Online Registration Tool

Version 1.3

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1. REGISTRATION

1.1. APPLICATION FOR AN ACCOUNT

All institutions in Austria that are required to make reports pursuant to Article 26 MiFIR, including operators of trading venues pursuant to Article 26(5) MiFIR, but not however approved reporting mechanisms (ARMs) as well as Settlement Internalisers pursuant to Article 9 CSDR are required to register using the FMA's Transaction Reporting Online Registration Tool.

https://webhost.fma.gv.at/TRSYS

In order to successfully register for an account, all fields marked with an asterisk (*) must be filled.

It is requested that group e-mail addresses are not to be used for the registration purpose, but that registration should be carried out using a personal e-mail address. Attempting to register using a group e-mail address may lead, as is also the case with registration using an anonymous e-mail address (e.g. a Gmail, GMX or similar address), to the application for the account being rejected. The individual users are subsequently linked with another by means of the entity's LEI, so that it is also possible to see from within the entity who is authorised to make reports.

The relevant telephone number is required to be entered in the format shown (+43 1 249590) when registering.

Passports, driving licences and personal identification documents are permitted as proof of identity. The filename should only consist of A-Z, a-z or 0-9. Any other characters within the filename will be rejected.

In addition the user must also submit an authorisation that proves that the user is authorised to make reports on behalf of the named entity. This may either take the form of a signatory list, provided that the user is authorised to undertake such account applications on behalf of the

entity, or otherwise in the form of a signed authorisation by an authorised party (e.g. an authorised signatory). Such a form may be downloaded from the FMA website.
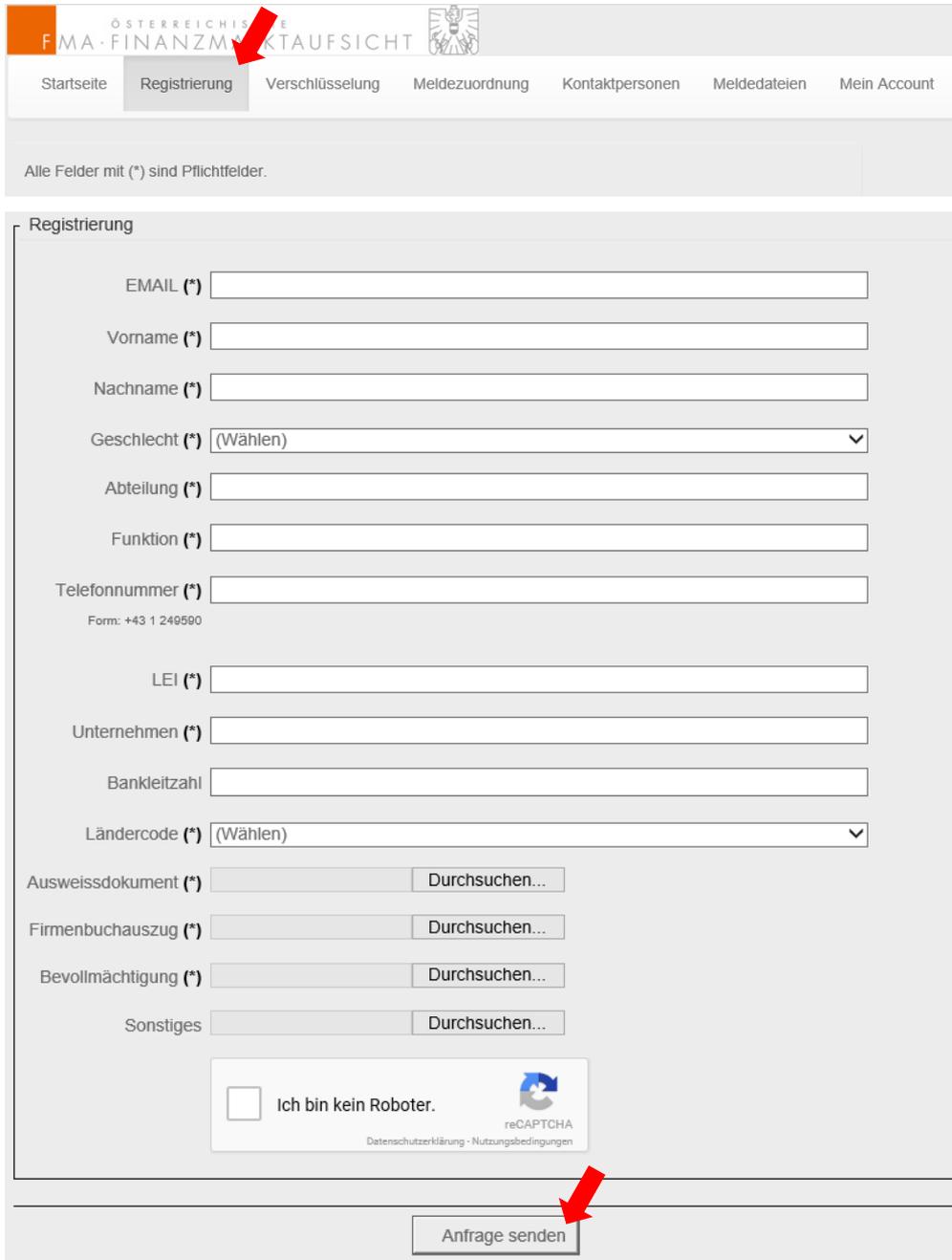
The application may be submitted once the relevant fields have been completed correctly and fully. The user will then be informed that the registration has been successfully sent to the FMA and additionally a confirmation is sent to the registered e-mail address.
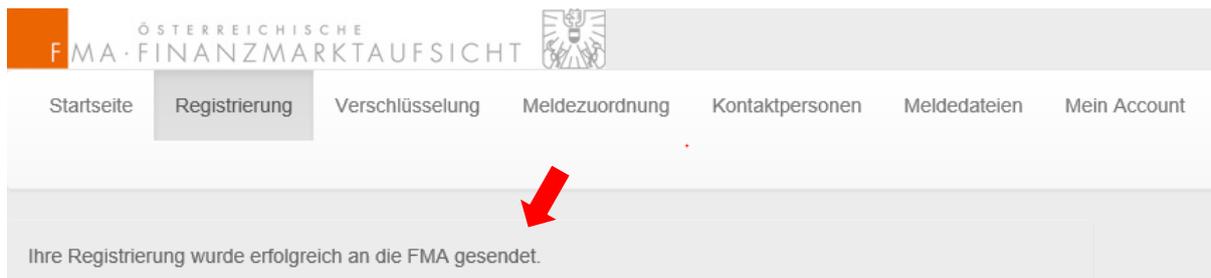
The registration will then be checked by the specialist department at the FMA. Once the checks have been concluded, the user will be informed again by e-mail whether the registration has been authorised or rejected. Potential grounds for rejection may among others include:

- an e-mail address has already been registered
- an invalid e-mail address (anonymous e-mail addresses e.g. Gmail, GMX addresses etc.)
- missing or incomplete documents

In the event that the registration is rejected, than the complete registration process must be repeated.

1.2. SETTING A PASSWORD

As soon as authorisation has been granted by the FMA's specialist department, the user is informed by e-mail and then receives a link to assign a password. Another link must then be requested by entering the registered e-mail address again.

A password may be assigned for the registered account using the link that is now received by e-mail.

Once the password has been successfully set, the Online Registration Tool can be used fully, and all other relevant data captured.

2. ENCRYPTION

The securities transaction reports will be encrypted within the XML envelope and submitted as a Base64 encoded XML element.

GNU-PGP is used for encrypting the data. The corresponding FMA Encryption Keys for MiFIR reporting and CSDR reporting are visible in the tab "Verschlüsselung".
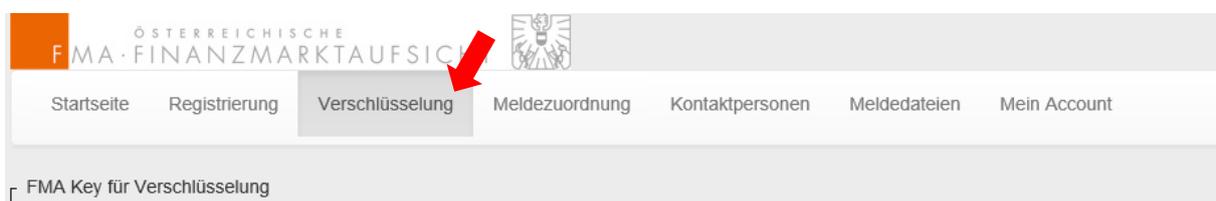
The encryption ensures that the external administrators within the Editel services are not able to read the transaction reports, which contain detailed information about the bank's customers.

Feedback messages from the FMA will be sent to the institution under reporting obligations in unencrypted form to the relevant mailbox, as they do not contain any sensitive data.

3. ASSIGNMENT OF REPORTS (MELDEZUORDNUNG)

The identity of the person who makes the reports to the FMA must now be entered in the tab "Meldezuordnung"
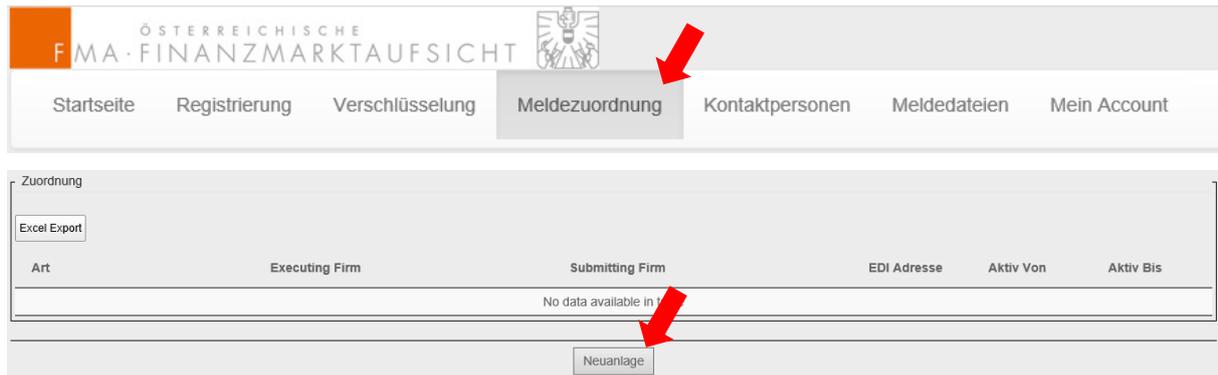
3.1. MIFIR REPORTING (MIFIR MELDUNG)

Reports can be made through one or three different types:

- Reports made by the entity itself (Meldungen für das eigene Unternehmen)
- ARM reporting on behalf of the entity (ARM meldet für das Unternehmen)
- Trading venue reporting for (Handelsplatz meldet für)

3.1.1. REPORTS MADE BY THE ENTITY ITSELF (MELDUNGEN FÜR DAS EIGENE UNTERNEHMEN)

Both the LEI as well as the designation are filled in automatically. All that needs to be entered here are the EDI address of your entity as well as the time from when reports are submitted.

3.1.2. ARM REPORTING ON BEHALF OF THE ENTITY (ARM MELDET FÜR DAS UNTERNEHMEN)

In the case of reporting duties being outsourced to an ARM (the last entity in the reporting chain) both the LEI as well as the EDI address of the ARM are required. Thereafter the field "Aktiv von" (active from) should also be filled out accordingly.

3.1.3. TRADING VENUE REPORTING FOR (HANDELSPLATZ MELDET FÜR)

If a trading venue makes the report on behalf of an institution in accordance with Article 26 (5) MiFIR, then the LEI of this institution and the EDI address of the trading venue is to be entered.

3.2. CSDR REPORTING (CSDR MELDUNG)

Both the LEI as well as the designation of the Settlement intenaliser are filled in automatically. All that needs to be entered here are the LEI of the submitting entity and the EDI address as well as the time from when reports are submitted.

4. CONTACT PERSONS (KONTAKTPERSONEN)

The institutions are required to provide the details about contact persons for MiFIR reporting, CSDR reporting and EMIR reporting to whom ongoing enquiries may be addressed (on or off floor trading matching, reporting deadline breaches etc.) ad hoc enquiries (demands for information, ad hoc investigations etc.) as well as to field technical enquiries, as otherwise the person is always contacted who has registered in the tool.

It is necessary to first of all enter for what specific enquiries the person is responsible. Thereafter the name, e-mail address and a telephone number are also required. In the case that one and the same person is responsible for several areas, then the details must be entered as many times as the person has different roles. In the event that a group e-mail address is used, then the name of the team or the division must be entered in the forename and surname fields (Vorname and Nachname).

The fields "Active from/until" (Aktiv Von/Bis) may be used to indicate whether it is a current contact.

5. REPORTING FILES (MELDEDATEIEN)

Here it is possible to check whether files for Art. 26 MiFIR reports have been submitted to the FMA for the respective registered entity. Here it is however only visible whether the FMA has received the file or the status (File processed/File rejected). This tool does not however check the content of the files.

The file status is updated as soon as the file is processed within the FMA. The standard view displays a three month period of time, although this can be extended to any duration.

6. MY ACCOUNT (MEIN ACCOUNT)

The tab "Mein Account" shows which people have been registered for the entity.
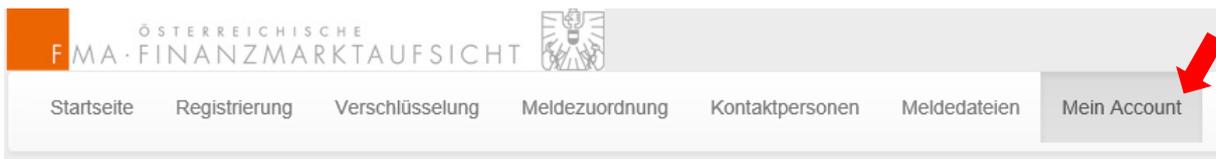
It is also possible to manage the respective authorisations and for example to deactivate employees who no longer work for the entity.