Guernsey Financial Services Commission

GFSC Online PQ Portal User Document October 2021

Updated May 2023

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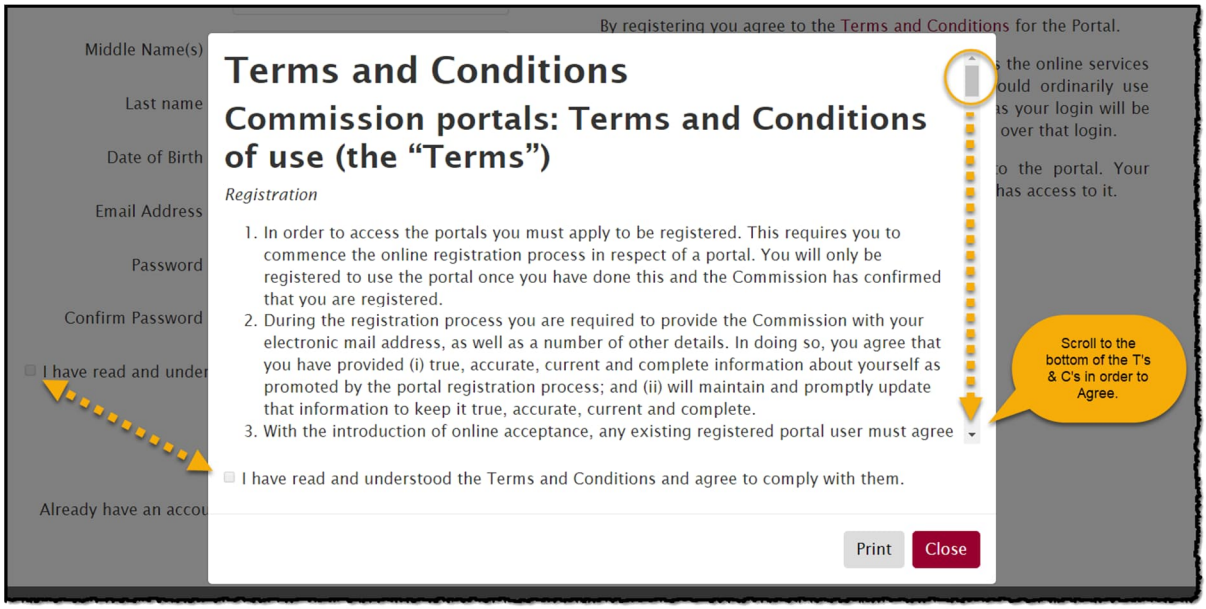
Electronic Commission portals Terms and Conditions ("Terms" or "T's & C's")

We have introduced electronic Commission portals Terms replacing the previous requirement for an Online Services Agreement ("OSA"). These Terms have been updated and cover both the Online Submissions ("OS") and PQ Portals.

When the pop-up window is presented with the Terms, you will need to read through the entire document, scrolling to the end of the document before it is possible to click that you have agreed to abide by the Terms.

You are able to print and/or save a copy of the full document, if desired – simply close the window to resume registration or login.



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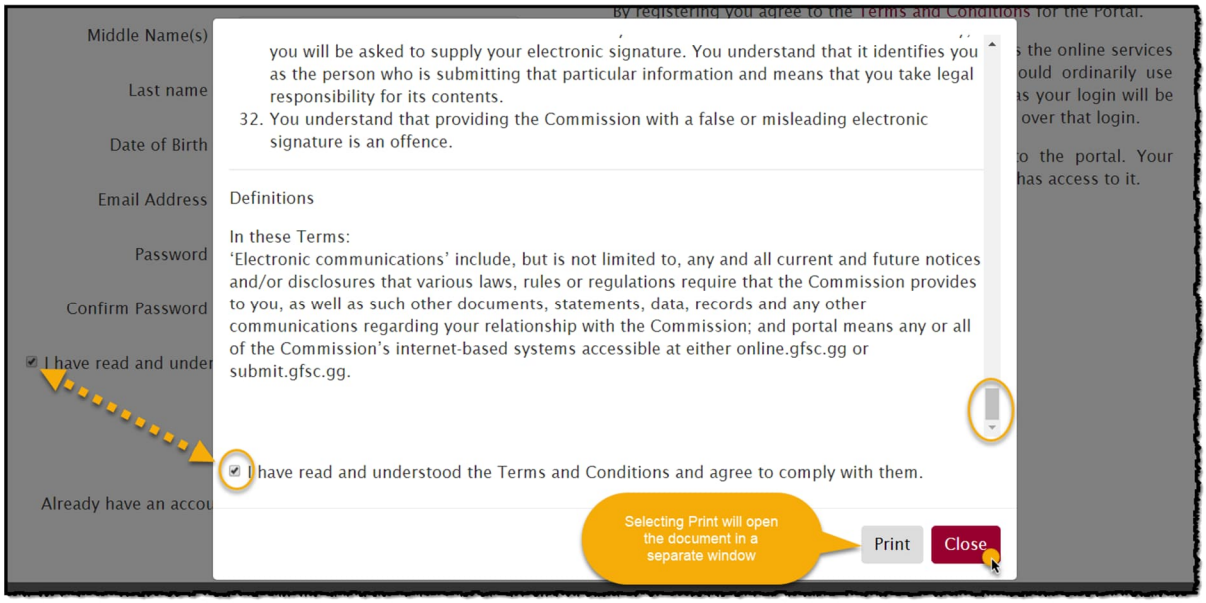

The Terms must be agreed to on registration if a new account for the Online Services portals is being set up.

If you are logging into your existing portal account, the Terms will require agreement before you can navigate to your portal account.

It will not be possible to log into your portal account without having first agreed to the Terms.

If/when the Terms are updated, they will be re-presented for agreement on your next login.

Logging in for the first time after registration

If you have navigated to the registration screen from online.gfsc.gg, then once you have confirmed the email and logged in, you should be taken straight to the PQ Portal homepage.

If you have navigated to the registration screen from submit.gfsc.gg, then once you have confirmed the email and logged in, you should be taken straight to the OS Portal homepage.

If you have navigated directly to auth.gfsc.gg to register, then once you have confirmed your email and logged in, you will be taken to a screen where you can choose which portal you want to enter.

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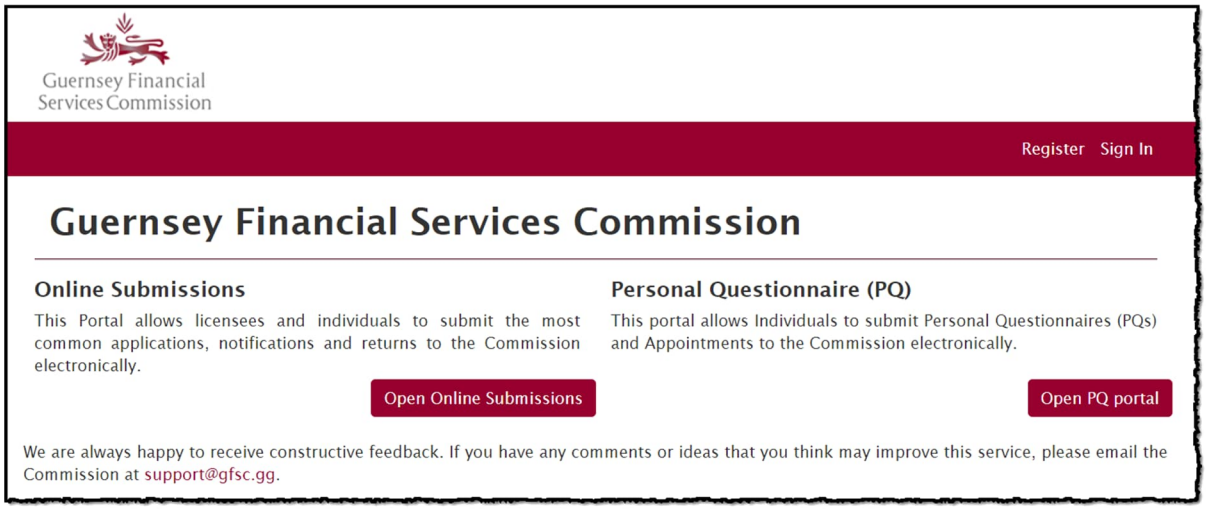

Two-Factor Authentication ("2FA")

2FA is an additional layer of security that is applied to your Online Services portal account. When you log into either portal, an additional prompt will display asking you to enter a security code. This code is sent to you via your registered e-mail address or an authentication app. Because the code is uniquely generated every time you login, it helps to prevent unauthorised account access in the event your password becomes compromised. This means a potential attacker requires both your password and access to your e-mail account or authentication app before they are able to gain access to your portal account.

Please click the following link for further information within our 2FA User Guide.

PQ Portal Homepage

Delegates tab

You will see a summary of the forms that have been delegated to you to complete. You will not be able to submit a delegated form.

If you have begun a PQ or OA on behalf of an individual, you must Assign it to the person whose form it is (using the email that they use for their PQ account).

Note: When the owner of either a PQ or OA form has delegated a form to you to complete it on their behalf, the form is automatically assigned back to the owner at the point the form is "Successfully Saved".

Once assigned, you will no longer have access to the form.

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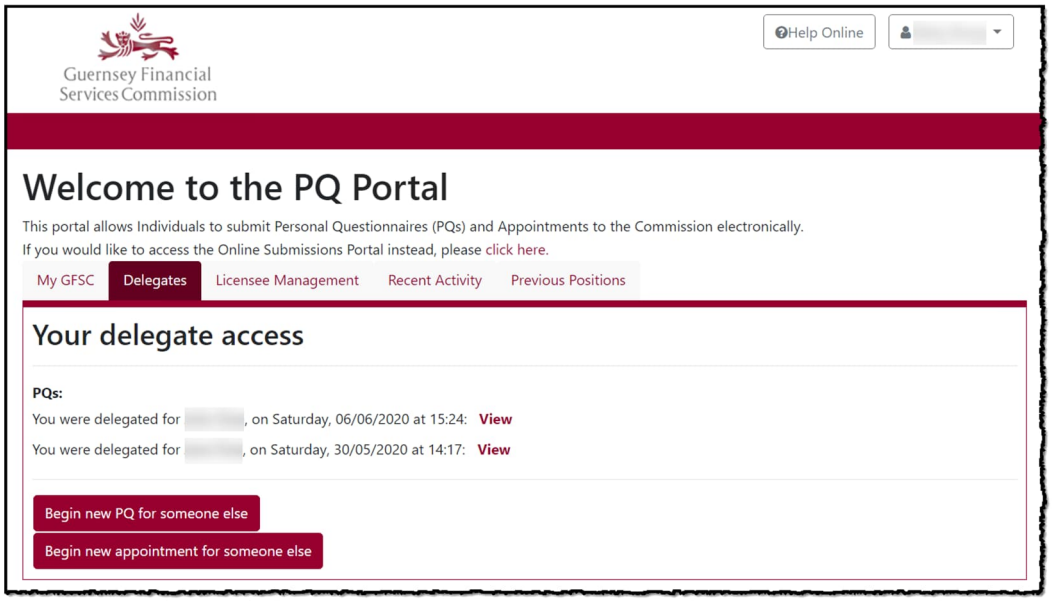
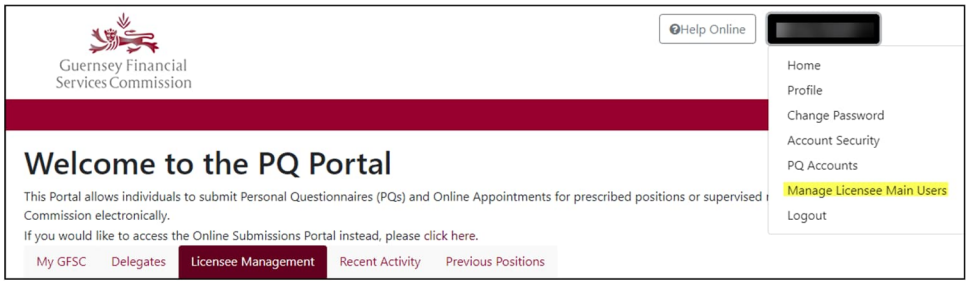


Licensee Management tab

There are 2 areas for Licensee Management.

Maintaining LMU users via the Profile 'Manage Licensee Main Users' option



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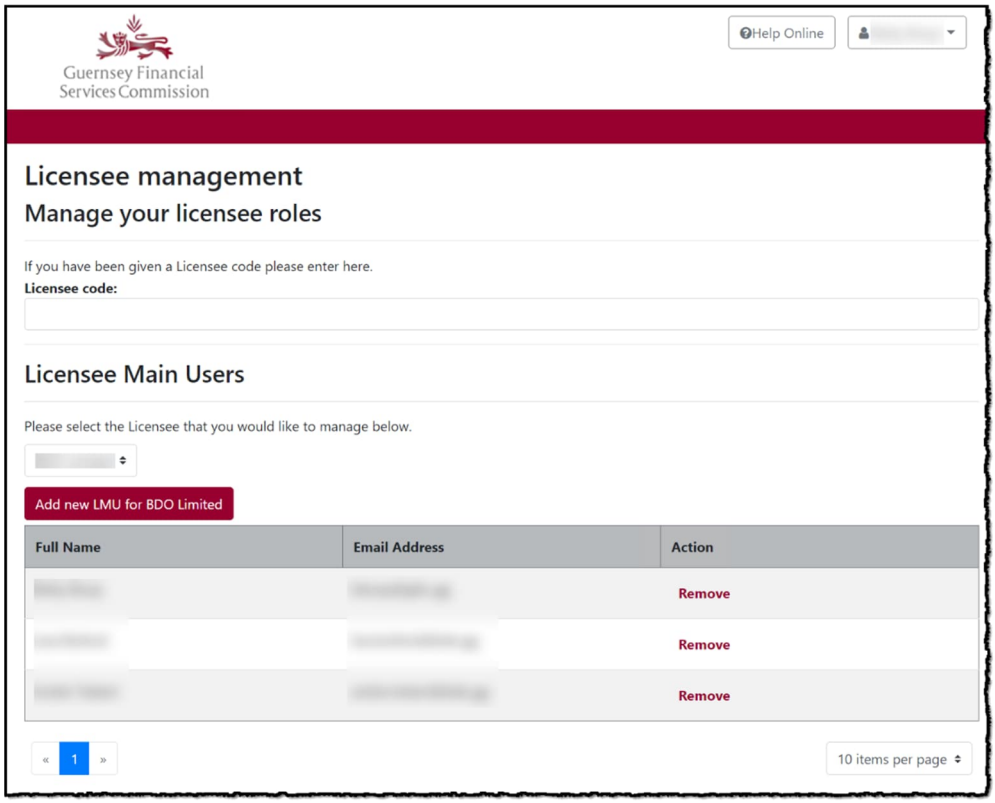

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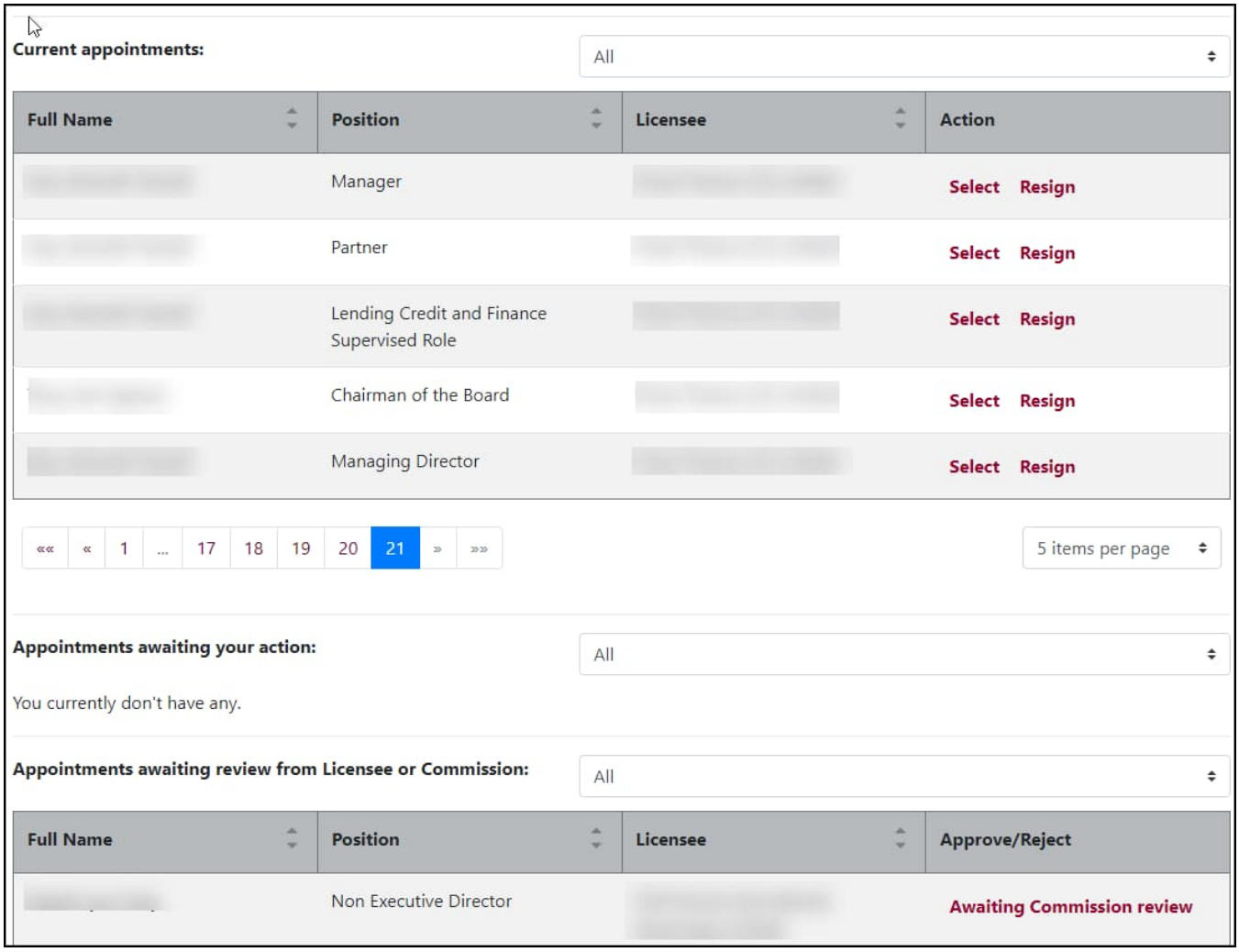
Viewing and approving Appointments and Resignations in the Portal 'Licensee Management' tab



Recent Activity tab

Note: the information in this tab will not include any historic information from before 20 June 2020.

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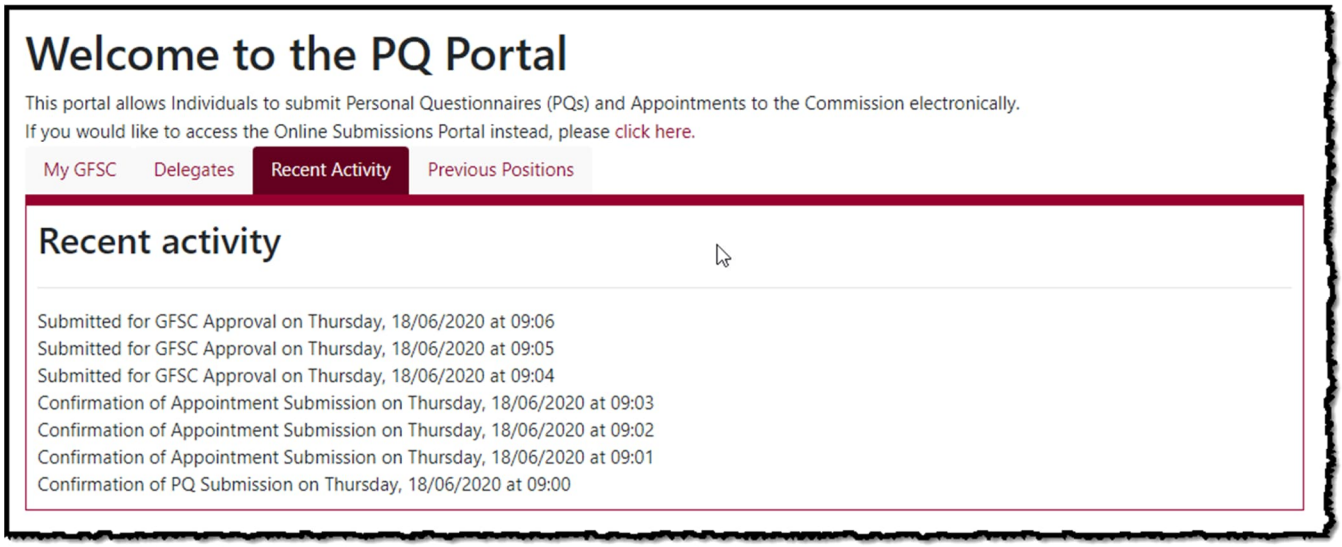
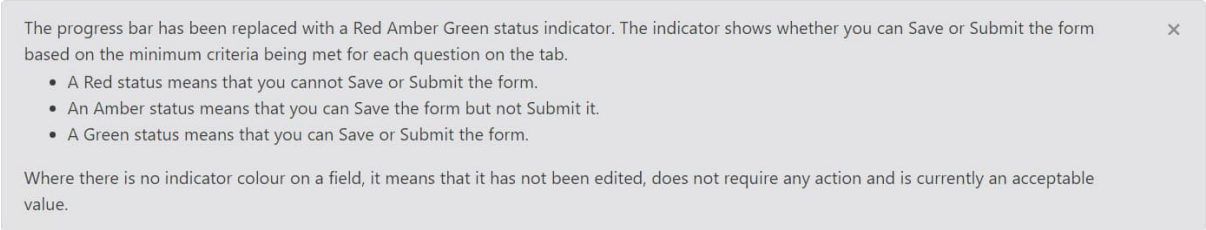


Forms – Red, Amber, Green ('RAG') status indicators

At the top of each form is a banner explaining the purpose of the indicator bars:



Each tab on the form will have a red, amber or green colour indicator, which signifies whether that section's mandatory fields have been satisfactorily completed.

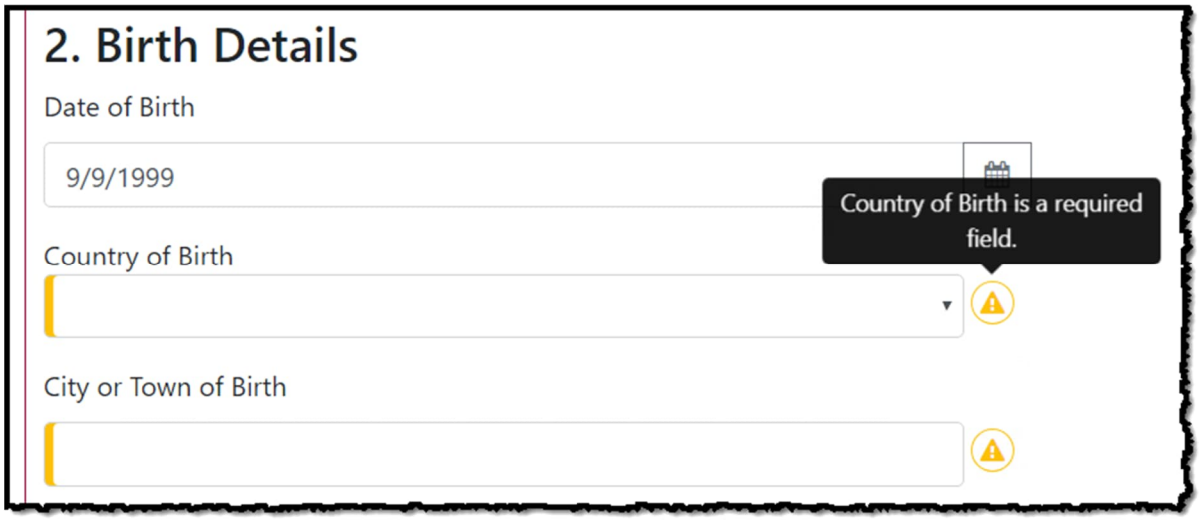
PQ Form examples

If a section has incomplete mandatory fields the indicator will be amber.

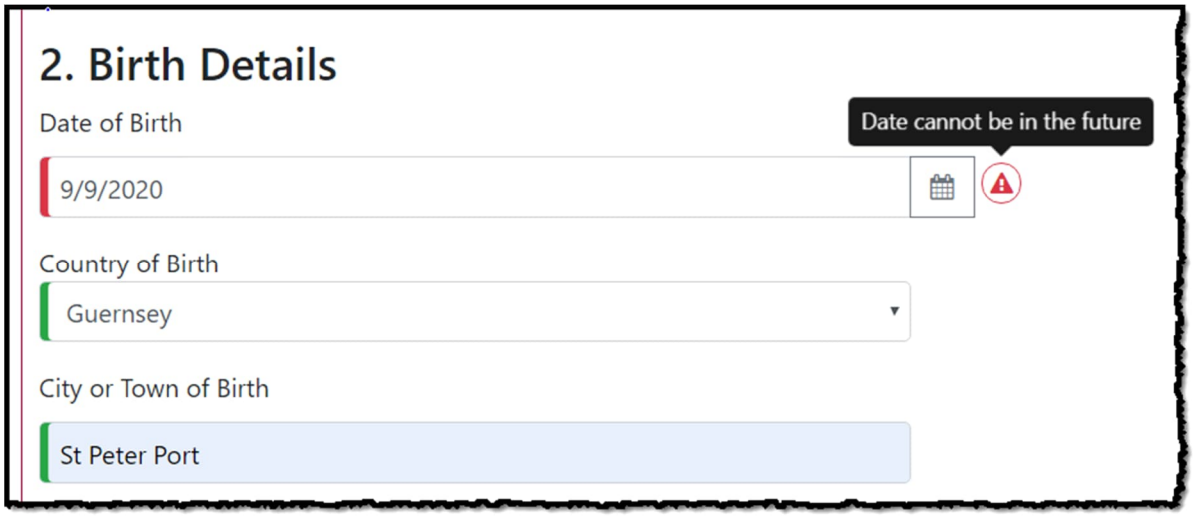
If a section contains unacceptable or missing values the indicator will be red and those values will not be saved.

The form can only be submitted when all the tabs are green.

Typically, a field that is required will be indicated by an amber bar and may also have an amber warning sign, which, when hovered over will display a tooltip, e.g:



Where a value which is not allowed is input in a field the red indicator bar and red warning sign will be displayed, which, when hovered over will display a tooltip, e.g:



A green bar indicates that the field is complete and the value is allowed.

If there is no field indicator (typically when updating an existing PQ), it means that the field is currently an acceptable value and has not been edited.

If you then click into the field and leave the value as-is, it will display a green indicator bar.

If you edit the field to an unacceptable value, it will display a red indicator bar.

If you edit the field and remove the value, an amber indicator will be displayed.

Where a section requires at least one entry, the button will have an amber warning sign displayed. Hovering over the warning sign will display a tooltip, e.g:

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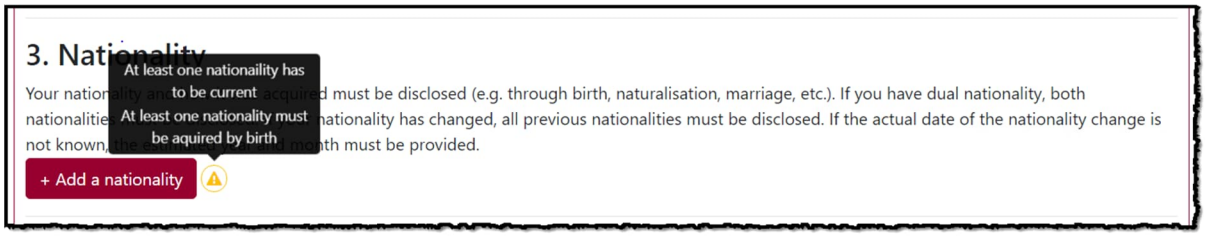
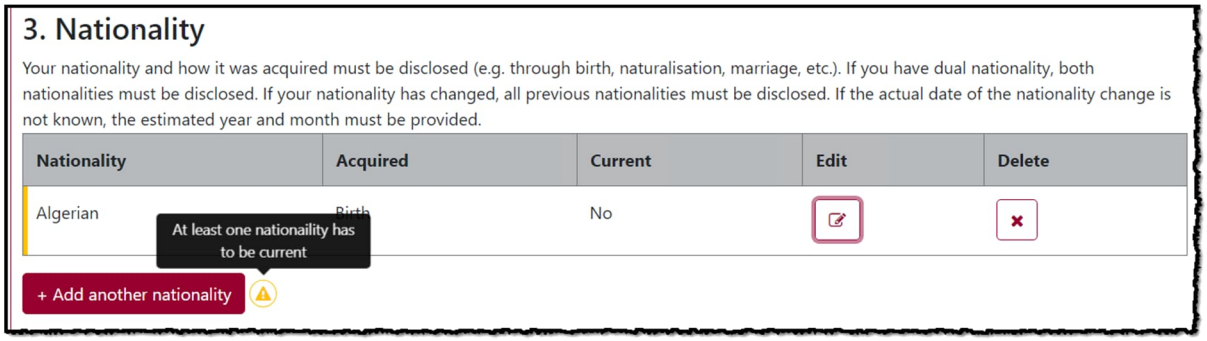


If, within a section, the pop-up form for an entry was not completed, then the table entry will have an amber indicator bar. You should 'edit' the entry to complete the pop-up form details.

If any type of record is mandatory, the tooltip on the warning sign will indicate the type of record that is missing.

Both these examples are shown in the screen shot below:



Changes to note for individuals editing an existing PQ

The first time that you open your current PQ (or as a delegate you open a PQ to edit for someone else) you will note that a number of tabs contain an amber or red indicator.

This is because we have added some new mandatory questions to sections within those tabs.

See the following for details of changes:

PQ - General information

PQ - Personal tab

PQ - Positions tab

PQ - Competence tab

PQ - Propriety tab

PQ - Declaration tab

Content changes on PQ Form

Submitting a first PQ no longer requires an Online Services Agreement ("OSA")

The OSA has been replaced with a step to agree within the Terms and Conditions ("Terms") on login or first registration. If/when the Terms are updated a new version will be pushed out for agreement at your next login. See further details in

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Electronic Commission portals Terms and Conditions ("Terms" or "T's & C's")

Completing a PQ for someone else

This is now done from the Delegates tab. It is no longer an option in the start page of a new PQ form.

Removal of 'Edit Form' step in the PQ form

You can simply select the 'open current' button to continue editing a PQ form. Save the form as you complete sections and take note where mandatory information is missing or erroneous. Amber or red warning signs and field indicators will provide a visual clue that there are issues to resolve.

PQ - General information

Mandatory fields are no longer indicated with a red asterisk

The RAG field indicators and warning signs are in place instead.

Information provided in 'pop-up' screens are displayed in a summary table

When further detail is required a pop-up screen is displayed containing the relevant fields for the section/question. Once the details are saved, they are summarised in a table. If they are incomplete, the field will display an amber indicator. Click on the edit button for the entry to add the required details in the pop-up. If you wish to remove the entry from the table click on the delete button.

PQ - Personal tab

Addresses

For individuals with an existing PQ, the address table will require users to confirm their current address, is still current. To do this, click on the edit button to display the pop-up record. Indicate whether the details are current by selecting 'Yes' or 'No' and Save.

Address records that already have a 'To' date will be displayed with a yellow highlight and an amber field indicator. These records also require confirming their current status. To do this, click on the edit button to display the pop-up record. Indicate whether the details are current by selecting 'Yes' or 'No' and Save.

Once all the address records are confirmed and there is at least one current record, the table fields will all display green indicators.

A new field has been added to this section: "Are there any discrepancies between the country of private residential address and employment address (e.g. You currently reside in the UK, but your employer's address is in the USA)?" – this requires a 'Yes' or 'No' response. If the response is yes, you are required to add more information in a text field.

Contact Details

The field 'Other Telephone Number' is now a required field.

PQ - Positions tab

Section 6 Prescribed Positions you currently hold that have already been notified to the Commission

There is no change to this section – it should only be completed on a new PQ where the positions are already known to the Commission. New positions must be submitted using an Online Appointment ('OA') form after you have submitted a PQ form. It should be noted that when an individual submits their first PQ with positions in Section 6, these will be displayed in the Appointments awaiting Licensee approval section of the homepage, for both individuals and LMUs, but no action is required.

Section 8 Appointments and Other Interests for entities unrelated to your employment

For individuals with a current PQ you now have to indicate whether you have any appointments and other interests for entities unrelated to your employment by selecting 'Yes' or 'No' in response to the question Is there information to be disclosed in this Section? If you respond 'Yes' then you will be prompted to indicate whether the details are current by selecting 'Yes' or 'No' and Save on each of the pop-up appointment records that you have.

Alternatively, you could close each of the pop-up records using the 'x' in the top right-hand-side, but you will still be required to edit the records that are amber in the table of appointments subsequently displayed. You will only have to do this the first time you update your current PQ.

If you select 'No' and save or submit the PQ any previously provided appointment information will have to be re-entered using the *+ Add another Appointment* button.

For individuals completing a new PQ you now have to indicate whether you have any appointments and other interests for entities unrelated to your employment by selecting 'Yes' or 'No' to the question Is there information to be disclosed in this Section? If you respond 'Yes' then you will be prompted to add the appointment details.

PQ - Competence tab

Section 9 Licences and Other Authorisations

Section 10 Professional Qualifications

Section 11 Professional Memberships

For individuals with a current PQ you now have to indicate whether you have any Licences and Other Authorisations, Professional Qualifications or Professional Memberships by selecting 'Yes' or 'No' in response to the question Is there information to be disclosed in this Section? If 'Yes' then you will be prompted to indicate whether the details are current by selecting 'Yes' or 'No' and Save on each of the pop-up Licences and Other Authorisations, Professional Qualifications or Professional Memberships records that you have, respectively.

Alternatively, you could close each of the pop-up records using the 'x' in the top right-hand-side, but you will still be required to edit the records that are amber in the table of Licences and Other Authorisations, Professional Qualifications or Professional Memberships subsequently displayed. You will only have to do this the first time you update your current PQ.

If you select 'No' and save or submit the PQ any previously provided Licences and Other Authorisations, Professional Qualifications or Professional Memberships information will have to be re-entered using the *+ Add a Licences and Other Authorisations*, *+ Add* a Professional Qualification *or + Add a Professional Membership* button, as appropriate.

For individuals completing a new PQ you must indicate whether you have any Licences and Other Authorisations, Professional Qualifications or Professional Memberships by selecting 'Yes' or 'No' to the question Is there information to be disclosed in this Section? If you respond 'Yes' then you will be prompted to add the Licences and Other Authorisation, Professional Qualifications or Professional Memberships details, respectively.

PQ - Propriety tab

Section 13.5 Solvency

A new mandatory question has been added to this section "Has any company that you were acting as a director or in the management or conduct of its affairs, at the time, or in the year previous to the event, been put into voluntary liquidation or any partnerships/limited partnerships that you were connected with, at the time, or in the year previous to the event, been dissolved?". The existing questions previously numbered 1-3 are now numbered 2-4 respectively. Note: Any draft PQ forms created prior to 22 June 2020 will not have this change included – to include it, you will need to delete the form and create another draft PQ.

PQ - Declaration tab

For individuals with a current PQ you will note that the previous responses to the question Why are you submitting this PQ? have been cleared along with the I agree to the above tick box and the previous values highlighted – this is because the fields need to be re-selected each time you submit the form.

Formerly the Declaration and Consent tab, now has an extra field that is displayed when the 'I agree to the above' box is ticked, where you are required to provide your name. This has been added to ensure that as the person submitting the form, you are performing a conscious action when agreeing to the declaration at the point of submitting the form.

Content changes on the Online Appointments ("OA") form

Completing an OA for someone else

This is now done from the Delegates tab. It is no longer an option in the start page of a new OA form.

OA - General information:

Mandatory fields are no longer indicated with a red asterisk

The RAG field indicators and warning signs are in place instead.

Information provided in 'pop-up' screens are displayed in a summary table

When further detail is required a pop-up screen is displayed containing the relevant fields for the section/question. Once the details are saved, they are summarised in a table. If they are incomplete, the field

will display an amber indicator. Click on the edit button for the entry to add the required details in the pop-up. If you wish to remove the entry from the table click on the delete button.

User must have submitted a PQ before an OA can be submitted

You will be unable to submit an OA if a PQ has not been submitted.

Appointment Resignation

There are no content changes on this form.

General information:

Mandatory fields are no longer indicated with a red asterisk

The RAG field indicators and warning signs are in place instead.

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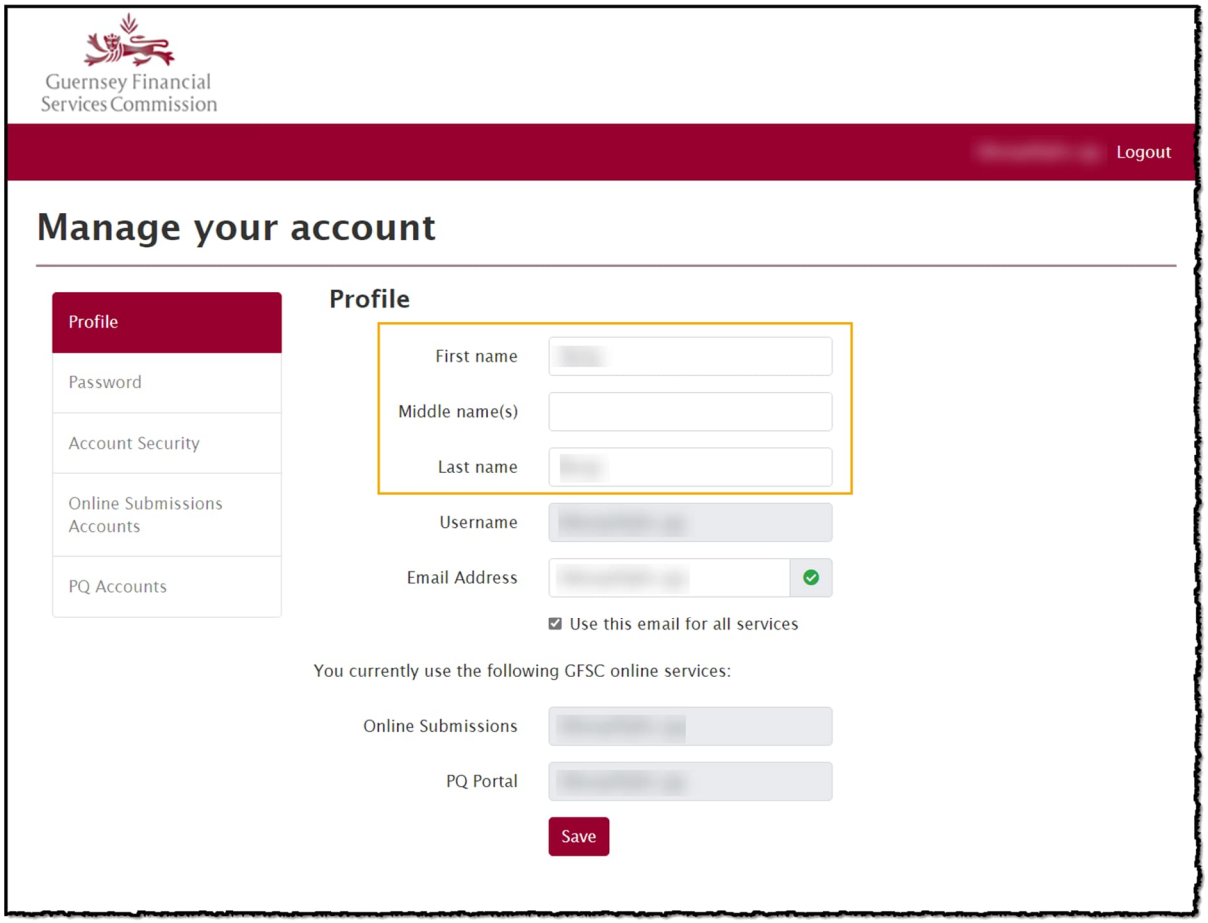
Online Services account- Profile changes

Note: when you select the options for Profile, Change Password, Account Security or PQ accounts from the name dropdown in the PQ portal, the details will be displayed in a new window. Once you have made the changes please close the window – your PQ portal will still be available in the original window. Opening the options Profile, Change Password or Change Two Factor Authentication in the OS Portal will open the details in the same window. To navigate back to the OS portal, use the back arrow in your browser.

Change name

*If you **only** have an **OS** account*

In your profile, update your names:



If you have a PQ account

Change your name by updating your PQ.

Change email address

In your profile, update your Email Address:

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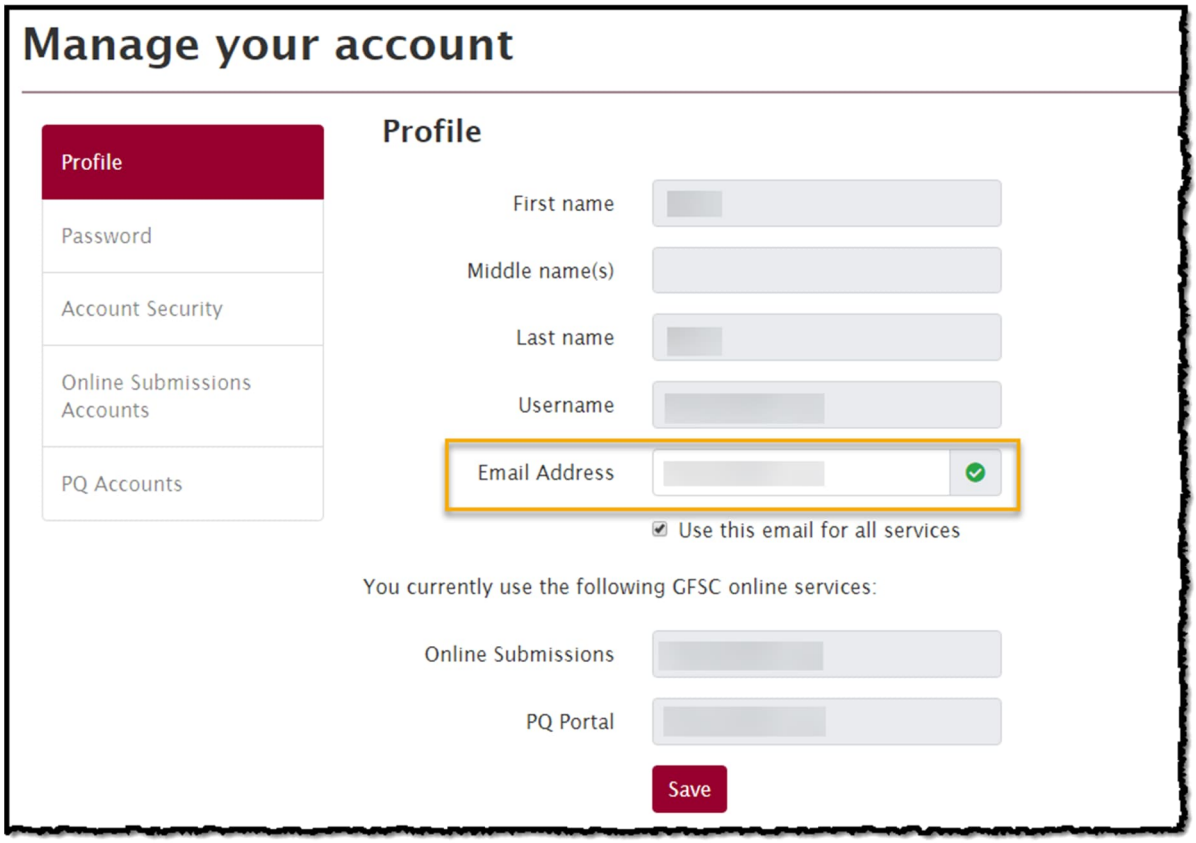
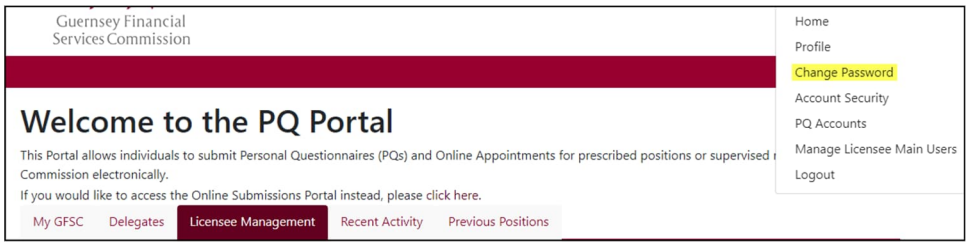


Change password

In your profile, change your password:



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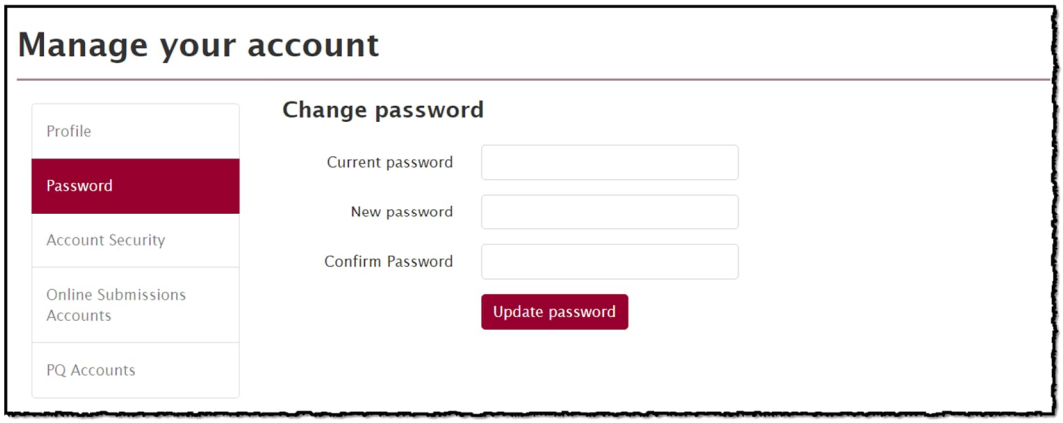


Link OS and PQ accounts

Linked accounts – automatically, using the same email

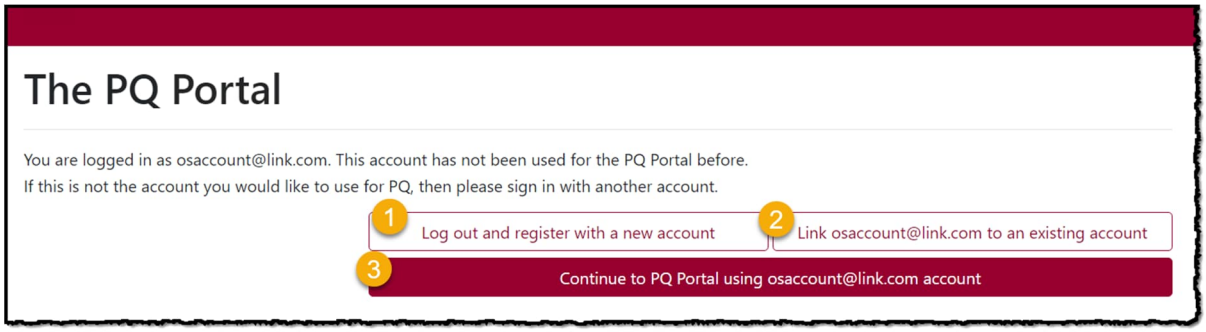
If you had an account in both the Online Submissions and PQ Portals (at the point of the PQ Portal upgrade in June 2020), which used the same email address, then the accounts will automatically have been linked. To log into either the OS or PQ portal you will need to use the OS password. If you do not know the OS password, use the "Forgot your password?" button on the login page, to reset the password.

Linking Portal accounts manually

The following steps can be followed if you are logging onto one portal for the first time with the account credentials of the other portal i.e. OS with PQ, or vice-versa.

If you have an existing OS account, but not a PQ account

- Type the url for the PQ Portal "online.gfsc.gg" into your browser and press enter
- Enter the email address and password that you normally use for your OS account and click on 'Sign-in'
- The following screen is displayed:



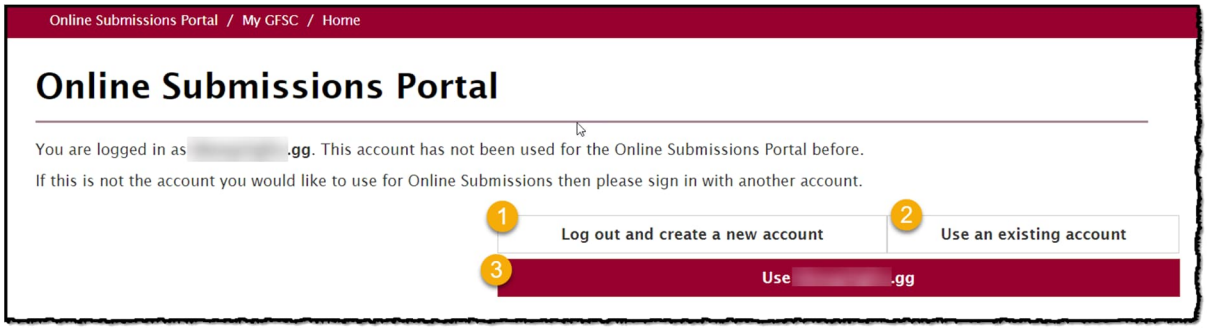
1. If you already have a PQ account and you want it to remain un-linked from your OS account, choose option 1. You will be logged out and taken back to the Register/Sign In page.
2. If you already have a PQ account and you want to link it to your OS account, choose option 2. This will take you to the 'Manage your account', 'Link Accounts' page where you can Sign In using your PQ

account credentials. Once the accounts are linked, you can use either set of credentials to log into the PQ Portal.

3. If you do not have a PQ account and want to use the same login as your OS account, choose option 3. If you choose this option, you will be presented with a pop-up screen requiring you to add your Date of Birth – this is a requirement for anyone using the PQ Portal.

If you have an existing PQ account, but not an OS account

- Type the url for the OS Portal "submit.gfsc.gg" into your browser and press enter
- Enter the email address and password that you normally use for your PQ account and click on 'Sign-in'
- The following screen is displayed:



1. If you already have an OS account and you want it to remain un-linked from your PQ account, choose option 1. You will be logged out and taken back to the Register/Sign In page.
2. If you already have an OS account and you want to link it to your PQ account, choose option 2. This will take you to the 'Manage your account', 'Link Accounts' page where you can Sign In using your OS account credentials. Once the accounts are linked, you can use either set of credentials to log into the OS Portal.
3. If you do not have an OS account and want to use the same login as your PQ account, choose option 3.

Un-link OS and PQ accounts

In the instance where you have both a PQ and OS account that are linked, where the PQ login is for your individual PQ and the OS login is for your firm account, if you leave the firm, you will want to unlink one of those accounts. For example:

Where you have registered an account me@work1.com which is your work email and also registered an account me@home.com for your PQ and then linked those accounts, on leaving the firm, you should unlink the me@work1.com account. When you start work at another firm, then you can register an account with the email me@work2.com and link that to your account.

To unlink an OS account from the PQ, or two PQ accounts:

- In the PQ Portal, select your name from the top right-hand-side.
- Select PQ Accounts;
- Select either PQ Accounts or OS Accounts (whichever is relevant) from the left-hand menu
- Click on the Unlink button next to the account you are removing

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It should be noted, that once you have unlinked an account, it can only be reinstated by repeating the steps to Link OS and PQ accounts.

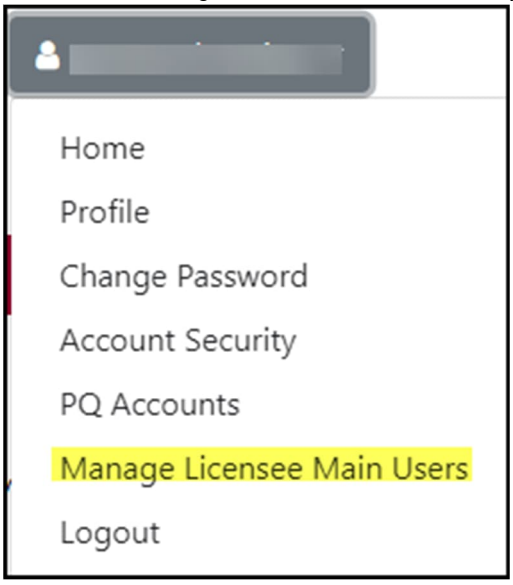
Licensee Main User ("LMU")

The Commission will issue an LMU code to the managing director when an entity is first licensed/registered. If you have been allocated an LMU code, then you are responsible for approving appointments, resigning individuals and adding/removing other LMUs for the firm.

A firm must have at least one LMU at any time, however, the Commission recommends that each firm has at least two LMUs to cover absences from the office.

To register yourself as the LMU

- Click on your name at the top, right-hand-side of the homepage
- Select the Manage Licensees Main Users option



- In the Licensee code field, enter the code provided by the Commission. Another section will then be available for you to manage other LMUs.

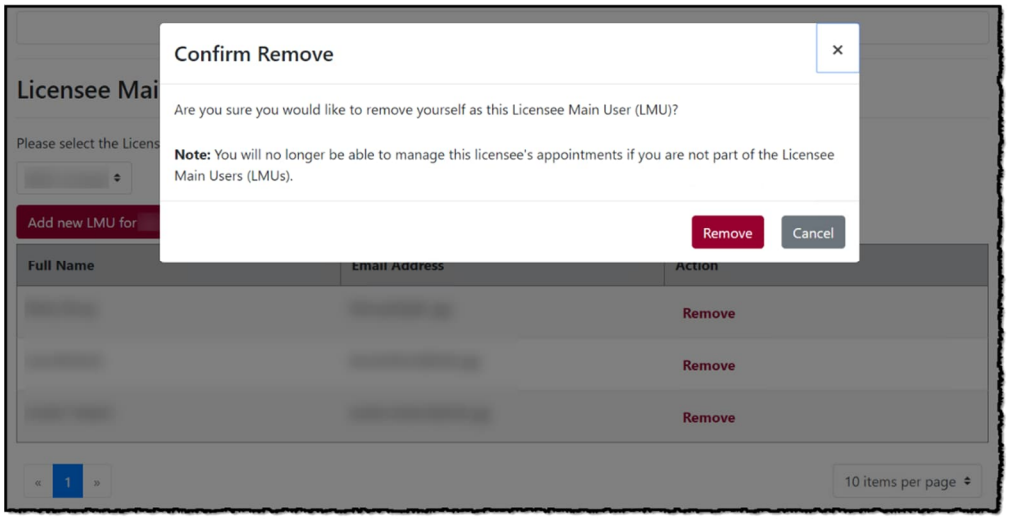
Remove PQ LMU account

For yourself

You should remove yourself from the Licensee Main Users table when you are leaving a firm.

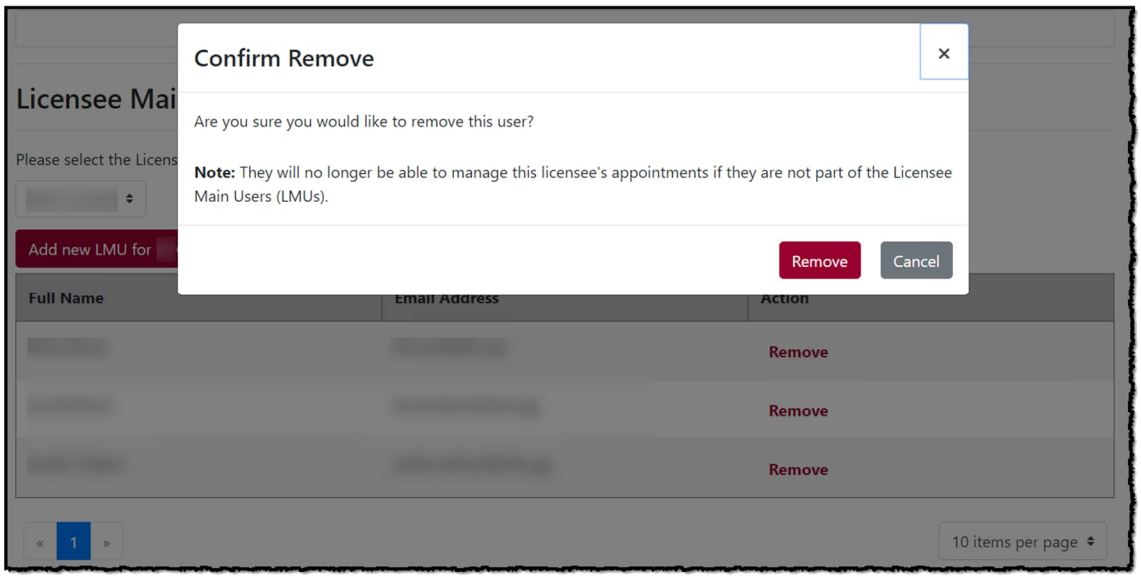
If you are the only LMU, you should add the details of the person replacing you as LMU before you remove yourself.

- Click on the Remove link next to your name in the LMU table.
- Confirm Remove (or cancel)



For another LMU

- Click on the Remove link in the LMU table next to the name of the person being removed.
- Confirm Remove (or cancel)

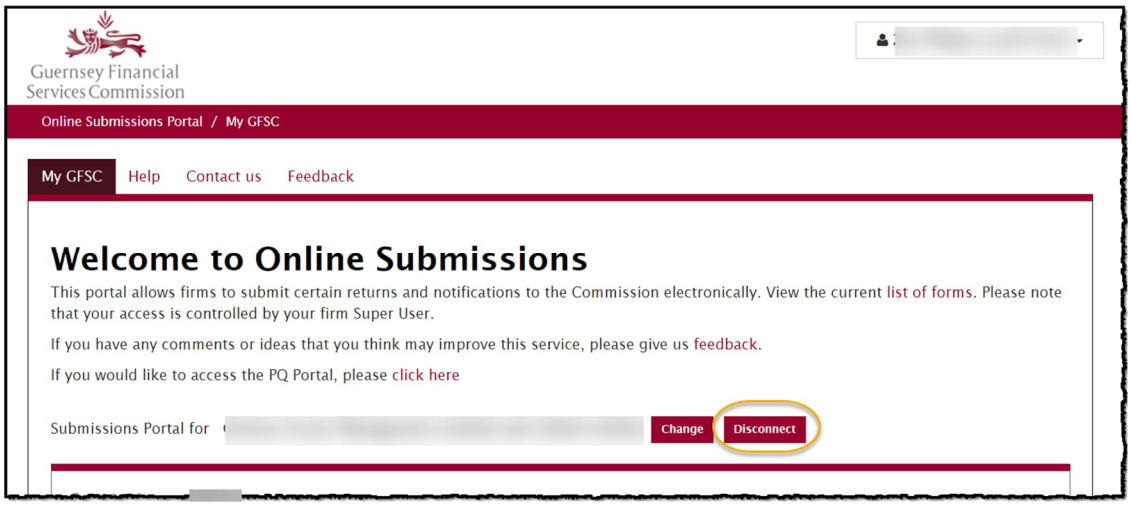


Remove OS account from a Firm

For yourself

Log into the OS Portal and select the 'Disconnect' button.

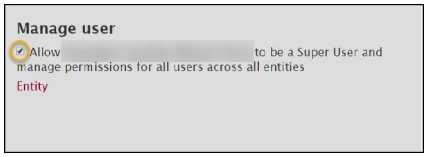
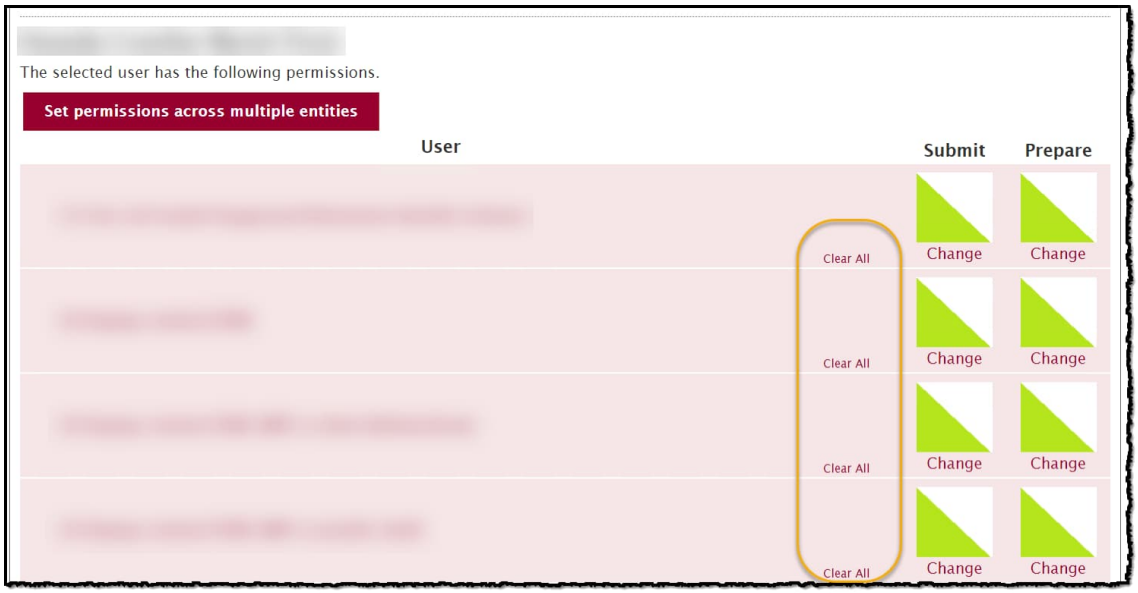
You will need to confirm the disconnection on the next pop-up screen.



For another user option (you must be a Super User *to do this)*

Log into the OS Portal and select the Manage Permissions.

Select the User from the drop-down list. If they are a Super User, untick the Manage User option:



Click on *Clear all* against each entity.