



هيئة تنظيم
مركز قطر للمال
QATAR FINANCIAL CENTRE
REGULATORY AUTHORITY

Qatar Financial Centre Regulatory Authority (QFCRA)

Electronic Submission System (ESS) User Guide

Version 1.6

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Introduction

This user guide provides instructions on how to use the QFC Regulatory Authority's (QFCRA) Electronic Submission System (ESS). This guide should be read in conjunction with the document, which sets out the Terms and Conditions governing the usage of the Electronic Submission System and is accessible from the link "Term of Use" on the ESS Site.

The Electronic Submission System is intended to be used by individuals from any Firm authorised by the Regulatory Authority to carry out Regulated Activities or licensed by the QFC Authority to engage in activities of that of a Designated Non-Financial Business or Profession (DNFBP) as described in AML/CFTR 1.3.3 to submit the following Returns and Forms electronically.

- Periodic submission of Financial Returns/Reports (both XBRL and non-XBRL based returns) following Supervisory Reporting Schedules
- Form Q03 - Controlled Function Application
- Form Q12 - Controlled Function Withdrawal
- Form Q05 - Application for Waiver or Modification
- Form Q06A - Controller Notice - Authorised Firms
- Form Q07 - Notifications
- Form Q14 - General Submission form

To allow the reader to navigate quickly to the relevant topics, the content of this document is organized in a question and answer format.

1. Who can have access to the Electronic Submission System?

- A. Individuals from the QFCRA Authorised Firms who are approved to perform any of the following controlled functions can have access to the Electronic Submission System.
- senior executive function (SEF)
 - executive governance function (EG)
 - non-executive governance function (NEG)
 - compliance oversight function (CO)
 - risk management function (RM)
 - finance function (FF)
 - money laundering reporting function (MLRO)
- B. Individuals who are registered to perform any of the following required functions for firms licensed by the QFCA to engage in DNFBP activities can have access to the Electronic Submission System.
- senior executive function (SEF)
 - money laundering reporting function (MLRO)
 - deputy money laundering reporting function (DMLRO)
- C. In addition, to assist in transcribing information into the Electronic Submission System or to submit forms that do not require electronic sign-offs in the system, individuals who are not performing any controlled functions can also have access to the Electronic Submission System. In these cases, the SEF of a firm can grant a **Document Administrator** role to those individuals.

Note:

1. Refer to the [Lodgement Requirements \(Electronic Submission\) Notice 2015 \(No. 1\)](#) and [Lodgement Requirements \(Electronic Submission\) \(DNFBPs\) Notice 2017 \(No. 1\)](#) to learn more about the controlled/registered functions of individuals who can prepare, electronically sign or give documents to the QFCRA.
2. Access requests to the Electronic Submission System can only be made by the individual who is approved by the QFCRA (for authorised firms) or registered with the QFCA (for DNFBPs) to perform the senior executive function. Refer to [How do I create an access request in the Electronic Submission System?](#), to learn more about how to make an access request.

2. How do I get access to the Electronic Submission System?

- If you are approved (Authorised Firms) or registered (DNFBPs) to perform the Senior Executive Function (SEF) for your firm, the Electronic Submission System creates an account for you automatically. You will receive an email, similar to the one shown below, with a one-time password requesting you to register, soon after your controlled function is approved or required function is registered.

User Registration for QFC Regulatory Authority - Electronic Submission Website

To submit returns to QFC Regulatory Authority electronically an account is created for you on their Electronic Submission Website. To provide your signature, login to the website <https://efrms.qfcra.com/ESubmission/Pages/Home/Login.aspx> and use the credentials provided in this email.

Since you will be using this website for the first time, after you login to this website with the credentials provided in this email, site will prompt you to set the answers to your favourite questions and allows you to change the password that you can remember.

Please note that, you will be prompted to enter the answers, as set by you, to the favourite questions whenever you request a new password to access this website.

Email address : sef@abcQatar.com

Password : OOLBNUC586

QFC Number : 00024

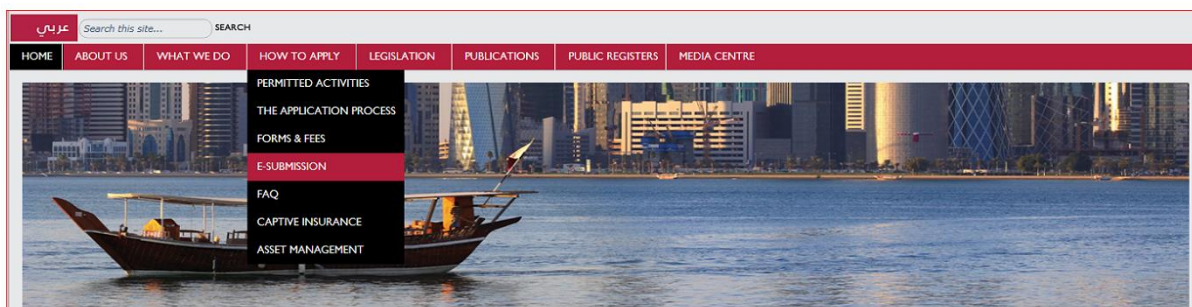
- If you are approved or registered to perform a controlled or required function other than the Senior Executive Function (SEF), you should request your SEF to make an account request for you. After your account request is received and processed by the Electronic Submission System, you will receive a registration request email, similar to the one shown above, with a one-time password.

3. How do I login to the Electronic Submission System?

You need to have a valid ESS account to login to the Electronic Submission System. If you don't have an account, refer to the section [How do I get access to the Electronic Submission System?](#)

Steps to login

- From the QFCRA website (www.qfcra.com) click on the menu item **"HOW TO APPLY"** and then click on the item **"E-SUBMISSION"**.



- Click on the link provided on the page displayed.

E-SUBMISSION

The E-Submission system accepts the following forms and returns:

Individual Forms

Q03	Controlled function application
Q12	Controlled function withdrawal

Prudential Return

Banking Return	Prudential Returns (Banking, Investment Management and Advisory Firms)
Insurance Return	Prudential Returns (Insurance)

General Forms

Q05	Application for Waiver or Modification
Q06A	Controller Notice — Authorised Firms
Q07	Notifications
Q14	General Submission Form

Click [here](#) to access the QFC Regulatory Authority Electronic Submission System

If you need help with the E-submissions, click [here](#) to go through the User Guide

- Provide your login information on the login page and click on **"I agree to the Terms of Use and Sign in"** button.

Welcome to QFC **Regulatory Authority** Electronic Submission System

Login	Notice
<p>Registered email: <input type="text"/></p> <p>Password: <input type="password"/></p> <p>Type the code shown below: (without spaces) G Q 2 7 Y</p> <p>Forgot Password Contact Us Help</p> <p>Download XBRL iFile Installer/Manual from here You can find QFC-Regulatory Authority Forms here.</p> <p>This website works best with Firefox 3 and above, Internet Explorer 7 and above.</p>	<p>System Users: This system is meant to be used by the individuals from the firms which are authorised by the QFC Regulatory Authority or licensed by the QFC Authority to engage in activities of that of a Designated Non-Financial Business or Profession (DNFBP).</p> <p>Terms of Use: Please read the Terms of Use before signing in. You shall be deemed to have read and accepted the Terms of Use when you sign in.</p> <p>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.</p> <p>Need help with the System? If you need help with the System click on Help.</p> <p>Need to Contact Us Click on Contact Us for any questions.</p>

I agree to the Terms of Use and Sign in

Additional steps for first time login

The Electronic Submission System prompts you to provide additional information if you are logging into the Electronic Submission System for the first time.

- Provide your firm's QFC license number
- Provide your date of birth by making use of lists provided for day, month and year.
- Click on the **"Submit"** button.

User Registration

Since you are using this site for the first time you will be prompted to enter your firm's QFC number and your date of birth. After you enter them correctly, you will be allowed to choose your password and set answers to your favourite questions. Please note that you will be prompted to enter the answers, as set by you, to the favourite questions whenever you request a new password to access this website.

Enter your firm's QFC License Number:	<input type="text"/>
Enter your Date of Birth in dd/mon/yyyy format:	DD ▾ */ MM ▾ */ YYYY ▾ *

Submit

4. The Electronic Submission System will prompt you to enter additional information (Password and answers to your favourite questions)

5. Fill the form and click on the **"Create Account"** button.

Note: please read the password guidelines as mentioned on the page while choosing your password.

User Registration

Since you are new to this site, you will be prompted to enter your firm's QFC number and your date of birth to verify your identity. After you enter them correctly, you will be allowed to choose a password that you can remember; also you will be prompted to set up answers to few questions. Please note that you will be prompted to enter the answers to the questions in the event that you forgot your password and trying to reset your password.

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:	john@Qatarfirst.com
Enter Your Password:	<input type="password"/>
Re-enter Your Password:	<input type="password"/>

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

Choose a question:	Select ▾
Answer:	<input type="text"/>
Choose a question:	Select ▾
Answer:	<input type="text"/>
Choose a question:	Select ▾
Answer:	<input type="text"/>
Type the code shown below: (without spaces)	4 2 F N J

Create Account

6. Click on **"I accept the Terms and Conditions"** check box

7. Click the **"OK"** button.

**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

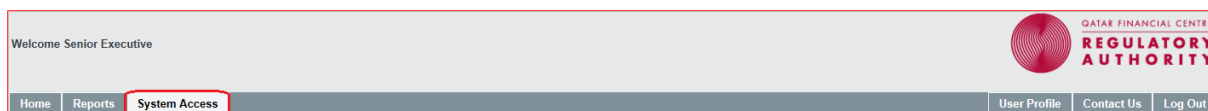
[Cancel](#)

4. How do I create an access request in the Electronic Submission System?

This feature is accessible only to the individual who is approved or registered to perform the Senior Executive Function (SEF) for your firm.

Steps

1. Log in to the Electronic Submission System using your registered email and password
2. Click on the "**System Access**" menu item



3. Click on the "**Request Access**" button

Administration

Following list of individuals have access to the System

Name	Job Title	Date Requested	Account Registered Date	Account Registered	Deactivate
Senior Executive (SEF Account can not be deactivated from this option)		16 Dec 2014	16 Dec 2014	Yes	

Deactivating the Individual will **only** deactivate user's account from the system.

Request Access

Following requests for system accounts are processed in the last 30 days

Name	Access Type	Requested On	Registration Status
Senior Executive	Grant	16/Dec/2014	Registered

Requesting ESS access for an Approved Individual from an Authorised firm

1. Select Approved Individual from the "**Request access for**" list
2. Provide rest of the details
3. Click on "**Submit Request**" button to submit the access request

Request Access for:

Select an Approved Individual:

Approved Controlled Functions:

Job title of the Individual:

Email address of the Individual:

Type the code shown below:
(without spaces)

jvrt3 x

J V R T 3

Submit Request

Requesting ESS access for a Registered Individual from a DNFBP firm

1. Select Registered Individual item from the "**Request access for**" list
2. Provide rest of the details
3. Click on "**Submit Request**" button to submit the access request

Request Access for:	Registered Individual
Select a Registered Individual:	Mr DNFBP MLRO
Required Functions Assigned:	DNFBP MLRO
Job title of the Individual:	MLRO
Date of birth of the Individual:	/ /
Nationality of the Individual:	Select
Email address of the Individual:	dnfbp.miro@test.com
Type the code shown below: (without spaces)	T Q Q T R
Submit Request	

Requesting ESS access for Document Administrators (individuals not performing the QFCRA approved controlled functions or registered required functions)

1. Select Document Admin item from “**Request access for**” list
2. Provide rest of the details
3. Click on “**Submit Request**” button to submit the access request

Request Access for:	Document Admin
Name of the Individual:	
Job title of the Individual:	
Date of birth of the Individual:	/ /
Nationality of the Individual:	AFGHANISTAN
Email address of the Individual:	
Confirm email address of the Individual:	
Type the code shown below: (without spaces)	J A 8 2 Y
Submit Request	

4. The individual, for whom the access request is being made, will receive an email with a temporary password to register with the Electronic Submission System.

5. How do I deactivate ESS access for an individual?

An Approved or Registered Individual's System access is deactivated automatically when:

- An individual's application to withdraw the controlled functions has been processed by the QFCRA (or)
- On the date from which the individual ceases to perform the controlled or required function as specified in the modification/withdrawal application.

Alternately, the Electronic Submission System also provides a feature, accessible only to the SEF, to deactivate access to the Electronic Submission System for any individual. This feature can be used by the SEF to deactivate Document Administrators' accounts and other Approved Individuals' accounts.

Steps

1. Log in to the Electronic Submission System using your registered email and password
2. Click on the “**System Access**” menu item

Welcome Senior Executive

QATAR FINANCIAL CENTRE
REGULATORY AUTHORITY

Home Reports **System Access** User Profile Contact Us Log Out

- Click on the “**Deactivate**” link against the name of individual whose access is to be deactivated.

Administration

Following list of individuals have access to the System

Name	Job Title	Date Requested	Account Registered Date	Account Registered	Deactivate
Senior Executive (SEF Account can not be deactivated from this option)		16 Dec 2014	16 Dec 2014	Yes	
Compliance And Miro	Vice President, Compliance & AML	16 Dec 2014	16 Dec 2014	Yes	Deactivate
Finance Wizard	Chief Financial Officer	16 Dec 2014		No	Deactivate
Risk Manager	President, Risk Management	16 Dec 2014		No	Deactivate

Deactivating the Individual will **only** deactivate user's account from the system.

[Request Access](#)

Following requests for system accounts are processed in the last 30 days

Name	Access Type	Requested On	Registration Status
Risk Manager	Grant	16/Dec/2014	Not Registered
Finance Wizard	Grant	16/Dec/2014	Not Registered
Compliance And Miro	Grant	16/Dec/2014	Registered
Senior Executive	Grant	16/Dec/2014	Registered

6. How do I reset my password?

- If you have forgotten your password and would like to setup a new password, you can click the “**Forgot Password**” link on the login page.

Welcome to QFC **Regulatory Authority** Electronic Submission System

Login

Registered email:

Password:

Type the code shown below:
(without spaces) **L K Q K P**

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

[I agree to the Terms of Use and Sign in](#)

Download XBRL iFile Installer from [here](#)

You can find QFC-Regulatory Authority Forms [here](#).

This website works best with Firefox 3 and above, Internet Explorer 7 and above.

Notice

System Users:
This system is meant to be used by the individuals from the firms which are authorised by the QFC Regulatory Authority.

Terms of Use:
Please read the [Terms of Use](#) before signing in. You shall be deemed to have read and accepted the [Terms of Use](#) when you sign in.

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.

Need help with the System?
If you need help with the System click on [Help](#).

Need to Contact Us
Click on [Contact Us](#) for any questions.

- Enter your registered email address, the code displayed on the screen and click on the “**Submit**” button

Forgot Password

Email Address :

Type the code shown below :
(without spaces) **gc9zz**

GC9ZZ

[Submit](#)

- Select from the list of displayed security questions (chosen at the time of your user account registration), enter the answer (provided at the time of your user account registration) and click on the “**Reset Password**” button

Forgot Password

Please provide answer for at least one question


Select Question : Select

Answer :

Reset Password

- On answering the security question successfully, a confirmation message will be displayed intimating you of an email that will be sent to your registered email address. This email contains a link that will allow you to reset your password.

Confirmation


A link has been sent to your email address to reset your password [Log In](#)

Reset Password

To reset your password please click the following link.

[click here](#)

7. How do I submit an XBRL-based Prudential Report?

If you are required to submit an XBRL based Prudential Return, use the iFile Desktop Client software to enter your data and then generate the Prudential Return. Instructions on how to generate the Prudential return using the iFile Desktop Client software can be found in the iFile User Guide.

All XBRL-based prudential reports require signatures from two individuals who are approved by the QFC Regulatory Authority. The first signature is called the Submission Sign-Off and the second signature is called the Completion Sign-Off.

Steps

- Using the iFile Desktop Client software, generate the required Prudential Return.
- Log in to the QFCRA Electronic Submission System and click on the report name that requires an XBRL based Prudential Return to be submitted (or) Click on **"Reports"** menu.
- Upload your filing by clicking 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.
- Click **"OK"** link. On clicking the **"OK"** link, your filing will be queued for validation by the Electronic Submission System.
- Once the Electronic Submission System has completed validation of your filing, you will receive an email notification with instructions on the next steps to be performed to continue with your submission. Samples of email notifications you might receive are shown below:
 - On validation failure:

QFC Regulatory Authority - Electronic Submission of March - 2014 Monthly Prudential Returns (Solo)

Please find the status of your submission for March - 2014 Monthly Prudential Returns (Solo) and subsequent action(s) requested below:

Return To Be Submitted : March - 2014 Monthly Prudential Returns (Solo)
Submission Due Date : 30/Apr/2014
Validation Completed Date : 14/Jul/2014 10:47 AM
Validation Status : Validation failed with system generated errors.
Action Requested : You are requested to correct the errors and submit the file again. To view the errors, please login to the [QFCRA Electronic Submission System](#) and navigate to the Reporting Item.

b. On validation completion with warnings:

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)

Please find the status of your submission for September - 2014 Quarterly Prudential Returns (Solo) and subsequent action(s) requested below:

Return To Be Submitted : September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date : 31/Oct/2014
Validation Completed Date : 21/Oct/2014 02:59 PM
Validation Status : Validation completed with system generated warnings.
Action Requested : You are requested to login to [ESS](#) and electronically sign-off this return for it to be submitted to the QFCRA. Also, note that you are requested to provide explanations for the system generated warnings on or before the due date of this Return.
Action Required by : Ms. Finance Manager or Mr. Risk Manager or Mr. Compliance Oversight

Please refer to the following certification and rendition of returns section:

Certification and rendition of returns:

This return rendered to the QFC Regulatory Authority shall be signed off by the individual approved by the QFCRA for the Finance Function. This individual shall sign and certify the prescribed form(s) in respect of each return indicated on the said form(s). When this approved individual is not available to sign the completed form(s), another individual approved by the QFCRA for the Risk Management or Compliance Oversight Function shall sign the said form(s) and his/her office shall be clearly stated on the form(s).

c. On validation completion without any errors or warnings:

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)

Please find the status of your submission for September - 2014 Quarterly Prudential Returns (Solo) and subsequent action (s) requested below:

Return To Be Submitted : September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date : 31/Oct/2014
Validation Completed Date : 13/Oct/2014 03:29 PM
Validation Status : Validation completed without any errors or warnings.
Action Requested : You are requested to login to [ESS](#) and electronically sign-off this return for it to be submitted to the QFCRA.
Action Required by : Ms. Finance Manager or Mr. Risk Manager or Mr. Compliance Oversight

Please refer to the following certification and rendition of returns section:

Certification and rendition of returns:

This return rendered to the QFC Regulatory Authority shall be signed off by the individual approved by the QFCRA for the Finance Function. This individual shall sign and certify the prescribed form(s) in respect of each return indicated on the said form(s). When this approved individual is not available to sign the completed form(s), another individual approved by the QFCRA for the Risk Management or Compliance Oversight Function shall sign the said form(s) and his/her office shall be clearly stated on the form(s).

7. Depending on the outcome of the validation, you will be required to perform any one of the following steps:
 - a. If the validation of your filing has failed, you will have to correct all the errors as listed on the "Errors" page and resubmit your filing.
 - o To view the errors generated by the Electronic Submission System, click on the "Errors" link as shown in the screen shot below.

Report Name	March - 2014 Quarterly Prudential Returns (Solo)		Due Date	30/Apr/2014
Submission Type	Regular	Additional Forms to be submitted		
Attached File	tv-error-encrypt.xml			
Report to be signed by	This report requires signatures from two individuals who are approved by the QFC Regulatory Authority and have been provided access to this System for this purpose. The first (submission sign-off) signature should be provided by the Finance Function . If the Finance Function is not available then either the Risk Management Function or Compliance Oversight Function may sign-off. The second (completion sign-off) signature should be provided by the Senior Executive Function . If the Senior Executive Function is not available then either the Risk Management Function or Executive Governance Function may sign-off.			Attach file
Submission Status	Validation Failed			
Next Steps / Instructions	Your submission has failed validation. To view errors identified, please click on the "Errors" link. You are requested to correct all errors and submit the file again.			
Links	History Errors			

- o To export a copy of all the errors and/or warnings generated by the Electronic Submission System into Microsoft Excel, click on the "Export To Excel" button.

Validation Results For: March - 2014 Quarterly Prudential Returns (Solo)

Submission Details				
Report Name	March - 2014 Quarterly Prudential Returns (Solo)		Due Date	30/Apr/2014
Additional Forms to be submitted			Submission Type	Regular
File Name	tv-error-encrypt.xml		Submitted Date	11/Jul/2014

Show 5

[Export To Excel](#)
[Back to Schedule](#)

Errors (Total errors: 6)				
1.	Rule ID	[Ins Err, 6] xbrldie:ExplicitMemberUndefinedQNameError	Rule Description	The QName value of the xbrldie:explicitMember element is not an element defined in the taxonomy schema.:asof_20140331_DM000033_DM000002
2.	Rule ID	[Ins Err, 6] xbrldie:ExplicitMemberUndefinedQNameError	Rule Description	The QName value of the xbrldie:explicitMember element is not an element defined in the taxonomy schema.:asof_20140331_DM000033_DM000002
3.	Rule ID	[Ins Err, 2] xbrldie:PrimaryItemDimensionallyInvalidError	Rule Description	The primary item contains invalid hypercubes in all base sets

Element Details	Values	Sheet Name	Cell Reference
No link found, Element Id: qfcra_PE000005, Context Id: asof_20140331_DM000033_DM000002		NA	NA

- b. If the validation of your filing has passed with some warnings, you can proceed with completing the "Submission Sign-Off" by clicking the "Signoff" if you are one of the signatories as stated in the "Report to be signed by" section. If you are not one of the signatories, you can submit the filing for "Submission Sign-Off" by clicking on the "Submit" button. However, your filing will not be considered until you have provided explanations for all warnings and have provided the "Completion Sign-Off".
- To view and/or provide explanations for warnings generated by the Electronic Submission System, click on the "Warnings" link as shown in the screen shot below.

Report Name	February - 2014 Monthly Prudential Returns (Solo)		Due Date	31/Mar/2014
Submission Type	Custom	Additional Forms to be submitted	BR350	
Attached File	tv-feb-custom.xml			
Report to be signed by	This report requires signatures from two individuals who are approved by the QFC Regulatory Authority and have been provided access to this System for this purpose. The first (submission sign-off) signature should be provided by the Finance Function . If the Finance Function is not available then either the Risk Management Function or Compliance Oversight Function may sign-off. The second (completion sign-off) signature should be provided by the Senior Executive Function . If the Senior Executive Function is not available then either the Risk Management Function or Executive Governance Function may sign-off.			
Submission Status	Submission Sign Off Pending (with warnings)			
Next Steps / Instructions	Your submission has passed validation with some warnings. Submission sign-off on filing is pending. The submission sign-off has to be performed by Faris Ahmad Faris Ahmad. If Faris Ahmad Faris Ahmad is not available, Mr Walid El Shikha can sign-off.			
Links	History View in Excel Warnings			

[Attach file](#)
[Sign off](#)

- To export a copy of all warnings generated by the Electronic Submission System into Microsoft Excel, click on the "Export To Excel" button. To provide explanations for warnings generated by the Electronic Submission System, enter your response in the "Explanation" field and click on the "Save" button shown in the screen shot below.

Validation Results For: February - 2014 Monthly Prudential Returns (Solo)

Submission Details				
Report Name	February - 2014 Monthly Prudential Returns (Solo)		Due Date	31/Mar/2014
Additional Forms to be submitted	BR350		Submission Type	Custom
File Name	tv-feb-custom.xml		Submitted Date	11/Jul/2014

Show 5

[Export To Excel](#)
[Back to Schedule](#)
[Save](#)

Warnings (Total warnings: 35)																				
1.	Rule ID	BR13	Rule Description	Current Year to date value for Line item of Current period filing (X) should be equal to Current period value for Line item of Current period filing (Y) plus Current Year to date value of for Line item of Previous period filing (Z) . X= Y+Z																
<table border="1"> <thead> <tr> <th>Element Details</th> <th>Values</th> <th>Sheet Name</th> <th>Cell Reference</th> </tr> </thead> <tbody> <tr> <td>No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140228</td> <td>0</td> <td>NA</td> <td>NA</td> </tr> <tr> <td>No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140201_20140228</td> <td>0</td> <td>NA</td> <td>NA</td> </tr> <tr> <td>No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140131</td> <td>736</td> <td>NA</td> <td>NA</td> </tr> </tbody> </table>					Element Details	Values	Sheet Name	Cell Reference	No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140228	0	NA	NA	No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140201_20140228	0	NA	NA	No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140131	736	NA	NA
Element Details	Values	Sheet Name	Cell Reference																	
No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140228	0	NA	NA																	
No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140201_20140228	0	NA	NA																	
No link found, Element Id: qfcra_PE000480, Context Id: fromto_20140101_20140131	736	NA	NA																	
Explanation :																				

- c. If the validation of your filing has passed without any errors or warnings, you can proceed with completing the **"Submission Sign-Off"** by clicking the **"Signoff"** if you are one of the signatories as stated in the **"Report to be signed by"** section. If you are not one of the signatories, you can submit the filing for **"Submission Sign-Off"** by clicking on the **"Submit"** button.
8. You will receive an email notification once the **"Submission Sign-Off"** signature has been provided. Samples of the email notifications that you might receive are shown below.
- a. On completion of **"Submission Sign-Off"** for a filing with warnings:

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)	
Return To Be Submitted :	September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date :	31/Oct/2014
Validation Completed Date :	22/Oct/2014 01:59 PM
Validation Status :	Validation completed with system generated warnings.
Submission Sign-off Completed By :	Ms. Finance Manager
Submission Sign-off Completed Date :	22/Oct/2014 04:25 PM
A copy of this return has been submitted to the QFCRA. However, you are requested to provide explanations for all system generated warnings for this return and have it electronically signed on or before the due date of this return.	

- b. On completion of **"Submission Sign-Off"** for a filing without any warnings:

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)	
Please find the status of your submission for September - 2014 Quarterly Prudential Returns (Solo) and subsequent action (s) requested below:	
Return To Be Submitted :	September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date :	31/Oct/2014
Validation Completed Date :	13/Oct/2014 03:29 PM
Validation Status :	Validation completed without any errors or warnings.
Submission Sign-off Completed By :	Ms. Finance Manager
Submission Sign-off Completed Date :	13/Oct/2014 03:40 PM
Action Requested :	You are requested to electronically sign-off this return for it to be considered a complete submission.
Action Required By :	Mrs. Senior Executive
Please refer to the following certification and rendition of returns section:	
Certification and rendition of returns:	
This return rendered to the QFC Regulatory Authority shall be signed off by the individual approved by the QFCRA for the Senior Executive Function. This individual shall sign and certify the prescribed form(s) in respect of each return indicated on the said form(s) and shall include any explanations to warnings generated by the QFCRA Electronic Submission System. When this approved individual is not available to sign the completed form(s), any other individual approved by the QFCRA for the Risk Management or Executive Governance Function shall sign the said form(s) and his office shall be clearly stated on the form(s).	

9. Once the **"Submission Sign-Off"** has been completed for a filing and explanations have been provided for any warnings that were generated by the Electronic Submission System, you can proceed with completing the **"Completion Sign-Off"** by clicking the **"Confirm & Signoff"** button on the **"Warnings"** page if you are one of the signatories as stated in the **"Report to be signed by"** section. If you are not one of the signatories, you can submit the filing for **"Completion Sign-Off"**

by clicking on the “**Confirm & Submit**” button on the “**Warnings**” page. An email notification will be sent to the authorised signatories as shown below:

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)	
Please find the status of your submission for September - 2014 Quarterly Prudential Returns (Solo) and subsequent action (s) requested below:	
Return To Be Submitted :	September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date :	31/Oct/2014
Validation Completed Date :	22/Oct/2014 01:59 PM
Validation Status :	Validation completed with system generated warnings.
Submission Sign-off Completed By :	Ms. Finance Manager
Submission Sign-off Completed Date :	22/Oct/2014 04:25 PM
Action Requested :	You are requested to provide and/or review explanations for all system generated warnings and then electronically sign-off this return for it to be considered a complete submission
Action Required By :	Mrs. Senior Executive
Please refer to the following certification and rendition of returns section:	
<u>Certification and rendition of returns:</u>	
This return rendered to the QFC Regulatory Authority shall be signed off by the individual approved by the QFCRA for the Senior Executive Function. This individual shall sign and certify the prescribed form(s) in respect of each return indicated on the said form(s) and shall include any explanations to warnings generated by the QFCRA Electronic Submission System. When this approved individual is not available to sign the completed form(s), any other individual approved by the QFCRA for the Risk Management or Executive Governance Function shall sign the said form(s) and his office shall be clearly stated on the form(s).	

10. On the “**Completion Sign-Off**” signature being provided, you will receive an email from the Electronic Submission System confirming the submission. A sample email notification is shown below.

QFC Regulatory Authority - Electronic Submission of September - 2014 Quarterly Prudential Returns (Solo)	
Return To Be Submitted :	September - 2014 Quarterly Prudential Returns (Solo)
Submission Due Date :	31/Oct/2014
Submission Sign-off Completed By :	Ms. Finance Manager
Submission Sign-off Completed Date :	13/Oct/2014 03:40 PM
Completion Sign-off Completed By :	Mrs. Senior Executive
Completion Sign-off Completed Date :	13/Oct/2014 03:50 PM
The Regulatory Authority acknowledges safe receipt of your September - 2014 Quarterly Prudential Returns (Solo) that was due on 31/Oct/2014. This will now be reviewed by your supervisory team at the Regulatory Authority and they will contact you directly if further information, clarification or resubmission is required. In the event that the return is found to be incomplete or inaccurate in a material respect, or in any other respect in contravention of a relevant requirement, you may be charged a fee in accordance with Part 10.7 of the General Rulebook.	

8. How do I submit a non-XBRL Report?

Pre-requisite: An electronic copy of the Return duly completed and ready to be uploaded onto the system.

Note: Authorised firms may refer to [Lodgement Requirements \(Electronic Submission\) Notice 2015 \(No. 1\)](#) published on the [QFCRA website](#) for signature requirements. DNFBP firms may refer to the [Lodgement Requirements \(Electronic Submission\) \(DNFBPs\) Notice 2017 \(No. 1\)](#).

Steps

1. After you log-in to the Electronic Submission System, on the front page, click on the Report name as shown in the following picture to be submitted. In this case September – 2014 Semi-Annual Capital Adequacy Report is to be submitted.

Following items are pending for submission
Please click on the item to submit
November - 2014 Monthly Prudential Returns (Solo) due on 31/Dec/2014.
September - 2014 Semi-Annual Capital Adequacy Report due on 31/Dec/2014.
Reporting Schedules
Please click here to view Reporting schedules


(OR)

Click on the “**here**” link displayed in the “**Reporting Schedules**” section

Following items are pending for submission
Please click on the item to submit
November - 2014 Monthly Prudential Returns (Solo) due on 31/Dec/2014.
September - 2014 Semi-Annual Capital Adequacy Report due on 31/Dec/2014.
Reporting Schedules
Please click here to view Reporting schedules

(OR)

Click on the “**Reports**” menu displayed in the Home page.

 QATAR FINANCIAL CENTRE REGULATORY AUTHORITY		
Home	Reports	System Access
		User Profile Contact Us Log Out Change Password Change Email Change favourites

2. Click on the “**Attach File**” button next to the Report line item.

Reporting Schedule from 01/Aug/2014 to 31/Dec/2014			
Reports to be submitted			
To submit a report, attach file by clicking on Attach and then click on Submit			
Report Name	November - 2014 Monthly Prudential Returns (Solo)	Due Date	31/Dec/2014
Submission Type	Regular	Additional Forms to be submitted	
Report to be signed by	This report requires signatures from two individuals who are approved by the QFC Regulatory Authority and have been provided access to this System for this purpose. The first (submission sign-off) signature should be provided by the Finance Function . If the Finance Function is not available then either the Risk Management Function or Compliance Oversight Function may sign-off. The second (completion sign-off) signature should be provided by the Senior Executive Function . If the Senior Executive Function is not available then either the Risk Management Function or Executive Governance Function may sign-off.		Attach file
Report Name	September - 2014 Semi-Annual Capital Adequacy Report	Due Date	31/Dec/2014
Submission Type	Custom		
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

3. 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\le Submission\Session-1\ABC

Browse...

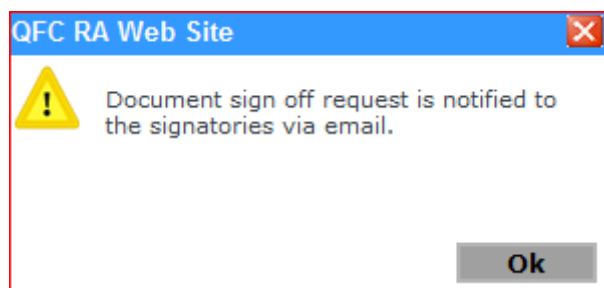
OK

Cancel

4. 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 “**Submit**” button.

Reporting Schedule from 01/Aug/2014 to 31/Dec/2014			
Reports to be submitted			
To submit a report, attach file by clicking on Attach and then click on Submit			
Report Name	November - 2014 Monthly Prudential Returns (Solo)	Due Date	31/Dec/2014
Submission Type	Regular	Additional Forms to be submitted	
Report to be signed by	This report requires signatures from two individuals who are approved by the QFC Regulatory Authority and have been provided access to this System for this purpose. The first (submission sign-off) signature should be provided by the Finance Function . If the Finance Function is not available then either the Risk Management Function or Compliance Oversight Function may sign-off. The second (completion sign-off) signature should be provided by the Senior Executive Function . If the Senior Executive Function is not available then either the Risk Management Function or Executive Governance Function may sign-off.		Attach file
Report Name	September - 2014 Semi-Annual Capital Adequacy Report	Due Date	31/Dec/2014
Submission Type	Custom		
Attached File	Sep-2014 Capital Adequacy Report.pdf		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		Submit
Submission Status	File Uploaded		
Links	History		

If you are not a document signatory or if you are a document administrator, click on the “**Submit**” button.



The Electronic Submission System will send out an email to the signatories requesting them to sign off on that report prior to submitting the report to the QFCRA.

QFC Regulatory Authority - Electronic Submission of Returns	
Report Name :	September - 2014 Semi-Annual Capital Adequacy Report
Report Due Date :	31/Dec/2014
File Name :	Sep-2014 Capital Adequacy Report.pdf
Attached By :	Ms. Secretary
Attached On :	22/Dec/2014 09:04 PM
Signature(s) required by :	Mrs. Senior Executive or Mr. Executive Governance Function or Ms. Finance Manager
For further information and actions please navigate to the following page .	

5. 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 have read and understood the declarations.
7. Click on "**Sign off**" button and the Report will show up in the "**Reports Submitted**" section

Reports Submitted			
Report Name	September - 2014 Semi-Annual Capital Adequacy Report	Due Date	31/Dec/2014
Attached File	Sep-2014 Capital Adequacy Report.pdf	History	
Report signed by	Mrs. Senior Executive on 22/Dec/2014 1:53 PM		

8. You will receive an email from the Electronic Submission System confirming the submission

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) Completed By : Mark SEF 24/Mar/2011 11:47 AM

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

9. If a report requires more than one signature (as stated in the prudential returns notice) the Electronic Submission 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 the QFCRA until all the signatories have 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](#).

9. How do I resubmit a Report?

If you need to resubmit a report for any reason, notify your Supervisor and your Supervisor will get back to you when the Electronic Submission System is ready to accept the resubmission.

However, if your Supervisor has requested you to resubmit a report, you can submit the report any time after you receive the request.

The steps to resubmit a report are similar to the initial submission.

10. How do I submit an application for approval or withdrawal of Controlled Functions?

To submit any of the forms listed, follow the instructions as specified below:

- Form Q03 – Controlled Functions Application
- Form Q12 - Controlled Functions Withdrawal

Steps

1. Download the form by clicking on the link provided in the “**Link to download form**” next to the form name.
2. Fill in the document by following the instructions provided within the document.
3. Obtain any necessary signatures on the filled-in form(s) and keep electronic copies of all supporting documentation readily available.
4. Click on the link “**Submit to RA**”

Reporting Schedules		
Please click here to view Reporting schedules		
Following forms can be downloaded and submitted electronically		
Form	Link to download form	Link to submit
Form Q03 - Controlled function application	Download Q03 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link. NOTE: If you are applying for approval of a Non-Resident MLRO, download the "Appendix AML/CFT Systems and Control, Non-resident MLRO" from here, complete the form and attach a scanned copy along with your Q03 application.	Submit to RA
Form Q12 - Controlled function withdrawal	Download Q12 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link.	Submit to RA
Form Q07 - Notifications	Download Q07 from here , print, complete, sign, scan and attach the signed the physical form. An additional electronic signoff is made when submitting via ESS.	Submit to RA
Form Q05 - Application for Waiver or Modification	Download Q05 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q06A - Controller Notice - Authorised Firms	Download Q06A from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q14 - General Submission Form	Download Q14 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Record of previous submissions		
Please click here to view the records of previous submissions made to RA		

- Attach the filled in form by clicking on "**Select File**" button and by selecting the filled in form from your computer.
- To provide additional attachments with the form
 - Check the "**Attachment**" check box.
 - Click on "**Select File**" and select the attachment from your local computer
- Click on "**Save**" button to save the information.
- Once you have uploaded all the files that are required to accompany your application, you can click on "**Submit**" button to submit the information to the QFCRA.

Form Q03 - Controlled Functions Application
 Please attach duly completed, signed and scanned copy of Q03.
NOTE: If you are applying for approval of a Non-Resident MLRO, download the "Appendix AML/CFT Systems & Controls Non-resident MLRO" from [here](#), complete the form and attach a scanned copy along with your Q03 application.

Select File

If you wish to provide additional information via an attachment or include any additional documentation, please do so in this section:

☐ Attachment

Select File

Remove

Any additional file attachments for this form ? ☐ Yes ☐ No

Note:

Save

Submit

11. How do I submit a Waiver Application or Controller Notice or General Submission Form?

To submit any of the forms listed, follow the instructions as specified below:

- Form Q05 - Application for Waiver or Modification
- Form Q06A - Controller Notice - Authorised Firms
- Form Q07 - Notifications

- Form Q14 - General Submission form

Steps

- Download the form by clicking on the link provided in the “**Link to download form**” next to the form name.
- Fill in the document by following the instructions provided within the document.
- Click on the link “**Submit to RA**”

Reporting Schedules		
Please click here to view Reporting schedules		
Following forms can be downloaded and submitted electronically		
Form	Link to download form	Link to submit
Form Q03 - Controlled function application	Download Q03 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link. NOTE: If you are applying for approval of a Non-Resident MLRO, download the "Appendix AML/CFT Systems and Control, Non-resident MLRO" from here , complete the form and attach a scanned copy along with your Q03 application.	Submit to RA
Form Q12 - Controlled function withdrawal	Download Q12 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link.	Submit to RA
Form Q07 - Notifications	Download Q07 from here , print, complete, sign, scan and attach the signed the physical form. An additional electronic signoff is made when submitting via ESS.	Submit to RA
Form Q05 - Application for Waiver or Modification	Download Q05 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q06A - Controller Notice - Authorised Firms	Download Q06A from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q14 - General Submission Form	Download Q14 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Record of previous submissions		
Please click here to view the records of previous submissions made to RA		

- Attach the filled in form by clicking on “**Select File**” button and by selecting the filled in form from your computer.
- To provide additional attachments with the form
 - Check the “**Attachment**” check box.
 - Click on “**Select File**” and select the attachment from your local computer
- Click on “**Save**” button to save the information.
- Once you have uploaded all the files that are required to accompany your application, you can click on “**Submit**” button to sign electronically and submit the information to the QFCRA

Form Q05 - Waiver Application

Please attach duly filled in soft copy

This form 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, Non Executive Governance Function, Compliance Oversight Function

[Select File](#)

If you wish to provide additional information via an attachment or include any additional documentation, please do so in this section:

☐ Attachment [Select File](#)
[Remove](#)

Any additional file attachments for this form ? ☐ Yes ☐ No

Note:

Signature:

Name of Individual :

Date Signed :

[Save](#) [Submit](#)

12. Where can I view records of my previous submissions?

You can view reports that were previously submitted as part of the Reporting Schedules from the Reporting Schedules section by selecting the appropriate reporting period from the list.

To view other records such as Applications for Approval, Modification or withdrawal of Individuals or Waiver Application, Controller Notice, General Submission Forms previously submitted to the QFCRA, you can click on the **"here"** link displayed in the **"Record of previous submissions"** section as shown in the following picture.

Note: Due to the sensitive nature of the data in the applications for Approval, Modification or Withdrawal of Individuals, these applications are shown;

- To the Applicants and the signatories on those applications for up-to 30 days.
- To the SEF and Compliance officers of your firm at all times.

Reporting Schedules

Please click [here](#) to view Reporting schedules

Following forms can be downloaded and submitted electronically

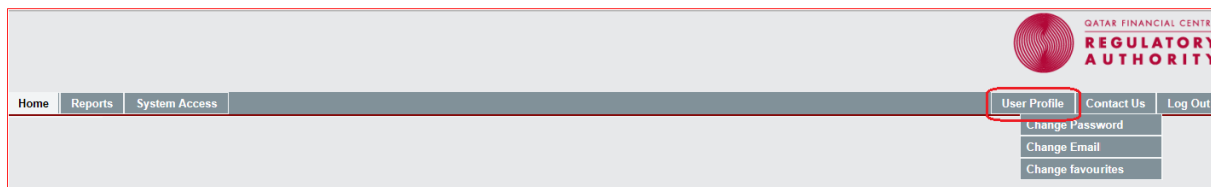
Form	Link to download form	Link to submit
Form Q03 - Controlled function application	Download Q03 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link. NOTE: If you are applying for approval of a Non-Resident MLRO, download the "Appendix AML/CFT Systems and Control, Non-resident MLRO" from here , complete the form and attach a scanned copy along with your Q03 application.	Submit to RA
Form Q12 - Controlled function withdrawal	Download Q12 from here , complete the form with the required signatures and attach a scanned copy using the "Submit to RA" link.	Submit to RA
Form Q07 - Notifications	Download Q07 from here , print, complete, sign, scan and attach the signed the physical form. An additional electronic signoff is made when submitting via ESS.	Submit to RA
Form Q05 - Application for Waiver or Modification	Download Q05 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q06A - Controller Notice - Authorised Firms	Download Q06A from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA
Form Q14 - General Submission Form	Download Q14 from here , complete electronically and attach soft copy. The declaration will be made electronically via ESS.	Submit to RA

Record of previous submissions

Please click [here](#) to view the records of previous submissions made to RA

13. How do I change my email address, password or favourite questions?

To change your registered email address or password or answers to the favourite question, Click on the **"User Profile"** menu item and select the appropriate option.



14. How do I contact QFCRA for any assistance with the Electronic Submission System?

To reach us with any questions or issues, click on the **"Contact Us"** link available on the login page

Note: We answer your queries during our office hours from Sunday to Thursday 8:00 AM to 5:00 PM Qatar Standard Time (GMT/UTC +03:00) other than on National holidays.

Welcome to QFC **Regulatory Authority** Electronic Submission System

Login	Notice
<p>Registered email: <input type="text"/></p> <p>Password: <input type="password"/></p> <p>Type the code shown below: (without spaces) V Y Z X 7</p> <p><input type="checkbox"/> I agree to the Terms of Use and Sign in</p> <p>Forgot Password Contact Us Help</p> <p>Download XBRL iFile Installer/Manual from here</p> <p>You can find QFC-Regulatory Authority Forms here.</p> <p>This website works best with Firefox 3 and above, Internet Explorer 7 and above.</p>	<p>System Users: This system is meant to be used by the individuals from the firms which are authorised by the QFC Regulatory Authority.</p> <p>Terms of Use: Please read the Terms of Use before signing in. You shall be deemed to have read and accepted the Terms of Use when you sign in.</p> <p>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.</p> <p>Need help with the System? If you need help with the System click on Help.</p> <p>Need to Contact Us Click on Contact Us for any questions.</p>

Fill out the form and click on the **"Submit"** button.

Contact Us

Data must be provided for the fields marked *

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 QFC Number *	<input type="text"/>
Email Address *	<input type="text"/>
Feedback Relating to :	Select <input type="text"/>

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) **N Q A 9 Y**