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Description of electronic reporting of XML-format reports (ESMA)

Version 1.0.4 (4 January 2024)

REVISION HISTORY

Version	Date	Description of revision
1.0.0	18 October 2022	First version
1.0.1	12 June 2023	More detailed information on the taxonomy version declared in file name. Fixed AIFM file naming example
1.0.2	20 September 2023	Added requirement for including a schema specification in AIF and AIFM reports. Fixed AIF and AIFM file name examples.
1.0.3	26 October 2023	Added examples of AIF and AIFM report file naming with a TK code. Reporting level specifications further detailed for the file naming convention of AIF, CSDR-7 and MMF data collections. Schedule for migration to the Reporter portal fixed.
1.0.4	4th January 2024	Added changes to the taxonomyversion field of the AIFMD data collection file naming convention. File naming convention examples added for all reference date 31st December 2023 data collections.

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1 Introduction

Reporting instructions on the Financial Supervisory Authority's website

The information must be reported in XML (Extensible Markup Language) format in accordance with ESMA requirements. This description highlights the national special requirements that are not included in ESMA's technical guidelines.

The description applies to the reporting of the following data collections: AIFMD, MMF, CSDR-7 and CSDR-9. AIFMD will be reported via Reporter portal from the reporting reference date 30 September 2023 onwards. CSDR-7, CSDR-9 and MMF will be reported via the Reporter portal from the reporting reference date 31 December 2023 onwards.

The European Securities Market Authority (ESMA, <http://www.esma.europa.eu>) has also defined technical guidelines for electronic reporting.

2 Report identification codes (AIFMD)

In reporting, the AIFM National Code provided by the Financial Supervisory Authority (FIN-FSA) must be used as the AIFM identification code. The FIN-FSA provides reporting entities with the codes to be used. The AIFM National Code of a Finnish AIFM is the entity's National Business ID (Y-tunnus), entered without a hyphen separating the final control digit. Foreign AIFMs use the ID code provided by FIN-FSA for reporting purposes (TK-tunnus) as the AIFM National Code.

In reporting, the AIF National Code provided by the FIN-FSA must be used as the AIF identification code. The FIN-FSA provides reporting entities with the codes to be used. The AIF National Code of an AIF is the investment fund ID provided by FIN-FSA; in the format NNNNNNNN#NNN for AIFs managed by a domestic AIFM, and in the format NNNNNNNN#NNN for AIFs managed by a foreign AIFM. The first part of the ID = AIFM National Code of the AIFM. An AIF report file may contain 1-n *AIFRecordInfo* sections.

3 Changes affecting the reporting obligation (AIFMD)

Changes affecting the reporting obligation must be notified separately to the FIN-FSA. FIN-FSA recommends that reporting entities use the AIFMD reporting obligation notification form, which is available on FIN-FSA's website (https://www.finanssivalvonta.fi/globalassets/fi/lomakkeet/paaomamarkkinat/aifmd_reporting_obligation_notification_form_en.xlsx). In reporting, when changes in reporting obligations occur, ESMA guidance applies [[Tables 8-9-10 of Annex 2 of ESMA guidelines on reporting obligation \(2013/1360\)](#)]. ESMA Guidelines give examples of reporting in these situations [[Guidelines on reporting obligations under Articles 3\(3\)\(d\) and 24\(1\), \(2\) and \(4\) of the AIFMD](#)].

4 Schema specification

In each AIFMD report file a schema specification needs to be included. In AIF reports schema specification is reported in the *AIFReportingInfo* section. For AIFM reports the section is *AIFMReportingInfo*. Schema specification is declared in `noNameSpaceSchemaLocation`. For AIF reports the schema specification is

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AIFMD_DATAIF_V1.2.xsd and for AIFM reports AIFMD_DATMAN_V1.2.xsd. The data element specifications are common to both schemata, and they are described in the data type specification file AIFMD_REPORTING_DataTypes_V1.2.xsd. Schema files: [AIFMD – Reporting – XML documents \(2013/1361\)](#).

Example 1, schema specification for AIFM report

```
<?xml version="1.0" encoding="UTF-8"?>
<!--Sample XML file generated by XMLSpy v2007 rel. 3 sp1 (http://www.altova.com)-->
<AIFMReportingInfo CreationDateAndTime="2014-01-26T15:55:02" Version="1.2" ReportingMemberState="GB"
xsi:noNamespaceSchemaLocation="AIFMD_DATMAN_V1.2.xsd" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
```

Example 2, schema specification for AIF report

```
<?xml version="1.0" encoding="UTF-8"?>
<!--Sample XML file generated by XMLSpy v2007 rel. 3 sp1 (http://www.altova.com)-->
<AIFReportingInfo ReportingMemberState="FR" Version="1.2" CreationDateAndTime="2001-12-17T09:30:47.0Z"
xsi:noNamespaceSchemaLocation="AIFMD_DATAIF_V1.2.xsd" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
```

5 File naming

The reported files are named as follows:

- **AIFM**
reportingentityId.typeofreportinginstitution_typeofid_taxonomyversion_AIFM_period_creationdatetime.xml
- **AIF**
reportingentityId.349_typeofid_taxonomyversion_AIF_period_creationdatetime.xml
- **MMF**
reportingentityId.255_typeofid_taxonomyversion_MMF_period_creationdatetime.xml
- **CSDR-7**
 Monthly report
reportingentityId.802_typeofid_taxonomyversion_CSDR7M_period_creationdatetime.xml

 Annual report
reportingentityId.802_typeofid_taxonomyversion_CSDR7A_period_creationdatetime.xml
- **CSDR-9**
reportingentityId.typeofreportinginstitution_typeofid_taxonomyversion_CSDR9_period_creationdatetime.xml

The parts of the file names signify the following:

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- `reportingentityId` fund manager's / reporting entity's ID (LEI/TK-tunnus/Y-tunnus)
- `typeofreportinginstitution` fund manager's /fund's / reporting entity's reporting institution category
- `typeofId` e.g. "Y", "TK", "LEI", ...
- `taxonomyversion` data collection + 010000
 - AIF (reference date 30th September 2023): AIF010000
 - AIFM (reference date 30th September 2023): AIFM010000
 - AIF (from reference date 31st December 2023): AIF016000
 - AIFM (from reference date 31st December 2023): AIFM016000
 - CSDR7A: CSDR7A010000
 - CSDR7M: CSDR7M010000
 - CSDR9: CSDR9010000
 - MMF: MMF010000
- `period` date of reported information (yyyy-mm-dd)
- `creationdatetime` YYYYMMDDhhmmssfff (e.g. 20220113163032456)

Example AIFM, domestic reporter (Y code):

0202248-1.385_Y_AIFM016000_AIFM_2023-12-31_20230122155200000.xml

Example AIFM, foreign reporter (TK code):

0000002.364_TK_AIFM016000_AIFM_2023-12-31_20230122155200000.xml

Example CSDR7A:

7437007ALEZNCJGTGA67.802_LEI_CSDR7A010000_CSDR7A_2023-12-31_20230109165100000.xml

Example CSDR7M:

7437007ALEZNCJGTGA67.802_LEI_CSDR7M010000_CSDR7M_2023-12-31_20230105124300000.xml

Example CSDR9:

0000002.201_TK_CSDR9010000_CSDR9_2023-12-31_20230107173100000.xml

Example MMF:

7437007ALEZNCJGTGA67.255_LEI_MMF010000_MMF_2023-12-31_20230125081200000.xml

When submitting AIF reports, it should be noted that the `reportingentityid` is always the fund manager's ID.

Example AIF, domestic reporter (Y code):

0202248-1.349_Y_AIF016000_AIF_2023-12-31_20230122155200000.xml

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Example AIF, foreign reporter (TK code):

0000002.349_TK_AIF016000_AIF_2023-12-31_20230122155200000.xml

Further information

If you have any further enquiries, please send them by [secure email](#) to the address
AIFMDReportingHelpdesk[at]finanssivalvonta.fi.