version 1.0
Dated Mar-15-2011

Table of Contents

Introduction.....	3
System Access	3
Deactivating System Access.....	3
User Registration.....	4
Login to the System.....	5
Contact Us.....	6
System Help	7
Requesting system access to an individual.....	7
Deactivating system access to an individual	8
Submitting a Report.....	9
Submitting a Report requiring more than one signature.....	11
Resubmission of a Report	12
Application for approval, modification or withdrawal of an individual for controlled functions .	12
Deleting an application.....	14
Forgot Password.....	14
Change Email address.....	14
Change favourites	14

Introduction

This user guide is intended to provide an overview of QFC-Regulatory Authority's electronic submission system usage to submit returns electronically and making applications for approval or withdrawal of controlled functions by the QFC Regulatory Authority (QFC-RA).

The content in this guide is organised into sections to navigate quickly through the document for the relevant sections.

System Access

An individual approved to perform Senior Executive (SE) controlled function for your firm by the QFC Regulatory Authority (RA) will be granted access to the system after the firm is authorised by the RA.

The SE can in turn request access for other individuals who are approved by RA to perform any of the following controlled functions

- executive governance function
- non-executive governance function
- compliance oversight function
- risk management function
- finance function
- money laundering reporting function

Additionally authorised firm's SE, at his/her discretion, can request access to the individuals who are not authorised by RA to assist in inputting the information into the system. Upon access request from the SE for such individuals, system will grant Document Administrator role limiting their access only to input the information in to the system.

Deactivating System Access

An individual's access to the system is deactivated automatically when that individual's application to withdraw the controlled functions is processed by the RA.

Alternately, system provides the capability to SE of an authorised firm to deactivate system access to any individual.

This feature can be used by SE to deactivate document administrator accounts and also other approved individual system accounts.

User Registration

Pre-requisite: You should have received a Registration request email from the system with one time password as shown in the following picture.

Note: If you are approved to perform senior executive (SE) controlled function, system creates access request and sends you the Registration request via email.

For all other individuals SE will have to request for access as described in the Access to the System section.

User Registration for QFC Regulatory Authority - Electronic Submission Website	
QFC Number :	00888
Email address :	co@abcqatar.com
Password :	JMNXMDO444
To register on the website please click here ..	

Steps:

1. Click on the link given in the email. Alternately, you can click Register link provided on the login page.

Welcome to QFC Regulatory Authority Electronic Submission System													
<table border="1"> <thead> <tr> <th>Login</th> <th>Notice</th> </tr> </thead> <tbody> <tr> <td>Registered email: <input type="text"/></td> <td rowspan="3"> System Users: This system is meant to be used by the individuals of the firms authorised by the QFC Regulatory Authority and to use the system you need to register with the system. Please click here to Register. </td> </tr> <tr> <td>Password: <input type="password"/></td> </tr> <tr> <td>Type the code shown below: (without spaces)</td> </tr> <tr> <td colspan="2" style="text-align: center; font-size: 2em; font-weight: bold;">C P T J R</td> </tr> <tr> <td colspan="2" style="text-align: center;"> <input type="button" value="I agree to the Terms of Use and Sign in"/> </td> </tr> <tr> <td colspan="2"> Forgot Password Contact Us Help </td> </tr> </tbody> </table>	Login	Notice	Registered email: <input type="text"/>	System Users: This system is meant to be used by the individuals of the firms authorised by the QFC Regulatory Authority and to use the system you need to register with the system. Please click here to Register .	Password: <input type="password"/>	Type the code shown below: (without spaces)	C P T J R		<input type="button" value="I agree to the Terms of Use and Sign in"/>		Forgot Password Contact Us Help		Terms of Use: 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.
Login	Notice												
Registered email: <input type="text"/>	System Users: This system is meant to be used by the individuals of the firms authorised by the QFC Regulatory Authority and to use the system you need to register with the system. Please click here to Register .												
Password: <input type="password"/>													
Type the code shown below: (without spaces)													
C P T J R													
<input type="button" value="I agree to the Terms of Use and Sign in"/>													
Forgot Password Contact Us Help													
Entering Passwords: Your password is case sensitive. Please ensure that you enter it carefully, failure to do so will result in your account lock out.													

User Registration	
Enter your firm's QFC License Number:	<input type="text" value="00888"/>
Enter your Email:	<input type="text" value="co@abcqatar.com"/>
Enter your Date of Birth in dd/mon/yyyy format:	<input type="text" value="01/Jan/1972"/>
Enter Password received in Email:	<input type="password" value="●●●●●●●●"/>
<input type="button" value="Submit"/>	

2. Fill-in the details on the Registration form and hit Submit button.

QFC- Regulatory Authority Electronic Submission User Guide

Please choose your new password (Password shall have a minimum of 8 characters and a maximum of 14 characters. Password must contain at least one lower case letter and one upper case letter and one number)

Registered email:	co@abcqatar.com
Enter Your Password:	●●●●●●
Re-enter Your Password:	●●●●●●

To help recalling your password, please choose the following questions and provide answers.

Choose a question:	Select
Answer:	
Choose a question:	Select
Answer:	
Choose a question:	Select
Answer:	
Type the code shown below: (without spaces)	9 D Q L C

Create Account

3. Input the information on this page and click Create Account button
Note: please read the password guidelines provided on the page while choosing your password.

TERMS AND CONDITIONS GOVERNING THE USE OF THE QFC REGULATORY AUTHORITY'S ELECTRONIC REPORTING SYSTEM

These terms and conditions ("Terms of Use") govern the use by each Person and Authorised Firm of the online reporting facility and related intellectual property rights ("Reporting System") made available through the website by the Qatar Financial Centre Regulatory Authority of QFC Tower, West Bay, PO Box 22989, Doha,

I accept the Terms and Conditions

OK

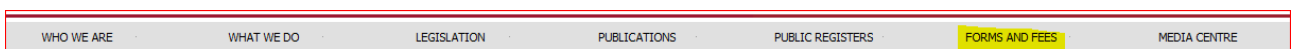
[Cancel](#)

4. Check on I accept the Terms and Conditions box
5. Click Ok button.

Login to the System

Pre-requisite: You should have registered with the System prior to logging in to the system.

Steps



1. From the QFCRA website (www.qfcra.com) click on the menu item Forms and Fees and click on the link Electronic Submission.

Welcome to QFC Regulatory Authority Electronic Submission System

Login	Notice
Registered email: <input type="text"/>	System Users: This system is meant to be used by the individuals of the firms authorised by the QFC Regulatory Authority and to use the system you need to register with the system. Please click here to Register
Password: <input type="password"/>	Terms of Use: 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.
Type the code shown below: (without spaces) 4 D P G G	Entering Passwords: Your password is case sensitive. Please ensure that you enter it carefully, failure to do so will result in your account lock out.
I agree to the Terms of Use and Sign in	Need help with the System? If you need help with the System click on the Help link at the top of the screen.
Forgot Password Contact Us Help	Need to Contact Us If you need to Contact Us for any questions click on Contact Us link at the top of the screen.

2. Enter your login information on the login page and click on I agree to the Terms of Use and Sign in button.

Contact Us

If you would like to reach us with any questions or issues, please select [Contact Us](#) option on the login page.

System support hours: Sunday to Thursday from 8:00AM to 5:30PM other than national holidays

Welcome to QFC Regulatory Authority Electronic Submission System

Login	Notice
Registered email: <input type="text"/>	System Users: This system is meant to be used by the individuals of the firms authorised by the QFC Regulatory Authority and to use the system you need to register with the system. Please click here to Register
Password: <input type="password"/>	Terms of Use: 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.
Type the code shown below: (without spaces) J 4 J 2 D	Entering Passwords: Your password is case sensitive. Please ensure that you enter it carefully, failure to do so will result in your account lock out.
I agree to the Terms of Use and Sign in	Need help with the System? If you need help with the System click on the Help link at the top of the screen.
Forgot Password Contact Us Help	Need to Contact Us If you need to Contact Us for any questions click on Contact Us link at the top of the screen.

Fill out the form and hit Submit button.

Contact Us

Data must be filled in for the fields indicated with * mark

Your feedback is important to us. To make sure we can address your questions or concerns, please fill out the following details.

User Name * :	<input type="text"/>
Firm QFCNumber * :	<input type="text"/>
Email Address * :	<input type="text"/>
Feedback Relating to :	Select ▼

Please provide a detailed description of the issue or question along with any error messages so that we can respond to you quickly * :

Type the code shown below: (without spaces)	K U Z T D
--	-----------

System Help

System help is available by clicking on the option Help on the login page

Login

Registered email:	<input type="text"/>
Password:	<input type="password"/>
Type the code shown below: (without spaces)	E A Z C A

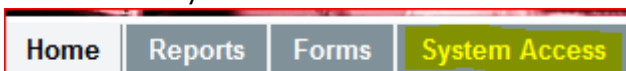
[Forgot Password](#) | [Contact Us](#) | Help

Requesting system access to an individual

Pre-requisite: This feature is available to an individual who is approved by the QFC-RA to perform the senior executive controlled function.

Steps

1. Log in to the system using your registered email and password
2. Click on the System Access menu item



3. Click on the System Access menu item

Following list of individuals have access to the System					
Name	Job Title	Date Requested	Account Registered Date	Account Registered	Deactivate
John Donovan <small>(SEF Account can not be deactivated from this option)</small>		13 Mar 2011	13 Mar 2011	Yes	

Deactivating the Individual will ONLY deactivate users's account from the system.

Request Access

Following requests for system accounts are processed			
Name	Access Type	Requested On	Registration Status
John Donovan	Grant	13/Mar/2011	Registered

4. Click on the Request Access button

Request system access for an approved individual

Request Access For:	Approved Individual
Select an Approved Individual:	Mr Masood Ansari
Approved Controlled Functions:	Executive Governance
Job Title of the Individual:	Director
Nationality of the Individual:	QATAR
Email Address of the Individual:	m.ansari@abclnc.com
Type the code shown below: <small>(without spaces)</small>	LTUEY L T U E Y

Submit Request

- Select Approved Individual item from the Request Access for list
- Input the rest of the details

5. Click on **Submit Request** button to submit the access request

Requesting system access for Document admin

Request Access For:	Document Admin
Name of the Individual:	
Job Title of the Individual:	
Date of birth of the Individual:	__/__/____
Nationality of the Individual:	Select
Email Address of the Individual:	
Confirm Email address of the Individual:	
Type the code shown below: <small>(without spaces)</small>	A N N J P A N N J P

Submit Request

- Select Document Admin item from Request Access For: list
- Input the rest of the details

5. Click on **Submit Request** button to submit the access request

6. Individual, for whom the access request is being made, will receive an email with temporary password to register with the System.

Deactivating system access to an individual

System deactivates access to an individual when the individual's application to withdraw the controlled functions is processed by the RA. However, if the firm's SE intends to deactivate system access to an individual for any other reasons (for ex: a document administrator account), SE can do that by following the steps described in the following section.

Steps

1. Log in to the system using your registered email and password
2. Click on the System Access menu item



3. Click on the System Access menu item

Following list of individuals have access to the System					
Name	Job Title	Date Requested	Account Registered Date	Account Registered	Deactivate
John Donovan (SEF Account can not be deactivated from this option)		13 Mar 2011	13 Mar 2011	Yes	

Deactivating the Individual will ONLY deactivate users's account from the system.

[Request Access](#)

Following requests for system accounts are processed			
Name	Access Type	Requested On	Registration Status
John Donovan	Grant	13/Mar/2011	Registered

4. Click on the [Deactivate](#) link against the name of individual whose access is to be deactivated.

Following list of individuals have access to the System					
Name	Job Title	Date Requested	Account Registered Date	Account Registered	Deactivate
John Donovan (SEF Account can not be deactivated from this option)		13 Mar 2011	13 Mar 2011	Yes	
Mr Masood Ansari	Director	13 Mar 2011		No	Deactivate

Submitting a Report

Pre-requisite: Report files to be submitted are filled in and ready to be submitted to RA.

Note: Refer to Prudential Returns Notice published on www.qfcra.com website for signature requirements

Steps

1. After you log-in to the system, on the front page, click on the Report name as shown in the following picture to be submitted. In this case Dec-2010 Quarterly report is to be submitted.

Home	Reports	Forms	System Access	User Profile	Contact Us	Log Out
<p>Following items are pending for submission</p> <p>Please click on the item to submit</p> <p>December - 2010 Quarterly PIIB Report due on 31/Jan/2011 needs resubmission.</p> <p>AI Application for Mr John Walker for Approval of an Individual created on 14/Mar/2011 is not submitted.</p> <p style="text-align: right;">Delete Application</p>						

(OR)

Click on Reports on the menu



1. After you log-in to the system, on the front page, click on the Report name as shown in the following picture to be submitted. In this case Dec-2010 Quarterly report is to be submitted.

Report Schedule

Report Schedule for Financial Year :

Reporting Schedule from 01/Jan/2011 to 31/Dec/2011

Reports to be submitted			
To submit a report, attach file by clicking on Attach and then click on Submit			
Report Name	December - 2010 Quarterly PIIB Report	Due Date	31/Jan/2011
Report to be signed by	This report requires one signature from any one of the following individuals who is approved by the QFC Regulatory Authority and has been provided access to this System for this purpose: Senior Executive Function, Executive Governance Function, Finance Function		Attach file
Submission Status	Submitted but returned by the Supervisor		

- Click on the Attach File button next to the Report line item.
- Click on the Browse button to locate the file on your disk or on your network mapped as a disk to your computer.

Please browse and upload the document.


C:\My Projects\Submission\Session-1\ABC

- Click Ok link. If you are one of the signatories, as stated in the *Report to be signed by* section, you can sign off on the report by clicking on sign off button.

Reports to be submitted			
To submit a report, attach file by clicking on Attach and then click on Submit			
Report Name	December - 2010 Quarterly PIIB Report	Due Date	31/Jan/2011
Attached File	ABC Qatar LLC Return 4Q-2010.xls		Attach file
Report to be signed by	This report requires one signature from any one of the following individuals who is approved by the QFC Regulatory Authority and has been provided access to this System for this purpose: Senior Executive Function, Executive Governance Function, Finance Function		Sign off
Submission Status	Submitted but returned by the Supervisor		

If you are not a document signatory or if you are a document admin, click on the Submit button.

QFC RA Web Site

 Document sign off request is notified to the signatories via email.

System sends out email to the signatories requesting them to sign off on that report prior to submitting the report to RA.

QFC Regulatory Authority - Electronic Submission of Returns

Report Name : 2009 Annual Controllers Report

Report due date: 30/Apr/2010

File name : Qatar First Bank LLC MLRO Report.docx

File attached by : Mark DA

File attached on : 24/Mar/2011

Signature(s) required by : Mark SEF or Mr Mark EG or Mr Mark CO

For further information and actions please navigate to the [following page](#) .

- Click on Sign off button

In order to submit this Form to the Regulatory Authority, the Registered Email and Password of an individual duly authorised by the permitted user submitting the form must be entered in the box below. By entering the Registered Email and Password in the box below, the individual and the permitted user will be deemed to have submitted the form to the Regulatory Authority and to have signed and, if necessary, sealed, stamped or otherwise executed the form.

Registered Email:

Password:

Sign off

[Cancel](#)

6. Enter your Registered Email and Password, confirming that you read and understood the declarations.
7. Click on Sign off button and the Report will show up in the Reports Submitted section indicating the successful report submission

Reports Submitted			
Report Name	December - 2010 Quarterly PIIB Report	Due Date	31/Jan/2011
Attached File	ABC Qatar LLC Return 4Q-2010.xls		
Report signed by	Jamie McGovern on 15/Mar/2011 11:56 AM		

8. You will receive an email from the system confirming the submission

QFC Regulatory Authority - Electronic Submission of Returns

Report Name : 2009 Annual Controllars Report
 Report due date : 30/Apr/2010
 File name : Qatar First Bank LLC MLRO Report.docx
 File Attached by : Mark DA
 File Attached On : 24/Mar/2011
 Signature(s) Completed By : Mark SEF 24/Mar/2011 11:47 AM
 For further information and actions please navigate to the [following page](#) .

Submitting a Report requiring more than one signature

1. If a report requires more than one signature [as stated in the prudential returns notice] the system notifies the request for additional signature(s) after completion of each signature until all the required signatures are completed. The report is not submitted to RA until all the signatories signed off on the report.

QFC Regulatory Authority - Electronic Submission of Returns

Report Name : 2009 Annual PIIB Report
 Report due date: 30/Apr/2010
 File name : Qatar Union Bank LLC Return 2009.xls
 File attached by : Mr Mark EG
 File attached on : 17/Mar/2011
 Signature(s) required by : Mark SEF or Mr Mark EG
 For further information and actions please navigate to the [following page](#) .

Resubmission of a Report

For any reason, a report requires resubmission your firm’s Supervisor needs to be notified and the Supervisor will respond to you when the system is ready to accept report resubmission. Thereafter the steps to resubmit a report are similar to the initial submission.

Application for approval, modification or withdrawal of an individual for controlled functions

Purpose: To make an application to RA for 1) Approval of an individual for controlled functions 2) Modification of approval of an individual’s approval 3) Withdrawal of an individual’s approval.

Who can fill in the application?

- For initial approval of an individual anyone in the firm having access to the system including document admin can fill in the application.
- Applicant can fill in his/her own application for Modification of approval or Withdrawal of an approval

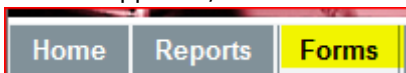
Who can sign on the application?

- Refer to the Notice on the www.qfcra.com website
- *For initial approval or subsequent modification of the approval status of an individual, if the applicant does not have access to the system already, system grants one time access to the system to sign off on his/her application*

Steps

To create an application

1. Click on Approval/Withdrawal of an individual from the Forms menu



2. Click on the link Approval/Withdrawal of an Individual

*Data must be filled in for the fields indicated with * mark*

Purpose of the Application

Purpose of the Application *: Approval of an Individual

1 Firm's contact details

1.1 Name of firm

ABC Qatar LLC

1.2 Name and position of firm's main contact for this application

Name of main contact *: Mr Abdulla Rayes

Position of main contact *: Compliance officer



1.3 Office address of main contact

Address line 1 *: 16th floor	Address line 2 :
Address line 3 :	Address line 4 :
City *: doha	State :
Country *: QATAR	Zip/Postal code :

3. Select Purpose of the Application from the list
4. Fill in all the details in this page and click save button.
5. An Application form is created with several sections/tabs based on the purpose of the application.

6. Fill in all sections.

Notes:

- As and when information in each section is filled in, the visual icon changes from  to  indicate that all the mandatory information is filled in.
- Mandatory fields in each section/tab are indicated with a * mark next to the field name.
- Application can be filled in section by section and can be saved each section separately at different points in time.

7. Attachments to the application can be attached in the Attachments section.

8. After all the sections are filled in, in the Declarations section, click on the Get Sign Off from Applicant button to get the sign off from the applicant on this application.

9. System requests the applicant via email, provided in the Individual Details section → email address field, for his/her approval. Also, system provides one time password if the applicant does not have access to the system already.
10. Applicant can register (refer to the User Registration section) with the system and then log-in and sign off the application.

- System requests the firm’s signatories (two signatories having accounts to the system) via email for their approval.

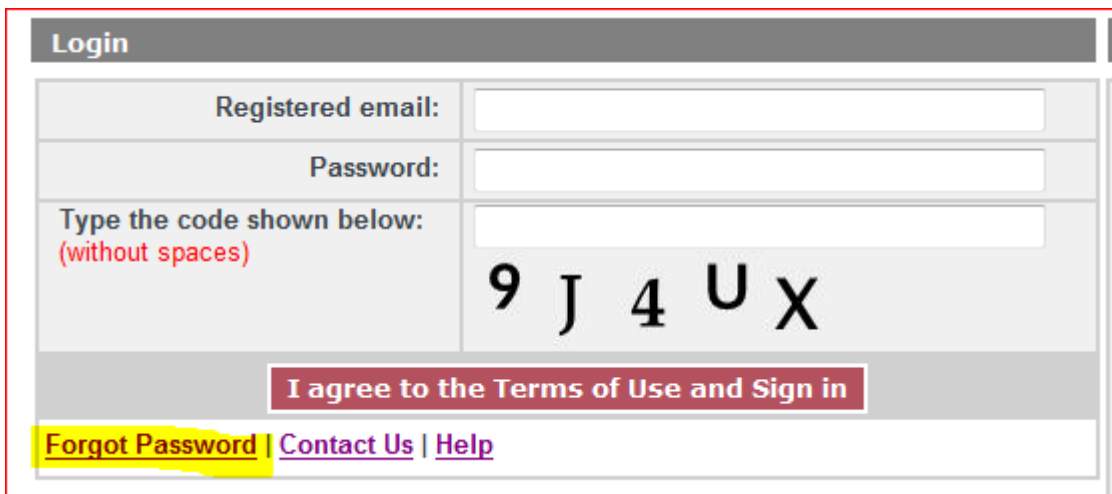
Deleting an application

An application which is not submitted to RA can be deleted by the person created the application. To delete the application, click on the Delete Application button next to the AI Application record.



Forgot Password

If you forgot your password, you can click the Forgot Password link on the login page



Change Email address

If your email address is changed, you can update the system by selecting the option Change Email underneath User Profile Menu Item



Change favourites

If you need to change answers to your favourite questions you can do so by selecting the option Change favourites underneath User Profile Menu item.