

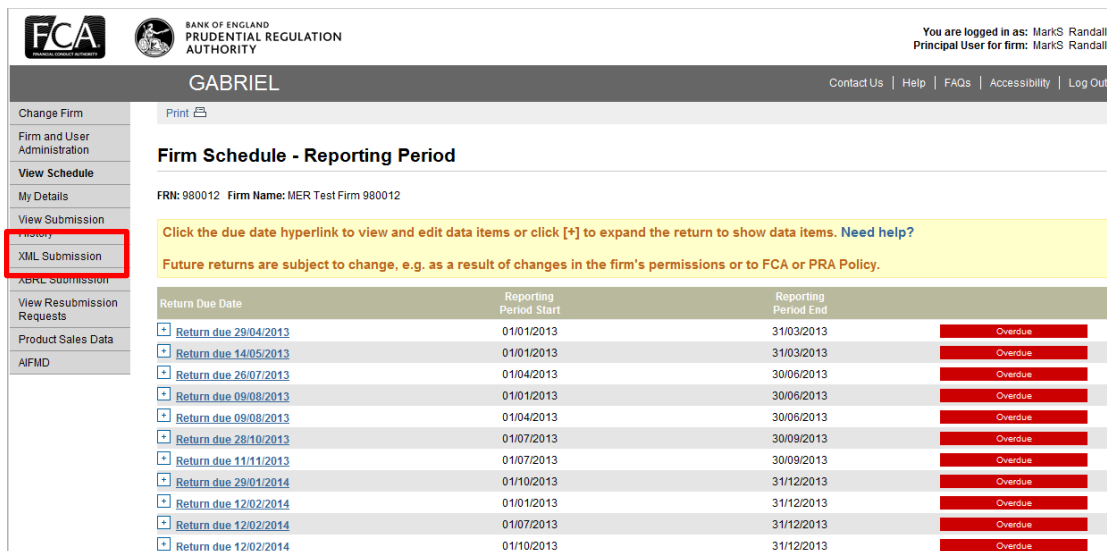
RMA-G – Download, amend and import data to Gabriel

These instructions are primarily designed for a firm who has a large number of Retail Investment Advisers (RIA) to input in Question 24 and enables the firm to:

- Download the previously submitted RMA-G from GABRIEL into an XML file;
- Import the XML file into a mapped excel template; and
- Amend the data where necessary and export the excel data back into an XML file which can then be uploaded to the next RMA-G submission in Gabriel to avoid the need to re-enter the list of RIA's again.

1. Locate and download the last submitted RMA-G to xml

- Login to Gabriel
- Go to 'View Submission History' in the left hand menu



GABRIEL Firm Schedule - Reporting Period

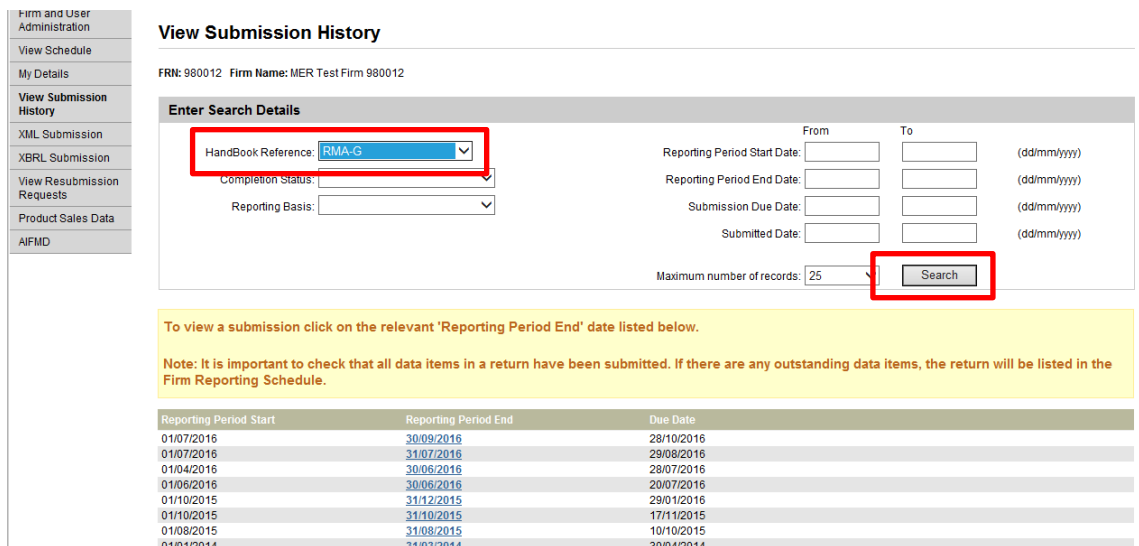
FRN: 980012 Firm Name: MER Test Firm 980012

Click the due date hyperlink to view and edit data items or click [+] to expand the return to show data items. [Need help?](#)

Future returns are subject to change, e.g. as a result of changes in the firm's permissions or to FCA or PRA Policy.

Return Due Date	Reporting Period Start	Reporting Period End	Status
Return due 29/04/2013	01/01/2013	31/03/2013	Overdue
Return due 14/05/2013	01/01/2013	31/03/2013	Overdue
Return due 26/07/2013	01/04/2013	30/06/2013	Overdue
Return due 09/08/2013	01/01/2013	30/06/2013	Overdue
Return due 09/08/2013	01/04/2013	30/06/2013	Overdue
Return due 28/10/2013	01/07/2013	30/09/2013	Overdue
Return due 11/11/2013	01/07/2013	30/09/2013	Overdue
Return due 29/01/2014	01/10/2013	31/12/2013	Overdue
Return due 12/02/2014	01/01/2013	31/12/2013	Overdue
Return due 12/02/2014	01/07/2013	31/12/2013	Overdue
Return due 12/02/2014	01/10/2013	31/12/2013	Overdue

- Select 'RMA'G' from the HandBook Reference drop-down, then click Search



View Submission History

FRN: 980012 Firm Name: MER Test Firm 980012

Enter Search Details

HandBook Reference: **RMA-G**

Reporting Period Start Date: From To (dd/mm/yyyy)

Reporting Period End Date: (dd/mm/yyyy)

Submission Due Date: (dd/mm/yyyy)

Submitted Date: (dd/mm/yyyy)

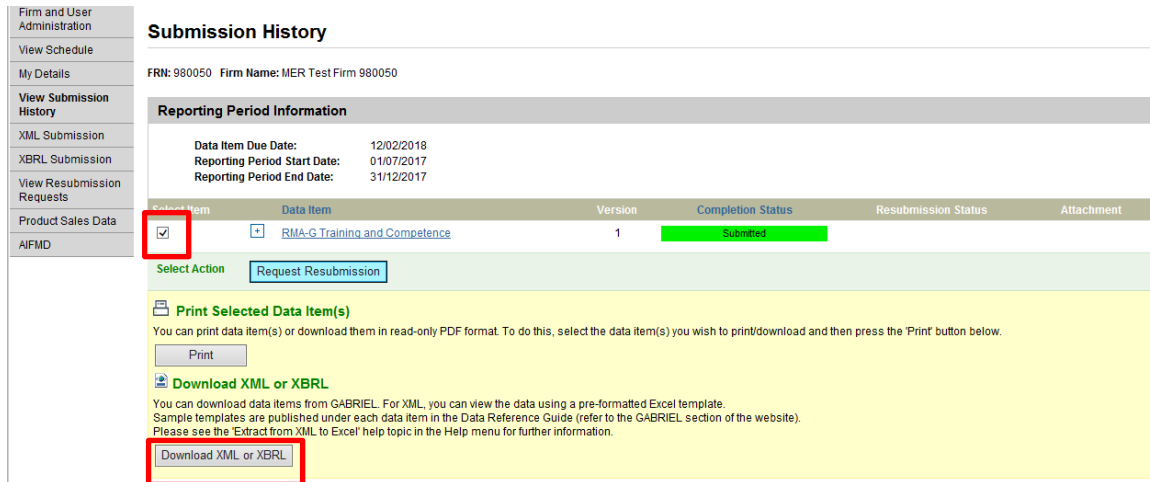
Maximum number of records: 25

To view a submission click on the relevant 'Reporting Period End' date listed below.

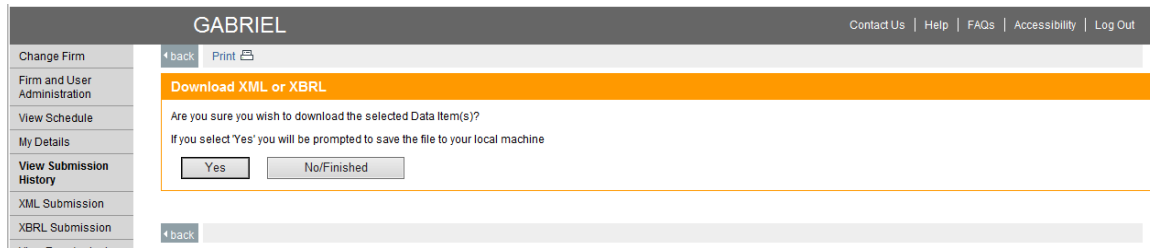
Note: It is important to check that all data items in a return have been submitted. If there are any outstanding data items, the return will be listed in the Firm Reporting Schedule.

Reporting Period Start	Reporting Period End	Due Date
01/07/2016	30/09/2016	28/10/2016
01/07/2016	31/07/2016	29/08/2016
01/04/2016	30/06/2016	28/07/2016
01/06/2016	30/06/2016	20/07/2016
01/10/2015	31/12/2015	29/01/2016
01/10/2015	31/10/2015	17/11/2015
01/08/2015	31/08/2015	10/10/2015
01/01/2014	31/03/2014	30/04/2014

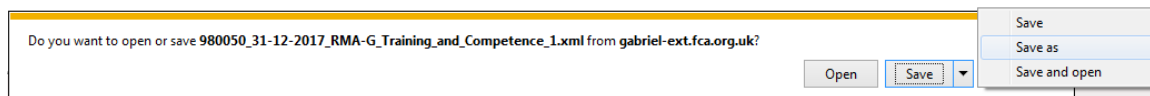
- d. This will display all the returns that contain the RMA-G data item. Select the most recent return from the displayed list.
- e. Tick the box beside RMA-G, then select 'Download XML or XBRL' button



- f. A message will appear asking you whether you wish to download the selected data item(s) – select 'Yes'



- g. A pop-up box will appear asking you wish you wish to open or save the xml file – select Save As from the drop down menu beside the Save option



- h. Save the xml file to a secure location.

2. Import the xml data into the excel template

- a. Open the RMA-G excel template from the FCA website at <https://www.fca.org.uk/firms/gabriel/retail-mediation-activities-data-guide#rma-g>

RMA-G Training and competence

Latest specification

Version 6

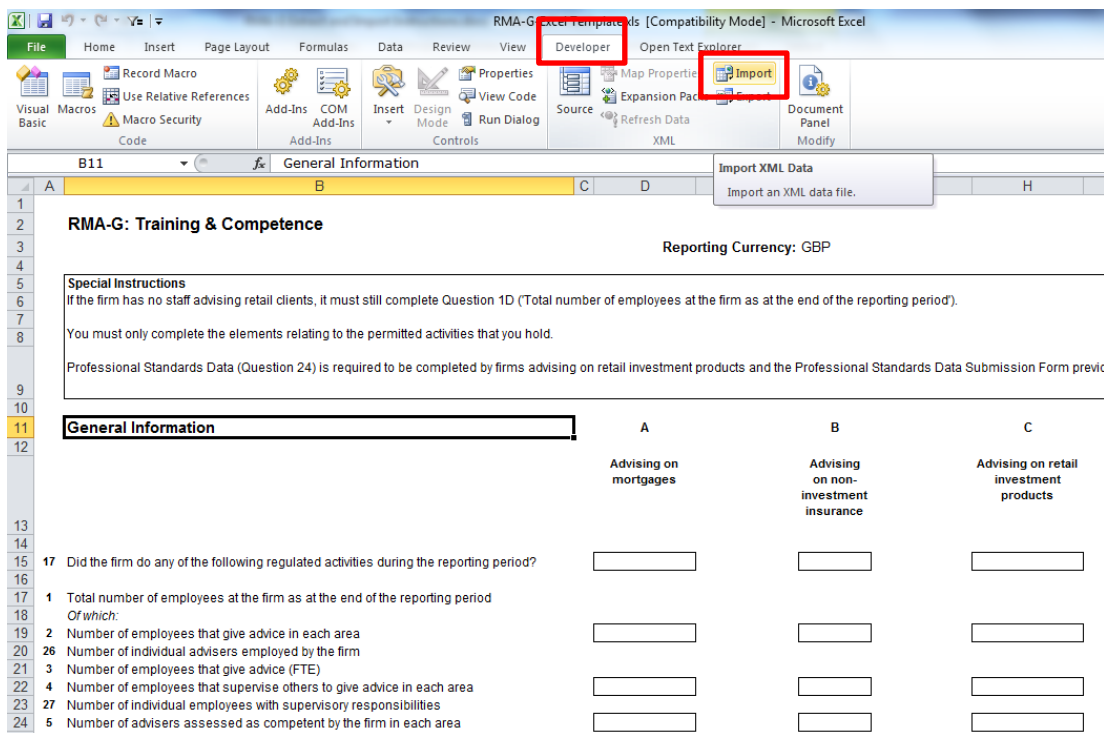
Version to be applied date: 28 February 2018

Schema to be applied date: 28 February 2018

Based on: [Handbook Instrument FCA 2016/14](#)

Data Definition	Schema	Sample	Excel Template
XLS	XSD	XML (full) XML (valid)	XLS

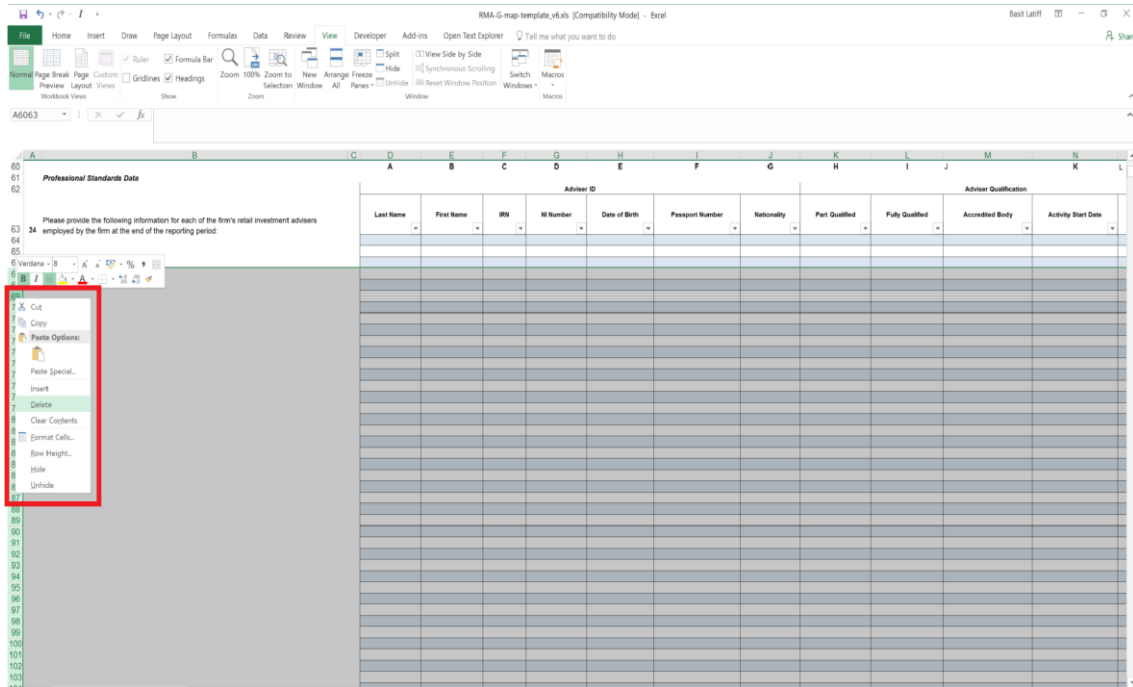
- b. Select Developer > Import from the top ribbon



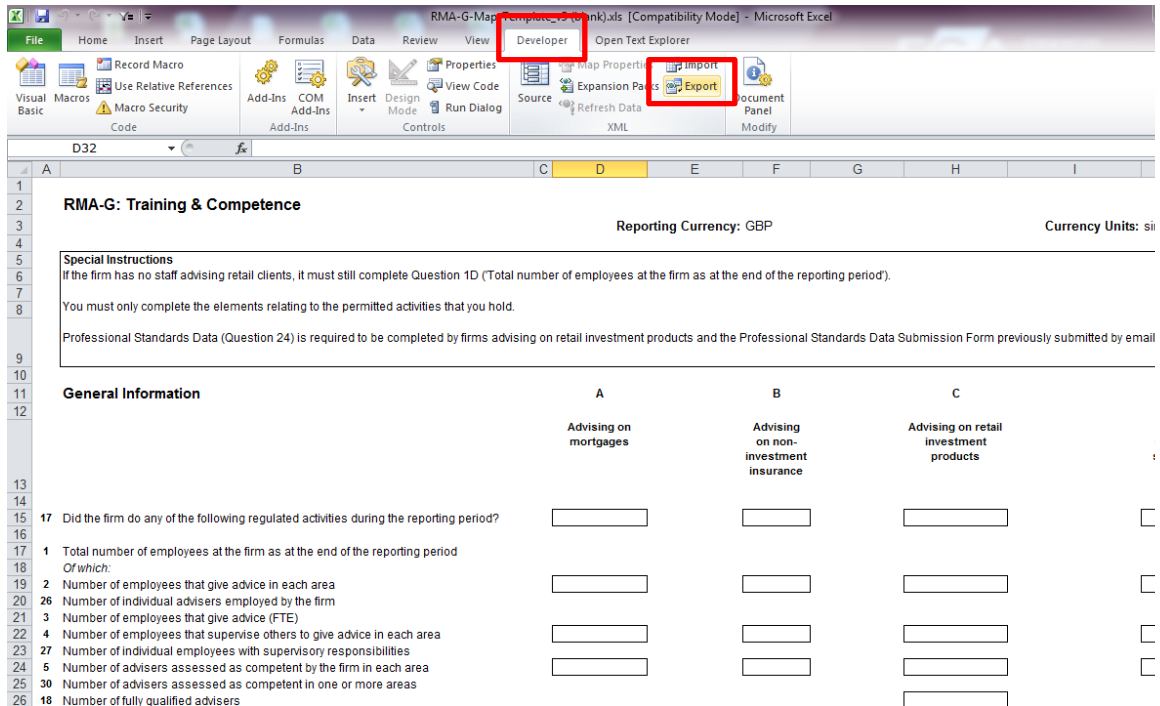
- c. Select the xml file that you wish to import, then click 'Open'
- d. The RMA-G data is imported into the excel template. Save this excel template to a secure location.

3. Export excel template to Gabriel

- a. Open the saved copy of the excel template containing the RMA-G data.
- b. Amend data where appropriate (including any data from Questions 1 to 23). Please ensure for Question 24 any blank formatted rows after the row with completed Professional Standards Data for advisers are deleted. This can be performed by selecting all blank rows from the row number column, then right click delete from the row number column. Then save the file.



- c. Select Developer > Export from the top ribbon



- d. Select a location and enter a File name, then click 'Export'. This will import the data from the excel template into an XML file.
- e. Open the XML file using XML software. If the firm does not have any XML software, you can edit the XML file using Microsoft Office Notepad and a similar alternative.
- f. Copy and paste the following XML Upload Request header & footer (this should appear before and after the <RMA-G TrainingAndCompetence> tags respectively) into your XML file.

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns1:XMLUploadRequest
xmlns:ns1="http://www.fsa.gov.uk/mer/datamanagement/internal/domain">
  <ns1:dataItem>
    <ns1:copyNumber>1</ns1:copyNumber>
    <ns1:dataItemBody>

<----RMA-G Data item XML---->

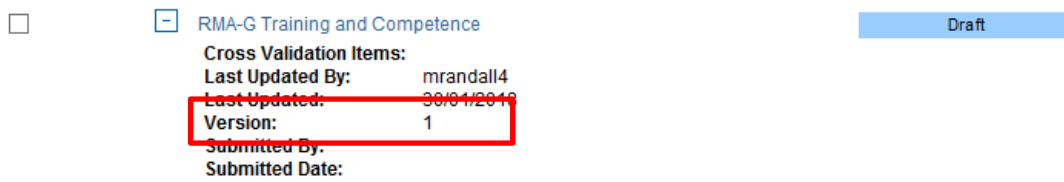
</ns1:dataItemBody>
  </ns1:dataItem>
    <ns1:reportingPeriod>
      <ns1:startDate> yyyy-mm-dd </ns1:startDate>
      <ns1:endDate> yyyy-mm-dd </ns1:endDate>
      <ns1:submissionDueDate> yyyy-mm-
dd</ns1:submissionDueDate>
    </ns1:reportingPeriod>
  </ns1:XMLUploadRequest>
```

This is what it should look like in the XML:

```
1 <?xml version="1.0" encoding="UTF-8" standalone="yes"?>
2 <ns1:XMLUploadRequest xmlns:ns1="http://www.fsa.gov.uk/mer/datamanagement/internal/domain">
3 <ns1:dataItem>
4 <ns1:copyNumber>1</ns1:copyNumber>
5 <ns1:dataItemBody>
6 <ns1:RMA-G-TrainingAndCompetence xmlns:ns1="urn:fsa-gov-uk:MER:RMA-G:5" currency="GBP" units="single">
7 <ns1:GeneralInfo>
8 <ns1:RegulatedActivities>
9 <ns1:MortgageAdvising>yes</ns1:MortgageAdvising>
10 <ns1:NonInvestmentInsuranceAdvising>yes</ns1:NonInvestmentInsuranceAdvising>
11 <ns1:RIProductsAdvising>yes</ns1:RIProductsAdvising>
12 <ns1:SecondChargeAdvising>yes</ns1:SecondChargeAdvising>
13 </ns1:RegulatedActivities>
14 <ns1:TotalStaffNumber>50</ns1:TotalStaffNumber>
15 <ns1:OfWhich>
---
629 <ns1:LastName>Last Name</ns1:LastName>
630 <ns1:FirstName>Last Name</ns1:FirstName>
631 </ns1:AdviserID>
632 <ns1:AdviserQualification/>
633 </ns1:RIAINformation>
634 </ns1:ProfessionalStandardsData>
635 </ns1:RIProducts>
636 </ns1:RMA-G-TrainingAndCompetence>
637 </ns1:dataItemBody>
638 </ns1:dataItem>
639 <ns1:reportingPeriod>
640 <ns1:startDate>2017-07-01</ns1:startDate>
641 <ns1:endDate>2017-12-31</ns1:endDate>
642 <ns1:submissionDueDate>2018-02-12</ns1:submissionDueDate>
643 </ns1:reportingPeriod>
644 </ns1:XMLUploadRequest>
```

Amend the Reporting Period Start, End and Due Dates accordingly to match that of the corresponding scheduled item.

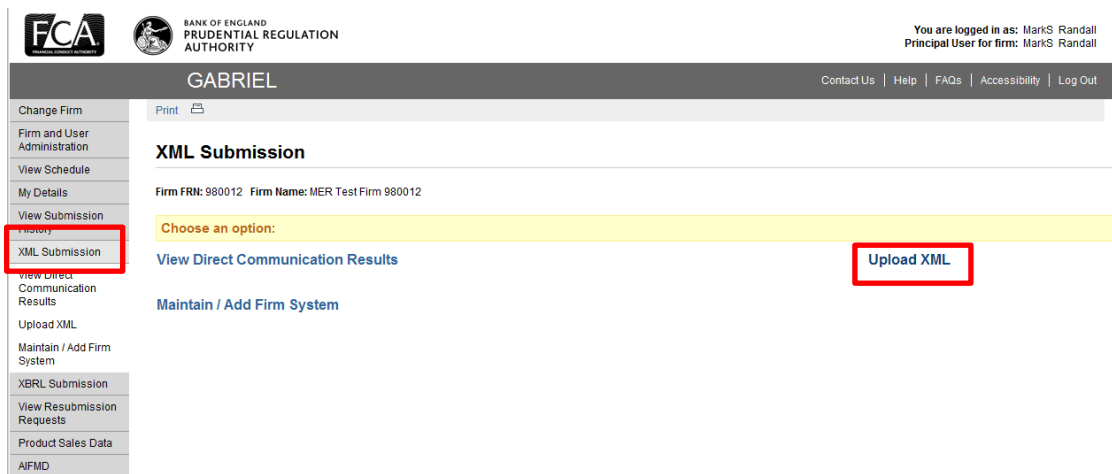
If you are re-submitting the data for the same reporting period, then you must also amend the Copy Number in the XML header to match that of the corresponding resubmission. This can be found by expanding the data item details



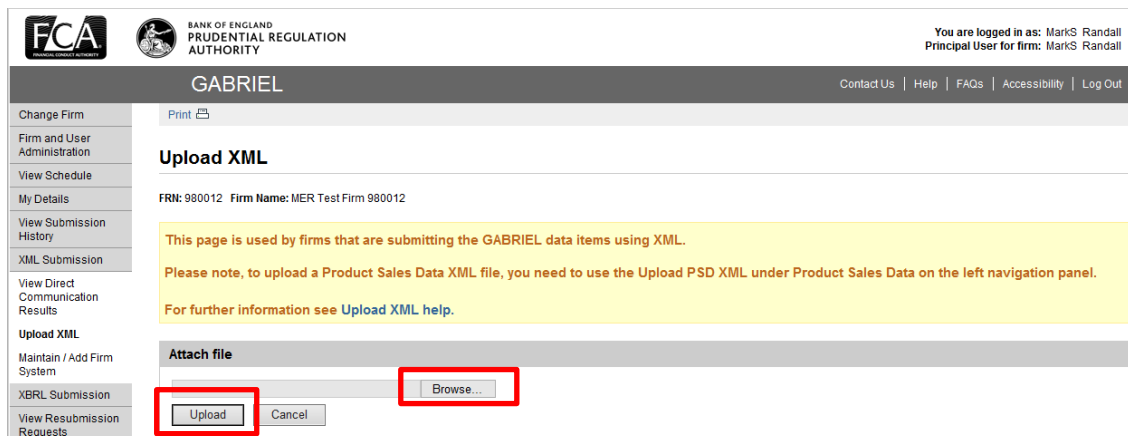
This information is essential to enable Gabriel to match up the XML submission with the respective data items and corresponding reporting period.

Furthermore, due to a technical limitation when exporting the data from excel into XML; if the second decimal point is 0 (for example 1.50) then the exported data will be displayed in the XML as 1.5 (i.e. it does not retain the second decimal place). Therefore, you may also need to update the <TotalFullTimeEquivalent> data so that this is to 2 decimal places to match the expected data in Gabriel otherwise the XML upload to Gabriel will fail until this is corrected.

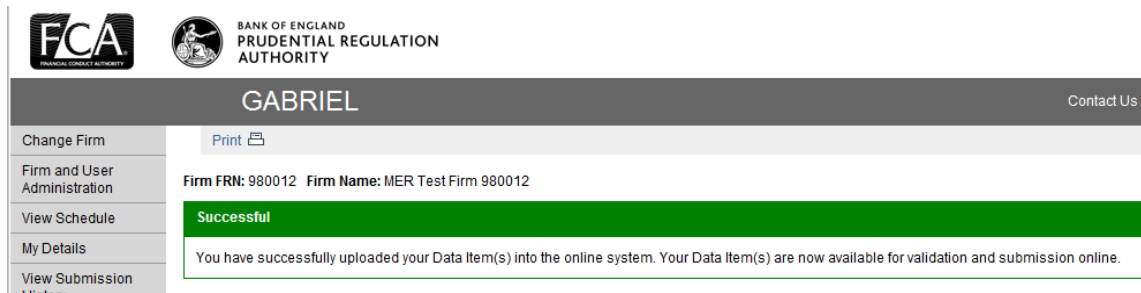
- g. Login to Gabriel
- h. Select XML Submission > XML Upload



- i. Browse and find the saved XML file in Step f. then select Upload



- j. If successful, Gabriel will display a message confirming that the data has been successfully uploaded to the respective data item.



Return to 'View Schedule' and navigate to the respective RMA-G. This should now appear in Draft status.

Open the RMA-G to confirm that the data entered is correct for the reporting period before selecting 'Validate and save' as usual before submitting.