



keler



Trade Reporting System User Manual

„EMIR reporting”
v. 1.0



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General introduction

Current document presents the User Manual of the Trade Reporting System. A new, complete User Manual shall be attached to each release of Trade Reporting system, always corresponding to the modified version.

1. User interfaces, incoming and outgoing data

The following summary introduces the functionalities implemented in the system with screenshots, including the data displayed, the potential validations and the buttons used for accessing the different functions.

1.1. Login screen

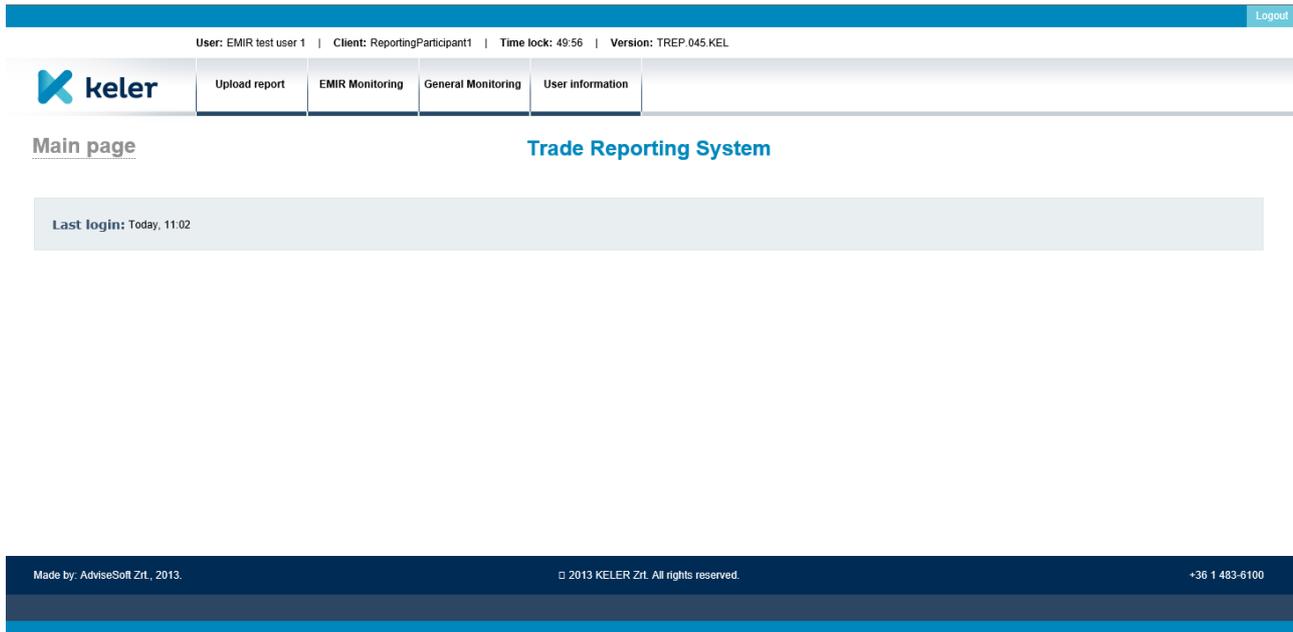
Prior to login, the user can select the preferred language from the available options. Once language is set, the login screen shall automatically reload with the elements of the selected language. All further loaded screen tags and messages will be displayed in this language.

During normal operating hours, fields to enter the User ID and the Password shall appear on the login screen. Outside the operating hours, KELER's message shall inform the user that the system is not currently accessible. Once the User ID and the Password has been entered, the system authenticates the user. It is mandatory to change the password right after the first login or in case KELER as the „operator” provides a new password. Activities cannot be initiated by the user prior to the password change.

This is the initial screen where the user can login by entering the requested data:



The screenshot displays the login interface for the Keler Trade Reporting System. At the top right, there are language selection options: a Hungarian flag labeled 'Magyar' and a British flag labeled 'English'. The main header features the Keler logo on the left and the text 'Trade Reporting System' on the right. Below the header, the word 'Login' is centered in a large font. The login form consists of two input fields: 'Username:' and 'Password:', each followed by a text box. A dark blue 'Login' button is positioned below the password field. On the left side of the page, there is a decorative graphic of overlapping blue and dark blue curved shapes. The footer contains the text 'Made by: AdviseSoft Zrt., 2013.' on the left, 'www.keler.hu' in the center, and '+36 1 483-6100' on the right.



2. Report upload

2.1 EMIR report upload

The data manager of the partner can upload the file containing derivative transactions (“Report file Jelentésszolgálati állomány”) into the “KELER TR” system.

Reports can be uploaded either from the workstation of the user or from a driver of his local network. The extension of the file selected in the browser window can be „CSV” or „XML”. Once selected, file upload and validation is started.



Description of major functions:

- **File upload:** file upload and file validation shall start after hitting the  button.
 - **„csv” file upload.**
 - File format **validation:** number, length, etc. of fields
 - error message: “Incorrect “csv” file format” „A „csv” állomány nem megfelelő formátumú.”
 - File **storage** in the file system:
 - only if file format is correct,

- in the folder corresponding to the configuration,
- the file is saved under a file name different from the original file name: a 10-digit running serial number is created as file name, and the original “csv” extension is kept, e.g. „1234567890.csv”
- File conversion to XML format
 - error message: “Conversion of the uploaded “csv” file failed.” „A feltöltött „csv” állomány konvertálása sikertelen.”
- **„XML” file upload:**
 - The file is saved in the file system under a file name different from the original file name
 - in case of „csv” conversion: the original 8-digit running serial number shall be kept as file name, but the extension will be „XML”, e.g. „1234567890.XML”;
 - in case of upload: a 10-digit running serial number shall be created as file name, and the original “XML” extension shall be kept, e.g. „0987654321.XML”.
 - File validation (format validation) with the help of XSD.
 - Logic-business validation of the file.
 - File stored in the „KELER TR” system.

Data file log information of the individual file shall also be stored.

Status message:

- When the upload process is started, an information window shall pop up with the following text:
- “Upload in progress” „Feltöltés folyamatban”.
- Once upload and validation are completed, depending upon the outcome:
 - the following message shall be displayed: „Successful upload. Data forwarding started. Please click the ‘EMIR Monitoring’ EMIR Monitoring button to view status” ,Sikeres feltöltés. Az adatok továbbítása elindult. Az aktuális állapot megtekintéséhez kattintson a ‘EMIR Monitor’ EMIR Monitoring gombra,” or
 - „Sikertelen feltöltés. Az aktuális állapot megtekintéséhez kattintson a ‘EMIR Monitoring’ EMIR Monitoring gombra. Failed upload. Please click the ‘EMIR Monitor’ EMIR Monitoring button to view status”

Possible log events:

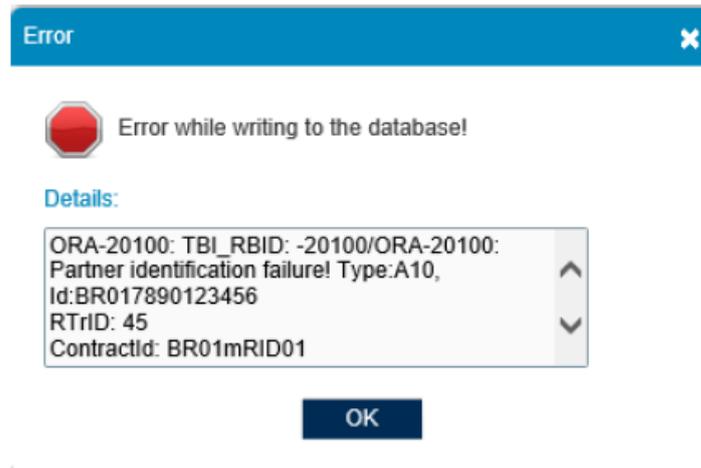
- Upload started
- Upload format error (csv)
- XML conversion failed
- Successful XML conversion
- Validation error XML
- Logic error
- Successful upload

2.1.1 Uploading one file

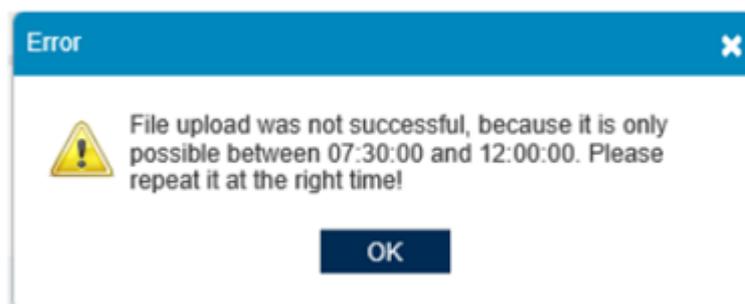
Once the file is successfully uploaded, the following confirmation shall appear.



In case a logical error is found in the report file, the following message shall pop up:



Uploading shall only be possible within the operating hours determined by KELER, that is from 8.30 a.m. to 6.00 p.m.. Outside the normal operating hours upload shall be rejected by the system and the following error message shall be displayed.



2.1.2 Uploading multiple files

It is possible to select and upload multiple files at the same time. By pressing **ctrl + left mouse button click** or **shift + left mouse button click** files in our folder can be selected one by one or in bulk. Once upload is completed, a summary table shall show up listing the results report by report.

If the upload is successful, the following signal will appear after each line (below).

File upload list	
File name	Upload result
RT1092018011610000783220.xml	✓
RT742018011610000783837.xml	✓
RT752018011610000783448.xml	⚠


Successful upload!

If an error signal appears beside a report, the error description can be checked by clicking the icon.

In case of failed upload an additional, highlighted warning signals the error reason can be checked by clicking the icon.

File upload list	
File name	Upload result
TRTRADEN_000139_20130920_002.csv	✓
TRTRADEN_000139_20130923_001.csv	✓
TRTRADEN_000139_20130924_001.csv	✓
TRTRADEN_000139_20130925_001.csv	✗
TRTRADEN_000139_20130926_001.csv	✗
TRTRADEN_000139_20130927_001.csv	✗
TRTRADEN_000139_20130930_001.csv	✗
TRTRADEN_000139_20131001_001.csv	✗
TRTRADEN_000139_20131002_001.csv	✗

OK

File upload list	
File name	Upload result
SC0050452017090810000711499.xml	✘
SC0050452017090810000711501.xml	✘
SC0050452017090810000711502.xml	✘

OK

✘ Check error by clicking on result icon!

2.1.3 Operating hours and uploads

If an upload is started, the operating hours count shall be started. For example it is not possible to upload files 5 minutes before the end of the operating hours, the system shall automatically interrupt upload, and the user shall receive an error message.

Upon file upload the following error message shall be sent:

In case of multiple file upload the upload shall be interrupted if the operating hours are over, the user shall be sent the following confirmation:

01_ReportedTrade.xml	✓
02_Modification.xml	✗
03_TradeTermination.xml	✗
04_ValuationUpdate.xml	✗
05_Backloading_4_ugylet.xml	✗
06_Backloading.xml	▲
07_Backloading.xml	▲
08_Backloading_4_ugylet.xml	▲
09_Backloading_4_ugylet.xml	▲
10_Backloading_DELEGATION_NO.xml	▲
11_Backloading_DELEGATION_NO.xml	▲
12_Backloading2.xml	▲
13_CollateralUpdate.xml	▲
14_CollateralUpdate.xml	▲
15_CollateralUpdate_4_ugylet.xml	▲
16_CollateralUpdate_4_ugylet.xml	▲
17_CollateralUpdate_delegation_no.xml	▲

OK

Error ✕

 File upload was not successful, because it is only possible between 07:30:00 and 12:00:00. Please repeat it at the right time!

OK

3. EMIR Monitoring

3.1 EMIR transaction monitoring

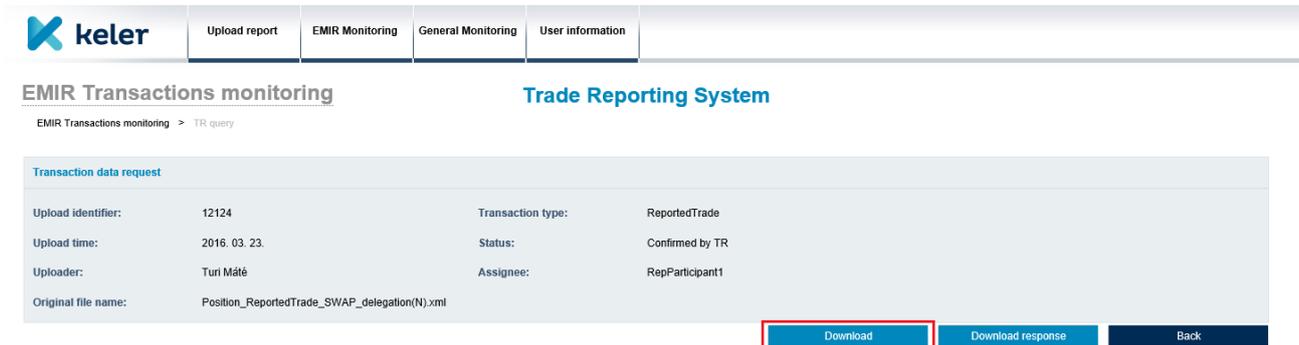
The list of uploaded files shall appear on the transaction monitoring screen. Reports can be selected by filtering the results.

The report data of a partner (client) shall only be visible for the partner’s authorized users and KELER’s internal users. The user with appropriate authorization can search partner fields also.

By clicking the „Transaction file log” attached to a certain report file, the information logged by the system shall appear.

The „TR data request” “TR adatlekérdezés” icon navigates the user to the transaction data query window where the content of each file can be accessed. Both sent and received files can be downloaded

here. Sent files can be reviewed by clicking on the „download” icon.

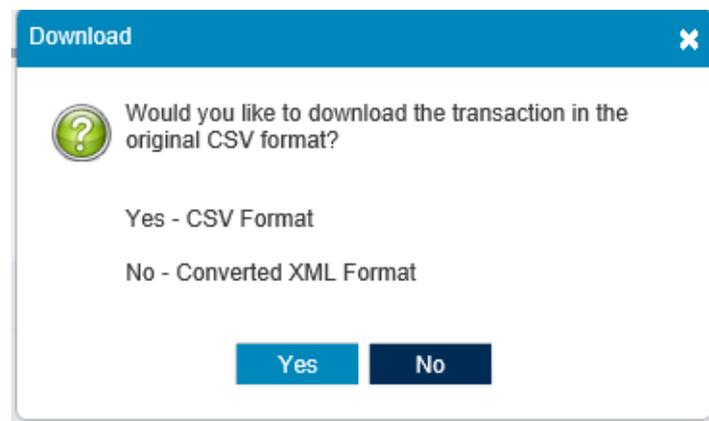


The screenshot shows the 'EMIR Transactions monitoring' page in the 'Trade Reporting System'. The page has a navigation bar with 'Upload report', 'EMIR Monitoring', 'General Monitoring', and 'User information'. Below the navigation bar, the page title is 'EMIR Transactions monitoring' and 'Trade Reporting System'. The main content area is titled 'Transaction data request' and contains the following details:

Upload identifier:	12124	Transaction type:	ReportedTrade
Upload time:	2016. 03. 23.	Status:	Confirmed by TR
Uploader:	Turi Máté	Assignee:	RepParticipant1
Original file name:	Position_ReportedTrade_SWAP_delegation(N).xml		

At the bottom right of the details section, there are three buttons: 'Download' (highlighted with a red box), 'Download response', and 'Back'.

If the file is uploaded in „csv” format, the following message shall be displayed. In this case it is possible to request the return of the original „csv” extension file or the converted „xml” file.



The dialog box is titled 'Download' and contains the following text:

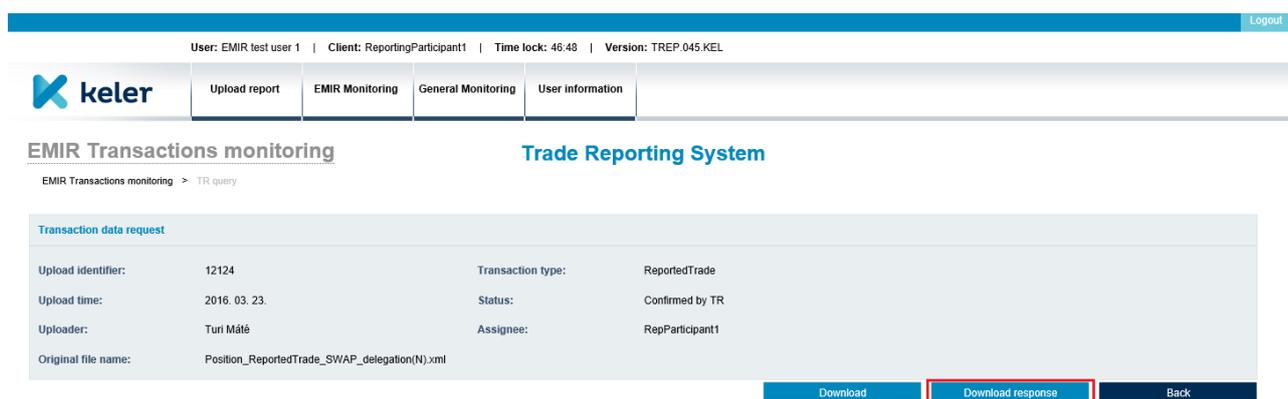
Would you like to download the transaction in the original CSV format?

Yes - CSV Format

No - Converted XML Format

At the bottom of the dialog box, there are two buttons: 'Yes' and 'No'.

By clicking the **Download response** icon, the „xml” file stored in TR can be viewed.



This screenshot is similar to the first one, showing the 'EMIR Transactions monitoring' page. The 'Download response' button is now highlighted with a red box. The 'Original file name' is 'Position_ReportedTrade_SWAP_delegation(N).xml'. The top right corner of the page has a 'Logout' link. The user information at the top shows: 'User: EMIR test user 1 | Client: ReportingParticipant1 | Time lock: 46:48 | Version: TREP.045.KEL'.

The „Jelentések megtekintése View selection” screen can be accessed in the transaction monitoring screen where the items in the transaction selected can be viewed.

Upload report EMIR Monitoring General Monitoring User information

EMIR Transactions monitoring
Trade Reporting System

Last archivation period: 2015. 02. 10.

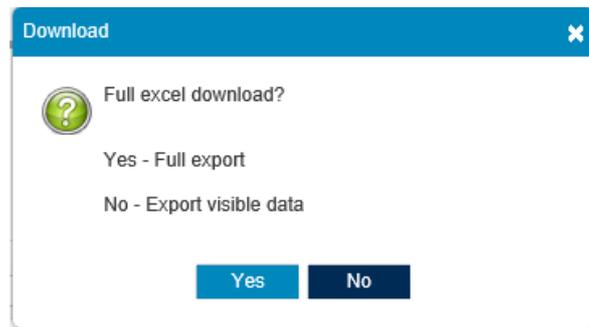
	Upload identifier	Channel	Date of transaction posting	Transaction type	Assignee	Uploader	Status
	13624	Uploaded by web partner	Today, 11:15	ReportedTrade	RepParticipant1	Magony Viktor	Sent by TR
	13616	Uploaded by web partner	2017. 09. 13. 15:51:...	ReportedTrade	RepParticipant1	Kircsi Ilona	Sent by TR
	13615	Uploaded by web partner	2017. 09. 13. 15:31:...	ReportedTrade	RepParticipant1	Kircsi Ilona	Sent by TR
	13614	Uploaded by web partner	2017. 09. 13. 15:29:...	ReportedTrade	RepParticipant1	Kircsi Ilona	Sent by TR
	13609	Uploaded by web partner	2017. 09. 11. 13:19:...	ReportedTrade	RepParticipant1	Magony Viktor	Failed to send to TR
	13608	Uploaded by web partner	2017. 09. 11. 13:17:...	ReportedTrade	RepParticipant1	Magony Viktor	Failed to send to TR
	13607	Uploaded by web partner	2017. 09. 11. 13:15:...	ReportedTrade	RepParticipant1	Magony Viktor	Failed to send to TR
	13606	Uploaded by web partner	2017. 09. 11. 12:47:...	ReportedTrade	RepParticipant1	Magony Viktor	Failed to send to TR
	13605	Uploaded by web partner	2017. 09. 11. 12:39:...	ReportedTrade	RepParticipant1	Magony Viktor	Failed to send to TR
	13604	Uploaded by web partner	2017. 09. 11. 12:37:...	ReportedTrade	RepParticipant1	Magony Viktor	Received with Error

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1 2 3 4 9 19

Start query
View selection

The following screenshot displays transaction items. The reports can be downloaded in excel format.

Prior to downloading the content, a pop-up question will assist to decide whether the complete report or solely the data displayed should be exported.



3.2 EMIR report monitoring

The report monitoring screen offers the option to review the submitted reports. The data of the listed items are going to be displayed in columns and they can be searched, filtered and sorted. If necessary, additional columns can be added to the ones listed by default, alternatively columns can be hidden as well. The following screen introduces the columns added to the original list:



Upload report

EMIR Monitoring

General Monitoring

User information

EMIR Report monitoring

Trade Reporting System

EMIR Report monitoring

Last archivation period: 2015. 02. 10.

	Upload identifier	Transaction type	Trade ID	Message Id	Partner code	Counterparty code	Status report	Transaction status
	13624	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Sent by TR
	13609	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13608	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13607	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13606	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13605	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13604	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13603	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13602	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13601	ReportedTrade	UTI000000000000min...	message000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error

[1 - 10 / 20096] 1 2 3 8 18 68

[Download](#) [Start query](#)

By default, only certain columns shall appear. The list can be extended by clicking on the top left button.

The 'Selection' in the top row is a short cut to extend the original list with all the available extra columns by one click. It is also possible to add only certain columns, one by one to the previous ones.

Report column selection ✕

<input checked="" type="checkbox"/>	Column name
<input type="checkbox"/>	Last successful transaction id
<input type="checkbox"/>	Broker
<input type="checkbox"/>	Clearing member
<input type="checkbox"/>	CP side
<input type="checkbox"/>	Asset class
<input type="checkbox"/>	Product ID1
<input type="checkbox"/>	Product ID2
<input type="checkbox"/>	OTC/ETD (Venue)
<input type="checkbox"/>	Notional
<input type="checkbox"/>	Effective date
<input type="checkbox"/>	Maturity date
<input type="checkbox"/>	Contracting party
<input type="checkbox"/>	Other Contracting party
<input type="checkbox"/>	InterimTrade Id
<input type="checkbox"/>	Termination date
<input type="checkbox"/>	Transaction identification
<input type="checkbox"/>	Date of Report
<input type="checkbox"/>	Error
<input type="checkbox"/>	Error description
<input type="checkbox"/>	Contract status
<input type="checkbox"/>	Reconciliation status
<input type="checkbox"/>	Delegation status
<input type="checkbox"/>	Transaction type

The same screen allows the user to export the data displayed by clicking the 'Download' button.



Upload report | EMIR Monitoring | General Monitoring | User information

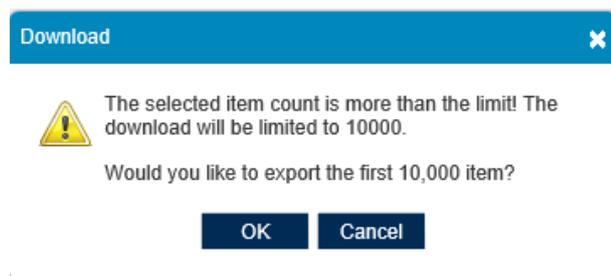
EMIR Report monitoring
Trade Reporting System

Last archivation period: 2015. 02. 10.

+	Upload identifier	Transaction type	Trade ID	Message Id	Partner code	Counterparty code	Status report	Transaction status
	13624	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Sent by TR
	13609	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13608	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13607	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13606	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13605	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Failed to send to TR
	13604	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13603	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13602	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error
	13601	ReportedTrade	UTI000000000000min...	message0000minta20...	549300G6ZS70XHRG2I80	5493001CGRP45IHFF329		Received with Error

Download
Start query

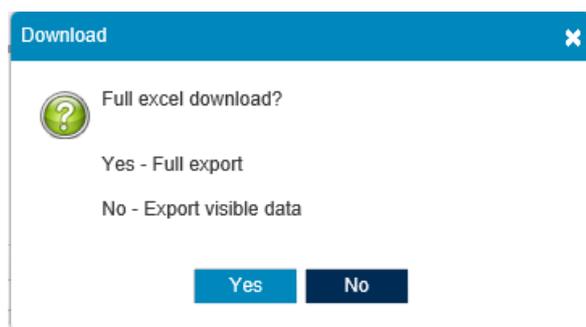
If the number of items queried in the screen exceeds the number determined by the parameter, the following message shall be displayed. If we continue, only the data allowed by the limit can be downloaded.



The type of export to be performed also needs to be selected.

- ✓ Full export: All business field data of the reports listed in the „View selection Jelentés megtekintése” screen shall be exported.
- ✓ Visible data export: the „xlsx” file prepared from the report fields displayed in the columns on the „View selection Jelentés megtekintése” screen.

The data of different types of reports within a file shall appear in separate worksheets



3.3 EMIR trade monitoring

The objective of the trade register is to show the current business phase and status of trades submitted with “trade reporting” or “backloading” message communication/file upload and give a historic overview on reports.

The register contains all the reports on uploaded new trades in a table. The actual status of the trades and their main, reported details shall appear in the table. Data can be searched, filtered and sorted by column. In addition to the columns listed by default, the table includes the ones additionally added as well.

The initial screen of the register summarizes only the data of successfully submitted reports.

The screenshot shows the 'EMIR Trade monitoring' interface. At the top, there is a navigation bar with the Keler logo and tabs for 'Upload report', 'EMIR Monitoring', 'General Monitoring', and 'User information'. Below this, the page title 'EMIR Trade monitoring' and 'Trade Reporting System' are displayed. A red text indicator states 'Last archivation period: 2015. 02. 10.'. The main area contains a table with the following columns: Upload identifier, Transaction type, Trade ID, Message Id, Partner code, Counterparty code, Status report, and Transaction status. The table lists several trade entries, including reported trades and backloadings. At the bottom left, there is a pagination control showing '[1 - 10 / 128]' and navigation buttons. A 'Start query' button is located at the bottom right.

As described in the previous section, additional columns can be displayed in the trade monitoring function also by clicking the function button in the top left. If all the offered columns are to be added to the list, the „Selection” in the top row is to be hit.

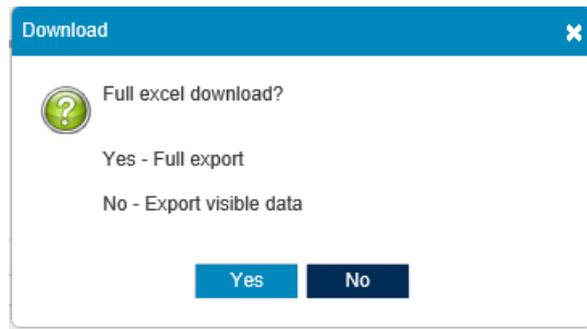
By clicking the „Trade history” icon, the transactions of a given trade shall be listed in chronological order.

The screenshot shows the 'EMIR Trade monitoring' interface with the 'Trade history' view selected. The navigation bar and page title are the same as in the previous screenshot. The table now displays a detailed view of a specific trade, showing its history. The table has the same columns as before. The first row shows a 'ReportedTrade' with a 'Transaction status' of 'Confirmed by TR'. The second row shows another 'ReportedTrade' with a 'Transaction status' of 'Sent by TR'. At the bottom left, the pagination control shows '[1 - 2 / 2]'. At the bottom right, there are three buttons: 'Download', 'Start query' (highlighted with a red box), and 'Back'.

As mentioned in the previous menu item, the user can download the content into an excel sheet by choosing the Download button in the lower right. The pop-up question offers two types of exports:

- Full export: all fields of the listed reports are exported.
- Export of displayed data only: solely the fields of columns in the “View selection jelentések megtekintése” screen shall be exported to the ‘xlsx file’.

The data of different types of reports within a file shall appear in separate worksheets.



4. General (activity) monitoring

The partner’s (client’s) user with ‘Administrator’ role can track the activity of ‘Data manager’ and other ‘Administrator’ users. In addition to the chosen filter criteria (e.g. user, data interval, activity) the list of search results shall include all necessary information on the activity registered by the user activity log.



Upload report
EMIR Monitoring
General Monitoring
User information

Activity monitoring
Trade Reporting System

Activity monitoring

User	Date of activity	Activity	Partner
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
EMIR test user 1	Today, 11:02	Login successfully	RepParticipant1
EMIR test user 1	Today, 10:16	Wrong password	RepParticipant1
EMIR test user 1	Today, 10:15	Wrong password	RepParticipant1
EMIR test user 1	2017. 09. 11. 13:29:38	User logged out	RepParticipant1
EMIR test user 1	2017. 09. 11. 13:29:05	Login successfully	RepParticipant1
EMIR test user 1	2016. 07. 19. 11:25:49	User logged out	RepParticipant1
EMIR test user 1	2016. 07. 19. 11:25:44	Login successfully	RepParticipant1
EMIR test user 1	2016. 07. 19. 11:25:38	Wrong password	RepParticipant1
EMIR test user 1	2016. 07. 19. 11:25:27	Wrong password	RepParticipant1
EMIR test user 1	2016. 07. 19. 11:10:43	User logged out	RepParticipant1

[1 - 10 / 366]
⏪ ⏩ 1 2 3 4 9 19
⏴ ⏵

Start query

Major filter views:

- **User:** the name of the person - it is possible to search only a part of a name (%like%).
- **Date of activity:** the start and the end date of the user’s activity.
- **Activity:** selecting the type of activity.
- **Partner:** selecting a client company.

5. User information

It is mandatory to change the user's password right after the first login. Any user can perform maintenance but solely on its own data. Users are added and other data is maintained by KELER as the 'operator'.

By choosing this function, the user gets straight to its own maintenance site without applying filter criteria. The user can perform partial modification on its own data (e.g. password, phone number, e-mail address can be amended), but cannot modify any data set by the system administrator.

Explanation of important fields:

- **User ID:** the login code of the user;
- **User name:** full name with title;
- **Language:** the language of the user;
- **Password:** the login password;
- **Password confirmation:** the password entered must be identical to the one entered in the previous field;
- **Phone number:** phone number of the user;
- **E-mail:** e-mail address of the user;
- **Date of recording:** data entry date;
- **Date of modification:** latest amendment to the data;
- **Date of approval:** date of the 2nd level approval applied in line with the 4 eyes principle;
- **Partner:** the company (client) the user requested him/herself to be linked to, normally its employer on whose behalf he/she shall upload and view reports. KELER may appear as a partner too, then the user shall refer to an internal user;
- **Role:** the role assigned to the user which defines the basic rights.
- **Date of previous login:** the last time the user logged in to the system.



User information		Trade Reporting System	
User ID:	<input type="text" value="EMIRTU1"/>	Partner:	ReportingParticipant1
Username:	<input type="text" value="EMIR test user 1"/>	Time of last login:	Today, 11:02
Language:	<input type="text" value="Magyar"/>	Date of modification:	2015. 12. 01. 17:31:29
Previous password:	<input type="text"/>	Date of approval:	Today, 10:39
Password:	<input type="text"/>		
Password confirmation:	<input type="text"/>		
Phone number:	<input type="text" value="069444444"/>		
E-mail:	<input type="text" value="rt@keler.hu"/>		
Role:	<input type="text" value="EMIR Adatkezelő"/>		