FINANCIAL CONDUCT AUTHORITY

National Storage Mechanism

Help and Frequently Asked Questions

Version 4.0

22 November 2021

Contents

Overview

This guide aims to provide submitters and investors users with help in filing information to and searching the NSM. It includes information related to structured reporting (as introduced by the European Single Electronic Format (ESEF) initiative).

General Help

1. What is the NSM?

The National Storage Mechanism (NSM) is a repository of regulated information which are required by the Listing Rules, Disclosure Guidance and Transparency Rules or the Prospectus Rules to be filed and made available for public inspection.

The NSM provides users with built-in tools to search all regulatory disclosures and documents such as annual financial reports, change of name, Directors' declarations, half-yearly financial reports, major shareholding notifications etc and then to view or print the document or export the search results to CSV/Excel.

The NSM is not intended to be a real-time provision of information and includes information and materials uploaded by third party submitters to the site. This information and these materials may not have been verified or approved by the FCA.

In practice, much of the information will be available shortly after publication, but this will depend on the source of the information.

If information cannot be found within 48 hours of expected publication, users should contact the relevant issuer in the first instance.

2. How long is the information held on the NSM?

Information and regulatory announcements are held indefinitely as the NSM is an archiving service.

3. What browsers does the NSM support?

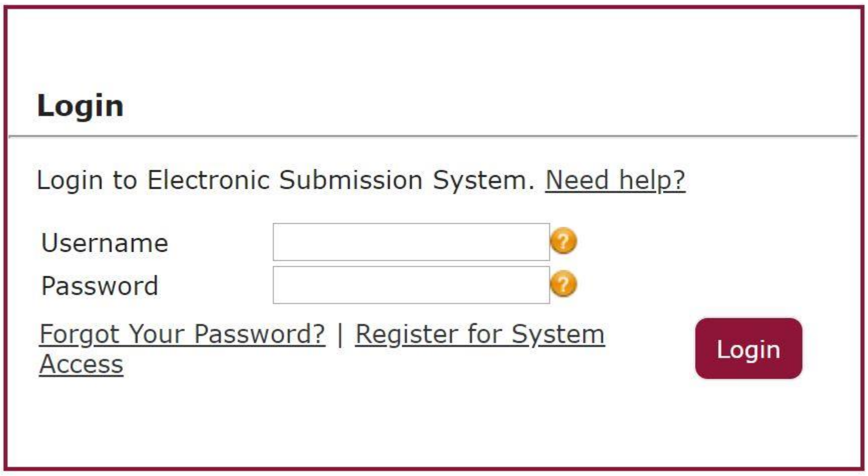
We encourage the use of Google Chrome for submitting information to the NSM and Internet Explorer (IE), Chrome, Firefox, Safari, Microsoft Edge for viewing information on the NSM.

Help with Submitting

4. How do I access the NSM submission portal?

Visit the Electronic Submission Service (ESS) login page.

Register for access to the ESS or login with your credentials if you have an active ESS account.



Detailed help is provided in the submitter user guide.

5. I forgot my ESS password. What should I do?

Please use the password reset function. If you do not receive a reset email then send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

6. I did not receive the ESS activation email. What should I do?

We aim to process ESS registration requests within 24 hours. If you have not received your activation email 24 hours after registration, please send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

7. I did not receive the authorisation confirmation email. What should I do?

We aim to process issuer authorisation requests within 48 hours. If you have not received your authorisation confirmation email 48 hours after registration, please send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

8. How long does the authorisation process take?

We aim to process issuer authorisation requests within 48 hours after receiving the form.

9. I am a registered submitter but my email address has changed. What should I do?

If your email address changed because you now work for a new issuer, you will need to obtain a new authorisation. You should create an ESS account with your new email address, then upload an authorisation from the issuer you wish to upload on behalf of. You will also need to contact us using the details below so that your existing account is deactivated.

If you still work for the same issuer but your email address has changed, send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

10. How can I change my ESS registration information?

If you are an authorised submitter and wish to edit information within the ESS registration form, send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

11. The person authorised to make submissions has been replaced. What should I do?

To remove an authorised submitter or have the account deactivated, send an email to LTadmin@fca.org.uk or call Operations Support on 0207 066 8348.

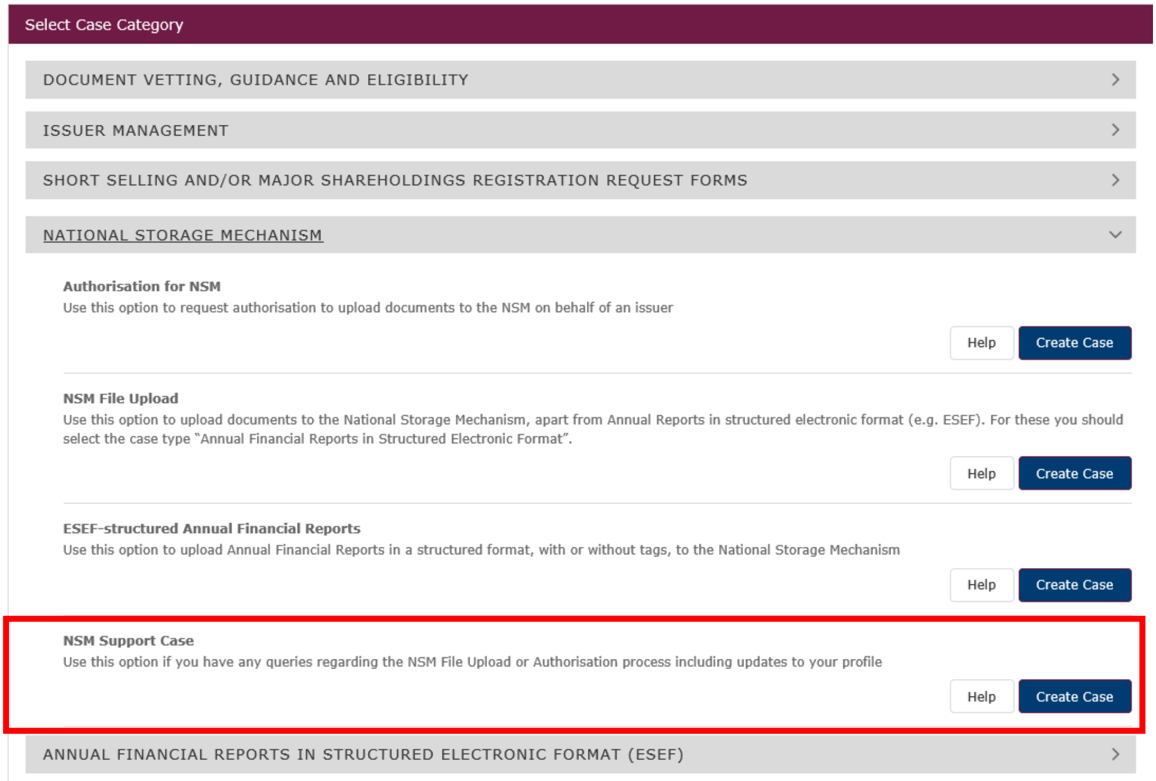
To authorise a new submitter to upload on behalf of an issuer, first create an ESS account (if one does not exist already) then upload an authorisation from the issuer you wish to upload on behalf of.

12. How long does it take before a company's announcement is published on the NSM?

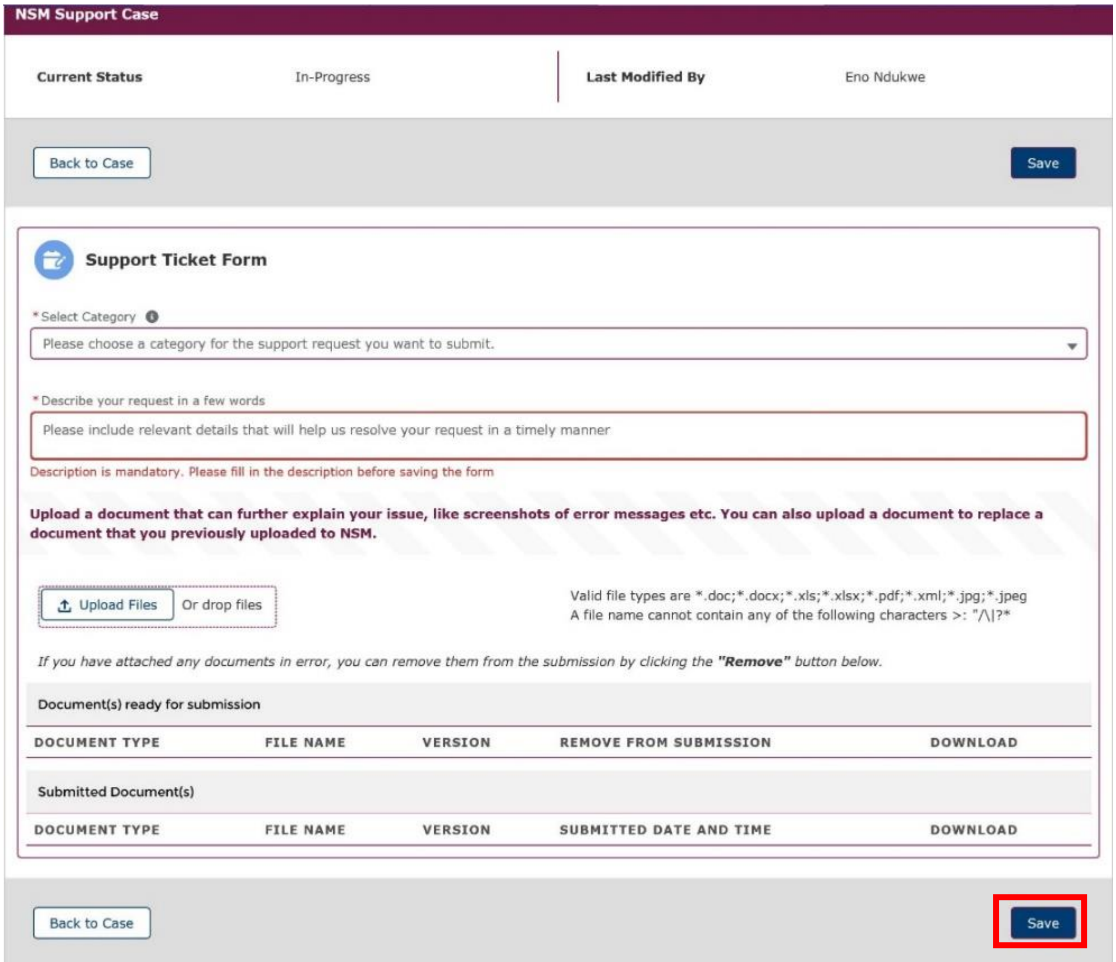
Information on the NSM is updated daily. We make information available near real time after the date and time specified by a primary information provider (PIP) or an issuer.

13. I would like to replace a document or revise a headline code. What should I do?

Log into ESS using your credentials. Click on **create case** and navigate to the National Storage Mechanism tab. Select the **NSM support case** button and click on **create case**.



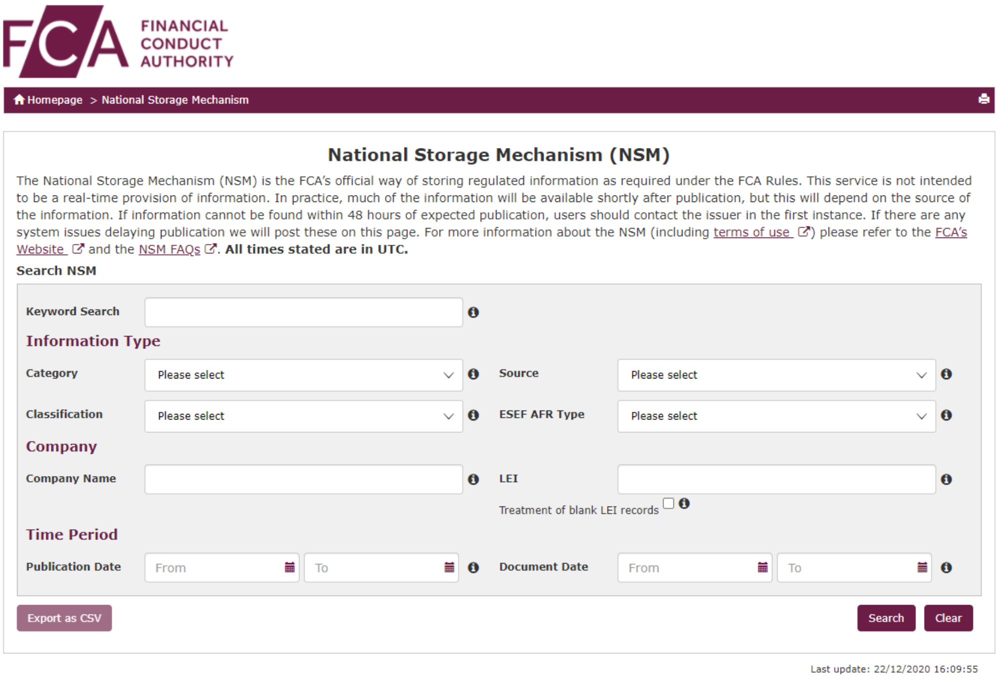
Enter the details of the issue into the **Support Ticket form** pictured below and click on **save**. Your request for help will be forwarded to the support team who will contact you to resolve the issue.



Help with Searching

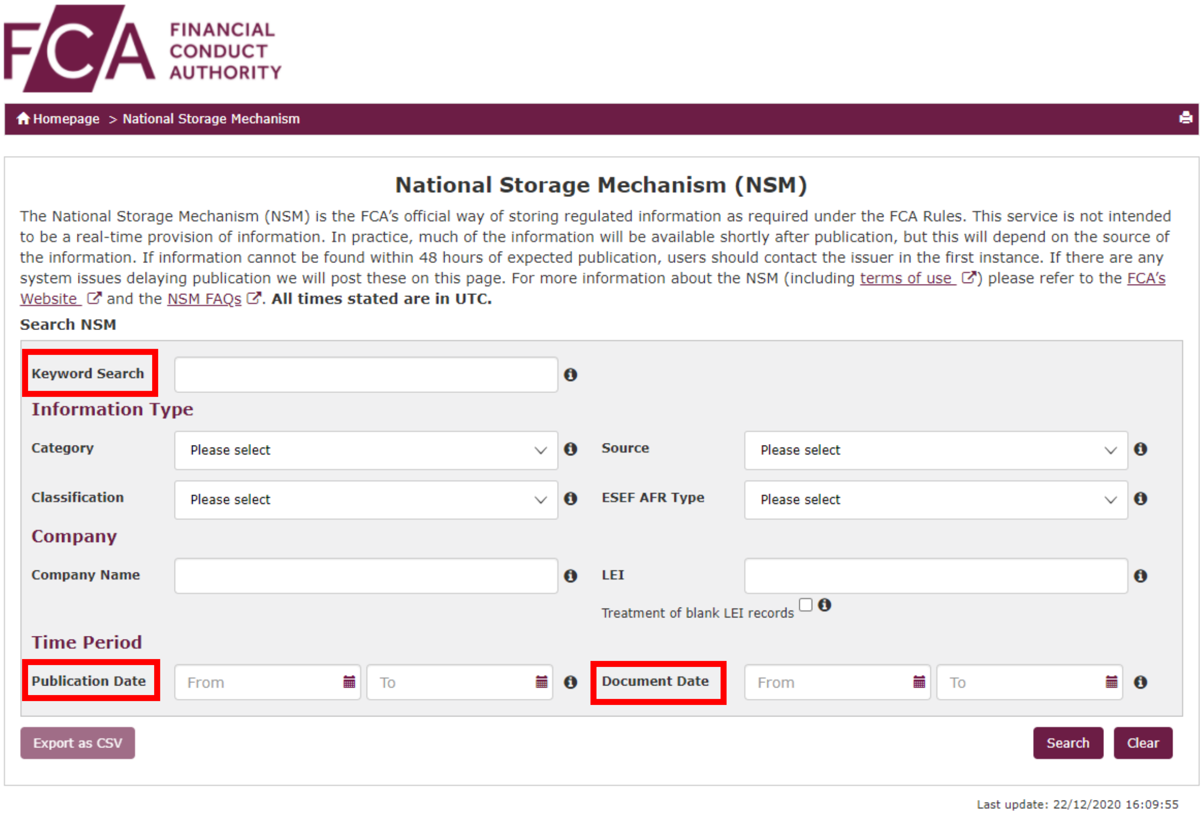
14. How do I access the NSM to search for information?

Navigate to https://data.fca.org.uk/#/nsm/nationalstoragemechanism. Clicking on '**Accept**' will present you with the NSM search page below.



15. How can I search the NSM if I do not have complete information?

Use **Keyword search** when you have incomplete information. Entering a single or partial word or phrase will return all records containing words or phrases that you enter. Note that when you use this option, all other search options will be inaccessible and you can only refine your search by document date or document publication date ranges.



Note that the **publication date** is the date the document or regulatory announcement was uploaded to the NSM by a submitter or released by the Regulatory Information Service (RIS); and the **document date** is the date the document relates to.

16. How do I find information or documents submitted to the old NSM operated by Morningstar?

The NSM was operated on behalf of the FCA by Morningstar from 2009 to 05 April 2020.

Users searching historic materials submitted to the Morningstar NSM will find that the links/URLs they contain, point to the old Morningstar database. To find those materials on the new NSM you'll need to carry out a URL lookup.

To carry out a URL lookup, visit the FCA's NSM webpage and click on the side menu tab titled **URL lookup.** Or, carry out a direct download from:

https://data.fca.org.uk/artefacts/NSM/mapping/MS_to_FCA_NSM_Document_URL_Mapping.zip

Download the zipped file which will contain spreadsheets by year from 2009 to 2020. Select the spreadsheet for year the document relates to. Within it will be the paths to documents in the old Morningstar NSM (Titled 'MS NSM URL') and a corresponding column with the paths to the documents in the new NSM (Titled 'Hyperlink').

	MS NSM URL	Filename	Hyperlink
2	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=93486851	93486851.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/93486851.pdf
3	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=118717591	118717591.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/118717591.pdf
4	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=118212812	118212812.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/118212812.pdf
5	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=47393347	47393347.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/47393347.pdf
6	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=18257705	18257705.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/18257705.pdf
7	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=30163102	30163102.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/30163102.pdf
8	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=93488277	93488277.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/93488277.pdf
9	https://tools.morningstar.co.uk/tsweu6nqxu/globaldocuments/document/documentHandler.ashx?DocumentId=47403934	47403934.pdf	https://data.fca.org.uk/artefacts/NSM/data-migration/47403934.pdf

Carry out an Excel VLOOKUP which will match links from the Morningstar column with links in the FCA column.

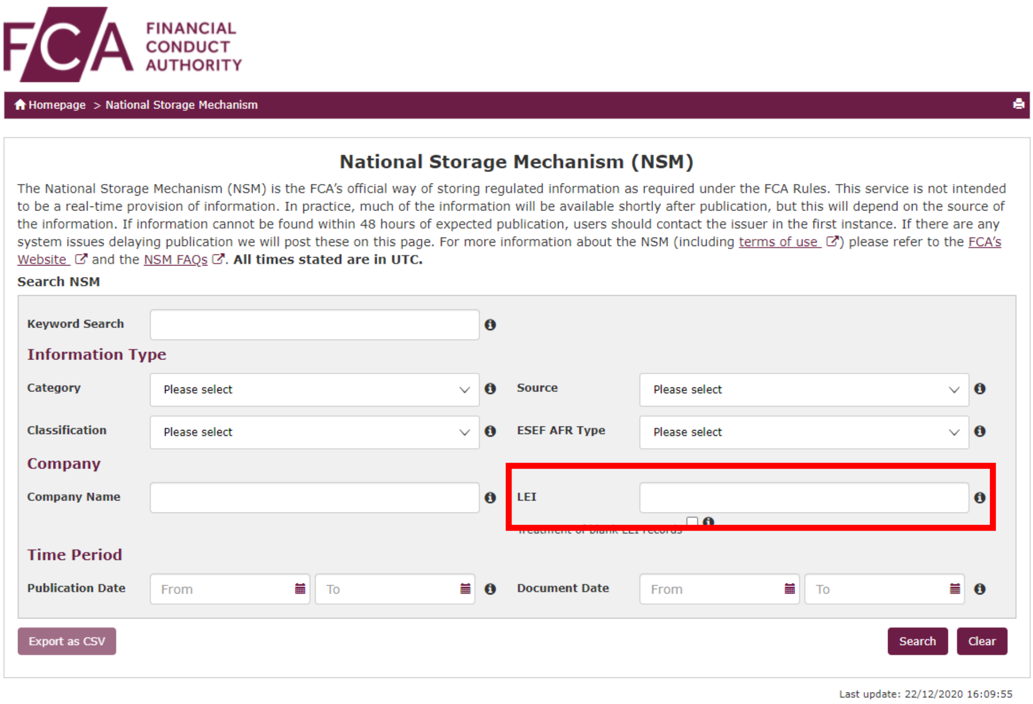
Click on the FCA link to access the required information.

17. What is the recommended way to search the NSM for information specific to a company?

A Legal Entity Identifier (LEI) is a 20-character, unique alpha-numeric code assigned to any company engaged in financial transactions. Using the LEI search option ensures that results are narrowed down to the company that owns the LEI.

You can find an issuer's LEI on an LEI search portal such as the Global Legal Identifier Foundation (GLEIF) website: https://search.gleif.org/

Once you have the LEI, enter it into the LEI search box.



To narrow search results further, enter search terms for the category and/or classification of the information, the source of the regulatory announcement, a date range the information relates to or when it was published.

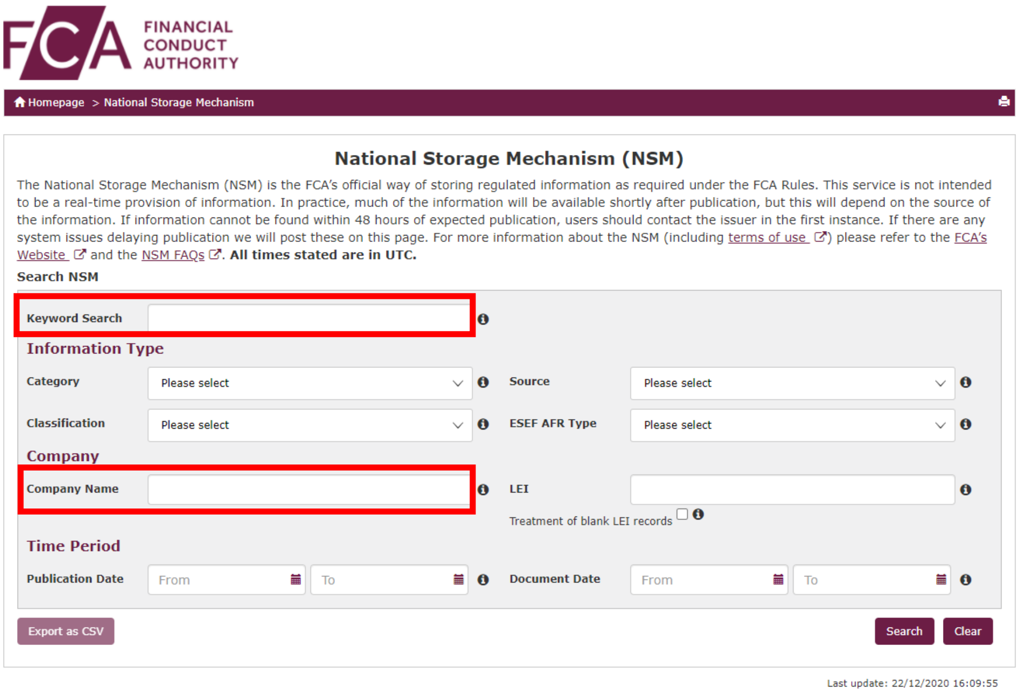
After entering the search terms, click **Search.** Note that ticking **'Treatment of blank LEI records'** will return results of all issuers that have no LEIs attached to them.

18. I only have the company name. Can I search for information relating to that company?

You have a variety of options at your disposal if you have only the company name.

To start with, you can search for records by entering the company name into the **Company Name** field.

Alternatively, find the company LEI by searching on a LEI search portal such as the Global Legal Identifier Foundation (GLEIF) website: https://search.gleif.org/ (link to external site) and use the **LEI search** option or lastly, enter the Company Name into the **keyword search** option.

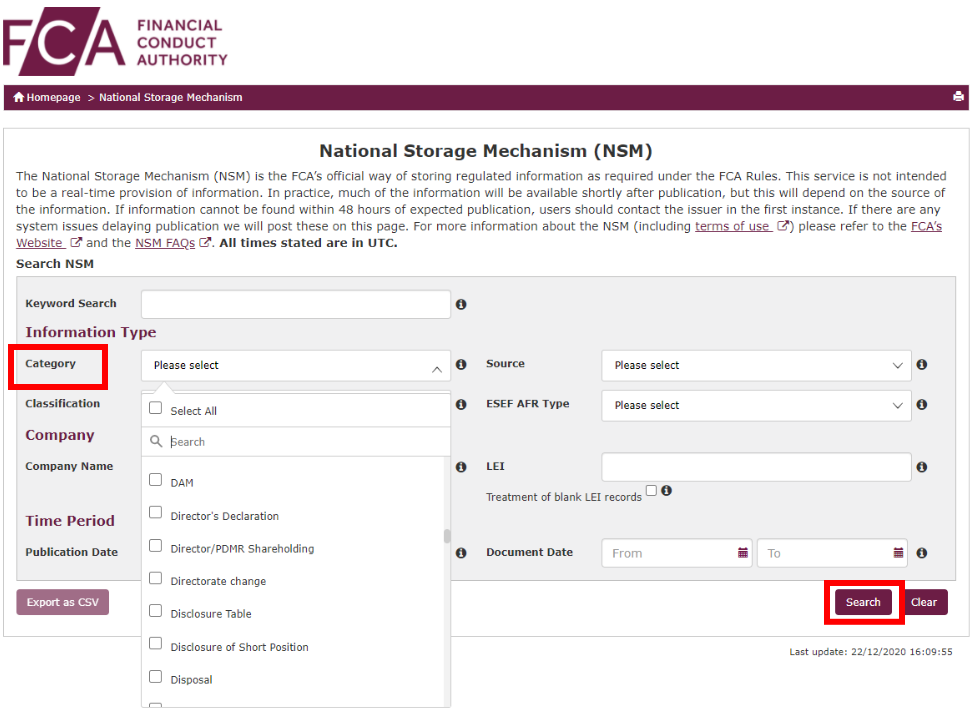


19. I cannot find the company I want to search against. What should I do?

It might be possible that there is no requirement for the company document to be on the NSM. If you are certain the relevant company information should be on the NSM, please try the following: 1) ensure the company name is spelled correctly, 2) search for the company using the LEI option, or 3) enter the company name into the keyword search. If all the above do not work, then contact issuer directly.

20. What is a Category search?

A **Category** is a type of regulated information which an issuer is required to disclose under the Transparency Directive, Listing Rules and Disclosure Guidance and Transparency Rules e.g. "Annual Financial Report", "Half-yearly Financial Report" or "Major shareholding notifications" etc.



Select one or more document categories from the **Category drop down list** and then click **Search.**

This search option gives the best results when used in conjunction with other search options.

For example, entering '1st Quarter Results' into the Category search field will return all 1st quarter results for all companies held in the NSM.

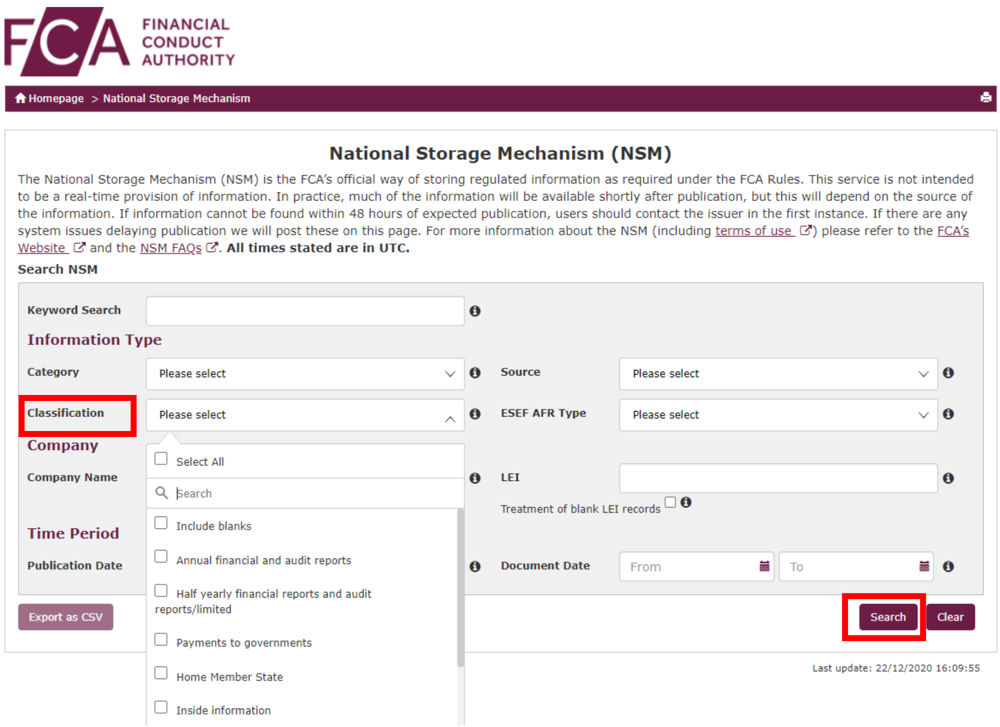
However, entering '1st Quarter Results' in the Category search field and 'Barclays Plc' in the Company Name field will return all 1st quarter results for Barclays Plc.

Going a step further by entering the publication date ranges in the Publication date search field will narrow results down to 1st quarter results for Barclays Plc that were published within the date range entered. And so on.

21. What is a Classification search?

Classifications are classes or sub-classes (DTR 6 Annex 1R) of Categories/regulated information.

Examples are 'Annual financial and audit reports', 'payments to governments', 'Home Member State', 'Total number of voting rights and capital'. Note that issuers sometimes assign more than one Classification to a regulated information/Category.



Select one or more document classifications from the **Classification drop down list** and then click **Search.**

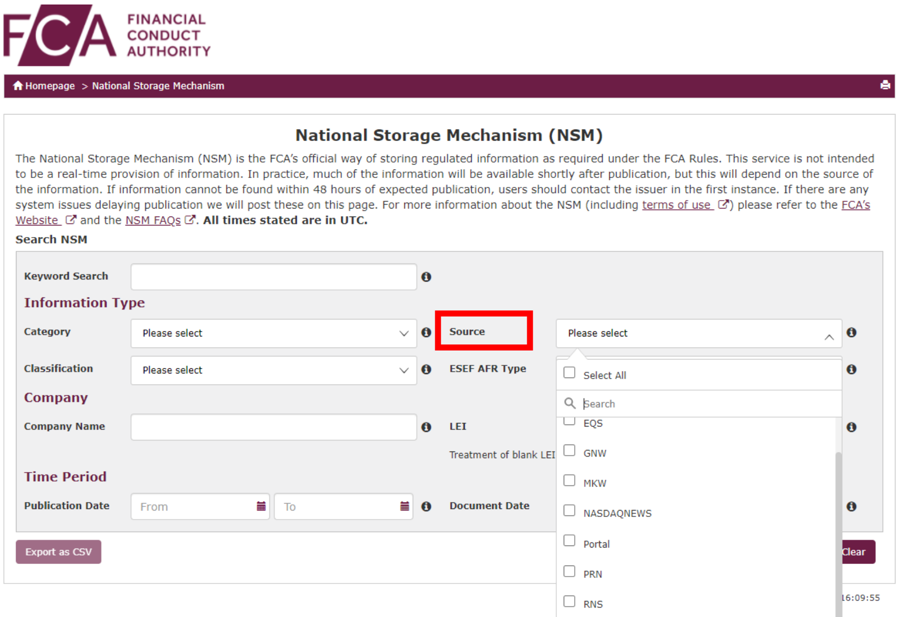
Similar to a **Category** search, this search option gives the best results when used in conjunction with other search options. Enter as much information as is known in other search field to narrow results down.

22. How do I search for regulatory announcements from a specific PIP?

Primary Information Providers (PIPs) provide a newsfeed of regulatory announcements to the NSM in accordance with the minimum standards set out in Article 12 of the TD Implementing Directive.

To search for materials or announcements provided by a specific PIP, select one or more PIPs from the **Source** drop down list. Narrow the search by entering the information Category and/or Classification and Publication and/or Document Date.

Click **Search.**

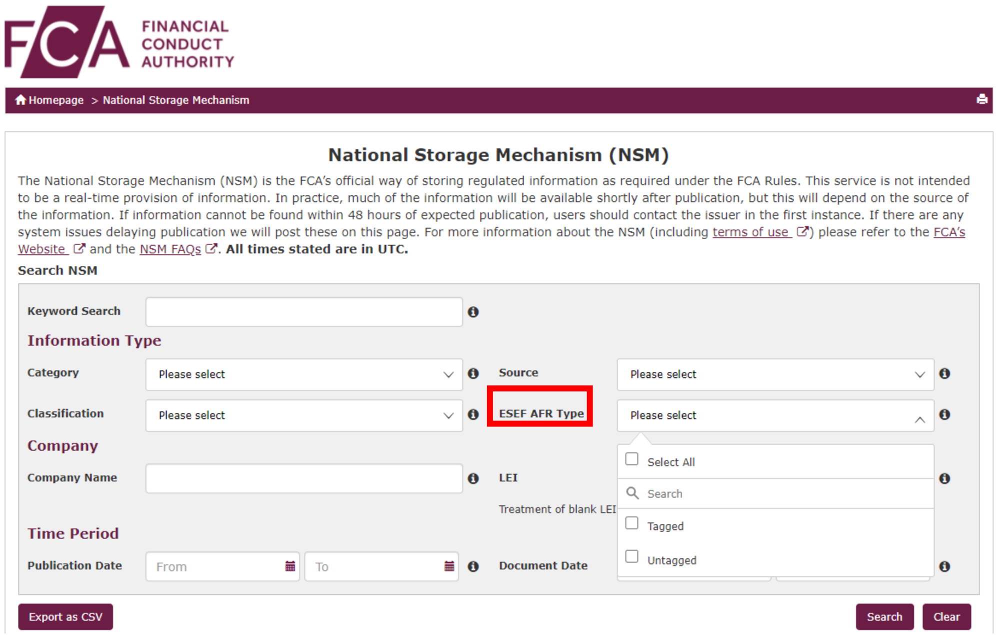


23. How do I search for structured AFRs?

The **ESEF AFR Type** can be used to search for all Annual Financial Reports prepared in a structured electronic format. You can select 'Tagged', 'Untagged' or both by selecting 'Select All'.

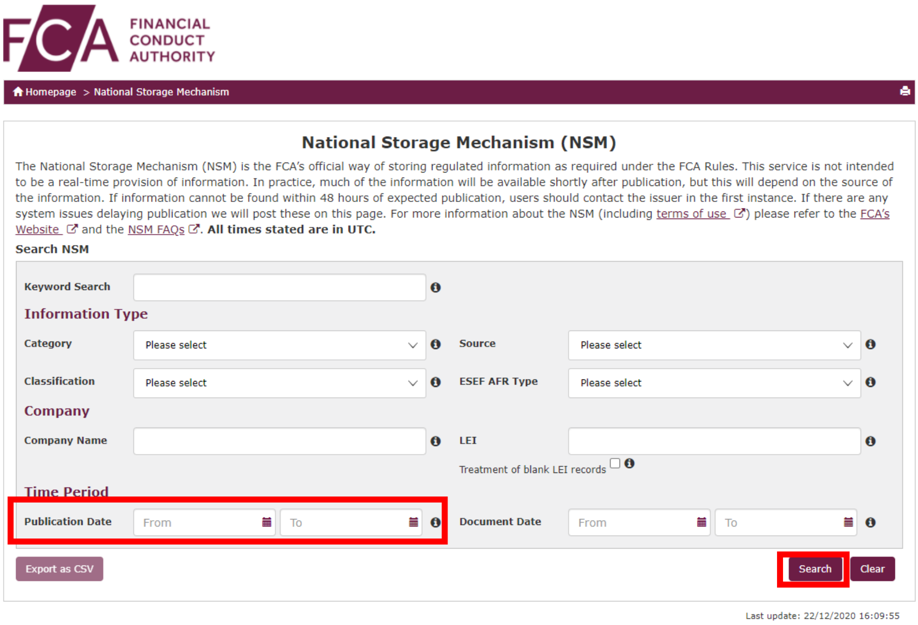
'Tagged' Annual Financial reports are those reports created using XHTML and are also tagged using XBRL. These will be submitted by companies who prepare accounts in line with IFRS.

'Untagged' Annual Financial reports are those reports created using XHTML but are not tagged using XBRL.



24. How do I search for information or announcements published on or between specific date(s)?

The **Publication Date** is the date the information or regulatory announcement was uploaded to the NSM by a submitter or released by the Primary Information Provider (PIP).



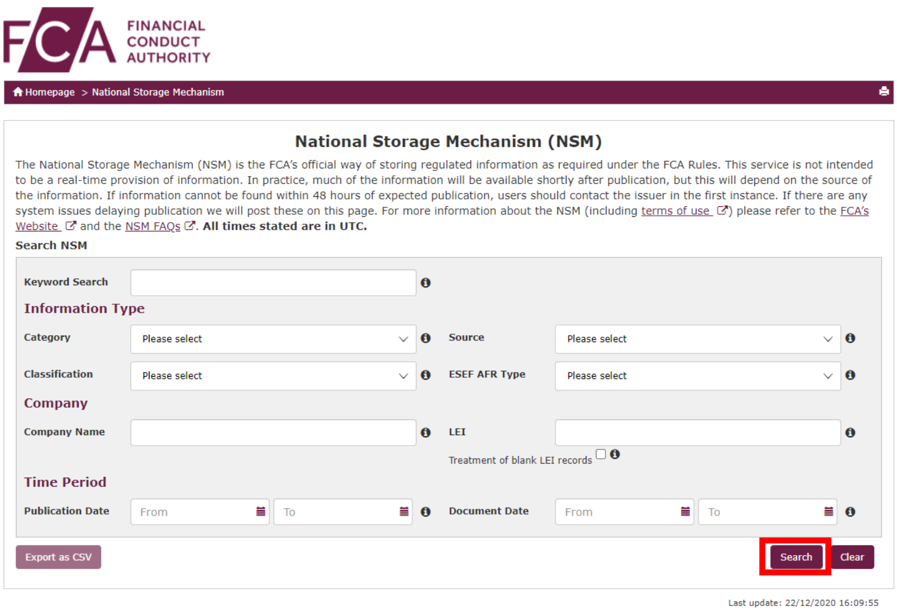
Enter as much information as is known into search fields then enter the date range for when it is believed the materials or announcements were published to the NSM.

Click **Search.**

25. How do I search for information or announcements relating to a specific date?

The **Document Date** is the date to which a document relates to. Enter as much information as is known into search fields then enter the date range that relate to the document or announcement.

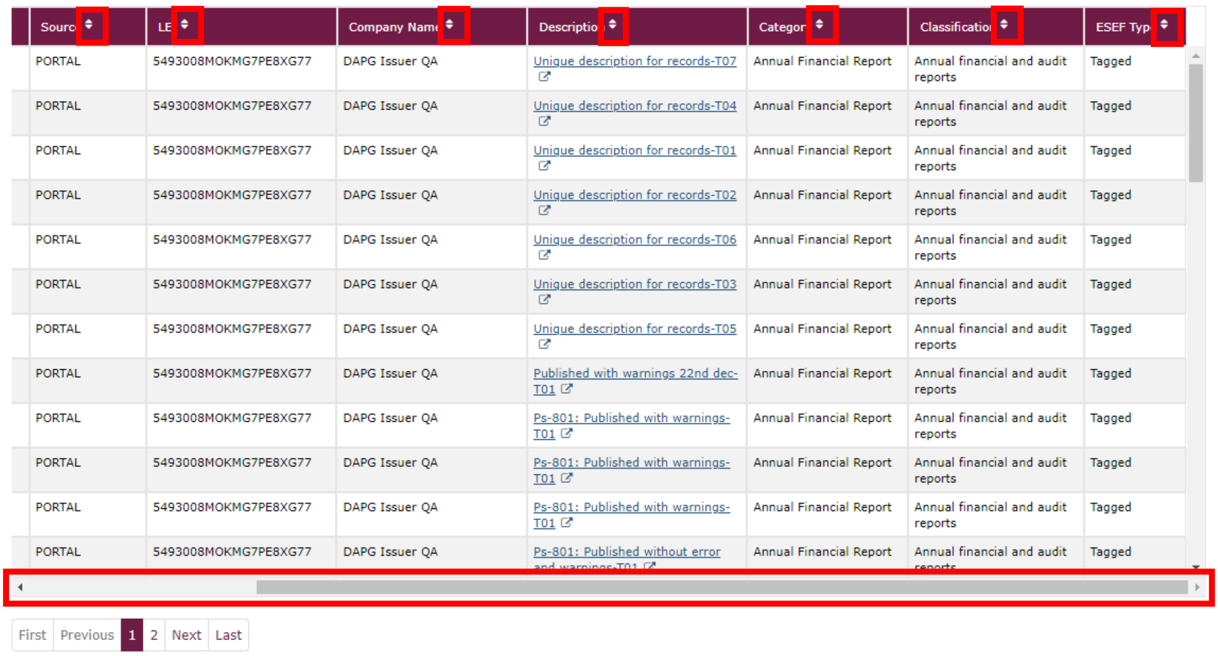
Click **Search.**



26. How do I sort or filter my search results?

After search results are displayed, sort/filter by publication date, document date, source, LEI, company name, description, category, classification and ESEF Type by clicking the downward-facing arrow beside the heading title.

You will need to scroll across to find the **classification** and **ESEF Type** heading title.



27. How do I save or export my search results?

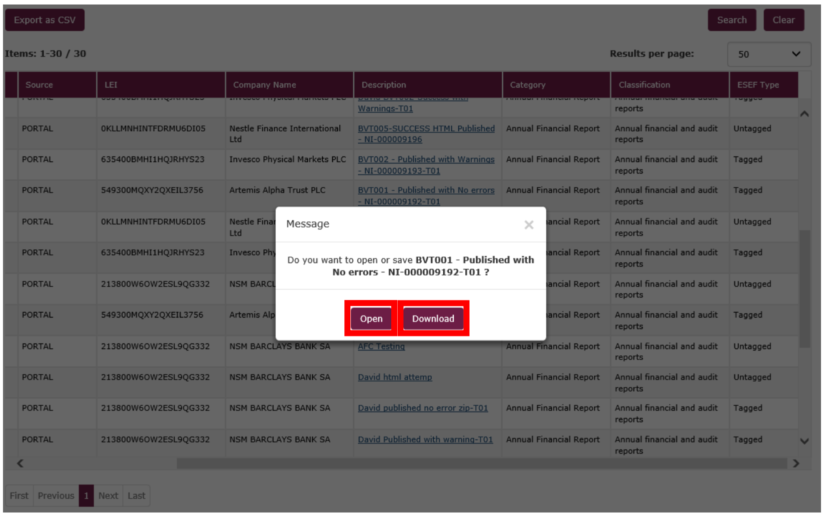
You can save and export a maximum on 4,000 (Four Thousand) records. Once your search results are displayed, click **Export as CSV** and the records can be downloaded to your device in CSV/Excel format.

28. How do I view or save a document on the NSM?

You can view a document on the NSM by clicking on the **Description** title.

To view a 'tagged' Annual Financial report click on the **Description** title where you will be presented with two options. You can either view the file by clicking on **Open** or you can save the file by clicking on **Download**.

Source	LEI	Company Name	Description	Category	Classification	ESEF Type
PORTAL	5493008MOKMG7PE8XG77	DAPG Issuer QA	Unique description for records-T07	Annual Financial Report	Annual financial and audit reports	Tagged
PORTAL	5493008MOKMG7PE8XG77	DAPG Issuer QA	Unique description for records-T04	Annual Financial Report	Annual financial and audit reports	Tagged
PORTAL	5493008MOKMG7PE8XG77	DAPG Issuer QA	Unique description for records-T01	Annual Financial Report	Annual financial and audit reports	Tagged



29. Who do I contact if I cannot find information I searched for?

If information cannot be found within 48 hours of expected publication, please contact the issuer in the first instance.

30. How do I make a complaint against an issuer?

If you would like to contact us about a possible breach of our rules (Listing Rules, the Prospectus Rules and the Disclosure Guidance and Transparency Rules), please read the guidance on Making a complaint against an issuer in the first instance.

You can then write to us at: Market Integrity Unit, Primary Market Oversight Department, Financial Conduct Authority, 12 Endeavour Square, London, E20 1JN, or by email: primary.market.integrity@fca.org.uk.

Please be as explicit as possible about what rules may have been breached.

31. Are there any restrictions on what users can do with information accessed on the NSM?

Use of the NSM is subject to terms and conditions and our acceptable use policy.

Structured reporting: Annual Financial Report Filings

32. What should I do if I need help in understanding structured reporting in terms of NSM filings?

As part of the European Single Electronic Format (ESEF) initiative, there is a new standard for digital financial reporting by companies with transferable securities admitted to trading on UK regulated markets. We recommend you look at the links on our webpage. You may also want to seek guidance from companies which specialise in preparing structured Annual Financial Reports. More information about filing Annual Financial Reports can be found on our filing webpage.

33. Which taxonomies can I use to produce a tagged report? Do I have to use ESEF? Can I extend a taxonomy?

Issuers with an accounting reference date of 1 January 2022 or later must submit tagged AFRs with taxonomies permitted by the FCA. More information on permitted taxonomies can be found on our website

34. Can I submit a report via a Primary Information Provider or other third party?

An issuer can grant permission for a third party to file on your behalf. However, all structured reports must be filed through the ESS portal. Dissemination via a PIP will not be sufficient.

35. What do I do if the issuer's Accounting Reference Date has changed in the year?

Please provide the updated Accounting Reference Date when submitting on the ESS portal.

36. Can I file a structured report if my Accounting Reference Date is before end-December 2021?

It is not required, but yes this will be possible. However, if you need to meet a filing obligation, you must submit an unstructured format (*.pdf) version beforehand using the existing NSM filing process.

37. Can I submit different Annual Financial Report formats at different times?

Yes, although to meet filing obligations, the document must align to the format prescribed in the rules. The filings must also be based on the same original document and information - i.e. it is only the format that changes.

38. What checks will be undertaken on my submission?

All submissions will undergo validation checks. Reports that are tagged will also be subject to checks to ensure the report complies with the relevant taxonomy and guidance. If errors are found, you will be informed and the report will need to be resubmitted.

39. What happens if my report has taxonomy warnings?

The report will be published on the NSM if there are no taxonomy errors or other validation issues. We will inform you of any warnings and recommend these are investigated to increase the quality of the report and avoid any potential issues in relation to future submissions.

40. Where will I be able to view my reports once filed?

You will be able to view and download your submissions on the NSM.

41. How long will it take for my reports to be published on the NSM?

We expect this to be near real-time from submission providing there are no taxonomy or other validation errors.

42. Can I check if my submission has any errors before submitting it for publication on the NSM?

There is an option for companies to submit tagged reports for validation only – i.e. to test submissions. This will mean the AFR will not be published, but an issuer will receive feedback on whether there were any errors or warnings.

Please be aware that this option is voluntary and provides feedback on any validation issues. Submissions using this test facility will not be published on the NSM. To enable a submission to be published, you will need to create a new case on ESS. The test functionality is only available to registered ESS users authorised to submit on the NSM by an issuer.

You must not submit any information which may be considered inside information.

We recommend you remove any personal data, but if submitted it will be processed under the GDPR 'public task' basis. Please see https://www.fca.org.uk/privacy for how we use personal data.

We also recommend you remove information that is confidential for the purposes of section 348 of the Financial Services and Markets Act 2000 (FSMA).

Please note that to process your submission, we send the information (including any personal data or confidential information) to a third party for validation purposes. By selecting a test submission, you give permission for us to do this.

Glossary of Terms

Category: Type of regulated information which an issuer is required to disclose under the Transparency Directive, Listing Rules and Disclosure Guidance and Transparency Rules e.g. 'Annual Financial Report', 'Half-yearly Financial Report' or 'Major shareholding notifications' etc.

Classifications: The classifications relevant to the regulated information (Category) using the classes and sub-classes in DTR 6 Annex 1R. If more than one classification is relevant to the regulated information, the FCA must be notified of all relevant classes and sub-classes.

Company name: The official/legal name of a company.

CSV (Comma Separated Value): a text file that uses a comma to separate values. CSV files usually open in Excel.

Document date: The date to which a document relates to.

ESEF: The European Single Electronic Format (ESEF) initiative is the standard for digital financial reporting by companies admitted to trading on UK regulated markets.

ESEF AFR Type: These are the types of annual financial reports available on the NSM. They can either be 'Tagged' or 'Untagged. 'Tagged' Annual Financial reports were created using XHTML but are also tagged using XBRL and will generally be submitted by companies who prepare accounts in line with IFRS. 'Untagged' Annual Financial reports are those accounts which are not tagged and were created using XHTML (but are not tagged using XBRL).

GLEIF: Global Legal Entity Identifier Foundation. A website at https://search.gleif.org/#/search/ (link to external website) through which users can search for LEIs.

Issuer: an entity which issues transferable securities and, where appropriate, other financial instruments.

Headline codes: Drop down list of multiple regulation items to filter the Category search function known in Annex 4 as 'Headline Category' e.g. 'Annual Financial Report', 'Half-yearly Financial Report' or 'Major shareholding notifications' etc.

LEI: The legal entity identifier (LEI) of the issuer concerned. "LEI" is a unique global identifier a Company has to distinguish itself from other legal entities engaging in financial transactions.

Publication date: The date a document/announcement was released via a Regulatory Information Service (RIS) or uploaded to the NSM.

Source: Source of the information, listed by the relevant Primary Information Provider (PIP) / Regulatory Information Service (RIS). Portal uploads are listed as 'Portal'.

Regulated information: all information which an issuer is required to disclose under the Transparency Directive, article 6 of the Market Abuse Directive; Listing Rules, and Disclosure Guidance and Transparency Rules. Examples are annual financial reports, change of name, Directors' declaration, half-yearly financial report, major shareholding notifications etc.

Regulatory Information Service (RIS): Also known as Primary Information Providers (PIPs), an incoming information service that disseminates regulated information in accordance with the minimum standards set out in Article 12 of the Transparency Directive (TD) Implementing Directive.