

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

Paris, 12/12/2017

Which new order fields will Powernext introduce?

- Powernext 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>

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

How to fill the new order fields using shortcodes

- Powernext 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, Powernext 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>

Initial upload of shortcode mapping

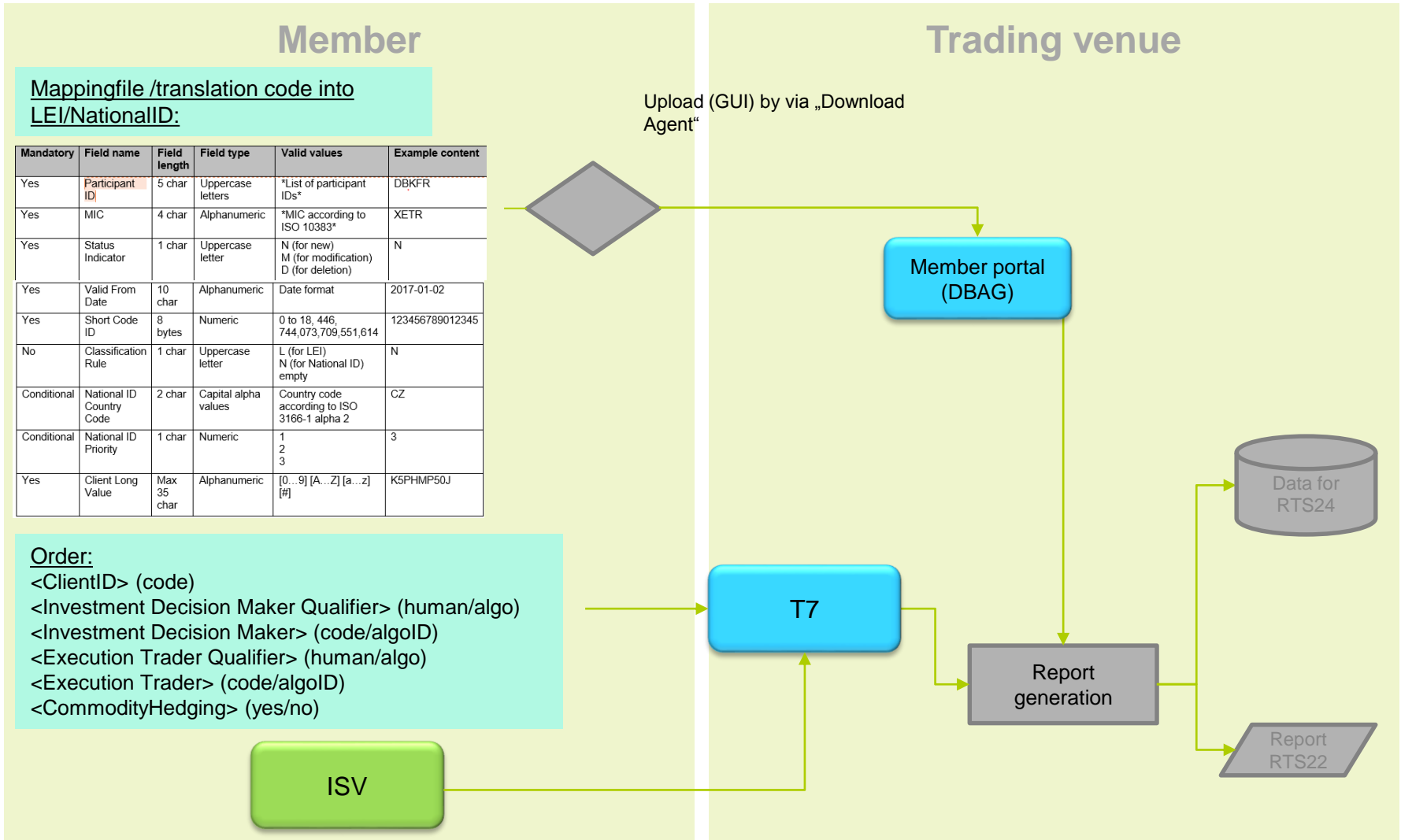
- Powernext recommends to prepare such a mapping file with all relevant codes if the persons acting as **Execution Trader** or **Investment Decision Maker** are usually different from actual trader entering the order.
- The complete mapping file can be uploaded to the EEX Member Portal (parent company) or send to Powernext via Email at Membership@powernext.com.

Please use **XEEE** as a MIC Code for the Upload (for EEX and PWX)



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

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



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

SpecificationTable with examples

Client Identification Upload

Mandatory	Field name	Field length	Field type	Valid Values	Example Content
Yes	ParticipantID	5 char	Uppercase letters	*List of participant IDs*	ABCFR
Yes	MIC	4 char	Alphanumeric	*MIC according to ISO 10383*	XEUR
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	2017-09-18
Yes	Short Code ID	8 bytes	Numeric	0 to 18,446,744,073,709,551,614*	9876
No	ClassificationRule	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 to ISO 3166-1 alpha 2	CZ
Conditional	National ID Priority	1 char	Numeric	1	2
				2	
				3	
Yes	Client long value	Max 35 char	Alphanumeric	[0...9] [A...Z] [a...z]	65765433
				[#]	

Please use the EEX Member Section

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

The screenshot shows the EEX Member Section login page. At the top right, there are navigation links: My Profile, Inbox, Contacts, and Help. Below these is the EEX logo and a dark navigation bar with 'Technical Connection' and 'EEX Documentation'. The main content area has a heading 'Welcome to the EEX Member Section' followed by two paragraphs of text. A login form is located in the bottom right, with fields for 'User' and 'Password', and a 'Login' button. A red box highlights the login form. A grey callout box on the right contains the text: 'Please login to the Member Section with the **Download Agent**'.

To create a **Download Agent**, please contact EEX Technology Team

(technology@eex.com).

If you already asked for a **Download agent** to upload the mapping file for the EEX Power Market, the same can be used for the PEGAS Market.

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

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