Guidance for the registration and use of the CASPAR platform







First Issued on 28 February 2019 Last amended on 11th February 2021

www.fiumalta.org

Contents

1)	Abbreviations
2)	Introduction
3)	Registration to CASPAR
Α	. MLRO5
	Step 1: First-time Registration of User5
	Step 2: Creation / Subscribing to a Subject Person9
	Approval of a Designated Employee14
В	Designated Employee16
	Step 1: First-time Registration of User16
	Step 2: Subscribing to an existing Subject Person20
C	Sole Practitioner
	Step 1: First-time registration of user
	Step 2: Creation of a Subject Person24
4)	Sectors, sub-sectors, categories27
	Relevant Financial Business
	Relevant Financial Activity
5)	Other features of CASPAR
	Help function
	Notification screen
	Audit log
	Editing of user details
	Editing of details of Subject Person
	Change password function
	Forgot password function41
6)	Submission of REQs44
St	ep 1: Completion of the online REQ form45
St	ep 2: Payment of applicable fees and submission of REQ49
7)	Frequently Asked Questions

1) Abbreviations

AML/CFT	Anti-money laundering / combatting funding of terrorism
CASPAR	Compliance and Supervision Platform for Assessing Risk
CSP	Corporate Service Provider
DE	Designated Employee
FAQ	Frequently asked questions
FIAU	Financial Intelligence Analysis Unit
MFSA	Malta Financial Services Authority
MGA	Malta Gaming Authority
MLRO	Money Laundering Reporting Officer
REQ	AML/CFT Risk Evaluation Questionnaire
SP	Subject Person

2) Introduction

The FIAU drafted AML/CFT Risk Evaluation Questionnaires (REQ) for each type of activity to take into account sector specific activities.

The FIAU developed a data collection tool, the Compliance and Supervision Platform for Assessing Risk (CASPAR), which is a multifunctional system that allows the Unit to gather information from multiple sources. Subject Persons must use the CASPAR system in order to submit the annual REQs. This guidance is being issued to explain the registration process to CASPAR, as well as the process for the submission of the REQ.

3) Registration to CASPAR

Is it your first time on the CASPAR platform?

• If yes, you need to do 2 steps to access it:

Step 1: First-time user registration; Step 2: Create / Subscribe to an Existing Subject Person.

Go to https://caspar.fiaumalta.org/ and click 'Register' to access the user registration form.



• If not, you only need to login. Go to https://caspar.fiaumalta.org/ and input the username and password created at registration. Your username is the email address used during registration processs.

The website is optimized for Google Chrome and Mozilla Firefox. Kindly note that the website is <u>not</u> compatible with Internet Explorer, Microsoft Edge and Safari as well as all the Apple devices, that is, Iphone, Ipad, Mac Books and IMacs.

A user account is required to access the CASPAR platform. There are three types of registrations:

A. MLRO

Appointed for a Legal Entity which is carrying out relevant financial business and/or relevant activity. This registration type should also be used by MLROs who are still awaiting approval from the MGA or MFSA.

For guidance on registration, refer to section <u>A. MLRO</u>

B. Designated Employee

Employee/s designated to assist the MLRO in the fulfilment of the AML/CFT duties of a Legal Entity.

For guidance on registration, refer to section <u>B. Designated Employee</u>

C. Sole Practitioner

Individuals who undertake any relevant financial business and/or relevant activity in their own name or under a trade name.

For guidance on registration, refer to section <u>C. Sole Practitioner</u>

A. MLRO

This type of registration should be used by the appointed MLROs of legal entities, interim MLROs as well as by MLROs who are still awaiting approval from the MGA or MFSA.

Upon successful registration, a MLRO is given the following rights:

- Creation of a Subject Person;
- Editing of details of the Subject Person;
- Approval of a Designated Employee (DE);
- Online compilation and submission of REQ;
- Payment of applicable fee relating to REQ submissions.

Step 1: First-time Registration of User

The steps indicated hereunder should be followed to complete the successful registration of a user:

1) Select 'Legal Entities' in the Applicant Type section.



2) Select 'MLRO' as Role Designation.



3) Complete the registration form by inserting personal details in the respective fields and note that the email address provided, will be your username to login to CASPAR.

Personal det	tails	1	1			
Title	First Name		Last N	ame	11	
Mr	Joe		Borg	5		
Designation (Opt	ional)	115			la la	
Designation						
Date of Birth			1			
Country Of Resid	lence		Nationality	M		
Malta		,	Maltese			Ŧ
Identification Do ID Card	cument Type		Identification Docur	ment Number		
Identification Do	cument Expiry Date		Identification Docur Malta	ment Country of Issue		*
Mobile Prefix	Mobile Number		Phone Prefix	Phone Number		
+356	99000000		+356	27000000		
Email						
Joe@Borg.com						

4) CASPAR maintains a list of all registered Subject Persons. Insert three consecutive letters of the name of the Legal Entity in the section Professional Details. If the Subject Person has already been created on CASPAR, the name of the Subject Person as registered, will appear in this field. In this case, select the Subject Person from the dropdown menu.

Professional details	
Type the name of the Company to check if it has already been registered. If not, select ADD SUBJECT PERSON below. If you are the Appoint Persons, click the button accordingly.	ed MLRO of multiple Subject
Name of Legal Entity (Name of Company/Firm/Institution)	Company not listed?
ABC Company Limited	Add Subject Person
No matches found	

If the name of the Subject Person does not feature, click on 'Add Subject Person' and insert the name of the Legal Entity.

Professional details	5	
Type the name of the Company Persons, click the button accord	to check if it has already been registered. If not, select ADD SUBJECT PERSON below. If you are the Appo lingly.	ninted MLRO of multiple Subject
Name of Legal Entity (Name	e of Company/Firm/Institution)	Company not listed?
Search for a Company		Add Subject Person
New Subject Person	ABC Company Limited	

If you are the appointed MLRO for more than one legal entity, repeat this step for each additional Subject Person.

The creation of a user in CASPAR requires the approval of FIAU. The name of the legal entity / entities entered in this section will solely be used by FIAU during the approval of the user. After receipt of approval, the user must carry out an additional step to create / subscribe to a Subject Person – Refer to guidance in <u>Step 2</u>.

5) Create a password which will be used to access your personal account and note that the selected password must contain a minimum of eight characters, consisting of at least one number, one uppercase and one lowercase letter. Once you have completed the form, click 'Register'.



6) The following screen will appear, acknowledging the submission of the Registration Form.



7) An automated email is transmitted to the email address provided at registration. This email features a link required to complete this first step of the registration process. Click on 'Confirm User Request' to confirm the email address or copy and paste the URL into your web browser.



8) This next screen confirms that the email address has been verified and that your registration request will be submitted to the FIAU for approval. An email will be submitted once this request is reviewed by FIAU.



9) Upon receipt of email confirming approval of the user's registration, click on 'Login to CASPAR' and login to the newly created account by inserting the email address and password selected upon the initial user's registration process. You may wish to contact Compliance at the FIAU for clarification purposes and further guidance, should your initial user's registration be rejected.



Step 2: Creation / Subscribing to a Subject Person

Upon launch of CASPAR, the system will hold no data on the Subject Persons and hence, all records are to be created anew.

A one-time registration should be carried out to create the entity's record, and allow users to subscribe to same.

Was the Subject Person created on CASPAR?

- **No** You need to create the Subject Person by completing a one-time registration form. Refer to guidance in <u>Creation of a Subject Person</u>
- Yes You only need to subscribe to an existing Subject Person. Refer to guidance in Subscribing to an Existing Subject Person

How do I know whether a Subject Person is created?

In the initial registration form, you were required to input the name of the Legal Entity. If the name of the entity appeared in a list, the legal entity is already created on CASPAR and you may go to <u>'Subscribing to a</u> <u>Subject Person'</u>. On the other hand, if you had to click on 'Add Subject Person', an additional step has to be completed to create the Subject Person on CASPAR (<u>Creation of a Subject Person</u>).

Still not sure? Go to 'Subscribing to a Subject Person'.

Creation of a Subject Person (Legal Entity)

If the Subject Person is not yet created on CASPAR, a one-time registration is required as follows:

1) Login to CASPAR. Click on '+ Create SP' on the top right-hand side of the screen.

	SP Dashboard X Manage SPs O	I JB joe Borg ~
MENU	SP Dashboard	+ Subscribe to an Existing SP + Create SP 3 🔒 🗙
📋 SP Dashboard		Filter by SP Name 🗶 🕏 Sectors 🗸
	You do not have any SPs assigned to you	

2) Complete the required fields as shown below and click the 'Save' button.

Register a new SP						×		
General information								
Name of Subject Pe	rson *	ABC Company L	imited					
ROC Comp	any ID	123456						
Licence or Warrant Date/Commencem Operat	t Issue tent of tions *	01/01/2018	m					
Appointment D MLRO/Desig Emple)ate as gnated oyee *	01/11/2018	m					
Approval St	tatus *	Approval Not Re	quired			¥		
Se	ector *	Non Financial S	ector - DNFBP			Ŧ	Kindly rofe	ur to Soction 4 for
Sub-Sector *	Accounta	ncy/Audit - FIRMS/	C * Categor	Accountancy/Audit -	FIRMS/C *		further a	uidance on the
							selection	of the relevant
			Add a category Add				sector si	ib-sector/s and
Registered Address							category/i	
Address (I	line 1) *	ABC Company	Limited				cutegory/	5
Address (I	line 2) *	Triq Valletta						
Town	n/City *	Valletta						
Pos	tcode *	VLT 1000						
c	Country	Malta				v		
This SP has a corres	spondence	address different	from the above					
Contact Details								
Email miro@	abccomp	anv.com						
Address * Email m	ay be used	by FIAU for request	for information purpo	es				
Phone * +356	21270000		Description * N	RO				
Phone	number inc	ludes prefix						
		+ Ad	additional contact ir	ormation				
The FIAU's Data Protection	Policy may	be found on http://	www.fiumalta.org/priva	y-policy.				
					Ø Cancel	🖺 Save)	
						\sim	•	

3) The creation of the Subject Person requires the approval of the FIAU. Click 'Close' and await FIAU approval.



4) Once this request has been approved/rejected, a notification will be transmitted to the email address provided at registration.



5) Upon receipt of FIAU approval, login to CASPAR and the Subject Person will appear as a tile on the user's 'SP Dashboard' as follows:

	SP Dashboard X Manage SPs 3		🚺 🍳 📠 joe Borg 🗸
	SP Dashboard	+ Subscribe to an Ex	xisting SP 🔸 Create SP 😂 🔒 🗙
C SP Dashboard	ABC Company Limited O Sector: Non Financial Sector - DNFBP O Categories: Accountancy/Audit - FIR. Click to View More	Riter by SP N (< Showing 1071)	ame x Q Sectors >

Subscribing to an existing Subject Person

The steps indicated hereunder should be followed to subscribe to an existing Subject Person previously created in CASPAR:

1) Login to CASPAR. Click on '+ Subscribe to an existing SP' on the top right-hand side of the screen.

	Manage SP:	D D loe Borg v
MENU	SP Dashboard	+ Subscribe to an Existing SP + Greate SP 🛛 🔒 🗙
苗 SP Dashboard		Filter by SP Name 🗶 🕈 Sectors 🗸
	You do not have any SPs assigned to you	

2) Insert three consecutive letters of the name of the Subject Person and select same from the dropdown menu. Complete the additional fields and press 'Save'.

	Manage SPs	× D			04	JB Joe Borg 🗸
	SP Dashboard			+ Subscribe to an Existing SP	+ Create SP	2 🔒 🗙
🗂 SP Dashboard	Su	bscribe to an existing SP			×	© Sectors ~
	A	Subject Person *	Select SP		*	
	0	Appointment Date as	ABC C		Q,	
		MLRO/Designated Employee *	ABC Company Limited (Non Financial Sector - DNFBP)			
		Approval Status *	Select approval status		Ŧ	
				@ Cantel	Save 2	

If the Subject Person does not feature on the list, this would signify that the Subject Person was not previously registered on CASPAR. Refer to the guidance section '<u>Creation of a Subject</u> <u>Person</u>' for instructions on how to create a Subject Person on the system.

3) The subscription to a Subject Person requires the approval of the FIAU. Click 'Close' and await FIAU approval.



4) Once this request has been approved/rejected, a notification will be transmitted to the email address provided at registration.



5) Upon receipt of FIAU approval, login to CASPAR and the Subject Person will appear on the user's 'SP Dashboard' as follows:

	SP Dashboard X Manage SPs C		0 🔍	JB Joe Borg 🗸
	SP Dashboard	+ Subscribe to an Existing SP	+ Create SP	C ⊕ ×
SP Dashboard	ABC Company Limited © Sector: Non Financial Sector - DNFBP © Categories: Accountanoy/Audit - FR. Cick to View More	Filter by SP Name	8	• Sectors >

Approval of a Designated Employee

This section applies only to MLROs who wish to appoint a Designated Employee to assist him/her in the carrying out of their AML / CFT duties.

The appointment of a Designated Employee involves the following steps:

- 1. The Designated Employee/s must first register as a user on CASPAR;
- 2. The Designated Employee must then subscribe to an Existing Subject Person;
- 3. The MLRO approves the subscription to the Subject Person.

Step 1 and Step 2 should be undertaken by the Designated Employee, as explained under <u>Section B. 'Designated</u> <u>Employee'.</u>

Following the successful registration of the Designated Employee on CASPAR and his/her request to subscribe to a Subject Person, the MLRO must review and approve / reject this request. This section explains the steps which must be undertaken by the MLRO.

Kindly note that while Designated Employees may complete the REQs, submission and payment may only be affected by the MLRO.

The following steps must be undertaken by the MLRO in order to approve the subscription of a Designated Employee to a Subject Person:

1) Login to CASPAR. A notification will appear on the top right-hand side of the screen. Click on the Subject Person.



2) Click again on the information shown under the header 'Pending DE Subscriptions'.

Subject Person Det × View a Subject Person C	SP Dashboard Manage SPs		0 🌒	JB Joe Borg 🗸
ABC Company Limited				C ⊕ ×
BASIC DETAILS				🥒 Edit 🗸 🗸
Sector Non Financial Sector - DN Categories ROC Company Id 123456 Licence or Warrant Issue I 01/01/2018 Registered address ABC Company Limited	FBP Accountancy/Audit - FIRMS/COMPANIES Date/Commencement of Operations Triq Valletta Valletta			
Emails Phones	VLT 1000 Malta miro@abccompany.com [MLRO] +35621270000 [MLRO]			
PENDING DE SUBSCRIP	TIONS			~
Pending SP © Type: Pendi Created on Assigned to	subscription for V g SP Subscription 25/02/2019 17:24 (no one)			
AVAILABLE REQS				~
				Filter
Year		Status		
2019		Pending		-

3) Review the information and click 'Approve' / 'Reject'.

Pending DE Subscription		×
Data		
Approval requested by DE Mario Vella	Subject Person Name ABC Company Limited	
Appointment Date as DE 05/02/2019		
		Approve
		Reject
		Ø Cancel

The subscription of the Designated Employee to the Subject Person requires the ultimate approval of the FIAU. Once it is approved by the FIAU, the Designated Employee will receive an email notification to this effect and may access the Subject Person from the 'SP Dashboard'.

B. Designated Employee

This role type should be used by employee/s designated to assist the MLRO in the fulfilment of the AML/CFT duties of a Legal Entity.

Upon successful registration, a Designated Employee is given the following rights:

- Editing of details of the Subject Person;
- Online compilation of REQ.

Kindly note that submission of the REQ and the related payment may only be carried out by the MLRO.

Step 1: First-time Registration of User

The following steps must be followed to complete the successful registration of a user:

1) Select 'Legal entities' in Applicant Type section.



2) Select 'Designated Employee' role designation.



3) Complete the registration form by inserting personal details in the respective fields and note that the email address provided, will be your username to login to CASPAR.

Personal details		5	11			
Title	First Name	10	Last N	ame	11	
Mr 🔹	Joe		Borg	3		
Designation (Optional)		-	IT		11	
Designation						
Date of Birth	111	4				
Country Of Residence		110	Nationality			
Malta		v	Maltese			Y
Identification Document	Туре	¥	Identification Docu	ment Number		
	5 1 B 1					
Identification Document	Expiry Date		Malta	ment Country of Issue		*
Mahila Drafiy	Mabile Number	and the second state	Dhone Drefix	Dhono Number		
+356	9900000		+356	27000000		
Email	33000000			2,000000		
loe@Borg.com						
Joce Borg.com						

4) CASPAR maintains a list of all registered Subject Persons. Insert three consecutive letters of the name of the Legal Entity in the section Professional Details and select the Subject Person from the dropdown menu. If the name of the Subject Person does not appear in the list, contact the appointed MLRO who would yet be required to register the Subject Person on CASPAR.

If you are the Designated Employee for more than one Subject Person, this step should be repeated for each Subject Person by clicking on 'Add Subject Person' button.



The creation of a user in CASPAR requires the approval of the FIAU. The name of the legal entity / entities entered in this section will solely be used by the FIAU during the approval of the user. After receipt of approval, the user must carry out an additional step to subscribe to a Subject Person – Refer to guidance in <u>Step 2: Subscribing to an Existing Subject Person</u>.

5) Create a password that will be used to access your personal account and note that the selected password must contain a minimum of eight characters, consisting of at least one number, one uppercase and one lowercase letter. Once you have completed the form, click 'Register'.



6) The following screen will appear, acknowledging the submission of the Registration Form.



7) An automated email is transmitted to the email address provided at registration. The email includes a link required to complete this first step of the registration process. Click on 'Confirm User Request' to confirm the email address or copy and paste the URL into your web browser.



8) This next screen confirms that the email address has been verified and that your registration request was submitted to the FIAU for approval. An email will be transmitted once this request is reviewed by FIAU.



9) Upon receipt of email confirming approval of the user's registration, click on 'Login to CASPAR' and login to the newly created account by inserting the email address and password selected upon the initial user's registration process. You may wish to contact Compliance at the FIAU for clarification purposes and further guidance, should your initial user's registration be rejected.



Step 2: Subscribing to an existing Subject Person

Following the successful user registration on CASPAR, you are now required to subscribe to an existing Subject Person to be able to complete its REQ, as follows:

1) Login to CASPAR. Click on '+ Subscribe to an Existing SP' on the top right-hand side of the screen.

	Manage SPs Cashboard C	B Q
MENU	SP Dashboard	+ Subscribe to an Existing SP 😧
苗 SP Dashboard		Filter by SP Name
	You do not have any SPs assigned to you	

2) Insert three consecutive letters of the name of the Subject Person and select the Subject Person from the dropdown menu. Insert your appointment date and press 'Save'.

Manage SPs 2		Ĵ	MV Ma		la 🗸
SP Dashboard +Subscribe t	o an Exi	sting SP	C	₽	×
Subscribe to an existing SP		×	¢ s	ectors	2
You do not have a Subject Person *					
Select SP		*			
ABC C		٩			
ABC Company Limited (Non Financial Sector - DNFBP)					
			·		
Ø Can	el	🖹 Save	\triangleright		
	SP Dashboard * Subscribe to an existing SP You do not have a Subject Person * Select SP ABC C ABC Company Limited (Non Financial Sector - DNFBP)	SP Dashboard Subscribe to an existing SP You do not have a Subject Person + Select SP ABC C ABC C ABC C C Cance Cance	P Dashboard ◆ Subscribe to an Existing SP You do not have a Subject Person * Select SP ▲ ABC C ▲ ABC C ▲ Box Company Limited (Non Financial Sector - DNFBP) ■ Image Solution ■	ABC C ABC COMPANY Limited (Non Financial Sector - DNFBP)	SP Dashboard Subscribe to an existing SP You do not have a Subject Person * Select SP ABC C ABC C ABC C ABC C Company Limited (Non Financial Sector - DNFBP) Image Save Image Save

- 3) The subscription to a Subject Person requires the following approvals:
 - a. The approval by the appointed MLRO of the Subject Person (*MLROs should refer to guidance in section 'Approval of a Designated Employee'*); and
 - b. FIAU approval.

Once final approval from the FIAU is obtained, an email will be transmitted to the email address provided at registration.



4) Upon receipt of FIAU approval, login to CASPAR and the Subject Person will appear on the 'SP Dashboard' as follows.

	Amage SPs C		🚺 🗘 🔤 Mario Vella 🗸
	SP Dashboard	+	Subscribe to an Existing SP 🛛 🔒 🗙
SP Dashboard	ABC Company Limited © Sector: Non Financial Sector - DNFBP © Categories: Accountancy/Audit - FIR Dick to View More	Filter by SP	Name 🗙 🛛 Sectors v

C. Sole Practitioner

This registration type should be used by individuals who undertake any relevant financial business and/or relevant activity directly in their own name or under a trade name.

Upon successful registration, a Sole Practitioner will have the following rights:

- Creation of a Subject Person;
- Editing of details of the Subject Person;
- Compilation and submission of REQ;
- Payment of applicable fees related to REQ submissions.

Step 1: First-time registration of user

The steps indicated hereunder should be followed to complete the successful registration of a user:

1) Select 'Sole Practitioners' in the Applicant Type section.



2) Complete the registration form by entering the personal details in the respective fields and note that the email address provided, will be your username to login to CASPAR.

Personal de	tails				
Title	First Name	de p	Last Nam	ne	
Mr	Joe		Borg		
Designation (Opt	tional)	F 1			11111
Designation					
Date of Birth	11				1111
Country Of Resid	lence		Nationality		+++
Malta			Maltese		*
Identification Do	cument Type		Identification Docume	ent Number	
ID Card					
Identification Do	ocument Expiry Date		Identification Docume	ent Country of Issue	
			Malta		*
Mobile Prefix	Mobile Number		Phone Prefix	Phone Number	
+356	99000000		+356	27000000	
Email					
Joe@Borg.com	1				

3) Create a password that will be used to access your personal account. The password must contain a minimum of eight characters, consisting of at least one number, one uppercase and one lowercase letter. Once you have completed the form, click 'Register'.



4) The following screen will appear, acknowledging the submission of the Registration Form.



5) An automated email is transmitted to the e-mail address provided at registration. This email includes a link required to complete this first step of the registration process. Click on 'Confirm User Request' to confirm the email address.



6) This next screen confirms that the email address has been verified and that your registration request will be submitted to the FIAU for approval. An email will be submitted once this request is reviewed by the FIAU.



7) Upon receipt of email confirming approval of the user's registration, click on 'Login to CASPAR' and login to the newly created account by inserting the email address and password selected upon the initial user's registration process. You may wish to contact Compliance at the FIAU for clarification and further guidance, should your initial user's registration be rejected.



Step 2: Creation of a Subject Person

Upon launch of CASPAR, the system will hold no data on the Subject Persons and hence, all records are to be created anew.

A one-time registration form must be completed to create the sole practitioner's Subject Person record and allow the user to subscribe to same.

The steps indicated hereunder must be followed to complete the successful registration of a Subject Person:

1) Login to CASPAR. Click on '+ Create SP' on the top right-hand side of the screen.

	Manage SPs	🔲 🗘 🚾 Mario Vella 🗸
MENU	SP Dashboard	+ Create SP 🔁 🖨 🗙
苗 SP Dashboard		Filter by SP Name 🗶 🗘 Sectors >
	You do not have any SPs assigned to you	

2) Complete the required fields as shown below and click 'Save' button.

ieneral inform	nation]
Name of Sul	bject Person *	ACC Company Limited		
Licence or Date/Comn	Warrant Issue mencement of Operations *	01/01/2018		
Sub-Sector	Sector *	Non Financial Sector - DNFBP ncy/Audit - INDIVIDU Category Accountancy/Audit - INDIVIDU	*	Kindly refer to <u>Section 4</u> for further guidance on the
		+ Add a category		sector, sub-sector/s and
Registered A	ddress			catagonylias
Ac	ddress (line 1) *	ACC Company Limited		cutegory/ies
Ac	ddress (line 2) *	Triq Valletta		
	Town/City *	Valletta		
	Postcode *	VLT 1000		
	Country	Malta	v	
This SP has	a correspondence	address different from the above		
Contact Deta	ails			
Email	email@acccomp	bany.com		
Address *	Email may be used	by FIAU for requests for information purposes		
Phone *	+35621210000	Designation * Sole Practitioner		
	Phone number inc	Judes prefix		
		+ Add additional contact information		
he FIAU's Data Pri	otection Policy may	r be found on http://www.fiumalta.org/privacy-policy.		
			_	
		⊘ Cancel	🖹 Save	

3) The creation of a Sole Practitioner as a Subject Person requires the approval of the FIAU. Click 'Close' and await FIAU approval.

1		I CICOLE DI	~ 0
l	Approval is required		× .
	Approval is required before this change can be put into effect.		
			O Close

4) Once this request has been approved/rejected, a notification will be submitted to the email address provided at registration. Upon receipt of of FIAU approval, click on 'Login to CASPAR' and login to your account by entering the email address used during registration and the password created.

FIAU
Approval for SP Registration
Your request to create Subject Person 'ACC Company Limited' has been approved and recorded accordingly.
Login to CASPAR
Sent by the FIAU CASPAR system • Go to the FIAU CASPAR portal

5) Following the approval of a Subject Person, login to CASPAR and the Subject Person will appear on the user's 'SP Dashboard' as follows.

	SP Dashboard X Manage SPs	🔲 🍤 🞯 Mario Vella 🗸
	SP Dashboard	+Create SP 🕄 🖨 🗙
🖆 SP Dashboard	Filter by SP Name ACC Company Limited Sector: Non Financial Sector - DNFBP Categories: Accountancy/Audit - INDIVIDUAL Click to View More	X O Sectors V

4) Sectors, sub-sectors, categories

During the registration of a Subject Person, the user is required to input the sector, sub-sector and category in which the Subject Person operates.

The tables shown below list the sectors, sub-sectors and categories for each relevant financial business and relevant financial activity as per Regulation 2 of the Prevention of Money Laundering and Funding of Terrorism Regulations (PMLFTR 2017).

Subject Persons which carry out multiple activities falling under different sub-sectors and categories, should specify the different sub-sectors / categories by clicking the '+ Add Category' button.

General informatio			
Name of Subject Person *		ABC Company Limited	
		123456	
ROC Company ID			
Licence or Warr Date/Commence Ope	ant Issue ement of rations *	01/01/2018	
Appointmen MLRO/De	t Date as signated	01/11/2018	
Approval	Status *	Approval Not Required	•
Sector *		Non Financial Sector - DNFBP	۲
Sub-Sector *	Accounta	ncy/Audit - FIRMS/C * Category Accountancy/Audit - FIRMS/C *	
		+ Add a category	
Registered Addre	SS		-
- Addres	s (line 1) *	ABC Company Limited	
Address (line 2) *		Triq Valletta	
Тс	own/City *	Valletta	
Postcode *		VLT 1000	
Country		Malta	
This SP has a cor	respondence	address different from the above	
Contact Details			
Email mlr	o@abccomp	Jany.com	
Address * Email	may be used	by FIAU for requests for information purposes	
Phone * +35621270000		Description * MLRO	
	ne number ind	ludes prefix	
Phor		+ Add additional contact information	
Phor			

Do you operate in the Financial Sector? If yes, take note of the following:

Kindly note that the following two sub-sectors should **ONLY** be chosen in the following cases:

- **Financial Sector offering CSP** legal entities which carry out any activity falling under the Financial Sector and also act as CSP (ex: a company which offers both investment services and CSP services).
- **Financial Sector offering trustee services** legal entities which carry out any activity falling under the Financial Sector and also offer trustee services (ex: a credit institution which offers trustee services).

Relevant Financial Business

Activities (as per Regulation 2)	Sector	Sub-Sector	Category
(a) any business of banking carried on by a person or institution who is for the time being licensed, or required to be licensed, under the provisions of the Banking Act	Financial Sector	Credit Institutions	Credit Institutions
(b) any activity of a financial institution carried on by a person or institution who is for the time being licensed, or required to be licensed, under the provisions of the Financial Institutions Act	Financial Sector	Financial Institutions	Payment Service Providers; E-Money Issuers; Others: Lending, Money Brokering & Factoring.
(c) any long-term insurance business other than business of reinsurance carried on by a person or institution who is for the time being authorised, or required to be authorised, under the provisions of the Insurance Business Act	Financial Sector	Insurance & Pensions	Insurance undertakings
(d) any insurance intermediary activities carried out by an insurance intermediary or by a tied insurance intermediary related to long-term insurance business which person or institution is enrolled or required to be enrolled under the provisions of the Insurance Distribution Act, other than a natural person who is registered or enrolled and acts on behalf of a tied insurance intermediary or a person or institution enrolled as a tied insurance intermediary that does not collect premiums, or other amounts intended for the policyholder or the beneficiary	Financial Sector	Insurance & Pensions	Intermediaries –Companies; Intermediaries- Individuals; Tied Insurance Intermediaries- Companies; Tied Insurance Intermediaries- Individuals.
(e) any long term insurance business other than business of reinsurance carried on by a person in accordance with the Insurance Business (Captive Insurance Undertakings and Captive Reinsurance Undertakings) Regulations, by a cell company in accordance with the provisions of the Companies Act (Cell Companies Carrying on Business of Insurance) Regulations or by an incorporated cell company and an incorporated cell in accordance with the provisions of the Companies Act (Incorporated Cell Companies Carrying on Business of Insurance) Regulations	Financial Sector	Insurance & Pensions	Insurance undertakings

(f)Investment services carried on by a person or institution licensed or required to be licensed under the provisions of the Investment Services & Services & ActFinancial Services & SecuritiesInvestment Services Markets(g)administration services to collective institution recognised or required to be recognised under the provisions of the Investment Services Act other than administration services provided by precognised incorporated Cell Companies) RegulationsFinancial Services & SecuritiesRecognised Fund Administrators(h)a collective investment Services ActFinancial Services & SecuritiesInvestment Services & SecuritiesCollective Investment Scheme Services & SecuritiesCollective Investment Schemes(h)a collective investment fund, carried on in relation to a retirement fund, carried on in relation to a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions ActFinancial SectorInvestment Services & SecuritiesService Providers licensed under the Retirement Pensions Act(j)any activity of a regulated market and that of a central securities depository authorised or required to be authorised or required to be authorised or required to the a carried or the provisions of the inancial Assets Act;Investment SecuritiesRegulated Markets/Central Securities(j)any activity of a VFA agent carried out by a person or institution registered under the provisions of the Financial Assets Act;Virtual Financial SecuritiesVFA Service Providers <td< th=""><th>Aci</th><th>tivities (as per Regulation 2)</th><th>Sector</th><th>Sub-Sector</th><th>Category</th></td<>	Aci	tivities (as per Regulation 2)	Sector	Sub-Sector	Category
Institution Incensed or required to be licensed under the provisions of the Investment Services ActSectorServices & Securities Markets(g) administration institution recognised or required to be recognised under the provisions of the Investment Services Act other than administration services provided by recognised incorporated cell companies In accordance with the Companies Act recognised norporated Cell Companies In accordance with the Companies Act recognised or required to be licensed, recognised or required to be licensed, recognised or a retirement fund, carried on in relation to a retirement fund, carried to be licensed or a retirement fund, carried on in relation to a retirement fund, carried to be licensed or required to be licensed or required to be licensed or required to be licensed or a retirement fund, carried or the meaning as is assigned to them in the Retirement Pensions ActFinancial securities Investment Services & SecuritiesInvestment Securities MarketsRegulated Markets/Central Securities(j) any activity of a regulated market and that of required to be authorised or required to be authorised or required to be provisions of the Financial Markets ActInvestment Securities SecuritiesRegulated Markets/Central Securities(j) any activity of a VFA agent carried out by a person or institution licensed or required to be authorised or required to be provisions of the Financial Markets ActVirtual Financial Assets SecuritiesVFA Agents(j	(f)	investment services carried on by a person or	Financial	Investment	Investment Services
under the provisions of the investment Services ActSecurities Markets(g) administration services to collective institution recognised or required to be recognised under the provisions of the nadministration services provided by precognised incorporated cell companies in accordance with the Companies Act (Recognised incorporated cell companies) RegulationsFinancial SecuritiesInvestment Services & SecuritiesCollective Investment Scheme marketing its services & SecuritiesCollective Investment Scheme Services & SecuritiesCollective Investment Schemes(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & Services & SecuritiesCollective Investment Schemes Securities(i) any activity other than that of a central securities depository authorised or required to a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pension ActInvestment SectorSecurities Securities(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised or required to the provisions of the Financial MarketsInvestment SecuritiesRegulated Markets/Central Securities(j) any activity of a VFA agent carried out by provisions of the provisions of the required to be authorised or required to be provisions of the provisions of the securities depository authorised or required to be authorised or required to be a		institution licensed or required to be licensed	Sector	Services &	
Services ActIndiaMarkets(g) administration services to collective investment schemes provided by a person or institution recognised or required to be recognised under the provisions of the lnvestment Services Act other than administration services provided by recognised incorporated Cell Companies in accordance with the Companies Act (Recognised Incorporated Cell Companies) RegulationsFinancial SectorInvestment SectorCollective Investment Scheme Sector(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & SecuritiesCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund", shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment SecuritiesRegulated Markets/Central Securities Markets(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised or required to be registered on erguired or the provisions of the Financial AssetsFinancial SectorInvestment Securities ProvidersRegulated Markets/Central Securities Securities(j) any activity of a VFA agent carried out by a person or institution licensed or required to be registered under the provi		under the provisions of the Investment		Securities	
(g) administration services to collective Financial investment schemes provided by a person or institution recognised or required to be recognised under the provisions of the Investment Services Act other than administration services provided by recognised incorporated cell companies In accordance with the Companies Act (Recognised Incorporated Cell Companies) Regulations Services & Administrators (h) a collective investment scheme marketing its units or shares, licensed, recognised or required to be licensed, recognised or notified, under the provisions of the Investment Services Act Financial Investment Services & Services & Services & Services & Securities Markets (i) any activity other than that of a retirement scheme, by a person or institution licensed or required to be licensed, recognised under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund, carried on in the Retirement Pension Act Investment Services & Securities Markets Regulated Markets/Central Securities Markets (j) any activity of a regulated market and that of prequired to be authorised or required to be pository Securities Markets Investment Services & Securities Markets (j) any activity of a regulated market and that of prequired to be authorised or required to be authorised or required to be pository authorised or required to be authorised or required to be provisions of the Financial Markets Act Investment Services & Securities Markets Regulated Markets/Central Securities Providers (j) any activity of a VFA agent carried out by a person or institution licensed or re		Services Act		Markets	
investment schemes provided by a person or institution recognised under the provisions of the Investment Services Act other than administration services provided by recognised incorporated Cell companies in accordance with the Companies act (Recognised incorporated Cell Companies)Financial SecuritiesAdministrators(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SecuritiesInvestment Services & SecuritiesCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & Securities Markets(j) any activity of a regulated market and that of required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities MarketsRegulated Markets/Central Securities Markets(j) any activity of a regulated market and that of a central securities depository authorised or to institution licensed or required to be licensed under the provisions of the provisions of the Financial Markets ActInvestment Securities MarketsRegulated Markets/Central Securities Markets(j) atvity of a VFA agent carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act; SecurVFA AgentsVFA Ag	(g)	administration services to collective	Financial	Investment	Recognised Fund
institutionrecognisedor required to be provisions of the investmentSecurities MarketsInvestmentServicesAct other than administrationSecurities MarketsMarkets(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or on tified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & Securities MarketsCollective Investment Schemes Securities Markets(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pension ActInsurance & SectorService Providers licensed under the Retirement Pensions Act(j) any activity of a regulated market and that of a central securities depository autorised or required to be authorised under the provisions of the error institution licensed under the provisions of the sectorFinancial SectorInvestment Securities Markets(j) any activity of a regulated market sAct (l) activity of a VFA agent carried out by a person or institution licensed or required to be registered under the provisions of the Virtual Financial Assets Act;Virtual Virtual SectorInvestment Securities Markets(l) activity of a VFA agent carried out by a person or institution licensed or required to be institution		investment schemes provided by a person or	Sector	Services &	Administrators
recognised under the provisions of the Investment Services Act other than administration services provided by recognised incorporated cell companies in accordance with the Companies ActMarketsMarkets(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or ontified, under the provisions of the Investment Services ActFinancial Services & Services & Services & Services watchCollective Investment Schemes Services & Services & Services watch(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions ActFinancial SectorInvestment Services & Securities MarketsService Providers licensed under the Retirement Pensions Act(i) any activity of a regulated market and that of a central securities depository authorised on required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities MarketsRegulated Markets/Central Securities Markets(i) any activity of a regulated market and that of person or institution licensed under the provisions of the Financial Markets ActVirtual Financial Assets SectorInvestment Securities MarketsVFA Agents(i) any activity of a vPA agent carried out by a person or institution licensed or required to be institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act; (m) VFA services carried out by a person or licensed under the provisions of the Virtual<		institution recognised or required to be		Securities	
InvestmentServicesAct otherthan administrationServicesCollective Investment schemesRegulationsincorporated Cell Companies in accordance with the Companies Act (Recognised Incorporated Cell Companies) RegulationsInvestmentCollective Investment Schemes(h) a collective Investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancialInvestmentCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment SecuritiesRegulated Markets/Central Securities Depository(i) any activity of a vEFA agent carried out by a person or institution registered or required to be under the provisions of the Virtual financial Assets ActFinancial Assets SectorInvestment SecuritiesRegulated Markets/Central Securities Depository(m) WFA services carried out by a person or institution licensed or required to be institution licensed or required to be instit		recognised under the provisions of the		Markets	
administrationservicesprovidedby recognised incorporated cell companies in accordance with the Companies ActInvestmentCollective Investment Schemes(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & Securities MarketsCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment SectorRegulated Markets/Central Securites Markets(i) any activity of a vEA agent carried out by a person or institution registered or required to be registered under the provisions of the required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securites MarketsRegulated Markets/Central Securites Markets(i) activity of a VFA agent carried out by a person or institution registered or required to be institution licensed or required to be 		Investment Services Act other than			
recognised incorporated cell companies Act (Recognised incorporated Cell Companies)Financial(h) a collective investment scheme marketing is units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancial Services & Services & Services & Services & Services Providers licensed under the arbon or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund', sample to the neating as is assigned to them in the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund', sample to the samp meaning as is assigned to them in the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund', sagent carried out by a person or institution registered or required to be registered under the provisions of the Yintual Financial Markets ActFinancial SectorInvestment SectorRegulated Markets/Central Securities Markets(i) artivity of a VFA agent carried out by a person or institution licensed or required to to be registered under the provisions of the Vintual Financial Assets ActVFA agentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Vintual Financial Assets Act;VFA lisuersVFA lisuers(n) issue of virtual financial assets ActVirtual Financial Assets ActVFA lisuersVFA lisuers		administration services provided by			
accordancewith the Companies Act (Recognised Incorporated Cell Companies) RegulationsCollective Investment scheme marketing its services & SectorInvestment Services & Securities MarketsCollective Investment Schemes(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, under the provisions of the Investment Services ActInvestment SectorCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & Securities Markets(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities MarketsRegulated Markets/Central Securities Markets(i) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Agents(ii) activity of a virual financial Markets for offer to the licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Issuers(ii) activity of a virual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act </th <th></th> <th>recognised incorporated cell companies in</th> <th></th> <th></th> <th></th>		recognised incorporated cell companies in			
(Recognised Incorporated Cell Companies) Regulations(Recognised Incorporated Cell Companies) RegulationsCollective Investment SectorCollective Investment Schemes(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & SecuritiesCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & Securities(j) any activity of a regulated market and that of provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities(j) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA Service VFA Service VFA Service ProvidersVFA Service Providers(m) YFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service VFA IssuersVFA Service VFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of t		accordance with the Companies Act			
RegulationsInvestment(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Services & SecuritiesCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement Pension ActInsurance & PensionsService Providers licensed under the Retirement Pensions Act(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Nettirement Pension ActFinancial SectorInvestment Securities PensionsRegulated Markets/Central Securities(j) any activity of a vFA agent carried out by a person or institution registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be registered under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(m) of suce of virtual financial assets for offer to the public in or from Ma		(Recognised Incorporated Cell Companies)			
(h) a collective investment scheme marketing its units or shares, licensed, recognised or notified, under the provisions of the Investment Services ActFinancial SectorInvestment Securities MarketsCollective Investment Schemes(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment SectorRegulated Markets/Central Sector(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment SectorRegulated Markets/Central Securities(i) ativity of a VFA agent carried out by a person or institution licensed or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA Service VFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service VFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial AssetsVFA Issuers(n) issue of virtual financial Assets ActVirtual SectorVFA Issuers <th></th> <th>Regulations</th> <th></th> <th></th> <th></th>		Regulations			
units or shares, licensed, recognised or notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActSectorServices & Securities Markets(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & SectorRegulated Markets/Central Securities(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities MarketsRegulated Markets/Central Securities Securities(i) activity of a VFA agent carried out by a person or institution registered under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Agents(im VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service VFA Service Providers(in) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers(i) issue of virtual financial Assets ActVirtual SectorVFA IssuersVFA Issuers	(h)	a collective investment scheme marketing its	Financial	Investment	Collective Investment Schemes
notified, or required to be licensed, recognised or notified, under the provisions of the Investment Services ActSecurities Markets(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & SectorService Providers licensed under the Retirement Pensions Act(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities SecuritiesRegulated Markets/Central Securities Securities(i) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual SectorVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service VFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Financial Assets Act<		units or shares, licensed, recognised or	Sector	Services &	
recognised or notified, under the provisions of the Investment Services ActMarketsMarkets(i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment services & SectorSequence Pensions(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & Securities(i) activity of a VFA agent carried out by a person or institution licensed or required to be registered under the provisions of the Virtual Financial Assets ActFinancial Assets SectorInvestment Services & Securities(im) VFA services carried out by a person or institution licensed or required to be required to be registered under the provisions of the Virtual Financial Assets SectorVFA Service ProvidersVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be ilicensed under the provisions of the Virtual Financial Assets Act;VFA Service SectorVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Financial Financial Financial Financial Financial Financial Financial Financial Financial Financial F		notified, or required to be licensed,		Securities	
the Investment Services ActFinancialInsurance & Service Providers licensed under the Retirement fund, carried on in relation to a retirement fund, carried on the provisions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & SecuritiesSequlated Markets/Central Securities(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities Markets(i) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Nirtual Financial Assets Act;Virtual SectorVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers(n) issue of virtual financial assets ActSectorVirtual Financial Assets </th <th></th> <th>recognised or notified, under the provisions of</th> <th></th> <th>Markets</th> <th></th>		recognised or notified, under the provisions of		Markets	
Image: Note of the series of		the Investment Services Act			
 (i) any activity other than that of a retirement scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension Act (j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets Act (i) activity of a VFA agent carried out by a person or institution registered under the provisions of the Virtual Financial Assets Act; (m) VFA services carried out by a person or institution licensed out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act; (n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act 					
scheme or a retirement fund, carried on in relation to a retirement scheme, by a person or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment SectorRegulated Markets/Central Securities(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities(l) activity of a VFA agent carried out by a person or institution licensed under the provisions of the Provisions of the Provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(n) Issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act	(i)	any activity other than that of a retirement	Financial	Insurance &	Service Providers licensed
Actor institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities(l) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Financial Financial AssetsVirtual Financial AssetsVFA Issuers(i) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Financial Financial Financial AssetsVirtual Financial AssetsVFA Issuers		scheme or a retirement fund, carried on in	Sector	Pensions	under the Retirement Pensions
or institution licensed or required to be licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SecuritiesInvestment SecuritiesRegulated Markets/Central Securities(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActInvestment SectorRegulated Markets/Central Securities Markets(l) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers		relation to a retirement scheme, by a person			Act
licensed under the provisions of the Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActInvestment scheme" and investmentRegulated Markets/Central Securities(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & Securities MarketsRegulated Markets/Central Securities Depository(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Securities Virtual Financial Assets ActVirtual Financial Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers		or institution licensed or required to be			
Retirement Pensions Act and for the purpose of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActSince and a second a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & Securities MarketsRegulated Markets/Central Securities Depository(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial Assets SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA Issuers(n) issue of virtual financial assets ActVirtual Financial Assets SectorVFA IssuersVFA Issuers		licensed under the provisions of the			
of this paragraph, "retirement scheme" and "retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActSame investmentRegulated Markets/Central Services & Securities(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities Depository(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA AgentsVFA Agents(m) VFA services carried out by a licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial AssetsVFA IssuersVFA Issuers(n) issue of virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers		Retirement Pensions Act and for the purpose			
"retirement fund" shall have the same meaning as is assigned to them in the Retirement Pension ActFinancial SecuritiesInvestment SecuritiesRegulated Markets/Central Securities(i) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Securities MarketsRegulated Markets/Central Securities Depository(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers(n) issue of virtual financial Assets ActSectorSectorVFA IssuersVFA Issuers		of this paragraph, "retirement scheme" and			
meaning as is assigned to them in the Retirement Pension ActFinancial SecuritiesInvestment SecuritiesRegulated Markets/Central Securities(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment SecuritiesRegulated Markets/Central Securities(l) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial Assets SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial Assets SectorVFA IssuersVFA Issuers(n) issue of virtual financial Assets ActSectorSectorVirtual Financial Assets SectorVFA Issuers		"retirement fund" shall have the same			
Retirement Pension ActFinancialInvestmentRegulated Markets/Central(j) any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & SecuritiesRegulated Markets/Central Securities Depository(l) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers(n) issue of virtual financial assets ActSoctorVirtual SectorVFA IssuersVFA Issuers		meaning as is assigned to them in the			
(i)any activity of a regulated market and that of a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActFinancial SectorInvestment Services & Securities MarketsRegulated Markets/Central Securities Depository(I)activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA AgentsVFA AgentsVFA Agents(II)activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual SectorVFA AgentsVFA Agents(III)VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(III)issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers(III)issue of virtual financial assets ActSectorVirtual SectorVFA IssuersVFA Issuers		Retirement Pension Act			
a central securities depository authorised or required to be authorised under the provisions of the Financial Markets ActSectorServices & Securities MarketsSecurities Depository(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtualVFA AgentsVFA Agents(II) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtualVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;VirtualVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtualVFA IssuersVFA Issuers(n) issue of virtual financial assets ActSectorSectorVirtualVFA Issuers	(i)	any activity of a regulated market and that of	Financial	Investment	Regulated Markets/Central
required to be authorised under the provisions of the Financial Markets ActSecurities MarketsSecurities Markets(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtualVFA AgentsVFA Agents(II) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtualVFA AgentsVFA Agents(III) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;VirtualVFA Service ProvidersVFA Service Providers(III) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtualVirtual Financial AssetsVFA Issuers(III) issue of virtual financial Assets ActSectorVirtual Financial AssetsVirtual Financial AssetsVFA Issuers	07	a central securities depository authorised or	Sector	Services &	Securities Depository
provisions of the Financial Markets ActMarkets(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Financial AssetsVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial AssetsVFA Service ProvidersVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Assets SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Assets SectorVFA IssuersVFA Issuers(n) issue of virtual financial Assets ActSectorSectorSectorSectorSector(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActSectorSectorSector(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial AssetsSector <t< th=""><th></th><th>required to be authorised under the</th><th></th><th>Securities</th><th></th></t<>		required to be authorised under the		Securities	
(I) activity of a VFA agent carried out by a person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActVirtual Assets SectorVFA AgentsVFA Agents(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;VFA Service Financial AssetsVFA Service ProvidersVFA Service Providers(m) vFa services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual AssetsVFA IssuersVFA IssuersSectorSectorSectorVirtual FinancialVirtual SectorVFA IssuersVFA Issuers		provisions of the Financial Markets Act		Markets	
person or institution registered or required to be registered under the provisions of the Virtual Financial Assets ActFinancial Assets SectorVirtual(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;VFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Assets SectorVFA IssuersVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA IssuersVFA Issuers	(I)	activity of a VFA agent carried out by a	Virtual	VFA Agents	VFA Agents
to be registered under the provisions of the Virtual Financial Assets ActAssets SectorAssets Sector(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;VFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual AssetsVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial AssetsVFA Issuers		person or institution registered or required	Financial		
Virtual Financial Assets ActSectorVertualVFA ServiceVFA Service Providers(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Assets SectorVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual SectorVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Financial Financial Assets ActVirtual SectorVFA Issuers		to be registered under the provisions of the	Assets		
(m) VFA services carried out by a person or institution licensed or required to be licensed under the provisions of the Virtual Financial Assets Act;Virtual Financial Assets SectorVFA Service ProvidersVFA Service Providers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual VirtualVFA IssuersVFA Issuers(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtual Financial AssetsVFA IssuersVFA Issuers		Virtual Financial Assets Act	Sector		
institutionlicensedorrequiredtobeFinancialProviderslicensedunderthe provisions of the VirtualAssetsAssetsSectorFinancial Assets Act;SectorVirtualVFA IssuersVFA Issuers(n)issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets ActVirtualVFA IssuersFinancialAssets SectorSectorSectorVirtual	(m)	VFA services carried out by a person or	Virtual	VFA Service	VFA Service Providers
licensed under the provisions of the Virtual Financial Assets Act; Assets Sector Assets Sector VFA Issuers (n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act Virtual VFA Issuers VFA Issuers Sector Sector Sector Sector VFA Issuers VFA Issuers		institution licensed or required to be	Financial	Providers	
Financial Assets Act; Sector (n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act Virtual VFA Issuers Financial Assets Act Financial Sector Sector		licensed under the provisions of the Virtual	Assets		
(n) issue of virtual financial assets for offer to the public in or from Malta in terms of the Virtual Financial Assets Act Virtual VFA Issuers VFA Issuers Soctor Soctor Virtual VFA Issuers VFA Issuers		Financial Assets Act;	Sector		
public in or from Malta in terms of the Virtual Financial Assets ActFinancial AssetsSectorSector	(n)	issue of virtual financial assets for offer to the	Virtual	VFA Issuers	VFA Issuers
Financial Assets Act Assets		public in or from Malta in terms of the Virtual	Financial		
Sector		Financial Assets Act	Assets		
Sector			Sector		

Relevant Financial Activity

Activities (as per Regulation 2)	Sectors	Sub-sectors	Categories
 (a) auditors, external accountants and tax advisors, including when acting as provided for in paragraph (c) 	Non- Financial Sector	Accountancy/Audit- FIRMS/COMPANIES; Accountancy/Audit- INDIVIDUALS; Tax Advisors	Accountancy/Audit- FIRMS/COMPANIES; Accountancy/Audit- INDIVIDUALS; Tax Advisors
(b) Real Estate	Non- Financial Sector	Real Estate	Real Estate
 (c) notaries and other independent legal professionals when they participate, whether by acting on behalf of and for their client in any financial or real estate transaction or by assisting in the planning or carrying out of transactions for their clients concerning the – (i) buying and selling of real property or business entities; (ii) managing of client money, securities or other assets, unless the activity is undertaken under a licence issued under the provisions of the Investment Services Act; (iii) opening or management of bank, savings or securities accounts; (iv) organisation of contributions necessary for the creation, operation or management of companies; (v) creation, operation or management of saving as a trust or company service provider; 	Non- Financial Sector	Notaries; Advocates- FIRMS/COMPANIES; Advocates- INDIVIDUALS.	Notaries; Advocates- FIRMS/COMPANIES; Advocates- INDIVIDUALS.
(d) trust and company service providers	Non- Financial Sector	CSPs- FIRMS/COMPANIES CSPs - INDIVIDUALS	Trustees Administrators of Private Foundations CSPs- FIRMS/COMPANIES CSPs – INDIVIDUALS

Guidance for the registration and use of the CASPAR platform

Activities (as per Regulation 2)	Sectors	Sub-sectors	Categories
(e) nominee companies holding a warrant under the Malta Financial Services Authority Act and acting in relation to dissolved companies registered under the said Act	Non- Financial Sector	Trustees & Fiduciaries	Fiduciary Service Providers
(f) Casino Licensees	Gaming Sector	Land-Based Casinos	Land-Based Casinos
(g) Gaming Licensees	Gaming Sector	Remote Gaming Operators Land-Based Operators (other than Casinos)	Remote Gaming Operators Land-Based Operators (other than Casinos)

5) Other features of CASPAR

Help function

Following a successful registration process, you may access your user account on CASPAR. When logging in for the first time, you are shown a quick guide on the main features of the system through on-screen notification pop-ups.



This quick guide can be accessed any time by clicking on your name on the top – right had side of the screen, and then on 'Help'.



Another Help Function is available specifically on the features relating to your profile on CASPAR (e.g. settings and security). Click on your name in the top-right corner and click on 'My Profile'.

	Subject Person Det Subject Person Det Joe Borg	SP Dashboard X Manage SPs O	D Q Jee Borg 🗸
MENU	SP Dashboard		+ Subscribe to an Existing SP + 9. My Profile
5P Dashboard	ABC Company Limited O Sector: Non Financial Sector O Categories: Accountancy/Au Cick to View More	 JB Joe Borg ~ My Profile Help About Feedback Log Out 	Filter by SP Name ③ About ③ Feedback P Log Out

Click on the help button (2) to access to the Quick Profile Guide. The notification pop-ups indicate the functions available within your profile on CASPAR.

	loe Borg	đ	Joe Borg ~
MENU	User Profile		e ⊂ ⊕ ×
MENU SP Deshboard	User Profile JB Joe Borg MLRO MLRO Security	AUDIT LOG * Orged in Defined 2011 Self print & free seconds, aget • Orged out Defined 2011 Self print & retrieves aget • MRRO Approved Pending SP Subscription Defined 2011 Self print (in minutes aget • Orged out Defined 2011 Self print (in minutes aget • Orged out Defined 2011 Self print (in minutes aget • Orged out Defined 2011 Self print (in minutes aget • Orged in Defined 2015 Self print (in minutes aget • Seree 2018 Self print (in minutes aget • Orged in Defined 2015 Self print (in minutes aget • Orged in Defined 2015 Self agent (in minutes aget • Orged in Defined 2015 Self agent (in minutes aget • Orged in Defined 2015 Self agent (in minutes aget	Vella Mario has subscribed to ABC Company Linited. Approval is required. Your request to create Subject ABC Company Your request to create Subject ABC Company Linited has been approved and recorded accordingly. Stres.2019, 65216 pm
	Details ≗ #1205 營 General public ⊠ joeborg@digitalmail.info	(\$ 1)	

Notification screen

The CASPAR profile includes a notification function which may be accessed as follows:

Login to your account on Caspar and click on the icon on the top-right corner of the screen as shown below.

The latest notifications are shown in a pop-up window, but you can access all notifications by clicking on 'view all' at the top of this window.

	User Profile Joe Borg Manage SPs	ő	D 🚺 🕫 joe Borg 🗸
MENU	SP Dashboard		+ Sub: Notifications view all 😇 🖶 🗙
CP Deshboard	ABC Company Limited © Sector: Non Financial Sector. © Categories: Accountancy/Au. Cick to View More		Vella Mario has subscribed to ABC Company Limited Approval is required. 2 minutes approval 2 minutes approval 2 minutes approval 2 minutes approval 2 minutes approval 4 minutes a

<u>Audit log</u>

CASPAR maintains a log of all the activity undertaken by the user within the system. This may be accessed as follows:

Login to your account on CASPAR and click on the icon shown below. The latest logs are shown in a pop-up window. You can access all audit logs by clicking on 'view all' at the top of this window.

	≡	User Profile Joe Borg	Manage SPs	S S		_	D 4	Joe Borg 🗸
MENU		SP Dashboard				Audit Log	view all SP	C ⊕ ×
59 Dashboard		ABC Compa © Sector: Nor © Categories: Click to View h	n ry Limited Financial Sector Accountancy/Au fore		(Showing 1 Of 1 >)>)	Logged in It was Logged out It was MLRO Approved Pendin Subscription it was	nutes ago g SP nutes ago	X O Sectors >

Editing of user details

1) Click on your name on the top-right corner of the screen and choose 'My Profile' option.

Subject Person Det Subject Person Det Subject Person Subject	SP Dashboard × Manage SPs 2	D D joe Borg 🗸
SP Dashboard		+ Subscribe to an Existing SP + ① My Profile
		Filter by SP Name
ABC Company Limited Sector: Non Financial Sector		Feedback
Categories: Accountancy/Au Click to View More	J JB Joe Borg	₽ Log Out
	요 My Profile	
	(?) Help	
	o nep	
	 About 	
	Ø Feedback	
	₽ Log Out	
	User Profile View a Subject Person SP Dashboard ABC Company Limited © Sector: Non Financial Sector © Categories: Accountancy/Au. Crick to Wew More	Setor: Non Financial Sector Sector: Non Financial Sector Sector: Non Financial Sector Sector: Non Financial Sector Categorie: Accountancy/Acc Cid: to New More My Profile

2) Click on 'Settings' to view and edit the profile details, which include the personal details, profile picture, email notification settings.

User Profile SP Dashboard			0	Û	JB	joe Bor	90 ¥
User Profile				0	C	₽	×
	SETTINGS		Personal Det	ails	Profile I	Picture	
JB	First Name * Joe						
les Berr	Last Name + Borg						
MLRO	Email *						
☆ Feeds	Jocon 22 a Brannanno	JB					
Settings	None						
	One Email per Notification Daily Summary Weekly Summacy	Joe Borg MLRO					
Details	Save						
# 1205		fin Feeds					
🖶 General public	ADDITIONAL INFORMATION	Settings					
☑ joeborg@digitalmail.info	Tala \$ Disas and a \$	ြ Security					-

3) Carry out the necessary changes and press Save, in the section edited.

	Liser Profile SP Dashboard Manage SPs						0 Q	ol 🗉	e Borg 🗸
MENU	User Profile						0	0	B ×
🛱 SP Dashboard		SETTINGS					Personal Details	Profile Pie	ture
	JB	First Name * Joe Last Name *							
	Joe Borg MLRO	Borg Email *							
	☆ Feeds	joeborg@dig	italmail.info						
	Settings	 None 							
	🕆 Security	One Email per N Daily Summary West-Summary	otification						
	Details a #1205 deneral public	Save ADDITIONAL INF	ORMATION						
	☑ joeborg@digitalmail.info	Title *	Phone prefix *	Phone *		Designation *			
		Mr 🔻	+356	21270000		Compliance Office	r		
		Applicant Type *	-	Country of residence	*		-		
		Nationality *	•	Maita	Identificatio	n Type *			
		Maltese		v	ID Card				v
		ID number *			ID expiratio	n date *			
		123485M			2020-01-0	01			
		Country of issue *			Date of birt	h *			
		Malta		*	1985-01-0	01			
		Mobile prefix *	Mobile phone numb	er*	Status *				
		+356	99900000		Pending	acceptance	•		
		Save							

Editing of details of Subject Person

MLROs must ensure that CASPAR holds the correct details of the Subject Person. Details may be updated as follows:

1) Click on the Subject Person in the SP Dashboard.

	≡	User Profile User Profile SP Dashboa SP Dashboa SP Dashboa SPs User SP State SP Stat	ra × C		D Q	JB Joe Borg 🗸
		SP Dashboard		+ Subscribe to an Existing SP	+ Create SP	0 4 ×
📋 SP Dashboard	\langle	ABC Company Limited © Sector: Non Financial Sector © Categories: Accountancy/Au Click to New More		Filter by SP Name	8	Sectors V
			≪ < Showing 1 Of 1 → ≫			

2) Click on the 'Edit' button on the right-hand side of the screen.

	View a Subject Person Det 🛪 💄 🛛	Jser Profile Analysis SP Dashboard Manage SPs		0	🗘 🛛 🕼 Joe Borg 🗸
	ABC Company Limited				C ⊕ ×
SP Dashboard	BASIC DETAILS				edit v
	Sector ROC Company Id Licence or Warrant Issue Date/Commencement of Operations Registered address Emails Phones	Non Financial Sector - DNFBP 123456 01/01/2018 ABC Company Limited Triq Valletta Valletta VIII 1000 Maita miro@abccompany.com [MLRO] +355c1270000 [MLRO]	Categories	Accountancy/Audit - FIRMS/COMPANIES	
	PENDING DE SUBSCRIPTIC	DNS			~
	There are no tasks that re	equire approval			

3) You may edit all the details which were inputted when the Subject Person was initially created. Click on 'Save'.

Edit basic details			×
General information	n		
Name of Subject	Person *	ABC Company Limited	
Licence or Warra Date/Commence	ant Issue ement of	01/01/2018	
Appointment	t Date as	01/11/2018	
MLRO/De Em	signated ployee *		
Approval	Status *	Approval Not Required	*
	Sector *	Non Financial Sector - DNFBP	٣
Sub-Sector *	Accounta	ncy/Audit - FIRMS/C * Category Accountancy/Audit - FIRMS/C *	
		+ Add a category	
Registered Addre	55		•
Addres	s (line 1) *	ABC Company Limited	
Addres	s (line 2) *	Triq Valletta	
Та	own/City *	Valletta	
р	ostcode *	VLT 1000	
	Country	Malta	Ŧ
This SP has a corr	respondence	address different from the above	
Contact Details			
Email mlr	ro@abccomp	any.com	
Address * Email	may be used	by FIAU for requests for information purposes	
Phone * +3	5621270000	Description * MLRO	
Phor	ne number ind	ludes prefix	
		+ Add additional contact information	
The FIAU's Data Protecti	on Policy may	be found on http://www.fiumalta.org/privacy-policy.	
		Ø Cance	Save

Change password function

1) Click on your name on the top-right corner of the screen and click on 'My Profile'.

	Subject Person Det Liser Profile Joe Borg	SP Dashboard X Manage SPs C	D 🗘 🕫 Joe Borg 🗸
MENU	SP Dashboard		+ Subscribe to an Existing SP + A My Profile
🛱 SP Dashboard	ABC Company Limited • Sector: Non Financial Sector • Categories: Kocountancy/Au Click to View More	J JB Joe Borg Q My Profile (7) Help	(i) Help (ii) About (iii) Feedback (iii) V Log Out V
		About Feedback P Log Out	

2) Click on 'Security' and then click on 'Basic Password Login'.

User Profile		0 C 🔒 ×
	SECURITY	Login Options
JB	CASPAR Bortel	
	Basic Password Login a jeeborg@digitalmail.info diatused:25-feb2019636.pm	<u>_</u>
Joe Borg MLRO		
☆ Feeds		
@ Settings		
▲ Security		

3) Input the current password in the 'Old Password' field and the new password in the 'Password' fields.

The new password must contain a minimum of eight characters, consisting of at least one number, one uppercase and one lowercase letter. Click on 'Save'.

Change	e your login de	tails			
Usern	ame				
joet	oorg@digitalmail	.info			
Old Pa	assword				
					~
Passw	vord				
		×	·····	× .	Strong
					_
				Sav	e Close

Forgot password function

If you have forgotten the password of your CASPAR account, you can reset it as follows:

1) Click on the 'Forgot Password?' option in the 'Sign In' screen.



2) Input the username for CASPAR, which is the email address provided at registration and click on the 'Reset' button.



3) A notification saying that an email was sent to your account shows up on the screen.



4) Open the email and click on the 'Reset Password' button.



5) You will be automatically redirected to the 'Reset Password' screen. Input the new password which must contain a minimum of 8 characters, consisting of at least one number, one uppercase and one lowercase letter. Click on 'Save'.

	FIAU
Cor	npliance and Supervision Platform for Assessing Risk (CASPAR)
	Reset Password Reset password for danielfav1+1@gmail.com
	REGISTER

6) Submission of REQs

Following the registration of a user account and creation / subscription to an existing Subject Person, the MLRO may submit the annual REQ.

The completion of REQs within CASPAR is split into two steps:

- 1) <u>Step 1: Completion of the online REQ form;</u>
- 2) Step 2: Payment of applicable fees and submission of REQ.

During the completion of the REQ, all responses are automatically and instantaneously saved on CASPAR. The responses will **not** be lost if you log out of the system.

A number of questions require the uploading of documents. Documents must be uploaded in **pdf format only** and the individual files must not exceed 10MBs.

Kindly note that Subject Persons, with multiple sub-sectors, must complete only one REQ. The questions contained within the REQ will cover all sectors.

Step 1: Completion of the online REQ form

The following are the steps which must be followed for the completion of a REQ.

Where the same person is the appointed MLRO of multiple Subject Persons, an REQ must be submitted for each Subject Person. In view of this, the steps listed below, must be repeated for each Subject Person.

Whilst both Designated Employees and MLROs may complete the REQ, submission and payment must be solely undertaken by the MLRO.

- 1) Login to the account by entering the email address used during registration and the password created.
- 2) Click on the Subject Person which appears of the SP Dashboard.

		Manage SPs C		0	Û (JB Joe B	Borg ~
MENU		SP Dashboard	+ Subscribe to an Existing SP	+ Create	SP	C 🖶	×
🛱 SP Dashboard	(ABC Company Limited • Sector: Non Financial Sector • Categories: Accountancy/Au Click to New More	Filter by SP Name		×	Secto	rs v
		K Showing 1 Of 1 > >>					

3) Once you click on the Subject Person to which you are assigned you will be able to view the details of that Subject Person. The section of 'Available REQS' shows the REQs which are due for submission or that were submitted. Right-click on the REQ for the year and then click on 'Start 2020 REQ'.

c company Limited				
BASIC DETAILS				/ Edit
Sector ROC Company Id Licence or Warrant Issue Date/Commencement of Operations Registered address	Non Financial Sector - DNFBP 123456 01/01/2018 ABC Company Limited Triq Valletta Valletta	Categories	Accountancy/Audit - FIRMS/COMPANIES	
Emails Phones	VLT 1000 Maita miro@abccompany.com [MLRO] +35621270000 [MLRO]			
There are no tasks that r	ons equire approval			
There are no tasks that r	ons equire approval			
PENDING DE SUBSCRIPTI	equire approval		Right-click and then click on 'Start 2020 REQ'	Filter
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year	equire approval	Status	Right-click and then click on 'Start 2020 REQ'	Fiker
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year 2020	equire approval	20 REQ	Right-click and then click on 'Start 2020 REQ'	Filter
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year 2020 2019	equire approval	Status 20 REQ	Right-click and then click on 'Start 2020 REQ'	Fiker
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year 2020 2019	equire approval	Status 20 REQ	Right-click and then click on 'Start 2020 REQ' 31/03/2020 1700	Fiker
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year 2020 2019	equire approval	20 REQ	Right-click and then click on 'Start 2020 REQ'	Filter
PENDING DE SUBSCRIPTI There are no tasks that r AVAILABLE REQS Year 2020 2019	equire approval	20 REQ	Right-click and then click on 'Start 2020 REQ'	Fitter

4) The first page of the REQ appears on screen. This section includes a 'free text box' in which MLROs may add explanatory notes to certain sections within the questionnaire. Click on the arrow on the right-hand side to proceed to the next page of the questionnaire. All sections of the questionnaire may be accessed at any time during the completion of the questionnaire.

REQ Entry (2020) - ABC Company Limite	d Printable Report	3 ×
General remarks from the subj	ect person:	
Question: As indicated in the Guidance for Complet practitioners and institutions should, for each of the organization. The FIAU acknowledges that the answ choosing from the answer options available, it is the your institution and that can be justified later on. In Please note that these general remarks are not taket	ion of the Anti-Money Laundering and Countering the Financing of Terrorism Risk Evaluation Questionnaire, t questions included in this questionnaire, choose the answer option that is bees suited to them/ their intu- ver options defined by it do not always fully capture the actual situation within each subject person. W refore important to select an option that is a true reflection of your actual situation / the actual situation the text box below, you can formulate general remarks on the answers submitted by you / your institution into account in the initial automated analysis of your / your institution's answers.	sole ernal Vhen /ithin ution.
Question text answer	Not Applicable	
	Showing 1 Of 15 >>>>	

5) Fill all questions on the page and click on the arrows to go back and forward if you would like to skip to other pages of the REQ.



6) Clicking on the following sign ? will open a pop up box that will provide guidance in relation to the specific question.

Question Description	×	
Respondents are required to indicate turnover on the basis of the latest available financial statements or submitted tax return, irrespective or whether these correspond to the prior calendar year. In those instances where the subject person's financial statements are not reported in Euro, the reported turnover in foreign currency amount should be translated into Euro at the average annual exchange rate for the given accounting reference period as published by the European Central Bank. Annual average exchange rates may be accessed through the following link: https://www.centralbankmalta.org/average-exchange-rates	of	
🖉 Cance	21	

7) You may proceed to other pages of the questionnaire, even if there are unanswered questions on the current page. However, the following warning appears in the top right-hand side of the screen, to notify that certain fields within the page are not completed.

REQ Entry (2020) -	ABC Company Limited	There are still missing answers on this page
Governance/Orga	vization	
Question: When was the MLR	O appointed in his/her role within your institution or if you a	re the MLRO, when did you take over the role?
	Not Available	

8) There will be questions where one or more option will be available to be ticked. Below is an example of these type of questions.

Q: If your answer to the above question was "YES", please identify the top 3 jurisdictions from the list.	🗌 Iran	🕑 Botswana
	Celand	 Bosnia and Herzegovina
	🕑 Uganda	The Bahamas
	Mongolia	Trinidad and Tobago
	Pakistan	🔲 Syria
	Afghanistan	🔲 Loa PDR
	Panama	Zimbabwe

9) Other questions will allow only one answer to be ticked. Below is an example of these type of questions.

Guidance for the registration and use of the CASPAR platform

Did the Business Risk Assessment conducted take into account the risks and controls related to:

Q : a) your / your entity's customers	 Not Applicable 	O No	Ves
${\bf Q}\!;$ b) the products and services offered by you / your entity and the transaction risk exposure through same	No	Yes	Not Applicable
${\bf Q}_{\!$	Yes	O No	 Not Applicable
Q: d) the distribution channels ?	Not Applicable	Yes	No

10) You may print the REQ by clicking on the 'Printable Report' button located on the top right-hand side of the screen.

After pressing this button, a print preview of the report will appear on screen. You may proceed by clicking on this button **Print**. Otherwise, click on **r** to go back to edit the REQ.

REQ Entry (2020) - ABC Company Limited	Printable Report	C	×
General remarks from the subject person:			
Question: As indicated in the Guidance for Completion of the Anti-Money Laundering and Countering the Financing of Terrorism Risk Evalu practitioners and institutions should, for each of the questions included in this questionnaire, choose the answer option that is best suit organization. The FIAU acknowledges that the answer options defined by it do not always fully capture the actual situation within ea choosing from the answer options available, it is therefore important to select an option that is a true reflection of your actual situation within ea choosing from the answer options available, it is therefore important to select an option that is a true reflection of your actual situation if your institution and that can be justified later on. In the text box below, you can formulate general remarks on the answers submitted Please note that these general remarks are not taken into account in the initial, automated analysis of your / your institution's answers.	uation Questionnain ed to them/ their in ch subject person, the actual situation by you / your inst	re, so ntern . Whe n with itutio	ile ial in in in
Question text answer			
\ll Showing 1 Of 15 \rightarrow \gg			

Step 2: Payment of applicable fees and submission of REQ

The following are the steps which must be followed by the MLRO for the submission of a REQ and the payments of the applicable fees. Kindly note that this process may be solely undertaken by the MLRO of the Subject Person. Furthermore, all questions of the REQ must be completed prior to its submission.

In the case of legal entities, the REQ must be reviewed by another individual, prior to its submission (Refer to Step 4 below).

Kindly note that following the declaration, the user is not permitted to edit the content of the REQ. In view of this, we recommend the MLRO thoroughly reviews the responses provided prior to proceeding to the declaration of the REQ. Following submission, the REQ will be accessible through the CASPAR platform for viewing purposes only.

Where the same person is the appointed MLRO of multiple Subject Persons, a REQ and payment must be submitted for each Subject Person. In view of this, the steps listed below, must be repeated for each Subject Person.

The deadlines for the REQ can be found on the FIAU website or by accessing the following link (<u>https://fiaumalta.org/news/2021-risk-evaluation-questionnaires/</u>)

1) Following the completion of the REQ, go to the last page and press 'Proceed to Declaration' which is located on the top right-hand side of the screen. You may print the completed REQ by clicking on the 'Printable Report' button located on the top right-hand side of the screen. A print preview of the report will appear on the screen. Click on Print to print the report. The REQ may also be printed after its submission.

REQ Entry (2	020)- ABC Company Ltd	Submit Printable Report 5
nterface Dis	(« < Showing 15 Of	15 > »
This section refers to hom your institution (customers with whom your institution established a business re did not provide/carry out relevant activity and excludes custome	ilationship as defined in the PMLFTR. This section excludes customers for ers for whom only an occasional transaction was provided/carried out.
ease provide the follo	wing information based on your customers as of 31/12/2018	
Question: Of the tot	al number of customers, what percentage were onboarded face	e-to-face? [Relates to Financial Sector]
80		
Question: Of the tot	Invot Available al number of customers, what percentage were onboarded on a	a non-face-to-face basis. [Relates to Financial Sector]
Question: Of the tot 10 Question: Of those agent/operator? [Rela	Not Available al number of customers, what percentage were onboarded on a Not Available Not Available onboarded on a non-face-to-face basis (as indicated above), ites to Financial Sector]	a non-face-to-face basis. [Relates to Financial Sector] what percentage of customers were introduced by a domestically-based
Question: Of the tot 10 Question: Of those agent/operator? [Rela 50	Not Available al number of customers, what percentage were onboarded on a Not Available onboarded on a non-face-to-face basis (as indicated above), tes to Financial Sector] Not Available Not Available	a non-face-to-face basis. [Relates to Financial Sector] what percentage of customers were introduced by a domestically-based
Question: Of the tot 10 Question: Of those agent/operator? [Rela 50 Question: Of those agent/operator? [Rela	Invot Available al number of customers, what percentage were onboarded on a lon-face-to-face basis (as indicated above), ites to Financial Sector) Invot Available onboarded on a non-face-to-face basis (as indicated above), ites to Financial Sector)	a non-face-to-face basis. [Relates to Financial Sector] what percentage of customers were introduced by a domestically-based what percentage of customers were introduced by a EU- or EEA-based

2) The following window will appear. Click on the marked sign.



3) Read carefully the declaration and tick the box acknowledging reading and agreeing with the content of the declaration.

REQ Declaration		C	₽
I, the undersigned MLRO, having uploaded and submitted are true	logged into CASPAR for electronic submission of documents, hereby declare that the information, data and documentation attached to the R , correct and accurate	EQ be	ing
Declarant's full name	Joe Borg		
Date of declaration	Friday, March 15th 2019 nowledge reading and agreeing to the above (in lieu of signature)		

4) MLROs of legal entities must also complete the following additional declaration. Input the required information on the reviewer of the REQ and tick the box acknowledging that you have read and agreed with the content of the declaration. Then press 'I Declare' to payment.

hermore, I declare that the F	EQ has been reviewed	y the under-mentio	ned person, who	has confirmed	contents of this re	eport.
Reviewer's full name *						
Reviewer's designation *						
Reviewer's phone number *						
Reviewer's e-mail *						
Date of review *	Fri Mar 15 2019	#				
Tick this checkbox to ack	nowledge reading and	greeing to the abov	e (in lieu of signat	ure)		

5) Input the card details in the appropriate fields. Then click on 'Submit Secure Payment'. (Please note that no invoice will be generated)

Online Payment
Order Total: € 50.00
Payment Method
Card Number
Please enter the embossed number on the front side of the card
Expiry 01 • 2020 •
CVV
••••
(Use the last 3 digits found on the back of your card)
Joe bord
Please enter the card holder name as shown on the card
Submit Secure Payment Cancel
Payment session will expire in 19:15
By proceeding to pay, you hereby confirm that you understand that cancellatio

6) A notification appears stating that payment was successfully effected. A receipt for the payment submitted is generated. Click on the 'Print' button to print the receipt.

Payment Successful!			
yment has been successfully paid. Below please find the receipt.	FI	AU Invoice Number 000025	RAU Malta 65C, Tower Street Binkinara BKR 4012 Tel: (+356) 21231333 Fax: (+356) 21231090 Exemption No: EXO 2231
	Invoice To:	ABC Company Limited ABC Company Limited Triq Valletta Valletta Valletta Valletta VIT 1000 Malita Tel: +35621270000 Email: mir/o@abccompany.com	ter: 24 Sep 2019
	Description		Amount EUR
	REQ Fee Late Fee		50.00 0.00
		Vat at 0%	0.00
		Total EUR	50.00
	This invoice is to be settle	ed within the stipulated time. If not late payment fee	es shall apply.
	FIAU Malta This is not a Fiscal Docum	nent	

- 7) The invoice/receipt can be viewed and printed following the submission of the payment. This can done through the following steps:
 - 1. Click on the name of the subject person
 - 2. Scroll down to the 'Payments' section (as seen below)
 - 3. Right-click on payment status 'PAID' and select view invoice/receipt

Payment Date	Amount	Payment status	Category	Category Details
2/04/2019	€.50.00	PAID	REQ	REQ (2020) - ABC Ltd
			View Invoice	
			View Receipt	
PAYMENTS				
PAYMENTS		Dumper Status	Catalogue	Catagory Dataile
PAYMENTS 'ayment Date	Amount	Payment Status	Category	Category Details
Ayment Date 12/04/2019	Amount € 50.00	Payment Status PAID	Category REQ	Category Details REQ (2020) - ABC Ltd
PAYMENTS Payment Date 2/04/2019	Amount € 50.00	Payment Status PAID	Category REQ View Invoice	Category Details REQ (2020) - ABC Ltd
A PAYMENTS A ayment Date 12/04/2019	Amount € 50.00	Payment Status PAID	Category REQ View Irvoice View Receipt	Category Details REQ (2020) - ABC Ltd
PAYMENTS Payment Date 12/04/2019	Amount € 50.00	Payment Status PAID	Category REQ View In∨oice View Receipt	Category Details REQ (2020) - ABC Ltd

7) Frequently Asked Questions

This Frequently Asked Questions (FAQ) document provides more information about the registration to the Compliance and Supervision Platform for Assessing Risk (CASPAR) and the submission of the AML/CFT Risk Evaluation Questionnaire (REQ) through this platform. Please review this FAQ document to learn more.

1. I am no longer a Subject Person – what do I need to do?

If your business has ceased operating, or if your business no longer undertakes relevant activity and / or relevant financial business, you must submit a request to be removed from the CASPAR database. This can be done by contacting the FIAU via email on caspar@fiaumalta.org.

2. Do I need to advise FIAU of changes to my details?

Yes. Changes to the personal details must be affected directly in CASPAR. Refer to Section <u>'Editing</u> of user details'.

3. Do I need to advise FIAU of changes to the details of the Subject Person?

Yes, the FIAU must be informed of changes to the Subject Person details. Changes must be affected directly in CASPAR. Refer to Section 'Editing of details of Subject Persons'.

4. What do I do if I receive notification that my enrolment was not approved?

The reason for the rejection will be included in the email notification. If further clarifications are required, you may contact the FIAU on caspar@fiaumalta.org.

5. How long does enrolment take?

Enrolment is split in two stages:

- a. Creation of a personal user in CASPAR
- b. Creation / Subscription to a Subject Person

A registration form must be completed for each stage. The completion of the respective forms is a short process and takes only a couple of minutes. However, since the approval of the FIAU is required at each stage, enrolment process may take a number of hours / days.

- 6. I successfully managed to register on CASPAR, however as soon as I am logging in, the buttons to create or subscribe to a Subject Person are not showing.
 You may be using Internet Explorer. Kindly note that CASPAR is not compatible with this browser. The website is optimized for Google Chrome and Mozilla Firefox.
- 7. I am an MLRO, however I am still awaiting approval of my appointment by the relevant Authority. May I register on the CASPAR platform? Yes. You must register on CASPAR under the designation type 'MLRO'. Refer to guidance in <u>A.</u> <u>MLRO</u>.

8. My company is in the process of identifying a MLRO. How should I register on CASPAR?

The Company must appoint an interim MLRO. The interim MLRO should register as a user on CASPAR, and then subscribe to the Subject Person - refer to guidance in <u>A. MLRO</u>. If the MLRO changes, the FIAU must be informed in due time by email and the newly appointed MLRO must repeat the registration process.

9. I am the appointed MLRO of multiple Subject Persons. I have already registered on CASPAR and subscribed to one entity – how should I subscribe to additional entities? You may use your current user account on CASPAR to subscribe to / create additional Subject Persons. Login to your account on CASPAR and refer to guidance <u>Step 2: Creation / Subscribing to</u>

<u>a Subject Person.</u> Kindly note that a REQ must be submitted for each Subject Person.

10. I am an MLRO, and I have erroneously rejected the request of a Designated Employee to subscribe to an Existing Subject Person. What happens next?

The Designated Employee should repeat the process of subscribing to a Subject Person. You will receive a new request to approve the subscription.

11. I am the MLRO of a Subject Person, but I will be resigning since I am leaving the entity. Another person will take the role of MLRO. What should be done?

You should follow the obligations under the IPs for resignation/appointment of the MLRO (IP Section 5.1.3). Furthermore, your user must be deactivated. This can be done by contacting the FIAU via email on caspar@fiaumalta.org. The newly appointed MLRO must first register as a user on CASPAR and then subscribe to the Subject Person. Guidance on registration as a MLRO is available in section A.MLRO.

12. I am encountering difficulties in the registration process or in the submission of REQ. Who may I contact?

The User Guide provides a wealth of information on CASPAR. However, if you still have any unanswered questions, you can contact FIAU on caspar@fiaumalta.org.

13. Question: My entity operates under 2 licenses falling under different sub-sectors and we previously filed separate Annual Compliance Report (ACR) for each sub-sector. Are we required to complete one REQ for each sub-sector?

No. Only one REQ needs to be submitted per Subject Person. This REQ will incorporate all the questions applicable to both sub-sectors. This will be based on the sub-sectors selected by the user during the one-time registration of the Subject Person on CASPAR.

14. How long does it take to complete and submit a REQ?

The REQ requires the inputting of various data which requires time to be compiled and filled in. We urge you to commence the completion of the REQ as soon as possible. Penalties apply for the late filing.