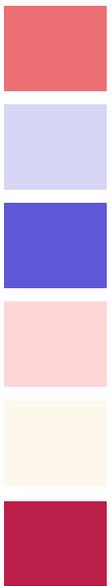


# User Manual

## Adjudication Submissions (FI)

Within this tutorial, we will take a look at how you can...



1

MAKE THE 1ST SUBMISSION & WHAT TO DO WHEN THE FIRST SUBMISSION IS RETURNED

3

2

MAKING 2<sup>nd</sup> SUBMISSIONS

8

✓

ACKNOWLEDGING SETTLEMENT AGREEMENTS

9

**1 MAKE THE 1ST SUBMISSION**

My Cases

All Active Cases ▾  🔍

Case Number	Nature of Complaint	Complainant	Financial Institution	Case Manager	Sub Status	Due Date [FI]	Created On ↓
2021/1245	Exceeds FIDReC-NIMA Scheme	P	PFI		Pending 1st Submission - FI	18/06/2021	02/06/2021 6:15 PM

Home > 2021/1245 Export

Section 1 - Case Overview

<b>Case Number</b> 2021/1245	<b>Case Manager</b>
<b>Financial Institution</b> PFI	<b>Case Status</b> Pending 1st Submission - FI
<b>Complaint Date</b> 02/06/2021	<b>Complainant *</b> P

**Section 5 - Adjudication** ▲

Pre-Adjudication Declaration

Pre-Adjudication Declaration Form - 15/10/2021 5:16 PM

- 1** Under the **My Cases** section, the case your Case Manager has updated should have the **Sub Status: "Pending 1<sup>st</sup> Submission – FI"**.
- 2** Scroll down to **Section 5 – Adjudication** and click on the dropdown arrow to open the section. Click on the **Pre-adjudication Declaration form**.

# 1 MAKE THE 1ST SUBMISSION

Representatives

Add up to two Representatives from your Company. ⓘ

Select Representatives

Representative 1

LOGAN UAT

Representative 2

ABEL UAT

## Summary of Representation and Submissions

Please provide details on any further submissions that you wish to include.

This is the summary of representation

## Witness

Do you need to call upon any witness? ⓘ

- Yes
- No

## Accept T&Cs

- I confirm that I have read, understood and agree to ALL of the [Terms and Conditions](#). \*
- I confirm that I have read, understood and agree to the [Adjudication agreement and procedure](#). \*

Submit

3 Add up to 2 **representatives** from your **current active members** on the FIDReC portal.

4 Input the **summary of your representation** and a **description of your submission**.

5 Finally, decide whether you will need to add a **witness** and then click '**Submit**'. Once you've submitted the form, you will be brought back to the case details page.

**1 MAKE THE 1ST SUBMISSION**

Witness

Do you need to call upon any witness? ⓘ

Yes  
 No

Select existing Witness   Add Witness

Name of Witness \*   Contact Number \*  
Provide a telephone number

NRIC / FIN / Passport No   Correspondence Address

Occupation   Email Address

Please state the relationship of the witness with your FI ⓘ

\* Your witness must sign a confidentiality agreement in order to be included as a related party in your claim. Please download the Confidentiality Agreement [here](#) and include the signed copy in your submission.

Submit

Full Name ↑	Relationship	Created On
FI WITNESS 1	Witness	15/10/2021 5:46 PM

**6** To **add a witness** answer 'Yes' to the question on the pre-adjudication declaration form and then click **'Add Witness'**.

**7** Complete the form that is presented to you and click **'Submit'**.

**8** Your newly added witness will appear in the table on the form, displaying the **Full Name**, **Relationship** and **Created on** date of the witness.

**1 MAKE THE 1ST SUBMISSION**

**Upload Documents - Please upload all your documents** ⓘ

Please select the documents that you would like to include in your First Submission by indicating the order in which you would like to submit them in the First Submission column. If you do not wish to submit the document, please leave the option as None.

[Add Document](#)

First Submission	Document Name ↑	Document Type	Uploaded By	Created On	
None	Document 1	Confidentiality Agreement	CM	09/10/2021 12:58 PM	
None	▼ IR	Investigation Report	FI	09/10/2021 1:03 PM	
None	New document from 365	Confidentiality Agreement	FIDReC	09/10/2021 1:10 PM	

9

In the **Upload Documents** section and click [Add Document](#). The **Add Document** window will appear.

10

Fill in the document name and select **First Submission** in the **Type of Document** dropdown field. Click [Choose File](#) to select and upload a supporting document for your **First Submission**. Click [Submit](#).

**Document Name \***

**Type of document \***

**Can this document be shared with complainant**

Please Select the File that you would like to upload. Do make sure to upload the files relevant to type of document that you have selected. \*

[Choose File](#) First Submission.docx

[Submit](#)



**Some helpful tips:**  
 You can learn the type of documents you can upload by hovering your cursor over the ⓘ icon beside the phrase **Upload all your documents**.

1

MAKE THE 1ST SUBMISSION

**Upload Documents - Please upload all your documents** ⓘ

Please select the documents that you would like to include in your First Submission by indicating the order in which you would like to submit them in the First Submission column. If you do not wish to submit the document, please leave the option as None.

[Add Document](#)

First Submission	Document Name ↑	Document Type	Uploaded By	Created On	
None	Document 1	Confidentiality Agreement	CM	09/10/2021 12:58 PM	
1	First Submission	First Submission	FI	17/10/2021 10:14 AM	
2	IR	Investigation Report	FI	09/10/2021 1:03 PM	
None	New document from 365	Confidentiality Agreement	FIDReC	09/10/2021 1:10 PM	

11

The document you uploaded should now appear on the **Document** row. Select the appropriate number under the **First Submission Column** to determine the order the documents are to be reviewed by the case manager.

12

[Submit](#)

Click [Submit](#) to complete the **First Submission**. A success message will be displayed.



**Some helpful tips:**

Only documents that you have submitted will be available for first submission. Documents shared by the CM and FIDReC cannot be submitted.

**Upload Documents - Please upload all your documents** ⓘ

Please select the documents that you would like to include in your First Submission by indicating the order in which you would like to submit them in the First Submission column. If you do not wish to submit the document, please leave the option as None.

**Mandatory Documents** ▼

**Timelines** ▼

[Submit](#)

[Export](#)

Submission completed successfully. x

## 2 MAKE THE 2ND SUBMISSION

My Cases

Cases Under Adjudication ▾

Search

Case Number	Nature of Complaint	Complainant	Financial Institution	Case Manager	Sub Status ↑	Due Date [FI]	Created On
2021/1554		Kok Chen 17	NAPIER AUDITORS	Service User01	Pending 2nd Submission	31/10/2021	09/10/2021 12:56 PM

1 Once your case manager has shared the CM's 1<sup>st</sup> submission with you, the case will be opened for 2<sup>nd</sup> submission. Cases will be given the sub-status '**Pending 2<sup>nd</sup> Submission**'.

First Submission	Second Submission	Document Name ↑	Document Type	Uploaded By	Created On
None	1 ▾	2nd submission	Second Submission	FI	17/10/2021 11:16 AM
None	None	Document 1	Confidentiality Agreement	CM	09/10/2021 12:58 PM
1	None	First Submission	First Submission	FI	17/10/2021 10:14 AM
2	None	IR	Investigation Report	FI	09/10/2021 1:03 PM
None	None	New document from 365	Confidentiality Agreement	FIDReC	09/10/2021 1:10 PM

Mandatory Documents ▾

Timelines ▾

Submit

2 2<sup>nd</sup> Submissions are **optional** and are for you to **respond to the CM's 1<sup>st</sup> submission**. The process for making 2<sup>nd</sup> submissions is identical to the 1<sup>st</sup> submission.

To submit documents for 2<sup>nd</sup> submission, upload any new document you wish and give it a number in the **2<sup>nd</sup> submission column**. Thereafter, click 'Submit'.



## ACKNOWLEDGING SETTLEMENT AGREEMENTS

2021/1554	Kok Chen 17	NAPIER AUDITORS	Service User01	Pending FI Acknowledgement of Settlement Agreement	31/10/2021	09/10/2021 12:56 PM
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### Section 5 - Adjudication

#### Pre-Adjudication Declaration

[Pre-Adjudication Declaration Form - 14/10/2021 5:11 PM](#)

#### Settlement Agreement

[Settlement Agreement](#)

## Settlement Agreement

### Settlement Agreement Terms

#### An Agreement Dated

18/10/2021

#### Between

Kok Chen 17

#### AND

NAPIER AUDITORS

1

Should an adjudication end in an award being given to the complainant, your case manager may require you to provide acknowledgement of the settlement agreement on the FI portal.

Access the case and open **Section 5 – Adjudication**. Click on the **‘Settlement Agreement’** to open a new window with the details of the settlement agreement.



## ACKNOWLEDGING SETTLEMENT AGREEMENTS

### The Complainant And The Financial Institution Hereby Agree As Follows

Wholly without any admission as to any liability whatsoever, the Financial Institution shall pay the Complainant the sum stated below within ten days from the date hereof,

\$2,000.00

The above shall be in full and final settlement of the Complainant's claim against:

NAPIER AUDITORS

#### Reminder

Before executing the Settlement Agreement, the Complainant and the Financial Institution may obtain their own professional / legal advice at their own costs.

If the Complainant does not execute the Settlement Agreement, there is no settlement of the dispute, and both parties are free to pursue their rights via other avenues (whether through the legal process, arbitration, adjudication or neutral evaluation)

I accept the terms of the Settlement Agreement.

I confirm that I am an authorised signatory of my organisation.

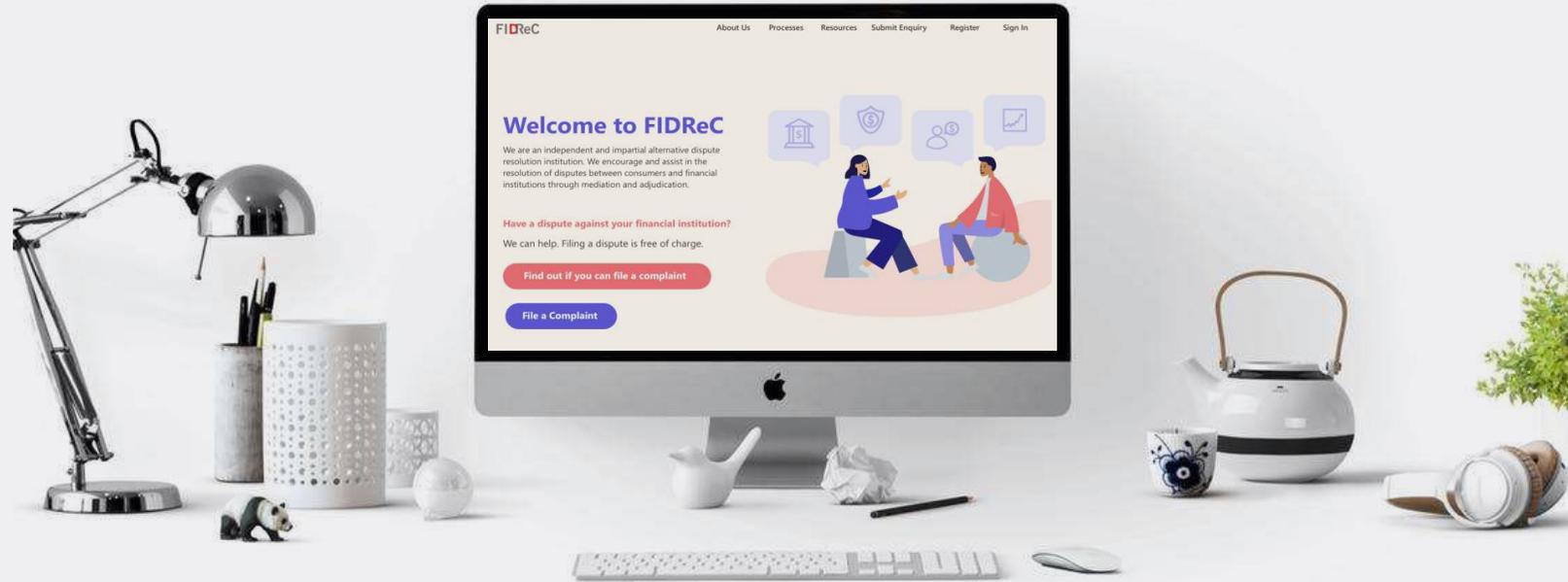
Submit

2

Read through the terms of the settlement agreement carefully. Should everything be satisfactory please tick the checkboxes next to **'I accept the terms of the Settlement Agreement'** and **'I confirm that I am an authorised signatory of my organisation.'**

3

Thereafter, please click the **'Submit'** button. Your response will be sent to the case manager and they will advise you on any next steps.



**Thank you!**