



ISLE OF MAN
FINANCIAL SERVICES AUTHORITY

Lught-Reill Shirveishyn Argidoil Ellan Vannin

Designated Businesses Registration

Website User Guide

December 2019

Contents

1. Version Control.....	3
2. Privacy Policy and Terms and Conditions.....	3
3. Introduction.....	3
4. System Requirements.....	3
4.1. Identification Documents.....	3
5. How to obtain support	4
6. Functional overview	4
7. Registration – New users.....	5
7.1. Registration	5
7.2. Verification Email	6
7.3. Registration Confirmed	6
7.4. Overview	7
7.5. Role Definitions	7
7.6. Assigning roles.....	9
8. Logging in.....	9
8.1. Logging in as Site Admin.....	10
8.2. Logging in as Reporter.....	14
8.3. Logging in as a Specified Person	19
8.4. Logging in as Signatory.....	22
9. Forms	27
9.1. Overview	27
9.2. Forms approval and signatory process	27
9.3. Form Export.....	27
9.4. Form Export Form Changes After Business Approval	27

1. Version Control

Date	Version	Notes
16-10-15	0.1	Draft
04-11-15	1.0	Published
04-07-19	2.0	Published
19-12-19	3.0	Published

2. Privacy Policy and Terms and Conditions

The use of the www.iomdnfbp.co.im website is governed by the **Terms and Conditions** and the website's **Privacy Policy**.

3. Introduction

The Designated Businesses (Registration and Oversight) Act 2015 requires certain businesses and professions (Designated Businesses) to register their details with the Isle of Man Financial Services Authority ("the Authority") to facilitate the oversight and monitoring of those businesses and their AML provisions along with other regulated activities.

The DNFBP website has been created to allow Designated Businesses to easily register their details as required by the above Act.

<https://www.iomdnfbp.co.im>

4. System Requirements

The DNFBP system is a web application and is therefore accessible using a supported web browser:

- Internet Explorer 9+, Firefox, Chrome

The website is securely accessed over the internet and the website uses SSL certificates to secure communications.

4.1. Identification Documents

The submission requires an electronic copy of your passport or driving license to be uploaded. To do so, you will be required to scan or take an electronic copy of the document for upload to the DNFBP website.

The identification document should contain a photograph and be certified by a suitable certifier as explained in section 3 of the Authority's Anti-Money Laundering and Financing of Terrorism Handbook

<https://www.iomfsa.im/amlcft/amlcft-requirements-and-guidance/>

The certifier should include their signature, name in block capitals, daytime telephone number, profession, name and address of business or official stamp, and be dated. Certifiers should state that it is a true copy of the original document.

If you do not have a scanning facility, please send a copy of your valid passport or valid driving license to:

AML Team
Financial Services Authority
PO Box 58
Finch Hill House
Douglas
Isle of Man
IM99 1DT

5. How to obtain support

If you have difficulty accessing the DNFBP website please contact the Internet Support Team:

Email InternetSupportTeam@iomfsa.im

Telephone +44 1624 689306

If you have any queries relating to the completion of the forms, please contact the AML team:

Email dnfbp@iomfsa.im

Telephone +44 1624 646000

6. Functional overview

The process to use the website is as follows:

1. The first user registers the business (using the business's registered legal name) on the DNFBP website (See **Registration – New users**)
2. This user is designated a Site Admin
3. The relationship between the user roles and the process is outlined in [figure 4](#) below
4. The first user can create additional users within the business (see [figure 7](#))
5. Roles are assigned to the appropriate users. Certain roles are required in order to submit the relevant forms. (See **Assigning roles**)
6. The business submits the following forms:
 - a. Business Details Form
 - b. Specified Person Questionnaire
 - c. Risk Assessment Form
 - d. Annual Return

7. The Signatories sign the forms where applicable and the Authority review the submitted information

7. Registration – New users

First time users of the DNFBP website will need to register.

The registration process will allow you to register your business, and you will be registered as the first user on the business.

To register on the system, please enter the following website address in your browser:

<https://www.iomdnfbp.co.im>

Login

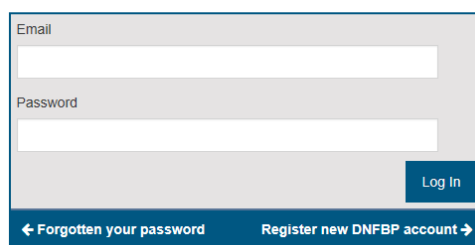
A login form with two input fields: 'Email' and 'Password'. Below the fields is a blue 'Log In' button. At the bottom of the form, there are two links: '← Forgotten your password' and 'Register new DNFBP account →'.

Figure 1- Home page

7.1. Registration

Click the link entitled **Register new DNFBP account**, the Registration page will be displayed.

Thank you for registering with DNFBP Reporting. You should receive your verification email shortly.
Please follow the instructions in the email to activate your account

Register a new DNFBP account

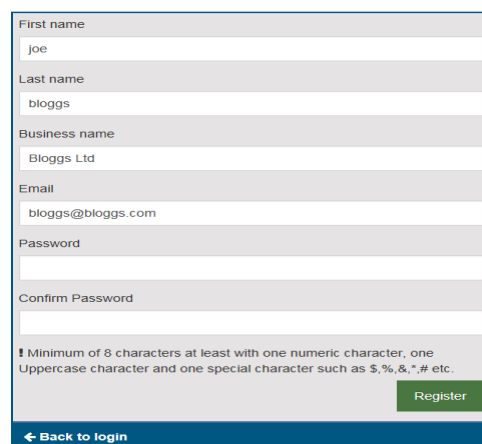
A registration form titled 'Register a new DNFBP account'. It contains several input fields: 'First name' (filled with 'joe'), 'Last name' (filled with 'bloggs'), 'Business name' (filled with 'Bloggs Ltd'), 'Email' (filled with 'bloggs@bloggs.com'), 'Password', and 'Confirm Password'. Below the fields is a green 'Register' button. At the bottom left, there is a link '← Back to login'. A note at the bottom states: 'Minimum of 8 characters at least with one numeric character, one Uppercase character and one special character such as \$,%,&,",# etc.'

Figure 2 - Page displayed following registration

Please complete the form. All fields are **mandatory**.

- First name
- Last name
- Business name
- Email
- Password

Password complexity

The password must have a minimum length of 8 characters and it must include one numeric, one Uppercase and one special character such as \$, %, &, *, # etc.

Once the form has been submitted, a confirmation will be displayed and you will have been sent a confirmation email. The confirmation email will be sent to the email address you provided.

7.2. Verification Email

When you receive the registration verification email, please click the link contained in the message, alternatively, copy the link into your web browser. Visiting this web address will verify your email address and activate your account.

Please click the link contained within the email to verify your registration.

The email will be sent from the address dnfbp@iomfsa.im, note that this email is only sent once.

If you do not receive the email, please check your junk mail or spam folders before contacting the Internet Support Team as set out in the section **How to obtain support**

If you do not verify the email address within 7 days, your account will be deleted and the link will become invalid. If you click the link after 7 days, you will be notified and you will be required to create a new user account.

You have set up this email account for use on the Designated Businesses (Registration and Oversight) online system.

To verify access to the system, click the link below.

[Verify my email address](#)

AML team | dnfbp@gov.im

Financial Services Authority | PO Box 58 | Finch Hill House | Bucks Road | Douglas | Isle of Man IM99 1DT | Tel: (44) 1624 646000 | Fax: (44) 1624 646001

Figure 3 - Verification Email confirming account creation

7.3. Registration Confirmed

After the account has been verified, you will be able to log into the DNFBP website.

As the first registered user, you will be assigned the **Site Admin** role. For more information about the different user roles, please review the **Role Definitions** section [below](#).

As a **Site Admin**, you can create additional users for other members of your organisation.

7.4. Overview

The relationship between the user roles and the process is outlined below

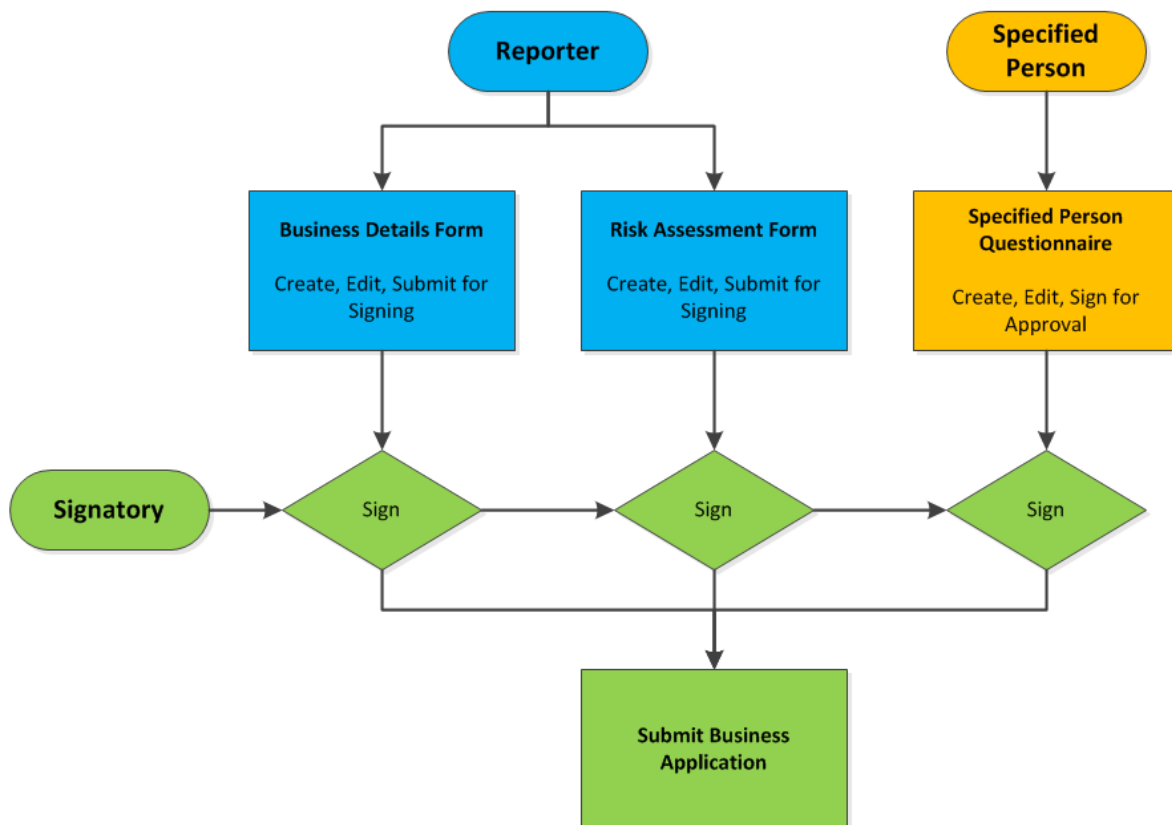


Figure 4 User roles and their relationship to the DNFBP online system

7.5. Role Definitions

Each user on the system is assigned one or more roles. There are four types of role:

- Site Admin
- Reporter
- Specified Person
- Signatory

The different roles allow the user to perform different functions. Assignment of User Roles can only be done by a Site Admin.

SITE ADMIN

The first registered user of a business is assigned the Site Admin role.

The Site Admin role permits the following actions:

- Create other users
- Manage user accounts (password reset, disassociate from business, change username)
- Assign user roles
- Create new business
- Delete 'in progress' forms

A Site Admin cannot remove their own Site Admin role.

To submit and sign Business Details Forms, Risk Assessment Forms and Specified Person Questionnaires, you will need to be assigned, or you will need to assign the role of Reporter, Specified Person and Signatory. Please see below for more information.

REPORTER

The Reporter role is for the administration of the Business's Details Form and Risk Assessment.

A business must have at least one Reporter.

A reporter can;

- Create & modify the Business's Details Form and Risk Assessment
- Submit the Business's Details Form and Risk Assessment to the signatory for approval

SPECIFIED PERSON

The Specified Person can only manage their own Specified Person Questionnaire.

A business must have at least one Specified Person.

They can;

- Create & modify their own Specified Person Questionnaire
- Sign their Specified Person Questionnaire and submit to the signatory for approval

SIGNATORY

The signatory is unable to edit any forms but is there to sign them off and submit the application.

A business must have at least one signatory.

They can;

- Review (read only) the Business's Details Form, Risk Assessment and Specified Person Questionnaire
- Sign the Business's Details Form, Risk Assessment and Specified Person Questionnaire and submit to the Authority
- Reject the form if any of the details input by the reporter or specified person require amendment
- Complete and submit the overall application for DNFBP registration

7.6. Assigning roles

Only a Site Admin can modify a user's roles.

Log into the system using a Site Admin role and select the Business Administration page.

Identify the user to whom you wish to modify their role from the user list at the bottom of the page and select **View** on the right

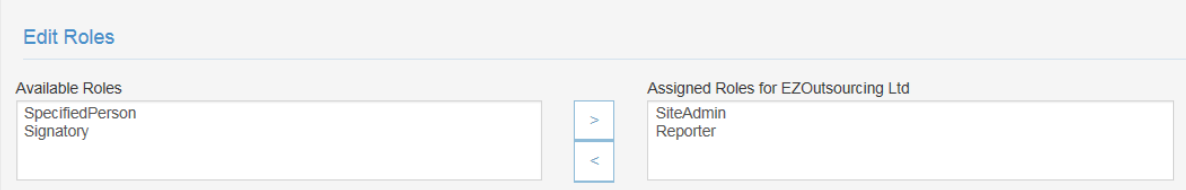


Figure 5 - Edit user roles

User roles can now be highlighted and moved between “Available Roles” and “Assigned Roles” as appropriate

Users can have roles assigned and revoked using the **Edit Roles** function on the view user screen.

8. Logging in

When any user logs in for the first time, they will see a Terms and Conditions page. To access the rest of the website, they must click the green ‘Accept’ button.

If a user is associated with more than one business (see Add User/Add Business sections) they will see a screen similar to that shown below which lists the businesses the user is associated with.



Clicking the View button at the end of the row will take you to the relevant screen for that business.

The role each user has within a business will determine what screen they first see when they access the site. This section on logging in assumes that the user logging in only has one role. If a user has more than one role, they will see a number of blue boxes or tabs at the top left of the screen that will correspond to the number of roles they have. These tabs will take them to the screens connected to the roles. The screens come in the following order: Signatory, Reporter, Site Admin, Specified Person, so the first screen displayed will correspond to whichever is the first role in the order list.

8.1. Logging in as Site Admin

A user with the Site Admin role will see the screen shown below.

The screenshot shows the 'GEM LTD' interface with the 'Business Administration' tab selected. The main heading is 'Account Administration' with a button to 'Add New Business for Administration'. Below this, a description states: 'The Account administration page allows you to control your business users, and also to register new businesses. Possible actions'.

- Add a new user to your business who is already registered on the DNFBP system
- Register a new user onto the DNFBP system for your business
- Add a new business for you to administer
- Detach a user from your business account when you no longer want them to have access through your business

Below the actions list is the 'GEM LTD - User Administration' section. It includes a search bar 'Find users in your business' with a 'Search' button. To the right is a button 'Add User to GEM LTD'. Below the search bar is a table of users:

User name	Full name	Verified	
fsc@gov.im	donna shimmin	True	View

Figure 6 – Site Admin

There are two sections to this screen – the top half allows you to add other businesses which will be dealt with later – the lower half allows you to add other users to your business i.e. where different users will fill different roles, or edit their details. People who need to login to your business details can only be added in this way.

The Log Out button in the top right hand corner of the screen is always visible and will log you out of the system.

ADD A NEW USER

Click on the blue 'Add user to <your business name>' button and you will be taken to the following screen:

Tulsa Ltd
(DB000226)

Business Administration Profile

Add new user

User email:

Figure 7 – New User

Type in the new user's valid email address and click the 'Add User' button. It is possible to add existing users to your business, but at this point, we will assume that the user is new to the system, so the following screen will be displayed:

Tulsa Ltd
(DB000226)

Business Administration Profile

A user with the email you have given does not exist in the system.
Please retype the email and enter user information to register a new account to associate this new user with the current business.
The new user will be sent a verification email to verify their email address and activate their account.

Email

First name

Last name

Password

Confirm password

Please select the initial role for the user.
You will be able to add more roles to the user once the association with the business has been completed.

Please Select...

Figure 8 – New User (2)

You will need to complete the required details.

The email must be a valid email address. You will need to set a password for the user which they can change at any time.

The same rules for the password requirements apply here as they did on the registration screen. **You will need to communicate that password to the user separately.**

Then you need to choose one role for them (see Introduction for roles) and click the green 'Add User' button.

If the screen has been completed correctly, a green banner will be displayed at the top of the screen to tell you that the user has been registered and that they will shortly receive an email. If the user doesn't receive an email, initially please check the email address you typed in on the screen. If that is correct, please contact the Authority who will be able to help resolve the situation.

Your new user needs to follow the link in the email to complete their registration, then they will be able to log into the system using the email address and password you created.

ADD AN EXISTING USER

At the screen shown above *figure 7*, if you type in the email address of someone who is already known to the system, you will see the following screen:

Figure 9 – Add existing user

Retype the email address you previously entered, then select the initial role for that user from the drop down list and press the green 'Add User' button. If the screen has been completed correctly, a green banner will be displayed at the top of the screen to tell you that the user has been added to your business and will shortly receive an email informing them of that. There is no link for them to follow in the email, as they are already registered with the system.

VIEW/EDIT USER DETAILS

On the Business Administration screen shown in *figure 6*, click on the 'View' button at the end of the row showing the user name you want to view or edit and you will be taken to the following screen:

Figure 10 – User edit

You use this screen to set the roles for the user within your business by clicking the name of the role then the arrow buttons in the middle to add or remove them. The red 'Disassociate' button will remove the connection between the user and your business. This means they will no longer be able to login and see your business details. If you view your own details, the red 'Disassociate' button will not be shown. The red 'Close' button will return you to the Business Administration main screen (*figure 6*).

If you are a sole participant who will be completing the forms and signing them and submitting them to the Authority, you will need to assign the 'reporter', 'signatory' and 'specified person' roles to yourself by clicking on the role name in the box on the left hand side then clicking the arrow in the centre that will move the role name to the right hand side.

DISASSOCIATE A USER

If a user needs to no longer be associated with your business, press the red 'Disassociate' button on the Manager Users screen (*figure 10*). A question will pop up asking do you really want to remove this user from your business – clicking 'cancel' will return you to the Business Administration screen and no changes will have been made, clicking ok will remove the user's link to your business and return you to the Business Administration screen. If the disassociated user was a specified person who had a Specified Persons questionnaire that hadn't been Approved, that questionnaire will be removed from the system.

ADD A NEW BUSINESS

If you have more than one business to register, you can add businesses by clicking the blue 'Add New Business For Administration' button. You will see the screen shown below:

Tulsa Ltd
(DB000226)

Business Status Business Forms History Business Administration Profile

Register a new business to administer with your account

Business name:

Add Business Close

Figure 11 – Add Business

Please note that you must enter the legally registered business name, this field cannot be modified after creation.

Type in the name of the business you wish to add and press the green 'Add Business' button. You will not be able to type in the name of a business that has already been registered with the website. If the name does not exist, the business details will be added

to the system, your user details will be added to that business and given the Site Admin role, and a message will be displayed:

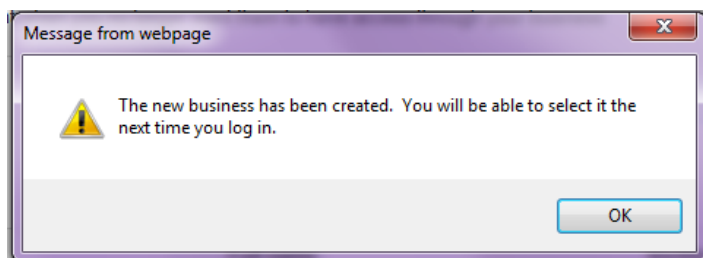


Figure 12 – Add Business (2)

If you need to add your details to a business that has already been registered, you will need to get the Site Admin user for that business to add you as a user.

DELETING IN PROGRESS FORMS

If a form has been created in error or no longer needed, you can delete 'in progress' or 'completed' forms by clicking the 'delete' button next to the form. Please note, you cannot delete forms that have a status of 'signed' or 'approved'.

sanfran
(DB000138)

Business Status Business Forms History Business Administration Your Specified Person Questionnaire History Profile

Specified Person Questionnaire

Created Date	Completed Date	Signed Date	Status		
16/12/2019			In Progress	Delete	Open
29/07/2016	29/07/2016	29/07/2016	Approved		Open

8.2. Logging in as Reporter

A user with the reporter role will see the page shown below:

GEM LTD
(DB000229)

Business Forms History Business Administration Profile

Business Details Create new Business Details

None found

Risk Assessment Create new Risk Assessment

None found

Figure 13 – Reporter

This is the page where the Business Details and Risk Assessment forms are created and edited. The image above is what someone will see when they come into the screen for the

first time, and no forms have yet been created. To create either of the forms, click on the blue 'Create' buttons. If forms have already been created, the details will be displayed i.e. the date of creation and the status (see *figure 14* below). There are four statuses which apply to all forms:

- **In Progress** which means the 'reporter' or 'specified person' user is in the process of filling out the form,
- **Completed** which means the 'reporter' or 'specified person' user has finished the form and marked it as complete,
- **Signed** which means the 'signatory' user has checked the form and signed it off as being ready for submission to the Authority, and
- **Approved** which means the Authority has reviewed the form/application and approved it. If the Authority rejects a form or application, the form status is returned to In Progress.

GEM LTD
(DB000229)

Business Forms History Business Administration Profile

Business Details			
Created Date	Completed Date	Signed Date	Status
22/10/2015			In Progress

Open

Risk Assessment			
Created Date	Completed Date	Signed Date	Status
22/10/2015			In Progress

Open

Figure 14 – Reporter Edit

Click on the 'Open' button to display the particular form details.

CREATING AND EDITING A BUSINESS DETAILS FORM

To create a new Business Details form, click on the blue 'Create new Business Details' button shown in the image *figure 13*. To edit an existing form, click on the 'Open' button shown in the image *figure 13*. In both instances, the screen below will be displayed.

Close without saving Save and continue Save and close

Guidance

Application Contact Details

About the Designated Business Applicant

Proposed Activities

Controllers, Directors and Other Specified Persons

Declaration

Close without saving Save and continue Save and close

Version: 1 Released: 10/05/2015 00:00:00

Copyright © 2015 FSC (IOM). All Rights Reserved.

Figure 15 – Business Details Form

The red 'Close without saving' button will return you to the previous Business Forms History screen (*figure 14*). The green 'Save and Continue' button will save whatever you have typed into the sections of the form, and leave you on the screen so you can continue to input details. This button is useful if you've completed a section of the form and want to make sure you've saved everything before you move to the next section. The green 'Save and close' button will save whatever has been typed in, and will return you to the Business Forms History screen (*figure 14*). You can click any of the save/close buttons at any time.

To start inputting details about your business, you need to click on the small blue arrows on the left hand side. This will open up a section of the form – see below for an example where the second section of the form has been opened.

The screenshot displays the 'Business Details Form (2)' with the 'Application Contact Details' section expanded. The form is structured with several sections, each with a blue arrow on the left for expansion. The expanded section 'a. Name of individual who is to be primary contact for the application' contains fields for 'Title' (a dropdown menu), 'First Name', and 'Last Name'. Below this is section 'b. E-mail address' with a single text input field. Section 'c. Postal address' includes 'Address 1', 'Address 2', 'Address 3', 'Country', and 'Postcode', each with its own text input field. Section 'd. Daytime telephone number' has a single text input field. The form is framed by a header and footer containing navigation buttons: 'Close without saving' (red), 'Save and continue' (green), and 'Save and close' (green). The footer also includes version information: 'Version: 1 Released: 10/05/2015 00:00:00' and a copyright notice: 'Copyright © 2015 FSC (ICM). All Rights Reserved.'

Figure 16 – Business Details Form (2)

You will need to open each section and complete the details required.

Notes on form completion:

Read the guidance section first.

You will need to enter data into every field, even if the answer is a 0.

Some questions take the form of a yes/no answer which may require further input – they usually are shown as a tick box which when ticked may display another field for the extra details.

The persons employed or otherwise engaged by a registered person as directors, controllers, Money Laundering Reporting officer and Compliance Officer or a sole practitioner who is a registered person are considered to be Specified Persons, and they will need to be added as users so that they can complete their Specified Person questionnaire.

If you have missed any fields, or completed any fields incorrectly, the screen will tell you when you click either of the save buttons. A red warning triangle containing an exclamation

mark will be displayed at the end of the section containing the error (see *figure 17*). Open that section, and the incorrect field will be shaded or highlighted.

When all the details have been completed, the 'reporter' user needs to declare that the form is complete so that it can be submitted to the 'signatory'. To do this, the 'reporter' user needs to go to the 'Declaration' section on the form (see below)

Figure 17 – Business Details Form - Sign

Click on the grey 'submit application form' button. Once this button has been clicked, the details will be saved, and you will be returned to the Business Forms History screen. The form will no longer be editable as it is now waiting to be signed off.

CREATING AND EDITING A RISK ASSESSMENT FORM

This works in much the same way as the Business Details form. Click on the blue 'Create new Risk Assessment' button shown in *figure 14*. A new form will be displayed (see below).

Figure 18 – Risk Assessment Form

The red 'Close without saving' button will return you to the previous Business Forms History screen (*figure 14*). The green 'Save and Continue' button will save whatever you have typed into the sections of the form, and leave you on the screen so you can continue to input details. This button is useful if you've completed a section of the form and want to make sure you've saved everything before you move to the next section. The green 'Save and close' button will save whatever has been typed in, and will return you to the Business Forms History screen (*figure 14*). You can click any of the save/close buttons at any time.

To start inputting the risk assessment details, you need to click on the small blue arrows on the left hand side. This will open up a section of the form – see below for an example where the second section of the form has been opened.

The screenshot displays the 'Risk Assessment Form (2)' interface. At the top, there are three buttons: a red 'Close without saving' button, and two green buttons labeled 'Save and continue' and 'Save and close x'. Below these is a 'Guidance' section with a blue arrow icon. The 'Background' section is expanded, showing three sub-sections: 'a. Business name' with a text field containing 'Treetops'; 'b. Contact name for queries' with fields for 'Title' (a dropdown menu), 'First Name', and 'Last Name'; and 'c. Are there currently any actions (civil or criminal) being undertaken against you or by you? If yes, please provide details' with a checkbox. Below the 'Background' section are several collapsed sections: 'Client Base', 'Business information', 'AML/CFT reporting', 'Compliance', and 'Declaration', each with a blue arrow icon. At the bottom of the form, there are again three buttons: a red 'Close without saving' button, and two green buttons labeled 'Save and continue' and 'Save and close x'. A version number 'Version: 1 Released: 10/05/2015 00:00:00' is visible at the very bottom.

Figure 19 – Risk Assessment Form (2)

You will need to open each section and complete the details required.

Notes on form completion:

Read the guidance section first.

You will need to enter data into every field, even if the answer is a 0.

Some questions take the form of a yes/no answer which may require further input – they usually are shown as a tick box which when ticked may display another field for the extra details.

If you have missed any fields, or completed any fields incorrectly, the screen will tell you when you click either of the save buttons. A red warning triangle containing an exclamation mark will be displayed at the end of the section containing the error. Open that section, and the incorrect field will be shaded or highlighted.

When all the details have been filled in, the 'reporter' user needs to declare that the form is complete so that it can be submitted to the 'signatory'. To do this, the 'reporter' user needs to go to the 'Declaration' section on the form (see below)

Close without saving Save and continue Save and close

Guidance
Background
Client Base
Business information
AML/CFT reporting
Compliance
Declaration

Under section 20 of the Designated Businesses (Registration and Oversight) Act 2015 a person commits an offence if he knowingly or recklessly gives any information to the Authority which is false or misleading in a material particular, and is liable:-

(a) on summary conviction to a fine not exceeding £5,000 or to a term of custody not exceeding 12 months, or to both; or

(b) on conviction on information to a fine or to custody for a term not exceeding 2 years, or to both.

Once you are satisfied the form has been completed click the Submit button to send the form to the Signatory for signing

Simon Cooke

Submit application form

Close without saving Save and continue Save and close

Figure 20 – Risk Assessment Form - sign

Click on the grey 'submit application form' button. Once this button has been clicked, the details will be saved, and you will be returned to the Business Forms History screen. The form will no longer be editable as it is now waiting to be signed off.

8.3. Logging in as a Specified Person

When a user logs in with the Specified Person role, they will see the screen shown below:

GEM LTD
(DB000229)

Business Forms History Business Administration Your Specified Person Questionnaire History Profile

Specified Person Questionnaire Create new Specified Person Questionnaire

None found

Terms and Conditions Copyright © 2015 IOMFSA. All Rights Reserved. Privacy Policy

Figure 21 – Specified Person Questionnaire

This screen only relates to your own Specified Person Questionnaire. You cannot see other users' forms, only your own.

CREATING AND EDITING A SPECIFIED PERSON QUESTIONNAIRE

This works in much the same way as the Business Details form. Click on the blue 'Create new Specified Person Questionnaire' button shown in the image above (*figure 21*). A new form will be displayed (see below).

The screenshot shows the 'Specified Person Questionnaire' form. At the top, there are four buttons: 'Close without saving' (red), 'Save and continue' (green), 'Save and close' (green), and 'Export PDF' (green). Below these are ten sections, each with a blue arrow icon on the left: 'Guidance', 'Personal Details', 'Contact Details', 'Controller Appointment', 'Appointments', 'Civil and disciplinary proceedings', 'Offences and criminal matters', 'General', 'Experience and Qualifications. Only to be completed if proposed in the role of MLRO', and 'Additional information'. At the bottom, there is a 'Declaration' section. Below the sections, there are three buttons: 'Close without saving' (red), 'Save and continue' (green), and 'Save and close' (green). At the very bottom, it says 'Version: 1 Released: 19/05/2015 00:00:00'.

Figure 22 – Specified Person Questionnaire (2)

The red 'Close without saving' button will return you to the previous Specified Person History screen (*figure 21*). The green 'Save and Continue' button will save whatever you have typed into the sections of the form, and leave you on the screen so you can continue to input details. This button is useful if you've completed a section of the form and want to make sure you have saved everything before you move to the next section. The green 'Save and close' button will save whatever has been typed in, and will return you to the Specified Person History screen (*figure 21*). You can click any of the save/close buttons at any time. The green 'Export PDF' button allows you to export your Specified Person Questionnaire to a PDF file should you wish to keep your own record of the form.

To start inputting the specified person details, you need to click on the small blue arrows on the left hand side. This will open up a section of the form – see below for an example where the second section of the form has been opened.

The screenshot shows the 'Specified Person Questionnaire' form with the 'Contact Details' section expanded. The 'Contact Details' section is highlighted in blue and contains two sub-sections: 'a. Contact telephone number (including codes)' and 'b. Contact E-mail address'. Each sub-section has a text input field. Below the 'Contact Details' section, the other sections are still collapsed. At the top, there are four buttons: 'Close without saving' (red), 'Save and continue' (green), 'Save and close' (green), and 'Export PDF' (green). At the bottom, there are three buttons: 'Close without saving' (red), 'Save and continue' (green), and 'Save and close' (green). At the very bottom, it says 'Version: 1 Released: 19/05/2015 00:00:00'.

Figure 23 – Specified Person Questionnaire (3)

You will need to open each section and complete the details required.

Notes on form completion:

Read the guidance section first.

You need to upload a certified copy of your valid passport or valid photo driving licence with this form. The types of files permitted are pdf, jpg, doc and docx, and there is a file size limit of 10 Mb.

You will need to enter data into every field, even if the answer is a 0.

Some questions take the form of a yes/no answer which may require further input – they usually are shown as a tick box which when ticked may display another field for the extra details.

If you have missed any fields, or completed any fields incorrectly, the screen will tell you when you click either of the save buttons. A red warning triangle containing an exclamation mark will be displayed at the end of the section containing the error. Open that section, and the incorrect field will be shaded or highlighted.

When all the details have been filled in, the 'specified person' user needs to declare that the form is complete so that it can be submitted to the 'signatory'. To do this, the 'specified person' user needs to go to the 'Declaration' section on the form (see below)

Close without saving

Save and continue

Save and close

Guidance
Personal Details
Contact Details
Controller Appointment
Appointments
Civil and disciplinary proceedings
Offences and criminal matters
General
Experience and Qualifications. Only to be completed if proposed in the role of MLRO, DMLRO or Compliance Officer
Additional information
Declaration

I certify that the information provided is complete and correct to the best of my knowledge and belief.

I understand and accept that the Isle of Man Financial Services Authority ("the Authority") may wish to make enquiries - both now and on a continuing basis - to satisfy itself as to my initial and continuing fitness and propriety. Accordingly, I authorise any persons, bodies, or institutions, named in this Questionnaire, together with any person, body, or institution, that the Authority may approach, to provide such information as the Authority believes may be relevant to its assessment of my initial and continuing fitness and propriety.

I also authorise the Authority to disclose to any Designated Business, in connection with which I may be assessed, information that the Authority believes may be relevant to its assessment of my initial and continuing fitness and propriety.

Click the Sign button to sign and complete the form

Sally Cinamon

Sign application form

Close without saving

Save and continue

Save and close

Figure 24 – Specified Person Questionnaire - sign

Click on the grey 'sign application form' button. Once this button has been clicked, the details will be saved, and you will be returned to the Specified Person History screen. The form will no longer be editable as it is now waiting to be signed off.

8.4. Logging in as Signatory

If a user logs in with the signatory role, they will see the following screen:

GEM LTD
(DB000229)

Business Status | Business Forms History | Business Administration | Your Specified Person Questionnaire History | Profile

The following forms must be completed and signed before you can submit the registration application:
Business Details
Specified Person Questionnaire
Risk Assessment Form

Business Registration:

FormName	Created By	Completed Date	Signed Date	Status
Business Details	fsc@gov.im	22/10/2015		Completed
Risk Assessment	fsc@gov.im			In Progress
donna shimmin - Specified Person Questionnaire	fsc@gov.im	22/10/2015		Completed

Reports Awaiting Signature:

FormName	Completed By	Completed Date	
Business Details	fsc@gov.im	22/10/2015	Open
donna shimmin - Specified Person Questionnaire	fsc@gov.im	22/10/2015	Open

Terms and Conditions | Copyright © 2015 IOMFSA. All Rights Reserved. | Privacy Policy

Figure 25 – Signatory

The blue outlined box at the top of the screen is for information purposes and is to tell you which forms still need to be completed and signed before the business application can be submitted. When the business application has been submitted and approved, that box will no longer appear.

The section headed 'Business Registration' shows a list of the forms that have been created against this business, who created the form, and their current status. For a business application to be submitted, a Business Details form, a Risk assessment form and at least 1 Specified Person Questionnaire have to be completed and signed off by the signatory.

The section headed 'Reports Awaiting Signature' shows a list of the forms that are awaiting sign off. They will be the forms that appear in the 'Business Registration' section with a Completed status.

SIGNING FORMS

The signatory is responsible for signing forms and submitting the completed application to the Authority for approval.

Once the reporter has submitted the Business Details Form or the Risk Assessment Form an email is sent to the Signatories informing them that it needs to be signed.

Once the Specified Person has signed the Specified Person Questionnaire an email is sent to the Signatories informing them that it needs to be signed.

Please tick all items in the following checklist to confirm the form is completed correctly.
ALL sections of questionnaire are answered fully
Suitable certified identification provided
If required, Police Check Form completed sent separately
Declarations are signed by all relevant parties

As the signatory, you can open the form for signing (click on the 'Open' button at the end of the row). The screen displayed for each form will be similar to the screen displayed when editing the form in the first instance. The example shown below is for the business details form.

✕ Close without saving
📄 Reject ✕

▶ Guidance
▶ Application Contact Details
▶ About the Designated Business Applicant
▶ Proposed Activities
▶ Controllers, Directors and Other Specified Persons
▶ Declaration

✕ Close without saving

Figure 26 – Signatory – signing forms

As signatory, you have no ability to edit the form, so the screen only has the red 'Close without saving' buttons.

As signatory, you can open each section of the form using the small blue arrows to check the details that have been entered. If any problems are detected, you should reject the form using the green 'Reject' button. This resets the status of the form back to 'In Progress' which means the user who has the reporter role must go into the report to correct whatever is incorrect, then click the button at the end of the form to indicate it is complete again.

If the form is correct, as the signatory, you should open the Declaration section at the bottom of the form where you will see the following screen (the example is for the Business

Details form – the Declaration for the Risk Assessment form is similar in that the signatory is only required to press the grey ‘Sign application form’ button).

Proposed Activities

Controllers, Directors and Other Specified Persons

Declaration

We are providing this Application Form under Section 8 of the Designated Businesses (Registration and Oversight) Act 2015 ('the Act') to be registered with the Authority.

We declare that the information given in this Application Form is complete and correct to the best of our knowledge and belief. We undertake to inform the Authority of any changes to the information included in this form before, during or following registration with the Authority.

We are aware that it is an offence under Section 20(2) of the Act in connection with obtaining a registration under the Act if a person does any of the following:

- Furnishes or sends to the Authority for any purpose under this Act information that the person knows to be false or misleading in a material particular;
- Recklessly furnishes or sends to the Authority for the purposes of this Act information that is false or misleading in a material particular; or
- In furnishing information to the Authority for the purposes of this Act -
 - Makes a statement that the person knows to be false or misleading in a material particular; or
 - Recklessly makes a statement that is false or misleading in a material particular.

We further undertake that if, and for as long as the designated business is registered under the Act (or under any subsequent legislation), we will notify the Authority (or its successors) of changes to the information given in this Application Form prior to making such a change, or where a change is sudden or unexpected, promptly after each change is made, in compliance with Section 19 of the Act.

Note

Section 20 provides that a person guilty of an offence is liable:

- on summary conviction to a fine not exceeding £5,000 or to a term of custody not exceeding 12 months, or to both; or
- on conviction on indictment to a fine or to custody for a term not exceeding 2 years, or to both

The form was signed as complete by Simon Cooke 30/10/2015

Click the Sign button to sign the form as signatory

Simon Cooke

Sign application form

Figure 27 – Signatory – signing forms (2)

The Declaration on the Specified Persons questionnaire is slightly different in that there are a number of statements that must be checked before the form can be signed.

Declaration

We, EZOutsourcing Ltd the Designated Business, hereby affirm that we have checked the information detailed in the attached questionnaire and it is, to the best of our knowledge, complete and correct.

Please tick all items in the following checklist to confirm the form is completed correctly.	
ALL sections of questionnaire are answered fully	<input checked="" type="checkbox"/>
Suitable certified identification provided	<input checked="" type="checkbox"/>
If required, Police Check Form completed sent separately	<input checked="" type="checkbox"/>
Declarations are signed by all relevant parties	<input checked="" type="checkbox"/>

The form was signed as complete by Sally Cinamon 29/10/2015

Click the Sign button to sign the form as signatory

Simon Cooke

Sign application form

Close without saving

Figure 28 – Signatory – signing forms (3)

Once you have read the declaration and signed the form, you will be returned to the Business Status page, and the status of the form will have changed to 'Signed'.

SUBMITTING A BUSINESS APPLICATION

Once the Business Details Form, Risk Assessment Form and Specified Person Questionnaire have been signed you are ready to submit the registration application to the Authority.

GEM LTD
(DB000229)

Business Status Business Forms History Business Administration Your Specified Person Questionnaire History Profile

All your business forms are completed and signed.
Your business has 1 Specified Person(s) registered with completed and signed forms

[Submit Registration Application](#)

Please confirm that all persons who are required to be registered as Specified Persons are registered, and that all the required Specified Person forms are completed and signed. ☐

Schedule of registration fees:

Size of applicant for registration based on number of employees in relation to the designated business	If <u>complete</u> application is made by 1 December 2015	If application is made after 1 December 2015
Sole trader	£50	£100
Small applicant (2 to 5 employees)	£50	£100
Medium applicant (6 to 15 employees)	£75	£150
Large applicant (16 employees or more)	£125	£250

For registration fee payments please quote the following reference number as the payee reference DB000229

Please indicate how you are paying the registration fee:

BACS ☐

Cheque ☐

To pay the registration fee by BACS, please make payment to:

Bank : Isle of Man Bank Limited
Sort Code : 55-91-00
A/C Name : Isle of Man Government Financial Services Authority
Account No : 12557838
Payment Reference: Please enter reference number DB000229

To pay by cheque, please make payable to IOM Government and write the payment reference on the back and post to:

PO Box 58
Finch Hill House
Bucks Road
Douglas
Isle of Man

Figure 29 – Signatory – Business Status

You need to fill in the required details then press the blue 'Submit Registration Application' button.

Once the button has been pressed, the registration block will disappear from the Business Status page.

The Authority will then review your forms and either accept or reject your application. You will receive an email informing you of the decision.

SUBMITTING AN ANNUAL RETURN

Each year, the designated business will be required to submit an Annual Return. The Annual Return will be displayed on the Signatories Business Status screen for one month before the return is required to be completed.

When the signatory user logs in, if an annual return is due, they will see the form on the Business Forms History page:

Mystery Inc Close X

0

Business Status Business Forms History Business Administration Your Specified Person Questionnaire History Profile

Reports Awaiting Signature:

FormName	Completed By	Completed Date	
Annual Compliance Return	annual@service	14/09/2015	Open

GEM LTD
(DB000229)

Business Status Business Forms History Business Administration Profile

Business Details

Created Date	Completed Date	Signed Date	Status	
22/10/2015	22/10/2015	22/10/2015	Approved	Open

Risk Assessment

Created Date	Completed Date	Signed Date	Status	
22/10/2015	22/10/2015	22/10/2015	Approved	Open

Specified Person Questionnaire

	Created Date	Completed Date	Signed Date	Status	
donna shimmin	22/10/2015	22/10/2015	22/10/2015	Approved	Open

Annual Return

Created Date	Signed Date	Status	
22/10/2015		Created	Open

Figure 30 – Signatory – Annual Return

You should open the form in the usual way to complete and sign the form.

Close without saving

Application forms

Business Conduct

Declaration

Close without saving

Version: 1 Released: 01/07/2015 00:00:00

Figure 31 – Signatory – Annual Return (2)

Once the form has been signed, it will disappear from the Business Status screen and will be shown on the Business Forms History screen. The Authority will approve or reject the form in the usual manner.

9. Forms

9.1. Overview

All forms contain guidance notes which contain important information and should be referred to.

Many of the fields in the forms are mandatory. Once the form has been saved any missing fields will be highlighted; the section missing information is highlighted with an exclamation mark, the individual questions coloured red or highlighted in a red square (see Figure below)

The screenshot shows a web form titled 'AML/CFT reporting' with a warning icon in the top right corner. The form contains three sections:

- a. State the number of internal disclosures made in the last 3 years**: A text input field containing the number '0'.
- b. State the number of external disclosures made in the last 3 years**: A text input field that is entirely highlighted in red, indicating it is a mandatory field that is missing information.
- c. Has the business been required to provide evidence or material to competent authorities? If yes, please provide details**: A question with two radio buttons, 'Yes' and 'No', both of which are highlighted in red.

Figure 32 – Missing mandatory fields

9.2. Forms approval and signatory process

The overall process for form submission can be seen in *Figure 4* above.

Different user roles are required for different stages of the process (see **Role Definitions**)

9.3. Form Export

Each form has a PDF export option that enables you to save or print a copy of the form.

The certifier should include their signature, name in block capitals, daytime telephone number, profession, name and address of business or official stamp, and be dated. Certifiers should state that it is a true copy of the original document.

9.4. Form Export Form Changes After Business Approval

Once forms (and the business application) have been approved, they cannot be edited so if any details change (i.e. address change, change of director etc.), a new version of the form affected should be created following the sections above. Details from the previous version

of the form will be copied into the new version to assist with completing the form. Once completed, the new versions of the form will need to go through the same stages as before, i.e. the 'reporter' will need to indicate that the form has been completed and the 'signatory' will need to check and sign the form so that it goes through to the Authority for approval.