

FCA Technical note

Filing of regulated information with the FCA by Primary Information Providers (PIPs)

The guidance in this Technical Note supplements DTR 8.4.30R on the filing of regulated information by PIPs.

The purpose of this Technical Note is to guide PIPs in meeting their obligations to provide regulatory information. PIPs should read this Technical Note alongside DTR 8.

Rules

DTR 8.4.30R

Our approach to the transmission and exchange of data

DTR 8.4.30R requires PIPs to supply free of charge all regulated information that they disseminate to the FCA.

The FCA's National Storage Mechanism (NSM) submission system uses a secure machine-to-machine interface in order to exchange data. All messages exchanged with the NSM system will be in JSON format, using a schema defined by the FCA, with a ZIP attachment containing an XML file for the announcement submission.

PIPs and the FCA will be able to exchange data via 3 API endpoints:

- 1. Authentication:** To gain access to the NSM system, the PIPs will need to use the provided credentials in the HTTPS header while making the authentication API call. After the credentials are verified, PIPs will receive an authentication access token, which enables them to access the two other APIs for submitting announcements or requesting feedback on submitted announcements.
- 2. Announcement submission:** The FCA will provide a second HTTPS API URL through which the PIPs will be able to submit disclosures using the token received from the first API call. This API request must contain the metadata in a JSON body with a ZIP attachment containing an XML file. PIPs must use the XSD schema supplied by the FCA for the XML file. The NSM checks each PIP submission against API and business rules to ensure the data can be processed. The response from the NSM will be an acknowledgement of receipt and a unique FCA Submission ID.
- 3. Feedback:** The PIPs will be able to receive feedback for the submitted information via another HTTPS API URL, using the unique FCA submission ID received from the previous API call or based on a timestamp. Each submission by the PIP will receive feedback irrespective of whether the validations were successful or not. The feedback response will contain the submission status of an announcement in the NSM, which could either be in-progress, published with no warning, published with warning(s) or a rejection message including detailed warning and error information. If the information sent by the PIP could not be processed, the feedback will enable the PIP to correct the corresponding errors and resubmit the information.

Table: Data requirements

XML Data Section	Field	Mandatory	Description	Format
PIP	PIPCode	Yes	Code that identifies the PIP	3-character code [A-Z]{3}
MessageCreationDate	MessageCreationDate	Yes	Date and time at which the PIP created the message for submission to the FCA	YYYY-MM-DDTHH:MM:SSZ
AnnouncementID	UniqueAnnouncementID	Yes	Unique identifier for the disclosure, determined by the PIP	Max. 50-character code [A-Za-z0-9._-]{1,50}
	Version	Yes	Version number of the disclosure Must be '1' for the initial disclosure, and should be incremented by 1 for each further correction if the PIP uses the same UniqueAnnouncementID	1-digit code [1-9]{1}
PreviousIDVersion	UniqueAnnouncementID	If disclosure type is correction	Unique identifier of the previous disclosure that is being corrected with this announcement	Max. 50-character code [A-Za-z0-9._-]{1,50}
	Version		Version number of the previous disclosure that is being corrected with this announcement	1-digit code [1-9]{1}
CorrectionReason	CorrectionReason	If disclosure type is correction	Narrative description of the reason for correcting the disclosure.	Max. 500-characters
DisclosingOrg	DisclosingOrgLEIAvailable	Yes	True if the disclosing organisation has an LEI False if the disclosing organisation does not have an LEI (e.g., one of the regulatory bodies in DTR 8 Annex 1R without an LEI)	Boolean true/false

XML Data Section	Field	Mandatory	Description	Format
	LEI	If DisclosingOrgLEIAvailable = True	LEI of the disclosing organisation	20-character code [A-Z0-9]{18,18}[0-9]{2,2}
	Name	Yes	Name of the disclosing organisation	150-characters ^.{1,150}
RelatedOrgAvailable	RelatedOrgAvailable	Yes	False if the issuer that is the subject of the disclosure is the same as the disclosing organisation OR False if HeadlineCode = 'NAV' and the disclosing organisation has used the exemption not to provide related issuers' details OR False if no related organisations are issuers OR True in all other cases	Boolean true/false
RelatedOrg (0-150 instances)	RelatedOrgLEIAvailable	If RelatedOrgAvailable = True	True if LEI of the related issuer is available False in all other cases	Boolean true/false
	LEI	If RelatedOrgLEIAvailable = True	LEI of the related issuer	20-character code [A-Z0-9]{18,18}[0-9]{2,2}
	Name	If RelatedOrgAvailable = True	Name of the related issuer	150-characters ^.{1,150}
Category	DTRCategory			
	HeadlineCode	Choice (One of DTR or proprietary)	Headline code listed in DTR 8 Annex 2R	Max 4-character code [A-Z]{2-4}

XML Data Section	Field	Mandatory	Description	Format
	HeadlineCategory	category information)	Headline category listed in DTR 8 Annex 2R	255-characters ^.{1,255}
	ProprietaryCategory			
	HeadlineCode	Choice (One of DTR or proprietary category information)	Code set by the PIPs for a disclosure not listed in DTR 8 Annex 2R	Max 4-character code [A-Z]{1-4}
	HeadlineCategory		Name set by the PIPs for a disclosure not listed in DTR 8 Annex 2R	255-characters ^.{1,255}
Document	DocumentDescription	Yes	Narrative description of the document – this is the headline that can be customised by the submitter.	255-characters ^.{1,255}
	DisclosureText	Yes	Content of the disclosure in HTML format, including any embedded content and hyperlinks	Text with starting <html> and ending </html> tags
PublishingDate	PublishingDate	Yes	Date and time when the PIP disseminated the disclosure to the public	YYYY-MM-DDTHH:MM:SSZ