Form G: Retail Investment Adviser Complaints alerts form file specification

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1. Form G: Retail Investment Adviser Complaints Alerts Form

This document sets out the file specification for the comma-separated values (csv) file for the Form G: retail investment adviser complaints alerts form.

If you intend to submit the report in a csv format, we will check the data is in the correct format. To help with this, please provide information in the same order as in the file specification described in section 2.

Please ensure that the file you submit has the file extension csv e.g. 'Firm Name FRN Form G.csv'.

Please note csv files have data items separated by commas, so if a field contains a comma, the whole field must be enclosed within double quotes e.g. "Much, Benedict and Chaucer".

Please ensure that the file you submit:
- has a header row as shown in the sample layout; and
- does not contain any blank or empty rows.

For every csv file you submit, the submitter details in the following list must be the same throughout the file:
- Firm_Name
- Firm_FRN
- FormG_Submitter_Forename
- FormG_Submitter_Surname
- FormG_Submitter_IRN
- FormG_Submitter_Position
- FormG_Submitter_Email
- FormG_Submitter_Telephone

As each notification is for only one retail investment adviser the following information must be the same throughout the file:
- RIA_Forename
- RIA_Surname
- RIA_IRN

Please ensure that you do not duplicate any information – there should be one notification per upheld complaint.

In Section 3 on page 6, we give a sample file to illustrate the file specification. Not following these instructions and the defined format will delay your submission.

2. Form G: Complaints Alerts csv file specification

Data Item	Description	Format	Maximum length	Required field
Firm_Name	Name of the firm submitting the professional standards data.	Alphanumeric	100	Y
Firm_FRN	Your firm reference number e.g. 123456.	Numeric	6	Y
FormG_Submitter_Forename	Forename of the person submitting the information – this must be the same throughout any one submission.	Alphanumeric	100	Y
FormG_Submitter_Surname	Surname of the person submitting the information – this must be the same throughout any one submission.	Alphanumeric	100	Y
FormG_Submitter_IRN	Individual reference number of the person submitting the information – this must be the same throughout any one submission.	Alphanumeric	8	Optional
FormG_Submitter_Position	Job title of the person submitting the information – this must be the same throughout any one submission.	Alphanumeric	100	Y
FormG_Submitter_Email	Email address of the person submitting information – this must be the same throughout any one submission.	Alphanumeric	100	Y
FormG_Submitter_Telephone	Telephone number of a person that we can contact if we have a query about the submission. This must be the same throughout any one submission.	Alphanumeric	30	Y
RIA_Forename	The name of the retail investment adviser whom the complaint has been upheld against. This must be the same throughout any one submission.	Alphanumeric	100	Y
RIA_Surname	The surname of the retail investment adviser whom the complaint has been upheld against. This must be the same throughout any one submission.	Alphanumeric	100	Y
RIA_IRN	The individual reference number (IRN) of the retail	Alphanumeric	8	Y

Data Item	Description	Format	Maximum length	Required field
	investment adviser whom the complaint has been upheld against e.g. AAA12345. This must be the same throughout any one submission.			
Complaint_Number	This is a unique number to indicate how many complaints have been upheld for the retail investment adviser being reported on. This will be either 1, 2 or 3 depending on the number of complaints.	Numeric	1	Y
Subject_Code	This must be one of the following: • A - if the complaint relates to Advising, selling and arranging • B - if the complaint relates to the terms and disputed sums/charges • C - if the complaint relates to general admin/customer service • D - if the complaint relates to Arrears • E - if the complaint relates to none of the above	Character	1	Y
Redress paid exceeds £50,000	If a complaint has been upheld and redress paid exceeds £50,000, this field must be filled in to indicate this.	Character	1	Y- if redress exceeds £50,000
Date_Upheld	The date on which the complaint was upheld.	DD/MM/YYYY	10	Y

3. Sample layout of Form G: Retail Investment Adviser Complaints Alerts Form

The table below illustrates what the csv file will look like in a spreadsheet:

Firm_Name	Firn_FRN	FormG_Submitter_Forename	FormG_Submitter_Surname	FormG_Submitter_IRN	FormG_Submitter_Position	FormG_Submitter_Email	FormG_Submitter_Telephone	RIA_forename	RIA_Surname	RIA_IRN	Complaint_Number	Subject_Code	Redress paid exceeds £50,000	Date_Upheld
Ouro Dinson	999999	Paul	Rivers		Admin	Paul.rivers@ourod.com	02070664589	Diany Tricket	Williamson	DDD01044	1	A	Y	27/07/2012
Ouro Dinson	999999	Paul	Rivers		Admin	Paul.rivers@ourod.com	02070664589	Diany Tricket	Williamson	DDD01044	2	E	Y	24/05/2012
Ouro Dinson	999999	Paul	Rivers		Admin	Paul.rivers@ourod.com	02070664589	Diany Tricket	Williamson	DDD01044	3	C	Y	01/04/2012

The figure below shows a sample csv in a text editor. Please note that the FormG_Submitter_IRN field is optional and has been left blank to illustrate how an empty field is indicated in a csv file.