

Fulfilling reporting obligations via the AFM portal

Manual (English)

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The Dutch Authority for the Financial Markets

The Dutch Authority for the Financial Markets (AFM) is committed to promoting fair and transparent financial markets.

As an independent market conduct authority, we contribute to a sustainable financial system and prosperity in the Netherlands.

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1. Reporting obligations

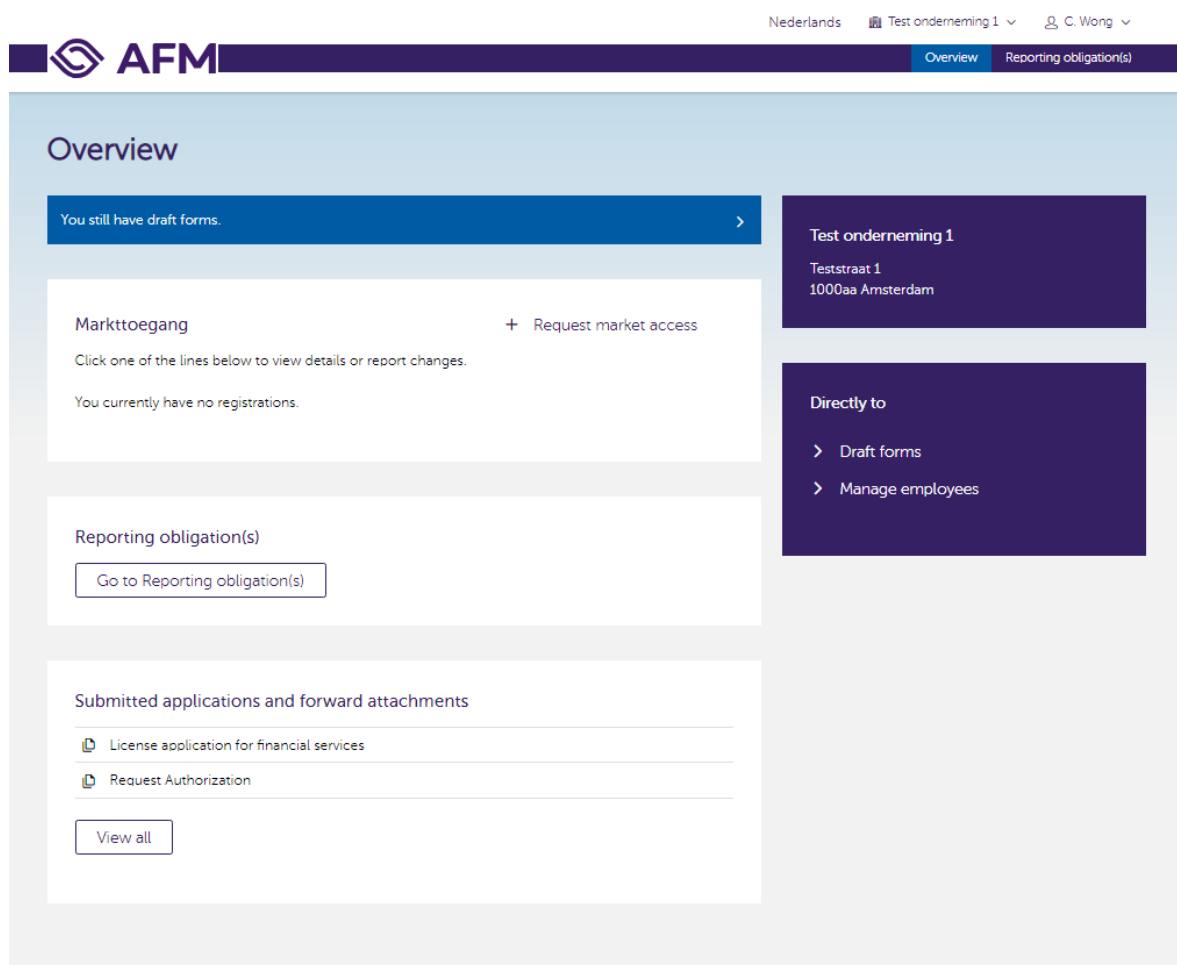
This manual explains how to file reports via the AFM portal. The AFM portal is available in both Dutch and English: you can set the preferred language in each screen (at the top right). This manual is also available in Dutch.

1.1 Consulting overview of reporting obligations

Go to the AFM portal (<https://Portaal.afm.nl>). You should preferably use the Google Chrome browser for this.

Log in to your account. Please refer to the instructions on the portal for registering and linking your account.

After you log in, this screen will appear.



Click on 'Go to Reporting obligation(s)' or on the option in the top right corner 'Reporting obligation(s)'.

This screen will then appear, displaying an overview of your reporting obligations to the AFM. The reporting obligation shown is an example. Depending on the report type, a different screen is shown for submitting the report, but the operation is similar. Under “Type” you will only see those reporting obligations that apply to your organization.

The screenshot shows the AFM Reporting obligation(s) screen. The header includes the AFM logo and navigation links: Nederlands, Stichting Autoriteit Financiële Markten, and C. Blom. The main area is titled "Reporting obligation(s)". On the left, there are filters for Searchterm, Type, Status, Reporting frequency, and Final delivery date. The Type filter shows "Questionnaire" selected. The Status filter shows "In Progress" selected. The Reporting frequency filter shows "Year" selected. The Final delivery date filter shows "Date from" and "Date to" fields. On the right, there is a table of results. The table has a header "Vragenlijst : Stichting Autoriteit Financiële Markten" and a body with one row: "Vragenlijst Wwft en Sw Beleggingsinstellingen", "n.v.t.", "1", "In Progress", and "31-03-2022". The table is sorted by "Date (ascending)" and shows "1 - 1 from 1 results".

If there are multiple reporting obligations, you can use the filters shown on the left. It is also possible to do a keyword search. If the words next to a filter value are greyed out, there are no reporting obligations corresponding to that filter value. The statuses 'Rejected' and 'Completed' are deselected by default because no further action is expected from you as regards reporting obligations with this status.

You can open a reporting obligation by clicking on it. Depending on the report type, a different screen is shown for submitting the report, but the operation is similar

Depending on the type of reporting obligation, you must complete a questionnaire or upload a report file.

1.2 Submitting a questionnaire

You can start a questionnaire by clicking the “Start survey” button. Complete and submit the questionnaire.

Nederlands Stichting Autoriteit Financiële Markten

Over

Report obligation

Vragenlijst : Stichting Autoriteit Financiële Markten

Reporting period	n.v.t. 10-02-2022 / 31-03-2022
Sequence number	1 Vragenlijst Wwft en Sw Beleggingsinstellingen
Submission deadline	31-03-2022
Submission date	Not yet submitted
Status	In Progress

Supply

Start survey

1.3 Submitting a report file

There are 2 steps involved in filing a report via the AFM portal:

- Step 1: selecting/uploading the file
You choose the file that your organisation has compiled in order to fulfil this reporting obligation and upload this file to the AFM portal.
- Step 2: submitting the report
You file the report with the AFM.

Once you have completed these 2 steps, the report has been filed with the AFM.

Step 1: Open your first reporting obligation and you will then see this (sample AIMF) screen.

Report obligation

AIFM : Test rapportage verplichting

DeliveryID	A2109-02939
Reporting frequency	One-off
Reporting period	2021 01-01-2021 / 31-12-2021
Reference code	BKQ301
Sequence number	1
Submission deadline	31-12-2021
Status	Open
Validation process	
Validation report	
All uploads for this reporting obligation	1 - Open

Upload

Here you can upload the report in XML format in accordance with the XSD description of ESMA. Check the delivery specifications.

Report in XML format *

 Select file

Submit

You will see the following information on this screen.

Report: the name of the report.

DeliveryID: a unique ID of the filing for reference purposes in case of questions for the AFM.

Reporting frequency: the frequency in which reporting must be made

Reporting period: the period to be reported on.

Referencecode: the identification code of the entity for which the report must be filed. For an AIFM report, this is the AIFM National Code, and for an AIF report, this is the AIF National Code. For other reports, your company number with the AFM.

Sequence number: (only AIF en AIFM) this number indicates whether an initial report or a re-report needs to be filed. A value of 2 or higher indicates a re-report. If this number is followed by 'DQEF', the reporting obligation concerns a re-report in connection with ESMA's Data Quality Engagement Framework, which is applied periodically to filings that were previously assigned 'Completed' status but were, on closer inspection, found to contain errors.

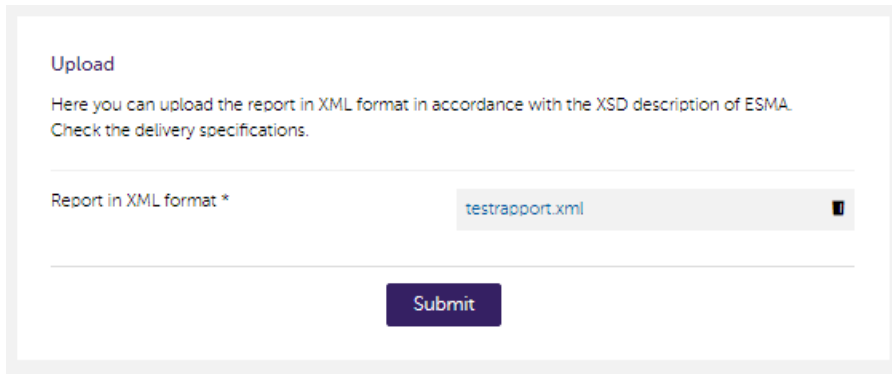
Submission deadline: The date by which you must have met your reporting obligation.

Submission date (questionnaire only): The date you submitted your questionnaire.

Status: a report can have 6 statuses:

- **Open:** not yet filed.
- **In Progress:** filed, undergoing validation by the AFM.
- **Resubmit:** the AFM's validation process has produced blocking errors. Resubmittal is required.
- **Submitted:** filed, validated by the AFM, undergoing validation by ESMA.
- **Rejected:** ESMA's validation process has found certain blocking errors. Resubmittal is required; a new reporting obligation with status 'Open' has been created for this purpose.
- **Completed:** filed and no blocking errors were found by the validation processes.

Upload your report in the specified format using the select file button. (You may use your own naming convention; there are no restrictions in this regard provided that the extension is based on the specified format like .XML).



The screenshot shows a web form titled "Upload". Below the title, it says: "Here you can upload the report in XML format in accordance with the XSD description of ESMA. Check the delivery specifications." There is a text input field labeled "Report in XML format *" which contains the filename "testrapport.xml". To the right of the input field is a small icon of a document. Below the input field is a purple button labeled "Submit".

Step 2: After adding the file, click the 'Submit' button to submit the report.

1.4 Check validation result and re-submit reports

After submitting the report, you will automatically return to your home screen, where you will see that the status of your reporting obligation has changed to 'in Progress'.

Reporting obligation(s)

Searchterm:

Sort:

1 - 1 from 1 results

Type

☐ AIF
☐ AIFM
☐ MMF

Status

☐ Open
☒ In Progress
☐ Resubmit
☐ Submitted
☐ Rejected
☐ Completed

Reporting frequency

☐ Month
☐ Quarter
☐ Half-year

AIFM : Test rapport

2020 | 1 | In Progress | 30-06-2021

Items:

1 - 1 from 1 results

You can re-open your reporting obligation by clicking on it.

Report obligation

AIFM : Test rapport

DeliveryID: **A2105-11637**

Reporting period: **2020 | 01-01-2020 / 31-12-2020**

Reference code: **BKQ301**

Sequence number: **1**

Submission deadline: **30-06-2021**

Status: **In Progress**

Validation process: **AFM** **ESMA**

Validation report: **Validationresult**

All uploads for this reporting obligation: 1 - In Progress

The validation process can consist of 2 steps, AFM and ESMA. AFM performs a number of checks first. This will take a couple of minutes. That is why you see an hourglass next to AFM. If this check reveals any errors, you will receive feedback via the validation result. For the most reporting obligations, the validation consists of 1 step. (AFM). In case of a negative validation result you will also see that the status is set to 'resubmit' (and that there is a red 'X' next to AFM). Click on the 'Validationresult' button to read the feedback.

Report obligation

AIFM : Test rapport

DeliveryID	A2105-11637
Reporting period	2020 01-01-2020 / 31-12-2020
Reference code	BKQ301
Sequence number	1
Submission deadline	30-06-2021
Status	Resubmit
Validation process	
Validation report	Validationresult

All uploads for this reporting obligation 1 - Resubmit

Based on a negative validation result, we ask that you re-file an adapted report.
Upload your adapted report using the select file button.
After adding the report, click on the 'Submit' button.

Upload

Here you can upload the report in XML format in accordance with the XSD description of ESMA.
Check the delivery specifications.

Report in XML format * new testrapport.xml

Submit

You will then automatically return to your home screen, where you will see that the status of your reporting obligation has changed to 'in Progress'.

Reporting obligation(s)

Searchterm

Refine results

Sort

Date (ascending)

1 - 1 from 1 results

Type

☐ AIF

☐ AIFM

☐ MMF

Status

☐ Open

☒ In Progress

☐ Resubmit

☐ Submitted

☐ Rejected

☐ Completed

Reporting frequency

Year

☐ Month

☐ Quarter

☐ Half-year

AIFM : Test rapport

2020 1 In Progress

30-06-2021

Items

20

1 - 1 from 1 results

Once your report has been approved by the AFM, you will not receive any feedback. You will, however, see a green tick next to the AFM's validation process in the AFM portal. If only AFM validation is required and approved, your reporting obligation will receive the status “Completed” and you have fulfilled your obligation.

Status	Completed
Validation process	✓ AFM
Validation report	
All uploads for this reporting obligation	
1 - Completed	

2 Specific reporting types

2.1 Financial report

Specifically for Annual Reports you must indicate whether a number of appendices are included and for the ESEF XBRL format you must indicate which taxonomy has been used.

Upload

Here you can upload the annual financial reporting as a ZIP file or (X)HTML file, prepared in accordance with [ESMA guidelines](#).

- ☒ Presence True and Fair statement. *
- ☒ Presence Accountant's report.

File in ZIP of (X)HTML format *

test.zip



Validation profile *

Validation profile *

ESEF 2020 1.0 Validate

ESEF 2021 1.0 Validate

Submit

2.2 Pension 2P

Specifically for pension 2P, when submitting the report, you must make a choice between a statement of completeness, correctness and truth or a statement that you had no second-pillar pensions in your portfolio in the requested reporting year:

- ☐ By placing a check mark here, I (we) hereby certify that the questionnaire, has been completed fully, accurately and truthfully. The report submitted has been checked by us for content validations.
- ☐ If you did not have any second pillar pensions in your portfolio for the requested reporting year, indicate this by checking the box. You will then not submit a report.

File in ZIP format *

📁 Select file

Submit

2.3 AIF and AIFM

If necessary, consult [ESMA's XSD description](#) For AIF en AIFMD reporting. AIF and AIFM have 2 validation steps: AFM and ESMA. The ESMA validation is performed after successful completion of the AFM validation.

2.3.1 AFM Validation result

For AIF and AIFM the following errors may be shown in your validation result:

Code	Beschrijving
ERR-001	Extension of file is not xml
ERR-002	File content is not UTF-8 compliant
ERR-003	Schema validation error: [validation result]
ERR-004	Number of AIFRecordInfo elements in xml is greater than one
ERR-005	AIFNationalCode ([value AIFNationalCode]) in xml does not match requested productid ([value [CRM]afm_aanleveringspecificatie.afm_aangebodenfinancieelproductid])
ERR-006	ReportingPeriodStartDate ([value ReportingPeriodStartDate]) in xml does not match requested reporting period start date ([value [CRM]afm_aanlevering.afm_periodestartdatum])
ERR-007	ReportingPeriodEndDate ([value ReportingPeriodEndDate]) in xml does not match requested reporting period end date ([value [CRM]afm_aanlevering.afm_periodeenddatum])
ERR-008	FilingType ([value FilingType]) in xml incorrect. Expected value is AMND because the file has already been submitted to ESMA at least once
ERR-009	FilingType ([value FilingType]) in xml incorrect. Expected value is INIT because the file has not been submitted to ESMA
ERR-010	AIFMNationalCode ([value AIFMNationalCode]) in xml does not match requested accountId ([value [CRM]afm_account.accountnumber])
ERR-011	File is not UTF-8 encoded

2.3.2 ESMA Validation result

For AIF and AIFM your report will be forwarded to ESMA for validation. You will then see an hourglass next to ESMA's validation process.

Report obligation

AIFM : Test rapportage verplichting

DeliveryID	A2109-02939
Reporting frequency	One-off
Reporting period	2021 01-01-2021 / 31-12-2021
Reference code	BKQ301
Sequence number	1
Submission deadline	31-12-2021
Submission date	16-09-2021
Status	Submitted
Validation process	 AFM  ESMA
Validation report	 Validationresult

All uploads for this reporting obligation 1 - Submitted

If ESMA's check reveals any errors, the report will be rejected and a new reporting obligation will be created. If this new reporting obligation is still unfulfilled at around 8 a.m. the following day, you will automatically be notified via your previously reported email address that a new reporting obligation is waiting for you. If you receive a message from the AFM, please log in to our portal again (<https://Portaal.AFM.nl>) and open your (re-)reporting obligation. Click on the 'Validation result' button. Based on the validation result, we ask that you provide us with an adapted report in XML format.

Report obligation

AFM : Test rapportage verplichting

DeliveryID	A2109-02939
Reporting frequency	One-off
Reporting period	2021 01-01-2021 / 31-12-2021
Reference code	BKQ301
Sequence number	1
Submission deadline	31-12-2021
Submission date	16-09-2021
Status	Rejected
Validation process	
Validation report	Validationresult

All uploads for this reporting obligation

[2 - Open](#)
1 - Rejected

Click on '2-Open' to upload an adapted XML file. This concerns re-filing (filing number is '2') because the initial filing was rejected by ESMA.

Upload your adapted report in XML format via the 'Select file' button.

After adding the file, click the 'Submit' button.

Upload

Here you can upload the report in XML format in accordance with the XSD description of ESMA. Check the delivery specifications.

Report in XML format *

Submit

You will then automatically return to the 'Reporting obligation(s)' screen, where you will see that the status of your reporting obligation has changed to 'In Progress'.

If no errors have been detected by ESMA, this screen will be displayed. The status is set to 'Completed' and there is a green tick next to ESMA.

Please note that the ESMA validation may take some time, during which you can continue to submit a report for another reporting obligation with the status 'Open' or 'Resubmit'.

Report obligation

AIFM : Test rapportage heraanlevering

DeliveryID	A2109-02940
Reporting frequency	One-off
Reporting period	2021 01-01-2021 / 31-12-2021
Reference code	
Sequence number	2
Submission deadline	31-12-2021
Status	Completed
Validation process	✓ AFM ✓ ESMA
Validation report	See previous delivery number for the reason that you have to resubmit this report.
All uploads for this reporting obligation	2 - Completed 1 - Rejected

You are now finished with submitting your report and can return to the overview of Reporting Obligations in order to fulfil another reporting obligation.

2.3.3 AIF and AIFM only: Submitting multiple reports of the same type simultaneously

It is possible to submit multiple reports of the same type together as one ZIP file. This is a compressed file that you can create with a special program, such as 7-Zip. You can submit this file by clicking the “Supply multiple reports simultaneously” bar at the top of the “Reporting obligations” screen.

The screenshot shows the 'Reporting obligation(s)' interface. On the left, there are filter sections: 'Searchterm' with a 'Refine results' button, 'Type' with checkboxes for AIF, AIFM (checked), MMF, and Questionnaire, 'Status' with checkboxes for Open, In Progress, Resubmit, Submitted (checked), Rejected, and Completed, and 'Reporting frequency' with a 'Year' dropdown. On the right, there is a 'Submit multiple reports simultaneously' button, a 'Sort' dropdown set to 'Date (ascending)', a 'No results' message, and an 'Items' dropdown set to '100'.

You will then see the screen below, in which you select the type of reports that you want to submit as a ZIP file before you upload the ZIP file via the “Select file” button.

The screenshot shows the 'Reporting obligation(s)' interface. On the left, there are filters for 'Searchterm' (with a 'Refine results' button), 'Type' (with checkboxes for AIF, AIFM, MMF, and Questionnaire), 'Status' (with checkboxes for Open, In Progress, Resubmit, Submitted, Rejected, and Completed), and 'Reporting frequency' (with a 'Year' dropdown). The main area on the right is titled 'Submit multiple reports simultaneously'. It includes a 'Previous uploads' section with a dropdown showing '17-08-2021 12:00' and 'Not all files could be processed'. Below this is an 'Upload' section with the instruction 'Submit multiple reports of the same type.' and a 'Type' dropdown set to 'AIF'. At the bottom of the upload section is a 'Zip file with multiple reports.' label and a 'Select file' button. A 'Sort' dropdown is set to 'Date (ascending)'.

Immediately afterwards you will see the confirmation of the upload below. In the meantime, the reports in the supplied ZIP file are linked to the outstanding reporting obligations and the reports go through the validation by the AFM and ESMA described and the feedback thereof in section 1.4. If multiple reports of the same type have to be submitted again, this can again be done via a ZIP file. It takes a few minutes until the validation results are visible in the AFM portal. The same applies to the feedback on linking the reports in the ZIP file to the open reporting obligations. This feedback can be found under “Previous uploads”.

This screenshot shows the same 'Reporting obligation(s)' interface after a successful upload. The 'Previous uploads' section now lists two entries: '16-08-2021 11:22' with the status 'Ready for processing' and '16-08-2021 08:59' with the status 'Not all files could be processed'. The 'Upload' section remains the same. A blue notification banner at the bottom of the main area states: 'Upload successful. The validation results for individual reports can be found shortly in the overview Reporting obligations. The feedback on the content of the uploaded ZIP file can be found above in a few minutes.' The filters on the left are also visible, with 'Submitted' and 'Resubmit' status options now checked.

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