

# **Submitter User Guide for the National Storage Mechanism (NSM)**

Version 10.0

March 2025

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## Overview

The National Storage Mechanism (NSM) is an online storage facility for regulated information required to be disclosed under our Listing Rules (LR), Disclosure Guidance and Transparency Rule (DTRs) and Prospectus Regulation Rules. Listed issuers should upload documents such as annual reports and circulars ('regulated information') in order for that information to be displayed on the NSM.

All submitters to the NSM are required to register for an Electronic Submission System (ESS) account and provide evidence they are authorised to file regulated information on behalf of the issuers they represent.

This user guide aims to provide submitters with a step-by-step guide to uploading information to the NSM.

For step-by-step guide for searching on the NSM for regulated information, please refer to [NSM User Guide](#)

V10.0 updates:

- Annual financial reports are also accepted in xbrl report package format.

# 1. Accessing the ESS system

To submit documents to the NSM, first register with the **Electronic Submission System (ESS)** for access.

## Registering for system access

Your registration is subject to approval. You can only send documents to the NSM via this system once you have been accepted as an approved user.



The ESS does not accept group email addresses. All users must register individually for access.

**Sharing your username and password with other users is strictly prohibited.**

To register for system access, follow these 3 steps.

**Step 1:** Go to the [ESS login page](#) and click on **Register for System Access**.



Electronic Submission System

### Electronic Submission System Login

#### Important Notices

Any important notices will be displayed here.

#### Short Selling Regime

If you are already a user of the Short Selling Regime and you have been submitting notifications by emailing the FCA, then you will have to register to use the Electronic Submission System (ESS) by clicking on this [link](#).  
 If you are an existing ESS user or if you have already completed registration, please login to ESS by providing your credentials below.  
 For issues relating to registering for an ESS user account please contact our general administrative line on 020 7066 8348 or email [itaadmin@fca.org.uk](mailto:itaadmin@fca.org.uk)  
 For issues relating to SSR submissions please email the Position Monitoring Unit [pmu@fca.org.uk](mailto:pmu@fca.org.uk).

#### Login

Login to Electronic Submission System. [Need help?](#)

Username

Password

[Forgot Your Password?](#)
[Register for System Access](#)
[Login](#)

#### Data Protection:

When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.


#### EU Withdrawal

"The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and the EU. The FCA's [Interpretative Guide on completing our forms after the UK's withdrawal from the EU](#) Interpretative Guide on completing our forms after the UK's withdrawal from the EU does not apply during the implementation period and we have not amended our forms. Please complete forms as previously until further notice."

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**Step 2:** Enter your registration details, then **Submit**.

**Electronic Submission System - User Registration Request**

 Please supply your Personal and Company Information Mandatory fields are denoted by an \*

**My Personal Information**

Title \*

First Name \*

Last Name \*

Email Address \*   
Your email address will be your username. Please enter an individual work email address and not a group or consolidated email address.

Confirm Email Address \*

**Company Information**

Company Name \*

Mailing Street \*

Mailing City \*

Mailing State/Province

Mailing Zip/Postal Code \*

Mailing Country \*

Contact Number \*   
This must be your direct line telephone number, not a switchboard number

Fax Number

**Submit** **Cancel**

When providing your registration details, please note:

- Your email address must be your **work email address**. We do not accept registrations from public domains such as Gmail.
- Your email address will be used as your ESS username.
- Your contact telephone number must be your direct line, not a switchboard number.
- Your company information (company address, contact number and fax) will be used on all cases where you are the named as the Primary Contact.

**Step 3:** Click on **I Accept** to accept the terms and conditions.



## Electronic Submission System

### Electronic Submission System - User Registration Request

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited. Please refer to the FCA Privacy Statement [here](#).

**I Accept**

Cancel

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When you click **I Accept**, you will see the **Registration confirmation** message and an email will be sent to your registered email address. At this point, your request is now with us for approval. Click on **OK** to complete the registration process.



## Electronic Submission System

### Registration Confirmation

Thank you for registering for access to our Electronic Submission System. Your registration request has been submitted successfully. An email confirming your registration request has been sent out to your registered email address. If you have not received an email within 24 hours, please contact the UKLA Operational Support team on 02070668348.

**OK**

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You will be sent an email once a decision is made.

If you choose **Cancel** in Step 3, the registration request you have created will be void and no further action will be taken.

## Activating your ESS registration

Once we have approved your registration, an email will be sent to your registered email address. This email will confirm your username and provide a link to activate your account.

Click on the link in the email and you will be prompted to set a password when you first log in.

### Change Your Password

Enter a new password for **david@bigcompanyplc.com**. Your password must have at least:

- ☐ 8 characters
- ☐ 1 uppercase letter
- ☐ 1 lowercase letter
- ☐ 1 number
- ☐ 1 special character  ⓘ

\* New Password

\* Confirm New Password

Change Password

Password was last changed on 18.04.2018 16:37.

Your password must be at least 8 characters long, with a mix of uppercase, lowercase, numerical and special characters :!#\$%-\_+=<>.


## If your ESS registration request is rejected

If your registration has been rejected, an email will be sent to your registered email address. If you have any queries you can call our **General administrative help desk** on the number provided in the email.

Logging in

Users will now need to register for multi-factor authentication (“MFA”) to be able to log into Electronic Submission System. **PLEASE NOTE** that you do **NOT** need to create a new ESS registration when registering for MFA. Further guidance on MFA registration can be found at <https://www.fca.org.uk/firms/multi-factor-authentication-fca-systems>.

To log into Electronic Submission System, you will need to enter your username, password, and 6-digit one time passcode from either your authenticator app, SMS text or voice call to authenticate (MFA). Note: enter the username in lowercase.



FINANCIAL  
CONDUCT  
AUTHORITY

Electronic Submission System

Electronic Submission System Login

Important Notices

Login

Login to Electronic Submission System. [Need help?](#)

Username

Password

[Forgot Your Password?](#) | [Register for System Access](#)

Login

Data Protection:

When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

After 3 unsuccessful login attempts, your account will be locked for 20 minutes. If a further unsuccessful login attempt is made, your account will be locked, and you will need to contact the support team to unlock your account.

Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.

david@bigcompanyplc.com Log Out

Electronic Submission System Login

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited.

Please refer to the [FCA Privacy Statement](#) here.

I Accept

☐

Next



You can view the FCA Privacy Statement using the on-screen link, or at <https://www.fca.org.uk/privacy>.

## Logging out

You can log out of the system at any time by clicking on your username in the top right corner of the page and selecting **Logout** from the dropdown.



Electronic Submission System

 DAVID SMITH

HOME

GET HELP

CHANGE PASSWORD

MY PROFILE

My Profile

Logout



Please ensure you have saved all information you have entered before you log out.

## 2. Managing your ESS profile and password

### If you forget your password

If you forget your password, click on the **Forgot Your Password?** link on the login page.

**FCA** FINANCIAL CONDUCT AUTHORITY **Electronic Submission System**

**Electronic Submission System Login**

**Important Notices**

**Login**

Login to Electronic Submission System. [Need help?](#)

Username

Password

[Forgot Your Password?](#) [Register for System Access](#) [Login](#)

**Data Protection:**

*When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.*

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You'll be asked to provide your email address. This is your registered email address which is also your ESS username.

An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, numerical and special characters: !#\$%-\_+=<>.
- The new password you choose cannot be one of the last 12 passwords you have used before.

### Changing your ESS password

Once you have registered and successfully logged in, you can change your password anytime by choosing **Change Password** on the home page.

**Electronic Submission System**

[User Icon]

HOME CREATE NEW CASE MY ORGANISATIONS **CHANGE PASSWORD** GET HELP MY PROFILE

---

My Cases

☒ Case Number
 ☐ Organisation Name

|            |               |            |
|------------|---------------|------------|
| Drafts (8) | Submitted (1) | Closed (0) |
|------------|---------------|------------|

You'll then be asked to enter your current password and your new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, numerical and special characters: !#\$%-\_+=<>.
- The new password you choose cannot be one of the last 12 passwords you have used before.

**Electronic Submission System**

[User Icon]

HOME CREATE NEW CASE MY ORGANISATIONS **CHANGE PASSWORD** GET HELP MY PROFILE

---

Change Password

Mandatory fields are denoted by an \*

1. Enter Current Password

\* Current Password

2. Enter New Password

\* New Password

\* Confirm New Password

Username: \_\_\_\_\_ Last Logged In: 13/02/2020 07:42

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When done, click on the **Save** button.

## Updating your ESS profile

Once your registration is approved and you have logged in, you can view and update your profile details at any time by clicking on the **MY PROFILE** link on the home page.

**Electronic Submission System**

[User Icon]

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP **MY PROFILE**

---


My Cases

☒ Case Number
 ☐ Organisation Name

|            |               |            |
|------------|---------------|------------|
| Drafts (8) | Submitted (1) | Closed (0) |
|------------|---------------|------------|

You will now be able to view and update your profile details.

**Electronic Submission System**



HOME   CREATE NEW CASE   MY ORGANISATIONS   CHANGE PASSWORD   GET HELP   **MY PROFILE**

---

**My Profile Information**

This page allows you to update any of your personal information. Mandatory fields are denoted by an \*

**My Profile Information**

|   |  |
|---|--|
| * Title<br><input type="text" value="Ms."/>                 | * First Name<br><input type="text" value="Eno"/>                         |
| Email<br><input type="text" value="eno.ndukwe@fca.org.uk"/> | * Last Name<br><input type="text" value="Ndukwe"/>                       |
| * Phone<br><input type="text" value="07857425531"/>         | Company Name<br><input type="text" value="Financial Conduct Authority"/> |
| Fax<br><input type="text"/>                                 |  |

**Address Information**

|   |  |
|---|--|
| * Mailing Street<br><input type="text" value="12 Endeavour House, Ashton Reach"/> | * Mailing City<br><input type="text" value="London"/>              |
| Mailing State/Province<br><input type="text"/>                                    | * Mailing Zip/Postal Code<br><input type="text" value="SE16 7EQ"/> |
| * Mailing Country<br><input type="text" value="United Kingdom"/>                  |  |

**Additional Options**

Apply changes to Open Cases where I am the Primary Contact  
☐

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For security reasons, you cannot change your email address and company name. These fields are displayed but cannot be edited.

Should your email address change while you are working with the same organisation, you must contact our general administrative help desk who will update your profile with your new email address.



Please keep your contact details up to date at all times. These details will be used in our correspondence for all cases where you are the Primary Contact.

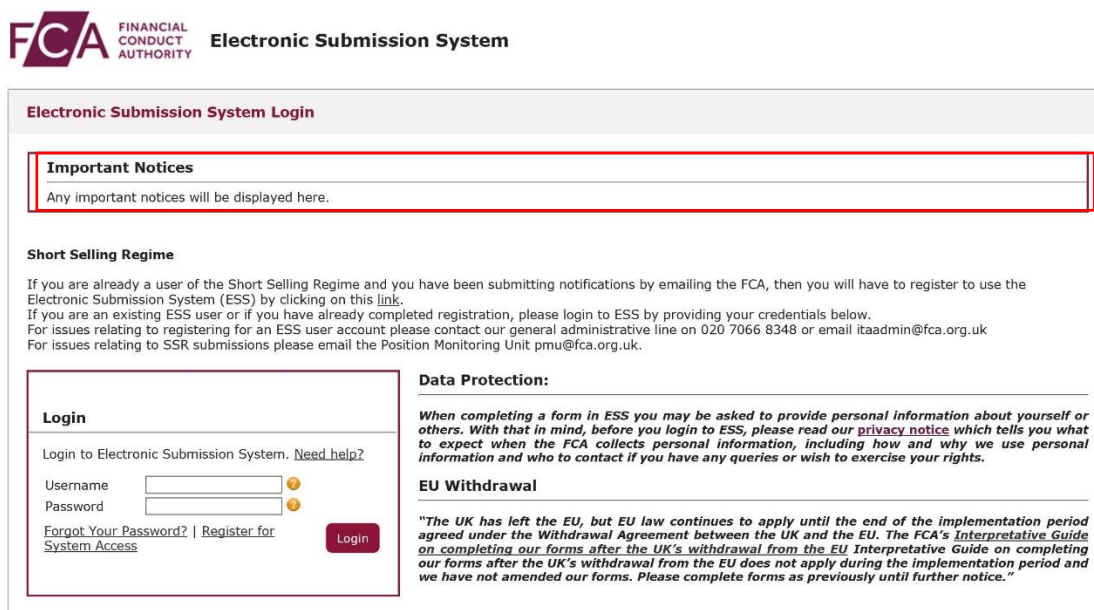
Once you made all the changes required, you can choose to update the contact details on all the cases where you are the named Primary Contact. This can be done by selecting the option to **Apply changes to Open Cases where I am the Primary Contact** in the **Additional Options** section.

Your address on closed (Approved, Withdrawn or Lapsed) cases will not be updated.

### 3. Understanding the user interface

## Important notices

On the login page, you will see a section for **Important Notices**. We update this section regularly to keep you informed about news such as system unavailability or recent changes.



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## My Cases page

On successful login, you will be directed to the My Cases home page.

This page displays a list of all cases you have created or where you are a member of the case team. You will see all **Draft** cases by default, however if you want to see a list of all **Submitted** or **Closed** cases, click on the **Submitted** or **Closed** tab respectively.

Electronic Submission System

HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

MY PROFILE

My Cases

Search...

Go

☒ Case Number

☐ Organisation Name

Drafts (9)

Submitted (1)

Closed (1)

Show10

Search in 9 records

| CASE NUMBER | TEAM | CASE TYPE                                 | ORGANISATION | CREATED DATE     |
|-------------|------|---|--------------|------------------|
| 00221077    | NSM  | NSM Authorisation                         |              | 13/02/2020 08:05 |
| 00220957    | NSM  | NSM Authorisation                         |              | 10/02/2020 14:37 |
| 00220956    | NSM  | NSM Authorisation                         |              | 10/02/2020 14:36 |
| 00220774    | NSM  | NSM Authorisation                         |              | 06/02/2020 14:19 |
| 00220662    | NSM  | NSM Authorisation                         |              | 04/02/2020 13:09 |
| 00220660    | NSM  | NSM File Upload                           |              | 04/02/2020 13:07 |
| 00220581    | NSM  | NSM Authorisation                         |              | 03/02/2020 16:25 |
| 00219942    | PMU  | Registration for Existing Position Holder |              | 20/01/2020 10:57 |
| 00219125    | PMU  | Registration for Existing Position Holder |              | 17/12/2019 15:13 |

Prev

1

Next

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The **Get Help** option in the top navigation bar takes you to the relevant FCA website where you will find more help on information on documents you need to submit and how to use the system.

The **Home** option will return you to the **My Cases** home page.

Mandatory fields

Mandatory fields are marked with a red asterisk (\*). You must enter a value in these fields before you proceed to Save or Submit.

My Profile Information

This page allows you to update any of your personal information.

Mandatory fields are denoted by an \*

My Profile Information

\* Title

Mr.

\* First Name

David

Email

david@bigcompanyplc.com

\* Last Name

Smith

Error messages

When you click Save or Submit, an error message will be displayed if you have not entered mandatory values or if the data you have entered is invalid.

Error messages are displayed at the top of the screen. They will disappear automatically after a few seconds, or you can close them manually by clicking on the cross.

My Profile Information

Please enter phone number

This page allows you to update any of your personal information.

Mandatory fields are denoted by an \*

My Profile Information

\* Title

Mr.

\* First Name

David

Email

david@bigcompanyplc.com

\* Last Name

Smith

\* Phone

Company Name

Big Issuer PLC

Help text

Help text is provided for all important fields on all pages. Help text may be displayed on the screen.

NSM Email Address

*Please provide the email address of the contact uploading the approved document(s) onto the National Storage Mechanism. This email address is required for approval and needs to be reconfirmed upon final submission of document(s).*


Help text can also be viewed by clicking on the  icon next to a field.

Requested

Approval of a product under PR3.1

Same Day Supply

Case Information

Transaction Title(s) 


Please include the document titles as they appear on the Main Documents (excluding Issuer Name as this is captured in the next section). Transaction titles can be updated at any time prior to approval. Please separate multiple titles with commas.

Case pagination

By default, the system will display 10 cases at a time, but you can increase the number of cases shown using the dropdown list next to the **Show** button.

To see more cases, use the **Next** or **Previous** buttons. These will only become active when there are more cases than will fit on one page.

HOME   CREATE NEW CASE   MY ORGANISATIONS   CHANGE PASSWORD   GET HELP   MY PROFILE

 My Cases

Search...

Go

☒ Case Number   ☐ Organisation Name

Drafts (9)

Submitted (1)

Closed (1)

Show 10

Search in 9 records

| CASE NUMBER | TEAM | CASE TYPE                                 | ORGANISATION | CREATED DATE     |
|-------------|------|---|--------------|------------------|
| 00221077    | NSM  | NSM Authorisation                         |              | 13/02/2020 08:05 |
| 00219125    | PMU  | Registration for Existing Position Holder |              | 17/12/2019 15:13 |

Prev

1


Next



## Search

You can search for cases by entering a case number or issuer name in the search box and clicking **Go**.

[HOME](#) [GET HELP](#) [CHANGE PASSWORD](#) [MY PROFILE](#)

 My Cases

☒ Case Number ☐ Issuer Name

You can enter a part of the Issuer Name or the Case Number. The search results will only list relevant cases you have access to.

☒ Case Number ☐ Issuer Name

Search Results

Show

| CASE NUMBER | STATUS | ISSUERS        | CREATED DATE     | LAST SUBMITTED DATE | CLOSED DATE | VIEW COMMENTS                 |
|-------------|--------|----------------|------------------|---------------------|-------------|-------------------------------|
| 00140438    | Open   | Big Issuer PLC | 24/04/2018 09:49 | 29/04/2018 11:25    |             | <a href="#">View Comments</a> |

[Prev](#) [1](#) [Next](#)

## 4. Issuer authorisation

As part of the NSM registration process, all submitters must provide evidence they are authorised to file regulated information on behalf of the issuers they represent.

### Authorisation letter template

Submitters to the NSM need an authorisation letter from each issuer they represent and must apply for authorisation by uploading the authorisation letter into the ESS. We have provided a [template for the letter](#).

#### Completion notes

- An authorisation letter is required for all issuers, even if you are an employee of that issuer.
- All fields in square brackets must be completed.
- Two signatories are required. Signatories need to be a Partner, President, Treasurer, Corporate Secretary, or Director of the issuer.
- The authorisation letter should be presented on letterheaded paper from the issuer.
- The authorisation letter must be dated within 1 month of the date of submitting the authorisation request.

### Authorisation letter submission

#### Step 1: Log into ESS

Once you have your authorisation letter ready, [log into ESS](#). You will need to enter your username and password and click on **Login**. Enter the username in lowercase.

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Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.

david@bigcompanyplc.com [Log Out](#)

## Electronic Submission System Login

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited.

Please refer to the FCA Privacy Statement [here](#).

I Accept

☐

Next

## Step 2: Create a new case

19

**Electronic Submission System**

[User Icon]

HOME **CREATE NEW CASE** MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

---

**My Cases**

☒ Case Number ☐ Organisation Name

Drafts (6) Submitted (0) Closed (0)

Show 10 Search in 6 records

| CASE NUMBER | TEAM | CASE TYPE                                 | ORGANISATION | STATUS      |
|-------------|------|---|--------------|-------------|
| 00220774    | NSM  | NSM Authorisation                         |              | Draft       |
| 00220662    | NSM  | NSM Authorisation                         |              | Draft       |
| 00220660    | NSM  | NSM File Upload                           |              | Draft Draft |
| 00220581    | NSM  | NSM Authorisation                         |              | Draft       |
| 00219942    | PMU  | Registration for Existing Position Holder |              | Draft       |
| 00219125    | PMU  | Registration for Existing Position Holder |              | Draft       |

Prev 1 Next

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**Step 3:** Select the **NSM AUTHORISATION** tab and click **Create Case**.

**Electronic Submission System**

[User Icon]

HOME **CREATE NEW CASE** MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

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**Case Categories**

**Select Case Category**

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT - ADMISSIONS (EXCLUDING FINAL TERMS) >
- ISSUER MANAGEMENT - CHANGES TO THE OFFICIAL LIST >
- SHORT SELLING REGISTRATION REQUEST FORMS >
- NSM AUTHORISATION** v

**Authorisation for NSM**  
Use this option if you want to get authorised for an Issuer to make filings on their behalf to the FCA

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**Step 4:** Continue to the page below and click **Start**

### Authorisation for NSM

[? Help](#) [✓ Checklist](#)

|                       |          |                   |                         |
|-----------------------|----------|-------------------|-------------------------|
| Case Reference Number | 00220957 | Date/Time Opened  | Monday, 10 Feb 20 14:37 |
| Case Status           | Draft    | Opened By         | Eno Ndukwe              |
| Closed On             |          | Last Submitted By |                         |
| Closed By             |          | Last Submitted On |                         |

| FORM                  | STATUS                            | REQUIRED                                   |
|-----------------------|-----------------------------------|--|
| Authorisation Details | <input type="radio"/> Not Started | (Yes) <input type="button" value="Start"/> |

[illegible]

**Step 5:** You will be presented with the screen below. Enter the Legal Entity Identifier (LEI) number of the issuer you have been authorised to submit on behalf of and click **Search**.



The LEI is a 20-character, unique alpha-numeric code.

You can search for an issuer's LEI on the Global Legal Identifier Foundation (GLEIF) website: <https://search.gleif.org/>

The search feature will only match the beginning of a word and does not allow for multiple word searches. For example, entering 'Lasa', 'Lasaco', 'Assu', 'Assura', 'Assurance', 'Pl', 'Plc' will return 'Lasaco Assurance Plc' but entering 'Assurance Plc' will not.

Next, in the **Authorisation Form** section, upload the authorisation letter and click **Save**.

You will need to submit a separate authorisation case for each issuer you want to be able to upload for.

Electronic Submission System

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

### Authorisation Details

Current Status: In-Progress | Last Modified By: Eno Ndukwe

[Back to Case](#) [Save](#)

#### Firm/Issuer Details

☒ Search by LEI  [Search](#) [Clear](#)

\* LEI

\* Firm Name

#### Authorisation Form

Please select at least one Document to add to your case. Valid file types are: \*.doc;\*.docx;\*.pdf;\*.jpeg;\*.jpg;  
A file name cannot contain any of the following characters > : / \ | ? \*  
If you need further assistance or to download sample template for Authorisation Letter, please go through the instruction in this link

Document Type: NSM Authorisation Letter [Upload Files](#) Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

| Document(s) ready for submission |           |         |                         |          |
|----------------------------------|-----------|---------|-------------------------|----------|
| DOCUMENT TYPE                    | FILE NAME | VERSION | REMOVE FROM SUBMISSION  | DOWNLOAD |
| Submitted Document(s)            |           |         |                         |          |
| DOCUMENT TYPE                    | FILE NAME | VERSION | SUBMITTED DATE AND TIME | DOWNLOAD |

[Back to Case](#) [Save](#)

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**Step 6:** On the next screen, you will be presented with a case reference number and confirmation that your authorisation letter was successfully uploaded.

Use the '**Edit**' button to make changes to any information that you have entered or uploaded. Once you are happy with your entries, tick the button to agree to the terms and conditions and click **Submit Case**.

# Electronic Submission System

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[HOME](#)   [CREATE NEW CASE](#)   [MY ORGANISATIONS](#)   [CHANGE PASSWORD](#)   [GET HELP](#)   [MY PROFILE](#)

**Authorisation for NSM**

[? Help](#)   [✓ Checklist](#)

|   |   |
|---|---|
| <b>Case Reference Number</b><br><br><b>Case Status</b><br><br><b>Closed On</b><br><br><b>Closed By</b>                      | <b>Date/Time Opened</b><br><br><b>Opened By</b><br><br><b>Last Submitted By</b><br><br><b>Last Submitted On</b> |
| <div style="border: 2px solid red; padding: 2px; display: inline-block;"><b>00220965</b></div><br><br>Draft<br><br><br><br> | Monday, 10 Feb 20 16:54<br><br>John Brown<br><br><br><br>   |

| FORM                  | STATUS  | REQUIRED   |
|-----------------------|---|--|
| Authorisation Details | <div style="border: 2px solid red; padding: 2px; display: inline-block;">  Ready to Submit                 </div> | (Yes) <div style="border: 2px solid red; padding: 2px; display: inline-block; float: right;">  Edit         </div> |

Terms & conditions: (Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here.)

☐ I agree terms & conditions

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**Step 7:** Confirm the submission by clicking **Submit**.

Electronic Submission System

HOMECREATE NEW CASEMY ORGANISATIONSCHANGE PASSWORDGET HELPMY PROFILE

Authorisation for NSM

? Help✓ Checklist

Case Reference Number

00220965

Date/Time Opened

Monday, 10 Feb 20 16:54

Case Status

Draft

Opened By

Eno Ndukwue

Closed On

Last Submitted By✕

Closed By

FORMYou are about to submit the Case.Are you sure you want to submit the Case?

Authortisation DetailsSubmitEdit

Terms & conditions: ( Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. Terms and Conditions message goes here. )

☒ I agree terms & conditions

Submit Case

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**Step 8:** A green tick on the next screen confirms that the authorisation letter has been successfully submitted to us for verification.

[illegible]

You will also receive an email confirming your request has been submitted for processing.

After assessing the authorisation form, we will email you to either confirm your authorisation, or to explain why your request has been rejected and instructions on what to do next.



# 5. Submitting information to the NSM



Please note if you are submitting Annual Financial Reports in a structured electronic format such as ESEF you must follow the steps listed below in [Submitting annual financial reports in a structured electronic format](#) section of this guide.

You can only submit to the NSM after we have approved your ESS registration and separately authorised you for each company you want to submit for.

**Step 1:** [Log into ESS](#) following steps 1 – 3 for the Issuer Authorisation process if you haven’t done so already.

**Step 2:** Navigate to the **NSM file upload** tab and click **create case**

NATIONAL STORAGE MECHANISM

Authorisation for NSM  
Use this option to request authorisation to upload documents to the NSM on behalf of an issuer

Help Create Case

**NSM File Upload**  
Use this option to upload documents to the National Storage Mechanism

Help Create Case

NSM Support Case  
Use this option if you have any queries regarding the NSM File Upload or Authorisation process including updates to your profile

Help Create Case

**Step 3:** Click through to the file upload screen. Clicking within the box titled **Search or select category** will present you with a drop-down list of information categories. Select the category of information you wish to upload to the NSM.

NSM Document

Search | Add Category

1st Quarter Results  
Annual Report  
3rd Quarter Results  
2nd Quarter Results  
4th Quarter Results  
Acquisition  
Additional Listing  
AGM Results  
AGM Statement  
Announcement re: Rights Issue  
Annual Financial Report

Save

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**Step 4:** Click **Add category** and it will be displayed beneath with a '+' (plus) sign beside it. **Click on the '+' sign**

The screenshot shows the 'NSM Document' form. At the top, there is a search bar containing '1st Quarter Results' and an 'Add Category' button. Below this, a message states: 'Please click on the "+" to continue with the document upload and fill in the mandatory information'. Underneath the message is a list item: '+ 1st Quarter Results NI-000001484 Draft'. The plus sign is highlighted with a red box. To the right of the list item are two icons: a trash can and a flag.

**Step 5:** Click the **upload files** button to upload documents and you will receive confirmation when your file has been uploaded successfully. Click **Done**.

The screenshot shows the 'NSM Document' form. It includes the same search bar and 'Add Category' button as the previous screenshot. Below the message, the list item '1st Quarter Results NI-000001484 Draft' is visible. A new section titled 'Document Upload' is shown below. It contains a message about valid file types and a file name restriction. Below this message are two buttons: 'Upload Files' (highlighted with a red box) and 'Or drop files'.

The screenshot shows a modal dialog box titled 'Upload Files'. It displays a file named 'Change of provider.docx' with a size of '32 KB' and a progress bar. A green checkmark indicates the upload is successful. Below the file information, it says '1 of 1 file uploaded'. A 'Done' button is located at the bottom right of the dialog box. The background shows a blurred view of the 'Case Document' section.

**Step 6:** In the **case document section**, select one or more classifications relevant to the uploaded document category and use the right-facing arrow to select them. Use the left-facing arrow to remove any classifications that may have been incorrectly selected.



Hover your mouse over the help text icon to get helpful descriptions for each field.

Enter a document description, a document date and a publication date then click **Save**.

Case Document Info

Choose a classification. You can select multiple values

Save

\* Classification of regulated information (DTR 6)

Available

Acquisition or disposal of the issuers own shares

Additional regulated information required to be disclosed under the laws of a Member State

Annual financial and audit reports

Changes in the rights attaching to the classes of shares or securities

Chosen

\* Description

\* Document Date

\* Publication Date

You will receive confirmation that the document has been saved successfully.

✓

Success!  
Document Info is saved successfully

✕

**Step 7:** The **select issuers section** will automatically list all issuers that you have been authorised to submit regulated information on behalf of. You may select multiple issuers if relevant to the document you are uploading. **When you select the issuer(s) you will need to click next to the issuer and then also click the arrow in the middle to confirm the selection.** Then **click save**.

You will receive confirmation that the record has been saved successfully.

Select Issuers

List of Authorised Issuers : Please Select Issuer(s) with respect to document for selected Category

AVAILABLE ISSUERS

☐

ISSUER

LEI NUMBER

☐

prevezerco

2384275978050

SELECTED ISSUERS

No issuers have been selected for this document

✓

Success!  
The record has been saved successfully.

✕

**Step 8:** Read the Terms & Conditions. Ticking the box to agree the Terms & Conditions will allow you to **Submit case**.

Terms & conditions:

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Any content you upload to our site will be considered non-confidential and non-proprietary. You retain all of your ownership rights in your content, but you are required to grant us and other users of our site a limited licence to use, store and copy that content and to distribute and make it available to third parties including for commercial purposes.

Where you are uploading any content to our site on behalf of another person, you warrant that you have been granted authority by that third party to undertake that upload on their behalf and you will be liable to us and indemnify us for any breach of that warranty. This means you will be responsible for any loss or damage we suffer as a result of your breach of warranty.

We also have the right to disclose your identity to any third party who is claiming that any content posted or uploaded by you to our site constitutes a violation of their intellectual property rights, or of their right to privacy.

We have the right to remove any posting you make on our site if, in our opinion, your post does not comply with the content standards set out in our [Acceptable Use Policy](#).

You are solely responsible for securing and backing up your content.

☒ I agree terms & conditions

Submit Case

**Step 9:** The confirmation screen will have your reference number which should be quoted in any communication to us. You can also view your submission by clicking on **view**.

NSM File Upload

Help

Checklist

Case Reference Number00222167

Date/Time OpenedThursday, 02 Apr 20 14:47

Case StatusClosed

Opened By

Closed OnThursday, 02 Apr 20 17:27

Last Submitted By

Closed Byn

Last Submitted OnThursday, 02 Apr 20 17:27

| FORM            | STATUS                          | REQUIRED |
|-----------------|---------------------------------|----------|
| NSM File Upload | <div><div></div>Completed</div> | (Yes)    |

View

## 6. Submitting annual financial reports in a structured electronic format



Please note if you are submitting an Annual Financial Report in an unstructured format such as PDF you must follow the steps listed above in [Submitting information to the NSM](#) section of this guide.

Please note that we offer a “test” facility for submitting TAGGED annual financial reports. This functionality is only available to registered ESS users authorised to submit on the NSM by an issuer. If you select “test submission only” (see below for more details) then your AFR not be made publicly available on the NSM but you will receive feedback if there are any errors or warnings.<sup>1</sup>

**Step 1:** Select the **CREATE NEW CASE** tab from the bar at the top of the page

Electronic Submission System

HOME **CREATE NEW CASE** MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

Case Categories

Search Case Category or Case Type here to create a new case

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- NATIONAL STORAGE MECHANISM >
- ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

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[Accessibility Statement](#)

**Step 2:** Select **Annual Financial Report in Structured Electronic Format** tab

<sup>1</sup> 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.

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.

Information uploaded for test submissions will be deleted after two weeks.

Electronic Submission System

HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

MY PROFILE

Case Categories

Search Case Category or Case Type here to create a new case

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

ISSUER MANAGEMENT

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS

NATIONAL STORAGE MECHANISM

ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF)

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Accessibility Statement

**Step 3:** Navigate to the **Annual Financial Report in Structured Electronic Format** tab and click **create case**

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

ISSUER MANAGEMENT

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS

NATIONAL STORAGE MECHANISM

ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF)

Authorisation for NSM

Use this option to request authorisation to upload documents to the NSM on behalf of an issuer

Help

Create Case

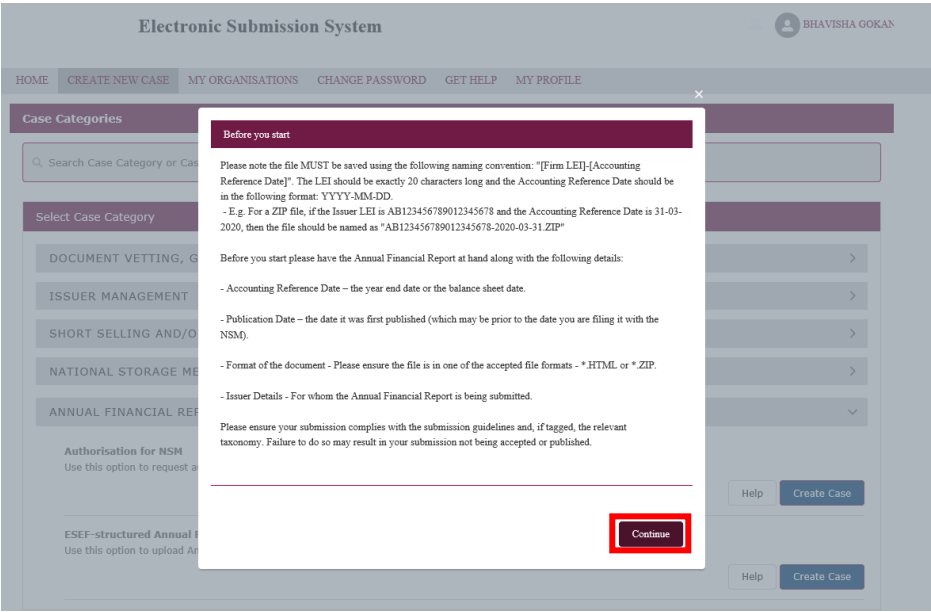
Annual Financial Reports in Structured Electronic Format

Use this option to upload Annual Financial Reports in a structured or tagged format (e.g. ESEF) to the National Storage Mechanism

Help

Create Case

Step 4: Read the 'Before you start' pop-up box carefully and click **Continue**



In addition to \*.HTML and \*.ZIP, the system will also accept files in the \*.XHTML and \*.XBRI file formats.

Step 5: Continue to the page below and click **Start**

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

ESEF-structured Annual Financial Reports

Help Checklist

|                       |          |                   |                           |
|-----------------------|----------|-------------------|---------------------------|
| Case Reference Number | 00369384 | Date/Time Created | Thursday, 17 Dec 20 09:53 |
| Case Status           | Draft    | Opened By         | Bhavisha Gokani           |
| Closed On             |          | Last Submitted By |                           |
| Closed By             |          | Last Submitted On |                           |

| FORM                        | STATUS                            | REQUIRED           |
|-----------------------------|-----------------------------------|--------------------|
| NSM Annual Financial Report | <input type="radio"/> Not Started | (Yes) <b>Start</b> |

**Note:** If you are Ready to Submit, please accept the Terms and Conditions and Submit the case.

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- Our Acceptable Use Policy, which sets out the permitted uses and prohibited uses of our site. When using our site, you must comply with this Acceptable Use Policy.

**Step 6:** Click on **Annual Financial Report Format** drop down box and select the format of the Annual Financial Report you wish submit (tagged or untagged).

### Important – File Size Limit for Structured Annual Financial Reports

**PLEASE NOTE** that the system is only able to process files up to a size of **100MB**. Any files larger than this may remain 'in progress' and will not constitute a filing. Please ensure the size of any submission is less than this limit prior to uploading.

The screenshot shows the 'NSM Annual Financial Report' interface. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this, the main header displays 'NSM Annual Financial Report'. The current status is 'In-Progress' and it was last modified by 'Nandini Bajpai'. There are 'Back to Case' and 'Save' buttons. The main section is titled 'Annual Financial Report' and shows a draft for 'Annual Financial Report NI-000085532'. The 'Document Upload' section contains a dropdown menu labeled 'Select Annual Financial Report format'. The dropdown is open, showing options: '--None--', 'Untagged XHTML report (\*.html or \*.xhtml file)', and 'iXBRL tagged reporting package (\*.zip or \*.xbri file)'. The 'iXBRL tagged reporting package' option is highlighted with a red box.

**Step 7: FOR TAGGED REPORTING PACKAGE SUBMISSIONS ONLY** Select whether this is a submission for **filing** or a **test submission only**. If you select **test**, the AFR will not be made publicly available but you will receive feedback on any errors or warnings. If you do not select **test** and your package passes all the validations, it will be made publicly available on the NSM.

The screenshot shows the 'Case Information' section. It contains a dropdown menu labeled 'Are you looking to have this version of the AFR published on the NSM?'. The dropdown is open, showing options: '--None--', 'Test submission only', and 'Submission for filing'. The 'Test submission only' option is selected, indicated by a checkmark.



**Step 8: FOR TAGGED REPORTING PACKAGE SUBMISSIONS ONLY** Select the region where the issuer is incorporated (i.e. UK, EEA or another region).

Case Information

\* Are you looking to have this version of the AFR published on the NSM?

--None--

Complete this field.

\* Region of Incorporation

--None--

✓ --None--

UK

EEA

Other (Neither UK nor EEA)

**Step 9:** Click the **upload files** button to upload the Annual Financial Report. Please ensure the file you upload follows the naming convention stated in the [Technical Guidelines for the Preparation and Submission of Structured Annual Financial Reports to the FCA](#)

Annual Financial Report

Annual Financial Report NI-000085532 Draft

Document Upload

\* Select Annual Financial Report format

--None--

✓ --None--

Untagged XHTML report (\*.html or \*.xhtml file)

XBRL tagged reporting package (\*.zip or \*.xbri file)

named as "AB123456789012345678-2020-03-31.ZIP"

Upload Files

Or drop files

## Important - Naming convention for Structured Annual Financial Reports

The FCA requires issuers to adopt a specific naming convention for the uploaded file or package. It needs to be in the format {LEI}-{date}.zip or .html or .xhtml or .xbri, whereby:

- The {LEI} component of the filename should be the 20-character LEI of the issuer
- The {date} component of the filename should indicate the accounting reference date / balance sheet year-end date. The {date} component should follow the YYYY-MM-DD format.

For example -

213800YWQOYL4VQODV50-2020-08-01.html or

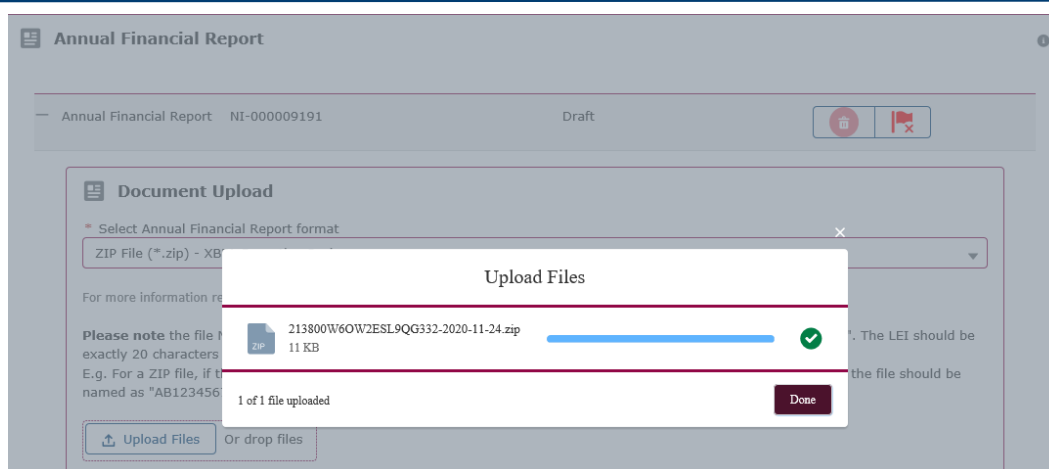
213800YWQOYL4VQODV50-2020-08-01.xhtml or

213800YWQOYL4VQODV50-2020-08-01.zip or

213800YWQOYL4VQODV50-2020-08-01.xbri

depending on the whether the submission is tagged or untagged.

Please consult our [Technical Guidelines for the Preparation and Submission of Structured Annual Financial Reports to the FCA](#)



You will receive confirmation that the document has been saved successfully.



**Step 10:** In the case document section, please complete the following mandatory fields: **Description**, **Accounting Reference Date** and **Publication Date**. Please note that the publication date is when the structured AFR was published (rather than the date when a PDF version was published). If this is the first time the structured AFR has been published, or it is a test case, please enter the current date/time.

Case Document Info

Save Document Info


Note: This section needs to be saved separately by clicking the 'Save Document Info' button.

\* Classification of regulated information (DTR 6)  
Annual financial and audit reports

Description

Accounting Reference Date

Publication Date

 Hover your mouse over the help text icon to get helpful descriptions for each field.

**Step 11:** The select issuers section will automatically list all issuers that you have been authorised to submit regulated information on behalf of. Please select **one** issuer.

**When you select the issuer, you will need to click next to the issuer and then also click the arrow in the middle to confirm the selection.**

Select Issuers

List of Authorised Issuers : Please Select Issuer(s) with respect to document for selected Category

AVAILABLE ISSUERS

☐

ISSUER

LEI NUMBER

☐

prevezenco

2384275978050

SELECTED ISSUERS

No issuers have been selected for this document

 Success!

The record has been saved successfully.



## Step 12: Read the Terms & Conditions. Ticking the box to agree the Terms & Conditions will allow you to **Submit case**.

**Terms & conditions:**

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Any content you upload to our site will be considered non-confidential and non-proprietary. You retain all of your ownership rights in your content, but you are required to grant us and other users of our site a limited licence to use, store and copy that content and to distribute and make it available to third parties including for commercial purposes.  
Where you are uploading any content to our site on behalf of another person, you warrant that you have been granted authority by that third party to undertake that upload on their behalf and you will be liable to us and indemnify us for any breach of that warranty. This means you will be responsible for any loss or damage we suffer as a result of your breach of warranty.  
We also have the right to disclose your identity to any third party who is claiming that any content posted or uploaded by you to our site constitutes a violation of their intellectual property rights, or of their right to privacy.  
We have the right to remove any posting you make on our site if, in our opinion, your post does not comply with the content standards set out in our [Acceptable Use Policy](#).  
You are solely responsible for securing and backing up your content.

☒ I agree terms & conditions

**Submit Case**

## Step 13: Confirm that you are ready to submit the case and click on **submit**

NSM Annual Financial Report Ready to Submit (Yes) Edit

Note: If you are Ready to Submit, please accept the Terms and Conditions and Submit the case.

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Where you are uploading any content to our site on behalf of another person, you warrant that you have been granted authority by that third party to undertake that upload on their behalf and you will be liable to us and indemnify us for any breach of that warranty. This means you will be responsible for any loss or damage we suffer as a result of your breach of warranty.  
We also have the right to disclose your identity to any third party who is claiming that any content posted or uploaded by you to our site constitutes a violation of their intellectual property rights, or of their right to privacy.  
We have the right to remove any posting you make on our site if, in our opinion, your post does not comply with the content standards set out in our [Acceptable Use Policy](#).  
You are solely responsible for securing and backing up your content.

☒ I agree terms & conditions

**Confirm Submit Case**  
Please confirm you are ready to submit the case.


**Submit**

**Submit Case**

On submission, the date/time is recorded to create an NSM filing date, which will be displayed publicly.

After clicking 'submit', you may receive an error saying that the name of the uploaded file is incorrect. If so, verify that the LEI and date in the filename are correct and that you have correctly completed the accounting reference date (step 10) and selected an issuer (step 11 – including clicking the blue arrow button in the middle).

**Step 14:** The confirmation screen will have your reference number which should be quoted in any communication to us. You can also view your submission by clicking on **view**.

| ESEF-structured Annual Financial Reports           |   |                   |                           |
|--|---|-------------------|---------------------------|
| <a href="#">? Help</a> <a href="#">✓ Checklist</a> |   |                   |                           |
| Case Reference Number                              | 00369384  | Date/Time Opened  | Thursday, 17 Dec 20 09:53 |
| Case Status  | Closed  | Opened By         |                           |
| Closed On  | Thursday, 17 Dec 20 11:46   | Last Submitted By | Bhavisha Gokani           |
| Closed By  | bnavisna Gokani   | Last Submitted On | Thursday, 17 Dec 20 11:46 |
| FORM   | STATUS  | REQUIRED          |                           |
| NSM Annual Financial Report                        |  Completed | (Yes)             | <a href="#">View</a>      |

Annual financial reports in electronic format submitted to the NSM will be subject to additional validation checks after submission. If validation is passed, the submission will be accepted and made publicly available.

If there are only minor issues, the submission will be accepted and filed. However, these issues (referred to as “warnings”), should be investigated by issuers and their advisors. If you have investigated a warning and concluded there is no underlying issue to address, no further action is required.

If errors are identified, the submission will be rejected and will not be filed on the NSM. Once the errors are corrected, the submitter will need to resubmit a new case by following **steps 1 to 14**.

Please note that if you select Test submission and the submission passes the validations, you will still need to create another ESS AFR case to submit the package to the NSM. It is not possible to use the test case again for publication.

## 7. Accessing warnings and errors related to the submission of structured annual financial reports

If your submission has errors and/or warnings, the submitter will be notified via email with a link to these errors and/or warnings. This link is also accessible via the ESS portal.



In addition to errors and/or warnings, you may also receive "information" messages. These messages are just to inform you of any validation checks which have not been performed by our system. No action is required on these.

**Step 1:** Click on **HOME** tab to take you to **My Cases**.

**Electronic Submission System**

BHAVISHA GOKAN

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search... Go

☒ Case Number ☐ Organisation Name

Drafts (10) Submitted (0) Closed (11)

Show 10 Search in 10 records

| CASE NUMBER | TEAM | CASE TYPE                   | ORGANISATION | CREATED DATE     |
|-------------|------|-----------------------------|--------------|------------------|
| 00369051    | NSM  | NSM Annual Financial Report |              | 04/12/2020 11:13 |
| 00369048    | NSM  | NSM Annual Financial Report |              | 04/12/2020 10:48 |

**Step 2:** Click on **Closed** cases tab.

**Electronic Submission System**

BHAVISHA GOKAN

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search... Go

☒ Case Number ☐ Organisation Name

Drafts (10) Submitted (0) **Closed (11)**

Show 10 Search in 10 records

| CASE NUMBER | TEAM | CASE TYPE                   | ORGANISATION | CREATED DATE     |
|-------------|------|-----------------------------|--------------|------------------|
| 00369051    | NSM  | NSM Annual Financial Report |              | 04/12/2020 11:13 |
| 00369048    | NSM  | NSM Annual Financial Report |              | 04/12/2020 10:48 |

**Step 3:** Select the **case number** for the Annual Financial Report you wish to check.

Note - If the NSM Annual Financial Report you have submitted is rejected you will see the word '**Rejected**' on the **SUB STATUS**.

HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

MY PROFILE

My Cases

Search...

Go

Case Number

Organisation Name

Drafts (10)

Submitted (0)

Closed (11)

Show

10

Search in 11 records

| CASE NUMBER | TEAM | CASE TYPE                   | ORGANISATION | STATUS | SUB STATUS  | CLOSED DATE      |
|-------------|------|-----------------------------|--------------|--------|-------------|------------------|
| 00369384    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 17/12/2020 11:46 |
| 00369362    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:59 |
| 00369355    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:37 |
| 00369353    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:33 |
| 00369352    | NSM  | NSM Annual Financial Report |              | Closed | Rejected    | 16/12/2020 12:29 |
| 00369349    | NSM  | NSM Annual Financial Report |              | Closed | Rejected    | 16/12/2020 12:27 |
| 00367533    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 24/09/2020 13:21 |
| 00367364    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:57 |
| 00367361    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:53 |
| 00367347    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:45 |

Note If the report is published with warnings you will see the word '**Published**' on the **SUB STATUS**.

HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

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My Cases

Search...

Go

Case Number

Organisation Name

Drafts (10)

Submitted (0)

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Show

10

Search in 11 records

| CASE NUMBER | TEAM | CASE TYPE                   | ORGANISATION | STATUS | SUB STATUS  | CLOSED DATE      |
|-------------|------|-----------------------------|--------------|--------|-------------|------------------|
| 00369384    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 17/12/2020 11:46 |
| 00369362    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:59 |
| 00369355    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:37 |
| 00369353    | NSM  | NSM Annual Financial Report |              | Closed | Published   | 16/12/2020 12:33 |
| 00369352    | NSM  | NSM Annual Financial Report |              | Closed | Rejected    | 16/12/2020 12:29 |
| 00369349    | NSM  | NSM Annual Financial Report |              | Closed | Rejected    | 16/12/2020 12:27 |
| 00367333    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 24/09/2020 13:21 |
| 00367364    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:57 |
| 00367361    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:53 |
| 00367347    | NSM  | NSM Annual Financial Report |              | Closed | In Progress | 28/08/2020 10:45 |

**Step 4:** Click on the **view** button to see your submission.

HOME   CREATE NEW CASE   MY ORGANISATIONS   CHANGE PASSWORD   GET HELP   MY PROFILE

ESEF-structured Annual Financial Reports

[? Help](#)   [✓ Checklist](#)

|                       |                            |                   |                            |
|-----------------------|----------------------------|-------------------|----------------------------|
| Case Reference Number | 00369349                   | Date/Time Opened  | Wednesday, 16 Dec 20 12:25 |
| Case Status           | Closed                     | Opened By         | Bhavisha Gokani            |
| Closed On             | Wednesday, 16 Dec 20 12:27 | Last Submitted By | Bhavisha Gokani            |
| Closed By             | Bhavisha Gokani            | Last Submitted On | Wednesday, 16 Dec 20 12:27 |

| FORM                        | STATUS      | REQUIRED             |
|-----------------------------|-------------|----------------------|
| NSM Annual Financial Report | ✔ Completed | (Yes)                |
|                             |             | <a href="#">View</a> |

Note: If you are Ready to Submit, please accept the Terms and Conditions and Submit the case.

Rejected Structured Annual Financial Reports

If your submission is rejected you will get a description on the top right-hand side to explain why it's been rejected. This status could either be an 'Invalid Reporting Package' or 'Validation Failed'.

To access the errors, see underneath the Annual Financial Report submitted, click on **click here** to access the link explaining the warnings and errors.

Annual Financial Report   NI-000009168

Invalid Reporting Package

Document Upload

\* Select Annual Financial Report format

ZIP File (\*.zip) - XBRL Reporting Package

For more information regarding the file submissions please see the submitter guide [here](#) or the ESEF webpage [here](#).

**Please note** the file MUST be saved using the following naming convention: "[Issuer LEI]-[Accounting Reference Date]". The LEI should be exactly 20 characters long and the Accounting Reference Date should be in the following format: YYYY-MM-DD.  
E.g. For a ZIP file, if the Issuer LEI is AB123456789012345678 and the Accounting Reference Date is 31-03-2020, then the file should be named as "AB123456789012345678-2020-03-31.ZIP"

Upload Files

 Or drop files

Annual Financial Report\_V001

**Warning/Error:**  
Please [click here](#) for more detailed technical information on warnings or errors returned



Annual Financial Report
NI-000009207
Validation Failed

### Document Upload

\* Select Annual Financial Report format

ZIP File (\*.zip) - XBRL Reporting Package

For more information regarding the file submissions please see the submitter guide [here](#) or the ESEF webpage [here](#).

**Please note** the file MUST be saved using the following naming convention: "[Issuer LEI]-[Accounting Reference Date]". The LEI should be exactly 20 characters long and the Accounting Reference Date should be in the following format: YYYY-MM-DD.  
E.g. For a ZIP file, if the Issuer LEI is AB123456789012345678 and the Accounting Reference Date is 31-03-2020, then the file should be named as "AB123456789012345678-2020-03-31.ZIP"

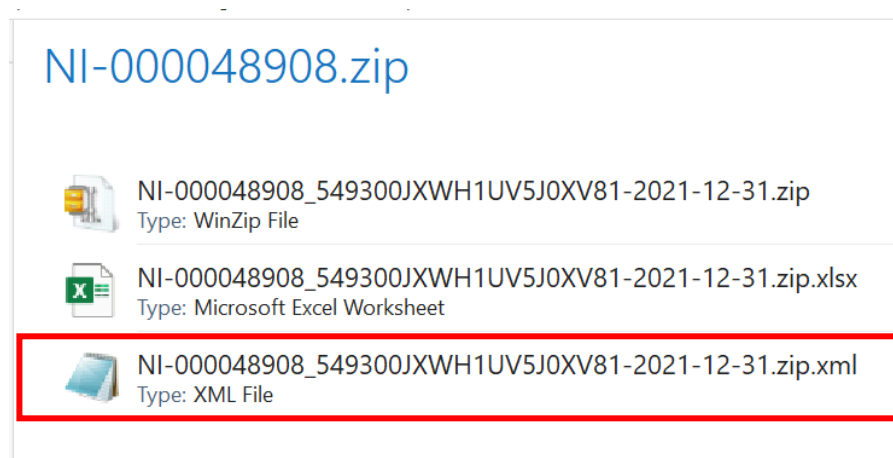
Or drop files

Annual Financial Report\_V005 X

**Warning/Error:**

Please [click here](#) for more detailed technical information on warnings or errors returned

This will download a zip file containing the list of errors and warnings in xml format, which can be opened in Notepad or a similar tool.



## Published with warnings Structured Annual Financial Reports

If your submission is published with warnings please note the description on the top-right hand side will show status as published.

To access the warnings, see underneath the Annual Financial Report submitted, click on **click here** to access the link explaining the warnings.

Annual Financial Report

NI-000009203

Published

Document Upload

\* Select Annual Financial Report format

ZIP File (\*.zip) - XBRL Reporting Package

For more information regarding the file submissions please see the submitter guide [here](#) or the ESEF webpage [here](#).

**Please note** the file MUST be saved using the following naming convention: "[Issuer LEI]-[Accounting Reference Date]". The LEI should be exactly 20 characters long and the Accounting Reference Date should be in the following format: YYYY-MM-DD.  
E.g. For a ZIP file, if the Issuer LEI is AB123456789012345678 and the Accounting Reference Date is 31-03-2020, then the file should be named as "AB123456789012345678-2020-03-31.ZIP"

Upload Files

Or drop files

Annual Financial Report\_V001 X

Warning/Error:

Please [click here](#) for more detailed technical information on warnings or errors returned

**Please note the information provided in the Warning/Error link is intended for technical audiences and assumes that the reader has working knowledge of relevant technical issues. Issuers may need to seek professional advice and support where necessary.**

For further information regarding validation results please refer to [Technical Guidelines for the Preparation and Submission of Structured Annual Financial Reports to the FCA](#)

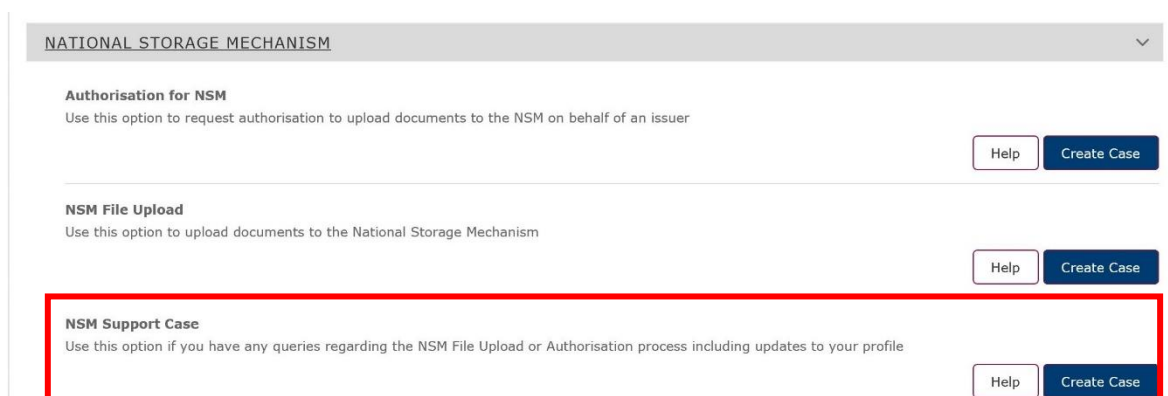
## 8. Raising a support ticket

You can raise a support ticket for issues you might encounter or administrative tasks you wish carried out on the NSM such as:

- A request to withdraw a person's authorisation to upload for an issuer.
- Resolution of a problem with a document on the NSM.
- Uploaded documents not appearing on the NSM website (although please wait 24 hours before contacting us as sometimes documents won't appear immediately).

**Step 1:** Log into ESS following steps 1 – 3 for the Issuer Authorisation process above.

**Step 2:** Navigate to the **NSM support case** tab and click **create case**




The screenshot displays a web interface for the National Storage Mechanism (NSM). At the top, there is a header bar labeled 'NATIONAL STORAGE MECHANISM' with a dropdown arrow. Below this, there are three distinct sections, each with a title, a brief description, and two buttons: 'Help' and 'Create Case'.

- Authorisation for NSM:** Use this option to request authorisation to upload documents to the NSM on behalf of an issuer.
- NSM File Upload:** Use this option to upload documents to the National Storage Mechanism.
- NSM Support Case:** Use this option if you have any queries regarding the NSM File Upload or Authorisation process including updates to your profile.

The 'NSM Support Case' section is highlighted with a red rectangular border, indicating it is the selected option for creating a support ticket.

**Step 3:** Click through to the support ticket form. Add a description of the issue you are experiencing or the administrative task you wish to be carried out.

**Upload files** such as screenshots to provide additional information to explain the problem and **click save**.

**Support Ticket Form**

\* Select Category ⓘ

Please choose a category for the support request you want to submit.

\* Describe your request in a few words

Please include relevant details that will help us resolve your request in a timely manner

Description is mandatory. Please fill in the description before saving the form

Upload a document that can further explain your issue, like screenshots of error messages etc. You can also upload a document to replace a document that you previously uploaded to NSM.

Upload Files

Or drop files

Valid file types are \*.doc;\*.docx;\*.xls;\*.xlsx;\*.pdf;\*.xml;\*.jpg;\*.jpeg  
A file name cannot contain any of the following characters >: "\|?\*

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Document(s) ready for submission

| DOCUMENT TYPE | FILE NAME | VERSION | REMOVE FROM SUBMISSION | DOWNLOAD |
|---------------|-----------|---------|------------------------|----------|
|---------------|-----------|---------|------------------------|----------|

Submitted Document(s)

| DOCUMENT TYPE | FILE NAME | VERSION | SUBMITTED DATE AND TIME | DOWNLOAD |
|---------------|-----------|---------|-------------------------|----------|
|---------------|-----------|---------|-------------------------|----------|

Back to Case

Save

**Step 4:** The confirmation screen will have your reference number which should be quoted in any communication to us. You can also view your submission by clicking on **view**.

NSM Support Case

?

Help

Case Reference Number00222168

Case StatusDraft

Closed On

Closed By

Date/Time OpenedThursday, 02 Apr 20 17:35

Opened ByEno Ndukwe

Last Submitted By

Last Submitted On

| FORM             | STATUS                                | REQUIRED                         |
|------------------|---------------------------------------|----------------------------------|
| NSM Support Case | <div><div></div>Ready to Submit</div> | (Yes) <div><div>Edit</div></div> |

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## Further help

- For further information on the NSM please refer to [NSM Webpage](#).
- For information on structured reporting please refer to [Structured Reporting Webpage](#).
- For information on filing Structured Annual Financial Reports please refer to our [Filing Webpage](#)
- For technical guidance please refer to [Technical Guidelines for preparation and submission of Structured Annual Financial Reports to the FCA](#)
- For more support and FAQs please refer to [NSM: Support & FAQs](#)
- For step by step guide to searching the NSM for regulated information, please refer to [NSM User Guide](#)