



Securities Commission of The Bahamas

CoRI

**Compliance and Regulatory Interface
External User Guide**

January 2021

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1 Purpose

The purpose of this document is to provide registrants and licensees of the Securities Commission of The Bahamas (“SCB” or “Commission”) with a manual on how to use the Compliance and Regulatory Interface (CoRI) to submit applications, filings and disclosures to the Commission.

Details on the following activities will be provided in this guide:

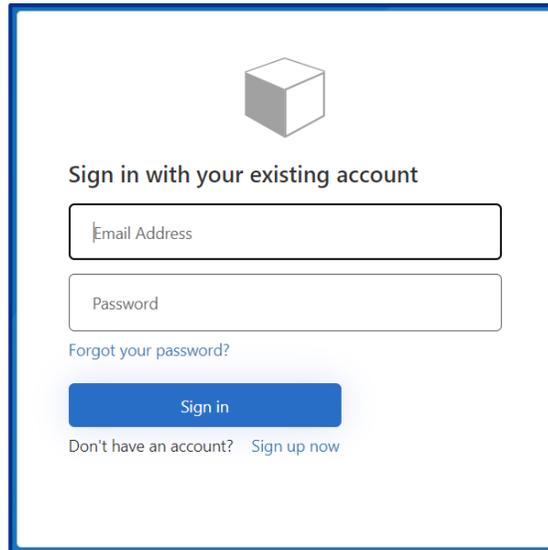
- Registering an account on CoRI
- Logging into CoRI
- Viewing registrant or licensee details
- Creating and submitting filings

2 User Flow

2.1 User Account Registration

Before accessing and using CoRI, users are required to register an account by following the steps below.

First, visit the CoRI site by clicking <https://scbwebportal.scb.gov.bs>. You will be redirected to the login page (Figure 1).



3D Cube Icon

Sign in with your existing account

Email Address

Password

Forgot your password?

Sign in

Don't have an account? Sign up now

Figure 1: Login Page

To register an account, click the “Sign up now” button, which will redirect you to the user details page where you will be required to provide an email address. Users should not use general/group email addresses, such as info@, compliance@, or similar. Rather, their direct work-related email address should be provided. For the initial roll-out, CoRI will reference emails provided for login against those on record for the user/firm.

Users will need to verify their email addresses by clicking the “Send Verification Code” button, which will send a verification code to the email address provided (Figure 2).

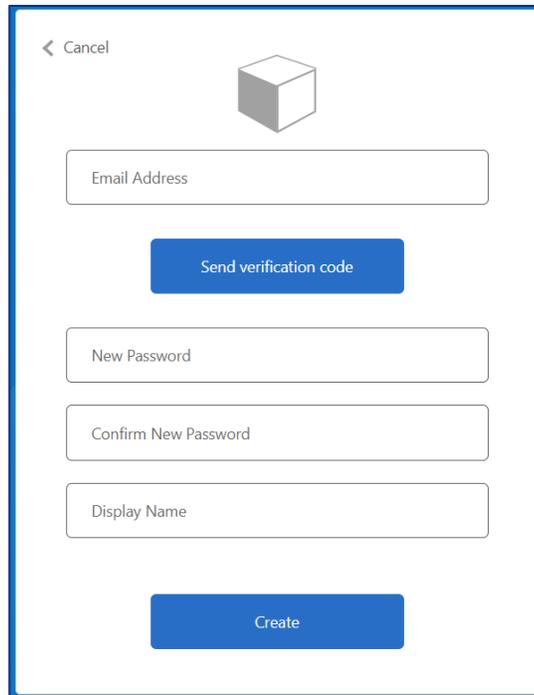
The image shows a mobile application interface for creating a user account. At the top left, there is a back arrow and the text "Cancel". In the center, there is a 3D cube icon. Below the icon are four input fields: "Email Address", "New Password", "Confirm New Password", and "Display Name". A blue button labeled "Send verification code" is positioned between the "Email Address" and "New Password" fields. At the bottom of the form is a blue button labeled "Create".

Figure 2: User Details Page

Once received, type in the verification code in the verification dialogue box as prompted and click the “Verify Code” button.

Once the email address has been verified, you can proceed with the registration process by adding and confirming a password. Users should also add a display name or user name.

After all the required information has been provided, click the “Create” button, which will redirect you to the original sign-in page.

2.2 Creating a Digital Signature

Digital signatures are used on CoRI for SCB licensees and registrants to securely sign applications, filings and disclosures. On CoRI, digital signatures are in the form of a unique PIN code which users will create themselves.

After registration, users must perform an initial log-in. After you have registered your account (2.1 above), please log-in using your credentials. Upon initial login, users will receive an email with a link to create a digital signature/PIN (Figure 3). Importantly, users should log out and close the

browser before proceeding. Open the email that was forwarded and use the link provided to request a sign in and create your PIN. Continue with the instructions provided on screen.

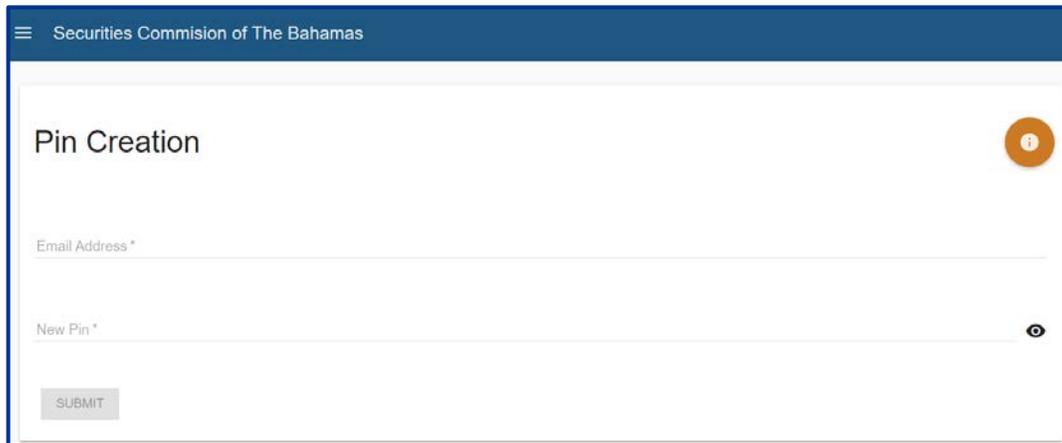
The screenshot shows a web interface for "Pin Creation" within the "Securities Commission of The Bahamas" system. The page has a dark blue header with a menu icon and the text "Securities Commission of The Bahamas". Below the header, the title "Pin Creation" is displayed in a large, bold font. To the right of the title is a circular orange icon with a white question mark. The form contains two input fields: "Email Address*" and "New Pin*". The "New Pin*" field has a small eye icon to its right, indicating a toggle for password visibility. At the bottom left of the form is a grey "SUBMIT" button.

Figure 3: PIN Creation

First, you will need to enter the email address associated with your account as provided during registration. CoRI will validate the email address against your account.

Once the email address has been validated, a digital signature can be created. The PIN must meet the following criteria:

- The PIN needs to be at least 10 characters long
- The PIN needs at least one alphabetic character
- The PIN needs at least one number

After adding a PIN that satisfies the above criteria, click the “Submit” button, which creates your digital signature.

Note that a digital signature will be required to officially authorize submissions which ordinarily require a signature.

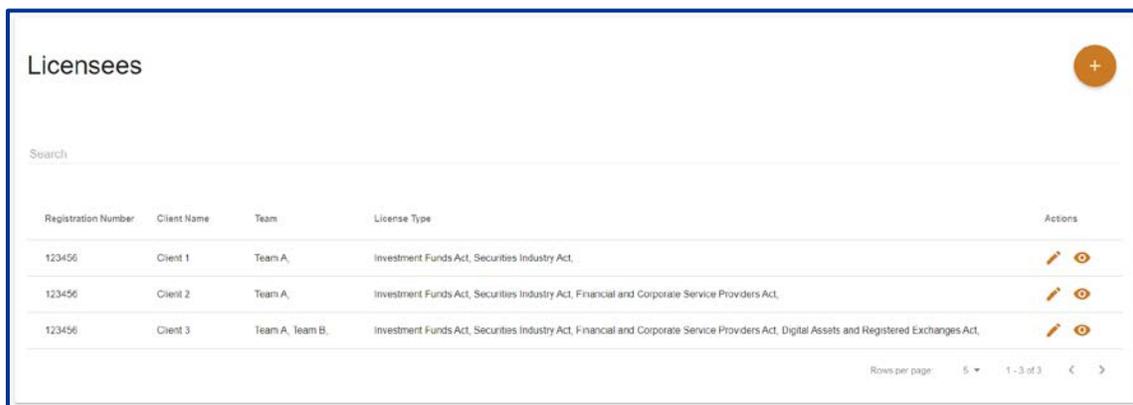
If you need to reset your PIN, please contact your Supervision Officer.

2.3 Log-in to CoRI

Once you have registered your account and successfully created a PIN, an internal verification process occurs. Users should be able to complete filings and uploads on behalf of the firms they are associated with within 24 hours of successfully creating a PIN.

2.4 Licensee Details

Upon logging in to CoRI, users will be directed to the *Licensees* landing page, containing a table of all the licensees that are currently accessible to the user on CoRI (Figure 4).



The screenshot shows a web interface titled "Licensees". It features a search bar and a table with the following data:

Registration Number	Client Name	Team	License Type	Actions
123456	Client 1	Team A	Investment Funds Act, Securities Industry Act	[Edit] [Eye]
123456	Client 2	Team A	Investment Funds Act, Securities Industry Act, Financial and Corporate Service Providers Act	[Edit] [Eye]
123456	Client 3	Team A, Team B	Investment Funds Act, Securities Industry Act, Financial and Corporate Service Providers Act, Digital Assets and Registered Exchanges Act	[Edit] [Eye]

At the bottom right of the table, there is a pagination control showing "Rows per page: 5" and "1 - 3 of 3".

Figure 4: Licensee Page

Note that you can also navigate to this page by clicking the “Licensees” button in the Main Menu displayed upon login (Figure 5).



Figure 5: Main Menu

On the *Licensees* page, the search bar can be used to quickly find licensees/registrants.

In order to view the details for a particular licensee, click the “Visibility” button (👁️) which can be found in the “Actions” column (Figure 4). This redirects users to the *Filings* page (Figure 6). More details on this page are provided in the upcoming sections (2.5).

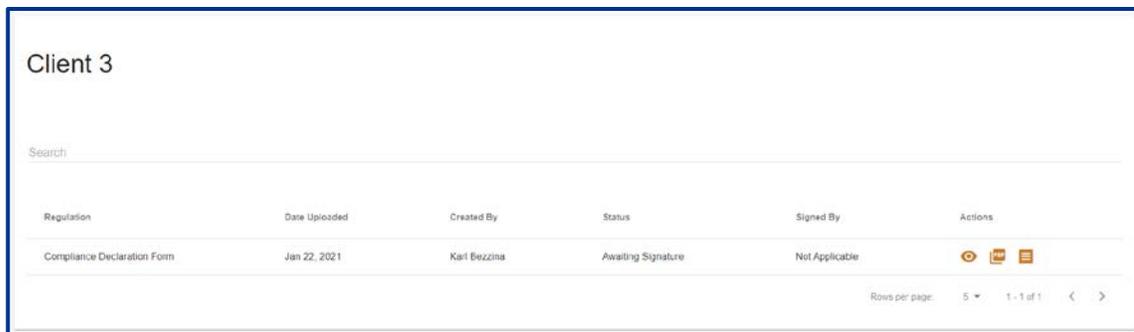


Figure 6: Filings Page

2.5 Regulatory Filing

2.5.1 Eligible E-filings

At the time of launch, the following forms/submissions may be filed using CoRI:

Securities Industry Act (SIA)

- Application for Registration as a Registered Firm – Form 8

- Personal Questionnaire for Directors, Officers and Security Holders of Persons Registered Under Part V of the Act or Registered Firms – Form 4
- Notice of Terminations, Resignation or Retirement of Registered Individual by Registered Firm – Form 12
- Financial and Operational Report – Form 13
- Notice of Change in Information – Form 5

Investment Funds Act (IFA)

- Application for Fund License (SMART, Professional or Standard) – Schedule 3, Form A
- Personal Questionnaire for Directors, Officers and Security Holders of Persons Registered Under Part V of the Act or Registered Firms – Form 4
- Statistical Information Sheet

Financial and Corporate Service Providers Act (FCSPA)

- Application for a Financial and Corporate Service License

SIA, IFA, FCSPA and the Digital Assets and Registered Exchanges Act

- Annual Information Update Form
- Extension Request Form
- Compliance Declaration re: UNCSRs

Please note that, generally, users will only be able to see forms applicable to the legislation under which the submitting entity is licensed or registered. This is not the case for application forms, however, which will be available for all users.

2.5.2 Accessing Regulatory Filings

To access the Regulatory Filings page, click the “Menu” button () and select “Regulatory filing”.

2.5.3 Create a New Filing

The *New Filing* page allows users to create and submit applications, filings and disclosures per Section 2.5.1.

On the *New Filing* page (Figure 7), select a licensee from the respective dropdown menu and the applicable application or form from the “Applications and Forms” dropdown menu. Click the “Confirm Selection” button to continue.



Securities Commission of The Bahamas

New Filing

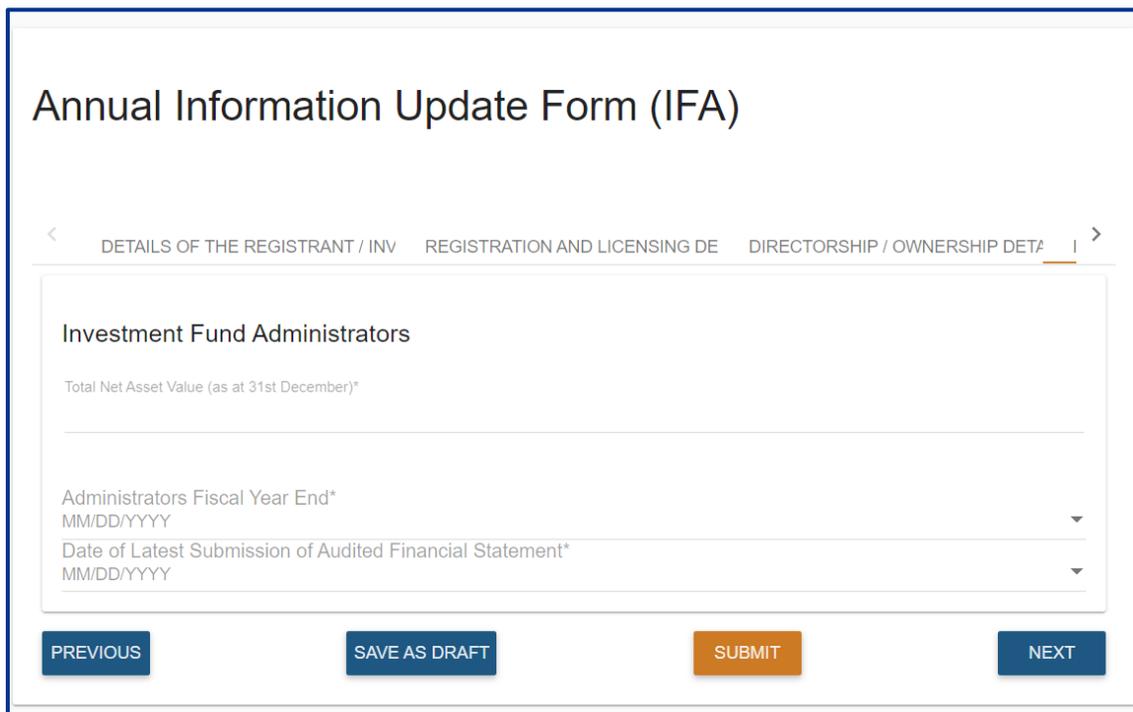
Regulation *

Entity *

CONFIRM SELECTION

Figure 7: New Filing Page

After a licensee and application or form are selected, users will be redirected to the actual form for the filing, displayed in tab view (Figure 8). Each tab corresponds to a section of the form. Users can navigate through each section by either clicking the specific tab on the top part of the form, or by utilizing the “Previous” and “Next” buttons at the bottom of the form.



Annual Information Update Form (IFA)

< DETAILS OF THE REGISTRANT / INV REGISTRATION AND LICENSING DE DIRECTORSHIP / OWNERSHIP DET >

Investment Fund Administrators

Total Net Asset Value (as at 31st December)*

Administrators Fiscal Year End*
MM/DD/YYYY

Date of Latest Submission of Audited Financial Statement*
MM/DD/YYYY

PREVIOUS SAVE AS DRAFT SUBMIT NEXT

Figure 8: Form

If users are unable to complete the form and want to save current progress, users can click the “Save as draft” button (Figure 8). The filing will be saved with a “Pending” status and can be edited/completed in the future.

2.5.4 View and Continue Draft Filings

To view filings, navigate to the *Licensees* page and select the relevant licensee. Once redirected to the *Filings* page, click the “Edit” button () to continue the filing (Figure 6).

Once the form has been completed and all required supporting documents have been uploaded, the filing can be submitted by clicking the “Submit” button (Figure 8).

Note that CoRI will validate that all mandatory/required fields have been filled before saving and submitting the filing. *If there are mandatory/required fields that were not filled, CoRI will prompt the user.*

Once the form has been successfully submitted, the user will be redirected to licensee details screen as shown in section **Error! Reference source not found.** of this document.

2.5.5 Sign Filing

In order to complete submissions, filings need to be digitally signed by authorized signatories based on the requirements of the filing and applicable regulation(s).

Authorized signatories are assigned based on the registered licensee information the Commission has on file. If you require any updates to your authorized signatories or any additional information, please contact your Supervision Officer.

To digitally sign a filing, navigate to the *Filings* page and click the “Sign Filing” Button () in the “Actions” column (Figure 6). A dialog box will be displayed prompting you to enter your PIN.

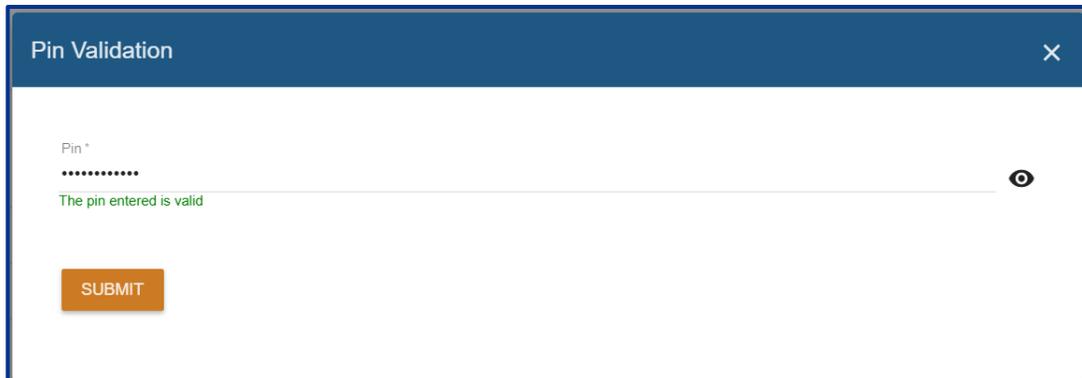


Figure 9: PIN Validation

Note: If you have not yet setup your PIN, a prompt will be displayed indicating that the filing cannot be signed.

Enter your PIN and press the “Submit” button to digitally sign the filing.

Note: Some filings may require digital signatures by more than one authorized signatory. Therefore, the filing status will remain as “Awaiting Signature” until the filing is digitally signed by all required signatories.

2.5.6 View and Download Filings and Attachments

On the *Filings* page, completed filings and their respective attachments can be viewed by clicking the “Visibility” button (👁) (Figure 6).

In order to download a PDF version of the filing, click on the “PDF” button (📄) in the “Actions” column (Figure 6). This downloads a PDF copy of the form (Figure 9).

 Poinciana House - North Building 2nd Floor
31A East Bay Street
P.O. Box N-8347
Nassau, The Bahamas

Company Application
Regulation: Company Application
Date Uploaded: 11/09/2020

Name of Registered Person: John Doe
Address: Number, Address, Street, City
Email Address: email@emailaddress.com
Telephone Number: 12345678
Fax Number: 12345678
Registration Category: Managing Securities
Details of Changes Giving Rise to Notice: Details of changes

Name: Name
Business Telephone Number: 12345678
Email Address: email@address.com
Date: 01/01/2020
E-Signature: 123

Figure 10: Generate PDF

Attachments can be viewed by clicking the “Attachments” button (📎). In order to download attachments, click the download button (↓).

Name	Actions
Application for Registration as a Registered Firm (24).pdf	
Checklist for an Extension to file Audited Financial Statements.pdf	
Application for Registration as a Registered Firm (22).pdf	

Figure 11: View Attachments