



EMIR REFIT Client Handbook

May 2025

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CONTACTS

Client Services and technical support	+34 91 709 5570 emir-support@regis-tr.com
Account Setup Team	+34 91 709 5580 admin@regis-tr.com
New EMIR REFIT account requests	See ACCOUNT SETUP SERVICES
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 derivative report. Examples: New, Error, Valuation, Revive.
Account code	Code used to identify the client's account. Examples: eudbpaa01000, eudbp1234000
Account roles	Permissions granted to a specific account in relation to its reporting model. It can be: <ul style="list-style-type: none"> • Reporting Participant • Third Party Internal • Third Party External • Non-reporting
AIF	Alternative Investment Fund.
AIFM	Alternative Investment Fund Manager.
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 / Administrator	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.
CLC	Client Code, a permitted type of identifier of the other counterparty.
Client	Reporting or Non-Reporting Entity that has a contractual relationship with REGIS-TR. Note: Referred to as Member in other Governing Documents.
Delegated entity	Entity authorized to report on behalf of another entity. It is identified as reporting counterparty or entity responsible in the derivative contracts submitted to REGIS-TR.
Delegating entity	Entity that voluntarily authorizes another entity to report on its behalf. It is identified as reporting counterparty or entity responsible in the derivative contracts submitted to REGIS-TR.
Delegation file	Notification of delegation agreement provided to REGIS-TR by an entity delegated to report on behalf of another.

	<p>The file is used by report submitting entities to create or amend delegation relationships.</p> <p>Note: Before considered valid, delegation relationships shall always be confirmed by delegating entities.</p>
Derivative record	Refers to the data of an individual derivative contract as reported to the TR in a message file.
EEA	The European Economic Area that is relevant to EMIR consists of the EU Member States, Iceland, Liechtenstein, and Norway.
EMIR	European Market Infrastructure Regulation (EU) 648/2012.
Entity Responsible for the Report (ERR)	<p>Entity responsible for ensuring that the derivative report is submitted correctly. The entity may be:</p> <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.
Entity to TR	Describes reports/communications sent by the client to REGIS-TR.
ERR	See <i>Entity Responsible for the Report</i> .
Errored derivative	A derivative reported to the TR that has been reported with action type Error.
ESMA	European Securities Markets Authority.
Family group	<p>Term used to describe:</p> <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	<p>Global Legal Entity Identifier Foundation.</p> <p>Further information: https://www.gleif.org/en/about/this-is-gleif.</p>
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> .

Legacy derivatives	Derivative contracts reported for the first time before 29 April 2024 and not fully upgraded to the REFIT standards.
NFC-	<p>A small non-financial counterparty is an entity that is below the clearing threshold. Clearing threshold is an amount set by class of OTC derivative contracts as follows:</p> <ul style="list-style-type: none"> • Credit derivative contracts: € 1 billion • Equity derivative contracts: € 1 billion • Interest rate derivative contracts: € 3 billion • Foreign exchange derivative contracts: € 3 billion • Commodity derivative contracts and others: € 4 billion <p>Where an NFC- entity makes an OTC derivative with a financial counterparty, the reporting responsibility for both sides lies with the financial counterparty.</p>
Non-outstanding transaction	<p>A derivative reported to the TR that:</p> <ul style="list-style-type: none"> • Has matured • Has been reported with action types: 'Terminate', or 'Position Component' and has not been revived with Action type 'Revive'.
Non-Reporting Entity	An entity that has a reporting obligation and/or responsibility under EMIR but does not report on its own behalf.
Outbound	Describes reports/communications sent by REGIS-TR to the client.
Outstanding derivative	<p>A derivative reported to the TR that:</p> <ul style="list-style-type: none"> • Has not matured. • Has not been subject to an action type: 'Error', 'Terminate', or 'Position Component'. • Has been revived with action type 'Revive'
RC	See <i>Reporting Counterparty</i> .
Read and Write user	<p>Client user with permissions to:</p> <ul style="list-style-type: none"> • Report data to the TR • Access data made generated by the TR • Query reports • Configure delegation permissions
Read-only user	<p>Client user with permissions to:</p> <ul style="list-style-type: none"> • Access data made generated by the TR • Query reports • Configure delegation permissions

Reconciliation session	Period during the working day in which the reconciliation process takes place. Reconciliation session date will be updated including the last date in which the reconciliation status or the mismatches of the contract were altered.
REGIS-TR working days	Refers to the days on which REGIS-TR is open for the reception of derivative reports. REGIS-TR is open every day except: <ul style="list-style-type: none"> • Saturdays • Sundays • Every 1 January • Every 25 December
Reporting Counterparty (RC)	A derivative counterparty that has a reporting obligation under Article 9 of EMIR. A Reporting Counterparty may not be a client of REGIS-TR and therefore may not have an account in REGIS-TR.
Reporting obligation	The legal obligation of a derivative counterparty to report its derivatives to a trade repository.
Reporting Participant	A client reporting its own side a derivative and/or the other counterparty's side.
Reporting responsibility	Legal responsibility under EMIR REFIT for the reporting of the derivatives.
Reporting session	Period during the working day in which the REGIS-TR system is open to receive derivative submissions from reporting firms.
Report Submitting Entity (RSE)	Any entity that reports derivatives on its own behalf or on behalf of another, for example: <ul style="list-style-type: none"> • Counterparty who is a Reporting Participant • Entity Responsible for the Report • Third party service provider • Vendor of derivative reporting solutions • UCITs management company • AIFM • Financial counterparty to a transaction with a small non-financial counterparty.
TR	See <i>Trade Repository</i> .
Third Party Entity	Entity that reports on behalf of other entities. Note: A Third Party Entity is not a counterparty to the reported derivative.
UCITS	Undertaking for Collective Investment in Transferable Securities.

UTI	Unique Transaction ID.
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FOREWORD

Getting started

For new clients	<p>Thank you for choosing REGIS-TR to support your EMIR REFIT 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 a (set of) account roles: Client accounts. 3. Open an account and define a Central Coordinator/ Administrator: Account setup services. 4. Create user profiles and login: User access to the EMIR REFIT Dashboard. 5. Execute the corresponding contractual documentation with REGIS-TR 6. 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 do not hesitate to Contact us.</p>
Contractual documentation	<ol style="list-style-type: none"> 1. Reporting Participant Member Agreement. Clients with Accounts with Reporting Participant permissions. 2. Non-Reporting Entity Member Agreement Clients who are counterparties to the derivatives, and who have Accounts with Non-Reporting Entity. 3. Reporting Third Party Member Agreement Clients who are not counterparties to the derivatives, and who have Accounts with Third Party Internal and Third Party External permissions

EMIR REFIT in brief

Disclaimer for REFIT 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>
Introduction	<p>The aim of EMIR is to reduce systemic risk by increasing the transparency of the financial markets. Under EMIR:</p> <ol style="list-style-type: none"> 1. Derivative counterparties must report their transactions to a trade repository. These reports can be accessed by authorised supervisory and regulatory bodies.

	2. Investment funds must provide detailed disclosure on their derivatives and total return swaps.	
The regulation applies to:	1. Any derivative counterparty established in the EEA. 2. A management company for an EU Undertaking for Collective Investment in Transferable Securities (UCITS) 3. Foreign (non-EEA) AIFs authorised or registered under the Alternative Investment Fund Managers Directive 2011/61/EU (AIFMD). Note: The reporting responsibility of OTC derivatives for UCITS and AIFs usually lies with the fund management company.	
Reporting obligations and responsibilities	1. Derivative reports must be submitted to a trade repository authorised by ESMA to provide services under EMIR. 2. Each counterparty to a derivative is legally obliged and responsible for ensuring that its side of the transaction, including lifecycle events, is reported to an authorised trade repository. Exceptions: If the derivative is concluded by a UCITS or AIF, the responsibility for reporting usually lies with the fund management company, and a financial counterparty is responsible for reporting on behalf of an NFC-. 3. A derivative counterparty may delegate its reporting to the other counterparty or to a third party. 4. Derivative reports must be submitted by close of business on the day following the conclusion, modification, or termination of the contract (T+1). 5. Both counterparties must retain their records of the transaction for a minimum of five years after its termination.	
Derivative types to be reported	1. Contracts for Difference (CFDs) 2. Forward rate agreements 3. Futures 4. Forwards 5. Options 6. Spreadbets 7. Swaps 8. Swaptions 9. Other types	
Action types	1. New 2. Modification 3. Error	6. Revive 7. Terminate 8. Valuation

	4. Correction (transaction) 5. Position Component	9. Margin Update 10. Correction (margin)
Data standards	<p>Contractual Data must follow these data standards:</p> <ol style="list-style-type: none"> Derivative reports must be submitted in ISO20022 format. Derivative reports must contain the data fields defined by ESMA. Derivatives data (trades and positions) must be identified by the Unique Transaction Identifier (UTI). <p>Note: Lifecycle events submitted over legacy derivatives, i.e., reported for the first time before 29.04.2024, may be identified by a Trade ID.</p> <ol style="list-style-type: none"> The reporting counterparty must be identified by a Legal Entity Identifier (LEI). The other counterparty can be identified by either an LEI or a code for natural persons. Products must be identified with CFI codes, and with UPI and ISIN codes as applicable. The relevant ISO standards must be used to identify several data elements including: <ul style="list-style-type: none"> Currency Country Date and time LEI ISIN CFI MIC EIC Codes Unique Product Identifier (UPI) 	
Data quality upgrade	<p>Counterparties must upgrade the latest state of all their outstanding derivative contracts within the first 180 days after REFIT go-live.</p> <p>Codes for natural persons identified in field Counterparty 2 shall also be upgraded to the new standards. Important: Counterparties must contact REGIS-TR to request an upgrade on their non-LEI identifiers.</p>	
Reporting start date	29 April 2024	

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 over 1,500 client accounts and a weekly average of more than 35 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.</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 EMIR REFIT SERVICES

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

	<p>3. Mandatory delegation: A UCITS management company, AIFM or financial counterparty reports on behalf of a UCITS, AIFM or NFC-, respectively.</p> <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 EMIR REFIT. For full details, please see our website.</p>										
Account permissions	<p>1. All REGIS-TR clients with an EMIR REFIT reporting obligation may open an account, regardless of whether they report directly or delegate to another party.</p> <p>2. Clients request account setup services from REGIS-TR.</p> <p>3. Clients configure their reporting model and permissions through their account roles. An account may have multiple roles. This is a brief summary:</p> <table> <tr> <th>Account permission</th><th>Description</th></tr> <tr> <td>Reporting Participant</td><td> <ul style="list-style-type: none"> 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>Non-Reporting</td><td> <ul style="list-style-type: none"> For clients that delegate their reporting to the other counterparty or to a third party. The permission provides read-only access to the transaction data reported on the client's behalf. </td></tr> <tr> <td>Third Party Internal</td><td> <ul style="list-style-type: none"> For clients 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>Third Party External</td><td> <ul style="list-style-type: none"> For clients to report transactions on behalf of entities outside its family group. The Third Party is not a counterparty to the reported transactions. </td></tr> </table> <p>Further information: see Client Accounts.</p>	Account permission	Description	Reporting Participant	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> For clients that delegate their reporting to the other counterparty or to a third party. The permission provides read-only access to the transaction data reported on the client's behalf. 	Third Party Internal	<ul style="list-style-type: none"> For clients 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"> For clients 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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Third Party External	<ul style="list-style-type: none"> For clients to report transactions on behalf of entities outside its family group. The Third Party is not a counterparty to the reported transactions. 										
Validation	<p>1. REGIS-TR performs the following validations:</p> <ul style="list-style-type: none"> Sender authentication File size 										

	<ul style="list-style-type: none"> • System availability (see below) • File name convention • Schema validation • Permission validation • Logical validation • Business validation (correctness and completeness of data). <p>2. To enable clients to track the progress of their submissions, we return a validation report covering each reported derivative, which is sent within one hour of the client's derivative submission. If any derivative is rejected, the report provides all the reasons.</p> <p>3. Immediate rejection feedback messages are sent to the Report Submitting Entity on the communication channel used to submit the.</p> <p>Further information: see Validation.</p>
Reporting to clients	<ul style="list-style-type: none"> • We provide a series of reports detailing reporting activity and transaction states among others. • Several connectivity options are available. <p>Further information: see Connectivity options and Reporting to clients.</p>
EMIR REFIT Dashboard	<p>This is a secure web user interface designed to simplify the management of client derivative reporting. It enables clients to upload and track derivative submissions, view, query and export reports and access support manuals and other documentation.</p>
Connectivity options	<p>REGIS-TR provides one manual and three automated options for:</p> <ul style="list-style-type: none"> • The submission of derivatives and updates, and • The reception of Immediate rejection feedback messages, reports, and other communications from REGIS-TR. <p>Manual file upload/download</p> <ul style="list-style-type: none"> • Clients needing to report only a small number of derivatives may find it more efficient to submit reports via secure internet access in their EMIR REFIT Dashboard. <p>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 EMIR REFIT Dashboard, regardless of the method chosen for the upload of the derivatives. <p>Automated file transfer via:</p> <ul style="list-style-type: none"> • API REST Web service, or,

	<ul style="list-style-type: none"> Secure File Transfer Protocol (SFTP) Further information: see Connectivity options .		
Production and testing environments	<p>REGIS-TR offers two separate environments for entities reporting under EMIR REFIT. Production account holders have automatic access to all two environments.</p> <p>Production environment</p> <ul style="list-style-type: none"> Upload of derivative reports Real-time processing of derivative reports Production: live reporting environment. <p>Note: Further details on this environment will be provided at a later stage.</p> <p>UAT environment</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. <p>Note: During the EMIR REFIT implementation phase, standard EMIR UAT and EMIR REFIT UAT environments will coexist.</p>		
System availability	Note: All times UTC	Production	UAT
	Processing days	REGIS-TR working days	Every day
	Inbound reporting open	01:00:00 to 22:00:00	01:00:00 to 22:00:00
	Inbound reporting closed	22:00:00 to 01:00:00	22:00:00 to 01:00:00
	EMIR REFIT Dashboard availability: 24/24h all days except for scheduled maintenance		
Client Services	<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>		

Relationship Management team	<p>REGIS-TR has a team of Relationship Managers in various European locations. Each of these holds regular User Groups to provide news, present product developments and enhancements and discuss industry developments.</p> <p>The team can be contacted directly for advice and support on all areas of our business, including:</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, Spanish, Czech, Slovak, Bosnian.</p> <p>Availability: All REGIS-TR working days.</p> <p>Hours: 08:30 - 18:30 CET/CEST.</p> <p>Contact details: see Contacts.</p>
Training for clients	<p>We run EMIR REFIT trainings, webinars and hold regular User Groups and workshops. Please see our website or follow us on LinkedIn and Twitter for details and updates.</p>
Infrastructure	<ul style="list-style-type: none"> • REGIS-TR offers a robust, high-capacity technical infrastructure with a range of secure connectivity methods and message formats to enable clients to streamline their reporting. • Our platform 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.
Service Levels/SLAs	<ul style="list-style-type: none"> • Average response times for technical support is 3 hours during working days • Availability and content of reports and feedback to clients is defined in each section of these reports in this handbook. See REGIS-TR to entities section • Clients with specific service level requirements are invited to contact their Relationship Manager.
Fees and pricing structure	<ul style="list-style-type: none"> • REGIS-TR operates an open and transparent pricing policy in accordance with FRAND pricing principles. We aim to be fair, reasonable, and non-discriminatory, adhering to the regulatory requirements governing the pricing of trade repository services.

- We provide our clients with a clear, straightforward fee schedule containing all the information required to estimate actual monthly costs. Our fees are cost-related and reflect the clients' actual system usage. We regularly review our pricing structure to ensure our fees remain competitive and cost-effective.

CLIENT ACCOUNTS

This section applies to:	Entities that report to REGIS-TR, whether they report directly, delegate their reporting to another entity or report on behalf of other entities.
This section covers:	<ol style="list-style-type: none"> 4. Introduction 5. Reporting Participant permission 6. Non-Reporting Entity permission 7. Third Party Internal permission 8. Third Party External permission

Introduction

Purpose of accounts	<p>REGIS-TR accounts are for the use of:</p> <ul style="list-style-type: none"> • Entities that submit reports on their own behalf. • Entities that submit reports on behalf of another entity. • Counterparties with no reporting obligation that submit reports on behalf of their other counterparty. • Entities under mandatory delegation that submit reports on behalf of a UCITS, AIF or NFC-. • Entities that delegate their reporting to another entity but require detailed access to the reports submitted on their behalf. <p>Entities may report own and delegated derivatives through the same account after correctly assigning the required permissions.</p>
Account permission validations	Account permissions are verified on receipt of any lifecycle event. If the account does not hold the correct permissions, the derivative report is rejected.
Accounts for delegating entities	An entity that intends to delegate its reporting to another entity may open an account with non-reporting permissions to directly access to the data submitted on their behalf, and to view the associated REGIS-TR reports.
Environments	<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.

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.
Delegation control	<ol style="list-style-type: none"> 1. This is a validation performed when REGIS-TR detects that the entity that submitted the derivative report is neither the Entity Responsible for the Report nor the Reporting Counterparty. 2. The control is designed to ensure that the report-submitting entity is duly authorised to report the derivative. Further information: see Delegation control.
Account codes	<ol style="list-style-type: none"> 1. Account codes are allocated by the REGIS-TR. 2. The account code structure is: <ul style="list-style-type: none"> four letters denoting jurisdiction and regulation (eudb) + a letter denoting environment (m for UAT, p for Production) + seven alphanumeric characters Example: eudbpaa01000. 3. The account types are unique, but may hold the following permission types: <ul style="list-style-type: none"> Reporting Participant Third Party Internal Third Party External Non-Reporting
Account application, setup and management	<ol style="list-style-type: none"> 1. REGIS-TR clients are required to follow the onboarding process for initial account setup. 2. 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. <p>Further information on the new Master Entity Data platform will be provided before REFIT go-live.</p>
Reporting to the client	<ol style="list-style-type: none"> 1. REGIS-TR sends the client's 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

	<ul style="list-style-type: none"> Other authorized entities <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 EMIR 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>
Central Coordinator / Administrator	<p>All clients need to define and authorise at least one Central Coordinator or Administrator user. 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.

Reporting Participant permissions

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

	<ul style="list-style-type: none"> Statistical information on derivatives submitted by or on behalf of the account holder.
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Non-Reporting Entity permissions

These permissions are for:	<p>A Reporting Counterparty or Entity Responsible for the Report that:</p> <ul style="list-style-type: none"> Delegates in full its report submissions, and/or Requires oversight of the transactions reported on its behalf. <p>An entity that is not Reporting Counterparty or Entity Responsible for the Report that:</p> <ul style="list-style-type: none"> Has been granted with data access permissions by the Reporting Counterparty or Entity Responsible for the Report
Account permissions	<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. Statistical information on derivatives submitted by or on behalf of the account holder

Third Party Internal permissions

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

- Statistical information on derivatives submitted by or on behalf of the account holder

Third Party External permissions

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

DELEGATION

Introduction

This section applies to:	<ol style="list-style-type: none"> 1. Entities that delegate their reporting. 2. Counterparties to a derivative 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 a derivative 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 EMIR regulation. <p>Voluntary delegation</p> <ul style="list-style-type: none"> • The delegation is notified to REGIS-TR in a delegation file or online form submitted by the delegated entity. • The delegation is confirmed by the delegating entity • This file is verified on receipt of any lifecycle event to ensure the delegation is active. • If the delegation is not in place, is invalid or is not confirmed by the delegating entity, the derivative 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 a derivative	Where a Report Submitting Entity is reporting for both counterparties of a derivative, each counterparty side must be submitted as a separate report.
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Delegation rules

Voluntary delegation	<p>Delegation is voluntary where the Entity Responsible for the Report or Reporting Counterparty chooses to delegate its reporting to its other counterparty or to a third party.</p> <p>Note: In this case, reporting is subject to delegation control, also referred as permission validations.</p>
Mandatory delegation	<p>Delegation is mandatory in the following cases for OTC derivatives:</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 derivative is concluded between an FC and an NFC-, the FC is the Entity Responsible for the Report. <p>Rule: In these cases, reporting is not subject to delegation control.</p> <p>Note: For OTC derivatives not subject to mandatory delegation, the Entity Responsible for the Report is the Reporting Counterparty.</p>
Account permissions	<p>An entity with an account holding Reporting Participant, Third Party Internal or Third Party external permissions may report on behalf of its other counterparty or counterparties.</p> <p>Rule: If the delegation is voluntary, the reporting is subject to delegation control.</p>

Account requirements

Report Submitting Entity	<p>An entity reporting on behalf of another must hold an account with at least one of the following permission types:</p> <ul style="list-style-type: none"> • Reporting Participant • Third Party Internal • Third Party External
Financial Counterparty reporting under mandatory delegation	<p>An FC with a Reporting Participant permissioned account may report OTC derivatives 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 have in place Third Party Internal permissions if they intend to report OTC derivatives on behalf of their fund. 2. If reporting for the fund is delegated to a third party, the fund management company may hold a Third Party Internal or Non-Reporting Entity permissions to view the submitted OTC derivatives and REGIS-TR reports.

3. A third party delegated by an AIFM or UCITS management company requires Third Party permissions.

Delegation control

Purpose	To ensure that the Report Submitting Entity is authorised to submit derivatives 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 lifecycle events 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. 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. 3. If the delegation authorisation is valid, the derivative record passes the permission validation. 4. If the delegation authorisation is missing, has expired or has not been confirmed by the delegating entity, the derivative record fails the permission validation of delegated reporting and is rejected.
Delegation authorisation notification	<p>Delegated entities may notify their delegation authorisations in three different ways:</p> <ol style="list-style-type: none"> 1. Filling in an online form in the EMIR Dashboard 2. Uploading delegation file from EMIR Dashboard 3. Submitting delegation file through other connectivity channel (API Rest, SFTP) <p>Following the successful validation of the notification, delegating LEIs receive a delegation confirmation request. Note: Delegation authorisation set up is only concluded after successful confirmation.</p>
Delegation authorisation confirmation	<p>Delegating entities must confirm the delegation before it is applicable. After delegated entities have successfully notified REGIS-TR of a new relationship, delegating entities may take the following steps to confirm the delegation and enable the reporting on their behalf:</p> <ol style="list-style-type: none"> 1. If as delegating entity you hold an active account, REGIS-TR will notify you of a new delegation relationship request via the EMIR Dashboard and automated email. Then: <ol style="list-style-type: none"> a. Access <i>EMIR Dashboard > My settings > Permissions > LEIs reporting on my behalf</i> b. Verify list of authorised entities and Accept or Reject new relationship

	3	Date	YYYYMMDD (YearMonthDay)	Date when the file is sent
	4	Time	HHMMSS (HourMinuteSeconds)	Time (UTC) when the file is sent
	5	Sequence number	Integer 4 digits	Integer for Participant to indicate the sequence in which the files are expected to be processed. The first number should be 0001, 0002, 0003...
	6	Optional ID	Alphanumeric field up to 50 characters	Optional for client
	7	File extension	.csv	File extension can be only .csv
	All the indexes shall be separated by “_”			
Delegation file format	<p>Updates to the delegation control may be done using a CSV file. The first five rows are header 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 SDLG 5. Column headings, specify DELEGATING-ENTITY-LEI;DELEGATION-STATUS;EFFECTIVE-DATE;DELEGATING-CONTACT-EMAIL <p>This is immediately followed by one or more body records in four columns using semicolon (;) as the column separator:</p>			
	Col.	Field	Format	Comment
	1	DELEGATING-ENTITY-LEI	20 alphanumeric characters	LEI of the Entity Responsible for the Report
	2	DELEGATION-STATUS	Values ACTI / INAC	Status of the delegation: Active (ACTI) or inactive (INAC)
	3	EFFECTIVE-DATE	YYYYMMDD	Start date of the delegation

	4	DELEGATING-CONTACT-EMAIL	Email address	Contact email at the delegating entity to confirm authorisation.																				
Delegation response file format	<p>A delegation response file will be received after a CSV delegation file is submitted. The first five rows are header information:</p> <ol style="list-style-type: none">1. Sender, specify RGTRESMMXXX2. Receiver, your LEI3. Report generation timestamp in UTC, i.e. YYYY-MM-DDThh:mm:ssZ4. Report type, specify IDLG5. Column headings, specify DELEGATING-ENTITY-LEI;VALIDATION-STATUS;ERROR-CODE;ERROR-DESCRIPTION <p>This is immediately followed by one or more body records in four columns using semicolon (;) as the column separator:</p> <table><tr><th>Col.</th><th>Field</th><th>Format</th><th>Comment</th></tr><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>VALIDATION-STATUS</td><td>Values ACPT / RJCT</td><td>Result of the validation</td></tr><tr><td>3</td><td>ERROR-CODE</td><td>Up to 12 alphanumeric characters</td><td>If Validation status is RJCT: error code 'RTR-DELG-XXX'. If Validation status is ACPT: value 'NA' will be shown.</td></tr><tr><td>4</td><td>ERROR-DESCRIPTION</td><td>Up to 180 alphanumeric characters</td><td>If Validation status is RJCT: error description associated to the reason of the rejection. If Validation status is ACPT: value 'NA' will be shown.</td></tr></table>				Col.	Field	Format	Comment	1	DELEGATING-ENTITY-LEI	20 alphanumeric characters	LEI of the Entity Responsible for the Report	2	VALIDATION-STATUS	Values ACPT / RJCT	Result of the validation	3	ERROR-CODE	Up to 12 alphanumeric characters	If Validation status is RJCT: error code 'RTR-DELG-XXX'. If Validation status is ACPT: value 'NA' will be shown.	4	ERROR-DESCRIPTION	Up to 180 alphanumeric characters	If Validation status is RJCT: error description associated to the reason of the rejection. If Validation status is ACPT: value 'NA' will be shown.
Col.	Field	Format	Comment																					
1	DELEGATING-ENTITY-LEI	20 alphanumeric characters	LEI of the Entity Responsible for the Report																					
2	VALIDATION-STATUS	Values ACPT / RJCT	Result of the validation																					
3	ERROR-CODE	Up to 12 alphanumeric characters	If Validation status is RJCT: error code 'RTR-DELG-XXX'. If Validation status is ACPT: value 'NA' will be shown.																					
4	ERROR-DESCRIPTION	Up to 180 alphanumeric characters	If Validation status is RJCT: error description associated to the reason of the rejection. If Validation status is ACPT: value 'NA' will be shown.																					
How to amend or cancel delegation authorisation	<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 delegation status INAC and confirm when requested. <p>Notes:</p> <ul style="list-style-type: none">• A new file will not overwrite all previously accepted delegation authorisations.• A change in delegation authorisation will not take effect until the delegating entity has confirmed the authorisation.• Delegating contact email may be filled in with a generic / group email address <p>Delegation files for amendments or cancellations must include updated start dates.</p>																							

How to view delegations	<p>Delegating entities:</p> <ol style="list-style-type: none"> Go to your EMIR Dashboard and select <i>My settings > Permissions > LEIs reporting on my behalf</i>. View a list of your delegated reporting entities by: <ul style="list-style-type: none"> Authorised entity name: Name of the authorised entity as per GLEIF database Authorised entity LEI: Identifier of the delegated entity Status: Pending confirmation, Confirmed, Active, Rejected or Cancelled Authoriser email address: the email address informed by the delegated entity as approver for the delegation Take actions on your list of delegated reporting entities by: <ul style="list-style-type: none"> Accepting or rejecting a delegation relationship in status 'Pending confirmation'. Note: in case of rejection, you may indicate the reason and notify the delegated entity. Cancelling an active delegation relationship Accepting a previously rejected delegation relationship in status 'Rejected' <p>Delegated entities:</p> <ol style="list-style-type: none"> Go to your EMIR Dashboard and select <i>My settings > Permissions > Reporting on behalf of other LEIs</i>. View a list of your delegated reporting entities by: <ul style="list-style-type: none"> Authoriser entity name: Name of the delegating entity as per GLEIF database Authoriser entity LEI: Identifier of the delegating entity Status: Pending confirmation, Confirmed, Active, Rejected or Cancelled Authoriser email address: the email address responsible to confirm the delegation Search for the files by LEIs, status date range and company name. The results can be viewed and/or exported. Take actions on your list of delegated reporting entities by: <ul style="list-style-type: none"> Modifying the details of a delegation relationship Send a reminder to the delegating entity to confirm the authorisation. Note: the number of reminders sent per day are limited. Cancel the delegation Reactivate an cancelled delegation
Unsubscribe from automatic emails	<p>It is possible to unsubscribe from automatic emails generated from the EMIR Portal in section My Details (upper right corner). By deselecting this option, users will be unsubscribed from all automatic emails received: Delegation updates emails, news emails and documentation emails.</p>

TRANSACTION REPORTING

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

Table 1	Counterparty data	Derivatives Trade Report auth.030
Table 2	Common data	Derivatives Trade Report auth.030
Table 3	Margin data	Derivatives Trade Margin Data report, auth.108

Action types

Introduction	This section sets out the Action types and the typical purposes of the transactions.
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Action type	Code	Used for
New	NEWT	<ul style="list-style-type: none"> Identify a report of a derivative, at a trade or position level, for the first time
Modification	MODI	<ul style="list-style-type: none"> Modification to the terms or details of a previously reported derivative, at a trade or position level, but not a correction of a report Upgrade a legacy derivative, reported for the first time before 29.04.24, to the REFIT standards <p>Note: Do not use this action type for:</p> <ul style="list-style-type: none"> Errors or mistakes in previous reports (use CORR) Early termination that are applicable on the submission date of the report (use TERM) Valuation update (use VALU) Revive an expired or terminated derivative (use REVI)
Correction	CORR	<p>Corrects an error or mistake on a previously reported derivative.</p> <p>Note: Do not submit a Correction message if reporting a contractual amendment agreed between the parties (use MODI)</p>

Action type	Code	Used for
Revive	REVI	<ul style="list-style-type: none"> Reopen an expired derivative, at trade or position level Reopen a derivative that was early terminated by mistake Reopen a derivative that was errored by mistake Change a derivative that was errored by mistake to a non-outstanding state
Position Component	POSC	<ul style="list-style-type: none"> Report of a new derivative that is terminated and included in a separate position report on the same day.
Termination	TERM	Terminates an existing derivative, at a trade or position level, on a date prior to the contracted end date.
Valuation	VALU	An update of a valuation of a derivative, at a trade or position level.
Error	EROR	Cancels a wrongly submitted entire report in case the derivative, at a trade or position level, never came into existence or was not subject to EMIR REFIT reporting requirements but was reported to a TR by mistake, or a cancellation of duplicate report.
Margin Update (Margin)	MARU	An update of data related to margins (collateral).
Correction (Margin)	CORR	A report correcting the erroneous data fields of a previously submitted report of margins (collateral)

Permissible sequence of Action Types

Diagrams	<p>These diagrams show which Action Types can be used in</p> <ol style="list-style-type: none"> 1. Transaction reports at trade and position level and 2. Margin Data reports
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Action Types in Transaction and margin reports

		Subsequent Action type Valid / Invalid									
		NEWT	MODI	CORR	VALU	CORR (margin)	MARU	TERM	POSC	EROR	REVI
Previous Action type	NEWT	X	✓	✓	✓	X	✓	✓	X	✓	X
	MODI	X	✓	✓	✓	X	✓	✓	X	✓	X
	CORR	X	✓	✓	✓	X	✓	✓	X	✓	X
	VALU	X	✓	✓	✓	X	✓	✓	X	✓	X
	MARU	X	✓	✓	✓	✓	✓	✓	X	✓	X
	TERM	X	✓	✓	✓	X	✓	X	X	✓	✓
	POSC	X	✓	✓	✓	X	✓	X	X	✓	✓
	EROR	X	X	X	X	X	X	X	X	X	✓
	REVI	X	✓	✓	✓	X	✓	✓	X	✓	X

Note: Consider that:

- Reports with action type TERM cannot be submitted over errored or non-outstanding contracts
- Reports with action type MARU are not valid if refers to a portfolio that does not have derivative contracts previously associated.

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.iso2022.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 EMIR REFIT usage guidelines	<p>Log into MyStandards</p> <ol style="list-style-type: none"> 1. Select <i>Groups</i>. 2. Select the <i>ESMA</i> group.

	<ol style="list-style-type: none"> Under Usage Guidelines, select EMIR Refit - Incoming Messages for the communication "Entity to TR" Under Usage Guidelines, select EMIR Refit - Outgoing Messages for the communication "TR to entities" Select an ISO 20022 message usage guideline for viewing. Export of the schemas in XML, PDF or Excel formats, if required.
ISO 20022 schemas	<p>The full XSD schemas are available on the ISO 20022 website: http://www.iso20022.org.</p> <p>Schemas for EMIR REFIT usage are also available on ESMA's website: https://www.esma.europa.eu/data-reporting/emir-reporting</p>

Message types

Report Submitting Entity to TR

Message name	Msg ID	Used for
Derivatives Trade Report	auth.030	Transaction report
Derivatives Trade Margin Data Report	auth.108	Margin data report

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

REGIS-TR to entities

Message name (all one word)	Msg ID	Receiving accounts	Timeline	Scope
Derivatives Trade Report	auth.030 TAR	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D =RD+1	Summary of all accepted trade reports on a given session Trade Activity Report.
Derivatives Trade Margin Data Report	auth.108 MAR	RSE, ERR, RC, Third Parties	By 06:00 UTC on day D where D =RD+1	Summary of all accepted trade reports on a given session Margin Activity Report.
Derivatives Trade Rejection	auth.092 RJC	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D =RD+1	Summary of all rejected trade and margin reports on a given session End of Day Rejection Report.

Message name (all one word)	Msg ID	Receiving accounts	Timeline	Scope
Derivatives Trade State Report	auth.107 TSR	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RD+1 D >= ED+2	Latest state of the outstanding derivatives reported up to the end of a given session (RD) with event date up to two days earlier (ED) Trade State Report
Derivatives Trade Margin Data Transaction State Report	auth.109 MSR	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RD+1 D >= ED+2	Latest state of the margins associated to outstanding derivatives reported up to the end of a given session with event date up to two days earlier Margin State Report
Derivatives Trade Rejection Statistical Report	auth.092 RJC	RSE, ERR, RC, authorised parties	60 min following file submission	Immediate validation outcome, including all accepted and rejected trade or margin submitted on a given report Immediate rejection feedback
Derivatives Trade Reconciliation Statistical Report	auth.091 REC	RSE, ERR, RC, authorised parties	By 01:00 UTC on day D where D = RS + 1 D >= RD+2 D >= ED+3	Immediate reconciliation outcome, including only derivatives submitted to reconciliation on the given session
Derivatives Trade Reconciliation Statistical Report	auth.091 REC	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RS + 1 D >= RD+2 D >= ED+3	End of day reconciliation outcome, including all derivatives eligible for reconciliation
Derivatives Trade Warnings Report	auth.106 WRN	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RD + 1 D >= ED+2	Missing valuation Summary of derivatives for which valuation was never reported or did not receive valuation updates in the previous 14 days
	auth.106 WRN	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RD + 1 D >= ED+2	Missing collateral Summary of derivatives for which collateral was never reported or did not receive margin updates in the previous 14 days

Message name (all one word)	Msg ID	Receiving accounts	Timeline	Scope
	auth.106 WRN	RSE, ERR, RC, authorised parties	By 06:00 UTC on day D where D = RD + 1	Outliers Lifecycle events reported with notional values above a predetermined threshold considered abnormal

Note:

- D refers to report generation date
- RD refers to Reporting Date, being the date in which the record was submitted to the REGIS-TR
- ED refers to regulatory field Event Date
- RS refers to Reconciliation Session
- Consider that, the generation of reports starts in D-1, so there is a possibility to be provided in D-1 if the generation process finishes earlier

File structure and submission

Format	All regulatory EMIR REFIT inbound and outbound files are formatted in ISO 20022 XML.			
File structure	Files are exchanged with REGIS-TR in files containing: <ol style="list-style-type: none"> One XML prologue, followed by one Business Data Header (head.003.001.01) wrapper one Business Application Header (BAH) (head.001.001.01), followed by one payload message of the types described in the previous section, above Note: End of Day reports are compressed using ZIP format.			
Maximum file sizes	These depend on the connectivity option for inbound files, and the report type and contents for outbound files:			
		API REST	SFTP	File upload
	Entity to REGIS-TR	4 MB	1 GB	50 MB (per batch of files)
	REGIS-TR to Entities	20 MB	Maximum file sizes will fluctuate with different contents as outbound files are limited (paginated) to 500,000 records.	

Business Data Header	<p>The Business Data Header (head.003.001.01) 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> (the payload message goes here) </Pyld> </BizData></pre>								
Business Application Header (BAH)	<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.								
Environment indicator in the BAH	<p>In outbound files sent from REGIS-TR, the business service <BizSvc> element in the BAH indicates the environment as follows:</p> <table><tr><td><BizSvc></td><td>Environment</td></tr><tr><td>EMIR REFIT_MBT</td><td>MBT</td></tr><tr><td>EMIR REFIT_PROD</td><td>Production</td></tr></table> <p>Example: <BizSvc>EMIR REFIT_PROD</BizSvc></p>			<BizSvc>	Environment	EMIR REFIT_MBT	MBT	EMIR REFIT_PROD	Production
<BizSvc>	Environment								
EMIR REFIT_MBT	MBT								
EMIR REFIT_PROD	Production								
Inbound filename: Entities to REGIS-TR	<ul style="list-style-type: none">This table shows the mandatory naming convention for files you send to REGIS-TR.Insert the character “_” between each field of the filename.You may include one or more Action Types in the same file. Examples: New, Error.								
	Field	Format	Comment/Example						
	1 Account Code	12 alphanumeric characters	<p>The composition of the account code is as follows:</p> <ul style="list-style-type: none">four letters denoting jurisdiction and regulation (eudb)						

			<ul style="list-style-type: none"> + a letter denoting environment (m for UAT, p for Production) + seven alphanumeric characters Example: eudbpaa01000
2	File type	8 alphanumeric characters	One of the following: <ul style="list-style-type: none"> S030 (auth.030) S108 (auth.108)
3	Date	YYYYMMDD	Date when the file is sent. (20240630)
4	Time	HHMMSS	Time when the file is in UTC. (103000)
5	Sequence number	4 alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
6	Optional ID (Optional)	Up to 50 alphanumeric characters	Optional info added by a client
7	File extension	4 alphanumeric characters	".xml"
Example: eudbpcc12000_S030_20240915_100000_0001_TEST.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.		
End of Day Outbound filename: REGIS-TR to client	End of day reports 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	Account Code	12 alphanumeric characters	The composition of the account code is as follows: <ul style="list-style-type: none"> four letters denoting jurisdiction and regulation (eudb) + a letter denoting environment (m for UAT, p for Production) + seven alphanumeric characters Example: eudbpaa01000
2	File type	4 alphanumeric characters	One of the following: <ul style="list-style-type: none"> S030 (auth.030) S108 (auth.108) S107 (auth.107) S109 (auth.109)

			<ul style="list-style-type: none"> • S092 (auth.092) • S091 (auth.091) • S106 (auth.106)
3	Timestamp	YYYYMMDDhhmmss	<ul style="list-style-type: none"> • Date and time of the reporting session to which the file corresponds. Example: S030 as of day D is usually delivered on T+1 by 06:00 UTC
4	Report code	3 alphanumeric characters	<ul style="list-style-type: none"> • TAR (auth.030, auth.108) • TSR (auth.107, auth.109) • RJC (auth.092) • REC (auth.091) • WRN (auth.106)
5	Sequence number	4 alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
6	File extension	4 alphanumeric characters	".zip"
Examples: eudbpcc34000_S092_20240915100000_RJC_0001.zip eudbpcc34000_S091_20240720100000_REC_0001.zip			
Intraday Outbound filename: REGIS-TR to client	Intraday 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 Account Code	12 alphanumeric characters	The composition of the account code is as follows: <ul style="list-style-type: none"> • four letters denoting jurisdiction and regulation (eudb) • + a letter denoting environment (m for UAT, p for Production) • + seven alphanumeric characters Example: eudbpaa01000
	2 File type	4 alphanumeric characters	One of the following: <ul style="list-style-type: none"> • S030 (auth.030) • S108 (auth.108)
	3 Date	YYYYMMDD	Date when the file is sent to participant

	4	Time	HHMMSS	Time when the file was sent in UTC. (103000)
	5	Sequence number	4 alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
	6	Optional ID (Optional)	Up to 50 alphanumeric characters	Optional info added by client followed by '.092' Example: TEST123.092
	7	File extension	4 alphanumeric characters	".xml"
Example: eudbpcc12000_S092_20240915_103000_0001_TEST123.092.xml				
Transport methods	<ol style="list-style-type: none"> 1. API REST 2. SFTP 3. EMIR Dashboard Further information: Connectivity Options .			

CONNECTIVITY OPTIONS

Introduction	<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 derivative reports 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 account. 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 EMIR Dashboard, regardless of the method chosen for the upload of derivative reports. 	
Manual upload/download	<p>If you are reporting on a small number of transactions or positions, it may be more efficient to upload reports manually via secure internet access in your EMIR Dashboard.</p> <p>Note: This method can also be used as a contingency measure in the event of an issue with an automated file transfer.</p>	
CSV to XML conversion	<p>If you are reporting on a small number of derivatives, it may be suitable for you to include your derivatives in a CSV file, use the CSV to XML converter tool in the EMIR Dashboard, validate the outcome, and then use the XML for reporting.</p>	
Automated file transfer options	<p>REGIS-TR offers two options for secure and automated file transfer and communications between the client and the TR. A client may combine the manual connectivity of the EMIR REFIT Dashboard with one of the automated connectivity options:</p>	
	API	Platform-independent Internet service based on the open standards JSON, HTTPS and REST.
	SFTP	Secure file transfer protocol over Internet connection. Secured with public key cryptography.
Response messages	<p>REGIS-TR returns an ISO 20022 acknowledgement in response to each uploaded file.</p> <p>For other feedback, see Reporting to Clients.</p>	
This section covers:	<ol style="list-style-type: none"> 1. API 2. SFTP 3. EMIR REFIT Dashboard 	

API

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

Introduction

API RESTFUL	<ul style="list-style-type: none"> The API Service enables interoperable machine-to-machine communications using the open standards JSON, HTTPS, REST. The use of these standards on a services platform enables client and service applications to communicate via multiple platforms and development languages.
API	<p>API Description Language</p> <p>Describes the external interface of the service.</p> <p>Participants may request a Swagger file for the EMIR REFIT service to REGIS-TR EMIR 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"> New endpoints New authentication server 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.six-group.com/regis-tr/file-processing/v1 Production environment: https://api.six-group.com/regis-tr/file-processing/v1
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.six-group.com/regis-tr/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>
Registration and access credentials	<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
Requesting token	<p>You may use the following URLs to get your new access token:</p> <ul style="list-style-type: none"> UAT environment: https://wes-idp.six-group.com/apigw/oauth/token Production environment: https://wes-idp.six-group.com/apigw/oauth/token
Client generation	<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 EMIR Dashboard</p>

Endpoints

Introduction	<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"> 1. Send file 2. Search ingestions 3. Retrieve file 4. Retrieve results 	
Definitions	Client ID	Public client ID associated to a REGIS-TR customer
	Client Secret	Private pass code to get a token
Send XML file	<p>To submit an S030 or S108 file with derivative records.</p> <p>Syntax:</p> <p>POST /regis-tr/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 EMIR Dashboard.</p> <p>Returns:</p> <p>202 Accepted</p>	
Retrieve ingestions produced in the system	<p>Files submitted generate ingestion objects that contain all the information associated to the file, results and status.</p> <p>Syntax:</p> <p>GET /regis-tr/file-processing/v1/ingestions</p>	

	<p>The operation supports query for:</p> <ul style="list-style-type: none"> - Filter filename - Filter sessionDate - Filter filetype <p>Returns:</p> <p>200 OK + List of paginated ingestions</p>
Retrieve file content by ID	<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 /regis-tr/file-processing/v1/ingestions/{ingestionId}/input-file/file-content</p> <p>Returns:</p> <p>200 OK + File in binary format.</p>
Retrieve result of the ingestion process	<p>Submitting entities may download the outcome of the ingestion processing.</p> <p>Syntax:</p> <p>GET /regis-tr/file-processing/v1/result-files/{resultFileId}/file-content</p> <p>Returns:</p> <p>200 OK + File in binary format.</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	<p>POST /apigw/oauth/token HTTP/1.1</p> <p>Content-Type: application/x-www-form-urlencoded</p> <p>Authorization: Basic AA== {add <u>user:password</u> 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>

	Connection: keep-alive
Response	HTTP/1.1 200 OK Content-Type: application/json { "access_token": "{value}", "token_type": "Bearer", "expires_in": 3600 }

Best practices

Sending message files	Include as many messages as possible in each submission file. Reason: minimises the number of connections needed.
Retrieving files from REGIS-TR	The files submitted to the system should not exceed 4MB. Due to high demand support, the system protects itself by restricting the limit of the files submitted by API channel.
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
	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.
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This section covers:	<ol style="list-style-type: none"> 1. Security and configuration 2. Connecting to the server 3. Server information
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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>Entities may continue using their current public ssh keys for the EMIR REFIT UAT environment. Important: Entities need to generate new public keys to send and retrieve files in the EMIR REFIT Production environment.</p> <p>Conditions:</p> <ul style="list-style-type: none"> • RSA Key • Key length 3072 bits • Compatible with OpenSSH • Maximum 5 public keys per account.
Contact REGIS-TR	<p>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.</p>
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> <ul style="list-style-type: none"> • KexAlgorithms: (8) <ul style="list-style-type: none"> ○ curve25519-sha256 ○ curve25519-sha256@libssh.org ○ ecdh-sha2-nistp256 ○ ecdh-sha2-nistp384 ○ ecdh-sha2-nistp521 ○ diffie-hellman-group-exchange-sha256 ○ diffie-hellman-group16-sha512 ○ diffie-hellman-group18-sha512 • server_host_key_algorithms: (4) <ul style="list-style-type: none"> ○ rsa-sha2-512 ○ rsa-sha2-256 ○ ecdsa-sha2-nistp256 ○ ssh-ed25519

	<ul style="list-style-type: none"> • encryption_algorithms: (3) <ul style="list-style-type: none"> ○ aes256-gcm@openssh.com ○ chacha20-poly1305@openssh.com ○ aes256-ctr • mac_algorithms: (6) <ul style="list-style-type: none"> ○ hmac-sha2-256-etm@openssh.com ○ umac-128-etm@openssh.com ○ hmac-sha2-512-etm@openssh.com ○ hmac-sha2-256 ○ umac-128@openssh.com • hmac-sha2-512
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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. PROD environment
User numbers	One user only per environment.
UAT environment	Hostname: emir-mbt-resfa.np.regis-tr.com Port: 10022 Username: tf + account code. Example: tfeudbmaa01000. Note: Usernames shall always be written in lowercase.
PROD environment	Hostname: emir-prod-resfa.regis-tr.com Port: 10022 Username: tf + account code. Example: tfeudbpaa01000. Note: Usernames shall always be written in lowercase.

Server information

Server folders	Name	Purpose
	ToREGISTR	Put message files (client to REGIS-TR)
	FromREGISTR	Get response files/reports (REGIS-TR to client)
	Quarantine	Folder where suspicious inbound files are inserted. The inbound file usually has wrong schema. The following

		characters should not be included in inbound files to avoid this issue: ! \ @ # \$ % * < >
System security	1. 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. User should not create additional folders in the SFTP channel. REGIS-TR may delete additional folders created by users. 	
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> <p>In addition, files are removed from the SFTP automatically after a specific period of time:</p> <ul style="list-style-type: none"> For folder FromREGISTR, files are stored from the last 14 days and after that period, they are automatically erased. For Quarantine folder, files are erased after 60 days. 	

EMIR Dashboard

Introduction	<p>Your EMIR REFIT 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	Users with read and write permissions.
URLs	<ul style="list-style-type: none"> UAT environment: https://emir-pppd.np.regis-tr.com Production environment : https://emir.regis-tr.com
Upload procedure	<ol style="list-style-type: none"> Use an up-to-date Internet browser to open the desired environment, see Log in to your EMIR Dashboard Select <i>My reporting area > File Upload</i>

	<ol style="list-style-type: none">3. Select or drag and drop up to 20 files.4. Confirm submission
Download procedure	Please see Viewing and retrieving reports.

VALIDATION

Introduction	<p>Validation is performed on:</p> <ul style="list-style-type: none"> Submitted derivatives message files, and lifecycle events. Delegation files
Validation rules	<p>For the full validation rules and error codes, refer to the applicable regulatory documents. You can find key information here: https://www.esma.europa.eu/data-reporting/emir-reporting</p>
Timing	<p>Your message files are processed by REGIS-TR in the order they are received, and records are processed in the same order they were recorded in each file. Files received at the exact same time are processing using the sequence indicated in the filename.</p> <p>Note: This is regardless of which connectivity method was used to submit them.</p>

Validation process

Report validation process	<ol style="list-style-type: none"> 1. REGIS-TR authenticates the sender and the account used to submit the report. If the authentication fails, the file is rejected, and the sender is notified. If the sender is authenticated, the file passes to the next validation stage. 2. REGIS-TR validates the file size and system availability. If the validation fails, the file is rejected, and the sender is notified. If the validation is successful, the file passes to the next validation stage. 3. REGIS-TR validates the file name. If the validation fails, the file is rejected, and the sender is notified. If the validation is successful, the file is accepted and 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 "CRPT (corrupted)", and the sender is notified. If the validation is successful, the file passes to the next validation stage. 5. REGIS-TR validates the records in the message against permission, logical and business rules. 6. When the validation of all the records in one file is complete, REGIS-TR generates an Immediate rejection feedback message containing the validation results. This feedback includes all errors encountered and the Xpath where they are identified. This is sent within an hour of receiving the message file. <p>Notes:</p> <ul style="list-style-type: none"> All the rejections will be notified with the Immediate Rejection Feedback message through auth.092 in less than 60 minutes.
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- When a record fails permission validation, it is rejected without further validation.
- A file may have accepted status even if all records have failed the validations.

REPORTING TO CLIENTS

Introduction

Introduction	This section describes the Outbound reports sent to you by REGIS-TR (REGIS-TR to Entities)
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.
Format	<p>It is possible to receive End of Day reports in XML and CSV format and both of them will be received compressed in ".zip".</p> <p>In both cases reports will be available in the EMIR Dashboard portal and the connectivity channel available for that account.</p>
CSV format details	<p>The following aspects describe the details for CSV End of Day reports:</p> <ol style="list-style-type: none"> 1. Request: Participants can request to receive the End of day reports in CSV format from the EMIR Dashboard portal in the section <i>My settings > Report settings</i>. The following reports in available for CSV format: <ul style="list-style-type: none"> • S030 Derivatives Trade Report. • S108 Derivatives Trade Margin Data Report • S107 Derivatives Trade State Report • S109 Derivatives Trade Margin Data Transaction State Report. • S106 Derivatives Trade Warnings Report. • S092 Derivatives Trade Rejection Statistical Report. • I091 Immediate Derivatives Trade Reconciliation Statistical Report. • S091 Derivatives Trade Reconciliation Statistical Report

	<div><div>Report settings</div><div><div>Standard Reports</div><table><tr><th>Data type</th><th>Updated by</th><th>Last update</th><th>Start date</th><th>End date</th><th>Format</th></tr><tr><td>Reconciliation immediate feedback, auth.091</td><td>REGIS-TR</td><td></td><td>2023-02-20 16:00:43.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV</td></tr><tr><td>Margin Activity Report, auth.108</td><td>REGIS-TR</td><td></td><td>2023-02-19 23:00:00.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV</td></tr><tr><td>Margin State Report, auth.109</td><td>REGIS-TR</td><td></td><td>2023-02-19 23:00:00.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV</td></tr><tr><td>Reconciliation Report, auth.091</td><td>REGIS-TR</td><td></td><td>2023-02-20 16:00:43.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV</td></tr><tr><td>Rejection Report, auth.092</td><td>REGIS-TR</td><td></td><td>2023-02-19 23:00:00.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV</td></tr><tr><td>Trade Activity Report, auth.030</td><td>REGIS-TR</td><td></td><td>2023-02-19 23:00:00.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV</td></tr><tr><td>Trade State Report, auth.107</td><td>REGIS-TR</td><td></td><td>2023-02-19 23:00:00.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV</td></tr><tr><td>Warning Report, auth.106</td><td>REGIS-TR</td><td></td><td>2023-02-20 16:00:43.000000...</td><td></td><td><input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV</td></tr></table></div></div> <p>The user can activate the CSV reports clicking on the CSV format field of each report, once clicked and confirmed, the CSV reports will start being generated the same night than the XML reports. Each report should be clicked individually. The user can deactivate the CSV reports clicking again on the CSV format field. XML reports cannot be deactivated due to regulatory requirements.</p> <ol style="list-style-type: none">Reception: for participants with CSV format option selected, they will receive the same report twice, one of them for XML and a second one for CSV, both of them compressed in “.zip”.CSV Example: in section <i>Communications > Documents & Support</i> of the EMIR Dashboard, the user can find a file named “EU CSV EoD Files template” where there are examples of the CSV files of each End of Day report. To be considered, as it is shown in the mentioned template, the S106 Derivatives Trade Warnings Report will be generated in four different reports and for the S092 Derivatives Trade Rejection Statistical Report, it will be generated in three different reports.	Data type	Updated by	Last update	Start date	End date	Format	Reconciliation immediate feedback, auth.091	REGIS-TR		2023-02-20 16:00:43.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV	Margin Activity Report, auth.108	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV	Margin State Report, auth.109	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV	Reconciliation Report, auth.091	REGIS-TR		2023-02-20 16:00:43.000000...		<input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV	Rejection Report, auth.092	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV	Trade Activity Report, auth.030	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV	Trade State Report, auth.107	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV	Warning Report, auth.106	REGIS-TR		2023-02-20 16:00:43.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV
Data type	Updated by	Last update	Start date	End date	Format																																																		
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Margin Activity Report, auth.108	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input type="checkbox"/> CSV																																																		
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Trade State Report, auth.107	REGIS-TR		2023-02-19 23:00:00.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV																																																		
Warning Report, auth.106	REGIS-TR		2023-02-20 16:00:43.000000...		<input checked="" type="checkbox"/> XML <input checked="" type="checkbox"/> CSV																																																		
Receiving reports	<ol style="list-style-type: none">Outbound reports are sent from REGIS-TR to Entities through the connectivity channel selected when your account was set up.These reports are also displayed for a period in the <i>My Reports > Standard reports</i> section in your EMIR Dashboard. The length of availability depends on the report. <p>Note: Reports from the past 12 months can be retrieved in this section of your EMIR 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. (REGIS-TR to Entities)		
Action	Event date (ED)	Reporting date (RD)	Details
On day T Entity A and Entity B conclude derivative contract with UTI 123	T		
A reports its leg A-B-UTI123	T	T	Entity A reports its leg on the event date
Validation of message file and lifecycle records		T	REGIS-TR provides the derivative message file validation within 60 minutes after submission
REGIS-TR generates end of period reports		T+1, by 06:00 UTC	<ul style="list-style-type: none"> • Derivatives Trade Report: if accepted, A-B-123 is included in TAR • Derivatives Trade Rejection: if rejected, A-B-123 will be included in RJC • Derivatives Trade Warnings report: if contains abnormal values, A-B-123 will be included in WRN
		T+1, by 06:00 UTC	<ul style="list-style-type: none"> • Derivatives Trade State report: A-B-123 will not be included in TSR because the following rule is not met: <ul style="list-style-type: none"> ○ Generation date \leq ED + 2 • Derivatives Trade Warnings report: The report will not include missing valuation or missing collaterals on A-B-123 because the following rule is not met <ul style="list-style-type: none"> ○ Generation date \geq ED + 2
		T+1, by 01:00 UTC (Immediate) T+1, by 06:00 UTC (EoD)	<ul style="list-style-type: none"> • Derivatives Trade Reconciliation Statistical: A-B-123 will not be included because the following rule is not met: <ul style="list-style-type: none"> ○ Generation date \geq ED + 3
B reports its leg B-A-UTI123	T	T+1	Entity B reports its leg one day after the event date

Validation of message file and lifecycle records		T	<ul style="list-style-type: none"> REGIS-TR provides the derivative message file validation within 60 minutes after submission
REGIS-TR generates end of period reports		T+2, by 06:00 UTC	<ul style="list-style-type: none"> Derivatives Trade Report: if accepted, B-A-123 is included in TAR Derivatives Trade Rejection: if rejected, B-A-123 is included in RJC Derivatives Trade Warnings report: if contains abnormal values, B-A-123 will be included in WRN
		T+2, by 06:00 UTC	<ul style="list-style-type: none"> Derivatives Trade State report: A-B-123 and B-A-123 are included in TSR because <ul style="list-style-type: none"> Generation date \geq ED + 2 Generation date \geq RD + 1 Derivatives Trade Warnings report: Missing valuation or missing margins associated to reports A-B-123 and B-A-123 are included in WRN because: <ul style="list-style-type: none"> Generation date \geq ED + 2 Generation date \geq RD + 1
		T+2, by 06:00 UTC (Immediate) T+2, by 06:00 UTC (EoD)	<ul style="list-style-type: none"> Derivatives Trade Reconciliation Statistical: A-B-123 are not included because the following rule is not met: <ul style="list-style-type: none"> Generation date \geq ED + 3

Intraday reports

Introduction	<p>These automatically generated reports are sent in response to a derivative submission, validation or other process. These are:</p> <ol style="list-style-type: none"> 1. Message accepted. 2. Message rejected. <p>Reports generated by REGIS-TR in response to entities are named as per the following naming convention:</p> <p><i>OriginalAccountCode_OriginalFileType_OriginalSessionDate_OriginalSequenceNumber_OriginalOptionalID_ResponseFileType.FileExtension</i></p>
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Availability	<ul style="list-style-type: none"> Available in the connectivity channel used for reporting Available for 12 months in your EMIR REFIT Dashboard and also in BP API connectivity channel. 		
File name convention	Item	Format	Comment/Example
	1 Original Account Code	12 alphanumeric characters	The composition of the account code is: <ul style="list-style-type: none"> four letters denoting jurisdiction and regulation (eudb) + a letter denoting environment (m for UAT, p for Production) + seven alphanumeric characters Example: eudbpaa01000
	2 Original File type	4 alphanumeric characters	One of the following: <ul style="list-style-type: none"> S030 Intraday - Derivatives Trade Report S108 Intraday - Derivatives Trade Margin Data Report
	3 Original Session date	YYYYMMDD	Date of the reporting session to which the file corresponds. Example: 20240915
	4 Original Time	HHMMSS	Time when the file is generated. Is set in UTC time. (103000)
	5 Original Sequence number	alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
	6 Original Optional ID (Optional)	Up to 50 alphanumeric characters, special characters allowed	Optional information or reference added by a client Example: "TEST"
	7 Response File Type	4 alphanumeric characters	One of the following: <ul style="list-style-type: none"> I092 Immediate Derivatives Trade Rejection I091 Immediate Derivatives Trade Reconciliation Statistical Report
	8 File extension	3 alphanumeric characters	.xml
	9 File repetition	1 num. character	Number of files generated with the same file name.

Rejection reason example	OriginalAccountCode_OriginalFileType_OriginalSessionDate_OriginalSequenceNumber_OriginalOptionalID_ResponseFileType.FileExtension eudbpaa01000_S030_20240915_103000_0001_OptionalRef.I092.1.xml
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I092 – Immediate Derivatives Trade Rejection

Purpose	<ol style="list-style-type: none"> Provides the validation status in two levels: <ul style="list-style-type: none"> the auth.030 or auth.108 message file submitted, and the individual derivative records in the file When the message file is rejected, the Immediate Derivatives Trade Rejection provides error feedback to the extent technically possible. When a derivative report has been rejected, the Immediate rejection feedback provides information on the error. <p>Note: This feedback may not be sent if your upload channel rejects the message file owing to failure of sender authentication. In this case, rejection notification would come from the authentication process in the connectivity channel.</p>			
Time sent	Within 60 minutes of message file receipt.			
ISO message	auth.092			
Format	XML			
Status codes	Code	Name	(M)essage status or (R)ecord status	Further information
	ACPT	Accepted	M, R	The file or record has been accepted.
	CRPT	Corrupted File	M	Schema validation results in an error.
	INCF	Incorrect Filename	M	File name validator results in error.
	NAUT	Not authorised	M, R	Entity is not authorised to report the file or record.
	RJCT	Rejected	M, R	File or record has been rejected.
	WARN	Warning	M, R	Not controlled errors
Distribution	File and record level statuses are returned to the Report Submitting Entity.			

End of day reports

Introduction	These automatically generated reports are sent after the close of the daily reporting session. Reports generated by REGIS-TR to entities will named as per the following naming convention: AccountCode_FileType_SessionDate_SequenceNumber_OptionalID.FileExtension			
Availability	<ul style="list-style-type: none">• Available in your preferred connectivity channel(s)• Available for twelve months in the My Reports page in your EMIR Dashboard and also in BP API connectivity channel.• After that period, you can create an ad-hoc report with the content of such file			
File name convention	Item		Format	Comment/Example
	1	Account Code	12 alphanumeric characters	The composition of the account code is: <ul style="list-style-type: none">• four letters denoting jurisdiction and regulation (eudb)• + a letter denoting environment (m for UAT, p for Production)• + seven alphanumeric characters Example: eudbpaa01000
	2	File type	4 alphanumeric characters	One of the following: S030 Derivatives Trade Report S108 Derivatives Trade Margin Data Report S106 Derivatives Trade Warnings Report S107 Derivatives Trade State Report S109 Derivatives Trade Margin Data Transaction State Report I091 Immediate Derivatives Trade Reconciliation Statistical Report S091 Derivatives Trade Reconciliation Statistical Report S092 Derivatives Trade Rejection Statistical Report

	3	As-of date	YYYYMMDDHHMMSS	Date of the reporting session to which the file corresponds. Example: 20240915103000
	4	File order	6 characters	End of day reports are split in files with up to 500,000 records. File order indicates the sequence of the file partition. It will include four numerical characters followed by a hyphen ("-") and another numerical character. Example: 0001-0
	7	File extension	3 alphanumeric characters	".zip" Note: within the compressed files, the format of the reports will be CSV or XML.
Example	AccountCode_FileType_SessionDate_SequenceNumber_OptionalID.FileExtension eudbpaa01000_S092_20240915103000_0001-1.zip			
CSV format filename details	<p>For End of Day reports in CSV format, it should be taken into account that, S106 Derivatives Trade Warnings Report will be generated in four different reports and for the S092 Derivatives Trade Rejection Statistical Report, it will be generated in three different reports. Below it can be found an example of the different filenames for these two specific reports:</p> <ul style="list-style-type: none"> AccountCode_S106_YYYYMMDDhhmmss_WRN_WarningsSummary_0001-1_csv.zip AccountCode_S106_YYYYMMDDhhmmss_WRN_MssngValtn_0001-1_csv.zip AccountCode_S106_YYYYMMDDhhmmss_WRN_MssngMrgnInf_0001-1_csv.zip AccountCode_S106_YYYYMMDDhhmmss_WRN_AbnrmlVals_0001-1_csv.zip AccountCode_S092_YYYYMMDDhhmmss_RJC_RejectionSummary_0001-1.csv.zip AccountCode_S092_YYYYMMDDhhmmss_RJC_FileLevelRJCT_0001-1.csv.zip AccountCode_S092_YYYYMMDDhhmmss_RJC_TransactionLevel_0001-1.csv.zip 			

Viewing and retrieving reports

Introduction	<p>Use the <i>My Reports</i> section on the EMIR Dashboard to search for, view and export all reports made available on your EMIR Dashboard in the last 12 months.</p> <p>Note: Your reports are available here regardless of the channel used to upload them.</p>
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Options	<p>The <i>My Reports</i> section has three options:</p> <ol style="list-style-type: none"> 1. Immediate feedback: Search and retrieve for immediate rejection feedback reports. 2. Standard reports: Search and view standard reports submitted in the last 12 months 3. Customized reports: <ul style="list-style-type: none"> • Retrieve customized ad-hoc reports generated from <i>My settings > Ad-hoc reports</i> • Retrieve outcome reports from data searches queried from <i>Search my data</i> section and results over 5,000 records
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S030 and S108 – Daily activity reports

Purpose	<p>Provides details of all accepted derivatives submitted on the day of the report from:</p> <ul style="list-style-type: none"> • The Participant's reporting account and/or • The reporting account(s) of any entity delegated by the Participant
Time sent	Sent at the end of every reporting session, based on Target 2 calendar, and no later than 06:00 UTC on the following day.
ISO message	<ul style="list-style-type: none"> • Derivatives Trade Report: auth.030 • Derivatives Trade Margin Data Report: auth.108
Format	XML. CSV format also available upon request.
Content	The report contains details submitted in each accepted derivative. The report includes the details submitted on the previous reporting session.
Distribution	<p>These two daily reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity • Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report

S107 and S109 – State reports

Purpose	<p>Provides the latest state information for all the entities' reports.</p> <ul style="list-style-type: none"> Derivatives Trade State Reports include the latest state of derivatives (Table 1 and Table 2) Derivatives Trade Margin Data Transaction State reports include the latest state of margins (Table 3)
Time sent	Sent at the end of every reporting session, based on Target 2 calendar, and no later than 06:00 UTC on the following day.
ISO message	<ul style="list-style-type: none"> Derivatives Trade State reports: auth.107 Derivatives Trade Margin Data Transaction State reports: auth.109
Format	XML. CSV format also available upon request.
Content	<p>The Derivatives Trade State report contains the latest state of outstanding derivatives, that have not expired or been subject to action type 'POSC', 'TERM' or 'EROR', unless they are revived, with the following time conditions:</p> <ul style="list-style-type: none"> <i>Reporting date</i> up to the end of the latest reporting session <p>The Derivatives Trade Margin Data Transaction State report contains the latest state of margins associated to outstanding derivatives, that have not expired or been subject to action type 'POSC', 'TERM' or 'EROR', unless they are revived, with the following time conditions:</p> <ul style="list-style-type: none"> <i>Reporting date</i> up to the end of the latest reporting session. <p>Note: Derivatives Trade Margin Data Transaction State reports include one margin record per each outstanding derivative associated to such margins, i.e., one margin report submitted on a portfolio basis, where the portfolio is associated to n outstanding derivative contracts is displayed n times in the Derivatives Trade Margin Data Transaction State report.</p>
Distribution	<p>These two State reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> Reporting Counterparty Entity Responsible for the Report Report Submitting Entity Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report

S092 – Derivatives Trade Rejection Statistical Report

Purpose	Provides details of all rejected derivatives submitted on the day of the report. It includes: <ul style="list-style-type: none"> • Number of files received, accepted, rejected • Number of records (trade or margin) received, accepted, rejected • For rejected records: UTI and rejection error code 	
Time sent	Sent at the end of every reporting session, based on Target 2 calendar, and no later than 06:00 UTC on the following day.	
ISO message	auth.092	
Format	XML. CSV format also available upon request.	
Content	Field	Details provided
	Number of files received	Numeric value
	Number of files accepted	Numeric value
	Number of files rejected	Numeric value
	• File identification	Textual value
	• Rejection reason	Error code
	• Rejection reason	Error description
	Number of records received	Numeric value
	Number of records accepted	Numeric value
	Number of records rejected	Numeric value
	• Identification of the record	Dataset
	• Rejection reason	Error code
	• Rejection description	Error description
Distribution	Derivatives Trade Rejection Statistical reports are made available to account holders when the account LEI code is populated as: <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity • Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report 	

S106 – Derivatives Trade Warnings Report

Purpose	<p>Provides details of derivatives where:</p> <ul style="list-style-type: none"> Valuation update was not submitted or was not updated in the previous 14 days Margin update was not submitted or was not updated in the previous 14 days Lifecycle events reported with outlier information on the notional fields
Time sent	Sent at the end of every reporting session, based on Target 2 calendar, and no later than 06:00 UTC on the following day.
ISO message	auth.106
Format	XML. CSV format also available upon request.
Content	<p>The missing valuations section of the report lists the outstanding derivatives for which:</p> <ul style="list-style-type: none"> Field 2.21 Valuation amount was never reported, or The difference between the report generation 'as of date' and the date part of field 2.23 Valuation timestamp is 14 days or more <p>Note: This report excludes derivatives where Field 1.5 Nature of counterparty 1 = N and field 1.7 Clearing obligation of counterparty 1 = False</p> <p>The missing collateral section of the report lists the outstanding derivatives for which:</p> <ul style="list-style-type: none"> Action type 'MARU' was never reported for such UTI The difference between the report generation 'as of date' and the date part of field 3.7 Collateral timestamp is 14 days or more <p>Note: This report is generated always at UTI level, even if margins are submitted at portfolio level, and excludes derivatives where field 3.11 Collateralization category = UNCL.</p> <p>The outliers section of the report provide information on lifecycle events submitted over outstanding or non-outstanding derivatives with action type 'NEWT', 'POSC', 'MODI', 'CORR' whose notional amount is greater than the threshold for that class of derivative. Fields used to identify abnormal values are:</p> <ul style="list-style-type: none"> 2.55 Notional amount of leg 1 2.59 Notional amount in effect on associated effective date of leg 1 2.60 Notional quantity of leg 1 2.63 Notional quantity in effect on associated effective date of leg 1 2.64 Notional amount of leg 2 2.68 Notional amount in effect on associated effective date of leg 2 2.69 Notional quantity of leg 2 2.72 Notional quantity in effect on associated effective date of leg 2

	Note: Thresholds are defined as three times the standard deviation for every category.
Distribution	<p>Derivatives Trade Warnings reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity • Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report

I091 - Immediate Derivatives Trade Reconciliation Statistical Report

Purpose	<ol style="list-style-type: none"> 1. Provides the reconciliation status of the records sent to the last reconciliation session. 2. Provides the reconciliation statistics of the last reconciliation session. 3. Provides the mismatching fields identified during the last reconciliation process.
Time sent	Sent every working day based on Target 2 calendar, within an hour of the conclusion of the reconciliation process and by 00:59:59 UTC on the day following the reconciliation session.
ISO message	auth.091
Format	XML. CSV format also available upon request.
Report type	Delta. Contains the latest reconciliation status, statistics and mismatching fields identified/calculated during the last reconciliation session.
Content	<ul style="list-style-type: none"> • Summary information, numbers of derivatives per reconciliation status • Breakdown for derivatives that have been subject to the reconciliation 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, and / or ▪ Details on trade details in disagreement
Distribution	<p>Immediate Derivatives Trade Reconciliation Statistical reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Reporting Counterparty

- Entity Responsible for the Report
- Report Submitting Entity
- Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report

S091 - Derivatives Trade Reconciliation Statistical Report

Purpose	<ol style="list-style-type: none"> 1. Provides the reconciliation status of the records that are outstanding or became non-outstanding in the previous 30 days. 2. Provides the reconciliation statistics of the records that are outstanding or became non-outstanding in the previous 30 days. 3. Provides the mismatching fields identified during the last reconciliation process.
Time sent	Sent at the end of every reporting session, based on Target 2 calendar, and no later than 06:00 UTC on the following day.
ISO message	auth.091
Format	XML. CSV format also available upon request.
Report type	Contains the reconciliation status, statistics and mismatching fields calculated/identified up to the last reconciliation session.
Content	<ul style="list-style-type: none"> • Summary information, numbers of derivatives per reconciliation status • Breakdown for derivatives that have been subject to the reconciliation 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, and / or ▪ Details on trade details in disagreement
Distribution	<p>Derivatives Trade Reconciliation Statistical reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Reporting Counterparty • Entity Responsible for the Report • Report Submitting Entity

- Third parties duly authorized by the Reporting Counterparty or the Entity Responsible for the Report

Pre-alleged Report

Purpose	Provides entities with the details reported by counterparties against them
Time sent	As per the configuration in the customized reports section.
ISO message	auth.107
Format	XML
Content	<p>Provides entities with the latest state of derivatives in which they are identified as 'Counterparty 2'.</p> <p>Note: Derivatives are included in the pre-alleged reports only after the Counterparty 1 or the Entity Responsible for Reporting agree to share their derivatives with all their 'Counterparty 2'</p>
Distribution	<p>Pre-alleged reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Counterparty 2

Alleged Report

Purpose	<p>Provides entities with triplets of the derivatives that have been unpaired with them after the reconciliation process.</p> <p>Note: This report provides information on missing reports where the account holder may have omitted or an incorrect identification of the other counterparty value in the other's side report.</p>
Time sent	As per the configuration in the customized reports section.
ISO message	N/A
Format	CSV
Content	List of derivatives, identified by their triplet: Counterparty 1 – Counterparty 2 – UTI
Distribution	<p>Alleged reports are made available to account holders when the account LEI code is populated as:</p> <ul style="list-style-type: none"> • Counterparty 2

RECONCILIATION

This section covers:	<ol style="list-style-type: none"> 1. Introduction 2. Reconciliation Processes 3. Reconciliation statuses
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Introduction

Definition	Reconciliation is the process of comparing the values in both sides of a derivative contract. The second side of the derivative contract may have been reported to the same TR as the first side, or it may have been reported to another TR.
Processing sequence	Derivative records are sent for reconciliation on day 'T' if their latest reporting date is equal to or prior to 'T-1', and the event date is equal to or prior to 'T-2'. This process is followed regardless of the connectivity method used to upload your message files.
Timing	<ol style="list-style-type: none"> 1. The reconciliation process runs on every business day according to working days calendar and is completed by 23:59:59 UTC. 2. A derivative record enters the reconciliation process if it is considered eligible and: <ol style="list-style-type: none"> a. It was reported the day before the reconciliation session, or earlier b. Its event date is two days before the reconciliation session, or earlier 3. A derivative record first enters the internal (Intra-TR) reconciliation process to find the other side internally in REGIS-TR. If the other side of the derivative is not found, the derivative record enters the external (Inter-TR) reconciliation process on the same working day. 4. Clients receive the reconciliation results advice after the conclusion of each applicable reconciliation process.
Reconcilable derivative records	Derivative records are sent for reconciliation when the following conditions are met: <ul style="list-style-type: none"> • The record was reported the day preceding the reconciliation session or before. • The record has an event date of two days preceding the reconciliation session or before. • Counterparty 1 has reporting obligation, i.e. it is a counterparty established in the EU or an AIF, whose AIFM is established in the EU, based on the GLEIF. • Counterparty 2 has reporting obligation as the field 1.14 'Reporting obligation of the counterparty 2' is populated with 'True'. • The derivative has not been subject to a report with action type 'EROR', unless it has been followed by a report with action type 'REVI'.

	<ul style="list-style-type: none"> The derivative is outstanding, as referred to in Article 2(2)(a) and 2(2)(b) of the ITS on reporting, or it has been outstanding in the last thirty calendar days.
Non-reconcilable derivatives	<p>A derivative record is not sent for reconciliation if:</p> <ul style="list-style-type: none"> It did not pass all business validations successfully. A counterparty does not have a reporting obligation under EMIR. It is a margin update. It has been terminated with an action type EROR. It expired (early terminated or matured) 30 calendar days or more ago. It is already reconciled with no subsequent update or amendment reported by neither of the counterparties.

Reconciliation Processes

Introduction	<p>After confirming that the derivative is valid and reconcilable, there are two types of reconciliation process:</p> <ol style="list-style-type: none"> Intra-TR reconciliation: REGIS-TR has both sides of the transaction and can reconcile it in-house. Inter-TR reconciliation: REGIS-TR has only one side of the transaction and takes these steps during the following day: <ol style="list-style-type: none"> Pairing request: REGIS-TR requests the other TRs to locate the second side of the derivative contract. Matching: Each TR compares the values reported in both sides and reconciles. <p>Note: The reconciliation process is concluded by 23:59:59 UTC</p>
Intra-TR reconciliation process	<ol style="list-style-type: none"> REGIS-TR attempts to locate the second side of derivative records in REGIS-TR's own trade repository. If a pair is found: <ol style="list-style-type: none"> REGIS-TR compares the reported values of the two sides, and Notifies the counterparties of the reconciliation results. Once paired, when one or both sides are subsequently amended (modified, corrected, updated, revived), REGIS-TR re-executes step 2.
Inter-TR reconciliation: pairing	<ol style="list-style-type: none"> REGIS-TR contacts the rest of TRs with a pairing request message (auth.078). This message includes all derivatives that: <ul style="list-style-type: none"> Are eligible for reconciliation Are unpaired

	<ol style="list-style-type: none"> 2. To identify the second side of the reconciled derivative, the pairing request message contains the values for the following fields: <ul style="list-style-type: none"> • Unique Transaction Identifier • Counterparty 1 (Reporting Counterparty) • Counterparty 2 (Other Counterparty) 3. Where another TR reports that it holds the second side of the derivative: <ul style="list-style-type: none"> • The pairing status of 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"> • The status remains <i>Unpaired</i>, and • The TRs repeat the Inter-TR pairing process until the second side is found or after the derivative becomes non-eligible for reconciliation, e.g., 30 days after it becomes non-outstanding.
Inter-TR reconciliation: matching	<p>Once the derivative has been paired, the two TRs attempt to match it.</p> <ol style="list-style-type: none"> 1. The two TRs exchange the Trade Data Details messages (auth.107). These messages contain the values for all the reconcilable fields defined by ESMA 2. If the values can be matched within the stated tolerances: <ul style="list-style-type: none"> • The derivative can be reconciled, and • The counterparties are notified of the reconciliation status 3. If the matching is unsuccessful, the counterparty should: <ul style="list-style-type: none"> • Review the information in its side of the derivative • 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 every time they receive a subsequent amendment, as long as both sides of the contract remain eligible for reconciliation. <p>Note: when matching the data of the two sides, the TRs use snapshots of their respective side as of the end of the previous day.</p>
Iterating the reconciliation process	<ul style="list-style-type: none"> • The pairing and matching processes are repeated every working day according to the working days calendar. • All reconciliation processes must be concluded by 23:59:59 UTC • A derivative record remains in scope of the reconciliation process until it is expired (terminated or matured) for more than 30 calendar days, or it is errored.

Reconciliation statuses

Introduction	<p>Following the conclusion of the reconciliation process, TRs notify the outcome of the process by indicating:</p> <ul style="list-style-type: none"> • Whether both counterparties have reporting requirement • Whether both sides have been reported to REGIS-TR (Dual-sided) or not (Single-sided) • Whether the derivative has been paired • Whether the derivative has been reconciled • Whether the valuation has been reconciled 	
Reconciliation statuses	[DPRW] – Dual Sided EEA Partially Reconciled No Valuation Reconciliation	Trade repository has both sides of the trade reported but fields are not valuation reconciled.
	[DPRV] – Dual Sided EEA Partially Reconciled Valuation Reconciliation Only	Trade repository has both sides of the trade reported but fields are valuation reconciled only.
	[DSMA] – Dual Sided Matched	Trade repository has both sides of the trade reported and all fields match.
	[DSNM] – Dual Sided Non Matched	<ul style="list-style-type: none"> · Reconciliation report applicability: Trade repository has both sides of the trade reported but not all fields match. · Search results applicability: Trade repository has both sides of the trade reported and it's in the process of doing the comparison of the reports.
	[DSFA] – Dual Sided Fail	<p>Proprietary reconciliation status only displayed in search results and CSV End of day reports.</p> <p>When displayed it indicates that the trade repository has both sides of the trade reported and has performed the comparison of the reports.</p>
	[NORE] – Not Submitted To Reconciliation	<p>Trade was not required to be submitted for reconciliation.</p> <p>NOTE: This status is assigned when the reporting counterparty (CP1) is not eligible.</p>
	[SSMA] – Single Sided EEA Matched	Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, has already performed the comparison of the reports, and the result has been successful according to the specification of the inter-TR reconciliation process.
	[SSPA] – Single Sided EEA Paired	<ul style="list-style-type: none"> · Reconciliation report applicability: Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, and either has already performed comparison of the reports, or is in the process of doing so.

		<ul style="list-style-type: none"> · Search results applicability: Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, and is in the process of doing the comparison of the reports.
	[SSFA] - Single Sided Fail	<p>Proprietary reconciliation status only displayed in search results and CSV End of day reports.</p> <p>Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, and has already performed comparison of the reports.</p>
	[SPRW] - Single Sided EEA Partially Reconciled No Valuation Reconciliation	Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, has already performed the comparison of the reports, but fields are not valuation reconciled.
	[SPRV] - Single Sided EEA Partially Reconciled Valuation Reconciliation Only	Trade repository has one side of the trade, knows which trade repository holds the other side of the trade, has already performed the comparison of the reports, but fields are valuation reconciled only.
	[SSUN] - Single Sided EEA Unpaired	Trade repository has one side of the trade, knows that the other side is EEA counterparty and does not know which TR holds the other side of the trade.
	[SSNE] - Single Sided Non EEA	<p>Trade repository has one side of the trade and knows that the other side does not have a reporting obligation.</p> <p>Note: This status is assigned when the other counterparty (CP2) is not eligible, including the scenarios where both counterparties are EEA but the other counterparty has no reporting obligation. i.e. an EEA Bank dealing with an EEA Central Bank or Public Body.</p>

Mapping between reconciliation outcome and statuses	auth.107	auth.091				
		Reporting requirement for both counterparties	Reporting type	Pairing	Reconciliation	Valuation reconciliation
	[DPRW]	Yes	Dual-sided	Paired	Reconciled	Not reconciled
	[DPRV]	Yes	Dual-sided	Paired	Reconciled	Not reconciled
	[DSMA]	Yes	Dual-sided	Paired	Reconciled	Reconciled or Not applicable
	[DSNM]	Yes	Dual-sided	Paired	Not reconciled	Not reconciled or Not applicable
	[NORE]	No				
	[SSMA]	Yes	Single-sided	Paired	Reconciled	Reconciled or Not applicable
	[SSPA]	Yes	Single-sided	Paired	Not reconciled	Not reconciled or Not applicable
	[SPRW]	Yes	Single-sided	Paired	Reconciled	Not reconciled
	[SPRV]	Yes	Single-sided	Paired	Not reconciled	Reconciled or Not applicable
	[SSUN]	Yes	Single-sided	Unpaired	Not reconciled	Not reconciled or Not applicable
	[SSNE]	No				

CSV to XML converter

Introduction

Introduction	This section describes the CSV to XML converter tool that can be used to map data to an ISO20022 reporting file
Conversion process	<ol style="list-style-type: none"> 1. Download the CSV template from <i>Documents & Support</i> section in the EMIR Dashboard 2. Fill in the CSV template with your derivatives or margin data 3. Upload your CSV to <i>My reporting area > Conversion to ISO</i> section 4. Download the XML file generated in return, and validate the completeness and accuracy of its content 5. Once correct, select file to be uploaded and click on 'Submit xml for reporting' <p>Note: CSV to XML converter shall only be considered as a tool to facilitate the mapping of data into ISO 20022 files. Submitting entities are responsible for verifying that the data contained in the ISO20022 file correct, complete, and accurate before its submission</p>

File structure and submission

Format	Files are uploaded in CSV format and converted to ISO 20022 XML.
File structure	Files are exchanged with REGIS-TR in CSV files containing: <ul style="list-style-type: none">a. Column headings, followed byb. One line per lifecycle event
Maximum file sizes	Entities may submit up to 20 CSV files at a time, each of them restricted to a maximum file size of 1.6MB
Validations	REGIS-TR validates the correctness of the CSV file in two steps before completing the conversion to ISO20022: <ul style="list-style-type: none">1. Validates that the format of the file and that the file can be converted. In case of error, the complete file is rejected and the errors are displayed with code 'CSVF'2. Validates that the ISO20022 file converted can be parsed against the schema. In case of error, the complete file is rejected and the errors are displayed with the code 'SCHEMAF'

Inbound filename	<ul style="list-style-type: none"> This table shows the mandatory naming convention for CSV files you upload 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. 		
	Field	Format	Comment/Example
	1 Account Code	12 alphanumeric characters	The composition of the account code is as follows: <ul style="list-style-type: none"> four letters denoting jurisdiction and regulation (eudb) + a letter denoting environment (m for UAT, p for Production) + seven alphanumeric characters Example: eudbpaa01000
	2 File type	4 alphanumeric characters	One of the following: <ul style="list-style-type: none"> S030 (auth.030) S108 (auth.108)
	3 Date	YYYYMMDD	Date when the file is sent. (20240630)
	4 Time	HHMMSS	Time when the file is in UTC. (103000)
	5 Sequence number	4 alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
	6 Optional ID (Optional)	Up to 50 alphanumeric characters	Optional info added by a client
	7 File extension	4 alphanumeric characters	“.CSV”
	Example: eudbpcc12000_S030_20240915_100000_0001_TEST.csv		
Batch submissions	When you send multiple files to REGIS-TR at the same time, the files are converted 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 Account Code	12 alphanumeric characters	The composition of the account code is as follows:

			<ul style="list-style-type: none"> • four letters denoting jurisdiction and regulation (eudb) • + a letter denoting environment (m for UAT, p for Production) • + seven alphanumeric characters Example: eudbpaa01000
2	File type	8 alphanumeric characters	One of the following: <ul style="list-style-type: none"> • S030 (auth.030) • S108 (auth.108) • CSVF (rejections on initial validation) • SCHEMAF (schema errors)
3	As of date	YYYYMMDD	<ul style="list-style-type: none"> • Date of the reporting session to which the file corresponds.
5	Sequence number	4 alphanumeric characters	Sequence number to identify the order of the files with the same name (0001, 0002)
6	Optional ID (Optional)	Up to 50 alphanumeric characters	Optional info added by a client
7	File extension	4 alphanumeric characters	".xml" for converted files or ".csv" for rejection feedback
Example: eudbpcc34000_S092_20240915_100000_0001_TEST.xml eudbpcc34000_SCHEMAF_20240915_100000_0001_TEST.csv			

DATA ACCESS

Introduction	<p>The new data access delegation functionality enables Participants to provide:</p> <ul style="list-style-type: none"> • Direct data access: Grant access to another entity to all trade activity, trade state, rejections, reconciliation and warning data where the delegating entity is named as Counterparty 1 or Entity Responsible for Reporting to the trade. • Other counterparties data access: Grant access to all entities named as Counterparty 2 to the latest state of derivatives where the delegating entity is Counterparty 1 to the derivative or Entity Responsible for Reporting.
Direct data access	<p>On the EMIR REFIT portal, under section Data access > Data access granted > Direct data access users may:</p> <ul style="list-style-type: none"> • Search the list of entities with data access

	<ul style="list-style-type: none"> Query the status of all active data access delegations, and export the results in CSV or Excel Create new data accesses <p>For the creation of new data accesses users must provide:</p> <ul style="list-style-type: none"> LEI that should be authorised Validity dates of the authorisation Data selection for the delegation Data types to be delegated, i.e., trade activity, trade state, rejection, reconciliation or warnings.
Other counterparty data access	<p>On the EMIR REFIT portal, under section Data access > Data access granted > Other counterparty data access users may delegate access to the latest state of derivatives to all entities that are their Counterparty 2. This type of access may be used by participants to provide all their counterparties with information on the details reported against them.</p> <p>Important: Permissions are established following the submission of an initial lifecycle event. If you activate "Other counterparty data access", you will activate the data access for those counterparties which have been reported in a life cycle after REFIT Go Live. Counterparties not included in any life cycle will not have visualization.</p>
Data access received	<p>Participants may search the list of entities that have been granted them with data access, either as direct data access or as other counterparty access.</p>
Search data section	<p>In the filter "Data access" you can select:</p> <ul style="list-style-type: none"> Own data: Transactions where your LEI is in the field "Reporting Counterparty" or "Reporting Submitting Entity" or "Entity Responsible for Reporting". This option is available in all the sections of search data. Direct data access: Transactions for which you have received visualization with direct data access functionality. This option is available in all the sections of search data. Other counterparty access: Transactions for which you have received visualization with other counterparty data access functionality. This option is available only in trade state search section.

STATISTICS

Reporting statistics

General overview	This section provide the user:
-------------------------	--------------------------------

- Main reporting activity information (lifecycles accepted and rejected) grouped by Insertion date, Message type, Report submitting entity, Counterparty 1, Action type and Status.
- Top N rejected action types
- Top N error codes.
- Top N files with rejection.

Main filter

Date Last week	Message type Select a few	Report submitting entity Add many LEIs Add more with comma separated or Enter	Counterparty 1 Add many LEIs Add more with comma separated or Enter	Counterparty 2 Add many LEIs Add more with comma separated or Enter	Entity responsible for reporting Add many LEIs Add more with comma separated or Enter
Action type Select a few	Level Select a few	Asset class Select a few	Contract type Select a few		

[Clear filters](#)
[Search](#)

By default all the information which is shown in this section, is pre-filtered, by the fields Counterparty 1, Counterparty 2 and Entity responsible for reporting. So, the lifecycles that are considered to create this statistics are those lifecycles, where your LEI is at least in one of those fields. Additionally, more filter criteria's can be added in the pre-filtered data:

- Below filters are available for 030 and 108 messages: Date (Date when the lifecycle is received), Message type, Report submitting entity, Counterparty 1, Counterparty 2, Entity responsible for reporting, Action type.
- Below filters are available only for 030 messages (That option should be selected in filter 'Message type'): Level, Asset class, Contract type.

Once 'Search' button is pressed, all the sections will be updated.

Note: The initial search can take few minutes until all the information is loaded. For a better performance, we recommend participants to populate one of the following fields for searching: Report submitting entity, Counterparty 1, Counterparty 2 or Entity responsible for reporting.

Reporting activity graphic

Reporting activity

113701 / 18%

EU: Monthly volumes and % rejections

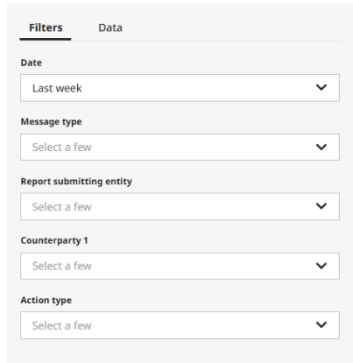
[Download PNG](#)



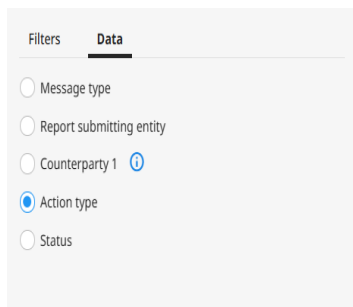
At the top of the graphic, the user can see the number of accepted and rejected lifecycles, and % of rejected records. By default the user will be able to see a time evolution of all the

lifecycles and % rejections. The graphic is completely interactive, additionally, download the information in PNG and CSV format is possible. Please note that each action type includes 'Accepted' and 'Rejected' messages.

At the top-right of the graphic, 'Filter' icon is shown, once clicked there are two options:



'Filter' option: The graphic can be filtered by the indicated fields. Please note that those filters will only apply to the selected graphic and the data will be changed automatically in the graphic, it is not necessary to wait until the data is loaded as it happens with the initial search.

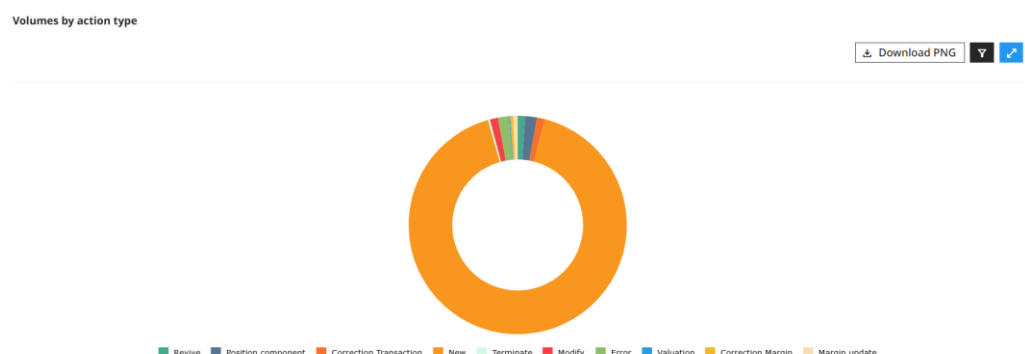


'Data' option: If 'Message type' is selected, the graphic will be grouped by 030 and 108 lifecycles. If 'Report submitting entity' is selected, the graphic will be constructed according to all the RSEs reporting on behalf of the filtered information. If 'Counterparty 1' is selected, the graphic will be constructed according to all the LEIs which are in the field Counterparty 1 of the filtered

information. If 'Status' is selected, the graphic will be grouped by accepted lifecycles and rejected lifecycles.

Note: If your data is composed many different counterparties 1, before selecting 'Counterparty 1' data option, we recommend to filter by some of the counterparties for better performance/visualization of the graphic.

Volumes by
action type
graphic



This graphic has the same information than previous one (except % rejections) with a different design, which will allow you to have more alternatives of visualization. 'Filter' and 'Data' options are also available for this graphic.

Top N rejected action types

Top rejections

10 rejections ▼

Download CSV

View chart

Message type	Action type	Total	Percentage	
auth030	CORR_Transaction	2098	14.75	
auth030	NEWT	2092	14.71	
auth030	REVI	2045	14.38	
auth030	MODI	2008	14.12	
auth030	POSC	1964	13.81	
auth108	MARU	1688	11.87	
auth108	CORR_Margin	1442	10.14	
auth030	TERM	433	3.04	
auth030	VALU	320	2.25	
auth030	EROR	132	0.93	

This table shows the most common lifecycles rejected. The user can select up to top 100. The percentage is comparing that rejected lifecycle with the rest of the rejected lifecycles. Download CSV or chart is available.

Top N rejected error codes

Top error codes

10 errors ▼

[Download CSV](#) [View chart](#)

Error code	Error description	Number of rejections	Percentage of rejections
EMIR-VR-2133-01	[Option style] this field shall ...	3205	3,1049%
EMIR-VR-1008-02	[Counterparty 2 identifier ty...	2206	2,1371%
EMIR-VR-2151-02	[Action type] Non existing c...	2074	2,00922%
EMIR-VR-2001-03	[UTI] The value populated in...	2074	2,00922%
EMIR-VR-2153-08	[Event date] this field should...	1995	1,93269%
EMIR-VR-1004-05	[Counterparty 1] The value ...	1942	1,88135%
EMIR-VR-1009-02	[Counterparty 2] LEI inform...	1859	1,80094%
EMIR-VR-1009-08	[Counterparty 2] The value ...	1843	1,78544%
EMIR-VR-2025-02	[Delta] this field cannot be p...	1489	1,44249%
EMIR-VR-2077-02	[Other payment payer] LEI i...	1056	1,02302%

This table shows the most common error codes in the account. The user can select up to top 100. The percentage is calculated comparing a specific error code with the total of the error codes. Download CSV or chart is available.

Note: This information is available in D+1. There is historical data since 11-04-2025.

Top files with % rejections

Top files with % rejections errors

10 files ▼

[Download CSV](#)

Name of the file	Rejected record...	Percentage of r...	Total records	NEWT rejected	MODI r
..._S030_20...	1	100%	1	1	0
..._S030_20...	4	100%	4	4	0
..._S030_20...	3	100%	3	3	0
..._S030_20...	1	100%	1	0	1
..._S030_20...	1	100%	1	1	0
..._S030_20...	2	100%	2	2	0
..._S030_20...	4	100%	4	1	1
..._S030_20...	1	100%	1	0	1
..._S030_20...	2	100%	2	1	0
..._S030_20...	2	100%	2	1	0

This table shows those files with the biggest number of rejected lifecycles. The user can select up to top 100. The files are ordered by percentage of rejections. Please note that the

percentage compares the rejected lifecycles with the accepted lifecycles within the same file. Example: If one file contains one record, and that record is rejected, the percentage of rejection of that file is 100%. Download CSV is available. **Note:** This information is only available if you are Reporting Submitting Entity of the file.

Top files with rejections

Top files with rejections errors

10 files Download CSV

Name of the file	Rejected record...	Percentage of r...	Total records	NEWT rejected	
..._5030_2025040...	134	94,37%	142	27	⌵ Filters
..._5030_2025040...	134	94,37%	142	27	⌵ Data
..._5030_2025040...	134	94,37%	142	27	⌵
..._5030_2025040...	134	94,37%	142	27	⌵
..._5030_2025040...	134	94,37%	142	27	⌵
..._5030_2025040...	134	94,37%	142	27	⌵
..._5030_2025041...	134	94,37%	142	27	⌵
..._5030_2025041...	134	94,37%	142	27	⌵
..._5030_2025040...	134	94,37%	142	27	⌵
..._5030_2025041...	134	94,37%	142	27	⌵

This table shows those files with the biggest number of rejected lifecycles. The user can select up to top 100. The difference of this table with the previously mentioned one is that this table is ordered by number of rejected records instead of percentage. Download CSV is available. **Note:** This information is only available if you are Reporting Submitting Entity of the file.

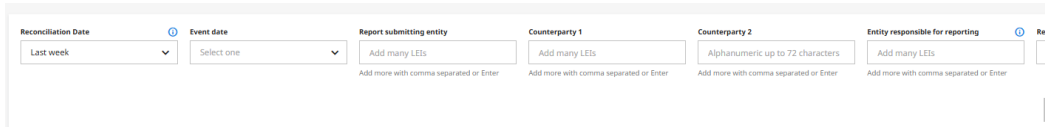
Reconciliation statistics

General overview

This section provide the user:

- Main reconciliation information grouped by Event date, Report submitting entity, Counterparty 1 and Reconciliation Status.
- Top N mismatched reasons.
- Top N counterparty unpaired.
- Top N counterparty mismatches.

Main filter



Reconciliation Date: Last week (dropdown)
 Event date: Select one (dropdown)
 Report submitting entity: Add many LEIs (input field)
 Counterparty 1: Add many LEIs (input field)
 Counterparty 2: Alphabetic up to 72 characters (input field)
 Entity responsible for reporting: Add many LEIs (input field)

By default all the information which is showed in this section, is pre-filtered, by the fields Counterparty 1, Counterparty 2 and Entity responsible for reporting. So, the contracts that are considered to create this statistics are those contracts, where your LEI is at least in one of those fields.

Additionally, more filter criteria's can be added in the pre-filtered data: Reconciliation date, Event date, Report submitting entity, Counterparty 1, Entity responsible for reporting, Reconciliation status. Once 'Search' button is pressed, all the sections will be updated.

Reconciliation date: This is the only mandatory field and it is limited to 1 month. This field indicates the last reconciliation session's date in which the reconciliation status has been altered or the last reconciliation session's date in which the contract mismatches has suffered changes regardless of if the reconciliation status has not been changed.

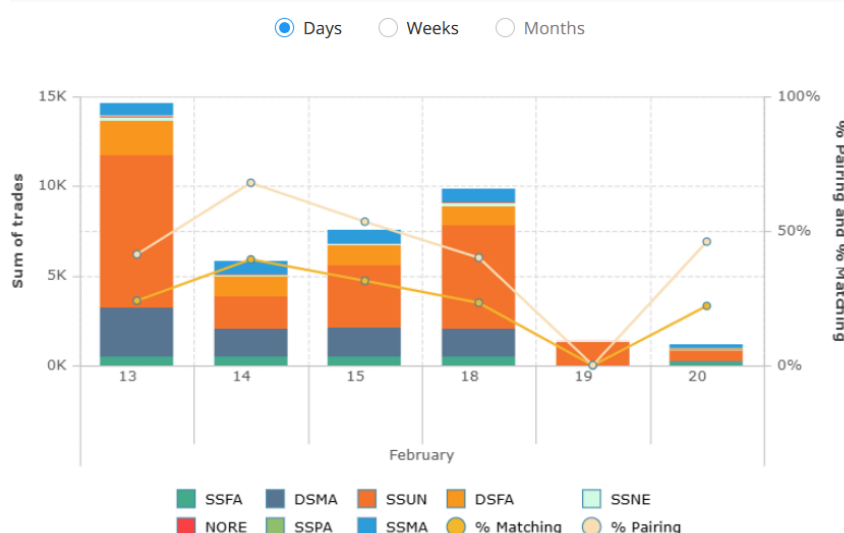
Note: The initial search can take few minutes until all the information is loaded.

Records reconciled graphic

Records reconciled

Download PNG

Download CSV



By default the user will be able to see a time evolution of all the reconciliation statuses, pairing percentage and matching percentage. The graphic is completely interactive, additionally, download the information in PNG and CSV format is possible. At the top-right of the graphic, 'Filter' icon is showed, once clicked there are two options:

Filters **Data**

Event date

Report submitting entity

Counterparty 1

Reconciliation Status

'Filter' option: The graphic can be filtered by the indicated fields. Please note that those filters will only apply to the selected graphic and the data will be changed automatically in the graphic, it is not necessary to wait until the data is loaded as it happens with the initial search.

Filters **Data**

☐ Report submitting entity

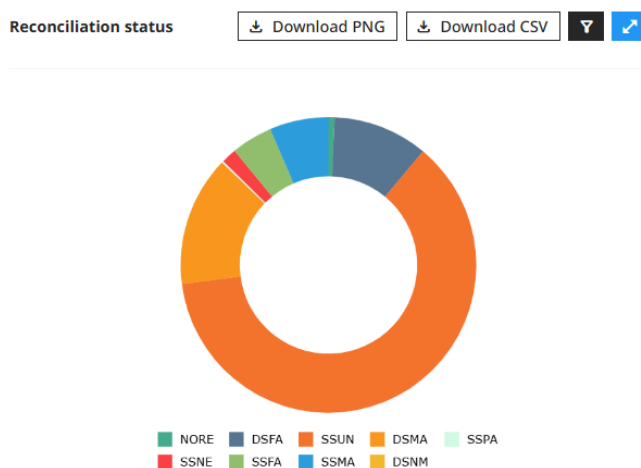
☐ Counterparty 1

☐ Reconciliation Status

'Data' option: If 'Report submitting entity' is selected, the graphic will be constructed according to all the RSEs reporting on behalf of the filtered information. If 'Counterparty 1' is selected, the graphic will be constructed according to all the LEIs which are in the field Counterparty 1 of the filtered information. If 'Reconciliation status' is selected, the graphic will be constructed according to all the reconciliation statuses of the filtered information.

Note: If your data is composed many different counterparties 1, before selecting 'Counterparty 1' data option, we recommend to filter by some of the counterparties for better performance/visualization of the graphic.

Reconciliation status graphic



This graphic has the same information than previous one (except % paring and % matching) with a different design, which will allow you to have more alternatives of visualization. 'Filter' and 'Data' options are also available for this graphic.

Top mismatched reasons

Top mismatched reasons

10 reasons [Download CSV](#) [View chart](#)

This table does not take into account filters for fields Event Date and Reconciliation Status

Field	Value 1	Value 2	Total
Expiration date	2025-03-20T00...	2028-07-0...	4
Asset class	CRDT	COMM	2
Central counterparty		4BYZWSO...	2
Index factor	0.765		2
Seniority	OTHR		2
Clearing obligation		UKWN	2
Cleared	F	T	2
Fixed rate or coupon d...		A012	2
Fixed rate or coupon p...		EXPI	2
Fixed rate or coupon p...		3	2

This table shows the most common mismatches in your data grouped by the regulatory field, value 1 and value 2. You can select up to 100 different combinations of mismatches. Download CSV or chart is available.

Note: Filters 'Event date' and 'Reconciliation status' are not considered to construct this table.

Top counterparty unpaired

Top counterparty unpaired

10 counterparties [Download CSV](#) [View chart](#)

Other Counterparty	Total
26W3C	45563
984500	19344
4BYZW	9730
R916JP	720
984500	471
213800	312
353800	277
R916JP	253
222100	206
549300	169

This table shows you those counterparties with which you have a biggest number of contracts unpaired. This will allow you to contact those counterparties in order to improve your pairing ratio. Up to 100

counterparties can be selected in the table.

Download CSV or chart is available.

Top counterparty mismatches.

Top counterparty mismatches

10 counterparties ▼

Download CSV View chart

Reporting Counterparty	Other Counterparty	% Pairing	% Matching	Trades
R916J	26W	0%	0%	43620
4BYZ	9845	99%	58%	18483
98450	4BYZ	99%	58%	9675
R916J	R916	0%	0%	720
98450	9845	40%	12%	484
35380	9845	15%	8%	371
98450	9845	66%	16%	324
R916J	2138	0%	0%	312
98450	3538	12%	6%	229
22210	26W	0%	0%	217

Filters Data

This table is ordered by the biggest number of contracts, of your data, with the same duplet (Reporting counterparty + Other counterparty) regardless the reconciliation status.

For each duplet we are showing the percentage of pairing and matching. Download CSV or chart is available.

ACCOUNT SETUP SERVICES

Introduction

Onboarding and account setup	<ol style="list-style-type: none"> There are two stages to the creation of accounts for new clients: <ol style="list-style-type: none"> Onboarding: the entity or institution applies to open an account and provides legal and contractual information. Account setup: this is the technical setup of the account, which can be done after the entity has become a REGIS-TR client. Clients reporting to REGIS-TR under EMIR reporting are invited to download the onboarding documents from REGIS-TR's website under Key documents <p>Note: Before EMIR REFIT go-live, REGIS-TR will launch a new website to allow entities manage their onboarding and manage their accounts and users autonomously</p>
Requesting an account	<ol style="list-style-type: none"> Clients and other entities can contact REGIS-TR by phone or email to request an account. Further information: see Contacts. 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

- | | |
|--|--|
| | <ul style="list-style-type: none">• Production environment for the live reporting service. Note: Also provides access to the UAT environment. |
|--|--|