FINANSTILSYNET

Submit report via file upload in e-Reg, user guide for reporter

This guide provides an introduction to how, as a reporter in a company, you submit a report in the Danish Financial Supervisory Authority's portal for ESA-related reporting, e-Regulatory (abbreviated "e-Reg"), via file upload.

The file upload function is intended for reporters who wish to prepare an xBRL-CSV file for upload instead of entering the relevant reporting data directly into e-Reg.

(1) Prepare the reporting file

Before you begin uploading your report to e-Reg via file upload, you should be aware that there are specific requirements for the files being uploaded.

During the file upload process, e-Reg will perform a series of validation steps to ensure that the uploaded file and its contents are prepared correctly.

When preparing your reporting file, you must take the following rules into account:

(1a) The file format must be correct according to which ESA (European Supervisory Authority) the report is to be submitted to:

- Reporting files prepared for the EBA (European Banking Authority) must be in the xBRL-CSV file format
- Reporting files prepared for EIOPA (European Insurance and Occupational Pensions Authority) must be in the xBRL-XML file format
- Reporting files prepared for ESMA (European Securities and Markets Authority) must be in the XML file format
- On the Danish Financial Supervisory Authority's website, you can see which reports belong to which ESAs as well as the exact names of each report: https://www.finanstilsynet.dk/ansoeg-og-indberet/indberetninger-til-e-reg/disse-indberetninger-flyttes-til-e-reg
- If you are unsure about the correct file format, you are welcome to contact the Danish Financial Supervisory Authority at: e-Reg@ftnet.dk

(1b) There are specific rules for how the file name must be constructed.

- For files submitted to the EBA, the following applies:
  - The file name must follow this syntax:
    LEI-code.reporting level_module_reference period_time stamp.zip
  - For example:
    549300D6BJ7XOO03RR69.CON_DORA_2025-12-31_20251017105200055.zip
  - In the example above, a LEI-code is used as identifier. This is because the reporting entities generally are expected to have and use a LEI-code. If a reporting entity does not have a LEI-code, a special exemption can be made in relation to submission of EBA-reports so that the entity can be allowed to use a CVR-number or other company ID as identifier instead.
- For files submitted to the EIOPA, the following applies:
  - The file name must follow this syntax:
    Identifier_modul_referenceperiode_tidsstempel.zip
  - For example:
    549300D6BJ7XOO03RR69_SOLVENCY2ARG_2026-12-31_20270123105200055.zip

    - In the example above, a LEI-code is used as identifier, and when it comes to submission of EIOPA-reports, it is a requirement that the reporting entity has and uses a LEI-code as identifier.
- Regardless of whether you are preparing a file for EBA or for EIOPA, the time stamp must consist of 17 digits in the following order:
    - Year: 4 digits
    - Month: 2 digits
    - Day: 2 digits
    - Hour: 2 digits
    - Minutes: 2 digits
    - Seconds: 2 digits
    - Milliseconds: 3 digits

(1c) You must ensure that the contents of the reporting file match the report you are in the process of uploading:

- It is therefore no use, as an example, to prepare a file containing RESOL1 reporting data but indicate in the file name that it is a DORA report.

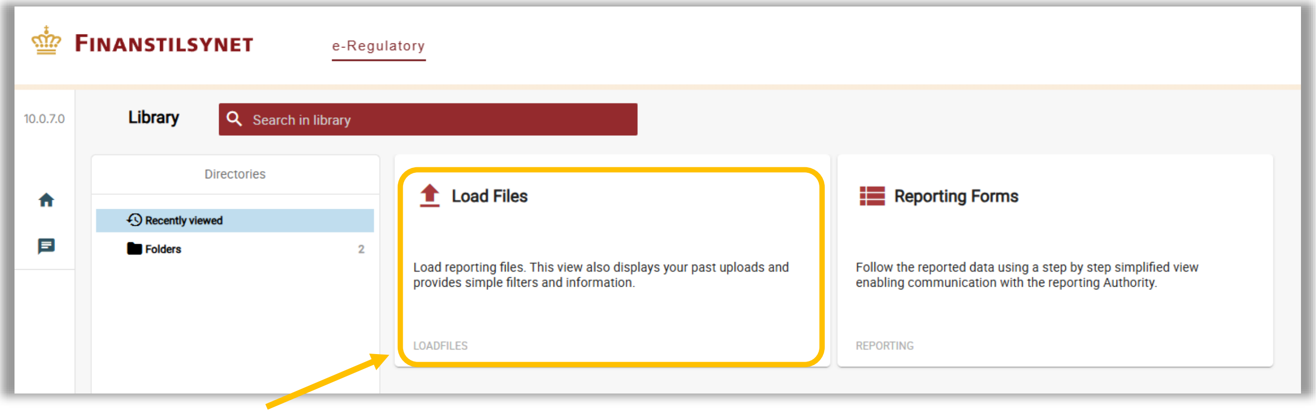
(1d) You must ensure that you are reporting data that you are actually required to report:

- Attempting to submit a RESOL1 report if you do not have a reporting obligation for RESOL1 will therefore not succeed.
- See step 3a below, which explains where you can view your reporting obligations in e-Reg.

(2) Open the file upload dashboard

When you log in to e-Regulatory as a reporter, you will be presented with the image shown below.

To get started with reporting via file upload, you need to click on the "Load Files" tile. You will then be presented with the image shown below.



(3) Explanation of the file upload dashboard

The "Load Files" page is divided into three sections:

(3a) A filtering section, where you can use the red filter buttons to search among the reports you have previously uploaded.

- You can filter by "submission dates" (i.e., a period between two dates within which you have submitted a number of reports).
- You can filter by a specific "reporting year" (calendar year).

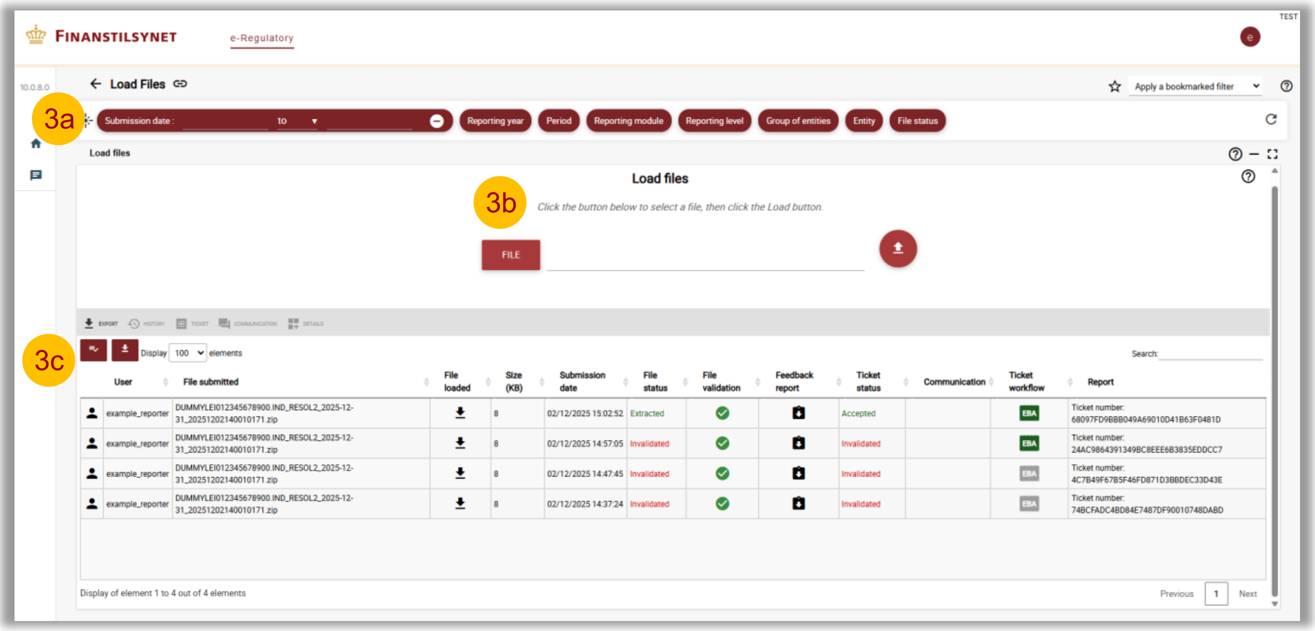
- You can filter by a “period” (for example, months or quarters within a calendar year).
- You can filter by “reporting module” (i.e., the different reporting obligations you have).
    - If you click on the “Reporting Module” filter, you will see a list of all the reporting obligations you have.
- You can filter by “reporting level” (for example, you can report at the “Consolidated” level or at the “Individual” level).
- The “Group of entities” filter is used only by the Danish Financial Supervisory Authority itself and is not relevant for reporters to use.
- You can filter by “Entity” (i.e., the company you are reporting for, if you report for multiple companies at the same time).
- You can filter by “File status” (which refers to the statuses that reporting files can have in the “File status” column at the bottom of the page—more on this below).

(3b) An upload section

- This is where you perform the actual file upload action (more on this later).

(3c) A list view section

- Here you can see the reports you have previously uploaded in a long list with a number of status fields for each report (more on this later).

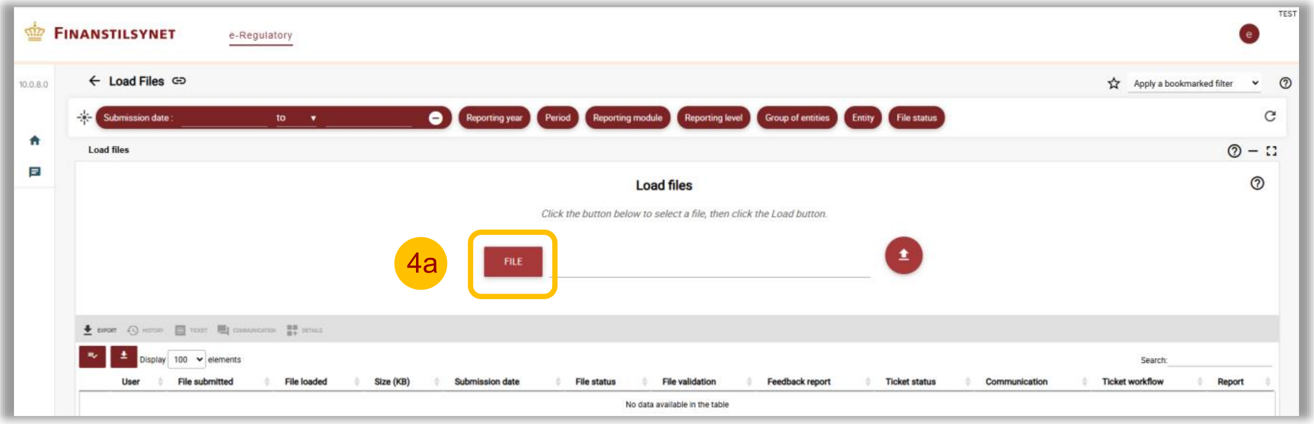


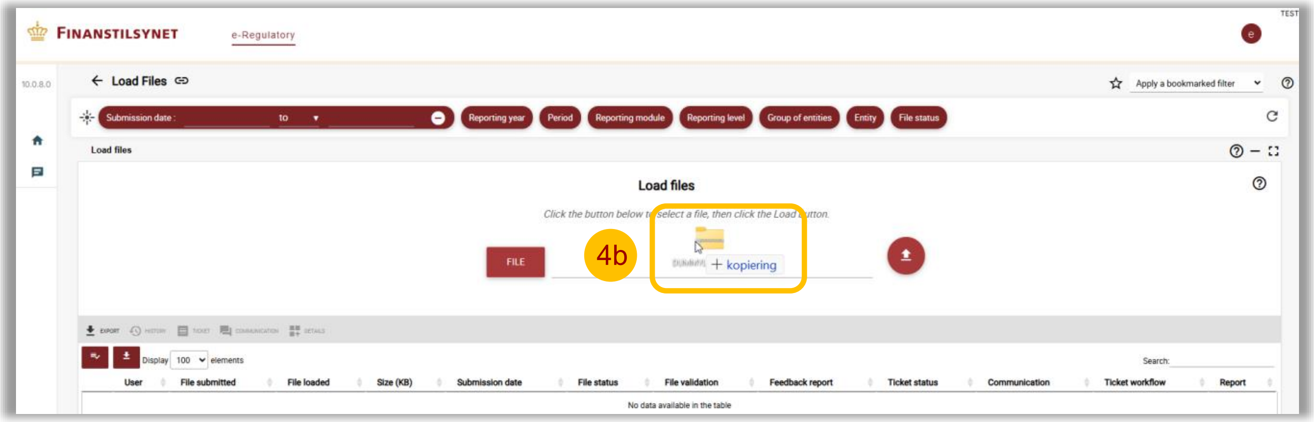
(4) Uploading the reporting file

The file containing the reporting data, which you have prepared in advance, is made ready for upload in one of two ways:

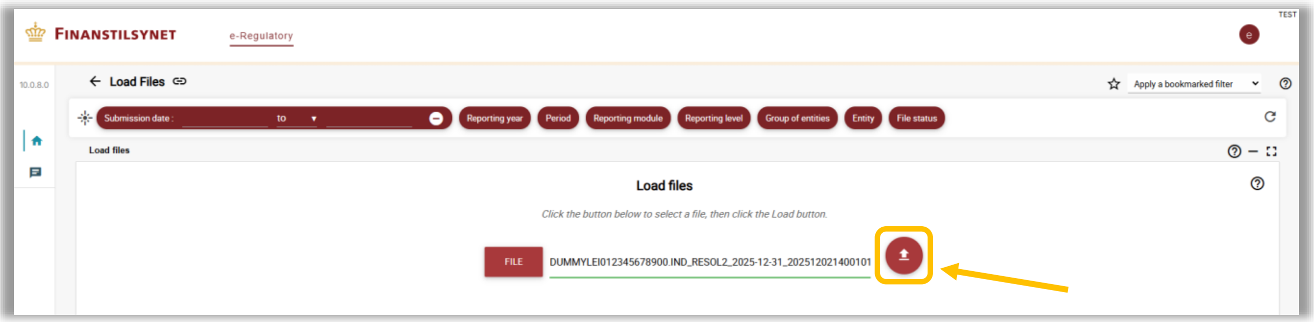
(4a) Either you can click the “File” button, after which you can browse your computer’s file explorer to find and select the file

(4b) Or you can simply drag and drop the file into the field

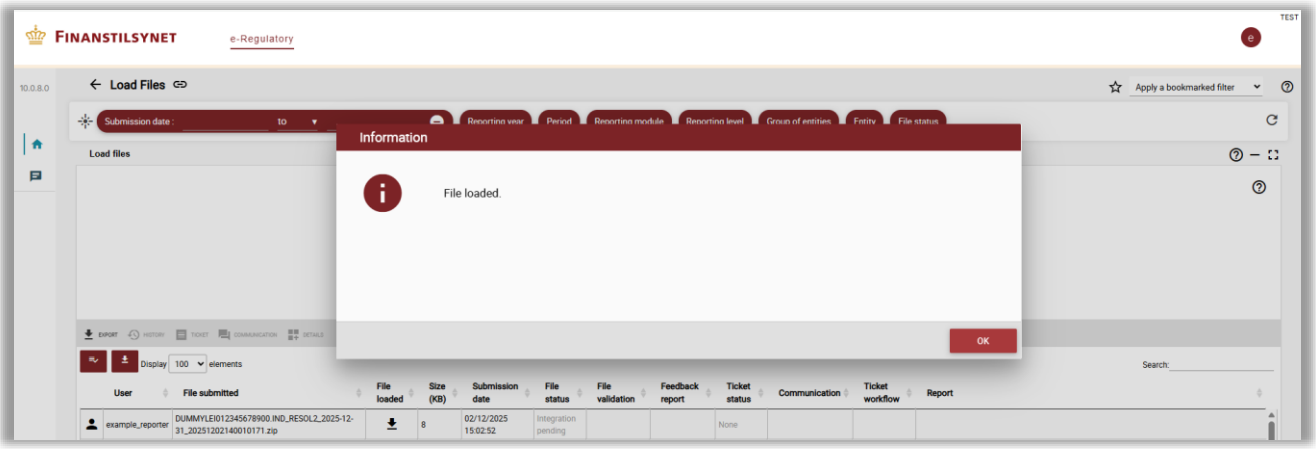




Når man har lagt filen klar i feltet, uploades filen endelig ved at klikke på knappen med den røde knap med en hvid pil til højre for feltet, som vist på billedet nedenfor.

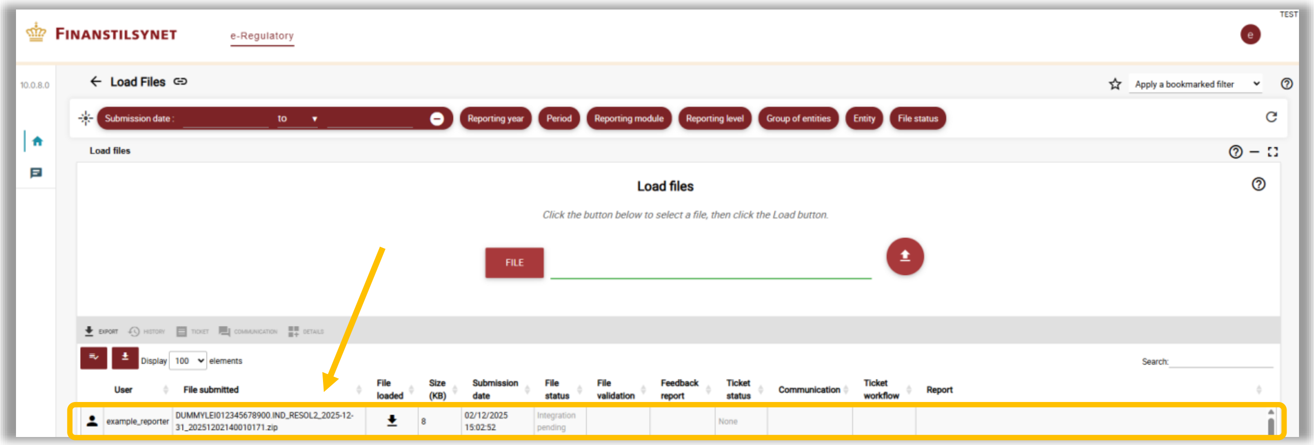


You will then see a window confirming that the file has been uploaded to e-Reg, as shown in the image below. You can close this window by clicking the “OK” button.



(5) Explanation of statuses for the uploaded file

Once you have uploaded the file, it will appear in the table at the bottom of the page, as shown in the image below.



Here, the following information will figure:

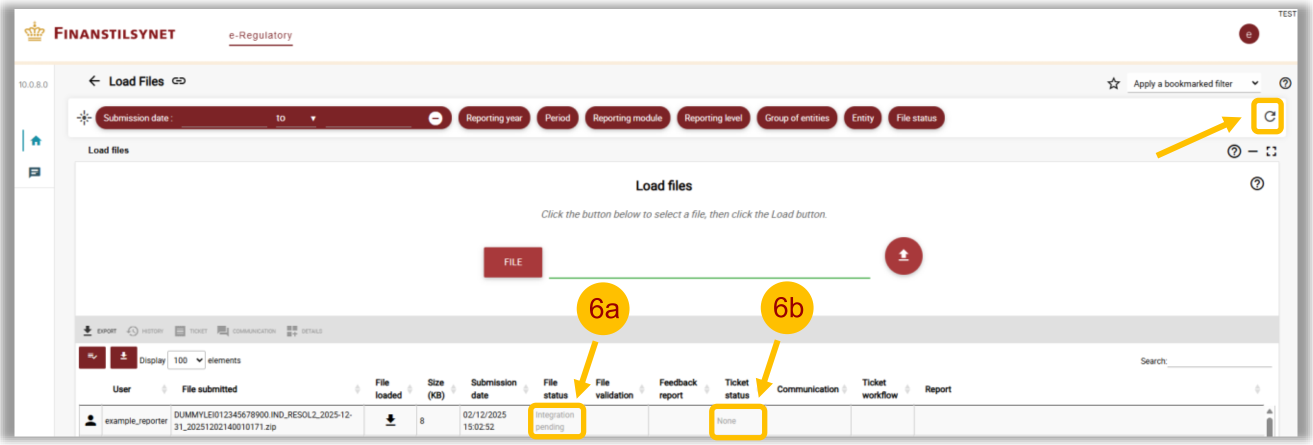
- User: indicates which user uploaded the report.
- File submitted: indicates the name of the reporting file that was uploaded.
  - Note that the file will have been assigned a new name by e-Reg, which complies with the internal naming standard agreed between the Danish Financial Supervisory Authority and the ESAs.
  - Therefore, the file name shown in “File Submitted” will look different from the file name you, as a reporter, gave the file when you uploaded it.
- File loaded: in this field, a small black arrow indicates that you can download the reporting file you uploaded.
- Size (KB): indicates the size of the uploaded reporting file in kilobytes.
- Submission date: indicates the date the reporting file was uploaded to e-Reg.
- File status: indicates the current status of the file in e-Reg (more on this below).
- File validation: indicates the validation status of the file (more on this below).
- Feedback report: here, it will later be possible to download a feedback report from the ESA that has reviewed the file (more on this below).
- Ticket status: indicates the current status of the file from the ESA’s side (more on this below).
- Communication: here, there will be a link to e-Reg’s communications module if there are comments on the report from either the ESA or the Danish Financial Supervisory Authority.
- Ticket workflow: this field will contain a visualization of the status from the ESA’s side: green means positive feedback (accepted), red means negative feedback (not accepted), and grey means no feedback has been received from the ESA yet.
- Report: this field will later contain a ticket number from the ESA for reference.
  - If negative feedback has been received from the ESA and they have not accepted the report, there will typically also be an error description in the “Report” field explaining what the problem was.

(6) Validation of uploaded file

After you have uploaded the file, a series of background validation steps will begin. Initially, there will be:

(6a) The “File status” field will show “Integration pending.” This means that the Danish Financial Supervisory Authority has received the reporting file, but the file has not yet been forwarded from the Authority to the ESA. This is because the reporting file is currently being validated before it can be forwarded.

(6b) The “Ticket status” field will show “None.” This means that no ticket has yet been opened for the report at the ESA, because the ESA has not yet received the reporting file.



To keep track of how the different statuses change, you can periodically refresh the page by clicking the small refresh button on the right side of the screen. It looks like a circular arrow.

Specifically, e-Reg performs four different validations of the reporting file in the background:

- Reporting obligation validation
  - This checks whether you actually have an obligation to report the specific report you are attempting to submit. If you do not, the report will be automatically rejected. The same applies if you fill in more tabs in a report than you are required to complete.
- Technical validation
  - This checks whether the system can read the file you are submitting. The file will be rejected if you upload it with incorrect information (e.g., if the file name is incorrect).
- Filing rules validation
  - The EBA has defined a set of rules regarding how the reporting file should be structured. These rules are called “filing rules” and are available on the EBA’s website. When a file is uploaded in e-Reg, e-Reg will check the file against these rules to ensure it complies with all requirements.
- Business rules validation
  - This checks the semantics of the content you have entered. Does it make sense? For example, if you enter something other than a LEI code in a field where the system expects a LEI code, you will receive an error here.

It is because of these validations that it is important to prepare your reporting file thoroughly, as described in section 1 above.

A short time after you have uploaded your report (typically a few minutes), the following will happen when you refresh the page:

(6c) The “File validation” field will display a green check mark (if everything is correct with the report and all validations are successful).

- If the “File validation” field shows anything other than a green check mark, it means there is some kind of error with the file. You can receive both errors and warnings.
- Warnings are orange/yellow, and these should preferably be corrected. However, a reporting file can usually be approved by the Danish Financial Supervisory Authority and forwarded to the ESA even if there are a few warnings.
- Errors are red, and if there is a red error on a reporting file, it will be rejected and cannot be forwarded to the ESA until the reporter has corrected the error and uploaded the file again.

If the file validation is successful and a green check mark appears in “File validation,” then:

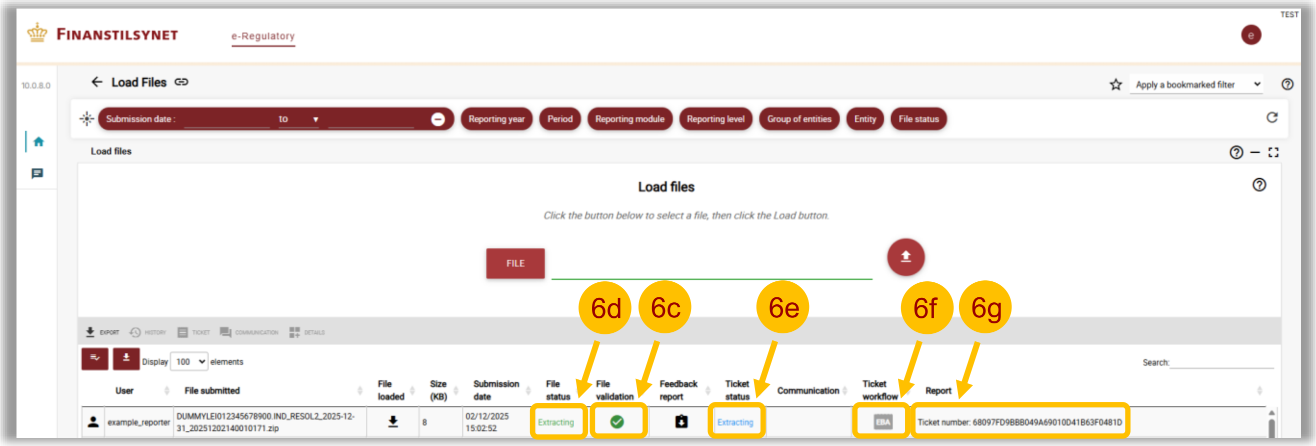
(6d) The “File status” field will show “Extracting.” This indicates that the file is in the process of being forwarded to the ESA.

(6e) The “Ticket status” field will show “Extracting.” This indicates that the ESA is in the process of receiving the file from the Danish Financial Supervisory Authority.

(6f) The “Ticket workflow” field will display a grey box with the ESA’s abbreviation in it. This indicates that the ESA has not yet made a decision on the report.

(6g) The “Report” field will display a ticket number, indicating that a ticket has been created for the report by the ESA.

From here, as a reporter, you simply wait for the ESA to provide feedback on the report.



(7) Feedback on the report from the ESA

When the ESA has reviewed the report and sent its feedback, the following fields in the overview will be updated as follows:

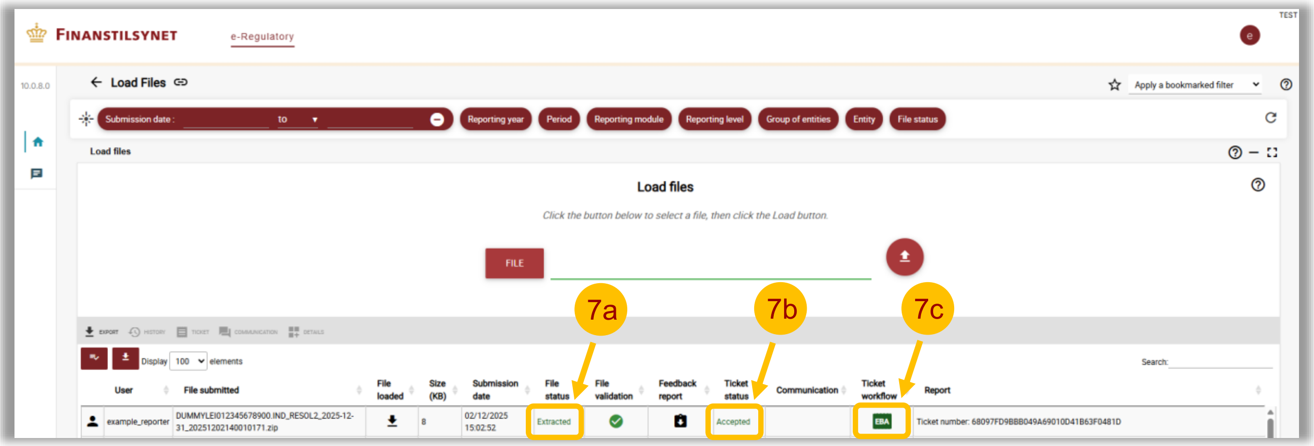
(7a) The “File status” field will now show “Extracted,” which simply indicates that the file has been finally sent to the ESA.

(7b) The “Ticket status” field should preferably show “Accepted,” which will indicate that the report has been accepted by the ESA as it is.

- If this field shows anything other than “Accepted,” it means the ESA has not approved the report. In this case, there will typically be a comment on the report, which you can access via the “Communication” field to better understand the situation.

(7c) The “Ticket workflow” field should preferably display a green box with the ESA’s abbreviation in it. The green color indicates that the report has been approved.

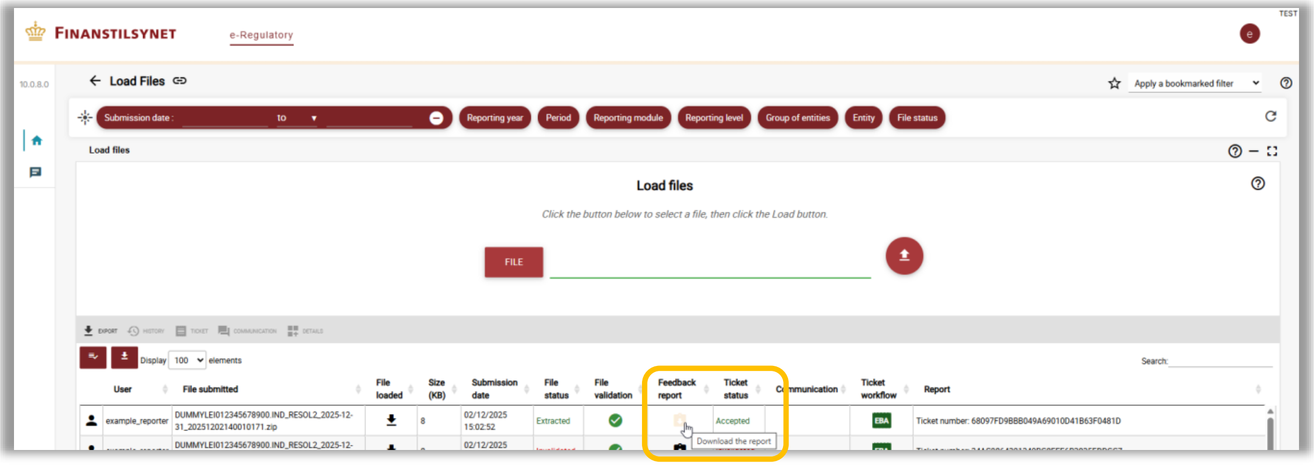
- If the box is any color other than green, it indicates that the report has not been approved.

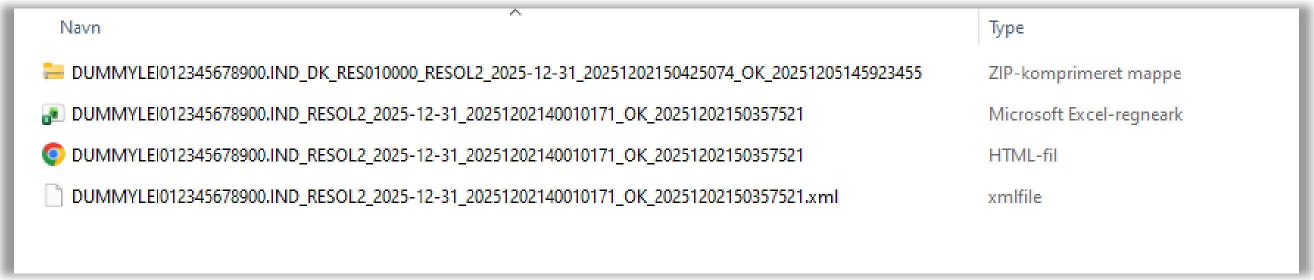


(8) Retrieve feedback report

When feedback has been received from the ESA (regardless of whether the feedback is positive or negative), the reporter can retrieve a feedback report, which provides more detailed information about the feedback.

This feedback report is retrieved by clicking on the black arrow in the “Feedback report” field.





This will initiate a download of a zip-compressed folder containing the four elements shown in the image below.

Here, the feedback from the ESA will be located in another zip-compressed folder, while the feedback from the Danish Financial Supervisory Authority will be available in three different formats: Excel, HTML, and XML.

(9) Note: you cannot delete a submission

Please be aware that you cannot delete a submission in e-Reg once you have approved and submitted it.

If you become aware that you have made a mistake in a submission that has been approved and submitted, you must upload a new submission. It will always be the most recently approved and submitted report that is valid. The most recently submitted report will always overwrite and invalidate previous submissions.

Via the File Upload page, this can be done by going to step 4 in this user guide and continuing from there.