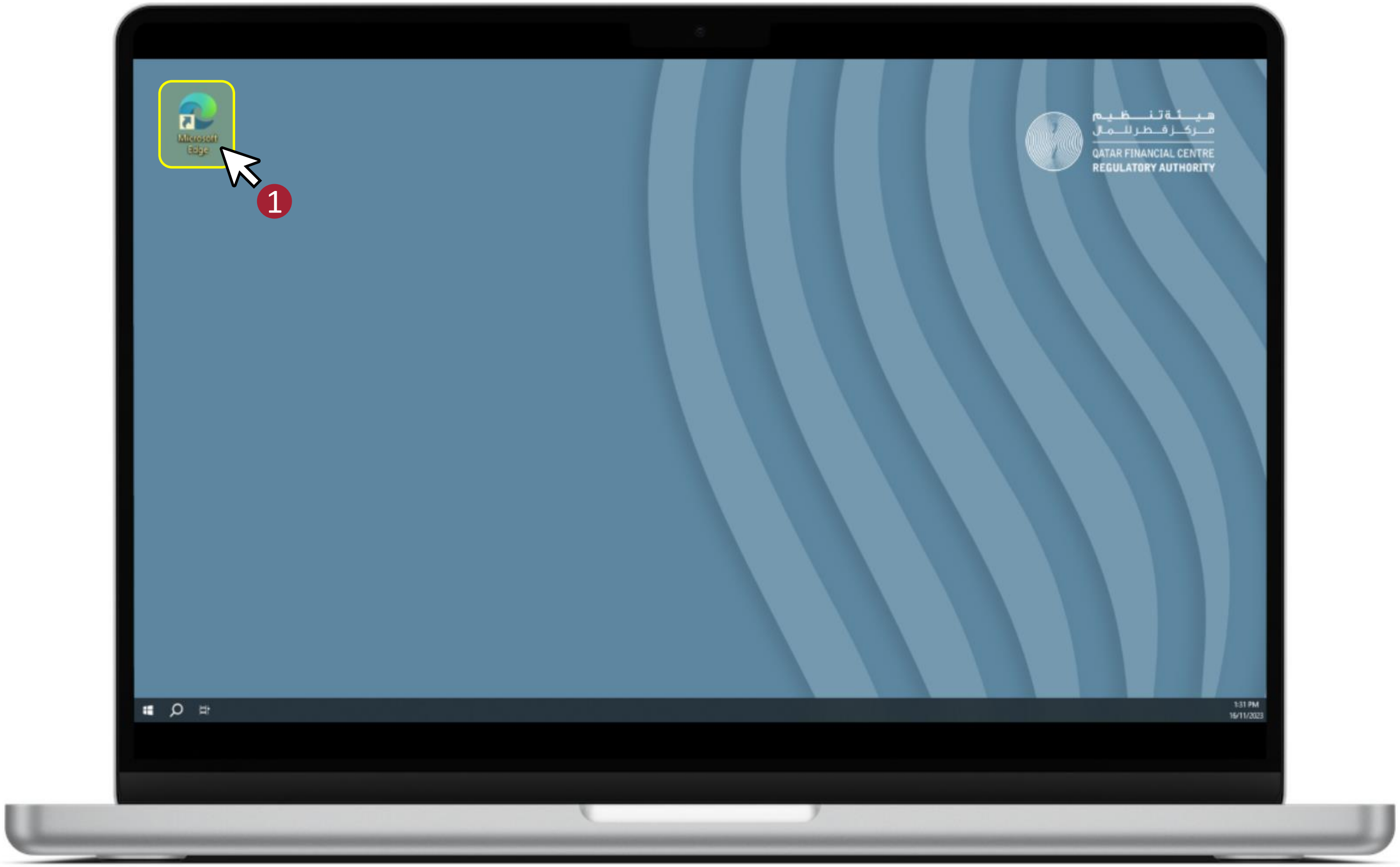
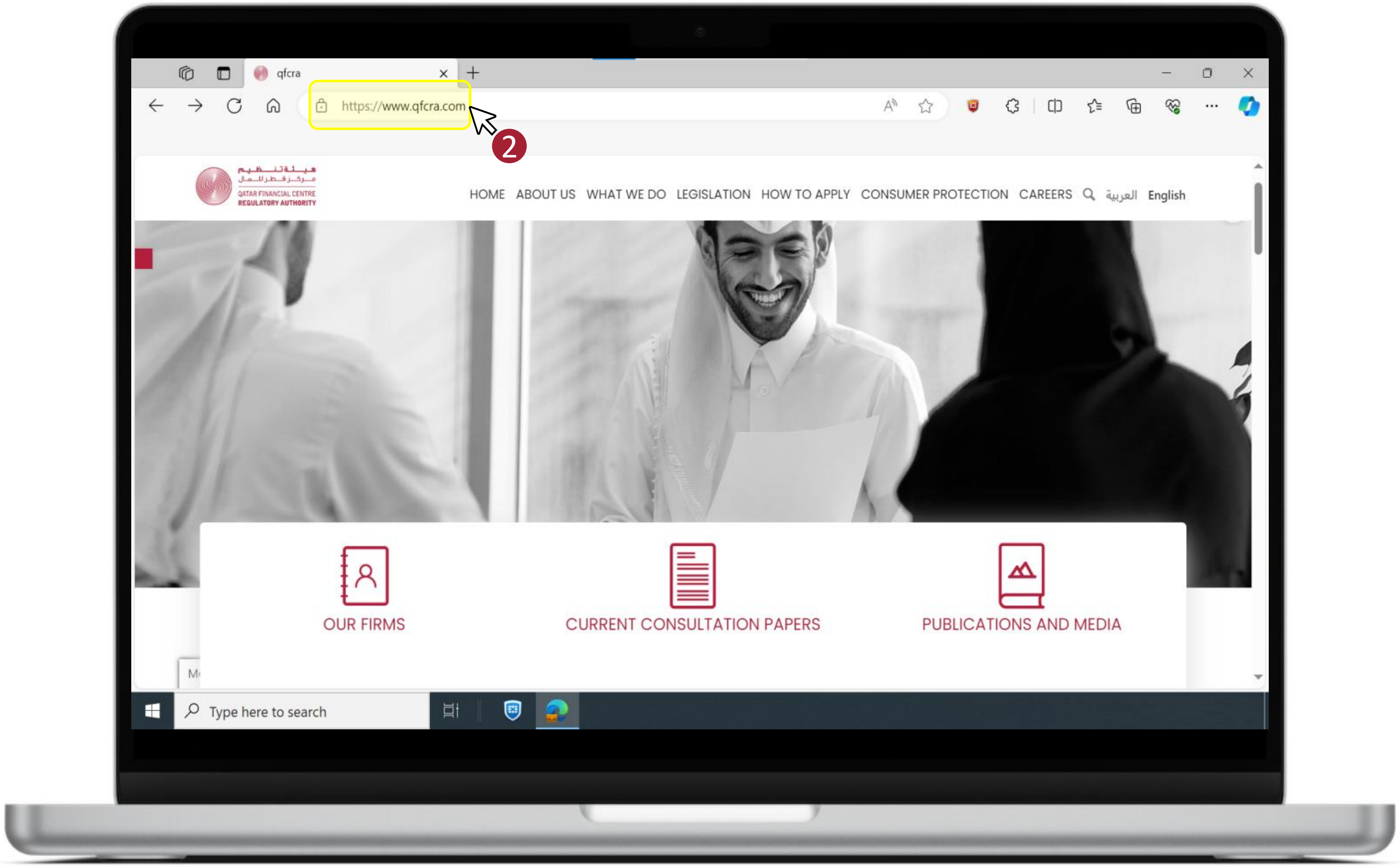
Accessing the Form Q27 AML/CFT Return

1. Open your web browser



2. Go to **www.qfcra.com**



هيئة تنظيم مركز قطر للمال
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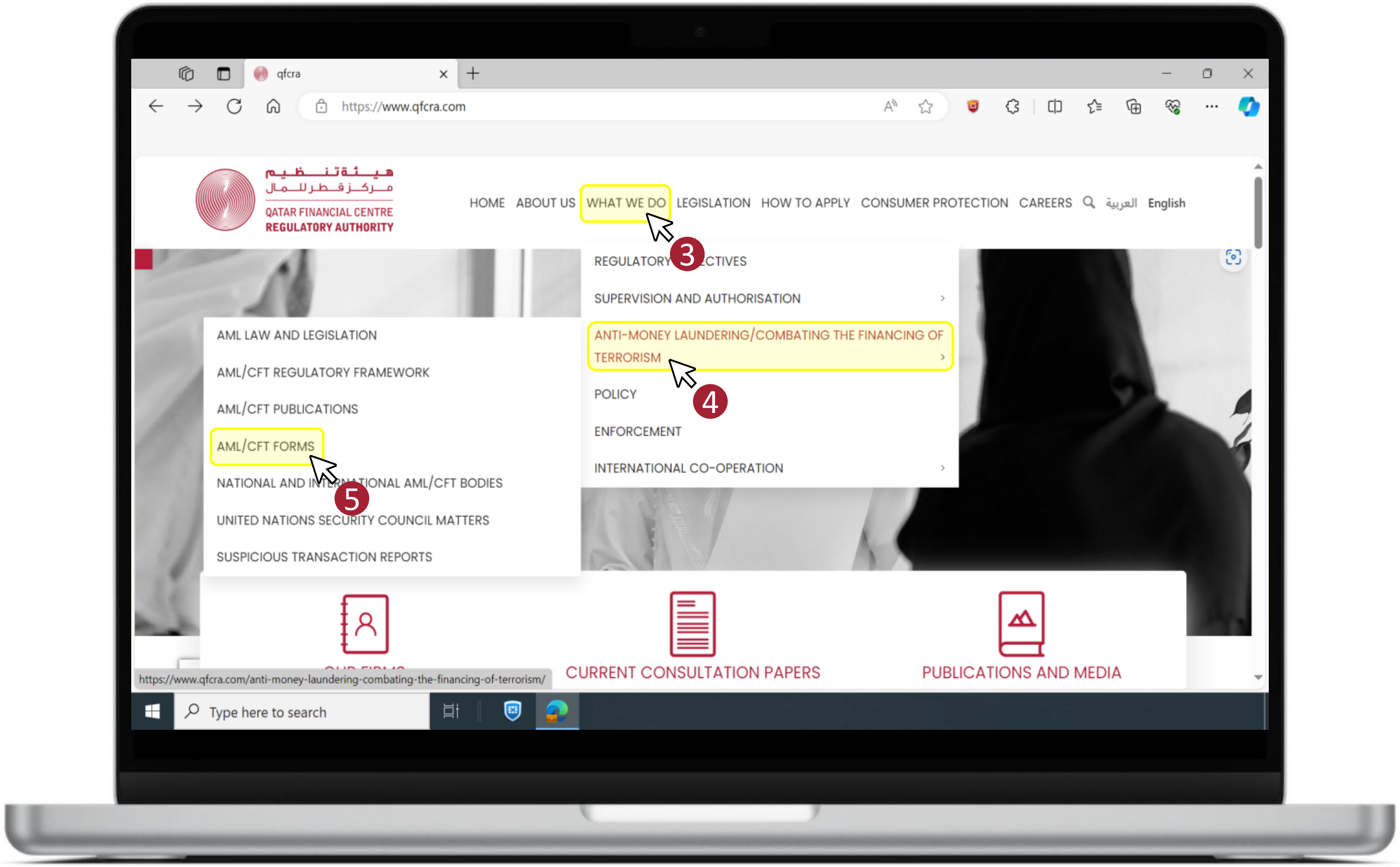
3. Go to **WHAT WE DO**

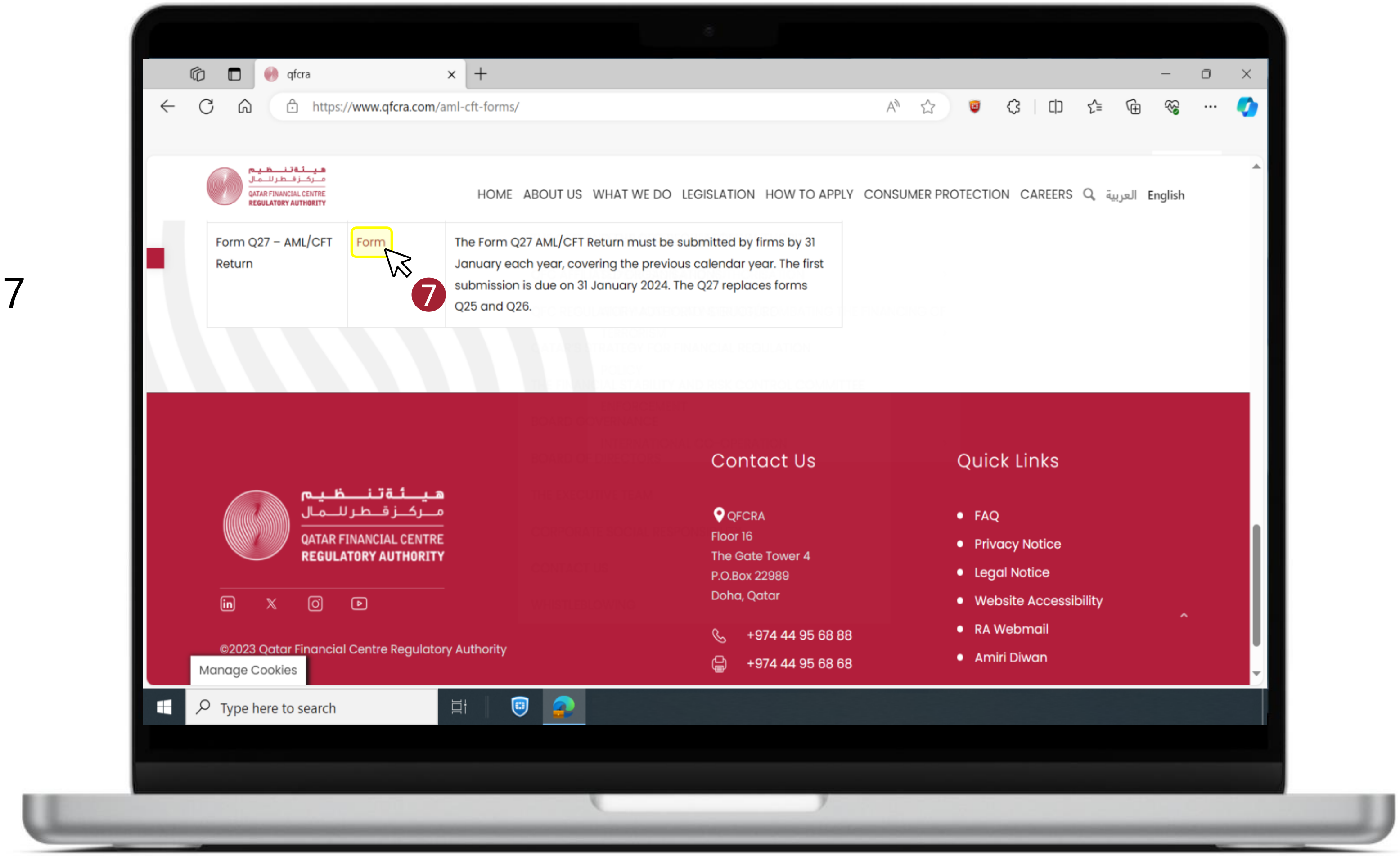
4. Select
   ANTI-MONEY LAUNDERING/ COMBATING THE FINANCING OF TERRORISM

5. Select **AML/CFT FORMS**

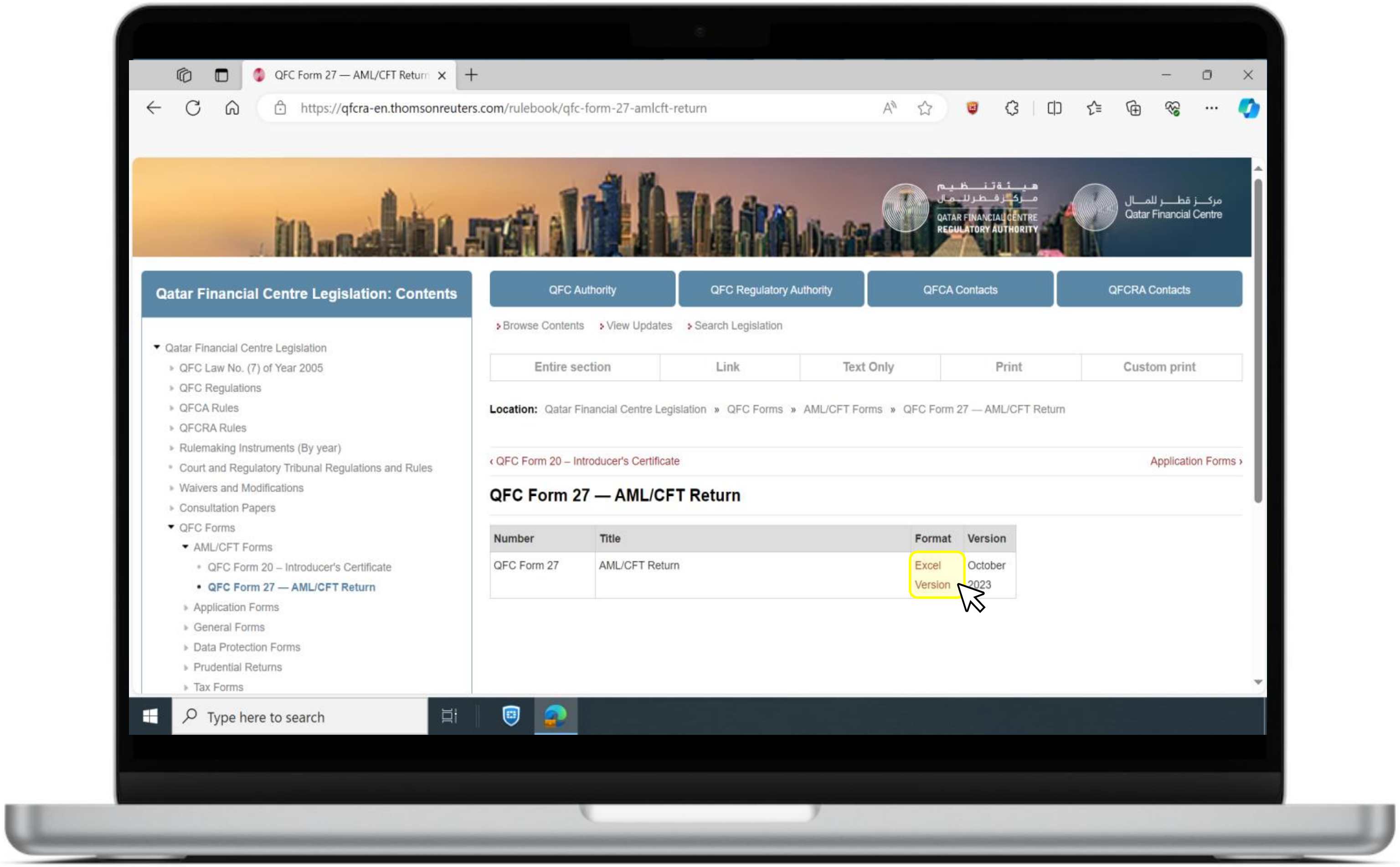


6. Scroll down to end of the page to find Form Q27

7. Click **Form**

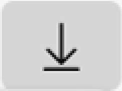


8. Click **Excel Version**

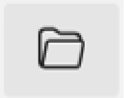


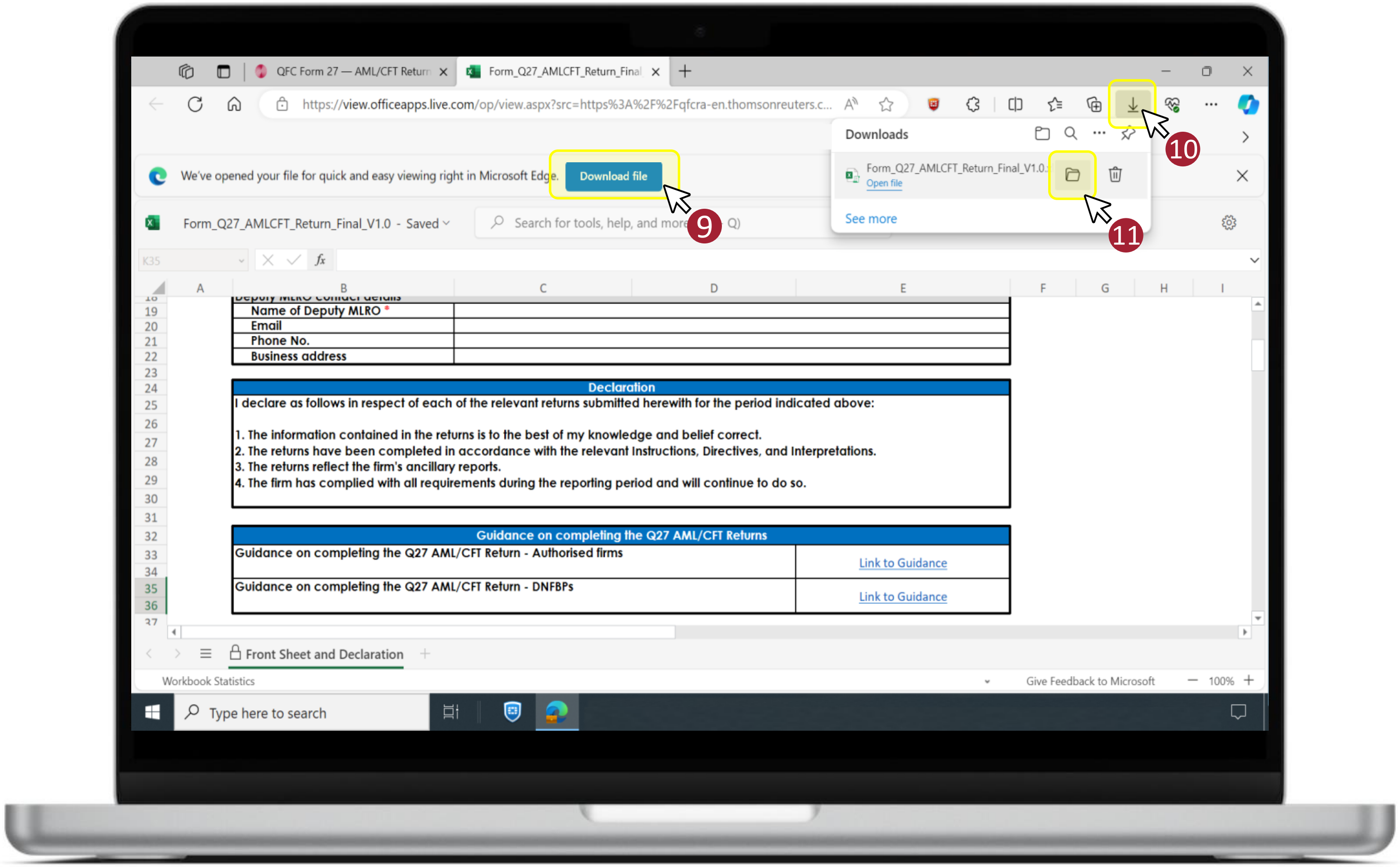
9. Click **Download File**

10. Go to your Downloads



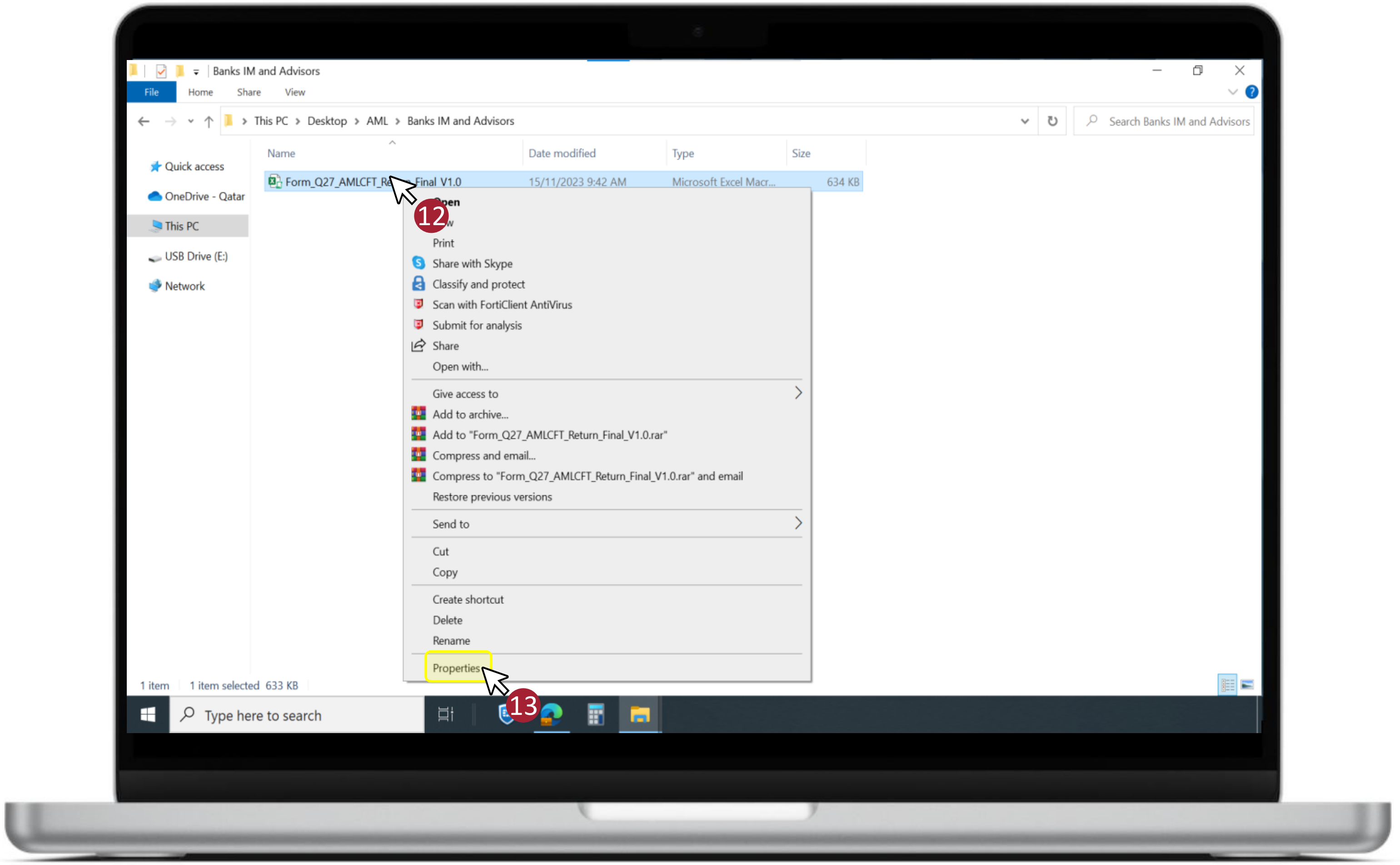
11. Open file location of saved Form Q27



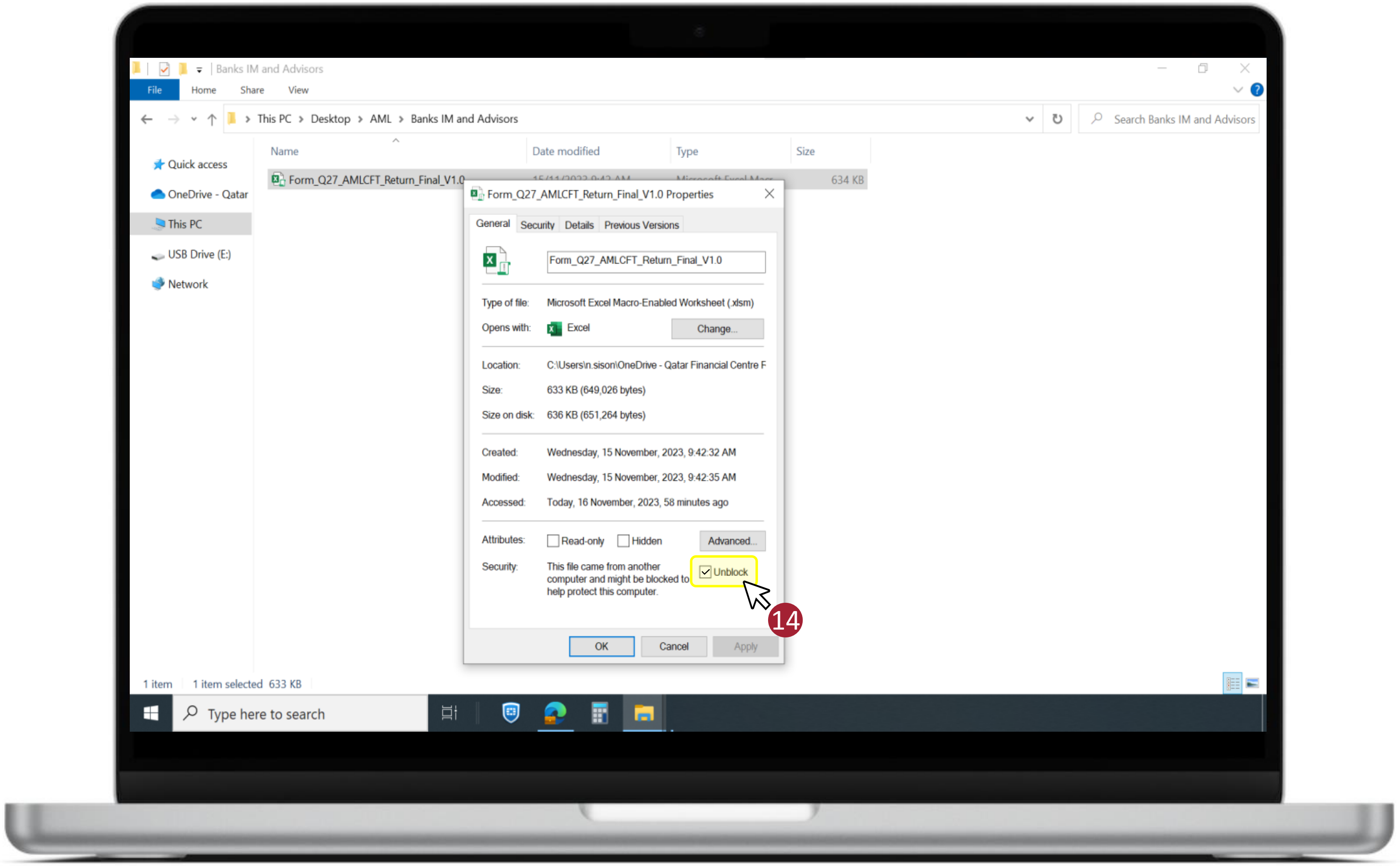


12. Right click on the downloaded file

13. Click **Properties**



14. Click **Unblock**



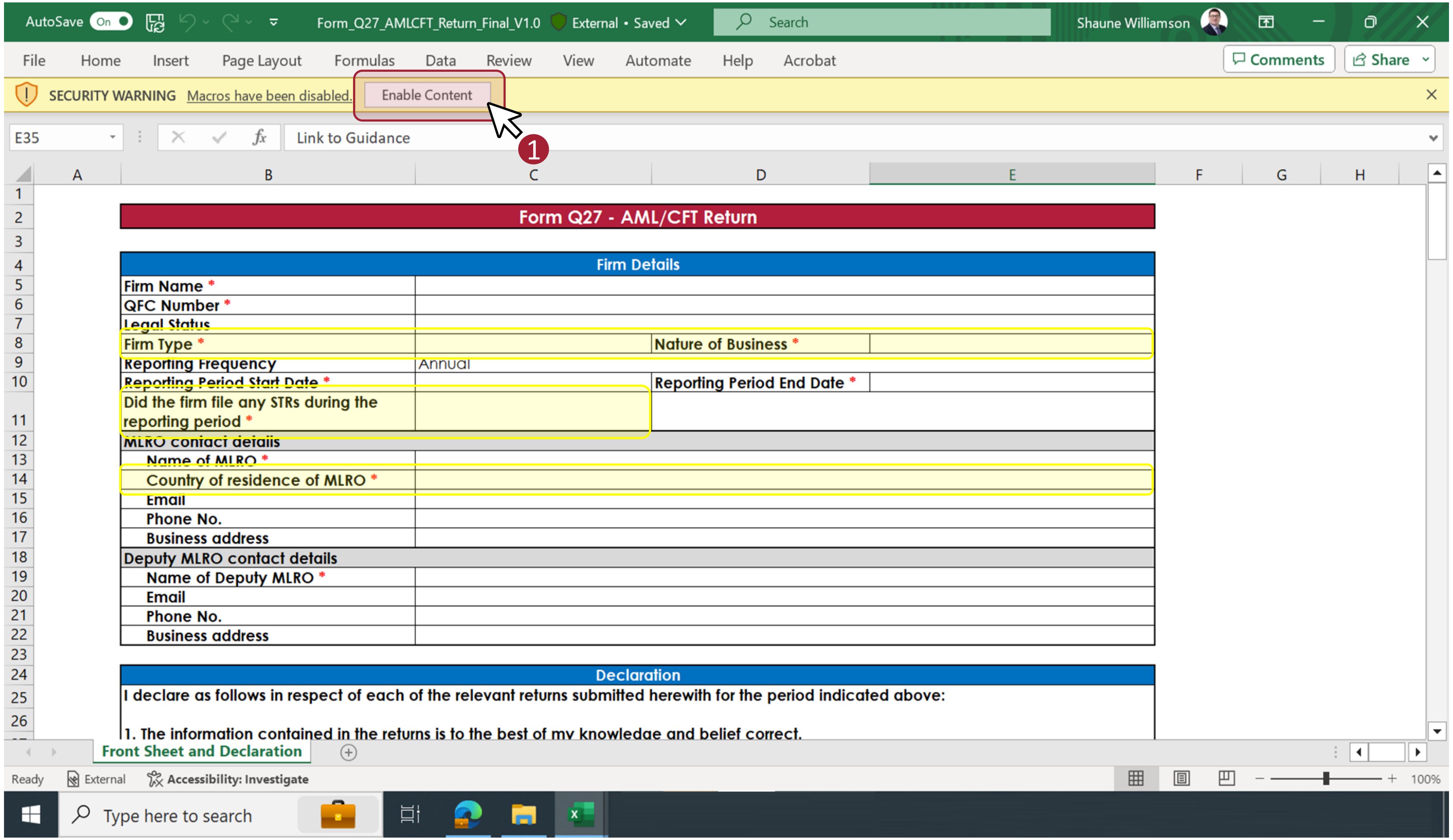
Opening the Q27 and creating the required sheets

Opening the Q27 and creating the required sheets

1. Click **Enable Content**

2. Fill out the front sheet

3. The responses to the questions highlighted in yellow will create all the required sheets in the Q27, according to the nature of the firm's business



Opening the Q27 and creating the required sheets

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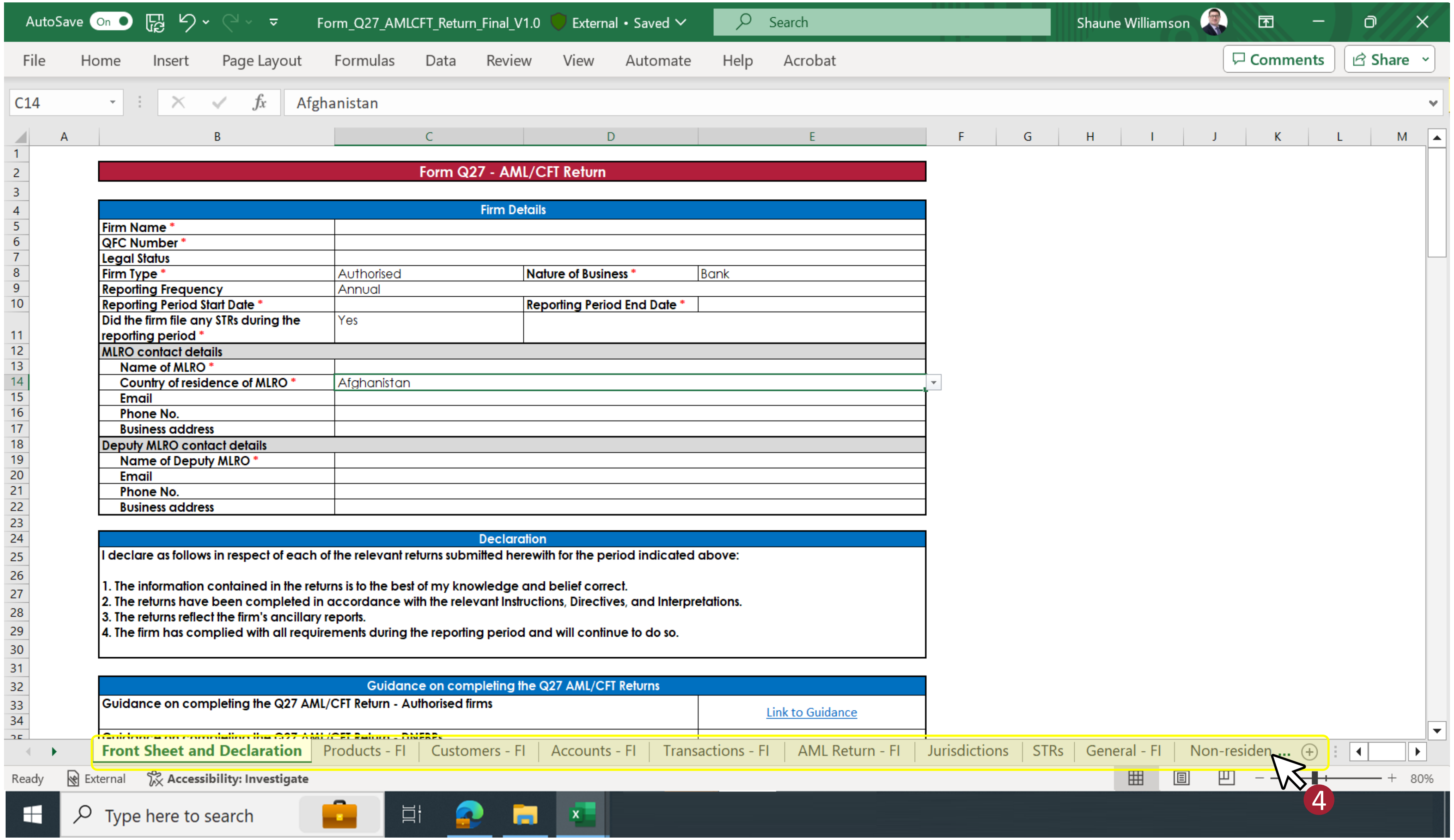
4. Fill out all the sheets



How to use the Guidance

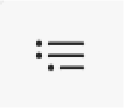
How to use the Guidance

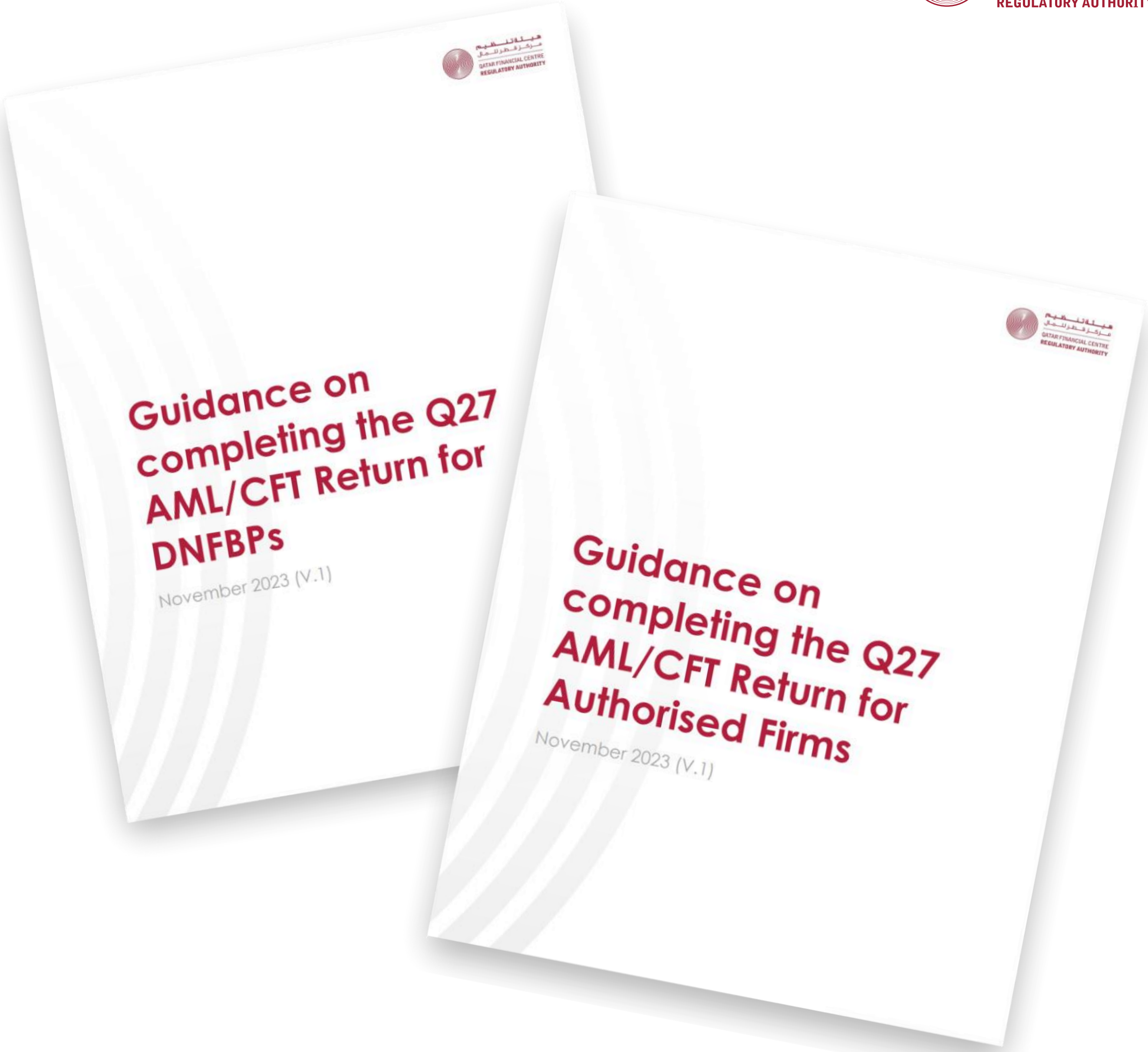
To access, use the links at the bottom of the front page of the Q27 or go to **www.qfcra.com/aml-cft-publications**

Table of Contents are all hyperlinked to corresponding sections in the guidance

To go back to Contents:

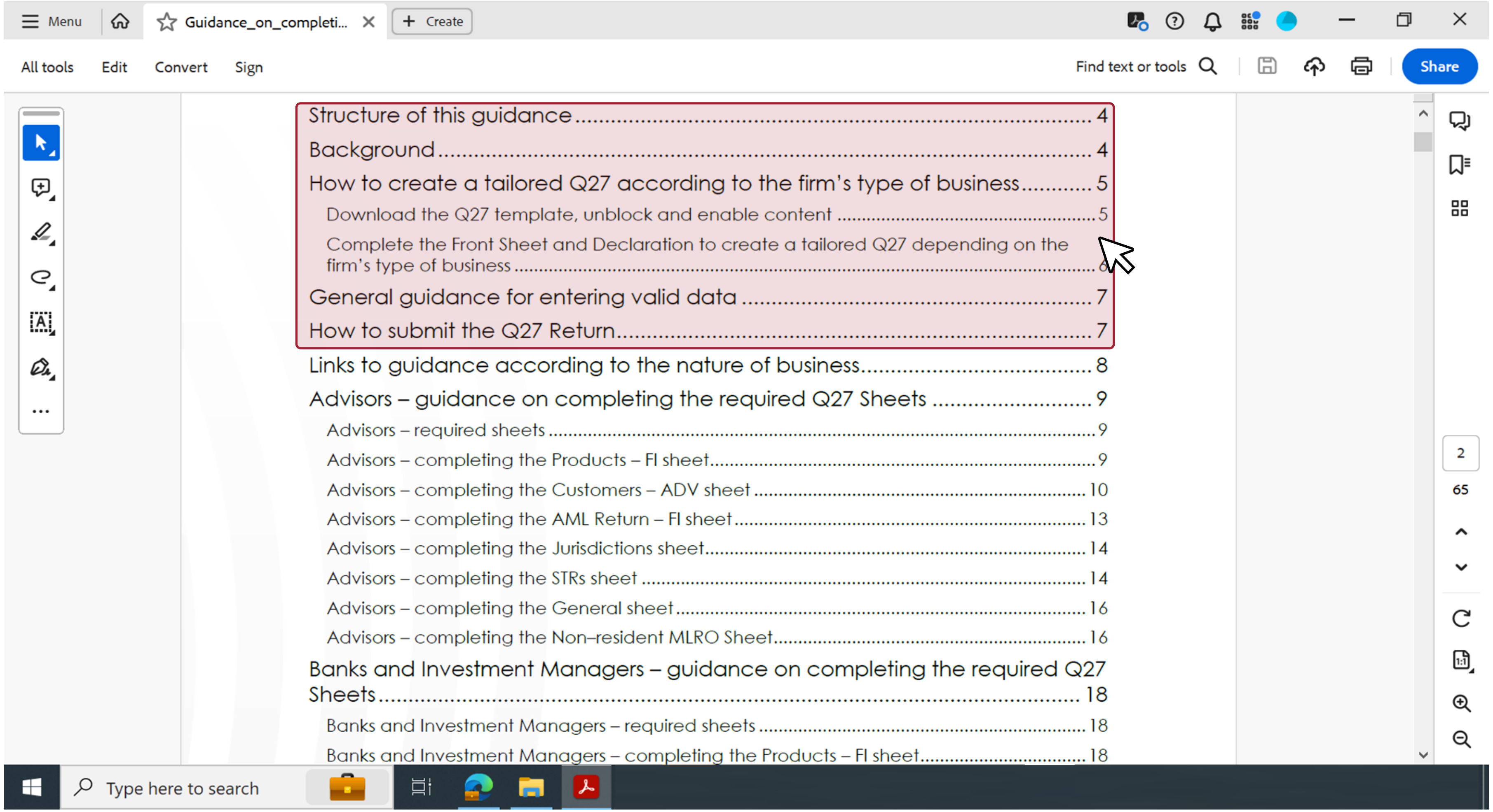
- If viewing on Adobe Acrobat, press CTRL + Home
- If viewing on web browser, find the following button on left side corner





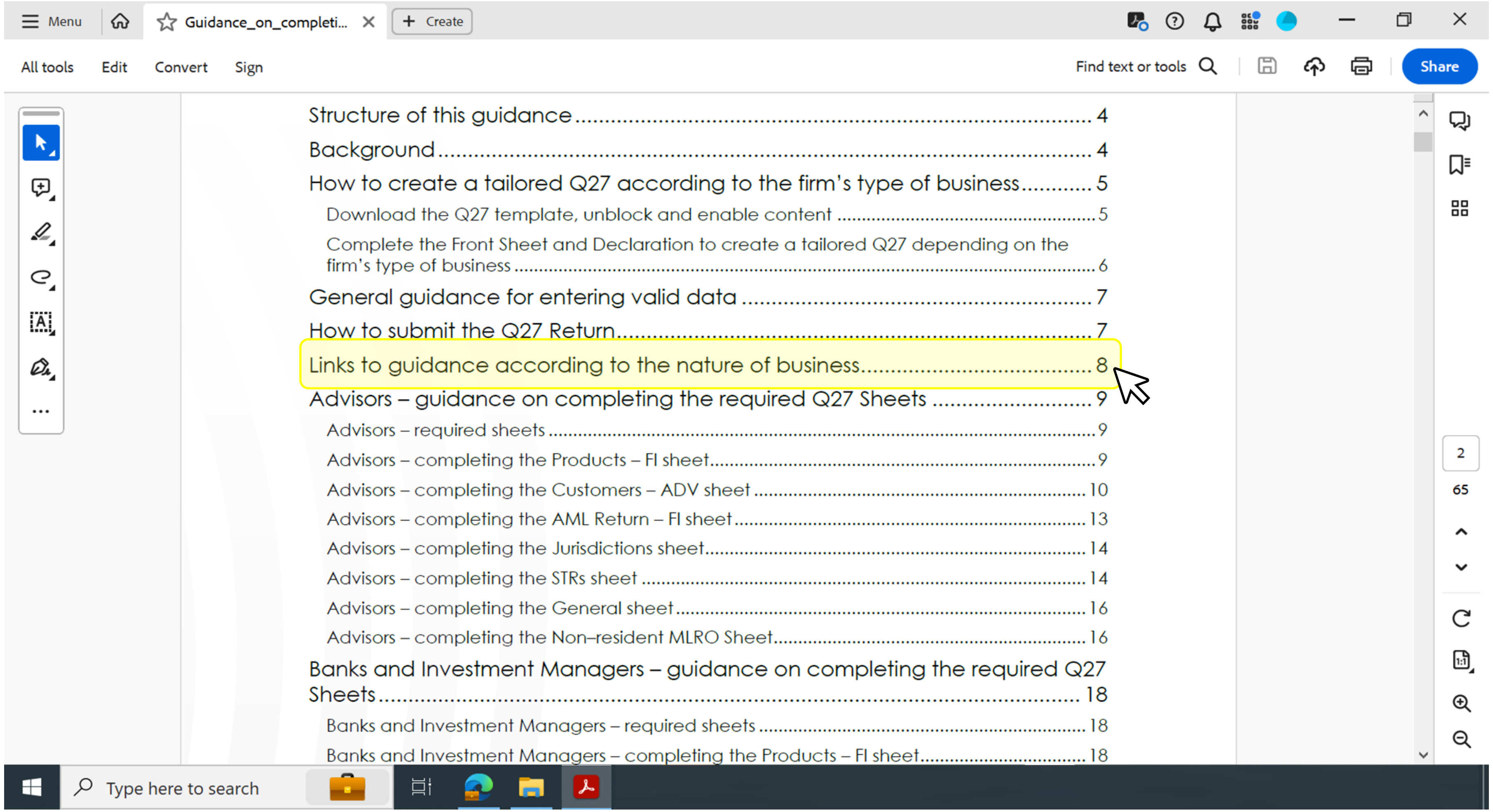
How to use the Guidance

1. Open the Guidance that applies to you
2. Scroll down to table of **Contents**
3. Highlighted in red are the **Introductory Sections** that are relevant to all natures of business



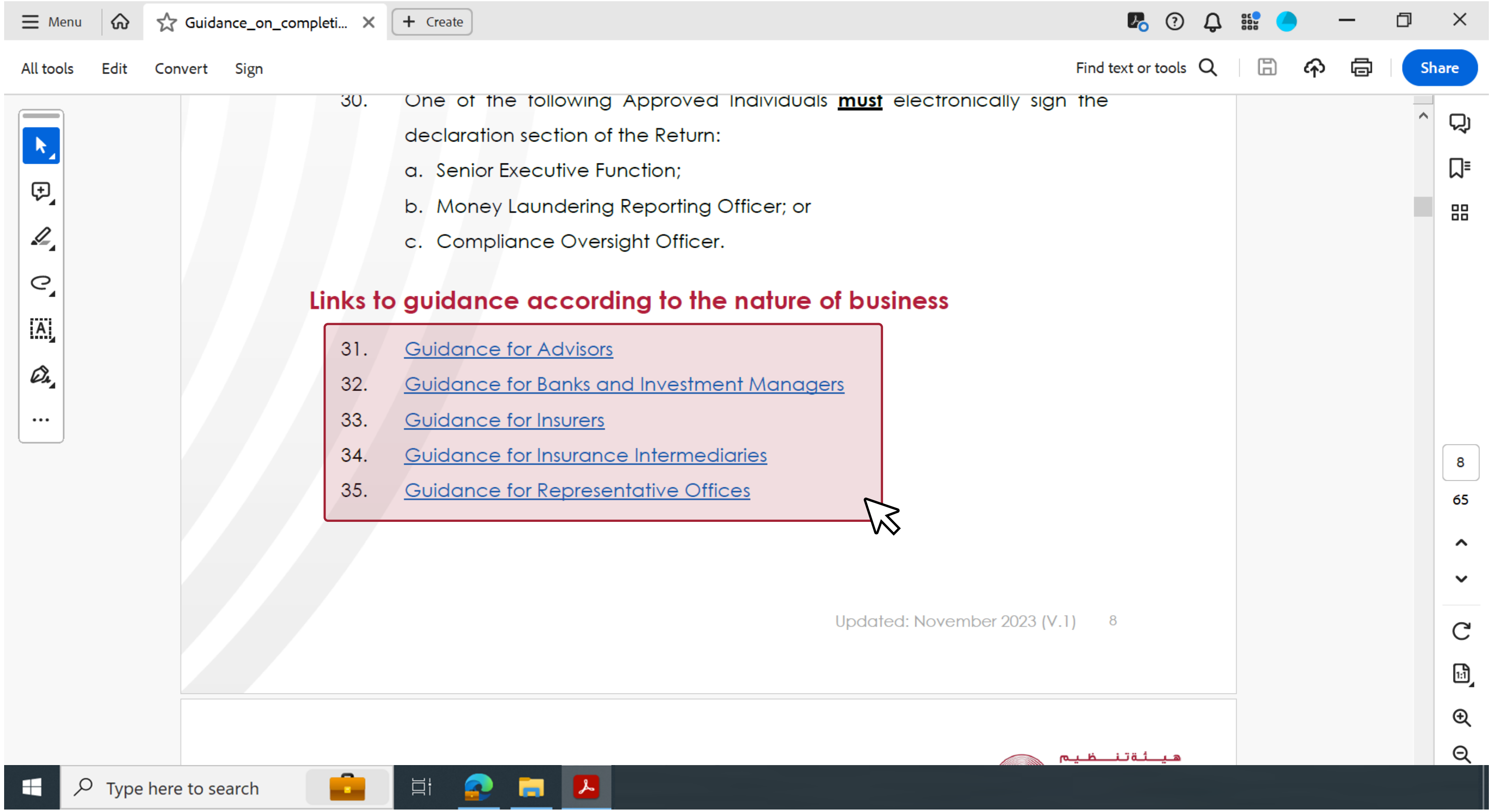
How to use the Guidance

4. Click **Links to Guidance according to the nature of business**



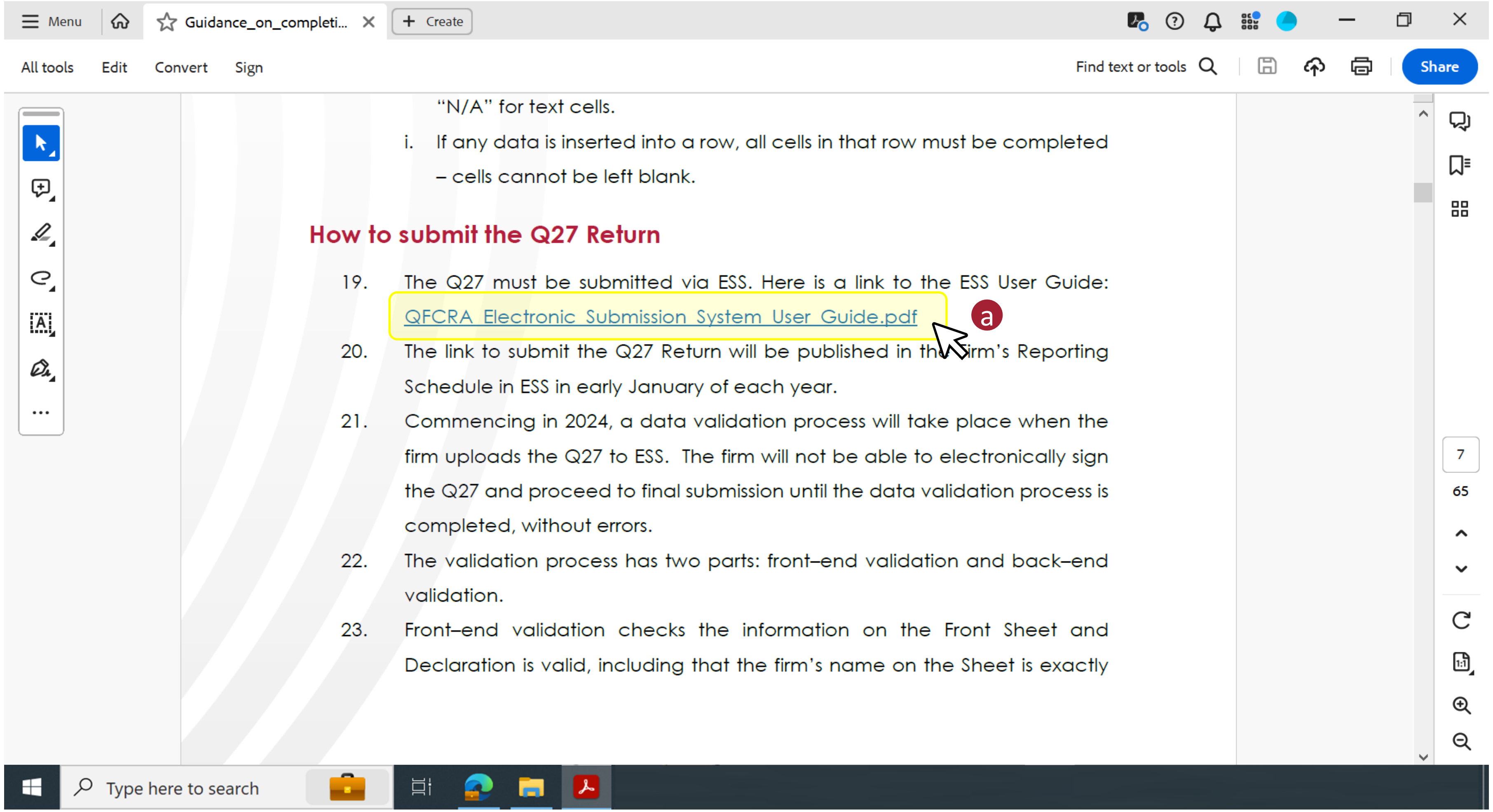
How to use the Guidance

5. Click the **Guidance link** that applies to you



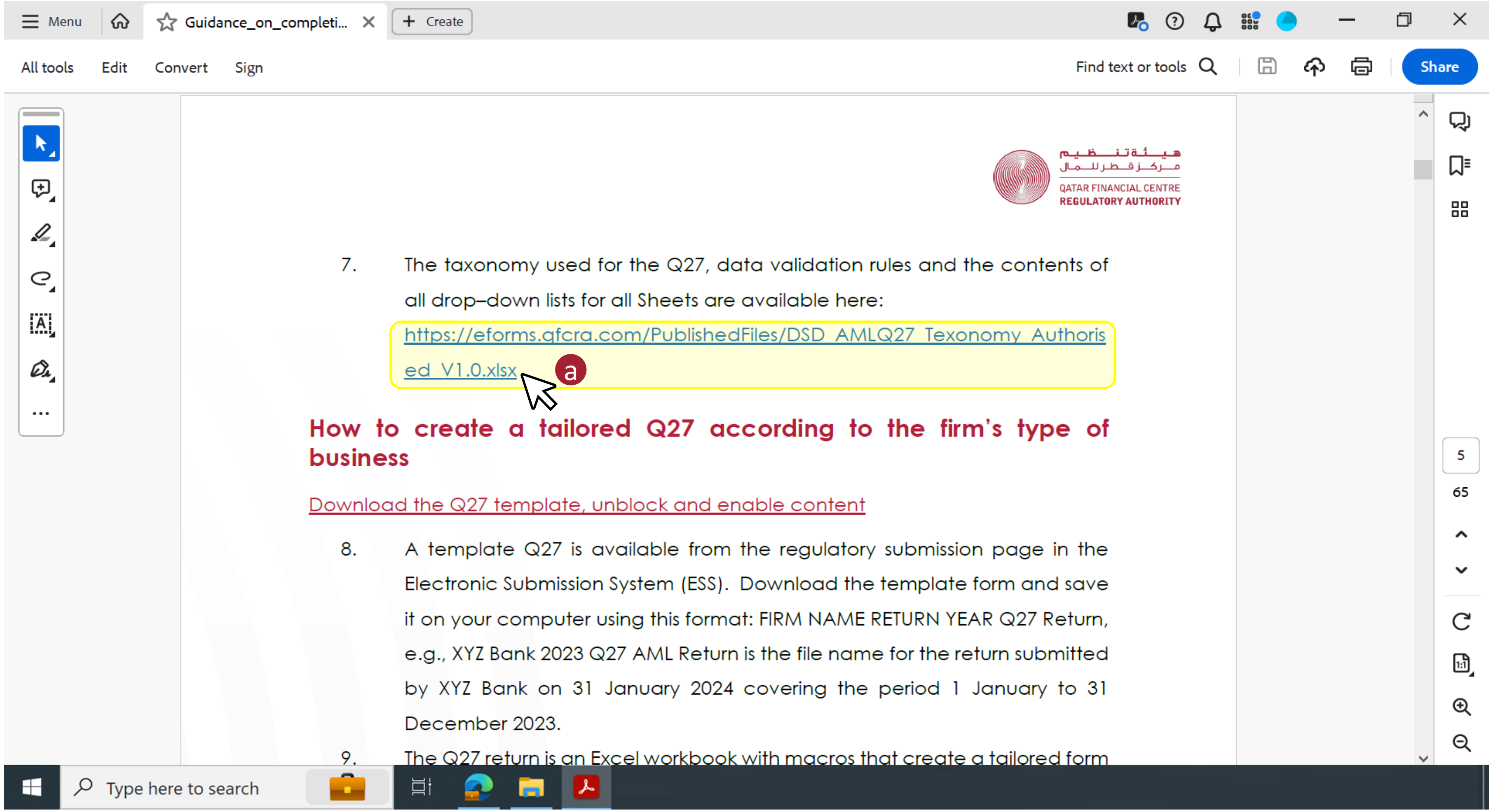
Helpful links in the Guidance

a. Click this link to view the ESS guide



How to use the Guidance

a. The taxonomy document may assist firms that wish to automate their Q27 process



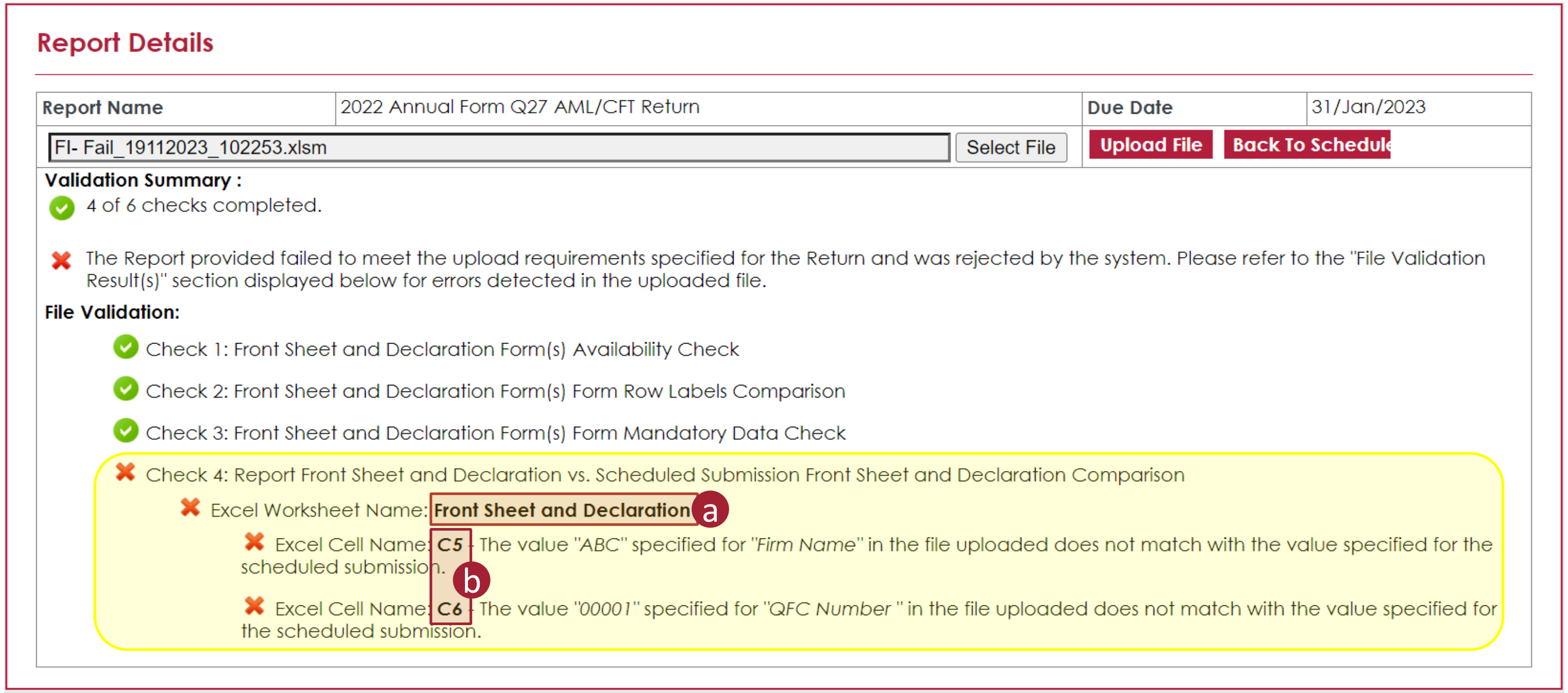
Validation Process

Front-end Validation Fail

- Upon uploading the filled out Q27 in ESS, a validation process will run.

- The first step involves front-end validation, which confirms the accuracy of information on the front sheet and checks for the inclusion of all required sheets.

- If front-end validation fails, firms will promptly receive a report in ESS.

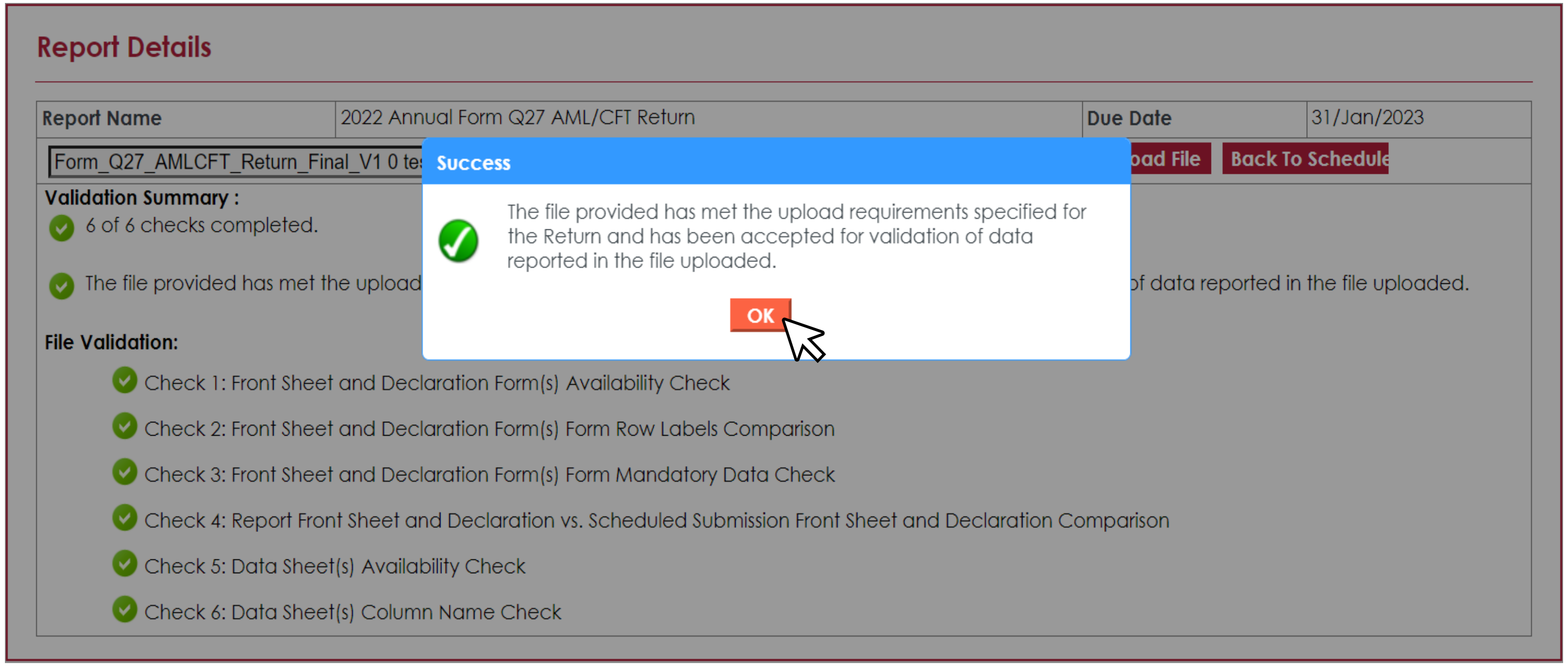


a. Sheet name where error is *b. Cells where errors are*

Front-end Validation Pass

- This dialogue box indicates the successful completion of front-end validation.

- The system will proceed to initiate back-end validation.



File Uploaded

- The file has been uploaded and back-end validation* is pending.

** Back-end validation compares data across sheets, ensuring completeness and consistency in the information.*

Report Schedule

Report Schedule for : 01/Jan/2023 to 31/Dec/2023

Reporting Schedule Details					
Reporting Schedule Start Date	01/Jan/2023	**Reporting Schedule End Date**	31/Dec/2023	**Financial Year End**	31/December

Reporting Schedule from 01/Jan/2023 to 31/Dec/2023

Reports to be submitted

To submit a report, attach file by clicking on Attach File and then click on Submit

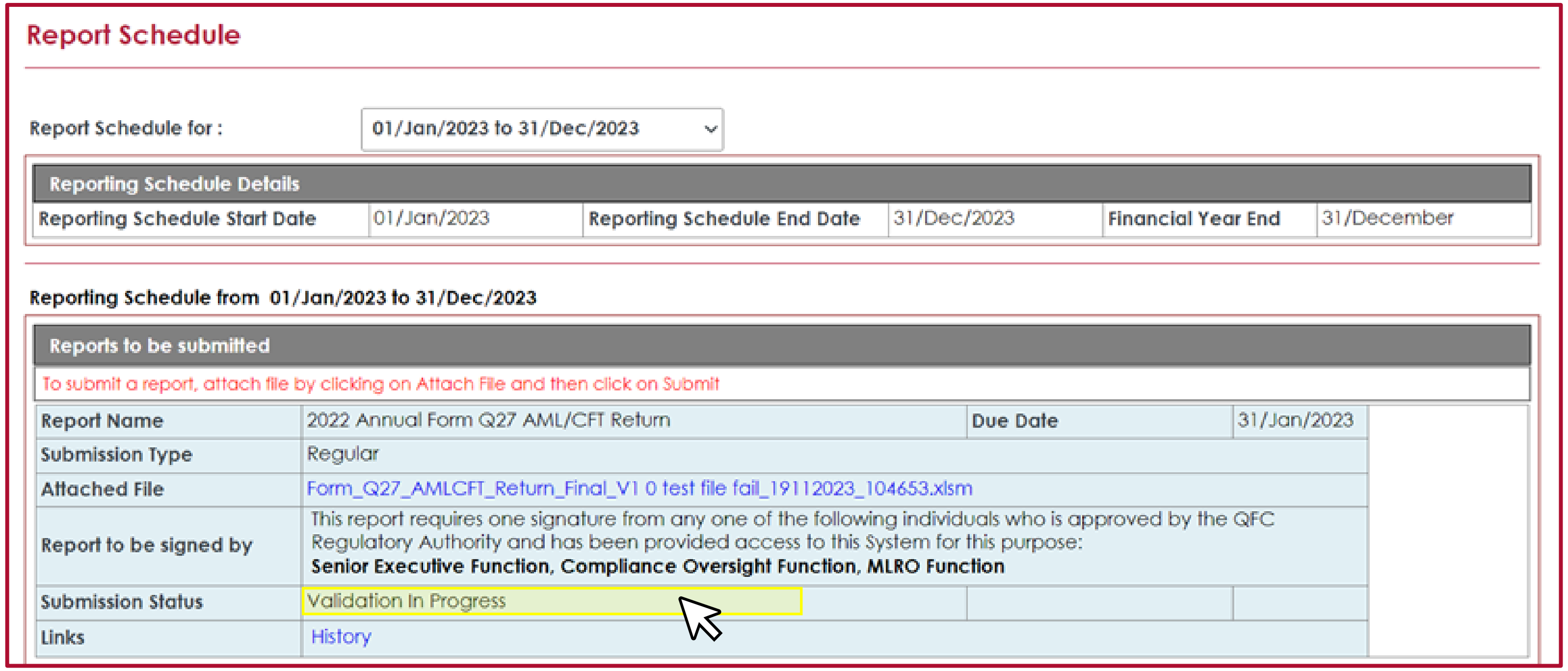
Report Name	2022 Annual Form Q27 AML/CFT Return	**Due Date**	31/Jan/2023
Submission Type	Regular		
Attached File	Form_Q27_AMLCFT_Return_Final_V1 0 test file fail_19112023_104653.xlsm		
Report to be signed by	This report requires one signature from any one of the following individuals who is approved by the QFC Regulatory Authority and has been provided access to this System for this purpose: **Senior Executive Function, Compliance Oversight Function, MLRO Function**		
Submission Status	File Uploaded and Validation Pending		
Links	History		

Back-end Validation in Progress

- Back-end validation is now in progress.

**The back-end validation process might take some time due to its complexity.*

**Firms might consider logging out of ESS until they receive an email notification confirming the completion of the back-end validation.*



Report Schedule

Report Schedule for : 01/Jan/2023 to 31/Dec/2023

Reporting Schedule Details

Reporting Schedule Start Date	01/Jan/2023	Reporting Schedule End Date	31/Dec/2023	Financial Year End	31/December

Reporting Schedule from 01/Jan/2023 to 31/Dec/2023

Reports to be submitted

To submit a report, attach file by clicking on Attach File and then click on Submit

Report Name	2022 Annual Form Q27 AML/CFT Return	Due Date	31/Jan/2023
Submission Type	Regular		
Attached File	Form_Q27_AMLCFT_Return_Final_V1 0 test file fail_19112023_104653.xlsm		
Report to be signed by	This report requires one signature from any one of the following individuals who is approved by the QFC Regulatory Authority and has been provided access to this System for this purpose: **Senior Executive Function, Compliance Oversight Function, MLRO Function**		
Submission Status	Validation In Progress		
Links	History		

Email Advising Validation Failed

QFC Regulatory Authority - Electronic Submission of 2022 Annual Form Q27 AML/CFT Return

Please find the status of your submission for 2022 Annual Form Q27 AML/CFT Return and subsequent action(s) requested below:

Submission Name	: 2022 Annual Form Q27 AML/CFT Return
Submission Due Date	: 31/Jan/2023
Validation Completed Date	: 17/May/2023 02:24 PM
Validation Status	: Validation failed with system generated errors.
Action Requested	: You are requested to correct the errors and submit the file again. To view the errors, please login to the QFCRA Electronic Submission System and navigate to the Reporting Item.

- This is a sample of an email firms will receive when back-end validation is complete, outlining any identified errors.
- Firms are required to access ESS and download the validation report, detailing all identified errors.

Back-end Validation Report

- The sample back-end validation report to the right specifies error locations, guiding firms on areas that require correction.

- Once all validation errors have been rectified, re-upload the revised Q27 to ESS.

Data Validation Results

Data Validation Summary

- Data Validation Failed. File Rejected. Please refer to the validation result(s) displayed below for errors detected in the data reported.

Data Validation Result(s)

1. **Excel Sheet Name :** Customers - FI

1.1. **Data :** "Type of Customer" Column: (B4)

1.1.1. **Rule (TER000030) :** The Type of Customer listed in the Customers sheet should be the same as the Type of Customer in the Accounts sheet

Result of Evaluation : FAILED

Comments :

Financial Institution is/are not specified in the *Type of Customer* Column : (B4) of Accounts - FI sheet.

1.2. **Data :** Data is not reported in some of the column(s)

1.2.1. **Rule (TER000063) :** If some data is reported in one or more cells in a row, then every cell in that row needs to be completed

Result of Evaluation : FAILED

Comments :

Excel Row Reference: *[5]*:
- Excel Cell Reference: [E5] - The value is not reported.

Excel Row Reference: *[6]*:
- Excel Cell Reference: [E6] - The value is not reported.

Sheet name
Column name
Rule
Details of error
Problem in multiple columns
Rule
Cell reference
Details of error

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REGULATORY AUTHORITY

Validation Errors Corrected – upload Q27 again

- Upon uploading the revised Q27, the validation process will recommence.

- Should additional errors arise, a validation error report will be generated, and firms must rectify these errors and re-upload Q27 to ESS.*

Report Schedule

Report Schedule for : 01/Jan/2023 to 31/Dec/2023

Reporting Schedule Details					
Reporting Schedule Start Date	01/Jan/2023	Reporting Schedule End Date	31/Dec/2023	Financial Year End	31/December

Reporting Schedule from 01/Jan/2023 to 31/Dec/2023

Reports to be submitted

To submit a report, attach file by clicking on Attach File and then click on Submit

Report Name	2022 Annual Form Q27 AML/CFT Return	Due Date	31/Jan/2023
Submission Type	Regular		
Attached File	Form_Q27_AMLCFT_Return_Final_V1 0 test file fail_19112023_104653.xlsm		
Report to be signed by	This report requires one signature from any one of the following individuals who is approved by the QFC Regulatory Authority and has been provided access to this System for this purpose: **Senior Executive Function, Compliance Oversight Function, MLRO Function**		
Submission Status	Validation In Progress		
Links	History		

**This process will continue until the submitted Q27 is free of errors. Firms will then receive an email to log into ESS to electronically sign the final Q27. Once electronically signed, the Q27 will be uploaded, concluding the entire process.*