



REGIS-TR

a SIX company

EMIR

Client Handbook

Information for clients

August 2022

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CONTENTS

CONTACTS	5
DEFINITIONS	6
FOREWORD.....	11
Getting started	11
EMIR in brief	11
ABOUT REGIS-TR.....	14
Company structure	15
INTRODUCTION TO EMIR SERVICES.....	16
CLIENT ACCOUNTS	22
Introduction.....	22
Reporting Participant account	24
Non-Reporting Entity account.....	25
Third Party Internal account	25
Third Party External account	26
Superuser.....	26
DELEGATION	27
Introduction.....	27
Delegation rules	28
Account requirements.....	28
Delegation control	29
TRANSACTION REPORTING	32
Action types and Message types	32
Special considerations for fungible derivatives	33
Collateral and valuation	34
Field erasing protocol.....	36
File structure and submission	40
CONNECTIVITY OPTIONS.....	44
SWIFTNet FileAct	45
SOAP Web Service.....	46
SFTP	51
EMIR Dashboard	54
VALIDATION	55

Validation process.....	55
RECONCILIATION.....	56
Introduction.....	56
Reconciliation processes.....	57
Matching	58
Reconcilable fields table	59
Reconciliation statuses.....	60
REPORTING TO CLIENTS	62
Introduction.....	62
Report/feedback cycle.....	62
Intraday reports	64
End of day reports	65
Weekly reports	70
Monthly Reports.....	71
Superuser Reports.....	72
Viewing and retrieving reports	75
ACCOUNT SETUP SERVICES	78
USER ACCESS TO THE EMIR DASHBOARD	80
Access and credentials	80
Menu items	82
Account and user information	83
News.....	83
Contact	84
INFRASTRUCTURE.....	85
Updates and new releases	85
Appendix: Error codes.....	86

CONTACTS

Relationship Management	+352 243 353 97 commercial@regis-tr.com
Client Services and technical support	+34 91 709 5570 emir-support@regis-tr.com
Account Setup Team	+34 91 709 5580 admin@regis-tr.com
New EMIR account requests	See Account setup services
www.regis-tr.com	 
Calls may be recorded for monitoring and quality control purposes.	

DEFINITIONS

Action type	Report field defining the purpose of the derivative report. Examples: New, Error, Valuation Update.
Account code	Code used to identify the client's account. Examples: RP6001: Reporting Participant account TP6001: Third Party Internal account TE6001: Third Party External account NR6001: Non-Reporting Entity account SU6001: Superuser account.
Account Setup Team (ASUT)	REGIS-TR team responsible for setting up client accounts and user profiles.
Account type	RP: Reporting Participant TP: Third Party Internal TE: Third Party External NR: Non-Reporting Entity SU: Superuser.
AIF	Alternative Investment Fund.
AIFM	Alternative Investment Fund Manager.
ASUT	<i>See Account Setup Team.</i>
Central Coordinator	A person authorised by the client to: <ul style="list-style-type: none"> • Act as point of contact between REGIS-TR and the client • Perform account and user management functions.
CFI	ISO 10962 Classification of Financial Instruments.
CLC	Client Code, a permitted type of identifier of the other counterparty.
Client	Reporting or Non-Reporting Entity that has a contractual relationship with REGIS-TR. Note: Referred to as Member in other Governing Documents.
Delegation file	Notification of delegation agreement provided to REGIS-TR by an entity that is delegated to report derivatives.
Derivative record	Refers to the data of an individual derivative contract as reported to the TR in a message file.

EEA	The European Economic Area that is relevant to EMIR consists of the EU Member States, Iceland, Liechtenstein and Norway.
EMIR	European Market Infrastructure Regulation (EU) 648/2012.
Entity Responsible for the Report (ERR)	Entity responsible for ensuring that the derivative report is submitted correctly. The entity may be: <ul style="list-style-type: none"> • A Reporting Counterparty, or • An entity under mandatory delegation to report on behalf of another: UCITS management company; AIFM; financial counterparty reporting on behalf of an NFC-counterparty.
ERR	See <i>Entity Responsible for the Report</i> .
ESMA	European Securities Markets Authority.
Family Group	Term used to describe: <ul style="list-style-type: none"> • 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.
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.
ISIN	ISO 6166 International Securities Identification Number.
LEI	ISO 17442 Legal Entity Identifier. See also <i>GLEIF</i> .
LEI update	Update of the LEI or old identifier of a counterparty in the Client's regulatory reporting records.
NFC-	A small non-financial counterparty is an entity that is below the clearing threshold, i.e. one which fulfils at least two of the following: <ul style="list-style-type: none"> • Balance sheet total: below € 20 000 000 • Net turnover: below € 40 000 000 • Average number of employees during the financial year: 250 or below.

Non-Reporting Entity	An entity that has a reporting obligation under EMIR but does not report on its own behalf.
NR	Code denoting <i>Non-Reporting Entity</i> account type.
Outbound	Describes reports/communications sent by REGIS-TR to the client.
Outstanding derivative	A derivative reported to the TR that: <ul style="list-style-type: none"> • Has not matured • Has not been reported with Action type: Error, Early Termination, Compression or Position Component.
R001 channel	A collection of protocols, XML schemas and CSV templates for reports from and to clients of non-fungible derivative contracts (typically OTC) at trade level, and also for the position level reporting of all types of derivative contracts.
R010 channel	A collection of protocols, XML schemas and CSV templates for reports from and to clients of fungible derivative contracts (typically ETD) at trade level.
RC	See <i>Reporting Counterparty</i> .
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: <ul style="list-style-type: none"> • Saturday • Sunday • 1 January • Good Friday • Easter Monday • 1 May • 25 December • 26 December.
Reporting Counterparty	A derivative counterparty that has a reporting obligation under Article 9 of EMIR.
Reporting obligation	The legal obligation of a derivative counterparty to report its derivatives to a trade repository. Note: The obligation remains with the counterparty regardless of any voluntary or mandatory delegation in place.
RP	Code denoting <i>Reporting Participant</i> account type.
Reporting Participant (RP)	A client account used by a Reporting Counterparty to report its own side of a derivative and/or the other counterparty's side.

Reporting responsibility	Legal responsibility under EMIR 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, for example: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Third party service provider • Vendor of derivative reporting solutions • UCITs management company • AIFM • Financial counterparty to a transaction with a small non-financial counterparty.
SU	Code denoting <i>Superuser</i> account type.
Superuser (SU)	This is a type of account to view reports from one or more clients' accounts. Reason: audit, supervision or similar. Note: The Superuser account access is restricted to Reporting Participant (RP) and Non-Reporting Entity (NR) accounts.
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.
TE	Code denoting <i>Third Party External</i> account type.
Third Party External (TE)	A client account used by a non-counterparty to report derivatives on behalf of an entity outside its Family Group.
Third Party Internal (TP)	A client account used by a non-counterparty to report derivatives on behalf of an entity within its Family Group.
TR	See <i>Trade Repository</i> .
Trade Repository (TR)	A legal entity that centrally collects and maintains the records of trades or transactions.
TP	Code denoting <i>Third Party Internal</i> account type.
UCITS	Undertaking for Collective Investment in Transferable Securities.
UTI	Unique Trade ID.

FOREWORD

Getting started

For new clients	<p>Thank you for choosing REGIS-TR to support your EMIR reporting obligation. The steps for onboarding, with the relevant chapters of this Handbook, are:</p> <ol style="list-style-type: none"> 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 EMIR Dashboard. 5. Get ready to submit reports: Transaction reporting. <p>REGIS-TR will provide you with access credentials for your testing in the UAT. For assistance, please don't hesitate to Contact us.</p>
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EMIR in brief

Disclaimer for EMIR in brief	<p>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.</p>
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Introduction	<p>The aim of EMIR is to reduce systemic risk by increasing the transparency of the financial markets. Under EMIR:</p> <ol style="list-style-type: none"> 1. Derivative counterparties must report their transactions to a trade repository. These reports can be accessed by authorised supervisory and regulatory bodies. 2. Investment funds must provide detailed disclosure on their derivatives and total return swaps.
The regulation applies to:	<ol style="list-style-type: none"> 1. Any derivative counterparty established in the EEA. 2. A management company for an EU Undertaking for Collective Investment in Transferable Securities (UCITS) 3. Foreign (non-EEA) AIFs authorised or registered under the Alternative Investment Fund Managers Directive 2011/61/EU (AIFMD). <p>Note: The reporting responsibility for UCITS and AIFs usually lies with the fund management company.</p>

Reporting obligations and responsibilities	<ol style="list-style-type: none"> Derivative reports must be submitted to a trade repository authorised by ESMA to provide services under EMIR. Each counterparty to a derivative is legally obliged and responsible for ensuring that its side of the transaction, including lifecycle events, is reported to an authorised trade repository. Exceptions: If the derivative is concluded by a UCITS or AIF, the responsibility for reporting usually lies with the fund management company, and a financial counterparty is responsible for reporting on behalf of an NFC-. A derivative counterparty may delegate its reporting to the other counterparty or to a third party. 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 five years after its termination. 	
Derivatives types to be reported	<ol style="list-style-type: none"> Contracts for Difference (CFDs) Forward rate agreements Futures Forwards Options Spreadbets Swaps Swaptions Other types 	
Action types	N: New M: Modification E: Error C: Early Termination	R: Correction Z: Compression V: Valuation Update P: Position Component
Data requirements	Contractual Data must follow these data standards: <ol style="list-style-type: none"> Derivative reports must be submitted in REGIS-TR's proprietary CSV or XML formats. Derivative reports must contain the data fields defined by ESMA. Derivatives data (trades and positions) must be identified by the Unique Transaction Identifier (UTI). The reporting counterparty must be identified by a Legal Entity Identifier (LEI). The other counterparty can be identified by either an LEI or a CLC. Securities must be identified with a) ISIN and b) CFI codes. 	

	<p>6. The relevant ISO standards must be used to identify several data elements including:</p> <ul style="list-style-type: none">• Currency• Country• Date and time• LEI• ISIN• CFI• MIC
Reporting start date	12 February 2014

ABOUT REGIS-TR

Introduction	<p>REGIS-TR is a European trade repository for the reporting of trades and transactions across multiple product classes and jurisdictions.</p> <p>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.</p> <p>We are authorised to provide trade repository services by the:</p> <ul style="list-style-type: none"> • European Markets and Securities Authority (ESMA) and • Swiss Financial Market Supervisory Authority (FINMA).
Trade Repository services	<p>Along with our sister company, REGIS-TR UK LTD in London, we are one of Europe's largest trade repository groups for EMIR, with around 1,500 client accounts and a weekly average of 30 million+ new trade reports, and offering the following reporting services:</p> <ol style="list-style-type: none"> 1. OTC and exchange-traded derivatives (EMIR, UK EMIR, FinfraG) 2. Securities financing transactions (SFTR).
Regulatory registrations	<p>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).</p> <p>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 (<i>Finanzmarktinfrastrukturgesetz</i>).</p> <p>ESMA registered REGIS-TR as a trade repository under Regulation (EU) 2015/2365 (SFTR) on 7 May 2020.</p>

Company structure

REGIS-TR	
Legal name	REGIS-TR société anonyme
Head office	42 Avenue J-F. Kennedy, L-1855 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 EMIR SERVICES

Derivative classes	<p>REGIS-TR accepts derivative reports for all classes under the regulation, as below:</p> <ul style="list-style-type: none"> • Commodity • Credit • Currency • Equity • Interest Rate • All other miscellaneous derivative classes not included above
Contract types	<p>We accept all derivative contract types, as below:</p> <ul style="list-style-type: none"> • Contracts for Difference (CFDs) • Forward rate agreements • Futures • Forwards • Options • Spreadbets • Swaps • Swaptions • Other types
Action types	<p>We accept all derivative action types/lifecycle events, as below:</p> <ul style="list-style-type: none"> • New • Modification • Error • Early Termination • Position Component • Correction • Compression • Valuation update • Collateral update
Direct and delegated reporting	<ol style="list-style-type: none"> 1. Direct reporting: The counterparty reports its side of the transaction on its own behalf. 2. Delegated reporting: The counterparty delegates the reporting of its side of the transaction to: <ul style="list-style-type: none"> • the other counterparty to the transaction • a third party that belongs to the counterparty's family group, or • a third party that does not belong to the counterparty's family group.

	<p>3. Mandatory delegation: A financial counterparty reports on behalf of an NFC-. Further information: see Delegation.</p>												
Interoperability	We have set up a series of partnerships with third party providers offering end-to-end reporting solutions, data enrichment, pre-reconciliation and other services designed to ease the reporting workload for EMIR. For full details, please see our website .												
Account types	<p>1. All REGIS-TR clients with an EMIR reporting obligation may open an account, regardless of whether they report directly or delegate to another party.</p> <p>2. Clients request account setup services from REGIS-TR.</p> <p>3. The account type required by the client depends on its reporting model. This is a brief summary:</p> <table border="1"> <thead> <tr> <th>Account type</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Reporting Participant</td> <td> <ul style="list-style-type: none"> This account is for clients that submit derivative reports to which they are a counterparty. The client reports its own side of the derivative. The client may report its own side of the derivative and the other counterparty's side. </td> </tr> <tr> <td>Non-Reporting Entity</td> <td> <ul style="list-style-type: none"> This account is for clients that delegate their reporting to the other counterparty or to a third party. The account provides read-only access to the derivative reports submitted on the client's behalf. </td> </tr> <tr> <td>Third Party Internal</td> <td> <ul style="list-style-type: none"> This account is used by a client to submit derivative reports on behalf of entities in its family group. The Third Party is not a counterparty to the reported transactions. </td> </tr> <tr> <td>Third Party External</td> <td> <ul style="list-style-type: none"> This account is used by a client to report transactions on behalf of entities outside its family group. The Third Party is not a counterparty to the reported transactions. </td> </tr> <tr> <td>Superuser</td> <td> <ul style="list-style-type: none"> This account has the permission to view data and reports from other clients' accounts. It is a read-only access for audit and similar control purposes. The Superuser access is granted only on the explicit authorisation of the clients owning the accessed accounts. The Superuser access is restricted to Reporting Participant and Non-Reporting Entity accounts. </td> </tr> </tbody> </table>	Account type	Description	Reporting Participant	<ul style="list-style-type: none"> This account is for clients that submit derivative reports to which they are a counterparty. The client reports its own side of the derivative. The client may report its own side of the derivative and the other counterparty's side. 	Non-Reporting Entity	<ul style="list-style-type: none"> This account is for clients that delegate their reporting to the other counterparty or to a third party. The account provides read-only access to the derivative reports submitted on the client's behalf. 	Third Party Internal	<ul style="list-style-type: none"> This account is used by a client to submit derivative reports on behalf of entities in its family group. The Third Party is not a counterparty to the reported transactions. 	Third Party External	<ul style="list-style-type: none"> This account is used by a client to report transactions on behalf of entities outside its family group. The Third Party is not a counterparty to the reported transactions. 	Superuser	<ul style="list-style-type: none"> This account has the permission to view data and reports from other clients' accounts. It is a read-only access for audit and similar control purposes. The Superuser access is granted only on the explicit authorisation of the clients owning the accessed accounts. The Superuser access is restricted to Reporting Participant and Non-Reporting Entity accounts.
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	<p>Further information: see Client Accounts.</p>
Validation	<ol style="list-style-type: none"> REGIS-TR performs the following validations: <ul style="list-style-type: none"> • 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). To enable clients to track the progress of their submissions, we return an initial acknowledgement of receipt for files uploaded using the EMIR Dashboard. For all upload methods, there is a validation status report covering each submitted derivative report. If any derivative report is rejected, the validation status feedback report provides the reason for the rejection. Validation status reports are provided to the Report Submitting Entity via the communication channel used to submit the derivative reports. Any Reporting Counterparty that did not submit a derivative report and is holding an account with REGIS-TR will receive a copy. <p>Further information: see Validation.</p>
Reconciliation	<ol style="list-style-type: none"> The reconciliation process begins once an eligible derivative has been validated successfully. Note: Only derivative reports with both counterparties identified with LEIs can be reconciled. REGIS-TR will first check for the other side of the trade internally. If we still do not hold the other side of the derivative contract by the end of the following working day, we then try to locate it through the daily inter-TR reconciliation process on the working day thereafter. A reconciliation status feedback message for each reported derivative is returned to the Report-Submitting Entity. A derivative record that cannot be reconciled on a first attempt may remain eligible for subsequent attempts. <p>Further information: see Reconciliation.</p>
Reporting to clients	<ul style="list-style-type: none"> • We provide a series of reports detailing reporting activity, transaction states and reconciliation statuses. In addition, we provide reports on invoiced fees. • Several connectivity options are available.

	<p>Further information: see Connectivity options and Reporting to clients.</p>
EMIR Dashboard	<p>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.</p>
Connectivity options	<p>REGIS-TR provides one manual and four automated options for:</p> <ul style="list-style-type: none"> • The submission of derivatives and updates, and • The reception of status messages, reports and other communications from REGIS-TR. <p>Manual upload/download</p> <ul style="list-style-type: none"> • Clients needing to report only a small number of derivatives may find it more efficient to submit reports via secure internet access in their EMIR 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 EMIR Dashboard, regardless of the method chosen for the upload of derivatives. <p>Automated file transfer via:</p> <ul style="list-style-type: none"> • SOAP Web Service, or • Secure File Transfer Protocol (SFTP) • SWIFTNet FileAct • Leased line <p>Further information: see Connectivity options.</p>
Production and testing environments	<p>REGIS-TR offers three separate environments for entities reporting under EMIR. Production account holders have automatic access to all three environments. To request access, please contact our Account Setup Team.</p> <p>Production environment: https://w3.regis-tr.com</p> <ul style="list-style-type: none"> • Upload of derivatives • Real-time processing of derivatives • Production: live reporting environment. <p>UAT environment: https://formacion.regis-tr.com</p> <ul style="list-style-type: none"> • Test environment used by clients to assess new functionalities in the period before these are implemented in the Production environment.

	<ul style="list-style-type: none"> Available free of charge to prospective clients wishing to test REGIS-TR solutions without commitment. <p>Pre-production environment: https://pre-production.regis-tr.com/</p> <ul style="list-style-type: none"> Test environment mirroring the production environment. Software updates are installed in the week after deployment in Production. 			
System availability	Note: All times CET	Production	UAT	Pre-Production
	Processing days	REGIS-TR working 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	03:00:00 to 19:59:59
	Inbound reporting closed	23:00:00 to 02:59:59	23:00:00 to 02:59:59	20:00:00 to 02:59:59
	<p>EMIR Dashboard availability: 24/24h all days except for scheduled maintenance (may occur only during weekends in the Production environment).</p> <p>*Opening hours may vary (between 03:00:00 and 04:00:00) depending on the Reporting channel and connectivity option, please contact Client Services for further details.</p>			
Client Services	<ul style="list-style-type: none"> 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. <p>Languages spoken: English, Spanish.</p> <p>Response time: Maximum one working day/Average response time 3 hours.</p> <p>Availability: All REGIS-TR working days.</p> <p>Hours: 08:00 - 18:30 CET</p> <p>Contact details: see Contacts.</p>			
Relationship Management team	<p>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.</p> <p>The team can be contacted directly for advice and support on all areas of our business, including on-boarding procedures, testing, fees and documentation.</p> <p>Languages spoken: English, French, German, Italian, Luxembourgish, Spanish, Czech, Slovak, Romanian.</p>			

	<p>Availability: All REGIS-TR working days.</p> <p>Hours: 08:30 - 18:30 CET</p> <p>Contact details: see Contacts.</p>
Infrastructure	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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.
LEI update	<p>For detailed information about making updates of the LEIs used in derivative reports following a restructuring corporate event, please refer to our Client Handbook for LEI Updates.</p>

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:	<ol style="list-style-type: none"> 1. Introduction 2. Reporting Participant account 3. Non-Reporting Entity account 4. Third Party Internal account 5. Third Party External account 6. Superuser.

Introduction

Purpose of accounts	<p>REGIS-TR accounts are for the use of:</p> <ul style="list-style-type: none"> • Entities that submit derivative reports on their own behalf. • Entities that submit derivative reports on behalf of another entity. • Entities that delegate their reporting to another entity but require detailed access to the derivative reports submitted on their behalf.
Accounts for delegating entities	<p>An entity that intends to delegate its reporting to another entity is not required to hold an account.</p> <p>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.</p>
Environments	<ol style="list-style-type: none"> 1. REGIS-TR provides three online environments: <ol style="list-style-type: none"> a. Production: live reporting b. UAT: testing of new features and functionalities. Note: The UAT is also open to entities that are not REGIS-TR clients c. Pre-production environment: testing in a Production-like environment when UAT and Production versions are not aligned. 2. REGIS-TR clients with an account in the Production environment will automatically be set-up with an account in the UAT environment. 3. Prospective clients with access to our UAT environment do not have access to the Production environment.
Direct and delegated reporting	<ol style="list-style-type: none"> 1. Direct reporting: The counterparty reports its side of the transaction on its own behalf.

	<p>2. Delegated reporting: The counterparty delegates the reporting of its side of the transaction to:</p> <ul style="list-style-type: none"> • the other counterparty to the transaction • a third party that belongs to the counterparty's family group, or • a third party that does not belong to the counterparty's family group. <p>3. Mandatory delegation: The following conditions require delegated reporting:</p> <ul style="list-style-type: none"> • a financial counterparty reports on behalf of an NFC- unless the NFC- opts to report on its own behalf • a fund management company reports on behalf of its UCITS or AIF • an authorised and responsible entity reports on behalf of an institution for occupational retirement provision (IORP) that is not a legal entity under national law.
Delegation control	REGIS-TR verifies the delegation authorisation when the report submitter is reporting derivatives in delegation. Further information: see Delegation control .
Account codes	<p>1. Account codes are allocated by REGIS-TR.</p> <p>2. The account code structure is: two letters denoting account type + four alphanumeric characters. Example: RP6001.</p> <p>3. The account types are:</p> <p>RP: Reporting Participant TP: Third Party Internal TE: Third Party External NR: Non-Reporting Entity SU: Superuser</p> <p>Note: For each account type, the client's account code may be the same regardless of the environment.</p>
Account restrictions	<p>1. The same LEI may not hold both a Non-Reporting Entity account and either a Reporting Participant account or a Third Party account.</p> <p>2. The same LEI may not hold two accounts of the same type.</p>
Account application, setup and management	<p>1. REGIS-TR clients are required to submit the onboarding forms for initial account setup.</p> <p>2. Account setup will be performed by the REGIS-TR Account Set-up Team according to the documentation received.</p>
Reporting to the client	<p>1. REGIS-TR sends the client's derivative activity and other reports to the accounts of:</p> <ul style="list-style-type: none"> • The Report-Submitting Entity

	<ul style="list-style-type: none"> The Reporting Counterparty Authorised Superusers of the accounts. <p>Further information: See Definitions.</p> <p>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 EMIR Dashboard.</p> <p>3. While the Report-Submitting Entity will always have an account, a Reporting Counterparty may not. Reports can be sent to account holders only.</p> <p>Further information: See Reporting to Clients.</p>
Superuser	<p>1. This is a user authorised to view reports from one or more of its clients' accounts.</p> <p>Purpose: audit, supervision or similar.</p> <p>2. Superuser access to individual accounts is provided only on the explicit authorisation of the account holder.</p> <p>3. For reasons of confidentiality, Superusers cannot be granted access to Third Party accounts.</p> <p>4. Superuser access can be requested, authorised and set up on the EMIR Dashboard from the client site.</p>
Central Coordinator	<p>All clients with an account and/or Superuser need to define and authorise a Central Coordinator when submitting the onboarding documentation. This person:</p> <ul style="list-style-type: none"> 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 EMIR Dashboard. For the latter option, see Contacts.

Reporting Participant account

This account is for:	<p>A Reporting Counterparty that:</p> <ul style="list-style-type: none"> Reports its own side of a transaction and/or the other counterparty's side directly to the TR, and/or Delegates its reports to another Reporting Participant or a Third Party. <p>Note: Clients that delegate all their reporting may prefer to open a Non-Reporting Entity (NR) account. This provides read-only access to derivatives submitted to REGIS-TR and reports received from REGIS-TR.</p>
Account permissions	<p>1. Report</p>

	<ul style="list-style-type: none"> • Own leg of the derivative, including lifecycle events (also when the action type New was reported under delegation by another client). • Other counterparty's leg, if delegated. <p>2. View</p> <ul style="list-style-type: none"> • Derivative records submitted by the account holder on its own behalf • Derivative records submitted by the account holder on behalf of its other counterparty, if the delegation remains in place • Derivative records submitted on the account holder's behalf by its other counterparty or a third party. • Reports from REGIS-TR on derivative records submitted by or on behalf of the account holder.
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Non-Reporting Entity account

This account is for:	<p>A Reporting Counterparty that:</p> <ul style="list-style-type: none"> • Delegates in full its report submissions under EMIR, and • Requires oversight of the transactions reported on its behalf.
Account permissions	<p>This account provides read access to:</p> <ul style="list-style-type: none"> • End of day reports of derivative records to which the account holder is a Reporting Counterparty • Feedback, reports and other communications from REGIS-TR.

Third Party Internal account

This account is for:	<p>An entity that is not a counterparty but is a member of the Family Group of the counterparty, and:</p> <ul style="list-style-type: none"> • Has been delegated to report derivatives on behalf of Reporting Counterparties, and/or • Has a reporting responsibility under mandatory delegation for another entity.
Account permissions	<p>1. Report</p> <ul style="list-style-type: none"> • The delegating entity's side of the derivative record, including lifecycle events • The delegating entity's other counterparty's side. <p>2. View</p> <ul style="list-style-type: none"> • Derivative submitted by the account holder on behalf of the delegating entity if the other counterparty does not have a REGIS-TR account. • Reports from REGIS-TR on derivatives submitted by the account holder.

	<p>Notes:</p> <ul style="list-style-type: none"> • Permissions apply only where the applicable delegation remains in place. • Derivative submissions and REGIS-TR reports are made available to the Reporting Counterparties and Entities Responsible for the Report if they have REGIS-TR accounts.
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Third Party External account

This account is for:	An entity that is neither a derivative counterparty nor a member of the Family Group of the derivative counterparty.
Account permissions	See the Account permissions of the Third Party Internal account above.

Superuser

Superuser permissions: accounts	<ol style="list-style-type: none"> 1. The Superuser's permissions are defined when the profile is first set up. 2. The Superuser can obtain access to its supervised accounts through SFTP. 3. The Superuser can be granted access to Reporting Participant and Non-Reporting Entity accounts, on the explicit authorisation of the respective account holder. 4. The Superuser does not have access to Third Party accounts for reasons of client confidentiality.
Superuser permissions: environments	<p>The Superuser has access to the following environments through the EMIR Dashboard:</p> <ul style="list-style-type: none"> • Production environment • UAT environment

DELEGATION

Introduction

<p>This section applies to:</p>	<ol style="list-style-type: none"> 1. Entities that delegate their reporting 2. Counterparties to a derivative contract that have been delegated to report on behalf of their other counterparty 3. Third parties delegated to report on behalf of another entity, including financial counterparties (FCs), where a derivative is concluded with a small non-financial counterparty (NFC-).
<p>Background</p>	<p>Delegation describes a situation where one party reports on another's behalf. Delegation may be:</p> <ol style="list-style-type: none"> a. A voluntary agreement between parties, or b. Mandatory under EMIR regulation. <p>Voluntary delegation</p> <ul style="list-style-type: none"> • The delegation is notified to REGIS-TR in a delegation file submitted by the delegated entity. • This file is verified on receipt of a derivative report to ensure the delegation is active. • If the delegation file is not in place or inactive, the derivative report is rejected as shown in the I401/R010 reports. <p>Mandatory delegation</p> <p>For a derivative contract between a financial counterparty (FC) and a small non-financial counterparty (NFC-), the FC is responsible for the reporting of both itself and the NFC-, unless the NFC- opts to report for itself. No delegation file is required for an FC to report on behalf of its NFC- counterparty, except for valuation and collateral updates at portfolio level. Note: The FC may in turn delegate the reporting to a third party, which then becomes voluntary delegation on behalf of both the FC and the NFC-.</p>
<p>Reporting both legs of a derivative</p>	<p>When a Report-Submitting Entity is reporting for both counterparties of a derivative contract, both sides can be reported together using the common data fields.</p>
<p>This section covers:</p>	<ol style="list-style-type: none"> 1. Delegation rules 2. Account requirements 3. Delegation control

Delegation rules

Voluntary delegation	<p>Delegation is voluntary in the following cases:</p> <ul style="list-style-type: none"> • Report Submitting Entity is not the Reporting Counterparty or • Report Submitting Entity is not linked to the same account as the Reporting Counterparty or • Reporting Counterparty chooses to delegate its reporting to its other counterparty or to a third party. <p>Note: In these cases, and whenever performing delegated reporting of valuation or collateral updates at portfolio level, the derivative reporting is subject to delegation control.</p>
Mandatory delegation	<p>Delegation is mandatory for an OTC derivative contract that is concluded between an FC and an NFC-. REGIS-TR detects mandatory delegation based on the following criteria:</p> <ul style="list-style-type: none"> • 1.3 Type of ID of the other Counterparty is populated with "LEI", • 1.4 ID of the other Counterparty and 1.9 Report submitting entity ID are populated with the same LEI, • 1.7 Nature of the reporting counterparty is populated with "N", • 1.16 Clearing threshold is populated with "N", and • 2.15 Venue of execution is populated with "XXXX" or "XOFF".
Reporting participant account holders	<p>An entity with a Reporting Participant account may report on behalf of the other counterparty under a mandatory or voluntary delegation.</p> <p>Rule: If the delegation is voluntary, the derivative reporting is subject to delegation control.</p>
Third Party account holders	<p>An entity with a Third Party account will always report on behalf of other entities under voluntary delegation.</p> <p>Rule: Voluntary delegation is subject to delegation control.</p>

Account requirements

Report submitting entity	<p>To submit a derivative report, an entity must hold a REGIS-TR account of one of the following types:</p> <ul style="list-style-type: none"> • Reporting Participant • Third Party Internal • Third Party External.
Financial Counterparty reporting under mandatory delegation	<p>An FC with a Reporting Participant account may report OTC derivatives on behalf of its NFC-counterparty under mandatory delegation, or delegate to a Third Party under voluntary delegation.</p>

Delegation control

Purpose	To ensure that the report submitter is authorised to report on behalf of the Reporting Counterparty.
Delegation control validation process	<ol style="list-style-type: none"> 1. REGIS-TR performs delegation control on a submitted derivative record when the report submitter is reporting under voluntary delegation by verifying that an active delegation authorisation is in place for reporting on behalf of the Reporting Counterparty. 2. If the delegation authorisation is valid, the derivative record passes the permission validation. 3. If the delegation authorisation is missing or has been cancelled, the derivative record will be rejected.
Using the delegation control facility	<p>The subsections below describe how to confirm and maintain the authorisations of delegated reporting:</p> <ol style="list-style-type: none"> 1. Creating an R021 Delegating entities file 2. Submitting an R021 Delegating entities file 3. After submitting an R021 Delegating entities file

Creating an R021 Delegating entities file

File type and preparation	<p>The file type shall be CSV plain text, with semicolon (;) used as column separator. Field values shall not be delimited by double quotes (") or other characters. Note: The use of double quotes below is only to denote literal values.</p> <p>The file layout is simple and suitable for manual preparation using a text editor or a spreadsheet application with support for export to CSV format. The fields defined below are all mandatory.</p> <p>Before preparing a new file, you may wish to login to the EMIR Dashboard, select Delegation Control > Delegating Entities to review the status of the details from any previously submitted and accepted R021 Delegating entities files.</p>
Filename	You may give the file any name, provided that "R021" is in the name and the extension is ".csv" or ".CSV".
File contents - header	<p>The first five rows are header information:</p> <ol style="list-style-type: none"> 1. Sender and the delegated entity, specify your LEI 2. Receiver, specify "RGTRRESMMXXX"

	<p>3. Report generation timestamp in UTC, i.e. YYYY-MM-DDThh:mm:ssZ</p> <p>4. Report type, specify "R021"</p> <p>5. Column headings, specify "IDENTIFIER;STATUS;EFFECTIVE DATE"</p>																
File contents - body	Each row in the body consists of three fields (columns) of data. Note: The body may have maximum 5,000 rows. Use multiple files if more than 5,000 rows are required.																
	<table border="1"> <thead> <tr> <th>Col.</th> <th>Field</th> <th>Format</th> <th>Comment</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>IDENTIFIER</td> <td>20 alphanumeric characters</td> <td>LEI of the delegating entity</td> </tr> <tr> <td>2</td> <td>STATUS</td> <td>4 uppercase letters</td> <td>Requested status of the delegation "ACTI" = Activate "CANC" = Cancel</td> </tr> <tr> <td>3</td> <td>EFFECTIVE DATE</td> <td>DD/MM/YYYY</td> <td>Effective date of the requested delegation activation or cancellation.</td> </tr> </tbody> </table>	Col.	Field	Format	Comment	1	IDENTIFIER	20 alphanumeric characters	LEI of the delegating entity	2	STATUS	4 uppercase letters	Requested status of the delegation "ACTI" = Activate "CANC" = Cancel	3	EFFECTIVE DATE	DD/MM/YYYY	Effective date of the requested delegation activation or cancellation.
	Col.	Field	Format	Comment													
	1	IDENTIFIER	20 alphanumeric characters	LEI of the delegating entity													
2	STATUS	4 uppercase letters	Requested status of the delegation "ACTI" = Activate "CANC" = Cancel														
3	EFFECTIVE DATE	DD/MM/YYYY	Effective date of the requested delegation activation or cancellation.														
File contents - footer	The last row shall contain a single integer indicating the total number of rows in the file (including the footer row itself).																
Example	<pre>123400098765ABCDXXXX RGTRESMMXXX 2021-07-01T08:13:37Z R021 IDENTIFIER;STATUS;EFFECTIVE DATE 432100056789DCBAXXXX;ACTI;02/07/2021 987600012345NMLKXXXX;CANC;05/07/2021 8</pre>																
Special handling for "legacy trades"	For delegated life cycle reporting of derivative contracts data that doesn't identify the delegating entity with an LEI, the applicable identifier shall be specified in the IDENTIFIER column of the R021 Delegating entities file. This may be relevant to derivative contracts that were initially reported to REGIS-TR prior to 1 November 2017.																

Submitting an R021 Delegating entities file

How to send the file	<ol style="list-style-type: none">1. Login to the EMIR Dashboard2. Select Delegation Control > Delegating Entities File Upload3. Click on the Choose file button4. Find and select the file to be uploaded, and click on the Open button5. Click on the UploadFile button. Note: You will need your signature key.
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After submitting an R021 Delegating entities file

File validation and processing	REGIS-TR validates the uploaded file and returns a rejection message for the whole file in case of errors. When the file is accepted, the delegation authorisation will be updated on the specified effective date.
Reviewing delegation control status	In the EMIR Dashboard, select Delegation Control > Delegating Entities to review the status of the details from the previously submitted and accepted R021 Delegating entities files.

TRANSACTION REPORTING

This section covers:	<ol style="list-style-type: none"> 1. Action types and Message types 2. Special considerations for fungible derivatives 3. Collateral and valuation 4. Field erasing protocol 5. File structure and submission
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Action types and Message types

Introduction	<p>This section sets out the Action types and message types the typical purposes of the derivative reports.</p> <p>Notes:</p> <ul style="list-style-type: none"> • The reporting of derivative contracts under EMIR shall follow ESMA's validation rules and REGIS-TR's reporting formats. • XML schema definitions and CSV templates are available in the Documentation section of the EMIR Dashboard in the Production and UAT environments. • REGIS-TR has two distinct collections of protocols, XML schemas and CSV templates: <ul style="list-style-type: none"> ○ R001 channel - for non-fungible derivatives (typically OTC) and position level reporting of all types of derivatives. ○ R010 channel - for trade level reporting of fungible derivatives (typically ETD).
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Life cycle event	Action type	R001 channel		R010 channel		Description of use
		XML message type	CSV template	XML message type	CSV template	
New	N	XT	R001	EX	R010	New derivative contract
Modification	M	MX	R001	ME	R010	<p>Modification of one or more fields of a derivative to reflect a contractual amendment that has been agreed between the counterparties.</p> <p>Note: Do not use action type M for:</p> <ul style="list-style-type: none"> • Correction of a mistake (use R) • An early termination (use C) • Updates to the valuation or collateral (use V).
Error	E	TT	R001	TE	R010	Logical deletion of a derivative contract that was reported in error.

Life cycle event	Action type	R001 channel		R010 channel		Description of use
		XML message type	CSV template	XML message type	CSV template	
Early termination	C	TT	R001	TE	R010	Termination of a derivative contract prior to its maturity date or at any time if the derivative contract was open ended.
Correction	R	MX	R001	ME	R010	Correction of a mistake in a previously reported derivative contract. Note: Do not use action type R to report a contractual amendment agreed between the counterparties (use M).
Compression	Z	TT	R001	TE	R010	Compression of the derivative contract.
Collateral update	V	CU	R003	-	-	Update of a derivative contract's collateral data.
Historical collateral update	V	CUH	R006	-	-	Late update of a derivative contract's collateral data.
Valuation update	V	VU	R002	-	-	Update of a derivative contract's valuation.
Historical valuation update	V	VUH	R005	-	-	Late update of a derivative contract's valuation.
Position component	P	-	-	EX	R010	New derivative contract at trade level that on the same day is logically deleted and included in a separate position level report.
Modification of delegation	M	MD	R001	MC	R010	Modification of whether a derivative record is submitted on behalf of one or both counterparties.
Portability	M	PX	R007	PT	R012	Transfer of derivative records between REGIS-TR accounts.

Special considerations for fungible derivatives

End of day netting	Trades in ETDs and fungible OTCs are reported in the R010 channel, and all such derivative contracts shall be netted at trade level each end of day. Any netted derivative contract
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	position that remains open at the end of a day shall be reported and subsequently maintained in the R001 channel.						
Two options for reporting	Option	Step	Life cycle event	Channel	Message type	Action type	Level
	1	1	New trade	R010	EX	N	T
		2	Compression	R010	TE	Z	T
		3	New position	R001	XT	N	P
	2	1	Position component	R010	EX	P	T
		2	New position	R001	XT	N	P

Collateral and valuation

Purpose	<p>Financial Counterparties (FCs) and large Non-Financial Counterparties (NFC+) are required to report on collateral and valuations.</p> <ul style="list-style-type: none"> • Collateral updates identify the assets securing the exposure, either individually (trade level) or on a portfolio basis • Valuation information provides a mark-to-market (or to model) valuation of the counterparty exposure. • Updates of collateral and valuation need to be submitted in a chronological order. • The specific historical collateral and valuation update messages are for the exceptional need to amend a historical chain of records, when the normal chronological reporting order cannot be respected. • The collateral and valuation of fungible derivative contracts, that are initially reported in the R010 channel and remain open after netting at the end of the day of the conclusion of the contracts, shall be reported in the R001 channel following the compression and/or consolidation into a position. See Special considerations for fungible derivatives above.
Applicability	<p>Who: FC and NFC+</p> <p>Deadline: End of the day following valuation date</p> <p>Frequency: Daily; intraday or end of day</p> <p>What: Collateral posted and received. All valuation updates.</p>
Collateral data fields and message types	<p>All collateral data fields, from 1.21 Collateralisation through to 1.35 Currency of the excess collateral received, can be populated in the R001 message types XT, CU and CUH. Message types CU and CUH also have a proprietary field for Collateral Date.</p>

	1.22 Collateral portfolio and 1.23 Collateral portfolio code can be populated in message type MX.
Valuation data fields and message types	The initial valuation is reported in the fields from 1.17 Value of contract through to 1.20 Valuation type of the message types XT and EX. Subsequent updates and amendments are made using message types VU and VUH.
Usage, formatting and validation	Please refer to ESMA's technical standards and guidelines and REGIS-TR's inbound formats available in the EMIR Dashboard in our Production and UAT environments for definitions on usage and formatting.

Making collateral updates

Introduction	Collateral updates are reported either individually for each derivative contract or by defining a collateral portfolio for reporting on a group derivative contracts.
Updating the collateral of a derivative contract	Clients may report collateral updates for an individual derivative contract (trade or position) by populating field 1.22 Collateral portfolio with "N". A collateral update message submitted in this way will affect only the derivative contract identified by the counterparty IDs and the UTI. The derivative contract to be updated must not have been errored (TT message with action type E).
Collateral portfolios	<p>Collateral can alternatively be managed on a portfolio basis, i.e. by groups of derivative contracts that share the same values for the following fields respectively:</p> <ul style="list-style-type: none"> • 1.2 Reporting Counterparty ID • 1.3 Type of ID of the other Counterparty • 1.4 ID of the other Counterparty • 1.23 Collateral portfolio code. <p>Note: The same value in 1.23 Collateral portfolio code can be used for several different portfolio groups of derivative contracts.</p> <p>The new derivative (XT message), modification (MX message) and collateral update (CU message) reports can be used to report the four fields that define a collateral portfolio. The historical collateral update (CUH message) can only be used if there has been a prior report identifying the same collateral portfolio.</p>
Linking derivative contracts to a	When the four fields that define a collateral portfolio are reported together with a value in field 2.12 Trade ID, then REGIS-TR will link the derivative contract to the collateral portfolio.

collateral portfolio	<p>Note: Any other derivative contracts that are active and linked to the same collateral portfolio will also be updated with the same collateral data being reported for the newly linked derivative contract.</p> <p>When field 1.22 Collateral portfolio is populated with "N", field 1.23 Collateral portfolio code is blank or not present, and field 2.12 Trade ID is populated with the UTI of a previously linked derivative contract, then REGIS-TR will unlink that derivative contract from the collateral portfolio.</p>
Updating the collateral of a collateral portfolio	<p>When a collateral update (CU message) is submitted with the four fields that define a collateral portfolio and no value in field 2.12 Trade ID, any and all active derivative contracts that were previously linked will be updated with the submitted collateral data.</p>

Field erasing protocol

Introduction	<p>Clients may submit modifications and corrections to REGIS-TR as deltas 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.</p>
Purpose	<p>To erase (delete, blank out) previously reported data, clients submit a Correction (MX or ME message, action type R) with the field to be erased as follows:</p> <ul style="list-style-type: none"> • For a field in a CSV file, specify NULL • For a tag in an XML file, use the parameter <code>xsi:nil="true"</code> <p>Example: <code><ccpIdType xsi:nil="true" /></code></p> <p>Note: It is necessary to include a namespace declaration like the following: <code>xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"</code></p>
Erasable fields	<p>The following table identifies the fields that can be erased and the applicable conditions. For the groups of two or more fields, the <i>Group erase</i> column indicates whether all fields of the group must be erased at the same time. Note: An effort has been made to list the fields in sequential order of reference IDs, but for the reason of grouping some fields are out of sequence.</p>

Field	Condition for erasing	Group erase
1.6 Corporate sector	1.7 Nature of the reporting counterparty is "C" or "O"	

Field	Condition for erasing	Group erase
1.8 Broker ID		No
1.10 Clearing member ID		No
1.13 Trading capacity	2.94 Level is "P"	
1.15 Directly linked to commercial activity or treasury financing	2.94 Level is "P" or 1.7 Nature of the reporting counterparty is "F", "C" or "O"	
1.16 Clearing threshold	1.7 Nature of the reporting counterparty is "F", "C" or "O"	
2.5 Product identification type 2.6 Product identification	2.15 Venue of execution is not one of the following: <ul style="list-style-type: none"> MIC that pertains to a trading venue in an EEA country "XOFF" 	Yes
2.7 Underlying Identification type 2.8 Underlying ID	2.2 Asset class is one of the following: <ul style="list-style-type: none"> "CO" or "CU" "CR", and 2.84 Reference entity is not blank "IR", and 2.39 Fixed rate of leg 1 and 2.55 Floating rate of leg 1 are not both blank 	Yes
2.10 Notional currency 2 2.11 Deliverable currency 2.13 Report tracking number 2.14 Complex trade component ID		No
2.17 Price / rate	2.94 Level is "P"	
2.18 Price notation	2.94 Level is "P" If the value to be erased is "U" then 2.19 Currency of price must be erased at the same time	Maybe
2.19 Currency of price	2.18 Price notation is blank, "P" or "Y"	
2.23 Upfront payment		
2.25 Execution timestamp 2.26 Effective date	2.94 Level is "P"	No
2.27 Maturity date 2.28 Termination date 2.29 Settlement date		No
2.30 Master agreement type 2.31 Master agreement version		Yes
2.32 Confirmation timestamp	2.33 Confirmation means is blank or "N"	

Field	Condition for erasing	Group erase
2.33 Confirmation means	2.94 Level is "P" If the value to be erased is "Y" or "E" then 2.32 Confirmation timestamp must be erased at the same time	Maybe
2.34 Clearing obligation 2.38 Intragroup	2.15 Venue of execution is the MIC of a trading venue that was a regulated market, or of a third-country market considered as equivalent to a regulated market, at the time of the conclusion of the derivative	Yes
2.36 Clearing timestamp 2.37 CCP	2.35 Cleared is "N"	Yes
2.39 Fixed rate of leg 1 2.41 Fixed rate day count leg 1	2.2 Asset class is not "IR" or 2.7 Underlying identification type and 2.55 Floating rate of leg 1 are not both blank	Yes
2.40 Fixed rate of leg 2 2.42 Fixed rate day count leg 2	2.2 Asset class is not "IR" or 2.1 Contract type is neither "SW" nor "ST" or 2.58 Floating rate of leg 2 is not blank	Yes
2.43 Fixed rate payment frequency leg 1 – time period 2.44 Fixed rate payment frequency leg 1 – multiplier	2.39 Fixed rate of leg 1 is blank or 2.1 Contract type is "FR"	Yes
2.45 Fixed rate payment frequency leg 2 – time period 2.46 Fixed rate payment frequency leg 2 - multiplier	2.40 Fixed rate of leg 2 is blank or 2.1 Contract type is "FR"	Yes
2.47 Floating rate payment frequency leg 1 – time period 2.48 Floating rate payment frequency leg 1 – multiplier	2.55 Floating rate of leg 1 is blank or 2.1 Contract type is "FR"	Yes
2.49 Floating rate payment frequency leg 2 – time period 2.50 Floating rate payment frequency leg 2 – multiplier	2.58 Floating rate of leg 2 is blank or 2.1 Contract type is "FR"	Yes

Field	Condition for erasing	Group erase
2.51 Floating rate reset frequency leg 1 - time period	2.2 Asset class is not "IR" or 2.7 Underlying identification type and 2.39 Fixed rate of leg 1 are not both blank	Yes
2.52 Floating rate reset frequency leg 1 - multiplier		
2.55 Floating rate leg 1		
2.56 Floating rate reference period leg 1 - time period		
2.57 Floating rate reference period leg 1 - multiplier		
2.53 Floating rate reset frequency leg 2- time period	2.2 Asset class is not "IR" or 2.1 Contract type is neither "SW" nor "ST" or 2.40 Fixed rate of leg 2 is not blank	Yes
2.54 Floating rate reset frequency leg 2 - multiplier		
2.58 Floating rate of leg 2		
2.59 Floating rate reference period leg 2 - time period		
2.60 Floating rate reference period leg 2 -multiplier		
2.61 Delivery currency 2		
2.62 Exchange rate 1	2.2 Asset class is not "CU" or 2.63 Forward exchange rate is not blank	
2.63 Forward exchange rate	2.2 Asset class is not "CU" or 2.62 Exchange rate 1 is not blank	
2.64 Exchange rate basis	2.2 Asset class is not "CU"	
2.65 Commodity base	2.2 Asset class is not "CO"	
2.66 Commodity details	2.65 Commodity base is "IN", "EX", "OT" or blank (or being erased)	
2.67 Delivery point or zone	2.66 Commodity details is neither "NG" nor "EL"	Yes
2.68 Interconnection Point		
2.69 Load type	2.67 Delivery point or zone and 2.68 Interconnection Point are both blank or both are "XXXXXXXXXXXXXXXXXX"	Yes
2.70 Load delivery intervals		
2.71 Delivery start date and time		
2.72 Delivery end date and time		
2.73 Duration		
2.74 Days of the week		
2.75 Delivery capacity		
2.76 Quantity Unit		
2.77 Price/time interval quantities		

Field	Condition for erasing	Group erase
2.78 Option type 2.79 Option exercise style 2.80 Strike price (cap/floor rate) 2.81 Strike price notation	2.1 Contract type is neither "OP" nor "ST"	Yes
2.82 Maturity date of the underlying	2.1 Contract type is not "ST"	
2.83 Seniority 2.85 Frequency of payment 2.86 The calculation basis 2.90 Tranche	2.2 Asset class is not "CR"	Yes
2.84 Reference entity	2.2 Asset class is not "CR" or 2.7 Underlying identification type is not blank	
2.87 Series 2.88 Version 2.89 Index factor	2.2 Asset class is not "CR" or 2.7 Underlying identification type is not "X"	Yes
2.91 Attachment point 2.92 Detachment point	2.90 Tranche is "U" or blank	Yes

File structure and submission

Format	All regulatory EMIR 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 is one specific CSV template per inbound message type available in the <i>Documentation</i> section of the EMIR Dashboard.
XML file structure	<p>XML files exchanged with REGIS-TR contain:</p> <ol style="list-style-type: none"> an XML prologue <pre><?xml version="1.0" encoding="UTF-8"?></pre> one payload message type. <p>The message types are defined in four schema collections, one per direction (inbound/outbound) and channel (R001/R010), that are available in the <i>Documentation</i> section of the EMIR Dashboard.</p>
Maximum file sizes	These depend on the connectivity option for inbound files, and the report type and contents for outbound files:

		SOAP	SFTP	SWIFTNet FileAct	EMIR Dashboard
	Inbound to REGIS-TR	4 MB	250 MB	400 MB	4 MB
	Outbound from REGIS-TR	20 MB	Maximum file sizes will fluctuate with different contents as outbound files are limited (paginated) to 500,000 records.		
Inbound filename: client to REGIS-TR <ul style="list-style-type: none"> This table shows the mandatory naming convention for files you send to REGIS-TR. Insert the character “_” between each field of the filename. 		Field	Format	Comment/Example	
	1	SWIFTNet ID	[BIC]	Note: For SWIFTNet FileAct only. Example: ABCDESMXXX	
	2	Account ID	["RP"] + 2 uppercase letters + 4 numbers	REGIS-TR Account code of the sender. Note: The “RP” prefix is for SFTP only. Examples: RP6001 RPRP6001	
	3	Report type	1 uppercase letter + 3 numbers	One of the following: <ul style="list-style-type: none"> R001 R002 R003 R005 R006 R007 R010 R012 	
	4	Date	YYYYMMDD	Date inbound file sent.	
	5	Time	HHMMSS	Time inbound 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: RPRP6001_R010_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. Exception: For SFTP, the files are processed based on the alphanumerical sort order (0 to 9, A to Z and a to z) of the following concatenated parts of the filenames: (4) Date + (5) Time + (6) Client’s own reference + (3) Report type.				

Outbound filename: REGIS-TR to client	Files sent to you from REGIS-TR have the following naming convention, with an underscore “_” separating each pair of adjacent fields:			
		Field	Format	Comment/Example
	1	SWIFTNet ID	[BIC]	Note: For SWIFTNet FileAct only. Example: ABCDESMXXX
	2	Account ID	["SP"] + 2 uppercase letters + 4 numbers	REGIS-TR Account code of the recipient. Note: The “SP” prefix is for SFTP only. Examples: RP6001 SPRP6002
	3	Report type	1 uppercase letter + 3 numbers	One of the following: <ul style="list-style-type: none"> • I401 • R010 • D010 • D011 • D013 • D014 • D401 • D431 • D433 • D434 • D437 • D439 • D450 • W433 • W440 • M450 • M451 • M452 • M453 • M454 • M455
	4	Date	YYYYMMDD	Date outbound file sent.
	5	Time	HHMMSS	Time outbound file sent in UTC.
	6	Client’s own reference	[Up to 50 letters and/or numbers]	Quoted from the inbound filename if available. Only relevant to some outbound report types, e.g. I401.
	7	File pagination	1 number	Either 0 or sequentially incremented from 0 when large reports are split into multiple files of max. 500,000 records each.

	8	Connectivity option	[2 or 3 uppercase letters]	<p>One of the following:</p> <ul style="list-style-type: none"> • WEB (EMIR Dashboard) • WS (SOAP Web Service) <p>Note: For EMIR Dashboard and SOAP Web Service only.</p>
	9	Retrieval indicator	[1 number]	<p>0 indicates that the file is being retrieved for the first time and 1 indicates that it has been retrieved previously.</p> <p>Note: For SOAP Web Service only.</p>
	10	File extension	“.xml” or “.csv”	
	<p>Examples: SPRP6001_D011_20210105_230728_0.xml</p> <p> RP6001_I401_20210105_232807_ref5702357_0_WS_0.xml</p> <p> TP6002_D433_20210105_232828_0.xml</p>			
Transport methods	<ol style="list-style-type: none"> 1. SWIFTNet FileAct 2. SOAP Web Service 3. SFTP 4. EMIR Dashboard 5. Leased line <p>Further information: Connectivity Options.</p>			

CONNECTIVITY OPTIONS

Introduction	<ol style="list-style-type: none"> REGIS-TR provides manual and automated connectivity options for: <ul style="list-style-type: none"> the submission of derivative reports and updates, and the reception of status messages, reports and other communications from REGIS-TR. You are asked to specify these options when setting up your accounts. Note: These options can be modified at a later point, if required. You have access to all reports and communications from REGIS-TR via your EMIR Dashboard, regardless of the method chosen for the upload of derivative reports. 						
Manual upload/download	<p>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 EMIR Dashboard. Note: This method can also be used as a contingency measure in the event of an issue with an automated file transfer.</p>						
Automated file transfer options	<p>REGIS-TR offers three options for secure and automated file transfer and communications between the client and the TR. A client may combine the manual connectivity of the EMIR Dashboard with one of the automated connectivity options:</p> <table border="1" data-bbox="416 1066 1465 1373"> <tr> <td data-bbox="416 1066 616 1167">SWIFTNet FileAct</td> <td data-bbox="616 1066 1465 1167">Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.</td> </tr> <tr> <td data-bbox="416 1167 616 1267">SOAP Web Service</td> <td data-bbox="616 1167 1465 1267">Platform-independent Internet service based on the open standards XML, SOAP, WSDL and HTTPS.</td> </tr> <tr> <td data-bbox="416 1267 616 1373">SFTP</td> <td data-bbox="616 1267 1465 1373">Secure file transfer protocol over Internet connection. Secured with public key cryptography.</td> </tr> </table>	SWIFTNet FileAct	Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.	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.
SWIFTNet FileAct	Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.						
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.						
Leased line	<p>Clients may opt to perform their EMIR reporting with REGIS-TR using a Virtual Private Network (VPN) on a leased line. As with SWIFTNet, but unlike communications using the Internet, a leased line is normally provided with a service level agreement that has guarantees for its availability. Contact your Relationship Manager if you wish to explore this option.</p>						
Response messages	<p>REGIS-TR returns an acknowledgement in response to each file uploaded in the EMIR Dashboard. For other feedback, see Reporting to clients.</p>						
This section covers:	<ol style="list-style-type: none"> SWIFTNet FileAct SOAP Web Service SFTP EMIR Dashboard 						

SWIFTNet FileAct

Introduction	<ol style="list-style-type: none"> 1. SWIFTNet FileAct is based on the SWIFT network. 2. To use SWIFTNet FileAct for communications with REGIS-TR, you must: <ul style="list-style-type: none"> • have a SWIFT membership, and • subscribe to REGIS-TR's Closed User Group (CUG). 3. Subscription instructions and filename formats are described below. 			
This section covers:	<ol style="list-style-type: none"> 1. Subscribing to a REGIS-TR Closed User Group 2. Gateway parameters. 			
Subscribing to a REGIS-TR Closed User Group	<p>You will need a <i>swift.com</i> user account with authorisation for "Ordering". Please see with the <i>swift.com administrator</i> of your organisation for assistance in completing these steps.</p> <ol style="list-style-type: none"> 1. Click on the following link or copy and paste the URL into an Internet browser: https://www.swift.com/myswift. Log in to the MySWIFT portal, and then copy and paste the following URL into your Internet browser: https://www.swift.com/myswift/ordering/order-products-services/market-infrastructure#service-filter=regis-tr 2. Select the Closed User Group (CUG) that you wish to subscribe to. A login to <i>swift.com</i> will be required to continue. <ul style="list-style-type: none"> • Production: REGIS-TR European Trade Repository (Live) • UAT and Pre-production: REGIS-TR European Trade Repository (Test) <p>Note: the technical administration of the REGIS-TR CUGs is handled by <i>SOCIEDAD DE GESTION DE LOS SISTEMAS DE REGISTRO, COMPENSACION Y LIQUID. DE VALORES, S.A. (IBERCLEAR) (BIC: IBRCESMM)</i>.</p> 3. Complete the <i>SWIFTNet Service Subscription</i> form with details about the order, preferred implementation date, Distinguished Name (DN) and SWIFTNet Link instances (SNL IDs). Use the Routing end point defaults. 4. Verify and accept the order. Your configuration at <i>swift.com</i> may require a second user's approval. 5. You can return later to view the confirmation of your order, the status of REGIS-TR's acceptance and the implementation. 			
Gateway parameters	Use the following information to configure your SWIFTNet gateway.			
	Environment	Production (Live)	UAT (Test)	Pre-production (Test)
	Service name	rgtresmm.registr	rgtresmm.registr!p	rgtresmm.registr!p
	Responder DN	o=rgtresmm,o=swift	o=rgtresmm,o=swift	o=preprod, o=rgtresmm,o=swift

Type of traffic	FileAct realtime
Administrator BIC	RGTRESMM
End point	rgtresmm_memb
Request type	tmst.xxx.aannnn, where aannnn is your REGIS-TR Account code in lower case. Example: tmst.xxx.rp6001
Compression parameter	SwCompression=None

SOAP Web Service

This section covers:	<ol style="list-style-type: none"> 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.
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Introduction

SOAP Web Service	<ul style="list-style-type: none"> • 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	<p>Simple Object Access Protocol</p> <p>Platform- and language-independent XML-based protocol for accessing web services.</p>
WSDL	<p>Web Service Description Language</p> <p>Describes the external interface of the service.</p> <p>The WSDL file for the EMIR service is published in the Documentation section of the EMIR Dashboard. Note: There is one WSDL file for each environment (Production, UAT and Pre-production).</p>
EndPoint	IsoapApiDocument.

Software and encryption	The REGIS-TR SOAP Web Service uses the TLS 1.2 cryptographic protocol. Your software must support this version.
Registration and access credentials	Contact REGIS-TR for registration and access credentials. Notes: <ul style="list-style-type: none"> 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 the EMIR Dashboard use the following URLs to open a connection: <ul style="list-style-type: none"> Production environment: https://wsprod.regis-tr.com/soapapi.svc UAT environment: https://wsform.regis-tr.com/soapapi.svc Pre-production environment: https://pre-productionws.regis-tr.com/soapapi.svc

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.	
Definitions	user	Requester's SOAP username
	password	Current SOAP password
	new_password	Requested password
	loaded_xml	XML message content
	xml_date	Requested search date in YYYY-MM-DD format
	FileName	Please see File structure and submission
	xml_name	Name of file to be retrieved
	last_FileName	Name of last file retrieved. Used to resume a search exceeding result limits.
Transport binding	The methods defined below are using Document binding (BasicHttpBinding_ISoapApiDocument). With the sole exception of get_complete_list_ex, all methods also exist in versions without the "_ex" suffix that are using RPC binding (BasicHttpBinding_ISoapApiRPC).	
Change password	To change your first-access password or to set a new password. Syntax: change_password_ex(string user, string password, string new_password)	

	<p>Returns:</p> <p>0 (zero) = request accepted Integer less than zero = error.</p>
Send R001 file	<p>To send XML or CSV files in the R001 channel.</p> <p>Syntax:</p> <p>send_xml_ex(string user, string password, string loaded_xml) send_csv_ex(string user, string password, string loaded_csv)</p> <p>Returns:</p> <p>Empty string = request accepted "error" + error description = invalid file.</p>
Send R010 file	<p>To send XML or CSV files in the R010 channel.</p> <p>Syntax:</p> <p>send_R010_ex(string user, string password, string file_content, string file_type) - in case of multiple errors, only the first one is returned</p> <p>send_R010_with_response_ex(string user, string password, string file_content, string file_type) - Files containing schema errors will not be processed. A Synchronous answer showing the coordinates of all schema errors will be displayed.</p>
Request list of files by date	<p>To request the list of available files for a particular date.</p> <p>Note: Only files having 0 (zero) as retrieval indicator will be returned with this method. See also Best practices below.</p> <p>Syntax:</p> <p>get_xml_list_ex(string user, string password, date xml_date)</p> <p>Returns:</p> <p>output parameter xml_list = list of filenames 0 (zero) or greater = request accepted, number of files found</p>
Request list of all available files	<p>To request the names and timestamps of all available files. If the volume of the requested data exceeds a 20 MB limit, a flag indicating that more responses are left is returned and</p>

	<p>the last file name written in the response must be used in the following request. You may have to repeat this until all of the data is retrieved.</p> <p>Note: Only files having 0 (zero) as retrieval indicator will be returned with this method. See also Best practices below.</p> <p>Syntax:</p> <pre>get_complete_list_ex(string user, string password)</pre> <p>Returns:</p> <p>output parameter xml_list = list of filenames</p> <p>If the list exceeds the 20 MB size limit, REGIS-TR returns a flag. In this case, repeat the request as follows:</p> <p>Syntax:</p> <pre>get_complete_list_ex(string user, string password, string last_FileName)</pre> <p>Returns:</p> <p>output parameter xml_list = list of filenames continued after the last_FileName. Note: Repeat this as necessary to retrieve the full list.</p>
<p>Retrieve the contents of one XML file by date</p>	<p>To retrieve the content of one XML or CSV file for a certain date.</p> <p>Note: Only files having 0 (zero) as retrieval indicator can be retrieved with this method. See also Best practices below.</p> <p>Syntax:</p> <pre>recover_xml_ex(string user, string password, date xml_date, string xml_name)</pre> <p>Returns:</p> <p>output parameter xml = the requested file's content</p>
<p>Retrieve the contents of all XML files by date</p>	<p>To retrieve the contents of all XML or CSV files for a certain date.</p> <p>Note: Only files having 0 (zero) as retrieval indicator can be retrieved with this method. See also Best practices below.</p> <p>Syntax:</p> <pre>recover_xmls_ex(string user, string password, date xml_date)</pre>

	<p>Returns:</p> <p>output parameter xmls = contents of the requested files</p> <p>0 (zero) or greater = request accepted, number of files found</p>
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Best practices

Sending message files	<p>Include as many messages as possible in each submission file. Reason: Minimises the number of connections needed.</p> <p>Maximum size of the message is 4 MB.</p>
Retrieving files from REGIS-TR	<p>If the 20 MB limit is exceeded when retrieving multiple files, use the method <code>recover_xml_ex()</code> to download files one by one.</p> <p>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 EMIR Dashboard and by special request made to the Client Services team.</p>
Timeframe threshold	<ol style="list-style-type: none"> 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, e.g. 10 seconds for <code>recover_xml_ex()</code> and 20 seconds for <code>get_xml_list_ex()</code>.
Connection frequency	<p>Leave as much time as possible between connections. Reason: This minimises the number of checking and message retrieval connections.</p>

Return codes

Codes and descriptions	Return code	Description
	0	Request accepted
	-1	One or more search parameters incorrect
	-2	No results found with the search parameters received
	-3	<ul style="list-style-type: none"> 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. Use method RECOVER_XML_EX to retrieve the files one by one.
	-11	The connections established have exceeded the timeframe threshold between connections with the same method.

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:	<ol style="list-style-type: none"> 1. Security and configuration 2. Connecting to the server 3. Server information

Security and configuration

Introduction	<ul style="list-style-type: none"> • Access to the server is secured using public keys. • This section sets out the technical specifications to be followed during configuration.
Public key	<p>You need to generate a public key to send and retrieve files.</p> <p>Conditions:</p> <ul style="list-style-type: none"> • RSA Key • Key length 3072 or 4096 bits • Compatible with OpenSSH • Maximum 5 public keys per account.
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	<p>The client configuration set out below is for the REGIS-TR Production and UAT environments.</p> <p>Note: REGIS-TR does not support sha1 or md5 algorithms.</p> <p>KexAlgorithms:</p> <ul style="list-style-type: none"> • diffie-hellman-group-exchange-sha256 • curve25519-sha256@libssh.org • ecdh-sha2-nistp521 • ecdh-sha2-nistp384 • ecdh-sha2-nistp256

	<p>MACs:</p> <ul style="list-style-type: none"> • hmac-sha2-512-etm@openssh.com • hmac-sha2-256-etm@openssh.com • hmac-sha2-512 • hmac-sha2-256 <p>Ciphers:</p> <ul style="list-style-type: none"> • chacha20-poly1305@openssh.com • aes256-gcm@openssh.com • aes256-ctr • aes192-ctr • aes128-ctr
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Connecting to the SFTP server

Introduction	<p>This section sets out the details needed to connect to the SFTP server. It covers:</p> <ol style="list-style-type: none"> 1. Production environment 2. UAT environment 3. Pre-production
User restrictions	<p>One user only per environment. Note: The username must be entered in lower case.</p>
Production environment	<p>URL: ft-emir.regis-tr.com IP address: 193.110.154.17 port: 55222 Username: rp + account code. Example: rprp6001.</p>
UAT environment	<p>URL: ft-emir-uat.regis-tr.com IP address: 193.110.154.16 port: 22 Username: rf + account code. Example: rfrp6001.</p>
Pre-production environment	<p>URL: ft-emir-preprod.regis-tr.com IP address: 193.110.154.21 port: 55222 Username: ra + account code. Example: rarp6001.</p>

Server information

Server folder	<p>There is one folder that you have read and write permission to: Datos.</p> <ol style="list-style-type: none"> 1. Use the Put command to upload files to REGIS-TR (filename prefix "RP") 2. If you upload many files together, REGIS-TR will process your files in an alphanumerical sort order (0 to 9, A to Z and a to z) of the following concatenated parts of the filenames: (4) Date + (5) Time + (6) Client's own reference + (3) Report type. 3. After processing, an uploaded file is removed from the Datos folder and a response file will be available. 4. Use the Get command to download files from REGIS-TR (filename prefix "SP") <p>Please see File structure and submission for further information.</p> <p>Note: You can only access the Datos folder. Any other folders are for REGIS-TR own use.</p>
Technical validation	<p>REGIS-TR performs technical validations on all uploaded files before continuing processing. If your file fails the technical validation, a text file with the extension ".log" will appear in the Datos folder. Example: SPRPNNNN_R001_20130607_134200.XML_errDUPLICATED.log</p> <p>The ".log" file will indicate a description of the error. Common examples are:</p> <ul style="list-style-type: none"> • If the file already exists: "Error: Duplicated filename" + filename. • If the file extension is not ".xml" or ".csv": "Error: Invalid filename extension" + filename. • If the filename is less than 26 characters: "Error: Invalid filename format (filename too short)" + filename. • If the file size is too large: "Error: File length" + filename + "exceeds the maximum length" + size. • If the filename contains an invalid character: "Error: File isn't a XML/CSV file".
System security	<ol style="list-style-type: none"> 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.
Security best practices	<ul style="list-style-type: none"> • Recover/send as many files as possible during each connection. Reason: You will need fewer connections.

	<ul style="list-style-type: none"> • Close an open connection before opening a new one from the same IP address. • Use a temporary filename such as “upload.tmp” while uploading (put command) a file to REGIS-TR and rename it after the upload is completed. • Do not leave connections open when not in use.
File store maintenance	Your reports from REGIS-TR remain in your file store for subsequent downloads. The last element of the file name, the retrieval indicator, will be 0 for files until the first download has been completed and 1 thereafter. When you no longer require a file to remain in the file store, you may remove it with the SFTP delete command.

EMIR Dashboard

Introduction	Your EMIR Dashboard can be used to manually upload and download files if: <ul style="list-style-type: none"> • 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	<ol style="list-style-type: none"> 1. Use an up-to-date Internet browser to open the desired environment, see Log in to your EMIR Dashboard. 2. Select <i>File Upload</i> from the sidebar. 3. Choose the file that contains your EMIR reporting, enter the signature key and upload the report.
Download procedure	Please see Viewing and retrieving reports .

VALIDATION

Introduction	<p>Validation is performed on:</p> <ul style="list-style-type: none"> • Submitted files with derivative records and lifecycle reports • Delegation files.
Validation rules	<p>Please refer to ESMA's technical standards and guidelines and REGIS-TR's inbound formats available in the EMIR Dashboard in our Production and UAT environments for definitions on usage and formatting.</p>
Timing	<p>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.</p>

Validation process

Report validation process	<ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> 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 intraday message. 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 intraday message containing the validation results. This is sent during the hours of REGIS-TR system availability. <p>Notes:</p> <ul style="list-style-type: none"> • 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.
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RECONCILIATION

This section covers:	<ol style="list-style-type: none"> 1. Introduction 2. Reconciliation fields 3. Reconciliation processes 4. Reconcilable fields table 5. Reconciliation statuses
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Introduction

Definition	Reconciliation is the process of comparing the values reported by the two counterparty sides after two derivative records have been paired. The second side of the derivative contract may have been reported to the same TR as the first side, or it may have been reported to another TR.
Processing sequence	Each client's derivative records are sent for reconciliation on a First In First Out basis. Note: This is regardless of the connectivity method used to upload your message files.
Timing	<ol style="list-style-type: none"> 1. The reconciliation process runs every day. 2. A derivative record enters the internal (intra-TR) reconciliation process when it has been validated successfully and confirmed as eligible for reconciliation. 3. If the other side of the derivative is not found in REGIS-TR by the end of the following working day, the derivative record enters the external (inter-TR) reconciliation process on the working day thereafter. 4. Clients receive the reconciliation results advice after the conclusion of each applicable reconciliation process.
Reconcilable derivative records	<p>Derivative records are sent for reconciliation when the following conditions are met:</p> <ol style="list-style-type: none"> 1. The derivative record has been successfully validated. 2. The derivative record has not yet been reconciled or it has been amended by a lifecycle event after the previous reconciliation. 3. Both counterparties has a reporting obligation under EMIR.
Not reconcilable derivative records	<p>A derivative record is not sent for reconciliation if:</p> <ol style="list-style-type: none"> 1. It did not pass all validations successfully. 2. A counterparty does not have a reporting obligation under EMIR. 3. It is a collateral or valuation update. 4. It has been terminated with an action type E.

	5. It is already reconciled with no subsequent amendment reported by neither of the counterparties.
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Reconciliation processes

Introduction	<p>After confirming that the derivative is valid and reconcilable, there are two types of reconciliation process:</p> <ol style="list-style-type: none"> 1. Intra-TR reconciliation is when both counterparties to the derivative contract have reported to REGIS-TR. 2. Inter-TR reconciliation: <ol style="list-style-type: none"> a. Pairing request: REGIS-TR asks the other TRs to respond if they have the other side of the derivative contract. b. Matching: The TRs that have the paired sides exchange the data to be reconciled with each other, and each TR performs matching of the fields.
Intra-TR reconciliation process	<ol style="list-style-type: none"> 1. REGIS-TR attempts to locate pairs of derivative records in REGIS-TR's own trade repository. 2. If a pair is found: <ol style="list-style-type: none"> a. REGIS-TR compares the data of the two sides, and b. Notifies the counterparties of the reconciliation results. 3. If one or both sides are subsequently amended (modified, corrected, updated), REGIS-TR re-executes step 2.
Inter-TR reconciliation process	<ol style="list-style-type: none"> 1. If a derivative record remains unpaired at the end of the following working day, REGIS-TR requests the other TRs to pair it using the following fields: <ul style="list-style-type: none"> • Unique Transaction Identifier • Reporting Counterparty • Other Counterparty. <ol style="list-style-type: none"> a. If another TR responds to the pairing request: <ul style="list-style-type: none"> • The status of the derivative record is set to Paired, and • The two TRs exchange data for the matching. b. If no TR responds to the pairing request: <ul style="list-style-type: none"> • The status of the derivative record remains Not Reconciled, and • The pairing process is repeated the next working day. 2. REGIS-TR compares the data of the two sides and notifies the client of the reconciliation results.

	<p>3. If one or both of the TRs receive a subsequent amendment (modification, correction, update), the new data for matching will be exchanged between the TRs and step 2 is re-executed.</p>
Results of the reconciliation	<p>REGIS-TR will notify the relevant client(s) of the reconciliation results of each derivative record. This concerns the report submitter, whether Third party or Reporting Participant, and may include a Non-Reporting Entity.</p> <p>If the other counterparty of a derivative contract is assumed to have a reporting obligation but pairing has failed, the client is expected to verify the UTI and contact the other counterparty.</p> <p>If pairing has been successful but one or more fields are mismatched, the client is expected to verify the contract details with the other counterparty and make any amendment as is deemed necessary.</p>
Recycling	<p>The pairing and matching processes are repeated every working day. A derivative record remains in scope of the reconciliation process until it is either fully reconciled without any further update from either counterparty, or it is errored.</p>

Matching

Introduction	<p>The fields on which reconciliation is based are defined by ESMA.</p>
Principles	<ul style="list-style-type: none"> • The IDs of the counterparties and counterparty side of the two sides must mirror each other. • Both sides must agree on whether the derivative contract is at trade level or position level (field 2.94). • Both counterparties must be identified with LEIs. • For repeatable fields, only the first occurrence is reconciled.
Tolerances	<p>Most reconcilable fields must match precisely in both legs. There are however four types of tolerances in the precision of some numerical and date-time fields:</p> <ul style="list-style-type: none"> • Tolerance 1: Values must be within 1% • Tolerance 2: Values to the left of the decimal separator must match • Tolerance 3: Dates must match, and for an ETD the times must match within one hour • Tolerance 4: Dates must match <p>The Category column indicates whether any mismatch shall be addressed by the counterparties as a matter of top priority (1) or normal priority (2).</p>

Reconcilable fields table

Field	Field name	Category	Matching rule
1.2	Reporting Counterparty ID		Used for pairing
1.4	ID of the other Counterparty		
2.12	Trade ID		
1.14	Counterparty side	1	One side must be equal to 'S' when the other side is equal to 'B' and vice versa
2.1	Contract type	1	Exact match
2.2	Asset class	1	Exact match
2.3	Product classification type	2	Exact match
2.4	Product classification	2	First 2 characters of CFI code must match
2.5	Product identification type	1	Exact match
2.6	Product identification	1	Exact match if field 2.5 is "I"
2.7	Underlying identification type	1	Exact match
2.8	Underlying identification	1	Exact match if field 2.7 is "I", "U" or "X"
2.9	Notional currency 1	1	Exact match
2.10	Notional currency 2	2	Exact match
2.15	Venue of execution	2	Exact Match
2.16	Compression	2	Exact Match
2.17	Price / rate	2	Tolerance 1
2.18	Price notation	1	Exact match
2.19	Currency of price	1	Exact match
2.20	Notional	1	Tolerance 2
2.21	Price multiplier	1	Tolerance 2
2.22	Quantity	1	Exact match
2.24	Delivery type	2	Exact match
2.25	Execution timestamp	2	Tolerance 3
2.26	Effective date	2	Exact match
2.27	Maturity date	1	Exact match
2.28	Termination date	2	Exact match
2.32	Confirmation timestamp	2	Tolerance 4 if field 2.33 is "E" or "N"
2.33	Confirmation means	2	Exact match
2.34	Clearing obligation	2	Exact match

Field	Field name	Category	Matching rule
2.35	Cleared	1	Exact match
2.36	Clearing timestamp	2	Tolerance 4
2.37	CCP	2	Exact match
2.38	Intragroup	2	Exact match
2.39	Fixed rate of leg 1	2	Exact match
2.40	Fixed rate of leg 2	2	Exact match
2.62	Exchange rate 1	2	Tolerance 1
2.63	Forward exchange rate	2	Tolerance 1
2.64	Exchange rate basis	2	Exact match
2.65	Commodity base	1	Exact match
2.66	Commodity details	2	Exact match
2.78	Option type	1	Exact match
2.79	Option exercise style	2	Exact match
2.80	Strike price (cap/floor rate)	1	Tolerance 1
2.81	Strike price notation	1	Exact match
2.82	Maturity date of the underlying	1	Exact match
2.83	Seniority	2	Exact match
2.84	Reference entity	2	Exact match
2.85	Frequency of payment	2	Exact match
2.87	Series	2	Exact match
2.88	Version	2	Exact match
2.89	Index factor	2	Tolerance 1
2.90	Tranche	2	Exact match
2.91	Attachment point	2	Tolerance 1
2.92	Detachment point	2	Tolerance 1
2.94	Level	1	Exact match

Reconciliation statuses

Possible reconciliation	Code	Description
	NNEC	No need to reconcile: the report was submitted as a consolidated record for both counterparties and reconciliation is therefore not required.

statuses of a derivative	INDI	Assigned to reports submitted with the field "Other Counterparty" identified with type "CLC"
	NREC	Not yet reconciled: awaiting reconciliation.
	PAIR	Paired: paired successfully.
	RECO	Reconciled: the derivative records have been reconciled successfully.
	FAIL	Failed: one or more mismatches in category 1 fields.
	MATC	Matched: category 1 fields match, but with one or more mismatches in category 2 fields.
	NEEA	The other counterparty has no reporting obligation under EMIR, for example because it is not domiciled in the EEA.

REPORTING TO CLIENTS

Introduction

Introduction	This section describes the outbound reports sent to you from REGIS-TR.
Report types	<p>Intraday: Sent in response to an inbound file, validation and reconciliation.</p> <p>End of day: Sent at the end of the working day.</p> <p>Weekly: Sent at the end of the last working day of the week.</p> <p>Monthly: Billing reports</p>
Receiving reports	<ol style="list-style-type: none"> Intraday validation feedback responses to inbound reports sent by you are generated in the format (CSV or XML) of the report being responded to. Other outbound reports are sent to you using the connectivity option selected when your account was set up. The reports are also available for a period in the Outbound section in your EMIR Dashboard. The period of this availability depends on the type of report. <p>Note: After this period, reports can be retrieved upon request to REGIS-TR</p>
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
	Client submits derivatives reporting file		
	REGIS-TR receives file	Acknowledgement (return code) of file receipt.	Upon receipt
	If the file fails sender authentication	The sender receives a failure notification.	Immediate
	Validation of message file and derivative records	<p>Message Rejected Report / Message Accepted Report</p> <ul style="list-style-type: none"> Provides the derivative message file validation status. Note: In case of rejections, error reasons 	During REGIS-TR system availability.

	<p>are provided to the extent possible.</p> <ul style="list-style-type: none"> Lists the accepted/rejected status of each derivative record in the message. Note: Rejection error codes and error description included where applicable. 	
After end of reporting session	<p>Trade Status Report</p> <ul style="list-style-type: none"> Current trade state of each outstanding derivative in the client's account Includes reconciliation statuses. 	End of the day
	<p>Reconciliation Status Report</p> <p>Provides pairing and reconciliation status of derivatives.</p>	
	<p>Mismatched Fields Report</p> <p>Provides fields in disagreement between the counterparties and their corresponding values.</p>	
	<p>Common Data Report</p> <p>Provides information on derivatives reported by the Third Party and which are not allocated to their account.</p>	
	<p>LEI Changes Report</p> <p>Informs the receiving account of derivative contracts updated following a corporate restructuring event covered by EMIR TR Q&A 40.</p>	
	<p>Portability Report</p> <p>Informs the receiving account of derivative trades reallocated to its account after a porting or transfer.</p>	
	<p>Short Table Inactive Contracts</p> <p>Informs of derivative contracts that became inactive on the corresponding report generation.</p>	
End of business week	<p>Mismatched Fields Report</p> <p>Provides mismatched trades/positions after these have been paired.</p>	End of business week
	<p>Full Table Live Contracts</p> <p>Provides the latest status of each active derivative</p>	

	Monthly	Invoice/billing reports	Following invoice period
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Intraday reports

Introduction	<p>These automatically generated reports are sent in response to a derivative submission, validation or other process.</p> <p>These are:</p> <ol style="list-style-type: none"> 1. Message accepted 2. Message rejected 3. Valuation received 4. Collateral received 5. File confirmation
Availability	Available for two working days in the <i>Output</i> section of the EMIR Dashboard.

I401 and R010 – Intraday messages

Purpose	<ol style="list-style-type: none"> 1. Provides the validation status 2. When a derivative report has been rejected, the Status Advice Feedback provides information on the error. <p>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.</p>			
Time sent	During REGIS-TR system availability.			
Report ID	I401 in the R001 channel R010 in the R010 channel			
Format	Format: XML, CSV			
Status codes	Code	Name	Channel	Further information
	MA	Message accepted	R001	Inbound message file has passed all validations.
	MR	Message rejected	R001	Inbound message file has failed some validation.
	VR	Valuation received	R001	Valuation details have been updated.

	CR	Collateral received	R001	Collateral details have been updated.
	File Confirmation	R010	R010	Status of derivative records on the inbound message file.
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	<ul style="list-style-type: none"> Available for six working days in the <i>Reports</i> section of the EMIR Dashboard. After that period, upon request.

D010 – ETD Trade Status Report

Purpose	Informs about the latest status of the ETD derivatives and netted OTC derivatives submitted or modified during the reporting session.
Time sent	Sent at the end of each working day after the report generation process.
Report ID	D010 in the R010 channel
Format	XML, CSV
Content	ETD derivatives and netted OTC derivatives: <ul style="list-style-type: none"> Contract Status Reconciliation Status Delegation Status
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D011 – Reconciliation Status Report

Purpose	Informs about the reconciliation status of the derivative contracts that have been sent to reconciliation and those whose reconciliation status has changed on the day the report is generated.
Time sent	Sent at the end of each working day after the report generation process.

Report ID	D011 in the R010 channel
Format	XML, CSV
Content	<p>References and relevant party IDs.</p> <p>Reconciliation status:</p> <p>RECO Reconciled</p> <p>NREC Not Reconciled</p> <p>PAIR Paired</p> <p>MATC Matched</p> <p>NEEA Other Counterparty has no reporting obligation</p> <p>NNEC Not Necessary</p> <p>INDI Individual</p> <p>FAIL Failed</p>
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D013 – Mismatched Fields Report

Purpose	Identifies mismatched fields in the reconciliation of active, compressed, cancelled and matured derivative contracts.
Time sent	Sent at the end of each working day after the report generation process.
Report ID	D013 in the R010 channel
Format	XML, CSV
Content	<p>Repeated for each unmatched derivative</p> <ul style="list-style-type: none"> • References and relevant party IDs • Mismatched Field Name • Reporting counterparty value • Other counterparty value
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D014 and D437 – Portability Report

Purpose	Informs the receiving account of the derivative contracts that have been allocated to its account after a porting event from another REGIS-TR account.
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Time sent	Sent upon subscription at the end of the working day when the portability has taken place.
Report ID	D014 in the R010 channel D437 in the R001 channel
Format	XML, CSV
Content	Repeated for each re-allocated derivative <ul style="list-style-type: none"> • Reporting counterparty ID • Other counterparty ID • Trade ID
Distribution	Available to Reporting Participants and Third Parties.

D401 – Trade Status Report

Purpose	Provides information about new derivatives or changes of status during the reporting session due to a modification or termination which have not been reported via the intraday response files.
Time sent	Sent at the end of each working day after the completion of the report generation process.
Report ID	D401 in the R001 channel
Format	XML, CSV
Content	<ul style="list-style-type: none"> • the status of a derivative • the inter and intra TR reconciliation status. • a derivative reaching its maturity date • modifications to a derivative • termination of a contract
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D431 – Short Table Live Contracts

Purpose	Provide the latest status of each active trade or position submitted or modified during the reporting session. It will be generated on a daily basis as an incremental report from Monday to Friday.
Time sent	Sent at the end of each working day after the completion of the report generation process.

Report ID	D431 in the R001 channel
Format	XML, CSV
Content	Repeats for all derivatives with status ACTI (active) reported during the reporting session, regardless of their delegation or reconciliation status.
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D433 – Daily Mismatched Fields Report

Purpose	For derivatives that fail to reconcile during the reporting session both internally and inter-TR. It reports mismatched fields and the value provided by each counterparty.
Time sent	Sent from Monday to Thursday at the end of each working day after the completion of the report generation process.
Report ID	D433 in the R001 channel
Format	XML, CSV
Content	Successfully paired derivative contracts. Only mandatory fields for reconciliation will trigger the generation of the Mismatched Fields Report. It is repeated for each unmatched derivative contract and provides references and relevant party IDs: <ul style="list-style-type: none"> • Mismatched field name • Reporting counterparty's value • Other counterparty's value
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D434 – Common Data Report

Purpose	Identifies active derivative contracts that have been reported by the Third Party but are not allocated to the account of the Third Party.
Time sent	Sent at the end of each working day after the completion of the report generation process.
Report ID	D434 in the R001 channel
Format	XML, CSV
Content	Trades reported by the Third Party on behalf of another party owning a REGIS-TR account.

Distribution	Available to Third Parties.
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D439 – Short Table of Inactive Contracts

Purpose	Informs of the derivative contracts that have reached the maturity or have been terminated during the reporting session.
Time sent	Sent at the end of each working day after the report generation process.
Report ID	D439 in the R001 channel
Format	XML, CSV
Content	Repeats for every derivative with contract status: <ul style="list-style-type: none"> • Matured MATU • Terminated TERM with Action types: <ol style="list-style-type: none"> a) Error (E): for wrongly submitted reports b) Cancel (C): for agreed terminations c) Compression (Z): for compressed trades
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

D450 – LEI Changes Report

Purpose	Informs of the derivative contracts that have been updated due to a merger, acquisition or other reason for REGIS-TR to update the ID of a counterparty.
Time sent	Sent at the end of the working day on which the change of LEI takes place. When an LEI update has been executed during a weekend or other non-working day, the LEI Changes Report is made available at the beginning of the following working day.
Report ID	D450 in the R001 and R010 channels
Format	CSV
Content	Repeated for every derivative affected by the LEI update <ul style="list-style-type: none"> • Trade ID • Field(s) that have been updated as a result of the event • Former value of the updated field(s) • New value of the updated field(s)
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	<ul style="list-style-type: none"> Available for 30 calendar days in the <i>Reports</i> section of the EMIR Dashboard After that period, upon request.

W433 – Weekly Mismatched Fields Report

Purpose	Incremental reports, informs of derivative contracts that fail to reconcile during the reporting week both internally and inter-TR. It reports mismatched fields and the value provided by each counterparty.
Time sent	Sent as on the last working day of the week after the completion of the report generation process.
Report ID	W433 in the R001 channel
Format	XML, CSV
Content	<p>Successfully paired derivative contracts. Only mandatory fields for reconciliation will trigger the generation of the Mismatched Fields Report.</p> <p>Repeated for each unmatched derivative.</p> <p>References and relevant party ID's:</p> <ul style="list-style-type: none"> Mismatched Field Name Reporting counterparty value Other counterparty value
Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.

W440 – 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	W440 in the R001 channel
Format	XML, CSV
Content	All derivatives with contract status active (ACTI) with their corresponding delegation status and reconciliation status.

Distribution	Available to Reporting Participants, Third Parties and Non-Reporting Entities.
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Monthly Reports

Introduction	These reports are generated after the close of the 7th reporting session of each month.
Availability	<ul style="list-style-type: none"> Available for 90 calendar days in the <i>Reports</i> section of the EMIR Dashboard After that period, upon request.
Fee codes	<p>The fee codes used in these reports have the following meanings:</p> <ul style="list-style-type: none"> 004 Reporting fee for a new derivative contract of another type than those covered in 005 005 Reporting fee for a new derivative contract of type CFD, Commodity Forward, Currency Forward, Currency FRA or Currency Swap 006 Reporting fee over the large user cap 007 Maintenance fee 008 Maintenance fee over the large user cap 009 Reporting fee large users 021 Trade allowance 0 - 1,000 derivative contracts

M450, M451, M454 and M455 – Reporting Fee Report

Purpose	Includes the list of the Trade IDs that incurred in a reporting fee for the account receiving the report.	
Time sent	Sent on the 7th working day of the month.	
Report ID	M450 in the R001 channel for Third Party M451 in the R001 channel for Reporting Participant M454 in the R010 channel for Third Party M455 in the R010 channel for Reporting Participant	
Format	CSV	
Content	For the Reporting Participant (M451 and M455)	For the Third Party (M450 and M454)

	<ul style="list-style-type: none"> • Fee Code • Trade ID • Message Reference • Other Counterparty ID • Reporting Date • Reported By <p>Note: includes trades delegated to a Third Party, identified in the Reported by field.</p>	<ul style="list-style-type: none"> • Fee Code • Trade ID • Message Reference • Counterparty ID • Other Counterparty ID • Reporting Date <p>Note: excludes trades reported by the Third Party on behalf of a REGIS-TR Reporting Participant.</p>
Distribution	Available to Reporting Participants and Third Parties.	

M452 and M453 – Maintenance Fee Report

Purpose	Includes the list of the Trade IDs that have generated a maintenance fee per account.
Time sent	Sent on the 7th working day of the month.
Report ID	M452 in the R001 channel for Third Party M453 in the R001 channel for Reporting Participant
Format	CSV
Content	<ul style="list-style-type: none"> • Fee Code • Trade ID • Message Reference • Counterparty ID (only present in M452) • Other Counterparty ID • Reporting Date
Distribution	Available to Reporting Participants and Third Parties.

Superuser Reports

Introduction	These reports are sent to the Superuser after the close of the daily reporting session.
Availability	<ul style="list-style-type: none"> • Available for six working days in the <i>Reports</i> section of the EMIR Dashboard. • After that period, the message can be retrieved by request to REGIS-TR

CU – Collateral Updates Report

Purpose	Includes all the inbound collateral update messages reported by or on behalf of the accounts appointed to the Superuser
Time sent	Sent at the end of the day one working day after the inbound message has been received
Report ID	CU
Format	CSV
Content	<ul style="list-style-type: none"> A. Trade Type B. Message ID C. Identification of the sending Counterparty D. Receiving party (REGIS-TR) E. Reporting Timestamp F. Type of ID of the Reporting Counterparty G. ID of the Reporting Counterparty H. Type of ID of the Other Counterparty I. ID of the Other Counterparty J. Type of ID of the Report Submitting Entity K. ID of the Report Submitting Entity L. Trade ID M. Collateral code N. Collateral Date O. Initial margin posted P. Currency of the initial margin posted Q. Variation margin posted R. Currency of the variation margin posted S. Initial margin received T. Currency of the initial margin received U. Variation margin received V. Currency of the variation margin received W. Excess collateral posted X. Currency of the excess collateral posted Y. Excess collateral received Z. Currency of the excess collateral received
Distribution	Available to Superusers.

VU – Valuation Updates Report

Purpose	Includes all the inbound valuation update messages reported by or on behalf of the accounts that have granted access to the Superuser
Time sent	Sent at the end of the working day
Report ID	VU
Format	CSV
Content	<ul style="list-style-type: none"> A. Trade Type B. Message ID C. Identification of the sending Counterparty D. Receiving party (REGIS-TR) E. Reporting Timestamp F. Type of ID of the Reporting Counterparty G. ID of the Reporting Counterparty H. Type of ID of the Other Counterparty I. ID of the Other Counterparty J. Type of ID of the Report Submitting Entity K. ID of the Report Submitting Entity L. Trade ID M. Value of contract N. Currency of the value O. Valuation timestamp P. Valuation type
Distribution	Available to Superusers.

TS – Trade Status Report

Purpose	Includes the updated trade details by Trade ID, resulting from the messages reported by or on behalf of the accounts that have granted access to the Superuser
Time sent	Sent at the end of each working day after the report generation process
Report ID	TS
Format	CSV

Content	All REGIS-TR fields providing details of outstanding and terminated transactions that have been updated in the previous session.
Distribution	Available to Superusers.

ME – Messages Report

Purpose	Includes all the inbound messages reported by or on behalf of the accounts that have granted access to the Superuser.
Time sent	Sent at the end of each working day after the report generation process
Report ID	ME
Format	CSV
Content	<p>All derivative messages sent during the reporting session including all lifecycle events</p> <ul style="list-style-type: none"> A. Reported Trade B. Modification C. Trade Termination D. Modification in Delegation <p>Note: Portability messages are not included in this report.</p>
Distribution	Available to Superusers.

Viewing and retrieving reports

Introduction	Use the <i>Output</i> and <i>Reports</i> sections in the EMIR 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	<p>To retrieve a specific report:</p> <ol style="list-style-type: none"> 1. Intraday reports <ol style="list-style-type: none"> a. Select Output > Response files 2. End of Day reports <ol style="list-style-type: none"> a. Select Reports and a frequency <ul style="list-style-type: none"> • 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	<p>Select Search R001 RTS or Search R010 RTS.</p> <ol style="list-style-type: none"> For Search R001 RTS, please select further: <ul style="list-style-type: none"> Contracts Inactive Contracts Transactions / Messages Valuation Updates Collateral Updates Collateral Portfolio Codes Portability Positions For Search R010 RTS, please select further: <ul style="list-style-type: none"> R010 Trades R010 Transactions 	
Permissions	The reports that can be retrieved depend on the user's account type:	
	Account type	Role of the account holder in the derivative records
	Reporting Participant (RP)	Report Submitting Entity, Reporting Counterparty
	Third Party (TP or TE)	Report Submitting Entity
Search results	<ol style="list-style-type: none"> You will receive maximum 1000 results per query. If necessary, refine your search. Search results can be shown in groups of 10, 25, 50 or 100 per page. To view a full derivative report, click on its UTI in the results list. To download a report, use the Download button. 	
Reconciliation status codes	See Reconciliation statuses .	

Report status view in the EMIR Dashboard

Introduction	Your EMIR Dashboard offers a graphic view of reporting activity by status.
Reporting Status	<p>This displays a summary of your reporting with:</p> <ol style="list-style-type: none"> Pie charts covering your report submissions for the current working day in four groups. Click on the respective View Details to see: <ul style="list-style-type: none"> 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

<p>Onboarding and account setup</p>	<ol style="list-style-type: none"> 1. There are two stages to the creation of accounts for new clients: <ol style="list-style-type: none"> 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 EMIR reporting are invited to download the onboarding documents from REGIS-TR's website under Key documents > REGIS-TR S.A. > Onboarding
<p>Requesting an account</p>	<ol style="list-style-type: none"> 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: <ul style="list-style-type: none"> • UAT environment for testing and training, or • Production environment for the live derivative reporting service. Note: Also provides access to UAT environment.
<p>New clients: Documentation request</p>	<p>If you are not currently a REGIS-TR client, we will email you with:</p> <ol style="list-style-type: none"> 1. A message confirming your new account request. 2. A request to print, sign and return the following documents: <ol style="list-style-type: none"> a. Agreement relating to your requested REGIS-TR account type, and b. EMIR 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: <ol style="list-style-type: none"> 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 <p>Note: If your company documents are not in English, French, German, Italian or Spanish, please provide:</p> <ul style="list-style-type: none"> • copies of the original documents, and • for each document, a legally authorised translation into one of these languages. <p>Complete, print, sign and return these documents by post to the address on the EMIR Appendix 2 – Application Form.</p>

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-EMIR) documentation request	<p>If you are a client of a different REGIS-TR service and wish to subscribe to the EMIR service, you will receive:</p> <ol style="list-style-type: none"> 1. A message confirming your new account request 2. A request to print, sign and return the following documents: <ol style="list-style-type: none"> a. Agreement relating to your requested REGIS-TR account type, and b. EMIR 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: <ol style="list-style-type: none"> 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 <p>Note: If your company documents are not in English, French, German, Italian or Spanish, please provide:</p> <ul style="list-style-type: none"> • copies of the original documents, and • for each document, a legally authorised translation into one of these languages.
Account setup	<p>Once your documentation has been verified, REGIS-TR will:</p> <ol style="list-style-type: none"> 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. <p>Note: Production account clients also have access to the UAT environment.</p>
Central Coordinator	<p>Entities are required to have one Central Coordinator.</p> <p>The Central Coordinator:</p> <ul style="list-style-type: none"> • 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 EMIR DASHBOARD

Access and credentials

Create user password

This section applies to:	New users. Note: Your username is assigned by REGIS-TR.
Create password	<ol style="list-style-type: none"> 1. Follow the link in the email provided when your user account was set up. 2. Enter your username in the <i>User</i> box. 3. Enter the password provided by our Account Setup Team. At first log in, REGIS-TR will ask you to change the initial password. The new password must contain: <ol style="list-style-type: none"> a. Eight to thirty characters b. At least three of the following: <ul style="list-style-type: none"> • 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 your username. If you do not, your user profile will be blocked and your Central Coordinator will need to contact our Account Setup Team .

Log in to your EMIR Dashboard

This section applies to:	New users New Central Coordinators.
Access to the EMIR Dashboard	<ol style="list-style-type: none"> 1. Open an Internet browser on your computer and either: <ol style="list-style-type: none"> a. Go to the REGIS-TR website, click on the green Login button, select the EMIR tab and click on the desired environment: Production, UAT or Pre-production; or b. Click on or enter the relevant link/URL of an environment: <ul style="list-style-type: none"> • Production: https://w3.regis-tr.com • UAT: https://formacion.regis-tr.com • Pre-production: https://pre-production.regis-tr.com. 2. Enter your username and password to access your EMIR Dashboard. <p>Tip: Add the desired log in page(s) to the bookmarks or favourites of your Internet browser.</p>

Next login	Your user profile will be blocked if you have not logged in during 90 consecutive days. In this case, please contact the REGIS-TR Account Setup Team
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Signature key and secret question

Introduction	<ul style="list-style-type: none"> • Users are required to set up a signature key. • The Signature Key is an eight-letter 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	<ol style="list-style-type: none"> 1. In the <i>User information</i> section, select <i>Change signature</i>. 2. Enter and confirm your new signature. <p>Note: Current signature field must be left blank.</p>
How to create or change your secret question	<ol style="list-style-type: none"> 1. In the <i>User information</i> section, select <i>Change question</i>. 2. Enter your new secret question. Note: Maximum 30 letters. 3. Enter your new secret answer. Note: Maximum 10 letters. 3. Click <i>Change Question</i> button.
Information entered incorrectly	<ol style="list-style-type: none"> 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. UAT passwords don't expire.
Reset password	<ul style="list-style-type: none"> • You will receive an email alert when the password expires. • Follow the Reset Password instructions in the email.

Session expiry

Introduction	<ul style="list-style-type: none"> • 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, contact our Account Setup Team.
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Wrong username

Forgotten username	If you have forgotten your username, please contact your Central Coordinator or the Account Setup Team .
Login credentials entered incorrectly	<ul style="list-style-type: none"> • You will see an error message. • Verify your login credentials and re-enter your username and password. <p>If you enter your password incorrectly three times:</p> <ul style="list-style-type: none"> • Your username will be blocked. • Contact our Account Setup Team.

Logging out

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

Main

Purpose	Provides list of Main menu items.
Detail	<ul style="list-style-type: none"> • Reporting Status: summaries of processed, pending and erroneous files. See Report status view in the EMIR Dashboard. • Inputs: manual upload of XML and CSV message files to the R001 and R010 channels. • Delegation Control: upload of the Delegating Entities CSV file and view the current list of delegating entities. See Delegation control. • TRQ40: search for LEI updates that have been executed by REGIS-TR. • Output: display intra-day response files. See Viewing and retrieving reports. • Search R001 RTS: look up records in the R001 channel. • Search R010 RTS: look up records in the R010 channel.

	<ul style="list-style-type: none"> • Reports: view and download daily, weekly and monthly reports. See Viewing and retrieving reports.
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Documentation

Purpose	This section provides essential information to clients and authorised users that we update occasionally.
Detail	<ul style="list-style-type: none"> • Schemas and Templates: Inbound and outbound formats in XML and CSV. • Guides: Debugging logs and any user guide that is not on the REGIS-TR website under Key documents > REGIS-TR S.A. > Handbooks. <p>Note: For the applicable schemas and templates in the Pre-production environment, please refer to the Production environment and keep in mind that new releases are normally deployed in the Pre-production environment one week after deployment in Production.</p>

Account and user information

Introduction	The Account section of the EMIR 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 <ul style="list-style-type: none"> • User Code • Job Title • Name • Registration Date 	User address <ul style="list-style-type: none"> • Address • City • Postcode • Country • Country Code 	Contact <ul style="list-style-type: none"> • Main Phone • Alternative Phone • Email
	This section also lets you: <ul style="list-style-type: none"> • Change password • Change signature and secret question. 		

News

Purpose	This section lets you review previous client communications that have been sent to clients via email.
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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	<p>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.</p> <p>For electronic user administration requests, please use the below template when filling in the Message part of the Contact form:</p> <p>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:</p> <p>EMIR REGULATION</p> <p>DATE:</p> <p>REQUEST TYPE: Add New / Modify / Remove</p> <p>ACCOUNT CODE:</p> <p>COMPANY NAME:</p> <p>LEI:</p> <p>ENVIRONMENT: All / Prod / Pre-prod / UAT</p> <p>LIST OF AFFECTED USERS:</p> <ol style="list-style-type: none"> 1. NAME AND SURNAME / FULL ADDRESS / PHONE NUMBER / EMAIL 2. Etc...

INFRASTRUCTURE

Introduction	<p>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.</p> <p>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.</p>
Hardware	Database and system storage is based on a storage array system.
Operating systems	Oracle Linux and Windows Server.
Datacentres	<p>All our systems are hosted in our own datacentres.</p> <p>Note: For contingency reasons, we run two identical datacentres in parallel.</p>

Updates and new releases

Software updates	<p>REGIS-TR publishes an annual roadmap detailing planned software enhancements and updates. This is updated regularly and communicated to clients.</p> <p>Before each release, detailed release notes are issued describing the enhancements and setting out any potential impact.</p>
Release testing	<ul style="list-style-type: none"> • 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	<p>Clients with recommendations for improvements are asked to contact their Relationship Manager or the Client Services team.</p>

Appendix: Error codes

Error code	Description
1	Wrong value
5	Erroneous date
7	Incorrect Identification
37	The record already exists
67	Non-existent operation
68	Non-existent contract
81	Currency does not exist
99	Invalid type of operation
100	Erroneous XML format
117	Incorrect Check digit LEI
118	Required treatment needed for the field
601	Required field not informed
602	Data not permitted
603	The field is not numeric
604	Incorrect field
649	Trade to modify with the same data
661	Numeric field overflow
705	Trades with no collateralisation
706	Contract status only allows TT/TE(E)
708	[REPORTING ENTITY] Not authorised entity
709	"XXXXXXXXXXXXXXXXXX" is not an EIC
710	Shall be empty for Actn Type V, C, Z, E