

File Upload User Guide

FR Y-14A/Q Data Collection

Capital Assessments and Stress Testing

Federal Reserve System

Note: this version of the user guide includes:

FR Y-14GEN General

FR Y-14A A. Summary

FR Y-14A B. Scenario

FR Y-14A C. Regulatory Capital Instruments

FR Y-14A E. Operational Risk

FR Y-14A F. Business Plan Changes

FR Y-14Q A.1 – A.10 Retail

FR Y-14Q B. Securities

FR Y-14Q C. Regulatory Capital Instruments

FR Y-14Q D. Regulatory Capital (formerly Regulatory Capital Transitions)

FR Y-14Q E. Operational Risk

FR Y-14Q F. Trading

FR Y-14Q G. PPNR

FR Y-14Q H.1. Wholesale Risk Corporate Loan Data

FR Y-14Q H.2. Wholesale Risk Commercial Real Estate

FR Y-14Q H.3. Wholesale Line of Business

FR Y-14Q H.4. Wholesale Internal Risk Rating

FR Y-14Q J. FVO/HFS

FR Y-14Q K. Supplemental

FR Y-14Q L. Counterparty

FR Y-14Q M. Balances

Overview

This user guide is for FR Y-14 schedules that are processed by the Statistics function:

- FR Y-14 General (GEN) Schedule
- FR Y-14 Annual schedule A, B, C, E, and F
- FR Y-14 Quarterly schedules A.1 through A.10, B, C, D, E, F, G, H.1*, H.2*, H.3*, H.4*, J, K, L, and M

*Certain firms will be required to submit Y-14Q H. Wholesale data on a monthly basis starting with data as of July 31, 2020

Respondents will be expected to submit their XML data files and CSV Respondent Edit Reports through the Reporting Central application for the FR Y-14A/Q through the Reporting Central application. Respondents will be able to submit any file type for the FR Y-14GEN series (file expectations will be communicated separately). The process of submitting qualitative supporting information will remain unchanged, and respondents should continue to submit that information electronically through the IntraLinks website.

With the transition to the Reporting Central application (and pending technical instruction updates), the format of the XML data files and CSV Respondent Edit Reports for the FR Y-14A/Q are expected to remain the same. The Reporting Central application will subject firm's XML data files and CSV Respondent Edit Report submissions to basic file level validations that must be resolved before submissions can be accepted. Note that for the FR Y-14GEN series, no file level validations will be performed. See Appendix A for further information on basic file level validations performed by Reporting Central.

List of FR Y-14 Series

In Reporting Central each FR Y-14A/Q schedule is considered a "series" of its own. The table below lists the names of the retail schedules as they appear in Reporting Central.

Reporters will submit files for one, several, or all of these series according to the materiality rules in the FR Y-14A/Q reporting instructions.

Name as it appears in Reporting Central	FR Y-14A/Q	Frequency	Collection ID
FY14GEN	General	N/A	N/A
FY14AA	Summary Schedule	Annual	SMRY - ACT, SMRY - CAP_PROJ, SMRY - OPSRISK, SMRY - OTTI_ACT, SMRY - OTTI_CUSIP, SMRY - OTTI_MV, SMRY - OTTI_PROJ, SMRY - PROJ, SMRY - VINT, SMRY - TRDNG
FY14AB	Scenario	Annual	SCNR - DEF, SCNR - VAL

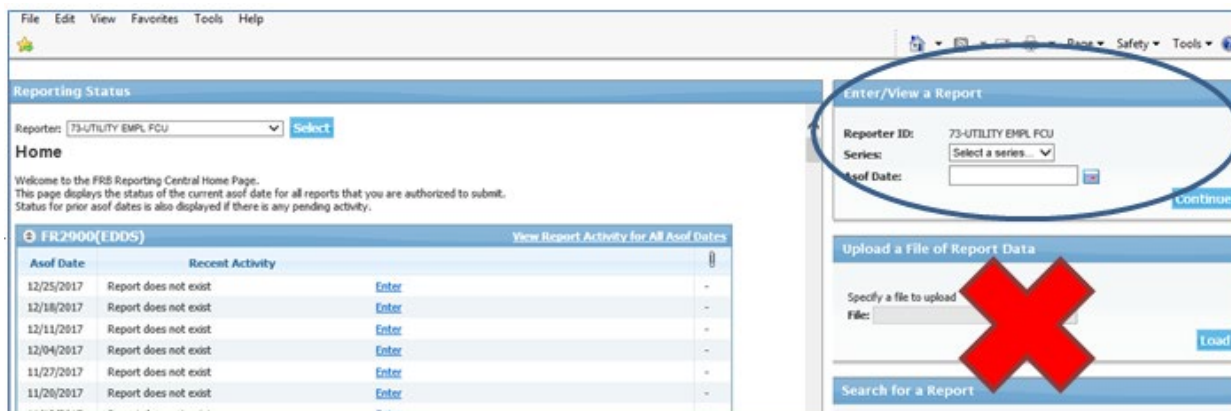
Name as it appears in Reporting Central	FR Y-14A/Q	Frequency	Collection ID
FY14AC	Regulatory Capital Instruments	Annual	RCI - PROJ, RCI - SUPP
FY14AE	Operational Risk	Annual	OPSRISK - LR, OPSRISK - OL, OPSRISK - RI, OPSRISK - RS
FY14AF	Business Plan Changes	Annual	BPC - CAP_PROJ, BPC - PROJ
FY14QA1	A.1. Retail International Auto Loan	Quarterly	RETAIL - INTAUTO
FY14QA2	A.2. Retail US Auto Loan	Quarterly	RETAIL - AUTO
FY14QA3	A.3. Retail International Credit Card	Quarterly	RETAIL - INTCARD
FY14QA4	A.4. Retail International Home Equity	Quarterly	RETAIL - INTHE
FY14QA5	A.5. Retail International First Lien Mortgage	Quarterly	RETAIL - INTFM
FY14QA6	A.6. Retail International Other Consumer	Quarterly	RETAIL - INTLOTHCONS
FY14QA7	A.7. Retail US Other Consumer	Quarterly	RETAIL - USOTHCONS
FY14QA8	A.8. Retail International Small Business	Quarterly	RETAIL - INTSB
FY14QA9	A.9. Retail US Small Business	Quarterly	RETAIL - USSB
FY14QA10	A.10. Retail Student Loan	Quarterly	RETAIL - STUDENT
FY14QB	Securities	Quarterly	SCRTS - AGG, SCRTS - HDG, SCRTS - MS
FY14QC	Regulatory Capital Instruments	Quarterly	RCI - ISS, RCI - MS, RCI - RED
FY14QD	Regulatory Capital (formerly Regulatory Capital Transitions)	Quarterly	RCT - MS, RCT - PA
FY14QE	Operational Risk	Quarterly	OPSRISK - BL, OPSRISK - MS, OPSRISK - RF, OPSRISK - TH, OPSRISK - UOM
FY14QF	Trading	Quarterly	TRDNG - AGNCS, TRDNG - CMDTY, TRDNG - CMDTY_SVG, TRDNG - CRED_CORR, TRDNG - EQ_BG, TRDNG - EQ_SVG, TRDNG - FVO, TRDNG - FX_SPOT, TRDNG - FX_VEGA, TRDNG - IDR_CC, TRDNG - IDR_CC_BI, TRDNG - IDR_CC_BP, TRDNG - IDR_CC_BS, TRDNG - IDR_JTD, TRDNG - M_ARS_CC, TRDNG - OTH_EQ, TRDNG - OTH_RTS, TRDNG - PE_OFVA, TRDNG - RTS_DV01, TRDNG - RTS_VEGA, TRDNG - SEC_PROD, TRDNG - SOV_CRED
FY14QG	PPNR	Quarterly	PPNR
FY14QH1	H.1. Wholesale Risk Corporate Loan Data	Quarterly	CIL
FY14QH2	H.2. Wholesale Commercial Real Estate	Quarterly	CRE
FY14QH3	H.3. Wholesale Line of Business	Quarterly	CLBS
FY14QH4	H.4. Wholesale Internal Risk Rating	Quarterly	CIRR
FY14QJ	FVO/HFS	Quarterly	FVO - SMRY, FVO - VNTG
FY14QK	Supplemental	Quarterly	SUPP

Name as it appears in Reporting Central	FR Y-14A/Q	Frequency	Collection ID
FY14QL	Counterparty	Quarterly	CPC - AGG_RTS_COL, CPC - CRED_QLTY, CPC - DRV_AGG, CPC - DRV_MTM, CPC - EE_RNK, CPC - RNK, CPC - SENS_AGG, CPC - SENS_RANK, CPC - SFT_AGG, CPC - SFT_CP, CPC - SFT_MTM, CPC - DRV_SFT, CPC - IND_REG
FY14QM	Balances	Quarterly	BLNCS

Upload Files to Reporting Central

After logging in to Reporting Central, in the Enter/View a Report section, select the series name from the drop down list, confirm the Reporter ID of the reporting institution and select the reporting as-of date (if an incorrect as-of date is entered a red error message will appear reading, "Asof Date is not a valid date"). Then click on Continue.

Note: Use the "Enter/View a Report" Section to upload the FR Y-14 data. Do NOT use the "Upload a File of Report Data" section.



Upload for FR Y-14A/Q Series

The FR Y-14 file attachment screen will now appear. The document type options are for Financial Data and Remarks files. You can submit both files in the same session or one at a time. Upload files may be:

Remarks

- CSV file of edit remarks
- ZIP file containing one CSV file

Financial Data

- XML file of financial data
- ZIP file containing one XML file

Note that if a CSV or XML file is larger than 2GB, the file must be compressed. See Appendix B for further details regarding file compression.

Unlike most other series, Reporting Central does not display FR Y-14 financial data after the file has been uploaded. Once uploaded, you can view a file submission by clicking on the link provided on the attachment screen. You will be given the option to open or save the document.

The screenshot shows the Reporting Central interface. At the top, there is a blue header with the text "Reporting Central" and a sub-header "Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)". Below the header, there is a form with the following fields:

Reporter:	123456789 - NY Test RSSD	Status:	
Series:	FY14QG	Submission Date:	
As of Date:	09/30/2018	Submitter:	
Security Classification:	Restricted FR		

Below the form, there are three buttons: "Save As Draft", "Submit", and "Cancel".

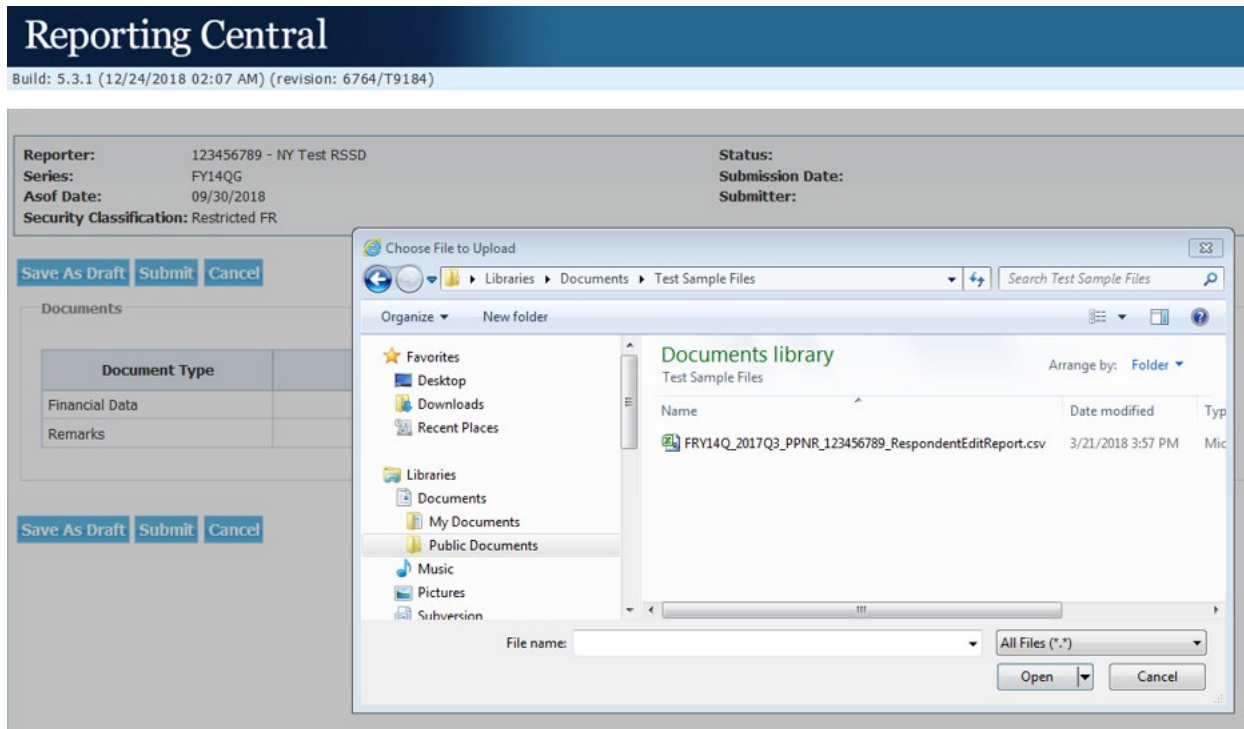
The main section is titled "Documents" and contains a table with the following columns: "Document Type", "Document", "Status", and "Upload". The table has two rows: "Financial Data" and "Remarks". The "Upload" column for each row contains an "Upload" button.

Below the table, there are three buttons: "Save As Draft", "Submit", and "Cancel".

Click on the corresponding Upload button. In this example we clicked on the Upload button for Remarks.

This screenshot is similar to the previous one, but it shows a modal dialog box titled "Add a new document" open over the "Remarks" row of the table. The dialog box has a "File:" label, a text input field, and a "Browse..." button. Below the input field, there are "Upload" and "Cancel" buttons.

When this pop-up prompt appears, click on Browse.



A File selection dialog window will open so you can navigate to the folder where the input files reside.

In this example, we select a CSV file and click on Open.

The pop-up prompt reappears with the file name filled in. Click on Upload.

Reporting Central

Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)

Reporter: 123456789 - NY Test RSSD
Series: FY14QG
Asof Date: 09/30/2018
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

Save As Draft Submit Cancel

Documents

To retrieve validation status, click [Refresh](#)

Document Type	Document	Status	
Financial Data			Upload
Remarks			Upload

Save As Draft Submit Cancel

Add a new document

File: \\rb.win.frb.org\B1\Account Browse...

Upload Cancel

The file uploads and appears on the attachment screen. It has not yet been submitted for processing by Reporting Central. Note the Replace button next to the file.

At this point you may click on any of the following:

- The Replace button in the Remarks section to reload a new version of the Remarks file
- The Remove button in the Remarks section to remove the csv file
- The Upload button in the Financial Data section
- Refresh to update validation status.
 - The validation status (VALIDATING, VALID, INVALID) will be displayed in the Status column.
 - The validation status will refresh automatically for most series, except for FY14QE and FY14QL. You will have to click Refresh to update the validation status.
- Submit to complete the upload of files into Reporting Central
- Cancel to un-do all of the activity in this session
- Save As Draft to leave the page while file validation is in progress. You can come back to the screen at a later time to check the status of the validation process. The filing status is updated to “DRAFT”.

Reporting Central

Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)

Reporter: 123456789 - NY Test RSSD	Status:
Series: FY14QG	Submission Date:
Asof Date: 09/30/2018	Submitter:
Security Classification: Restricted FR	

Save As Draft
Submit
Cancel

Documents

To retrieve validation status, click [Refresh](#)

Document Type	Document	Status	
Financial Data			Upload
Remarks	FRY14Q_20180930_PPNR_123456789_RespondentEditReport.csv	VALID	Replace Remove

Save As Draft
Submit
Cancel

In this example, if we clicked on Replace, the pop-up prompt appears again.

The screenshot shows the Reporting Central interface. At the top, there is a header with the text "Reporting Central" and a sub-header "Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)". Below this, there is a section for user information: "Reporter: 123456789 - NY Test RSSD", "Series: FY14QG", "Asof Date: 09/30/2018", "Security Classification: Restricted FR", "Status:", "Submission Date:", and "Submitter:". Below the user information, there are three buttons: "Save As Draft", "Submit", and "Cancel".

The main content area is titled "Documents" and contains a table with the following data:

Document Type	Document	Status	
Financial Data			Upload
Remarks	FRY14Q_20180930_PPNR_123456789_RespondentEditReport.csv	VALID	Replace Remove

To the right of the table, there is a link "To retrieve validation status, click Refresh". Below the table, there are three buttons: "Save As Draft", "Submit", and "Cancel".

A pop-up window titled "Add a new document" is open, showing a "File:" field with a file path and a "Browse..." button. Below the field are "Upload" and "Cancel" buttons.

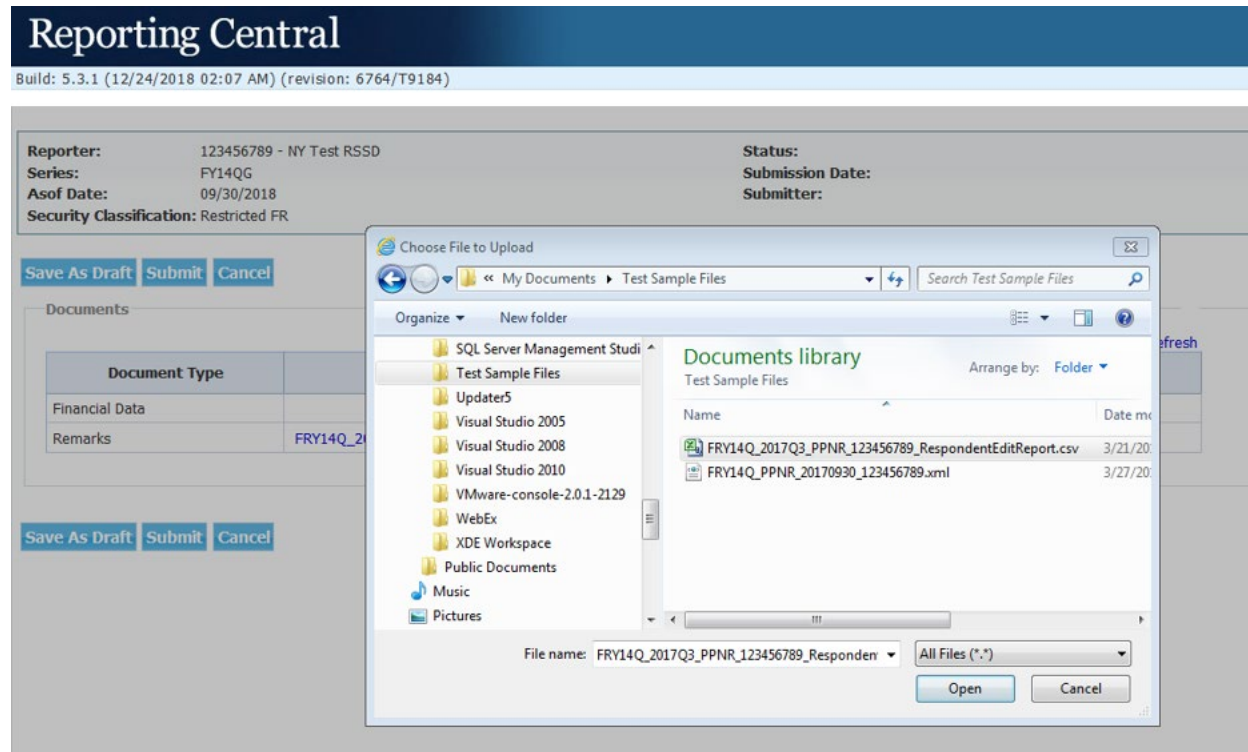
After choosing a file through the File Selection window and clicking on Upload, we are back to the attachment screen.

The screenshot shows the Reporting Central interface, similar to the previous one. The header and user information are the same. The "Documents" section now shows the following table:

Document Type	Document	Status	
Financial Data			Upload
Remarks	FRY14Q_20180930_PPNR_123456789_RespondentEditReport.csv	VALID	Replace Remove

The "Upload" button in the "Financial Data" row is now highlighted, indicating it is the active element. The "Refresh" link and the "Save As Draft", "Submit", and "Cancel" buttons are also present.

To upload Financial Data, in the Financial Data row, click on the “Upload” button. The prompt window reappears. Click on Browse. The File Selection window opens, allowing selection of an XML file.



If you select a CSV file when uploading a Financial Data document type (or an XML file for a Remarks document type), an error message will be displayed. The same message applies if you mistakenly attempt to upload any other file type such as PDF or Excel.

Reporting Central

Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)

Reporter: 123456789 - NY Test RSSD
Series: FY14QG
Asof Date: 09/30/2018
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

Save As Draft Submit Cancel


Documents

Document Type	Document	Status
Financial Data		
Remarks		

To

Save As Draft Submit Cancel

Message from webpage

 Financial data files must have extension .XML

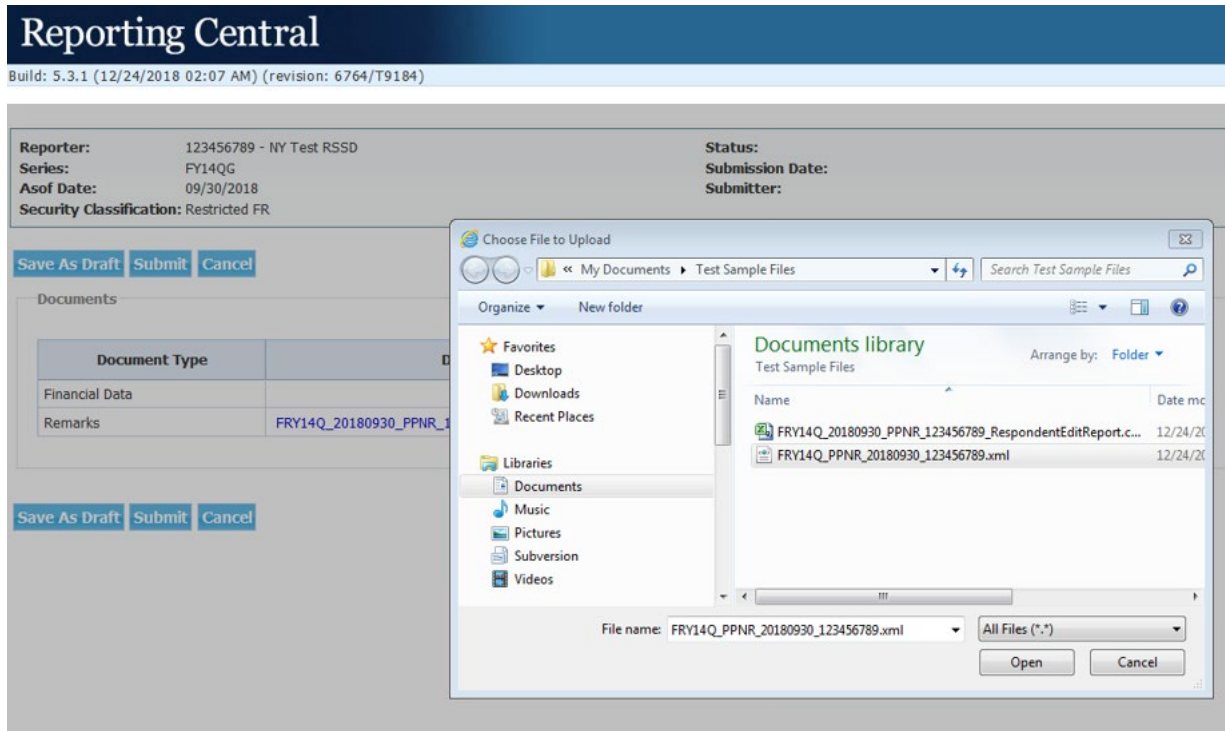
OK

Add a new document

File:

Upload Cancel

To try again click on OK to clear the error message, then Browse. In the File selection window, select the XML file.



The file names of both Remarks and Financial Data appear when the proper file types are selected. In that case both files are valid and passed the validation process. The filing status changes to "DRAFT" and the valid files are displayed with REPLACE and REMOVE options.

At this point you may click on any of the following:

- Delete to remove the filings. You will no longer see the upload files. You will be brought back to the Reporting Central Dashboard page.
- Save as Draft to save the filing and exit page. Filing status will stay "DRAFT". You will be back to the Reporting Central Dashboard page.
- Submit to submit valid report(s). The filing status will be changed to "ACTIVE". Reporting Central is ready for the next files to upload.
- Cancel to cancel the submission and exit the page. You will be brought back to the Reporting Central Dashboard page.
- Replace to reload a new version of the file.
- Remove to remove the uploaded file.

Reporting Central

Build: 5.3.1 (12/25/2018 02:07 AM) (revision: 6765/T9184)

Reporter: 123456789 - NY Test RSSD
Series: FY14QG
Asof Date: 09/30/2018
Security Classification: Restricted FR

Status: DRAFT
Submission Date:
Submitter:

[Delete](#) [Save As Draft](#) [Submit](#) [Cancel](#)

Documents

To retrieve validation status, click [Refresh](#)

Document Type	Document	Status		
Financial Data	FRY14Q_PPNR_20180930_123456789.xml	VALID	Replace	Remove
Remarks	FRY14Q_20180930_PPNR_123456789_RespondentEditReport.csv	VALID	Replace	Remove

[Delete](#) [Save As Draft](#) [Submit](#) [Cancel](#)

Upload for FR Y-14GEN Series

After selecting the FY14GEN series, a screen will appear allowing you to upload and submit a file. There is one "General" document type and any file type can be uploaded.

**Note that if a file is larger than 2GB, the file must be compressed.
See Appendix B for further details regarding file compression.**

Unlike most other series, Reporting Central does not display FR Y-14 data after the file has been uploaded. Once uploaded, you can view a file submission by clicking on the link provided on the attachment screen. You will be given the option to open or save the document.

Reporting Central

Build: 5.7.0 (11/04/2019 02:01 AM) (revision: 7136/T10290)

Reporter: 123456789 - NY Test RSSD
Series: FY14GEN
Asof Date: 12/31/2019
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

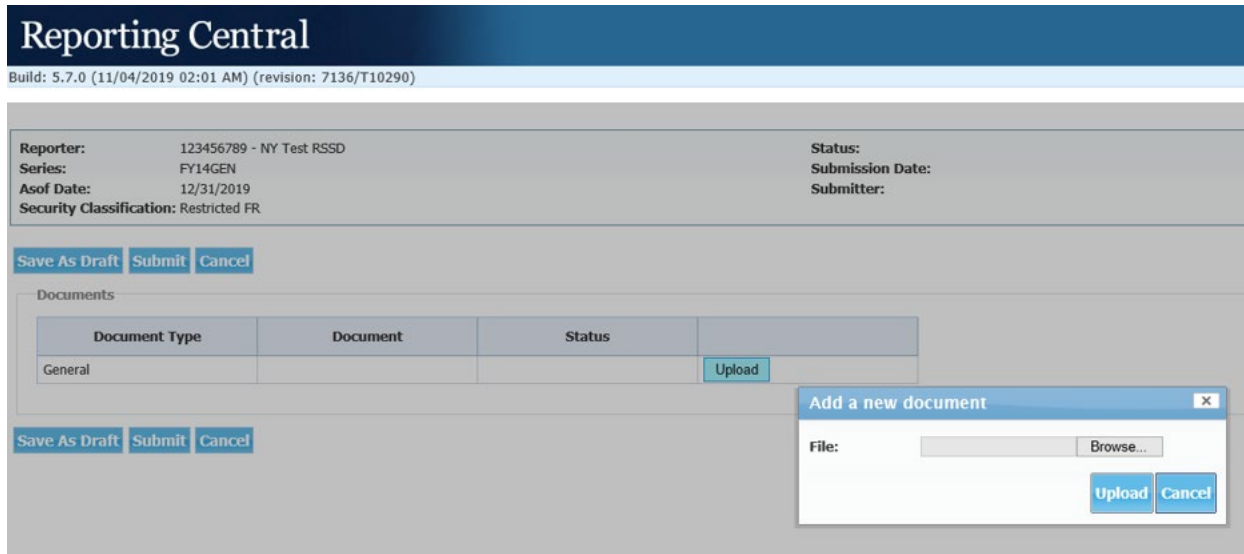
[Save As Draft](#) [Submit](#) [Cancel](#)

Documents

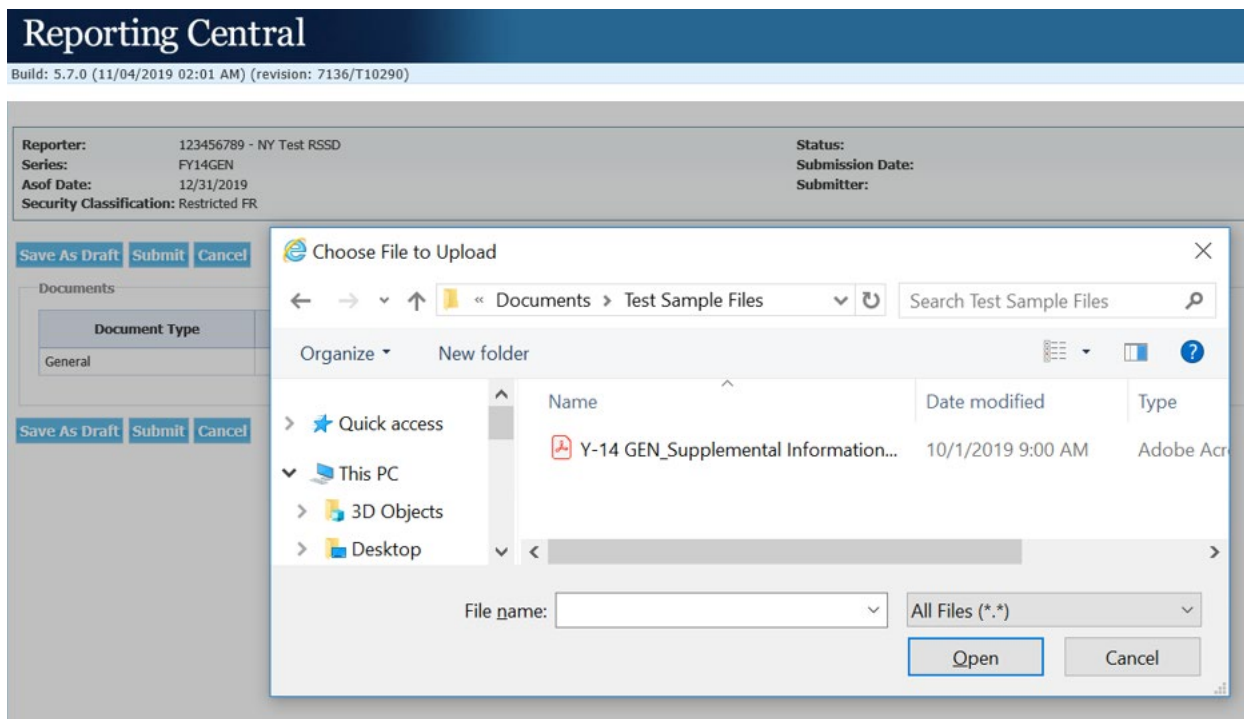
Document Type	Document	Status	
General			Upload

[Save As Draft](#) [Submit](#) [Cancel](#)

Click on the Upload button.



When this pop-up prompt appears, click on Browse.



A File selection dialog window will open so you can navigate to the folder where the input files reside.

In this example, we select a PDF file and click on Open.
The pop-up prompt reappears with the file name filled in. Click on Upload.

Reporting Central
Build: 5.7.0 (11/04/2019 02:01 AM) (revision: 7136/T10290)

Reporter: 123456789 - NY Test RSSD
Series: FY14GEN
Asof Date: 12/31/2019
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

Save As Draft Submit Cancel

Documents

Document Type	Document	Status
General		Upload

Save As Draft Submit Cancel

Add a new document

File: \\rb.win.frb.org\B1\Accour Browse...

Upload Cancel

The file uploads and appears on the attachment screen. It has not yet been submitted for processing by Reporting Central.

At this point you may click on any of the following:

- The Replace button to reload a new version of the General file
- The Remove button to remove the General file
- Submit to complete the upload of the file into Reporting Central
- Cancel to un-do the activity in this session
- Save As Draft to save the filing and exit the page. You can come back to the screen at a later time to complete the process. The filing status is updated to "DRAFT".

Reporting Central

Build: 5.7.0 (11/22/2019 02:00 AM) (revision: 7165/T10347)

Reporter: 123456789 - NY Test RSSD
Series: FY14GEN
Asof Date: 12/31/2019
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

[Save As Draft](#) [Submit](#) [Cancel](#)

Documents

Document Type	Document	Status	
General	Y-14 GEN_Supplemental Information_Sample File-123456789-20191231.pdf		Replace Remove

[Save As Draft](#) [Submit](#) [Cancel](#)

In this example, if we click on Save As Draft button, the filing status changes to “DRAFT” and the screen returns to the Reporting Central Dashboard page with a message indicating that the draft has been saved but not submitted.

After this point you may choose to view the saved report, and can perform any of the following actions:

- Delete to remove the filing. You will no longer see the upload file. You will be brought back to the Reporting Central Dashboard page.
- Save as Draft to save the filing and exit page. Filing status will stay “DRAFT”. You will be back to the Reporting Central Dashboard page.
- Submit to submit a valid report. The filing status will be changed to “ACTIVE”. Reporting Central is ready for the next file to upload.
- Cancel to cancel the submission and exit the page. You will be brought back to the Reporting Central Dashboard page.
- Replace to reload a new version of the file.
- Remove to remove the uploaded file.

Reporting Central

Build: 5.7.0 (11/22/2019 02:00 AM) (revision: 7165/T10347)

Reporter:	123456789 - NY Test RSSD	Status:	DRAFT
Series:	FY14GEN	Submission Date:	
Asof Date:	12/31/2019	Submitter:	
Security Classification:	Restricted FR		

[Delete](#) [Save As Draft](#) [Submit](#) [Cancel](#)

Documents

Document Type	Document	Status	
General	Y-14 GEN_Supplemental Information_Sample File-123456789-20191231.pdf		Replace Remove

[Delete](#) [Save As Draft](#) [Submit](#) [Cancel](#)

Validation of XML and CSV files (for all FR Y-14A/Q series)

In addition to ensuring a valid file type, Reporting Central checks the uploaded file for other validations listed in Appendix A of this user guide. If an uploaded file fails any validations, Reporting Central will display error messages.

The upload process will capture schema validations and up to 10,000 custom validation errors. If any errors were detected, a link "Click to View Errors" will become available to download the error messages and the status of upload is marked as "Invalid". If the error count captures more than the allotted amount of errors, you will see a message at the end of the file that says "The maximum number of file validations have been executed."

Examples:

Reporting Central

Build: 5.3.1 (12/24/2018 02:07 AM) (revision: 6764/T9184)

Reporter: 123456789 - NY Test RSSD	Status:
Series: FY14QG	Submission Date:
Asof Date: 09/30/2018	Submitter:
Security Classification: Restricted FR	

[Save As Draft](#) [Submit](#) [Cancel](#)

Documents

To retrieve validation status, click [Refresh](#)

Document Type	Document	Status		
Financial Data	FRY14Q_PPNR_20170930_123456789.xml	INVALID Click to View Errors	Replace	Remove
Remarks			Upload	

[Save As Draft](#) [Submit](#) [Cancel](#)

A1		Upload file validation error													
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	Upload file validation error														
2	at line: 4 and column: 89, Value " is not facet-valid with respect to enumeration '[D, I, U]'. It must be a value from the enumeration.														
3	at line: 4 and column: 89, The value " of attribute 'TRANSTYPE' on element 'SMRY_Data_Collect_ACT' is not valid with respect to its type, 'TRANSTYPE_IUD'.														
4	For the FinancialData file, 'D_DT' provided at row 1 does not match the 'D_DT' chosen.														
5	The FinancialData file has NULL 'TRANSTYPE' at row 1.														
6	For the FinancialData file, 'D_DT' provided at row 2 does not match the 'D_DT' chosen.														
7	For the FinancialData file, 'D_DT' provided at row 3 does not match the 'D_DT' chosen.														
8	For the FinancialData file, 'D_DT' provided at row 4 does not match the 'D_DT' chosen.														
9	For the FinancialData file, 'D_DT' provided at row 5 does not match the 'D_DT' chosen.														
10	For the FinancialData file, 'D_DT' provided at row 6 does not match the 'D_DT' chosen.														
11	For the FinancialData file, 'D_DT' provided at row 7 does not match the 'D_DT' chosen.														
12	For the FinancialData file, 'D_DT' provided at row 8 does not match the 'D_DT' chosen.														
13	For the FinancialData file, 'D_DT' provided at row 9 does not match the 'D_DT' chosen.														
14	For the FinancialData file, 'D_DT' provided at row 10 does not match the 'D_DT' chosen.														
15	For the FinancialData file, 'D_DT' provided at row 11 does not match the 'D_DT' chosen.														
16	For the FinancialData file, 'D_DT' provided at row 12 does not match the 'D_DT' chosen.														
17	For the FinancialData file, 'D_DT' provided at row 13 does not match the 'D_DT' chosen.														
18	For the FinancialData file, 'D_DT' provided at row 14 does not match the 'D_DT' chosen.														
19	For the FinancialData file, 'D_DT' provided at row 15 does not match the 'D_DT' chosen.														
20	For the FinancialData file, 'D_DT' provided at row 16 does not match the 'D_DT' chosen.														
21	For the FinancialData file, 'D_DT' provided at row 17 does not match the 'D_DT' chosen.														
22	For the FinancialData file, 'D_DT' provided at row 18 does not match the 'D_DT' chosen.														
23	For the FinancialData file, 'D_DT' provided at row 19 does not match the 'D_DT' chosen.														
24	For the FinancialData file, 'D_DT' provided at row 20 does not match the 'D_DT' chosen.														
25	For the FinancialData file, 'D_DT' provided at row 21 does not match the 'D_DT' chosen.														
26	For the FinancialData file, 'D_DT' provided at row 22 does not match the 'D_DT' chosen.														
27	For the FinancialData file, 'D_DT' provided at row 23 does not match the 'D_DT' chosen.														
28	For the FinancialData file, 'D_DT' provided at row 24 does not match the 'D_DT' chosen.														
29	For the FinancialData file, 'D_DT' provided at row 25 does not match the 'D_DT' chosen.														
30	For the FinancialData file, 'D_DT' provided at row 26 does not match the 'D_DT' chosen.														
29934	at line: 277999 and column: 172, '2015-12-32T00:00:00' is not a valid value for 'dateTime'.														
29935	at line: 277999 and column: 172, The value '2015-12-32T00:00:00' of attribute 'D_DT' on element 'SCRTS_Data_Collect_HDG' is not valid with respect to its type, 'DATE_TIME'.														
29936	at line: 278016 and column: 172, '2015-12-32T00:00:00' is not a valid value for 'dateTime'.														
29937	at line: 278016 and column: 172, The value '2015-12-32T00:00:00' of attribute 'D_DT' on element 'SCRTS_Data_Collect_HDG' is not valid with respect to its type, 'DATE_TIME'.														
29938	at line: 278033 and column: 172, '2015-12-32T00:00:00' is not a valid value for 'dateTime'.														
29939	at line: 278033 and column: 172, The value '2015-12-32T00:00:00' of attribute 'D_DT' on element 'SCRTS_Data_Collect_HDG' is not valid with respect to its type, 'DATE_TIME'.														
29940	at line: 278050 and column: 172, '2015-12-32T00:00:00' is not a valid value for 'dateTime'.														
29941	at line: 278050 and column: 172, The value '2015-12-32T00:00:00' of attribute 'D_DT' on element 'SCRTS_Data_Collect_HDG' is not valid with respect to its type, 'DATE_TIME'.														
29942	The maximum number of file validations have been executed.														
29943															

The file must pass all validation checks before it can be submitted.

Submit Files

After files have been uploaded, you must click Submit. This action transmits the file(s) to their receiving site, which is the Board of Governors.




After clicking the Submit button, Reporting Central may take some time to process the submit request. Assuming the files pass the validation checks (for all series other than FR Y-14GEN which do not have validation checks), Reporting Central will submit the files and display the following message.

Reporting Central

Build: 5.3.1 (01/16/2019 11:23 AM) (revision: 6785/T9184)

Report submission completed successfully.

* indicates required field

Series: * FY14QG 
Reporter ID: * 123456789 
Asof Date: * 12/31/2018 
 Use Free-Format

[Continue](#)

After submitting the file(s), the following timestamp message will appear. The Replace button will no longer be visible, but a new set of blank Financial Data and Remarks sections with Upload buttons will appear for the FR Y-14A/Q series if the respondent needs to upload a newer version of the files. For the FR Y-14GEN series, a new blank General section with an Upload button will appear if the respondent needs to upload a newer version of the file. This is because, unlike other report forms, the FR Y-14 report does not allow for the discard of a previously-submitted file(s).

Reporting Central

Build: 5.3.1 (12/25/2018 02:07 AM) (revision: 6765/T9184)

Reporter: 123456789 - NY Test RSSD
Series: FY14QG
As of Date: 09/30/2018
Security Classification: Restricted FR

Status:
Submission Date:
Submitter:

[Save As Draft](#) [Submit](#) [Cancel](#)

Documents

Document Type	Document	Status	To retrieve validation
Financial Data			Upload
Remarks			Upload
Remarks	FRY14Q_20180930_PPNR_123456789_RespondentEditReport.csv	Date: 12/25/2018 9:09pm ET Submitted By:b1vacsd	
Financial Data	FRY14Q_PPNR_20180930_123456789.xml	Date: 12/25/2018 9:09pm ET Submitted By:b1vacsd	

[Save As Draft](#) [Submit](#) [Cancel](#)

Search for Previously Submitted Reports

Reporting Central allows searching for previously submitted reports. See the Reporting Central External User Guide for details.

References

Reporting Central main site

<https://www.frbervices.org/central-bank/reporting-central/index.html>

Reporting Central external user guide

<https://www.frbervices.org/assets/central-bank/reporting-central/external-user-guide.pdf>

Appendix A: Validations Performed by Reporting Central for FR Y-14A/Q Series (Except for FR Y-14GEN)

If an uploaded file fails any validation, Reporting Central will display error message output in an excel spreadsheet. The spreadsheet can be downloaded by clicking on the link, "Click to View Errors".

Validations apply to the XML file, the Remarks (CSV) file, or both. Some validations apply to specific schedules (Reporting Central series) within in the FR Y-14.

NOTE: FR Y-14GEN series does not have any validations.

#	Series	Category	Requirement	Final Error Message
1	All	All	Confirm submitted files are only .CSV or .XML extension.	Financial data files must have extension .XML
	All			Remarks data files must have extension .CSV
2	All	Remarks	Confirm for remarks file names contain the displayed text, 'RespondentEdit Report'. The file name may contain text before and after the requested text.	Remarks data file name must contain "RespondentEditReport".
3	All	XML	Confirm the required primary keys are non-null. The "FRY14 Technical Documentation" lists primary	<div style="border: 1px solid black; padding: 5px;"> <p>Upload file validation error</p> <p>at line: 6 and column: 163, " is not a valid value for 'integer'.</p> <p>at line: 6 and column: 163, The value " of attribute 'ID_RSSD' on element 'CPC_AGG_RTS_COI_Data_Collect' is not valid with respect to its type, 'INTEGER'.</p> <p>The FinancialData file has NULL 'ID_RSSD' at record 1.</p> </div>

#	Series	Category	Requirement	Final Error Message
			keys of each series.	
4	All	Remarks	Confirm the required primary keys are non-null. The "FRY14 Technical Documentation" lists primary keys of each series.	<div style="border: 1px solid black; padding: 2px;"> Upload file validation error The Remarks file has NULL 'CACVH346' at row 3 column 16 </div>
5	FR Y-14Q Retail schedules A.1 through A.10	All	Confirm Reporting_Month is in the required format, 'yyyymmdd'. Confirm the 'yyyy' matches the year provided in the metadata. Confirm the 'mm' portion of Reporting_Month is one of three month's corresponding with the reporting quarter. Confirm the 'dd' portion of the Reporting_Month is the last day of the month based on the month.	For Remarks file row and col are included <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The 'Reporting Month' submitted does not follow the YYYYMMDD format or cannot be associated with the quarter selected, at row 2 </div> For Financial data file, row and col information is not available <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The 'REPORTING_MONTH' submitted does not follow the YYYYMMDD format or cannot be associated with the quarter selected, at record 1. </div>
6	FR Y-14Q Retail schedules A.1 through A.10	All	Confirm Segment_ID are the correct length and start with a leading zero. Confirm the Segment_ID only has allowed values at each position within the Segment_ID.	For Remarks file <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The 'Segment ID' submitted at row 2 column 5 does not match the reporting instruction </div> For Financial data file <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The 'SEGMENT_ID' submitted at record 1 does not match the reporting instructions. </div>

#	Series	Category	Requirement	Final Error Message
7	All	XML	XSD validation must verify that the XML file is correctly formatted and complete. Each XML file must utilize a specified root element, pursuant to the requirements provided for each report schedule. Files that do not contain an opening and closing root element must not be accepted.	XML schema validations will be displayed <div style="border: 1px solid black; padding: 2px;"> Upload file validation error at line: 1370 and column: 3, The element type 'CPC_Data_Collect' must be terminated by the matching end-tag '</CPC_Data_Collect>'. </div>
8	All	XML	If the XML tags (start and end) cannot be verified against predefined XSD, the output should indicate the unidentified XML tag and its position in the file.	XML schema validations will be displayed <div style="border: 1px solid black; padding: 2px;"> Upload file validation error at line: 3 and column: 87, Invalid content was found starting with element 'TEST'. </div>
9	All	XML	If the XML file is incorrectly formatted or incomplete, the output should indicate the root cause.	XML schema validations will be displayed <div style="border: 1px solid black; padding: 2px;"> Upload file validation error at line: 1370 and column: 29, Element 'CPC_DRV_SFT_Data_Collect' cannot have character [children], because the type's content type is element-only. </div>
10	All	XML	If the XML file contains an ID_RSSD and/or D_DT that is/are not aligned with the required metadata firms complete as part of the submission, the output should	XMLschema validations will be displayed <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The 'ID_RSSD' provided at record 1 does not match the ID_RSSD for the submitting institution. </div>

#	Series	Category	Requirement	Final Error Message
			indicate the incorrect ID_RSSD or D_DT and its position in the file.	
11	All except for FR Y-14Q Retail schedules A.1 through A.10	XML	If the XML file does not contain a correctly format 'D_DT' for each record within a XML file, the output should indicate all instances of incorrect 'D_DT' and their corresponding line position in the file. The output should also indicate the correct (expected) format, 'YYYY-MM-dd'T'00:00:00.000' or 'YYYY-MM-dd'T'00:00:00'.	<div style="border: 1px solid black; padding: 5px;"> <p>Upload file validation error</p> <p>at line: 6 and column: 169, '2018-12-31T00:00:0.000' is not a valid value for 'dateTime'.</p> <p>at line: 6 and column: 169, The value '2018-12-31T00:00:0.000' of attribute 'D_DT' on element 'CPC_AGG_RTS_COI_Data_Collect' is not valid with respect to its type, 'DATE_TIME'.</p> <p>For the FinancialData file, 'D_DT' at record 1 does not follow the yyyy-MM-ddT00:00:00.000 or yyyy-MM-ddT00:00:00.</p> </div>
12	All	Remarks	The CSV file must utilize the predefined column names and ordering. Reference the 'Respondent Edit Report' template within the Technical Instructions package to identify the correct column names and order.	<div style="border: 1px solid black; padding: 5px;"> <p>Upload file validation error</p> <p>The remarks data file does not have the correct column ordering.</p> </div>
13	All	Remarks	If the CSV file does not utilize a correct 'Collection ID'	

#	Series	Category	Requirement	Final Error Message
			for each record within a remarks file, the output should indicate all instances of incorrect 'Collection ID' and their corresponding line position in the file. The output must also indicate the accepted (expected) 'Collection ID'.	<p>Upload file validation error</p> <p>The Remarks data file does not have the correct 'Collection ID' at row 2 column 1 for the series being submitted. Expecting CPC - RNK, CPC - AGG_RTS_COL, CPC - EE_RNK, CPC - CRED_QLTY, CPC - SENS_AGG, CPC - SENS_RANK, CPC - SFT_CP, CPC - SFT_MTM, CPC - SFT_AGG, CPC - DRV_AGG, CPC - DRV_MTM, CPC - DRV_SFT</p>
14	All	Remarks	If the CSV file does not contain a correctly formatted 'As-of Date' for each record within a remarks file, the output should indicate all instances of incorrect 'As-of Date' and their corresponding line position in the file. The output should also indicate the correct (expected) format, 'YYYY-MM-DD 00:00:00.000'.	<p>Upload file validation error</p> <p>For the Remarks file, 'As-of Date' at row 2 column 3 does not follow the yyyy-MM-dd 00:00:00.000.</p>
15	All	Remarks	If the CSV file does not contain the ID_RSSD of the reporting institution, the output should indicate the ID_RSSD provided does not match the expected ID_RSSD.	<p>Upload file validation error</p> <p>The 'Respondent ID_RSSD' provided at row 2 column 2 does not match the ID_RSSD for the submitting institution.</p>

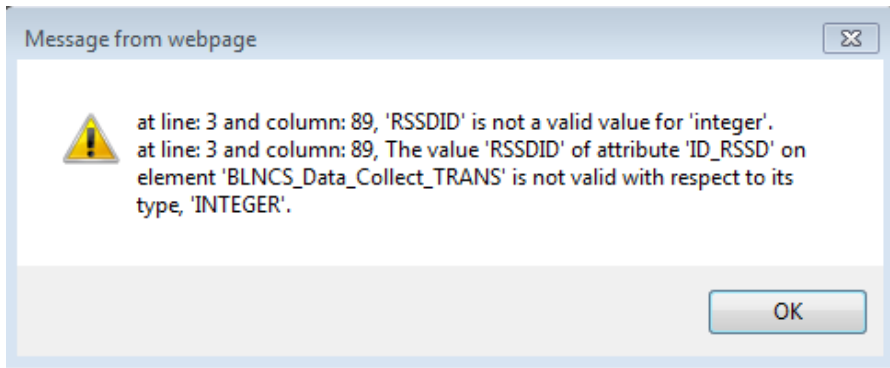
#	Series	Category	Requirement	Final Error Message
16	All	Remarks	If the CSV file contains carriage return (CR) or line feed (LF) within a column, the output should indicate the first instance of the incorrect CR or LF and its line position in the file.	<div style="border: 1px solid black; padding: 2px;"> Upload file validation error The submitted file could not be validated, please refer to the technical instructions for guidance and resubmit </div>
17	All	Remarks	If the CSV file contains any blank rows, the output should indicate the number of blank rows and their line position within the file.	<div style="border: 1px solid black; padding: 2px;"> Upload file validation error The file submitted has blank rows at row 14 </div>
18	All	Remarks	No records provided in the remarks file.	No record found in remarks file. <div style="border: 1px solid black; padding: 2px;"> Upload file validation error The submitted file could not be validated, please refer to the technical instructions for guidance and resubmit </div>
19	All	All	File parsing exceptions for both remarks and financial data	The submitted file could not be validated, please refer to the technical instructions for guidance and resubmit

Sample xml schema validation error messages

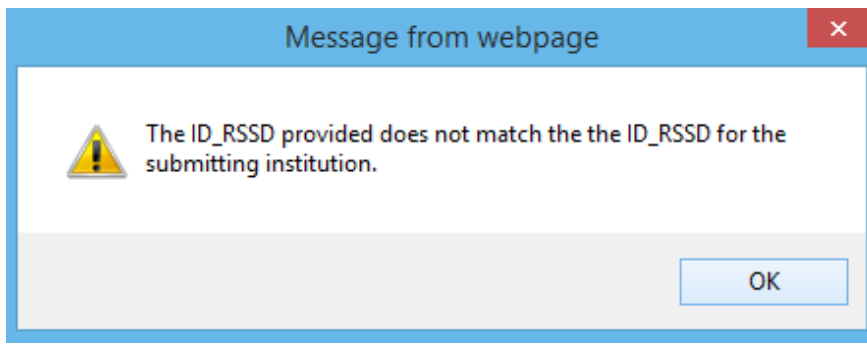
In the schema the ID_RSSDID field is defined as `<xs:attribute name="ID_RSSD" type="INTEGER" use="required"/>`

If the upload file has a String value for ID_RSSD, Ex: `<Data_Collect_TRANS SEGMENT_ID="0201030303" ID_RSSD="RSSDID" REPORTING_MONTH="20171130" TRANSTYPE="D">`

The following schema Validation error will be displayed.



If the upload file has an Integer value for ID_RSSD and the ID_RSSD does not match the selected reporter ID in the data entry screen. The following error message will be displayed

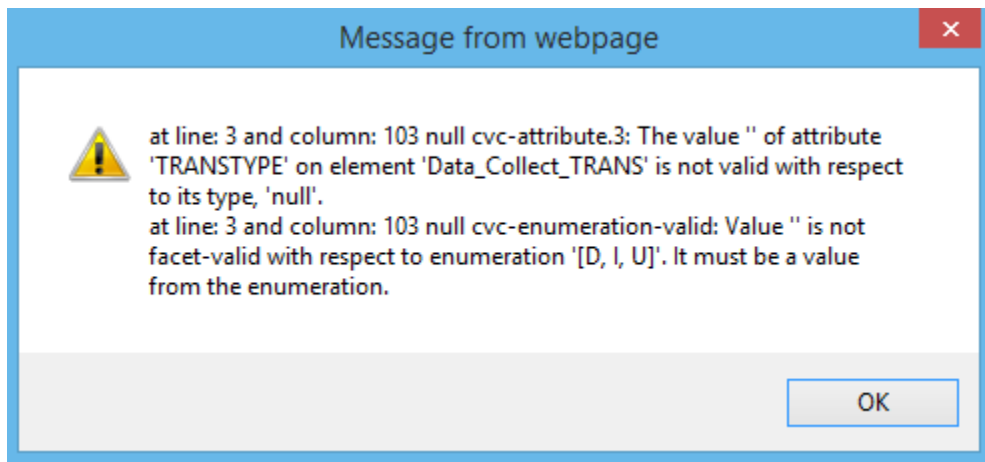


Schema Validation error when the TranType has an empty string, expected value should be either D, I, U

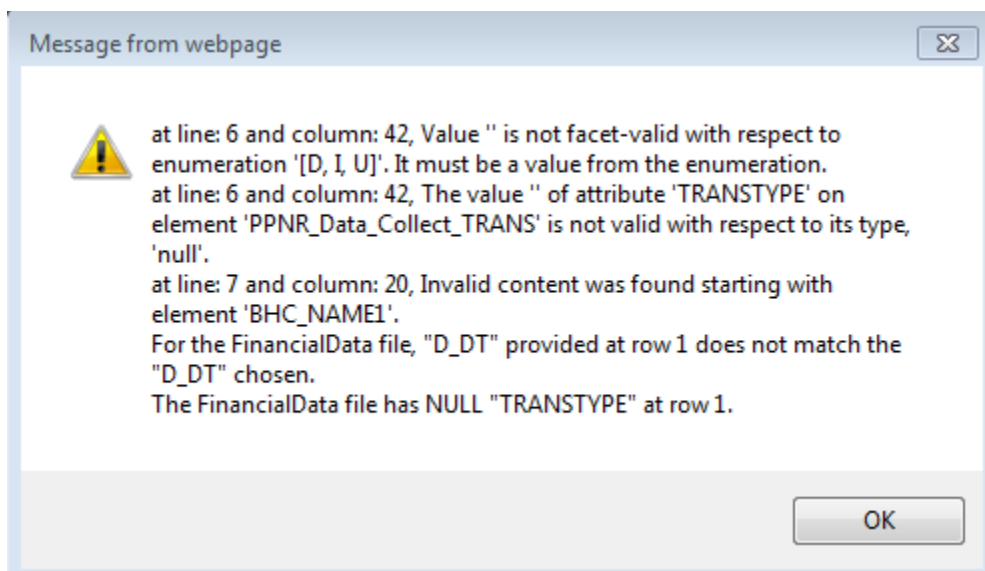
In the schema, Transtype is defined as

```
<xs:attribute name="TRANSTYPE" use="required">  
  <xs:simpleType>  
    <xs:restriction base="xs:string">  
      <xs:enumeration value="D"/>  
      <xs:enumeration value="I"/>  
      <xs:enumeration value="U"/>  
    </xs:restriction>  
  </xs:simpleType>  
</xs:attribute>
```

If the upload file has an empty string for transtype, Ex: `<Data_Collect_TRANS SEGMENT_ID="0201030303" ID_RSSD="1234567" REPORTING_MONTH="20171130" TRANSTYPE="">` following schema validation error message will be displayed



Sample Schema Validation error: When an invalid element found, in this case BHC_NAME1 is an invalid element



Appendix B: File compression for upload files larger than 2GB

If a file to be uploaded is larger than 2GB, the file must be compressed. Compressed files must be ZIP (legacy compression), not the latest ZIPX extension.. GZ and 7z extensions are also not supported.

The file must also be compressed using the DEFLATE compression algorithm. Please note that the “Windows Send to Compressed Folder” compression method uses a proprietary compression algorithm for files larger than 2GB so a different compression utility such as Winzip or 7-Zip is required for large files (>2GB).

See below for an error message when a ZIP file is uploaded using an unsupported compression algorithm.

The screenshot displays the Reporting Central web application interface. At the top, the header includes the text "Reporting Central" on the left, "DEV-SF" in red in the center, and "Central Bank Central" on the right. Below the header, a status bar shows "Build: 5.3.1 (02/06/2019 09:44 AM) (revision: 6795/T9184)" on the left, "Accessibility (off) - Logout" in the center, and "User: Thomas Ogata (LITX002)" on the right.

The main content area contains a form with the following fields:

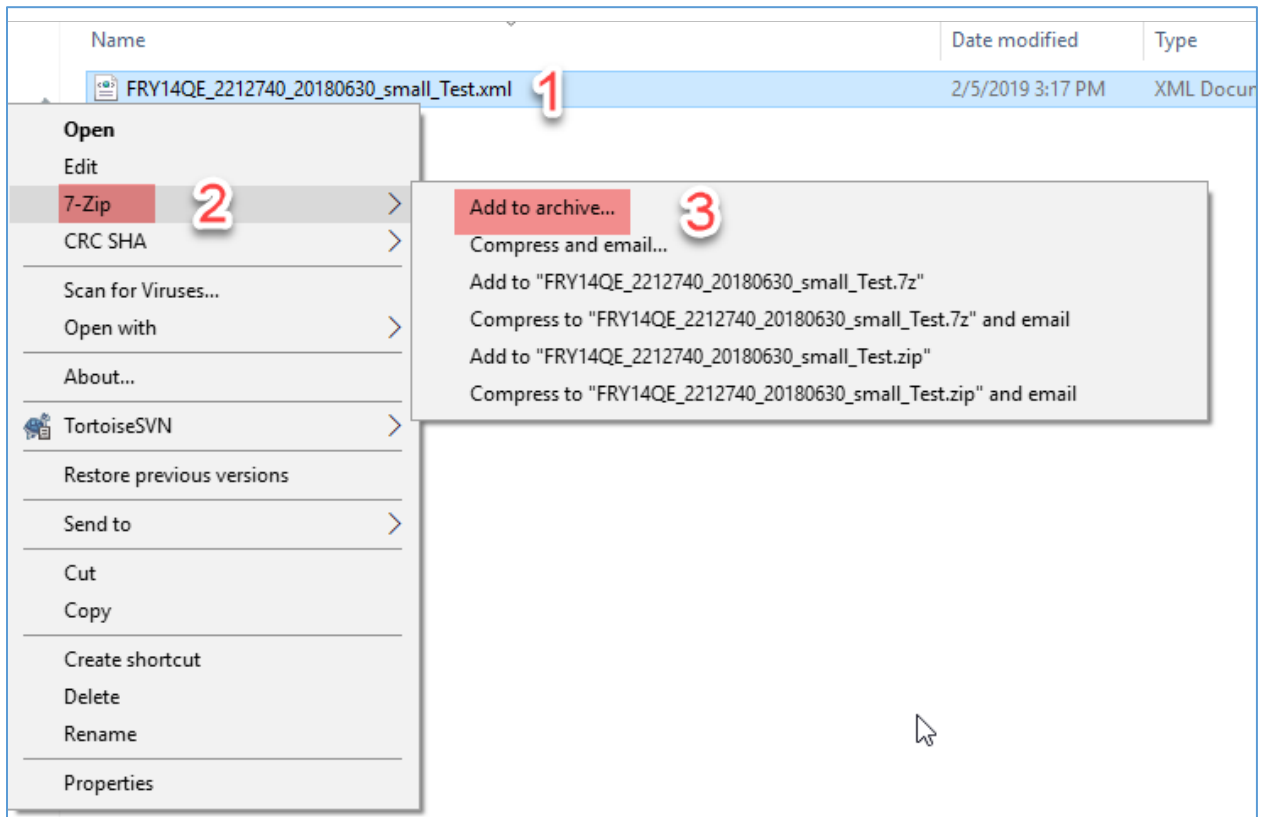
- Reporter: 2212740 - SAN JOSE SHARKS CORP
- Series: FY14QE
- As of Date: 12/31/2018
- Security Classification: Restricted FR
- Status: (empty)
- Submission Date: (empty)
- Submitter: (empty)

Below the form are buttons for "Save As Draft", "Submit", and "Cancel". A "Documents" section contains a table with columns "Document Type", "Document", and "Status". The table has two rows: "Financial Data" and "Remarks". A note above the table says "To retrieve validation status, click Refresh".

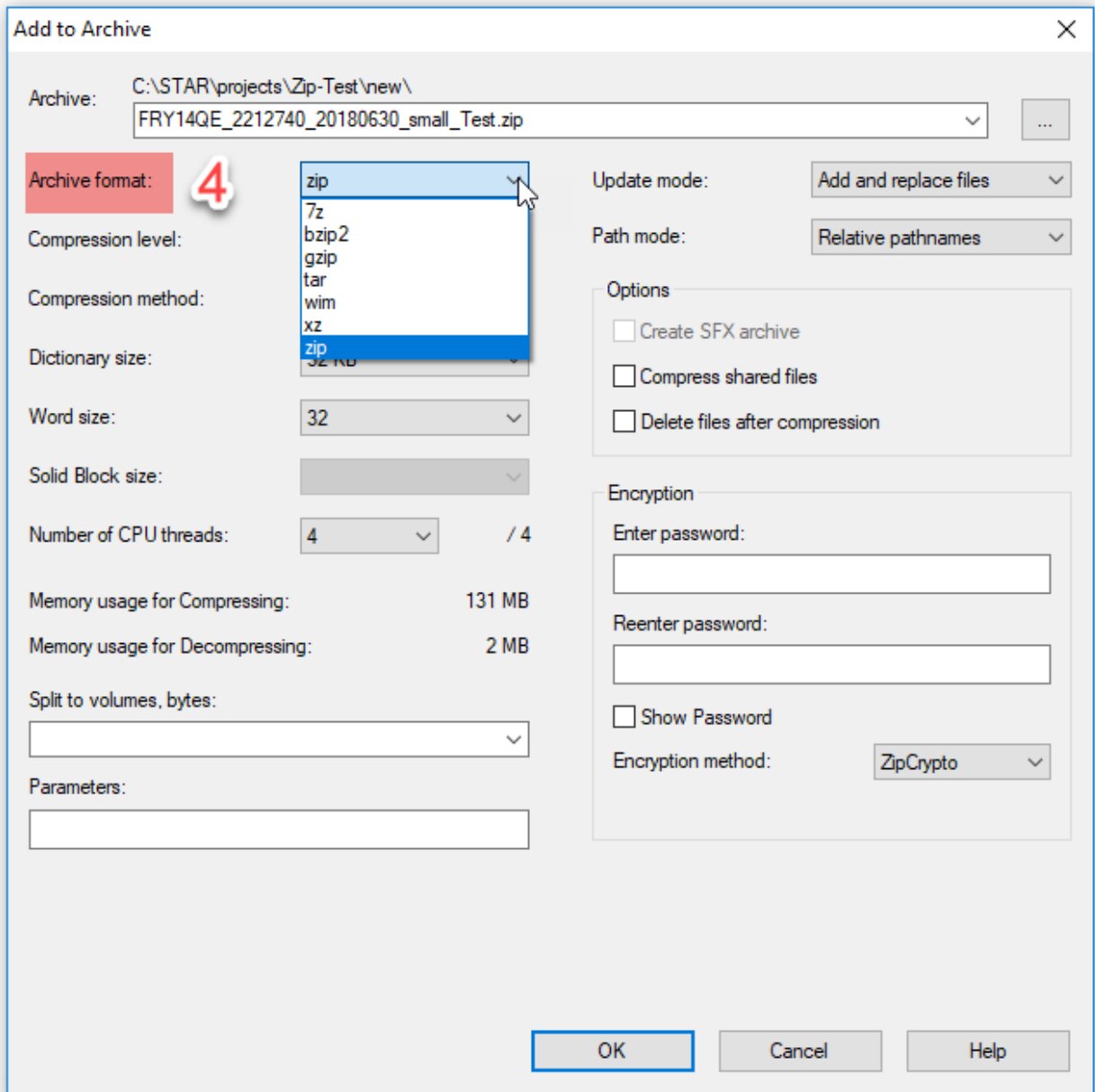
An "Add a new document" dialog box is open, showing a "File:" field with the path "C:\Users\LITX002". A "Message from webpage" dialog box is also open, displaying a warning icon and the text "Unable to unzip file due to unsupported compression." with an "OK" button.

Using 7-Zip as an example of a supported compression algorithm, the instructions for compressing a file are as followed:

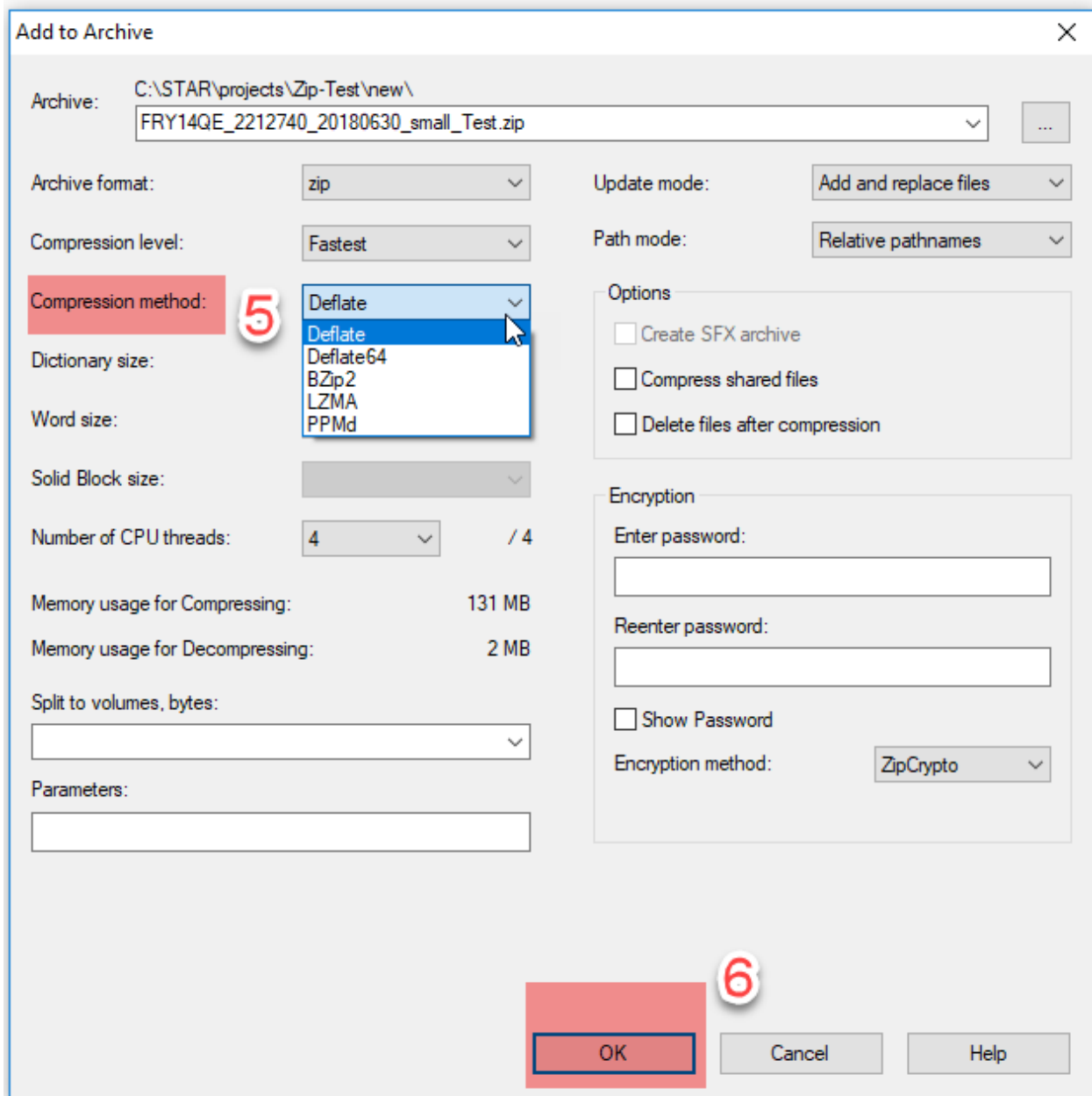
1. Right click on a file to be compressed.
2. Select 7- Zip.
3. Select "Add to archive..."



4. Select “zip” as Archive format.



5. Select “Deflate” as Compression method.
6. Click OK button.



Once the file has been compressed into a ZIP file, you can upload to Reporting Central.