

RegData user guide

Submitting and Managing Alternative Investment Fund Directive (AIFMD) Data

The Alternative Investment Fund Managers Directive (AIFMD) is a regulatory framework for alternative investment fund managers (AIFMs), including managers of hedge funds, private equity firms and investment trusts.

This user guide explains how to upload and submit AIFMD data and subsequently manage this data for your firm.

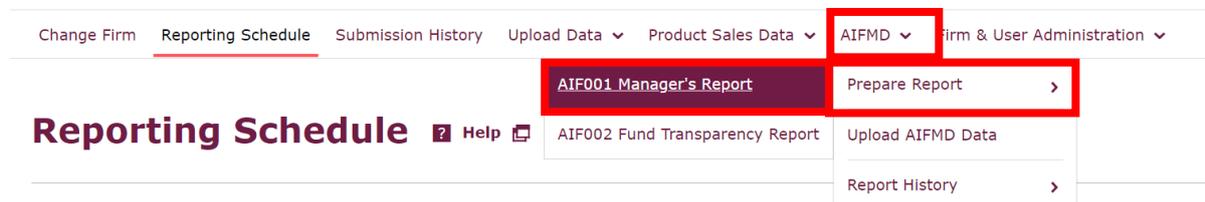
Overview of user guide

In this guide, you will find out how to:

1. enter data manually online via the AIFMD forms
2. upload an XML with AIFMD data in RegData
3. how to amend an AIFMD report that has been submitted
4. how to cancel an AIFMD report that has been submitted

1. Submitting AIFMD data via online forms

In RegData, hover over **AIFMD** at the top of the screen, then hover over **Prepare Report**. Click on the AIFMD report you wish to complete.



In the report screen, click **ADD REPORT**.

AIF001 Manager's Report [Help](#)

FRN

Firm Name

ADD REPORT

Fill in all the required details on the report form. Fields marked with a red asterisk (*) are mandatory.

A	
1 The country of jurisdiction of your national regulator *	<input type="text" value="Select"/>
2 Is this in the EEA? *	<input type="text" value="Select"/>
3 Your national regulator's code for you as a business entity (FRN) *	<input type="text" value="e.g. 123456"/>
4 Your company name *	<input type="text" value="Max. 300 characters"/>
5 Your Business Identification Code (BIC)	<input type="text" value="e.g. ABCDEF12AB1"/>
6 Your Legal Entity Identification code (LEI)	<input type="text" value="e.g. 123400A5B6C7D8E9F154"/>
7 Your registration status *	<input type="text" value="Select"/>

You can save your data by clicking **SAVE DATA**. Once all mandatory and other fields you wish to provide data for have been completed, click **VALIDATE DATA**.

SAVE DATA

VALIDATE DATA

If there are any errors in the data entered, these will be presented at the top of the screen. You will need to resolve all errors and validate data once again.

Change Firm Reporting Schedule Submission History Upload Data Product Sales Data AIFMD Firm & User Administration

2 Validation Error(s) Found **HIDE DETAILS**

2A.	Conditional: If the Current domicile (1A) is an EEA country, Is this in the EEA (2A) must be 'Yes', otherwise must be 'No'.	View Error
7A.	Conditional: Your registration status must match the AIFM registration/authorisation status held by the FCA.	View Error

Alternatively, you can validate your report(s) from the Report screen. Click next to the report, and then click **VALIDATE REPORT**.

AIF001 Manager's Report [Help](#)

FRN | Firm Name

ADD REPORT

<input checked="" type="checkbox"/> Reporting Period	Period Start	Period End	Last Modified	Status
<input checked="" type="checkbox"/> H1	01/01/2021	30/06/2021	19/04/2022	Ready to Submit

DELETE REPORT **VALIDATE REPORT** **SUBMIT REPORT** **DOWNLOAD**

If you validate from the Report screen, a validation confirmation will appear at the top of the screen.

Change Firm Reporting Schedule Submission History Upload Data Product Sales Data AIFMD Firm & User Administration

The report(s) has been successfully validated and must be submitted by the due date.

AIFMD / Prepare Report / AIF001 Manager's Report

Once all report(s) have been validated, select the report(s) you wish to submit and click **SUBMIT REPORT**.

AIF001 Manager's Report [Help](#)

FRN	Firm Name			
ADD REPORT				
<input checked="" type="checkbox"/> Reporting Period	Period Start	Period End	Last Modified	Status
<input checked="" type="checkbox"/> H1	01/01/2021	30/06/2021	19/04/2022	Ready to Submit

DELETE REPORT **VALIDATE REPORT** **SUBMIT REPORT**  **DOWNLOAD** ▼

You will be asked to confirm your submission. Click **YES** if you wish to proceed.

Submit Report

You are about to submit AIF001

SUP16.3.11R requires a firm to submit returns containing all the information required. Knowingly or recklessly giving the FCA or PRA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). Any additional information of relevance should be provided by letter direct to the appropriate Regulator.

Are you sure that you want to submit the selected report(s)?

You will get a pop up, to inform you that you must also submit the report(s) from your reporting schedule. To proceed to your schedule to submit the report click **YES**.

AIF001 Outstanding on Schedule

The selected report(s) have been successfully submitted.

There is an outstanding AIF001 data item on your Reporting Schedule. The scheduled data item must also be submitted by the due date to confirm your reporting obligation is complete.

Do you want to go to your Reporting Schedule to submit the data item now?

From your Reporting Schedule, click next to the AIFMD report(s) you wish to submit and click **SUBMIT DATA**.

Reporting Schedule

FRN | Firm Name

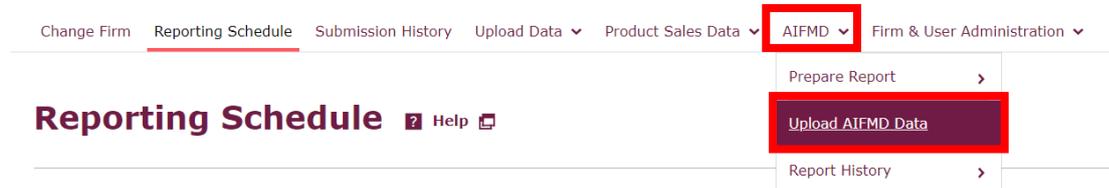
Expand All Returns

Due Date	Start Date	End Date	Current Status
02/01/2020	01/01/2020	01/01/2020	OVERDUE
16/02/2022	01/01/2022	31/01/2022	OVERDUE
02/04/2022	01/04/2021	01/04/2022	OVERDUE

Data Item	Completion Status	Attachment
<input checked="" type="checkbox"/> AIF001 AIFMD - Manager Data 	No Data	
<input type="checkbox"/> AIF002 AIFMD - Fund Data  Fund_Details	No Data	

2. Upload an XML with AIFMD data

Hover over **AIFMD** at the top of the screen, and then click **Upload AIFMD Data**.



On the Upload AIFMD Data screen, click **UPLOAD DATA**.

Upload AIFMD Data [Help](#)

FRN | Firm Name

Use this function to upload an AIFMD report XML file
For more information please see Upload Data [help](#).

UPLOAD DATA

You will be presented with a pop up. Click where it says **click here to choose a file...**, and then find the file you wish to upload from your computer

Upload AIFMD Data



- Only a single AIFMD XML file can be selected for upload
- The maximum file size permitted is 10MB

Click here to choose a file...

UPLOAD FILE

Then click **Upload File**.

Upload AIFMD Data



- Only a single AIFMD XML file can be selected for upload
- The maximum file size permitted is 10MB

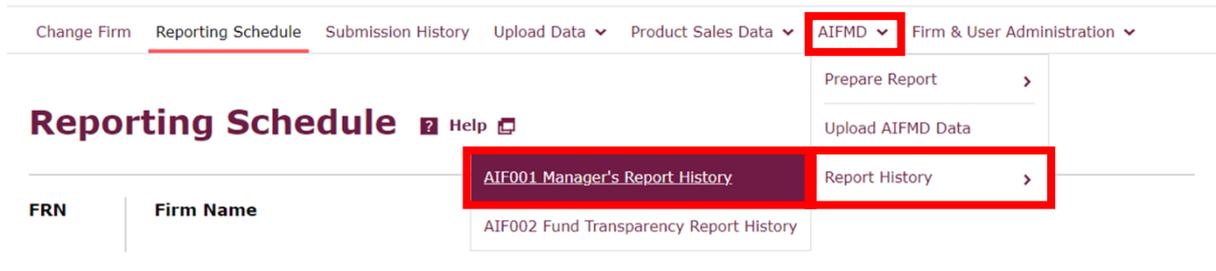
AIFMD.xml 

UPLOAD FILE

Your uploaded data will be validated. If there are any errors, you will need to resolve these in the XML file before reuploading.

3. Amending a Report

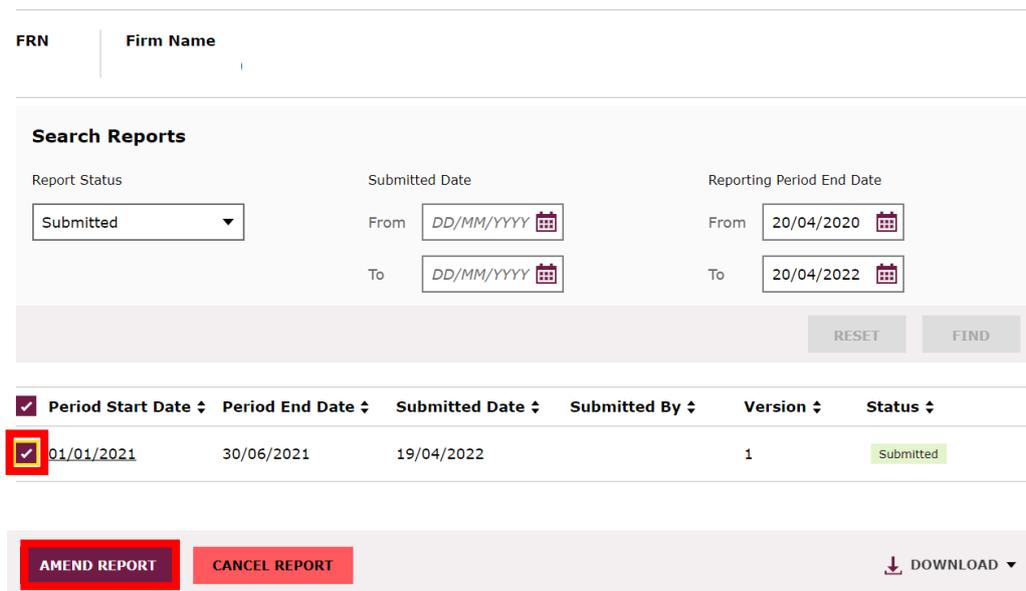
To search your report history, hover over **AIFMD** at the top of the screen, and then hover over **Report History**. Click on the AIF report history option you wish to amend.



The screenshot shows the top navigation bar with the following items: Change Firm, Reporting Schedule, Submission History, Upload Data, Product Sales Data, AIFMD, and Firm & User Administration. The AIFMD dropdown menu is open, showing options: Prepare Report, Upload AIFMD Data, and Report History. The Report History option is highlighted. Below the menu, the Reporting Schedule page header is visible, including the title 'Reporting Schedule' and a table with columns 'FRN' and 'Firm Name'. Two report history entries are listed: 'AIF001 Manager's Report History' and 'AIF002 Fund Transparency Report History'. The 'AIF001 Manager's Report History' entry is highlighted.

You will be presented with your Report History. You can use the Report Status, Report Type, or Submitted Date filters to narrow your results. Click next to the report you wish to amend and then click **AMEND REPORT**.

AIF001 Manager's Report History



The screenshot shows the 'AIF001 Manager's Report History' page. It features a search section with the following filters:

- Report Status: Submitted
- Submitted Date: From DD/MM/YYYY, To DD/MM/YYYY
- Reporting Period End Date: From 20/04/2020, To 20/04/2022

Buttons for 'RESET' and 'FIND' are located below the search filters. Below the search section is a table with the following columns: Period Start Date, Period End Date, Submitted Date, Submitted By, Version, and Status. The first row of the table is highlighted:

Period Start Date	Period End Date	Submitted Date	Submitted By	Version	Status
01/01/2021	30/06/2021	19/04/2022		1	Submitted

At the bottom of the page, there are three buttons: 'AMEND REPORT', 'CANCEL REPORT', and 'DOWNLOAD'.

You will be presented with a pop up to confirm the amendment. If you wish to proceed, click **YES**.

Confirm Amendment



If you continue, this submission will be updated to a 'Previous Version'. You will then be taken to a draft version of the report where you will be able to amend the data and resubmit.

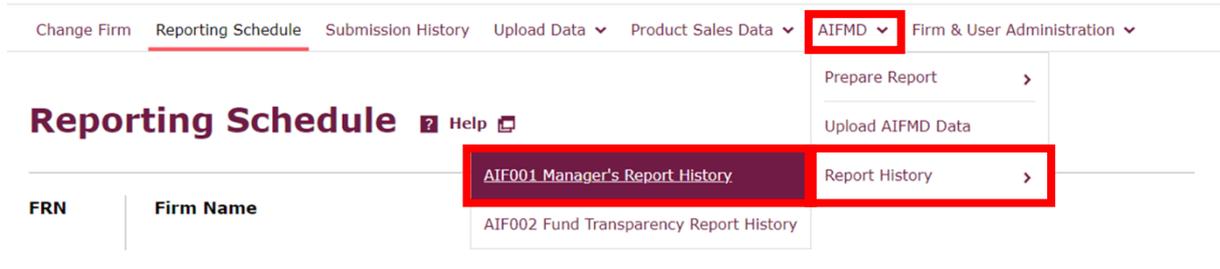
Are you sure you want to amend the selected report?

You will be taken to the form for the report you are amending. Here you can amend any data you wish to, and then save, validate and submit data as previously presented.

1	The country of jurisdiction of your national regulator *	United Kingdom
2	Is this in the EEA? *	Yes
3	Your national regulator's code for you as a business entity (FRN) *	888009
4	Your company name *	FDC Test Firm 9
5	Your Business Identification Code (BIC)	e.g. ABCDEF12AB1
6	Your Legal Entity Identification code (LEI)	e.g. 123400A5B6C7D8E9F154
7	Your registration status *	2 - Authorised AIFM (opt-in)

4. Cancelling a Report

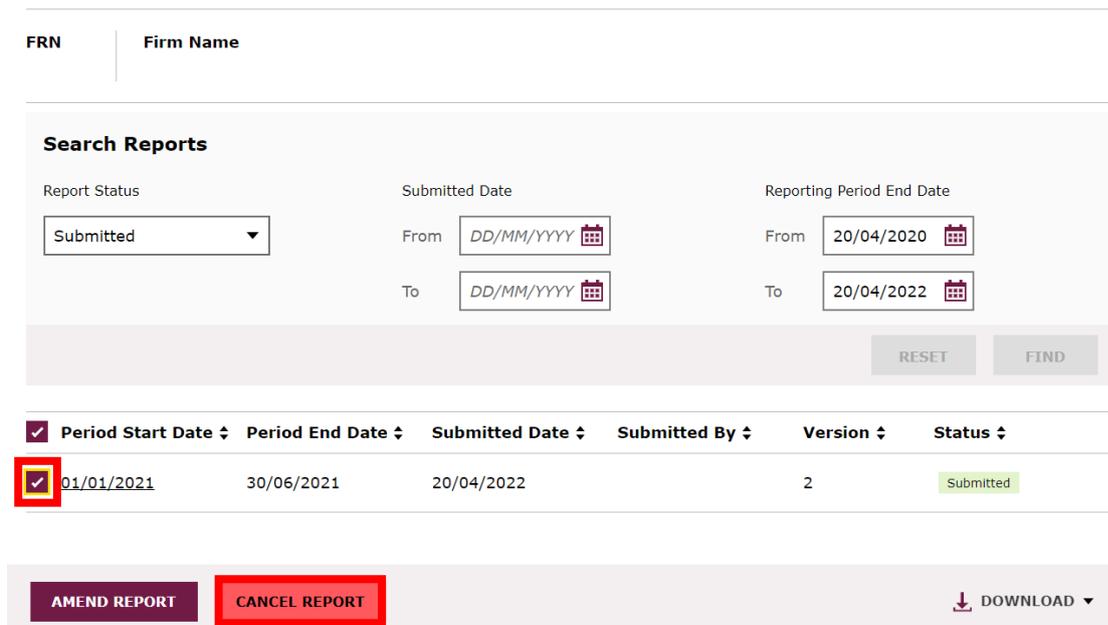
To search your report history, hover over **AIFMD** at the top of the screen, and then hover over **Report History**. Click on the AIF report history option you wish to amend.



The screenshot shows the top navigation bar with the following items: Change Firm, Reporting Schedule, Submission History, Upload Data, Product Sales Data, AIFMD, and Firm & User Administration. The AIFMD dropdown menu is open, showing options: Prepare Report, Upload AIFMD Data, and Report History. The Report History option is highlighted. Below the navigation bar, the Reporting Schedule page is visible, with a table header for FRN and Firm Name. The AIF001 Manager's Report History option is highlighted in the table.

You will be presented with your Report History. You can use the Report Status, Report Type, or Submitted Date filters to narrow your results. Click next to the report you wish to amend and then click **CANCEL REPORT**.

AIF001 Manager's Report History



The screenshot shows the AIF001 Manager's Report History page. It features a search section with filters for Report Status (Submitted), Submitted Date (From DD/MM/YYYY, To DD/MM/YYYY), and Reporting Period End Date (From 20/04/2020, To 20/04/2022). Below the search filters is a table of reports with columns: Period Start Date, Period End Date, Submitted Date, Submitted By, Version, and Status. The first row is highlighted, showing a report with a start date of 01/01/2021, end date of 30/06/2021, submitted date of 20/04/2022, version 2, and status Submitted. At the bottom of the page, there are buttons for AMEND REPORT, CANCEL REPORT, and a DOWNLOAD button.

Period Start Date	Period End Date	Submitted Date	Submitted By	Version	Status
01/01/2021	30/06/2021	20/04/2022		2	Submitted

You will get a pop up to provide a reason for cancellation. Please enter this, and then click **CONFIRM**.

Reason for Cancellation ×

**MandatoryField(s)*

Reason for Cancellation*

Reason for cancellation

You will receive confirmation that the report has been cancelled at the top of the screen.

