REGIS-TR onboarding guide

General information

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Contents

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Calls may be recorded for monitoring and quality control purposes.		

INTRODUCTION

Introduction	This guide provides information about the first steps to be followed by an entity willing to be onboarded at REGIS-TR for the first time.
Contacts and support	For further information and enquiries, please see the Contacts page in this guide.
Scope	This document covers the following processes: 1. **Onboarding request:** This section provides an overview of the steps that entities must follow to: a. trigger the onboarding process b. appoint an Administrator for the entity. 2. **Administrator login**: This section describes the steps that the Administrator must follow to set-up their user credentials and token. 3. **Entity onboarding**: This section describes the steps that the Administrator entities must follow to be onboarded at REGIS-TR. 4. **Entity management**: This section summarizes the most relevant actions that onboarded entities can take to manage their information, and to open accounts under EMIR, UK EMIR, SFTR or FinfraG regulations.
Entity onboarding process	The steps to become onboarded at REGIS-TR are: 1. Initiate an onboarding request. **Note**: REGIS-TR Relationship Managers of each region are available to support entities in this process. 2. The person appointed as Administrator for the entity receives automated emails with request confirmation and the initial credentials 3. The Administrator configures its new credentials and token 4. The Administrator provides data and documentation required for the entity onboarding 5. REGIS-TR validates entity onboarding request and, if successful, grants access to the Administrator to the Master Entity Data (MED) platform 6. Administrator logs into the Master Entity Data platform to manage its entity, accounts, users, etc.

ONBOARDING REQUEST

Introduction

Entities must fill in an onboarding request form to initiate the onboarding process. Onboarding request form: https://www.regis-tr.com/onboarding

Note: Onboarding request is only applicable for entities that do not have any account at REGIS-TR. Entities willing to open new accounts must do so through Master Entity Data platform.

Onboarding form

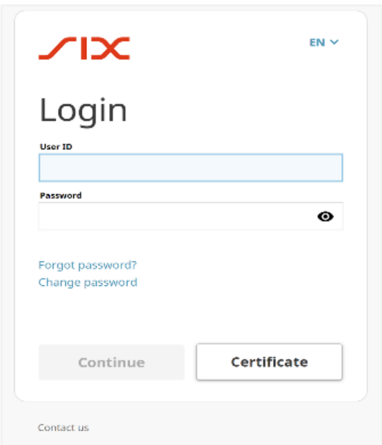
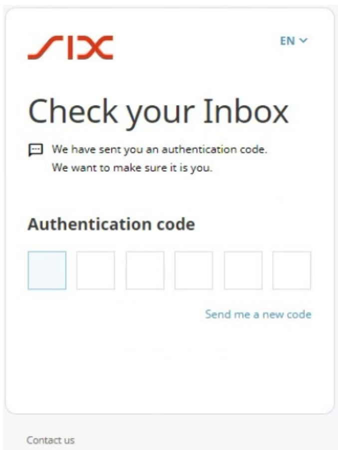
Entities must fill in the below details to complete the onboarding request form:

Category	Allowed values	Description
Type of entity	• Client • Authority	Whether the entity requests to be onboarded as a client (e.g., reporting entities) or as a Regulator (e.g., National Competent Authority accessing data under their jurisdiction)
Environment	• UAT • PROD	Entities may select UAT to create testing accounts, and PROD to be onboarded on both Production and testing environments
Group entity	• REGIS-TR S.A. • REGIS-TR UK	Entities onboarded in REGIS-TR S.A. may create accounts under EMIR, SFTR, and FinfraG. Entities onboarded in REGIS-TR UK may create accounts under UK EMIR
Entity name	105 alphanumerical characters	Name of the entity to be onboarded
Dummy LEI	• Checkbox	Entities with access only to the testing environment (UAT) that do not own an LEI yet may request to be onboarded with a dummy LEI that will serve only for testing purposes
LEI	20 alphanumerical characters	Legal Entity Identifier of the entity to be onboarded

	Administrator first name	40 alphanumerical characters	Name of the person in charge of onboarding the entity. After successful onboarding, the Administrator may create additional users.
	Administrator surname	40 alphanumerical characters	Last name of the person in charge of onboarding the entity. After successful onboarding, the Administrator may create additional users.
	Email	Valid email address 100 alphanumerical characters	Email of the person in charge of onboarding the entity. Administrator credentials are sent to this email address
	Country of the phone number	Dropdown list	Country prefix of the phone number of the administrator
	Phone number	20 numerical characters	Phone number of the Administrator.
	Privacy policy	Checkbox	Necessary to accept the privacy policy
	Other	Multiple	Additional information on the expected activity of the entity, requested to adapt the support provide to the different needs of every entity. Details include the applicable regulations (EMIR, UK EMIR, SFTR, FinfraG), approximate reporting volumes, delegation set-up, etc.

ADMINISTRATOR LOGIN

Introduction	Upon successful submission of an onboarding request, the Administrator user must: 1. Retrieve the automated email sent by REGIS-TR, which includes the credentials to access the entity onboarding cockpit 2. Create a new password

	3. Configure its token, for double-authentication purposes 4. Authenticate itself the entity onboarding cockpit
Step 1 Automated email with credentials	REGIS-TR validates all onboarding requests received and, upon acceptance, triggers the generation of up to two automated emails for the Administrator: • First email, that confirms the confirmation of the request, and confirms access to the entity onboarding cockpit • Second email, that includes a temporary password. **Important note**: Administrator users that have already followed these steps to onboard other entities, or to access the EMIR REFIT UAT environment will not receive the email with the temporary password. They can directly log in the onboarding cockpit with their existing credentials.
Step 2 Creation of a new password	Following the receipt of the temporary password, Administrator users must access the entity onboarding cockpit. • URL: https://med.regis-tr.com/private-area/app/cockpit • User ID: email address of the Administrator user • Password: temporary password received After successfully completing this step, the SIX authentication platform requires users to set-up a new password, following specific security rules. Then, the Administrator user is requested to type an Authentication code automatically generated and sent to its email address.  Figure 1 - Initial login page  Figure 2 – Authentication code

<table>
<tr>
<td>Step 3
Token configuration</td>
<td>
Upon successful confirmation of the Authentication code, users are be requested to configure their token. To do so, they need to:

1. Download in their mobile phone the app **Futurae**, available in standard platforms such as Apple Store, Google Play, etc.
2. Open Futurae app and scan the QR code

After scanning the code, Futurae app is linked to the user ID and the configuration concludes.

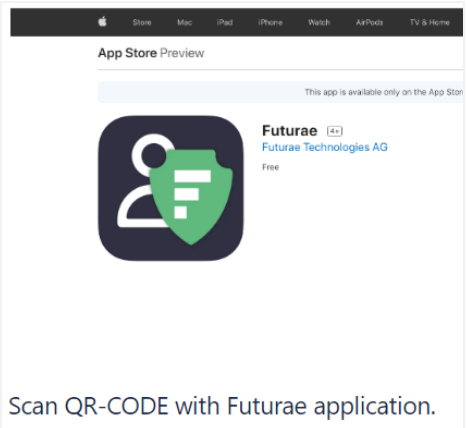


Figure 3 – Futurae app

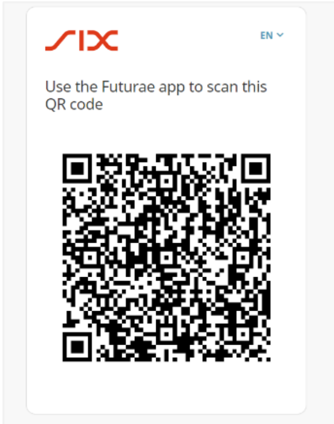


Figure 4 – Example QR code
</td>
</tr>
<tr>
<td>Step 4
Authentication</td>
<td>
At this point, user ID, password and token are successfully configured. To authenticate and log into the entity onboarding cockpit, users need to accept their login through **Futurae**.

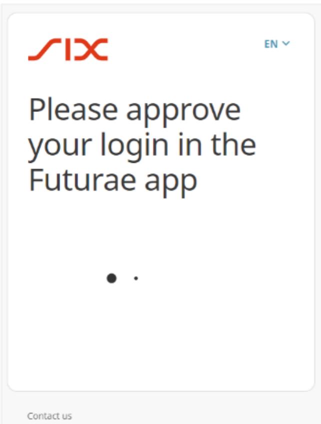


Figure 4 – Login approval request

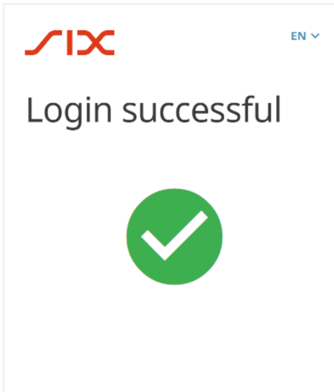


Figure 5 – Successful login
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</table>

ENTITY ONBOARDING

<table>
<tr><td>Introduction</td><td>Authenticated Administrator users may log into the entity onboarding cockpit to fill in the following information:
Company details
Billing details
Documentation</td></tr>
<tr><td>My company section</td><td>This section displays all entity details provided in the onboarding request form. To supplement this information, the Administrator must complete an online form with details such as the company address, nature and economic sector of the entity, or its VAT.
In addition, the Administrator may create a second Administrator user by filling in the relevant details. Note: Upon configuration, the second Administrator needs to follow the steps described in Administrator login to access the entity onboarding cockpit for the first time.</td></tr>
<tr><td>Billing details section

(only PROD)</td><td>In this section, Administrators must input the applicable information, which includes:
<table>
<tr><th>Category</th><th>Description</th></tr>
<tr><td>Billing details</td><td>Administrators must fill in this section the billing address, and bank account details of the entity.

Billing details for REGIS-TR SA (EMIR, SFTR, FinfraG) and REGIS-TR UK (UK EMIR) must be provided independently, and billing addresses may be different.</td></tr>
<tr><td>Family group</td><td>Entities that belong to a REGIS-TR family group must complete this section to include new entities into the family group. In this section, entities must provide details of the ultimate parent of the family group and their link.</td></tr>
<tr><td>Funds</td><td>Funds managed by Management Companies willing to pay the invoices on behalf of the fund must populate this section to request the creation such link.</td></tr>
</table></td></tr>
</table>

	Following the request, Administrators of the Management Company will receive an automated email notifying them of the request made by the fund. REGIS-TR will create the link between the fund and the ManCo only following the approval of the Administrators of the Management Company. **Note**: Management Companies must be clients of REGIS-TR to enable this set-up.
Documentation (*only PROD*)	To complete the onboarding, Administrators must provide to REGIS-TR the following documentation: 1. Official list of authorized signatures (mandatory). Administrators may opt to notify the authorized signatures by either: a. Registering them in SignatureNet and selecting the dedicated checkbox b. Uploading specimen signature form c. Uploading a scanned version of the Passport of the authorized signatories, which must coincide with the ones available in the company register. 2. Articles of association of the entity being onboarded (*mandatory*) 3. Banking or business license 4. Excerpt from company´s register **Note**: Additional documentation might be required depending on each onboarding process. REGIS-TR validates all documents uploaded. Administrators can track from the Entity onboarding cockpit the status of the validation on real-time. In addition, Administrators may query previous versions of all documents uploaded to the cockpit, as well as their individual status. Should validation outcome be unsuccessful, the status of the invalid document is changed to 'Rejected' and Administrators receive an email notifying the rejection.

	Please click on 'Key documentation' to access to guides, handbooks, fee schedules and other useful information.
Onboarding status and progress	Administrators may track the status and estimated progress of their application using the side bar of the Entity onboarding cockpit. Administrators can query both the overall progress and the individual for each section. Once all individual sections (My company, billing details, and Documentation) are in status 'Accepted' the General status of the application changes to 'Pre-approved'. At this point, REGIS-TR performs final verifications on the overall application and, when successful, accepts the entity onboarding. Administrators are notified via email of the successful completion of the entity onboarding.
UAT onboarding	Entities that opt for UAT-only onboarding may follow a fast-track process that excludes sections 'Billing details' and 'Documentation' in the Entity onboarding cockpit.
MED	At that point, your entity will be able to manage all the information previously provided in the MED application. The same login than the client cockpit will be used for MED. Furthermore, you will be able to also manage accounts and users in the different regulations. All the information related to MED can be found on the MED handbook.

ENTITY MANAGEMENT

Introduction	Administrators of onboarded entities are granted with access to the Master Entity Data (MED) platform to: • Visualize and manage their entity details • Open new accounts for EMIR, UK EMIR, SFTR and FinfraG services. **Note**: access also includes EMIR REFIT and UK EMIR REFIT. • Manage existing accounts, modifying their details or permissions • Create new users, with read-only or read and write permissions • Mange existing users, modifying their details or permissions • Assign users to one or multiple accounts • etc.
Further information on MED	You will be able to find further details on the Master Entity Data (MED) platform in the dedicated handbooks when available. [https://med.regis-tr.com/private-area/app/med/]