



REEFS Form Completion Guide
Appointment of a Senior Manager or Officer
(Ref: APT-106-99)

Document version: 1.0

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Contents

1	Introduction	4
2	Form Information	4
3	Accessing and Submitting the Form	4
3.1	Understanding REEFS Roles and Workflows	4
3.2	Roles Required for APT-106-99	4
3.3	Workflow Used for APT-106-99	5
3.4	Submitting / Resubmitting	5
3.5	Applicable Fee(s)	6
4	Completion Instructions.....	6
5	Reusing Previous Submissions	7
6	Troubleshooting.....	8
6.1	Common Validation Rules.....	8
6.2	Understanding Other Errors.....	8

1 INTRODUCTION

Regulatory **E**nhanced **E**lectronic **F**orms **S**ubmission (REEFS), is an online portal for electronic submission of required financial services information to the Cayman Islands Monetary Authority (“the Authority”) as well as providing payments information where applicable.

2 FORM INFORMATION

Form **APT-106-99** is to be used when appointing a new Director or Senior Officer or Senior Manager to an existing Licensee

3 ACCESSING AND SUBMITTING THE FORM

3.1 UNDERSTANDING REEFS ROLES AND WORKFLOWS

In **REEFS**, roles must 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.

Please use the online instructions for guidance on how to **Create User accounts**, **Assign Roles** and details of **Workflows**

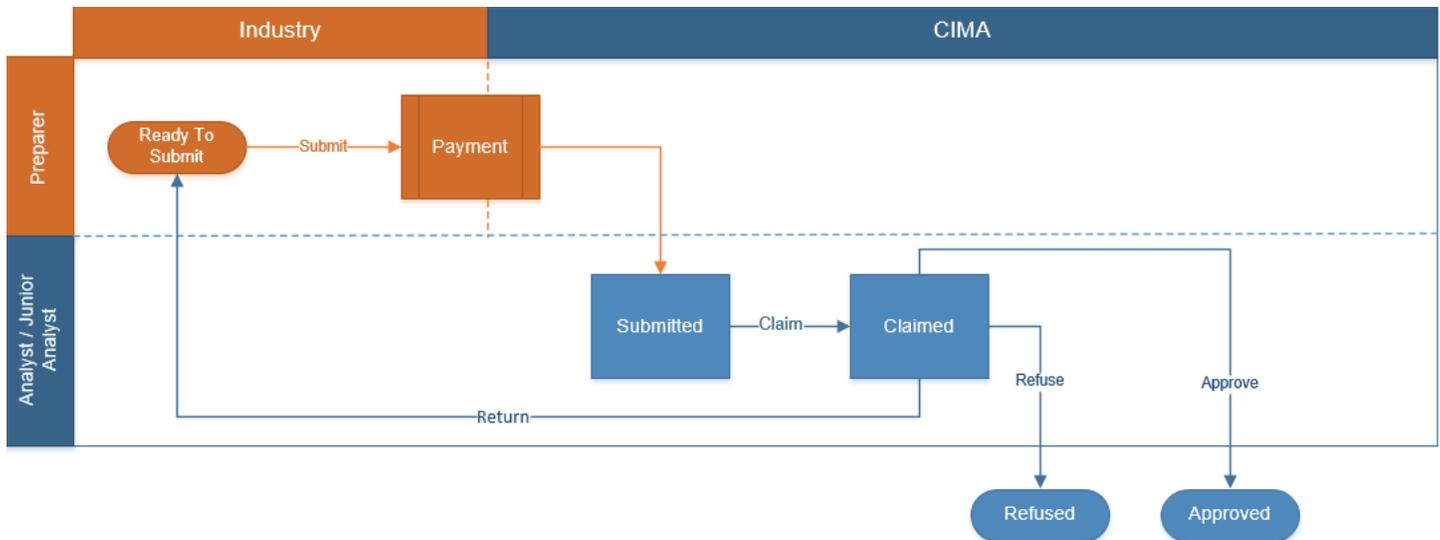
3.2 ROLES REQUIRED FOR **APT-106-99**

The following Role is required for access to this form:

- **Preparer** role

3.3 WORKFLOW USED FOR **APT-106-99**

The following Workflow is associated with **APT-106-99**. It outlines the steps that must be followed on both the **Industry**-side and the **Authority**-side. All steps in the workflow must be completed.



Steps taken on Industry-side:

1. The 'Preparer' prepares and Validates the data.
 - a. Once the data has been validated the status of the of the request changes to **Ready to Submit**
 - i. Once the **Submit** option is selected, it then goes to the **Payment** processor
 1. Once the payment has been finalized, the status of the request then changes to **Submitted**

Steps taken on Authority-side:

1. Once the request has been Submitted to the Authority, an Analyst can validate and **Claim** the submission to begin the review process.
 - a. Once the request has been Claimed, the status of the request changes to **Claimed**
 - i. The request is then reviewed and validated by the Analyst:
 1. If the request is refused the status changes to **Refused**.
 2. If the request is accepted, the status to **Approved**.
 3. If the request is returned, it is sent back to Industry for review and resubmission, and the status reverts to **Ready to Submit**.

3.4 SUBMITTING / RESUBMITTING

Pending

3.5 APPLICABLE FEE(S)

The following fee(s) are associated with form **APT-106-99**, which can be paid via inline escrow payment:

- **KYD \$1,000.00** to appoint a new Director to an existing licensee.
- **KYD \$1,000.00** to appoint a Senior Officer to an existing licensee.
- **KYD \$1,000.00** to appoint a Senior Manager to an existing licensee.

4 COMPLETION INSTRUCTIONS

ID	Label	Instructions	Validation Rule
Schedule A – Appointment Details			
A01	Licensee Name	Select the name of the licensee that has the new appointee. If the entity name is not listed, please contact the regulatory division for guidance.	Mandatory field
A02	Job Title	Provide the Job Title of the person being appointed	Mandatory field
A03	Appointment Type	Select the type of appointment; either "Director" or "Senior Officer" or "Senior Manager"	Mandatory field
A04	Effective Date	Select the effective date of the appointment.	Mandatory field
A05	First Name	First name of the appointed officer	Mandatory field
A06	Middle Name	Middle name of the appointed officer (if applicable)	Optional field
A07	Last Name	Last name (surname) of the appointed officer	Mandatory field
A08	CIMA ID	Provide the CIMA ID of the person if they have been issued one.	Optional field
A09	Date Of Birth	Use the date picker tool to select the person's date of birth	Mandatory field if CIMA ID was not provided in A08
A10	Country Of Birth	Select the person's country of birth	Mandatory field if CIMA ID was not provided in A08
A11	PO Box	Provide the P.O. Box of the person's postal address. This is mandatory for Cayman Islands addresses.	Mandatory field if A15 will be 'Cayman Islands'
A12	Street Address	Provide the person's physical residential address	Mandatory field if CIMA ID was not provided in A08
A13	City	Provide the city of residence	Mandatory field if CIMA ID was not provided in A08
A14	State / Province	Provide the state or province (or equivalent for country of residence)	Mandatory field if CIMA ID was not provided in A08
A15	Country / Region	Select the country of residence of the person	Mandatory field if CIMA ID was not provided in A08
A16	Zip / Postal Code	Select the postal / zip code that corresponds to the postal address.	Mandatory field if CIMA ID was not provided in A08
A17	Phone Number	Provide the phone number including country and area code	Mandatory field if CIMA ID was not provided in A08

A18	Facsimile Number	Optional information.	Optional field
A19	E-mail Address	Provide the email address for the person. It should match the email address used to log into the CIMA portal if the CIMA ID was provided above in A08.	Mandatory field if CIMA ID was not provided in A08
A20	Police Clearance Certificate	A current police clearance is required.	Mandatory field if CIMA ID was not provided in A08
A21	Character Reference Letter (1)	Both character references provided should show recent dates and should include their contact info.	Mandatory field if CIMA ID was not provided in A08
A22	Character Reference Letter (2)	Both character references provided should show recent dates and should include their contact info.	Mandatory field if CIMA ID was not provided in A08
A23	Personal Questionnaire	Attach the completed and signed personal questionnaire	Mandatory field if CIMA ID was not provided in A08
A24	Financial Reference Letter	A current financial reference letter is required.	Mandatory field if CIMA ID was not provided in A08
A25	Curriculum Vitae (biographical details)	Attach a current copy of the person's C.V.	Mandatory field if CIMA ID was not provided in A08
A26	Letter from the Newly Appointed Director/Senior Officer/Senior Manager	Attach a letter signed by the appointed person indicating that they have accepted the appointment.	Optional field

5 REUSING PREVIOUS SUBMISSIONS

What is "XBRL"?

XBRL (eXtensible Business Reporting Language), is a standards-based way to communicate and exchange business information between business systems.

Data can be used from another **APT-106-99** form instead of starting from fresh. You must have entered data into at least one form using the online portal and have successfully validated it.

- Example: Rapidly re-using another APT-106-99 form

Process:

1. Select "**Submitted Requests**" to view previously submitted forms and select the one that contains the data.
2. Click on "**Download: XBRL Instance**" in the top right corner and save the file to your PC or network drive.
3. Close the form.
4. Select "**New Request**" and select the required new/empty form (e.g. APT-106-99).
5. Click on "**Upload: XBRL Instance**" in the top right corner.
6. Click on "**Browse...**" and navigate to the file that was saved in step 2 above (usually in the "Downloads" folder).
7. Click "**Upload**".
8. The system will then copy each data point from the XBRL file into the fields of the current form.
9. The system displays the message "**Import Successful**" to indicate that the data was all copied OK.

10. The user can then review and alter the data as required. Note that any file attachments are not copied in by the download and upload processes.
11. Proceed as usual through the rest of the validation process.

These instructions can be used for **New Application forms**, **Change Request forms** and **Financial Returns**.

6 TROUBLESHOOTING

Validation '**Errors**' will prevent the submission of a form, however, '**Cautions**' do not.

6.1 COMMON VALIDATION RULES

Pending

6.2 UNDERSTANDING OTHER ERRORS

Pending