

RegData user guide

Submitting and Managing Product Sales Data (PSD)

Product Sales Data (PSD) provides the FCA with information on the sales of investment, home finance, short-term loans, a limited range of pure protection products, plus the performance data for mortgages.

This user guide explains how to upload and submit Product Sales Data (PSD) and subsequently manage this data for your firm.

Overview of user guide

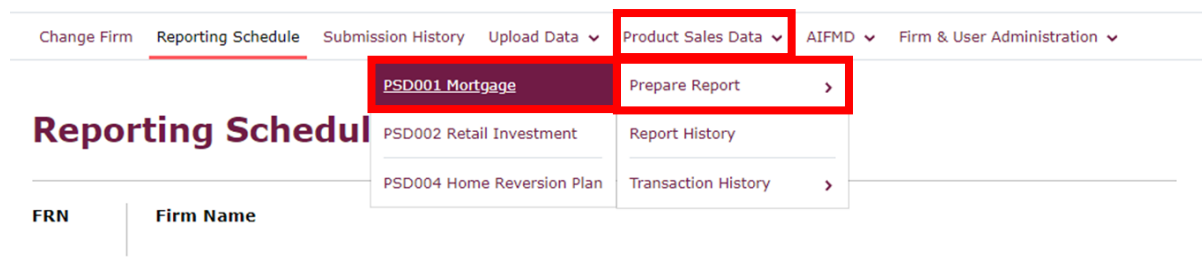
In this guide, you will find out how to:

1. Submit PSD data via online forms
2. Upload an XML with PSD data
3. Search your PSD Report History
4. Search your PSD Transaction History
5. Cancel a PSD report
6. Amend and cancel a PSD transaction

You can also submit PSD data via sFTP upload, this video will not cover this. For more information on sFTP upload, please refer to the technical guides on the RegData page of the FCA website.

1. Submitting PSD data via online forms

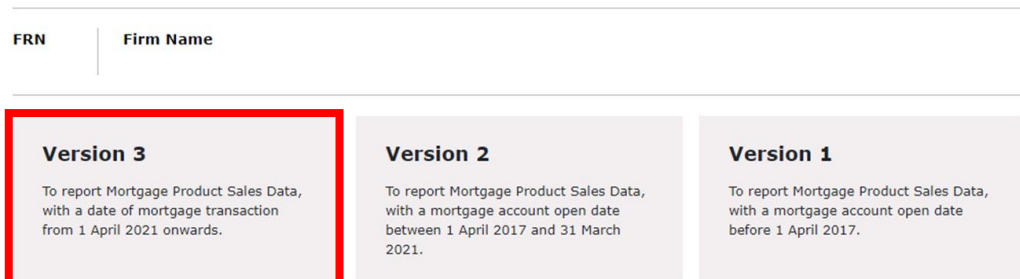
In RegData, hover over **Product Sales Data** at the top of the screen, then hover over **Prepare Report**. Click on the **PSD item you wish to report for** - you will only see the reports you have permissions to submit.



The screenshot shows the top navigation bar of the RegData interface. The 'Product Sales Data' dropdown menu is open, and the 'Prepare Report' option is highlighted with a red box. Other menu items include 'Change Firm', 'Reporting Schedule', 'Submission History', 'Upload Data', 'AIFMD', and 'Firm & User Administration'. Below the navigation bar, the 'Reporting Schedule' section is visible, listing PSD001 Mortgage, PSD002 Retail Investment, and PSD004 Home Reversion Plan. The 'Prepare Report' button is also highlighted with a red box.

If you are preparing PSD001 - Mortgage or PSD007 - Mortgage Performance Sales Data, click the version of the PSD form you wish to complete. The version of the form is dependent on the date of the transaction was made.

PSD001 Mortgage

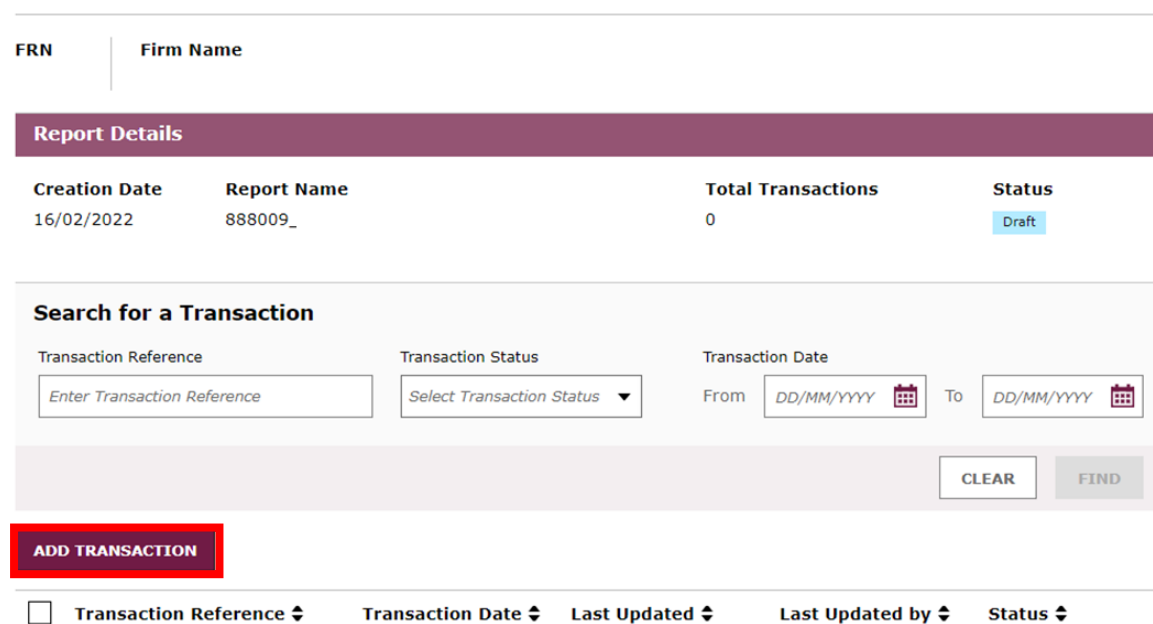


The screenshot shows the 'PSD001 Mortgage' version selection screen. It features three version options: Version 3, Version 2, and Version 1. Version 3 is highlighted with a red box. The text for each version is as follows:

- Version 3:** To report Mortgage Product Sales Data, with a date of mortgage transaction from 1 April 2021 onwards.
- Version 2:** To report Mortgage Product Sales Data, with a mortgage account open date between 1 April 2017 and 31 March 2021.
- Version 1:** To report Mortgage Product Sales Data, with a mortgage account open date before 1 April 2017.

You will be presented with the Report Details screen, where you can add each transaction required. Click **ADD TRANSACTION**.

PSD001 Mortgage Report (Version 3)



The screenshot shows the 'PSD001 Mortgage Report (Version 3)' Report Details screen. It features a 'Report Details' section with the following information:

Creation Date	Report Name	Total Transactions	Status
16/02/2022	888009_	0	Draft

Below the report details is a 'Search for a Transaction' section with the following fields:

- Transaction Reference:
- Transaction Status:
- Transaction Date: From To

There are 'CLEAR' and 'FIND' buttons at the bottom of the search section. Below the search section is a red 'ADD TRANSACTION' button. At the bottom of the screen, there is a table with the following columns: Transaction Reference, Transaction Date, Last Updated, Last Updated by, and Status.

Fill in all the required details on the form for the transaction. Fields marked with a red asterisk (*) are mandatory.

** Mandatory field(s)*

Transaction Details

A	
1 Firm Reference Number *	<input type="text" value="e.g. 123456"/>
2 Transaction reference *	<input type="text" value="Max. 25 characters"/>
25 Advised sale *	<input type="button" value="Select"/>
13 Principal Firm Reference Number	<input type="text" value="e.g. 123456"/>
3 Date of mortgage transaction *	<input type="text" value="DD/MM/YYYY"/>
80 Original transaction reference	<input type="text" value="Max. 100 characters"/>
81 Date of original mortgage transaction	<input type="text" value="DD/MM/YYYY"/>
34 How the sale was made *	<input type="button" value="Select"/>
15 Interest rate type *	<input type="button" value="Select"/>

You can save your data by clicking **SAVE DATA**. Once all mandatory and other fields you wish to provide data for have been completed, click **VALIDATE DATA**.

SAVE DATA

VALIDATE DATA

If there are any errors in the data entered, these will be presented at the top of the screen. You will need to resolve all errors and validate data once again.


Change Firm Reporting Schedule Submission History Upload Data Product Sales Data AIFMD Firm & User Administration

▲ **11 Validation Error(s) Found** [HIDE DETAILS ▲](#)

3A.	Field must match comparison: Must not be before 01/04/2021.	View Error
22A.	Condition must hold: Mandatory if Interest rate type equals '01', '02', '04', '06' or '07'.	View Error
14A.	Condition must hold: If 'N/A' is selected then additional mortgage characteristics must not be entered.	View Error
+ View All Errors		

Once the transaction has been successfully added, you will receive confirmation at the top of the screen and taken to the report details page. You will need to repeat the form for each transaction you need to submit – click **ADD TRANSACTION**.

Change Firm Reporting Schedule Submission History Upload Data Product Sales Data AIFMD Firm & User Administration

 The transaction has been successfully validated and once complete the report must be submitted by the due date. X

Product Sales Data / Prepare Report / PSD001 Mortgage / PSD001 Mortgage Report (Version 3)

PSD001 Mortgage Report (Version 3) Help

FRN | Firm Name

Report Details

Creation Date	Report Name	Total Transactions	Status
16/02/2022	888009_	1	Draft

Search for a Transaction

Transaction Reference:

Transaction Status:

Transaction Date: From To

ADD TRANSACTION

<input type="checkbox"/>	Transaction Reference	Transaction Date	Last Updated	Last Updated by	Status
<input type="checkbox"/>	Transaction 1	14/06/2021	05/03/2022		Ready to Submit

Once all transactions have been added, click **VALIDATE REPORT**.

ADD TRANSACTION


<input type="checkbox"/>	Transaction Reference	Transaction Date	Last Updated	Last Updated by	Status
<input type="checkbox"/>	Transaction 2	11/08/2021	05/03/2022		Ready to Submit
<input type="checkbox"/>	Transaction 1	14/06/2021	05/03/2022		Ready to Submit

DELETE TRANSACTION

VALIDATE REPORT

SUBMIT REPORT

You will receive confirmation at the top of the screen once the report has been successfully validated. To submit your report, click **Submit Report**.

 The report has been successfully validated and must be submitted by the due date. X

Product Sales Data / Prepare Report / [PSD001 Mortgage](#) / PSD001 Mortgage Report (Version 3)



PSD001 Mortgage Report (Version 3) Help

FRN | Firm Name

Report Details

Creation Date	Report Name	Total Transactions	Status
11/03/2022	888009_	1	Ready to Submit

Search for a Transaction

Transaction Reference <input type="text" value="Enter Transaction Reference"/>	Transaction Status <input type="text" value="Select Transaction Status"/>	Transaction Date From <input type="text" value="DD/MM/YYYY"/>  To <input type="text" value="DD/MM/YYYY"/> 
---	--	---

ADD TRANSACTION

<input type="checkbox"/> Transaction Reference ⌵	Transaction Date ⌵	Last Updated ⌵	Last Updated by ⌵	Status ⌵
<input type="checkbox"/> Transaction 1	09/04/2021	21/04/2022		Ready to Submit

DELETE TRANSACTION

VALIDATE REPORT

SUBMIT REPORT

You will be asked to confirm your submission. Click **Submit** if you wish to proceed

Submission Confirmation X

You are about to submit PSD001 Mortgage Report (Version 3).

SUP16.3.11R requires a firm to submit returns containing all the information required. Knowingly or recklessly giving the FCA or PRA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). Any additional information of relevance should be provided by letter direct to the appropriate Regulator.

Do you wish to proceed?

You will receive confirmation once your report has been successfully submitted at the top of the page.

[Change Firm](#) [Reporting Schedule](#) [Submission History](#) [Upload Data](#) [Product Sales Data](#) [AIFMD](#) [Firm & User Administration](#)

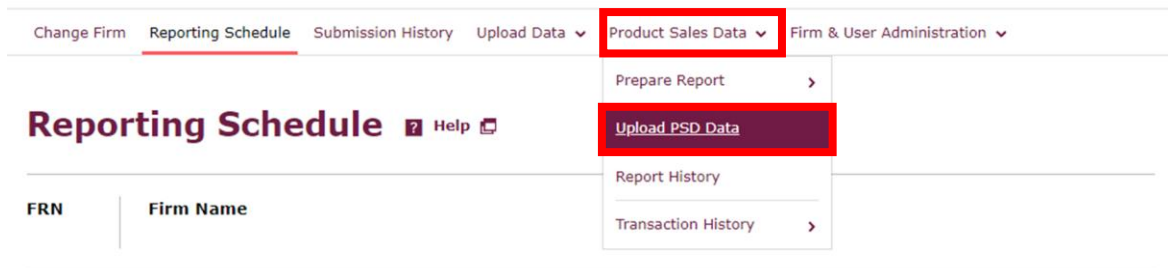


The report has been successfully submitted.



2. Upload an XML with PSD data

Hover over **Product Sales Data** at the top of the screen. Click **Upload PSD Data**.



On the Upload Product Sales Data screen, click **UPLOAD DATA**.

Upload Product Sales Data [Help](#)

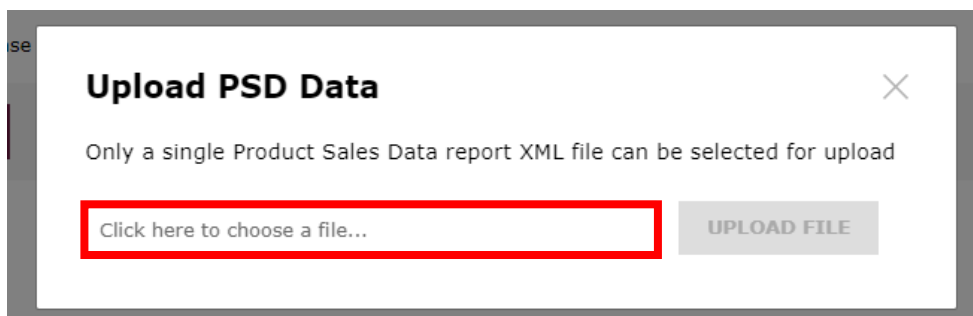
FRN | Firm Name

Use this function to upload a Product Sales Data report XML file.

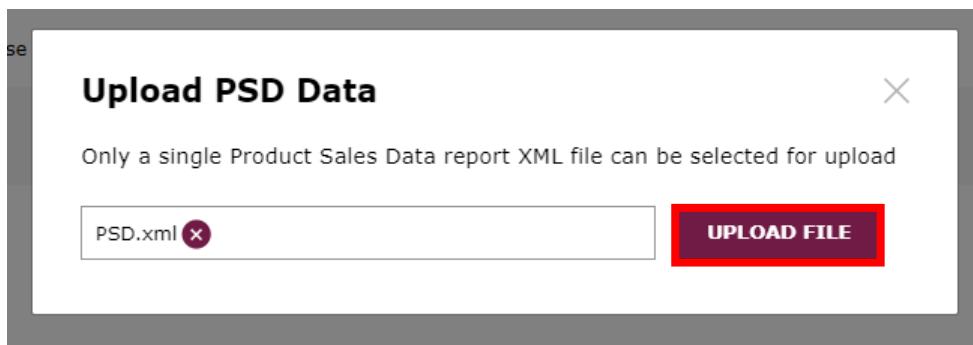
For more information please see Upload Data [help](#).

UPLOAD DATA

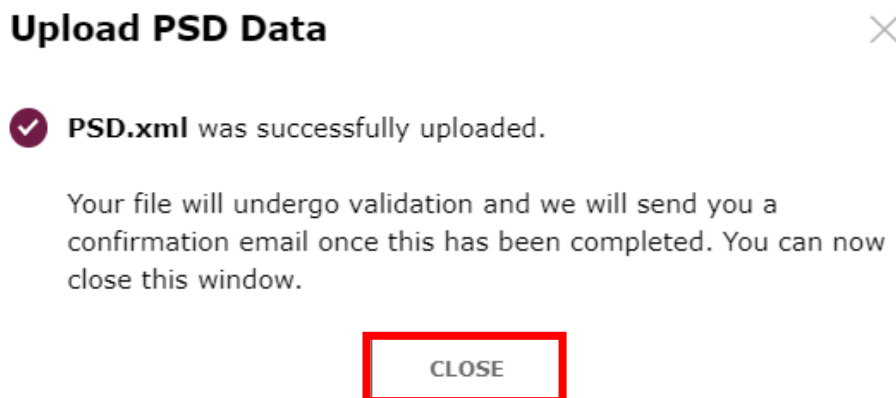
You will be presented with a pop up. Click where it says **click here to choose a file...**, and then find the file you wish to upload from your computer



Then click **Upload File**.

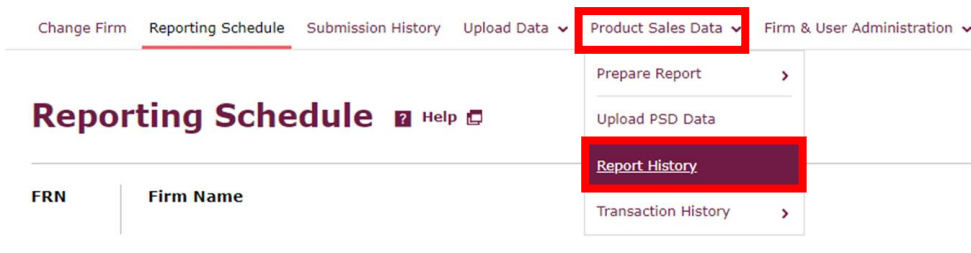


You will get a pop up once your file has been successfully uploaded. Click **CLOSE**. Your uploaded data will be validated. If there are any errors, you will need to resolve these in the XML file before reuploading.



3. Searching your Report History

To search your report history, hover over **Product Sales Data** at the top of the screen. Click **Report History**.



You will be presented with your Report History, with one year's data displayed by default. You can use the Report Status, Report Type, or Submitted Date filters to narrow your results, and view over a year's worth of data

Report History [Help](#)

FRN | Firm Name

** Mandatory Field(s)*

Search Report

Report Status: Report Type: Submitted Date *: From To

Report Name	Report Type	Submitted Date	Total	Accepted	Cancelled	Rejected	Status
○ 888009,	1 Mortgage	05/03/2022	2	2	0	0	Submitted

4. Searching your Searching your Transaction Histories

To search your transaction history, hover over **Product Sales Data**. Then hover over **Transaction History**. Click on the **PSD** you wish to see previous transactions for.

The screenshot shows a navigation bar with the following items: Change Firm, Reporting Schedule, Submission History, Upload Data, Product Sales Data, AIFMD, and Firm & User Administration. The 'Product Sales Data' dropdown menu is open, showing options: Prepare Report, Upload PSD Data, Report History, and Transaction History. The 'Transaction History' option is highlighted. Below the navigation bar, the 'Reporting Schedule' section is visible, with a table containing columns for FRN and Firm Name. The table lists three items: PSD001 Mortgage, PSD002 Retail Investment, and PSD004 Home Reversion Plan. The 'PSD001 Mortgage' row is highlighted, and its 'Transaction History' link is also highlighted.

You will be presented with your Transaction History. You can use the Transaction Reference, Transaction Status, Transaction Date or Submitted Date filters to narrow your results.

PSD001 Mortgage Transaction History [Help](#)

The screenshot shows the 'PSD001 Mortgage Transaction History' search interface. It features a search bar with the following filters: Transaction Reference (text input), Transaction Status (dropdown menu), Transaction Date (From/To date pickers), and Submitted Date (From/To date pickers). Below the search bar are 'CLEAR' and 'FIND' buttons. The search results are displayed in a table with the following columns: Transaction Reference, Transaction Date, Last Updated, Last Updated by, and Status. The table contains three rows of results, all with a status of 'Submitted'.

Transaction Reference	Transaction Date	Last Updated	Last Updated by	Status
<input type="checkbox"/> 297365	01/07/2005	01/07/2005	asoman	Submitted
<input type="checkbox"/> 297365	01/07/2005	01/07/2005	asoman	Submitted
<input type="checkbox"/> 297365	01/07/2005	01/07/2005	asoman	Submitted

5. Cancelling a Report

Navigate to your Report History, and click **next to the report** you wish to cancel. Click **CANCEL REPORT**.

Report Name	Report Type	Submitted Date	Total	Accepted	Cancelled	Rejected	Status
<input type="radio"/> 213395_	Mortgage Performance	16/12/2021	4	4	0	0	Submitted
<input type="radio"/> 213395_	Retail Investment	16/12/2021	2	2	0	0	Submitted
<input type="radio"/> 213395_	Mortgage Performance	16/12/2021	1	1	0	0	Submitted
<input type="radio"/> 213395_	Retail Investment	16/12/2021	5	5	0	0	Submitted
<input type="radio"/> 213395_	Mortgage Performance	16/12/2021	2	2	0	0	Submitted
<input type="radio"/> 213395_	Retail Investment	16/12/2021	4	4	0	0	Submitted
<input checked="" type="radio"/> 213395_	Mortgage Performance	16/12/2021	1	0	1	0	Submitted
<input type="radio"/> 213395_	Retail Investment	16/12/2021	2	0	2	0	Cancelled
<input type="radio"/> 213395_	Mortgage Performance	16/12/2021	1	0	0	1	Rejected
<input type="radio"/> 213395_	Retail Investment	16/12/2021	1	0	0	1	Rejected

PREVIOUS 01 02 03 04 05 06 07 08 09 10 ... 20 NEXT

Show Records 10 GO

CANCEL REPORT

You will get a pop up to provide a reason for cancellation. Select this from the mandatory drop down menu, and provide additional notes if required. Once complete, click **CONFIRM**.

Reason for Cancellation



* Mandatory field(s)

Reason for Cancellation *

If 'Other' is selected, you must enter the reason in 'Further Details'. For all other reasons, you may include further details regarding your reason for the request.

Notes

Max. 500 characters

CANCEL

CONFIRM

You will receive confirmation of cancellation at the top of the page.

[Change Firm](#) [Reporting Schedule](#) [Submission History](#) [Upload Data](#) [Product Sales Data](#) [AIFMD](#) [Firm & User Administration](#)

 The selected transaction(s) has been successfully cancelled.✕

[Product Sales Data / Report History](#)

6. Amending and Cancelling a Transaction

To amend a transaction, navigate to your Transaction History, and click **next to the transaction** to be amended. Then click **AMEND TRANSACTION**.

Search for a Transaction

Transaction Reference	Transaction Status	Transaction Date	Submitted Date
<input type="text" value="Enter Transaction Reference"/>	<input type="text" value="Select Transaction Status"/>	From <input type="text" value="DD/MM/YYYY"/>	From <input type="text" value="01/12/2021"/>
		To <input type="text" value="DD/MM/YYYY"/>	To <input type="text" value="21/04/2022"/>
<input type="button" value="CLEAR"/> <input type="button" value="FIND"/>			

† Rejected transaction has been amended

<input type="checkbox"/>	Transaction Reference	Transaction Date	Last Updated	Last Updated by	Status
<input checked="" type="checkbox"/>	Transaction 1	14/06/2021	05/03/2022		Submitted
<input type="checkbox"/>	Transaction 2	11/08/2021	05/03/2022		Submitted

You will get a pop up to confirm you want to amend the transaction. Click **YES** if you wish to confirm and continue. You will then be taken to the Report Details page where you will find a draft version of the transaction which can be amended.

Confirm Amendment



If you continue, the selected transaction(s) will be updated to 'Cancelled'. You will then be taken to a draft report where a draft version of the transaction(s) can be accessed, amended and resubmitted.

Are you sure you want to amend the selected transaction(s)?

To cancel a transaction, navigate to your Transaction History, and click **next to the transaction** to be cancelled. Click **CANCEL TRANSACTION**.

Search for a Transaction

Transaction Reference:

Transaction Status:

Transaction Date: From To

Submitted Date: From To

+ Rejected transaction has been amended

<input type="checkbox"/>	Transaction Reference	Transaction Date	Last Updated	Last Updated by	Status
<input type="checkbox"/>	Transaction 1	14/06/2021	21/04/2022		Cancelled
<input checked="" type="checkbox"/>	Transaction 2	11/08/2021	05/03/2022		Submitted

You will be asked to confirm your wish to cancel the transaction. Click **YES** if you wish to proceed.

Confirmation



Are you sure you want to cancel this transaction?