REEFS

ORGANISATION USERS, ROLES AND WORKFLOWS

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1 INTRODUCTION

Welcome to the <u>Regulatory Enhanced Electronic Forms Submission</u> (REEFS) system.

REEFS is an online portal for electronic submission of required financial services information to CIMA as well as providing payments information where applicable.

This guide can be used to assist in the creation of User accounts, Assigning Roles and details of Workflows.

1.1 FORMS

There are three categories of forms within the REEFS system

- 1. **Financial Returns**, examples:
 - a. Bi-Annual Return
 - b. Fund Annual Return
 - c. Insurance Agent Annual Return
 - d. Coordinated Portfolio Investment Survey
 - e. Locational Banking Statistics
 - f. Etc.
- 2. New Applications, examples include:
 - a. Addition of a Segregated Portfolio or Series Trust or Sub Fund
 - b. Application for a Trust Company Licence
 - c. Application for Mutual Fund
 - d. Application for SIBL Excluded Persons
 - e. Etc.
- 3. **Requests**, examples include:
 - a. Change in Business Plan
 - b. Change of Compliance MLRO
 - c. Change in Shareholdings
 - d. Change in Registered Office
 - e. Personal Questionnaire
 - f. Etc.

Industry users will be able to communicate electronically with the Authority by:

- Submitting **Financial Return** filings.
- Facilitate **New Applications** (licences and registrations).
- Submit **Change Requests** to existing licence/registration information already on file.
- View Payments information regarding outstanding fees and payment history.

1.2 ACCOUNTS

1.2.1 ADMINISTRATOR ACCOUNT

A single organization administrator account is created for each entity known to CIMA.

This administrator account is responsible for managing individual user accounts.

The administrator account is created on request and review by CIMA. The credentials are distributed to industry following approval process.

1.2.2 USER ACCOUNTS

Each user is a member of an organization and therefore a member of the Licence Types (communities) related to that organization.

- Administrator can **only** manage accounts.
- Email address is unique across the whole REEFS system.
- Remember to disable users when they leave organisation

1.3 ROLES

In REEFS, roles are required to be assigned to allow users to perform certain tasks (assigned in the Workflow). These roles give the users permission to prepare, edit, approve, review and submit etc. based on Workflows.

A list of the roles within REEFS that can be given to a user:

Role Name	Role Description
Auditor Preparer role	Workflow Role - Required for Fund Annual Return (FAR) preparation.
Auditor role	Workflow Role - Required for Fund Annual Return (FAR) submission to CIMA.
New application Preparer role	Workflow Role - Required for New Application preparation.
New application role	Workflow Role - Required for New Application submission to CIMA.
Preparer role	Workflow Role - Required for Change Requests or for preparation of Financial Returns.
Reviewer role	Workflow Role - Required for review of Financial Returns.
Submitter role	Workflow Role - Required for submission of Financial Returns to CIMA.
Payment - Full Access role	Payments Role - User with this role can view payments (Outstanding Fees / Fee History / Payment History) and also make payments via escrow.
Payment - View only role	Payments Role - User with this role can view payments (Outstanding Fees / Fee History / Payment History).
*Employee	Identifies the organization the user works for
*Organization Administrator	Organization Administrators are super users of their organization but cannot make other users into Organization Administrators.
*Organization Member	All users who belong to a organization have this role within that organization.
*Organization Owner	Organization Owners are super users of their organization and can assign organization roles to users.

*Default role and not to be used for workflows

1.3.1 WORKFLOW ROLES

The workflows allow for the separation of duties within an organisation. A workflow is attached to the different form types: New Application, Change Request, Financial Return.

Form Type (Work Flow)	Role	Prepare Form	Review Form	Submit Form to CIMA
Financial Return	Preparer	Yes	No	No
	Reviewer (inherits above role)	Yes	Yes	No
	Submitter (inherits above role)	Yes	Yes	Yes

New Application	New Application Preparer	Yes	No	No
	New Application (inherits above	Yes	N/A	Yes
	role)			
Request	Preparer / Reviewer / Submitter	Yes	N/A	Yes
Fund Annual Return (FAR)	Auditor Preparer role	Yes	No	No
	Auditor role (inherits above role)	Yes	Yes	Yes

1.3.1.1 PREPARER

The **Preparer** can prepare **Request Forms** and **Financial Returns**. A preparer role is needed when sending in a Request e.g. a change request.

The Preparer role can also prepare and submit **Request Forms** but <u>cannot</u> review or submit **Financial Returns** or Application forms.

1.3.1.2 REVIEWER

The **Reviewer** can review the prepared submissions created by the **Preparer**.

The Reviewer role can also prepare and submit Request Forms but <u>cannot</u> submit Financial Returns or Application forms

1.3.1.3 SUBMITTER

The user must have the **Submitter** role in order to review and submit the finalized Financial Return submission to the Authority.

The submission may have an associated fee which will require payment at the time of submission. Payment options will include Cheque, Escrow and Credit Card (subject to change).

1.3.1.4 NEW APPLICATION PREPARER

When submitting a new **Application**, two steps are required: the preparation step (completed by the "**New Application Preparer**" role) and the submission step (performed by the "**New Application**" role).

1.3.1.5 NEW APPLICATION

Once the **Application** is prepared (by the **New Application Preparer** role), it can be submitted to the Authority by the **New Application** role.

1.3.1.6 AUDITOR PREPARER

When submitting a Fund Annual Return (FAR), two steps are required: the preparation step (completed by the "Auditor **Preparer**" role) and the submission step (performed by the "Auditor" role).

1.3.1.7 AUDITOR

Once the FAR is prepared (by the Auditor Preparer role), it can be submitted to the Authority by the Auditor role.

1.3.2 PAYMENTS ROLES

Additional to the workflow roles listed above are roles specifically for managing the Payments pages

1.3.2.1 PAYMENT - FULL ACCESS ROLE

User with this role can view payments (Outstanding Fees / Fee History / Payment History) and also make payments via escrow (subject to change).

1.3.2.2 PAYMENT - VIEW ONLY ROLE

User with this role can view payments (Outstanding Fees / Fee History / Payment History).

1.4 WORKFLOWS

A workflow refers to the process flow of a form (financial return, application or request).

The workflow outlines the steps that must be followed on both the industry-side and Authority-side for preparation, review, submissions, etc. of a return.

All steps in the workflow must be complete (validated multiple times) even if one user has inherited roles and can perform all steps in the workflow.

1.4.1 FINANCIAL RETURN

Each step must be validated before being submitted to the next workflow step:



*Not all Returns have a **Payment** applicable or payable at the time of submission.

1.4.2 NEW APPLICATION



Each step must be validated before being submitted to the next workflow step:

*Not all applications have a **Payment** applicable or payable at the time of submission.

1.4.3 REQUEST

Each step must be validated before being submitted to the next workflow step:



*Not all requests have a **Payment** applicable or payable at the time of submission.

1.4.4 TERMINATION OF MUTUAL FUND



Each step must be validated before being submitted to the next workflow step:

*Not all forms have a **Payment** applicable or payable at the time of submission.

The menu navigation bar depicts the flow of the form:

Workflow						
Home	Prepare Filing	View Filing	New Request	In-Progress Requests	Submitted Requests	Payments
Ir F	ndustry-side of inancial Returns CIM	IA-side of Finance	Industry-sia and Applica	de of Requests ations CIMA-side Applicatio	e of Requests and ns	

2 ACCESS TO REEFS

The administrator account credentials will be issued by CIMA on request and approval.

Log in using admin credentials (given by CIMA) to the **secure** website (https):

- URL = https://reefs.cimaconnect.com
- Username = <as supplied by CIMA>
- Password = <as supplied by CIMA>

CIMA does not manage individual user accounts.

The organisation administrator account can **only** be used to manage user accounts. It cannot be used to submit forms of any type.

3 CREATE USER ACCOUNT

Using the Organisation Administrator account, select the "**Organization Administration**" at the top right of the navigation bar:

1. Select "Organization Administration"

						Welcome admin	*
C 💓 c	ayman Islands Mone	tary Authority					
Home	Prepare Filing	View Filing	New Request	In-Progress Requests	Submitted Requests	Organization Administration	
👰 Annour	ncements						
Entrie	s Old Entries						
No entries	were found.						
🔑 Sign In					•	anguage	
You are sig	gned in as <u>admin</u>				Enc	lish <u>français</u>	

The "Organization Administration" portlet will be shown.

- 2. Click the "Organizations" tab
- 3. Click "Actions"
- 4. Click "Add User"

	yman islands men	eary Automy							
Home	Prepare Filing	View Filing	New Request	In-Progree	ss Requests	Submitted F	Requests	Organization Adm	inistration
📰 Organizat	tion Admin							•	Return to Full Page
Users	Organizations	Jser Groups							
Search		Advance	<u>i »</u>						
Search Org	anizations						<u></u>	Manage Pages Assign User Roles	
Showing 1 re	sult.							Add User	
<u>Name</u>		Parei	nt Organization	<u>Type</u>	City	Region	2	View Users	
				Regular			10	View Suborganizations	Actions

- 5. Enter the following required user details:
 - a. "Screen Name".
 - i. Must be unique across the whole system (cannot be duplicated)
 - ii. e.g. cima_jdoe
 - b. "Email Address".
 - i. Must be unique across the whole system (cannot be duplicated)
 - ii. e.g. jdoe@cima.ky
 - iii. This is also the username.
 - c. "First Name"
 - d. "Last Name"
- 6. Click "Save"

= Organizatio	n Admin
User	
Screen Name	
Email Address	
Prefix	~
First Name	
Middle Name	
Last Name	
Suffix	~
Save Cance	el

- Click the "Password" tab, enter twice ("Password" and "Enter Again" fields)
 Note: Minimum length for passwords is 15 characters and can be all lower case and can include spaces.
- 8. Click "Save"

= Organizatio	n Admin		
Vour req	uest has been processed suc	cessfully	
User			
User ID	379101	Organizations	
Screen Name	company_johnsmith	Job Title	
Email Address	johnsmith@company.com		
Prefix	~		
First Name	John]	
Middle Name]	
Last Name	Smith		
Suffix	\checkmark		
Save Cance	el		
Display	Passyord Regular Roles	Community Roles	Organization Roles
Password	•••••		
Enter Again •		Password Re	eset Required

Tip: To View Users created, under User Administration window, click Users tab; as indicated on screenshots below.

	Prepare Filing	View Filing	New Request	In-Prog
Organization	n Admin			
	organizations	User Groups		
Match All 🗸	of the following fi	elds:		
First Name	Middle	e Name	Last Name	
First Name Screen Name	Middle	e Name Address	Last Name Active	

4 ASSIGN ROLE(S) TO USER ACCOUNT

Users must be assigned role(s) to perform actions within the REEFS system.

A list of the roles within REEFS that can be given to a user:

Role Name	Role Description
Auditor Preparer role	Workflow Role - Required for Fund Annual Return (FAR) preparation.
Auditor role	Workflow Role - Required for Fund Annual Return (FAR) submission to CIMA.
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Payment - View only role	Payments Role - User with this role can view payments (Outstanding Fees / Fee History / Payment History).

Click "Organization Administration" at the top right of the navigation bar:

The "Organization Administration" portlet will be shown.

- 1. Click the "Organizations" tab
- 2. Click "Actions"
- 3. Click "Assign User Roles"

Home Prepare Filing	View Filing New Request	In-Progre	ess Requests	Submitted Requests	Organization Administration
Organization Admin					Return to Full Pa
Users Organizations	Jser Groups				
Search	Advanced »			R	Manage Pages
Search Organizations					ssign User Roles
Showing 1 result.				8	Add User
<u>Name</u>	Parent Organization	<u>Type</u>	City	Region	View Users
		Regular			View Suborganizations

4. Click on the "Role Name" from list (e.g. "Submitter" or "Auditor role")

Home	Prepare Filing	View Filing	New Request	In-Progress Requests	Submitted Requests	Organization Administration
E Organiz	ation Admin					
Assign Org	anization roles to users					
Step 1 of	2. Choose a role.					
Organizatio) <u>ns</u> »					
Roles						
Search						
Search R	oles					
Showing 1	3 results					
Showing I.	readita.					
Name		Ту	<u>pe</u>	<u>Description</u>		
Submitte	r role	Or	ganization	Workflow Role - Required for s	submission of Financial Return	ns to CIMA.
Reviewe	role	Or	qanization	Workflow Role - Required for r	eview of Financial Returns.	
New app	lication role	Or	ganization	Workflow Role - Required for N	New Application submission t	D CIMA.
New app	lication Preparer role	Or	ganization	Workflow Role - Required for N	New Application preparation.	

Notes: 1) The system is created to add one role at a time to avoid giving a user the incorrect role.
2) Users who will be responsible for returns, new applications and change requests need more than one role.

- 5. Click the "Available" tab
- 6. The list of available users will then be shown with their association to the selected role.
- 7. Select the "User" from list by ensuring a tick is placed in the checkbox for the selected "User".

Organization Ad	lmin		Return to Full Pa
Assign Organization	roles to users.		
Step 2 of 2. Assign	Organization roles to users. organizatio	Current signifies current users associated with the Auditor role role. Available signifies all us n.	ers associated with the
Organizations »		» Auditor role	
Users			
	nikolo		
Current Ava	in the		
Match All 🔽 of t	he following fields:		
irst Name	Middle Name	Last Name	
Caracan Managa	Email Address	Antice	
screen warne	Email Address	Yes	
Denie			
<u>« Basic</u>			
<u>x Basic</u> Search Users			
search Users			
<u>« Basic</u> Search Users Update Associatio)ns		
search Users Update Associatio	ans		
search Users Update Association Showing 4 results.	ons Name	<u>Screen Name</u>	
Basic Search Users Update Association Showing 4 results.	Name 1704581 cimatest1	<u>Screen Name</u> 1704581_cimatest1	_

8. Once all of the users have been assigned to the chosen role, click "Update Associations" to save.

Note: Please be aware that after assigning roles, it may take up to allow up to **30 minutes** for the users to be updated and have access to those roles in the system.

4.1 VIEW ALL ROLES ASSIGNED TO A USER

Under the "Organization Administration" at the top right of the navigation bar:

- 1. Click the "Users" tab
- 2. Click "Search Users"
- 3. Click on a User Name as indicated below

Users Match All	Organizat	ions User Group	30	
First Name Screen Na <u>« Basic</u> Search U Deactiva	me sers te	Middle Name Email Address	Active Yes V	
	First Name	<u>Last Name</u>	Screen Name	Job Title
È .	admin	1704581	1704581admin	Account Admin
	1704581	amatest	1704581 cimatest1	

4. Click "**Organization Roles**" tab All Roles created under that user will be displayed