REEFS

ORGANISATION USERS, ROLES AND WORKFLOWS

Document version: 1.2

Table of Contents

1 INTRODUCTION

Welcome to the Regulatory Enhanced Electronic Forms Submission (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 role)	Yes	N/A	Yes
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 cannot 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 **cannot** 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

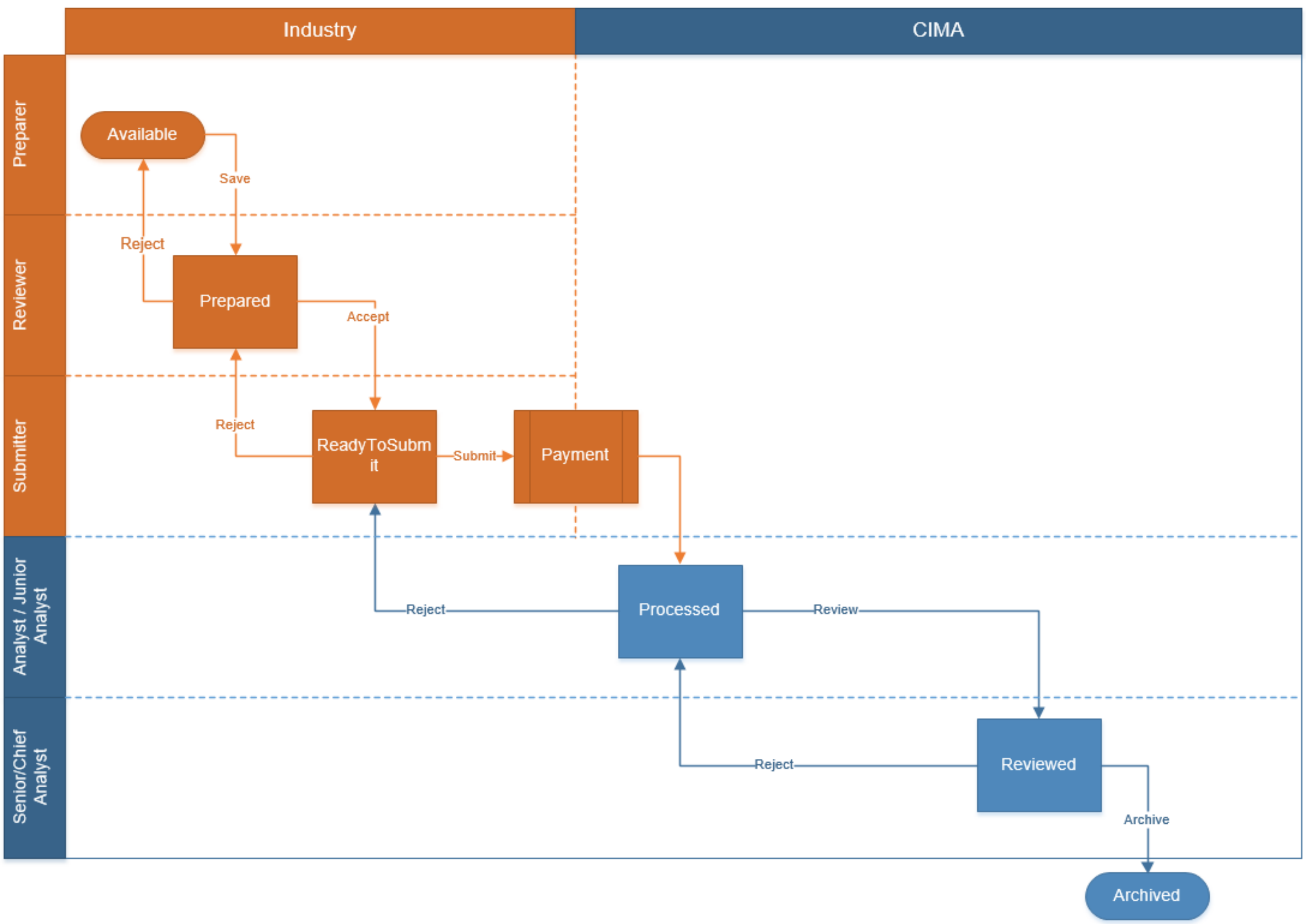
A workflow refers to the process flow of a form (financial return, application or request).

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

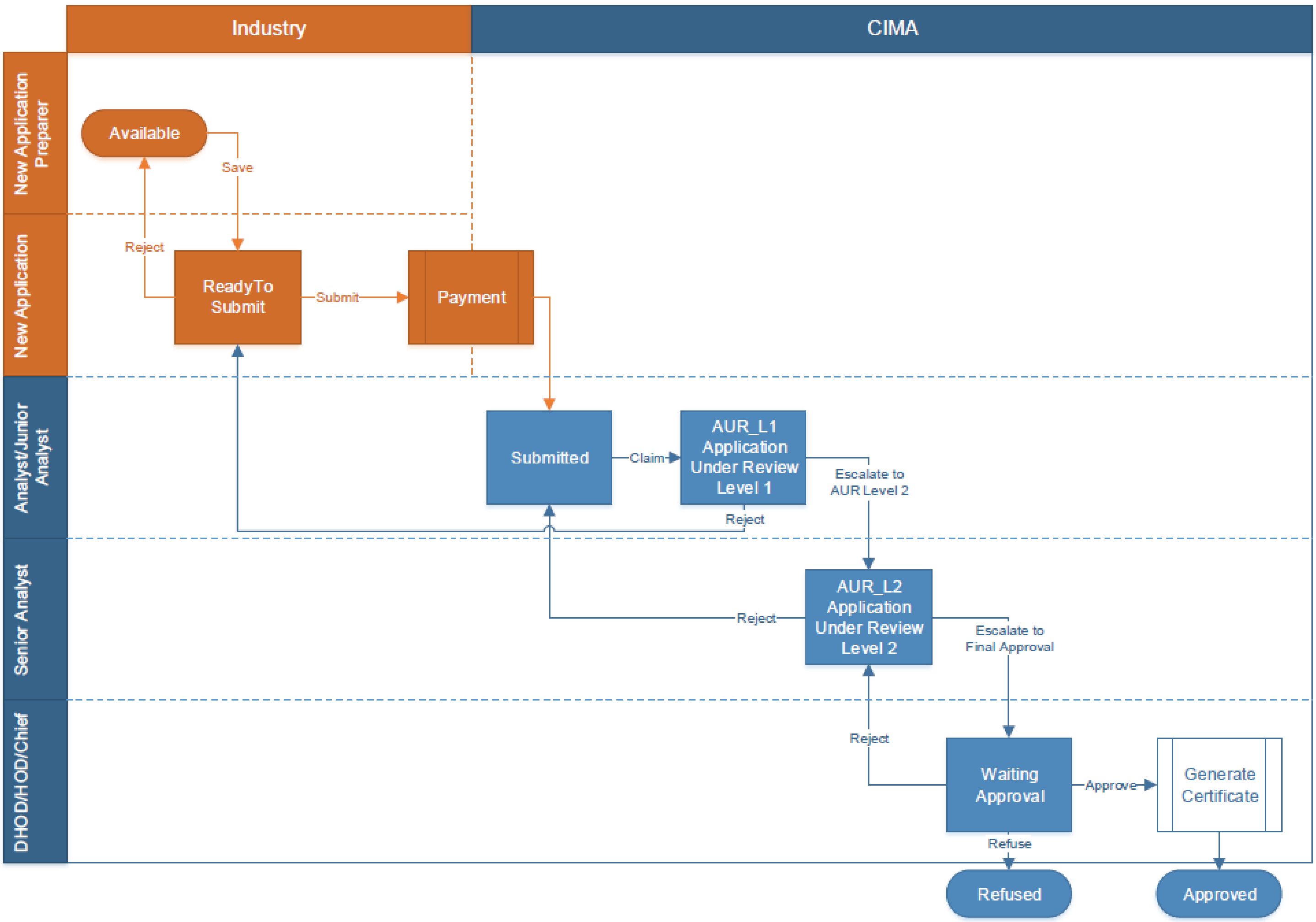
Each step must be validated before being submitted to the next workflow step:



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

1.4.2 NEW APPLICATION

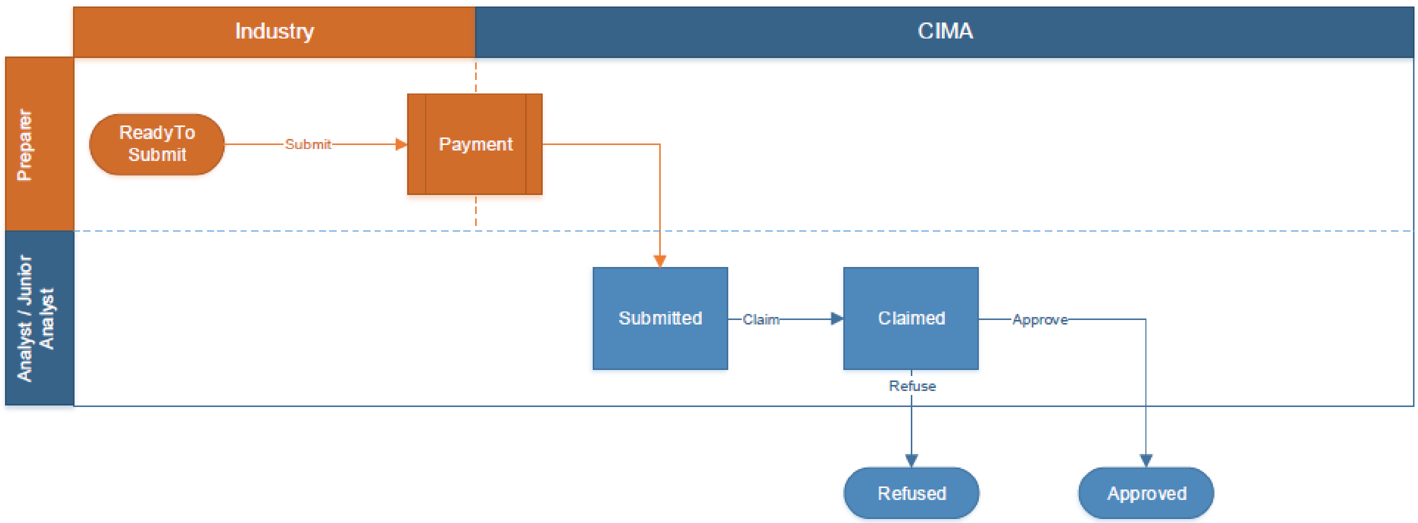
Each step must be validated before being submitted to the next workflow step:



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

1.4.3 REQUEST

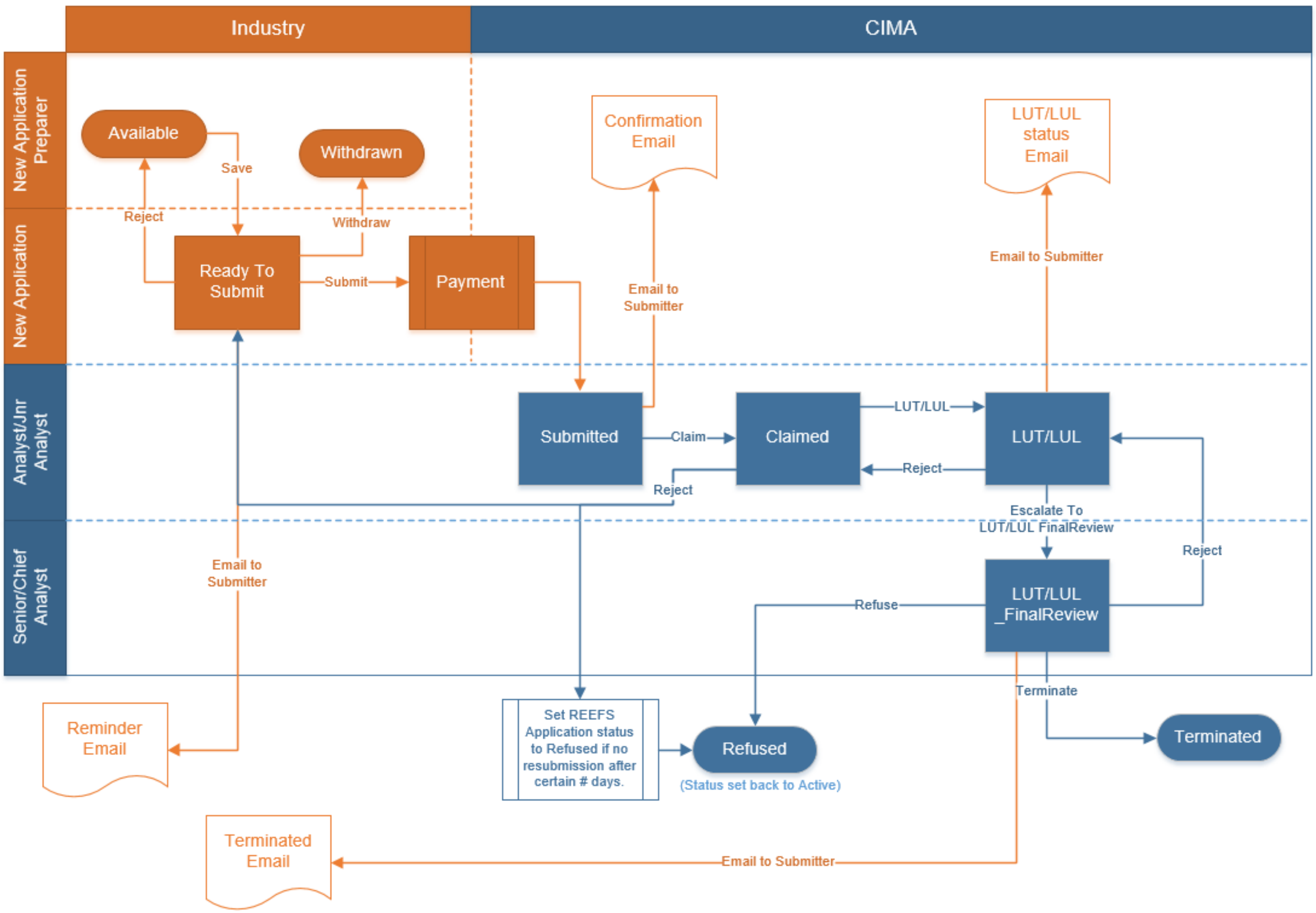
Each step must be validated before being submitted to the next workflow step:



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

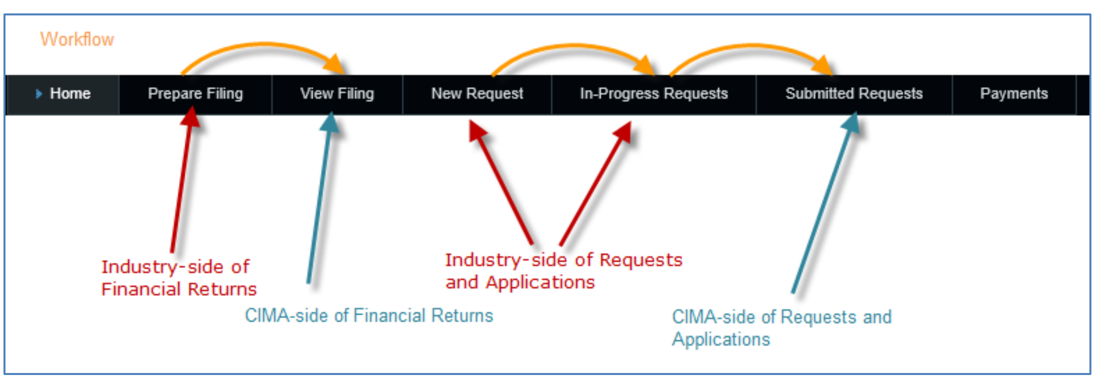
1.4.4 TERMINATION OF MUTUAL FUND

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:



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>

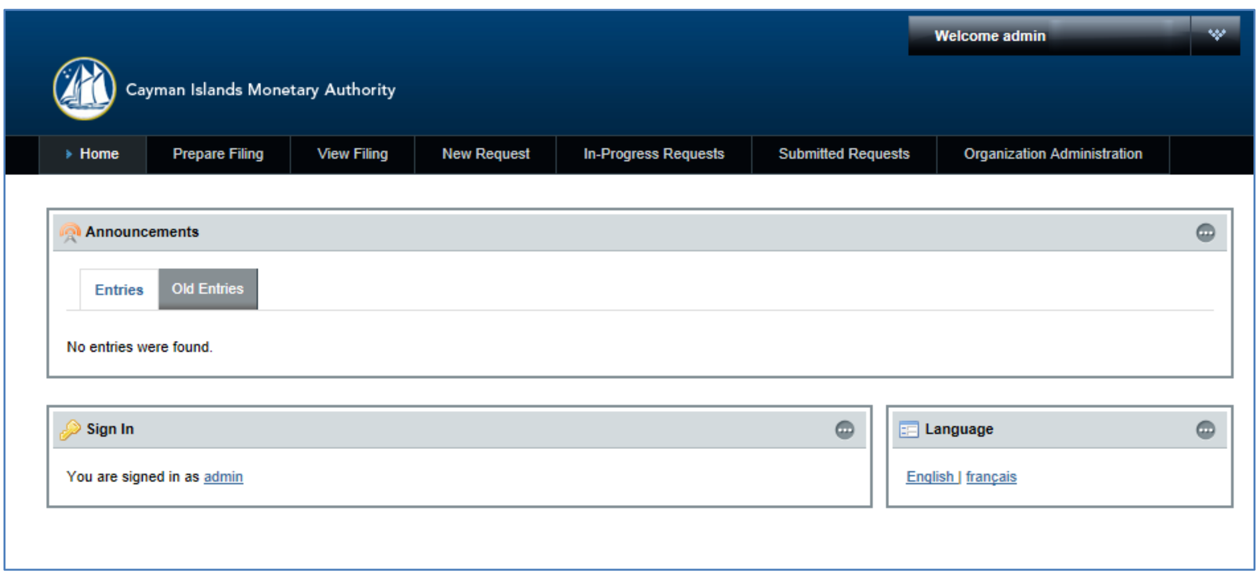
CIMA does not manage individual user accounts.

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

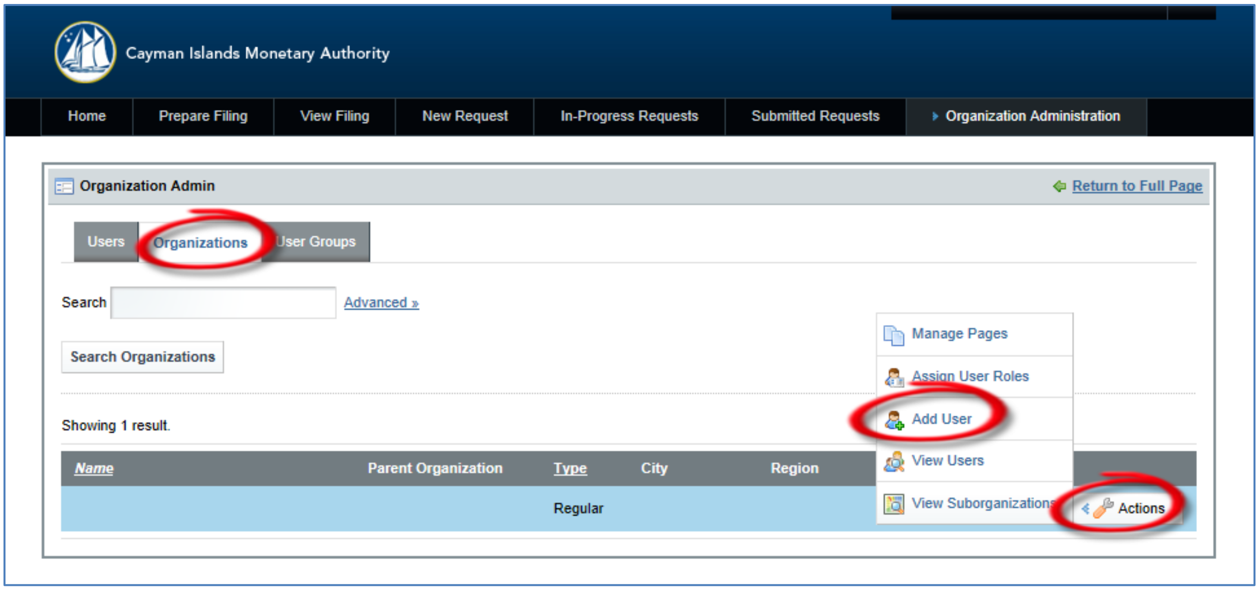
Using the Organisation Administrator account, select the "**Organization Administration**" at the top right of the navigation bar:

1. Select "**Organization Administration**"

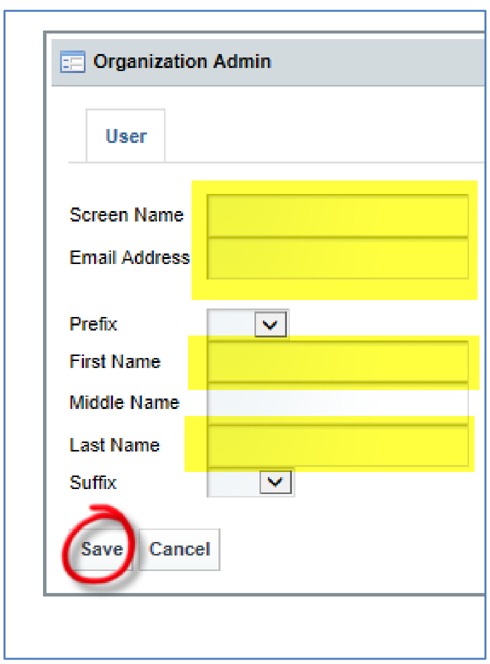


The "**Organization Administration**" portlet will be shown.

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

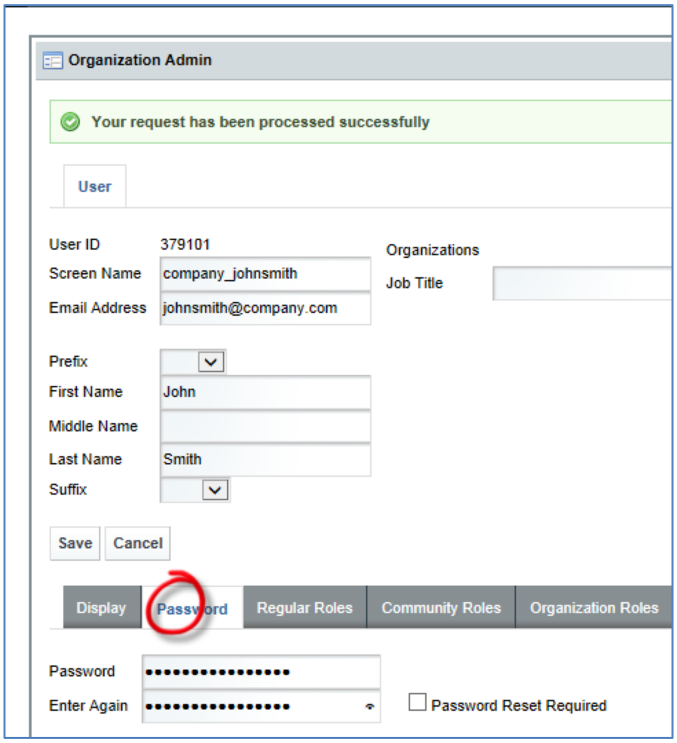


5. Enter the following required user details:
    a. "**Screen Name**".
        i. Must be unique across the whole system (cannot be duplicated)
        ii. e.g. cima_jdoe
    b. "**Email Address**".
        i. Must be unique across the whole system (cannot be duplicated)
        ii. e.g. jdoe@cima.ky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

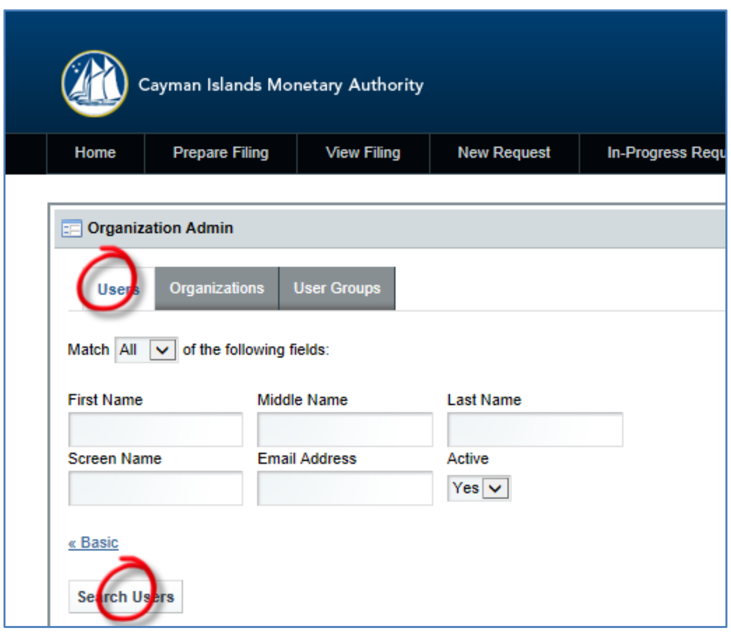


7. Click the "**Password**" tab, enter twice ("**Password**" and "**Enter Again**" fields)
   Note: Minimum length for passwords is 15 characters – and can be all lower case and can include spaces.

8. Click "**Save**"



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



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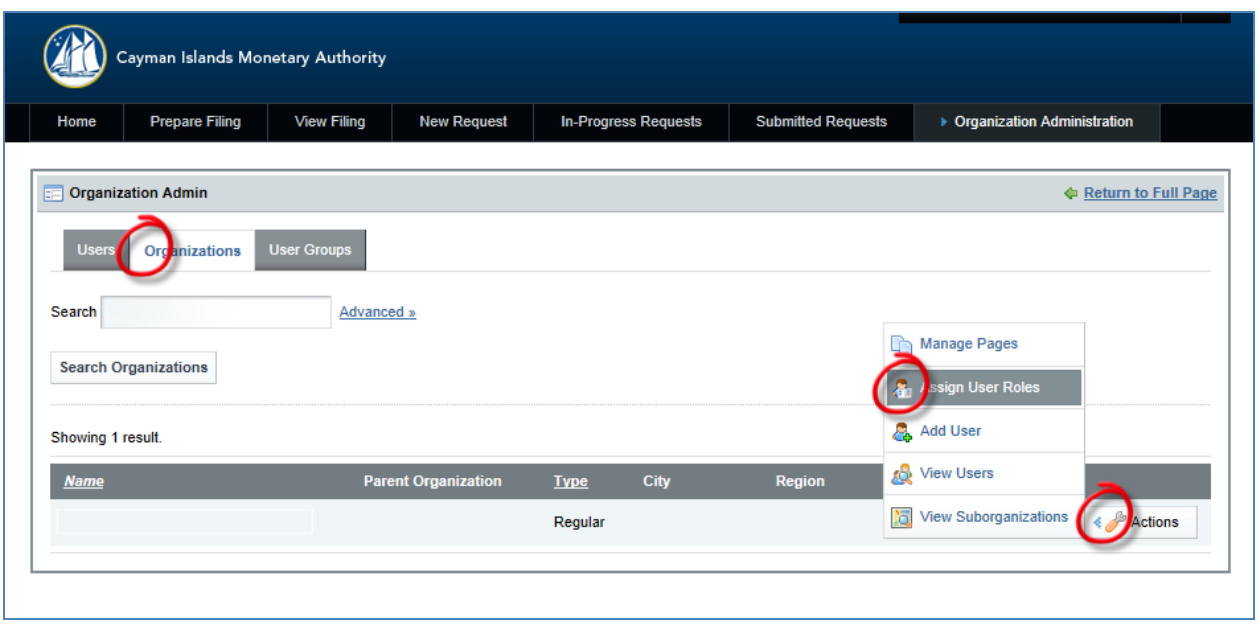
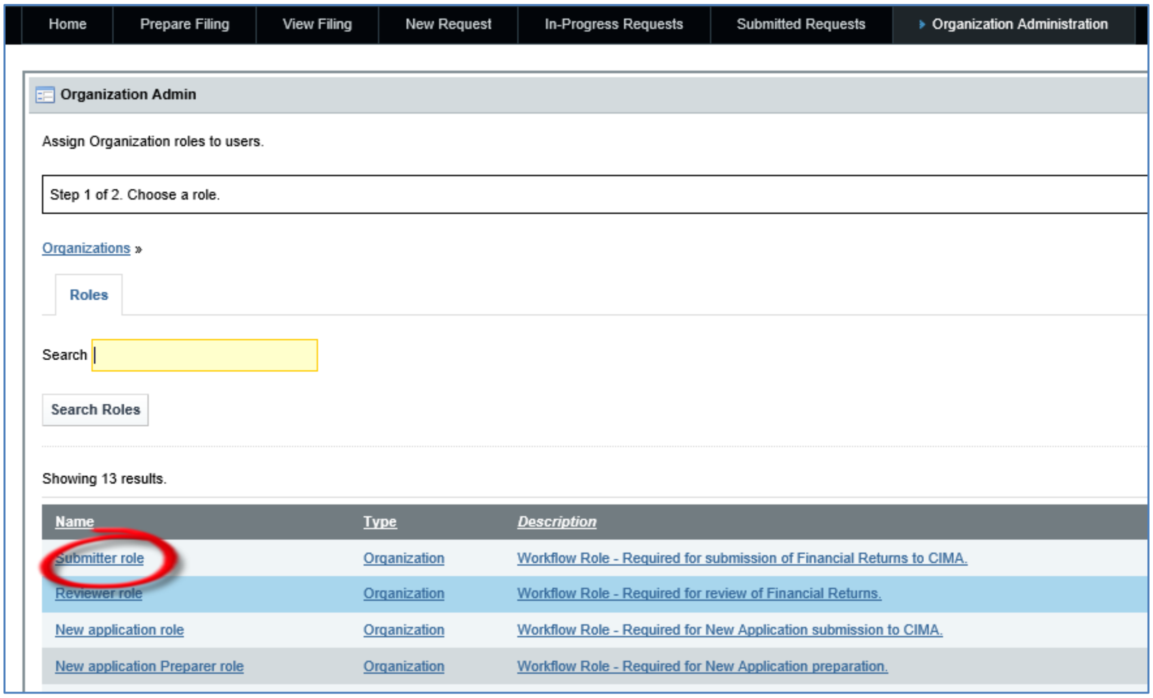
Click "**Organization Administration**" at the top right of the navigation bar:

The "**Organization Administration**" portlet will be shown.

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

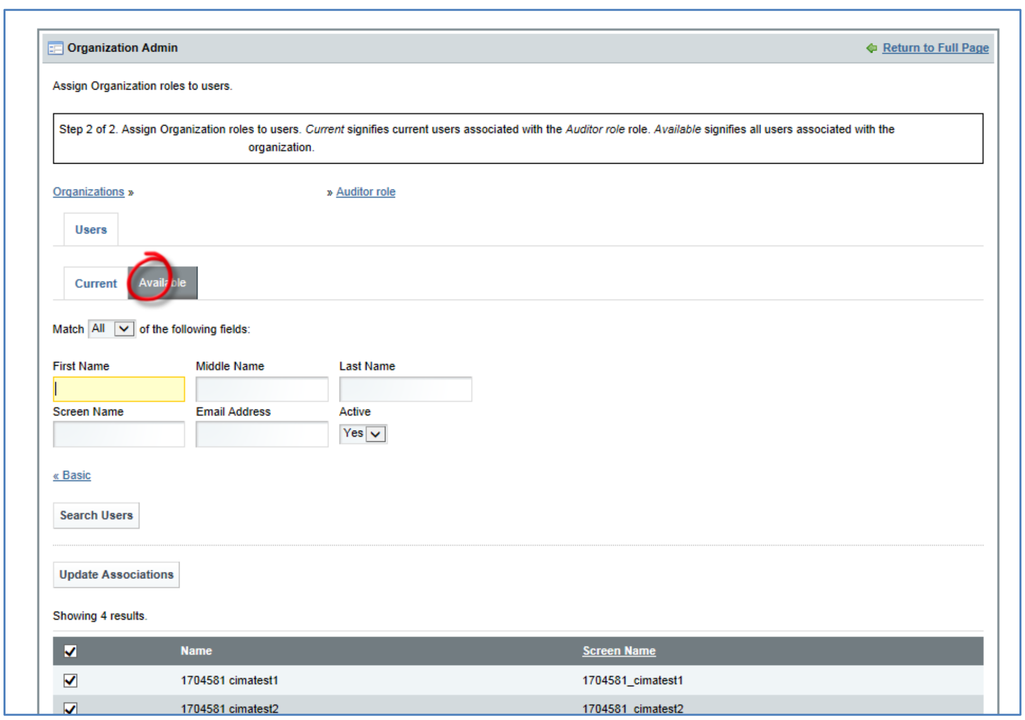


4. Click on the "**Role Name**" from list (e.g. "Submitter" or "Auditor role")



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**".



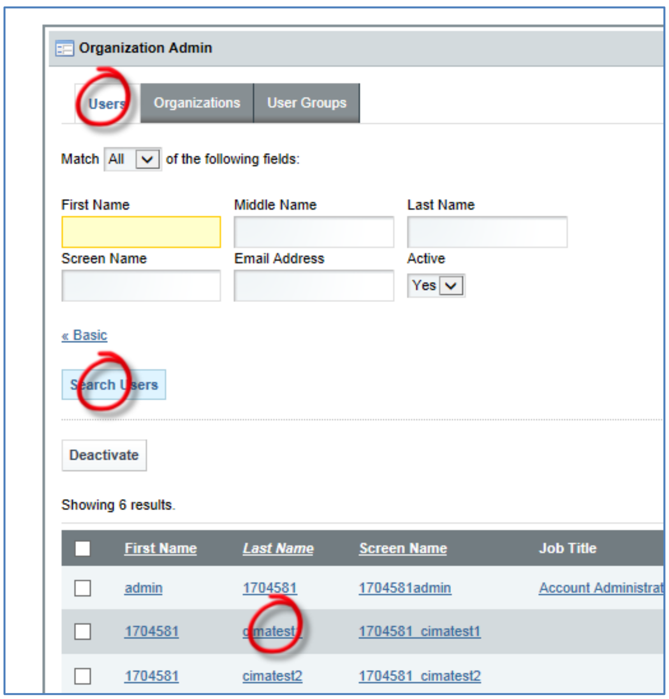
8. Once all of the users have been assigned to the chosen role, click "**Update Associations**" to save.

   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



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