# Short code submission, format and short code – long code mapping process

### (based on Wiener Borse's description with minor BSE amendments)

## Submission method

Members will be able to upload 2 different data-files containing the mapping between short codes and the belonging National IDs or LEIs via their MiFID SFTP access. (For further information please check "BSE FTP Upload Server Guide".

The two files are:

- **Client Info Reporting File** (containing short codes belonging to clients in order to fill audit trail "Client identification code" field)

- **Inhouse Info Reporting File** (containing short codes belonging to persons – not having BSE Xetra trader ID registration - within the investment firm in order to fill "Investment decision within firm" and "Execution within firm" fields)

Please note that value between 0 and 9 as a short code will be reserved by BSE (please check "New fields for audit trail BSE spot market Xetra" documentation on BSE website)

## Submission deadline

Members have to provide data with the short codes and corresponding long codes and the relevant identifier (National ID or LEI) in a "Client Info Reporting" and "Inhouse Info Reporting File" before 19:00 CET of the respective trading day (Day T).

BSE initiates two "Confirmation" runs at 16:00 CET and 19:00 CET where provided data will be checked on formal correctness and completeness, and "Confirmation Files" and "Feedback Files" will be sent to Members for Client file and Inhouse file separately.

# Client Info Reporting File

**Format Specification "Client Info Reporting File":**

- Header part: ###<Member-ID>
  Example: ###ABCHU

- Footer part: ###<Date and time of creation>;<Num_data_records>
  Date and time of creation: Format "YYYY-MM-DD hh:mm:ss" (in CET)
  Num_data_records: Number of data lines (not including header and footer lines)

- Common properties: Field separator: Tab (ASCII 09)

- Filename-convention: CLIENT_INFO_<Member-ID>_<yyyymmdd>.DAT

**Data record format "Client Info Reporting File":**
**(**Members shall provide the following data)

| Req | Field Name | Field Lenght | Field Type | Valid Values | Example |
|-----|-----------|--------------|------------|--------------|---------|
| YES | MIC | Char(4) | Alphanumeric | MIC acc. to ISO 10383 | XBUD |
| YES | StatusIndicator | Char(1) | Uppercase Letter | N (new) M (modify) D (delete) | N |
| YES | ValidFrom | Char(10) | Date | Date Format "yyyy-mm-dd" | 2018-01-03 |
| YES | ShortCodeID | 8 bytes | Numeric | 10-18446744073709551614 | 123456 |
| YES | Classification | Char(1) | Uppercase Letter | L (for LEI) N (for National ID) | N |
| No | NatIDCtryCode | Char(2) | Capital Alpha Values | Country Code according to ISO 3166-1 alpha 2 | HU |
| No | NatIDPrio | Char(1) | Numeric | 1 2 3 | 1 |
| YES | ClientLongValue | Char(35) | Alphanumeric | | 19950320JOZSEF MINTA |

As the description implies, a full file or a delta file can be sent.

# Inhouse Info Reporting File

**Format Specification "Inhouse Info Reporting File":**

- <u>Header part:</u> ###<Member-ID>
  Example: ###ABCHU

- <u>Footer part:</u> ###<Date and time of creation>;<Num_data_records>
  <u>Date and time of creation</u>: Format "YYYY-MM-DD hh:mm:ss" (in CET)
  <u>Num_data_records</u>: Number of data lines (not including header and footer lines)

- <u>Common properties:</u> Field separator: Tab (ASCII 09)

- <u>Filename-convention:</u> INHOUSE_INFO_<Member-ID>_<yyyymmdd>.DAT

**Data record format "Inhouse Info Reporting File":**
**(**Members shall provide the following data)

| Req. | Field Name | Field Lenght | Field Type | Valid Values | Example |
|------|------------|--------------|------------|--------------|---------|
| YES | MIC | Char(4) | Alphanumeric | MIC acc. to ISO 10383 | XBUD |
| YES | StatusIndicator | Char(1) | Uppercase Letter | N (new) <br> M (modify) <br> D (delete) | N |
| YES | ValidFrom | Char(10) | Date | Date Format "yyyy-mm-dd" | 2018-01-03 |
| YES | ShortCodeID | 8 bytes | Numeric | 10-18446744073709551614 | 123456 |
| YES | Classification | Char(1) | Uppercase Letter | N (for National ID) | N |
| No | NatIDCtryCode | Char(2) | Capital Alpha Values | Country Code according to ISO 3166-1 alpha 2 | HU |
| No | NatIDPrio | Char(1) | Numeric | 1 <br> 2 <br> 3 | 1 |
| YES | InhouseLongValue | Char(35) | Alphanumeric | | 19950320JOZSEFMINTA |

As the description implies, a full file or a delta file can be sent.

# Confirmation files

Immediately after 16:00 CET and 19:00 CET BSE will process a formal check of the provided data (Client Info and Inhouse Info) and will generate a confirmation files in the same location as the file processed including the result of the formal verification.

## Format Specification

- Header part: ###<Member-ID>;<Status>
  Example: ###ABCHU;OK or ###ABCHU;ERROR

- Footer part and common properties: Same as for "Client and Inhouse Info Reporting Files"

- Filename-convention:
  CLIENT_INFO_CONFIRMATION<Member-ID>_<yyyymmdd>.DAT
  INHOUSE_INFO_CONFIRMATION<Member-ID>_<yyyymmdd>.DAT

## Data record format

(same as for "Client Info Reporting File/Inhouse Info Reporting file" + 2 additional fields)

| Req. | Field Name | Field Lenght | Field Type | Valid Values | Example |
|------|-----------|--------------|------------|--------------|---------|
| … | | | | | |
| Yes | Confirmed | Char(1) | Boolean | Y (yes); N (No) | Y |
| No | Error | Char(50) | Alphanumeric | Error in Field <Field Name> Missing Field <Field Name> Error in Header or Footer | Error in Field "Valid From" |

The field "Error" is only sent back, if field "Confirmed" is set to "N".

# Feedback files

BSE will check the completeness of client/inhouse data provided on a daily basis short after 16:00 CET for the last trading day before the current trading day and short after 19:00 for the current trading day.

Although completeness process will be run daily all missing data will be stored by BSE and the feedback file (provided by BSE) will include all short codes found in the trading system data, for which no client or inhouse information had been provided at all.

If Members fail to provide the decrypted ID for a short code submitted by the end of Day T, BSE will inform Members about incomplete data by means of a "Feedback File". Similarly, to the confirmation files, feedback files will be populated differently for Client as well as for Inhouse.

Members have to ensure completing missing data the next trading day (T+1) before 16:00 CET at the latest.

**Format Specification**

- Header and Footer Part: Same as for "Client and Inhouse Info Reporting File"

- Filename-conv.:
  CLIENT_INFO_FEEDBACK_<MEMBER_ID>_<DATE_OF_CREATION>.DAT
  INHOUSE_INFO_FEEDBACK_<MEMBER_ID>_< DATE_OF_CREATION >.DAT


**Data record format**

| Field | Spec | Field type | Description/Example |
|---|---|---|---|
| MIC | Char(4) | Alphanumeric | MIC code of the place of trade (XBUD) |
| TraderID | Char(11) | Alphanumeric | Xetra Trader ID in trading system (e.g. "ABCHUTRDABC") |
| Trade date | Char(10) | Date | The date of missing value |
| ShortCodeID | 8 byte | Numeric | Short code in the trading system |