

Gabriel Profile Switch Rules

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Profile switches are a series of true/false flags based on a firm's characteristics such as its permitted activities and legal status. They are used within some of the RMA data items to "switch off" specific elements which are not relevant to the firm. For example there are sections that need to be completed only for incorporated firms, so all elements within such sections are switched off for unincorporated entities.

Firms using the online system see elements that are switched off as greyed out on the online form. Firms using XML to upload their data or send in direct communications will see errors if they attempt to submit data items containing elements that are switched off. The direct communications request "RetrieveScheduleWithProfileRequest" will return a list of switched off elements for each RMA data item on the firm's schedule.

This document sets out the rules which Gabriel uses to determine which RMA elements are switched on/off according to which profile characteristics a firm has. The profile switch rules are also reflected in the validation rules present in the individual data definitions for each data item (normally in the form of conditional rules, such as "Conditional: Mandatory if firm is incorporated (and not an LLP) otherwise must not be submitted".

	Element	MER Profile characteristic	Element in expression
Item A - Balance sheet	20A to 25A are presented if: A = "True"	Incorporated (Legal Status)	A
	26A to 28A are presented if: A = "False"	Incorporated (Legal Status)	A

	Element	MER Profile characteristic	Element in expression
Item B - Profit and Loss Account	5E to 14E are presented if: A = "False"	APF	A
	1A to 1E are presented if: A = "True"	Mortgage Advising	A
		Mortgage Arranging	B
	2A to 2E are presented if: A = "True"	Rag 9.1	A
	3A to 3E are presented if: A = "True"	RI Advising	A

Element	MER Profile characteristic	Element in expression
1A is presented if: A = "True"	Client Money	A
2A to 2C are presented if: A = "True"	Client Money Rag 9.1	A B
3B is presented if: A = "True"	Client Money Rag 7	A B
4A to 4B are presented if: A = "True"	Client Money Rag 9.1	A B
4C is presented if: A = "True"	Client Money Rag 7	A B
5A to 5B are presented if: A = "True"	Client Money Rag 9.1	A B
5C is presented if: A = "True"	Client Money Rag 7	A B
6A to 6B are presented if: A = "True"	Client Money Rag 9.1	A B
6C is presented if: A = "True"	Client Money Rag 7	A B
7A to 8A are presented if: A = "True"	Client Money	A
10A is presented if: A = "True"	Rag 9.2	A
10B is presented if: A = "True"	Rag 9.1	A
10C is presented if: A = "True"	Rag 7	A

Element	MER Profile characteristic	Element in expression
1A is presented if: A = "True"	Solo Consolidated Subsidiary Rag 9.2	A B
1B is presented if: A = "True"	Solo Consolidated Subsidiary Rag 9.1	A B
1C is presented if A = "True"	Rag 7	A
2A, 3A and 5A are presented if: A = "True"	Client Money Rag 9.1 and Rag 9.2	A B C
2B, 4B and 5B are presented if: A = "False"	Client Money Rag 9.1 and Rag 9.2	A B C
6A to 10A are presented if: A = "True"	Rag 9.1 Rag 9.2	A B
11A to 23A are presented if: A = "True"	Ordinary PIF	A
24A to 32A are presented if: A = "True"	Incorporated (Legal Status) Rag 9.1 and Rag 9.2	A B C
33A to 39A are presented if: A = "False"	Incorporated (Legal Status) Rag 9.1 and Rag 9.2	A B C

	Element	MER Profile characteristic	Element in expression
Item D2 – Financial Resources Non-MiFID- PIFs	18A to 35B are presented if: A = "False"	Low Resource Firm	A
	Element	MER Profile characteristic	Element in expression
Item E - Professional Indemnity Insurance (PII) Self- Certification	1H is presented if: (A = "True" or B = "True") and C = "True"	Mortgage Advising Mortgage Arranging Exempt PII	A B C
	1I is presented if: (A = "True" or B = "True" or C = "True" or D = "True") and E = "True"	GI Advising GI Arranging GI Dealing GI Assisting Exempt PII	A B C D E
	1J is presented if: (A = "True" or B = "True") and C = "True"	RI Advising RI Arranging Exempt PII	A B C
	2H and 3H are presented if: A = "True" or B = "True"	Mortgage Advising Mortgage Arranging	A B
	2I and 3I is presented if: (A = "True" or B = "True" or C = "True" or D = "True")	GI Advising GI Arranging GI Dealing GI Assisting	A B C D
	2J and 3J are presented if: A = "True" or B = "True"	RI Advising RI Arranging	A B
	Column A in the table at line 4 is presented if: A = "True" or B = "True"	Mortgage Advising Mortgage Arranging	A B
	Column B in the table at line 4 is presented if: A = "True" or B = "True" or C = "True" or D = "True"	GI Advising GI Arranging GI Dealing GI Assisting	A B C D
	Column C in the table at line 4 is presented if: A = "True" or B = "True"	RI Advising RI Arranging	A B

	Element	MER Profile characteristic	Element in expression
Item G - Training and Competence	2A, 4A, 5A, 6A, 7A are presented if: A = "True"	Mortgage Advising	A
	2B, 4B, 5B, 6B, 7B are presented if: A = "True"	GI Advising (RETAIL)	A
	2C, 4C, 5C, 6C, 7C are presented if: A = "True"	RI Advising	A
	8A, 9A, 11A, 12A are presented if: A = "True"	Mortgage Advising	A
	10B, 11B, 12B are presented if: A = "True"	GI Advising (RETAIL)	A
	8C, 9C, 11C, 12C are presented if: A = "True"	RI Advising	A
	13C, 14C are presented if: A = "True"	RI Advising RI Arranging	A B
	Element	MER Profile characteristic	Element in expression
Item H - COBS data	3A to 11A are presented if: A = "True"	Appointed Representatives	A

Element	MER Profile characteristic	Element in expression
1A is presented if: A = "True"	Rag 9.2	A
1B is presented if: A = "True"	Rag 9.2 Complaints Exempt	A B
1C is presented if: A = "True"	Rag 9.2 FSCS Exempt	A B
2A is presented if: A = "True"	Rag 9.1	A
2B is presented if: A = "True"	Rag 9.1 Complaints Exempt	A B
2C is presented if: A = "True"	Rag 9.1 FSCS Exempt	A B
3A is presented if: A = "True"	Rag 7	A
3B is presented if: A = "True"	Rag 7 Complaints Exempt	A B
3C is presented if: (A = "True" or B = "True") and	Rag 9.1 Rag 7 FSCS Exempt	A B C
4A is presented if: A = "True"	Rag 7	A
4B is presented if: A = "True"	Rag 7 Complaints Exempt	A B
4C is presented if: A = "True"	Rag 7 FSCS Exempt	A B