FinfraG Client Handbook

Information for clients

January 2025

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New FinfraG account requests	See Account setup services

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Calls may be recorded for monitoring and quality control purposes.

DEFINITIONS

Account code	Code used to identify the client's account. **Examples:** RF6001: Reporting Participant account TF6001: Third Party Internal account EF6001: Third Party External account NF6001: Non-Reporting Entity account
Account Setup Team (ASUT)	REGIS-TR team responsible for setting up client accounts and user profiles.
Account type	RF: Reporting Participant TF: Third Party Internal EF: Third Party External NF: Non-Reporting Entity
BIC	Business Identifier Code in accordance with ISO 9362:2014
Central Coordinator	A person authorised by the client to: • Act as point of contact between REGIS-TR and the client • Perform account and user management functions.
CFI	Classification of Financial Instruments in accordance with ISO 10962:2015
Client	Reporting or Non-Reporting Entity that has a contractual relationship with REGIS-TR. **Note:** Referred to as Member in other Governing Documents.
COD	Internal code consisting of a maximum of 50 characters
Derivative record	Refers to the data of an individual derivative contract as reported to the TR in a message file.
EF	Code denoting *Third Party External* account type.
ESMA	European Securities Markets Authority.
Family Group	Term used to describe: • A group comprising a parent company and any of its affiliates more than 50% owned and under its direct or indirect control • Any structure comparable to a qualifying family group in its home country • A management company or AIFM plus its UCITS or Alternative Investment Fund.

FinfraG	FinfraG (Finanzmarktinfrastrukturgesetz) also known as FinMIA (Financial Market Infrastructure Act) – Federal Act on Financial Market Infrastructures and Market Conduct in Securities and Derivatives Trading (958.1) of 19 June 2015.
FinfraV	FinfraV (Finanzmarktinfrastrukturverordnung) also known as FinMIO (Financial Market Infrastructure Ordinance) - Ordinance on Financial Market Infrastructures and Market Conduct in Securities and Derivatives Trading (958.11) of 25 November 2015.
FINMA	The Swiss Financial Market Supervisory Authority.
FinMIA	Financial Market Infrastructure Act. See *FinfraG*.
FinMIO	Financial Market Infrastructure Ordinance. See *Finfrag*
GLEIF	Global Legal Entity Identifier Foundation. **Further information:** https://www.gleif.org/en/about/this-is-gleif.
ID	Identifier.
IEI	International Entity Identifier, also known as Interim Entity Identifier, a precursor to the LEI.
Inbound	Describes reports/communications sent by the client to REGIS-TR.
Internal Code	A permitted type of identifier of the non-reporting counterparty.
ISIN	International Securities Identification Number in accordance with ISO 6166:2013
LEI	Legal Entity Identifier. See also *GLEIF.*
NF	Code denoting *Non-Reporting Entity* account type.

NFC-	A small non-financial counterparty is an entity for which all the rolling averages for its gross positions in relevant outstanding OTC derivatives transactions calculated over 30 working days are below the following thresholds.
	     a. credit derivatives: CHF 1.1 billion.
	     b. equity derivatives: CHF 1.1 billion.
	     c. interest rate derivatives: CHF 3.3 billion.
	     d. currency derivatives: CHF 3.3 billion.

Non-Reporting Entity	An entity that has a reporting obligation under FinfraG but does not report on its own behalf.
Outbound	Describes reports/communications sent by REGIS-TR to the client.

Outstanding derivative	A derivative reported to the TR that: • Has not matured • Has not been reported with Report type: E, C or Z.
REGIS-TR working days	Refers to the days on which REGIS-TR is open for the reception of derivative reports. REGIS-TR is open following the TARGET2 calendar. Closing days are every: • Saturday • Sunday • 1 January • Good Friday • Easter Monday • 1 May • 25 December • 26 December.
Report type	Report field defining the purpose of the derivative report. **Examples:** Transaction is being reported for the first time, Report was made erroneously, Reporting of a valuation.
Reporting Counterparty	A derivative counterparty that has a reporting duty under Article 104 FinMIA.
Reporting duty	The legal obligation of a derivative counterparty to report its derivatives to a trade repository.
RF	Code denoting *Reporting Participant* account type. See *Reporting Counterparty*.
Reporting Participant (RF)	A client account used by a Reporting Counterparty to report its own side of a derivative.
Reporting responsibility	Legal responsibility under FinfraG for the reporting of the derivatives.
Reporting session	Period during the working day in which the REGIS-TR system is open to receive derivatives submissions from reporting firms.
Report Submitting Entity (RSE)	Any entity that reports derivatives on its own behalf or on behalf of another according to Article 104 FinMIA and Article 92 FinMIO, for example: • Reporting Counterparty • Third party service provider • Vendor of derivative reporting solutions

TARGET2	Second major release of the Trans-European Automated Real-time Gross Settlement Express Transfer System, for cash settlement between financial institutions in central bank money.
TF	Code denoting *Third Party Internal* account type.
Third Party External (EF)	A client account used by a non-counterparty to report derivatives on behalf of an entity outside its Family Group.
Third Party Internal (TF)	A client account used by a non-counterparty to report derivatives on behalf of an entity within its Family Group.
TR	See *Trade Repository*.
Trade Repository (TR)	A legal entity that centrally collects and maintains the records of trades or transactions.
UTI	Unique Trade ID.
Report Type	A client uses the field 'Report Type' to indicate the type of report which they are sending.
Delegation	A client can report under Delegation when it is reporting on behalf of an entity different than itself.

FOREWORD

Getting started

For new clients	Thank you for choosing REGIS-TR to support your FinfraG reporting obligation. The steps for onboarding, with the relevant chapters of this Handbook, are: 1. Select a primary means of connectivity: Connectivity options. 2. Select an account type: Client accounts. 3. Open an account and define a Central Coordinator: Account setup services. 4. Create user profiles and login: User access to the FinfraG Dashboard. 5. Get ready to submit reports: Transaction reporting. REGIS-TR will provide you with access credentials for your testing in the UAT. For assistance, please don't hesitate to Contact us.

FinfraG in brief

Disclaimer for FinfraG in brief	The information in this section is included only to provide general background and context. While this information is provided according to REGIS-TR's understanding of the regulation, it should not be considered in isolation or as constituting a complete or definitive view on any specific matter. You should form your own definitive view by consulting your legal, financial and tax advisors. REGIS-TR does not accept any liability as a result or otherwise for any error or omission in this information, nor for any reliance placed upon it.

Introduction	The aim of FinfraG is to reduce systemic risk by increasing the transparency of the financial markets. The defined derivative counterparty in a transaction according to Art. 104 FinMIA or a third party, must report the transactions to a trade repository. These reports can be accessed by authorised supervisory and regulatory bodies.
The regulation applies to:	Financial and non-financial derivative counterparties. Banks. Securities firms. Insurance and reinsurance companies. Parent companies of a financial or insurance group or financial or insurance conglomerate. Managers of collective assets and fund management companies. Collective investment schemes.

	Occupational pension schemes and investment foundations.
	Companies.
	Branches.
	Central counterparties.
Reporting obligations and responsibilities	1. Derivatives transactions must be reported to a trade repository authorised or recognised by FINMA. 2. The following shall be obliged to report: a. in the case of transactions between a financial and a non-financial counterparty: the financial counterparty. b. in the case of transactions between two financial counterparties: 1. the financial counterparty which is not small, 2. the selling counterparty in the case of a transaction between two financial counterparties or between two small financial counterparties. c. the counterparty which has its registered office in Switzerland if the foreign counterparty does not report. 3. In the event of a transaction between non-financial counterparties, paragraph 2 letters b and c applies by analogy. A transaction between small non-financial counterparties does not have to be reported. 4. If the transaction is cleared centrally, the report is submitted by the central counterparty. If a recognised foreign central counterparty does not submit reports, the reporting duty shall remain with the counterparties. 5. Third parties may be involved in reporting. Derivative reports must be submitted by close of business on the day following the conclusion, modification or termination of the contract (T+1). Both counterparties must retain their records of the transaction for a minimum of ten years. The retention period begins on expiry of the financial year.
Derivative types to be reported	Derivatives are deemed to comprise financial contracts whose price is derived specifically from: a. assets such as shares, bonds, commodities and precious metals. b. reference values such as currencies, interest rates and indices.
Not deemed to be derivatives	The following are not deemed to be derivatives: a. spot transactions. b. derivatives transactions relating to electricity and gas which: 1. are traded on an organised trading facility, 2. must be physically delivered, and 3. cannot be settled in cash at a party's discretion.

	c. derivatives transactions relating to climatic variables, freight rates, inflation rates or other official economic statistics that are settled in cash only in the event of a default or other termination event.
	d. structured products such as capital-protected products, capped return products and certificates.
	e. securities lending and borrowing.
	f. derivatives transactions relating to goods that:
	1. must be physically delivered,
	2. cannot be settled in cash at a party's discretion, and
	3. are not traded on a trading venue or an organised trading facility.
	g. derivatives issued in the form of a security or uncertificated security.
	h. derivatives accepted in the form of a deposit.
Data requirements	Contractual Data must follow these data standards:
	1. Derivative reports must be submitted in REGIS-TR's proprietary CSV or XML formats.
	2. Derivative reports must contain the data fields defined by FINMA.
	3. Derivatives data (trades and positions) must be identified by a Unique Trade ID.
	4. The reporting counterparty must be identified by a Legal Entity Identifier (LEI).
	5. The non-reporting counterparty must be identified by a Legal Entity Identifier (LEI), Business Identifier Code (BIC) or Internal code (COD).
	6. Securities must be identified according to the product taxonomy permitted values.
	7. The relevant ISO standards must be used to identify several data elements including:
	• Currency
	• Country
	• Date and time
	• LEI
	• BIC
	• ISIN
	• CFI
	• UPI
Reporting start date	01 October 2017
	Note: The start of the reporting duty by NFC- counterparties was moved by the Federal Council to **1 January 2028**.

ABOUT REGIS-TR

Introduction	REGIS-TR is a European trade repository for the reporting of trades and transactions across multiple product classes and jurisdictions.
	We offer a consolidated service that simplifies regulatory reporting obligations by delivering the full range of major European trade repository services through a single agency.
	We are authorised to provide trade repository services by the:
	• European Markets and Securities Authority (ESMA) and
	• Swiss Financial Market Supervisory Authority (FINMA).
Trade Repository services	Along with our sister company, REGIS-TR UK LTD in London, we are one of Europe's largest trade repository groups, with around 1,500 client accounts and a weekly average of 30 million+ new trade reports, and offering the following reporting services:
	1. OTC and exchange-traded derivatives (EMIR, UK EMIR, FinfraG)
	2. Securities financing transactions (SFTR).
Regulatory registrations	REGIS-TR was registered as a trade repository on 14 November 2013 by the European Securities and Markets Authority (ESMA) under Regulation (EU) 648/2012 of 4 July 2012 (EMIR).
	On 1 April 2017, REGIS-TR was the first trade repository to be recognised by the Swiss regulator FINMA as a foreign TR for reporting under FinfraG *(Finanzmarktinfrastrukturgesetz).*
	ESMA registered REGIS-TR as a trade repository under Regulation (EU) 2015/2365 (SFTR) on 7 May 2020.

Company structure

REGIS-TR	
Legal name	REGIS-TR société anonyme
Head office	15, rue Léon Laval, L – 3372 Leudelange, Luxembourg.
LEI	222100LDG5RSWCCPU755
VAT ID	LU 24646726
RCS Luxembourg	B 157.650
Registered in	Grand Duchy of Luxembourg
Established	9 December 2010

Business activity	
Type of business	Trade repository
International presence	32 countries

INTRODUCTION TO FINFRAG SERVICES

Derivative classes	REGIS-TR accepts derivative reports for all classes under the regulation, as below: • Commodity / Energy • Credit • Currency • Equity security • Interest Rate • All other derivative classes not included above
Contract types	We accept all derivative contract types, as below: • Contracts for Difference (CFDs) • Forward rate agreements • Futures • Forwards • Options • Swaps • Spreadbets • Exotic products
Report types	We accept all derivative report types/lifecycle events, as below: • N = Transaction is being reported for the first time. • X = Transaction is being reported for the first time and the transfer of the transaction to a position is envisaged on the same day. • M = Modification of erroneous data, supplementation of missing data or updating of positions. • E = Report was made erroneously and should be deleted. • C = Premature termination/cancellation of a contract. • Z = Compression of an OTC derivatives transaction. • V = Reporting of a valuation. • D = Modification of the «Trade ID», provided this had not yet been determined at the time of reporting. • L = Modifications that arise as a result of certain events during the term of the contract and for which no other value applies (lifecycle events).
Direct and delegated reporting	1. **Direct reporting:** The counterparty has the reporting duty and report its side of the transaction. 2. **Delegated reporting:** The counterparty that delegates the reporting of its side of the transaction to:

	- a third party that belongs to the counterparty's family group, - a third party that does not belong to the counterparty's family group, or - a reporting party that it is also counterparty of the transaction. **Further information:** see Delegation.
Interoperability	We have set up a series of partnerships with third party providers offering end-to-end reporting solutions, data enrichment, and other services designed to ease the reporting workload for FinfraG. For full details, please see our website.
Account types	1. All REGIS-TR clients with an FinfraG reporting obligation may open an account, regardless of whether they report directly or delegate to another party. 2. Clients request account setup services from REGIS-TR. 3. The account type required by the client depends on its reporting model. This is a brief summary:

Account type	Description
Reporting Participant (RF)	This account is for clients that submit derivative reports to which they are the reporting counterparty or other counterparty of the transaction.
Non-Reporting Entity (NF)	- This account is for clients that delegate their reporting to a third party. - The account provides read-only access to the derivative reports submitted on the client's behalf.
Third Party Internal (TF)	- This account is used by a client to submit derivative reports on behalf of entities in its family group. - The Third Party is not the reporting counterparty or other counterparty of the reported transactions.
Third Party External (EF)	- This account is used by a client to report transactions on behalf of entities outside its family group. - The Third Party is not the reporting counterparty or other counterparty of the reported transactions.

Further information: see Client Accounts.

Validation	1. REGIS-TR performs the following validations: - Sender authentication - File size - System availability (see below)

	• File name convention • Schema validation or CSV format validation • Permission validation • Logical validation • Business validation (correctness and completeness of data). 2. To enable clients to track the progress of their submissions, we return an initial acknowledgement of receipt for files uploaded using the FinfraG Dashboard (Pop up indicating that the file has been uploaded successfully). For all upload methods, there is a validation status report (response file) covering each submitted derivative report. If any derivative report is rejected, the validation status feedback report provides the reason for the rejection. 3. Validation status reports (response files) are provided to the Report Submitting Entity via the communication channel used to submit the derivative reports. **Further information:** see [Validation].
Reporting to clients	• We provide a series of reports detailing reporting activity and transaction states. In addition, we provide reports on invoiced fees. • Several connectivity options are available. **Further information:** see [Connectivity options] and [Reporting to clients].
FinfraG Dashboard	This is a secure web user interface designed to simplify the management of client derivative reporting. It enables clients to upload and track derivative submissions, view, query and export reports and access support manuals and other documentation.
Connectivity options	REGIS-TR provides one manual and two automated options for: • The submission of derivatives and updates, and • The reception of status messages, reports and other communications from REGIS-TR. **Manual upload/download** • Clients needing to report only a small number of derivatives may find it more efficient to submit reports via secure internet access in their FinfraG Dashboard. **Note:** This method can also be used as a contingency measure. • Clients have access to all reports and communications from REGIS-TR via their FinfraG Dashboard, regardless of the method chosen for the upload of derivatives. **Automated file transfer via:** • SOAP Web Service, or • Secure File Transfer Protocol (SFTP) **Further information:** see [Connectivity options].

| Production and testing environments | REGIS-TR offers two separate environments for entities reporting under FinfraG. Production account holders have automatic access to both environments. To request access, please contact our Account Setup Team.

Production environment: https://web.finfragregis-tr.com/

• Upload of derivatives
• Real-time processing of derivatives
• Production: live reporting environment.

UAT environment: https://uatweb.finfragregis-tr.com

• Test environment used by clients to test the changes on the system in the period before these are implemented in the Production environment.
• Available free of charge to prospective clients wishing to test REGIS-TR solutions without commitment. |

System availability	**Note:** All times CET	Production	UAT
	Processing days	REGIS-TR working days	REGIS-TR working days
	Inbound reporting open	03:00:00* to 22:59:59	03:00:00 to 22:59:59
	Inbound reporting closed	23:00:00 to 02:59:59	23:00:00 to 02:29:59
	FinfraG Dashboard availability: 24/24h all days except for scheduled maintenance (may occur only during weekends in the Production environment). *Opening hours may vary (between 03:00:00 and 04:00:00) depending on the connectivity option.		

Client Services	• Our Client Services support team provides technical support to all users. • Please note that the team is not simply a generic helpdesk but an expert service offering in-depth knowledge of the regulatory reporting environment and the management of technical solutions. **Languages spoken:** English, Spanish. **Response time:** Maximum one working day/Average response time 3 hours. **Availability:** All REGIS-TR working days. **Hours:** 08:30 - 18:30 CET/CEST **Contact details:** see Contacts.
Relationship Management team	REGIS-TR has a team of Relationship Managers in various European locations. Each of these holds regular User Groups to provide news, present product developments and enhancements and discuss industry developments.
	The team can be contacted directly for advice and support on all areas of our business, including on-boarding procedures, testing, fees and documentation. **Languages spoken:** English, French, German, Italian, Spanish, Czech, Slovak, Croatian, Bosnian. **Availability:** All REGIS-TR working days. **Hours:** 08:30 - 18:30 CET **Contact details:** see Contacts.
Infrastructure	• REGIS-TR offers a robust, high-capacity technical infrastructure with a range of secure connectivity methods and message formats to enable clients to streamline their reporting. • Our platform uses distributed processing and is optimised for the continuous throughput of a substantial amount of data during each reporting session. • Our multi-channel reporting framework supports parallel real-time processing through each reporting channel.
Service Levels/SLAs	• These are defined in our General Terms and Conditions, and cover areas such as response times for technical support, availability and content of reports and feedback to clients. • Clients with specific service level requirements are invited to contact their Relationship Manager.

Fees and pricing structure	- REGIS-TR operates an open and transparent pricing policy in accordance with FRAND pricing principles. We aim to be fair, reasonable and non-discriminatory, adhering to the regulatory requirements governing the pricing of trade repository services. - We provide our clients with a clear, straightforward fee schedule containing all the information required to estimate actual monthly costs. Our fees are cost-related and reflect the clients' actual system usage. We regularly review our pricing structure to ensure our fees remain competitive and cost-effective. - Our fee schedule is available on our webpage under the section 'Key Documents'.

CLIENT ACCOUNTS

This section applies to:	Entities that report their derivatives to REGIS-TR, whether they report directly, delegate their reporting to another entity or report on behalf of other entities.
This section covers:	1. Introduction 2. Reporting Participant account 3. Non-Reporting Entity account 4. Third Party Internal account 5. Third Party External account.

Introduction

Purpose of accounts	REGIS-TR accounts are for the use of: • Entities that submit derivative reports on their own behalf. • Entities that submit derivative reports on behalf of another entity.
Accounts for delegating entities	An entity that intends to delegate its reporting to another entity is not required to hold an account. **Note:** Delegating entities may prefer to open an account for access to the derivatives submitted on their behalf and to view the associated REGIS-TR reports.

Environments	1. REGIS-TR provides two online environments:
	  a. Production: live reporting
	  b. UAT: testing of new features and functionalities.
	2. REGIS-TR clients with an account in the Production environment will automatically be set-up with an account in the UAT environment.
	3. An account in the UAT environment also can be opened to entities before having an account in the Production environment.

Direct and delegated reporting	• **Direct reporting:** The counterparty has the reporting duty and report its side of the transaction. Direct reporting is covered by the following conditions: • Large financial counterparties (FC+) report on behalf of small financial counterparties, large non-financial counterparties (NFC+) and small non-financial counterparties (NFC-) • Small financial counterparties (FC-) report on behalf of large non-financial counterparties (NFC+) and small non-financial counterparties (NFC-)

	- Large non-financial counterparties (NFC+) report on behalf of small non-financial counterparties (NFC-) - The selling counterparty is obliged to report in the case of a transaction between two financial counterparties or between two small financial counterparties - The counterparty which has its registered office in Switzerland is obliged to report if the foreign counterparty does not report - Transactions cleared through a central counterparty (CCP) are reported by the CCP. - The Financial Market Infrastructure Ordinance, FinMIO, defines the applied thresholds (Art. 88 FinMIO), as well as the calculation of the average gross position of outstanding OTC derivatives transactions (Art. 89 FinMIO). - **Delegated reporting:** One counterparty with reporting duty delegates the reporting of its side of the transaction: - To a third party that belongs to the counterparty's family group, - To a third party that does not belong to the counterparty's family group, or - A reporting party that it is also counterparty of the transaction. **Notes:** The reporting obligation of small non-financial counterparties (NFC-) to a trade repository was originally planned to come into force during 2024. The start of the reporting duty by NFC- counterparties was moved by the Federal Council to 1 January 2028. A transaction between small non-financial counterparties does not have to be reported.
Account codes	1. Account codes are allocated by REGIS-TR. 2. The account code structure is: two letters denoting account type + four alphanumeric characters. **Example:** RF6001. 3. The account types are: RF: Reporting Participant TF: Third Party Internal EF: Third Party External NF: Non-Reporting Entity **Note:** For each account type, the client's account code may be the same regardless of the environment.
Account restrictions	1. The same LEI may not hold both a Non-Reporting Entity account and a Reporting Participant account or Third Party account.

	2. The same LEI may not hold two accounts of the same type.
Account application, setup and management	1. REGIS-TR clients are required to submit the onboarding forms for initial account setup. 2. Account setup will be performed by the REGIS-TR Account Set-up Team according to the documentation received.
Reporting to the client	1. REGIS-TR sends the client's derivative activity and other reports to the accounts of: • The Report-Submitting Entity • The Reporting Counterparty **Further information:** See Definitions. 2. All reports to the client are sent via the client's chosen connectivity channel. The same reports are also available on the client's secure FinfraG Dashboard. 3. While the Report-Submitting Entity will always have an account, a Reporting Counterparty may not. Reports can be sent to account holders only. **Further information:** See Reporting to Clients.
Central Coordinator	All clients with an account need to define and authorise a Central Coordinator when submitting the onboarding documentation. This person: • Acts as main point of contact for communications with REGIS-TR, and • Will request the setup and management of client accounts, user profiles and REGIS-TR's reports to the client. This can be done either by submitting the relevant form or by use of the Contact section in the FinfraG Dashboard. For the latter option, see Contacts.

Reporting Participant account (RF)

This account is for:	A Reporting Counterparty that: • Reports its own side of a transaction. • Report its counterparty side of a transaction when the reporting party is also counterparty, and/or • Delegates its reports to a Third Party. **Note:** Clients that delegate all their reporting may prefer to open a Non-Reporting Entity (NF) account. This provides read-only access to derivatives submitted to REGIS-TR and reports received from REGIS-TR.
Account permissions	1. **Report** • Own leg of the derivative, including lifecycle events, • Counterparty leg when the LEI of the RF is also counterparty.

2. **View**

- Derivative records submitted by the account holder on its own behalf
- Derivative records submitted by a third party entity on behalf of the account holder.
- Derivative submitted by the account holder on behalf of the delegating entity. Condition: the reporting counterparty does not have a REGIS-TR reporting account (RF). If it has a REGIS-TR reporting account, only the response file will be received by the reporting entity.
- Reports from REGIS-TR on derivative records submitted by the account holder. Same condition than in the previous point applies for delegated reporting.
- Reports from REGIS-TR on derivative records submitted by a third party entity on behalf of the account holder.

Non-Reporting Entity account (NF)

This account is for:	A Reporting Counterparty that: • Delegates in full its report submissions under FinfraG, and • Requires oversight of the transactions reported on its behalf.
Account permissions	This account provides read access to: • End of day / Weekly reports of derivative records to which the account holder is a Reporting Counterparty • And other communications from REGIS-TR.

Third Party Internal account (TF)

This account is for:	An entity that is not counterparty of the transactions (reporting counterparty or other counterparty) but is a member of the Family Group of the counterparty, and: • Has been delegated to report derivatives on behalf of Reporting Counterparties.

Account permissions	1. **Report**
	   • The delegating entity's side of the derivative record, including lifecycle events
	2. **View**
	   • Derivative submitted by the account holder on behalf of the delegating entity. Condition: the reporting counterparty does not have a REGIS-TR reporting account (RF). If it has a REGIS-TR reporting account, only the response file will be received by the reporting entity.
	   • Reports from REGIS-TR on derivatives submitted by the account holder. Same condition than in the previous point is applied.

Third Party External account (EF)

This account is for:	An entity that is not a counterparty of the transactions (reporting counterparty or other counterparty) and neither a member of the Family Group of the derivative counterparty.
Account permissions	See the Account permissions of the Third Party Internal account above.

DELEGATION

Explanation

This section applies to:	1. Entities that delegate their reporting 2. Third parties delegated to report on behalf of another entity 3. Reporting entities with a RF account that report on behalf of other entities when they are also counterparty of the transactions.
Explanation:	The FinfraG regulation defines **single-sided reporting** and specifies which counterparty has the reporting obligation. Consequently, only one of the counterparties to the trade will report to a TR, while the other counterparty will be identified in the reports as the non-reporting counterparty of that trade. However, the counterparty with the duty of reporting voluntarily can delegate the reporting on a third party or reporting party when it is counterparty of the transaction. This is called

	'Voluntary delegation' and under Finfrag covers all cases that involve third party delegation and counterparty delegation. The delegation is notified to REGIS-TR with the proprietary field 'delegation indicator' submitted in the transaction by the delegated entity.
Consequences:	When an account (EF/TF/RF) reports on behalf of a Reporting Participant account (RF), the transactions will be allocated in this RF account. This will imply that the RF account will be the only account which will have visibility on the transactions. The account who reports the transaction only will receive the response file. When an account (EF/TF/RF) reports on behalf of a Non-Reporting Participant account (NF), the transactions will be allocated in the EF/TF/RF account. This will imply that the EF/TF/RF account will have visibility on the transactions. The NF account will have visibility on the transactions within their End of Day reports. When an account (EF/TF/RF) reports on behalf of a non-member, the trades will be allocated in the EF/TF/RF account. This will imply that the EF/TF/RF account will have visibility on the transactions. Please note that an RF account can only report on behalf of another entity different than itself when the LEI of the RF account is counterparty of the transaction.

TRANSACTION REPORTING

This section covers:	1. Report types and Message types 2. Collateral and valuation 3. File structure and submission

Report types and Message types

Introduction	This section sets out the Report types and message types, the typical purposes of the derivative reports. **Notes:** • The reporting of derivative contracts under FinfraG shall follow FINMA's validation rules and REGIS-TR's reporting formats.

- XML schema definitions and CSV templates are available in the Documentation section of the FinfraG Dashboard in the Production and UAT environments.
- REGIS-TR has two distinct collections of protocols, XML schemas and a CSV template.

Life cycle event	Report type	XML message type	Description of use
Reported Trade	N	XT	Transaction is being reported for the first time
Reported Trade	X	XT	Transaction is being reported for the first time and the transfer of the transaction to a position is envisaged on the same day. **Note:** This report type is primarily envisaged for exchange-traded derivatives (ETDs) and contracts for difference (CFDs).
Modification	M	MX	Modification of erroneous data, supplementation of missing data or updating of positions
Modification	D	MX	Modification of the «Trade ID», provided this had not yet been determined at the time of reporting.
Modification	L	MX	Modifications that arise as a result of certain events during the term of the contract and for which no other value applies (lifecycle events)
Trade Termination	C	TT	Premature termination/cancellation of a contract **Note:** For modification reports, «Report type» = «M» should be used.
Trade Termination	E	TT	Report was made erroneously and should be cancelled. For example, the double reporting of the same transactions with a different «trade ID».
Trade Termination	Z	TT	Compression of an OTC derivatives transaction
Valuation update	V	VU	Reporting of a valuation
Portability	--	PX	Transfer of derivative records between REGIS-TR accounts.

Collateral and valuation

Purpose	Valuation updates and certain aspects of collateral are required to be reported in FinfraG.
	- Collateralisation gives an indication as to whether collateralisation has taken place

	• Ongoing report of valuations in accordance with Article 109 FinMIA are to be reported.
	• Valuation information provides a mark-to-market (or to model) valuation of the counterparty exposure.
	• Updates of valuation need to be submitted in a chronological order.
Applicability	Who: Counterparty obliged to report under FinfraG
	Deadline: End of the day following valuation date
	Frequency: Daily; intraday or end of day
	What: All valuation updates.
Collateral data fields and message types	Collateral data fields, "Collateralisation" and "Types of collateralisation" can be reported in message types XT, MX and VU.
Valuation data fields and message types	The initial valuation is reported in the fields from 53 Market Value of Contract through to 57 Type of Valuation of the message type XT. Subsequent updates and amendments are made using the message types VU.
Usage, formatting and validation	Please refer to [FINMA's validation rules](#) and REGIS-TR's inbound formats available in the FinfraG Dashboard in our Production and UAT environments for definitions on usage and formatting.

MD message

Report type D	A MX message with 'Report Type D' is used to modify a 'Trade ID' which has not been determined yet at the time of the reporting.
Flow	For MX message with 'Report Type D':
	• Field 'Trade ID': previous 'Trade ID' reported should be indicated.
	• Field 'Interim Trade ID': new 'Trade ID' should be reported.
	• The content of the field 'Interim Trade ID' will overwrite the content of the field 'Trade ID' in the last status of the contract.

Example

Messages				Trade Status	
TRADE-TYPE	ACTION TYPE	Interim Trade ID	Trade ID	Interim Trade ID	UTI
XT	N		1234		1234
MX	D	5678	1234		5678
VU	V		5678		5678

Position Reporting Flow

Introduction	Participants may choose to report position report in addition to trade report for transactions like exchange-traded derivatives (ETDs) and contracts for difference (CFDs).
Flow	- New transaction with Level 'T' and Report Type 'X': Transaction is being reported for the first time and the transfer of the transaction to a position is envisaged on the same day. - New Position should be reported with Report Type 'N' and Level 'P'. - Subsequent lifecycle events such as for example valuation updates and modifications will need to be reported at Position level.

Example

	T	111	Buy	X	T	2
	T	112	Buy	X	T	2
	T	222	Buy	N	P	4
	T+1	113	Buy	X	T	2
	T+1	222	Buy	M	P	6

Field erasing protocol

Introduction	Clients may submit modifications and corrections to the previously reported and registered derivative contract data. Optional and conditional fields that shall remain unchanged can therefore be blank/missing in a modification/correction. The field erasing protocol is used when it is necessary to amend a previously populated field to become blank.
Purpose	To erase (delete, blank out) previously reported data, clients submit a MX message with the field to be erased as follows: • For a field in a CSV file, specify NULL • For a tag in an XML file, use the parameter xsi:nil="true" Example: <compression xsi:nil="true" />

	Note: It is necessary to include in the header a declaration like the following: <reportingOperations xmlns="http://finfragregis-tr.com/FinFraG_IN_XML_Schema.xsd" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" >
Erasable fields	Optional and conditional fields can be erased. The erasing of one or more fields only can be applied according to the validation rules explained in the REGIS-TR Inbound Format File.

File structure and submission

Format	All regulatory FinfraG inbound and outbound reports are formatted and contained in CSV or XML files. **Note:** The files are not compressed using ZIP or other algorithms.
CSV file structure	CSV files generally have several rows of header information, one to many rows of body data and one trailer row. The field (column) separator is semicolon (;). There are two specific CSV templates available in the *Schemas* section of the FinfraG Dashboard.

XML file structure	XML files exchanged with REGIS-TR contain:
	
	  a. a XML prologue
	
	     <?xml version="1.0" encoding="UTF-8"?>
	
	  b. message type.
	
	The message types are defined in two schema collections, one per direction (inbound/outbound) that are available in the *Schemas* section of the FinfraG Dashboard.

Maximum file sizes	These depend on the connectivity option for inbound files, and the report type and contents for outbound files: <table><tr><td></td><td>SOAP</td><td>SFTP</td><td>FinfraG Dashboard</td></tr><tr><td>Inbound to REGIS-TR</td><td>4 MB</td><td>250 MB</td><td>4 MB</td></tr><tr><td>Outbound from REGIS-TR</td><td>20 MB</td><td colspan="2">Maximum file sizes will fluctuate with different contents as outbound files are limited (paginated) to 500,000 records.</td></tr></table>
Inbound and Outbound filename	• This table shows the mandatory naming convention for files you send to REGIS-TR (**Inbound files**). • Insert the character "_" between each field of the filename. <table><tr><td></td><td>Field</td><td>Format</td><td>Comment/Example</td></tr><tr><td>1</td><td>Message direction (mandatory item)</td><td>3 characters indicating the</td><td>INB (inbound messages)</td></tr></table>

	Field	Format	Comment/Example
		direction of the message	
2	Account ID	2 uppercase letters + 4 numbers	REGIS-TR Account code of the sender. **Examples:** RF1111
3	File type	Alphanumeric with 4 characters	LIVE (live messages) HIST (historical messages)
4	Date	YYYYMMDD	Date inbound file sent.
5	Time	HHMMSS	Timeinbound file sent in UTC.
6	Client's own reference (optional)	Up to 50 letters and/or numbers	Ensures that files with the same sender, type, date and time are not mistaken for duplicates. Do not include special characters other than "_".
7	File extension	".xml" or ".csv"	Not case-sensitive.

Example: INBRF1111_LIVE_20210105_091100_REF5702357.xml

- This table shows the mandatory naming convention for responses that you receive from REGIS-TR (**outbound files**).
- The character "_" will be between each field of the filename.

	Field	Format	Comment/Example
1	Message direction (mandatory item)	3 characters indicating the direction of the message	OUT (Outbound messages)
2	Account ID	2 uppercase letters + 4 numbers	REGIS-TR Account code of the recipient. **Examples:** RF1111
3	File type	Alphanumeric with 4 characters	LIVE (live messages) HIST (historical messages)
4	Date	YYYYMMDD	Date outbound file sent.
5	Time	HHMMSS	Time outbound file sent in UTC.
6	Client's own reference (optional)	Up to 50 letters and/or numbers	Quoted from the inbound filename if available.

	7	Number	0	Only applicable to Web Service and the Private Area. In Web Service once the file has been downloaded once, the number will change to 1.
	8	File extension	".xml" or ".csv"	Not case-sensitive.
	Example: OUTRF1111_LIVE_20210105_091100_REF5702357.xml			
Batch submissions	When you send multiple files to REGIS-TR at the same time, the files are processed in the order they have been received by REGIS-TR.			
Transport methods	1. SOAP Web Service 2. SFTP 3. FinfraG Dashboard **Further information:** Connectivity Options.			

CONNECTIVITY OPTIONS

Introduction	1. REGIS-TR provides manual and automated connectivity options for:
	• the submission of derivative reports and updates, and
	• the reception of status messages, reports and other communications from REGIS-TR.
	2. You are asked to specify these options when setting up your accounts. **Note:** These options can be modified at a later point, if required.
	3. You have access to all reports and communications from REGIS-TR via your FinfraG Dashboard, regardless of the method chosen for the upload of derivative reports.
Manual upload/download	If you are reporting on a small number of derivative contracts, it may be more efficient to upload reports manually via secure internet access in your FinfraG Dashboard. **Note:** This method can also be used as a contingency measure in the event of an issue with an automated file transfer.
Automated file transfer options	REGIS-TR offers two options for secure and automated file transfer and communications between the client and the TR. A client may combine the manual connectivity of the FinfraG Dashboard with one of the automated connectivity options:

	SOAP Web Service	Platform-independent Internet service based on the open standards XML, SOAP, WSDL and HTTPS.
	SFTP	Secure file transfer protocol over Internet connection. Secured with public key cryptography.

Automated file transfer options NF accounts	REGIS-TR offers one option for secure and automated file transfer and communications between the client and the TR for NF accounts. SFTP will be available for NF accounts.
Response messages	REGIS-TR returns an acknowledgement in response to each file uploaded in the FinfraG Dashboard. For other feedback, see Reporting to clients.
This section covers:	1. SOAP Web Service
	2. SFTP
	3. FinfraG Dashboard

SOAP Web Service

This section covers:	1. Introduction
	2. Access to the SOAP API
	3. REGIS-TR SOAP Web Service methods

	4. Web Service methods: best practice
	5. Web Service error codes.

Introduction

SOAP Web Service	• The SOAP Web Service enables interoperable machine-to-machine communications using the open standards XML, SOAP, WSDL and HTTPS.
	• The use of these standards on a services platform enables client and service applications to communicate via multiple platforms and development languages.
	• Clients use SOAP Web Service methods to set passwords, upload XML files and to search for and retrieve feedback and reports. These functions are available via a server connected to the internet.
SOAP	**Simple Object Access Protocol**
	Platform- and language-independent XML-based protocol for accessing web services.
WSDL	**Web Service Description Language**
	Describes the external interface of the service.
	The WSDL file for the FinfraG service is published in the Guidance section of the FinfraG Dashboard. **Note:** There is one WSDL file for each environment (Production, UAT).
Registration and access credentials	Contact REGIS-TR for registration and access credentials.
	Notes:
	• Initially, you will be issued with a first-time password. You will need to change this before you start sending messages.
	• You will need to provide your IP address or range of IP addresses
Accessing the SOAP Web Service	•
	Within MED (Master Entity Data), select your account, then select Connectivity Details. Under Connectivity option SOAP Web Service the URL to access this service is displayed.

Methods

Introduction	This section sets out the methods used in the REGIS-TR SOAP Web Service. Unless noted otherwise, please see Return codes below for the responses of the methods.
Change password	To change your first-access password or to set a new password.
	Upon first access, the user will need to set up their password. An automatically generated secure e-mail for the password setup is sent to the email that the user has provided to REGIS-TR.

This email contains a link allowing the user to set up their new password. The link should be used within 72 hours, at which time its validity expires.

When the user clicks on the link within 72 hours, they are redirected to the password set-up screen.

Syntax:

Parameter name	Parameter description	Required
Username	The username of the user.	Y
New password	The chosen password of the user	Y
Confirm New Password	The chosen password of the user.	Y

Send file

To send XML or CSV files.

Syntax:

Parameter name	Parameter description	Required
user	The user that is executing the request.	Y
password	The current password of the user that is executing the request.	Y
file_content	The complete message in CSV or XML	Y
file_name	The name of the file without the indicator of direction. The system must be able to set this indicator	Y
file_type	The type of message sent. Allow values are CSV or XML	Y

Parameter 'file_name' must follow a specific naming convention described in the section File structure and submission.

Request list with all the timestamps and file names available

This method Get_complete_list retrieves a list with all the timestamps and file names available with an upper limit.

If the limit is exceeded a flag indicating that more responses are left is returned and the last file name written in the response must be used in the following request.

These steps should be repeated until no further files are left in the server.

Syntax:

Parameter name	Parameter description	Required
user	The user that is executing the request.	Y
password	The current password of the user that is executing the request.	Y
last_file_name	The complete message in CSV or XML	N

Returns:

Parameter name	Parameter description	Required
list	Array with all the names and dates of the files found.	NA

	continuation	Flag to show that the list is not completed. In this case, more requests to this method should be launched in order to get the remaining files.	NA

Request list of pending files	The method Get_files retrieves the list of pending files for the requested date.

Syntax:

Parameter name	Parameter description	Required
user	The user that is executing the request.	Y
password	The current password of the user that is executing the request.	Y
date	The date to search. Date should be in YYYY-MM-DD format.	Y

Returns:

Parameter name	Parameter description	Required
result	In case the method retrieves information, an integer must be returned indicating the number of files listed	NA
list	Array with all the names of the files found.	NA

Retrieve the contents of one file by date	To retrieve the content of one XML or CSV file for a certain date.

Syntax:

Parameter name	Parameter description	Required
user	The user that is executing the request.	Y
password	The current password of the user that is executing the request.	Y
date	The date to search. Date should be in YYYY-MM-DD format.	Y
file_name	The name of the file to be retrieved.	Y

Returns:

Parameter name	Parameter description	Required
result	In case of error, the function must return an integer lower than zero.	NA
content	The content of the file.	NA

Retrieve the content of all files by date	This method Recover_files retrieves the content of all the files available on a certain date.

Syntax:

Parameter name	Parameter description	Required
user	The user that is executing the request.	Y
password	The current password of the user that is executing the request.	Y
date	The date to search. Date should be in YYYY-MM-DD format.	Y

Returns:

Parameter name	Parameter description	Required

	result	In case of error, the function must return an integer lower than zero. Otherwise, this parameter should not be returned.	NA
	list	Array with all the names and dates of the content files found	NA

Best practices

Sending message files	Include as many messages as possible in each submission file. **Reason:** Minimises the number of connections needed. Maximum size of the message is 4 MB.
Retrieving files from REGIS-TR	If the 20 MB limit is exceeded when retrieving multiple files, use the method to download files one by one.
	After you retrieve a file using SOAP Web Service, REGIS-TR will set the retrieval indicator in the file name to 1 and move the file to an archive. The report files are still available in the FinfraG Dashboard and by special request made to the Client Services team.
Timeframe threshold	1. The same user may invoke different methods in parallel
	2. The same method invoked repeatedly by the same user in a short timeframe may produce errors with -11 return code. You can avoid this by introducing a delay between the calls.
Connection frequency	Leave as much time as possible between connections. **Reason:** This minimises the number of checking and message retrieval connections.

Error codes

Codes and descriptions	Return code	Description
	-1	One or more search parameters incorrect
	-2	No results found with the search parameters received
	-3	You do not have permission to retrieve the requested data, or Your credentials have failed validation. **Note:** This error can occur if your IP address is not registered
	-4	An error occurred when trying to access your data
	-5	Change of first-time password required
	-6	File size exceeded. Please refer to method recover_file to recover the files one by one.File size exceeded.

	-11	The user has established concurrent connections at the same time, or the connections established have surpassed the timeframe threshold between connections.

SFTP

Introduction	Secure File Transfer Protocol (SFTP) is a secure network protocol for the transfer and management of files between remote systems.
This section covers:	1. Security and configuration 2. Connecting to the server 3. Server information

Security and configuration

Introduction	• Access to the server is secured using public keys. • This section sets out the technical specifications to be followed during configuration.
Public key	You need to generate a public key to send and retrieve files. **Conditions:** • Encrypted RSA • Minimum 2048 bits • Compatible with OpenSSH
Contact REGIS-TR	Contact REGIS-TR's Account Setup Team to request the setup of the connection. **Note:** You will need to provide your public key(s) and IP addresses.
Client server configuration	The client configuration set out below is for the REGIS-TR Production and UAT environments. **Note:** REGIS-TR does not support sha1 or md5 algorithms. KexAlgorithms: • diffie-hellman-group-exchange-sha256 • curve25519-sha256@libssh.org • ecdh-sha2-nistp521 • ecdh-sha2-nistp384 • ecdh-sha2-nistp256 MACs: • hmac-sha2-512-etm@openssh.com

- hmac-sha2-256-etm@openssh.com
- hmac-sha2-512
- hmac-sha2-256

Ciphers:

- chacha20-poly1305@openssh.com
- aes256-gcm@openssh.com
- aes256-ctr
- aes192-ctr
- aes128-ctr

Connecting to the SFTP server

Introduction	This section sets out the details needed to connect to the SFTP server. It covers: 1. Production environment 2. UAT environment
User restrictions	One user only per environment. **Note:** The username must be entered in lower case.
Production environment	**URL:** sftp.finfragregis-tr.com IP address: 193.110.154.94 port: 55222 **Username:** rp + account code. **Example:** rprf6001.
UAT environment	**URL:** uatsftp.finfragregis-tr.com IP address: 193.110.154.93 port: 55222 **Username:** rf + account code. **Example:** rfrf6001.

Server information

Server folder	There is one folder that you have read and write permission to: Datos. 1. Use the Put command to upload files to REGIS-TR. 2. After processing, an uploaded file is removed from the Datos folder, and a response file will be available. 3. Use the Get command to download files from REGIS-TR. Notes: Inbound and Outbound filename can be found in File structure and submission section. If the filename is not followed, the file will not be processed. You can only access the Datos folder. Any other folders are for REGIS-TR own use.

System security	1. Inactive connections are closed by REGIS-TR after ten minutes.
	2. There can be up to ten concurrent connections from one IP address.
	3. Up to twenty connections can be opened in the same minute from one IP address.
	4. A user (i.e. account) with an open connection must leave four minutes before opening a parallel connection from the same IP address.
File store maintenance	REGIS-TR applies maintenance policy for the reports/responses which are drop in your SFTP folder. Below you can find how long the reports/responses will be available:
	LIVE -> 4 natural days
	HIST -> 4 natural days
	D501 -> 7 natural days
	D532 -> 7 natural days
	W540 -> 31 natural days
	P454 -> 91 natural days
	P455 -> 91 natural days
	P455 -> 91 natural days

FinfraG Dashboard

Introduction	Your FinfraG Dashboard can be used to manually upload and download files if:
	• You handle low volumes of transactions, or
	• You are experiencing problems with your automated connectivity option.
Prerequisites to upload files	Users with read and write permissions.
	Note: Signature key needed.
Upload procedure	1. Use an up-to-date Internet browser to open the desired environment, see Log in to your FinfraG Dashboard.
	2. Select *File Upload* from the sidebar.
	3. Choose the file that contains your FinfraG reporting, enter the signature key and upload the report.
Download procedure	Please see Viewing and retrieving reports.

VALIDATION

Introduction	Validation is performed on submitted files with derivative records and lifecycle reports
Validation rules	Please refer to <u>FINMA's Financial Market Infrastructure Ordinance, FinMIO</u> and REGIS-TR's inbound formats available in the FinfraG Dashboard in our Production and UAT environments for definitions on usage and formatting.
Timing	Your derivative reports are processed by REGIS-TR in the order they were recorded in each file. **Note:** This is regardless of which connectivity method was used to submit them.

Validation process

Report validation process	1. REGIS-TR authenticates the sender and the account type used to submit the report. If the authentication fails, the file is rejected, and the sender is notified. If the sender is authenticated, the file passes to the next validation stage.
	2. REGIS-TR validates the file size and system availability. If the validation fails, the file is rejected, and the sender is notified. If the validation is successful, the file passes to the next validation stage.

	3. REGIS-TR validates the file name. If the validation fails, the file is rejected, and the sender is notified. If the validation is successful:
	  a. The file is accepted and assigned a received timestamp, and
	  b. the file passes to the next validation stage.

	4. REGIS-TR validates the file against the relevant XML schemas. If the validation fails, the file is rejected, and the sender is notified of the error code in an <u>intraday message</u>. If the validation is successful, the file passes to the next validation stage.
	5. REGIS-TR validates the records in the message against permission, logical and business rules.
	6. When the validation of all the records in one file is complete, REGIS-TR generates an <u>intraday message</u> containing the validation results. This is sent during the hours of REGIS-TR system availability.
	Notes:
	• When a record fails permission validation, it is rejected without further validation.
	• A file that is not processed due to system unavailability will be queued until the system is available.
	• A file may have accepted status even if all records have failed the validations.

REPORTING TO CLIENTS

Introduction

Introduction	This section describes the outbound reports sent to you from REGIS-TR.
Report types	**Intraday:** Sent in response to an inbound file and validation. **End of day:** Sent at the end of the working day. **Weekly:** Sent at the end of the last working day of the week. **Monthly:** Billing reports
Receiving reports	1. Intraday validation feedback responses to inbound reports sent by you are generated in the format (CSV or XML) of the report being responded to. These responses will be only sent to the channel used to send the inbound file. 2. Other outbound reports are sent to you using the connectivity option selected when your account was set up. 3. The reports are also available for a period in the Outbound section in your FinfraG Dashboard. The period of this availability depends on the type of report. **Note:** After this period, reports can be retrieved upon request to REGIS-TR
Access to reports after account has been closed	Historical reports can be retrieved by request to REGIS-TR. The report will be provided when REGIS-TR has validated the authentication and authorisation of the requestor.

Report/feedback cycle

Introduction	The table below shows when outbound reports are sent.	
Reporting cycle	**Process**	**Feedback/Report**	**Timing**

	Process	Feedback/Report	Timing
	Client submits derivatives reporting file		
	REGIS-TR receives file	Acknowledgement (return code) of file receipt. "File upload successfully" will be showed on the private area if the file has been submitted through that channel.	Upon receipt
	If the file fails sender authentication	The sender receives a failure notification. Failure messaged will be showed on the private area if the file has been submitted through that channel.	Immediate

Validation of message file and derivative records	**Message Rejected Report / Message Accepted Report (LIVE/HIST)** • Provides the derivative message file validation status. Note: In case of rejections, error reasons are provided to the extent possible. • Lists the accepted/rejected status of each derivative record in the message. **Note:** Rejection error codes and error description included where applicable.	During REGIS-TR system availability.
After end of reporting session	**Trade Status Report (D501)** Current trade state of each outstanding derivative in the client's account	End of the day
	Messages (D532) Includes all the inbound messages related to the trades/positions in the client's account.	
End of business week	**Full Table Live Contracts (W540)** Provides the latest status of each active derivative	End of business week
Monthly (Invoice/billing reports)	**Reporting and Maintenance Fee for EF/TF accounts (P455)** Provides the list of the Trade IDs that incurred a reporting and Maintenance fee for the account receiving the report.	Following invoice period
	Reporting and Maintenance Fee for RF accounts (P454) Provides the list of the Trade IDs that incurred a reporting and maintenance fee for the account receiving the report	
	Summary Billing Reports for RF/TF/EF accounts (P456) This report will include a summary of the fees applied to the account which receives the report. Each line of the report will be an unique combination of Reporting	

	Counterparty 1 + Reporting Submitting Entity + Fee Code which has been charged to the account.	

Intraday reports

Introduction	These automatically generated reports are sent in response to a derivative submission, validation or other process.
	These are:
	1. File accepted
	2. File partially accepted
	3. File rejected
Availability	Only available in the channel which has been used to upload the inbound file. Available for three working days in the *Output* section of the FinfraG Dashboard.

LIVE/HIST – Intraday messages

Purpose	1. Provides the validation status
	2. When a derivative report has been rejected, the Status Advice Feedback provides information on the error.
	Note: This feedback may not be sent if your upload channel rejects the message file owing to failure of sender authentication. In this case, rejection notification would come from the authentication process in the connectivity channel.
Time sent	During REGIS-TR system availability.
Report ID	HIST/LIVE
	Message Received/Valuation Received
Format	Format: CSV and XML

Status codes	Code	Name	Further information
	ACEP	File accepted	Inbound message file has passed all validations.
	PART	File partially accepted	Inbound message file has failed some validation.
	RJCT	File rejected	Inbound message file has been rejected.

Distribution	Available to Reporting Participants and Third Parties.

End of day reports

Introduction	These automatically generated reports are sent after the close of the daily reporting session.
Availability	• Available for six working days in the *Reports* section of the FinfraG Dashboard. • After that period, upon request.

D501 – Trade Status Report

Purpose	Provides information about the latest status of all trades that have been submitted or modified during the reporting session.
Time sent	Sent at the end of each working day after the completion of the report generation process.
Report ID	D501
Format	CSV and XML
Content	The status of a reported derivative Modifications to a derivative Termination of a contract A derivative reaching its maturity date
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D532 – Messages

Purpose	Includes all the inbound messages (new trades, modifications, valuation updates, and terminations) related to the participants trades/positions during the reporting session.
Time sent	Sent at the end of each working day.
Report ID	D532
Format	CSV and XML
Content	All inbound messages
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

Weekly reports

Introduction	These reports are generated after the close of the last reporting session of each week.
Availability	• Available for 30 calendar days in the *Reports* section of the FinfraG Dashboard • After that period, upon request.

W540 – Full Table Live Contracts

Purpose	Informs about the latest status of each active derivative.
Time sent	Sent at the end of the last working day of the week as an accumulative report.
Report ID	W540
Format	CSV and XML
Content	All derivatives with contract status active.
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

Monthly Reports

Introduction	These reports are generated after the close of the 7th reporting session of each month.
Availability	Available for 90 calendar days in the *Reports* section of the FinfraG Dashboard After that period, upon request.
Fee codes	The fee codes used in these reports have the following meanings: • 004 Reporting Fee Allowance (up to 400 XTs) • 005 Reporting Fee 1st tranche (401 - 1,000 XTs) • 006 Reporting Fee 2nd tranche (1,001 - 5,000 XTs) • 007 Reporting Fee 3rd tranche (5,001 - 40,000 XTs) • 008 Reporting Fee 4th tranche (40,001 - 200,000 XTs) • 009 Reporting Fee 5th tranche (200,001 - 5,000,000 XTs) • 010 Reporting Fee 6th tranche (more than 5,000,000 XTs) • 011 Reporting fee over the CAP • 012 Maintenance Fee 1 (up to 50,000 positions) • 013 Maintenance Fee 2 (more than 50,000 positions) • 014 Maintenance Fee over the CAP • 016 External Third Party Reporting Fee Allowance (0 - 400 XTs) • 017 External Third Party Reporting Fee 1 (401 - 1,000 XTs) • 018 External Third Party Reporting Fee 2 (1,001 - 5,000 XTs) • 019 External Third Party Reporting Fee 3 (5,001 - 40,000 XTs) • 020 External Third Party Reporting Fee 4 (40,001 - 200,000 XTs) • 021 External Third Party Reporting Fee 5 (200,001 - 5,000,000 XTs) • 022 External Third Party Reporting Fee 6 (more than 5,000,000 XTs) • 023 External Third Party Maintenance Fee 1 (0 - 50,000 positions)

	• 024 External Third Party Maintenance Fee 2 (more than 50,000 positions)

P454, P455 – Reporting Fee and Maintenance Fee Report

Purpose	Includes the list of the Trade IDs that incurred in a reporting and maintenance fee for the account receiving the report.
Time sent	Sent on the 7th working day of the month.
Report ID	P455 for EF/TF Third Party accounts P454 for RF Reporting Participant accounts
Format	CSV
Content	**For the Reporting Participant (P454)** • Fee Code • Fee Code Description • Fee Code Price • Trade ID • Message Reference • Other Counterparty ID • Reporting Date • Reported By **Note:** includes trades delegated to a Third Party, identified in the Reported by field.	**For the Third Party (P455)** • Fee Code • Fee Code Description • Fee Code Price • Trade ID • Message Reference • Counterparty ID • Other Counterparty ID • Reporting Date **Note:** excludes trades reported by the Third Party on behalf of a REGIS-TR Reporting Participant.
Distribution	Available to Reporting Participants and Third Parties.

P456– Billing Summary Report

Purpose	Includes an unique combination of Reporting Counterparty 1 + RSE + Fee Code which has been charged to the entity.
Time sent	Sent on the 7th working day of the month.
Report ID	P456
Format	CSV

Content	• Counterparty ID
	• Submitting Entity ID
	• Fee Code
	• Fee Code Description
	• Quantity
	• Fee Amount
Distribution	Available to Reporting Participants and Third Parties.

Viewing and retrieving reports

Introduction	Use the *Output* and *Reports* sections in the FinfraG Dashboard to search for, view and export among the available outbound reports from REGIS-TR to you. **Note:** Your reports are available here regardless of any automated connectivity option you may use.
Search for a report	To retrieve a specific report:
	1. Intraday reports
	a. Select Output > Response files
	2. End of Day reports
	a. Select Reports and a frequency
	• Daily Reports
	• Weekly Reports
	• Monthly Reports
	b. Select the number of lines to show (between 10 to 100) results.
	c. To view/export the full report, select one report.

Search for submitted derivative records

Start Search	Select Search, then Trade or Portability.
	1. For Search Trade, please select further as required:
	• Date Interval From (mandatory field)
	• Date Interval To (mandatory field)
	• Trade ID
	• Reporting Timestamp
	• Counterparty 1
	• Counterparty 2
	• Report Level

	• Report Type • Internal Client Code 2. For Search Portability, please select further as required: 　• Date from (mandatory field) 　• Date to (mandatory field) 　• Trade ID 　• New Account
Permissions	The reports that can be retrieved depend on the user's account type:
<table><tr><th>Account type</th><th>Role of the account holder in the derivative records</th></tr><tr><td>Reporting Participant (RF)</td><td>Report Submitting Entity, Reporting Counterparty</td></tr><tr><td>Third Party (TF or EF)</td><td>Report Submitting Entity</td></tr></table>
Search results	1. You will receive maximum 1000 results per query. If necessary, refine your search. 2. Search results can be shown in groups of 10, 25, 50 or 100 per page. 3. To view a full derivative report, click on its Trade ID in the results list. 4. To download a report, use the Download button.

Report status view in the FinfraG Dashboard

Introduction	Your FinfraG Dashboard offers a graphic view of reporting activity by status.
Reporting Status	This displays a summary of your reporting with: 1. Pie charts covering your report submissions for the current working day in four groups. Click on the respective View Details to see: 　• Total Files – the numbers of processed, pending and erroneous files. 　• Processed Files – a list of the accepted files, and you can set the filter to another date. 　• Pending Files – a list of files in the processing queue. 　• Erroneous Files – a list of rejected files. 2. The Recent Activity box has a graph with the reporting activity over time. 3. Recent Files is a search tool that displays sortable results list in groups of 10, 25, 50 or 100 files per page.

ACCOUNT SETUP SERVICES

Onboarding and account setup	1. There are two stages to the creation of accounts for new clients:
	   a. **Onboarding:** the entity or institution applies to open an account and provides legal and contractual information.
	   b. **Account setup:** this is the technical setup of the account, which can be done after the entity has become a REGIS-TR client.
	2. Clients wishing to use REGIS-TR for their FinfraG reporting are invited to download the onboarding documents from REGIS-TR's website under Key documents > REGIS-TR S.A.

Requesting an account	1. Clients and other entities can contact REGIS-TR by phone or email to request an account. **Further information:** see Contacts.
	2. The process of applying for a new account depends on whether the account is for the:
	   • UAT environment for testing and training, or
	   • Production environment for the live derivative reporting service. **Note:** Also provides access to UAT environment.

New clients: Documentation request	If you are not currently a REGIS-TR client, we will email you with:
	1. A message confirming your new account request.
	2. A request to print, sign and return the following documents:
	   a. Agreement relating to your requested REGIS-TR account type, and
	   b. FinfraG Application form (Appendix 2). **Note:** This includes the information needed to define your Central Coordinator.
	   c. SEPA mandate for REGIS-TR to make direct debits for the payments of invoices.
	3. A request for copies of your company's:
	   a. Articles of Association (up to date)
	   b. Banking or Business License to operate under Luxembourg or other national law, dated within the last 6 months
	   c. Excerpt from company register including certificate of residency, dated within the last 6 months
	   d. Up to date official list of authorised signatures, plus specified authentication information
	Note: If your company documents are not in English or Spanish, please provide:
	   • copies of the original documents, and
	   • for each document, a legally authorised translation into one of these languages.
	Complete, print, sign and return these documents by post to the address on the FinfraG Appendix 2 – Application Form.

Billing	REGIS-TR provides electronic invoices by default to the email address provided in the Account Request form for this purpose. REGIS-TR recommends that you create an email distribution list for the electronic invoices to reach several individuals.

Current REGIS-TR clients (non-FinfraG) documentation request	If you are a client of a different REGIS-TR service and wish to subscribe to the FinfraG service, you will receive:
	
	1. A message confirming your new account request
	2. A request to print, sign and return the following documents:
	   a. Agreement relating to your requested REGIS-TR account type, and
	   b. FinfraG Appendix 2 – Application form. **Note:** This includes the information needed to create your Central Coordinator.
	   c. If not already done, the SEPA mandate for REGIS-TR to make direct debits for the payments of invoices.
	3. A request for copies of any of the following, if they have been updated since you last provided them to REGIS-TR:
	   a. Articles of Association
	   b. Banking or Business License to operate
	   c. Excerpt from company register including certificate of residency
	   d. Up to date official list of authorised signatures, plus specified authentication information
	Note: If your company documents are not in English or Spanish, please provide:
	• copies of the original documents, and
	• for each document, a legally authorised translation into one of these languages.

Account setup	Once your documentation has been verified, REGIS-TR will: 1. Set up your account in the secure Production environment 2. Create access credentials for your Central Coordinator, and Users, and 3. Send an email to your Central Coordinator and Users with a password set-up link. **Note:** Production account clients also have access to the UAT environment.
Central Coordinator	Entities are required to have one Central Coordinator. The Central Coordinator: • is the central point of contact for communications with REGIS-TR • is authorised to request new accounts, modification of account options such as the outbound report selection, and the addition, modification and deactivation of users.

USER ACCESS TO THE FinfraG DASHBOARD

Access and credentials

Create user password

This section applies to:	New users. **Note:** Your username is assigned by REGIS-TR.

Create password	1. Follow the link in the email provided when your user account was set up.
	2. Your username is pre-filled.
	3. At first log in, REGIS-TR will ask you to change the initial password. The new password must contain:
	   a. Eight to thirty characters
	   b. At least three of the following:
	     • Upper case alphabetical letter A-Z
	     • Lower case alphabetical letter a-z
	     • Number 0-9
	     • Symbol, punctuation or special character
	4. Submit the request.

Initial password expiry	You must log in within 72 hours of receiving the link provided for that purpose. If you do not, an error message appears, and you need to reset your password using the "Password reset" function, where you should use the Username that was assigned to you by REGIS-TR and then choose and confirm your new password.

Log in to your FinfraG Dashboard

This section applies to:	New users New Central Coordinators.

Access to the FinfraG Dashboard	1. Open an Internet browser on your computer and either:
	   a. Go to the REGIS-TR website, click on the green Login button, select the FinfraG tab and click on the desired environment: Production or UAT; or
	   b. Click on or enter the relevant link/URL of an environment:
	     • Production: https://web.finfragregis-tr.com/
	     • UAT: https://uatweb.finfragregis-tr.com
	2. Enter your username and password to access your FinfraG Dashboard.

	Tip: Add the desired log in page(s) to the bookmarks or favourites of your Internet browser.
Next login	Your user profile will be blocked if you have not logged in during 90 consecutive days. REGIS-TR automatically generates reminder emails prompting the user to change their password before it expires.

Signature key and secret question

Introduction	- Users are required to set up a signature key. - The Signature Key is an eight-letter/number key known only to its user, used as an additional form of verification. - It is used to confirm the user's identity before performing an operation such as a file upload. The user is asked to enter three random characters from the key. - The user also sets up a secret question to which only the user knows the answer. This is used if the user needs to reset their signature key. - REGIS-TR will never ask a user for the full signature key.
This section applies to:	New users and existing users whose username is blocked.
How to create or change your signature key	1. In the *User information* section, select *Change signature.* 2. Enter and confirm your new signature. **Note:** Current signature field must be left blank when setting up the signature for the first time.
How to create or change your secret question	1. In the *User information* section, select *Change signature.* 2. Enter your new secret question. **Note:** Maximum 30 letters. 3. Enter your new secret answer. **Note:** Maximum 10 letters. 3. Click *Change Signature* button.
Information entered incorrectly	1. If you enter signature key/secret question information incorrectly three times, your signature key will be blocked. 2. In this case, contact your Central Coordinator.

Password expiry

Introduction	The initial password provided expires after 72 hours. Normal production passwords expire after 90 days.
Reset password	You will receive an email alert when the password is reaching the expiration date.

	• Follow the Password Reset instructions in the email.

Session expiry

Introduction	• For security reasons, your session will close after 30 minutes of inactivity.
	• To stop the session closure, take any action on the screen.
	• To reopen the session, log back in.
	• If you enter an incorrect username or password, you will see a warning message.
	• If you have forgotten your password or username, use the Password reset function.

Wrong username

Forgotten username	If you have forgotten your username, please contact your Central Coordinator or the Account Setup Team.
Login credentials entered incorrectly	• You will see an error message.
	• Verify your login credentials and re-enter your username and password.

Logging out

Logout button	Press the Logout button in the upper right-hand corner to end your session.

Menu items

Main

Purpose	Provides list of Main menu items.
Detail	• Reporting Status: summaries of processed, pending and erroneous files. See Report status view in the FinfraG Dashboard.
	• Inputs: manual upload of XML and CSV message files.
	• Output: display intra-day response files. See Viewing and retrieving reports.
	• Search Trade: look up trade records.
	• Search Portability: look up records ported between REGIS-TR accounts.
	• Reports: view and download daily, weekly and monthly reports. See Viewing and retrieving reports.

Guidance

Purpose	This section provides essential information to clients and authorised users that we update occasionally.
Detail	- User Guides: Any user guide that is not on the REGIS-TR website under Key documents > REGIS-TR S.A.. - Handbooks: Connectivity handbooks as well as Annex 1 to 4. - Schemas: Inbound and outbound formats in XML and CSV. - Debugging Log: Includes the clients' debugging log. - WSDL UAT FINFRAG: The XML Web Services Description Language file can be downloaded from here.

Account and user information

Introduction	The Account section of the FinfraG Dashboard has options to view details about your account and user profile.
Account information	Select Account Information to view details about your account setup.
User information	Select User Information to view details of your user profile

Personal details	User address	Contact
- Username - Name - Registration Date	- Address - City - Postcode - Country	- Main Phone - Alternative Phone - Email

This section also lets you:
- Change password
- Change signature Key and secret question.

Latest News

Purpose	This section lets you review previous client communications that have been sent to clients via email.

Contact

Purpose	This page provides a form to be used to contact REGIS-TR for assistance, information or requests.
Email address	The pre-configured email address of the current user will be used by REGIS-TR to provide a reply to any request made via the Contact form. If the displayed email address is incorrect or missing, the Central Coordinator of the user must submit a modification request to REGIS-TR.
Sending electronic instructions	The Central Coordinators are empowered to duly and validly amend the details of themselves, their IT Coordinators, users, payments, connectivity channels and outbound report subscriptions. For electronic user administration requests, please use the below template when filling in the Message part of the Contact form: I _____, the officially appointed Central Coordinator and empowered to modify the account setup as mentioned in the Appendix 2 dated _____, am requesting REGIS-TR to process the following change(s), to the below mentioned environments and accounts: FinfraG REGULATION DATE: REQUEST TYPE: Add New / Modify / Remove ACCOUNT CODE: COMPANY NAME: LEI: ENVIRONMENT: All / Prod / UAT LIST OF AFFECTED USERS: 1. NAME AND SURNAME / FULL ADDRESS / PHONE NUMBER / EMAIL 2. Etc...

INFRASTRUCTURE

Introduction	REGIS-TR offers a robust, high-capacity technical infrastructure with a range of secure connectivity methods and message formats to enable clients to streamline their reporting. The reporting solutions of REGIS-TR and our sister company have been designed with the capacity to process the significant volumes of data associated with FinfraG, EMIR, SFTR and UK EMIR in a secure, seamless and efficient way. Our platform supports distributed processing and is optimised continuously process a substantial amount of data during each reporting session. The multi-channel reporting framework enables parallel real-time processing through each reporting channel.
Hardware	Database and system storage is based on a storage array system.
Operating systems	Oracle Linux and Windows Server.
Datacentres	All our systems are hosted in our own datacentres. **Note:** For contingency reasons, we run two identical datacentres in parallel.

Updates and new releases

Software updates	REGIS-TR publishes an annual roadmap detailing planned software enhancements and updates. This is updated regularly and communicated to clients. Before each release, detailed release notes are issued describing the enhancements and setting out any potential impact.
Release testing	- Software changes are grouped together in releases to enable us to minimise the impact on clients and give them time to plan any changes on their side. - We conduct extensive testing of any new release or enhancement in our internal testing environment. - The release is then implemented in the UAT environment for client testing. - Our Client Services team is available to help clients with any testing query. The team may also contact clients proactively to discuss the impact and testing of new releases.
Enhancement proposals	Clients with recommendations for improvements are asked to contact their Relationship Manager or the Client Services team.

Appendix: Error codes

Error code	Description
0	Record accepted
1	Wrong value [NAME OF FIELD]
2	Data does not exist [NAME OF FIELD]
3	Database access error
5	Erroneous date [NAME OF FIELD]
7	Incorrect Identification [NAME OF FIELD]
10	Account number does not exist
32	Erroneous country [NAME OF FIELD]
35	Type of operation does not exist
37	The record already exists [NAME OF FIELD]
40	Non-existent fields in the dictionary
41	Work table overflow
46	Trade ID not registered or matured contract
49	User does not exist
57	Erroneous client identification type
62	Duplicated reference
67	Non-existent operation
68	Non-existent contract [TRADE-ID]
81	CURRENCY does not exist [NAME OF FIELD]
82	Mandatory NOTIONAL field
89	Incorrect counterparty

90	Non-existent sub-account
91	Reporting Participant not associated to sender
92	Non-existent communicating reporting participant
93	Reporting Participant has more than one sub-account
94	Incorrect identification type
96	Identification already exists in account
99	Invalid type of operation [NAME OF FIELD]
100	Erroneous XML format
101	Invalid document type
102	XML document can't be validated
103	Error unknown
104	Not possible to retrieve transactions from the received XML file
105	The XML length exceeds the maximum length allowed
116	Incorrect Check digit ISIN[UNDERLYING-ID]
117	Incorrect Check digit LEI [NAME OF FIELD]
118	[SEQUENCE-NO]
502	Erroneous sub-account
522	Erroneous account code
600	Modification only for UTI reporting
601	Required field not informed [NAME OF FIELD]
602	Data not permitted [NAME OF FIELD]
603	The field is not numeric [NAME OF FIELD]
604	Incorrect field [NAME OF FIELD]
605	Mandatory product [NAME OF FIELD]
606	Invalid Type [NAME OF FIELD]
607	REGIS-TR´s contract ref. mandatory [TRADE-ID]

614	Erroneous transaction
617	Inactive user
621	User not associated with account
622	Reconciliation Status not admitted [TRADE-ID]
623	Invalid XML Code
624	Inactive contract
625	The account doesn't t belong to contract [TRADE-ID]
627	Incorrect access
628	User blocked or expired
631	User must be informed
632	Password must be informed
633	Signature must be informed
634	New password doesn't fulfil requirements
637	New signature doesn't fulfil requirements
642	Incorrect or inexistent signature
644	Blocked signature
645	Signature set up is required
647	Contract status does not allow modification
649	Trade to modify with the same data
650	System closed for inbound communications
653	Action not allowed [NAME OF FIELD]
661	Numeric field overflow [NAME OF FIELD]
666	Incorrect notional
670	Reporting Participant´s Trade ID is incorrect
687	Request already processed
703	No active trades associated to portf.cod [COL-PF-COL]

704	Account not authorized to report [NAME OF FIELD]