



REEFS: **CREATING USERS AND ASSIGNING ROLES**

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Revision History:

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25 Jul 2018	1.0	Initial release of documentation
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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.

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 SP or Series Trust or Sub
 - 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. 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 - Inline role	Payments Role - User with this role can make inline transaction payments (New Applications and Change Request) via escrow.
Payment - View only role	Payments Role - User with this role can view payments (Outstanding Fees / Fee History / Payment History).
Industry Details	Users with the role will be able to access the following functionality of the REEFS portal: Relationships view (export), Client Reference management and Contact Management.
*Employee	<i>Identifies the organization the user works for</i>
*Organization Administrator	<i>Organization Administrators are super users of their organization but cannot make other users into Organization Administrators.</i>
*Organization Member	<i>All users who belong to an organization have this role within that organization.</i>
*Organization Owner	<i>Organization Owners are super users of their organization and can assign organization roles to users.</i>

**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 **License 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 **License 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.

1.3.1.8 PAYMENT ROLES

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

1.3.1.9 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).

1.3.1.10 PAYMENT – INLINE ROLE

User with this role can make inline transaction payments (New Applications and Change Request) via escrow.

1.3.1.11 PAYMENT – VIEW ONLY ROLE

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

1.3.1.12 INDUSTRY DETAILS

Users with the role will be able to access the following functionality of the REEFS portal:

1. Relationships view (export)
2. Client Reference management
3. Contact Management

1.3.1.13 RELATIONSHIPS

The entities related to the licensee/registrant, including underlying Segregated Portfolio relationships where applicable, are shown to the user. The user has the ability to Export the list to a file. Data consists of the entity name, licence/registration type and certificate number (where applicable).

1.3.1.14 CLIENT REFERENCE MANAGEMENT

Users are able to manage their individual client reference numbers which may assist with reconciliation of entity relationships along with reconciliation of fees etc.

View your entity's client references by clicking "Export Client References".

To update your entity's client references, reconcile/modify the "Reference" column in the downloaded file and then upload the file by clicking "Select files" (locate the file csv/xls) and click "Upload". Your client references will then be available in your Payments and Escrow downloads.

1.3.1.15 CONTACT MANAGEMENT

This area provides ability to manage your contact list(s) with CIMA including Primary Contact (used by CIMA for supervisory notices etc.), an alternate FAR submission confirmation (used by auditors) and the Financial Sanctions notifications.

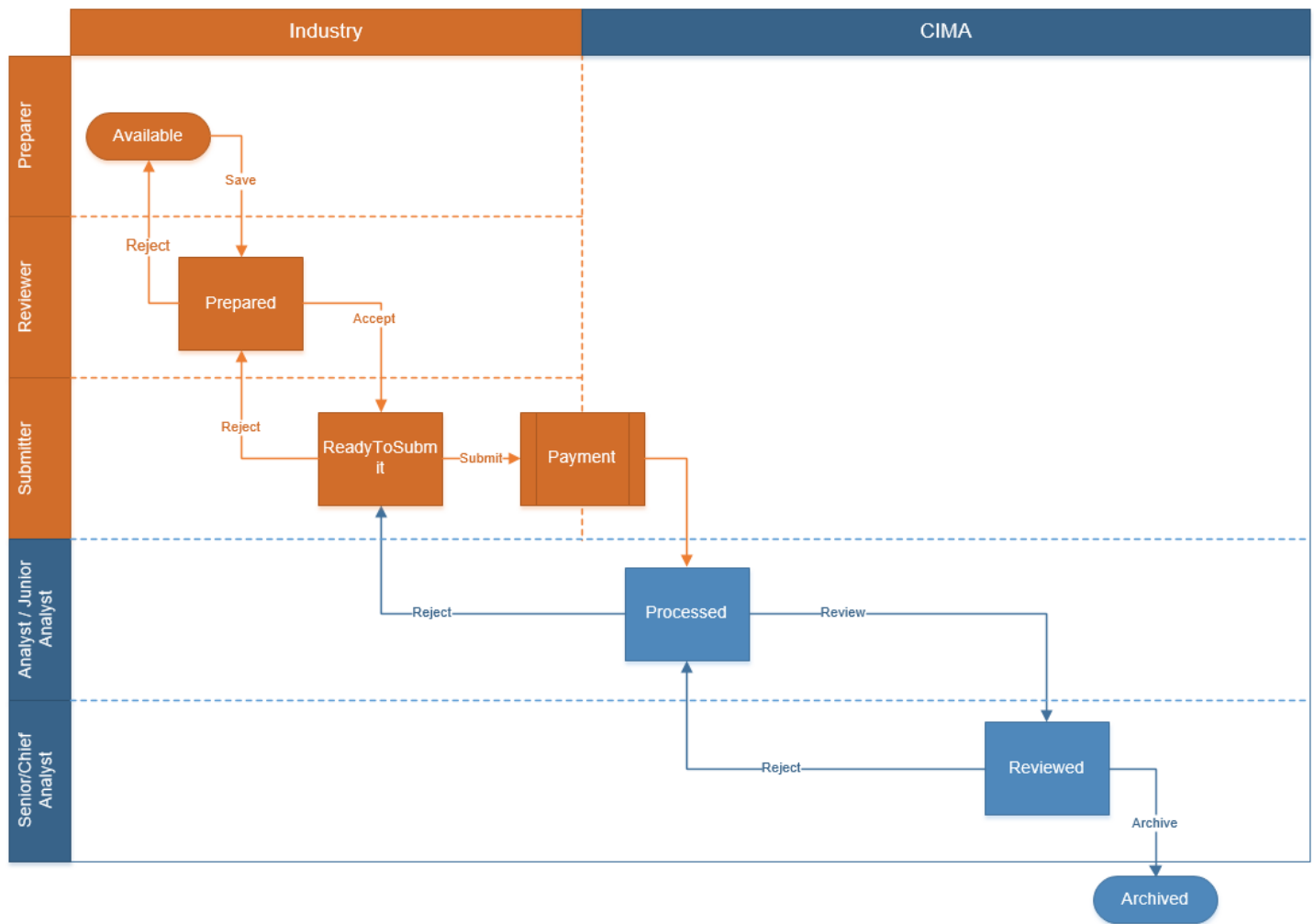
1.4 WORKFLOWS

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.

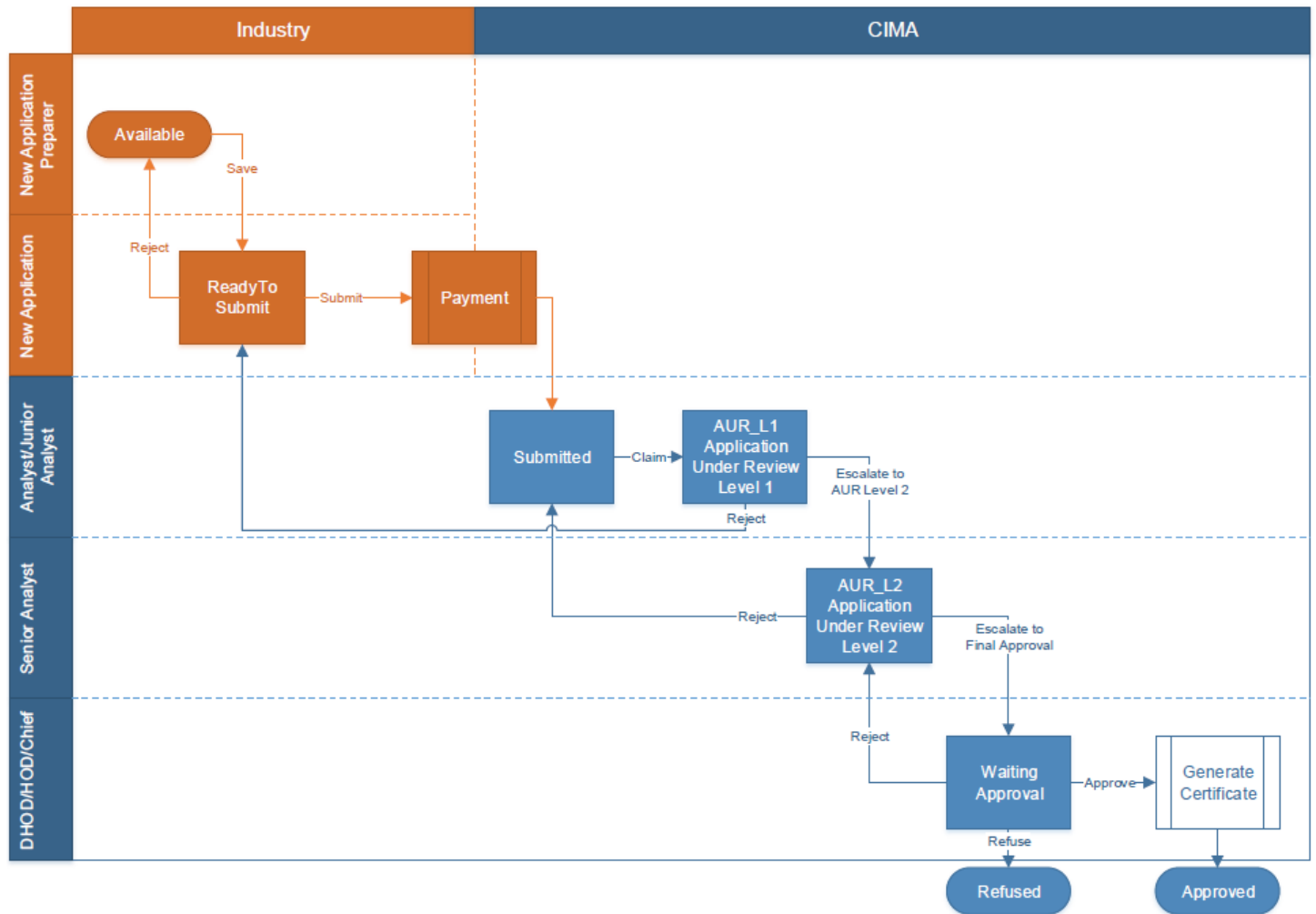
All steps in the workflow must be complete (validated multiple times) even if one user has inherited roles and can perform all steps in the workflow.

1.4.1 FINANCIAL RETURN



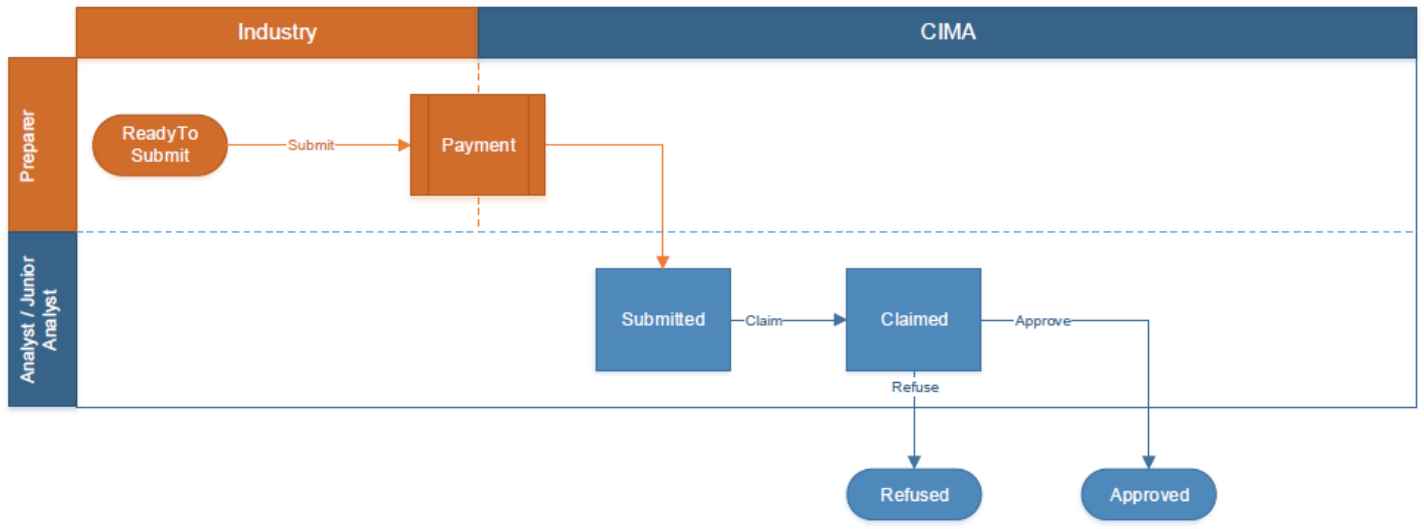
*Not all Returns have a **Payment** applicable or payable at the time of submission.

1.4.2 NEW APPLICATION



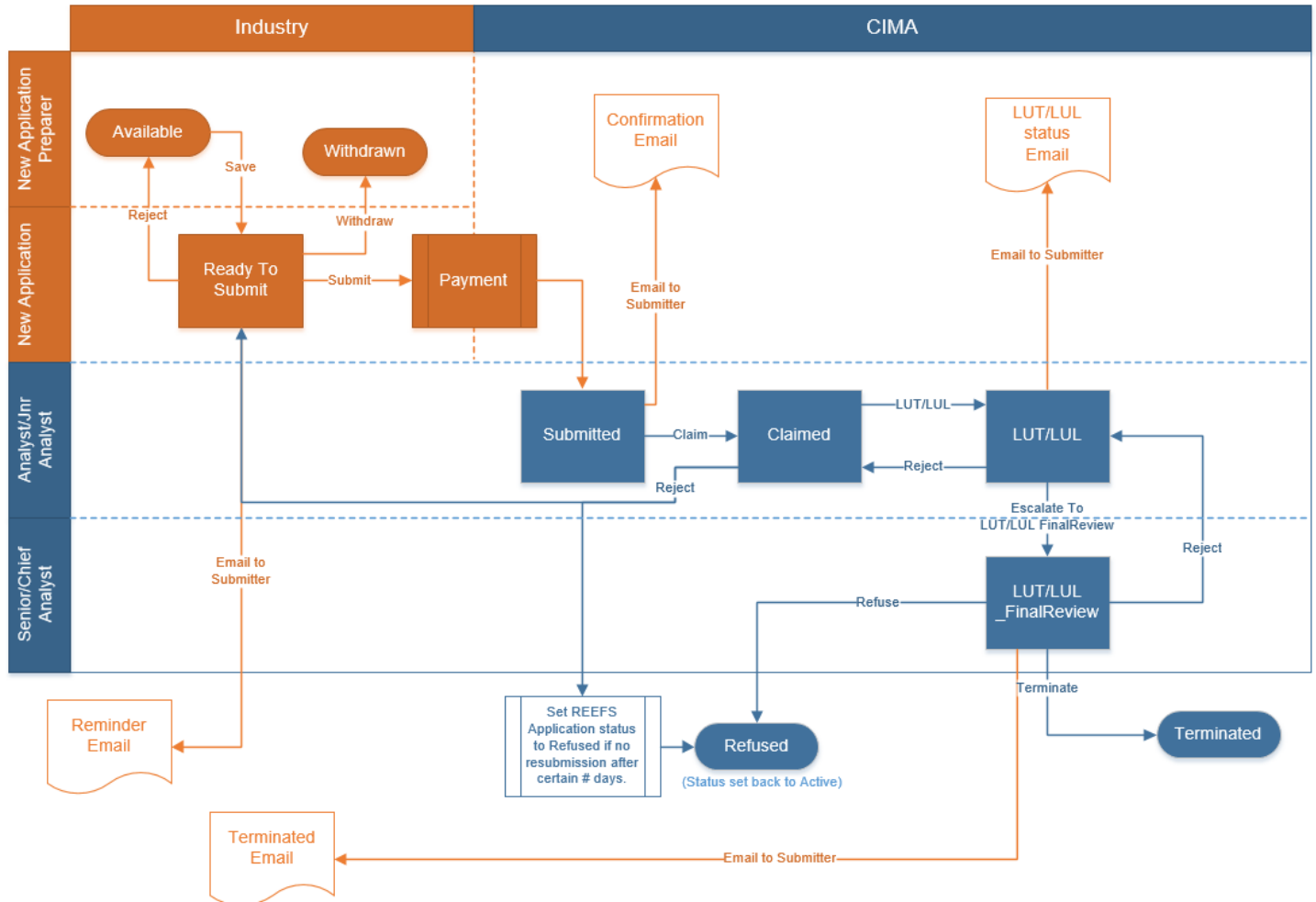
*Not all applications have a **Payment** applicable or payable at the time of submission.

1.4.3 REQUEST



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

1.4.4 TERMINATION OF MUTUAL FUND



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

1.4.5 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>

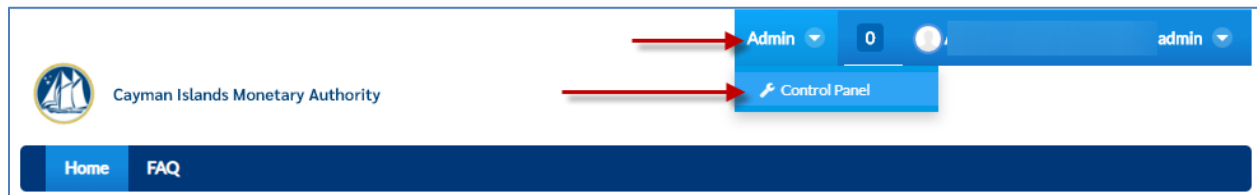
CIMA does not manage individual user accounts.

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

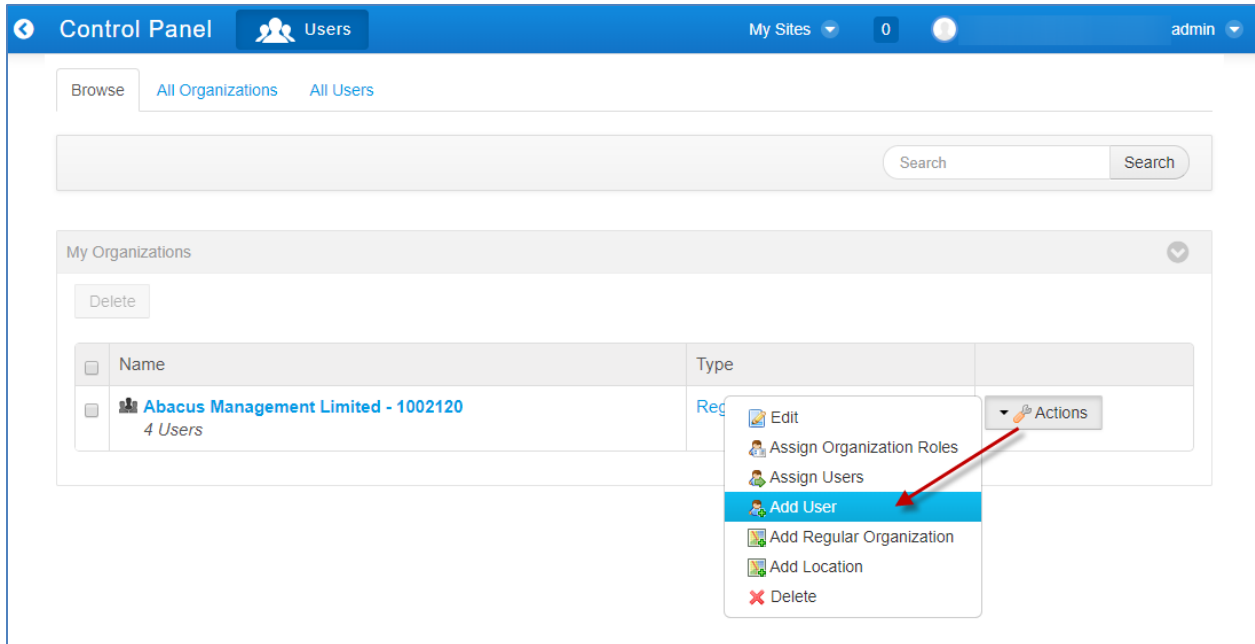
Using the Organisation Administrator account, select the "**Admin**" at the top right of the navigation bar:

1. Select "**Control Panel**"



The "**Control Panel**" portlet will be shown.

2. Click "**Actions**"
3. Click "**Add User**"



4. 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"**
5. Click **"Save"**

The screenshot shows the 'Add User' form. It has a 'Details' section with the following fields: 'Screen Name (Required)' (yellow), 'Job Title' (white), 'Email Address (Required)' (yellow), 'Title' (dropdown), 'First Name (Required)' (yellow), 'Middle Name' (white), 'Last Name' (yellow), and 'Suffix' (dropdown). On the right side, there is a 'USER INFORMATION' sidebar with 'Details' selected. The 'Save' button in the sidebar is circled in red.

6. Click "**Password**", enter twice ("**Password**" and "**Enter Again**" fields)
Note: Minimum of 15 characters and must include at least one number and at least one Uppercase character.

The screenshot shows a user management interface. On the left, there is a form with the following fields: "Password" (with a sub-field "New Password"), "Enter Again", and a checkbox for "Password Reset Required". On the right, there is a navigation menu with the following items: "User Information", "Details", "Password (Modify)", "Organizations", "Sites", "User Groups", "Roles", "MISCELLANEOUS", and "Display Settings". Red arrows point to the "Password (Modify)" menu item and the "Save" button at the bottom of the menu.

7. Click "**Save**"

Tip: To View Users created, under "**Control Panel**", click "**All Users**" tab; as indicated in the screenshot below.



4 ASSIGN ROLE(S) TO USER ACCOUNT

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

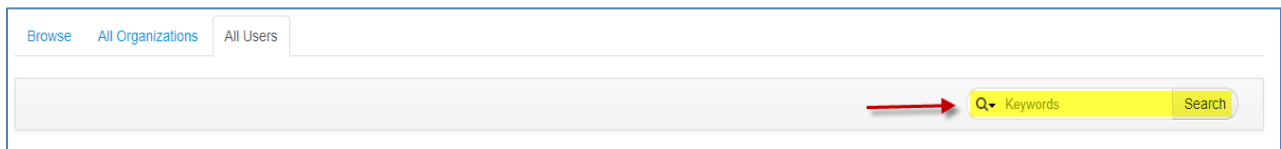
A list of the roles within REEFs that can be given to a user:

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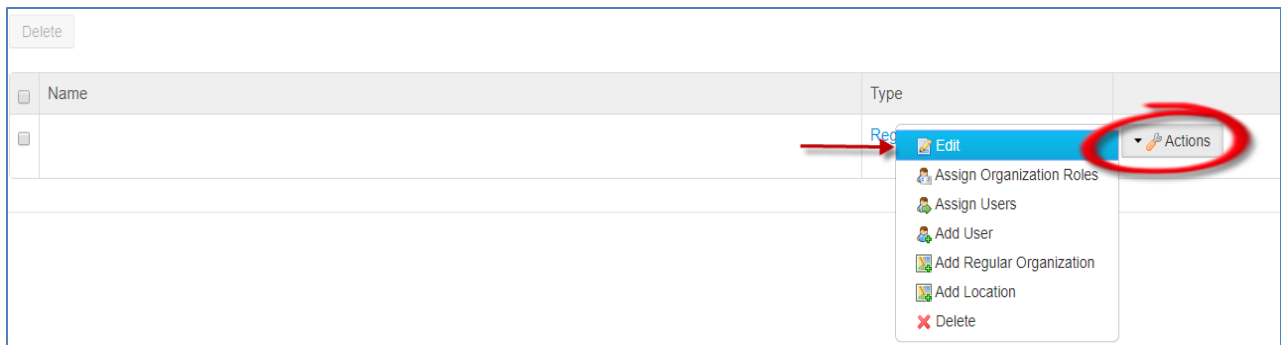
Payment - Inline role	Payments Role – User with this role can make inline transaction payments (New Applications and Change Request) via escrow.
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Industry Details	Users with the role will be able to access the following functionality of the REEFS portal: Relationships view (export), Client Reference management and Contact Management.

Click **Admin** at the top right and then choose **Control Panel**:

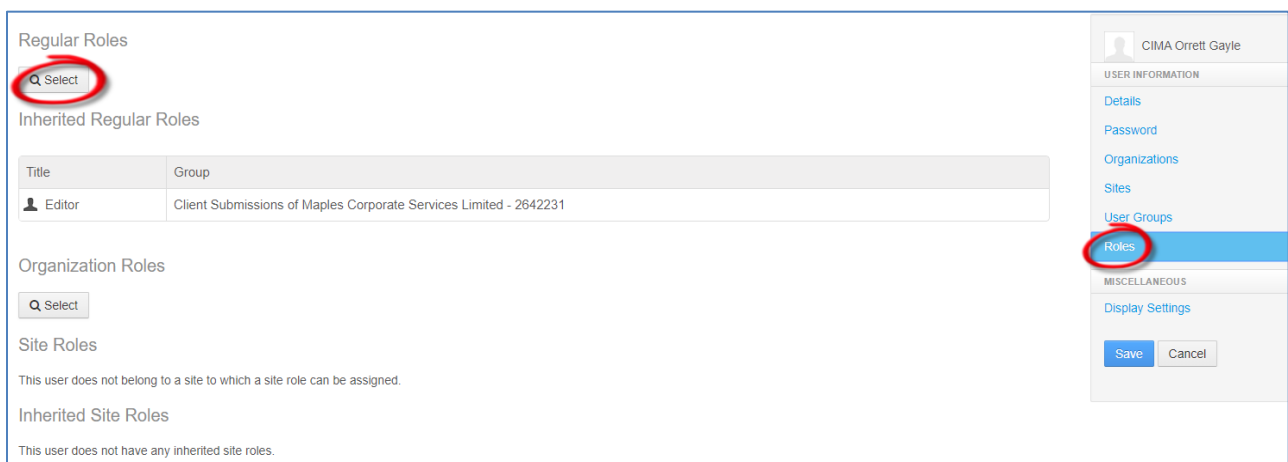
1. Click the **All Users** tab
2. In the search bar at the top right search for the User











3. Click on **Actions** and select **Edit** for the User



4. Click **Roles** and click **Select** under Regular Roles



- Click on the **"Role Name"** from list (e.g. "Submitter" or "New Application") and click **"Choose"**

Title	
 Industry Details	<input type="button" value="Choose"/>
 New application	<input type="button" value="Choose"/>
 New application Preparer	<input type="button" value="Choose"/>
 Payment - Full Access	<input type="button" value="Choose"/>
 Payment - Inline	<input type="button" value="Choose"/>
 Payment - View only	<input type="button" value="Choose"/>
 Preparer	<input type="button" value="Choose"/>
 Submitter	<input type="button" value="Choose"/>

- Click **"Save"**

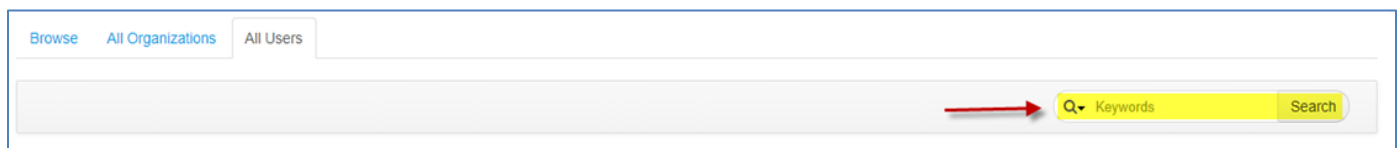
Notes:

- Users who will be responsible for returns, new applications and change requests need more than one role.
- Please be aware that after assigning roles, it may take up to allow up to 5 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 **"Admin"** tab at the top right:

- Click **"Control Panel"**
- Click the **"All Users"** tab
- In the search bar at the top right, Search for and select the **User Name**



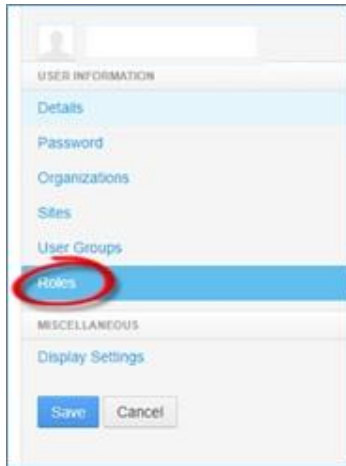
Browse All Organizations All Users

Keywords Search

- Click **"Actions"** and select **"Edit"** for the User

<input type="checkbox"/>	First Name	Last Name	Screen Name	Job Title	Organizations	User Groups	
<input type="checkbox"/>							<input type="button" value="Edit"/> <input type="button" value="Permissions"/> <input type="button" value="Impersonate User"/> <input type="button" value="Deactivate"/> <input type="button" value="Actions"/>
<input type="checkbox"/>							<input type="button" value="Actions"/>

5. Click **“Roles”**



All Roles created under that user will be displayed.

Regular Roles	
Title	
 Submitter	 Remove
 Preparer	 Remove
 New application	 Remove
 New application Preparer	 Remove
 Payment - Full Access	 Remove