



REGIS-TR

a SIX company

SFTR

Client Handbook

Information for clients

April 2025

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CONTACTS

Client Services and technical support	+34 91 709 5570 sftr-support@regis-tr.com	
Account Setup Team	+34 91 709 5580 admin@regis-tr.com	
New SFTR account requests	SFTR UAT Account request SFTR Production Account request	
Relationship Management	commercial@regis-tr.com	
www.regis-tr.com		
Calls may be recorded for monitoring and quality control purposes.		

DEFINITIONS

Action type	Report field defining the purpose of the SFT report. Examples: New, Error, Valuation Update.
Account code	Code used to identify the client's account. Examples: RS60A1: Reporting Participant account TS60A1: Third Party Internal account ES60A1: Third Party External account NE60A1: Non-Reporting Entity account.
Account Setup Team (ASUT)	REGIS-TR team responsible for setting up client accounts and user profiles.
Account type	RS: Reporting Participant TS: Third Party Internal ES: Third Party External NE: Non-Reporting Entity.
AIF	Alternative Investment Fund.
AIFM	Alternative Investment Fund Manager.
ASUT	See <i>Account Setup Team</i> .
BAH	See <i>Business Application Header</i> .
Business Application Header	ISO 20022 message definition (head.001). Combined with another ISO 20022 message definition to form a business message.
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 user management functions such as account and user setup.
CFI	ISO 10962 Classification of Financial Instruments.
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 delegated to report on behalf of another.

	The file is used during delegation control to confirm that the delegation is authorised.
Entity Responsible for the Report (ERR)	Entity responsible for ensuring that the SFT 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> .
Errored SFT	An SFT reported to the TR that has been reported with Action type: Error.
ES	Code denoting Third Party External account type.
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.
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> .
NE	Code denoting Non-Reporting Entity account type.
NFC-	<u>As per Directive (EU) 2023/2775 amending Directive 2013/34/EU</u> , 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 € 25 000 000 * • Net turnover: below € 50 000 000 * Average number of employees during the financial year: 250 or below. Where an NFC- entity makes an SFT with a financial counterparty, the reporting

	<p>responsibility for both sides lies with the financial counterparty.</p> <p>*Please note that clearing thresholds must be enforced in the each country. Please refer to Article 2 (par. 1) of Directive (EU) 2023/2775 amending Directive 2013/34/EU : “Member States shall bring into force the laws, regulations and administrative provisions necessary to comply with this Directive by 24 December 2024 at the latest. They shall forthwith communicate to the Commission the text of those provisions.”</p>
Non-outstanding transaction	<p>An SFT reported to the TR that:</p> <ul style="list-style-type: none"> • Has matured • Has been reported with Action type: Early Termination or Position Component.
Non-Reporting Entity	<p>An entity that has a reporting obligation and/or responsibility under SFTR but does not report on its own behalf.</p>
Outbound	<p>Describes reports/communications sent by REGIS-TR to the client.</p>
Outstanding transaction	<p>An SFT reported to the TR that:</p> <ul style="list-style-type: none"> • Has not matured • Has not been reported with Action type: Error, Early Termination or Position Component.
RC	<p>See <i>Reporting Counterparty</i>.</p>
Read and Write user	<p>Client user with permissions to:</p> <ul style="list-style-type: none"> • Upload and download reports • Query reports • Upload delegation files.
Read-only user	<p>Client user with permissions to:</p> <ul style="list-style-type: none"> • Read reports • Query reports.
REGIS-TR working days	<p>Refers to the days on which REGIS-TR is open for the reception of SFT reports. REGIS-TR is open on all calendar days except:</p> <ul style="list-style-type: none"> • Saturdays • Sundays • Every 1 January

	<ul style="list-style-type: none"> • Every 25 December.
Reporting Counterparty (RC)	An SFT counterparty that has a reporting obligation under Article 4(1) SFTR.
Reporting obligation	<p>The legal obligation of an SFT counterparty to report its SFTs to a trade repository.</p> <p>Note: The obligation remains with the counterparty regardless of any voluntary or mandatory delegation in place.</p> <p>Further information: see Foreword: SFTR IN BRIEF.</p>
Reporting Participant (RS)	A client account used by a Reporting Counterparty to report its own side of an SFT and/or the other counterparty's side.
Reporting responsibility	Legal responsibility under SFTR for the reporting of the SFTs.
Reporting session	Period during the working day in which the REGIS-TR system is open to receive SFT submissions from reporting firms.
Report Submitting Entity (RSE)	<p>Any entity that reports SFTs on its own behalf or on behalf of another, for example:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Third party service provider • Vendor of SFT reporting solutions • UCITs management company • AIFM • Financial counterparty to a transaction with a small non-financial counterparty.
Reuse	The use of collateral received under a collateral arrangement.
RS	Code denoting Reporting Participant account type.
RSE	<i>See Report Submitting Entity.</i>
SFT	Securities Financing Transaction.
SFTR	Securities Financing Transactions Regulation (EU) 2015/2365.
SFT record	Refers to an individual SFT as reported to the TR in a message file.
SWIFT	SWIFT is a registered trademark of the Society for Worldwide Interbank Financial Telecommunication.
Third Party Entity	Entity that reports SFTs on behalf of other entities.

	Note: A Third Party is not a counterparty to the reported SFT.
Third Party External (ES)	A client account used by a non-counterparty to report SFTs on behalf of an entity outside its family group.
Third Party Internal (TS)	A client account used by a non-counterparty to report SFTs 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.
TS	Code denoting Third Party Internal account type.
UCITS	Undertaking for Collective Investment in Transferable Securities.
UTI	Unique Transaction ID.

FOREWORD

Getting started

For new clients	<p>Thank you for choosing REGIS-TR to support your SFTR 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 SFTR 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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SFTR in brief

Disclaimer for SFTR 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 SFTR is to reduce systemic risk by increasing the transparency of the financial markets. Under SFTR:</p> <ol style="list-style-type: none"> 1. SFT 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 SFTs and total return swaps. 3. Parties involved in the reuse of financial instruments must meet minimum conditions, including written agreement and prior consent on the part of the collateral provider.
The regulation applies to:	<ol style="list-style-type: none"> 1. Any SFT counterparty established in the EU. 2. Any SFT counterparty that is a branch office of an entity established in the EU, even if the branch itself is outside the EU. 3. Any SFT counterparty established in a non-EU country, if:

	<ul style="list-style-type: none"> • the SFT was concluded by an EU branch office • a reuse was effected by an EU branch office, or • a reuse involved collateral provided under an arrangement with: <ul style="list-style-type: none"> ○ an EU counterparty, or ○ an EU branch office of a non-EU counterparty. <p>4. A management company for an EU Undertaking for Collective Investment in Transferable Securities (UCITS).</p> <p>5. EU Alternative Investment Fund Managers (AIFMs).</p> <p>Note: The reporting responsibility for UCITS and AIFs usually lies with the fund management company.</p>
<p>SFT reporting regulation exceptions</p>	<ol style="list-style-type: none"> 1. Articles 4 and 15 do not apply to: <ol style="list-style-type: none"> a. Members of the European System of Central Banks (ESCB) or equivalent EU organisation b. EU organisations with responsibility for managing public debt c. The Bank for International Settlements. 2. Article 4 does not apply to transactions to which a member of the ESCB is a counterparty.
<p>Reporting obligations and responsibilities</p>	<ol style="list-style-type: none"> 1. SFT reports must be submitted to a trade repository authorised by ESMA to provide services under SFTR. 2. Each counterparty to an SFT is legally obliged and responsible for ensuring that its side of the transaction, including lifecycle events, is reported to an authorised trade repository. <p>Exceptions:</p> <ol style="list-style-type: none"> i. If the SFT is between a financial counterparty and a small non-financial counterparty (NFC-), the reporting responsibility for both counterparties lies with the financial counterparty. ii. If the SFT is concluded by a UCITS or AIF, the responsibility for reporting usually lies with the fund management company. 3. An SFT counterparty may delegate its reporting to the other counterparty or to a third party. 4. SFT reports must be submitted by close of business on the day following the transaction (T+1). Note: Collateral reuse reports must be submitted by the end of operating hours on the day after settlement (S+1). 5. Both counterparties must retain their records of the transaction for a minimum of five years after its termination.

<p>Transaction types to be reported</p>	<ol style="list-style-type: none"> 1. Repurchase transaction 2. Buy-Sell back or Sell-Buy back transaction 3. Securities Lending transaction (lending/borrowing) 4. Margin Lending transaction. 	
<p>Information to be reported</p>	<p>Four types of data are required:</p> <ol style="list-style-type: none"> 1. Counterparty data This identifies the parties that execute, report, benefit from, arrange, broker, and clear the transaction. 2. Loan and Collateral data This defines the details of the transaction, including: <ul style="list-style-type: none"> • Trading and clearing venues • Interest calculations • Security and commodity information • Pricing and rebated details • Haircuts, and • Collateral quality. 3. Margin data Detail relating to: <ul style="list-style-type: none"> • Initial and variation margin, and • Collateral posted and received against a transactions portfolio. 4. Re-use, Cash Reinvestment and Funding Sources data Detail relating to: <ul style="list-style-type: none"> • Collateral re-use • Cash collateral reinvestment, and • Source of funds information for margin lending transactions. 	
<p>Action types</p>	<ol style="list-style-type: none"> 1. New 2. Modification 3. Error 4. Correction 5. Position Component 	<ol style="list-style-type: none"> 6. Collateral Update 7. Termination/Early Termination 8. Margin Update 9. Reuse Update 10. Valuation Update
<p>Data standards</p>	<p>Transaction reports must follow these data standards:</p> <ol style="list-style-type: none"> 1. All SFTs must be submitted in ISO 20022 XML format. 2. All SFTs must contain the data fields defined by ESMA. 3. Loan data (trades and positions) must be identified by the Unique Transaction Identifier (UTI). 	

	<p>4. The parties must be identified by their Legal Entity Identifier (LEI). Exception: branches identified by a country code.</p> <p>5. Securities must be identified with a) ISIN and b) CFI codes.</p> <p>6. The correct ISO codes must be used to identify fields including:</p> <ul style="list-style-type: none"> • Currency • Country • Date and time • LEI • ISIN.
<p>Reporting start dates</p>	<p>SFTR was introduced in phases depending on type of business:</p> <p>13 July 2020: 15 months* after the regulation enters into force</p> <ul style="list-style-type: none"> • Investment firm • Credit institution • Central Counterparty • Central Securities Depository • Third-country equivalent entity. <p>12 October 2020: 18 months after the regulation enters into force</p> <ul style="list-style-type: none"> • Insurance or reinsurance undertaking • UCITS (and where relevant, its management company) • AIF managed by AIFM • Institution for occupational retirement provision • Third-country equivalent entity. <p>11 January 2021: 21 months after the regulation enters into force</p> <ul style="list-style-type: none"> • Non-financial entity • Third-country equivalent entity.

* ESMA announced on 19 March 2020 an expectation that competent authorities do not prioritise their supervisory actions related to SFTs concluded (initiated) prior to 13 July 2020.

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>Finanzmarktinfrastukturgesetz</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	15 rue Léon Laval, L - 3372 Leudelange
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 SFTR SERVICES

SFT asset classes	<p>REGIS-TR accepts SFT reports for all asset classes under the regulation, as below:</p> <ul style="list-style-type: none"> • Repurchase transaction • Buy-Sell back or Sell-Buy back transaction • Securities Lending transaction (lending or borrowing), and • Margin Lending transaction.
Report types	<p>We accept all SFT report types, as below:</p> <ul style="list-style-type: none"> • Securities Financing Transaction Report • Margin Data Report • Reused Collateral Data Report.
Action types	<p>We accept all SFT action types/lifecycle events, as below:</p> <ul style="list-style-type: none"> • New report • Modification • Error • Termination/Early Termination • Position Component • Collateral Update • Correction • Valuation • Margin Update, and • Reuse 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. 3. Mandatory delegation: A UCITS management company, AIFM or financial counterparty reports on behalf of a UCITS, AIFM or NFC-, respectively. <p>Further information: see Delegation.</p>
Interoperability	<p>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 SFTR. For full details, please see our website.</p>

<p>Account types</p>	<ol style="list-style-type: none"> All REGIS-TR clients with an SFTR reporting obligation may open an account, regardless of whether they report directly or delegate to another party. Once an entity has become a REGIS-TR client, they have the option of setting up and managing their accounts and user profiles through their SFTR Dashboard. If preferred, you may request account management services from REGIS-TR. The account type required by the client depends on its reporting model. This is a brief summary: 										
	<table border="1"> <thead> <tr> <th data-bbox="376 595 541 680">Account type</th> <th data-bbox="541 595 1423 680">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="376 680 541 898">Reporting Participant</td> <td data-bbox="541 680 1423 898"> <ul style="list-style-type: none"> This account is for clients that report transactions to which they are a counterparty. The client may report its own side of the transaction and/or the other counterparty's side. </td> </tr> <tr> <td data-bbox="376 898 541 1122">Non-Reporting Entity</td> <td data-bbox="541 898 1423 1122"> <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 transaction data reported on the client's behalf. </td> </tr> <tr> <td data-bbox="376 1122 541 1290">Third Party Internal</td> <td data-bbox="541 1122 1423 1290"> <ul style="list-style-type: none"> This account is used by a client to report transactions on behalf of entities in its family group. The Third Party is not a counterparty to the reported transactions. </td> </tr> <tr> <td data-bbox="376 1290 541 1458">Third Party External</td> <td data-bbox="541 1290 1423 1458"> <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> </tbody> </table>	Account type	Description	Reporting Participant	<ul style="list-style-type: none"> This account is for clients that report transactions to which they are a counterparty. The client may report its own side of the transaction and/or 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 transaction data reported on the client's behalf. 	Third Party Internal	<ul style="list-style-type: none"> This account is used by a client to report transactions 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.
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	<p>Further information: see Client Accounts.</p>										
<p>Validation</p>	<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 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 										

	<p>acknowledgement of receipt. This is followed by a validation report covering each reported SFT, which is sent within one hour of the client’s SFT submission. If any SFT is rejected, the report provides the reason.</p> <p>3. Response and feedback messages are sent to the Report Submitting Entity on the communication channel used to submit the SFTs. Note: The Entity Responsible for the Report and the Reporting Counterparty also receive this report if they have REGIS-TR accounts.</p> <p>Further information: see Validation.</p>
<p>Reconciliation</p>	<ol style="list-style-type: none"> 1. The reconciliation process begins once an SFT has been validated successfully. 2. If at the end of a day we do not hold the other side of the SFT, we try to locate it through the daily inter-TR reconciliation process. This process takes place during the following day and is concluded by 18:00 UTC. 3. A reconciliation status feedback message for each reported SFT is returned to the Report Submitting Entity within an hour of completing the daily reconciliation process. Note: The Entity Responsible for the Report and the Reporting Counterparty also receive this report if they have REGIS-TR accounts. 4. Where an SFT cannot be reconciled on first attempt, we continue to run it through each subsequent daily process until 30 days after the transaction has become non-outstanding. <p>Further information: see Reconciliation.</p>
<p>Reporting to clients</p>	<ul style="list-style-type: none"> • We provide a series of reports detailing reporting activity, transaction states, missing collateral, rejection reasons and reconciliation statuses. • Reports are sent on the channel selected during the onboarding process. All reports and feedback are also made available on the client’s SFTR Dashboard. <p>Further information: see Reporting to clients.</p>
<p>SFTR Dashboard</p>	<p>This is a secure web user interface designed to simplify the management of client SFT reporting. It enables clients to upload and track SFT submissions, view, query and export reports and access support manuals and other documentation.</p>
<p>Connectivity options</p>	<p>REGIS-TR provides one manual and three automated options for:</p> <ul style="list-style-type: none"> • The submission of SFTs 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 SFTs may find it more efficient to

	<p>submit reports via secure internet access in their SFTR Dashboard. Note: This method can also be used as a contingency measure.</p> <ul style="list-style-type: none"> • Clients have access to all reports and communications from REGIS-TR via their SFTR Dashboard, regardless of the method chosen for the upload of SFTs. <p>Automated file transfer via:</p> <ul style="list-style-type: none"> • SWIFTNet FileAct • SOAP Web Service/BPAPIEx, or • Secure File Transfer Protocol (SFTP). <p>Further information: see Connectivity options.</p>															
<p>Production and testing environments</p>	<p>REGIS-TR offers two separate environments for entities reporting under SFTR. Production account holders have automatic access to all two environments.</p> <p>Production environment</p> <p>https://sftr.regis-tr.com</p> <ul style="list-style-type: none"> • Upload of SFTs • Real-time processing of SFTs • Production: live reporting environment. • Production Account requests: https://sftr.regis-tr.com/OnBoarding <p>UAT environment</p> <p>https://sftr-uat.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. • Also open free of charge to prospective clients wishing to test REGIS-TR solutions without commitment. • Technical assistance is available to all users. • UAT Account requests: https://sftr-uat.regis-tr.com/OnBoarding. 															
<p>System availability</p>	<table border="1"> <thead> <tr> <th data-bbox="368 1637 675 1697">Note: All times UTC</th> <th data-bbox="675 1637 1050 1697">Production</th> <th data-bbox="1050 1637 1433 1697">UAT</th> </tr> </thead> <tbody> <tr> <td data-bbox="368 1697 675 1758">Processing days</td> <td data-bbox="675 1697 1050 1758">REGIS-TR working days</td> <td data-bbox="1050 1697 1433 1758">REGIS-TR working days</td> </tr> <tr> <td data-bbox="368 1758 675 1848">Inbound reporting open</td> <td data-bbox="675 1758 1050 1848">04:00:00 to 22:59:59</td> <td data-bbox="1050 1758 1433 1848">08:30:00 to 18:29:59</td> </tr> <tr> <td data-bbox="368 1848 675 1904">Processing hours</td> <td data-bbox="675 1848 1050 1904">04:00:00 to 23:59:59</td> <td data-bbox="1050 1848 1433 1904">08:30:00 to 19:29:59</td> </tr> <tr> <td data-bbox="368 1904 675 1986">Inbound reporting closed</td> <td data-bbox="675 1904 1050 1986">23:00:00 to 03:59:59</td> <td data-bbox="1050 1904 1433 1986">18:30:00 to 08:29:59</td> </tr> </tbody> </table>	Note: All times UTC	Production	UAT	Processing days	REGIS-TR working days	REGIS-TR working days	Inbound reporting open	04:00:00 to 22:59:59	08:30:00 to 18:29:59	Processing hours	04:00:00 to 23:59:59	08:30:00 to 19:29:59	Inbound reporting closed	23:00:00 to 03:59:59	18:30:00 to 08:29:59
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	<p>SFTR Dashboard availability: 24/7 all days except for scheduled maintenance (may occur only during weekends in the Production environment).</p>
<p>Client Services</p>	<ul style="list-style-type: none"> • Our Client Services support team provides technical support to users of our Production and UAT environments. • 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: 08:30 - 18:00 CET/CEST.</p> <p>Contact details: see Contacts.</p>
<p>Relationship Management team</p>	<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:</p> <ul style="list-style-type: none"> • on-boarding procedures • transaction reporting regulation • test environment • fee schedules, and • documentation. <p>Languages spoken: English, French, German, Italian, Luxembourgish, Spanish, Czech, Slovak.</p> <p>Availability: All REGIS-TR working days.</p> <p>Hours: 08:30 - 18:30 CET/CEST.</p> <p>Contact details: see Contacts.</p>
<p>Training for clients</p>	<p>We offer SFTR training and preparation courses in partnership with regulatory experts Market FinReg. In addition, we run webinars and hold regular User Groups and workshops. Please see our website or follow us on LinkedIn and X for details and updates.</p>
<p>Infrastructure</p>	<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

	<p>reporting.</p> <ul style="list-style-type: none"> • Our platform supports 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.
<p>Service Levels/SLAs</p>	<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.
<p>Fees and pricing structure</p>	<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.

CLIENT ACCOUNTS

<p>This section applies to:</p>	<p>Entities that report their SFTs to REGIS-TR, whether they report directly, delegate their reporting to another entity or report on behalf of other entities.</p>
<p>This section covers:</p>	<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

Introduction

<p>Purpose of accounts</p>	<p>REGIS-TR accounts are for the use of:</p> <ul style="list-style-type: none"> • Entities that submit SFT reports on their own behalf. • Entities that submit SFT reports on behalf of another entity. • SFT counterparties with no SFTR reporting obligation that submit SFT reports on behalf of their other counterparty. • Entities under mandatory delegation that submit SFT reports on behalf of a UCITS, AIF or NFC-. • Entities that delegate their reporting to another entity but require detailed access to the SFT reports submitted on their behalf.
<p>Accounts for delegating entities</p>	<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 a non-reporting account for access to the SFTs submitted on their behalf and to view the associated REGIS-TR reports.</p>
<p>Environments</p>	<ol style="list-style-type: none"> 1. REGIS-TR provides two 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. 2. REGIS-TR clients with an account in the Production environment may request the same account type and identifier in the UAT environment. 3. Prospective clients with access to our UAT environment do not have access to the Production environment.
<p>Direct and delegated reporting</p>	<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 UCITS management company, AIFM or financial counterparty reports on behalf of a UCITS, AIFM or NFC-, respectively.</p>
Delegation control	<ol style="list-style-type: none"> This is a validation performed when REGIS-TR detects that the entity that submitted the SFT report is neither the Entity Responsible for the Report nor the Reporting Counterparty. The control is designed to ensure that the report-submitting entity is duly authorised to report the SFT. Further information: see Delegation control.
Account codes	<ol style="list-style-type: none"> Account codes are allocated by the REGIS-TR. The account code structure is: two letters denoting account type + four alphanumeric characters. Example: RS60A1. The account types are: <ul style="list-style-type: none"> RS Reporting Participant TS Third Party Internal ES Third Party External NE Non-Reporting Entity <p>Note: For each account type, the client's account code may be the same regardless of the environment.</p>
Account restrictions	<ol style="list-style-type: none"> The same LEI may not hold both a Non-Reporting Entity account and either a Reporting Participant account or a Third Party account. The same LEI may not hold two accounts of the same type.
Account application, setup and management	<ol style="list-style-type: none"> REGIS-TR clients are required to follow the onboarding process for initial account setup. Once onboarding is complete, clients have the option to conduct their own secure account management. This allows clients to add new, modify or cancel accounts and add, remove or modify the permissions for individual users. Further information: See Account Setup Services. Clients may request that REGIS-TR performs account management on their behalf.
Reporting to the client	<ol style="list-style-type: none"> REGIS-TR sends the client's SFT activity and other reports to the accounts of: <ul style="list-style-type: none"> The Report Submitting Entity The Reporting Counterparty The Entity Responsible for the Report <p>Note: The Report Submitting Entity may also be the Reporting Counterparty or Entity Responsible for the Report, or both. 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 SFTR Dashboard.</p> <p>3. While the Report Submitting Entity will always have an account, a Reporting Counterparty or Entity Responsible for the Report may not. Reports can be sent to account holders only.</p> <p>Further information: See Reporting to Clients.</p>
<p>Central Coordinator</p>	<p>All clients need to define and authorise at least one Central Coordinator. This person:</p> <ul style="list-style-type: none"> • Acts as main Point of Contact for communications with REGIS-TR, and • Is responsible for the setup and management of client accounts, user profiles and REGIS-TR’s reports to the client. <p>Note: An account may have up to three Central Coordinators.</p>

Reporting Participant account

<p>This account is for:</p>	<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 (NE) account. This provides read-only access to SFTs submitted to REGIS-TR and reports received from REGIS-TR.</p>
<p>Account permissions</p>	<ol style="list-style-type: none"> 1. Report <ul style="list-style-type: none"> • Own side of the SFT, including lifecycle events (also when the NEWT was reported under delegation by another client). • Other counterparty’s side, if delegated. 2. View <ul style="list-style-type: none"> • SFT submitted by the account holder on its own behalf • SFT submitted by the account holder on behalf of its other counterparty, if the delegation remains in place • SFT submitted on the account holder’s behalf by its other counterparty or a third party. • Reports from REGIS-TR on SFTs submitted by or on behalf of the account holder.

Non-Reporting Entity account

<p>This account is for:</p>	<p>A Reporting Counterparty or Entity Responsible for the Report that:</p> <ul style="list-style-type: none"> • Delegates in full its report submissions under SFTR, and • Requires oversight of the transactions reported on its behalf.
<p>Account permissions</p>	<p>This account provides read access to:</p> <ul style="list-style-type: none"> • Transactions to which the account holder is a Reporting Counterparty and/or ERR that were reported by the other counterparty or a third party • Feedback, reports and other communications from REGIS-TR.

Third Party Internal account

<p>This account is for:</p>	<p>An entity that is not an SFT counterparty but is a member of the Family Group of the SFT counterparty, and:</p> <ul style="list-style-type: none"> • Has been delegated to report SFTs on behalf of Reporting Counterparties, and/or • Has a reporting responsibility under mandatory delegation for another entity. <p>Examples: UCITS Management Company, AIFM.</p>
<p>Account permissions</p>	<ol style="list-style-type: none"> 1. Report <ul style="list-style-type: none"> • The delegating entity's side of the SFT, including lifecycle events • The delegating entity's other counterparty's side. 2. View <ul style="list-style-type: none"> • SFT 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 SFTs submitted by the account holder. <p>Notes:</p> <ul style="list-style-type: none"> • Permissions apply only where the applicable delegation remains in place. • SFT submissions and REGIS-TR reports are made available to the Reporting Counterparties and Entities Responsible for the Report if they have REGIS-TR accounts.

Third Party External account

<p>This account is for:</p>	<p>An entity that is neither an SFT counterparty nor a member of the Family Group of the SFT counterparty.</p>
<p>Account</p>	<p>See the Account permissions of the Third Party Internal account</p>

permissions

above.

DELEGATION

Introduction

This section applies to:	<ol style="list-style-type: none"> 1. Entities that delegate their reporting. 2. Counterparties to an SFT that have been delegated to report on behalf of their other counterparty. 3. Third parties delegated to report on behalf of another entity, including: <ul style="list-style-type: none"> • UCITS management companies and AIFMs. • Financial counterparties (FCs), where an SFT is concluded with a small non-financial counterparty (NFC-).
Background	<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 SFTR 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 an SFT to ensure the delegation is active. • If the delegation file is not in place or invalid, the SFT report is rejected. <p>Mandatory delegation</p> <p>No delegation control file is required.</p>
This section covers:	<ol style="list-style-type: none"> 1. Note on reporting under delegation 2. Delegation rules 3. Account requirements 4. Delegation control

Note on reporting under delegation

RSE reports both sides of an SFT	Where a Report Submitting Entity is reporting for both counterparties of an SFT, each counterparty side must be submitted as a separate report.
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Delegation rules

Voluntary delegation	Delegation is voluntary where the Entity Responsible for the Report chooses to delegate its reporting to its other counterparty or to a third party.
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	<p>Note: In this case, SFT reporting is subject to delegation control.</p>
Mandatory delegation	<p>Delegation is mandatory in the following cases:</p> <ul style="list-style-type: none"> • If the Reporting Counterparty is a UCITS, the UCITS’ management company is the Entity Responsible for the Report. • If the Reporting Counterparty is an AIF, its AIFM is the Entity Responsible for the Report. • If the SFT is concluded between an FC and an NFC-, the FC is the Entity Responsible for the Report. <p>Rule: In these cases, SFT reporting is not subject to delegation control.</p> <p>Note: For an SFT record that is not subject to mandatory delegation, the Entity Responsible for the Report is the Reporting Counterparty.</p>
Reporting participant account holders	<p>An entity with a Reporting Participant account may report on behalf of its other counterparty or counterparties.</p> <p>Rule: If the delegation is voluntary, the SFT reporting is subject to delegation control.</p>
Third Party account holders	<p>An entity with a Third Party account may report on behalf of other entities under a mandatory or voluntary delegation.</p> <p>Rule: If the delegation is voluntary, the SFT reporting is subject to delegation control.</p>

Account requirements

Report Submitting Entity	<p>An entity reporting on behalf of another must hold at least one of the following REGIS-TR accounts:</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 directly on behalf of its NFC-counterparty or delegate to a third party.</p> <p>Reminder: The two sides of the transaction must be submitted as separate reports.</p>
UCITS management companies and AIFMs	<ol style="list-style-type: none"> 1. UCITS management companies and AIFMs are required to open a Third Party Internal account if they intend to submit SFTs on behalf of their fund. 2. If SFT reporting for the fund is delegated to a third party, the fund management company may open a Third Party Internal or a Non-Reporting Entity account to view the submitted SFTs and REGIS-TR reports. 3. A third party delegated by an AIFM or UCITS management company requires a Third

	Party account with REGIS-TR.
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Delegation control

Purpose	To ensure that the Report Submitting Entity is authorised to submit the SFT 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 SFT when the Report Submitting Entity is neither the Reporting Counterparty nor the Entity Responsible for the Report. Exception: There is no delegation control for when the Report Submitting Entity is the Reporting Counterparty but not the Entity Responsible for the Report, i.e. where the delegation is mandatory. 2. When voluntary delegated reporting is detected, REGIS-TR verifies that the Report Submitting Entity has an active delegation authorisation in place for reporting on behalf of the Entity Responsible for the Report. <ol style="list-style-type: none"> a. REGIS-TR will use the most recently received ERR of a previous lifecycle report to verify the authorisation of the following types of reports that have no identification of the ERR in themselves: <ul style="list-style-type: none"> • auth.052 action types COLU, EROR, ETRM and VALU • auth.070 and auth.071 action type EROR. 3. If the delegation authorisation is valid, the SFT record passes the permission validation. 4. If the delegation authorisation is missing or has expired, the SFT record fails the permission validation of delegated reporting and is rejected.
Set up delegation authorisation on the SFTR Dashboard	<ol style="list-style-type: none"> 1. Prepare a delegation file as per the format in the next section below. <ol style="list-style-type: none"> a. Enter the LEIs for the delegating entities on whose behalf you will be reporting. b. Enter a start date for the delegation. Note: Delegation will come into effect same day (The start date shall be greater or equal to the current date). c. Enter an end date (optional). 2. Select <i>Delegation Control > File Upload</i> on your SFTR Dashboard. 3. Find and open the delegation file that you prepared in step 1. 4. Upload the file. Note: You will need your signature key. 5. REGIS-TR validates your file and returns a Delegation File Validation Feedback. 6. If the file is accepted, the delegation authorisation will come into effect on the specified start date.
Delegation file	Updates to the delegation control are made using a CSV file. The first five rows are header

<p>format</p>	<p>information:</p> <ol style="list-style-type: none"> 1. Sender, specify your LEI 2. Receiver, specify RGTRESMMXXX 3. Report generation timestamp in UTC, i.e. YYYY-MM-DDThh:mm:ssZ 4. Report type, specify S013 5. Column headings, specify DELEGATING-ENTITY-LEI;DELEGATING-ENTITY-NAME;EFFECTIVE-DATE;END-DATE <p>This is immediately followed by one or more body records in four columns using semicolon (;) as the column separator:</p> <table border="1" data-bbox="368 680 1431 1290"> <thead> <tr> <th>Col.</th> <th>Field</th> <th>Format</th> <th>Comment</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>DELEGATING-ENTITY-LEI</td> <td>20 alphanumeric characters</td> <td>LEI of the Entity Responsible for the Report</td> </tr> <tr> <td>2</td> <td>DELEGATING-ENTITY-NAME</td> <td>45 alphanumeric characters</td> <td>Name of the Entity Responsible for the Report (for information purposes only, not validated)</td> </tr> <tr> <td>3</td> <td>EFFECTIVE-DATE</td> <td>YYYY-MM-DD</td> <td>Start date of the delegation</td> </tr> <tr> <td>4</td> <td>END-DATE</td> <td>YYYY-MM-DD</td> <td>Last date of the delegation, leave empty if indefinite</td> </tr> </tbody> </table>	Col.	Field	Format	Comment	1	DELEGATING-ENTITY-LEI	20 alphanumeric characters	LEI of the Entity Responsible for the Report	2	DELEGATING-ENTITY-NAME	45 alphanumeric characters	Name of the Entity Responsible for the Report (for information purposes only, not validated)	3	EFFECTIVE-DATE	YYYY-MM-DD	Start date of the delegation	4	END-DATE	YYYY-MM-DD	Last date of the delegation, leave empty if indefinite
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4	END-DATE	YYYY-MM-DD	Last date of the delegation, leave empty if indefinite																		
<p>How to amend or cancel delegation authorisation</p>	<ol style="list-style-type: none"> 1. To modify a delegation authorisation, submit an updated delegation file. 2. To cancel all delegation authorisations, submit a delegation file with an updated end date for all delegation in place and confirm when requested. <p>Notes:</p> <ul style="list-style-type: none"> • A new file will not overwrite all previously accepted delegation authorisations. • Delegation files for amendments or cancellations must include updated start and end dates. • The effective date shall be greater or equal to the current date 																				
<p>How to view delegations</p>	<p>Delegating entities:</p> <ol style="list-style-type: none"> 1. Go to your SFTR Dashboard and select <i>Delegation Control</i>. 2. Select <i>Authorised Entities</i> to view a list of your delegated reporting entities by: <ul style="list-style-type: none"> • Account Code: the REGIS-TR account code used to submit the delegation file • Id: the LEI of the delegating entity • Authorised Identifiers: the LEI of the delegated entity 																				

- Effective Date
- End Delegation
- Active indicator.

Delegated entities:

1. Go to your SFTR Dashboard and select *Delegation Control*.
2. Select *Delegation Files*.
3. Search for the files by LEI, date range and company name.
4. The results can be viewed and/or exported.

TRANSACTION REPORTING

This section covers:	<ol style="list-style-type: none"> 1. Report tables 2. Action types 3. Permissible Action Types by SFT type 4. ISO 20022 message specifications/MyStandards 5. Message types 6. File structure and submission.
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Report tables

Table 1	Counterparty data	Securities Financing Transaction Report auth.052
Table 2	Loan and Collateral data	Securities Financing Transaction Report auth.052
Table 3	Margin Data	Margin Data Report auth.070
Table 4	Reuse, Cash Reinvestment and Funding Source Data	Reused Collateral Report auth.071

Action types

Introduction	This section sets out the Action types and the typical purposes of the SFT reports.
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Action type and CODE	ISO XML element			Used for
	auth.052	auth.070	auth.071	
New NEWT	<New>	<New>	<New>	<ul style="list-style-type: none"> • New SFT, or • First report of a CCP margin or collateral reuse.

Action type	ISO XML element			Used for
<p>Modification MODI</p>	<Mod>	-	-	<ul style="list-style-type: none"> Modification of one or more fields of an SFT that has already been reported, Update to a previous report that is showing a position in order to reflect new trades, An early termination that is expected to settle after the submission date of the report, or Discontinuation of a margin loan, i.e., no further credit is being extended and the loan amount becomes zero. <p>Note: Do not use this action type for:</p> <ul style="list-style-type: none"> Errors or mistakes in previous report (use CORR) An early termination that is expected to settle on the submission date of the report (use ETRM) Valuation update (use VALU) Collateral update (use COLU).
<p>Error EROR</p>	<Err>	<Err>	<Err>	<p>Cancels an SFT report submitted in error. This may be because the reported SFT:</p> <ul style="list-style-type: none"> did not take place, or was reported by mistake.
<p>Correction CORR</p>	<Crrctn>	<Crrctn>	<Crrctn>	<p>Corrects an error or mistake of either Loan data or both Loan and Collateral data, in a previously reported SFT.</p> <p>Note: Do not submit a Correction message if reporting a contractual amendment agreed between the counterparties (use MODI).</p>
<p>Position Component POSC</p>	<PosCmpnt>	-	-	<p>Use this action type if on the same day a new SFT has been:</p> <ul style="list-style-type: none"> reported terminated, and included in a separate position report for a CCP-cleared SFT.

Action type	ISO XML element			Used for
Collateral Update COLU	<CollUpd>	-	-	<ul style="list-style-type: none"> Update to collateral composition and collateral valuation, or First and subsequent reports of the composition and valuation of net exposure collateral.
Early Termination ETRM	<EarlyTermination>	-	-	Terminates an SFT: <ul style="list-style-type: none"> on a date prior to the contracted end date, or that is open-ended.
Valuation Update VALU	<ValtnUpd>	-	-	Updates to the: <ul style="list-style-type: none"> value of securities lent or borrowed (securities lending and borrowing transactions), or value of commodities (commodities lending and borrowing transactions).
Margin Update MARU	-	<TradUpd>	-	Update to initial and variation margin on a CCP-cleared SFT.
Reuse Update REUU	-	-	<CollReuseUpd>	Update to the: <ul style="list-style-type: none"> reuse of collateral reinvestment of cash, or margin lending funding sources.

Permissible Action Types by SFT type

Diagrams	These diagrams show which Action Types can be used in: <ol style="list-style-type: none"> Transaction reports: <ol style="list-style-type: none"> at trade level at position level. Margin Data reports Collateral Reuse reports.
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Action Types in Transaction Report: Trade Level

		Action type valid/invalid									
		New	Modification	Error	Correction	Position component	Collateral update	Termination/early termination	Valuation update	Margin update	Reuse update
SFT type	REPO	✓	✓	✓	✓	✓	✓	✓	X	X	X
	BSB	✓	✓	✓	✓	✓	✓	✓	X	X	X
	Securities Lending	✓	✓	✓	✓	✓	✓	✓	✓	X	X
	Margin Lending	✓	✓	✓	✓	X	✓	✓	X	X	X

Action Types in Transaction Report: Position Level

		Action type valid/invalid									
		New	Modification	Error	Correction	Position component	Collateral update	Termination/early termination	Valuation update	Margin update	Reuse update
SFT type	REPO	✓	✓	✓	✓	X	✓	✓	X	X	X
	BSB	✓	✓	✓	✓	X	✓	✓	X	X	X
	Securities Lending	✓	✓	✓	✓	X	✓	✓	✓	X	X
	Margin Lending	X	X	X	X	X	X	X	X	X	X

Action Types in Margin Data Report and Reused Collateral Data Report

		Action type valid/invalid									
		New	Modification	Error	Correction	Position component	Collateral update	Termination/early termination	Valuation update	Margin update	Reuse update
SFT type	Margin data	✓	✗	✓	✓	✗	✗	✗	✗	✓	✗
	Reused collateral data	✓	✗	✓	✓	✗	✗	✗	✗	✗	✓

ISO 2022 message specifications/MyStandards

Introduction	<p>The generic ISO 2022 specifications of the messages supported by REGIS-TR are available:</p> <ul style="list-style-type: none"> on the ISO 2022 website at www.iso20022.org, and in the ISO 2022 Message Catalogue section in the MyStandards website
About MyStandards	<p>MyStandards is a collaborative web platform developed by SWIFT to better manage global standards and related market practice.</p> <p>Link: https://mystandards.swift.com/</p>
How to find the SFTR usage guidelines	<p>Log into MyStandards</p> <ol style="list-style-type: none"> Select <i>Groups</i>. Select the <i>ESMA</i> group. Under Usage Guidelines, select <i>SFTR - Counterparty and TR data exchange</i>. Select an ISO 2022 message usage guideline for viewing.
ISO 2022 schemas	<p>The full XSD schemas are available on the ISO 2022 website: http://www.iso20022.org.</p> <p>Schemas for SFTR usage are available on ESMA's website: https://www.esma.europa.eu/policy-activities/post-trading/sftr-reporting.</p>

Message types

Report Submitting Entity to TR

Message name (all one word)	Msg ID	Used for:
SecuritiesFinancingReportingTransactionReport	auth.052	SFT transaction report
SecuritiesFinancingReportingTransactionMarginDataReport	auth.070	Margin data report
SecuritiesFinancingReportingTransactionReusedCollateralDataReport	auth.071	Reused collateral data report

Note: For delegation file input and output specifications, see [Delegation control](#).

TR to Report Submitting Entity, Entity Responsible for the Report, Reporting Counterparty

Message name (all one word)	Msg ID	Sent to the accounts of:	Used for:
FinancialInstrumentReportingStatusAdvice	auth.031	RSE, ERR, RC	Intraday status advice of submitted reports (feedback)
SecuritiesFinancingReportingTransactionReport	auth.052	RSE, ERR, RC	SFT transaction end of day report
SecuritiesFinancingReportingTransactionMarginDataReport	auth.070	RSE, ERR, RC	Margin data end of day report
SecuritiesFinancingReportingTransactionReusedCollateralDataReport	auth.071	RSE, ERR, RC	Reused collateral data end of day report
SecuritiesFinancingReportingTransactionStateReport	auth.079	RSE, ERR, RC	Latest state of all outstanding SFTs
SecuritiesFinancingReportingReconciliationStatusAdvice	auth.080	RSE, ERR, RC	Reconciliation status of all SFTs in the reconciliation process
SecuritiesFinancingReportingMissingCollateralRequest	auth.083	RSE, ERR, RC	Request for collateral information for a specific SFT
SecuritiesFinancingReportingTransactionStatusAdvice	auth.084	RSE, ERR, RC	Advice of transactions rejected and rejection reasons
SecuritiesFinancingReportingMarginDataTransactionStateReport	auth.085	RSE, ERR, RC	Latest state of all outstanding Margin data records
SecuritiesFinancingReportingReusedCollateralDataTransaction	auth.086	RSE, ERR, RC	Latest state of all Reused Collateral data records

Message name (all one word)	Msg ID	Sent to the accounts of:	Used for:
StateReport			

File structure and submission

Format	All regulatory SFTR inbound and outbound files are formatted in ISO 20022 XML.				
File structure	<p>Files are exchanged with REGIS-TR in files containing:</p> <ol style="list-style-type: none"> one XML prologue, followed by one Business Data Header (head.003) wrapper, containing one Business Application Header (BAH, head.001), followed by one payload message of the types described in the previous section, above. <p>Note: The files are not compressed using ZIP or other algorithms.</p>				
Maximum file sizes	These depend on the connectivity option for inbound files, and the report type and contents for outbound files:				
		SOAP/ BPAPIEx	SFTP	SWIFTNet FileAct	SFTR 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		
XML prologue	<p>It is recommended to use the first line in each file to declare the version of XML and the character encoding in an XML prologue as follows:</p> <pre><?xml version="1.0" encoding="UTF-8"?></pre>				
Business Data Header	<p>The Business Data Header (head.003) has been defined as a draft by SWIFT. It is not registered by ISO 20022. This header is used as a wrapper of the BAH and the payload message, as shown:</p> <pre><xs:schema xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01" xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" targetNamespace="urn:iso:std:iso:20022:tech:xsd:head.003.001.01"> <BizData> <Hdr> (the BAH goes here) </Hdr> </Pyld></pre>				

	<p style="text-align: center;"><i>(the payload message goes here)</i></p> <p style="text-align: center;"></Pyld></p> <p style="text-align: center;"></BizData></p>								
<p>Business Application Header (BAH)</p>	<p>The Business Application Header (BAH) forms part of an ISO 20022 business message. It contains both mandatory and optional information. Further information:</p> <ul style="list-style-type: none"> ESMA's usage guidelines specify BAH version 1. The usage guidelines with schemas are available on the websites of ESMA and SWIFT's MyStandards. An overview of the BAH is here: https://www.iso20022.org/catalogue-messages/additional-content-messages/business-application-header-bah. 								
<p>Environment indicator in the BAH</p>	<p>In outbound files sent from REGIS-TR, the business service <BizSvc> element in the BAH indicates the environment as follows:</p> <table style="margin-left: 40px; border-collapse: collapse;"> <tr> <td style="border-bottom: 1px solid black; padding: 2px 10px;"><BizSvc></td> <td style="border-bottom: 1px solid black; padding: 2px 10px;">Environment</td> </tr> <tr> <td style="padding: 2px 10px;">SFTR_UAT</td> <td style="padding: 2px 10px;">UAT</td> </tr> <tr> <td style="padding: 2px 10px;">SFTR_PROD</td> <td style="padding: 2px 10px;">Production</td> </tr> </table> <p>Example: <BizSvc>SFTR_PROD</BizSvc></p>			<BizSvc>	Environment	SFTR_UAT	UAT	SFTR_PROD	Production
<BizSvc>	Environment								
SFTR_UAT	UAT								
SFTR_PROD	Production								
<p>Technical Record ID</p>	<p>Each record in the payload (auth.052, auth.070 or auth.071) sent to REGIS-TR shall be identified with an unambiguous technical record ID in the <TechRcrdId> element. This identifier is not part of SFTR and the values are only quoted by REGIS-TR in the original record ID <OrgnlRcrdId> element in the Status Advice Feedback (I032) report.</p> <p>Note: When reports are submitted on behalf of a Reporting Counterparty or Entity Responsible for Reporting that is also a REGIS-TR client, it is essential to define technical record IDs that give meaningful record references to the delegating entity as it will also receive the Status Advice Feedback.</p>								
<p>Inbound filename: client to REGIS-TR</p>	<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. You may include one or more Action Types in the same file. Examples: New, Error. 								
		<p>Field</p>	<p>Format</p>	<p>Comment/Example</p>					
	<p>1</p>	<p>Account ID</p>	<p>2 uppercase letters + 4 uppercase alphanumeric characters</p>	<p>REGIS-TR Account code of the sender. Example: RS60A1</p>					
<p>2</p>	<p>Report type</p>	<p>1 uppercase letter + 3 numbers</p>	<p>One of the following:</p> <ul style="list-style-type: none"> S052 (auth.052) S070 (auth.070) S071 (auth.071) 						

	3	Date	YYYYMMDD	Date inbound file sent.
	4	Time	HHMMSS	Time inbound file sent in UTC.
	5	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 "_".
	6	File extension	".xml"	Not case-sensitive.
Example: RS60A1_S052_20200825_091100_clientref5702357.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.			
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 upper-case alphanumeric characters	REGIS-TR Account code of the recipient. Note: The "SP" prefix is for SFTP only. Examples: RS60A1 SPRS60A1
	3	Report type	1 uppercase letter + 3 numbers	One of the following: <ul style="list-style-type: none"> • I031 (auth.031) • I080 (auth.080 intra-day) • D052 (auth.052) • D070 (auth.070) • D071 (auth.071) • D079 (auth.079) • D080 (auth.080 end of day) • D083 (auth.083) • D084 (auth.084) • D085 (auth.085) • D086 (auth.086)
	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. Note: For I031 (auth.031) SFT Status Advice Feedback only.

	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	Retrieval indicator	[1 number]	0 indicates that the file is being retrieved for the first time and 1 indicates that it has been retrieved previously. Note: For SOAP Web Service and BPAPIEx only.
	9	File extension	".xml"	
	<p>Examples: ABCDESMXXX_RS60A1_I080_20200713_230728_0.xml RS60A1_S052_20200713_232807_0.xml TS60A2_I031_20200713_232828_MyOwnRef_0_1.xml</p>			
Transport methods	<ol style="list-style-type: none"> 1. SWIFTNet FileAct 2. SOAP Web Service / BPAPIEx 3. SFTP 4. SFTR Dashboard <p>Further information: Connectivity Options.</p>			

CONNECTIVITY OPTIONS

<p>Introduction</p>	<ol style="list-style-type: none"> 1. REGIS-TR provides manual and automated connectivity options for: <ul style="list-style-type: none"> • the submission of SFTs and updates, and • the reception of status messages, reports and other communications from REGIS-TR. 2. You are asked to specify these options when setting up your accounts. Note: These options can be modified at a later point, if required. 3. You have access to all reports and communications from REGIS-TR via your SFTR Dashboard, regardless of the method chosen for the upload of SFTs. 								
<p>Manual upload/download via your SFTR Dashboard</p>	<p>If you are reporting on a small number of SFTs, it may be more efficient to upload reports manually via secure internet access in your SFTR Dashboard. Note: This method can also be used as a contingency measure in the event of an issue with an automated file transfer.</p>								
<p>Automated file transfer options</p>	<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 SFTR Dashboard with one of the automated connectivity options:</p> <table border="1" data-bbox="392 1070 1423 1608"> <tr> <td data-bbox="392 1070 560 1238"> <p>SWIFTNet FileAct</p> </td> <td data-bbox="560 1070 1423 1238"> <p>Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.</p> </td> </tr> <tr> <td data-bbox="392 1238 560 1361"> <p>SOAP Web Service</p> </td> <td data-bbox="560 1238 1423 1361"> <p>Platform-independent Internet service based on the open standards XML, SOAP, WSDL and HTTPS.</p> </td> </tr> <tr> <td data-bbox="392 1361 560 1485"> <p>BPAPIEx</p> </td> <td data-bbox="560 1361 1423 1485"> <p>New application that meets higher security standards and technologies</p> </td> </tr> <tr> <td data-bbox="392 1485 560 1608"> <p>SFTP</p> </td> <td data-bbox="560 1485 1423 1608"> <p>Secure file transfer protocol over Internet connection. Secured with public key cryptography.</p> </td> </tr> </table>	<p>SWIFTNet FileAct</p>	<p>Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.</p>	<p>SOAP Web Service</p>	<p>Platform-independent Internet service based on the open standards XML, SOAP, WSDL and HTTPS.</p>	<p>BPAPIEx</p>	<p>New application that meets higher security standards and technologies</p>	<p>SFTP</p>	<p>Secure file transfer protocol over Internet connection. Secured with public key cryptography.</p>
<p>SWIFTNet FileAct</p>	<p>Secure file transfer connection provided by SWIFT. Requires subscription to REGIS-TR Closed User Group.</p>								
<p>SOAP Web Service</p>	<p>Platform-independent Internet service based on the open standards XML, SOAP, WSDL and HTTPS.</p>								
<p>BPAPIEx</p>	<p>New application that meets higher security standards and technologies</p>								
<p>SFTP</p>	<p>Secure file transfer protocol over Internet connection. Secured with public key cryptography.</p>								
<p>Response messages</p>	<p>REGIS-TR returns an ISO 20022 acknowledgement in response to each uploaded file. For other feedback, see Reporting to Clients.</p>								
<p>This section covers:</p>	<ol style="list-style-type: none"> 1. SWIFTNet FileAct 2. SOAP Web Service / BPAPIEx 3. SFTP 4. SFTR Dashboard 								

SWIFTNet FileAct

Introduction	<ol style="list-style-type: none"> SWIFTNet FileAct is based on the SWIFT network. 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). Subscription instructions and filename formats are described below. 		
This section covers:	<ol style="list-style-type: none"> Subscribing to a REGIS-TR Closed User Group 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"> Click on the following link or copy and paste the URL into an Internet browser: https://www.swift.com/myswift/ordering/order-products-services/market-infrastructure#service-filter=regis-tr 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: 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> 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. Verify and accept the order. Your configuration at <i>swift.com</i> may require a second user’s approval. 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.		
	Parameter	Production environment (Live)	UAT environment (Test)
	Service name	rgtresmm.registr	rgtresmm.registr!p
	Responder DN	ou=prod,ou=sftr,o=rgtresmm, o=swift	ou=uat,ou=sftr,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.rs60a1
Compression parameter	SwCompression=None

SOAP Web Service

Note : Set for decommissioning in the production environment in Q3 2025

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 message 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 SFTR service is published in the Documentation section of the SFTR Dashboard. Note: There is one WSDL file for each environment (UAT and 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.

<p>Registration and access credentials</p>	<p>Contact REGIS-TR for system registration and access credentials.</p> <p>Notes:</p> <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.
<p>Accessing the SOAP Web Service</p>	<p>Client Service support team will provide you with the SOAP Web Service URL.</p>

Methods

<p>Introduction</p>	<p>This section sets out the methods used in the REGIS-TR SOAP Web Service.</p> <p>The following methods enable clients to exchange reporting messages with REGIS-TR:</p> <ol style="list-style-type: none"> Change password: CHANGE_PASSWORD_EX Send XML file: SEND_XML_EX Retrieve list of files by date interval: GET_XML_LIST_EX Retrieve the content of one XML file by date: RECOVER_XML_EX Retrieve the content of all XML files by date: RECOVER_XMLS_EX Retrieve list of available files, plus timestamps: GET_COMPLETE_LIST_EX 																	
<p>Definitions</p>	<table border="1"> <tr> <td>user</td> <td>Requester’s SOAP username</td> </tr> <tr> <td>password</td> <td>Current SOAP password</td> </tr> <tr> <td>new_password</td> <td>Requested password</td> </tr> <tr> <td>loaded_xml</td> <td>XML message content</td> </tr> <tr> <td>xml_date</td> <td>Requested search date. Format YYYY-MM-DD</td> </tr> <tr> <td>FileName</td> <td>Format as File structure and submission, above.</td> </tr> <tr> <td>xml_name</td> <td>Name of file to be retrieved</td> </tr> <tr> <td>last_FileName</td> <td>Name of last file retrieved. Used to resume a search exceeding result limits.</td> </tr> </table>	user	Requester’s SOAP username	password	Current SOAP password	new_password	Requested password	loaded_xml	XML message content	xml_date	Requested search date. Format YYYY-MM-DD	FileName	Format as File structure and submission, above.	xml_name	Name of file to be retrieved	last_FileName	Name of last file retrieved. Used to resume a search exceeding result limits.	
user	Requester’s SOAP username																	
password	Current SOAP password																	
new_password	Requested password																	
loaded_xml	XML message content																	
xml_date	Requested search date. Format YYYY-MM-DD																	
FileName	Format as File structure and submission, above.																	
xml_name	Name of file to be retrieved																	
last_FileName	Name of last file retrieved. Used to resume a search exceeding result limits.																	
<p>Transport binding</p>	<p>The methods defined below are using Document binding (BasicHttpBinding_ISoapApiDocument).</p>																	
<p>Change password</p>	<p>To change your first-access password or to set a new password.</p>																	

	<p>Syntax: change_password_ex(string user, string password, string new_password)</p> <p>Returns: 0 (zero) = request accepted Integer less than zero = error.</p>
<p>Send XML file</p>	<p>To submit an S052, S070 or S071 file with SFT records.</p> <p>Syntax: send_xml_ex(string user, string password, string loaded_xml, string FileName)</p> <p>Returns: 0 (zero) = request accepted Error string + error description = invalid file.</p>
<p>Retrieve list of file names by date period</p>	<p>To request the list of available files for a particular period of up to 5 working days, start date (xml_date) and end date (xml_date_to) included.</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: get_xml_list_ex(string user, string password, date xml_date, date xml_date_to)</p> <p>Returns: output parameter xml_list = list of filenames 0 (zero) or greater = request accepted, number of files found</p>
<p>Request list of all available files</p>	<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 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: get_complete_list_ex(string user, string password)</p>

	<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> <p>get_complete_list_ex(string user, string password, string last_FileName)</p> <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 will be returned with this method. See also Best practices below.</p> <p>Syntax:</p> <p>recover_xml_ex(string user, string password, date xml_date, string xml_name)</p> <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 will be returned with this method. See also Best practices below.</p> <p>Syntax:</p> <p>recover_xmls_ex(string user, string password, date xml_date)</p> <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>

Best practices

<p>Sending message files</p>	<p>Include as many messages as possible in each submission file. Reason: minimises the</p>
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	number of connections needed.
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 SFTR 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	Leave as much time as possible between connections. Reason: this minimises the number of checking and message retrieval connections.

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 <code>RECOVER_XML_EX</code> to retrieve the files one by one.
	-11	The connections established have exceeded the timeframe threshold between connections with the same method.

BPAPIEx

Note : Scheduled for production implementation in the third quarter of 2025.

This section covers:	<ol style="list-style-type: none"> 1. Introduction 2. Access to the API 3. REGIS-TR API endpoints 4. API endpoints: best practice 5. API error codes.
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Introduction

API RESTFUL	<p>The API Service enables interoperable machine-to-machine communications using the open standards JSON, HTTPS, REST.</p> <p>The use of these standards on a services platform enables client and service applications to communicate via multiple platforms and development languages.</p>
API	<p>API Description Language</p> <p>Describes the external interface of the service.</p> <p>Participants may request a Swagger file for the SFTR service to REGIS-TR SFTR Support team.</p> <p>Note: There is one Swagger file for each environment (UAT and Production).</p>
Migrating to API REST	<p>REGIS-TR will discontinue the legacy SOAP API service in benefit of API REST, which provides developers worldwide more control on the API with less effort.</p> <p>The change from SOAP API to API REST implies:</p> <ol style="list-style-type: none"> 1. New endpoints 2. New authentication server 3. New message structures
EndPoints	<p>Use the following URLs to open a connection:</p> <ul style="list-style-type: none"> • UAT environment: https://api-preprod.np.regis-tr.com/eu/sftr/file-processing/v1/ • Production environment: (To be confirmed)
Test connectivity to EndPoint	<p>Users may verify the access to the URLs using a CURL:</p> <p>Curl -v -k https://api-preprod.np.regis-tr.com/eu/sftr/file-processing/v1/</p> <p>Note: Machine-to-machine communication requires a technical user, for which credentials are necessary. Without them, it is possible to verify the connectivity, with a return error code 403 (Unauthorized)</p>

<p>Registration and access credentials</p>	<p>If you plan to use the new API service, please contact REGIS-TR's Account Setup Team for system registration and access credentials.</p> <p>Notes:</p> <ul style="list-style-type: none"> • Client credentials for OAuth2 will be provided by REGIS-TR's Account Setup Team • Endpoints for OAuth token are part of our critical infrastructure • The values of the EndPoints and the credentials are different for UAT and Production
<p>Requesting token</p>	<p>You may use the following URLs to get your new access token:</p> <ul style="list-style-type: none"> • UAT and PROD environment: https://wes-idp.six-group.com
<p>Client generation</p>	<p>Customers migrating from SOAP to REST may generate their new clients using Open API: Home - OpenAPI Initiative (openapis.org)</p> <p>Note: Further information can be found in the document: regis.tr.file-processing.openapi.yaml available in the SFTR Dashboard</p>

Endpoints

<p>Introduction</p>	<p>This section sets out the methods used in the REGIS-TR API REST Service.</p> <p>The following methods enable clients to exchange reporting messages with REGIS-TR:</p> <ol style="list-style-type: none"> 7. Send file 8. Search ingestions 9. Retrieve file 10. Retrieve results 	
<p>Definitions</p>	<p>Client ID</p>	<p>Public client ID associated to a REGIS-TR customer</p>
	<p>Client Secret</p>	<p>Private pass code to get a token</p>
<p>Send XML file</p>	<p>To submit an S052, S070, S071 file with derivative records.</p> <p>Syntax:</p> <p>POST /eu/sftr/file-processing/v1/submit-files</p> <p>The body should contains a form-multipart with the file submitted. Further information can be found in the Swagger file available in the SFTR Dashboard.</p> <p>Returns:</p> <p>202 Accepted</p>	
<p>Retrieve ingestions</p>	<p>Files submitted generate ingestion objects that contain all the information associated to the</p>	

<p>produced in the system</p>	<p>file, results and status.</p> <p>Syntax:</p> <p>GET /eu/sftr/file-processing/v1/ingestions</p> <p>The operation supports query for:</p> <ul style="list-style-type: none"> - Filter pageAfter (optional): this return a list of files after the file used on this parameter <p>Returns:</p> <p>200 OK + List of paginated ingestions</p>
<p>Retrieve ingestions produced in the system within a date range</p>	<p>Syntax:</p> <p>GET /eu/sftr/file-processing/v1/resource-reference/ingestions?filter[date][GTE]={initialDate}&filter[date][LTE]={endDate}</p> <p>The operation supports query for:</p> <ul style="list-style-type: none"> - Filter initialDate (mandatory) - Filter endDate (mandatory) <p>Returns:</p> <p>200 OK + List of ingestions</p>
<p>Retrieve ingestion file content by ID</p>	<p>Ingestions reference is the unique identifier to access a given file submitted to REGIS-TR. Files can be downloaded in the endpoint:</p> <p>Syntax:</p> <p>GET /eu/sftr/file-processing/v1/ingestions/{fileName}/input-file/file-content</p> <p>Returns:</p> <p>200 OK + File in Base64 format.</p>
<p>Mark an ingestion file as downloaded</p>	<p>To provide flexibility, the file must be marked as downloaded by the client. This allows them to verify if the file has been downloaded correctly. Once the file is marked as downloaded, it will be removed from the list of available files:</p> <p>Syntax:</p> <p>POST /eu/sftr/file-processing/v1/ingestions/{fileName}/mark-read</p> <p>Returns:</p> <p>204 NO CONTENT.</p>
<p>Retrieve the list of results from the ingestion processes</p>	<p>After a file is submitted, a result file will be generated to acknowledge that the file has been processed.</p> <p>Syntax:</p> <p>GET /eu/sftr/file-processing/v1/result-files</p> <p>The operation supports query for:</p>

	<ul style="list-style-type: none"> - Filter pageAfter (optional): this return a list of files after the file used on this parameter <p>Returns: 200 OK + List of paginated result files</p>
Retrieve the list of results from the ingestion processes within a date range	<p>Syntax: GET /eu/sftr/file-processing/v1/resource-reference/result-files?filter[date][GTE]={initialDate}&filter[date][LTE]={endDate}</p> <p>The operation supports query for:</p> <ul style="list-style-type: none"> - Filter initialDate (mandatory) - Filter endDate (mandatory) <p>Returns: 200 OK + List of result files</p>
Retrieve result of the ingestion process	<p>Submitting entities may download the outcome of the ingestion processing.</p> <p>Syntax: GET /eu/sftr/file-processing/v1/result-files/{fileName}/file-content</p> <p>Returns: 200 OK + File in Base64 format.</p>
Mark a result file as downloaded	<p>To provide flexibility, the file must be marked as downloaded by the client. This allows them to verify if the file has been downloaded correctly. Once the file is marked as downloaded, it will be removed from the list of available files:</p> <p>Syntax: POST /eu/sftr/file-processing/v1/result-files/{fileName}/mark-read</p> <p>Returns: 204 NO CONTENT.</p>

Authentication server

Introduction	<p>Access to the APIs requires an OAuth authorization token. You can find further information on security with OAuth at: OAuth 2.0 — OAuth</p> <p>Contact REGIS-TR's Account Setup Team to obtain your client credentials. Once you receive them, you can obtain your authorization token via HTTPs API</p> <p>Important: Submitting entities must provide the token in the header 'Authorization' in all communications to the API</p>
Request	POST /apigw/oauth/token HTTP/1.1

	<p>Content-Type: application/x-www-form-urlencoded</p> <p>Authorization: Basic AA== {add user:password in base64}</p> <p>User-Agent: PostmanRuntime/7.28.0</p> <p>Accept: */*</p> <p>Cache-Control: no-cache</p> <p>Postman-Token: 540c5cee-b7a6-498e-8376-ccd5f55e586f</p> <p>Host: wes-idp.six-group.com</p> <p>Accept-Encoding: gzip, deflate, br</p> <p>Connection: keep-alive</p>
Response	<p>HTTP/1.1 200 OK</p> <p>Content-Type: application/json</p> <p>{"access_token":"{value}","token_type":"Bearer","expires_in":3600}</p>

Best practices

Sending message files	The files submitted to the system should not exceed 4MB.
Retrieving files from REGIS-TR	The files retrieved should not exceed 20MB. It is recommended to create a mechanism to verify the file's integrity before using the 'Mark File as Read' endpoint. Once marked as read, the file will be considered downloaded and cannot be downloaded again.
Connection frequency	Leave as much time as possible between connections. Reason: spacing out requests to REST endpoints prevents server overload and maintains stability. It also enhances error handling by ensuring each response is processed before the next call. This approach leads to a more reliable and efficient system.

Return codes

Codes and descriptions	Return code	Description
	2XX	Request accepted
	400	One or more search parameters incorrect. The request information fails in the validation of one or more parameters
	401	Unauthenticated call
	403	Unauthorized. The user does not have the proper privileges or the token is not

		valid anymore .
	404	It is not possible to find the information requested in the system
	500	Backend error in any layer

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 by the use of 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 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

	<ul style="list-style-type: none"> • 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	This section sets out the details needed to connect to the SFTP server. It covers: <ol style="list-style-type: none"> 1. UAT environment 2. Production environment
User numbers	One user only per environment.
UAT environment	<p>Hostname: ft-sftr-uat.regis-tr.com</p> <p>Port: 55222</p> <p>Username: rf + account code. Example: rfrs60a1. Note: Usernames in lower case.</p>
Production environment	<p>Hostname: ft-sftr.regis-tr.com</p> <p>Port: 55222</p> <p>Username: rp + account code. Example: rprs60a1. Note: Usernames in lower case.</p>

Server information

Server folders	Name	Purpose
	incoming	Put message files (client to REGIS-TR)
	outgoing	Get response files/reports (REGIS-TR to client)
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. 	

	<ol style="list-style-type: none"> 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. • 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	<p>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.</p>

SFTR Dashboard

Introduction	<p>Your SFTR Dashboard can be used to manually upload and download files if:</p> <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	<p>Users with read and write permissions. Note: Signature key needed.</p>
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 SFTR Dashboard 2. Select <i>File Upload</i> from the sidebar. 3. Select file, add signature key and upload the report.
Download procedure	<p>Please see Viewing and retrieving reports.</p>

VALIDATION

Introduction	Validation is performed on: <ul style="list-style-type: none"> • Submitted SFT message files, messages, SFT records and lifecycle reports. • Delegation files.
Validation rules	For the full validation rules and error codes, refer to the applicable regulatory documents.
Timing	Your SFTs are processed by REGIS-TR in the order they were recorded in each file. Note: This is regardless of which connectivity method was used to submit them.

Validation process

Report validation process	<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 ⁽¹⁾. 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 ⁽¹⁾. 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 ⁽¹⁾. If the validation is successful: <ol style="list-style-type: none"> a. The file is accepted and assigned a received timestamp, b. The Report Submitting Entity receives a RCVD status message ⁽²⁾. Note: This message is optional for the client, and c. 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 as “corrupted” and the sender is notified via the Status Advice Feedback ⁽²⁾. 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 a Status Advice Feedback message containing the validation results ⁽²⁾. This is sent within an hour of receiving the message file. <p>Notes:</p> <ul style="list-style-type: none"> • ⁽¹⁾ in the SFTR Dashboard under following section Report / Inbound / rejected files. • ⁽²⁾ in the SFTR Dashboard under following section Report / Outbound / Intraday. • When a record fails permission validation, it is rejected without further validation. • A file that is rejected due to system unavailability can be resubmitted using an
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	<p>updated file name during the hours of system availability.</p> <ul style="list-style-type: none"> • A file may have accepted status even if all records have failed the validations.
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RECONCILIATION

<p>This section covers:</p>	<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

<p>Definition</p>	<p>Reconciliation is the process of comparing the values in both sides of a dual-sided transaction.</p> <p>The second side of the SFT may have been reported to the same TR as the first side, or it may have been reported to another TR.</p>
<p>Processing sequence</p>	<p>Each client’s SFT 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.</p>
<p>Timing</p>	<ol style="list-style-type: none"> 1. The reconciliation process runs every day and is completed by 18:00:00 UTC. 2. An SFT 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 SFT is not found in REGIS-TR, the SFT record enters the external (inter-TR) process the following working day. 4. Clients receive a reconciliation status advice after the conclusion of the applicable reconciliation process.
<p>Reconcilable SFTs</p>	<p>SFTs are sent for reconciliation when the following conditions are met:</p> <ol style="list-style-type: none"> 1. Both counterparties have a reporting obligation under SFTR. 2. The SFT has been successfully validated. 3. The SFT has not received an Action Type EROR (Error). 4. The SFT has not been reconciled. 5. A lifecycle event has been received on a previously reconciled SFT. 6. The SFT:

	<ul style="list-style-type: none"> a. is currently outstanding, or b. has become non-outstanding in the past 30 calendar days.
Non-reconcilable SFTs	<p>An SFT is not sent for reconciliation if:</p> <ol style="list-style-type: none"> 1. It did not pass all validations successfully. 2. At least one counterparty does not have a reporting obligation. 3. 30 or more calendar days previously, it: <ul style="list-style-type: none"> • reached its maturity date, or • was reported with the ETRM (Termination or Early Termination) or POSC (Position Component) Action Type. 4. It is a Collateral Reuse or Margin Data report. 5. It has been reported with the EROR (Error) Action Type.
Net exposure collateral	Reconciliation status of net exposure collateral will be repeated for all SFTs included in the net exposure collateral.

Reconciliation fields

Introduction	The fields on which reconciliation is based are defined by ESMA, the regulatory body.
Phased implementation	The number of fields to be reconciled will be introduced in phases to enable entities to adapt to the reporting requirements and reconciliation rules.
Tolerances	<p>The majority of reconcilable fields must match precisely in both sides.</p> <p>There is a range of tolerance permitted in the following:</p> <ol style="list-style-type: none"> a. Timestamp fields. Example: One hour tolerance in the execution timestamp fields. b. Numerical value fields. Example: Five basis point tolerance in the Principal amount on maturity date field. c. Percentage value fields: Tolerance permitted if first three digits after the where matching up to the third digit after the decimal would be tolerated.
Further information	<p>See Reconcilable fields table, below.</p> <p>This shows the:</p> <ul style="list-style-type: none"> • reconciliation fields, and • matching rules and tolerances.

Reconciliation processes

Introduction	After confirming that the SFT is valid and reconcilable (i.e. both counterparties have
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	<p>reporting obligations), there are two main types of reconciliation:</p> <ol style="list-style-type: none"> 1. Intra-TR reconciliation: The TR has both sides of the transaction and can reconcile it in-house. This process takes place during the day when a side of the SFT is reported or updated. 2. Inter-TR reconciliation: The TR has only one side at the end of a day and takes these steps during the following day: <ol style="list-style-type: none"> a. Pairing: The TR requests the other TRs to locate the second side of the transaction b. Matching: Each TR compares the values reported in both sides and reconciles its side of the SFT. <p>Note: The reconciliation process is concluded by 18:00 UTC.</p>
<p>Intra-TR reconciliation process</p>	<ol style="list-style-type: none"> 1. The TR attempts to locate the second side of the SFT in its own database. 2. If the second side is found: <ol style="list-style-type: none"> a. The TR compares the data in the records of both sides, and b. Notifies the counterparties of the reconciliation results. 3. If the second side is not found, the TR attempts to locate the second side at another TR.
<p>Inter-TR reconciliation: pairing</p>	<ol style="list-style-type: none"> 1. The TR contacts the other SFTR-registered TRs with an <i>SFT Reporting Pairing Request</i> message (auth.078). This message includes all SFTs that: <ul style="list-style-type: none"> • Are outstanding in the records of the TR • Have become non-outstanding within the previous 30 days, and • Are currently unpaired. 2. To identify the second side of the unreconciled SFT, the <i>SFT Reporting Pairing Request</i> message contains the values for the following fields: <ul style="list-style-type: none"> • Unique Transaction Identifier • Reporting Counterparty • Other Counterparty • Master Agreement Type 3. Where another TR reports that it holds the second side of the SFT: <ul style="list-style-type: none"> • The SFT pairing statuses on both sides are set to <i>Paired</i>, and • The two TRs attempt to match their respective sides. See below. 4. If the side is not found at another TR: <ul style="list-style-type: none"> • Its status is <i>Unpaired</i>, and • The TRs repeat the Inter-TR pairing process until: <ul style="list-style-type: none"> • the second side is found, or • 30 days after the SFT has become non-outstanding.

<p>Inter-TR reconciliation: matching</p>	<p>Once the SFT has been paired, the two TRs attempt to match them.</p> <ol style="list-style-type: none"> 1. The two TRs exchange <i>SFT report matching request</i> messages (auth.079). These messages contain the values for all the reconcilable fields defined by ESMA. Further information: see Reconcilable fields table. 2. If the values can be matched within the stated tolerances: <ul style="list-style-type: none"> • The SFT can be reconciled, and • The counterparties will be notified of the reconciliation status. 3. If the matching is unsuccessful, the RSE should: <ul style="list-style-type: none"> • Review the information in its side of the SFT • If necessary, confirm the data with the other counterparty, and • If necessary, submit a modification (one or both counterparties). 4. The two TRs repeat the matching process until reconciliation is achieved. <p>Note: when matching the data of the two sides, the TRs shall be using snapshots of their respective side that were recorded at the end of the previous day.</p>
<p>Frequency: pairing and matching</p>	<ul style="list-style-type: none"> • The pairing and matching processes are repeated on every working day. • All reconciliation processes must be concluded by 18:00 UTC. • Unpaired and unmatched SFTs remain in the process until they are paired or until 30 days after the SFT has become non-outstanding.

Reconciliation of loan and collateral data

<p>Introduction</p>	<p>Loan data and collateral data are reconciled individually. Loan and collateral data are rematched when a loan or collateral update is received.</p>
<p>Reporting to REGIS-TR</p>	<p>For loan and collateral data to be reconciled, both sides must be reported at either:</p> <ul style="list-style-type: none"> • Transaction level, or • Position level. <p>If not, the SFT status is <i>Not reconciled</i>.</p>
<p>Signed values</p>	<p>The following collateral data fields can be reported with signed (positive/negative) values. As and when relevant, the two sides of the SFT shall be reported with opposite signs for these fields to match:</p> <ul style="list-style-type: none"> • 2.76 Cash collateral amount • 2.83 Collateral quantity or nominal amount • 2.88 Collateral market value
<p>Reporting to clients</p>	<p>The reconciliation reports provided to clients include individual reconciliation statuses for</p>

	both loan and collateral data. Further information: see Reconciliation statuses .
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Reconciliation process after SFT modification or update

Introduction	An SFT must be re-reconciled if it is modified or updated.
Rules	<p>The following Action Types will trigger a rerun of the reconciliation process:</p> <ol style="list-style-type: none"> 1. Modification MODI 2. Valuation update VALU 3. Collateral update COLU 4. Correction CORR 5. Termination/Early termination ETRM.
Re-reconciliation process	<p>If one of these amendments is received, REGIS-TR:</p> <ol style="list-style-type: none"> a. Sets the SFT's <i>loan reconciliation status</i> to Unreconciled b. Sets the SFT's <i>collateral reconciliation status</i> to Unreconciled <p>If REGIS-TR holds both sides of the SFT:</p> <ol style="list-style-type: none"> a. REGIS-TR re-executes the reconciliation, and b. Notifies the new reconciliation status to the client. <p>If the second side is held at another TR:</p> <ol style="list-style-type: none"> 1. REGIS-TR informs the other TR of the amendment 2. REGIS-TR and the other TR perform a new matching process 3. REGIS-TR notifies the new reconciliation status to the client.

Reconcilable fields table

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
1.3	NA-common	Reporting counterparty		No	13 July 2020
1.9	NA-common	Counterparty side		No	
1.10	NA-common	Other counterparty		No	
2.1	Loan	Unique Transaction Identifier (UTI)		No	
2.4	Loan	Type of SFT		No	
2.5	Loan	Cleared		No	

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
2.6	Loan	Clearing timestamp		One hour	11 January 2023
2.7	Loan	CCP		No	13 July 2020
2.8	Loan	Trading venue		No	
2.9	Loan	Master agreement type		No	
2.12	Loan	Execution timestamp		One hour	
2.13	Loan	Value date (Start date)		No	11 January 2023
2.14	Loan	Maturity date (End date)	Yes	No	
2.15	Loan	Termination date		No	
2.16	Loan	Minimum notice period		No	
2.17	Loan	Earliest call-back date		No	13 July 2020
2.18	Loan	General collateral Indicator		No	
2.19	Loan	Delivery By Value ('DBV') indicator		No	
2.20	Loan	Method used to provide collateral		No	11 January 2023
2.21	Loan	Open term	Yes	No	
2.22	Loan	Termination optionality	Yes	No	13 July 2020
2.23	Loan	Fixed rate	Yes	Up to third digit after decimal	
2.24	Loan	Day count convention	Yes	No	
2.25	Loan	Floating rate	Yes	No	
2.26	Loan	Floating rate reference period - time period	Yes	No	
2.27	Loan	Floating rate reference period - multiplier	Yes	No	11 January 2023
2.28	Loan	Floating rate payment frequency - time period	Yes	No	
2.29	Loan	Floating rate payment frequency - multiplier	Yes	No	

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
2.30	Loan	Floating rate reset frequency - time period	Yes	No	13 July 2020
2.31	Loan	Floating rate reset frequency - multiplier	Yes	No	
2.32	Loan	Spread	Yes	Up to third digit after decimal	
2.33	Loan	Margin lending currency amount	Yes	No	
2.34	Loan	Margin lending currency	Yes	No	
2.35	Loan	Adjusted rate	Yes	Up to third digit after decimal	11 January 2023
2.36	Loan	Rate date	Yes	No	
2.37	Loan	Principal amount on the value date		No	13 July 2020
2.38	Loan	Principal amount on the maturity date		0.0005%	
2.39	Loan	Principal amount currency		No	
2.40	Loan	Type of asset		No	
2.41	Loan	Security identifier		No	
2.42	Loan	Classification of a security		No	11 January 2023
2.43	Loan	Base product		No	
2.44	Loan	Sub - product		No	
2.45	Loan	Further sub - product		No	13 July 2020
2.46	Loan	Quantity or nominal amount		No	
2.47	Loan	Unit of measure		No	11 January 2023
2.48	Loan	Currency of nominal amount		No	13 July 2020
2.49	Loan	Security or commodity price		No	11 January 2023
2.50	Loan	Price currency		No	
2.51	Loan	Security quality		No	11 January

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
2.52	Loan	Maturity of the security		No	2021
2.53	Loan	Jurisdiction of the issuer		No	
2.54	Loan	LEI of the issuer		No	
2.55	Loan	Security type		No	
2.56	Loan	Loan value		No	11 January 2023
2.57	Loan	Market value		0.0005%	
2.58	Loan	Fixed rebate rate		Up to third digit after decimal	13 July 2020
2.59	Loan	Floating rebate rate		Up to third digit after decimal	
2.60	Loan	Floating rebate rate reference period - time period		No	11 January 2023
2.61	Loan	Floating rebate rate reference period -		No	
2.62	Loan	Floating rebate rate payment frequency - time period		No	
2.63	Loan	Floating rebate rate payment frequency - multiplier		No	
2.64	Loan	Floating rebate rate reset frequency - time period		No	
2.65	Loan	Floating rebate rate reset frequency - multiplier		No	
2.66	Loan	Spread of the rebate rate		Up to third digit after decimal	
2.67	Loan	Lending fee		No	13 July 2020
2.68	Loan	Exclusive arrangements		No	11 January 2023
2.69	Loan	Outstanding margin loan		No	13 July 2020
2.70	Loan	Base currency of outstanding margin loan		No	
2.71	Loan	Short market value		0.0005%	

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
2.72	Collateral	Uncollateralised Securities Lending ('SL') flag		No	
2.73	Collateral	Collateralisation of net exposure		No	
2.74	Collateral	Value date of the collateral		No	
2.75	Collateral	Type of collateral component		No	
2.76	Collateral	Cash collateral amount	Yes	No	
2.77	Collateral	Cash collateral currency	Yes	No	
2.78	Collateral	Identification of a security used as collateral	Yes	No	
2.79	Collateral	Classification of a security used as collateral	Yes	No	
2.80	Collateral	Base product	Yes	No	
2.81	Collateral	Sub - product	Yes	No	
2.82	Collateral	Further sub - product	Yes	No	
2.83	Collateral	Collateral quantity or nominal amount	Yes	No	13 July 2020
2.84	Collateral	Collateral unit of measure	Yes	No	11 January 2023*
2.85	Collateral	Currency of collateral nominal amount	Yes	No	13 July 2020
2.86	Collateral	Price currency	Yes	No	29 April 2022*
2.87	Collateral	Price per unit	Yes	No	
2.88	Collateral	Collateral market value	Yes	0.0005%	
2.89	Collateral	Haircut or margin	Yes	Up to third digit after decimal	13 July 2020
2.90	Collateral	Collateral quality	Yes	No	
2.91	Collateral	Maturity date of the security	Yes	No	
2.92	Collateral	Jurisdiction of the issuer	Yes	No	

* ESMA has indicated their expectation that competent authorities do not prioritise their supervisory actions related to the reconciliation of these fields prior to the dates given above

Field	Section	Field	Repeat-able	Tolerance	Reconciliation start date
2.93	Collateral	LEI of the issuer	Yes	No	
2.94	Collateral	Collateral type	Yes	No	
2.95	Collateral	Availability for collateral reuse	Yes	No	
2.96	Collateral	Collateral basket identifier		No	
2.99	Loan	Level		No	

Reconciliation statuses

<p>Results of the reconciliation processes</p>	<p>The feedback to clients of pairing and matching statuses, with aggregated number of SFTs and identification of mismatched fields, is described in the next chapter. Please, see:</p> <ul style="list-style-type: none"> • I080 – SFT Reconciliation Status Advice (Intraday) • D079 – SFT Transaction State Report • D080 – SFT Reconciliation Status Advice (End of Day) • Reconciliation status codes in the SFTR Dashboard.
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REPORTING TO CLIENTS

Introduction

Introduction	This section describes the Outbound reports sent to you by REGIS-TR.
Report types	Intraday: Sent in response to an inbound file, validation and reconciliation. End of day: Sent at the end of the day's reporting session.
Receiving reports	<ol style="list-style-type: none"> 1. Outbound reports are sent to you through the connectivity channel selected when your account was set up. 2. These reports are also displayed for a period in the <i>Outbound</i> section in your SFTR Dashboard, as below. The length of availability depends on the report. <p>Note: After this period, reports from the past 12 months can be retrieved using the Search function in the <i>Reports</i> section of your SFTR Dashboard.</p>
Reports produced over 12 months ago	These can be retrieved by request to REGIS-TR.
Access to reports after account has been closed	<p>These can be retrieved by request to REGIS-TR.</p> <p>The report will be provided after the requisite identification checks.</p>

Report/feedback cycle

Introduction	The table below shows when Outbound reports are sent.		
Reporting cycle	Process	Feedback/Report	Timing
	Client submits SFT reporting file		Within one working day of the SFT event
	REGIS-TR receives file	auth.031 SFT Status Advice Feedback Acknowledgement of file receipt.	Upon receipt
	If the file fails sender authentication	The sender receives a failure notification.	Immediate
Validation of message file and	auth.031 SFT Status Advice Feedback	Within 60	

	SFT records	<ul style="list-style-type: none"> Provides the SFT message file validation status. <p>Note: In case of rejections, error reasons are provided to the extent possible.</p> <p>Lists the accepted/rejected status of each SFT record in the SFT message. Note: Rejection error codes included where applicable.</p>	minutes of SFT message receipt
	Reconciliation process	<p>auth.080 SFT Reconciliation Status Advice (Intraday) Feedback</p> <p>Provides pairing and reconciliation status of SFTs.</p>	Within 60 minutes of the completion of the reconciliation process
	After end of reporting session	<p>auth.084 SFT Rejection Reason Report</p> <ul style="list-style-type: none"> Lists each SFT rejected that day, plus rejection reasons. 	After close of the working day,
<p>auth.052/070/071 SFT Daily Activity Report</p> <p>Lists all accepted SFTs reported that day.</p>			
<p>auth.079 SFT Transaction State Report</p> <ul style="list-style-type: none"> Current trade state of each outstanding SFT in the client's account. <p>Includes reconciliation statuses.</p>			
<p>auth.085 SFT Margin Data Transaction State Report</p> <p>Current state of all outstanding margin data records</p>			
<p>auth.086 SFT Reused Collateral Data Transaction State Report</p> <ul style="list-style-type: none"> Current state of all outstanding reused collateral data records 			
<p>auth.083 SFT Missing Collateral Request</p> <p>Each outstanding SFT that does not include required collateral information.</p>			
<p>auth.080 SFT Reconciliation Status Advice</p>			

	Reconciliation status of each outstanding SFT in the client's account.
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Intraday reports

Introduction	<p>These automatically generated reports are sent in response to an SFT submission, validation or other process.</p> <p>These are:</p> <ol style="list-style-type: none"> 1. auth.031: SFT Status Advice Feedback 2. auth.080: SFT Reconciliation Status Advice Feedback
Availability	<ul style="list-style-type: none"> • Available for two working days in the Outbound Reports page in your SFTR Dashboard. • After that period, the message can be retrieved using the Dashboard query function.

I031 – SFT Status Advice Feedback

Purpose	<ol style="list-style-type: none"> 1. Provides the validation status in two levels: <ul style="list-style-type: none"> • the S052, S070 or S071 message file submitted, and • the individual SFT records in the file. 2. When the message file is rejected, the Status Advice Feedback provides error feedback to the extent technically possible. 3. When a transaction has been rejected, the Status Advice Feedback provides information on the error. <p>Notes:</p> <ul style="list-style-type: none"> • 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. • The original record ID <OrgnlRcrdId> element in the Status Advice Feedback is used by REGIS-TR to quote the reference provided in the technical record ID <TechRcrdId> element of the submitted message file. When reports are submitted on behalf of a Reporting Counterparty or Entity Responsible for Reporting that is also a REGIS-TR client, it is essential to define technical record IDs that give meaningful record references to the delegating entity as it will also receive the Status Advice Feedback.
Time sent	Within 60 minutes of message file receipt.
ISO message	auth.031

Format	XML.			
Status codes	Code	Name	File or Both file and record level	Further information
	ACPT	Accepted	B	The file or record has been accepted.
	CRPT	Corrupted File	F	File is unreadable, for example it failed the XML schema validation.
	INCF	Incorrect Filename	F	File has incorrect filename and is rejected.
	PART	Partially Accepted	F	File contains accepted and rejected records.
	RCVD	Received	F	File received by REGIS-TR, status optionally available to the Report Submitting Entity only.
	RJCT	Rejected	B	File or record has been rejected.
	WARN	Warning	F	File processing suspended.
Distribution	<p>Record level statuses are available to the reporting account of:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report <p>File and record level statuses are returned to the Report Submitting Entity.</p>			

I080 – SFT Reconciliation Status Advice (Intraday)

Purpose	<p>1. Provides the results of the first reconciliation process on:</p> <ul style="list-style-type: none"> • New SFTs submitted within the previous day, and • SFTs resubmitted on the previous day with an Action Type that triggered a re-reconciliation. <p>2. Lists:</p> <ul style="list-style-type: none"> • the number of the client’s SFTs sent for reconciliation assigned per reconciliation status. <p>Note:</p> <ul style="list-style-type: none"> • This is a delta report that contains the latest reconciliation status based on the submissions made on the previous processing day. • For reconciliation information on unpaired SFTs, refer to the SFT Transaction State
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	Report (auth.079).
Time sent	Sent every day within an hour of the conclusion of the reconciliation process.
ISO message ID	auth.080
Format	XML.
Content	<ol style="list-style-type: none"> 1. Summary information, numbers of SFTs per reconciliation status : <ol style="list-style-type: none"> a. UNPR: includes the unpaired loan(s) b. PARD: includes the paired loan(s) and the loan(s) with mismatches in both the Loan and Collateral fields c. RECO: includes records with both the Loan and Collateral fields successfully reconciled d. LNRC: includes records where the loan is matched and reconciled, but the reconciliation of the Collateral fields has failed e. CLRC: includes records where, the reconciliation of the Collateral fields is successful, and the reconciliation of the Loan fields has failed 2. Repeated for SFTs that have entered or are not part of the matching process: <ol style="list-style-type: none"> a. References and relevant party IDs b. Reconciliation status, either a no reconciliation required indicator, or: <ol style="list-style-type: none"> i. Matched indicator, or ii. Not matched: <ul style="list-style-type: none"> • Counterparty 1 ID • Counterparty 2 ID, and one or more of the following: <ul style="list-style-type: none"> ▪ Details on counterparty side disagreement ▪ Details on one or more loan details in disagreement, and/or ▪ Details on one or more collateral details in disagreement.
Distribution	<p>Available to the reporting account of:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity.

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 Outbound Reports page in your SFTR Dashboard. • After that period, the message can be retrieved using the Dashboard query function.

D052, D070 and D071 – SFT Daily Activity Reports

Purpose	Provides details of all accepted SFTs submitted on the day of the report from: <ul style="list-style-type: none"> the client’s reporting account, and/or the reporting account(s) of any entity delegated by the client. 	
Time sent	After close of working day.	
ISO messages	<ul style="list-style-type: none"> auth.052 auth.070 auth.071 	
Format	XML.	
Content	The report contains the details submitted in each accepted SFT, as below. Note: SFTs are listed in the order in which they were reported.	
	Counterparty and collateral data	Table 1: Fields 1-18 & Table 2: Fields 1-99
	Margin data	Table 3: Fields 1-20
	Reuse data	Table 4: Fields 1-18
Distribution	Available to the accounts of: <ul style="list-style-type: none"> Reporting Counterparty Entity Responsible for the Report Report Submitting Entity. 	

D079 – SFT Transaction State Report

Purpose	Provides the latest transaction state information for all the client’s outstanding SFTs. Note: Does not include transactions amended with an Action Type: Error, Position Component or Termination.
Time sent	After close of working day.
ISO messages	auth.079
Format	XML.
Content	For each outstanding SFT, the reports show the end of the day’s transaction state details, including reconciliation information.

	Reconciliation statuses	
	Category	Values
	Report type	Single-sided/Dual-sided
	Reporting requirement for both counterparties	Yes/No
	Pairing status	Paired/Unpaired
	Further modifications	Yes/No
Distribution	Available to the accounts of: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity. 	

D080 – SFT Reconciliation Status Advice (End of Day)

Purpose	<ol style="list-style-type: none"> Provides the current reconciliation status of all the client’s SFTs that: <ul style="list-style-type: none"> • are outstanding, or • has become non-outstanding within the past 30 days. Exception: SFTs that have received an Action Type Error. Lists: <ul style="list-style-type: none"> • the number of the client’s SFTs sent for reconciliation assigned per reconciliation status. <p>Notes:</p> <ul style="list-style-type: none"> • This is a complete report containing the latest reconciliation regardless of when was the last reconciliation status update. • For the SFTs reconciled Intra-TR, the values of the SFTs shown in this report are as per the Registered Data of the current REGIS-TR working day. • For the SFTs reconciled Inter-TR, the values of the SFTs shown in this report are as per the Registered Data of the previous REGIS-TR working day. • For reconciliation information on unpaired SFTs, refer to the SFT Transaction State Report (auth.079).
Time sent	After close of working day,
ISO message	auth.080
Format	XML.

<p>Content</p>	<ol style="list-style-type: none"> 1. Summary information, numbers of SFTs per reconciliation status : <ol style="list-style-type: none"> a. UNPR: includes the unpaired loan(s) b. PARD: includes the paired loan(s) and the loan(s) with mismatches in both the Loan and Collateral fields c. RECO: includes records with both the Loan and Collateral fields successfully reconciled d. LNRC: includes records where the loan is matched and reconciled, but the reconciliation of the Collateral fields has failed e. CLRC: includes records where, the reconciliation of the Collateral fields is successful, and the reconciliation of the Loan fields has failed 2. Repeated for SFTs that have entered or are not part of the matching process: <ol style="list-style-type: none"> a. References and relevant party IDs b. Reconciliation status, either a no reconciliation required indicator, or: <ol style="list-style-type: none"> i. Matched indicator, or ii. Not matched: <ul style="list-style-type: none"> • Counterparty 1 ID • Counterparty 2 ID, and one or more of the following: <ul style="list-style-type: none"> • Details on counterparty side disagreement • Details on one or more loan details in disagreement, and/or • Details on one or more collateral details in disagreement.
<p>Distribution</p>	<p>Available to the reporting account of:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity.

D083 – SFT Missing Collateral Request

<p>Purpose</p>	<p>Sent when the client has submitted an auth.052 Counterparty, Loan and Collateral Data message containing records showing:</p> <ul style="list-style-type: none"> • Table 2 Field 72 Uncollateralised SL flag: FALSE, but • Table 2 Fields 73-96 (collateral data): not yet populated. 					
<p>Time sent</p>	<p>After close of working day.</p>					
<p>ISO message</p>	<p>auth.083</p>					
<p>Format</p>	<p>XML.</p>					
<p>Content</p>	<p>Each SFT that did not contain collateral information is identified as follows:</p> <table border="1" data-bbox="368 1921 1430 1993"> <thead> <tr> <th data-bbox="368 1921 882 1993">Field</th> <th data-bbox="882 1921 1430 1993">Details reported</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> </tr> </tbody> </table>		Field	Details reported		
Field	Details reported					

	Reporting Counterparty	Table 1 Field 3
	UTI	Table 2 Field 1
	Other Counterparty	Table 1 Field 11
	Master Agreement type	Table 2 Field 9
Distribution	Available to the accounts of: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity. 	

D084 – SFT Rejection Reason Report

Purpose	This report provides statistics on the SFTs submitted on the day of the report: <ol style="list-style-type: none"> Number of files received, accepted, rejected Number of SFTs received, accepted, rejected. For rejected SFTs: UTI and rejection error code. 	
Time sent	After close of working day.	
ISO message	auth.084	
Format	XML.	
Content	Field	Details reported
	Number of files received	Numeric value
	Number of files accepted	Numeric value
	Number of files rejected	Numeric value
	Number of files rejected per error	Numeric value
	<ul style="list-style-type: none"> • File identification 	Textual value
	<ul style="list-style-type: none"> • Rejection reason 	Error code
	<ul style="list-style-type: none"> • Rejection description 	Error description
	Number of SFTs received	Numeric value
	Number of SFTs accepted	Numeric value

	Number of SFTs rejected	Numeric value
	<ul style="list-style-type: none"> • Identification of the SFT 	Dataset
	<ul style="list-style-type: none"> • Rejection reason 	Error code
	<ul style="list-style-type: none"> • Rejection description 	Error description
Distribution	Available to the accounts of: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity. 	

D085 – SFT Margin Data Transaction State Report

Purpose	Provides the latest state information for all the client’s outstanding margin data reports. Note: This does not include reports amended with an Action Type: Error.	
Time sent	After close of working day.	
ISO message ID	auth.085	
Format	XML.	
Distribution	Available to the accounts of: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity. 	

D086 – SFT Reused Collateral Data Transaction State Report

Purpose	Provides the latest state information for all the client’s outstanding Reused Collateral reports. Note: This does not include transactions amended with an Action Type: Error.	
Time sent	After close of working day.	
ISO message	auth.086	
Format	XML.	
Distribution	Available to the accounts of: <ul style="list-style-type: none"> • Reporting Counterparty 	

	<ul style="list-style-type: none"> Entity Responsible for the Report Report Submitting Entity.
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Viewing and retrieving reports

Introduction	Use the <i>Reports</i> section on the SFTR Dashboard to search for, view and export all reports made available on your SFTR Dashboard in the last 12 months. Note: Your reports are available here regardless of the channel used to upload them.
Options	<p>The <i>Reports</i> section has three options:</p> <ol style="list-style-type: none"> Search: Search for SFT reports. Inbound: <ul style="list-style-type: none"> View SFTs submitted in the last 15 days. Outbound: <ul style="list-style-type: none"> View recent reports sent to you by REGIS-TR Search for older reports sent to you by REGIS-TR.

Search reports

Start Search	<ol style="list-style-type: none"> Select <i>Search</i>. Select from: <ul style="list-style-type: none"> Transaction Report Margin Data Report Reused Collateral Data Report Select: <ul style="list-style-type: none"> Trade state, or Lifecycle. 	
Permissions	The reports that can be retrieved depend on the user's account type:	
	Account	Access permission
	Reporting Participant (RS)	<p>SFTs to which the account holder is the:</p> <ul style="list-style-type: none"> Report Submitting Entity Reporting Counterparty, or Entity Responsible for the Report.
	Third Party (TS or ES)	SFTs to which the account holder is:

		<ul style="list-style-type: none"> Report Submitting Entity, or Entity Responsible for the Report.
	Non-Reporting Entity (NE)	SFTs to which the account holder is: <ul style="list-style-type: none"> Reporting Counterparty, or Entity Responsible for the Report.
Search for SFT Report	In the Search fields, enter at least one of the following: <ol style="list-style-type: none"> UTI or Reporting Date Reporting Counterparty or RSE. 	
Search for Margin Data Report	In the Search fields, enter at least one of the following: <ol style="list-style-type: none"> Portfolio Code Reporting Date Reporting Counterparty 	
Search for Collateral Reuse Report	In the Search fields, enter at least one of the following: <ol style="list-style-type: none"> Reporting Date Reporting Counterparty 	
Search results	<ol style="list-style-type: none"> The SFTR Dashboard will return a 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 report, click its UTI field in the results list. To download a report, use the <i>Download</i> button and select XML or CSV format. 	
REGIS-TR Reconciliation status codes	The trade state option provides a reconciliation status as per the following:	
	Status code	Description
	NNTR	No need to reconcile at least one counterparty has no reporting obligation
	NREC	Not yet reconciled: awaiting reconciliation
	PAIR	Paired: paired successfully
	RECO	Reconciled: Both loan and collateral matched successfully
	LFAL	Loan failed: one or more mismatches in Loan fields
	CFAL	Collateral failed: one or more mismatches in Collateral fields
FAIL	Failed: mismatches in both Loan and Collateral fields	

Inbound

Introduction	Use the Inbound Reports section to view and export SFT submissions made to REGIS-TR in the last 15 days. Note: The reports provided are exactly as you submitted them.
Search for reports	<ol style="list-style-type: none"> 1. Select validation status. 2. Search by Inbound message type and date range. 3. Select from the Search results using the filters provided. 4. To view/export the full report, select the Report name.

Outbound

Introduction	<p>Use the Outbound option to view and export reports sent to you by REGIS-TR.</p> <p>This option enables you to:</p> <ul style="list-style-type: none"> • View the reports currently available on your SFTR Dashboard, and/or • Search for reports generated in the past year that are no longer available on your Dashboard.
Availability of reports on SFTR Dashboard	<p>Intraday: 2 working days</p> <p>End of day: 6 working days</p>
Search for a report	<p>To view/export a specific report:</p> <ol style="list-style-type: none"> 1. Select Intraday or Daily 2. Search by date range and Report Type. 3. Select from the Search results using the filters provided. 4. To view/export the full report, select the Report name.

Report status view on the SFTR Dashboard

Introduction	Your SFTR Dashboard offers a graphic view of reporting activity by status.
Report status	<p>This displays:</p> <ol style="list-style-type: none"> 1. Graphs showing the numbers of your submitted SFT messages in the current working day by status: <ul style="list-style-type: none"> • <i>Total</i>. Expandable to display number of files by status. • <i>Accepted</i>. Click <i>View Details</i> for redirection to Reports/Inbound Reports/Accepted Files • <i>Pending</i>. • <i>Rejected</i>. Click <i>View Details</i> for redirection to Reports/Inbound Reports/Rejected

Files

- *Reconciled/Unreconciled.*
2. Graph as above showing the last 7 days' submissions by status.
 3. Sortable list of recent SFT submissions showing:
 - *Filename*
 - *Status (Accepted/ Pending/Rejected/Reconciled/Unreconciled)*
 - *Reception timestamp.*

Search tool: displays sortable results list in groups of 10, 25, 50 or 100 per page.

ACCOUNT SETUP SERVICES

Introduction

<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 reporting to REGIS-TR under SFTR have two options for account setup. Either: <ol style="list-style-type: none"> a. REGIS-TR performs the account setup on behalf of the client (available for Production account setup only), or b. The client sets up its own accounts and users on its SFTR Dashboard.
<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. Alternatively, request an account online on the REGIS-TR website. 3. 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 solution and other testing, or • Production environment for the live SFT reporting service. Note: Also provides access to the UAT environment.
<p>Central Coordinator</p>	<p>Entities are required to have at least 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 • has permissions to set up new accounts and add, modify and deactivate account users. <p>Note: An account may have a maximum of three Central Coordinators.</p>
<p>This chapter covers:</p>	<ol style="list-style-type: none"> 1. Apply for an account to be set up by REGIS-TR 2. Apply for an account to be set up by the client 3. The Central Coordinator 4. Account and user management.

Apply for an account to be set up by REGIS-TR

<p>This section covers:</p>	<p>Apply for a Production Account</p>
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Apply for a Production account

Contact REGIS-TR	<ul style="list-style-type: none"> • Contact your Relationship Manager if you have one, or • Contact our Client Services team. <p>Note: You can also request an account online on the REGIS-TR website. (Recommended.)</p>
Account set-up options	<p>REGIS-TR will ask you to choose one of the following:</p> <ol style="list-style-type: none"> 1. Your Central Coordinator will set up the account, or 2. REGIS-TR will set up your account on your behalf. Note: If you choose to set up your accounts on your own behalf, please follow the steps in Apply for an account to be set up by the client, below.
New clients: Documentation request	<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. SFTR Application form (Appendix 2). Note: This includes the information needed to create your Central Coordinator. 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 e. SEPA mandate for direct debit payments. <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-authorized translation into one of these languages. <ol style="list-style-type: none"> 4. Complete, print, sign and return these documents by post to the address on the SFTR Application Form.
Current REGIS-TR clients (non-SFTR): Documentation request	<p>If you are a REGIS-TR client for a different service and wish to subscribe to our SFTR 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:

	<ul style="list-style-type: none"> a. Agreement relating to your requested REGIS-TR account type, and b. SFTR Application form (Appendix 2). Note: This includes the information needed to create your Central Coordinator. <p>3. A request for copies of any of the following, if they have been updated since you last provided them to REGIS-TR:</p> <ul 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 e. SEPA mandate for direct debit payments.
<p>Account setup</p>	<p>Once your documentation has been verified, REGIS-TR will:</p> <ul style="list-style-type: none"> 1. Set up your account in the secure Production environment 2. Create access credentials for your Central Coordinator, and 3. Send an email to your Central Coordinator with a password set-up link. <p>Note: Production account clients also have access to the UAT environment.</p>

Apply for an account to be set up by the client

<p>This section covers</p>	<ul style="list-style-type: none"> 1. Apply for a UAT account 2. Apply for a Production account
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Apply for a UAT account

<p>Introduction</p>	<p>This section explains how to apply online for access to the SFTR UAT environment.</p>
<p>Contact REGIS-TR</p>	<p>Request an account online on the REGIS-TR website; Login > Test Environments > SFTR Onboarding.</p>
<p>Information and account request</p>	<ul style="list-style-type: none"> 1. Select <i>Apply for a UAT account</i>. 2. Choose from the following options: <ul style="list-style-type: none"> a. <i>Choosing the right Account type</i>. This displays the Decision tree showing the account types available. Select any of the account types for a description of the account features. b. <i>UAT Account opening process</i>. This displays the procedure for opening the account. <p>Note: This section includes an explanation of the role of the Central Coordinator.</p>

	<p>c. <i>Open a UAT account.</i></p> <p>To open the account, select this option and follow the steps below.</p>
SFTR UAT Access Request	The <i>Open a UAT account</i> screen displays the <i>SFTR UAT Access Request</i> .
Complete SFTR UAT Access Request	<ol style="list-style-type: none"> 1. Complete and submit the form as follows: <ol style="list-style-type: none"> a. Enter your corporate email address b. Select Account type. Notes: <ul style="list-style-type: none"> • you may open one or more Account types • you may not open both a Reporting Participant and a Non-Reporting Entity account. c. The screen shows that the application is for the UAT environment. 2. The screen will show a confirmation when the request is received. 3. You will also receive a link to the Central Coordinator setup form.
Central Coordinator setup form	<ol style="list-style-type: none"> 1. Follow the link to Set up the first Central Coordinator. 2. Complete the form and submit.
SFTR Access	<ol style="list-style-type: none"> 1. If the Central Coordinator Setup Form is successfully validated, REGIS-TR provides you with a link to set up your password to the Central Coordinator Dashboard. Further information: see Create Central Coordinator password. 2. You can now use the Central Coordinator Dashboard to set up an SFTR UAT account. Further information: see Set up a new account. 3. If the account request is accepted, you will receive an account code. 4. You can now set up UAT account users.

Apply for a Production account

Introduction	This section explains how to apply online for accounts in the live SFTR Production environment. Note: An account in the Production environment also gives you automatic access to the UAT environment.
Contact REGIS-TR	<ol style="list-style-type: none"> 1. Go to Request an account online on the REGIS-TR website. 2. Select <i>Clients</i>.
Information and account request	<ol style="list-style-type: none"> 1. Select <i>SFTR Onboarding</i> on the REGIS-TR website by navigating to Login > Production. 2. Choose from the following options: <ol style="list-style-type: none"> a. Choosing the right Account type.

	<ul style="list-style-type: none"> • This displays the Decision tree showing the account types available. • Select any of the account types for a description of the account features. <p>b. Production Account opening process.</p> <p>This displays the procedure for opening the account.</p> <p>Note: This section includes an explanation of the role of the Central Coordinator.</p> <p>c. Open a Production account.</p> <p>To request the account, select this option and follow the steps below.</p>
<p>Production Account Request Form</p>	<ol style="list-style-type: none"> 1. The <i>SFTR – Onboarding Request</i> screen displays the Production Account Request Form. 2. Complete the form as follows: <ol style="list-style-type: none"> a. Enter your corporate email address b. Select Account type. Note: Select one or more account types. c. Select/Deselect <i>Automatic onboarding</i>. d. Select/Deselect <i>Are you a current REGIS-TR client?</i> <p>Next step</p> <p>If you are not a REGIS-TR client:</p> <p>See New clients: Confirmation message and documentation request, below.</p> <p>If you are an existing REGIS-TR client:</p> <p>See Current clients: Confirmation message and documentation request, below.</p>
<p>New clients: Confirmation message and documentation request</p>	<p>If you are not currently a REGIS-TR client, 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. SFTR Application form (Appendix 2). Note: This includes the information needed to create your Central Coordinator. 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 six months c. Excerpt from company register including certificate of residency, dated within the last six months d. Up to date official list of authorised signatures, plus specified authentication information. e. SEPA mandate for direct debit payments. <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

	<ul style="list-style-type: none"> • for each document, a legally authorised translation into one of these languages. <p>4. Complete, print, sign and return these documents by post to the address on the SFTR Application Form.</p>
<p>Current REGIS-TR clients (non-SFTR): Confirmation message and documentation request</p>	<p>If you are a REGIS-TR SFTR client for a different service and wish to subscribe to our SFTR 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. SFTR Application form (Appendix 2). Note: This includes the information needed to create your Central Coordinator. 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 e. SEPA mandate for direct debit payments.
<p>Account setup</p>	<ol style="list-style-type: none"> 1. REGIS-TR validates your documents. 2. If these are accepted, REGIS-TR provides the Central Coordinator with a link to set up the first Central Coordinator. 3. The Central Coordinator completes and submits the information requested. 4. If this is successfully validated, REGIS-TR provides the Central Coordinator with a link to password setup. Further information: see Create Central Coordinator password. 5. The Central Coordinator sets up the password and gains access to the Central Coordinator dashboard. 6. The Central Coordinator can now set up new account(s) on the Central Coordinator Dashboard. Further information: see Set up a new account. 7. If the account request is accepted, the Central Coordinator receives an account code. 8. The Central Coordinator can now begin to set up additional Production account users.

The Central Coordinator

<p>This section covers:</p>	<ol style="list-style-type: none"> 1. Introduction 2. Set up the first Central Coordinator
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3. Create Central Coordinator password

Introduction

<p>Role of the Central Coordinator</p>	<ol style="list-style-type: none"> The Central Coordinators are the only users with authorisation to: <ul style="list-style-type: none"> set up, modify and close client accounts add new account users modify users' details cancel users' access manage and schedule reports for clients. A Central Coordinator has responsibility for specified accounts and their users. One Central Coordinator also acts as the main point of contact for your entity's communications with REGIS-TR. Each environment – Production and UAT – has its own Central Coordinator and Central Coordinator Dashboard. Each account may have a maximum of three Central Coordinators. The same person can be the Central Coordinator for more than one environment, but permissions cannot be transferred between environments.
<p>Appointment of the first Central Coordinator</p>	<ol style="list-style-type: none"> The first Central Coordinator is appointed and authorised during the onboarding process for clients opening an account in any environment. The first Central Coordinator may add further Central Coordinators after the first account has been set up.
<p>Central Coordinator permissions</p>	<ol style="list-style-type: none"> Central Coordinators can be authorised to perform user management tasks on multiple accounts linked to the same LEI. Central Coordinator permissions are granted individually for specific accounts. The Central Coordinator has no access to user or account management features on other accounts Central Coordinators cannot upload/download reports or make queries.
<p>Central Coordinator Dashboard Area</p>	<ol style="list-style-type: none"> The Central Coordinator has a secure Central Coordinator Dashboard on the client's SFTR Dashboard. This Dashboard cannot be accessed by other users or other Central Coordinators. All requests to the Central Coordinator to open, modify or deactivate accounts or users are displayed on this Dashboard. Note: Requests are displayed in printable format. Where a Central Coordinator makes an update to an account, the update will appear

	in the Dashboards of the account’s other Central Coordinators.
Creation of new Central Coordinators	The client may designate a read or read/write user as Central Coordinator of a different account.
Central Coordinator expiry	Central Coordinators that are not linked to any account may be deactivated. In this case, you will receive a notification email before the deactivation takes place.
Security and verification	<ol style="list-style-type: none"> 1. REGIS-TR’s Account Set-Up Team verifies all account management requests submitted by the Central Coordinator. 2. When a Central Coordinator makes an account request, REGIS-TR returns a notification stating whether the request has been accepted or rejected.

Set up the first Central Coordinator

Introduction	<p>This section explains how to set up the first Central Coordinator.</p> <p>Note: When the first Central Coordinator is set up, this person will be able to set up further Central Coordinators on the Central Coordinator Dashboard.</p>	
Applies to:	New REGIS-TR clients.	
Before you start	<ul style="list-style-type: none"> • You have completed an account application process, and • Received an email with the link to set up the Central Coordinator. 	
First Central Coordinator Details	Follow the link in the email to open the Central Coordinator Setup Form. Complete the fields below and submit.	
	Central Coordinator First Name*	Maximum 50 alphanumeric characters.
	Central Coordinator Surname*	Maximum 50 alphanumeric characters.
	Central Coordinator landline number*	Numbers only
	Central Coordinator mobile number	Numbers only
	Central Coordinator corporate e-mail*	Do not include blank spaces
	Setup date*	Today’s date

	*Mandatory field
Validation	<ol style="list-style-type: none"> 1. If your Central Coordinator setup request is accepted, you will receive an email with a link to set up your password. 2. If the setup request is rejected, you will receive an email with the reason for the rejection.

Create Central Coordinator password

This section applies to:	First Central Coordinator.
Create password	<ol style="list-style-type: none"> 1. Follow the link in the email provided when your Central Coordinator account was set up. 2. Enter your username. Note: This is your corporate email address. 3. Enter a new password. 4. Your password must: <ol style="list-style-type: none"> a. Contain 8 or more characters b. Include at least one character from three of the following categories: <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. 5. Submit the request. 6. You will receive a confirmation email with a link to sign in to the Central Coordinator Dashboard. <p>Important:</p> <ol style="list-style-type: none"> 1. Your user profile will be blocked if: <ol style="list-style-type: none"> a. You do not sign in for the first time within 72 hours of the time the email was sent. b. At any future time, you do not sign into your Central Coordinator Dashboard for 90 consecutive days. 2. If your user profile is blocked, contact the Account Setup Team.

Account and user management

Introduction	The Central Coordinator is responsible for account and user management. These functions are performed through the Central Coordinator Dashboard.
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This section applies to:	Central Coordinator
This section covers:	<ol style="list-style-type: none"> 1. Central Coordinator Dashboard 2. The Request Panel 3. The Account Panel <ol style="list-style-type: none"> a. Set up a new account b. Modify an account c. Close an account d. Deactivation of UAT account due to inactivity 4. The User Management Panel <ol style="list-style-type: none"> a. User profiles and permissions b. Usernames and Account codes c. Add, modify or deactivate Account users d. Reset user password 5. The Central Coordinator Management Panel Add new, modify or deactivate Central Coordinator 6. The User and CC Panel 7. The View CC Details Panel 8. Reports management 9. Create Test LEI.

Central Coordinator Dashboard

Introduction	The Central Coordinator Dashboard is used for all aspects of account and user management.	
Dashboard options	Panel options	Purpose
	Request Panel	Lists account/user requests made to the Central Coordinator.
	Account Panel	Modify existing account Close account
	User and CC Panel	Add new, modify and deactivate users Add new, modify and deactivate Central Coordinators
	View Central Coordinator details	View and modify Central Coordinator own details.

The Request Panel

Introduction	The Request Panel displays all requests received by the Central Coordinator.		
Location	The Request Panel is located on the opening screen of the Central Coordinator Dashboard.		
Request types	Request name	Description	Possible statuses
	Account modification request PROD	Request to modify mandatory Account Detail and/or Central Coordinator fields	<ul style="list-style-type: none"> • Pending ASUT • Accepted • Rejected
	Account modification notification UAT/PROD	Notification of changes made to: <ul style="list-style-type: none"> • non-mandatory Account or CC fields in UAT/PROD, or • mandatory Account or CC fields in UAT. 	N/A
	Account opening request UAT/PROD	The client has requested a new account in UAT or PROD	<ul style="list-style-type: none"> • Pending ASUT • Accepted • Rejected
	Delegated account opening notification UAT/PROD	The CC has requested REGIS-TR to set up a new account on its behalf.	N/A
	Account closure request UAT/PROD	The client has requested the closure of an account.	<ul style="list-style-type: none"> • Pending ASUT • Accepted • Rejected
	User creation/deactivation notification	A user has been created or deactivate.	N/A
	Delegated CC/User creation notification UAT/PROD	The CC has requested REGIS-TR to set up a new CC or user on its behalf.	N/A
	User modification notification	A user's details or permissions have been modified.	N/A
	CC creation/deactivation request	A CC has requested the creation or deactivation of another CC.	<ul style="list-style-type: none"> • Pending ASUT • Accepted • Rejected

Request details	Click on the request to view the request details:	
	Field	Example
	Request ID	RQ1111
	Request name	Account opening request UAT/PROD
	Related entity name	EntityXYX
	Username of requesting CC	CCUsername123
	Date of creation	12/06/2020
	Status	<Pending ASUT>
	Flow Log	Accepted by Username on 12/01/2018
	Date of last status change	13/01/2018
	Modification reason	
Additional info		
View full request list	<ol style="list-style-type: none"> The ten most recent requests are displayed in the request list, along with their current status. Select the <i>See More</i> button for a full scrollable list. 	
Archive completed requests	<ol style="list-style-type: none"> Requests with the status <i>Accepted</i> or <i>Rejected</i> are considered complete. Use the <i>Archive</i> button to move completed requests to the request log. 	
View request log	<ol style="list-style-type: none"> Select the <i>Log</i> button to view a list of the completed requests in the log. Click on the status of a request to see its full details. 	

The Account Panel

Location	The Account Panel can be located from the opening screen of the Central Coordinator Dashboard.
Account Panel Options	<ul style="list-style-type: none"> Create New Account Search for Account by LEI Search for Account by Account Code Accounts linked to the Central Coordinator. These are listed by LEI and Account Code.
Find an account	<ol style="list-style-type: none"> Enter the Account Code into the Account Code <i>Search</i> box, or Enter the LEI in the LEI <i>Search</i> box, or

	<ol style="list-style-type: none"> 3. Select the Account on the displayed Account list. 4. The selected account is displayed. 	
View Account Management options for the selected account	<ol style="list-style-type: none"> 1. Click on the Account Code. 2. A new panel is displayed for the account, showing: <ul style="list-style-type: none"> • Account name, LEI and Account Code • Management options for the account, as below. 	
	Name	Purpose
	Account Management	Modify account details Close account.
	User Management	Add new, modify and deactivate users.
	Central Coordinator Management	Add new, modify and deactivate Central Coordinators.
	Reports Management	Select subscription reports Select report formats (XML and/or CSV as relevant) Select the accounts which will receive the reports.
	Test LEI	Create a Test LEI for the UAT.

Set up a new account

This section applies to:	Central Coordinator setting up a new account in the following environments: <ol style="list-style-type: none"> a. Production, and b. UAT.
Passwords: first Production account	When the first Production account for your LEI has been set up successfully, you will receive a link to set up a password for the UAT environment.
Rules for new accounts	<ol style="list-style-type: none"> 1. If you are setting up a Production account, you will automatically be allocated the same account type and code in the UAT environment. Background: An LEI's accounts all share the same code, regardless of the environment. 2. If you have an existing UAT account and wish to set up a Production account, follow the steps in Apply for a Production account. Note: The Production account will be allocated the same number code as your existing UAT account. 3. You may not open both a Reporting Participant account and a Non-Reporting Entity account for the same LEI, nor two accounts of the same type for the same LEI.

	4. Production accounts need a valid, active LEI. This is not required for UAT accounts.	
Test LEI for UAT environment	<p>If you are creating a UAT account to test SFT transaction reporting, you may need a Test LEI.</p> <p>Select the <i>Test LEI</i> button and follow the instructions on the screen. Note: A new Test LEI will take until the following working day before being enabled for successful use in your testing.</p>	
Before you start	<ol style="list-style-type: none"> 1. You have completed the Account onboarding process and received the necessary credentials from REGIS-TR. 2. Your Central Coordinator permissions and password have been set up. 3. You have signed in to the Central Coordinator Dashboard. 	
Account setup method	<ol style="list-style-type: none"> 1. Go to the Account Panel and select <i>Set Up New Account</i>. 2. The screen displays two options: <p>Delegate the account setup to REGIS-TR: (Production account only) If you select this option, the screen will display a request for contact and other information.</p> <p>Create New Account Manually: To create the account, select this option and go to the step below.</p>	
LEI or other identifier type	<p>Enter the LEI for the entity requesting the account.</p> <p>Exception for UAT access only:</p> <ul style="list-style-type: none"> • Entities without an LEI should create a Test LEI. 	
Identifier	<p>Enter the 20-character LEI for your entity.</p> <p>Next: Complete the <i>Account Details</i> fields in the next screen, as below.</p>	
Account details	Account Type	<p>If this is the first account to be set up:</p> <p>The screen will show only the account types selected when the account was requested via the REGIS-TR website.</p> <p>If you are setting up additional accounts for an LEI already registered as an SFTR client of REGIS-TR:</p> <p>The screen will show:</p> <ul style="list-style-type: none"> • The account types that remain available for this LEI • A message asking if you wish to reuse information from existing

	<p>accounts for this LEI.</p> <ul style="list-style-type: none"> Press <i>Confirm</i> to reuse this information. Note: This information can be amended during account setup. <p>If you are setting up new accounts for a new LEI: Enter the new LEI and complete the form as directed.</p>
Account Code	<p>This is allocated by REGIS-TR. It comprises:</p> <ol style="list-style-type: none"> Two letter code denoting the account type. Examples: RS, TS Four-character account number. <p>Example: RS60A1</p> <p>Note: Your account code is the same in the Production and UAT environments.</p> <p>If this is the first account to be set up on the Central Coordinator Dashboard: The Account Code is assigned automatically by REGIS-TR upon authorisation of the account setup.</p> <p>If you are setting up additional accounts for an LEI already registered as an SFTR client of REGIS-TR: The Account Code will be displayed along with the Account name.</p>
Account status	<p>You will see a dropdown menu showing the status as <i>Active</i>. You will not see this field until REGIS-TR has authorised the account.</p>
Registered Company Name	<p>Up to 200 letters and/or numbers.</p>
Registered company address	<p>Up to 200 letters and/or numbers.</p>
Postcode	<p>Up to 50 letters and/or numbers.</p>
City	<p>Up to 200 letters and/or numbers.</p>
Country	<p>Choose from the list provided.</p>
Central Coordinator Number 1 ID	<p>The Central Coordinator’s username is the person’s corporate email address.</p> <p>Note: When creating an account, Central Coordinator Number 1 is the</p>

		Central Coordinator making the account request.
	Central Coordinator Number 2 ID	The Central Coordinator’s username is the person’s corporate email address. Note: You will not see this field if you are setting up your first account.
	Central Coordinator Number 3 ID	The Central Coordinator’s username is the person’s corporate email address. Note: You will not see this field if you are setting up your first account.
	Account Setup date	This is today’s date.
	Account closure date	You will not see this field unless you have requested the account closure.
Technical and IT details	Connectivity Channel	This is the channel used to upload SFT submissions to REGIS-TR. Example: SWIFTNet. Select from the list provided and supply additional details as requested. Example: IP address for Web service.
	SWIFT ID	SWIFT users only. BIC code: 11 alphanumeric characters.
	Public key	SFTP users only: Public key. Note: <ul style="list-style-type: none"> • RSA Key • Key length 4096 bits • Compatible with OpenSSH • Maximum 5 public keys per account.
	IT Contact Person	Enter name. Do not use special characters.
	IT Contact Person Corporate email	The IT contact person is defined by the client. This person does not have to be a Central Coordinator.
Billing details	Important: you will not be asked to complete these fields if the account setup is for the UAT environment.	
	VAT number	Alphanumeric field. This is for billing purposes.
	Parent company LEI	This is for billing purposes.

	Billing Contact Person or department	Do not use special characters.
	Billing Contact Person Corporate email	Do not include blank spaces.
	Billing address	Postal address for paper invoices.
	City	Maximum 200 alphanumeric characters.
	Postcode	Alphanumeric field.
	Country	Choose from the list provided.
	Bank account holder details	Complete these fields if the entity to be billed is not the REGIS-TR Participant: <ol style="list-style-type: none"> 1. Registered company name 2. Street name and number 3. Postcode 4. City 5. Country
	Further billing information	<ol style="list-style-type: none"> 1. Family group: YES/NO 2. Reason for payment on behalf of the REGIS-TR participant: <ol style="list-style-type: none"> a. The payer is the mother country b. Other. 3. Bank transfer: YES/NO
What happens next?	<p>If your account request was:</p> <p>Accepted:</p> <ol style="list-style-type: none"> a. You will receive an email: <ul style="list-style-type: none"> • confirming that the request was accepted, and • the status of the account, and b. If you have just set up your first Production account, you will receive password setup link to the UAT environment via email. Note: Applicable only if you didn't already have a UAT account. <p>Rejected:</p> <ul style="list-style-type: none"> • You will receive an email stating that the request was rejected, and • The reason for the rejection will be indicated on the Central Coordinator Dashboard. 	

Modify an account

Before you start	<ol style="list-style-type: none"> You will be asked to confirm whether changes made to Production account information should be applied to the same account in the UAT environment. Exception: LEI and company name/address modifications are applied automatically. Changes made to an account in the UAT environment will not be applied to the same account in the Production environment. To change the Production environment account, make a separate modification. 	
First	<ol style="list-style-type: none"> Go to the Account Panel and find the account you wish to modify. Choose the <i>Modify account</i> option. 	
Modify fields	<p>You will see the information currently in place for this account. Enter new information as necessary.</p> <ul style="list-style-type: none"> If you are modifying a UAT account, you are free to make any modification. If you are modifying a Production account, there are some restrictions. Please see the table below. 	
	<p>Restricted fields in Production account details</p>	
	<p>Identifier & Registered Company Name</p>	<ul style="list-style-type: none"> A change to your entity's identifier or registered name may result in changes in your accounts and outstanding transactions. You may need to submit supporting documentation to REGIS-TR. Please see the <i>Client Handbook for LEI updates</i> on the REGIS-TR website for further information. When you make the modification, tick the <i>LEI Update Request</i> box.
	<p>Registered Company Address</p>	<p>You may need to submit supporting documentation to REGIS-TR before the address is modified in your account.</p>
	<p>Modification date</p>	<p>Please enter the date on which you wish the modifications to take effect. Note: The modifications will not be implemented until REGIS-TR has validated any supporting documentation requested from you.</p>
<p>VAT Code</p>	<p>A VAT code change must be validated by REGIS-TR before the account can be modified.</p>	
Confirm your changes	<ul style="list-style-type: none"> Press <i>Submit Changes</i> to confirm your changes. Changes to non-mandatory fields are applied immediately. You will be asked to reconfirm your changes to mandatory fields. 	

<p>Next:</p>	<p>If the changes are for a UAT account, the changes will take place immediately.</p> <p>If the changes are for a Production account, any changes to mandatory fields cannot be applied until they have been validated by REGIS-TR. Note: You may need to provide supporting documentation.</p>
<p>Status of changes</p>	<p>Your modification request and current status are displayed in your Request Panel.</p>

Close an account

<p>Before you start</p>	<ol style="list-style-type: none"> 1. Requests for account closures must be validated by REGIS-TR before the account can be deactivated. 2. When a Production account is closed, the account with the same code in UAT environment is also closed. 3. When a client account is closed, the account code is blocked for allocation to any other client.
<p>Account closure conditions</p>	<p>Before you close the account, please ensure:</p> <ol style="list-style-type: none"> 1. There are no outstanding transactions in the account. 2. There are no invoices pending that relate to the account. 3. The entity has: <ol style="list-style-type: none"> a. granted Power of Attorney to the Central Coordinator, or b. formally approved the request to close the account. 4. The applicable Account Closure form has been duly signed and accepted by REGIS-TR.
<p>Account closure dates</p>	<ol style="list-style-type: none"> 1. If you submit the request before the 15th day of the current month, select any date from the 1st day of the month following. 2. If you submit the request after the 15th day of the current month, select any date from the 15th day of the month following.
<p>If you are closing a UAT Account</p>	<ol style="list-style-type: none"> 1. You cannot close a UAT account if you have a Production account which remains open. 2. If you try to do this, you will see this warning message when you submit the request: <i>This UAT Account cannot be closed because the Production Account is still open.</i>
<p>Request the account closure</p>	<ol style="list-style-type: none"> 1. Go to the Account Panel and find the account you wish to close. 2. Choose the <i>Deactivate account</i> option. 3. Enter your <i>requested Account closure date</i>. 4. <i>Select Confirm Account Deactivation</i> to accept the conditions shown on the screen.

REGIS-TR validations	REGIS-TR reviews your request and checks that the conditions have been met. In the event of a problem, REGIS-TR will send you an error message.
Confirmation email	You will receive an email asking you to reconfirm the account closure request.
Request status	This is displayed on the Central Coordinator Dashboard.

Deactivation of UAT accounts due to inactivity

Expiry conditions	<ul style="list-style-type: none"> UAT Accounts may be closed if there is no activity on the account for 90 consecutive days. Note: This does not apply if the client has a Production Account. In this case, the account can be closed even if it contains outstanding transactions.
Procedure	REGIS-TR will notify the Central Coordinator by email before the closure takes place.

The User Management Panel

User Management Panel Options	<p>The User Management Panel shows:</p> <ol style="list-style-type: none"> The username, LEI and account code. <i>Add New User</i> button <i>Search</i> button <i>Submit</i> button The account users for which you are the Central Coordinator. <p>For each user, this shows:</p> <ul style="list-style-type: none"> Username First name and surname LEI Account code User type: CC = Central Coordinator, U = User User permissions: Read/Write or Read Only User status: Note: For full status list, see <i>User Details form</i>, below. <i>Edit</i> option <i>Reset Password</i> option <i>Deactivate user</i> option <i>Assign user to another account</i> option. <p>Note: This list can be filtered by column.</p>
User Details	This form holds a full list of details for each user.

Form	The form is completed by the Central Coordinator when the new user is added.		
	Field	Notes	
	Username	This is assigned by REGIS-TR and cannot be changed.	
	First Name	User's first name. Maximum 50 alphanumeric characters.	
	Surname	User's surname. Maximum 50 alphanumeric characters.	
	User Type	This will read Client User. Note: This is assigned by REGIS-TR.	
	Access Level	R = Read Only; RW = Read/Write	
	Status	Select from:	
		Initial	User created but did not set up password
		Active	
		Blocked from initial	Blocked due to failure to create password
		Blocked from active	User blocked due to inactivity
		Blocked	Blocked due to three access errors
		Deactivated	User account deactivated
	Account code	Enter the account code. The entity name will be displayed.	
	Set up date	Today's date.	
	Date of user deactivation	This field will not appear when adding a new user.	
	Key Question	Maximum 200 alphanumeric characters.	
	Key Answer	Maximum 200 alphanumeric characters.	
	Address	Maximum 200 alphanumeric characters.	
	Postcode	Maximum 50 alphanumeric characters.	
	City	Maximum 200 alphanumeric characters.	
	Country	Select from list	
	Landline no	Numbers only	
	Mobile number	Numbers only	
	Corporate e-mail	Do not include blank spaces.	
	Environment	The current environment will be displayed.	

User profiles and permissions

User profiles in brief	Profile name	Permissions
	Central Coordinator	<ol style="list-style-type: none"> 1. Create, modify and deactivate REGIS-TR accounts 2. Create, modify and deactivate users
	Read and write user	<ol style="list-style-type: none"> 1. Upload and download of submitted SFT reports 2. Download and query account data 3. Upload delegation files 4. View other documentation available to the company's accounts 5. No access to NRE accounts
	Read-only user	<ol style="list-style-type: none"> 1. View-only access to submitted SFT reports 2. Download and query account data 3. View other documentation available to the company's accounts.

Username and Account codes

This section applies to:	Central Coordinator/s.
Username convention	<ol style="list-style-type: none"> 1. One letter denoting the environment: P for Production; U for UAT. 2. Two letters denoting the account type: RS, TS, ES, NE. 3. First letter of the user's first name. 4. First three letters of the user's second name. 5. Sequential number from 01 – 50. Note: 50 is the maximum number of users per account. <p>Example: PTSJSMI07 is the username for John Smith, the 7th user to be added to the client's Internal Third Party account in the Production environment.</p> <p>Exception: Central Coordinator username. This is always the Central Coordinator's corporate email address.</p>
Account codes	<ol style="list-style-type: none"> 1. Account codes are allocated by REGIS-TR, not defined by the client. 2. Once an account has been set up in one environment, the same account code is allocated to the client's accounts of the same type in the other environments. 3. Where the client closes its account in the Production environment, REGIS-TR will close the same account in the UAT environment. 4. If an account is closed, REGIS-TR does not reallocate the code. The code is blocked

and reallocated to the client if it reopens the account.

Add, modify or deactivate Account users

Introduction	This section explains how to add a new user to an Account. Note: The account must be active.
Rules	<ol style="list-style-type: none"> 1. A user may have access to one or more accounts. 2. Reporting Participant and Third Party Accounts may be allocated a maximum of 50 users, including: <ol style="list-style-type: none"> a. Up to three Central Coordinators b. Read/Write and Read-only users. 3. Non-Reporting Accounts may be allocated a maximum of 50 users, including: <ol style="list-style-type: none"> a. Up to three Central Coordinators b. Read-only users.
Select the account	<p>Either:</p> <ol style="list-style-type: none"> 1. Select User Management on the Central Coordinator Dashboard. 2. Select <i>Add New User</i>.
Add new user	<ol style="list-style-type: none"> 1. Select <i>Add New User Manually</i>. Note: If you select <i>Delegate to REGIS-TR</i>, REGIS-TR will receive a request to add the new user on your behalf. 2. Complete the <i>User Details</i> form and submit. 3. A user can be assigned to one or more accounts on the User Management Panel. 4. The user is added immediately. 5. You will see the new user in the User List.
Modify user details	<ol style="list-style-type: none"> 1. Select the user's username on the list of users. 2. Modify the details in the <i>User Details</i> Form. 3. Confirm. 4. The changes are applied immediately. You will see a confirmation on the Central Coordinator Dashboard.
Deactivate one or more users	<ol style="list-style-type: none"> 1. Tick the <i>Deactivate</i> box for the user or users. 2. Submit the request and confirm the deactivation. 3. You will see a confirmation on the Central Coordinator Dashboard. 4. The user(s) will receive a confirmation that their access has been deactivated.

Reset user password

Password reset procedure	<ol style="list-style-type: none"> 1. Select the <i>Reset Password</i> box for the user. 2. You will see the message: <i>Reset this user's password?</i> 3. Confirm. 4. The user will receive an email with a password reset link.
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The Central Coordinator Management Panel

Location	The Central Coordinator Management Panel can be located from the Central Coordinator Dashboard opening screen.
Central Coordinator Management Panel Options	<p>The User and Central Coordinator Management Panel shows:</p> <ol style="list-style-type: none"> 1. The Account name, LEI and account code 2. <i>Add New CC</i> button 3. <i>Modify CC</i> button 4. <i>Deactivate CC</i> button 5. <i>Reset Password</i> button 6. The name of the current Central Coordinator.

Add, modify or deactivate a Central Coordinator

Applies to:	<p>All Central Coordinators.</p> <p>Note: The changes described here are validated by REGIS-TR.</p>	
Add a New Central Coordinator to an Account	<ol style="list-style-type: none"> 1. Select User Management on the Central Coordinator Dashboard. 2. Select <i>Client</i> or <i>REGIS-TR</i> to continue. Note: If you select <i>REGIS-TR</i>, REGIS-TR will receive a request to add the new Central Coordinator on your behalf. 3. Enter the new Central Coordinator's corporate email address in the window and submit. 4. The <i>Add New Central Coordinator</i> request notification will appear on your Dashboard. 5. The new Central Coordinator will receive an email with a link to set up an account. 6. The new Central Coordinator completes the Central Coordinator Details, as shown: 	
Central Coordinator Details	Account code	
	Central Coordinator First Name*	Maximum 50 alphanumeric characters.
	Central Coordinator Surname*	Maximum 50 alphanumeric characters.

	Central Coordinator landline number*	Numbers only
	Central Coordinator mobile number*	Numbers only
	Central Coordinator corporate e-mail*	Do not include blank spaces
	Setup date*	Today's date
	Central Coordinator Date of Deactivation	
	*Mandatory field	
Next:	The new Central Coordinator receives an email with a link to set up a new password.	
Modify Central Coordinator	<ol style="list-style-type: none"> Go to the Account Panel and find the account for which the Central Coordinator details need to be modified. Select <i>Modify Central Coordinator</i>. Make changes as necessary in the Central Coordinator Details. Modify these fields as necessary and submit. <p>Note on Central Coordinator Deactivation Date field:</p> <ol style="list-style-type: none"> If this date is changed during the modification, the Central Coordinator will be deactivated on the modified date. You cannot deactivate the only Central Coordinator linked to the account until a new Central Coordinator has been assigned. 	
Deactivate Central Coordinator	<ol style="list-style-type: none"> Go to the Account Panel and find the account for which the Central Coordinator needs to be deactivated. Select <i>Deactivate Central Coordinator</i>. Confirm the request and enter a deactivation date. The Central Coordinator will be deactivated on the modified date. Note: You cannot deactivate the only Central Coordinator linked to the account until a new Central Coordinator has been assigned. 	

User and CC Management Panel

Introduction	<ol style="list-style-type: none"> This panel enables the Central Coordinator to search for and view the details of multiple accounts, Central Coordinators and other users. Using this Panel, the Central Coordinator can add, modify and deactivate users and Central Coordinators. If you have multiple changes to make, it will be quicker to use this panel than to open all the individual accounts.
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Location	The User and CC Management Panel can be located from the opening screen of the Central Coordinator Dashboard.
Search list	To search for an Account, a user or a Central Coordinator, filter the list and select the <i>Search</i> button.
Modify a user or Central Coordinator	Search for the username, open the User or Central Coordinator's Details and modify as necessary.
Modify users' permissions	<ol style="list-style-type: none"> 1. Use the filters to create a list of the targeted users, or search for the users individually. 2. Tick/untick the Permissions boxes to make the modifications.
	<ol style="list-style-type: none"> 1. Find the user and tick the <i>Assign User to Another Account</i> box. 2. You will see the <i>Assign User to Another Account</i> screen. 3. Select the LEI, new Account code and user permissions. 4. The user will be assigned to that account. 5. The account's Central Coordinators will receive a notification on their Dashboards.
Change a user's status	Find the user and change the status in the <i>Status</i> column.
Deactivate multiple users	<ol style="list-style-type: none"> 1. Use the filters to create a list of the targeted users, or search for the users individually. 2. Tick/untick the Deactivation boxes as necessary and confirm the changes. 3. The users receive an email notification of the deactivation. <p>Reminder: if the user is the only Central Coordinator linked to an account, you cannot deactivate them until a new Central Coordinator has been assigned.</p>
Reset passwords	<ol style="list-style-type: none"> 1. Find the user and tick the <i>Reset Password</i> box. 2. Confirm the change when requested. 3. The user receives an email with a link to reset their password.

The View CC Details Panel

Introduction	This panel gives the Central Coordinator the option to view and modify the person's own Central Coordinator details.
View Central Coordinator details	Select the <i>View CC Details</i> button on the Central Coordinator Dashboard. Your CC Details are displayed as fields.

Panel Options	Change Password option Activity Log option.
Modify CC details	<ol style="list-style-type: none"> 1. Select a field from the Central Coordinator details list. 2. Modify the current details as necessary. 3. Submit the request and confirm. 4. The request will be displayed in your Central Coordinator Dashboard Request Panel. <p>Note: Deactivation Date field:</p> <ol style="list-style-type: none"> a. If this date is changed during the modification, the Central Coordinator will be deactivated on the modified date. b. You cannot deactivate the only Central Coordinator linked to an account until a new Central Coordinator has been assigned.
Change password	Select the <i>Change Password</i> button and enter a new password.
Activity Log	<ol style="list-style-type: none"> 1. Select the <i>Activity Log</i> button. 2. The screen displays your last ten logins, with login status and timestamp.

Reports management

Introduction	<p>REGIS-TR provides various reports to the client on its trading activity. These reports are sent to the accounts requested by the client.</p> <p>The client defines:</p> <ol style="list-style-type: none"> 1. Which reports it wishes to receive. 2. The format of the reports (XML and/or CSV as relevant). Note: Some reports available in one format only. 3. The accounts to which the reports should be sent. <p>This information is managed by the Central Coordinator through the Central Coordinator Dashboard.</p>
How to manage reports	<ol style="list-style-type: none"> 1. Find the account by selecting Details in the Account Panel 2. Select <i>Reports Management</i>. 3. Make your report selections.
Further information	See Reporting to Clients .

Create Test LEI

Introduction	Test LEIs are for UAT access where the entity does not currently have an LEI.
Create Test LEI	<ol style="list-style-type: none"> 1. Find the account via the Account Panel and select <i>Reports Management</i>. 2. Select <i>Create Test LEI</i>. 3. You will see a message with the new Test LEI. 4. Select OK to finish. <p>Note: A new Test LEI will take until the following working day before being enabled for successful use in your testing.</p>

USER ACCESS TO THE SFTR DASHBOARD

Access and credentials

Create user password

This section applies to:	<p>New users.</p> <p>Note: Your username is assigned by REGIS-TR.</p>
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>Create New Password</i> box. 3. Enter a new password. This 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. 5. You will receive a confirmation email with a link to sign into your SFTR Dashboard.

Log in to your SFTR Dashboard

This section applies to:	<p>New users</p> <p>New Central Coordinators.</p>
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<p>First login</p>	<p>You must log in within 72 hours of receiving your username.</p> <p>If you do not, your user profile will be blocked. In this case:</p> <ul style="list-style-type: none"> • If you are a client user, contact your Central Coordinator • If you are a Central Coordinator, contact the Account Setup Team.
<p>Access to the Dashboard</p>	<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 SFTR tab and click on the desired environment: Production or UAT; or b. Click on or enter the relevant link/URL of an environment: <ul style="list-style-type: none"> • Production: https://sftr.regis-tr.com • UAT: https://sftr-uat.regis-tr.com 2. Enter your name and password to access your SFTR Dashboard. <p>Tip: Add the desired log in page(s) to the bookmarks or favourites of your Internet browser.</p>
<p>Next login</p>	<p>Your user profile will be blocked if you have not logged in during 90 consecutive days. In this case:</p> <ul style="list-style-type: none"> • If you are a client user, contact your Central Coordinator. • If you are a Central Coordinator, contact the Account Setup Team.

Signature key and secret question

<p>Introduction</p>	<ul style="list-style-type: none"> • Users are required to set up a signature key. • The signature key is any combination of characters known only to its user. • It is used to confirm the user’s identity before performing an operation such as a file upload. The user is asked to enter the signature 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.
<p>This section applies to:</p>	<p>New users</p>
<p>How to create or change your signature key</p>	<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>How to create or change your secret question</p>	<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. 4. 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 is blocked. 2. In this case, contact your Central Coordinator.
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Password expiry

Introduction	Passwords expire after 90 days.
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. • You will see a warning message 60 seconds before the session expires. • 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 user name, contact your Central Coordinator.
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Wrong username

Forgotten username	<p>If you have forgotten your username: Contact your Central Coordinator.</p>
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 your Central Coordinator.

Forgotten password

This section applies to:	All users.
Reset password	<ul style="list-style-type: none"> • In the login page, click Have you forgotten your password? • Click Reset Password request and enter your username.

	<ul style="list-style-type: none"> You will receive an email with a link to reset the password. Reset your password. You will receive a confirmation email.
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Logging out

Logout button	Press the <i>Logout</i> button to end your session.
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Account and user information

Introduction	This is available in the <i>Account</i> section in your SFTR Dashboard.
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Account information

Introduction	Displays account information.		
Details	<ul style="list-style-type: none"> Account Code Account Type Identification Type Identification Registered Company Name Registered Company Address City Postcode Country 		

User information

Introduction	The user may view their user details and request modification by the Central Coordinator.		
Details	User <ul style="list-style-type: none"> Username Job Title Name Registration Date 	Address <ul style="list-style-type: none"> Address City Postcode Country Country Code 	Contact <ul style="list-style-type: none"> Main Phone Alternative Phone Corporate email

Options	<ul style="list-style-type: none"> • Change password • Change signature • Secret Question.
Modify user details	<ol style="list-style-type: none"> 1. Modify the details on the screen. 2. Submit changes. 3. The request is sent to the Central Coordinator.

Documentation

Purpose	This section provides essential information to clients and authorised users that we update from time to time.
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Contact form

Purpose	This page provides an email form to be used to contact REGIS-TR for assistance, information or requests.
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Activity log

Introduction	<p>Enables a user to view his/her recent activity history by:</p> <ul style="list-style-type: none"> • Activity (login/logout) • Status (successful/failed) • Timestamp. <p>Note: A partial activity history is displayed to the user on successful login to the dashboard.</p>
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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 for the continuous throughput of 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>
System capacity and performance	<p>The system allows up to 100 concurrent accounts and up to 500 concurrent users without impact to the system performance for:</p> <ul style="list-style-type: none"> • Connection • Account setup • Upload of reports <p>The system has the capacity to handle:</p> <ul style="list-style-type: none"> • up to 80 million messages per daily reporting session (1.6 billion per month) with potential peaks of 25-30 million messages received within 10 minutes • Reconciliation processing of a minimum of 200-250 million inter-TR pairing and matching requests per day • Feedback relating to the above. <p>Our solution allows for the adjustment of processed volumes within a timeframe of 30 to 90 days, plus a margin of security for seasonal activity peaks.</p>

INFRASTRUCTURE

Updates and new releases

Software updates	<p>REGIS-TR publishes an annual roadmap detailing planned software enhancements and updates. This is updated regularly communicated to clients.</p> <p>Before each release, we issue detailed release notes 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>