

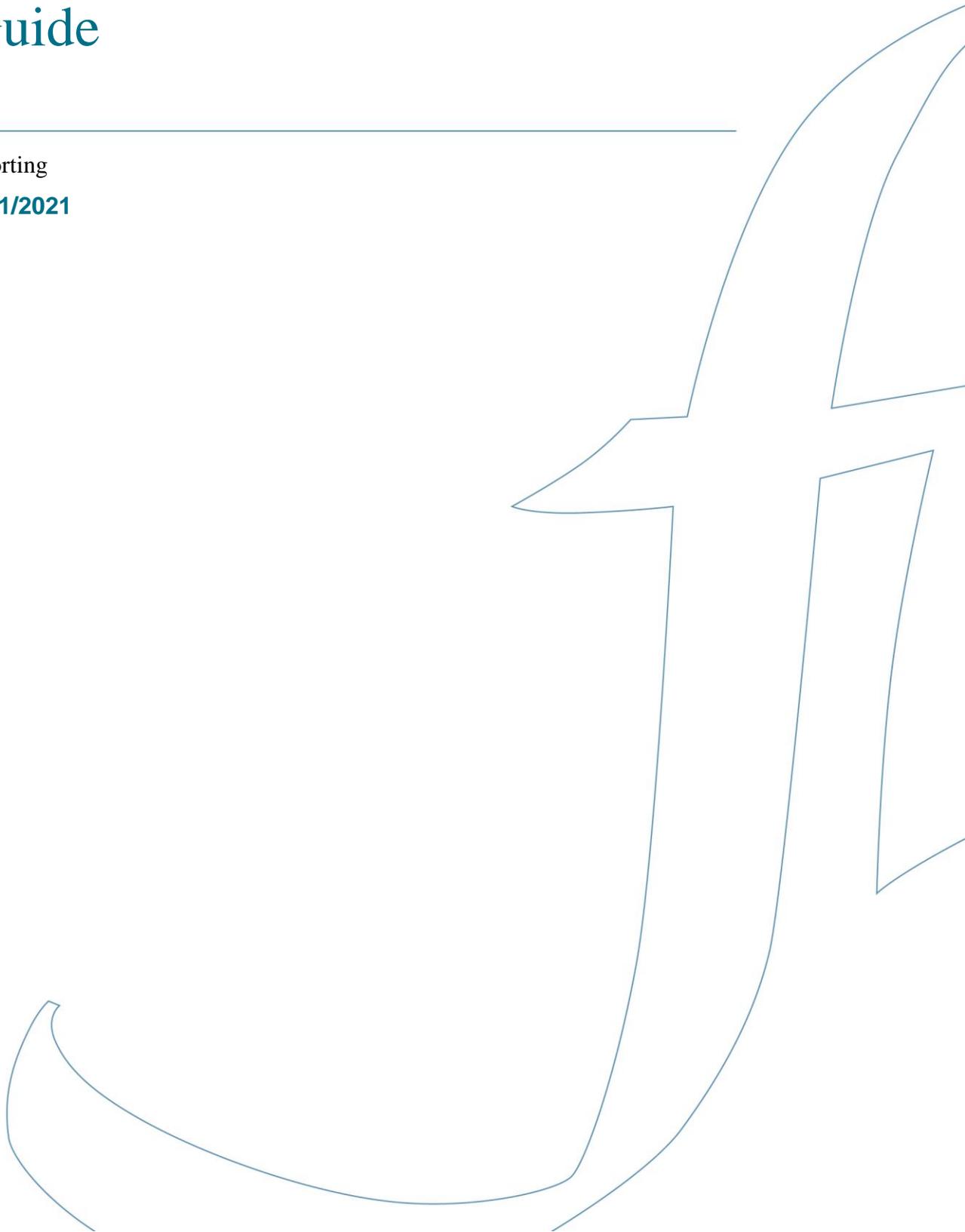


PERIODIC REPORTING

Guide

Reporting

14/01/2021



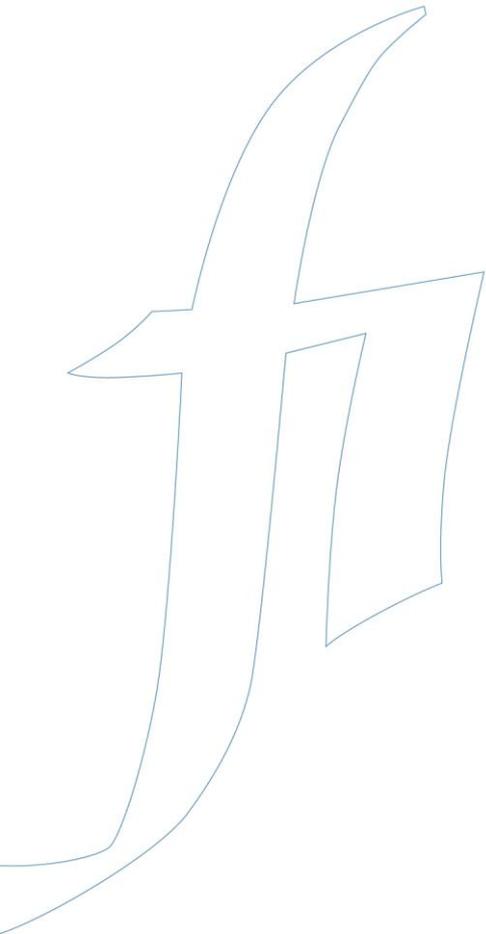


TABLE OF CONTENTS

Reporting Function	3
Report Plan	3
Test Reporting	4
Contact details	4
Messages	5
Connection time	6
How Periodic Reporting works	7
Reporting with an attached file	8
Validation rules	10
Revising the data	10
Filing data through the interface	12
Revising the data	13
Technical information	14
Contact	15

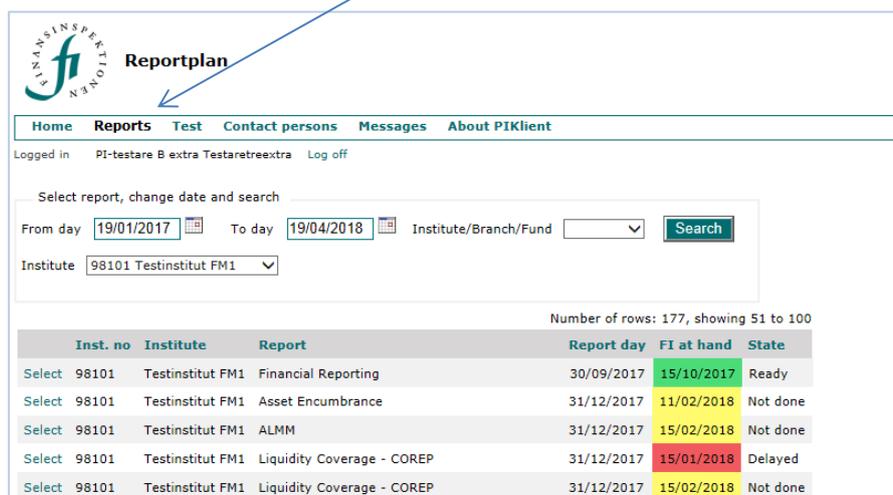
Reporting Function

Finansinspektionen (FI) provides an online system for Periodic Reporting. The service is available for financial firms under FI's supervision. The objective of the service is to create secure electronic handling of periodic reporting to FI.

In order to access the Periodic Reporting system, a rapporteur must be registered as a user in the Reporting Portal. This is done in the Portal's Authorisation Administration module. Links to this module and instructions for how to register and log in are available on FI's website at www.fi.se/en/reporting/reporting-portal/.

REPORT PLAN

After logging in to the Reporting Portal and selecting the Periodic Reporting module, you will come to a tab and the menu heading *Reports/Reportplan*. This page shows which reports are available for reporting.



Reportplan

Home Reports Test Contact persons Messages About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Select report, change date and search

From day 19/01/2017 To day 19/04/2018 Institute/Branch/Fund [v] Search

Institute 98101 Testinstitut FM1 [v]

Number of rows: 177, showing 51 to 100

	Inst. no	Institute	Report	Report day	FI at hand	State
Select	98101	Testinstitut FM1	Financial Reporting	30/09/2017	15/10/2017	Ready
Select	98101	Testinstitut FM1	Asset Encumbrance	31/12/2017	11/02/2018	Not done
Select	98101	Testinstitut FM1	ALMM	31/12/2017	15/02/2018	Not done
Select	98101	Testinstitut FM1	Liquidity Coverage - COREP	31/12/2017	15/01/2018	Delayed
Select	98101	Testinstitut FM1	Liquidity Coverage - COREP	31/12/2017	15/02/2018	Not done

The colour coding of the last reporting day - green, yellow and red - shows the status of the reports.

Green means that the report has been filed and approved.

Yellow means that the deadline has not yet passed. If the report has been filed but not approved, it is marked as yellow up to the last reporting day.

Red means that the last reporting day has passed and the report is delayed.

Search for a report by entering the reporting date in the fields *From day* and *To day* as above.

If the logged-in rapporteur is authorised to file reports for several institutions, it is possible to choose the institution by selecting it from the drop-down menu under *Institute*. The *Institute/Branch/Fund* drop-down menu allows you to filter the search results if you are authorised to file on

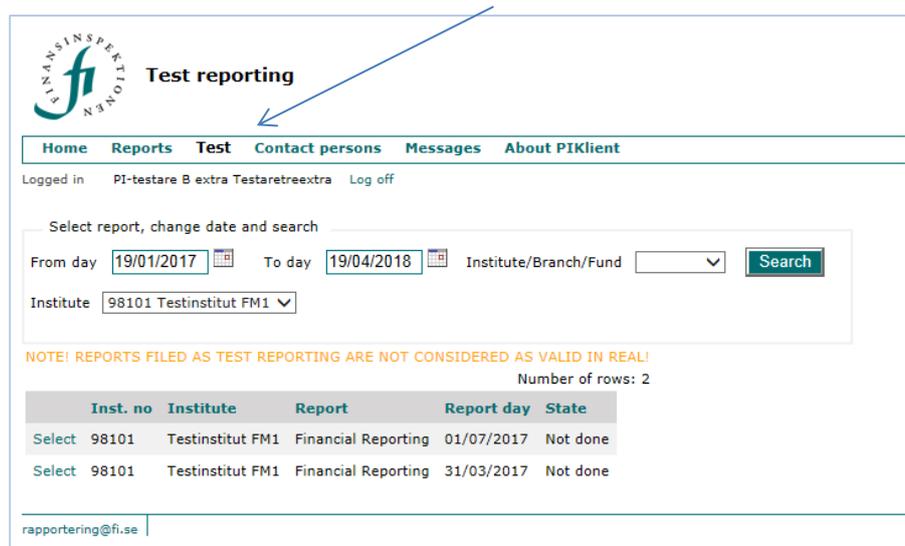
behalf of several types of institutes but only want to see results for one type.

TEST REPORTING

The *Test Reporting* tab is accessed from *Test* in the menu heading. You can see on this tab a test reporting plan, the ordinary reporting plan and the reports available for test reporting.

Test reporting is primarily offered for reporting based on EBA's and EIOPA's taxonomies and is normally available before a new taxonomy will enter into force. Tests can then be conducted using the new taxonomy and a fictitious reference date that has already passed. Only one taxonomy version at a time can be available for test reporting. This version then applies to all dates for the specific form being tested.

Test reporting is carried out in the same way as ordinary reporting. The difference is that test reporting is not forwarded on within FI for analysis. An approved, validated test report is therefore not considered an approved filing with FI.



Test reporting

Home Reports **Test** Contact persons Messages About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Select report, change date and search

From day 19/01/2017 To day 19/04/2018 Institute/Branch/Fund Institute 98101 Testinstitut FM1 Search

NOTE! REPORTS FILED AS TEST REPORTING ARE NOT CONSIDERED AS VALID IN REAL!

Number of rows: 2

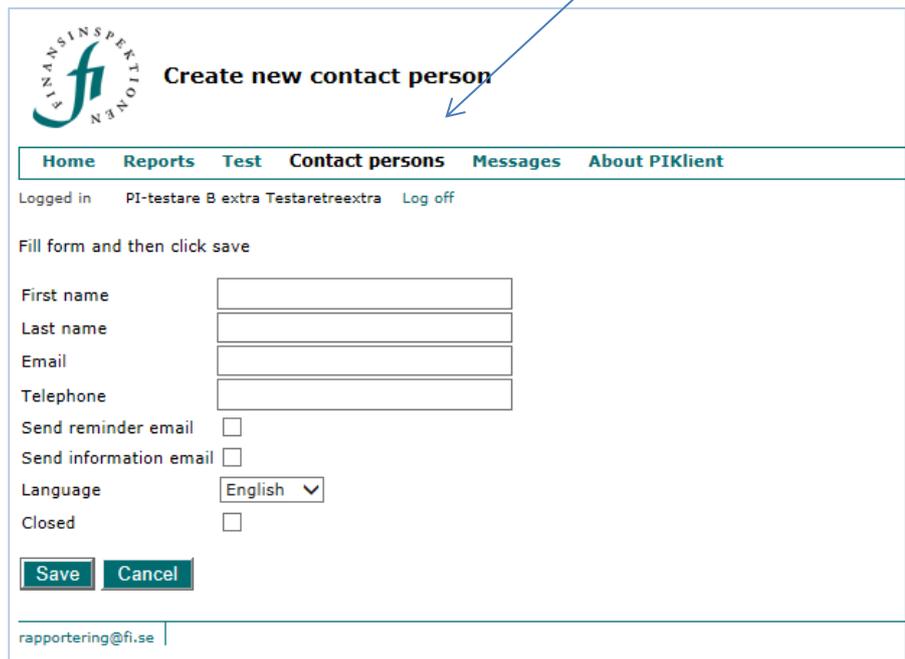
	Inst. no	Institute	Report	Report day	State
Select	98101	Testinstitut FM1	Financial Reporting	01/07/2017	Not done
Select	98101	Testinstitut FM1	Financial Reporting	31/03/2017	Not done

rapporter@fi.se

CONTACT DETAILS

Contact details are to be entered into the system when filing a report, but it can be a good idea to enter them earlier. The contact person provided in connection with an individual report will receive emails about this report, for example about validation results. All contact persons for a firm will receive mailings that are not related to a specific report.

To register new contact details, click on the *Contact persons* tab and fill out the form.



fi **Create new contact person**

Home Reports Test **Contact persons** Messages About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Fill form and then click save

First name

Last name

Email

Telephone

Send reminder email

Send information email

Language English ▾

Closed

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- Check the box *Send reminder email* if you want to receive emails about future reports.
- Check the box *Send information email* if you want to receive emails about general events in the system.
- Select the language for your emails: Swedish or English.
- Check the box *Closed* if you want to delete the contact details.

Then click *Save*.

MESSAGES

In order to see and read the messages that are sent, click on the *Messages* tab. This tab shows the messages about validation results and reminders about reports.



fi **Messages**

Home Reports Test Contact persons **Messages** About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Select message

From day 19/07/2017 To day 19/01/2018

Institute

Show deleted messages

The *Institute* drop-down menu makes it possible to list messages related to a specific institute. Below are several examples of some of the messages that may be sent:



Messages

Home Reports Test Contact persons **Messages** About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Select message

From day 19/07/2017 To day 19/01/2018 Search

Institute 98101 Testinstitut FM1

Show deleted messages

Number of rows: 118, showing 41 to 50

	Message	Report	Report day	Created	Read day	Read by
Select	Submitted report is not approved	Liquidity Coverage - COREP	2017-10-31	2017-12-05 00:21		
Select	Do not forget to report	Common Reporting - Own Funds and Leverage	2017-11-30	2017-12-05 00:21		
Select	Submitted report is approved	FS quarterly	2017-09-30	2017-12-01 00:21		

Click *Select* at the left of a message to open the message.

CONNECTION TIME

The connection time to FI is limited to 20 minutes. After 20 minutes of inactivity, the user is logged out and any values that have not be saved will be lost.

How Periodic Reporting works

Reporting procedures can vary – including the type of file format – depending on what will be reported. In general, the following applies:

- Attached XML file – for reporting of AIF and AIFM
- Attached XBRL file – for quantitative reporting of Solvency II and COREP/FINREP
- Attached PDF file – for qualitative reporting of Solvency II
- Manual entry – for reporting in accordance with national regulations.

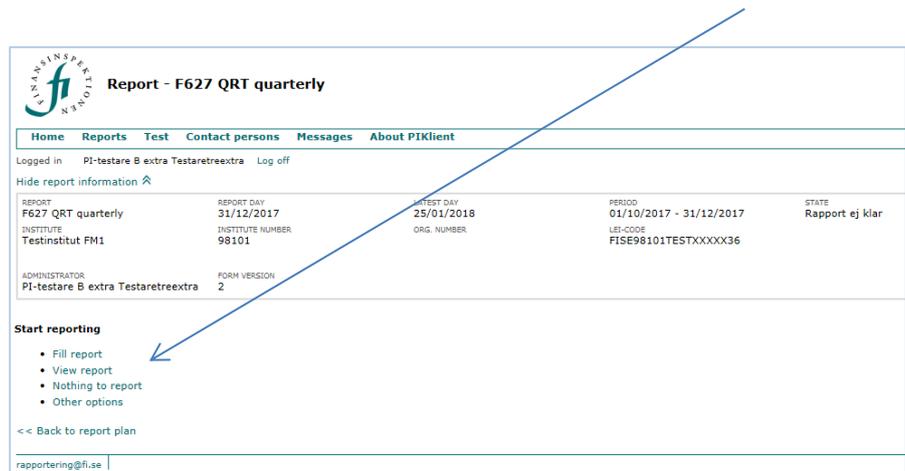
The same procedure is used in the system to file a report with an attached file, regardless of whether the file is XML, XBRL or PDF. See the next section. A different procedure is used to file a report by entering data via an online interface. See the final section of this document.

Reporting with an attached file

The procedure to file a report with an attached file is the same procedure regardless of the type of file that is attached. The types of files used today are XML (AIF/AIFM), XBRL (quantitative reporting for Solvency II and COREP/FINREP), and PDF (qualitative reporting for Solvency II).

The Report Plan shows which reports are available for filing.

Click on **Select** to the left of the report in question. The following page opens and has a list of options under *Start reporting*.



Report - F627 QRT quarterly

Home Reports Test Contact persons Messages About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Hide report information ↕

REPORT F627 QRT quarterly	REPORT DAY 31/12/2017	TEST DAY 25/01/2018	PERIOD 01/10/2017 - 31/12/2017	STATE Rapport ej klar
INSTITUTE Testinstitut FM1	INSTITUTE NUMBER 98101	ORG. NUMBER	LEI-CODE FISE98101TESTXXXXX36	
ADMINISTRATOR PI-testare B extra Testaretreextra	FORM VERSION 2			

Start reporting

- Fill report
- View report
- Nothing to report
- Other options

<< Back to report plan

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- *Fill report* is used to start reporting and connects with functions for uploading files (see below).
- *View report* creates a PDF file that shows the design of the form when the data is entered via a manual interface (does not apply to reporting with an attached file).
- *Nothing to report* is an option in cases where FI has made a decision to allow such an option and the exception is set out in regulations or some other document which types of institutes and reports are included.
- *Other options* is a link to *Show history/reporting events*. This shows whether the report has been modified and on which date. The status is “Incomplete” up until data is entered or the report is filed.

Select *Fill report* to start reporting and *Attach file* on the next page.

F627 QRT Quarterly

Hide report information

REPORT F627 QRT quarterly	REPORT DAY 31/12/2017	LATEST DAY 15/02/2018	PERIOD 01/10/2017 - 31/12/2017	STATE Rapport ej klar
INSTITUTE Testinstitut FM1	INSTITUTE NUMBER 98101	ORG. NUMBER	LEI-CODE FISE98101TESTXXXXX36	
ADMINISTRATOR PI-testare B extra Testaretreextra	FORM VERSION 4			

[Close edit mode](#)

Send to FI

QRT quarterly

Reporting

A1 [Attach file](#)

Send to FI

Attach the file by clicking *Search* and *Attach*. You will then see the following screen. In this example, a file with the name *QRT_kvartal.xbrl* has been attached. The file name is not of importance when filing the report, but the file name extension must be correct. XBRL file must have the extension *.xbrl*.

Attach file - QRT quarterly

Hide report information

REPORT F627 QRT quarterly	REPORT DAY 31/12/2017	LATEST DAY 11/02/2018	PERIOD 01/10/2017 - 31/12/2017
INSTITUTE Testinstitut FM1	INSTITUTE NUMBER 98101	ORG. NUMBER	LEI-CODE FISE98101TESTXXXXX36
ADMINISTRATOR PI-testare B extra Testaretreextra	FORM VERSION 6		

Attached file

[QRT_quarterly.xbrl](#) [Get Replace](#)

[<< Back to current report](#)

To send the report to FI, click *<<Back to current report* and then *Send to FI* on the next page.

F627 QRT quarterly

Hide report information

REPORT F627 QRT quarterly	REPORT DAY 31/12/2017	LATEST DAY 11/02/2018	PERIOD 01/10/2017 - 31/12/2017
INSTITUTE Testinstitut FM1	INSTITUTE NUMBER 98101	ORG. NUMBER	LEI-CODE FISE98101TESTXXXXX36
ADMINISTRATOR PI-testare B extra Testaretreextra	FORM VERSION 6		

[Close edit mode](#)

Send to FI

F627 QRT quarterly

Reporting

A1 (attach XBRL instance file) [QRT_quarterly.xbrl](#)

Send to FI

The next step is to provide the contact person for the report. Select a contact person from the list of people who have been entered for the firm or click *New contact details*. When new contact details are added, a new page is opened. Click *Send to FI*. The following page is displayed and is a receipt that the report has been sent to FI.





Send report to FI - F627 QRT quarterly

[Hide report information](#)

REPORT F627 QRT quarterly	REPORT DAY 31/12/2017	LATEST DAY 11/02/2018	PERIOD 01/10/2017 - 31/12/2017
INSTITUTE Testinstitut FM1	INSTITUTE NUMBER 98101	ORG. NUMBER	LEI-CODE FISE98101TESTXXXXX36
ADMINISTRATOR PI-testare B extra Testaretreextra	FORM VERSION 6		

Report has been sent to FI

The report will now be validated against current rules.
The result will be sent to You by email.

Observe that the report is confirmed only when it is marked as ok (green) in the report plan.

[Go to report plan](#)

A quantitative report (attached XML or XBRL file) will be validated by FI in the next step according to the validation rules. The report will be locked until the message about the validation result is sent. The qualitative reporting (attached PDF file) is not validated. The rapporteur can see immediately in the Report Plan that the report has been approved.

Once FI has validated the report, an email is sent to the specified contact person for the report in question. The email informs the person that there is a new message.

The validation result can be read in the reporting system under the *Messages* tab. In order to be able to read the messages, the rapporteur must log in to the reporting system. This requires the same authorisation and log-in information as during reporting.

If the validation is not approved, the rapporteur must correct the errors identified in the message and then send the report again. Instructions for how to do this are described in *Revising the data* further down on this page. Once the validation is completed without any errors, the report has been filed. The report then is given the status *Completed* (and the last reporting day turns green) in the Report Plan.

It is the firm's responsibility to ensure that reports are submitted on time and check that the report status has changed.

VALIDATION RULES

Depending on the type of reporting, FI follows EBA's, EIOPA's and ESMA's validation rules. FI has added a few validation controls. More information about the validation rules for each type of reporting is available on FI's website at fi.se/en/reporting/periodic-reporting/ under *About periodic reporting*.

REVISING THE DATA

Click *Select* to the left of the report in question in the Report Plan. The file that was sent in earlier is marked in blue and is clickable. Click on the file name. There are three options: *Retrieve*, *Replace* or *Back to current report*.

When correcting an error after a validation, the file must be replaced with a new, correct file.

Select *Replace* and attach the new file. Then select *Back to current report* and thereafter *Send to FI*. Once you have clicked *Send to FI* the new file will be sent for validation.

After FI has validated the report, a new email will be sent to the specified contact person. The message with the validation result, like before, can be read under *Messages*. The report's status is shown in the Report Plan.

Please note that information is only considered to have been submitted to FI once it has passed FI's validation without any errors. The report will then be given the status *Complete* and the last reporting day in the Report Plan will turn green.

Filing data through the interface

It is sometimes necessary to enter data manually via the online interface for reporting in accordance with national regulations.

The Report Plan shows which reports are available for reporting.

After clicking on *Select* to the left of the report in question, you will see the following screen and a list of options under *Start reporting*.

Report - F633 Quarterly Life complementary

Home Reports Test Contact persons Messages About PIKlient

Logged in PI-testare B extra Testaretreextra Log off

Hide report information ^

REPORT	REPORT DAY	LATEST DAY	PERIOD
F633 Quarterly Life complementary	31/03/2017	15/04/2017	01/01/2017 - 31/03/2017
INSTITUTE	INSTITUTE NUMBER	ORG. NUMBER	LEI-CODE
Testinstitut FM1	98101		FISE98101TESTXXXXX36
ADMINISTRATOR	FORM VERSION		
PI-testare B extra Testaretreextra	1		

Start reporting

- Fill report
- View report
- Nothing to report
- Other options

<< Back to report plan

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- *Fill report* is where you can start entering data.
- *View report* creates a PDF of the form.
- *Nothing to report* is only be available in cases where FI has decided that this is possible and where the institutes and reports to which this decision applies are stated in regulations or some other medium.
- *Other options* is a link to *Show history/reporting events*. This shows whether the report has been modified and on which date. *View most recent receipt* creates a receipt in a PDF with the values that are being reported.

Select *Fill report* to start reporting. This will open the form that needs to be filled in manually.

The screenshot shows the 'F633 Quarterly Life complementary' report form. At the top left is the logo of Finansinspektionen. The title is 'F633 Quarterly Life complementary'. Below the title is a 'Hide report information' link. The form contains the following data:

REPORT	F633 Quarterly Life complementary	REPORT DAY	31/03/2017	LATEST DAY	15/04/2017	PERIOD	01/01/2017 - 31/03/2017
INSTITUTE	Testinstitut FM1	INSTITUTE NUMBER	98101	ORG. NUMBER		LEI-CODE	FISE98101TESTXXXXX36
ADMINISTRATOR	PI-testare B extra Testaretreextra	FORM VERSION	1				

Below the data table, there is a 'Close edit mode' button. Underneath, there is a navigation menu with the following options: 'Save/refresh', 'Load from file', 'Validate', 'Send to FI', and 'Chosen Reporting Currency' (set to SEK). At the bottom, there is a breadcrumb trail: '<< Content | F633 QUARTERLY LIFE COMPLEMENTARY - CONTENT'.

After the form is filled in, it needs to be validated. Click *Validate* from the menu above the form. The form is validated against FI's controls for the form in question. The form cannot be sent to FI until the validation is approved. After a few moments, the validation results will be displayed in a separate window. If the validation is approved, click *Send to FI* in the menu above the form. If the validation is not approved, the errors need to be corrected. The report is then submitted once again for validation.

A rapporteur can fill in part of a form and then come back at a later point in time to complete the report by clicking *Save/update*.

It is possible to upload your values to the system from a transaction file by clicking *Upload from file*. A description of how a transaction file is created and used for reporting is provided in the document, *Periodic Reporting Online - Transaction files and transaction file support*, on FI's website at <http://www.fi.se/en/reporting/periodic-reporting/> under *About periodic reporting*.

Once the form has been filled out and validated, it should be sent to FI. Click *Send to FI*.

Please note that information is considered to have been submitted to FI once it has passed FI's validation without any errors and has been sent to FI. The report then is given the status *Complete* (and the last reporting day turns green) in the Report Plan.

REVISING THE DATA

Click *Select* to the left of the report in question in Report Plan. You will see the same page as before, but you will now see that the heading *Start reporting* has been changed to *Report sent to FI*.

Click on *Fill report*. You will see the report that was previously filled in and sent to FI. Change the values that need to be revised and then click *Validate* again. After the validation is approved, click *Send to FI*.

Technical information

FI is responsible for ensuring that the reporting function is functional, accurate and reliable and that transferred information is saved and cannot be accessed by unauthorised persons.

The firms are responsible for the hardware and the Internet connection. The firm is also responsible for taking appropriate security measures when connected to the Internet. In order to use the service, the following technical requirements must be met: Windows-based computer and updated web browser.

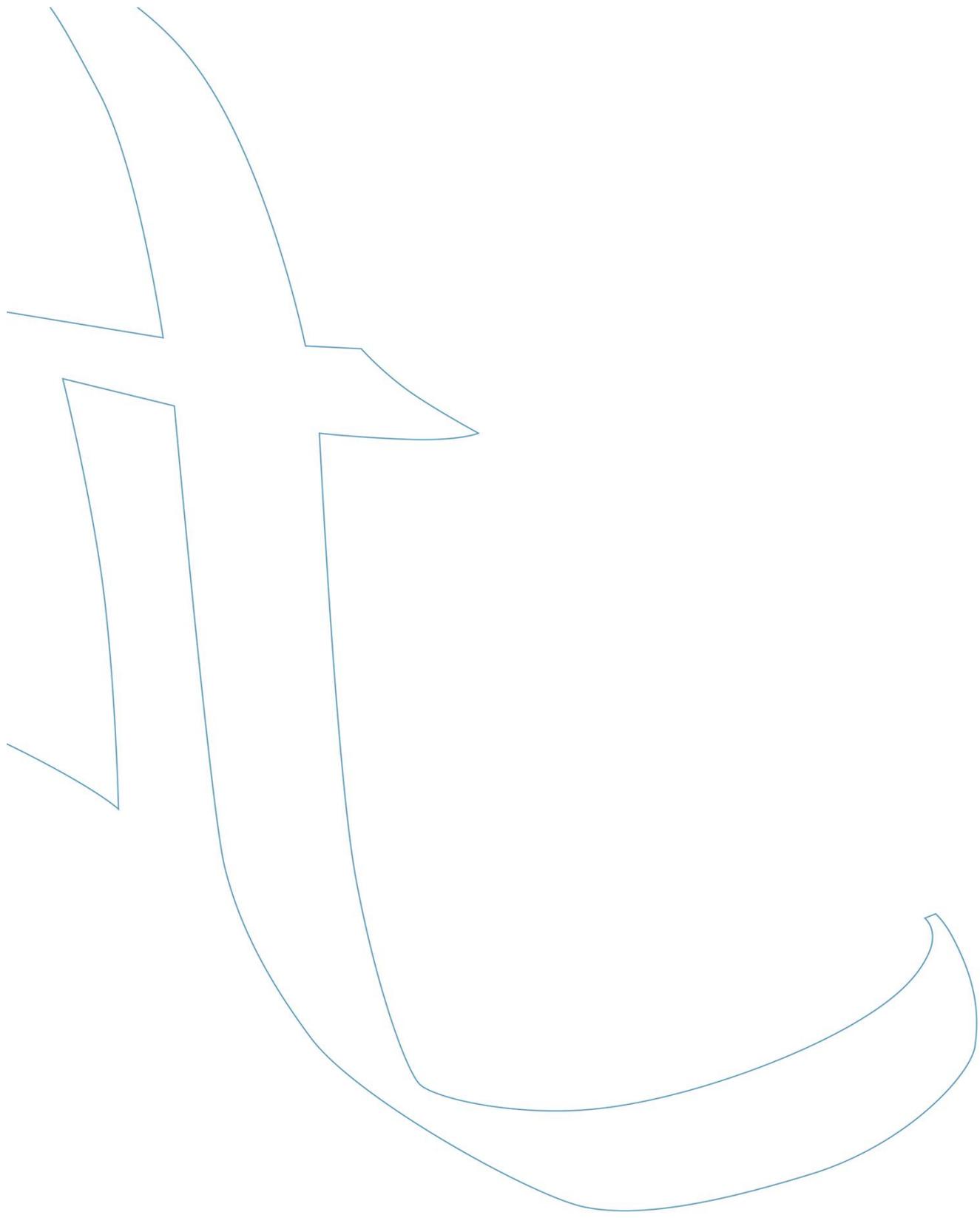
Contact

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