



Subject Person Profile Guide for Firms and Companies

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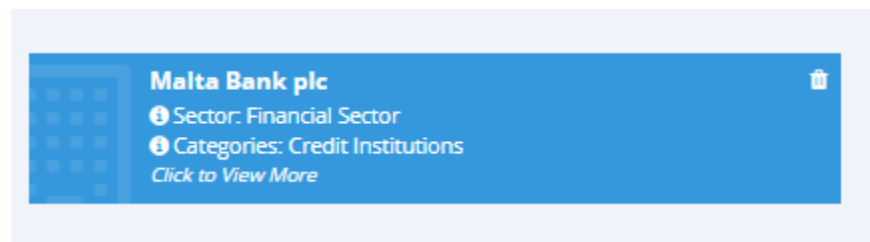
Introduction

The purpose of this document is to provide further information on how subject persons which are set up as firms or companies, are to complete the 'Subject Person Profile Module' on CASPAR. The objective of the 'Subject Person Profile Module' is for subject persons to provide details on their operations.

It is important that **the information in the 'Subject Persons Profile Module' is always kept up to date** and should not be solely construed to be an annual exercise performed during the Risk Evaluation Questionnaire period.

Accessing the 'Subject Person Profile Module'

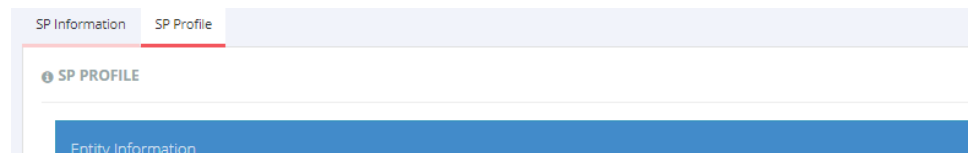
In order to access the 'Subject Person Profile Module', subject persons should log into CASPAR using the credentials assigned. Subsequently subject persons should access the 'SP Dashboard', found on the left-hand side of the screen, and click on the tile box (as shown in image below).



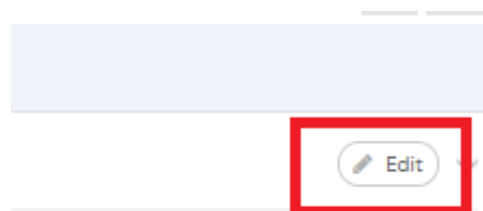
By clicking on the tile box, subject persons will be directed to the 'Subject Person Details' page. The top left corner of this page provides the subject person with two tabs as follows:

- a) The 'SP Information' tab
- b) The 'SP Profile' tab

These tabs are displayed in the image below.



Once subject persons click on the 'SP Profile' tab, they will be able to start inputting the required information by clicking on the 'edit button' which is displayed on the top right corner (as shown in the image below).



It is important to note that the sections within the 'Subject Person Profile Module' will vary depending on the categories in which subject persons operate as assigned on CASPAR. Therefore, the sections listed below may not be visible to all subject persons.

Sections to be completed in the 'Subject Person Profile Module'

Entity Information

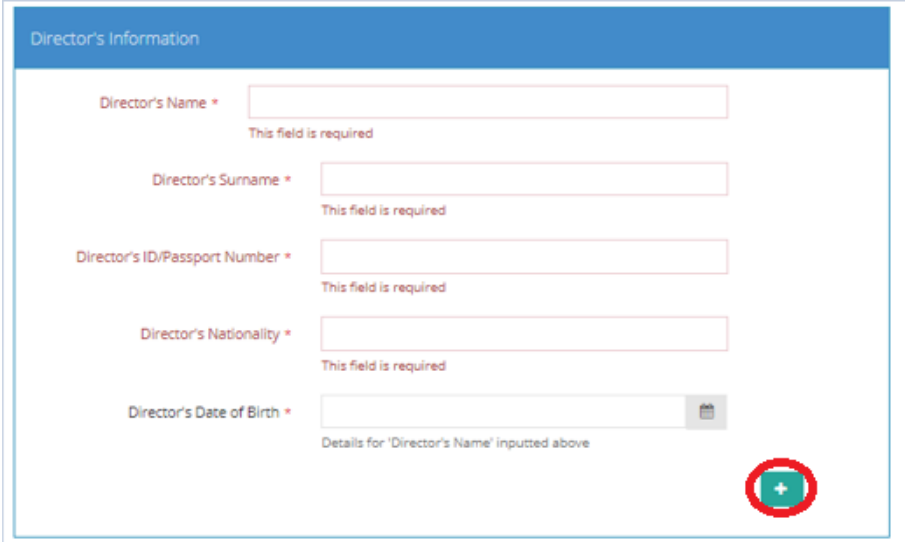
In the first section, subject persons are required to provide the legal formation and status of their entity. For each question, subject persons are required to select from the several options provided. Subject persons are also allowed to provide more detail in the free text box.

Licence Information

In this section, subject persons should tick their respective authorised licences as well as the licences which are currently in use.

Shareholders, Beneficial Owners and Directors Information

Subject persons are requested to input information on their shareholders, beneficial owner/s and directors. The 'plus sign button' (as shown in image below), can be used in cases where there are more than one director, shareholder, or beneficial owner.



In the case of public companies, the fields in the 'Shareholder Information' section should be completed by writing 'N/A'. On the other hand, if the shareholder is a corporate entity, subject persons should enter the name of the corporate entity in the field 'Shareholder's Name' and indicate all other fields as 'N/A'. In instances where no natural person qualifies as a beneficial owner of the subject person, the latter should enter the information of the natural person who is exercising control.

Auditor Information

In this section, subject persons are required to input details of the entity's auditor together with the year of the auditor's appointment.

Group Information

In this section, subject persons are required to input information on the group that they form part of. However, if subject persons do not form part of a group, then they should answer the question "Does the subject person form a part of a group" as 'No', whereas the subsequent sections 'Subsidiary Company Information' and 'Parent Company Information' should be filled as 'N/A'.

Ownership and Control Structure

Subject person is required to upload their latest ownership and control structure chart in this section. It is important that subject persons also indicate the details of the date when the chart was last updated.

Targeted Markets

Subject persons should tick the options where the subject person markets or offers its products.

Products Offered

Subject persons are requested to tick from the list available, the products or services currently offered. In cases where the 'others' option is selected, subject persons are requested to include a description of such products or services in the free text box.

Latest Business Risk Assessment

Subject persons should upload their latest Business Risk Assessment document in this section. It is important that subject persons also indicate the details of the date when the document was last updated.

Assets and Revenue

In this section subject persons are required to provide their total assets and total revenue amounts.

Annual Turnover

Subject persons are required to provide their annual turnover on the basis of the latest available audited financial statements or submitted tax return. 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.