

FAQs on Online Data Capture System (the ‘ODCS’) for Investment Funds & Intermediaries

The following FAQs are applicable for the following licensees:

- i. Assets Management
- ii. CIS Administrator
- iii. CIS Manager
- iv. Closed-end Funds
- v. Collective Investment Schemes
- vi. Custodian (CIS)
- vii. Custodian (Non-CIS)
- viii. Distribution of Financial Products

1. What should be filed via the ODCS Platform?

- (i) Scanned copy of the AFS/ Annual Report having year end 30 June 2016 and onwards*;
- (ii) A submission Form which should be signed by a Responsible Officer and annexed to the AFS/ Annual Report (Download [here](#))*;
- (iii) A reporting template in Excel Format that can be downloaded from the ODCS. All data provided should reflect those in the AFS/ Annual Report.

**Note that the submission form and AFS/Annual report should be submitted as one document*

2. What should be done in case I find a link for a particular licensee but the licensee has a year-end prior to 30 June 2016 and has already filed its Annual Report/ AFS?

In case a licensee has a year-end prior to 30 June 2016 and a link has been created on ODCS platform for the licensee, the licensee will have to file the following:

- (i) The ‘Form – In Case of No Reporting Obligations’ which should be filled in by a Responsible Officer (Download [here](#));
- (ii) A reporting template in Excel Format to be downloaded from the ODCS. Only applicable fields in the General Information tab will be required to be filled in.

3. What should be done in case I find a link for a particular licensee but the licensee has recently been incorporated and its first year/ period end will be in next year?

In case a licensee has been recently incorporated and a link has been created on ODCS platform for the licensee, the licensee will have to file the following:

- (i) The '*Form – In Case of No Reporting Obligations*' which should be filled in by a Responsible Officer (Download [here](#));
- (ii) A reporting template in Excel Format to be downloaded from the ODCS. Only applicable fields in the General Information tab will be required to be filled in.

4. What should be done in case I find a link for a particular licensee but the licensee has changed its year end so that the year/ period end would be next year?

- (i) The '*Form – In Case of No Reporting Obligations*' which should be filled in by a Responsible Officer (Download [here](#));
- (ii) A reporting template in Excel Format to be downloaded from the ODCS. Only applicable fields in the General Information tab will be required to be filled in.

5. What should be done in case I find a link for a particular licensee but the licensee is in process of winding up and does not have any further filing requirement?

- (i) The '*Form – In Case of No Reporting Obligations*' which should be filled in by a Responsible Officer (Download [here](#));
- (ii) A reporting template in Excel Format to be downloaded from the ODCS. Only applicable fields in the General Information tab will be required to be filled in.

6. Should I also file a hard copy of the Annual report/ AFS with the FSC?

No. You only have to file a soft copy of Annual Report/ AFS via the ODCS platform.

7. What date will be considered as the filing date?

The Submission Date that appear on the ODCS platform.

8. Can I submit unaudited accounts as at the statutory date if auditing of the AFS has not yet been completed?

No. Licensees have a legal obligation to file Annual Report/ AFS by the statutory date and the ODCS should be used only to file Annual Report/ AFS.

9. Can I use the same survey form for all licensees?

No. Each survey form has a unique identifier code embedded in the file. Survey form should be downloaded for each licensee, filled in and same uploaded prior to submit to the FSC via the ODCS platform.

10. How should I proceed if there is a correction to be made after a survey form has been uploaded but not yet submitted?

You can download the survey form again (the latest version will be available), make the necessary corrections and re-upload. The newer version will overwrite the previous one. You can re-upload as many times as necessary until you submit to FSC.

11. Can I amend the survey form after I have submitted it to the FSC?

Yes but you have to contact the FSC.

12. If the financial year end of an entity is before June 2016 and filing is still due, can I submit through the ODCS?

No. ODCS is to be used for only those AFS having financial year end 30 June 2016 and onwards.

13. What if I have already submitted AFS having financial year end prior to 30 June 2016 and I can find the link on ODCS, should I re-submit the AFS through ODCS?

No. AFS for financial year ends prior to 30 June 2016 should not be filed on ODCS. You should contact the FSC to make the necessary to remove the link.

14. What if I am unable to find the relevant link on ODCS to upload the AFS of a particular licensee?

The ODCS is only a platform for facilitating filing of AFS. The legal obligation to file AFS remains on the licensee under the Financial Services Act 2007 and other relevant legislations and non-filing of AFS within the statutory deadline will result into administrative penalties. If you are not able to find the link on ODCS for a particular licensee, this does not relieve the licensee of its legal obligation to file AFS. Hence the licensee will required to file the AFS in hard copy before the statutory deadline.

In case a licensee is unable to find the link for a specific return, it is advised to notify the FSC.

15. How do I file interim financial statements?

Filing process for interim financial statements has remained unchanged.

Please contact the FSC via odcs_ifi@fscmauritius.org for any queries that you may have for licensees mentioned on page 1.