RegData Web Service Account
Gateway Development Guide

25 February 2021

DOCUMENT HISTORY

Version	Date	Description
1	13/02/2008	Initial version
2	19/03/2008	Changes for Reporting Basis included in RetrieveScheduleResponse
		Element copyNumber defaults to "1" and is now mandatory
		Update to 2.3.1 fault descriptions
		Updated section 3.1.3 to clarify that each Data Item in a submission is validated in turn and all schema validation errors if any are returned to the Firm System
		All elements named frn have been changed to "firmReferenceNumber"
		Section 2.2 wsu:Id attribute removed from UsernameToken fragment as this is not required.
		Removed schemaErrors from retrieveSubmissionStatus from section 3.4.2
3	28/03/2008	Change to the DataElementError complex type; renamed the dataElementId element to xpath
		In retrieveSubmissionStatusResponse the reportingBasis element is now optional
		The DirectSubmissionResponse message has been changed to include xpath in the schemaErrors element
4	29/06/2009	New element RetrieveScheduleWithProfileRequest and RetrieveScheduleWithProfileResponse is added. These two elements are added to return the profile switch sections with the schedule response requested through gateway.
5	05/01/2010	Change in retrieveSubmissionStatus & retrieveScheduleWithProfile request & response for liquidity. New optional element "operationVersion" added in request to indicate which version of the operation response is required by the firm. New optional element "UnderlyingFlowsBalancesCurrency" added to the response structures of both methods to indicate the underlying currency of the flow being reported.
6	18/08/2010	Change in retrieveScheduleWithProfile response. New optional element " dataItemSchemaVersion" added in response to indicate which version of the data item schema needs to be reported by firm as per reporting period end date.

7	17/01/2011	Added element "fieldRef" to the directSubmission and retrieveSubmissionStatus operation response. Element "fieldRef" indicates handbook field reference of the erroneous data Element. directSubmission changes are applicable for operation version v2 or later and retrieveSubmissionStatus changes are applicable for operation version v3 or later.
		
		   a. New optional element "operationVersion" added in DirectSubmissionRequest to indicate which version of the operation response is required by the firm.
		
		   b. New optional element "fieldRef" added in "schemaErrors/schemaError" of directSubmissionResponse.
		
		   c. New optional element "fieldRef" added in "dataItemResult/validationError" of retrieveSubmissionStatusResponse.

8	06/09/2013	Added elements "fileAttachment", "filename" and "payload" to the complex element "dataItem" of directSubmission request. Element "fileAttachment" indicates the file attached to the REP data items. It is a complex element having below elements
		
		   a) Optional element of "filename" indicates the name of the file attached
		
		   b) Element of "payload" indicates the attached file in base64Binary format
		
		Updated URLs referring to the FCA REGDATA DRG web pages
		
		Updated document to FCA style, removed references to "FSA" and replaced with "FCA"

9	15/01/2014	New web-service method 'submitReturns' is added to Gateway service to support XBRL submission. RetrieveSubmissionStatusResponse amended to return XBRL submission result.
10	13/05/2014	New web-service method 'submitAIFReturns is added to Gateway service to support AIFMD i.e. AIF001 and AIF002 submission.
11	25/01/2021	Amended references of Gabriel to RegData and FSA. Modified diagrams to replace the same. Amended Direct Communication with Web Service Account

		The document no longer contains a full list of all possible currency codes. Those can be referred to easily from the online portal. Formatting and diagrams changed to reflect the new FCA and RegData branding.
12	12/03/2021	Added 2 more Error Messages and Error Codes. MSG500 and MSG600

Table of Contents

1 Introduction

1.1 Background

This document specifies the submission and query interface implemented for the Financial Conduct Authority's Web Service Account Gateway. Any updates to this interface will be reflected in subsequent revisions of this document. This document will also show any differences between earlier interfaces to provide technical information to assist in migrating to later versions.

1.2 Intended audience

This document is intended for architects, developers and other parties interested in building Web Service Account Gateway client applications. It is assumed the reader is familiar with the structure and semantics of Web Service Definition Language, XML Schema and XML programming concepts, and individual FCA Data Item Schemas.

1.3 Document Structure

This document is presented in three sections:

1. Introduction – explaining the document and its purpose

2. Technical Overview – providing an overview of the technologies used and the technical implementation

3. Service Description – describes in detail the interfaces of the Web Service Account Gateway, showing the structure and semantics of the messages

1.4 Scope

This document relates to the FCA REGDATA Web Service Account Gateway and how a Firm can submit Data Items to the Gateway and subsequently query the submission. The Gateway is built using industry-standard tools and technologies, specifically Web-services and related specifications and standards, which include SOAP, WS-Security, and HTTP. This guide will not provide detailed explanations of such standards and specifications but will provide references. Certain features may be elaborated where it may help to clarify the integration approach.

2 Technical Overview

The FCA REGDATA Web Service Account Gateway allows for Firm Data Items to be submitted using a B2B interface. The firm system can retrieve the firms'

schedule from the Gateway, or it can be accessed from the REGDATA website. A Firm System may send in one or more Firm Data Items which will be automatically validated and if successfully validated will be submitted[1] without intervention. Once a Data Item is submitted it can under certain conditions be re-submitted using the same interface.

This chapter is divided into three sections:

1. Web services – an overview of the architecture of the services in the REGDATA Web Service Account Gateway

2. Security – describes the security approach

3. Technical Errors – describes the errors and exceptional conditions that may occur

2.1   Web services

The REGDATA Web Service Account Gateway Service is based on the SOAP 1.1 format over the Hypertext Transport Protocol (HTTP).

A basic Web service is composed of two components:

- The Service Provider—the actual service, being served up by a service container, in this case, the FCA REGDATA Web Service Account Gateway.

- The Service Consumer—The Firms system.

A Web service interaction begins by the Firm obtaining a WSDL file from the FCA REGDATA Website. The WSDL file contains service and invocation information that the Firm system can use to call the service. Once the Firm has obtained the WSDL file, it can invoke a Web service by sending a SOAP request message (containing information such as the service to invoke and any parameters) to the REGDATA Gateway. The REGDATA Gateway receives the message, parses it, and then processes it. Once processing is complete, the REGDATA Gateway returns a SOAP response message (containing any result data) back to the Firm system.

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[1] Submitted in this context is the status of the Data Item i.e. a submitted Data Item is one which has satisfied all business validation and cross validation, and therefore satisfies the regulatory reporting requirement.
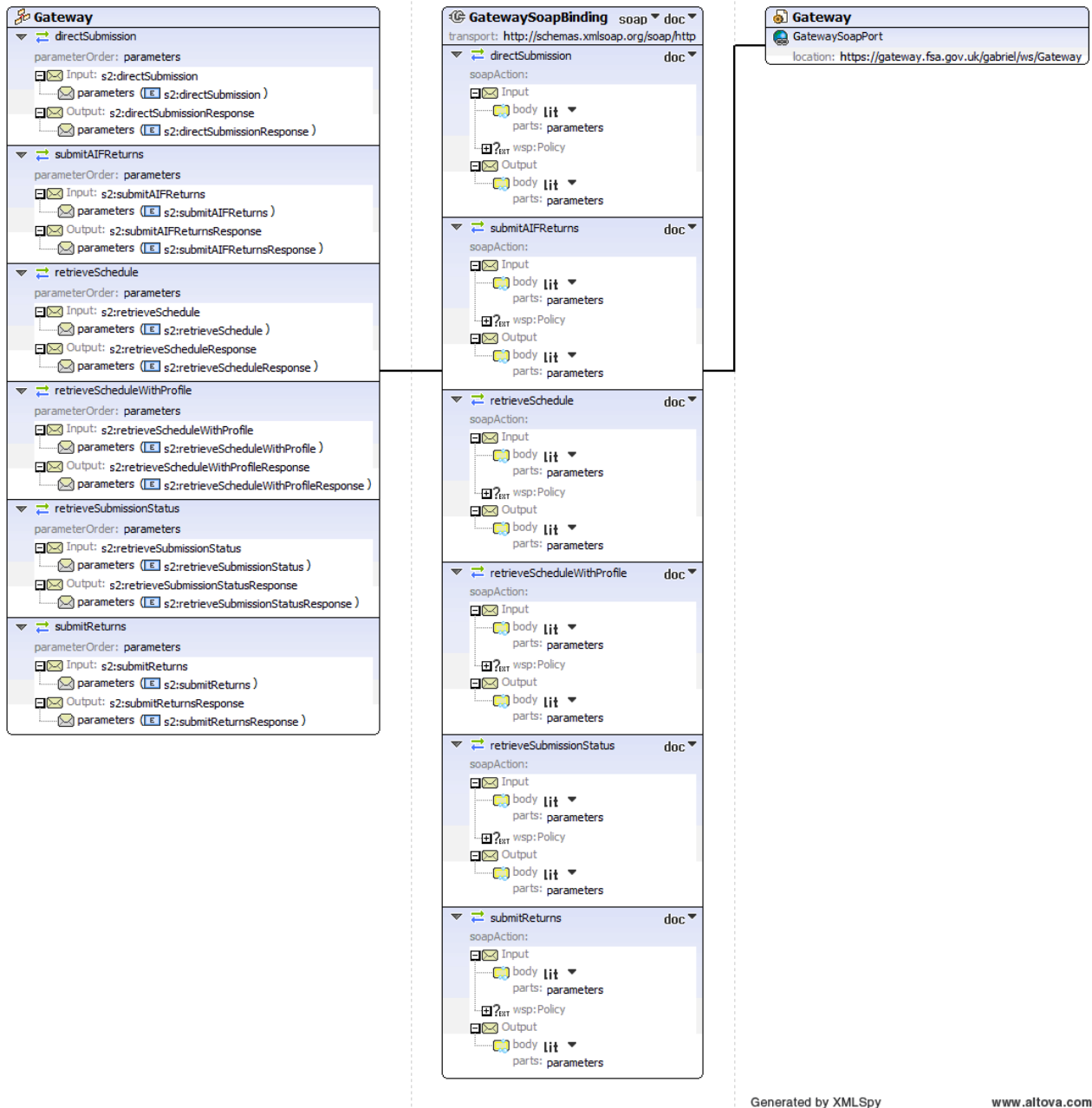
Figure 1 : Diagram showing the structure of the REGDATA Web Service AccountWSDL

- The *GatewayPortType* describes **what** operations are supported by the Gateway and the messages that are used. The operations are;

  - o directSubmission,

  - o retrieveSubmissionStatus,

  - o retrieveSchedule,

  - o retrieveScheduleWithProfile,

  - o submitReturns

- o submitAIFReturns

- and the respective request/response message pairs are:

  - o directSubmission/DirectSubmissionResponse,

  - o retrieveSubmissionStatus/RetrieveSubmissionStatusResponse,

  - o retrieveSchedule/RetrieveScheduleResponse,

  - o retrieveScheduleWithProfile/ retrieveScheduleWithProfileResponse,

  - o SubmitReturnsRequest and SubmitReturnsResponse

  - o submitAIFReturns / submitAIFReturnsResponse.

- The *GatewayBinding* describes how the operations supported by the Gateway are implemented; directSubmission, retrieveSubmissionStatus, retrieveSchedule, retrieveScheduleWithProfile, submitReturns and submitAIFReturns are implemented using SOAP and are encoded as document literal

- The *GatewayPort* specifies where the service can be located i.e. a real URL (please note the GatewayPort URL will be changed to reflect a live service).

- For details of the available *GatewayPort* URLs to be used with REGDATA, please contact firm.queries@fca.org.uk

2.1.1   Protocol Approach

All SOAP requests into the FCA will include authentication tokens within the SOAP headers using the WS-Security standards.

The FCA REGDATA Gateway uses Secure Sockets Layer (SSL) to establish secure connections between the Gateway and the Firms System. SSL in the FCA REGDATA Web Service Account Gateway is an implementation of the Transport Layer Security (TLS) 1.2 specifications.

The Data Item XML Schema instances as defined by the Data Reference Guides which can be found on the FCA's website at

https://www.fca.org.uk/firms/gabriel/data-reference-guides

These will be used as the message content for all the submission related requests.

Within the SOAP request, this will mean that the Doc Literal style of encoding will be utilised rather than an RPC style of invocation. The solution conforms to WS-I Basic Profile 1.1.

The FCA REGDATA Web Service Account gateway will provide a unique co-relation identifier which will be embedded within the response (submissionReference). A subsequent call to retrieve the submission status will provide an asynchronous acknowledgement mechanism as well as the alerting of any exceptions.

2.2   Security

As mentioned earlier all SOAP requests into the FCA REGDATA Gateway will include authentication tokens within the SOAP headers using the WS-Security standard.

The authentication tokens are defined by WS-Security UsernameToken Profile 1.0 standards.

Authentication ensures that an invocation of a Web service is allowed only for authenticated clients. This is achieved by having the client add a WS-Security token (ie username/password) to the service invocation. This token is then authenticated by the server's security system at request time, and only if authentication is valid will the service proceed to process the request. This happens for all call to the Gateway.

The fragment below shows the additional elements that are required in the WSDL to indicate that the **WS-Security UsernameToken Profile** is required.

```
<wsp:UsingPolicy wsdl:Required="true"/>
        <wsp:Policy wsseu:Id="Auth.xml">
                <wssp:Identity xmlns:wssp="http://www.bea.com/wls90/security/policy">
                        <wssp:SupportedTokens>
                                <wssp:SecurityToken TokenType="http://docs.oasis-
open.org/wss/2004/01/oasis-200401-wss-username-token-profile-1.0#UsernameToken">
                                        <wssp:UsePassword Type="http://docs.oasis-
open.org/wss/2004/01/oasis-200401-wss-username-token-profile-1.0#PasswordText"/>
                                </wssp:SecurityToken>
                        </wssp:SupportedTokens>
                </wssp:Identity>

        </wsp:Policy>
```

The Firm System would need to add the following in the SOAP header that is
sent to the FCA REGDATA Gateway containing the username and password for
a valid user registered with the FCA REGDATA System.

```
<wsse:Security soap:mustUnderstand="1" xmlns:wsse="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
wssecurity-secext-1.0.xsd">
      <wsse:UsernameToken xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-
1.0.xsd">
        <wsse:Username>ausername</wsse:Username>
        <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-username-token-profile-
1.0#PasswordText">apassword</wsse:Password>
      </wsse:UsernameToken>
   </wsse:Security>
```

The Firm Principal User will need to set up a **Firm System User** in the
RegData application either as part of the registration or Firm User
maintenance. The username and password of this user should be provided in
the UsernameToken above. Firms are allowed more than one Firm system user
to be registered, e.g. for Group reporting scenarios etc. A high-level interaction
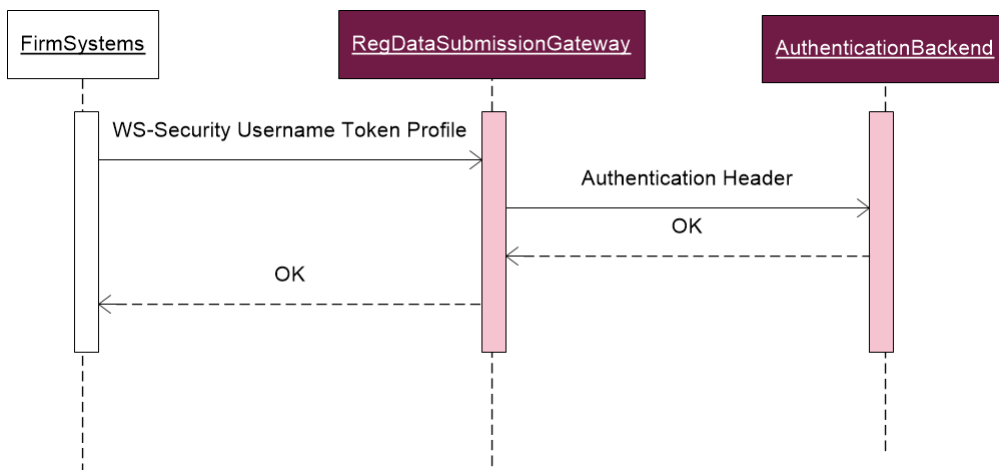of the message authentication is shown below.

Figure 2 : FCA REGDATA Web Service Account Gateway message
authentication

2.3   Error and Exceptions

2.3.1   Technical Errors

Any REGDATA application-level errors will be communicated using the existing response messages. Please refer to section 3.7 Errors.

Outside of this, the client systems may encounter other errors due to network problems or other infrastructure-related issues. Such errors may result in HTTP error codes or SOAP exception messages. These will not be documented here, and the Reader should consult the relevant documentation for these technologies.

2.3.2   Idempotent Endpoints

Duplication of messages can be a problem in a distributed environment. In the context of the REGDATA Web Service Account Gateway, if a firm system does not receive a submissionReference in the directSubmissionResponse message within a predefined time period, the firm system should re-send the message. However, the REGDATA Gateway must guard against unintended side effects (such as processing the message twice) because of these duplicate messages. Creating idempotent endpoints is the strategy REGDATA uses to handle duplicate messages.

Idempotent refers to a situation where repeated executions of the same event have the same effect as a single execution of the event. Making endpoints idempotent avoids the problem of a service processing duplicate instances of the same message or request.

Service endpoints that only perform read operations (such as the retrieveSubmissionStatus endpoint) are naturally idempotent since these operations do not have any side effects.

3 Service Description

3.1   Overview

In this section, the REGDATA Web Service Account Gateway Web Service will be described from an application context point of view. Each of the five service operations will be documented in the following sections.

The request and response message structure will be documented, and a description of the main elements will be provided together with how they are used and in what context in the REGDATA application.
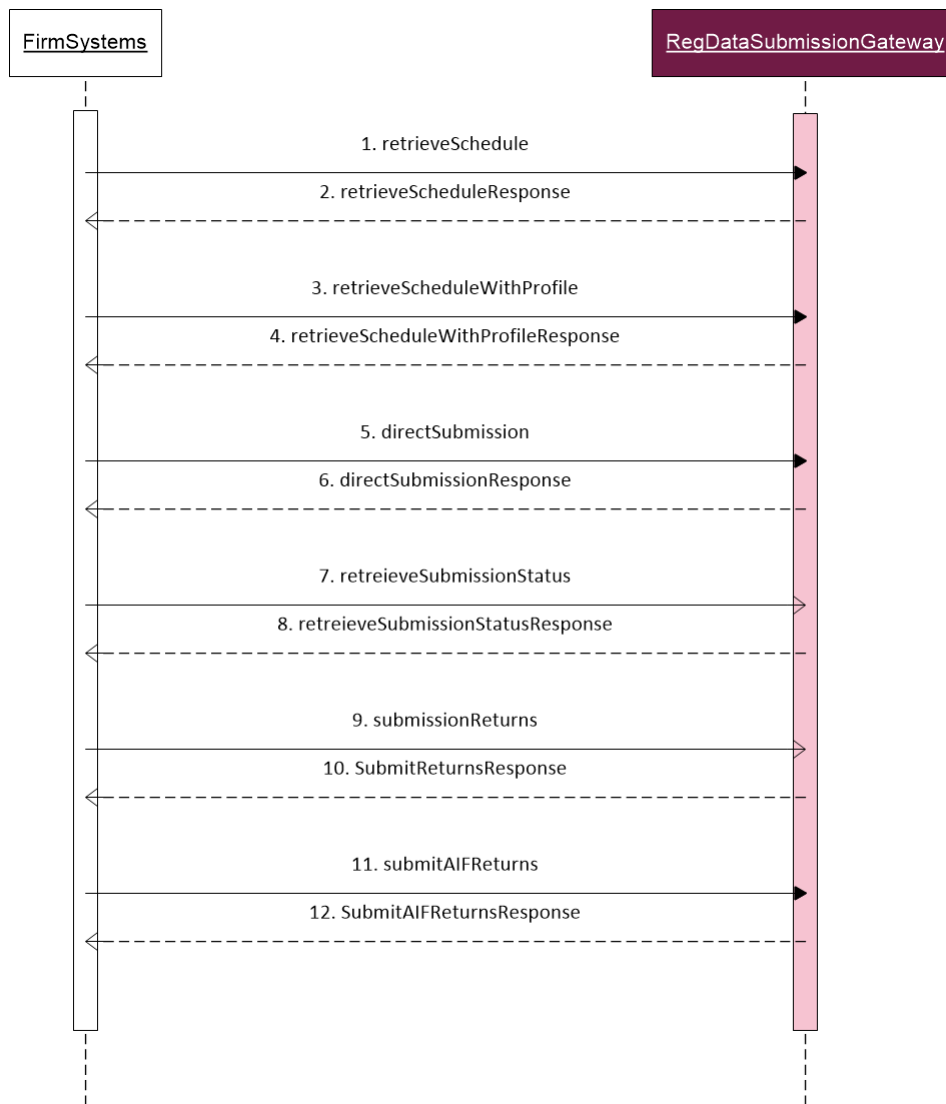
Figure 3: Interaction of a Firm System with REGDATA

Six operations make up the REGDATA Web Service Account Gateway; these are:

1. retrieveSchedule – a firm can retrieve a schedule.

2. retrieveScheduleWithProfile – a firm can retrieve a schedule with profile switch sections.

3. directSubmission – a firm can submit Data Items.

4. retrieveSubmissionStatus – a firm can retrieve status information and any errors for a previous submission.

5. submitReturns – a firm can submit COREP XBRL data items

6. submitAIFReturns – a firm can submit AIFMD information i.e. AIF001 and AIF002 data items.

These operations are described in the next sections. The next section describes the processing that is common to all operations. These are the authentication and authorisation checks.

3.1.1   Common Processing

The initial checks that are carried out when any of the REGDATA Web Service Account Gateway web service operations are called are as follows:

1. Check firmReferenceNumber exists in REGDATA

2. Check Firm is associated with the user stated in the SOAP Request Header

3. Check Firm access is not disabled

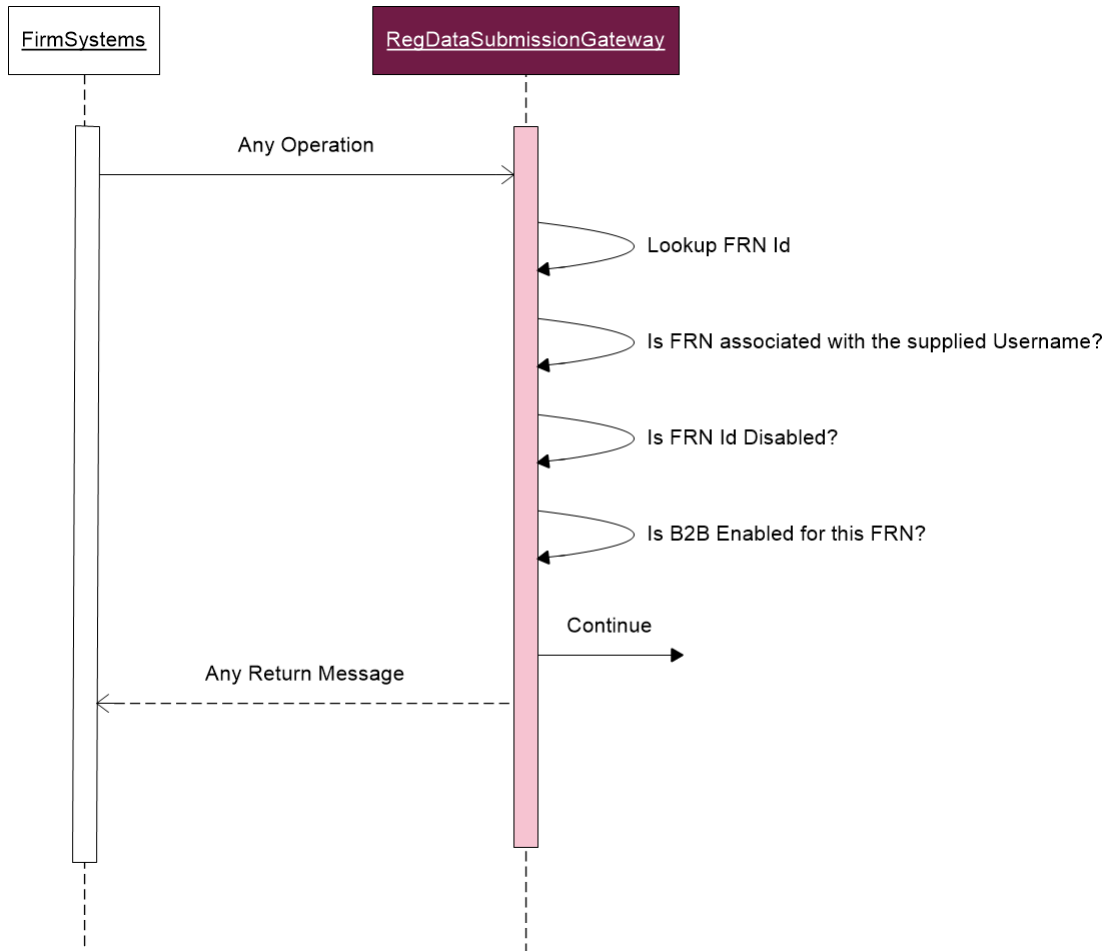4. Check Firm is certified to use REGDATA Web Service Account Gateway

Figure 4: Initial checks carried out by the Web Service Account Gateway

Once those checks are complete the Gateway starts further processing of the SOAP request.

3.1.2 retrieveSchedule

This operation enables the Firm System to request and receive the current/future Firm Schedule. The Firm Schedule is formatted as an XML file. Note that the Firm Schedule details include Data Item references that must be quoted in the subsequent Web Service Account of data.

The Firm Reporting Schedule is the set of FCA regulatory reporting to be completed by an authorised Firm for current/overdue and future periods. This is based on Firm profile data held by the FCA at the time the schedule is calculated. Under the FCA Handbook, there is a legal obligation upon Firms to provide to the FCA the regulatory reporting data as defined on the Firm Schedule concerning Reporting Periods that are now past.

The System reports the pre-calculated rolling schedule for the Firm (typically 14 months) including any subsets that are currently due or overdue. The schedule comprises the list of Firm Data Items grouped into Subsets.

A Subset is defined based on three values which are:

1. Reporting Period Start Date

2. Reporting Period End Date

3. Submission Due Date

The System reports details including status and (if the resubmission is due) copy number for a Firm Data Item.

3.1.3 retrieveScheduleWithProfile

The behaviour of this operation is the same as retrieveSchedule except it returns the profile switch sections details along with scheduled data item details.
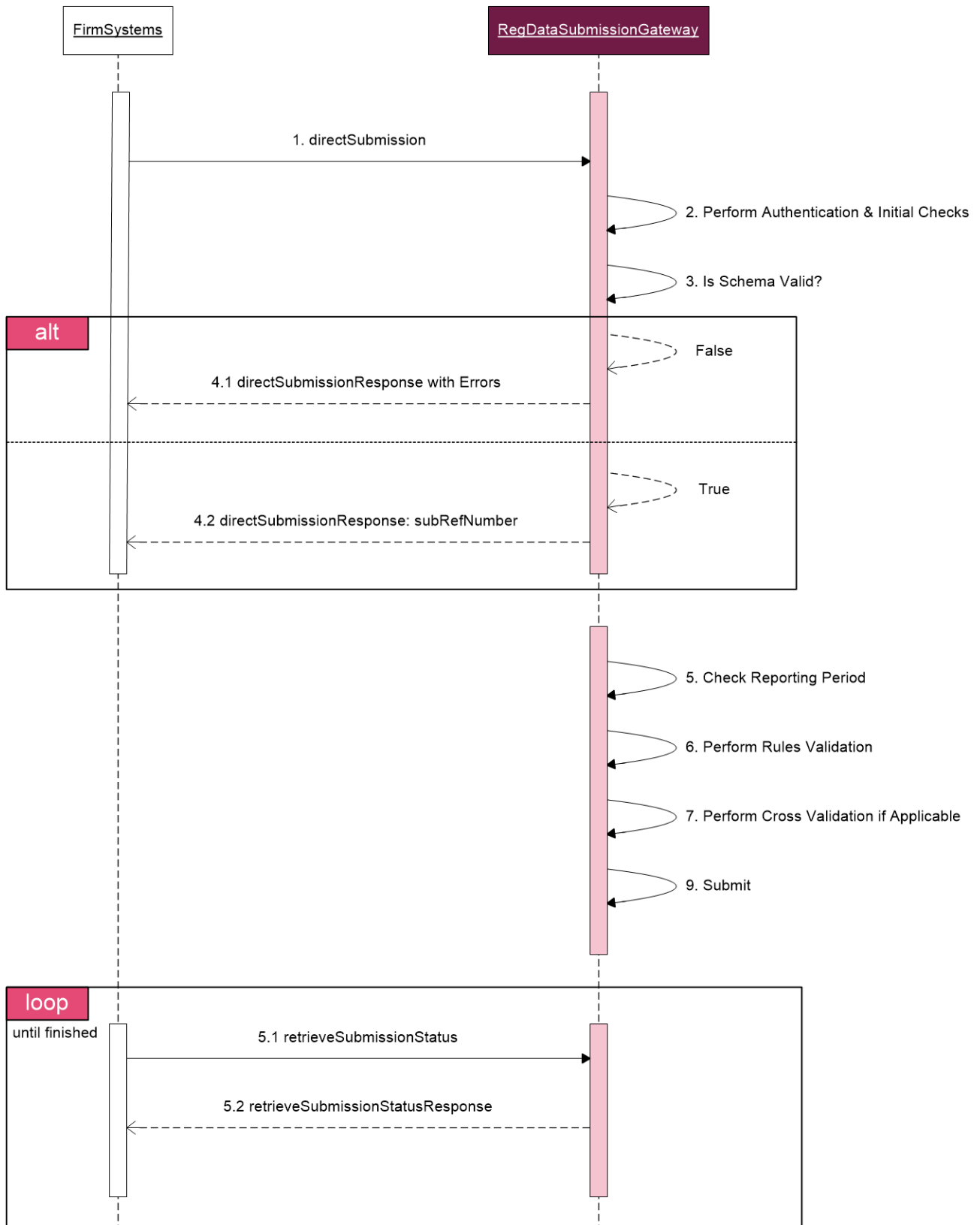
3.1.4   directSubmission

Figure 5: Interaction between the Firm System and the Gateway

The goal of this operation is to allow for Firm Data Items to be submitted. A Firm System may send in one or more Firm Data Items which will be

automatically validated and if successfully validated will be submitted without intervention.

The submission will be based on a subset from the Schedule for the firm, which can be obtained by firms using the retrieveSchedule operation of the REGDATA Web Service Account Gateway web service or from the REGDATA website.

The Data Items that are part of a unique submission must all be part of the same subset i.e. the Data Items that are being submitted must exist on the schedule for the given subset.

1. The interaction is shown in Figure 5: Interaction between the Firm System and the Gateway and is described below (Please note steps 1-4 are synchronous)

2. The Firm sends the DirectSubmissionRequest message

3. REGDATA completes the initial checks (see section 3.1.1) based on the firmReferenceNumber in the directSubmission message

4. REGDATA validates each Data Item against the correct schema

    1. If the schema validation fails for any of the Data Items in the submission or the initial checks fail, a response is sent back to the Firm System with a status of "Initial Checks Failed" and with any Schema errors.

    2. If schema validation is successful, a submissionReference [2] is sent back to the Firm System

    This ends the directSubmission Request. The Firms System must now use the retrieveSubmissionStatus described in section retrieveSubmissionStatus.

5. Each Data Item is validated against the schedule i.e. does the Data Item exist for the given subset on the schedule. If there are any errors, they are saved (and can be retrieved using the retrieveSubmissionStatus operation) – if there are no more Data Items to process the interaction ends, otherwise steps 4-8 are repeated.

6. Each Data Item is validated against the business rules. If there are any errors they are saved (and can be retrieved using the retrieveSubmissionStatus operation) – if there are no more Data Items to process the interaction ends, otherwise steps 4-8 are repeated.

7. Each Data Item is cross-validated against all other available Data Items in the cross-validation group. If there are any errors they are saved (and can be retrieved using the retrieveSubmissionStatus operation) – if there

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[2] If a submissionReference is not received it can be queried through the REGDATA online system using the View Submission History function

are no more Data Items to process the interaction ends, otherwise steps 4-8 are repeated.

8. Each Data Item that has passed all validations is "Submitted" i.e. the regulatory requirement for that Data Item is satisfied.

9. Interaction ends.

As a Data Item progresses through the above steps the associated completionStatus is changed; the state diagram below shows the completionStatus values and the transitions between them:
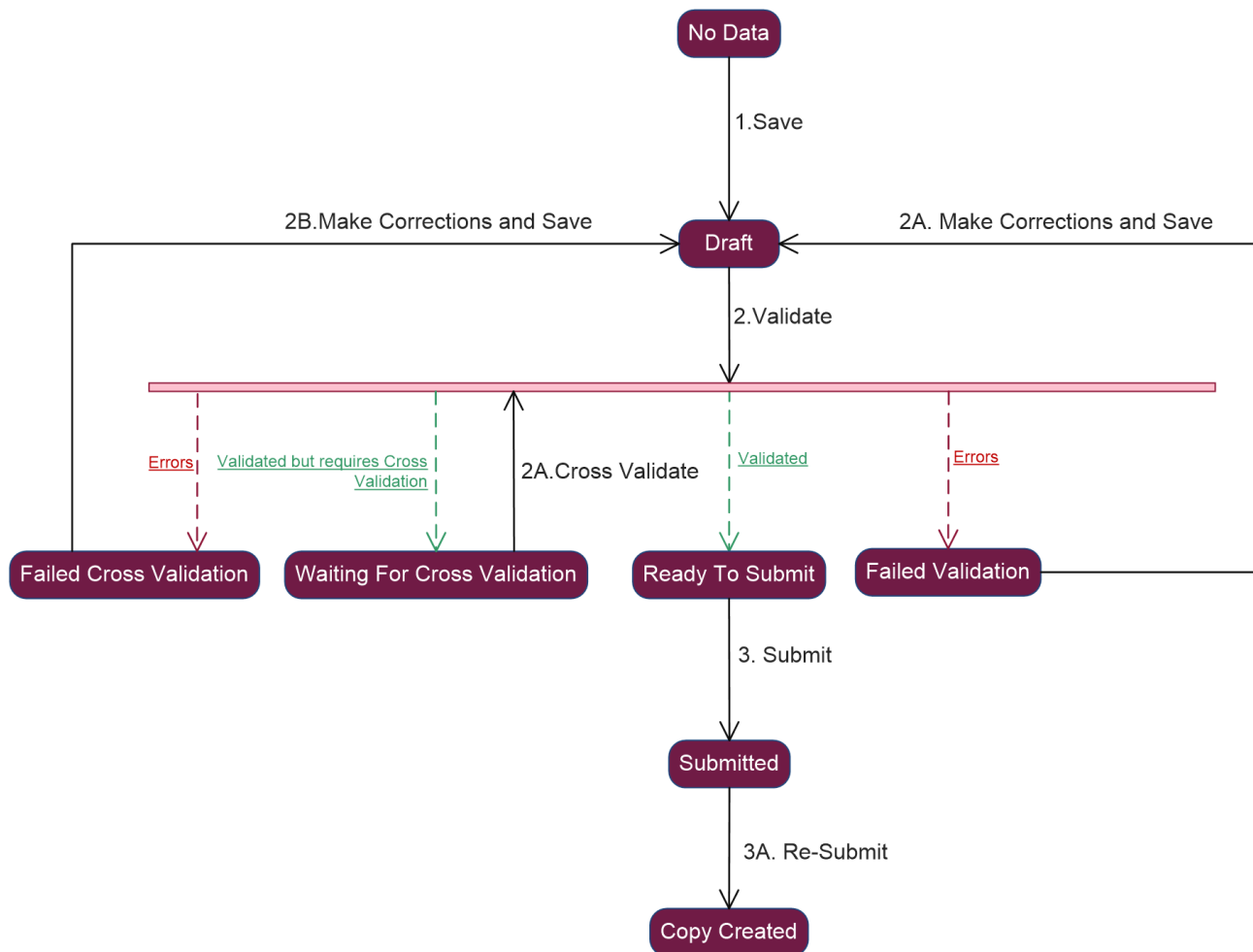
Figure 6: Completion State transitions for a Data Item

The system will cross-validate any Data Items that are part of a Cross-Validation Group; even when they have been submitted as part of separate submissions or even entered using any other channel of the REGDATA System.

3.1.5   retrieveSubmissionStatus

The goal of this operation is to allow for a Firm System to enquire on the status of a submission request that was previously communicated to REGDATA (***directSubmission***). The Firm System will send in a Submission Enquiry message identifying a previous submission request (***submissionReference***). Based on the status of this Submission Request, the system will send back a message with two possible processing states:

- 'Processing' – which indicates that the request is still being processed.

- 'Finished' – which indicates that processing is complete and will send back the results of the Submission which will include details of any errors identified.

It is envisaged that a Firm System will call the retrieveSubmissionStatus operation until a status of "Finished" is received. Once the status of "Finished" is received the Firm System can inspect the response message for errors if any.

This interaction is shown as 5.1 and 5.2 in Figure 5: Interaction between the Firm System and the Gateway

3.1.6 submitReturns

The goal of this operation is to accept the firm's XBRL submission using business to business interface. A Firm System can send in one XBRL Data Item which will be subject to initial validations and if successful will return a submission reference number. The system then continues to process the submission for further XBRL and business validation and if successfully validated will be submitted without intervention. The submission reference number can be used to check the status of submission using retrieveSubmissionStatus method.

The submission will be based on a subset from the Schedule for the firm, which can be obtained by firms using the retrieveSchedule operation of the REGDATA Web Service Account Gateway web service or from the REGDATA website.

The interaction is described below (Please note steps 1-8 are synchronous)

1. The Firm sends the SubmitRetrunsRequest message.

2. REGDATA validates received request against schema.

3. REGDATA completes the initial checks (see section 3.1.1) based on the firmReferenceNumber in the submitReturns message.

4. If the schema validation fails for the submission or any other the initial checks fail, a response is sent back to the Firm System with a status of "Initial Checks Failed" along with appropriate error messages and the interaction ends.

5. Data Item is validated against the schedule i.e. does the Data Item exist for the given subset on the schedule and also validate that the data item is available for submission.

6. REGDATA validates that the group reporting information specified for consolidated reports is valid as per the firm's profile.

7. REGDATA will only accept submissions up to 10 MB in size.

8. If all the above initial checks were successful, then a unique submissionReference is sent back to the Firm System.

9. REGDATA performs XBRL and other business validations on the submitted XBRL instance document.

10. If there are any errors reported by XBRL engine or business validations then they are saved (and can be retrieved using the retrieveSubmissionStatus operation).

11. Each Data Item that has passed all validations is "Submitted" i.e. the regulatory requirement for that Data Item is satisfied.

12. Interaction ends.

Note:

Further processing will take place including in-depth validation of the data in accordance with the XBRL taxonomy.

Firm Systems are expected to check on the status of their response by using the retrieveSubmissionStatus service. Any errors encountered during further processing will be included within the response of this service.

If the submission is successful, then the service will indicate the same. Please refer to the sections 3.1.5 and 3.4 for details of this service.

3.1.7   submitAIFReturns

The goal of this operation is to allow the firm system to submit fund manager's report(s) or fund transparency report(s) to FCA using B2B interface. A firm system may send in one or more fund manager's report(s) or fund transparency report(s) which will be automatically validated against applicable schema and business rules and submitted without any intervention. The submission reference number can be used to check the status of submission using retrieveSubmissionStatus method.

The interaction is described below (Please note steps 1-5 are synchronous)

1. The Firm sends the SubmitAIFReturnsRequestmessage.

2. REGDATA validates received request against schema.

3. REGDATA completes the initial checks (see section 3.1.1) based on the firmReferenceNumber in the submitAIFReturns message.

4. If the schema validation fails for the submission or any other the initial checks fail, a response is sent back to the Firm System with a status of "Initial Checks Failed" along with appropriate error messages and the interaction ends.

5. If all the above initial checks successful, then a unique submissionReference is sent back to the Firm System.

6. REGDATA performs business validations on the submitted Report instance document.

7. If there are any errors reported by business validations, then they are saved (and can be retrieved using the retrieveSubmissionStatus operation).

8. Each Data Item that has passed all validations is "Submitted" i.e. the regulatory requirement for that Data Item is satisfied.

9. Interaction ends.

3.2 Request Firm Schedule by XML Directly

The message does not change any state in the REGDATA application and is a read-only operation.

3.2.1 Request Message
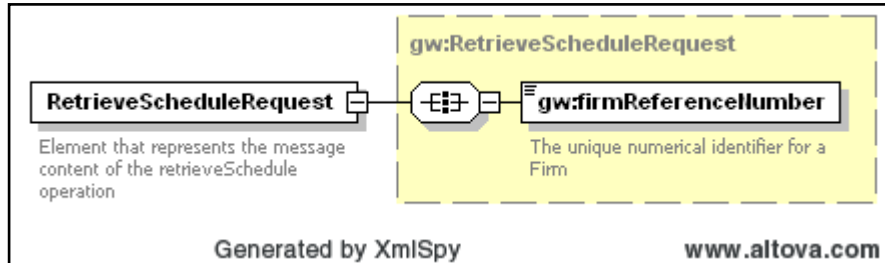
Figure 7 : Structure of the RetrieveScheduleRequest message

RetrieveScheduleRequest			
Element	Description	Mandatory/optional	Type (Format)
firmReferenceNumber	The unique reference for the firm	mandatory	xsd:unsignedLong

3.2.2 Response Message
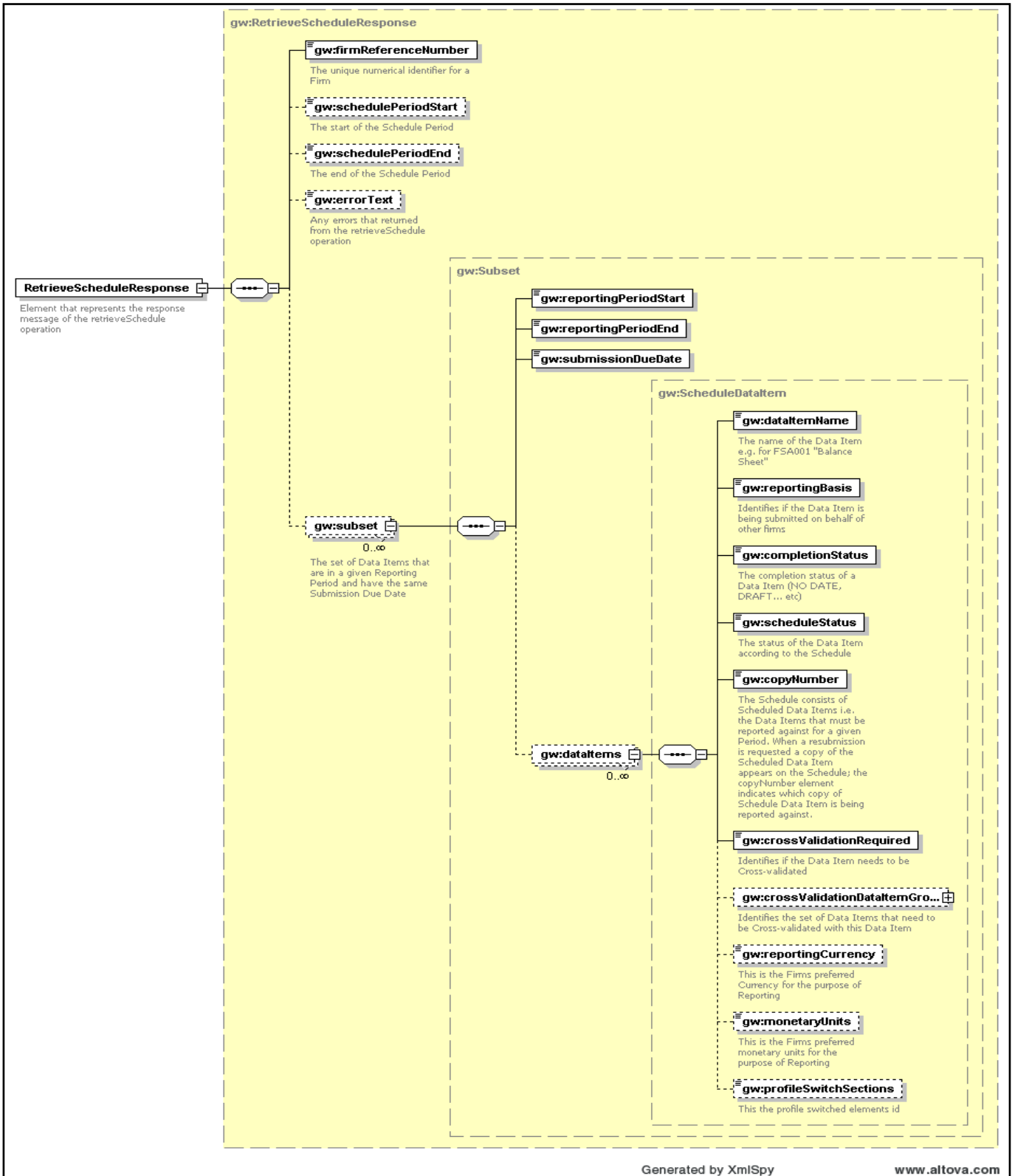
Figure 8 : Structure of the RetrieveScheduleResponse message

RetrieveScheduleResponse			
Element	Description	Mandatory/optional	Type (Format)
firmReferenceNumber	The unique reference for the firm that has requested the schedule	mandatory	xsd:unsignedLong
schedulePeriodStart	The start date of the period	mandatory	xsd:date
schedulePeriodEnd	The end date of the period	mandatory	xsd:date
errorText	Text message for any error in the operation	optional	xsd:string
subset	The subset is defined by the following three elements		xsd:complexType
subset/reportingPeriodStart	Start of the reporting period	optional	xsd:date
subset/reportingPeriodEnd	End of the reporting period	optional	xsd:date
subset/submissionDueDate	Submission due date	optional	xsd:date
subset/dataItems	List of Data Items in subset	optional	xsd:complexType
subset/dataItems/dataItemName	The name of the Data Item	mandatory	xsd:string
subset/dataItems/reportingBasis	Identifies if the Data Item is being submitted on	mandatory	xsd:string

	behalf of other firms		
subset/dataItems /completionStatus	Completion States identify the current progress of the Firm Data Item in relation to Data Collection, e.g. Draft, Validated, Ready to Submit, Submitted. Completion Status 'copy created' is treated as 'submitted' and therefore rendered as "Done".	mandatory	xsd:string
subset/dataItems /scheduleStatus	Schedule States for a Firm Data In summary they are: "Not Yet Due ", "Due", "Overdue", "Done"	mandatory	xsd:string
subset/dataItems/ copyNumber	If a resubmission this will be greater than 1	mandatory	xsd:unsignedLong
subset/dataItems /crossValidationRe quired	Does this Data item require cross validation	mandatory	xsd:boolean
subset/dataItems /crossValidationDa taItemGroup	The group of Data Items that are to be cross validated	optional	xsd:string

subset/dataItems /crossValidationDa taItemGroup/hand bookReferenceNu mber/	List of Data Item handbook references that are part of this validation group	mandatory	xsd:string
subset/dataItems /reportingCurrency	The default currency for the firm	optional	xsd:string
subset/dataItems /monetaryUnits	The default monetary units for the firm	Optional	xsd:string
Subset/dataItems/ profileSwitchSectio ns	Profile switched section for data item.	optional	xsd:string

3.2.3 Request Message with profile
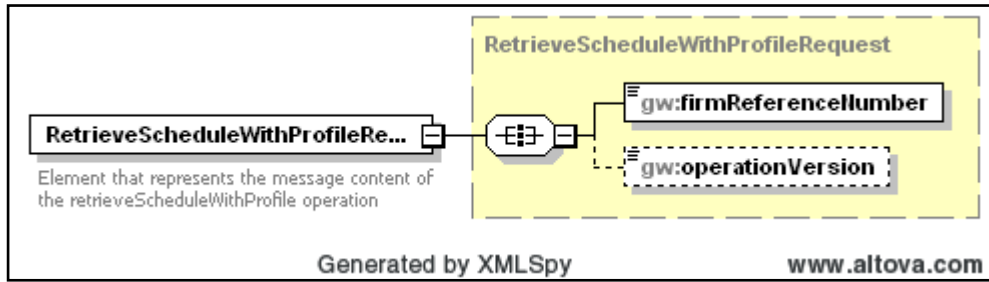
Figure 9 : Structure of the RetrieveScheduleWithProfileRequest message

RetrieveScheduleWithProfileRequest			
Element	Description	Mandatory/optional	Type (Format)
firmReferenceNumber	The unique reference for the firm	mandatory	xsd:unsignedLong
operationVersion	This field allows a firm to specify the version of the response structure desired. Please refer to the response structure in section 3.2.4 for details of response structure for each version	Optional Nb : Not passing a value is equivalent to passing "v1" which is the default version of the response	Enum Valid Values are "v1" "v2" "v3"

3.2.4 Response Message with profile
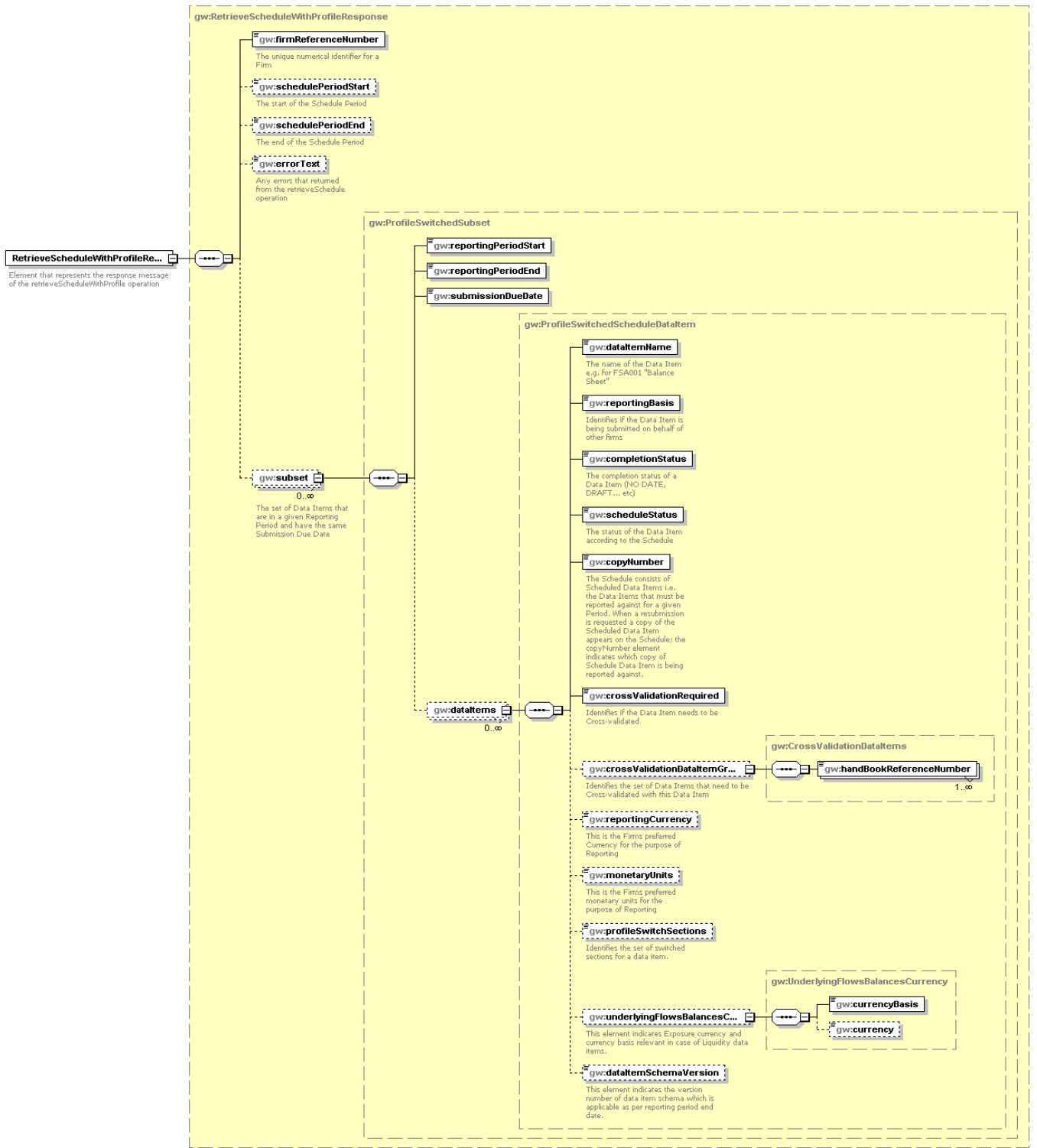
Figure 10 : Structure of the RetrieveScheduleWithProfileResponse message

RetrieveScheduleWithProfileResponse				
Element	Description	Mandatory/optional	Type (Format)	Available in Version(s)
firmReferenceNumber	The unique reference for the firm that has requested the schedule	Mandatory	xsd:unsigned Long	v1 Onwards
schedulePeriodStart	The start date of the period	Mandatory	xsd:date	v1 Onwards
schedulePeriodEnd	The end date of the period	Mandatory	xsd:date	v1 Onwards
errorText	Text message for any error in the operation	Optional	xsd:string	v1 Onwards
subset	The subset is defined by the following three elements		xsd:complexType	v1 Onwards
subset/reportingPeriodStart	Start of the reporting period	Optional	xsd:date	v1 Onwards
subset /reportingPeriodEnd	End of the reporting period	Optional	xsd:date	v1 Onwards
subset /submissionDueDate	Submission due date	Optional	xsd:date	v1 Onwards
subset /dataItems	List of Data Items in subset	Optional	xsd:complexType	v1 Onwards
subset /dataItems /dataItemName	The name of the Data Item	Mandatory	xsd:string	v1 Onwards
subset /dataItems/ dataItemSchemaVersion	dataItemSchemaVersion represents as which version of data item schema is applicable as per reporting period end date of firm schedule	Optional	xsd: unsignedLong	v3 Onwards
subset /dataItems/reportingBasis	Identifies if the Data Item is being submitted on behalf of other firms	Mandatory	xsd:string	v1 Onwards
subset /dataItems /completionStatus	Completion States identify the current progress of the Firm Data Item in relation to Data Collection, e.g. Draft, Validated, Ready to Submit, Submitted. Completion Status 'copy created' is treated as 'submitted' and therefore rendered as "Done".	Mandatory	xsd:string	v1 Onwards

subset /dataItems /scheduleStatus	Schedule States for a Firm Data In summary they are: "Not Yet Due ", "Due", "Overdue", "Done"	Mandatory	xsd:string	v1 Onwards
subset /dataItems/copyNumber	If a resubmission this will be greater than 1	Mandatory	xsd:unsigned Long	v1 Onwards
subset /dataItems /crossValidationRequired	Does this Data item require cross validation	Mandatory	xsd:boolean	v1 Onwards
subset /dataItems /crossValidationDataItemGroup	The group of Data Items that are to be cross validated	Optional	xsd:string	v1 Onwards
subset /dataItems /crossValidationDataItemGroup/handbookReferenceNumber/	List of Data Item handbook references that are part of this validation group	Mandatory	xsd:string	v1 Onwards
subset /dataItems /reportingCurrency	The default currency for the firm	Optional	xsd:string	v1 Onwards
subset /dataItems /monetaryUnits	The default monetary units for the firm	Optional	xsd:string	v1 Onwards
subset /dataItems/ profileSwitchSections	Profile switched section for data item.	Optional	xsd:string	v1 Onwards
subset /dataItems /underlyingFlowsBalancesCurrency	This element contains currency (ISO Code) and currency basis of the underlying flow being reported in the specified data item. This element would only be returned for data items FSA047 & FSA048 and if request is send with operationVersion element value v2.In cases where the underlying flows are aggregated flow currency won't be return only currency basis will be returned.	Optional	xsd:complexType	v2 Onwards
subset /dataItems /underlyingFlowsBalancesCurrency/CurrencyBasis	This field indicates currencyBasis for the data item. Field can have only one of the two values i.e single		xsd:Enum {single, consolidated}	v2 onwards

	or consolidated. 'Single' implies that underlying flow being reported in the specified flow currency denoted by 'currency' element else 'consolidated' implies that underlying flow currency is not relevant. For liquidity data items where underlying flow are aggregated it will return "consolidated" value.			
subset /dataItems /underlyingFlowsBalanc esCurrency/currency	The currency (ISO Code) of the underlying flow being reported in the specified data item. In cases where the underlying flows are aggregated element won't be returned.		xsd:Enum Refer Appendix 3.6.1 for ISO code definition	v2 onwards

3.3   Submit Firm Data Items Directly

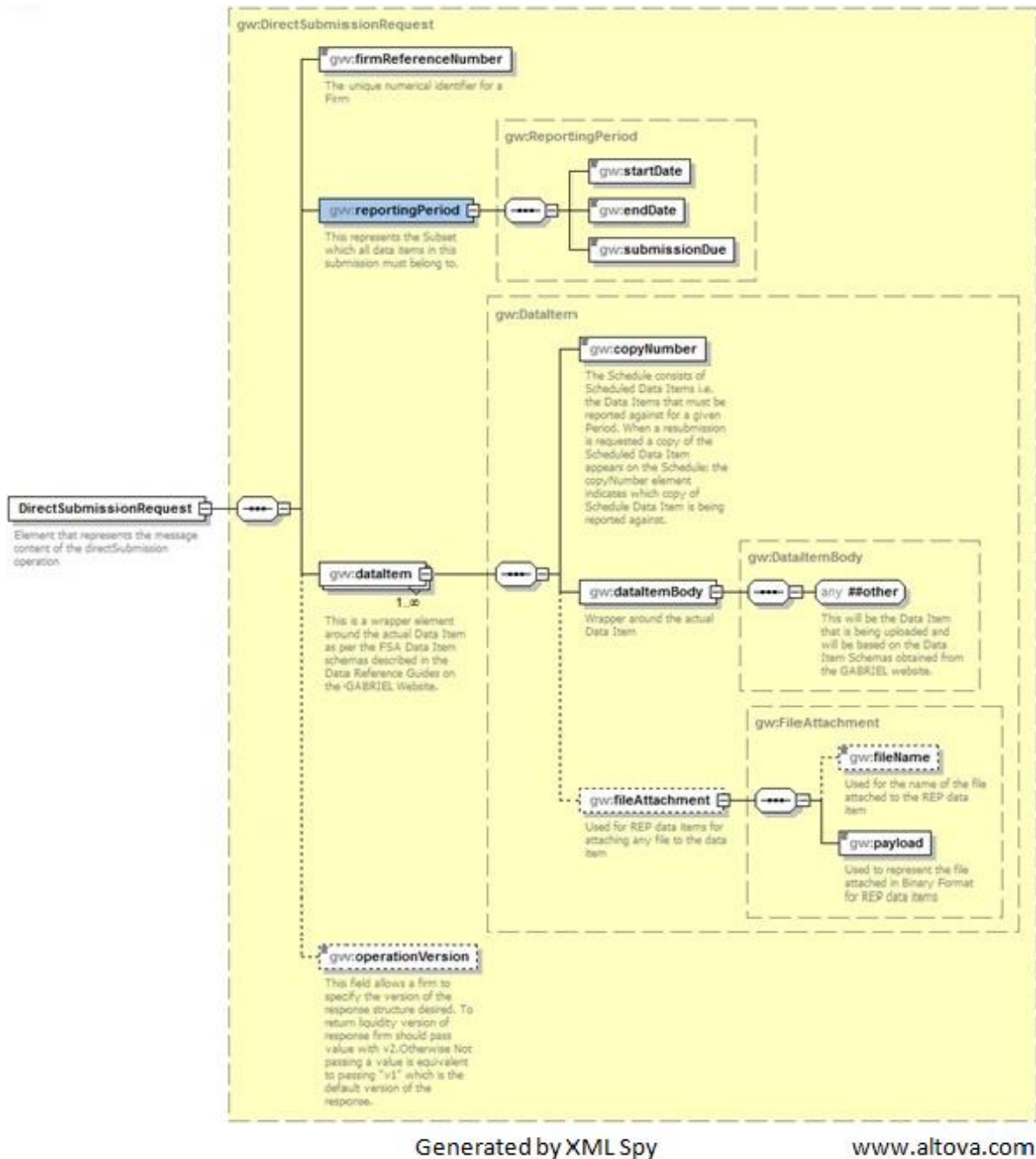This message changes the state of the REGDATA application.

3.3.1   Request Message

Figure 11 Structure of the DirectSubmissionRequest message

DirectSubmissionRequest			
Element	Description	Mandatory/ optional	Type (Format)
firmReferenceNumber	The unique identifier for the firm	Mandatory	xsd:unsignedLong
reportingPeriod	The reporting period the submission is being made for	Mandatory	xsd:complexType
reportingPeriod/startDate	Start date for the period that is being reported against.	Mandatory	xsd:date
reportingPeriod/endDate	End date for the period that is being reported against.	Mandatory	xsd:date
reportingPeriod/submissionDue	The due date for the Data Items that are being submitted. This and the previous two elements represent the subset that the Schedule was calculated for.	Mandatory	xsd:date
dataItem	This contains the Data Item and associated copyNumber	Mandatory	xsd:complexType
dataItem/copyNumber	This is the identifies the instance of the Data Item i.e. when a Data Item is first included in a subset on a schedule the value is 1, it is incremented by 1 each time a re-submission is approved by the FCA	Mandatory	xsd:unsignedLong
dataItem/dataItemBody	The actual FCA Schema defined Data Item.	Mandatory	xsd:any
dataItem/fileAttachment	This contains the file attached to the REP data items.	Optional	xsd:complexType
dataItem/fileAttachment/ fileName	This contains the name of the file attached to the REP data items.	Mandatory	string
dataItem/fileAttachment/ payload	This contains the file attached in Binary Format for the REP data items.	Optional	base64Binary

		This field allows a firm to specify the version of the response structure desired. Please refer to the response structure in section 3.2.4 for details of response structure for each version	Optional Note: Not passing a value is equivalent to passing "v1" which is the default version of the response. If "v2" is passed then response includes "fieldRef" for erroneous data elements.	Enum Valid Values are "v1" "v2" Onwards
operationVersion				

The DirectSubmissionRequest message is effectively a container for the FCA Data Items; they are based on a separate set of schemas which can be found at the following location:

https://www.fca.org.uk/firms/gabriel/data-reference-guides

In Figure 12, the element dataItem/dataItemBody has a type of xsd:any. This can be any well-formed xml; it is expected that the xml sent in this element will be based upon the above FCA Data Item schemas. This approach has been taken to simplify the approach for supporting multiple versions of a given Data Item; i.e. the directSubmissionRequest message can act as a container for any version of a given Data Item without change to the interface. However, this comes at a cost, because the strong typing that we would get from specifying the FCA Data Item schemas within the directSubmissionRequest is lost.

In figure 12, the elements fileAttachment/payload has a type of xsd:base64Binary. This should be a file that has been encoded using a base64 algorithm.

3.3.2   Response Message
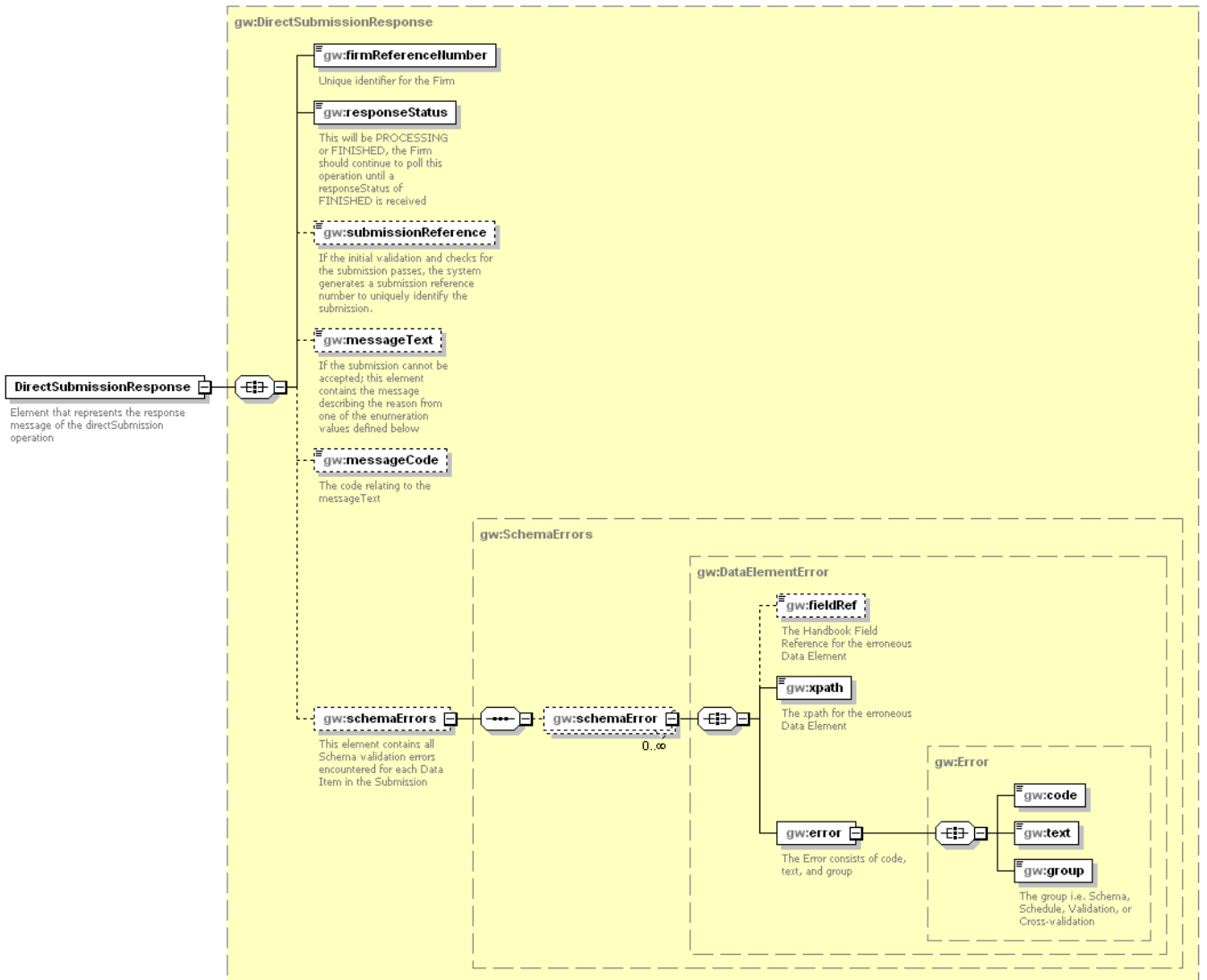
Figure 12 : Structure of the DirectSubmissionResponse message

DirectSubmissionResponse				
Element	Description	Mandatory/ optional	Type (Format)	Available in Version(s)
firmReferenceNumber	The unique identifier of the Firm	Mandatory	xsd:unsigned Long	v1 Onwards
responseStatus	The value can be "Initial checks passed" if the submission passed initial security checks otherwise "Initial checks failed"	Mandatory	xsd:string	v1 Onwards
submissionReference	The REGDATA System generated reference number for the submitted Data Items this will be a 10 digit number.	If the submission was successful a reference will be generated otherwise a message will be provided.	xsd:string	v1 Onwards
messageText	REGDATA System generated message.	Optional	xsd:string	v1 Onwards
messageCode	The code associated to the message	Optional	xsd:string	v1 Onwards
schemaErrors	This contains any Schema validation errors that were found in the submission	Optional	xsd:complex Type	v1 Onwards
schemaErrors/schemaErr or	Wrapper element for each error	Optional	xsd:complex Type	v1 Onwards
schemaErrors/schemaErr or/xpath	Xpath to the erroneous data element	Optional	xsd:string	v1 Onwards
schemaErrors/schemaErr or/error/code	The code for the error	Optional	xsd:string	v1 Onwards
schemaErrors/schemaErr or/error/text	The textual description	Optional	xsd:string	v1 Onwards
schemaErrors/schemaErr or/error/group	The group (SCHEMA, VALIDATION, CROSS-VALIDATION, SCHEDULE)	Optional	xsd:string	v1 Onwards
schemaErrors/schemaErr or/fieldRef	This element contains "Handbook Field Reference"	Optional	xsd:string	v2 Onwards

	for the erroneous Data Element if request is sent with operationVersion element value v2 or later.			

3.4 retrieve Web Service Account Results

The message does not change any state in the REGDATA application and is a read-only operation.

The goal of this use case is to allow for a Firm System to enquire on the status of a submission request that was previously communicated to REGDATA. The Firm System will send in a retrieveSubmissionStatus message identifying a previous submission request. Based on the status of this Submission Request, the system will send back a message which indicates that either the Request is still being processed or will send back the results of the Submission which may include details of any errors identified.

3.4.1 Request Message
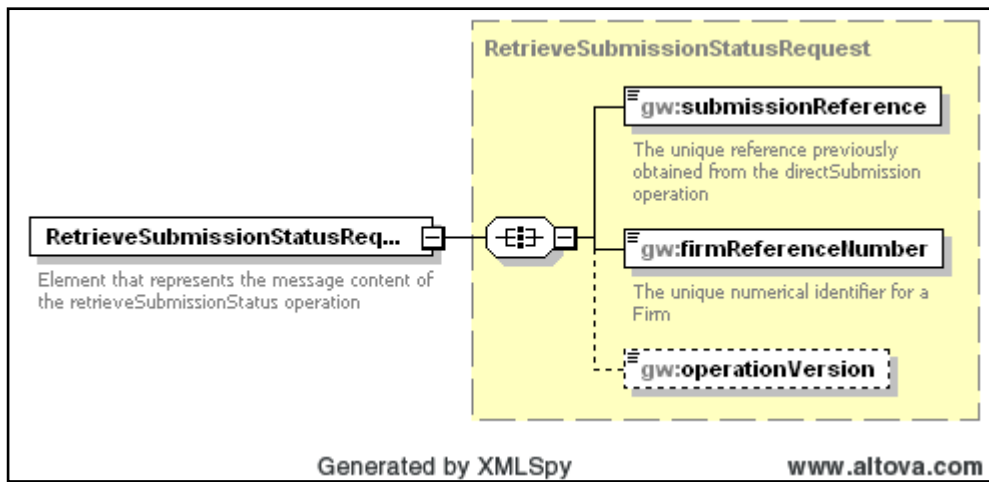
Figure 13 : Structure of the RetrieveSubmissionStatusRequest message

RetrieveSubmissionStatusRequest			
Element	Description	Mandatory/ optional	Type (Format)
submissionReference	The submissionReference obtained from the DirectSubmissionResponse message. This will be used by the Firm System to query the submission status.	Mandatory	xsd:unsignedLong
firmReferenceNumber	This is the Firms unique reference number	Mandatory	xsd:string
operationVersion	This field allows a firm to specify the version of the response structure desired. Please refer to the response structure in section 3.4.2 for details of response structure for each version	Optional Nb : Not passing a value is equivalent to passing "v1" which is the default	Enum Valid Values are "v1" "v2" "v3"

| | | | version of the response.

Version v2 is applicable for liquidity data items. If "v3" is passed then response includes "fieldRef" for erroneous data elements. | onwards |
|---|---|---|---|---|

3.4.2 Response Message
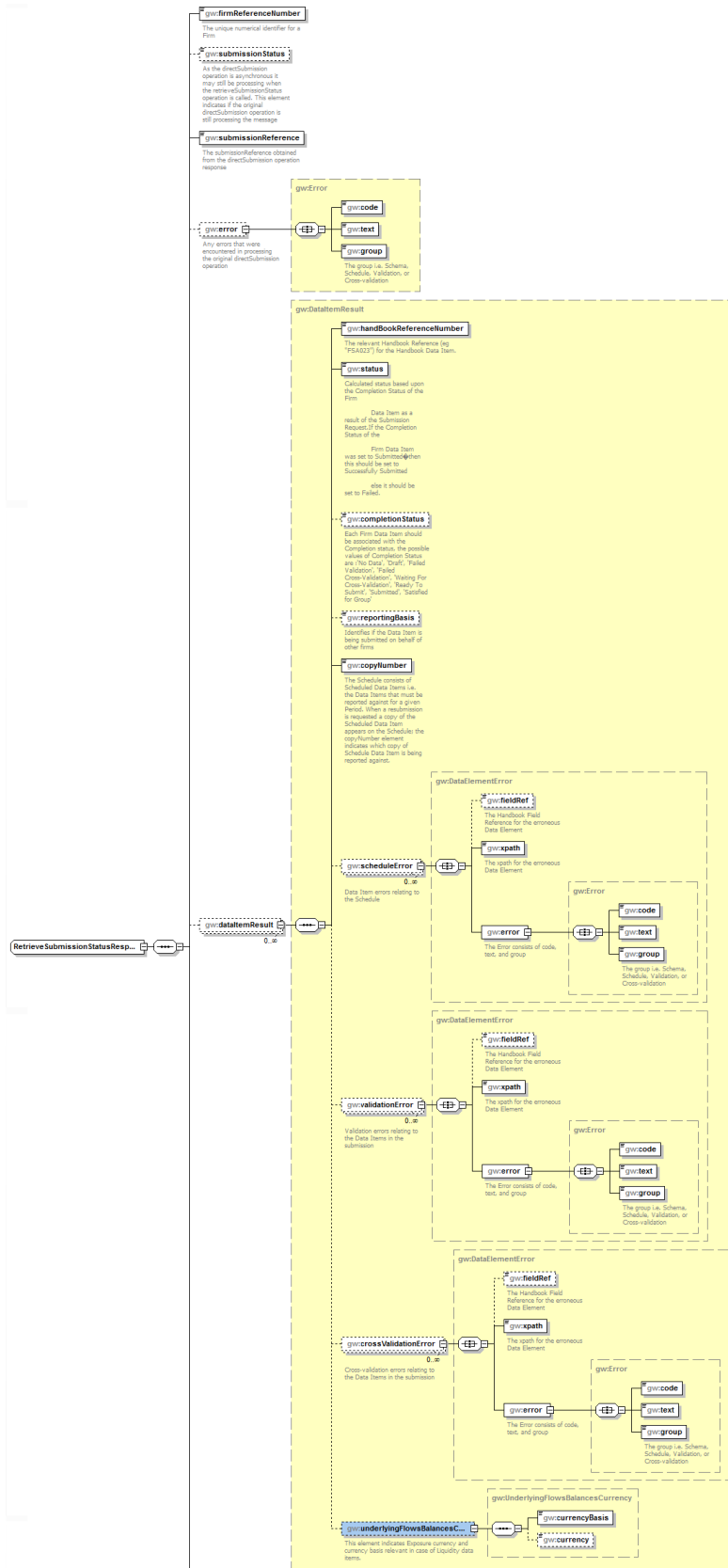
Figure 14 : Structure of the RetrieveSubmissionStatusResponse message – Part 1
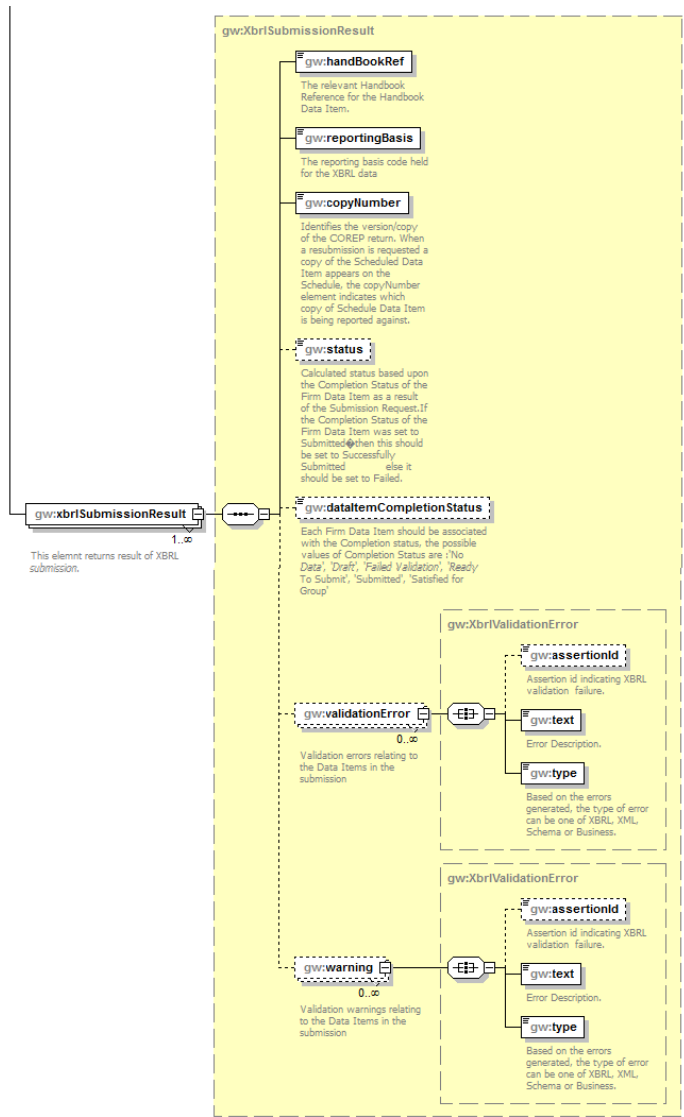
Figure 16 : Structure of the RetrieveSubmissionStatusResponse message –

Part2

Please note in Figure 15, the validationError, and crossValidationError complex types are similar in structure to the scheduleError element and have not been expanded in the diagram.

RetrieveSubmissionStatusResponse				
Element	Description	Mandatory /optional	Type (Format)	Available in Version(s)
firmReferenceNumber	The unique identifier of the Firm	Mandatory	xsd:unsi gnedLon g	v1 Onwards

submissionStatus	A description of the current status for the previously submitted subset possible values are (PROCESSING, FINISHED).	Mandatory	xsd:string	v1 Onwards
submissionReference	The submissionReference returned from the directSubmission operation	Optional	xsd:unsignedLong	v1 Onwards
error	Container for error message and code	Optional	xsd:complexType	v1 Onwards
error/code	The system generated error code if an error occurred.	Optional	xsd:string	v1 Onwards
error/text	The message against the error code.	Optional	xsd:string	v1 Onwards
error/group	The group the error belongs to – indicates the type of error	Optional	xsd:string	v1 Onwards
dataItemResult		Mandatory	xsd:complexType	v1 Onwards
dataItemResult/handbookReferenceNumber	The handbook reference for the Data Item that was submitted.	Mandatory	xsd:string	v1 Onwards
dataItemResult/status	Calculated status based upon the Completion Status of the Firm Data Item as a result of the Submission Request.

If the Completion Status of the Firm Data Item was set to 'Submitted' then this should be set to 'Successfully Submitted' else it should be set to 'Failed'submitted Data Item. | Mandatory | xsd:string | v1 Onwards |
dataItemResult/completionStatus	Each Firm Data Item should be associated with the Completion status, the possible values of Completion Status are :'No Data', 'Draft', 'Failed Validation', 'Failed Cross-Validation', 'Waiting For Cross-Validation', 'Ready To Submit', 'Submitted', 'Satisfied for Group',	Optional	xsd:string	v1 Onwards
dataItemResult/reportingBasis	Identifies if the Data Item is being submitted on behalf of other firms	Optional	xsd:string	v1 Onwards
dataItemResult/copyNumber	Identifies the instance of the Data Item – 1 for the first submission, then incremented by 1 each time a resubmission is approved by the FCA	Mandatory	xsd:unsignedLong	v1 Onwards

dataItemResult/schemaError	This element is of type DataElementError	Optional	xsd:complexType	v1 Onwards
dataItemResult/schemaError/xpath	The xpath relating to the erroneous schema element	Optional	xsd:string	v1 Onwards
dataItemResult/schemaError/error		Optional	xsd:complexType	v1 Onwards
dataItemResult/schemaError/error/code	The error code.	Optional	xsd:string	v1 Onwards
dataItemResult/schemaError/error/text	The error message.	Optional	xsd:string	v1 Onwards
dataItemResult/schemaError/error/group	The error group valid values are (SCHEDULE, SCHEMA, VALIDATION, CROSS-VALIDATION).	Optional	xsd:string	v1 Onwards
dataItemResult/scheduleError	This element is of type DataElementError	Optional	xsd:complexType	v1 Onwards
dataItemResult/scheduleError/xpath	The xpath relating to the erroneous schema element	Optional	xsd:string	v1 Onwards
dataItemResult/scheduleError/error		Optional	xsd:complexType	v1 Onwards
dataItemResult/scheduleError/error/code	The error code.	Optional	xsd:string	v1 Onwards
dataItemResult/scheduleError/error/text	The error message.	Optional	xsd:string	v1 Onwards
dataItemResult/scheduleError/error/group	The error group valid values are (SCHEDULE, SCHEMA, VALIDATION, CROSS-VALIDATION).	Optional	xsd:string	v1 Onwards
dataItemResult/validationError	This is an element of type DataElementError	Optional	xsd:complexType	v1 Onwards
dataItemResult/validationError/xpath	The xpath relating to the erroneous schema element	Optional	xsd:string	v1 Onwards
dataItemResult/validationError/xpath/fieldRef	This element contains Handbook Field Reference for the erroneous Data Element if request is sent with operationVersion element value v3 or later.	Optional	xsd:string	v3 Onwards
dataItemResult/validationError/error		Optional	xsd:complexType	v1 Onwards
dataItemResult/validationError/error/code	The error code.	Optional	xsd:string	v1 Onwards

dataItemResult/validationError/error/text	The error message.	Optional	xsd:string	v1 Onwards
dataItemResult/validationError/error/group	The error group valid values are (SCHEDULE, SCHEMA, VALIDATION, CROSS-VALIDATION).	Optional	xsd:string	v1 Onwards
dataItemResult/crossValidationError	This is an element of type DataElementError	Optional	xsd:complexType	v1 Onwards
dataItemResult/crossValidationError/xpath	The xpath relating to the erroneous schema element	Optional	xsd:string	v1 Onwards
dataItemResult/crossValidationError/error		Optional	xsd:complexType	v1 Onwards
dataItemResult/crossValidationError/error/code	The error code.	Optional	xsd:string	v1 Onwards
dataItemResult/crossValidationError/error/text	The error message.	Optional	xsd:string	v1 Onwards
dataItemResult/crossValidationError/error/group	The error group valid values are (SCHEDULE, SCHEMA, VALIDATION, CROSS-VALIDATION).	Optional	xsd:string	v1 Onwards
dataItemResult/underlyingFlowsBalancesCurrency	This element contains currency (ISO Code) and currency basis of the underlying flow being reported in the specified data item. This element would only be returned for data items FSA047 & FSA048 if request is send with operationVersion element value v2. In cases where the underlying flows are aggregated currency won't be return only currency basis will be returned.	Optional	xsd:complexType	v2 Onwards

dataItemResult/underlyingFlowsBalancesCurrency/currencyBasis	This field indicates currencyBasis for the data item. Field can have only one of the two values i.e single or consolidated. 'Single' implies that underlying flow being reported in the specified flow currency denoted by 'currency' element else 'consolidated' implies that underlying flow currency is not relevant. For liquidity data items where underlying flow are aggregated it will return "consolidated" value.		xsd:Enum {single, consolidated}	V2 onwards
dataItemResult/underlyingFlowsBalancesCurrency/currency	The currency (ISO Code) of the underlying flow being reported in the specified data item. In cases where the underlying flows are aggregated element won't be returned.		Xsd:Enum Ref: Appendix 3.6.1 for codes	V2 onwards
xbrlSubmissionResult	Wrapper element to return detail result of XBRL submission.	Optional	xsd:complexType	V3 Onwards
xbrlSubmissionResult/handBookRef	The relevant Handbook Reference for the Handbook Data Item.	Mandatory	xsd:string	V3 Onwards
xbrlSubmissionResult/reportingBasis	The reporting basis code held for the XBRL data.	Mandatory	xsd:complexType	V3 Onwards
xbrlSubmissionResult/copyNumber	Identifies the version/copy of the XBRL submission. When a resubmission is requested a copy of the Scheduled Data Item appears on the Schedule, the copyNumber element indicates which copy of Schedule Data Item is being reported against.	Mandatory	Xsd:unsignedLong	V3 Onwards
xbrlSubmissionResult/status	Calculated status based upon the Completion Status of the Firm Data Item as a result of the Submission Request. If the Completion Status of the Firm Data Item was set to Submitted, then this should be set to Successfully Submitted else it should be set to Failed.	Mandatory	xsd:complexType	V3 Onwards

xbrlSubmissionResult/ dataItemCompletionStatus	Each Firm Data Item should be associated with the Completion status, the possible values of Completion Status are :'No Data', 'Draft', 'Failed Validation', 'Ready To Submit', 'Submitted', 'Satisfied for Group'	Mandatory	xsd:com plexType	V3 Onwards
xbrlSubmissionResult/ validationError	Validation errors related to the Data Item in the submission	Optional	xsd:com plexType	V3 Onwards
xbrlSubmissionResult/ validationError/ assertionId	Assertion id of the formula for which the data failed validation.	Optional	xsd: string	V3 Onwards
xbrlSubmissionResult/ validationError/ text	Error Description.	Madatory	xsd: string	V3 Onwards
xbrlSubmissionResult/ validationError/ type	Based on the errors generated, the type of error can be one of XBRL, XML, Schema or Business.	Madatory	xsd:com plexType	V3 Onwards
xbrlSubmissionResult/ warning	Validation warnings relating to the Data Items in the submission	Optional Note: Currently this field is not in use.	xsd:com plexType	V3 Onwards
xbrlSubmissionResult/ warning/ assertionId	Assertion id of the formula for which the data failed validation.	Optional Note: Currently this field is not in use.	xsd: string	V3 Onwards
xbrlSubmissionResult/ warning/ text	Error Description.	Madatory Note: Currently this field is not in use.	xsd: string	V3 Onwards
xbrlSubmissionResult/ warning/type	Based on the errors generated, the type of error can be one of XBRL, XML, Schema or Business.	Madatory Note: Currently this field is not in use.	xsd:com plexType	V3 Onwards

3.5   Submit XBRL Data Items Directly

This message changes the state of the REGDATA application.

Web method submitReturns is introduced in Gateway service to allow firm to do XBRL submission using direct communication channel. User may choose to compress payload for faster response.
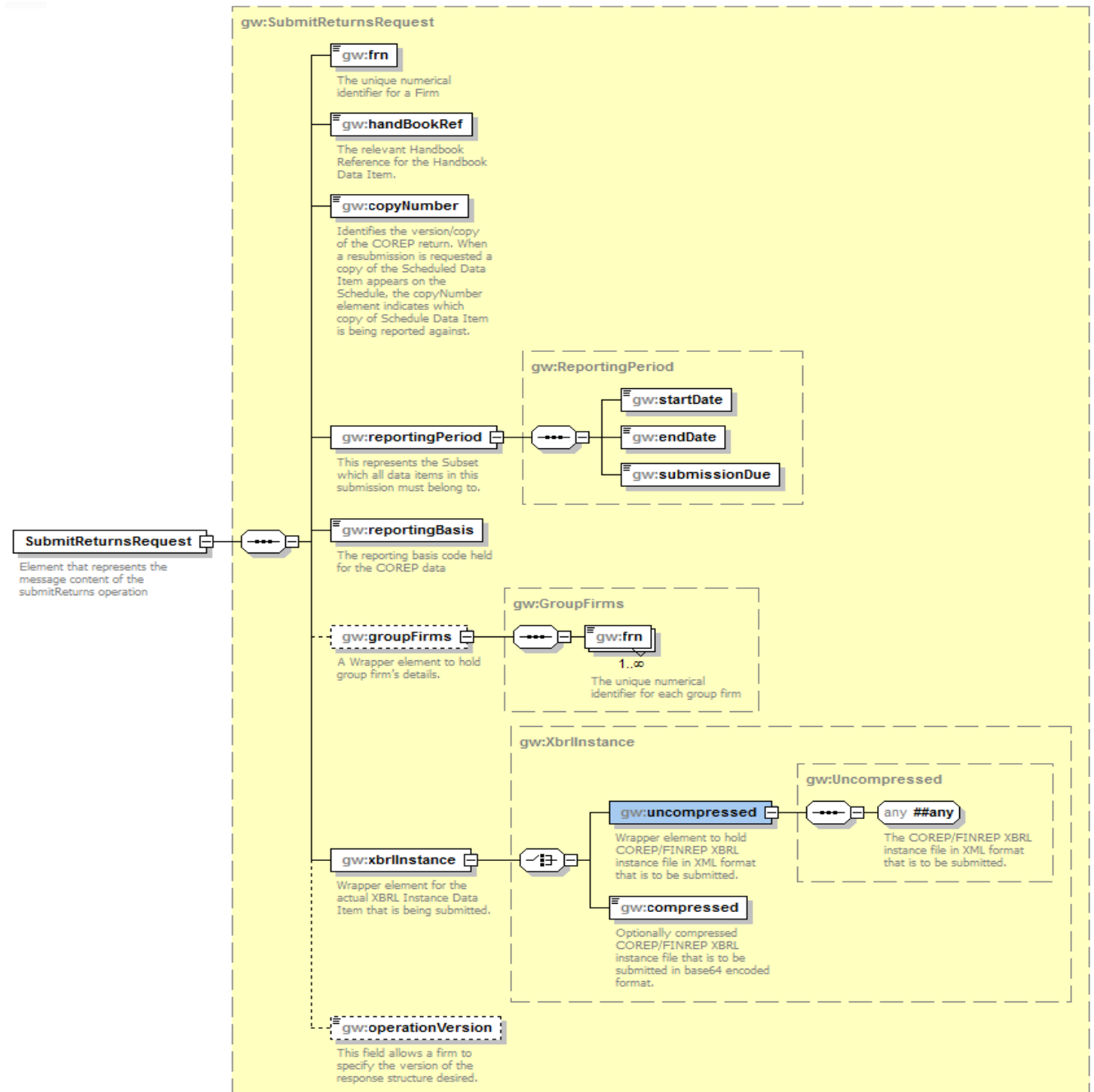
3.5.1   Request Message

Figure 15 Structure of the SubmitReturnsRequest message

SubmitReturnsRequest			
Element	Description	Mandatory/ optional	Type (Format)
Frn	The unique identifier for the firm	Mandatory	xsd:unsignedLong
handBookRef	The relevant Handbook Reference for the Handbook Data Item.	Mandatory	xsd: string
copyNumber	Identifies the version/copy of the XBRL return. When a resubmission is requested a copy of the Scheduled Data Item appears on the Schedule, the copyNumber element indicates which copy of Schedule Data Item is being reported against.	Mandatory	Xsd: unsignedLong
reportingPeriod	The reporting period the submission is being made for.	Mandatory	xsd:complexType
reportingPeriod/startDate	Start date for the period that is being reported against.	Mandatory	xsd:date
reportingPeriod/endDate	End date for the period that is being reported against.	Mandatory	xsd:date
reportingPeriod/submissionDue	The due date for the Data Items that are being submitted. This and the previous two elements represent the subset that the Schedule was calculated for.	Mandatory	xsd:date
reportingBasis	The reporting basis code held for the XBRL data	Mandatory	xsd:complexType

groupFirms	A Wrapper element to hold group firm's details.	Mandatory	xsd:complexType
groupFirms/frn	The unique firm reference number identified for each firm in the group.	Mandatory	xsd: unsignedLong
xbrlInstance	Wrapper element for the actual XBRL Instance data that is being submitted.	Mandatory	xsd:complexType
xbrlInstance/uncompressed	Wrapper element to hold XBRL instance file in XML format that is to be submitted.	Optional Note: Either uncompressed or compressed XBRL instance must be provided.	xsd:any
xbrlInstance/compressed	Compressed XBRL instance file that is to be submitted in base64 encoded format.	Optional Note: Either uncompressed or compressed XBRL instance must be provided.	xsd:base64Binary
operationVersion	This field allows a firm to specify the version of the response structure desired. Please refer to the response structure in section 3.2.4 for details of response structure for each version	Optional Note: Not passing a value is equivalent to passing "v1" which is the default version of the response. If "v2" is passed	Enum Valid Values are "v1" "v2" onwards

		then response includes "fieldRef" for erroneous data elements.	

Note:

Element xbrlInstance/uncompressed can be used to submit XBRL instance data in plain XML format.

A firm may choose to submit compressed base64 encoded XBRL instance data using element xbrlInstance/compressed for faster processing.

3.5.1.1 *Base64 Encoding*

Base64 is a generic term for several similar encoding schemes that encode binary data by treating it numerically and translating it into a base 64 representation. The Base64 term originates from a specific MIME content transfer encoding.

Base64 encoding schemes are commonly used when there is a need to encode binary data that needs be stored and transferred over media that are designed to deal with textual data. This is to ensure that the data remains intact without modification during transport.

3.5.1.2 *Data Compression*

Data compression is particularly useful in communications because it enables application to transmit or store the same data with fewer bits. REGDATA will support gzip compressed and base64 encoded XBRL payloads.
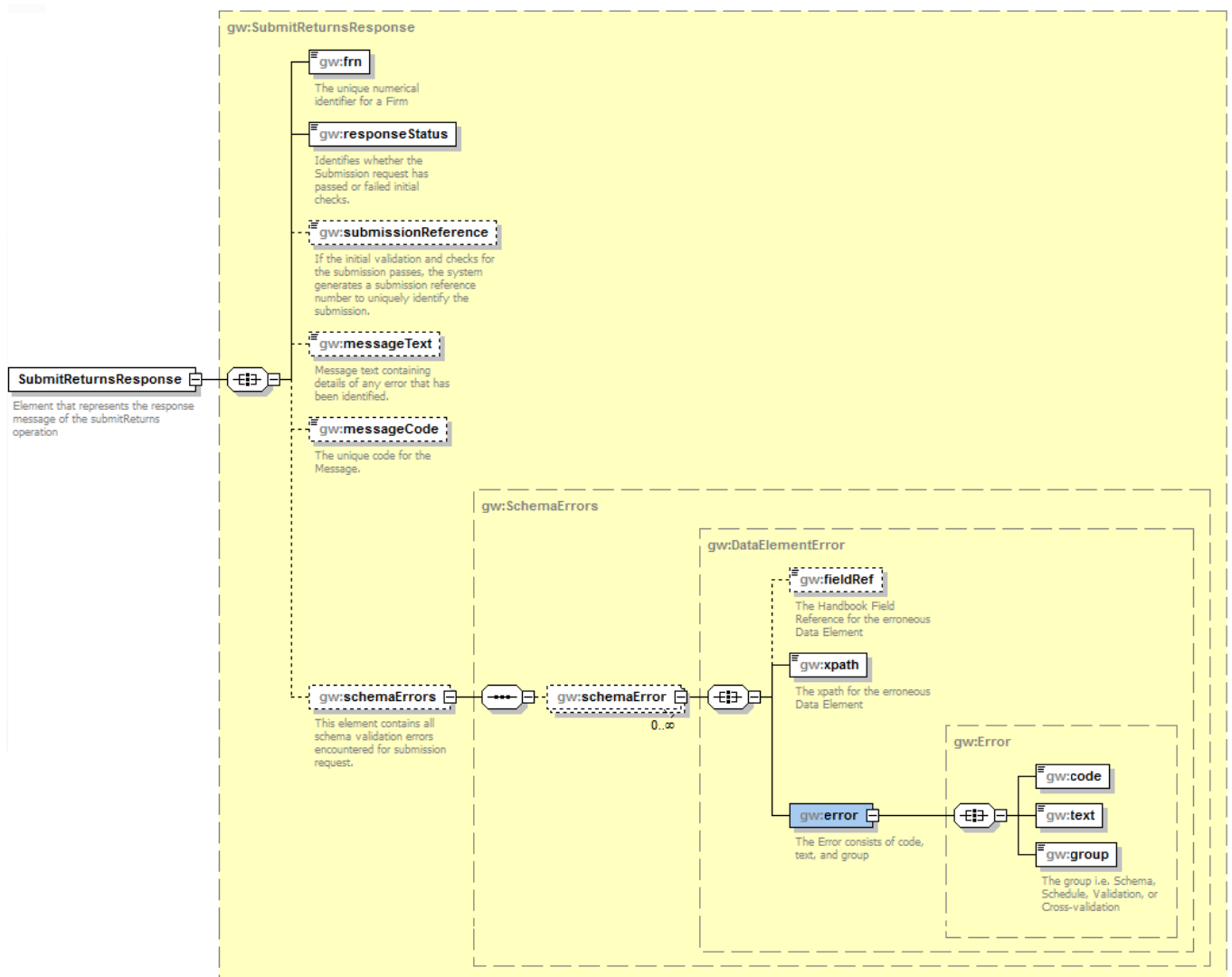
3.5.2   Response Message

Figure 16 : Structure of the SubmitReturnsResponse message

DirectSubmissionResponse				
Element	Description	Mandatory/optional	Type (Format)	Available in Version(s)
frn	The unique identifier of the Firm	Mandatory	xsd:unsignedLong	v1 Onwards
responseStatus	Identifies whether the Submission request has passed or failed initial checks. The value can be "Initial checks passed" if the submission passed initial security checks otherwise "Initial Checks Not Successful"	Mandatory	xsd:string	v1 Onwards
submissionReference	If the initial validation and checks for the submission passes, the system generates a submission reference number to uniquely identify the submission.	Optional	xsd:string	v1 Onwards
messageText	Message text containing details of any error that has been identified.	Optional	xsd:string	v1 Onwards
messageCode	The unique code for the Message.	Optional	xsd:string	v1 Onwards
schemaErrors	This element contains all schema validation errors encountered for submission request.	Optional	xsd:complexType	v1 Onwards
schemaErrors/schemaError	Wrapper element for each error	Optional	xsd:complexType	v1 Onwards
schemaErrors/schemaError/error/code	The code for the error	Optional	xsd:string	v1 Onwards
schemaErrors/schemaError/error/text	The textual description	Optional	xsd:string	v1 Onwards
schemaErrors/schemaError/error/group	Error type description.	Optional	xsd:string	v1 Onwards

3.6 Submit AIFMD Data Items Directly

This message changes the state of the REGDATA application.

Web method submitAIFReturns is introduced in Gateway service to allow a firm to do AIFMD submission using the direct communication channel.
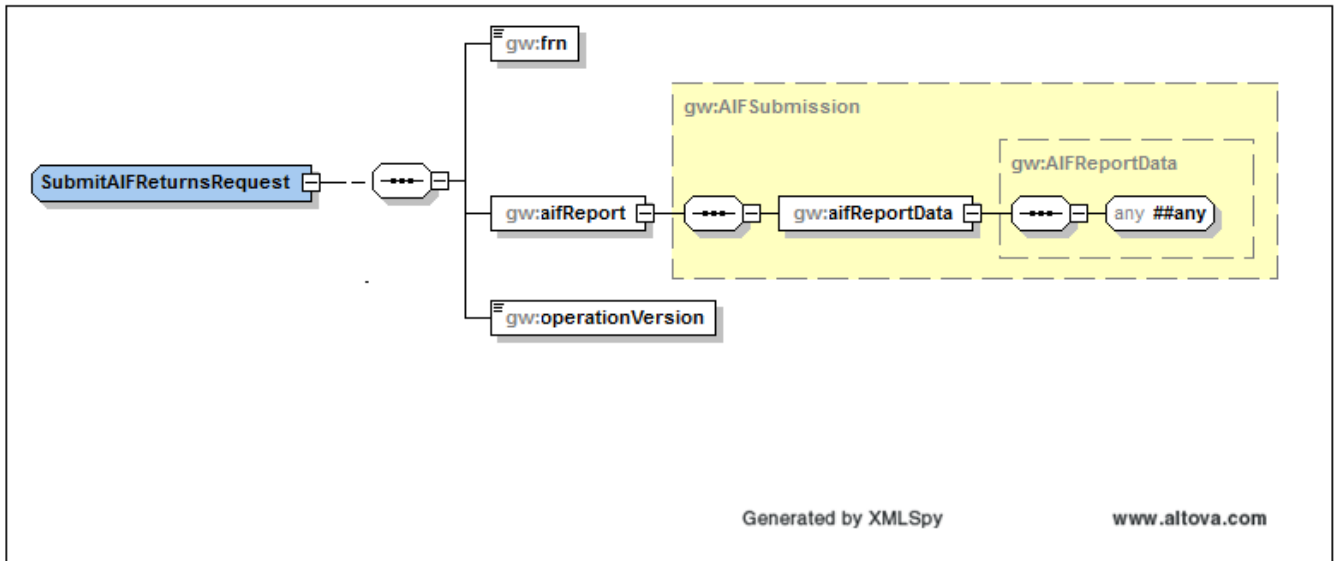
3.6.1 Request Message

Figure 19: Structure of submitAIFReturnsRequest message

submitAIFReturnsRequest			
Element	**Description**	**Mandatory/optional**	**Type (Format)**
frn	The unique identifier for the firm	Mandatory	xsd:unsignedLong
aifReport	Identifies the alternate investment fund reports to be submitted. This submission can be for AIF001 or AIF002.	Mandatory	xsd: complexType
aifReport/aifReportData	Identifies the alternate investment fund manager / fund report data to be submitted	Mandatory	xsd:complexType
aifReportData/AIFReportData	Identifies the element to hold AIFMD data to be submitted	Mandatory	xsd:any
operationVersion	This field allows a firm to specify the version of the response structure desired. Please refer to the response structure in section 3.2.4 for details of response structure for each version	Optional Note: Not passing a value is equivalent to passing "v1" which is the default version of	Enum Valid Values are "v1" "v2" Onwards

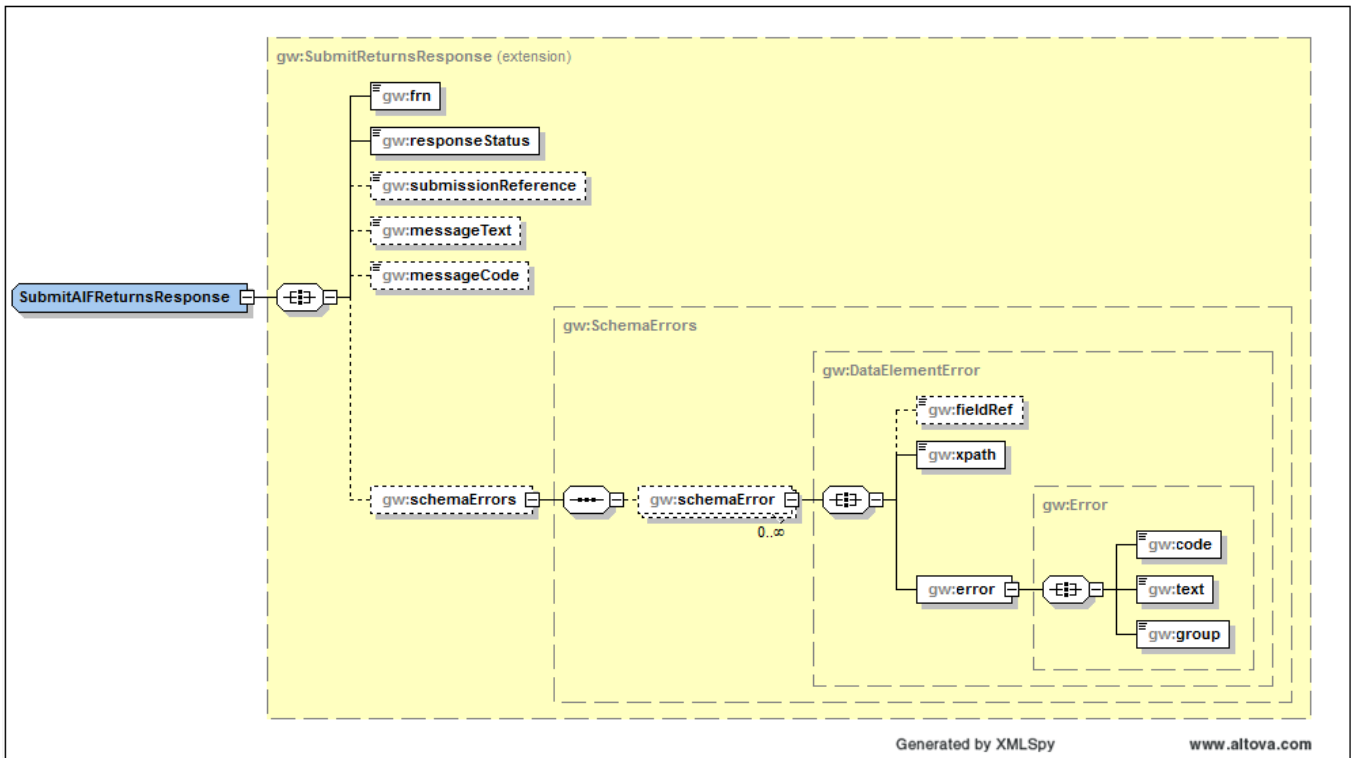|		the response. If "v2" is passed then response includes "fieldRef" for erroneous data elements.	

3.6.2 Response Structure

Figure 20: Structure of SubmitAIFReturnsResponsemessage

SubmitAIFReturnsResponse				
Element	**Description**	**Mandatory /optional**	**Type (Format)**	**Available in Version(s)**
frn	The unique identifier of the Firm	Mandatory	xsd:unsignedLong	v1 Onwards
responseStatus	Identifies whether the Submission request has passed or failed initial checks. The value can be "Initial checks passed" if the submission passed initial security checks otherwise "Initial Checks Not Successful"	Mandatory	xsd:string	v1 Onwards

submissionReference	If the initial validation and checks for the submission passes, the system generates a submission reference number to uniquely identify the submission.	Optional	xsd:unsignedLong	v1 Onwards
messageText	Message text containing details of any error that has been identified.	Optional	xsd:string	v1 Onwards
messageCode	The unique code for the Message.	Optional	xsd:string	v1 Onwards
schemaErrors	This element contains all schema validation errors encountered for submission request.	Optional	xsd:complexType	v1 Onwards
schemaErrors/schemaError	Wrapper element for each error	Optional	xsd:complexType	v1 Onwards
schemaErrors/schemaError/error/code	The code for the error	Optional	xsd:string	v1 Onwards
schemaErrors/schemaError/error/text	The textual description	Optional	xsd:string	v1 Onwards
schemaErrors/schemaError/error/group	Error type description.	Optional	xsd:string	v1 Onwards

3.7 Errors

Message Code	MessageText	Operation
MSG001	Invalid Connection Credentials provided. Please check and retry message.	Retrieve Submission Status
MSG002	Firm referenced within the message cannot be found. Please check the Firm	Web Service Account, Retrieve Schedule, Retrieve Submission Status
MSG003	Firm System not associated to the Firm. Please contact the support desk for assistance.	Web Service Account, Retrieve Schedule, Retrieve Submission Status
MSG004	Access to the MER System for this Firm is currently disabled. Please contact the support desk for assistance.	Web Service Account, Retrieve Schedule, Retrieve Submission Status
MSG005	Firm not verified for direct XML submission. Please undertake the verification process before attempting to connect to the Live system.	Web Service Account, Retrieve Schedule, Retrieve Submission Status
MSG006	Acknowledgement Reference not found. Please check the reference provided.	Retrieve Submission Status
MSG044	Subset Referenced Within The Submission Request Not Found In Schedule	Web Service Account
MSG110	Firm System has been disabled from accessing MER System.	Web Service Account
MSG152	Firm Can Not Be Found	Web Service Account
MSG153	Firm Not Verified To Submit Directly. For details of the Verification Process, please visit [website link]	Web Service Account

MSG154	Upload failed. Subset is not available for update.	Web Service Account
MSG155	Data Item Not Found In Subset	Web Service Account
MSG156	Upload failed. Data Item is not available for update.	Web Service Account
MSG159	Unable to process this submission currently - another Subset is currently being processed as a result of another Submission – please try again later	Web Service Account
MSG161	May also access MER to view these errors	Web Service Account
MSG193	The Firm Data Item contains a Firm Reference Number which cannot be identified.	Web Service Account
MSG194	A Firm identified does not have an equivalent Firm Data Item on its schedule.	Web Service Account
MSG195	The identified equivalent Firm Data Item has either already been entered or submitted.	Web Service Account
MSGQ3201303	Invalid file format. Only PDF files can be uploaded as an attachment.	Web Service Account
MSGQ3201304	The attached file exceeds the file size limit of 5MB.	Web Service Account
MSGQ3201310	The File name you have entered contains special characters. It can only contain alphanumeric characters, hyphen ('-'), underscore ('_'), space (' ').	Web Service Account
MSGQ3201311	The length of the file name you have selected exceeds the limit of 30 characters.	Web Service Account
MSGQ3201314	The submission request contains an attachment which is not allowed for this data item.	Web Service Account

MSG335a	The submission request failed to validate correctly against schema.	Submit Returns
MSGCRD001	Firm has been disabled from accessing RegData	Submit Returns
MSGCRD002	The handbook reference number is not matching the expected XBRL submissions on REGDATA	Submit Returns
MSGCRD013	The file size exceeded the maximum limit of 10 MB. Please compress the file (if not already compressed) and try uploading again.	Submit Returns
MSGCRD006	XBRL Submission failed to validate correctly against schema.	Retrieve Submission Status
MSGAIF015	Duplicate report. A report for this reporting period end date already exists for this firm.	AIF Report Receipt Process
MSGAIF016	Duplicate report. A report for this fund and reporting period end date already exists for this firm.	AIF Report Receipt Process
MSG500	Unkown Gateway Error. Please try again after sometime.	All Requests.
MSG600	Validation Messages generated by Gabirel Gateway are no longer available in RegData. Please re-submit the Data Item again to view Validation Messages.	Retrieve Submission Status

3.8   Appendix

3.8.1 Currency Codes

Currencies supported by this interface are the same as those supported by the online interface. Kindly login to RegData and click on "Manage Currency" to view the currency codes supported by the system.