

# RMA-G – Download, amend and import data to Gabriel

These instructions are primarily designed for a firm who has a large number of Retail Investment Advisers (RIA) to input in Question 24 and enables the firm to:

- Download the previously submitted RMA-G from GABRIEL into an XML file;
- Import the XML file into a mapped excel template; and
- Amend the data where necessary and export the excel data back into an XML file which can then be uploaded to the next RMA-G submission in Gabriel to avoid the need to reenter the list of RIA's again.

#### 1. Locate and download the last submitted RMA-G to xml

- a. Login to Gabriel
- b. Go to 'View Submission History' in the left hand menu

FCA	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY			You are logged in as: MarkS Rand Principal User for firm: MarkS Rand
	GABRIEL		Contact Us   H	lelp   FAQs   Accessibility   Log C
Change Firm	Print 🖴			
Firm and User Administration	Firm Schedule - Reporting	Period		
View Schedule	· · · · · · · · · · · · · · · · · · ·			
My Details	FRN: 980012 Firm Name: MER Test Firm 98001	2		
/iew Submission				
notory	Click the due date hyperlink to view a	and edit data items or click [+] to expand the	e return to show data items. Need help?	<i>(</i>
ML Submission	Future returns are subject to change	, e.g. as a result of changes in the firm's pe	rmissions or to FCA or PRA Policy.	
BRE Submission				
iew Resubmission Requests	Return Due Date	Reporting Period Start	Reporting Period End	
roduct Sales Data	* Return due 29/04/2013	01/01/2013	31/03/2013	Overdue
FMD	* Return due 14/05/2013	01/01/2013	31/03/2013	Overdue
	+ Return due 26/07/2013	01/04/2013	30/06/2013	Overdue
	* Return due 09/08/2013	01/01/2013	30/06/2013	Overdue
	+ Return due 09/08/2013	01/04/2013	30/06/2013	Overdue
	* Return due 28/10/2013	01/07/2013	30/09/2013	Overdue
	* Return due 11/11/2013	01/07/2013	30/09/2013	Overdue
	* Return due 29/01/2014	01/10/2013	31/12/2013	Overdue
	* Return due 12/02/2014	01/01/2013	31/12/2013	Overdue
	* Return due 12/02/2014	01/07/2013	31/12/2013	Overdue
	* Return due 12/02/2014	01/10/2013	31/12/2013	Overdue

c. Select 'RMA'G' from the HandBook Reference drop-down, then click Search

Administration	View Submission Hist	orv		
View Schedule		,, <b>,</b>		
My Details	FRN: 980012 Firm Name: MER Test Fi	rm 980012		
View Submission History	Enter Search Details			
XML Submission			From	То
XBRL Submission	HandBook Reference: RMA	-G 💙	Reporting Period Start Date:	(dd/mm/yyyy)
/iew Resubmission Requests	Completion Status:	•	Reporting Period End Date:	(dd/mm/yyyy)
Product Sales Data	Reporting Basis:	~	Submission Due Date:	(dd/mm/yyyy)
AIFMD			Submitted Date:	(dd/mm/yyyy)
		the relevant 'Reporting Period Er that all data items in a return have	Maximum number of records: 25	ta items, the return will be listed in the
	Note: It is important to check		nd' date listed below.	
	Note: It is important to check Firm Reporting Schedule.	that all data items in a return have	nd' date listed below. been submitted. If there are any outstanding dat	
	Note: It is important to check Firm Reporting Schedule. Reporting Period Start 01/07/2016 01/07/2016	that all data items in a return have Reporting Pariod End 30(9/2016 31(07/2016	nd' date listed below. been submitted. If there are any outstanding dat Dee Date 28/10/2016 29/08/2016	
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	Note: It is important to check Firm Reporting Schedule. Reporting Period Start 01/07/2016 01/04/2016 01/04/2016 01/06/2016	Reporting Period End 3009/2016 31/07/2016 30/08/2016	nd' date listed below. been submitted. If there are any outstanding dat Due Date 28/10/2016 29/06/2016 28/07/2016 20/07/2016	

- d. This will display all the returns that contain the RMA-G data item. Select the most recent return from the displayed list.
- e. Tick the box beside RMA-G, then select 'Download XML or XBRL' button

Firm and User Administration	Submission History
View Schedule	-
My Details	FRN: 980050 Firm Name: MER Test Firm 980050
View Submission History	Reporting Period Information
XML Submission	Data Item Due Date: 12/02/2018
XBRL Submission	Reporting Period Starbate: 01/07/2017
View Resubmission Requests	Reporting Period End Date: 31/1/2/2017
Product Sales Data	Version Completion Status Resubmission Status Attachment
AIFMD	the RMA-G Training and Competence     1     Submitted
	Select Action Request Resubmission
	Print Selected Data Item(s) You can print data item(s) or download them in read-only PDF format. To do this, select the data item(s) you wish to print/download and then press the Print button below.   Print   Download XML or XBRL   You can download data items from GABRIEL. For XML, you can view the data using a pre-formatted Excel template.   Sample templates are published under each data item in the Data Reference Guide (refer to the GABRIEL section of the website).   Please see the Extract from XML to Excel help topic in the Help menu for further information.

f. A message will appear asking you whether you wish to download the selected data item(s) – select 'Yes'



g. A pop-up box will appear asking you wish you wish to open or save the xml file – select Save As from the drop down menu beside the Save option

				Save
Do you want to open or save 980050_31-12-2017_RMA-G_Training_and_Competence_1.xml from gabriel-ext.fca.org.uk?				Save as
	Open	Save 🔻		Save and open
			_	

h. Save the xml file to a secure location.

### 2. Import the xml data into the excel template

a. Open the RMA-G excel template from the FCA website at <u>https://www.fca.org.uk/firms/gabriel/retail-mediation-activities-data-guide#rma-g</u>

## RMA-G Training and competence

#### Latest specification

#### Version 6

Version to be applied date: 28 February 2018 Schema to be applied date: 28 February 2018 Based on: <u>Handbook Instrument FCA 2016/14</u>

Data Definition	Schema	Sample	Excel Template
XLS	XSD	<u>XML</u> (full)	<u>XLS</u>
		XML (valid)	

#### b. Select Developer > Import from the top ribbon

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Visu: Basi	al Macros Add-Ins COM Insert Design	Map Propertie Expansion Pac Refresh Data XML	Document Panel Modify	
	B11 • ( fr General Information		Import XML Data	
	AB	C D	Import an XML data file.	Н
1 2	RMA-G: Training & Competence			1
3		Report	ing Currency: GBP	
4 5 6 7 8 9	Special Instructions If the firm has no staff advising retail clients, it must still complete Question 1D (Total nu You must only complete the elements relating to the permitted activities that you hold. Professional Standards Data (Question 24) is required to be completed by firms advisin			
11	General Information	A	В	с
12		Advising on mortgages	Advising on non- investment insurance	Advising on retail investment products
16	17 Did the firm do any of the following regulated activities during the reporting period?			
	Total number of employees at the firm as at the end of the reporting period Of which:     Number of employees that give advice in each area			
21 22	Number of individual advisers employed by the firm     Number of employees that give advice (FTE)     Number of employees that supervise others to give advice in each area     Znumber of individual employees with supervisory responsibilities			
24	5 Number of advisers assessed as competent by the firm in each area			

- c. Select the xml file that you wish to import, then click 'Open'
- d. The RMA-G data is imported into the excel template. Save this excel template to a secure location.

#### 3. Export excel template to Gabriel

- a. Open the saved copy of the excel template containing the RMA-G data.
- b. Amend data where appropriate (including any data from Questions 1 to 23). Please ensure for Question 24 any blank formatted rows after the row with completed Professional Standards Data for advisers are deleted. This can be performed by selecting all blank rows from the row number column, then right click delete from the row number column. Then save the file.

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3 •   × ✓ fr											
A B	C D	E	F	G	Н	1	J	K	L	М	
Professional Standards Data	A	B	c	D	E	۴	G	н	1	J	к
				Advise	n ID					Adviser Qualification	
Please provide the following information for each of the firm's retail investment advisers employed by the firm at the end of the reporting period:	Last Name	First Name	IRN *	Ni Number	Date of Birth	Passport Number	Nationality	Part Qualified	Fully Qualified	Accredited Body	Activity Start Date
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c. Select Developer > Export from the top ribbon

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1 2 3 4 5 6		RMA-G: Training & Com	npetence			Repo	orting Curren	cy: GBP			Currency Units: si
4 5 6 7		Special Instructions If the firm has no staff advising re	tail clients, it must s	till complete Question 1D	(Total number	of employees at	the firm as at t	he end of the rep	oorting period').		
8		You must only complete the elem	nents relating to the	permitted activities that yo	u hold.						
9		Professional Standards Data (Qu	uestion 24) is require	ed to be completed by firn	ns advising on I	etail investment	products and t	ne Professional (	Standards Data S	Submission Form p	reviously submitted by email
10 11 12		General Information				А		в		С	
						Advising on mortgages		Advising on non- investment insurance		Advising on retail investment products	4
13 14 15 16	17	Did the firm do any of the followin	ig regulated activitie:	s during the reporting per	iod?						
17 18 19 20	2	Total number of employees at the Of which: Number of employees that give a Number of individual advisers en	idvice in each area	of the reporting period	E						
21 22		Number of employees that give a Number of employees that super			Г		1				

- d. Select a location and enter a File name, then click 'Export'. This will import the data from the excel template into an XML file.
- e. Open the XML file using XML software. If the firm does not have any XML software, you can edit the XML file using Microsoft Office Notepad and a similar alternative.
- f. Copy and paste the following XML Upload Request header & footer (this should appear before and after the <RMA-G TrainingAndCompetence> tags respectively) into your XML file.

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns1:XMLUploadRequest
xmlns:ns1="http://www.fsa.gov.uk/mer/datamanagement/internal/domain">
           <ns1:dataItem>
                      <ns1:copyNumber>1</ns1:copyNumber>
                      <ns1:dataItemBody>
<----RMA-G Data item XML---->
</ns1:dataItemBody>
           </ns1:dataItem>
                      <ns1:reportingPeriod>
                                 <ns1:startDate> yyyy-mm-dd </ns1:startDate>
                                 <ns1:endDate> yyyy-mm-dd </ns1:endDate>
                                 <ns1:submissionDueDate> yyyy-mm-
dd</ns1:submissionDueDate>
                      </ns1:reportingPeriod>
           </ns1:XMLUploadRequest>
```

This is what is should look like in the XML:



Amend the Reporting Period Start, End and Due Dates accordingly to match that of the corresponding scheduled item.

If you are re-submitting the data for the same reporting period, then you must also amend the Copy Number in the XML header to match that of the corresponding resubmission. This can be found by expanding the data item details

RMA-G Training and C	Competence	Draft
Cross Validation Iter Last Updated By:	ns: mrandall4	
Last Updated: Version:	30/01/2010	
Submitted By.	1	

This information is essential to enable Gabriel to match up the XML submission with the respective data items and corresponding reporting period.

Furthermore, due to a technical limitation when exporting the data from excel into XML; if the second decimal point is 0 (for example 1.50) then the exported data will be displayed in the XML as 1.5 (i.e. it does not retain the second decimal place). Therefore, you may also need to update the <TotalFullTimeEquivalent> data so that this is to 2 decimal places to match the expected data in Gabriel otherwise the XML upload to Gabriel will fail until this is corrected.

- g. Login to Gabriel
- h. Select XML Submission > XML Upload

FCA.	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY	You are logged in as: MarkS Randall Principal User for firm: MarkS Randall
	GABRIEL	Contact Us   Help   FAQs   Accessibility   Log Out
Change Firm	Print	
Firm and User Administration	XML Submission	
View Schedule		
My Details	Firm FRN: 980012 Firm Name: MER Test Firm 980012	
View Submission	Choose an option:	
XML Submission	View Direct Communication Results	Upload XML
Communication Results	Maintain / Add Firm System	
Upload XML		
Maintain / Add Firm System		
XBRL Submission		
View Resubmission Requests		
Product Sales Data		
AIFMD		

i. Browse and find the saved XML file in Step f. then select Upload

FCA	RANK OF ENCLAND PRUDENTIAL REGULATION AUTHORITY Principal User for firm: MarkS Randall Principal User for firm: MarkS Randall
	GABRIEL Contact US   Help   FAQs   Accessibility   Log Out
Change Firm	Print 🖴
Firm and User Administration	Upload XML
View Schedule	
My Details	FRN: 980012 Firm Name: MER Test Firm 980012
View Submission History	This page is used by firms that are submitting the GABRIEL data items using XML.
XML Submission	Please note, to upload a Product Sales Data XML file, you need to use the Upload PSD XML under Product Sales Data on the left navigation panel.
View Direct Communication Results	For further information see Upload XML help.
Upload XML	
Maintain / Add Firm System	Attach file
XBRL Submission View Resubmission Requests	Browse Upload Cancel

j. If successful, Gabriel will display a message confirming that the data has been successfully uploaded to the respective data item.

FCA.	BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY
	GABRIEL Contact Us
Change Firm	Print 🖴
Firm and User Administration	Firm FRN: 980012 Firm Name: MER Test Firm 980012
View Schedule	Successful
My Details	You have successfully uploaded your Data Item(s) into the online system. Your Data Item(s) are now available for validation and submission online.
View Submission	

Return to 'View Schedule' and navigate to the respective RMA-G. This should now appear in Draft status.

Open the RMA-G to confirm that the data entered is correct for the reporting period before selecting 'Validate and save' as usual before submitting.