

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 reenter the list of RIA's again.

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

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

FCA.	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY		r	You are logged in as: MarkS Randall Principal User for firm: MarkS Randall
	GABRIEL		Contact Us He	lp FAQs Accessibility Log Out
Change Firm	Print 🖴			
Firm and User Administration	Firm Schedule - Reportin	a Period		
View Schedule		5		
My Details	FRN: 980012 Firm Name: MER Test Firm 980	012		
View Submission	Click the due date hyperlink to view	w and edit data items or click [+] to expand the r	eturn to show data items. Need help?	
XML Submission	Future returns are subject to chan	ge, e.g. as a result of changes in the firm's perm	issions or to FCA or PRA Policy.	
Marc Submission		Reporting	Reporting	
Requests	Return Due Date	Period Start	Period End	
Product Sales Data	* Return due 29/04/2013	01/01/2013	31/03/2013	Overdue
AIFMD	* 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

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

	View Submission Hist	orv		
View Schedule		,, ,		
My Details	FRN: 980012 Firm Name: MER Test Fi	rm 980012		
View Submission History	Enter Search Details			
XML Submission			From	То
BRL Submission	HandBook Reference: RMA	-G 💙	Reporting Period Start Date:	(dd/mm/yyyy)
/iew Resubmission Requests	Completion Status:	•	Reporting Period End Date:	(dd/mm/yyyy)
Product Solan Data	Reporting Basis:	~	Submission Due Date:	(dd/mm/yyyy)
FIGUEL Sales Data			Submitted Date:	(dd/mm/yyyy)
	To view a submission click or Note: It is important to check Firm Reporting Schedule.	the relevant 'Reporting Period Er that all data items in a return have	Maximum number of records. [25 nd' date listed below. been submitted. If there are any outstanding dat	ta items, the return will be listed in the
	To view a submission click or Note: It is important to check Firm Reporting Schedule. Reporting Period Start	the relevant 'Reporting Period Er that all data items in a return have Reporting Period End	Maximum number of records. [25 nd' date listed below. been submitted. If there are any outstanding dat Due Date	ta items, the return will be listed in the
	To view a submission click or Note: It is important to check Firm Reporting Schedule. Reporting Period Start 0107/2015	the relevant 'Reporting Period Er that all data items in a return have Reporting Period End 3009/2016	Maximum number of records. [25 nd' date listed below. been submitted. If there are any outstanding dat Due Date 28/10/2016	ta items, the return will be listed in the
	To view a submission click or Note: It is important to check Firm Reporting Schedule. Reporting Pariod Start 01/07/2016	the relevant 'Reporting Period Er that all data items in a return have Reporting Pariod End 30(9)2016 310(7)2016	Maximum number of records [25 hd' date listed below. been submitted. If there are any outstanding dat Date Date 28/10/2016 29/06/2016	ta items, the return will be listed in the
	To view a submission click or Note: It is important to check Firm Reporting Schedule. Reporting Period Start 01/07/2016 01/07/2016 01/04/2016	the relevant 'Reporting Period Er that all data items in a return have Reporting Period End 3009/2016 3107/2016 3006/2016	Maximum number of records. [25 nd' date listed below. been submitted. If there are any outstanding dat Due Date 28/10/2016 28/07/2016 28/07/2016	ta items, the return will be listed in the
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	To view a submission click or Note: It is important to check Firm Reporting Schedule. Reporting Period Start 0107/2016 0107/2016 0104/2016 0104/2016 0110/2015	the relevant 'Reporting Period Er that all data items in a return have Reporting Period End 3009/2016 3107/2016 3009/2016 3117/2015 3117/2015	Maximum number of records: [25 nd' date listed below. been submitted. If there are any outstanding dat Due Date 28/10/2016 29/06/2016 29/07/2016 29/01/2016 29/01/2016 29/01/2016 29/01/2016 17/11/2015	ta items, the return will be listed in the

- 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

Firm and User Administration	Submission History
View Schedule	
My Details	FRN: 980050 Firm Name: MER Test Firm 980050
View Submission History	Reporting Period Information
XML Submission	Data Kam Duo Data: 12/02/019
XBRL Submission	Reporting Period Start Date: 01/07/2017
View Resubmission Requests	Reporting Period End Date: 31/12/2017
Product Sales Data	Senantem Data Item Version Completion Status Resubmission Status Attachment
AIFMD	The second
	Select Action Request Resubmission
	Print Selected Data Item(s) You can print data item(s) or download them in read-only PDF format. To do this, select the data item(s) you wish to print/download and then press the 'Print' Download XML or XBRL You can download data items from GABRIEL For XML, you can view the data using a pre-formatted Excel template. Sample templates are published under each data item in the Data Reference Guide (refer to the GABRIEL section of the website). Please see the Extract from XML to Excel help topic in the Help menu for further information. Download XML or XBRL

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

				Save
Do you want to open or save 980050_31-12-2017_RMA-G_Training_and_Competence_1.xml from gabriel-ext.fca.org.uk?				Save as
	Open	Save 🔻		Save and open
			_	

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 <u>https://www.fca.org.uk/firms/gabriel/retail-mediation-activities-data-guide#rma-g</u>

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: <u>Handbook Instrument FCA 2016/14</u>

Data Definition	Schema	Sample	Excel Template
XLS	XSD	<u>XML</u> (full)	XLS
		XML (valid)	

b. Select Developer > Import from the top ribbon

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File	Home Insert Page Layout Formulas Data Review View	Developer Open Text Ex	plorer	
Visua Basic	Record Macro Use Relative References Macros Security Code Co	Source Map Propertie	Document Panel Modify	
	B11 • (f _x General Information		Import XML Data	
	A B	C D	Import an XML data file.	Н
1 2	RMA-G: Training & Competence			
3		Reporti	ng Currency: GBP	
5 6 7 8 9	You must only complete the elements relating to the permitted activities that you hold. Professional Standards Data (Question 24) is required to be completed by firms advis	number of employees at th ing on retail investment pro	e firm as at the end of the reporting per oducts and the Professional Standards	oď). Data Submission Form previo
10 11	General Information	Α	в	с
12		Advising on mortgages	Advising on non- investment insurance	Advising on retail investment products
13 14 15 16	17 Did the firm do any of the following regulated activities during the reporting period?			
17 18 19	I of al number of employees at the firm as at the end of the reporting period Of which: Number of employees that give advice in each area			
20 21 22	Xumber of individual advisers employed by the firm Number of employees that give advice (FTE) Number of employees that supervise others to give advice in each area Number of employees that supervise others to give advice in each area			
23	5 Number of advisers assessed as competent by the firm in each area			

- 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.

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File Home Insert Draw Page Layout Formulas Data Review View	Developer Add-	ins Open Text E	xplorer 🖓	Tell me what you w	rant to do						Я	1 Share
Normal Page Brain ✓ Ruler ✓ Ruler Zoom 100% Zoom to New Arrange Normal Page Brain Costom Gridines Headings Zoom 100% Zoom to New Arrange Shetchon Window Kein Shetchon Shetchon Shetchon Zoom Zoom<	Freeze Unhide Win	1) View Side by Side II Synchronous Scro IR Reset Window Pos dow	ling switc Window	h Macros Macros								~
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AB	C D	E	F	G	Н	- I	J	К	L	М	N	
60	A	B	c	D	E	F	G	н	1	J	к	L
62				Advise	r ID					Adviser Qualification		
Please provide the following information for each of the firm's retail investment advisers	Last Name	First Name	IRN	NI Number	Date of Birth	Passport Number	Nationality	Part Qualified	Fully Qualified	Accredited Body	Activity Start Date	
63 24 employed by the firm at the end of the reporting period:		-	•	*	-	*				•	í l	-
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T Copy												.
7 Paste Options:												
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7 Paste Special												
7 Insert												
7 Delete												
8 Clear Coptents												
B Eormat Cells												
8 Bow Height												
B Hide												
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90												
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c. Select Developer > Export from the top ribbon

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Fi	ile	Home Insert Page Layo	out Formulas	Data Review	View	Developer	Open Text	Explorer			201	_
Visu Bas	ual M sic	Record Macro	Add-Ins Add-Ins Add-Ins	Insert Design Mode	Properties View Code Run Dialog	Source	Map Propertie Expansion Pac Refresh Data XML	s S Export	ocument Panel Modify			
		D32 🔫 (*)	fx									
	Α		В			С	D	E	F	G	Н	I I
1 2 3		RMA-G: Training & Com	petence				Repo	rting Currenc	cy: GBP			Currency Units: si
4 5 6 7		Special Instructions If the firm has no staff advising re	tail clients, it must	still complete Ques	tion 1D ('To	tal number of	employees at	the firm as at t	he end of the r	eporting period').		
8		You must only complete the elem	nents relating to the	e permitted activities	that you ho	ld.						
9		Professional Standards Data (Qu	uestion 24) is requi	red to be complete	l by firms ac	tvising on reta	ail investment	products and th	ne Professiona	al Standards Data	Submission Form p	reviously submitted by email
10 11 12		General Information					Α		В		С	
						A	dvising on nortgages		Advising on non- investmen insurance	it .	Advising on retail investment products	4
13 14 15 16	17	Did the firm do any of the followin	g regulated activitie	es during the report	ng period?							
17 18 19 20	1 2 26	Total number of employees at the Of which: Number of employees that give a Number of individual advisers en	e firm as at the end dvice in each area nploved by the firm	of the reporting per	iod							
21 22 23 24 25	3 4 27 5 30	Number of employees that give a Number of employees that super Number of individual employees Number of advisers assessed as Number of advisers assessed as	idvice (FTE) vise others to give with supervisory re s competent by the s competent in one	advice in each area sponsibilities firm in each area or more areas								

- 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 is should look like in the XML:



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

-	RMA-G Training and C	ompetence		Draft
	Cross Validation Iten Last Updated By:	ns: mrandall4		
1	Last Updated:	30/01/2010		
	Version:	1		
	Submitted Date:			

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

FCA	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY	You are logged in as: MarkS Randall Principal User for firm: MarkS Randall
	GABRIEL	Contact Us Help FAQs Accessibility Log Out
Change Firm	Print	
Firm and User Administration	XML Submission	
View Schedule		
My Details	Firm FRN: 980012 Firm Name: MER Test Firm 980012	
View Submission	Choose an option:	
XML Submission	View Direct Communication Results	Upload XML
Communication Results	Maintain / Add Firm System	
Upload XML		
Maintain / Add Firm System		
XBRL Submission		
View Resubmission Requests		
Product Sales Data		
AIFMD		

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

FCA	BANK OF ENCLAND You are logged in as: MarkS Randall Principal User for firm: MarkS Randall Principal User for firm: MarkS Randall
	GABRIEL Contact US Help FAQS Accessibility Log Out
Change Firm	Print 🖰
Firm and User Administration	Upload XML
View Schedule	·
My Details	FRN: 980012 Firm Name: MER Test Firm 980012
View Submission History	This page is used by firms that are submitting the GABRIEL data items using XML.
XML Submission	Please note, to upload a Product Sales Data XML file, you need to use the Upload PSD XML under Product Sales Data on the left navigation panel.
Communication Results	For further information see Upload XML help.
Upload XML	
Maintain / Add Firm System	Attach file
XBRL Submission View Resubmission Requests	Browse Upload Cancel

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

FCA.	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY
	GABRIEL Contact Us
Change Firm	Print 🖴
Firm and User Administration	Firm FRN: 980012 Firm Name: MER Test Firm 980012
View Schedule	Successful
My Details	You have successfully uploaded your Data Item(s) into the online system. Your Data Item(s) are now available for validation and submission online.
View Submission	

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.