

MONETARY AUTHORITY OF SINGAPORE

Submission of Returns in PDF Electronic Form for Capital Markets Services (“CMS”) Licensees

User Guide

Version 1.1

TABLE OF CONTENTS

INTRODUCTION	3
OVERVIEW	3
SYSTEM REQUIREMENTS	4
PROCEDURES.....	5
A. Login	5
B. Form Downloading	6
C. Form Filling	7
D. Form Validation.....	8
E. Form Export.....	10
F. Form Import.....	12
G. Form Submission.....	12
H. Submission Enquiry	16
I. Logout.....	18
J. Session Timeout.....	18
FREQUENTLY ASKED QUESTIONS	19

Introduction

This document specifies the system requirements and procedures for the submission of annual and quarterly returns in electronic form. Adobe PDF forms are used for these submissions.

CMS Licensees may input financial data in the Adobe PDF forms using Adobe Acrobat Reader.

Overview

The following diagram (FIG. 1) describes the process to submit returns:

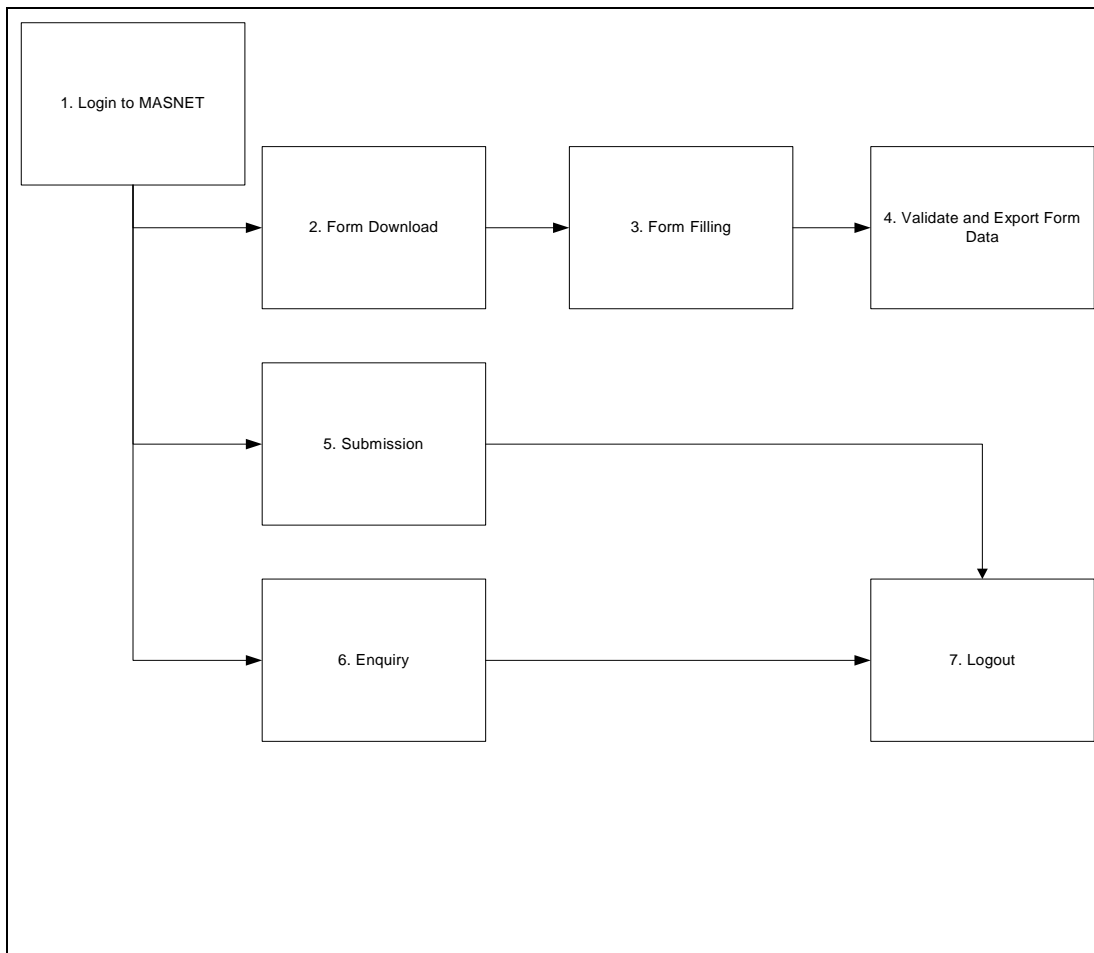


FIG. 1 Returns Submission Process

1. User is required to login to the MASNET website to perform any electronic returns related activities like form downloads, returns submission and enquiry of returns submission.
2. The forms for the returns are available in PDF format and can be downloaded from the MASNET website to local hard drive for offline form filling using Adobe Acrobat Reader.
3. All input data fields need to be validated and exported (saved) as an XFDF file for returns submission. Data may be validated by clicking on the **<Validate>** buttons found in the PDF forms. To export the data in completed PDF form to a XFDF file, click the **<Export Form>** button found in the form. The export operation will also validate the data before exporting the data in the form to the XFDF file.
4. After the data has been exported, user may login to MASNET website to submit the data by indicating the submission details, e.g. reporting cycle and form type and uploading the XFDF file.
5. User may also enquire about the status of returns from the MASNET website after submission.
6. After completing the returns activities, user may logout of MASNET website.

System Requirements

- Intel® Pentium® processor
- Microsoft® Windows 2000 with Service Pack 2, Windows XP Professional or Home Edition, or Windows XP Tablet PC Edition
- 128MB of RAM
- Up to 120MB of available hard-disk space
- Microsoft Internet Explorer 5.5 or higher
- Adobe Reader version 7.0 or higher
- Registered MASNET Web Id (for submission of returns)

Procedures

A. Login

1. Go to MASNET website at <http://masnet.mas.gov.sg/> (FIG. 2) and click on “MASNET Login” hyperlink. Enter the user name and password. Click the <OK> button to proceed with the login session.



FIG. 2 MASNET Homepage

2. Upon successful login, user may click on the “Returns Submission” hyperlink to access the returns (FIG. 3).

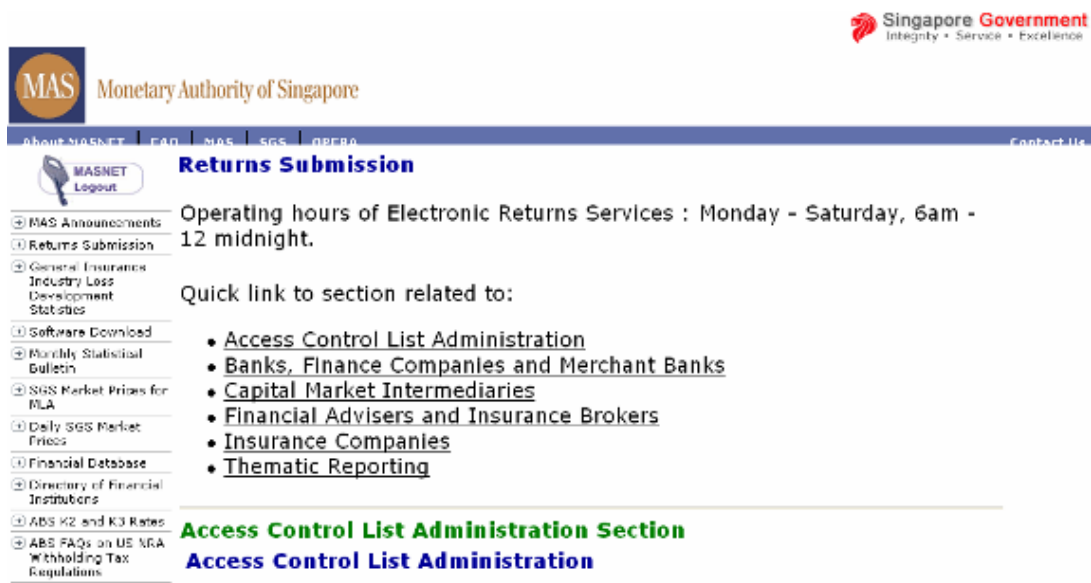


FIG. 3 Returns Submission Page

B. Form Downloading

1. From the “Returns Submission” page, access the “**Capital Markets Intermediaries**” hyperlink and download the PDF forms applicable to the licensee by clicking on the corresponding download file. Click the **<Save>** button to save the file to your computer when prompted (FIG. 4).

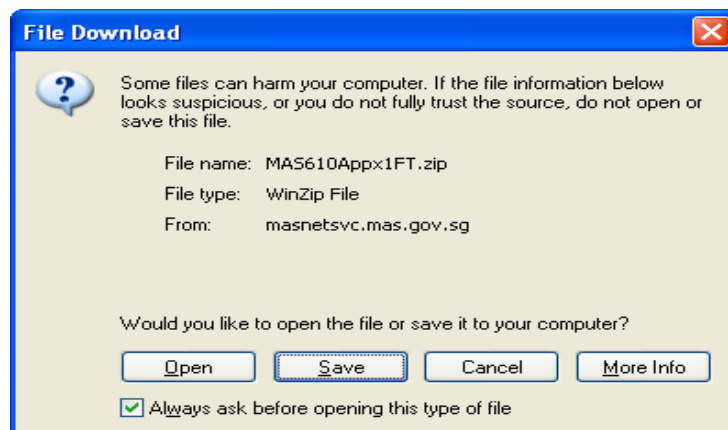


FIG. 4 Form Download

C. Form Filling

1. Launch Adobe Reader and open the downloaded PDF form. The Document Status dialog window will appear ([FIG. 5](#)). If you do not want to see this message again, check the “Do not show this message again” option. Click the **<Close>** button to close the dialog window.

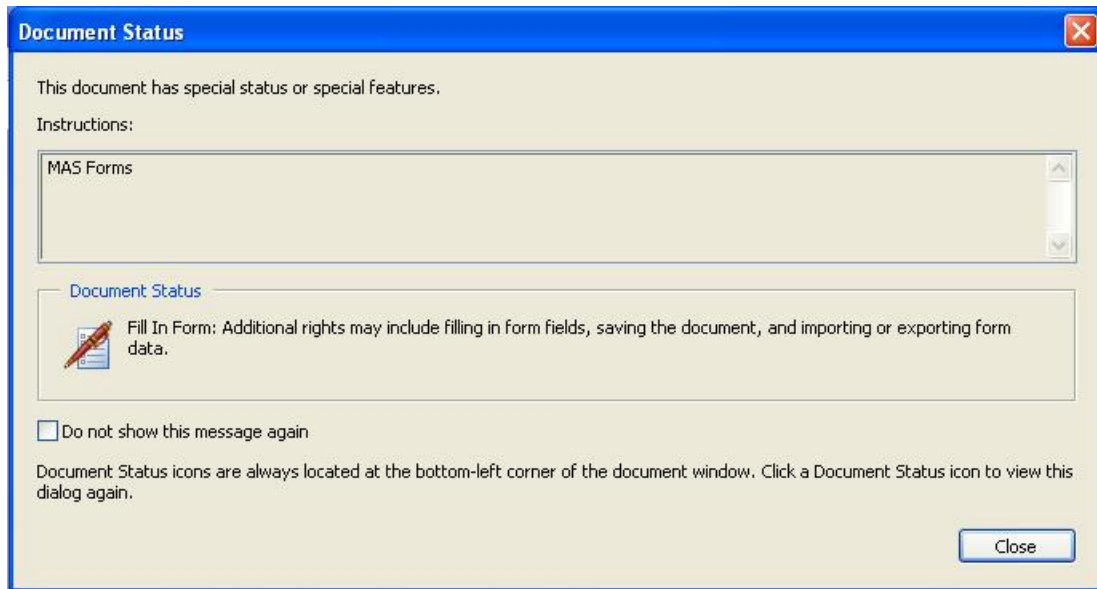


FIG. 5 Document Status dialog window

2. The first page of the PDF form will indicate the Form Number. The Form Number can be used to verify that the correct form is opened.
3. When working on the returns, the form can be temporarily saved as a PDF document for future reference. To save as PDF document, simply use the “**Save**” or “**Save As**” operation available at the “**File**” menu ([FIG. 6](#)).

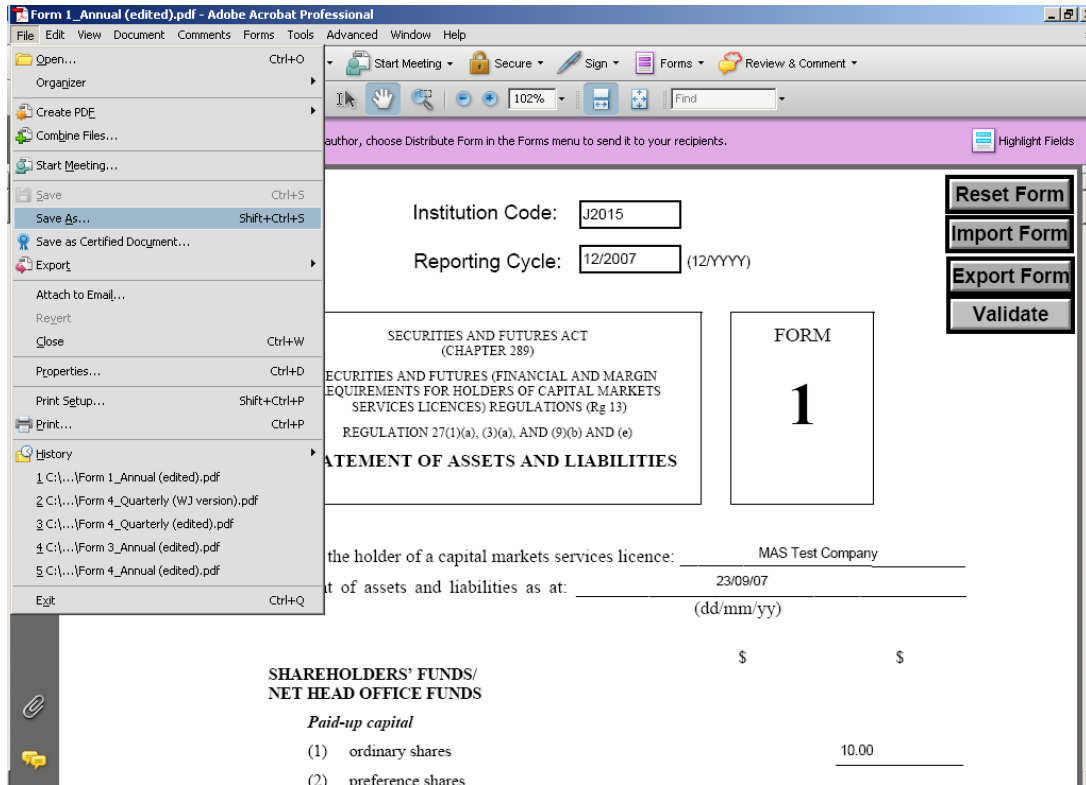


FIG. 6 Save PDF File

D. Form Validation

1. The data found in the form must be validated before submitting to MAS. The data may be validated using the **<Validate>** button found on the top right corner of the form.
2. Upon clicking the **<Validate>** button, the data validation process will begin. The actual duration of this process varies, and is dependent on the number of fields found in the section to be validated and the configuration of the computer.
3. At the end of the validation process, the form will indicate whether the validation is successful ([FIG. 7](#)) or an error exists ([FIG. 8](#)). Click the **<OK>** button to continue. The field with error will be **highlighted in red** after the validation ([FIG. 9](#)).

Form 1_Annual (edited).pdf - Adobe Acrobat Professional

Name of the holder of a capital markets services licence: MAS Test Company

Statement of assets and liabilities as at: 23/09/07
(dd/mm/yy)

	\$	\$
SHAREHOLDERS' FUNDS/ NET HEAD OFFICE FUNDS		
<i>Paid-up capital</i>		
(1) ordinary shares		12.00
(2) preference shares		
(a) irredeemable and cumulative	30.00	
(b) irredeemable and non-cumulative	40.00	70.00
<i>Revaluation reserves¹</i>		20.00
<i>Statutory reserves</i>		30.00
<i>Unappropriated profit or loss</i>		40.00
<i>Other reserves</i>		10.00
<i>Net head office funds</i>		20.00
Total Shareholders' Funds or Net Head Office Funds		200.00
LIABILITIES		
<i>Current Liabilities</i>		

FIG. 9 Fields with Error (Highlighted in red)

E. Form Export

1. The form must be submitted in XML (XFDF) format. Use the **<Export Form>** button found in the first page of the document to save the data in the form into an XFDF file. A notification message will be displayed when the **<Export Form>** button is clicked (FIG. 10). Click **<OK>** to proceed or **<Cancel>** to cancel the request. Upon clicking the **<OK>** button, the data will be validated before the form is exported. The actual duration of this process varies, and is dependent on the number of fields found in the form to be validated and the configuration of the computer.

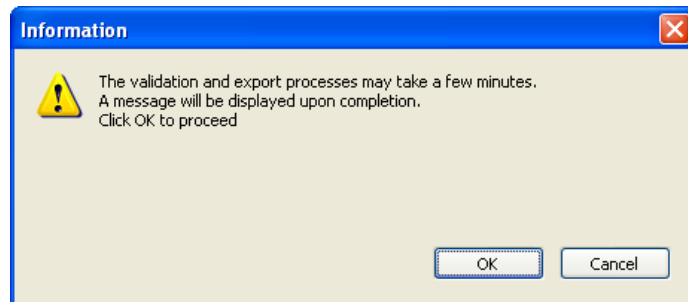


FIG. 10 Export Notification Message

2. If there are validation errors, the form will display error message and highlight the field with **error in red** (as shown previously in [FIG. 8](#) and [FIG. 9](#)). Rectify the error and run **<Export Form>** again to generate the XFDF file required for submission.
3. If the form contains no validation error, a dialog window similar to [Fig.7](#) will be shown. Click the **<OK>** button to continue. Next, the **"Export Form Data As"** dialog window will be displayed ([FIG. 11](#)). Choose the desired file location to save the XFDF file and click the **<Save>** button to save the file.

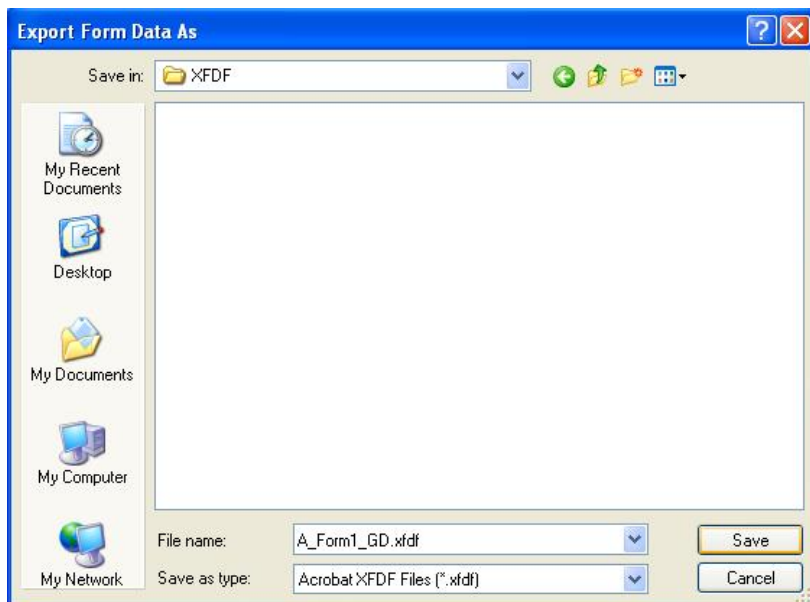


FIG. 11 Export Form Data Dialog Window

F. Form Import

1. The form provides a feature to allow form data stored in XML (XFDF) format to be imported back into the PDF form for viewing and editing.
2. To import the XFDF file, click the **<Import Form>** button on the first page of PDF form. A dialog window (FIG. 12) will be displayed to request for the XFDF file to be imported. Choose the desired XFDF file and click the **<Select>** button to proceed.

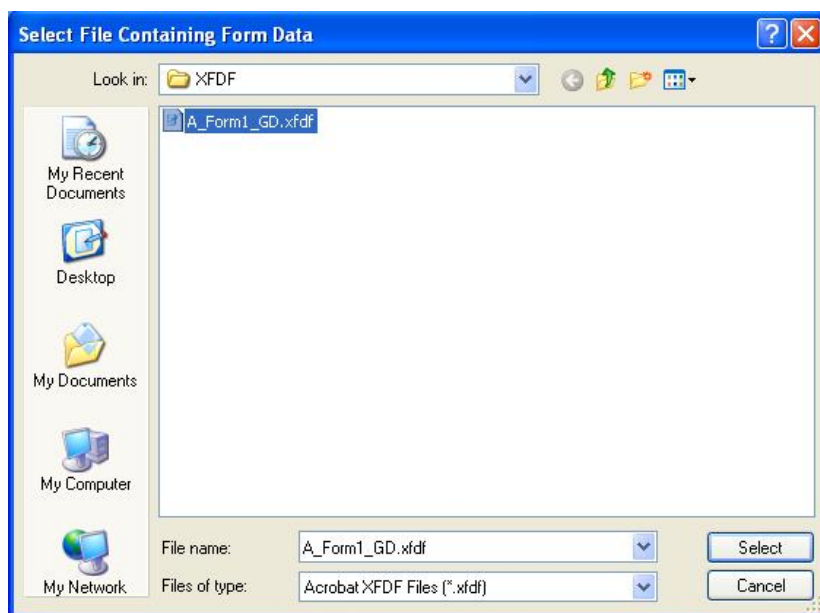


FIG. 12 Import Form Data Dialog Window

G. Form Submission

1. Login to MASNET website and go to "Returns Submission" page (FIG. 3). Click on the hyperlink of the corresponding returns to access the "Main Menu" page (FIG. 13). If there were any previously submitted returns, the system will display a **"Click here to enquire current/previous reporting cycle statistics"** hyperlink. This link will lead you to the **"Enquiry"** page.

Main Menu of SFA Quarterly Return

Reporting Institution : ABC Investment Company (J9999)

Click [here](#) to do submission.

Click [here](#) to enquire current/previous reporting cycle statistics.

[Rate this e-service](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 13 Main Menu Page

2. To submit a return, click “**Click here to do submission**” hyperlink, where you will be redirected to “**Submission**” page ([FIG. 14](#)).

Submission of SFA Quarterly Return

Reporting Institution : ABC Investment Company (J9999)

Business Unit : Form1
 Form2

Reporting Cycle : (MM/YYYY)

[Rate this e-service](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 14 Return Submission Page

3. The forms relevant to the CMS Licensee will be found on the page. Select the form to submit under the “**Business Unit**” heading, and input a valid reporting cycle.
4. Each form must be submitted separately; selecting two forms in a single submission will not be accepted. Click **<Continue>** to proceed to the “**Return Upload**” page (FIG. 15) or **<Back>** to go to previous page. If any invalid information exists, the system will display an error message for your rectification.
5. At the “Return Upload” page (FIG. 15), click the **<Browse>** button to select the XFDF file to be submitted. To return to the previous screen, click the **<Back>** button. The **<Reset>** button will reset the values in the fields of “Return Upload” page.

Submission of SFA Quarterly Return

Reporting Institution :	ABC Investment Company (J9999)		
Business Unit :	Form1		
Reporting Cycle :	12/2007	Status :	No Response

Upload Return

Note: The upload process shall not take more than 5 minutes to complete.

[Rate this e-service](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 15 Return Upload Page

6. After selecting the desired XFDF file to upload, click the **<Upload Return>** button to submit. During the upload, the system will validate the critical information in the XFDF file. If there are any errors, the details will be displayed (FIG. 16).

In the example below, the form does not tally with the form indicated in the business unit. The other error messages also highlight that the institution code and reporting cycle are different from the previously indicated submission details.

Submission of SFA Quarterly Return

Reporting Institution :	ABC Investment Company (J9999)		
Business Unit :	Form1		
Reporting Cycle :	12/2007	Status :	No Response

Your submission is not successful.

Reason:

- **The Institution Code information is not correct.**
- **The Reporting Cycle information is not correct.**
- **The Business Unit information is not correct.**

[Back](#)

[Rate this e-service](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 16 Submission Error Page

7. Upon successful submission, the system will display a message to confirm the upload ([FIG. 17](#)). The **“Click here to go back to the main menu”** hyperlink will bring you back to the **“Main Menu”** page.

Submission of SFA Quarterly Return

Reporting Institution : ABC Investment Company (J9999)
Business Unit : Form1
Reporting Cycle : 09/2007 **Status :** Submitted (by Institution)

You have successfully submitted the data at Sep 5, 2007 3:05:21 PM.

Click [here](#) to go back to the main menu.

[Rate this e-service](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 17 Submission Confirmation Page

H. Submission Enquiry

1. The “**Click here to enquire current/previous reporting cycle statistics**” hyperlink on the Main Menu ([FIG. 13](#)) will allow the system to display submissions from the last 5 reporting cycles ([FIG. 18](#)). Click the “**Open**” button to retrieve your file.

External Enquiry of SFA Quarterly Return

Reporting Institution : ABC Investment Company (J9999)

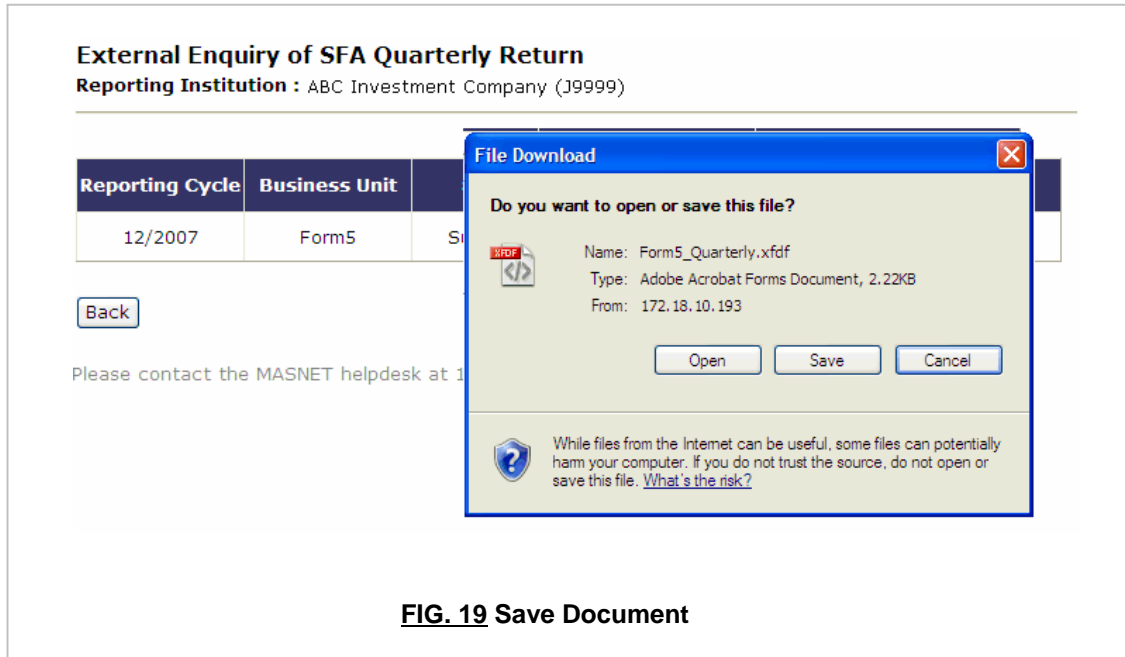
Reporting Cycle	Business Unit	Status	Submission Date & Time	Actions
12/2007	Form5	Submitted	Dec 11, 2007 3:08:00 PM	Open

[Back](#)

Please contact the MASNET helpdesk at 1800-225-8247 if you encounter any problem.

FIG. 18 Enquiry Page

2. Click the **“Save”** button to save the file to your hard disk in an XFDF file format (FIG. 19). Click the **“Close”** button once the file is successfully copied to your hard disk.



3. Open a blank copy of the PDF form which corresponds to the XFDF file which you wish to view (FIG. 20). Click on the **“Import Form”** function to import data from the XFDF file which was previously copied. The data will be loaded into the form.

Quarterly Return

Institution Code:

Reporting Cycle: (MM/YYYY)

SECURITIES AND FUTURES ACT
(CHAPTER 289)
SECURITIES AND FUTURES (FINANCIAL AND MARGIN
REQUIREMENTS FOR HOLDERS OF CAPITAL MARKETS SERVICES
LICENCES) REGULATIONS (Rg 13)
REGULATION 27(3)(b), AND (9)(e)

**STATEMENT OF FINANCIAL RESOURCES AND
TOTAL RISK REQUIREMENT**

FORM
5

Reset Form

Import Form

Export Form

Validate

Name of the holder of a capital markets services licence: _____

Statement as at: _____
(dd/mm/yy)

FIG. 20 Import File

I. Logout

1. Click the “**Logout**” hyperlink to end the session. The hyperlink is available at the top right-hand corner of every screen. The system will remind you to close all Internet browser windows for information security purposes (FIG. 21). Click **<OK>** to continue and proceed to close all other Internet browser windows.



FIG. 21 Logout Alert

2. The system will prompt you to close the current working window (FIG. 22). Click **<Yes>** button to close the window and logout.

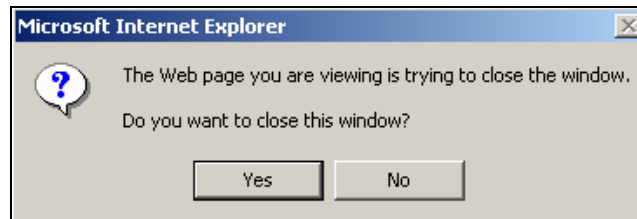


FIG. 22 Logout Confirmation

J. Session Timeout

1. If there is no activity for a specific time (about 30 minutes), the system will redirect the current page to "**Timeout**" page and the session will be terminated. To return to the "**Returns Submission**" page, you will have to login again.

FREQUENTLY ASKED QUESTIONS

Question 1:

After downloading the XFDF file from enquiry page, I double-clicked the XFDF file in Windows Explorer to launch it into Adobe Reader. The following message appears (FIG. 23). What should I do?

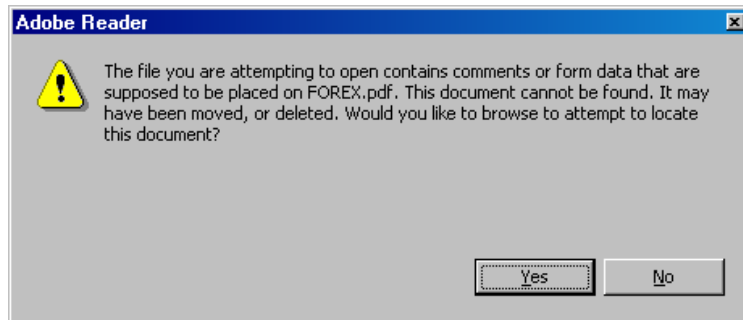


FIG. 23 Form Not Found Message

Answer:

This message occurs when Adobe Reader cannot locate the associated PDF form on your computer. Click **<No>** to close the message.

The correct practice is to open the empty corresponding PDF form in Adobe Reader first, then use the **<Import Form>** button in the form to import the XFDF file (Refer to Section H above).

Question 2:

When I open the PDF form in Adobe Reader, the following message always appears (FIG. 24). What should I do?

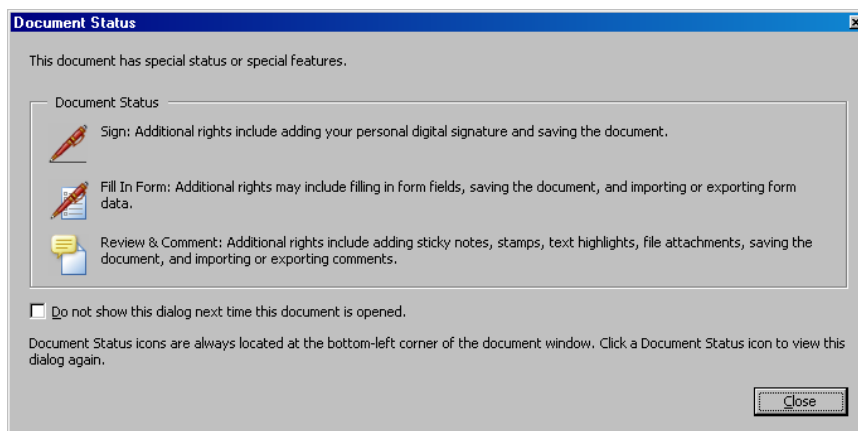


FIG. 24 Message on PDF Form Special Rights

Answer:

This message appears when Adobe Reader opens PDF forms with special rights to save form data. Click **<Close>**. No further additional action is required.

If you do not want to see this message again, check the “Do not show this dialog next time this document is opened” option. Click **<Close>** to end.

Question 3:

When I open PDF form in Adobe Reader, the following message appears (FIG. 25). Should I turn it on?

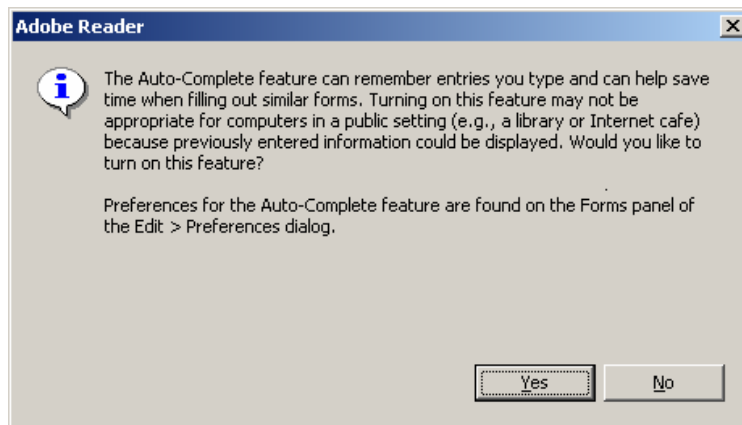


FIG. 25 Auto-Complete Feature Message

Answer:

We recommend that you **do not** turn it on to avoid data entry error.

Question 4:

I noticed that the file size of my PDF form has grown to over 10MB. How can I reduce the file size?

Answer:

When repeatedly saved over, the unwanted data in the PDF form is not entirely erased from the file, and hence would lead to excessive storage of previously ‘overwritten’ data. This occurs when the “**Save**” function is repeatedly used on your original file when generating new regulatory returns for the next cycle.

The file size can be reduced by saving the PDF form under another file name.

To do so, you can use the “**Save As**” option found under the File menu (Fig. 26).

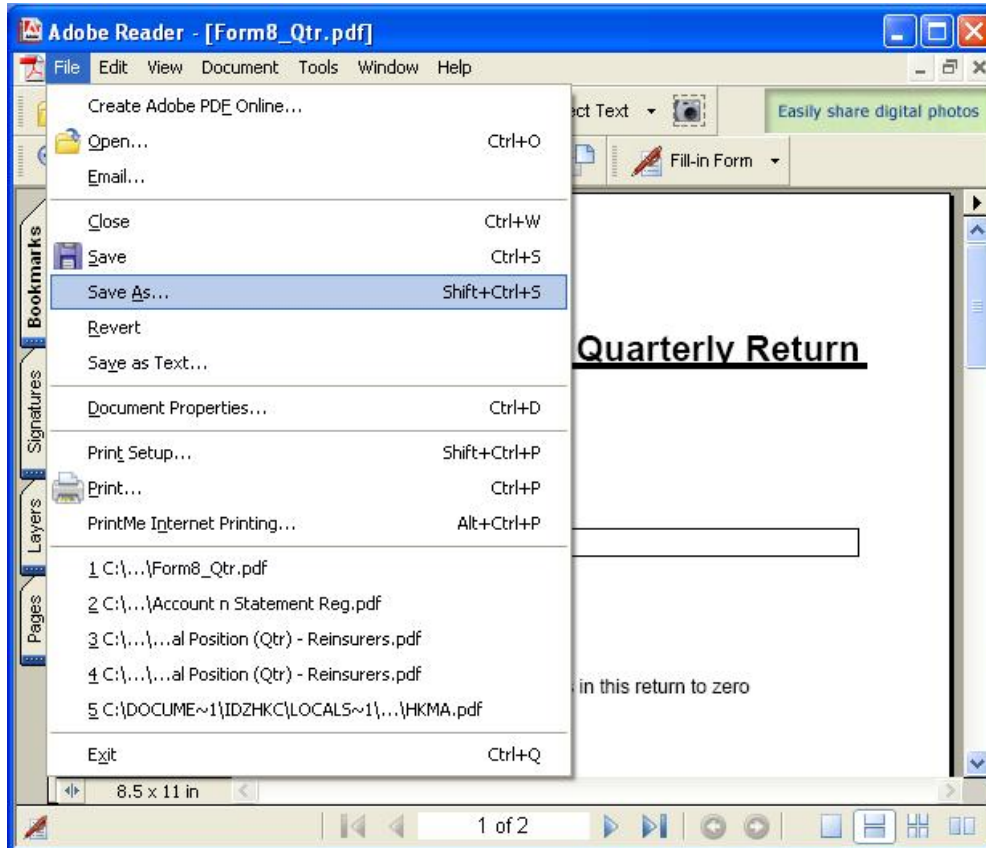


FIG. 26 Saving into a different file

Question 5:

How can I ensure that I’m filling up and submitting the latest electronic forms?

Answer:

You should select and download the electronic forms from MASNET website (<http://masnet.mas.gov.sg>) when you prepare for your return submission. This will ensure that you obtain the latest electronic forms. A validation check is also included in the submission process to ensure that only the latest electronic forms are submitted.