

MiFID II – Registration of “short codes” via the Upload Function

V 1.4

› eex

› ecc

› epexspot

› powernext

› pegas

› pxe

› cltx

› nodal

› nodalclear

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nordic

Which new order fields will EEX introduce?

EEX will introduce a range of new fields in order entry messages, including but not limited to:

<ClientID>

<Investment Decision Maker Qualifier>

<Investment Decision Maker>

<Execution Trader Qualifier>

<Execution Trader>

EEX will introduce these new fields in the order entry messages to meet the requirements with regard to the maintenance of relevant data relating to orders in financial instruments. Trading venues are obliged to be able to supply regulators with a wide range of order-related data upon request.

EEX additionally requires this information for the purposes of transaction reporting to the competent national regulators.

How to fill the new order fields using shortcodes

- EEX provides a mapping service to allow clients to submit a dedicated file to the Member Portal with a mapping table of short codes used at the order entry and the corresponding long codes that will be used for transaction reporting to the regulators.
- To provide flexibility to our clients, EEX allows clients to employ their own short codes. Any mappings are valid until the provided „valid-date“ within the file.
- Following fields in the order message need to be filled with a shortcode, which needs to be mapped to a LEI or a National-ID

<Client_ID>

<Execution Trader>*

<Investment Decision Maker>*

* in the case that the trader itself is the responsible person for execution/investment decision the field can be left blank in the order (no need for use a short code) – EEX will take the National-ID of the trader (mapping by trader_id) from the member/trader reference data

Initial upload of shortcode mapping

- EEX recommends to prepare such a mapping file with all relevant codes if the persons acting as **Execution Trader** or **Investment Decision Maker** are usually different from actual trader entering the order.
- The complete mapping file can be uploaded to the Member Portal once, without the need for any further upload unless changes or additions become necessary.



In case the fields **<Execution Trader>** and **<Investment Decision Maker>** are not populated within the order message, EEX will use the National_ID of the trader who has entered the order. The National_ID is therefore a mandatory information and a precondition for the admission of all traders.

New MiFID T7 fields as data basis for Audit Trail Report (RTS24) and Transaction Report (RTS22)

Member

Mappingfile /translation code into LEI/NationalID:

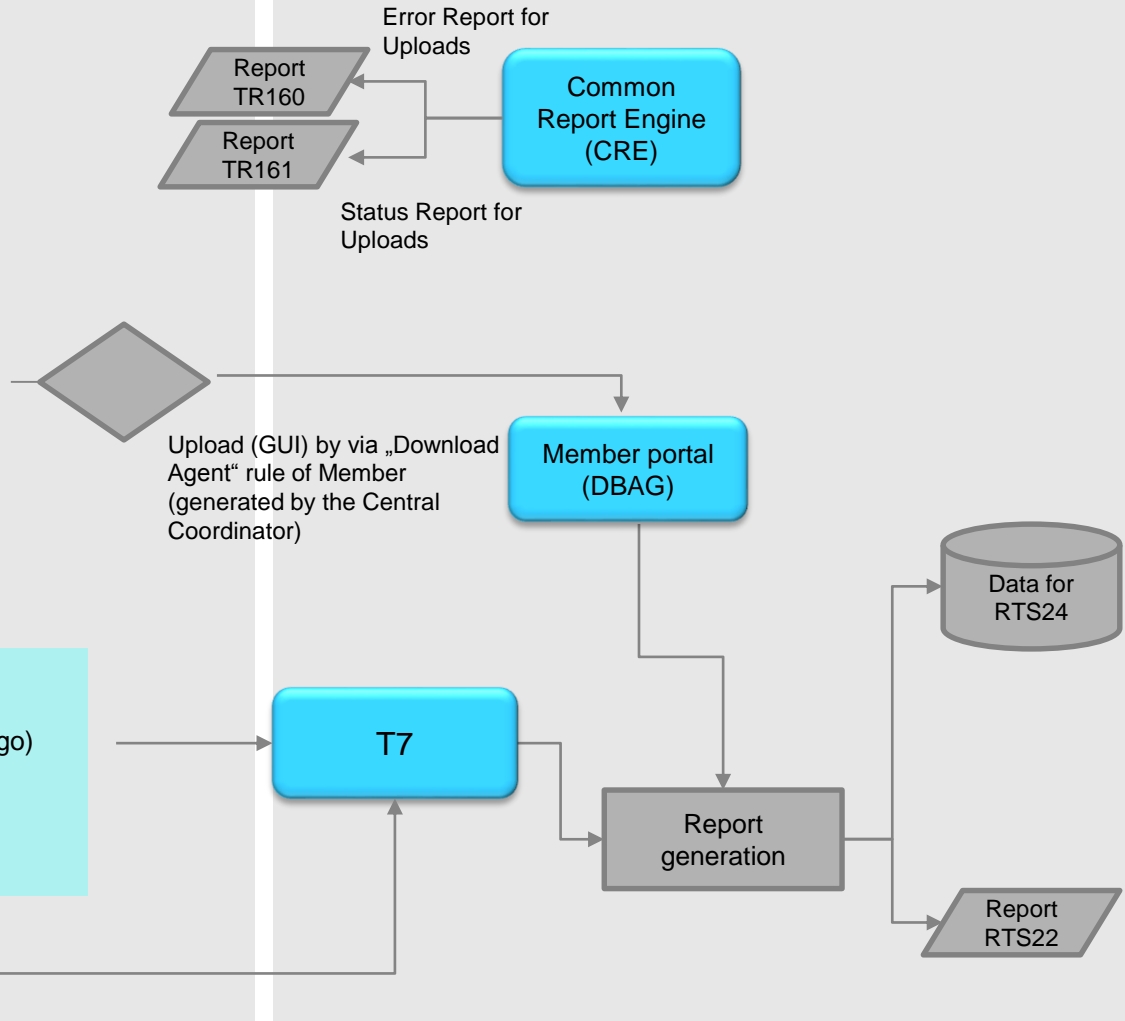
Mandatory	Field name	Field length	Field type	Valid values	Example content
Yes	Participant ID	5 char	Uppercase letters	*List of participant IDs*	DBKFR
Yes	MIC	4 char	Alphanumeric	*MIC according to ISO 10383*	XETR
Yes	Status Indicator	1 char	Uppercase letter	N (for new) M (for modification) D (for deletion)	N
Yes	Valid From Date	10 char	Alphanumeric	Date format	2017-01-02
Yes	Short Code ID	8 bytes	Numeric	0 to 18, 446, 744,073,709,551,614	123456789012345
No	Classification Rule	1 char	Uppercase letter	L (for LEI) N (for National ID) empty	N
Conditional	National ID Country Code	2 char	Capital alpha values	Country code according to ISO 3166-1 alpha 2	CZ
Conditional	National ID Priority	1 char	Numeric	1 2 3	3
Yes	Client Long Value	Max 35 char	Alphanumeric	[0...9][A...Z][a...z][#]	K5PHMP50J

Order:

- <ClientID> (code)
- <Investment Decision Maker Qualifier> (human/algo)
- <Investment Decision Maker> (code/algoid)
- <Execution Trader Qualifier> (human/algo)
- <Execution Trader> (code/algoid)
- <CommodityHedging> (yes/no)

ISV

Trading venue



File format, specification and limitations

- The file should be Comma Separated Values (CSV) format with UTF-8-Encoding for uploading Client ID
- The file must be less than 100 MB in size
- Files larger than 100 MB in should be split into small

Only the technical user for the specific market (XEEE), is uploading the respective data for the market (XEEE) into the Member Section

Known Limitations

- The data should be separated by commas
- EEX will start with a limited amount of parallel uploads per minute to protect the systems. In case the upload capacity is exceeded, you will receive an error message. We kindly ask you to try again shortly afterwards
- Trading Participants should firstly upload all the applicable IDs so that the full ID portfolio is available at the exchange
- Afterwards, on a daily basis, a delta file should be uploaded, which adds new IDs to the ID portfolio and removes IDs that are not required any more
- The sample files on slide 6 are intended for illustration only

Specification Table

Mandatory	Field name	Field length	Field type	Valid values	Example content
Yes	ParticipantID	5 char	Uppercase letters	„list of member ID’s“	ABCEX
Yes	MIC	4 char	Alphanumeric	„MIC according ISO 10383“	XEEE
Yes	Status Indicator	1 char	Uppercase letter	N (for new)	N
				M (for modification)	
				D (for deletion)	
Yes	Valid from date	10 char	Alphanumeric	Date format: YYYY-MM-DD	2017-09-18
Yes	Short Code ID	19 digits	Numeric	0-9999999999999999999 <i>! dont use left-hand zeros</i>	9876
No	Classification Rule	1 char	Uppercase letter	L (for LEI)	N
				N (for National ID)	
				empty	
Conditional	National ID Country Code	2 char	Capital alpha values	Country code according ISO 3166-1 alpha 2	CZ
Conditional	National ID Priority	1 char	Numeric	1	1
				2	
				3	
Yes	Client Long Value	Max 35 char	Alphanumeric	[0..9] [A..Z] [a..z]	65788945*
				[#]	

* Without National Country code

Example

The member ELGEX wants to upload a short codes + National_ID for a natural person:

Person: Frank Bachmann

Short code= „1608“ / Long value (National_ID)= “19750731FRANKBACHM“

Field		value
1	Participant_ID	ELGEX
2	MIC Code EEX	XEEE
3	New/modification/cancelation	N
4	Valid From	2017-12-21
5	Short code	1608
6	Type (National_ID (N) or LEI (L))	N
7	Country Code (only for National_ID)	DE
8	Priority (only for National_ID)	1
9	Long Value	19750731FRANKBACHM

Welcome to the Member Section

Login to the Member Section (<https://member.eex.com/irj/portal>)

My Profile Inbox Contacts Help

eex Technical Connection EEX Documentation

Welcome to the EEX Member Section

Using the Member Portal, participants registered at EEX can order and manage technical access alternatives as well as download files and specifications relevant to the various frontends.

All relevant information on the trading systems as well as support for your technical access is provided here.

Login

User

Password

Login

Have you lost your password, or do you want to register?
 Change to [Login WSS-Online](#)

[Imprint](#) [Data privacy](#) [Terms of use](#) [Technical requirements](#)

Please login to the Member Section with the **Download Agent*** provide by your Central Coordinator (in the case that EEX act as Central Coordinator, please contact our Service Connectivity Team(technology@eex.com))

*How create a Download-Agent? Find here a video (explained for EUREX but 1:1 applicable for EEX): <http://www.eurexchange.com/exchange-en/resources/eu-regulations/mifid-mifir/explanation-videos>

Upload File

Client Identification Upload



1. Click on „*Technical Connection*“

2. Click on ‘*Uploads*’ than click on “*Client Identification Upload*”

3. Please enter the relevant information and upload the Client Identification data

Use always „XEEE“ for the MIC Code field (also for Powernext)!

Example for Client Identification Upload:

ParticipantID,MIC,StatusIndicator,Validfromdate,ShortcodeID,Classificationrule,NationalIDCountryCode,NationalIDpriority,Clientlongvalue

ABCEX,XEEE,N,2017-06-27,9876,N,CZ,2,65765433
 ABCEX,XEEE,N,2017-06-27,1234,N,DE,1,19900401JOHN#DOE##

Upload Result / Webservice

From: **FILEUPLOAD@DEUTSCHE-BOERSE.COM** [mailto:FILEUPLOAD@DEUTSCHE-BOERSE.COM]

Sent: Wednesday, 13. September 2017 12:36

To: **Email Customer Receipt**<info@abcbank.com> Subject: File successfully uploaded

The file has been uploaded successfully at 13.09.2017 12:35:31

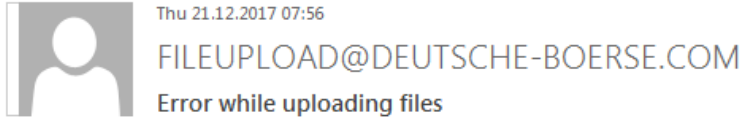
Service: Client Identification Upload XEEE

Market: XEEE

MemberID: e.g. ABCEX

Environment: Production or Simulation

Response email for the negative case:



An Raik Dahl

Nachricht Error_Messages_21.12.2017_085534.csv (918 B)

The file uploaded at 21.12.2017 08:55:34 contains errors listed in the attached file.

Service: Client Identification Upload XEEE

Market: XEEE

MemberID: ELGEX

Environment: S

The negative email contains in addition an excel file with more details about the issues (here: example for using a wrong memberID):

	A	B	C	D	E
	Line;Field;Message				
	1;	PARTICIPANT_ID";	"Invalid value for field Participant ID"		
	2;	PARTICIPANT_ID";	"Invalid value for field Participant ID"		
	3;	PARTICIPANT_ID";	"Invalid value for field Participant ID"		
	4;	PARTICIPANT_ID";	"Invalid value for field Participant ID"		

New reports TR160 and TR161 on Common Report Engine (CRE)

The following two reports are available in order to keep informed in terms of the uploads:

Error report TR160

There are error reports of the short and long codes the participant provides the trading venue with on a daily basis. The reports are available on the CRE.

The report includes the errors and warnings resulting from the upload file and resulting from entering missing short codes into the trading system in the order entry.

Name: TR160 Identifier Mapping Error

Status report TR161

There are status reports of the actual short and long codes the participant provides the trading venue cumulated with on a daily basis. The reports are available on the CRE.

Name: TR161 Identifier Mapping Status

For more information please refer to the respective XML Report Manuals.