



Subject Person Profile Guide for Sole Practitioners

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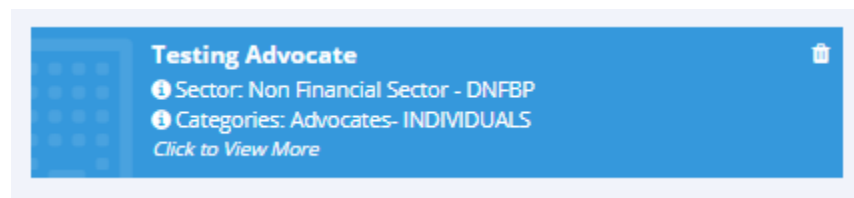
Introduction

The purpose of this document is to provide further information on how subject persons who are sole practitioners, 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'

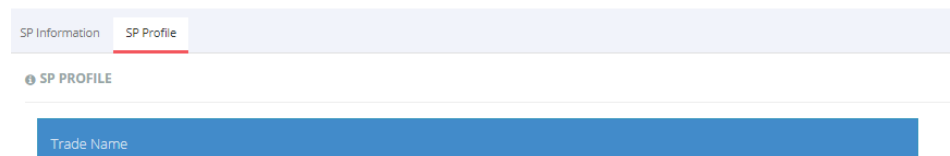
In order to access the 'Subject Person Profile Module', subject persons should log into CASPAR using the credentials assigned. Subsequently subject persons should access the 'SP Dashboard', found on the left-hand side of the screen, and click on the tile box (as shown in image below).



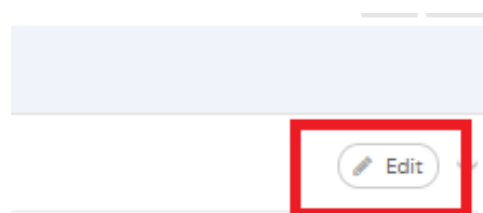
By clicking on the tile box, subject persons will be directed to the 'Subject Person Details' page. The top left corner of this page provides the subject person with two tabs as follows:

- 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'

Trade Name

A free text box will require subject persons to input their trade name under which they are operating. In cases, where subject persons do not utilise a trade name, then subject persons should write 'N/A' in the box.

Targeted Markets

In this section, subject persons are required to tick the options where they are marketing or offering their products and services.

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.

Annual Turnover

Subject persons are required to provide their annual turnover on the basis of the latest available financial statements or submitted tax return. In those instances where the subject persons' 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.