

GABRIEL Data Reference Guide - Change Log

Version: 48

Issued : February 2019

Document History

Version	Date	Description
1	Aug-2007	Initial version to document changes to the data items first published in March 2007 (FSA001-FSA004, FSA008, FSA010-FSA013, FSA0016, FSA018, FSA019 and FSA028).
2	Oct-2007	Updated to include new data items for the 12/10/2007 release (no previously published data items were updated in this release)
3	Nov-2007	Updated following publication of the IRR (Amendment No 2) Instrument 2007 (25 October 2007). Minor updates to CommonTypes, FSA001 to FSA008, FSA013 to FSA019, FSA023, FSA025, FSA028, FSA031, FSA032, FSA044 to FSA046, RMA-E, SDS001 and SDS003. New data item Complaints-FOL.
4	Dec-2007	Updated following publication of Legal Instrument 2007/70. This includes changes to FSA015, FSA044, FSA045, FSA046, RMA-E, RMA-G, RMA-H, RMA-I. The change to RMA-E has resulted in a change to the shared definition schema SDS001 and new versions of FSA031 and FSA032 have been created to include the new version of SDS001. Also made a few minor corrections to FSA003, FSA005 and FSA010.
5	Jan-2008	Updates to data items using xml names containing full stops – the full stops have been replaced with hyphens. A new version of CommonTypes (v4) has been released to tighten the definitions of simple types that represent decimal numbers (floats and percentages) – resulting in new versions of all components which use decimal numbers. FSA006 has been removed. The XML samples for FSA020 and one of the business rules for FSA034 have been corrected.
6	Jun-2008	Business validation rules dropped on FSA002, FSA004, FSA034 and FSA036. Mandatory to optional changes on elements within FSA040, RMA-C, RMA-E and RMA-H. Correction to two rules in FSA010. Combination of RMA-D1 and RMA-D2 into a new data item RMA-D1-D2. Re-issue of Introduction and Cross-Validation documents.
7	Mar-2009	Re-design of RMA-J updates XLS, XML and XSD. Immaterial corrections made to various XLS and XML files, having no impact on schemas.
8	Jun-2009	Re-design of Complaints updates XLS, XML and XSD.. First publication of new Payment Services data items, FSA056 and FSA057 – all documents. Removal of merged item RMA-D1-D2, replaced by individual RMA-D2, which includes a minor schema change. RMA-D1 XLS reverts to v1.1. FSA044 is amended to allow negatives on Row 30. FSA046 is amended to allow both the Standard and IRB sections to be submitted.

9	Oct-2009	<p>First publication of new Liquidity data items: FSA047, FSA048 and FSA050 to FSA055 plus a cut down version of FSA011.</p> <p>Minor amendments to Complaints, FSA008, FSA017, FSA044, RMA-D1 and RMA-G and the future Payment Services Directive data items FSA056 and FSA057.</p> <p>First publication of the Profile Switch Rules for RMA data items.</p>
10	Nov-2009	<p>Correction to the namespace versions of the FSA017 sample and the FSA044 schema and sample which were published on 07/10/2009.</p>
11	Dec-2009	<p>Minor schema amendments to FSA001, FSA005, FSA019, FSA031, FSA032, FSA036, FSA045, FSA056 and RMA-E. Typing errors are corrected in the FSA050 spreadsheet (no schema change) and in cross validation rule 2 between FSA047 and FSA048. SDS001 is updated. All changed component versions are dated 01/12/2009, but the changes were not actually published on the web until January 2010. An old version of FSA017 has also been restored.</p>
12	Apr-2010	<p>Addition of 6 new columns, D93 to D98 on FSA047. Re-issue of cross validation rules to refer to the new columns.</p>
13	Jun-2010	<p>Schema amendments to FSA029, FSA031, FSA032 and SDS001 – to come into effect for return periods ending on or after 1 November 2010.</p> <p>Validation rule changes to FSA003, FSA028, FSA029, FSA035, RMA-C, RMA-F and MLA-A1-A2 – to come into effect 20 September 2010.</p> <p>Profile Switch Rules amendments to RMA-B and RMA-F to come into effect 20 September 2010.</p>
14	Aug-2010	<p>Changes for CRD2 (and other minor changes) to FSA003, FSA005, FSA008 and FSA046 plus new data item FSA058, all to come into effect for periods ending 31 December 2010.</p> <p>SDS001 change to one Insurer name. Corresponding schema version change on RMA-E, FSA031 and FSA032</p> <p>RMA-I new schema to change Private Health Insurance to Permanent Health Insurance</p> <p>Correction to XML Sample for FSA001 v4 (missing version off namespace).</p> <p>Correction to FSA047 v2 sample (previous file was corrupted when generated).</p> <p>Correction to effective dates of schema versions that were published in version 11 of this document. These schemas were originally intended to become effective for 21 June 2010 but will now be effective from 1 August 2010.</p>

15	Oct-2010	<p>From QCP 10/1 and QCP 10/10</p> <ul style="list-style-type: none"> - New elements added to FSA019 along with several other label changes, resulting in new schema - Label changes on FSA015, 001, 002 and 028. Minor version number increment on XLS files. - Validation rule changes on FSA047. Minor version number increment on XLS files. <p>From CASS Handbook</p> <ul style="list-style-type: none"> - Introduction of the CMAR Client Money and Assets Return. <p>For Common dataTypes</p> <ul style="list-style-type: none"> - Update of common elements
16	Mar-2011	<p>From CASS Handbook</p> <ul style="list-style-type: none"> - Validation rule changes, Currency fixed to GBP, correction of error codes and minor changes to wording. <p>FSA015 – Validation rule changes, wording change.</p> <p>FSA047 – Minor changes (Replaces the version in change log v15 which was never used as it was an internal release)</p>
17	Mar-2011	<p>Significant new versions of FSA004 (credit risk) and FSA045 (IRB Portfolio risk) as set out in legal instrument 2011/3 and coming into effect after 1 June 2011.</p> <p>FSA047 (liquidity daily flows) – Minor change to validation rules to allow zero (but not non-zero figures) to be submitted against weekend flows and flows that occur after the 3 month period.</p>
18	May-2011	<p>Changes for CRD3 to FSA005, FSA046 and FSA058</p> <p>CMAR – minor change to the handbook layout</p> <p>FSA028 – minor change to the handbook layout</p> <p>MLA-E – corrected XML sample data file</p>
19	Jun-2011	<p>Minor amendments to:</p> <p>Complaints – Change to error code against element 3A</p> <p>FSA003 – label changes on elements 78A, 86A & 94A</p> <p>FSA004 – label change on column F</p>
20	Oct-2011	<p>A new version of RMA-J.</p> <p>Minor amendments to CMAR, FSA018, FSA028, FSA056 and RMA-E</p>

21	Nov-2011	Final CRD3 versions of FSA005, FSA046 and FSA058 following publication of policy statement PS11/14. FSA005 is materially unchanged whilst FSA046 & FSA058 contain very minor amendments. RMA-J – a new version to remove mandatory elements (and leave all elements as conditional) correction to 3C, and minor handbook layout changes.
22	Dec-2011	Minor amendments to the Shared Definition Schema SDS001 and RMA-E.
23	Mar-2012	Validation rule change to RMA-D1 Minor change to RMA-J
24	Jun-2012	New data items and changes for RDR to RMA-K, RMA-L, RMA-G, RMA-B and RIA-Complaints New data items published for PSD001, PSD002, PSD003, PSD004 and PSD005.
25	Aug-2012	Minor corrections made to version 1 of RMA-K and RMA-L. Minor correction made to version 6 of the Common Types schema New versions of RMA-B, FSA050 and CMAR Minor version (label changes) to FSA052 and FSA057
26	Nov-2012	Minor version (schema only) to FSA057 Business validation change the date of birth information for PSD002 Retail Investments CMAR version date change
27	Mar-2013	Changes to Data Items for Legal Cut Over Changes to Data Items for Handbook Instruments 2010/69 and 2010/70 Changes to Data Item labels for CP13/01 Schema change for RMA-K and minor version change for CMAR
28	Oct-2013	New data items REP001, REP001a and REP002 for Close Links & Controllers Updates to CommonTypes schema versions 5 & 6 Validation and label changes for MLA-D, RMA-E & RMA-H Schema change for FSA008 Schema change for FSA056

29	Jun-2014	<p>New data items and changes to existing data items for Consumer Credit, Crowdfunding and Authorised Professional Firms.</p> <p>Update to CommonTypes schema version 7.</p> <p>Validation and label changes for RIA-Complaints.</p>
30	Oct-2014	<p>New data items AIF001, AIF002, FIN066, FIN067, FIN068, MLA-L, MLA-M and PSD007</p> <p>New version of MLA-C, RMA-B, RMA-D2, REP001, REP001a and REP002.</p> <p>Minor version change of PSD001</p> <p>FSA036 and FSA041 have been removed.</p>
31	Dec-2014	<p>New data items REP003 and FIN-A</p> <p>New version of CMAR, RMA-K, CCR002, CCR004, CCR007, FIN-APF</p> <p>Minor version change of RMA-J</p>
32	Jul-2015	<p>New data items REP005 and CCR008</p>
33	Dec-2015	<p>New data items and changes to existing data items for Mortgage Credit Directive, Recovery & Resolution Directive, and Remuneration Benchmarking data.</p> <p>New versions of CCR007, FIN-A, FIN-APF, FIN066, FIN067, FIN068, PSD001, REP005 and RMA-K.</p>
34	Mar-2016	<p>New version of CCR002, FSA018, MLA-C, PSD001, PSD007, REP004, RIA-Complaints, RMA-C.</p>
35	May-2016	<p>New data item FIN-CAP which incorporates both FIN071 and FIN072. Also, a new data item REP008</p> <p>New version of Complaints, RMA-D1, REP002.</p>
36	Oct-2016	<p>New version of FSA042</p> <p>New version of RIA-Complaints, REP006, REP006a, REP007, REP007a, FSA028, CCR002, CCR003 and FIN-CAP.</p>
37	Nov-2016	<p>New data items REP-CRIM & REP010</p> <p>New version for FSA032, FSA042, MLA-F, MLA-F1, MLA-H, MLA-H1, RMA-G and RMA-K</p> <p>New version for SDS001 and SDS002</p> <p>Minor version change for CCR003 and FSA019</p> <p>Change to cross validation rules for MLA-D1</p>

38	Feb-2017	New data items REP011 and REP012 New version of FIN-CAP and RMA-D1
39	May-2017	New version of RMA-D1 and REP008 Minor version change for CCR-Complaints, FIN069 and REP005
40	Jul-2017	New version of MLA-D1
41	Sep-2017	New version of FSA042 Minor version change for Complaints DISP 1 Ann 1R
42	Nov-2017	New version of FIN-A Minor version changes for AIF001, AIF002, Complaints DISP 1 Ann 1R, CCR002, and CCR007
43	Feb-2018	New versions of FSA056, FSA057, REP-CRIM, RMA-G and RMA-J New version of Common Types schema
44	Apr-2018	New data items PS-Complaints & REP017 New versions of FSA005, FSA017 & FSA045
45	Aug-2018	New data items REP015 & REP016 Minor version changes for Complaints DISP 1 Ann 1R & CCR Complaints.
46	Sep-2018	New data items REP018, PRA110, COR013, COR001a & COR001b Minor version changes for FSA035, PSD001 & REP015
47	Nov-2018	Minor version change for FSA056
48	Feb - 2019	Major version change for RMA-J

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What is the purpose of this document?

The Data Reference Guide (DRG) specifies the required format for XML regulatory data which can be submitted to the Financial Conduct Authority (FCA) and Prudential Regulation Authority (PRA). This document catalogues all changes to the XMLs per Gabriel release.

It is intended to be used by firms and software vendors who develop or use software to generate XML regulatory data. It can also be used as a reference showing when a data item was change and the relevant Policy Statement and Handbook Instrument.

Releases and Versions of the DRG

Each data item has its own XML specification and these are versioned independently from other data items. The XML specification for a single data item consists of a number of files:

- an Excel spreadsheet which includes the validation rules and the layout in accordance with the handbook,
- an XSD schema,
- one valid sample and also, where this does not incorporate all elements, an additional full sample is provided.
- For current versions of a data item, an Excel template is provided.

Details of February 2019 Changes

Introduction

This introduces a major schema version change to RMA-J

Major data item changes

RMA-J – Data Required for calculation of fees (v7.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/22](#)
- The following changes are effective for reporting periods ending on or after 1 April 2019
 - Change to the italic text underneath Part 1 ("class" to "category")
 - Change to the FSCS categories to the left-hand side of Column C
 - Change to Question 3 ("Life Distribution and Pension Intermediation" to "Life Distribution and Investment Intermediation")
 - Removed Question 4 ("Investment Intermediation") as this is now combined with Question 3
 - Change in XML name for 3A to 3C from "LifeAndPensions" to "LifeAndInvestment"
 - Change in XML name for 3A, 3B and 3C.
 - Change to validation rule for 3C

Details of November 2018 Changes

Introduction

This introduces a minor version change to FSA056.

Minor data item changes

FSA056 – Authorised Payment Institution Capital Adequacy Return (v4.1)

- Change to Question 30B to remove the word "Total" (now "Multiplication Factor")
- Correction to the validation rule for Method C Own Funds Requirement (Question 32B) to change the calculation back to $32B = 30B \times 31B$
- Amendment to the validation rule under Safeguarding of Relevant Funds (Questions 61C/D, 62C/D, 63C, 64C and 65C) to add "otherwise must be omitted"

Details of September 2018 Changes

Introduction

This introduces five new data items REP018 (Operational and Security Risk), PRA110 (Cash Flow Mismatch), COR013 (Resolution), COR001a (Daily Flows) and COR001b (Leverage Ratio).

This update also introduces major schema version changes to RMA-C, RMA-E, FSA031, FSA032 and FIN-APF in addition to minor version changes to FSA035 and PSD001.

New data items

REP018 – Operational and Security Risk (v1.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/35](#)
- Changes are effective for reporting periods ending on or after 30th September 2018

PRA110 – Cash Flow Mismatch (v1.0)

- Changes have been made in accordance with [Policy Statement PS2/18](#)
- Changes are effective for reporting periods ending on or after 1st July 2019

COR013 – Resolution (v1.0)

- Changes have been made in accordance with [EBA Reporting framework 2.8](#)
- Changes are effective for reporting periods ending on or after 31st December 2018

COR001a – Daily Flows (v1.0)

- Changes have been made in accordance with [EBA Reporting framework 2.8](#)
- Changes are effective for reporting periods ending on or after 31st December 2018

COR001b – Leverage Ratio (v1.0)

- Changes have been made in accordance with [EBA Reporting framework 2.8](#)
- Changes are effective for reporting periods ending on or after 31st December 2018

Major data item/schema changes

RMA-C – Client money and assets (v4.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/25](#)
- Changes are effective for reporting periods ending on or after 1st October 2018

RMA-E – PII self-certification (v8.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/25](#)
- Changes are effective for reporting periods ending on or after 1st October 2018

FSA031 – Capital adequacy (for exempt CAD firms subject to IPRU (INV) Chapter 9) (v7.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/25](#)
- Changes are effective for reporting periods ending on or after 1st October 2018

FSA032 – Capital adequacy (for exempt CAD firms subject to IPRU (INV) Chapter 13) (v8.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/25](#)
- Changes are effective for reporting periods ending on or after 1st October 2018

FIN-APF – Authorised Professional Firms Questionnaire (v3.0)

- Changes have been made in accordance with [Handbook Instrument FCA 2018/25](#)
- Changes are effective for reporting periods ending on or after 1st October 2018

Minor data item changes

FSA035 - Capital adequacy for firms subject to IPRU (INV) Ch 5 subject to exemption in IPRU (INV) 5.2.3(2)R (v1.4)

- Validation rule changes to 18A and 19A to prevent firms from entering an amount below the specified Own Funds Requirement.

PSD001 - Product Sales Data – Mortgage (2.1)

- “RI – retirement interest-only mortgage” added to 78A (Type of mortgage)
- Validation rule change to 27A (Mortgage term) to prevent firms from entering a term for lifetime mortgages, and retirement interest-only mortgages.

Details of August 2018 Changes

Introduction

This introduces two new data items REP015 (Retirement Income Flow Data) and REP016 (Retirement Income Stock and Withdrawals Flow Data)

This update also introduces minor version changes to Complaints DISP 1 Ann 1R & CCR Complaints

New data items

REP015 – Retirement Income Flow Data (v1.0)

- Changes have been made in accordance with [Policy Statement PS16/17](#)
- Changes are effective for reporting periods ending on or after 30th September 2018

REP016– Retirement Income Stock and Withdrawals Flow Data (v1.0)

- Changes have been made in accordance with [Policy Statement PS16/17](#)
- Changes are effective for reporting periods ending on or after 30th September 2018

Minor data item changes

Complaints DISP 1 Ann 1R (v5.3)

- Change to Special Instructions

CCR Complaints (v2.2)

- Change to Special Instructions

Details of April 2018 Changes

Introduction

This introduces two new data items PS-Complaints (Complaints) and REP017 (Payments Fraud Questionnaire).

This update also introduces major schema version changes to FSA005, FSA017 & FSA045.

New data items

PS-Complaints – Complaints (v1.0)

- Changes have been made in accordance with [Policy Statement PS17/19](#)
- Changes are effective for reporting periods ending on or after 1 December 2018

REP017 – Payments Fraud Questionnaire (v1.0)

- Changes have been made in accordance with [Policy Statement PS17/19](#)
- Changes are effective for reporting periods ending on or after 31 December 2018

Major data item/schema changes

FSA005 – Market Risk (v8.0)

- Changes are effective for reporting periods ending on or after 31 January 2019
- Change to reference the CommonTypes schema v12

FSA017 – Interest Rate Gap Report (v5.0)

- Changes are effective for reporting periods ending on or after 31 January 2019
- Change to reference the CommonTypes schema v12

FSA045 – IRB Portfolio Risk (v7.0)

- Changes are effective for reporting periods ending on or after 31 January 2019
- Change to reference the CommonTypes schema v12

Details of February 2018 Changes

Introduction

This update introduces a major data item/schema changes to FSA056, FSA057, REP-CRIM, RMA-G, and RMA-J, plus a major version change to the CommonTypes schema.

Major data item/schema changes

FSA056 – Authorised Payment Institution Capital Adequacy Return (v4.0)

- Changes have been made in accordance with [Policy Statement PS17/19](#)
- Changes are effective for reporting periods ending on or after 13 January 2018

FSA057 – Payment Services Directive Transactions (v2.0)

- Changes have been made in accordance with [Policy Statement PS17/19](#)
- Changes are effective for reporting periods ending on or after 13 January 2018

REP-CRIM – Financial Crime Report (v2.0)

- OperatingJurisdictions (Section 3) has been re-structured
- Validation has been added to Question 3B, 4A to 6B, 7A to 16A, 18A to 18B, 19A to 19C, 20A to 21A, 22A to 22B, 23A to 23B, 24A to 26A, 26B, and 28A to 28B
- Changes are effective for reporting periods ending on or after 31 March 2018

RMA-G – Training and Competence (v6.0)

- Change to Special Instructions
- Validation rule changes to Questions 20A to 20C, 21A to 21B, 22A to 22B, and 23A to 23D
- “The IFS University College” and “The Institute of Financial Planning” have been removed from the list in Question 24J and “The London Institute of Banking and Finance” has been added to the list in Question 24J. These changes have been made in accordance with [Consultation Paper CP17/14](#)
- Validation has been added to Question 24K
- Changes are effective for reporting periods ending on or after 28 February 2018

RMA-J – Data required for calculation of fees (v6.0)

- The following changes have been made in accordance with [Handbook Notice No.48](#) and [Handbook Instrument FCA 2017/58](#)
 - Label change to Column A
 - Label and XML Name changes to Questions 1 to 4
 - Addition of 2 new questions (Questions 5 and 6)
- Change to Special Instructions
- Changes are effective for reporting periods ending on or after 1 April 2018

Other changes

CommonTypes schema (v12.0)

- Added “XKX” to CountryCodeType3 for Kosovo
- Added “RFB sub-group” to ReportingBasisType for ring-fenced groups

Details of November 2017 Changes

Introduction

This update introduces a major data item/schema changes to FIN-A, and minor data item changes to AIF001, AIF002, Complaints DISP 1 Ann 1R, CCR002, CCR007.

Major data item/schema changes

FIN-A – Annual Report and Accounts (v2.0)

- Label change to Question 2 to comply with amendments to the Immigration Act 2016.
- Addition of 5 new questions (Questions 3 to 7).
- Change to Special Instructions
- Changes effective for reporting periods ending on or after 31 December 2017

Minor data item changes

AIF001 (v1.2)

- Updated various labels, drop down list values and validation rules to align with ESMA schema version 1.2 and the latest ESMA technical guidance. We will publish an updated Data Reference Guide in December 2017 detailing each of these changes.

AIF002 (v1.2)

- Updated various labels, drop down list values and validation rules to align with ESMA schema version 1.2 and the latest ESMA technical guidance. We will publish an updated Data Reference Guide in December 2017 detailing each of these changes.

Complaints DISP 1 Ann 1R (v5.2)

- Removed validation from Table 3 enforcing the completion of either Column A or B
- Amended validation in Table 4 Row 770 as follows "770 <= 77A"
- Validation added to Table 5 Rows 111, 117, 132, 143 and 159 (Columns A/B/C/E/F/G) to ensure the total values equal the sum of the component parts
- Removed validation from Table 6 Rows 168 to 173, 174 to 175, 176 to 190, 191 to 192, 193 to 203, 204 to 205, 206 to 221 and 222 to 223 enforcing the completion of either Column A or B
- Amended validation in Table 6 Rows 173, 190, 203 and 218 to allow completion of either Columns A or B

CCR002 (v4.1)

- Change to Special Instructions

CCR007 (v2.2)

- Change to Special Instructions

Details of September 2017 Changes

Introduction

This update introduces a major data item/schema changes to FSA042, and minor data item changes to Complaints DISP 1 Ann 1R.

Major data item/schema changes

FSA042 – UCITS (v3.0)

- Change to Special Instructions
- Change in validation rules for Questions 4 to 5 (to ensure funds appear in both tables), 4A & 4C (data entered must be unique), 4E & 4F (long and short positions are expressed as positive values), 4H-4I (the calculation used must be either Leverage or Market Risk) and 5 (at least one of 5B to 5AA must be 'Yes', or you must add a type to 5AB)
- Change in data type for Question 5AB from 'String20' to 'String500'
- Wording changes to the validation error messages on Sections 4H to 4I, 4K to 4L, and 4M to 4N
- Additional validation rule added to Section 4H to 4I to ensure that if row 4 is completed, then at least one of 4H to 4I is 'Yes'
- Changes effective for reporting periods ending on or after 30 September 2017

Minor data item changes

Complaints DISP 1 Ann 1R (v5.1)

- Label change to Table 2 Columns F, G & H, and Table 5 Columns F, G & H to add the additional text "(single units)" to help clarify the expected values.

Details of July 2017 Changes

Introduction

This update introduces major data item/schema changes to MLA-D1 in accordance with Consultation Paper CP16/41 and subsequent Handbook Notice No 45 and Handbook Instrument FCA 2017/35.

Major data item/schema changes

MLA-D1 – Second Charge Lending: Business Flow and Rates (v2.0)

- Change to label and XML Name for Question 5 from “New loan” to “House purchase”
- Change to validation rule for Question 7 (“Total”) to accommodate new Question 8
- New Question 8 added for “Other”
- Changes are effective for reporting periods ending on or after 31 October 2017.

Details of May 2017 Changes

Introduction

This update introduces major data item/schema changes to RMA-D1 and REP008, and minor data item changes to CCR-Complaints, FIN069 and REP005.

Major data item/schema changes

RMA-D1 – Regulatory Capital (v5.0)

- Changes have been made to the validation rule for Question 12A to reflect the revised capital resources requirement (£20,000) as a result of Transitional Provisions applying to IPRU(INV) ending on 29 June 2017.
- Changes are effective for reporting periods ending on or after 30 June 2017.

REP008 – Notification of Disciplinary Action (v2.0)

- Changes have been made in accordance with Consultation Paper (CP) 16/27 and subsequent Policy Statement (PS) 17/8.
- The following changes have been made:
 - Major label and data type change to Question 2J
 - Minor label changes to Questions 2C, 2F, 2H, 2K, 2L and 2M
 - Change to Special Instructions
- Changes are effective for reporting periods ending on or after 1 August 2017.

Minor data item changes

CCR-Complaints – Complaints Return (v2.1)

- Validation rule for Question 47A changed to remove “otherwise must not be completed” from both validation elements
- Change to Special Instructions

FIN069 – Financial resources requirements for operators of an electronic system in relation to lending (v1.1)

- Validation rule for Question 19B changed from “19B is the higher of 18A and £20000” to “19B is the higher of 18A and £50000” as a result of Transitional Provisions applying to IPRU(INV) ending on 31 March 2017.

REP005 – High Earners Report (v1.2)

- Additional validation rule “19 must be less than or equal to 15” added to Questions 19A to 19H respectively.

Details of February 2017 Changes

Introduction

This introduces two new data items REP011 (Monthly Breach Report from Depositories) and REP012 (Quarterly Oversight Report from Depositories). The new data items are introduced in-line with the Policy Statement 16/12 (Handbook Instrument FCA 2016/54).

New data items

REP011 – Monthly Breach Report from Depositories (v1)

- New data item with two dynamic tables.
- This new data item is effective for reporting periods ending on or after 28 February 2017.

REP012 – Quarterly Oversight Report from Depositories (v1)

- New data item with one dynamic tables.
- This new data item is effective for reporting periods ending 31 March 2017 onwards.

Major data item/schema changes

FIN-CAP – Capital Adequacy (FIN071 and FIN072) (v3)

- This new version requires all FIN071 monetary values to be reporting in singles. Note that FIN072 monetary values remain in thousands
- Data type change to FIN071 row26 column B from Float2 to Float4
- Changes are effective for reporting periods ending on or after 31 March 2017

Minor data item changes

RMA-D1 – Regulatory Capital (v4.1)

- This new minor version of RMA-D1 to strengthen the validation for completing key sections. Changes come into effect immediately.

Details of November 2016 Changes

Introduction

This update introduces:

- New data items for Financial Crime Reporting (REP-CRIM) and List of Overseas Regulators and Organogram (REP010)
- Major data item/schema changes to FSA032, FSA042, MLA-F, MLA-F1, MLA-H, MLA-H1, RMA-G and RMA-K
- Major schema changes to SDS001 and SDS002
- Minor data item changes to CCR003 and FSA019
- Change to the cross validation rules for MLA-D1

New data items

REP-CRIM – Financial Crime Report (v1)

- This new data item is being introduced in accordance with Consultation Paper (CP) 15/42 and subsequent Policy Statement (PS) 16/19 and Handbook Instrument FCA 2016/53
- This new data item is effective for reporting periods ending on or after 31 December 2016.

REP010 – List of Overseas Regulators & Organogram (v1)

- This new data item is being introduced in accordance with Consultation Paper (CP) 15/42 and subsequent Handbook Notice No.31 and Handbook Instruments FCA 2016/26 and FCA 2016/37
- This new data item is effective for reporting periods ending on or after 31 October 2016 and replaces the NGP005 and NGP006 which was submitted outside of Gabriel and marked as 'FCA/PRA Received' upon receipt.

Major data item/schema changes

FSA032 - Capital adequacy for exempt CAD firms subject to IPRU (INV) Chapter 13 (v7)

- Changes have been made in accordance with Consultation Paper (CP) 15/17 and subsequent Policy Statement (PS) 15/28
- Changes are effective for reporting periods ending on or after 30 November 2016
- The following changes have been made:
 - Label change to Questions 15, 24, 25 and 26
 - Questions 18 to 22 removed
 - Questions 29 to 31 removed

FSA042 – UCITS (v2)

- Changes have been made in accordance with Consultation Paper (CP) 15/27 and subsequent Handbook Notice No.35 and Handbook Instrument FCA 2016/54
- Changes are effective for reporting periods ending on or after 31 October 2016 and will be submitted annually thereafter.
- Question 3 has been removed; two new tables have been added (Questions 4 and 5) plus an additional Question 6 for comments.

MLA-F – Mortgage Lending Arrears Analysis (v3)

- Schema version updated to associate with updated Shared Definition Schema (v3) and respective Common Types schema (v9)
- Changes are effective for reporting periods ending on or after 31 December 2016

MLA-F1 – Second Charge Lending Arrears Analysis (v2)

- Schema version updated to associate with updated Shared Definition Schema (v3)
- Changes are effective for reporting periods ending on or after 31 December 2016

MLA-H – Mortgage Administration Arrears Analysis (v3)

- Schema version updated to associate with updated Shared Definition Schema (v3) and respective Common Types schema (v9)
- Changes are effective for reporting periods ending on or after 31 December 2016

MLA-H1 – Second Change Mortgage Administration Arrears Analysis (v2)

- Schema version updated to associate with updated Shared Definition Schema (v3)
- Changes are effective for reporting periods ending on or after 31 December 2016

RMA-G – Training & Competence (v5)

- Changes have been made in accordance with Consultation Paper (CP) 15/42 and subsequent Handbook Notice No.30 and Handbook Instruments FCA 2016/14 and FCA 2016/62
- Changes are effective for reporting periods ending on or after 31 December 2016
- The following changes have been made:
 - Label change to Questions 1 to 7 and Column B (Advising on non-investment insurance)
 - Questions 8 to 12, and 15 to 16 removed
 - Questions 17 to 30 added
 - Section headings added
 - Special Instructions changed to reflect changes

RMA-K – Adviser Charges (v5)

- Changes have been made in accordance with Consultation Paper (CP) 16/17 and subsequent Handbook Instrument FCA 2016/62
- Changes are effective for reporting periods ending on or after 31 December 2016
- Added “Did not provide advice” to the list in Question 1

SDS001 – Shared Definition Schema (v9)

- Change made to associate with CommonTypes v11 to align with FSA032 v7 which is also associated with the same version of CommonTypes schema.

SDS001 – Shared Definition Schema (v3)

- Change made to associate with CommonTypes v9 to align with MLA-F, MLA-F1, MLA-H and MLA-H1 which are also associated with the same version of CommonTypes schema

Minor data item changes

CCR003 - Consumer Credit data: Lenders (v2.1)

- Validation “If row is completed, then element is mandatory” removed from Questions 11F and 11G

FSA019 – Pillar 2 Information (v6.1)

- Change made in accordance with Consultation Paper (CP) 16/17 and subsequent Handbook Instrument FCA 2016/62
 - Label change to Question 1 to “Does either GENPRU 1.2 or IFPRU 2 apply to your firm?”

Other changes

Cross Validation Rules (v13)

- Removed MLA-D1 Rules 7, 8, 15, 16, 17, 33, 34, 35, 36, 37, 38 & 43
- Added MLA-D1 Rules 45, 46, 47, 48 & 49

Details of October 2016 Changes

Introduction

This update introduces:

- Changes to existing data items in accordance with Quarterly Consultation Paper No 12 (CP16/8) and Handbook Instrument FCA 2016/45
- Major changes to an existing data item
- Minor data item changes

Changes in accordance with Quarterly Consultation Paper No 12 (CP16/8) and Handbook Instrument FCA 2016/45

CCR002 Consumer Credit data: Volumes (v4.0)

- Changes are effective for reporting period ends on or after 31 October 2016
- Question 7 has been removed and new questions 13 and 14 added

CCR003 Consumer Credit data: Lenders (v2.0)

- Changes are effective for reporting period ends on or after 31 October 2016
- Question 7 has been removed and new questions 11 and 12 added

FSA028 (v5.0)

- Changes are effective for reporting period ends on or after 31 October 2016
- Questions 1 and 2 have been removed

Major changes to an existing data item

FIN-CAP (v2.0)

- Changed data type on FIN071.26B from "MonPos" to "Float2"
- Added additional validation on FIN071.26B

Minor data item changes

RIA-Complaints (v2.1)

- Added additional validation rule on 3B

REP006, REP006a, REP007, REP007a (v1.1)

- Added additional validation rule on 2A

Details of May 2016 Changes

Introduction

This update introduces a new data item REP008 in accordance with PS16/06 and the Handbook Administration Instrument to be published in June. Also, a new data item FIN-CAP (PS14/12 & PS16/02) which includes FIN071 and FIN072. There are also major changes to both Complaints and RMA-D1.

New Data Item REP008 from 31 August 2016

- Version 1 of REP008 is published.
- The first, end of reporting period will be 31 August with submissions due by the end of October and annually thereafter.
- The new data item contains a table to be completed and the option to add a PDF which can enhance the details.

Major Change to Complaints (v5) from 30 December 2016

- Complaints (v5.0) – has been split into 2 major sections – 3 tables in each section. The first three sections should be completed where the total number of Complaints opened in the period does not exceed 500.
 - Table 1 & 4 – Complaints opened in the period
 - Table 2 & 5 – Complaints closed in the period
 - Table 3 & 6 – Contextualised metrics
- Complaints AllActivities has been removed to allow the CCP-Complaints data item to be completed for all firms that fall into RAG12.

New Data Item FIN-CAP (Capital Adequacy)

- Version 1 of FIN-CAP containing the handbook layout and validation for FIN071 and FIN072.
- Special instructions and validation within FIN-CAP will guide firms to the correct part of FIN-CAP based on their permissions.
- First report is due from 31 March for FIN072 reporters and 30 September for FIN071 reporters and is based on the ARD of the firm.

New version of RMA-D1

- Version 4 of RMA-D1 which includes an additional 15 rows, removal of 5 rows and also a number of label and validation changes.
- Special instructions have been amended to reflect the changes.
- The new version is effective from 30 June 2016

Details of March 2016 Changes

Introduction

This update introduces:

- changes to two existing data items under the Mortgage Credit Directive in accordance with Policy Statement PS15/9;
- change to an existing data item in accordance with Handbook Instrument FCA 2015/62;
- change to an existing data item in accordance with Handbook Instrument FCA 2016/14; and
- changes to five other existing data items to correct label, data type and validation issues.

Change in accordance with Policy Statement PS15/9

Major Changes to Existing Data Items

- PSD001 Product Sales Data - Mortgage (v2.0) – submissions for mortgage accounts opened on or after 1 April 2017.
- PSD007 Product Sales Data – Mortgage Performance (v2.0) – submissions for date of balances on or after 1 April 2017.

Change in accordance with Handbook Instrument FCA 2015/62

Major Changes to Existing Data Items

- RMA-C Client Money and Assets (v3.0) – submissions for reporting periods ending on or after 31 March 2016

Change in accordance with Handbook Instrument FCA 2016/14

Major Changes to Existing Data Items

- RIA-Complaints Complaints by Retail Investment Advisers (v2.0) – submissions for reporting periods ending on or after 31 March 2016.

Other Data Item and Schema Specific Changes

Major Data Item Changes

- CCR002 Consumer Credit data: Volumes (v3.0)
 - Effective for reporting periods ending on or after 31 March 2016
 - “not applicable” added to list in Question 9A and 11A.
- FSA018 UK integrated group - Large Exposures (v5.0)
 - Effective for reporting periods ending on or after 31 March 2016
 - Validation rule changes to Questions 2B, 2C and 2C(Total)

Minor Data Item Changes

- MLA-C Capital Adequacy (v2.4) – label change for Questions C4.6a and C5.5b
- PSD007 Product Sales Data - Mortgage Performance (v1.5) – label change to Question 17 “Remaining term (months)”
- REP004 Remuneration Benchmarking Report (v1.1) – Added validation to Questions 19B to 19I.

Details of December 2015 Changes

Introduction

This update introduces an electronic version of the Remuneration Benchmarking Report in accordance with Handbook Notice 22, four new data items under the Recovery & Resolution Directive in accordance with PS15/2, five new data items, changes to two existing data items and changes to cross validation rules under the Mortgage Credit Directive in accordance with PS15/9, and one new data item under the Mortgage Credit Directive in accordance with PS15/11.

We have also made changes to existing data items CCR007, FIN-A, FIN-APF, FIN066, FIN067, FIN068, PSD001, REP005, and RMA-K.

Change in accordance with Handbook Notice 22

New Data Item

- REP004 Remuneration Benchmarking Report (v1.0) – submissions for end of reporting period 31 December 2015

Change in accordance with Policy Statement 15/2

New Data Items

- REP006 Recovery Plans (v1.0) – submissions for end of reporting period 31 December 2015
- REP006a Recovery Plans Notification (v1.0) – submissions for end of reporting period 31 December 2015
- REP007 Resolution Plans (v1.0) – submissions for end of reporting period 31 December 2015
- REP007a Resolution Plans Notification (v1.0) – submissions for end of reporting period 31 December 2015

Change in accordance with Policy Statement 15/9

New Data Items

- MLA-A4 Analysis of second charge loans to customers (v1.0) – submissions for end of reporting period 21 March 2016
- MLA-D1 Second Charge Lending – Business flow and rates (v1.0) – submissions for end of reporting period 21 March 2016
- MLA-E1 Second Charge Lending – Loans to Individuals (v1.0) – submissions for end of reporting period 21 March 2016
- MLA-F1 Second Charge Lending – Arrears Analysis (v1.0) – submissions for end of reporting period 21 March 2016
- MLA-H1 Second Charge Mortgage Administration – Arrears Analysis (v1.0) – submissions for end of reporting period 21 March 2016

Changes to Existing Data Items

- RMA-B Profit & Loss - new schema version v4.0
 - Effective for end of reporting period 21 March 2016
 - Introduces a label change to Question 1 and new Question 15 for second (or subsequent) charge mortgages

- RMA-G Training & Competence - new schema version v4.0
 - Effective for end of reporting period 21 March 2016
 - Introduces a new column (E) for 'Advising on second (and subsequent) charge mortgages'.
 - Change to data type in element 3D from 'IntPos' to 'NonNegativeFloat2Type'.

Cross Validation

- New cross validation rules (v9) introduced for MLA-A3, MLA-D1 and MLA-E1

Change in accordance with Policy Statement 15/11

New Data Item

- REP009 Consumer Buy-To-Let Mortgage Aggregated Data (v1.0) – submissions for end of reporting period 30 June 2016

Data Item and Schema Specific Changes

Major Schema Version Changes

- RMA-K (v4.0) – Change to data type in Questions 4 and 9 from 'Mon' to 'Float2Pos' – effective for end of reporting period 31 December 2015.

Minor Data Item Changes

- CCR007 (v2.1) - Label change to Question 5 to read 'Credit-related regulated activity which generated the highest amount of turnover in the reporting period'.
- FIN-A (v1.1) – Label change to Question 2 to read 'Has the firm complied with the prohibition in section [40] of the Immigration Act 2014 and any requirements imposed by or under the Immigration Act 2014 (Bank Accounts) Regulations 2014?'.
- FIN-APF (v2.1) – Removed conditional mandatory validation from 90 so that if row is completed, 'Policy exclusions' can be left blank if this does not apply.
- FIN066 (v1.1) – Removed conditional mandatory validation from 270 so that if row is completed, 'Policy exclusions' can be left blank if this does not apply.
- FIN067 (v1.1) – Removed conditional mandatory validation from 140 so that if row is completed, 'Policy exclusions' can be left blank if this does not apply.
- FIN068 (v1.2) – Removed conditional mandatory validation from 300 so that if row is completed, 'Policy exclusions' can be left blank if this does not apply.
- PSD001 (v1.7.7) – Amended conditional mandatory validation rule on 19A, 29A, 53A, 54A, 55A, 56A, 57A, and 58A as follows: 'Conditional: mandatory if Mortgage acct open date is after 30/06/2015 ~~or~~ and (Interest roll-up mortgage equals 'No') ~~or~~ and (MCOB 11.7 used equals 'N') ~~or~~ and (Type of mortgage is not 'VN')'.
- REP005 (v1.1) – Additional validation rule for 5A as follows: '5A must be greater than zero'.

Details of July 2015 Changes

Introduction

This update introduces an electronic version of the Remuneration High Earners Report (REP005) in accordance with Handbook Notice 22, and a new data item for Credit Broking firms (CCR008) in accordance with PS14/18.

Change in accordance with Handbook Notice 22

New Data Item

- REP005 High Earners Report (v1.0) – submissions for end of reporting period 30 June 2015

Change in accordance with Policy Statement 14/18

New Data Item

- CCR008 Consumer Credit data: Credit Broking (v1.0) – submissions for end of reporting period

Details of December 2014 Changes

Introduction

This update introduces changes in accordance with Policy Statements PS14/13 (Adviser Charges) and PS14/9 (Client Assets), and Consultation Paper CP14/6 (Consumer Credit and Fees).

We have also made provision to introduce an electronic version of Annual Reports and Accounts (FIN-A) and Persistency Reporting (REP003) in accordance with Handbook Notice 15.

We have also made changes to existing data items CCR004 and FIN-APF.

Changes in accordance with Handbook Notice 15

New Data Items

- FIN-A Annual Report and Accounts (v1.0) – submissions for end of reporting period 31 December 2014
- REP003 Persistency Reporting (v1.0) - submissions for end of reporting period 31 December 2014

Changes in accordance with Policy Statement 14/13

Changes to Existing Data Items

- RMA-K Adviser Charges - new schema version v3.0
 - Effective for end of reporting period 31 December 2014
 - Introduces a new format, including new XML names, data types, and validation

Changes in accordance with Policy Statement PS14/9

Changes to Existing Data Items

- CMAR Client Money and Assets Return - new schema version v5.0
 - Effective for end of reporting period 30 June 2015
 - Label changes to fields 4A, 6A, 7A, 8C, 16A, 17A, 21A, 22A, 23A, 24, 25G, 25B, 26, 28, 28E, 28F, 29, 31A, 32A, 33A and 34A
 - Change to XML names for fields 25G, 26, 28F, 31A, 32A, 33A, and 34A
 - Change to data types for fields 13D and 25E
 - Change to drop down values for fields 13A, 25A and 27A

Changes in accordance with Consultation Paper CP14/6

11.2.1 Changes to Existing Data Items

- CCR002 Consumer Credit data: Volumes - new schema version v2.0
 - Effective for end of reporting period 31 December 2014
 - New data element 12A added
- CCR007 Consumer Credit data: Key data for credit firms with limited permissions - new schema version v2.0
 - Effective for end of reporting period 31 December 2014
 - New data element 6A added

- RMA-J Data required for calculation of fees - new schema version v5.1
 - Minor change to remove references to A12 fee block

Data Item and Schema Specific Changes

- CCR004 Consumer Credit data: Debt Management Firms - new schema version v2.0
 - Effective for end of reporting period 31 December 2014
 - Validation change to 2A
 - Reporting currency restricted to GBP only
- FIN-APF Authorised Professional Firms Questionnaire - new schema version v2.0
 - Effective for end of reporting period 31 December 2014
 - Minor amendment to the XML Tag for 'TotalFundsUnderDiscretionaryMgmt'

Details of October 2014 Changes

Introduction

This update introduces three new data items and changes to PSD001 and MLA-C in line with Appendix 1 of the PS13/12: Mortgage Market Review: data reporting policy statement.

This update also introduces five new data items in line with Appendix 1 of the PS13/5: Implementation of the Alternative Investment Fund Managers Directive policy statement.

We have also made changes to five existing data items - RMA-B, RMA-D2, REP001, REP001a and REP002.

Changes as detailed in the PS13/12: Mortgage Market Review: data reporting policy statement.

New Data Items

- PSD007 Mortgage Performance Sales Data (v1.3) - submissions for end of reporting period 30 June 2015
- MLA-L Credit Risk (v1.0) – submissions for end of reporting period 1 January 2015
- MLA-M Liquidity Questionnaire (v1.0) – submissions for end of reporting period 1 January 2015

Changes to existing Data Items

- PSD001 Mortgage – new schema version v1.7 (please do not use schema versions 1.4 to 1.6) - submissions for end of reporting period 31 March 2015
 - Inclusion of new elements 34A to 79C as outlined in the MMR policy statement.
 - Label changes to 22A and 29A
 - Data Type changes to 1A, 4A, 5A, 7A, 8A, 9A, 11A, 12A, 13A, 14A, 15A, 16A, 17A, 19A, 20A, 21A, 23A, 24A, 25A, 28A, 29A, 32A and 33A
 - Validation changes to 3A, 4A, 7A, 8A, 9A, 10A, 14A-14E, 15A, 16A, 18A, 19A, 20A-20D, 21A-21D, 22A, 23A, 24A, 26A, 28A, 29A, 30A and 31A

MLA-C – new schema version v2.2 – submissions for end of reporting period 1 January 2015

- Inclusion of new elements C1.3a[c1], C2.3a[c1], C3, C3.1[c1], C3.2[c1], C3.3[c1], C4, C4.2a[c2], C4.6d[c2], C4.6e[c2] and C5.0
- Label changes to C4.3[c2], C4.4[c2], C4.6[c1]
- XML Name changes to C5 and C5.2
- Validation changes to C4.5[c1], C4.6a[c2], C4.6b[c1], C4.6c[c1], C5, C5.4[c1], C5.4[c2], C5.5a[c1], C5.5a[c2], C5.5b[c1], C5.5b[c2], C5.5c[c1] and C5.5c[c2]

Changes as detailed in the PS13/5: Implementation of the Alternative Investment Fund Managers Directive policy statement

New Data Items

- AIF001 Manager Report (v1.1) - submissions effective from 20 October 2014
- AIF002 Fund Transparency Report (v1.1) – submissions effective from 20 October 2014
- FIN066 Capital adequacy for collective portfolio management firms (v1.0) – submissions effective from 20 October 2014
- FIN067 Capital adequacy supplemental for collective portfolio management investment firms subject to IFPRU (v1.0) – submissions effective from 20 October 2014
- FIN068 Capital adequacy for collective portfolio management firms subject to BIPRU (v1.0) – submissions effective from 20 October 2014

Removed Data Items

- FSA036 – submissions effective from 30 September 2014
- FSA041 – submissions effective from 30 September 2014

Data Item and Schema Specific Changes

RMA-B – New schema version 3

- Schema updated to version 3 to change data type from MonPos to Mon for data elements 1A to 1E, 2A to 2E, 3A to 3E, 4A to 4E, 6E, 7E, 8E and 13E – submissions effective from 1 November 2014.

RMA-D2 – New schema version 3

- Schema updated to version 3 to change data type from MonPos to Mon for data element 8 (Balances on proprietors' or partners' capital accounts) – submissions effective from 1 November 2014.

REP001 – New schema version 2

- Schema updated to version 2 to change data type from Str100 to Str400 for data element 6D (Body Corporate Address), and to change data type from Str20 to Str100 for data element 6E (Body Corporate Registered Number) submissions effective from 1 November 2014.

REP001a – New schema version 2

- Schema updated to version 2 to change data type from Str100 to Str400 for data element 6D (Body Corporate Address), and to change data type from Str20 to Str100 for data element 6E and 8E (Body Corporate Registered Number) – submissions effective from 1 November 2014.

REP002 – New schema version 2

- Schema updated to version 2 to change data type from Str100 to Str400 for data element 3M (Body Corporate Address), and to change data type from Str20 to Str100 for data element 3N (Body Corporate Registered Number) – submissions effective from 1 November 2014.

Details of June 2014 Changes

Introduction

This update introduces changes in accordance with Policy Statements PS14/3 (Consumer Credit) and PS14/4 (Crowdfunding).

We have also made provision to introduce an electronic version of Authorised Professional Firms Questionnaire (FIN-APF) consulted on in Chapter 3 of Consultation Paper CP14/5.

We have also made changes to two existing data items (Complaints DISP 1 Ann 1R, and RIA-Complaints) and have introduced a new Common Types schema (v7) to be used by PSD006 (Short-term loans).

Changes in accordance with Policy Statement PS14/3

New Data Items

- CCR001 Consumer Credit data: Financial Data (v1.0)- submissions for end of reporting period 1 October 2014
- CCR002 Consumer Credit data: Volumes (v1.0) – submissions for end of reporting period 1 October 2014
- CCR003 Consumer Credit data: Lenders (v1.0) – submissions for end of reporting period 1 October 2014
- CCR004 Consumer Credit data: Debt Management Firms (v1.0) – submissions for end of reporting period 1 October 2014
- CCR005 Consumer Credit data: Client Money and Assets (v1.0) – submissions for end of reporting period 1 October 2014
- CCR006 Consumer Credit data: Debt collection (v1.0) – submissions for end of reporting period 1 October 2014
- CCR007 Consumer Credit data: Key data for credit firms with limited permissions (v1.0) – submissions for end of reporting period 1 October 2014
- CCR-Complaints – Complaints Return (v1.0) – submissions for end of reporting period 1 October 2014
- Complaints-AllActivities – Complaints Return (All Activities) (v1.0) – submissions for end of reporting period 1 October 2014
- PSD006 Product Sales Data (v1.0) – submissions for end of reporting period 1 October 2014

Changes in accordance with Policy Statement PS14/4

New Data Items

- FIN069 Financial resources requirements for operators of an electronic system in relation to lending (v1.0)- submissions for end of reporting period 1 October 2014
- FIN070 Information on Peer to Peer agreements (v1.0) – submissions for end of reporting period 1 October 2014

Changes in accordance with Consultation Paper CP14/5

New Data Items

- FIN-APF Authorised Professional Firms Questionnaire (v1.0) - submissions for end of reporting period 1 October 2014

Data Item and Schema Specific Changes

Complaints DISP 1 Ann 1R – New schema version 3

- Schema updated to version 3 to include new data element 46 (Overdrafts)

RIA-Complaints – New schema version 1.3

- Schema updated to version 1.3 to include
 - Minor label change to 1A (v1.2)
 - Minor validation rule change to data elements 3C to 3F (v1.3)

CommonTypes – new schema version 7

- Schema updated to version 7 to include PSD simple types

Details of October 2013 Changes

Introduction

This update introduces three new data items for close links and controllers reporting in preparation for the changes proposed in Chapter 7 of Quarterly Consultation Paper No.2 (CP13/9).

Additionally, we are publishing changes to the CommonTypes schema to incorporate changes in liquidity and CMAR reporting, plus making validation changes to MLA-D, RMA-E and RMA-H and a label change to RMA-H.

Changes as proposed in Quarterly Consultation Paper No.2 (CP13/9)

New Data Items

- REP001 Close Links Report (v1) - submissions for end of reporting period 31 December 2013
- REP001a Close Links Notification (v1) – submissions for end of reporting period 31 December 2013
- REP002 Controllers Report (v1) – submission for end of reporting period 31 December 2013

Data Item and Schema Specific Changes

Technical Pack – changes to Direct Communications schemas

- New version of Gateway & WSDL schemas to allow the uploading of REP data Item Organisation Charts via the Direct Communication interface.

CommonTypes - changes to schema versions 5 & 6

- Addition of two new material currencies – Buffer Currencies (BC1) and Buffer Currencies + SGD (BC+).
- Addition of four new (ISO) country codes – BQ, CW, SS and SX.

FSA056 – New schema version v3

- Add new data element 67 – “Total annual income (in Euros)”, including two conditional mandatory validation rules.

Minor label and validation changes for:

- MLA-D (v2.1) - Validation rule change to implement changes to 16 validation rules.
- RMA-E (v8.1) – Validation rule change to implement validation change to prevent firms from entering the same start date and end date for a single Professional Indemnity Insurance (PII) policy. Addition of a new Special Instruction.
- RMA-H (v3.2) – Change in validation message to data element 3A, plus minor label changes to 3A-6A to add “as at the end of reporting period” to clarify the data required.

FSA008 Large Exposures: Changes postponed

- We have decided not to bring in the new schema version of FSA008 (v6) as published in the 1 March 2013 changes. The removal of FSA008 is currently under consultation (CP13/6).

19 Details of March 2013 Changes

Introduction

This update publishes schema, label and validation changes to remove the wording "FSA" and replace with appropriate wording ready for Legal Cut-Over.

Changes have been made to RMA data items in preparation for the changes under Handbook Instruments 2010/69 and 2010/70. Additionally we publish label changes to MLA-J and RMA-J as part of the FSCS Funding Model review, schema changes to RMA-K and minor changes to CMAR.

Schema Specific Changes ready for Legal Cut Over

New schema version changes for:

- FSA008 v6 - submissions for end of reporting period 31 October 2013
- MLA-J v2, RMA-F v2, RMA-J v5 – submission for end of reporting period 31 May 2013

New label and validation changes for:

- CMAR v4.1, FSA001 4.2, FSA003 v6.2, FSA008 v5.1, FSA018 v4.1, FSA028 v4.1, FSA031 v6.1, FSA032 v6.1, FSA056 v2.2, MLA-G v1.1, MLA-J v1.1, RMA-B v1.2, RMA-C v2.3, RMA-D1 v2.3, RMA-E v7.1, RMA-F v1.2, RMA-H v3.1, RMA-J v4.3, PSD001 v1.3, PSD002 v1.5, PSD003 v1.3, PSD004 v2.1, PSD005 v2.1.

Changes as outlined in Handbook Instruments 2010/69 and 2010/70

New Data Item:

- RMA-D6 v1 - submissions for end of reporting period 31 December 2013

New schema version changes for:

- RMA-A v2, RMA-D1 v3 and RMA-E v8 - submissions for end of reporting period 31 December 2013

Removal of Data Item:

- RMA-D2 will no longer be submitted for period from end of reporting period 31 December 2013 onwards.

Cross Validation:

- New cross validation introduced for RMA-D6 and changes to existing validation for RMA-A, RMA-D1, RMA-E.

Additional Changes

- RMA-K v2 - submissions for end of reporting period 30 June 2013 to allow negative amounts in row 1 to 3 and amend the wording on rows 4, 5 and 6.
- CMAR v4.2 – minor corrections to labels.
- MLA-J and RMA-J minor label changes included with Legal Cut-Over changes above.

Details of November 2012 Changes

General Changes

This update publishes minor changes to three data items.

Data Item and Schema Specific Changes

FSA057 Payment Services Directive Transactions - new schema version 1.1

- The currency unit has been changed from thousands to single.

PSD002 Retail Investments Date of Birth – business validation change

- Date of birth validation amended so there is no lower limit for 'Customer Date of birth'.

CMAR Client Money and Asset Return – date change

- Submissions for end of reporting period 28 February 2013 onwards use version 4.

Details of August 2012 Changes

Introduction

This update has been published primarily to include minor amendments to the new RDR data items RMA-K, RMA-L, the new CommonTypes schema and to introduce a new version of RMA-B to replace the minor version change (Version 1.2) published in June.

Additionally, we are publishing a new version of FSA050 and making label changes to FSA052 and FSA057.

Data Item and Schema Specific Changes

RMA-K (Adviser charges) version 1

- A minor correction to the published schema to include missing minimum occurrences of 0 on some elements.

RMA-L (Consultancy charges) version 1

- A minor correction to the published schema to include missing minimum occurrences of 0 on some elements.
- Remove conditional rules from Rows 10 and 11 to allow Yes in more than one element.

CommonTypes schema version 6

- A minor correction to the published schema to amend NonNegativeFloat2Type constraint from maxInclusive to minInclusive

RMA-B (Profit and Loss account) - new version 2

- Xml name change to 1C, 2C, 3C 4C to replace Fees with FeesAdviserChargesConsultancyCharges

FSA050 Liquidity Buffer Qualifying Securities - new version 2

- A change to the label and xml name for element 23A

CMAR Client Money and Asset Return - new version 4

- Label changes to 3A, 4A, 5A, 6A, 9A, 8C, 10A, 11A, 12A, 16A, 25A, 25B, 31A, 32A, 33A, 34A
- Add new column G to row 25
- Change in validation to 8B
- Change to 25A List and xml names 20A, 31A, 32A, 33A and 34A.

FSA052 (Pricing data) - new version 1.1

- A change to the section title of the data item

FSA057 (Payment Services Directive Transactions) – new version 1.2

- A change to the label for element 2A

Details of June 2012 Changes

Introduction

This DRG update is made primarily to introduce the new data items in preparation for RDR (Retail Distribution Review) release and to introduce into the Data Reference Guide the data items and schemas for Product Sales Data (PSD) which is currently reported via Transaction Reporting System (TRS) and will be reported via GABRIEL and replace the NGP007 data item from September 2012.

The data items and schema changes for the RDR project are versions published in accordance with PS11/13 and minor Handbook adjustments in 2012. Additionally, we have removed the data element switching in RMA-G while retaining the mandatory elements.

The RDR Release Data Item and Schema Specific Changes

RMA-K (Adviser charges)

- Version 1 has been created.
- First published version of Adviser charges.
- The currency is fixed at GBP.
- This uses two new common types NonNegativeMonetaryFloat2Type and NonNegativeFloat2Type

RMA-L (Consultancy charges)

- Version 1 has been created.
- The currency is fixed at GBP.

RIA-Complaints (Complaints by Retail Investment Advisers)

- Version 1 has been created.
- This uses a new common type: IRNType

RMA-G (Training and Competence)

- Version 3 has been created.
- Replace the boolean values with YesNo type.
- Remove all minOccurs=1 with minOccurs=0.
- Removal of the Profile Switching rules.

RMA-B (Profit and Loss account)

- New minor version change to Row 3 and column C labels to the section: B1: Regulated Business Revenue.

Common Types (V6)

- Adds three simple types for the RDR release to accommodate monetary values to two decimal points, decimal values and the IRN reference number.

The PSD Release Data Item and Schema Specific

PSD001 Product Sales Data - Mortgage

- Data Definition version 1.2 created
- This is the schema FSAHSFFeedMG as previously reported via TRS
- It references the PSD-CommonTypes schema: FSAFeedCommon

PSD002 Product Sales Data – Retail Investments

- Data Definition version 1.3 created
- This is the schema FSAHSFFeedRI as previously reported via TRS
- It references the PSD-CommonTypes schema: FSAFeedCommon

PSD003 Product Sales Data – Pure Protection

- Data Definition version 1.3 created
- This is the schema FSAHSFFeedPP as previously reported via TRS
- It references the PSD-CommonTypes schema: FSAFeedCommon

PSD004 Product Sales Data – Home Reversion Plan

- Data Definition version 2 created
- This is the schema FSAHSFFeedHR as previously reported via TRS
- It references the PSD-CommonTypes schema: FSAFeedCommon
- Includes minor change from previous version 1.1
 - o Added 'minOccurs = 0' to PrincipaOrNetworkFSARef

PSD005 Product Sales Data – Home Purchase Plan

- Data Definition version 2 created
- This is the schema FSAHSFFeedHP as previously reported via TRS
- It references the PSD-CommonTypes schema: FSAFeedCommon
- Includes minor changes from previous version 1.0
 - o Changed "Home Movers" from H to M
 - o Added 'minOccurs = 0' to PrincipaOrNetworkFSARef

PSD005 Common Types

- Data Definition version 1.2 created
- This is the schema FSAFeedCommon as previously reported via TRS

Details of March 2012 Changes

General Changes

This update publishes minor changes to two data items.

Data Item and Schema Specific Changes

RMA-D1 (Regulatory Capital) - new version 2

- The data type on data element 22A has been changed from a MonPos to Mon.

RMA-J (data required for calculation of fees) - new version 4.1

- New minor version to remove RAG 9.1 & RAG 9.2 from error messages and replace with permitted activities.
- For every element, added conditions on permitted RAGs and activities to Additional Information for clarification.

Details of December 2011 Changes

Data Item and Schema Specific Changes

SDS001 (new v8)

- The XSD schema has changed to:
 - o Remove Abacus Syndicate (Lloyds Syndicate) and Magian Underwriting from the list of insurer names.
 - o Add Chartis UK and Zurich Insurance plc to the list of insurer names.
- The data definition xls spreadsheet has been updated to:
 - o Change the name of Royal & Sun Alliance to Royal and Sun Alliance in order to match the schema.

RMA-E (new v7)

- New version of data definition xls spreadsheet to include v8 of SDS001
- New version of XSD to include v8 of SDS001
- Valid and full XML updated to version 7

Details of November 2011 Changes

General Changes

This update is primarily to publish the final versions of the data items affected by CRD3 (3rd package of Capital Requirements Directive changes) in line with the recent policy statement PS11/14. This affects FSA005, FSA046 and FSA058.

Data Item and Schema Specific Changes

FSA005 (Market risk) – minor version v7.1

This data item is not materially changed since the v7 that was published with the CRD3 consultation paper. However, a new Excel spreadsheet (v7.1) has been published to link to the final policy.

FSA046 (Securitisation – Non-Trading Book) – new v8

The new version:

- Corrects the XSD to make fields 1A (LocationDisclosures), 2A (RiskTransferAdditionalCapital) and the parent table element 3 (TransactionDetails) optional (minOccurs="0")

FSA058 (Securitisation – Trading Book) – new v3

The new version:

- Corrects the XSD to make field 1A (LocationDisclosures) and the parent table element 3 (TransactionDetails) optional (minOccurs="0").
- Changes the wording of field 21A to reference BIPRU 7.2.48IG instead of BIPRU 7.2.47HG.
- Appends the words "(net positions)" onto each of the headings of the four Exposure tables.

RMA-J (data required for calculation of fees) – new v4

The new version:

- Corrects the XSD to make all field optional (minOccurs="0").
- Corrects condition on 3C to include RAG 9.1

Details of October 2011 Changes

General Changes

This update is primarily to publish the new version of RMA-J which introduces additional elements on Life and Pensions Mediation and Investment Mediation. The Special Instructions have been reworded and references included for the FSA fee block, FOS industry block and FSCS sub-class. The data item must be completed in GB Pounds and so the currency attribute has a fixed value of GBP.

New versions of FSA018 and FSA028 have been added, these are subject to consultation.

Data Item and Schema Specific Changes

CMAR (Client Money and Assets) – new minor version 3.5

- Amends validation rule on element 20A changes to:
 - o 20A = 19A - 14A

FSA018 (UK integrated groups – large exposures) – version v4

- Removes 1A

FSA028 (Non-EEA-sub-group) – version v4

- Removes 3A
- Changes the wording of 1A and 2A to remove the reference to FSA009

FSA056 (API Capital Adequacy Return) – new minor version v2.2

- Adds validation to the 60B SubmittedDate:
 - o 60B <= Current Date

RMA-J (data required for calculation of fees) – new version v3

- Adds new elements to Life and Pension Mediation 3A and 3B.
- Adds new elements for Investment Mediation 4A and 4B.
- Removed Number of Relevant CF30s 5B.
- Rewording of special instructions, column headings, rows and the inclusion of references to FSA fee block, FOS industry block and FSCS sub-class.

RMA-E (API Capital Adequacy Return) – new minor version v6.1

- Adds additional handbook wording to Section 4 to make it clear that this section should remain blank unless Question 3 is answered "Yes"
- Adds validation to the StartDate 4G and EndDate 4H
 - o 4G < 4H
 - o 4H > 4G

Details of June 2011 Changes

Data Item and Schema Specific Changes

Complaints – new minor version v2.2

The new minor version:

- Amends element 3A, changing error code ERR0107 to ERR0010.

FSA003 (Capital Adequacy) – new minor version v6.1

The new minor version:

- Amends the labels on elements 78A, 86A, and 94A.

FSA004 (Credit Risk) – new minor version v5.1

The new minor version:

- Amends the label on column F to "Other Value Adjustments".

Details of May 2011 Changes

General Changes

This update is primarily to publish new versions of data items for CRD3 (3rd package of Capital Requirements Directive changes). This affects FSA005, FSA046 and FSA058.

The versions published at this time are in accordance with the data items set out in the recent Consultation Paper. Until the final policy legal instrument is published, they are therefore subject to change and should not be regarded as "final" versions of the changes for CRD3. They are being published based on the Consultation Paper in order to give developers advance notice of the proposed format.

There are also minor corrections made to a few data items' handbook layouts (CMAR & FSA028) and a sample data file (MLA-E).

Data Item and Schema Specific Changes

CMAR – new minor version v3.4

The new minor version:

- Corrects the wording on Section 9 of the Handbook layout.

FSA005 (Market risk) – new v7

The new version:

- Replaces 11G with four new elements 66G to 69G (splitting out long/short and securitisation/re-securitisation).
- Amends the labels for fields 12G and 13G to indicate that the PRRs are for figures outside the correlation trading portfolio.
- Adds new elements 70G and 71G between lines 17 and 18 for correlation trading portfolio PRR (net long and net short positions). Hence, the XSD no longer uses the MarketRisksSubTableGroup group for 15G to 18G or 52G to 55G.
- Amends the validation rule on 18G to incorporate the new fields 66G to 71G.
- Removes 22G (Qualifying equities) and changes the label and XML element name of 24G (Other equities, equity indices or equity baskets) to "All equities, and other equity indices or equity baskets" (EquitiesOtherIndicesBaskets).
- Amends the validation rule on 25G.
- Removes 60G (Incremental Default Risk surcharge).
- Adds elements 72G to 81G and associated conditional rules within the section of Internal models-based charges (after 59G).
- Adds a validation rule to 61G (internal models-based PRR).

FSA028 – new minor version v3.3

This minor change to the XLS file only is a cosmetic one which

- Moves the Column A label to the top the form.

FSA046 (Securitisation – Non-Trading Book) – new v7

The new version:

- Splits the four rows of the Standardised Exposures table (4 to 7) into separate rows for securitisations and resecuritisations (renumbering the new eight rows as 31 to 38).
- Adds two new columns G "Concentration ratio (Exposure value)" and H "Concentration ratio (Capital requirement)" to the Standardised Exposures table.
- Adds two new rows (D and E) to the current set of three (A, B & C) for each of the four categories within the IRB Exposures table. The new rows are numbered 23/24, 25/26, 27/28 and 29/30.
- Clarifies the organisation of the data item by introducing a "General" sub-heading (GeneralInfo) for rows 1, 2, 21 & 22 and by moving the "Transaction level information" sub-heading down to the table of Programmes.
- Removed conditional validation rules on 1A and 2A.

FSA058 (Securitisation – Trading Book) – new v2

The new version:

- Adds element 1A for the location of the securitisation pillar 3 disclosures as per FSA046.
- Clarifies the organisation of the data item by introducing a "General" heading (GeneralInfo) for rows 1 & 21 and headings of "Non-correlation trading portfolio securitisations" and "Correlation trading portfolio securitisations". The "Transaction level information" sub-heading is moved down to the table of Programmes.
- Introduces risk position tables for standardised and IRB exposures for both Non-correlation and Correlation trading portfolio securitisations.
- Introduces new figures 39A to 47A to break down the total capital requirement by underlying asset.

MLA-E (Residential lending to individuals – new business profile) – stays at v2

The only change here is to the MLA-E-Sample-Valid-And-Full.xml file which contains a typo in the data which prevents it cross validating with MLA-D. The schema (XSD) and data definition (XLS) files are both unchanged.

Details of March 2011 Changes

This update is primarily to introduce new versions of FSA004 and FSA045 to bring them into line with the changes set out in legal instrument 2011/13. These versions of the data items will apply to reporting periods ending on or after 1 June 2011.

This update also includes a minor change to FSA047.

Data Item and Schema Specific Changes

FSA004 (credit risk) – new v5

The new version:

- Adds columns C to F and associated rules
- Adds rows 37 to 40 with associated new/changed rules
- Removes row 10
- Removes Group Reference Number

The new version of the data item will apply to reporting periods ending on or after 1 June 2011.

FSA045 (IRB portfolio risk) – new v6

The new version:

- Changes label headings for first 4 blocks (and XML name of first two) for consistency with FSA004.
- Adds new block for SME Retail.
- Adds 3 new blocks for counterparty credit risk (as per 3 credit risk blocks).
- Nests the 3 groups of blocks (credit risk, retail risk, counterparty credit risk) within high level XML elements and renames the "OtherRetail" retail block.
- Removes GRN.
- Adds rules to each table enforcing row entry if there are exposures to report - these rules are listed against the lower PD bound and for error reporting the error will be reported against the first row.

The new version of the data item will apply to reporting periods ending on or after 1 June 2011.

FSA047 (daily flows) – new minor version v2.3

The previously introduced rules to reject data items containing flows on weekend dates or dates after the end of the 3 month period covered by FSA047 have been updated so that they will now allow zero to be submitted on such dates (but they will still not allow non-zero figures to be submitted). The new rules apply to all fields on the form, but are specified against fields D01 and D89.

These rules will apply from the date of the next software release, currently planned to be in April 2011.

Details of March 2011 Changes

General Changes

This DRG update is made primarily to introduce the changes to CMAR to bring this in-line with the Handbook layout and to restrict the Currency to GBP. There are also minor corrections made to a few schemas and samples.

Data Item and Schema Specific Changes

CMAR (Two major increments to V3.3)

- Version 2 was an internal increment.
- Version 3 restricts the Currency to GBP, corrects labelling and error codes. Various amendments made to bring in-line with the handbook layout.

FSA015 (two minor increment to v4.4)

- Label on element 1 changes to remove "(per MLAR)".
- Reverse the change to columns B to E for rows 1 to 11 so that they include "<" instead of "<="

FSA047 (Minor increment to v2.2)

- Label changes

Details of the December 2010 Changes

General Changes

This DRG update is made primarily to introduce CMAR under the CASS Handbook. There are also minor amendments which were consulted on in CP10/1 & CP10/10. There are also minor corrections made to a few schemas and samples.

Data Item / Schema Specific Changes

Common Types (minor increment to V5.1)

- Adds a new CurrencyType "CON" (All Convertible) to be used by firms with whole firm liquidity modifications whose domestic currency is non-convertible to report FSA047/48 in all convertible currencies combined.

CMAR (New V1)

- First published version of the Client Money and Assets Return for the CASS Handbook

FSA001 (minor increment to v4.1)

- Label change to the wording of row 7 - wording is changed to "Securities eligible for use in central bank operations".

FSA002 (minor increment to v3.2)

- Label change to the wording of element 31B - "deposits" is changed to "items".

FSA015 (minor increment to v4.2)

- Minor changes the label headings. On columns B to E for rows 1 to 11 have changed so that they include "<=" instead of "<"

FSA019 (New V6)

The version makes the changes proposed in QCP 10/1

- New elements 40-44
- Label changes on elements 2, 3, 23, 26, 38
- Label change in the text above element 12
- XML name change for element 26

FSA028 (minor increment to v3.2)

This version makes the minor wording changes details in QCP 10/1.:

- "no" in the instruction prior to question 1 becomes " 'no' "
- 27A in the instruction becomes 27
- wording of question 1 is changed
- 'Yes' in the instruction after question 1 is italicised.
- 1A in the instruction becomes 1

FSA047 (Minor increment to v2.1)

This version makes a minor validation change to prevent firms from entering daily flow information against weekend dates.

- 6A must be omitted if the date falls on a weekend
- 6CK must be omitted if 6A falls on a weekend.

Details of the August 2010 Changes

General Changes

This DRG update is made primarily to introduce changes under the 2nd package of the Capital Requirements Directives (CRD2), the final reporting policy for which was published in July in Legal Instrument 2010/29.

There are also minor amendments which were consulted on in CP09/30 (Capital Planning Buffer), CP10/01 (labels for certain UK consolidation group reporting fields) and CP10/10 (convertibles adjustment).

For all data items which are changing and which can be submitted on a UK consolidation group basis we are also taking the opportunity to remove the GRN field from the group information section as this field is no longer used.

There are also minor corrections made to a few schemas and samples. The effective date of the schemas introduced in version 11 of this document is delayed from 21 June 2010 to 1 August 2010 – this just affects the web pages where these dates are published, rather than the data item specifications.

Data Item / Schema Specific Changes

SDS001 (new v7)

- This schema has changed because the name of St Paul International Insurance Co Ltd has changed to Travelers Insurance Company.
- The new version of SDS001 is included by FSA031, FSA032 and RMA-E.

FSA001 (version unchanged at v4)

- A new sample XML file replaces the previous one – it contains a correction to the namespace which was omitting the single character representing version “4” from the end.

FSA003 (new v6)

- New rows (and associated rule) for hybrid tier 1 capital, 135-138 (before row 24)
- New rows (and associated rule) for bucket capital instruments, 139-141 (before row 30)
- New rows for planning buffers, 142-143 (before row 110) and 144-145 (after row 111)
- Removal of the entire column B and consequential removal/update of rules (incl. rules on 110A, 111A, 127A & 128A). To accommodate this change, the XML has been restructured (replacing AllOther & OmittingStageC pairs with the parent tag - ie the NonNegativeCapitalRowStructure, CapitalRowStructure and element 107 SolvencyRatio pair are replaced with the equivalent MonPos, Mon and Pct2 simple types).
- Amends rules on 16A and 27A to take account of new fields
- Removes GRN field

- All Tier1And2Deductions figures are made MonPos
- Amends labels to rows 78, 86 and 94
- Amends the rules on 106A and 107A

FSA005 (new v6)

- Adds element 65G after row 24 and changes the rule on 25G to include the new 65G.
- Changes the VaR model risk and VaR model based PRR labels and XML element names to be "Internal models-based" charges and PRR.
- Adds the table of Add-ons (63) and total add-ons (64G) at the bottom of the Internal models charges section (before the Internal models-based PRR).
- Changes 58G to 60G from Mon to MonPos to enforce non-negativity.
- Adds conditional validation rules on 57 to 59
- The GRN field is removed.

FSA008 (new v5)

- Added Funded Credit Protection and Unfunded Credit Protection into the Part 1 and Part 2 tables.
- Removed Part 3 table (trading book concentration risk excesses).
- Labels on 6A and Part 2 heading changed
- Removed GRN
- Data Type on 4A and 4B changed from MonPos to Mon to allow firms to report negative capital.
- Amended second validation rule on element 5D to "Conditional: If 4A > 0, then 5D >=10.00".
- Removed rule $5N = ((5H + 5K) / 4B) * 100$.
- Removed rule $8H = 8F + 8G - (4B / 4)$
- Corrected sample figures in 5Q and 7M to make the figures valid.

FSA031 (new v6)

- This version includes the new v7 of SDS001.

FSA032 (new v6)

- This version includes the new v7 of SDS001.

FSA046 (new v6)

- This form is now explicitly for non-trading book securitisations. The form title and root XML element have changed to reflect this.

- The label for row 1 has changed.
- The label and XML element name for row 2 has changed and there are new rows 21 & 22 after row 2.
- Within the Programmes Table, the label and XML element name for column H changes and there are new columns I to P.
- Within the Standardised Table, the label on column D changes and the label and XML element name on column E changes.
- Within the IRB Table, column A is removed and the label and XML element name on columns M & N are changed, and a new column P is added, and the XML element BelowCQS1 is corrected to BelowCQS11.
- Within both the Standardised and IRB Tables there is now consistent labelling for "Originator" and "Sponsor".
- The GRN field is removed.

FSA047 (version unchanged at v2)

- A new 'valid' sample XML file replaces the previous 'valid' one – the previous one was corrupt and omitted much of the data.

FSA058 (new data item - versions 1)

- This is based on a cut-down version of FSA046 but is explicitly for trading book securitisations, whilst FSA046 is now explicitly for non-trading book securitisations.
- A future version of FSA058 is likely to follow for CRD3 which will adopt more of the information currently on FSA046.

RMA-E (new v6)

- This version includes the new v7 of SDS001.

RMA-I (new v3)

- This version corrects the labelling of P9 from Private Health Insurance to Permanent Health Insurance. The schema has a corresponding change from PrivateHealthInsurance to PermanentHealthInsurance.

Details of the June 2010 Changes

General Changes

This DRG update introduces the changes that are being made in the September 2010 software upgrade.

Data Item / Schema Specific Changes

FSA003 (minor increment on XLS to v5.2)

- Validation rule on element 106A changes to:
 - o IF $69A > 70A$ THEN $106A = 57A - 69A$ ELSE $106A = 15A - 70A$
- Validation rule on element 107A changes to:
 - o IF $69A > 70A$ THEN $107A = (57A / 69A) * 100$ ELSE $107A = (15A / 70A) * 100$

FSA028 (minor increment on XLS to v3.1)

- Validation rule on element 12A changes to:
 - o Conditional: Mandatory if 27A is "yes" and 1A and 2A are both "no", otherwise must not be completed
- Validation rule on element 24A changes to:
 - o Conditional: Mandatory if 27A is "yes" and 1A and 2A are both "no", otherwise must not be completed

FSA029 (major increment to v2)

- CurrentLiabilities element is changed to minOccurs="1"
- Sample XML files amended to reference schema v2
- Validation rule on element 28A changed to:
 - o $28A = 4A + 13A - 55A - 27A$

FSA031 (major increment to v5)

- A new column (L) is added to the PII table, between columns D and E. The field allows for the entry of 1 of seven 3 digit currency codes.
- Schema is updated to include version 6 of SDS001
- Sample XML files amended to reference schema v5

FSA032 (major increment to v5)

- A new column (M) is added to the PII table, between columns D and E. The field allows for the entry of 1 of seven 3 digit currency codes.
- Schema is updated to include version 6 of SDS001
- Sample XML files amended to reference schema v5

FSA035 (minor increment on XLS to v1.4)

- Validation rule on 18A is changed to:
 - o Conditional: If 19A is completed, 18A must be omitted, otherwise $18A > 0$
- Validation rule on 19A is changed to:
 - o Conditional: If 18A is completed, 19A must be omitted, otherwise $19A > 0$

RMAR section C (minor increment on XLS to v2.1)

- Validation rule on elements 4A, 4B, 5A, 5B, 6A and 6B are amended by adding "...and 2A = false" at the end of the rule

RMAR section F (minor increment on XLS to v1.1)

- Validation rule on element 4A changed to:
 - o Conditional: mandatory if 3A = 'yes'

MLAR section A1-A2 (minor increment on XLS to v1.1)

- Validation rule on element A2.8[c1] changed to:
 - o $A2.8[c1] = \Sigma(A2.1[c1]:A2.7[c1])$

There are also profile switching rule changes on RMAR section B and RMAR section F.

Details of the April 2010 Changes

General Changes

This DRG update introduces 6 new columns on the end of FSA047 so that the data item has the capability to record up to 98 days worth of daily flows. Previously it could only record 92 days. FSA047 needs to record "3 months" worth of daily flows, and the FSA requires firms to calculate the length of this 3 month period using a "modified following weekday" algorithm which can extend the calendar 3 month period by a couple of days if it would otherwise finish at a weekend. It is currently envisaged that the maximum number of days that will be needed on FSA047 is 94 days. However, the change introduces columns up to 98 days so that it is a whole number of weeks (14) and so that if a future change of policy dictates a variation on the "modified following weekday" algorithm (e.g. to adopt "modified following business day" which could extend the period further to skip bank holidays), then the schema will not need to change again.

Details of how the "modified following weekday" algorithm works and the resulting implicit data validation is provided in a clarification document which can be found at:

<http://www.fsa.gov.uk/Pages/About/What/International/liquidity/is/index.shtml>

Data Item / Schema Specific Changes

FSA017 (new v2)

- New columns D93 to D98
- New XLS, XSD, valid XML sample (new figures still cross validate to previously published FSA048 XML sample) and a full XML sample showing all figures up to D98.

Other Changes

Cross Validation Rules (new v7)

- Because all the rules involving FSA047 and FSA048 refer to summing the entire column range on FSA047 (columns A to CN), the rules have been re-issued to refer to the new column range (columns A to CT). However, the logic of the rules themselves has not changed.

Details of the December 2009 Changes

General Changes

All changed components are dated 01/12/2009, but the changes were not actually published on the web until January 2010.

Data Item / Schema Specific Changes

FSA001 (new v4)

- Label change on Element 65A – has no impact on schema or validation rules.
- Element 64A is changed to be a mandatory field. XLS shows this in the validation column, with associated error message ERR0080. Within the schema, elements ClientMoney (reportable element), OtherItems (parent element) and MemorandumItems (grandparent element) are changed to minOccurs="1". The on-form label has also changed.
- In the schema, version of CommonTypes schema included is changed to v5 and version of SDS003 included is changed to v4.
- XML sample file updated to reference new schema version

FSA005 (new v5)

- In the XLS, the validation rule on element 25G is amended
- In the schema, version of CommonTypes schema included is changed to v5 and version of SDS003 included is changed to v4
- XML sample file updated to reference new schema version

FSA017 (old version 3)

- When version 4 of this component was released, the old version 3 of the stand-alone spreadsheet was inadvertently updated with some new conditional validation rules which were in fact only implemented in version 4. The correct copy of the version 3 XLS was in the FSA017-v3.zip (ie the original v3 published in January 2008) available from the FSA017 web page, but an incorrect copy was present in the bulk zip files (available from the index web page) and the stand-alone XLS displayed from the FSA017 web page. We are now replacing the incorrect copies (stand-alone and in the bulk zips) with the correct original version 3 copy.

FSA019 (new v5)

- On the XLS, elements 28B and 38B are changed from "YesNo" datatypes to "List" datatypes
- In the schema, elements StressTests and Exceeds20Percent change from type="YesNoType" to restricted xs:string types with "yes", "no" and "not applicable" as enumerations.
- In the schema, version of CommonTypes schema included is changed to v5 and version of SDS003 included is changed to v4.
- XML sample file updated to reference new schema version

FSA031 (new v4)

- On the XLS, elements 4A, 36A and 37A are changed from MonPos to Mon

- In the schema, elements Reserves, RetainedEarnings and InterimNetProfits are changed from type="NonNegativeMonetaryType" to type="Monetarytype"
- In the schema, version of CommonTypes schema included is changed to v5 and version of SDS001 included is changed to v5
- XML sample files updated to reference new schema version

FSA032 (new v4)

- On the XLS, elements 4A, 45A and 46A are changed from MonPos to Mon
- In the schema, elements Reserves, RetainedEarnings and InterimNetProfits are changed from type="NonNegativeMonetaryType" to type="Monetarytype"
- In the schema, version of CommonTypes schema included is changed to v5 and version of SDS001 included is changed to v5
- XML sample files updated to reference new schema version

FSA036 (new v2)

- On the XLS, element 3B is changed from MonPos to Mon
- In the schema, element Reserves is changed from type="NonNegativeMonetaryType" to type="Monetarytype".
- In the schema, version of the commonTypes schema included is changed to v5.
- XML sample file updated to reference new schema version

FSA045 (new v5)

- On the XLS, validation rule against element 20A is corrected so that it refers to 19A.
- On the XLS, validation rule is added against element 21A
- In the schema, version of the commonTypes schema included is updated to v5 and version of SDS003 schema included is updated to v4
- XML sample file updated to reference new schema version

FSA050 (schema remains at v1, spreadsheet becomes v1.1)

- On the XLS, a correction to the Handbook Layout – Austalia becomes Australia.

FSA056 (new v2)

- In the XLS, the validation rule on element 31B is amended to refer to the combined 4B-6B field.
- In the Schema and XLS the datatype on the ScalingFactor elements is changed from Float to Float2.
- In the Schema, elements 25B, 31B, 32B and 33B change to minOccurs="0"

RMA-E (new v5)

- The Limit Received section has new column 4O so that GBP/EUR/unlimited can be recorded separately for single and aggregate limits - within SDS001 TypeOfLimit is split into SingleTypeOfLimit and AggregateTypeOfLimit within the LimitIndemnityReceived tag.
- The computational validation rule on element 8H is changed to a conditional rule
- Also corrected insurer names for AIG and Eurika (see SDS001).

SDS001 (new v5)

- PIIInsurerType enumeration "American International Group" has erroneous trailing space removed.
- PIIInsurerType enumeration "Eurika - Simply Biz" is amended to "Eureko Insurance Ireland Ltd"
- The schema is changed for the RMA-E new column – see under RMA-E for details.

Other Changes

Cross validation rule 2 against FSA047 has been corrected – it referred to an element 790A, this has been corrected to 79A.

Details of the November 2009 Changes

This update is made to correct the namespace version numbers of the FSA017 sample and the FSA044 schema and sample which were published on 07/10/2009. On 07/10/2009, new schemas for both FSA017 and FSA044 were published, but the XML sample files were not updated to refer to the new schema versions (this was an oversight due to the fact that the actual data within the samples did not need to change for the new schema). In addition the actual FSA044 schema still contained the old namespace version. The 13/11/2009 publication corrects these errors.

Data Item / Schema Specific Changes

FSA017

The XML sample file now refers to version 4 of the schema (previously it was referring to version 3).

FSA044

The schema namespace version and the version attribute of the root element are now corrected to 5. Previously they were showing 4.

The XML sample file now refers to version 5 of the schema (previously it was referring to version 4).

Details of the October 2009 Changes

General Changes for Liquidity

Common Types

A new version 5 schema and spreadsheet are being introduced to accompany the new liquidity data items (FSA047 to FSA055).

This new version adds the following data types:

- CurrencyBasisType for consolidated/single currencies
- CurrencyType for all standard ISO currencies
- YesNoNAType
- float1Type

And makes the following changes:

- replaces the reportingBasis value of "stock liquidity group" with 3 defined liquidity group (DLG) reporting bases.
- restricts the allowed values for CountryCodeType to ISO country codes.

The new version is referenced by all the new liquidity data items, but will not be referenced by any existing data items until after it is released into the Gabriel system (anticipated to be April 2010). After that time data items will be changed to reference the new version only if their schemas need updating for other reasons.

SDS003

A new version 4 schema and spreadsheet are being introduced to accompany the new liquidity data items (FSA047 to FSA055). It includes a new GroupFRNStructure which is as per the existing GroupInfoStructure but without the GroupReference element. The GroupReference is no longer used by the FSA.

The new version is referenced by all the new liquidity data items, but will not be referenced by any existing data items until after it is released into the Gabriel system (anticipated to be April 2010). After that time data items will be changed to reference the new version only if their schemas need updating for other reasons.

Cross-Validation Rules

The new version of this document (v5) introduces cross validation rules between the new liquidity data items FSA047 and FSA048.

In addition the following changes have been made:

- Backed out the merger of RMA-D1 and RMA-D2 into RMA-D1-D2 – these revert to being separate data items. Hence reintroduced RMA-D1 rules 4, 5 & 6 between RMA-D1 and RMA-D2.
- Removed RMA-D1 rule 1: $RMA-D1.3A = 5\%$ of $RMA-B(1E+2E)$ since RMA-B figures are cumulative.

- Removed RMA-D1 rule 3: RMA-D1.16A >= RMA-E.9H to allow for negative own funds.
- Amended RMA-D2 rules 5 and 7 to be conditional upon RMA-D1.11A not being "B3 low resource".

Profile Switches

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.

The profile switch rules are 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". However, a spreadsheet containing the rules which determine which RMA elements are switched on/off according to which profile characteristics has been maintained internally and is now being published as part of the Data Reference Guide (under the "General MER Documentation" section). Previously, this document had only been made available on request.

Changes to the RMA-G profile rules which will affect the forthcoming release of Gabriel are as follows:

- The profile switch for column A, rows 8 to 12 has changed so that fields are only presented if the firm has "Mortgage Advising" (previously it was based on Rag 9.2).
- The profile switch for column B, rows 10 to 12 has changed so that fields are only presented if the firm has "GI Advising (RETAIL)" (previously it was based on Rag 9.1).
- The profile switch for column C, rows 8 to 12 has changed so that fields are only presented if the firm has "RI Advising" (previously it was based on Rag 7).
- The profile switch for 13C and 14C has changed so that fields are only presented if the firm has either "RI Advising" or "RI Arranging" (previously it was based purely on RI Advising).

The new profile rules will apply to RMA-G data items with reporting period end dates on or after the

Date that this part of the Gabriel software is updated – anticipated to be 21 November 2009.

Data Item / Schema Specific Changes

Complaints

Spreadsheet changes to v2.1 (no change to schema):

- Amendment to validation rule on 2A from:
Conditional: If 2A = "no" at least one of (4A:8E) or (9A:33E) must be greater than zero
to:
Conditional: If 2A = "no" at least one of 3A, (4A:8E) or (9A:33E) must be greater than zero
- Replace rule against the complaints closed section (4 to 8): $\Sigma(4D:8D) = < \Sigma(4A:8C)$ with 5 rules against the individual cells:
4D \leq 4A+4B+4C
5D \leq 5A+5B+5C
6D \leq 6A+6B+6C
7D \leq 7A+7B+7C
8D \leq 8A+8B+8C

The rule changes will apply as soon as the Gabriel software is updated – anticipated to be 23 November 2009.

FSA008

Spreadsheet changes to v4.2 (no change to schema):

- The rule "5N = ((5H + 5K) / 4B) * 100" has been removed.
- The sample XML figures for columns 5Q and 7M have been corrected.

The rule changes will apply as soon as the Gabriel software is updated – anticipated to be 23 November 2009.

FSA011

New version 4 of the Schema and spreadsheet. This new version is a cut down version of the previous one: Elements 1 to 8, 10 and 11 have been removed (all columns). The new version thus contains just 9A, 12A, 13A, 14A, 15A and 16A.

The new version will apply to all reporting period end dates on or after 1 October 2010.

FSA017

New version 4 of the Schema and spreadsheet:

- Removed validation rules 20A = 8A and 20B = 8B.
- Row 43 becomes mandatory
- Row 43 validation rule added: 43x > 0
- Rows 38 and 39 conditional rules added
- Rows 4, 7, 16, 19 are now defined as accepting negative figures (ie MonPos to Mon).
- Removed the conditional validation rule on 38A: "Conditional: If 47A or 48A are submitted, 38A is mandatory"

- Removed the conditional validation rule on 39A: "Conditional: If 47A or 49A are submitted, 39A is mandatory"

The new version will apply to all reporting period end dates on or after 7 December 2009.

FSA044

New version 5 of the Schema and spreadsheet:

- Elements 31B to 31G are now defined as accepting negative figures (ie MonPos to Mon).
- A newer version of SDS003 is included which includes the same version of CommonTypes as FSA044 itself.

The new version will apply to all reporting period end dates on or after 7 December 2009.

FSA047 to FSA055

There are 8 new data items for liquidity reporting: FSA047, FSA048, FSA050, FSA051, FSA052, FSA053, FSA054 and FSA055. The FSA049 which was consulted on has not been retained in the final policy. The different data items come into effect at different times and at different times for different types of firm. They will gradually replace the previous liquidity data items FSA010, FSA012 and FSA013 as well as the major part of FSA011.

For FSA048 rules to enforce which figures have to be positive and which negative have been implemented as business validation rules rather than embedded in the schema definitions. This is contrary to other data items in Gabriel and has been done partly because FSA048 uniquely contains figures which must be negative and partly to simplify implementing any future rule changes.

FSA056

New version 1.1 of the spreadsheet, schema now version 1:

- 3B error code corrected
- All mandatory validations between 3B to 56B changed to conditional rules
- Elements 4B to 6B are combined into one element that has an enumerated list of entries. This has resulted in changes to the validation rules on the following elements: 7B, 8B, 9B, 10B, 11B, 16B, 17B, 18B, 24B, 25B, 31B, 32B, 33B
- Amended additional information comment against elements 34-52 to refer to Sterling
- 51A validation rule corrected
- Corrected referencing of element 52B
- Removed validation rules against element 61-65

FSA056 first applies to return period end dates of 1 July 2010 onwards. Earlier versions of the specification for this Data Item have been superseded and will never apply to submissions.

FSA057

New version 1.1 of the spreadsheet, schema now version 1:

- Currency and Units attribute group replaced with fixed value attributes.

FSA057 first applies to return period end dates of 31 December 2009 onwards. Earlier versions of the specification for this Data Item have been superseded and will never apply to submissions.

RMA-D1

New version 1.2 of the spreadsheet (no change to the schema):

- Updated conditional validation rules on fields 11 to 23. For fields 11 to 17: "Conditional: Mandatory if firm is a personal investment firm, otherwise must be omitted". For fields 18 to 23: "Conditional: Mandatory if firm is a personal investment firm and 11A is not "B3 low resource", otherwise must be omitted".
- New rule 12A = £10,000.
- New rule 10A = 9A - 8A
- New rule 17A = 16A - 15A
- New rule 20A = 19A - 18A
- New rule 23A = 22A - 21A

The rule changes will apply as soon as the Gabriel software is updated – anticipated to be 23 November 2009.

RMA-G

New version 2.1 of the spreadsheet (no change to the schema):

- Conditional mandatory validation rule on 6D changes to "Conditional: mandatory if 6A or 6C are completed" (previously the wording was based on having Mortgage or RI advising permission).
- Validation rules on column B, rows 10 to 12 changed to "Conditional: Mandatory if firm has permission for 'GI Advising (Retail)', otherwise must be omitted" (previously this looked at the permission 'GI Advising'). Similarly, the additional validation rule on 12B changed to "If firm has permission for GI Advising (Retail), then at least one of 10B, 11B or 12B must be true".
- Validation rules on column C, rows 8 to 12 changed to "Conditional: Mandatory if firm has permission for RI Advising, otherwise must be omitted" (previously this looked at the permissions RI Advising or RI Arranging).

The rule changes will apply as soon as the Gabriel software is updated – anticipated to be 23 November 2009.

Details of the June 2009 Changes

General Changes

RMA-D2 and Complaints have a major version increment, due to changes in the schemas, both moving to version 2. Payment Services data items are published at version 1. The previously published RMA-D1-D2 has been removed as it has become redundant.

Data Item / Schema Specific Changes

Complaints

Schema and spreadsheet change to v2.

- Two new elements at the start of the item, numbered 1 and 34. Subsequent elements are all renumbered
- Column D in the "Complaints closed" section ("Complaints closed > 12 weeks") is removed. Column C is renamed and subsequent columns E and F become D and E.
- In the "Complaints opened" section, the table is reduced to five columns, A to E. Two of the five have amended headings.
- Element MortgagesHomeFinance is renamed HomeFinance to match the change in on-form label.
- Row 14 is replaced with rows 15 and 16.
- The parent element PureProtection is removed. The child elements within it become part of GeneralInsurance. This is to match the change on on-form labelling.
- Within Investments, there is a new element ManagementServices.

RMA-D1

Spreadsheet has reverted to v1.1

RMA-D2

Schema and spreadsheet change to v2.

- Element NetCurrentAssetsRequirement amended to "minOccurs=0"

FSA044

Schema and spreadsheet change to v4.

- Elements 30A to 30G changed from MonPos to Mon on the spreadsheet.
- Elements Liabilities\Capital\Total to Liabilities\Capital\undated in schema changed to MonetaryType

FSA046

Schema and spreadsheet change to v5.

- In the schema, the element RiskPositions is amended to contain StandardisedExposures and IRBExposures in a "sequence" instead of in a "choice".

FSA056

A full set of documents are published for this new data item, at v1.

FSA057

A full set of documents are published for this new data item, at v1.

Details of the March 2009 Changes

General Changes

Apart from RMA-J there have been no amendments to schemas. Therefore, all other data definition spreadsheets (.XLS) have a minor version increment.

Data Item / Schema Specific Changes

RMA-J

Schema and spreadsheet changes to v2.

- Element (row) 3 has been replaced with three new rows, 3, 4 and 5.
- Column A has no elements in rows 3, 4 or 5
- Column B has an element 5B
- Column Column C has elements 3D and 4C
- 3C must not be submitted if firm's permission includes neither Rag 7 activities nor Rag 9.1 activities or if firm is exempt from funding the FSCS
- 4C must not be submitted if firm's permission does not include Rag 7 activities or if firm is exempt from funding the FSCS
- 5B must not be submitted if firm's permission does not include Rag 7 activities or if firm is exempt from funding the FOS

FSA001

Spreadsheet changes to v3.1

- Element 13A in XML file amended from 1001042 to 10010
- Element 41A in XML file amended from 1547360 to 1547366
- Currency attribute datatype on XLS changed from LimCurr to LimCur

FSA003

Spreadsheet changes to v5.1

- Element 58B in XML file amended from 1718682 to 758478
- Validation rule against 112A in XLS corrected to refer to 6A-9A, instead of 8A

FSA007

Spreadsheet changes to v2.1

- Validation rule against 17A in XLS corrected to refer to 17A instead of 16A
- Datatype on element 16A in XLS corrected to "Mon" to match schema

FSA008

Spreadsheet changes to v4.1

- Element 5L changed to 0.85 in XLS and XML
- Elements 5M and 5N (row 1) changed to 3.69 in XLS and XML
- Elements 5M and 5N (row 2) changed to 3.12 in XLS and XML
- Element 5M(total) changed to 6.81 in XLS and XML
- Element 7G (row 1) changed to 0.57 in XLS and XML
- Element 8J (rows 1 and 2) changed to blank on XLS and removed from valid XML only

FSA010

Spreadsheet changes to v4.1

- Element 81G missing datatype added (MonPos)

FSA015

Spreadsheet changes to v4.1

- Label on element 16 changed to Non-UK from UK
- Label on element 21 has the words "(non-bank)" removed

FSA017

- Element 39A changed to -19 in XML

FSA029

- XML amended to have the LLP exceptional items section at the end instead of within the LLP Capital element

FSA032

Spreadsheet changes to v3.1

- Handbook layout and sample data tab in XLS amended blanking element 32A
- XML sample split into separate valid and full XML files accounting for the XLS change

FSA035

Spreadsheet changes to v1.1

- Spelling correction on label for element 18A
- Element 16B changed to 90039 in XML

CY

Spreadsheet changes to v2.1

- Element 11C corrected to 21.88 in XLS and XML

Details of the June 2008 Changes

General Changes

The only general change is to the versioning convention. Changes to components which affect only the data definition spreadsheet (.XLS) will not result in a new version of the schema (.XSD). Instead, a minor version increment to the spreadsheet will be introduced. This is reflected in a new version of the DRG Introduction document.

Data Item / Schema Specific Changes

FSA002

DRG schema stays at v3, spreadsheet changes to v3.1

- Drop business rule 1A <= 1B
- Drop business rule 25A <= 25B
- Drop business rule 34A <= 34B

FSA004

DRG schema stays at v4, spreadsheet changes to v4.1

- Drop business rule 36B = 36A * 12.5

FSA010

DRG schema stays at v4, spreadsheet changes to v4.1

- Business rule on 116C should refer to 54C instead of 104C
- Business rule on 116D should refer to 54D instead of 104D
- The old XML sample which contained typos and did not conform to the sample data in the XLS spreadsheet has been replaced.

FSA034

DRG schema stays at v2, spreadsheet changes to v2.1

- The conditional rules on the "Annual Expenditure Based Requirement" fields (30B to 34B) are dropped.

FSA036

DRG schema stays at v1, spreadsheet changes to v1.1

- The conditional rules on the "Calculation of financial resources requirement for forthcoming year - UCITS firms" fields (27B to 40B) are dropped.

FSA040

DRG new version of component including schema – now v2

- Schema Error - "DateRectified" should be minOccurs="0" (ie optional, since it must be omitted if the letter of credit shows an excess rather than a deficiency).

- The old XML sample which contained a typo and did not conform to the sample data in the XLS spreadsheet has been replaced.

RMA-C

DRG new version of component including schema – now v2

- Schema Error - "IssuesRaised" should be minOccurs="0" (ie optional, since it must be omitted for firms that do not hold client assets).

RMA-D1 and RMA-D2

DRG new data item RMA-D1-D2 version 1

DRG new shared definition schema SDS004

DRG new version of component RMA-D1 – now v2

DRG removal of component RMA-D2

- Due to a technical limitation in our scheduling software a new data item RMA-D1-D2 has been created which simply combines the previous RMA-D1 and RMA-D2. This is to be used by firms who need to submit both D1 and D2 for the same reporting period. Firms that submit only D1 for a particular reporting period should submit RMA-D1. No firms will be scheduled to submit only D2 and the data item RMA-D2 has been removed. A new shared definition schema, SDS004, is used to define the D1 and D2 contents.
- The Cross-Validation document has been re-issued to remove the rules between D1 and D2 as these are now essentially 'internal' rules within the RMA-D1-D2 data item.

RMA-E

DRG new version of component including schema – now v4

DRG new version of component SDS001 including schema, now v4

- SDS001 Schema Error – to allow the "Single" and "Aggregate" elements to be optional within the RMA-E data item, the PIIIndemnityLimitsGroup within the PIIBasicLimitReceivedIMDGroup group has been replaced with individual elements "Single" and "Aggregate", both with minOccurs="0". The RMA-E schema has been changed to simply include the new SDS001.

RMA-H

DRG new version of component including schema – now v3

- Schema (and Data Definition Spreadsheet) Error – "MonitoringAppointedReps" should be minOccurs="0" (ie optional, since it must be omitted for firms that have the profile switch "Appointed Representatives" set to false.

Details of the January 2008 Changes

General Changes

In all XML element names which contain the full stop character, the full stop has been replaced with the hyphen character. The following data items and shared definition schemas have thus been updated: FSA003, FSA004, FSA005, FSA008, FSA015, FSA018, FSA019, FSA046, MLA-E and SDS002. MLA-F and MLA-H which include SDS002 have been updated to use the new version of SDS002. All these components have been updated to include the latest version of the CommonTypes schema (changed for the reason given in the following bullet point), as has SDS003 which also includes the CommonTypes schema and is used by a number of the other data items.

A new pattern restriction has been introduced into the definitions of decimal number types to ensure that the correct number of digits before and after the decimal point is submitted. A new CommonTypes schema (v4) is thus published, and all data item schemas that use decimal numbers have been updated to include the new CommonTypes schema - CQ, CY, FSA010, FSA011, FSA012, FSA013, FSA017, FSA022, FSA024, FSA025, FSA028, FSA045 and MLA-D. Some of the data items updated for the full stop to hyphen change may also contain decimal number types.

Data Item / Schema Specific Changes

CommonTypes

- New version 4 issued with updated definitions for PercentDP1Type, PercentDP2Type, PercentDP3Type, Float2Type, Float4Type and removed definitions of MonetaryDP2Type and NonNegativeMonetaryDP2Type.
- Removed version 1 of the schema (no longer referenced by any other components)

CQ

- Includes v4 of CommonTypes

CY

- Includes v4 of CommonTypes

FSA003

- BIPRU_TP_12.1R becomes BIPRU_TP_12-1R
- Includes v4 of CommonTypes

FSA004

- BIPRU4.4.59_60Firms becomes BIPRU4-4-59_60Firms
- Includes v4 of CommonTypes

FSA005

- Risk0-00 becomes Risk0-00;
Risk0-25 becomes Risk0-25;
Risk1-00 becomes Risk1-00;

Risk1-60 becomes Risk1-60;
Risk8-00 becomes Risk8-00;
Risk12-00 becomes Risk12-00

- Includes v4 of CommonTypes

FSA006

- Component removed (no longer applicable for XML submission through MER)

FSA008

- CapitalResourcesBIPRU10.5.3R becomes CapitalResourcesBIPRU10-5-3R;
CapitalResourcesBIPRU10.5.4R becomes CapitalResourcesBIPRU10-5-4R;
Percentage10.5.4 becomes Percentage10-5-4;
CounterpartiesUnder2.5 becomes CounterpartiesUnder2-5;
CounterpartyAbove2.5 becomes CounterpartyAbove2.5;
Percentage10.5.3 becomes Percentage10-5-3
- Includes v4 of CommonTypes
- Samples changed to use the value "true" rather than "1" for the Boolean element ConfirmFSANotified.

FSA010

- Includes v4 of CommonTypes

FSA011

- Includes v4 of CommonTypes

FSA012

- Includes v4 of CommonTypes

FSA013

- Includes v4 of CommonTypes

FSA015

- Percent1.5To2.5 becomes Percent1-5To2-5;
Percent2.5To5 becomes Percent2-5To5
Percent5To7.5 becomes Percent5To7-5
Percent7.5To10 becomes Percent7-5To10
- Includes v4 of CommonTypes

FSA017

- Includes v4 of CommonTypes

FSA018

- Percentage10.8.13 becomes Percentage10-8-13
- Includes v4 of CommonTypes

FSA019

- InternalBIPRU7.10Model becomes InternalBIPRU7-10Model
- Includes v4 of CommonTypes

FSA020

- Sample corrected
- Includes v4 of CommonTypes

FSA022

- Includes v4 of CommonTypes

FSA024

- Includes v4 of CommonTypes

FSA025

- Includes v4 of CommonTypes

FSA028

- Includes v4 of CommonTypes

FSA034

- Rule on 10B corrected to read "10B = 1B + 35B + 2B + 3B + 4B - 9B"
- Includes v4 of CommonTypes

FSA045

- Includes v4 of CommonTypes

FSA046

- BIPRU9.3.1RApplies becomes BIPRU9-3-1RApplies;
BIPRU9.13Applies becomes BIPRU9-13Applies;
BIPRU9.12.16 becomes BIPRU9-12-16
- Includes v4 of CommonTypes

MLA-D

- Includes v4 of CommonTypes

MLA-E

- MultipleLess2.50 becomes MultipleLess2-50
Multiple2.50To3.00 becomes Multiple2-50To3-00
Multiple3.00To3.50 becomes Multiple3-00To3-50
Multiple3.50To4.00 becomes Multiple3-50To4-00
MultipleOver4.00 becomes MultipleOver4-00
MultipleLess2.00 becomes MultipleLess2-00
Multiple2.00To2.50 becomes Multiple2-00To2-50

Multiple2.50To2.75 becomes Multiple2-50To2-75
Multiple2.75To3.00 becomes Multiple2-75To3-00
MultipleOver3.00 becomes MultipleOver3-00

- Includes v4 of CommonTypes

MLA-F

- Includes v2 of SDS002
- Includes v4 of CommonTypes

MLA-H

- Includes v2 of SDS002
- Includes v4 of CommonTypes

SDS002

- Percent1.5To2.5 becomes Percent1-5To2-5
Percent2.5To5 becomes Percent2-5To5
Percent5To7.5 becomes Percent5To7-5
Percent7.5To10 becomes Percent7-5To10
- Includes v4 of CommonTypes

SDS003

- Includes v4 of CommonTypes

Details of the December 2007 Changes

Data Item Specific Changes

FSA003

- Removed rules 127A <= 16B and 128A <= 35B.
- Changed certain tier 3 elements (58A, 58B, 61A, 61B, 62A and 62B) to allow negative numbers.
- Corrected validation rules which still referred to the reporting basis "consolidated" to refer to the reporting basis "UK consolidation group". This affected rules on elements 69A, 78A, 86A and 94A.

FSA005

- Corrected omission of "Total" XML name in the data definition spreadsheet for 4G to 9G.

FSA010

- Corrected xml sample data to reflect sample in the data definition spreadsheet (fields 101C and 101D) and corrected typing errors in notes to 116B, C and D.

FSA015

- Re-labelled columns to omit column letters I and O (to avoid confusion with numbers one and zero).
- Columns referring to "charged to P&L" (profit and loss) changed to refer to "charged to IS" (income statement).

FSA031

- A new version has been released to include the new shared definition schema SDS001 (see changes under RMA-E below), though neither the spreadsheet nor the XML schema have changed for FSA031.

FSA032

- A new version has been released to include the new shared definition schema SDS001 (see changes under RMA-E below), though neither the spreadsheet nor the XML schema have changed for FSA032.

FSA044

- Re-labelled line 10 "Other" to "Other financial assets" and changed XML elements accordingly - Assets/Other to Assets/OtherFinancialAssets and Assets/Other/OtherTotal to Assets/OtherFinancialAssets/OtherFinancialTotal.
- Re-labelled line 33 "o/w subject to credit downgrade" to "o/w subject to credit deterioration" and changed XML name accordingly.
- Moved the final line 35 (Undrawn credit lines inward) to be line 38, and inserted new lines 35 to 37 and 39.

FSA045

- Changed the bands for probability of default from being fixed (set by the FSA) to be dynamic (input by firms).
- Added a Total row to each table.
- Added a new field before each table for the number of days in the definition of Default.
- Expanded the second question before each table (type of rating system) to include Hybrid PiT as well as PiT and TTC.

FSA046

- Columns F (location of disclosures) and G (additional capital) have been taken out of the initial table and positioned as simple fields before the table.
- New columns F (assets appear on FSA001?) and G (BIPRU 9.3.1R applied?) have been inserted into the initial table.
- A new row has been inserted into the second table (and the row labels and XML names changed for the other rows).
- A new block of 3 rows has been inserted into the third table (and the row labels and XML names changed for the other rows).
- The wording of the headings (and XML names) has changed for each of the tables.

RMA-E

- A new column has been introduced before the Limit of indemnity received (formerly columns I and J) to indicate whether the indemnity is in Sterling, Euros or Unlimited, and subsequent column letters shuffled. This change is implemented within the shared definition schema SDS001. This has led to new versions of FSA031 and FSA032 which also include SDS001.
- SDS001 has also changed some of its minOccurs=0 to minOccurs=1 to properly reflect that there must be at least one Excess submitted for a policy, and that indemnity limits are mandatory.
- The column headers for the other monetary figures now includes "(Sterling)".
- There are new rules to prevent submission of PII policy details unless question 3 (has PII been renewed) has been answered Yes, and to match the activities covered by the policy (4A, 4B and 4C) to the activities for which PII has been renewed (3H, 3I and 3J).
- There is a new rule that exclusions can't be submitted for a policy which already has an excess for the same line of business.
- The initial questions (1H, 1I, 1J) on whether a firm is exempt should only be answered if the firm has previously notified the FSA that it is exempt (and this has been accepted by the FSA).

RMA-G

- The blocks for types of advice and clawed back commission have been appended to RMA-G (these blocks were formerly lines 3 to 9 on RMA-H) and the currency/units attribute group included. The validation rule that 7D <= 1D has been removed. Rules have been added to ensure that at least one row from rows 8 to 12 is set to true for each applicable column.
- The column headers have been rationalised since "Arranging" is not applicable to Mortgages and Retail Investments.

RMA-H

- The blocks for types of advice and clawed back commission (lines 3 to 9) have been removed (they now reside in RMA-G) along with the currency/units attribute group. Subsequent lines are renumbered.

RMA-I

- The former question 3 (total premium) has been moved to be question 1 and the other question numbers shuffled accordingly.
- The wording of former questions 2, 3 and 4 (now 3, 1 and 4) has changed slightly.

Details of the November 2007 Changes

General Changes

The new GroupInfo element to capture details of a group when a data item is being submitted on a consolidated basis on behalf of a group applies to data items FSA001 to FSA008, FSA014, FSA015, FSA017, FSA019, FSA044, FSA045 and FSA046. The structure of the new element is defined in the shared definition schema SDS003. The new element replaces the elements previously in FSA001, FSA003 and FSA008 which were used for capturing the FRN numbers of other firms in a group.

A new version (v3) of the CommonTypes schema has been issued with new values for reporting basis. All data items can refer to this new version. However, only the data items that use the reporting basis attribute or that are being reissued for other changes are being republished to include the new CommonTypes v3. At the same time a typing error has been corrected in the spreadsheet for CommonTypes (the ISO code for Japanese Yen should be JPY as per the schema, not JYE).

Data Item Specific Changes

FSA001

- Elements 9A and 9B were incorrectly referenced (as 8A and 8B) in the Data definition spreadsheet. This has been corrected.
- Element GroupInfo replaces GroupFirmsGroup

FSA002

- element 1B is now mandatory
- elements 25A, 34A and 44A are now optional
- element GroupInfo added

FSA003

- the label for element 120A no longer has brackets (indicating a negative number)
- replaced the ConsolidationInfo element with the element GroupInfo

FSA004

- element GroupInfo added

FSA005

- columns A to F have been dropped for lines 21, 25 & 29 and thus the validation that column G = sum of columns A to F for these lines has also been dropped
- sample data for rows 22 and 24 changed, so that the rule on row 25 is satisfied
- element GroupInfo added

FSA006

- the XML sample has changed to show column B as 0.9900 (confidence level) and column C (holding period) as 1
- element GroupInfo added

FSA007

- the full label text for elements 12B and 13B was previously not visible. This has been corrected, and the XML name for 12B has been changed from Capital to CapitalRequirement
- elements 2A to 9A now accept negative figures
- element GroupInfo added

FSA008

- element 4B is now mandatory
- element GroupInfo replaces group GroupFirmsGroup

FSA013

- the reportingBasis attribute has been added (which can be "unconsolidated" or "stock liquidity group")
- element GroupInfo added

FSA014

- elements 6A, 12A, 13A & 14A are now mandatory.
- element GroupInfo added

FSA015

- element GroupInfo added

FSA016

- the reportingBasis attribute has been added (value "solo-consolidated")

FSA017

- changed rule on 31N now reads: $31N = 31P + 28N$
- new rule: $31P = 28P$ (this changes the rules on all columns for 31, since the starting point of the cumulation is different – the rules have been re-written to follow the legal instrument wording)
- new rule: $38 = 48 - 47$ (cols B to P)
- new rule: $39 = 49 - 47$ (cols B to P)
- changed rules: 44 (all cols): $44[c] = 1/(1+43[c]/100)^{34[c]}$
- changed all elements in rows 29, 32, 33, and 42 to allow negative figures
- element GroupInfo added

FSA018

- the labels for elements 3A and 4D have been corrected to refer to 10.8.13R and the XML name changed accordingly
- the Integrated Group Reference and Firm elements have been made optional
- the reportingBasis attribute has been added (value "UK integrated group")

FSA019

- element GroupInfo added

FSA023

- the rule $10B = \Sigma(2B:8A)$ has been corrected to say $10B = \Sigma(2B:8B)$
- the rule $12C = 8\%$ of 11A has been corrected to say $12C = 8\%$ of 11C

FSA025

- the rule on element 4A has changed to say 4A must be "less than or equal to" $1A+2A+3A$ (previously was "equal to" which conflicted with a cross validation rule)

FSA028

- The label for element 8A has changed, hence XML element name changes too (TotalTier1And2AfterDeductions)
- New starting element 27A – turns off all other elements – hence affects conditional rule on every other element

FSA031

- Element 33A (GuaranteeOrExempt) changed to ComparableGuaranteeOrExempt and now accepts "no", "Comparable Guarantee" or "Exempt".
- Element name BusinessLineDetail changed to PolicyExcessDetail (in shared definition schema SDS001).
- List of allowable values for BusinessLine (for policy excesses) now specified in SDS001. New validation on allowable values ("All" and "All other").

FSA032

- Element 32A ComparableGuaranteeOrExempt now accepts "no", "Comparable Guarantee" or "Exempt" and is mandatory if 49A (CurrentlyHoldPII) is "no".
- Policy excesses and exclusions separated out, with a separate list of allowable values for exclusions (and a list for business lines as part of the excesses information) in SDS001.

FSA044

- All row 10 (Other Assets – Total) and row 11 (Other Assets – of which pledgable) elements now accept negative figures.
- Element 31A (total liabilities) is now mandatory.

- Typo in title label of data definition spreadsheet (cell B8 – "maturity" not "security") corrected.
- element GroupInfo added

FSA045

- element GroupInfo added

FSA046

- Elements 1E and 1F (web addresses for investor reports and disclosures) have changed from 100 character fields to 400 character fields.
- element GroupInfo added

RMA-E

- Policy excesses and exclusions separated out, with a separate list of allowable values for exclusions (and a list for business lines as part of the excesses information) in SDS001.

Details of the August 2007 Changes

General Changes

The concept of minor version numbers is no longer being used. The unchanged schemas from the 23 March 2007 publication are still remaining at version 1.0, but all new schemas and versions will simply have a major version number, such as version 1 or version 2.

Complex type structures have been removed from the CommonTypes schema and placed in Shared Definition schemas (SDSnnn) which are only included by the data item schemas that need them.

A new high level reportingBasis attribute has been introduced in all the data item schemas that are changing (FSA001, FSA002, FSA003, FSA004, FSA008, FSA010, FSA011 and FSA019). This allows information to be captured indicating if the data item is prepared on, for example, a solo-consolidated, unconsolidated, or consolidation group basis.

Corrections to validation rules which were documented in the AmendmentsToValidations.pdf document on the FSA web site were included in Legal Instrument 2007/45 so new and amended specifications now refer to this. 2007/45 also introduced some minor changes to FSA001, FSA010, FSA011 and FSA019.

Data Item Specific Changes

FSA001

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.
- GroupFirmsGroup replaces ConsolidationGroup (group) and NonUKConsolidationGroup (element). This is because the introduction of the reportingBasis attribute has meant that questions 1 (is this on behalf of a consolidation group) and 3 (is this solo-consolidated) are not required. Also question 4 (asking if a firm is a member of a non-EEA sub group) has been removed.
- Intragroup replaces IntraGroup (for consistency with other data items).
- The XML sample data was corrected to pass all the validation rules, and only one sample is now needed.

FSA002

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.

FSA003

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.

FSA004

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.

FSA008

- BasisCurrencyAndUnitsAttrGroup and GroupFirmsGroup replace CurrencyAndUnitsAttrGroup and ConsolidationGroup.
- TotalGrossExposure added to ConnectedCounterparties (question 7C)

FSA010

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.
- OtherMarketableAssets added (question 126)

FSA011

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.
- QualifyingFunds added (question 17).
- Validation rule 11 ($8E = 8A - 8B$) dropped.

FSA019

- BasisCurrencyAndUnitsAttrGroup replaces CurrencyAndUnitsAttrGroup.
- ExternalAudit data type changed to allow "not applicable" (question 6).

Details of the March 2007 Publication

General Changes

The first DRG publication was on 23 March 2007 and contained:

- XML specifications version 1.0 for FSA001, FSA002, FSA003, FSA004, FSA008, FSA010, FSA011, FSA012, FSA013, FSA016, FSA018, FSA019 and FSA028;
- XML specifications version 1.0 for a Common Types schema and a MetaData schema; and
- Version 1.0 of an introductory document and a Cross Validation Rules document