

A large, circular inset image showing the word "keler" in white, lowercase, sans-serif letters mounted on a dark, textured wall. The background of the entire page is a blurred office interior with a window and curtains.

keler

# Trade Reporting System User Manual



“Management of SFTR  
Reports”  
v. 1.1.



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## ***General Introduction***

This document is the user manual of the KELER's Trade Reporting system. Each version of the system has a complete user documentation complying accurately with the current version.

### **User interfaces, input and output data**

In the following section, we list the screens implemented in the system, the data presented by them, the potential validations and the buttons defined on the screens.

#### ***1.1. Login screen***

Before entering, the user may decide which of the offered languages he wishes to use. After changing the language, the login screen is reloaded with the elements of the selected language. The labels and messages of all further screens will appear in the selected language.

The login screen shows a field for entering the user ID and the password, if the user tries to access the website during operating hours.

If the user tries to access the website outside operating hours, then the message specified by KELER will appear on the screen.

After entering the username and the password, the system authenticates the user.

During the first login, or if KELER "Operator" provides a new password, the modification of the password is compulsory. No transaction may be performed on behalf of the user unless the password is modified.

The user meets this screen first. This logs the user in after entering the proper data.

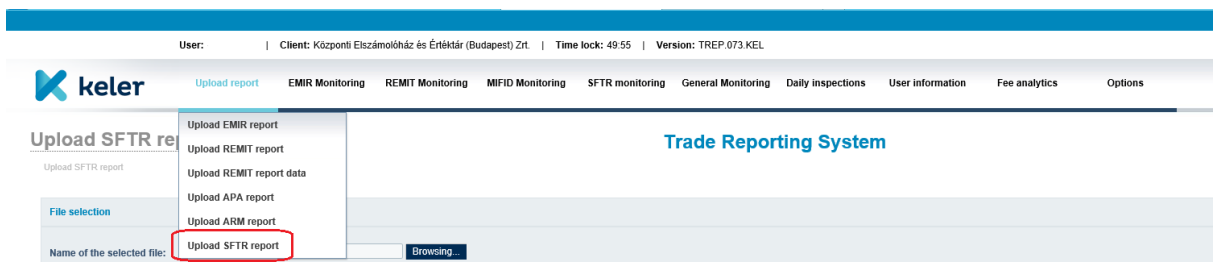


The screenshot shows the login interface of the Keler Trade Reporting System. At the top right, there are language selection options for Magyar and English. The main header contains the Keler logo and the text "Trade Reporting System". Below this, the word "Login" is prominently displayed. The login form consists of two input fields: "Username:" and "Password:". 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. At the bottom of the page, a dark blue footer contains the website address "www.keler.hu" on the left and the phone number "+36 1 483-6100" on the right.

## 2. Uploading reports

### 2.1. Uploading SFTR reports

Reports may be uploaded from the user's own computer or from a network drive of the local network. The extension of the file appearing in the opening window may only be "XML".



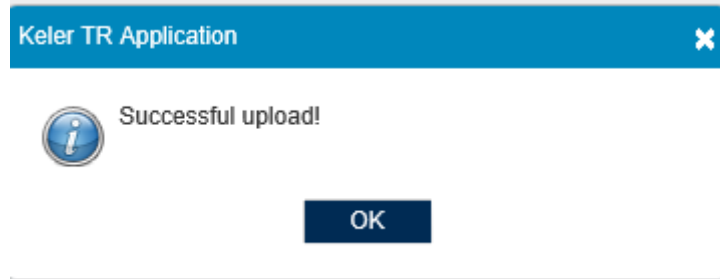
The screenshot displays the main menu of the Keler Trade Reporting System. The top navigation bar includes the Keler logo and a list of menu items: "Upload report", "EMIR Monitoring", "REMIT Monitoring", "MIFID Monitoring", "SFTR monitoring", "General Monitoring", "Daily inspections", "User information", "Fee analytics", and "Options". The "Upload report" menu is expanded, showing a list of options: "Upload EMIR report", "Upload REMIT report", "Upload REMIT report data", "Upload APA report", "Upload ARM report", and "Upload SFTR report". The "Upload SFTR report" option is highlighted with a red rectangular box. Below the menu, there is a "File selection" section with a "Name of the selected file:" label and a "Browsing..." button.

Main functions:

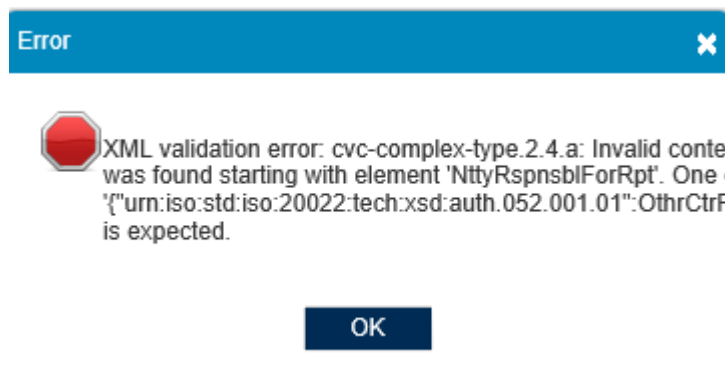
- **File upload:** uploading and checking of the file begins after clicking on the button.
  - XML file upload:  
Storing the file in the file system: the file is not stored with its original filename.

### 2.1.1. Uploading a file

- After loading the file successfully, the following information appears:



- If there is a formal error in the file, the following window appears:



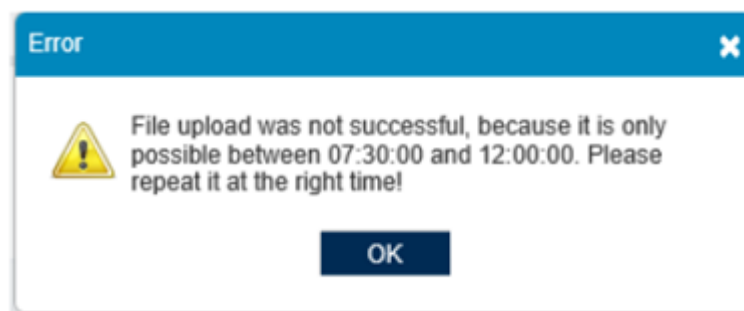
- An error message pops up if the authentication is unsuccessful:



- If any ID (technical record id, business message id, unique trade id) is duplicated, the following error message is presented:



- Uploading is only permitted between the specified time parameters. If the upload is not allowed yet, the following error message pops up:



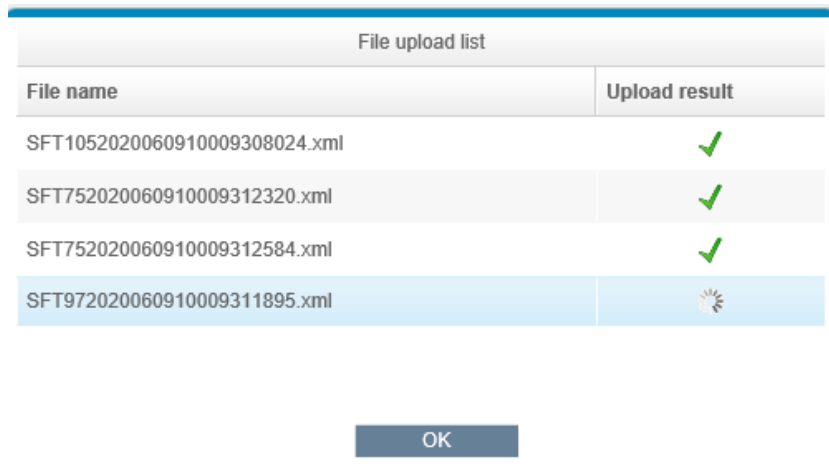
### 2.1.2. Mass file upload

We also offer the possibility to select and upload multiple files. By using **ctrl + left mouse button** and **shift + left mouse button** we can select the files individually or jointly from the folder. After loading the files, we can see the following summary window, indicating the results of loading the files. If the loading is unsuccessful, then click on the icon and the explanation of the error is presented.

File upload list	
File name	Upload result
SFT_752020060910009306505.xml	✓
SFT_1022020060810009301922.xml	✓
SF109202006082.xml	✗
SFT_982020060910009306642.xml	✗

OK

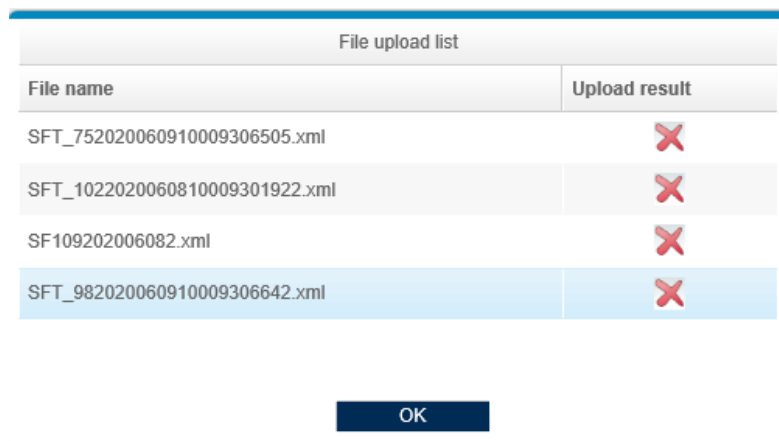
In case of successful upload, we can see the following message for each row:



File upload list	
File name	Upload result
SFT1052020060910009308024.xml	✓
SFT752020060910009312320.xml	✓
SFT752020060910009312584.xml	✓
SFT972020060910009311895.xml	🔄

OK

However, in case of unsuccessful upload, a warning can be seen and the results of the upload are presented after clicking on the button.



File upload list	
File name	Upload result
SFT_752020060910009306505.xml	✗
SFT_1022020060810009301922.xml	✗
SF109202006082.xml	✗
SFT_982020060910009306642.xml	✗

OK

### 3. SFTR Monitoring

#### 3.1. SFTR report package monitoring

The page reflects the list of the uploaded files. The uploads may be selected by using the filters. This screen presents the report packages belonging to the partner related to the user, and the user cannot see the data of other partners.

User: | Client: Központi Elszámolóház és Értéktár (Budapest) Zrt | Time lock: 50:00 | Version: TREP 073 KEL

**keler** Upload report EMIR Monitoring REMIT Monitoring MIFID Monitoring SFTR monitoring General Monitoring Daily inspections User information Fee analytics Options

### SFTR Report package monitoring Trade Reporting System

SFTR Report package monitoring

Upload Identifier	Channel	Date of transaction posting	Report package type	Report package identifier	Sender	Uploader	Status	Archive status
682	Manual upload	Today, 17:49	SFT Transaction	529900MPT6BHQRJPB746080230401158	KI	K	Transferred to send	Not archived
681	Manual upload	Today, 17:49	SFT Transaction	529900MPT6BHQRJPB7460000230401158	KI	K	Transferred to send	Not archived
680	Manual upload	Today, 17:46	SFT Transaction	529900MPT6BHQRJPB746_20200714_12	KI	K	Transferred to send	Not archived
679	Manual upload	Today, 16:41	SFT Transaction	549300KCFVCFUJZY7590000000000000154	M	N	Accepted by REGIS-TR	Not archived
678	Manual upload	Today, 15:07	SFT Transaction	549300KCFVCFUJZY75900000000000000151	M	Z	Accepted by REGIS-TR	Not archived
677	Manual upload	Today, 15:02	SFT Transaction	549300KCFVCFUJZY75900000000000000150	M	Z	Accepted by REGIS-TR	Not archived
676	Manual upload	Today, 13:04	SFT Transaction	529900MPT6BHQRJPB746_20200714_3	KI	K	Accepted by REGIS-TR	Not archived
675	Web service	Today, 11:56	SFT Transaction	52990074URSJKVYF4V57200713115647643	C	C	Rejected by KELER	Not archived
674	Web service	Today, 11:31	SFT Transaction	52990074URSJKVYF4V57200713113116533	C	C	Rejected by KELER	Not archived
673	Manual upload	Today, 11:23	SFT Transaction	549300KCFVCFUJZY75900000000000000130	M	Z	Accepted by REGIS-TR	Not archived

[1 - 10 / 564] [1] 2 3 4 9 19 [Back] [Forward]

Re-send Start query View report

By clicking on the icon of the “transaction file log” belonging to the item of the search list, the transaction log related to the file can be accessed.

### SFTR Report package monitoring Trade Reporting System

SFTR Report package monitoring > Report package diary

#### Report package diary

Upload identifier:	676	Report package type:	SFT Transaction
Date of transaction posting:	Today	Status:	Accepted by REGIS-TR
Uploader:		Sender:	KELER
Original file name:	SFTR_TRANSACTION_NEWT_529900MPT6BHQRJPB / Channel: Manual upload		

Date and time	Status
Today, 13:16	Accepted by REGIS-TR
Today, 13:11	Received by REGIS-TR, validation in progress
Today, 13:04	Transferred to send
Today, 13:04	Received by KELER, to be sent to REGIS-TR
Today, 13:04	Received by KELER, under process

[1 - 5 / 5] [1] 2 3 4 5 [Back] [Forward]

Back

By clicking on the icon of “TR data query”, the user is navigated to the transaction data query window, where the basic data of the sent report package appear and the file contents can be queried.

User: | Client: Központi Elszámolóház és Értéktár (Budapest) Zrt | Time lock: 49:28 | Version: TREP 073 KEL

**keler** Upload report EMIR Monitoring REMIT Monitoring MIFID Monitoring SFTR monitoring General Monitoring Daily inspections User information Fee analytics Options

### SFTR Report package monitoring Trade Reporting System

SFTR Report package monitoring > Report package data request


#### Report package data request

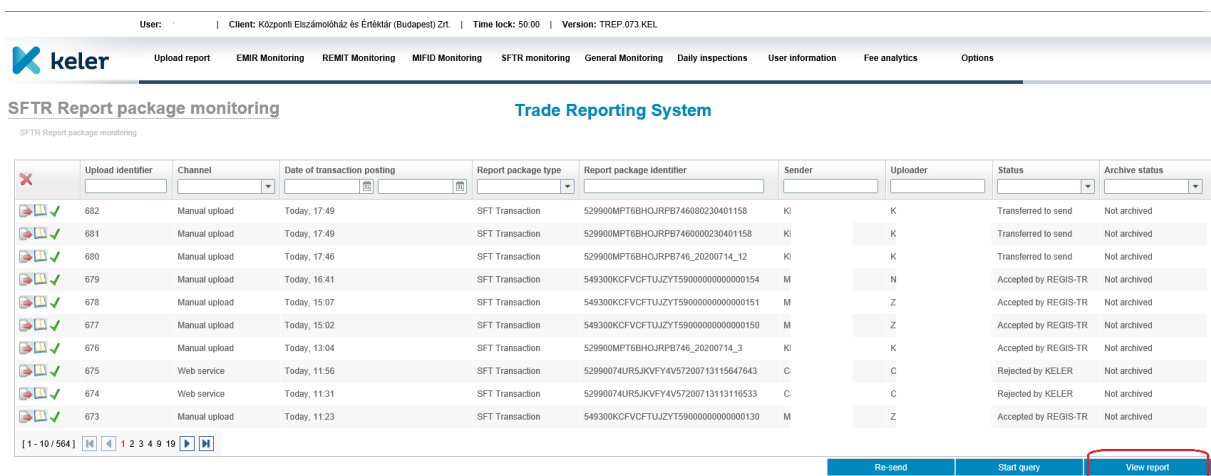
Upload Identifier:	676	Report package type:	SFT Transaction
Date of transaction posting:	Today	Status:	Accepted by REGIS-TR
Uploader:		Sender:	KELER
Original file name:	SFTR_TRANSACTION_NEWT_529900MPT6BHQRJPB / Channel: Manual upload		

Download State download Back



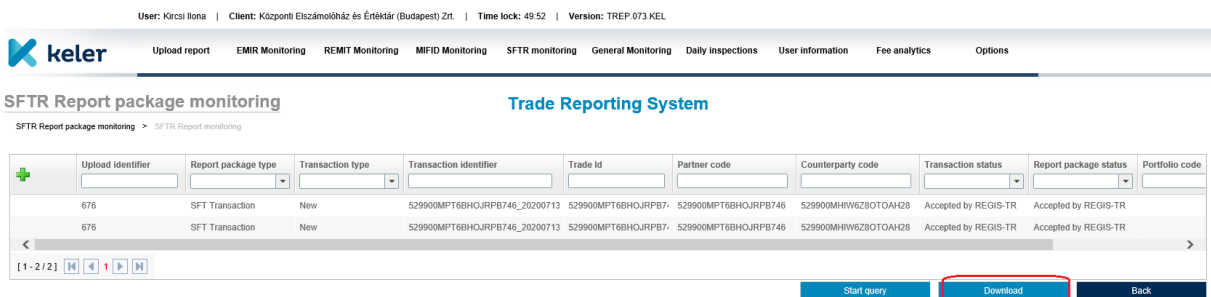
Both the uploaded and the response files can be downloaded here. By clicking on the “download” icon, we can see the sent files. By clicking on the “status download” icon, we can see the current REGIS-TR processing status in xml format.

On the monitoring page of the SFTR reporting package, there is a View Reports button. By using this, the system presents the items found in the transaction selected by us with the  button, by the help of the SFTR Report Monitoring interface.



The screenshot shows the 'SFTR Report package monitoring' interface. At the top, there is a navigation bar with the Keler logo and various menu items like 'Upload report', 'EMIR Monitoring', 'REMIT Monitoring', 'MIFID Monitoring', 'SFTR monitoring', 'General Monitoring', 'Daily inspections', 'User information', 'Fee analytics', and 'Options'. Below this, the page title is 'SFTR Report package monitoring' and 'Trade Reporting System'. A table lists transactions with columns for 'Upload identifier', 'Channel', 'Date of transaction posting', 'Report package type', 'Report package identifier', 'Sender', 'Uploader', 'Status', and 'Archive status'. The table contains 10 rows of data. At the bottom right, there are three buttons: 'Re-send', 'Start query', and 'View report', with the 'View report' button highlighted in red.

The data of the listed items can be downloaded in Excel format.



The screenshot shows a detailed view of a transaction in the 'SFTR Report package monitoring' interface. The page title is 'SFTR Report package monitoring' and 'Trade Reporting System'. Below the navigation bar, there are several input fields for 'Upload identifier', 'Report package type', 'Transaction type', 'Transaction identifier', 'Trade Id', 'Partner code', 'Counterparty code', 'Transaction status', 'Report package status', and 'Portfolio code'. Below these fields, there is a table with two rows of data. At the bottom right, there are three buttons: 'Start query', 'Download', and 'Back', with the 'Download' button highlighted in red.

As a result of the question appearing before downloading, we can export all of the data or the data presented on the screen.

### 3.2. SFTR Report Monitoring

On the screen, we can view the reports of the previously sent transactions by using the “start query” button.

**keler** Upload report EMIR Monitoring REMIT Monitoring MIFID Monitoring SFTR monitoring General Monitoring Daily inspections User information Fee analytics Options

### SFTR Report monitoring Trade Reporting System

SFTR Report monitoring

+	Upload Identifier	Report package type	Transaction type	Transaction identifier	Trade Id	Partner code	Counterparty code	Transaction status	Report package status	Portfolio code
	<input type="text"/>	SFT Transaction	New	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

There are no items to display!

[0 - 0 / 0] [Navigation icons]

**Start query** **Download**

The data of the listed items will be presented in a column format, with search, filter and order functions.

**keler** Upload report EMIR Monitoring REMIT Monitoring MIFID Monitoring SFTR monitoring General Monitoring Daily inspections User information Fee analytics Options

### SFTR Report monitoring Trade Reporting System

SFTR Report monitoring

+	Upload Identifier	Report package type	Transaction type	Transaction identifier	Trade Id	Partner code	Counterparty code	Transaction status	Report package status	Portfolio code
	<input type="text"/>	SFT Transaction	New	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	682	SFT Transaction	New	529900MPT6BHOJRPB746711478658	549300423T3ZCEZ1PP0;			Transferred to send	Transferred to send	
	681	SFT Transaction	New	529900MPT6BHOJRPB746711479658	549300423T3ZCEZ1PP0;			Transferred to send	Transferred to send	
	676	SFT Transaction	New	529900MPT6BHOJRPB746_20200713	529900MPT6BHOJRPB746_20200713			Accepted by REGIS-TR	Accepted by REGIS-TR	
	676	SFT Transaction	New	529900MPT6BHOJRPB746_20200713	529900MPT6BHOJRPB746_20200713			Accepted by REGIS-TR	Accepted by REGIS-TR	
	673	SFT Transaction	New	549300KCFVCFUJZYT59202007141;	549300KCFVCFUJZYT59202007141;			Accepted by REGIS-TR	Accepted by REGIS-TR	
	673	SFT Transaction	New	549300KCFVCFUJZYT59202007141;	549300KCFVCFUJZYT59202007141;			Accepted by REGIS-TR	Accepted by REGIS-TR	
	673	SFT Transaction	New	549300KCFVCFUJZYT59202007141;	549300423T3ZCEZ1PP0;			Accepted by REGIS-TR	Accepted by REGIS-TR	
	670	SFT Transaction	New	549300MSYSNIVC0BME80_20200713	EPK0002106529900FDK			Accepted by REGIS-TR	Accepted by REGIS-TR	
	669	SFT Transaction	New	549300MSYSNIVC0BME80_202007134	29900MPT6BHOJRPB746_202007134			Accepted by REGIS-TR	Accepted by REGIS-TR	

[1 - 10 / 10736] [Navigation icons]

**Start query** **Download**

By default, we always display the given columns, and the list can be extended by using the function button in the upper left corner. If we would like to extend our list with all of the offered columns, we can do so by using the button in the upper row. We also have the possibility to extend our report with one or two columns only.

Report column selection ✕

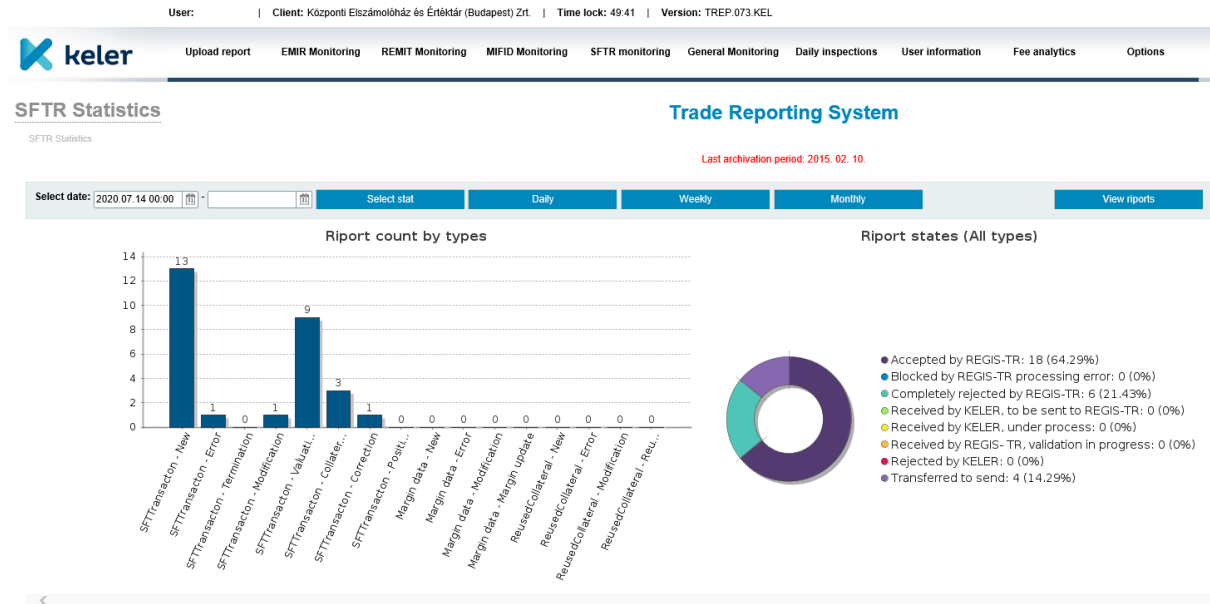
<input checked="" type="checkbox"/>	Column name
<input type="checkbox"/>	Date of report
<input checked="" type="checkbox"/>	Event date
<input type="checkbox"/>	Type of SFT
<input type="checkbox"/>	Cleared
<input type="checkbox"/>	Counterparty side
<input type="checkbox"/>	Counterparty name
<input type="checkbox"/>	Other Counterparty name
<input type="checkbox"/>	Report tracking number
<input type="checkbox"/>	Trading venue
<input type="checkbox"/>	Value date (start date)
<input type="checkbox"/>	Maturity date (end date)
<input type="checkbox"/>	Termination date
<input type="checkbox"/>	Principal amount on value date
<input type="checkbox"/>	Principal amount on maturity date
<input type="checkbox"/>	Principal amount currency
<input checked="" type="checkbox"/>	Security identifier
<input checked="" type="checkbox"/>	Classification of a security
<input checked="" type="checkbox"/>	Type of collateral component
<input type="checkbox"/>	Collateral component
<input type="checkbox"/>	Value of reused collateral
<input type="checkbox"/>	Estimated reuse of collateral
<input type="checkbox"/>	Error code
<input type="checkbox"/>	Error description

OK

The interface also offers the possibility to export the displayed data. We can do this by using the “Download” button as described in the previous chapter.

#### 4. SFTR Statistics

Statistics are also available and downloadable from the KELER TR system for a given period. For quicker query, the system offers fixed values (related to daily, weekly, monthly data).




This display shows quantities, but these can be broken down into transaction level. By default, the system shows for the given day how many of the various types of reports have the various possible statuses. By clicking on the “View reports” button next to the report quantities, the system displays the rows of the given reports complying with the parameters on the SFTR Report Monitoring interface.

## 5. General Monitoring

### 5.1. Activity monitoring

The partner’s user in “administrator” role may check the activities of the users in “data controller” (and of course in “administrator”) roles. In addition to the possible filters (e.g. user, date range, activity), the results list contains the necessary information related to the activity, which is queried by the system from the user activity log.



User: Kircsi Iлона | Client: Központi Elszámolóház és Értéktár (Budapest) Zrt. | Time lock: 48:45 | Version: TREP: 073.KEL


 Upload report   EMIR Monitoring   REMT Monitoring   MIFID Monitoring   SFT monitoring   General Monitoring   Daily inspections   User information   Fee analytics   Options

**Activity monitoring** **Trade Reporting System**

Activity monitoring

User	Date of activity	Activity	Partner
Bi	Today, 18:59	Login successfully	KEI
Ni	Today, 17:49	User logged out	MF
Ki	Today, 17:42	Login successfully	KEI
Ki	Today, 17:37	User logged out	KEI
Ni	Today, 16:51	User was timed out due to inactivity	CoI
Ki	Today, 16:49	Login successfully	KEI
Ki	Today, 16:37	User was timed out due to inactivity	KEI
Ni	Today, 16:36	Login successfully	MF
Ni	Today, 16:35	Wrong password	MF
Ni	Today, 16:01	Login successfully	CoI

[ 1 - 10 / 34721 ]  

[Start query](#)

Major filter views:

- **User:** name of the person. It is also possible to filter details of the name (%like%)
- **Date of activity:** start and end of the user's activity.
- **Activity:** select the activity.
- **Partner:** select the partner.

## 6. User information

After the first login, the password shall be changed. All users can perform maintenance, but he can only see his own data.

The users are recorded and the other data are maintained by KELER "Operator".

When starting the function, the user immediately gets to his own user maintenance page without filters and results list.


The user may only modify his own data partially (e.g. password, phone number, email), but he cannot perform any system administration function.

Explanation of the major fields:

- **User ID:** login code of the user
- **Username:** full name with title
- **Language:** user language
- **Password:** login password
- **Confirm password:** the password written in this field shall comply with the password written in the previous field
- **Phone number:** Phone number of the user
- **E-mail:** e-mail address of the user

- **Recording date:** date of recording
- **Date of modification:** date of modification
- **Date of approval:** date of the 2<sup>nd</sup> level approval performed according to the 4-eye principle
- **Partner:** the partner, to which the user is allocated, and whose orders the user may upload and see. KELER may also be a partner, which in this case indicates the internal user.
- **Role:** role of the user on the basis of which the rights are granted
- **Time of the last login:** date of the previous login

User: | Client: Központi Elszámolóház és Értéktár (Budapest) Zrt. | Time lock: 49:45 | Version: TREP.073.KEL

 Upload report EMIR Monitoring REMIT Monitoring MIFID Monitoring SFTR monitoring General Monitoring Daily inspections User information Fee analytics Options

**User information** **Trade Reporting System**

User information

User ID:	<input type="text" value="k"/>	Partner:	Központi Elszámolóház és Értéktár (Budapest) Zrt.
Username:	<input type="text" value="K"/>	Time of last login:	Today, 16:49
Language:	<input type="text" value="Magyar"/>	Date of modification:	2020. 05. 06. 16:43:25
Previous password:	<input type="text"/>	Date of approval:	2020. 05. 06. 16:44:03
Password:	<input type="text"/>		
Password confirmation:	<input type="text"/>		
Phone number:	<input type="text"/>		
E-mail:	<input type="text" value="k @ hu"/>		
Role:	<input type="text" value="Szuper User"/>		

## 7. Business continuity plan (BCP)

In case of operation differs from normal and problems that cannot be solved within a given daily operating time of KELER's Trade Reporting system, the following BCP process shall be applied.

### 7.1. Trade reporting system access problem

If there is an interruption of the internet connection between the partner and KELER, or there is an error accessing the Trade Reporting service due to other issues, it is necessary to ensure the reception of reports and transfer them to REGIS-TR. In this case, the Trade Reporting web interface is available to internal users of the system, and the validation functions related to manual file upload can be used.

Accordingly, the files received through the alternative channel will be processed immediately and will be uploaded by KELER's assigned employee at the same time.

During the measure, it is only possible to receive and upload files within the framework of BCP. The reports are sent by the partner as a formatted XML file in accordance with the schema requirements used by the Trade Reporting system's web interface.

If the communication between the KELER's Trade Reporting system and the REGIS-TR's system works properly, the following steps shall be followed.

The partners should send the reports in a compressed, password protected file to the e-mail address indicated in the customer information sent by the Service Desk Team. The password required for decompression is sent by the partner to the designated employee of KELER through a separate channel. The decompressed files are uploaded to the Trade Reporting system by KELER. Status notifications of uploaded reports can be verified later in the system.

If not only the partner does not access the KELER's Trade Reporting service, but also the access of REGIS-TR's system is not possible, the report files will not be accepted electronically, there will be no clerical tasks beyond the communication and customer information obligations on KELER's side until the connection is restored.

### ***7.2. Trade reporting system failure***

If the Trade Reporting system does not operate, it is not possible to upload reports on its web interface, the web service calls of external and internal users will not be answered. Since the Trade Reporting system performs control and transformation tasks that cannot be replaced manually, in this case the reporting service is not available until the system is restored.

After the restoration of the operation, KELER will perform the necessary checks and validations. It is necessary to identify the pending messages in the procession queue, and KELER will start sending them automatically.

### ***7.3. Trade repository access problem***

If the internet connection between KELER and REGIS-TR is lost, it is not possible to transfer data to the Trade Repository. Accordingly, reports can only be submitted to REGIS-TR once the internet connection has been restored. The trading data received from the partners cannot be transmitted to REGIS-TR using other channels, therefore it is not possible to perform the BCP process in this case.

Due to the unavailability of REGIS-TR, the items uploaded by the partners via web service call will get rejected status. This can be tracked on Trade Reporting system's monitoring function.

After the restoration of the connection between KELER's Trade Reporting system and REGIS-TR, KELER ensures that the synchronization has been restored, that the newly posted items have been transferred correctly, and that the business statuses have been processed by the Trade Reporting system in order.