

AIFM Reporting file								
Id	Field Name	XSD element name	XML type	Format	Type	M/C/O/F	Repetition	Technical guidance
Prüfregel								
AIFM – Header file								
1	Reporting Member state	<ReportingMemberState>	CountryCodeType	2 [A-Z]+	A	M	[1..1]	Country code standard ISO-3166-1 of the Member State to which the AIFM reports the AIFMD reporting.
2	Version	<Version>	VersionType	((0-9))+\,((0-9))+	A	M	[1..1]	The version of the XML Schema Definition (XSD) used to generate the file.
3	Creation date and time	<CreationDateAndTime>	xs:dateTime	4(n)-2(n)-2(n)T2(n):2(n):2(n)	D	M	[1..1]	The date (ISO 8601 extended Date Format yyyy-mm-ddThh:mm:ss) at which the file was created. It shall be expressed as Coordinated Universal Time (UTC).
AIFM – Header section								
4	Filing type	<FilingType>	FilingTypeType	4	A	M	[1..1]	The filing types admitted are: - AMND for "amendment to one reporting previously submitted " - INIT for "initial reporting for the reporting period" Code indicating the contents of the AIFM reporting. The AIFM content types admitted are: - 1 for "24(1) reporting contents for all AIFs managed" - 2 for "3(3) (d) reporting contents for all AIFs managed" - 3 for "24(1) reporting contents for all AIFs marketed in the Member State"
5	AIFM content type	<AIFMContentType>	AIFMContentTypeType	1	N	M	[1..1]	
6	Reporting period start date	<ReportingPeriodStartDate>	xs:date	4(n)-2(n)-2(n)	D	M	[1..1]	The start date of the reporting period should begin on the first calendar of January, April, July or October. yyyy-mm-dd (ISO 8601 Date Format)
7	Reporting period end date	<ReportingPeriodEndDate>	xs:date	4(n)-2(n)-2(n)	D	M	[1..1]	The end date of the reporting period may be the last calendar day of March, June, September, December or the last day the AIFM exists. yyyy-mm-dd (ISO 8601 Date Format)
8	Reporting period type	<ReportingPeriodType>	ReportingPeriodTypeType	2	A	M	[1..1]	The reporting period types admitted are: when reporting frequency is quarterly: - Q1: for 1st quarter of the calendar year - Q2: for 2nd quarter of the calendar year - Q3: for 3rd quarter of the calendar year - Q4: for 4th quarter of the calendar year when reporting frequency is half yearly: - H1: for 1st half of the calendar year - H2: for 2nd half of the calendar year when reporting frequency is yearly: - Y1: for the calendar year when the specific reporting period is from 1st quarter to 3rd quarter due to change in the reporting obligation: - X1: for period from 1st quarter to 3rd quarter when the specific reporting period is from 2nd quarter to 4th quarter due to change in the reporting obligation: - X2: for period from 2nd quarter to 4th quarter For one calendar year, it is not possible to have reporting overlap. Only acceptable subsequent reporting periods are: - Q1, Q2, Q3, Q4 - Q1, Q2, H2 - Q1, X2 - H1, H2 - H1, Q3, Q4 - Y1 - X1, Q4
9	Reporting period year	<ReportingPeriodYear>	xs:gYear	4	N	M	[1..1]	The reporting period year (2013, 2014,...).
10	Change in AIFM reporting obligation frequency Code	<AIFMReportingObligationChangeFrequencyCode>	ReportingObligationChangeFrequencyCodeType	2	A	O	[0..1]	The codes to report a change in the AIFM reporting obligation frequency are contained in Annex II - Table 8 and 10.
11	Change in AIFM reporting obligation contents Code	<AIFMReportingObligationChangeContentsCode>	AIFMReportingObligationChangeContentsCodeType	1	N	O	[0..1]	The codes to report a change in the AIFM reporting obligation contents are contained in Annex II - Table 8.
12	Change in AIFM reporting obligation Quarter	<AIFMReportingObligationChangeQuarter>	ReportingObligationChangeQuarterType	2	A	C M for <AIFMReportingObligationChangeFrequencyCode> or <AIFMReportingObligationChangeContentsCode> filled in F otherwise	[0..1]	Code indicating the quarter during which the frequency and/or contents reporting obligation on the AIFM changes. The codes for the reporting obligation change quarter are: - Q1: for 1st quarter of the calendar year - Q2: for 2nd quarter of the calendar year - Q3: for 3rd quarter of the calendar year - Q4: for 4th quarter of the calendar year The field is mandatory for <AIFMReportingObligationChangeFrequencyCode> or <AIFMReportingObligationChangeContentsCode> filled in and forbidden otherwise.
13	Last reporting flag	<LastReportingFlag>	BooleanType	1	B	M	[1..1]	Flag indicating whether the reporting is the last reporting. true for last AIFM reporting file false otherwise
14	Question Number	<QuestionNumber>	UnsignedInteger3pType	3 totalDigits 3 fractionDigits 0 minInclusive 1	N	M for <AssumptionDescription> filled in F otherwise	[0..n]	Question number for which assumption is provided. The field is mandatory for <AssumptionDescription> filled in and forbidden otherwise.
15	Assumption description	<AssumptionDescription>	StringRestricted300Type	300 (max)	Z	C M for <QuestionNumber> filled in F otherwise	[0..n]	Free description for assumption. The field is mandatory for <QuestionNumber> filled in and forbidden otherwise.
16	AIFM reporting code	<AIFMReportingCode>	AIFMReportingCodeType	1	N	M	[1..1]	Code indicating whether the AIFM is : - 1 for "Registered AIFM" under Article 3 - 2 for "Authorised AIFM (opt-in)" under Article 7 - 3 for "Authorised AIFM with only unleveraged AIFs investing in non-listed companies and issuers in order to acquire control" under Article 7 - 4 for "Authorised AIFM with half yearly obligation" under Article 7 - 5 for "Authorised AIFM with quarterly obligation " under Article 7 - 6 for "Non-EU AIFM under Private Placement Regime with annual obligation" under Article 42 - 7 for "Non-EU AIFM under Private Placement Regime with only unleveraged AIFs investing in non-listed companies and issuers in order to acquire control" under Article 42 - 8 for "Non-EU AIFM under Private Placement Regime with half yearly obligation" under Article 42 - 9 for "Non-EU AIFM under Private Placement Regime with quarterly obligation" under Article 42 The allowed AIFM reporting codes are contained in Annex II – Table 8
17	AIFM jurisdiction	<AIFMJurisdiction>	CountryCodeType	2 [A-Z]+	A	M	[1..1]	Jurisdiction in which the AIFM is established (Country code standard ISO-3166-1)
18	AIFM National Code	<AIFMNationalCode>	AIFMNationalCodeType	30 (max) 1 (min)	Z	M	[1..1]	Unique reference identifying each AIFM allocated by the national competent authority of the reporting Member State of the AIFM to which the AIFM reports under AIFMD
19	AIFM Name	<AIFMName>	StringRestricted300Type	300 (max)	Z	M	[1..1]	Alternative Investment Fund manager name. (no standard) It is strongly recommended to provide the full name corresponding to the allocated LEI code (or BIC code if any and LEI not available).
20	AIFM EEA Flag	<AIFMEEAFlag>	BooleanType	1	B	M	[1..1]	Flag indicating whether the AIFM is domiciled in the EEA. true for EEA AIFMs false for non-EEA AIFMs
21	AIFM no reporting flag	<AIFMNoReportingFlag>	BooleanType	1	B	M	[1..1]	Flag indicating whether the AIFM does not have any information to report on AIFs, such as where there is a delay between the authorisation or registration being granted to a new AIFM and the actual start of activity, or between the creation of an AIF and the first investments. Only header section should be filled in. true when no information to report for the reporting period false otherwise
AIFM - Identifiers								
22	AIFM LEI Code	<AIFMIdentifierLEI>	LEICodeType	20 [0-9a-zA-Z]{18}[0-9]{2}	A	O	[0..1]	Legal Entity Identifier (LEI) (ISO 17442 standard) of the Entity or if not available the Interim Entity Identifier (IEI). •Characters 1-4: A four character prefix allocated uniquely to each LOU. •Characters 5-6: Two reserved characters set to zero. •Characters 7-18: Entity - specific part of the code generated and assigned by LOUs according to transparent, sound and robust allocation policies. •Characters 19-20: Two check digits
23	AIFM BIC Code	<AIFMIdentifierBIC>	BICCodeType	11 [A-Z0-9]{11}	A	O	[0..1]	BIC code of the entity (ISO 9362 standard)
24	Old AIFM national identifier - Reporting Member State	<ReportingMemberState>	CountryCodeType	2 [A-Z]+	A	O	[0..1]	Country code standard ISO-3166-1 of the reporting Member State which have allocated the former national identification code to provide when the national identification code changes (for the first reporting following the change of the national code and any subsequent reporting).
25	Old AIFM national identifier - National code	<AIFMNationalCode>	AIFMNationalCodeType	30 (max) 1 (min)	Z	C M for old AIFM national identifier - Reporting Member State filled in	[0..1]	Former national identification code to provide when the national identification code of the AIFM changes (for the first reporting following the change of the national code and any subsequent reporting). The field is mandatory when the old AIFM national identifier - Reporting Member State is filled in.
Five principal markets in which it trades on behalf of the AIFs it manages								

Id	Field Name	XSD element name	XML type	Format	Type	M/C/O/F	Repetition	Technical guidance	Prüfregel
26	Ranking (AIFM principal markets)	<Ranking>	FiveRankingType	1	N	M	[5..5]	Ranking of the five most important markets in which it trades on behalf of the AIF it manages. The ranking admitted are: - 1 for "first main market"; - 2 for "second main market"; - 3 for "third main market"; - 4 for "fourth main market "; and - 5 for "fifth main market".	
27	Code type of the principal market in which the AIFM trades	<MarketCodeType>	MarketCodeTypeWithNOTType	4	A	M	[5..5]	The market codes types admitted are: - MIC for markets with MIC codes; - OTC for OTC transactions - XXX for instruments that are not traded on a specific market; and - NOT for "no market to report for the rank".	
28	MIC code of the principal market in which the AIFM trades	<MarketCode>	MICCodeType	4 [0-9A-Z]+	A	C M for Code type of principal market in which AIFM trades equal to "MIC"	[0..5]	The "MIC" code (ISO 10383) for trading venues where AIFMs trade. The field is mandatory when the market code type is equal to "MIC" and forbidden otherwise.	Wenn das Feld MarketCodeType mit 'MIC' befüllt wurde, muss auch das Feld MarketCode befüllt werden Wenn das Feld MarketCodeType nicht mit 'MIC' befüllt wurde, darf das Feld MarketCode nicht befüllt werden
29	Aggregated value of the principal market in which the AIFM trades	<AggregatedValueAmount>	UnsignedInteger15pType	15 totalDigits 15 fractionDigits 0 minInclusive 0	N	C M for market code type different from "NOT"	[0..5]	Aggregated value of the instruments aggregated at the level of the five most important markets in which it trades on behalf of the AIF it manages. Aggregated value expressed in euro filled in without decimal places. The field is mandatory for market code type different from "NOT".	Wenn das Feld MarketCodeType ungleich 'NOT' ist, muss das Feld AggregatedValueAmount befüllt werden Die angegebenen Werte im Feld AggregatedValueAmount müssen mit dem 'Ranking' übereinstimmen
Five principal instruments in which it trades on behalf of the AIFs it manages									
30	Ranking (AIFM principal instruments)	<Ranking>	FiveRankingType	1	N	M	[5..5]	Ranking of the five sub-asset types in which the AIF manager trades on behalf of the AIFs it manages. The ranking should be based on the aggregated value of the instruments composing each sub-asset type. The ranking admitted are: - 1 for "first main sub-asset type"; - 2 for "second main sub-asset type"; - 3 for "third main sub-asset type"; - 4 for "fourth main sub-asset type"; and - 5 for "fifth main sub-asset type".	
31	Sub-asset type code of the principal instrument	<SubAssetType>	SubAssetTypeType	12	A	M	[5..5]	The 5 principal sub-asset types in which the AIF manager trades on behalf of the AIFs it manages. The sub-asset types admitted are listed in Annex II - Table 1 (i.e. highest level of detail available). If the AIFM is trading less than five different sub-asset types, code "NTA_NTA_NOTA" should be indicated for each missing rank.	
32	Aggregated value of the principal instrument	<AggregatedValueAmount>	UnsignedInteger15pType	15 totalDigits 15 fractionDigits 0 minInclusive 0	N	C M for Sub-asset type different from "NTA_NTA_NOTA"	[0..5]	Value of the instruments calculated as set out in Article 2 of the Regulation 231/2013 aggregated at the level of the sub-asset type expressed in euro filled in without decimal places. The value of the instruments should be calculated as of the last business day of the reporting period. The field is mandatory for sub-asset type code different from "NTA_NTA_NOTA" and optional otherwise.	Wenn das Feld SubAssetType ungleich 'NTA_NTA_NOTA' ist, muss das Feld AggregatedValueAmount befüllt werden Die angegebenen Werte im Feld AggregatedValueAmount müssen mit dem 'Ranking' übereinstimmen
Values of assets under management for all AIFs managed, calculated as set out in Article 2									
33	Total AuM Amount In Euro	<AUMAmountInEuro>	UnsignedInteger15pType	15 totalDigits 15 fractionDigits 0 minInclusive 0	N	M	[1..1]	Values in Euros of assets under management (AuM) for all AIFs managed using the method set out in Articles 2 and 10 of the Regulation 231/2013. AuM amount expressed in Euro is filled in without decimal places.	
34	Total AuM amount in base currency	<AUMAmountInBaseCurrency>	UnsignedInteger15pType	15 totalDigits 15 fractionDigits 0 minInclusive 0	N	M	[0..1]	Value in base currency of Assets under management (AuM) for all AIFs managed, (when all AIFs of the AIFM are denominated in one single same base currency that is not the Euro) using the method set out in Articles 2 and 10 of the Regulation 231/2013. The total AuM amount expressed in base currency is filled in without decimal places and when available should be equal to the total AuM amount in Euro * Base currency / EUR FX rate.	
35	AIFM Base currency	<BaseCurrency>	CurrencyCodeType	3 [A-Z]+	A	M	[0..1]	Base currency code (3-character currency code according to the ISO 4217 ) for all AIFs managed by the AIFM.	
36	Base currency / EUR FX reference rate type	<FXEURReferenceRateType>	FXEURReferenceRateTypeType	3	A	C M for AIFM base currency different from EUR	[0..1]	- "ECB" when the base currency is one of the currencies for which the exchange rates are euro reference rates published by the ECB - "OTH" in other cases The field is mandatory when the AIFM base currency is filled in and different from EUR and forbidden otherwise. The ECB reference rates are published daily when TARGET system is open.	Wenn das Feld BaseCurreny angegeben wurde und ungleich 'EUR' ist, muss auch das Feld FXEURReferenceRateType angegeben werden Wenn das Feld BaseCurreny nicht angegeben wurde oder gleich 'EUR' ist darf das Feld FXEURReferenceRateType nicht angegeben werden
37	Base currency / EUR FX rate	<FXEURRate>	UnsignedDecimal15p4Type	20 (15.4) Decimal (point is used) totalDigits 19 fractionDigits 4 minInclusive 0 maxExclusive 10000000000000000	N	C M for AIFM base currency different from EUR	[0..1]	ECB FX Rate used for converting base currency AuM amount into Euro AuM amount at the reporting date It is filled in with 4 decimal places. The field is mandatory when the AIFM base currency is filled in and different from EUR and forbidden otherwise.	Wenn das Feld BaseCurreny angegeben wurde und ungleich 'EUR' ist, muss auch das Feld FXEURRate angegeben werden Wenn das Feld BaseCurreny nicht angegeben wurde oder gleich 'EUR' ist darf das Feld FXEURRate nicht angegeben werden
38	Base currency / EUR FX reference rate description for no ECB rates	<FXEUROtherReferenceRateDescription>	StringRestricted30Type	30 (max)	Z	C M for Base currency / EUR FX reference rate type equal to "OTH"	[0..1]	Name of the source of the euro reference rates used according to the FX EUR conversion reference rate type reported - Free text for "OTH" type when the corresponding euro reference rate is not published by the ECB - Empty for "ECB" type when the corresponding euro reference rate is published by the ECB The field is mandatory for Base currency / EUR FX reference rate type equal to "OTH" and forbidden otherwise	Wenn das Feld FXEURReferenceRateType mit 'OTH' befüllt wurde muss das Feld FXEUROtherReferenceRateDescription angegeben werden Wenn das Feld FXEURReferenceRateType nicht mit 'OTH' befüllt wurde darf das Feld FXEUROtherReferenceRateDescription nicht angegeben werden

\* additional information that NCAs could require AIFMs to report on a periodic basis pursuant to Article 24(5).