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# Uploading of the Investment Services Providers Return in the CBM's INFOSTAT Portal

Statistics Department

Central Bank of Malta

Last updated: July 2021

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## INSTRUCTIONS

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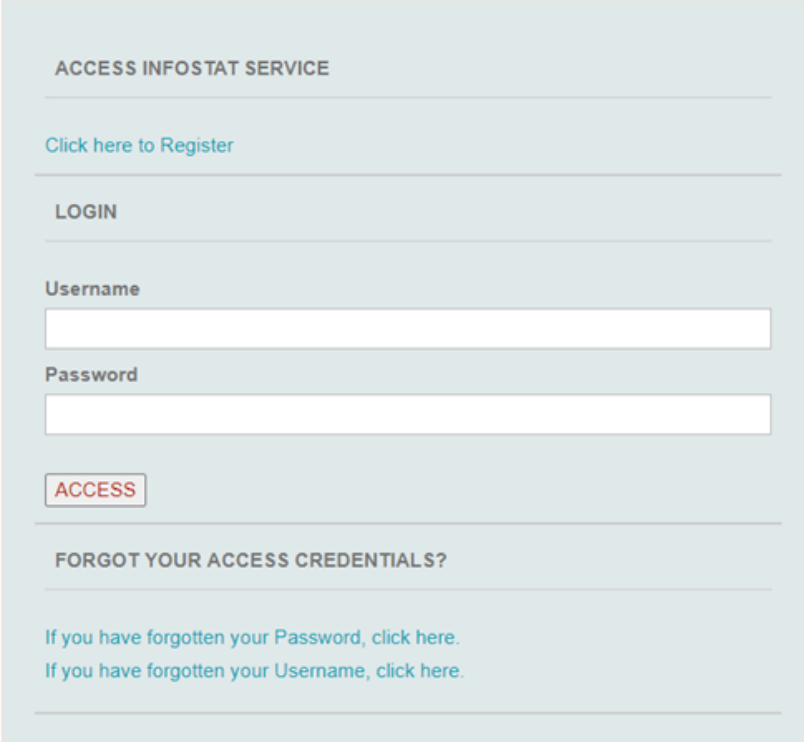
- 1) Download the latest version of the return from <https://www.centralbankmalta.org/returns-report-forms-and-instructions> under the section 'Investment Services Providers'. (Attach screenshot after uploaded to website).
- 2) In the 'Cover sheet' sheet, input the relevant details for your institution. These include the INFOSTAT Entity ID provided by the CBM, as well as the reference year and the name of the institution.
- 3) Prior to submitting the return to the CBM, ensure that all the checks present in the 'Validation\_Checks\_CBM' are OK. In the example screenshot below, the data is not correct since some checks are active.

<b>Investment Service Providers</b>		
<b>C E N T R A L   B A N K   R E T U R N S   C H E C K S</b>		
SBSA - NOM HSE	<a href="#">Fill in the Security identifier code (ISIN)</a>	1 ❌
	<a href="#">Fill either 'No of shares' or 'Nominal value'</a>	ok ✅
	<a href="#">Currency cannot be left blank</a>	1 ❌
	<a href="#">Market Price cannot be left blank</a>	ok ✅
SBSA - NOM NFC	<a href="#">Fill in the Security identifier code (ISIN)</a>	ok ✅
	<a href="#">Fill either 'No of shares' or 'Nominal value'</a>	ok ✅
	<a href="#">Currency cannot be left blank</a>	ok ✅
	<a href="#">Market Price cannot be left blank</a>	ok ✅
SBSA - NOM OWN ACC	<a href="#">Fill in the Security identifier code (ISIN)</a>	ok ✅
	<a href="#">Fill either 'No of shares' or 'Nominal value'</a>	ok ✅
	<a href="#">Currency cannot be left blank</a>	ok ✅
	<a href="#">Market Price cannot be left blank</a>	ok ✅
Non SBS Nominee	<a href="#">Select Instrument</a>	ok ✅
	<a href="#">Select Country</a>	ok ✅
	<a href="#">Select Sector</a>	ok ✅
	<a href="#">Input Values</a>	ok ✅

- 4) In the 'Cover sheet' sheet, click on the 'Generate XML File' button to generate the required XML file for uploading to INFOSTAT.

**Generate XML File**

- 5) Click on the link <http://infostat-cbm.centralbankmalta.org.mt/> to access the portal and login using your username and password. You can also access the portal through the CBM website. If this is the first time accessing the portal, you can create an account by selecting 'Click here to Register'.



The screenshot shows a light blue background with the following elements:

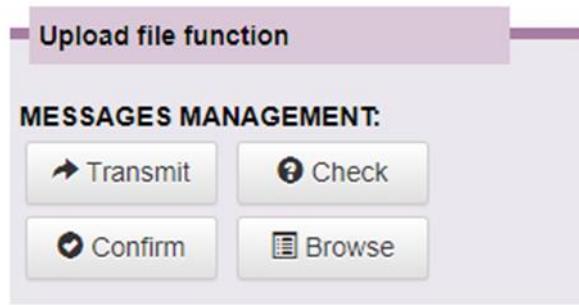
- ACCESS INFOSTAT SERVICE** (Section header)
- [Click here to Register](#) (Link)
- LOGIN** (Section header)
- Username** (Label) above a white input field
- Password** (Label) above a white input field
- ACCESS** (Button)
- FORGOT YOUR ACCESS CREDENTIALS?** (Section header)
- [If you have forgotten your Password, click here.](#) (Link)
- [If you have forgotten your Username, click here.](#) (Link)

- 6) Choose *INVESTMENT SERVICES PROVIDERS COLLECTION SURVEY* from the list of surveys on the left panel and then click on **Services access**.

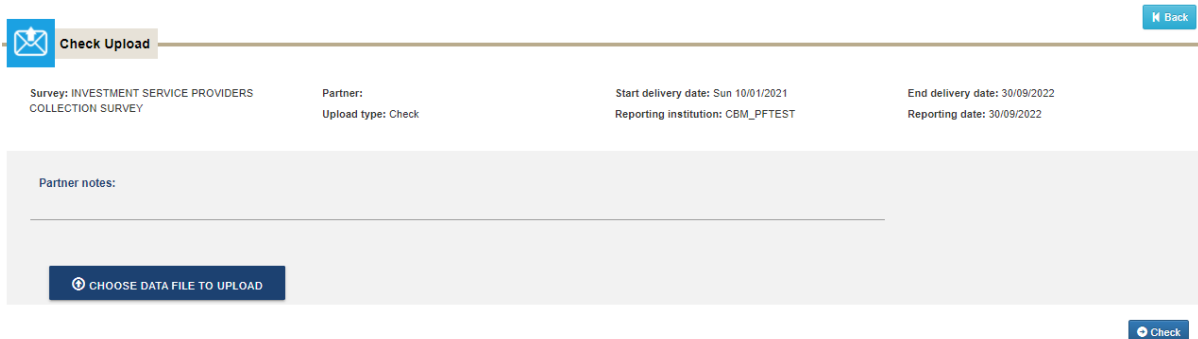
7) In the following screen you will see the reference dates for which you can submit data of the survey in question. In case you are responsible for reporting data of more than one institution, the required entity can be selected from the corresponding drop-down menu. Also, the year selected has to be the due date year. This means that, for reference date 31<sup>st</sup> December 2020, the year selected from the drop-down menu should be 2021.

Due date	Ref. date	Survey started
30 September, 2022	30 September, 2022	10 January, 2021
31 December, 2022	31 December, 2022	11 January, 2021

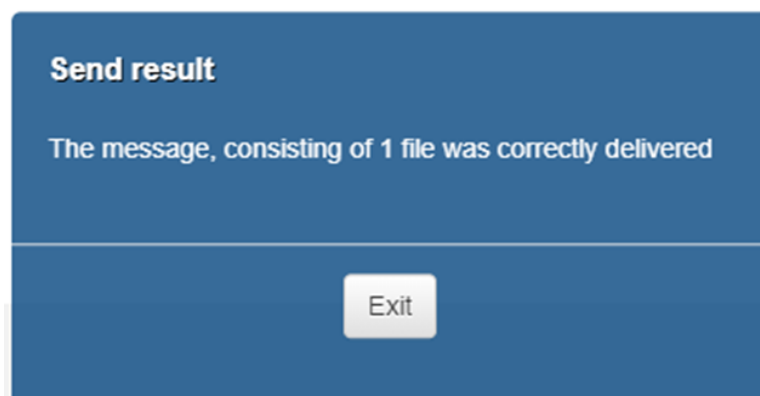
8) Once the submission date has been selected, two menus will appear on the right-hand side of the screen. From the **Upload file function** menu (violet background), select the **Check** button.



9) This leads to the file upload screen where you are to click on **Choose data file to upload**. You have to upload the XML file that was generated using the button shown in step 2 to make sure that this XML file does not contain any errors.

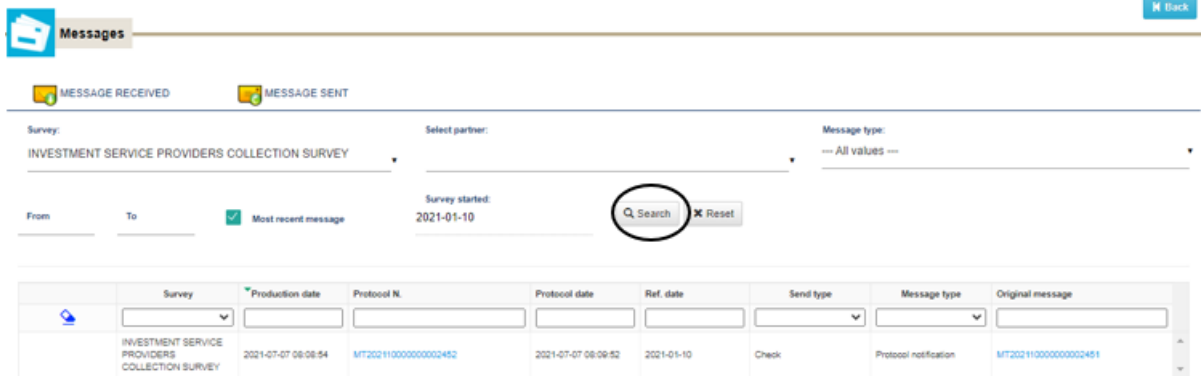



10) Clicking the **Check** button will show you the below message acknowledging receipt of the data.





11) From the menu shown in Step 8, click on the 'Browse' button.

12) Upon clicking on **Browse**, go to the **Messages Received** tab and click on the **Search** button.



13) The messages can be seen by clicking on the relevant hyperlink in the **Protocol Number** column and clicking on the  icon next to 'Documenti', the one circled in the screenshot below.

Download	Fragment type	File
	Dati	CBM_PFTTEST_20210707080855625_PROTOCOL_NOTIFICATION
	Documenti	CBM_PFTTEST_20210707080855625_PROTOCOL_NOTIFICATION

An XML file containing no errors will produce a message similar to this:

#### Notification message


The message with protocol number MT20200000000007916 has no errors.

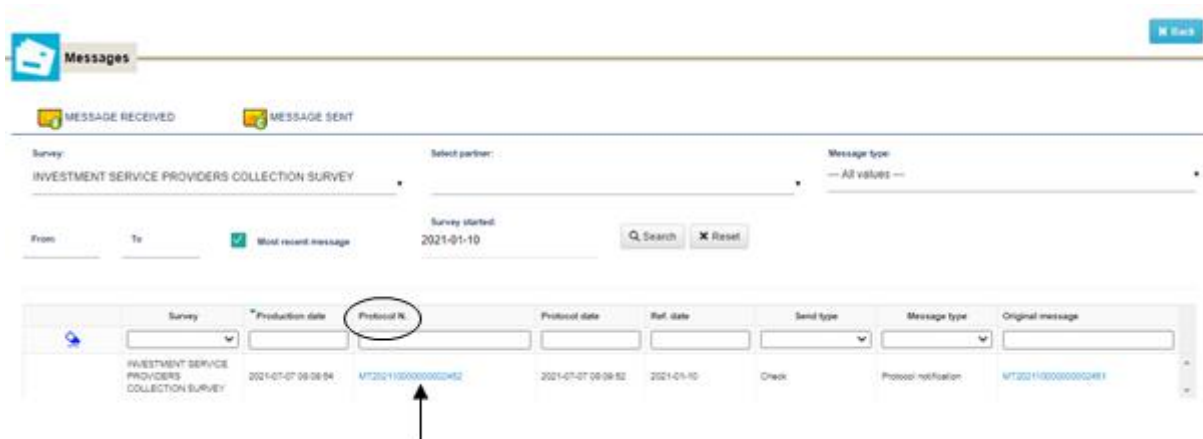
#### Central Bank of Malta - Statistics Department

14) If an error is present, amend the return, then regenerate and reupload the XML file for checking. After confirming that the file has no errors, select the **Transmit** button from the menu shown in Step 8. This leads to a file upload screen similar to that shown in Step 9. Clicking the **Transmit** button on this page will show you a message acknowledging the submission, as in Step 10.

15) To confirm that the submission was completed successfully and without errors, you can now click on the Browse button from the menu shown in Step 8.

16) Upon clicking on **Browse**, go to the **Messages Received** tab and click on the **Search** button. The messages can be seen by clicking on the relevant hyperlink in the **Protocol number** column and

clicking on the  icon next to 'Documenti', as shown in step 13. For every submission, a row will be shown. The 'Protocol Notification' in the 'Message Type' column is an acknowledgement that a submission has been made from your end.



17) Following this process, you might also receive a 'Remark' or a 'Discard' message, instead of 'Protocol Notification'. These are automatically sent by the system if the file contains any type of error:

- a. A **Discard** message indicates that the file has not been received due to some serious error which led to the system not being able to identify the file.
- b. A **Remark** message indicates that the data has been received by the CBM but there are some errors which need to be looked into and confirmed or revised.

Note that if only the protocol notification is shown, then the file has been successfully submitted to the CBM with no failing checks.

18) A copy of any messages in this page will also be sent by e-mail to the person who uploaded the return. A list of common errors that may arise are shown in Sections A, B and C in the 'Common Errors' section below.

Any queries can be answered either through email. For any queries related to the Investment Services Providers return, please contact [isp@centralbankmalta.org](mailto:isp@centralbankmalta.org).

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## COMMON ERRORS

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Below is a list of system-generated errors which can occur and how the issues can be resolved.

### Section A: Discard Errors

#### Wrong Header Info

The message has been discarded; the following errors have been detected:

##### Message header check remarks

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MESSAGE: WRONG HEADER INFO

Check ID: 5

Found value: CMIAB - 123456 - 31/12/2020

Expected value: CMIAB - 109006 - 31/12/2018

The possible mistakes which result in a Wrong Header Info error are:

- a) The submitted survey is not the same as the one which has been selected in the portal.
- b) The Entity ID inputted in the Cover Sheet of the return is either incorrect or does not belong to the institution which has been selected in the portal.
- c) The date in the cover sheet of the return is not the same as the one which has been selected in the portal.

In the example provided, the reference year in the cover sheet is 2020, while that selected in the INFOSTAT portal is 2018. Moreover, the Entity ID provided in the cover sheet is 123456, while that selected in the INFOSTAT portal is 109006.

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## Substitution Message Wrong Sequence

The message has been discarded; the following errors have been detected:

### Message header check remarks

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MESSAGE: SUBSTITUTION MESSAGE WRONG SEQUENCE

Check ID: 4

Found value: 30/11/2020 - 17:11:57.02

Reason for error: The file has already been submitted or is not the latest XML file generated. If a revised file is expected, a new XML file must be generated and resubmitted through the CBM portal.

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## Wrong XML file

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MESSAGE: Wrong XML file: XML file is not valid with respect to reference XSD schemas (message.xsd - cube.xsd)

Check ID: 1 ( already sent with message reference number MT20200000000004963 )

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MESSAGE: File XML errato: An invalid XML character (Unicode: 0x50) was found in the prolog of the document.

Check ID: 1

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MESSAGE: File XML errato: Content is not allowed in prolog.

Check ID: 1

Reason for error: The XML file uploaded is not valid. Possibly, a different file was uploaded by mistake. Common causes for this error include uploading the Excel file instead of the XML file or uploading a blank XML file.

## Section B: Formal Checks

### DUPL: Duplicate observation

Please be advised that the control checks performed on your submission have resulted in the following anomalies or validation errors

Formal check remarks

For the reported instances the detected mistakes are highlighted.

For returns that contains institutional subjects codes or securities identification codes, it must be verified the codes are recorded in the respective registers.

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CUBE: CMIAB\_48560

MESSAGE: DUPL\_352

Check ID: 2

Variable	Value	Error Message
ENTITY ID	56970	
REFERENCE_DATE	20181231	
CLAIMS	5000	
ISSUER COUNTRY	TR	
PREMIUMS	4000	
TYPE OF INSTRUMENT	48560	

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CUBE: CMIAB\_48560

MESSAGE: DUPL\_349

Check ID: 3

Variable	Value	Error Message
ENTITY ID	56970	
REFERENCE_DATE	20181231	
CLAIMS	2000	
ISSUER COUNTRY	TR	
PREMIUMS	1000	
TYPE OF INSTRUMENT	48560	

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Reason for error: A duplicate row was detected within the data. For each combination of country and asset/liability type in the 'Financial Account' and 'Insurance and Other Services' sheets, only one row is allowed.

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## WRONG OBS: Invalid or blank data

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CUBE: CMIAB\_48560  
MESSAGE: WRONG OBS  
Check ID: 6

Variable	Value	Error Message
CLAIMS	1000	
ENTITY ID	109008	
ISSUER COUNTRY		ABSENT VARIABLE
PREMIUMS	2000	
REFERENCE_DATE	20181231	
TYPE OF INSTRUMENT	48560	

Reason for error: 'WRONG OBS' errors are caused either when the data entered is not in the expected format, or when some data is expected but the relevant field is left blank. In this example, the country of the counterparty was not specified in one of the rows of the Balance of Payments sheets. Please note that, in both the 'Financial Account' and 'Insurance and Other Services' sheets, a counterparty country must be specified for each row.

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## Section C: Deterministic Checks

Such checks are triggered by inconsistencies in the return. Some possible reasons for this error include:

- Total assets do not match with total liabilities (including capital),
- Total assets belonging to non-residents in the 'InsAgBrok\_Assets' sheet does not match with the total amount of assets in the 'Financial Account' sheet,
- Total liabilities belonging to non-residents in the 'InsAgBrok\_Liabilities' sheet does not match with the total amount of liabilities in the 'Financial Account' sheet.

Please be advised that the control checks performed on your submission have resulted in the following anomalies or validation errors

Consistency checks remarks

In case of persistent remarks, both the current and the previous aggregates amounts are reported (the latter between brackets)

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OBJECT: CMIAB\_DCE\_CHECK\_CUBE - DCE CHECK CUBE

0 - DCE OPERAND CUBE

Check ID: 8

### Details

```
KEY :
  ENTITYID = '109006',
  REFERENCE_DATE = '20181231'
-----
VALIDATION RULE CELL : Total Assets should match Total Liabilities
-----
VALIDATION RULE DESCRIPTION :
-----
RULE ID : IAB02
-----
OFFENDING VARIABLES :
TOTAL_ASSET = '100',
TOTAL_LIAB = '0',
DIFFERENCE = '100'
```

**Reason for error:** The total assets do not match with the total liabilities. The report is showing us that there is a difference of 100 between assets and liabilities.

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Check ID: 9

### Details

```
KEY :
  ENTITYID = '109006',
  REFERENCE_DATE = '20181231'
-----
VALIDATION RULE CELL : The Total Deposits Counterparty Sector Non Resident reported in the Assets should match the Deposits reported in the
Financial Accounts
-----
VALIDATION RULE DESCRIPTION :
-----
RULE ID : IAB03
-----
OFFENDING VARIABLES :
TOTAL_DEPOSITS = '0',
TOTAL_FOR_DEP = '700',
DIFFERENCE = '700'
```

**Reason for error:** The sum of liabilities reported in the 'Financial Account' sheet does not match with the sum of deposits in the 'non-resident' column of the 'InsAgBrok\_Liabilities' sheet.

Check ID: 10

**Details**

```
KEY :
  ENTITYID = '109006',
  REFERENCE_DATE = '20181231'
-----
VALIDATION RULE CELL : The Total Assets Counterparty Sector Non Resident reported in the Assets should match the Total Assets reported in
the Financial Accounts
-----
VALIDATION RULE DESCRIPTION :
-----
RULE ID : IAB04
-----
OFFENDING VARIABLES :
  NON_RESIDENT_ASSETS = '0',
  FINANCIAL_ACCOUNT_ASSETS = '700',
  DIFFERENCE = '700'
```

**Reason for error:** The sum of assets reported in the 'Financial Account' sheet does not match with the sum of deposits in the 'non-resident' column of the 'InsAgBrok\_Assets' sheet.

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APPENDIX: PROCEDURE FOR UPLOADING TO INFOSTAT

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The following are the steps to submit data via the INFOSTAT Portal (after the XML file is generated, and the user logs into INFOSTAT and accesses the survey):

