Settlement Internalisers pursuant to Article 9 CSDR

Interface Description

Contents

1   GENERAL

This interface description serves as a guideline for the technical connection to the FMA's notification system and is addressed to all institutions subject to reporting obligations pursuant to Article CSDR, and on the basis of this provision send notifications to the Austrian Financial Market Authority (FMA).

1.1   Scope of the Document

This document contains a technical description about how notifications are to be submitted to the FMA using the service "eXite Version 2.1" provided by the company "Editel" (www.editel.at).

The data transfer format prescribed by ESMA (the description of the XML data file, i.e. the XSD (XML Schema Definition) does not form part of this document (please see the further links in Chapter 2.7).

This document only describes the form in which the XML data file must be submitted to the "eXite" service.

1.2   Electronic Data Interchange Service (eXite)

The FMA's notification system for data exchange with the respective entities that are obliged to make notifications uses the EDI (Electronic Data Interchange) platform eXite® provided by the company Editel (https://www.editel.at/).

Editel ensures a failure-safe infrastructure housed in several high security data centres with the full recording of all transactions, accesses and other activities, thereby providing the highest level of security and traceability of the exchange of data.

To be able to submit data to the eXite® Business Integration Network, communications software is required through which data can be submitted to a participant or can be fetched from a participant.

The FMA uses the eXite®_link communications software, which has been developed specially for this purpose to enable to efficient and cost-effective communication with the eXite® Business Integration Network.

Please contact the company Editel (www.editel.at) for a more detailed interface description.

2 REPORTS

2.1 Pre-requisites for reporting

The following steps must be conducted in order to submit notifications pursuant to Article 9 CSDR to the FMA.

The chapters that follow, chapters 2.1.1. to 2.1.3. refer to steps for systems provided by external firms that are not services by the FMA. In this case, the FMA cannot be considered to be the point of contact or the contact person.

Furthermore it is necessary for institutions that are subject to a notification obligation to register using the FMA's Online Registration Tool (ORT) at https://webhost.fma.gv.at/TRSYS.

Within the ORT the notification must be assigned accordingly (see Chapter 2.1.3), i.e. it must be specified using which EDI address the submission of the notification is to be undertaken. The combination of the reporting agent and the person making the notification are stored in the ORT and are then accordingly enabled in the FMA's reporting system thereby authorising the notification. The submitted files will be rejected by the FMA where this notification assignment has not been performed.

2.1.1 Access to the Electronic Data Interchange Service

Please contact the company Editel (https://www.editel.at) in the case that you require access to the data service.

Institutions that already have the corresponding access and a mailbox for sending/receiving data in conjunction with Article 26 MiFIR reporting may also use this access for notifications pursuant to Article 9 CSDR.

2.1.2 Installing the Communications Software

Companies which already have such an access should already have the relevant communications software installed. In the event that you require communications software, please contact, for example, the company Avedium Technologie GmbH (http://www.avedium.com/). Any other suitable alternative software solution may also be used.

2.1.3 Declaration of Authorisation to Report

All institutions subject to reporting obligations must inform that FMA with which LEI and using which EDI address data will be submitted to the FMA's mailbox. It should be noted that only EDI addresses with capital letters may be used, and therefore should be applied for only in this format. This notification assignment is to be conducted by all institutions subject to notification obligations, including those institutions that have already performed a notification assignment for transaction reporting pursuant to Article 26 MiFIR.

The FMA will extend the already existing and established WEB application ORT for this purpose. The application will be available from the start of June 2019 under the following link https://webhost.fma.gv.at/TRSYS .

An manual about the tool can be found here: https://www.fma.gv.at/download.php?d=2953 and a sample power of attorney (in German only) can be found here: https://www.fma.gv.at/download.php?d=2944

2.1.4 Enveloping process

This interface description serves as a guideline for the technical connection to the FMA's notification system and is addressed to all institutions that are subject to reporting obligations pursuant to Article CSDR, and on the basis of this provision send notifications to the Austrian Financial Market Authority (FMA).

2.1.5 Encryption of data

The actual notifications are encrypted within the XML envelope and submitted as a Base64 encoded XML element.

GNU-PGP is used for encrypting the data. The Public Key for SetIns may be access from the start of June 2019 in the Online Registration Tool:

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

The encryption ensures that it is not even possible for external administrators within the provider Editel to see notifications.

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.

2.2   Enveloping of the report

Parties subject to reporting obligations submit the reports pursuant to Article 9 CSDR in the following format:

```xml
<?xml version="1.0" encoding="utf-8" standalone="yes"?>
<!-- Daten warden als standard business document übermittelt -->
<sh:StandardBusinessDocument
xmlns:sh="http://www.unece.org/cefact/namespaces/StandardBusinessDocumentHe
ader">
        <sh:StandardBusinessDocumentHeader>
                <sh:HeaderVersion>1.0</sh:HeaderVersion>
                <sh:Sender>
                        <!--
                        EDI address of the submitter (submitting firm)
                        Enter your EDI Address here to be able to submit data
                        -->
                        <sh:Identifier>ATBWATEST</sh:Identifier>
                </sh:Sender>
                <sh:Receiver>
                        <!--
                        EDI Address of the RECEIVER
                        For TEST reports enter the EDI Address
                        ATBWATEST (the FMA's EDI Address for test reports)
                        For reports to the production system enter the EDI
                        Address ATBWA (the FMA's EDI Address for production
                        reports)
                        -->
                        <sh:Identifier>ATBWATEST</sh:Identifier>
                </sh:Receiver>
                <sh:DocumentIdentification>
                        <sh:Standard>EAN.UCC</sh:Standard>
                        <sh:TypeVersion>2.5</sh:TypeVersion>
                        <!--
                        Instance identifier number
                        A single (unique) incrementing number is used for each
                        submission. This number is used as a reference in the
                        FMA's feedback files to the corresponding institution
                        under reporting obligations.
                        -->
                        <sh:InstanceIdentifier>1</sh:InstanceIdentifier>
                        <!--
                        Message Type
                        For test reports always SETINSTEST
                        For production reports always SETINSPROD
                        -->
                        <sh:Type> SETINSTEST </sh:Type>
```

```
                <sh:CreationDateAndTime>
                        2016-10-31T14:05:38+01:00
                </sh:CreationDateAndTime>
        </sh:DocumentIdentification>
    </sh:StandardBusinessDocumentHeader>
    <!--
    CONTENT of the FILE (Payload Section)

    <datatrans:content
    xmlns:eXite_link="http://www.editel.at/xml/eXite_link/message/"
    xmlns:datatrans="http://setinstrans.fma.gv.at"
    eXite_link:encoding="utf-8" eXite_link:standalone="yes"
    eXite_link:xmlversion="1.0"
    <!--
    Corresponds to the sender's EDI address in the header
    -->
    datatrans:Sender="ATBWATEST"
    <!--
    Corresponds to the receiver's EDI address in the header
    -->
    datatrans:Receiver="ATBWATEST"
    <!--
    Corresponds to the instance identifier number in the header
    -->
    datatrans:InstanceIdentifier="1"
    <!--
    Corresponds to the message type in the header
    -->
    datatrans:Type="SETINSTEST"
    <!--
    Corresponds to the CreationDateAndTime in the header
    -->
    datatrans:CreationDateAndTime="2016-10-31T14:05:39+01:00">

<!--
XML file in accordance with ESMA standards, encrypted using GNU PGP and
BASE64.
In the following element, the XML file generated in according with ESMA
standards containing all transactions of all institutions under reporting
obligations (executing firms), for which the submitting firm is authorised
to submit data. The "submitting firm" may also be an "executing firm".
The document to be transmitted is submitted, having been encrypted using
GNU PGP using the public key supplied by the FMA, and encoded using base64
as content of the element datatrans:TransReportsXMLFile.
```

The element may only occur once (i.e. a submitted file contains transaction
reports from exactly one submitting firm; within the file transactions may
be submitted for all executing firms)
The submitting firm (LEIOFSUBMITTINGFIRM) must be authorised by the FMA to
send reports to the FMA EDI ADDRESS.
-->
```
            <datatrans:TransReportsXMLFile
            <!--
            LEIOFSUBMITTINGFIRM
            Identification key of the submitting firm.
            Must contain a valid LEI.
            Must be authorised to send reports to the FMA EDI ADDRESS.
            -->
            datatrans:repFirmIdent="LEIOFSUBMITTINGFIRM">
            <!—
            DATA FILE
            base64 encoded, encrypted in advance using GNU PGP XML file
            with Transaction Reports from all parties subject to reporting
            requirements (Executing Firms) for which the Submitting firm is
            authorised to send data.
            This file will be checked against the XSD scheme prescribed by
            ESMA and the additional checking rules listed in the
            specifications.
            -->
                AANDGGDHSKKLKSKKLKLKLJKLKJKLJLKMMIILJSLKLMSMKLMKL
            </datatrans:TransReportsXMLFile>
        </datatrans:content>
</sh:StandardBusinessDocument>
```

Institutions under reporting obligations will receive a feedback file from the FMA, which is sent
to the sender's EDI address. Both positive and negative feedback is made available. Feedback
files are not encrypted, since they do not contain any sensitive information.

Feedback files have the following format:

```
<?xml version="1.0" encoding="utf-8" standalone="yes"?>
<!—
Data are submitted as a standard business document
-->
<sh:StandardBusinessDocument
xmlns:sh="http://www.unece.org/cefact/namespaces/StandardBusinessDocumentHe
ader">
        <sh:StandardBusinessDocumentHeader>
            <sh:HeaderVersion>1.0</sh:HeaderVersion>
```

```
        <sh:Sender>
            <!--
            EDI Address of the Submitter
            For TEST reports
            ATBWATEST (the FMA's EDI Address for test reports)
            For production reports
            ATBWA (EDI address of the FMA for production reports)
            -->
            <sh:Identifier>ATBWATEST</sh:Identifier>
        </sh:Sender>
        <sh:Receiver>
            <!--
                EDI Address of the RECEIVER
                EDI address of the sender (submitting firm) of the
                submitted file, to which the feedback file relates.
            -->
            <sh:Identifier>EDIRECEIVER</sh:Identifier>
        </sh:Receiver>
        <sh:DocumentIdentification>
            <sh:Standard>EAN.UCC</sh:Standard>
            <sh:TypeVersion>2.5</sh:TypeVersion>
            <!--
            Instance identifier number
            The instance identifier, as stated by the submitting firm
            in the file that is sent.
            -->
            <sh:InstanceIdentifier>1</sh:InstanceIdentifier>
            <!--
                Message Type
                For test reports always SETINSTEST
                For production reports always SETINSPROD
            -->
            <sh:Type>SETINSTEST</sh:Type>
            <sh:CreationDateAndTime>
                2016-10-31T14:05:38+01:00
            </sh:CreationDateAndTime>
        </sh:DocumentIdentification>
    </sh:StandardBusinessDocumentHeader>
    <!--
    Content of the Feedback (ESMA Feedback)
    -->
    <BizData xmlns:xsd="http://www.w3.org/2001/XMLSchema"
            xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
            xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01">
        <!--
            Please find the description in the XSD supplied by
```

```
              ESMA
          -->
      </BizData>
</sh:StandardBusinessDocument>
```

2.2.1 Error messages from enveloping (ATX Errors)

During the enveloping processing the following errors may occur:

ATX-002   Exite Link header version not supported

ATX-003   Exite Link receiver is invalid

ATX-004   Production reports are not allowed in the test environment - document type: xxx

ATX-005   Test reports are not allowed in the production environment - document type: xxx

ATX-006   Undefined document type: xxx

ATX-007   Instance Identifier is not numeric: xxx

ATX-008   Instance Identifier xxx was already reported

ATX-009   Type in the Exite Link header 'xxx' is not equal to the Type in the reporting 'xxx'.

ATX-010   Sender in the Exite Link header 'xxx' is not equal to the Sender in the reporting 'xxx'.

ATX-011   Receiver in the Exite Link header 'xx' is not equal to the Receiver in the reporting 'xxx'.

ATX-012   Instance Identifier in the Exite Link header 'xxx' is not equal to the Instance Identifier in the reporting 'xxx'.

ATX-013   Creation Date And Time in the Exite Link header is not reported.

ATX-014   Creation Date And Time in the reporting is not reported.

ATX-015   Creation Date And Time in the Exite Link header doesn't seem to be a date: xxx

ATX-016   Creation Date And Time in the reporting doesn't seem to be a date: xxx

ATX-017   Creation Date And Time in the Exite Link header is in the future: xxx

ATX-018   Creation Date And Time in the reporting is in the future: xxx

ATX-019   The reported LEI 'xxx' is not known in the LEI database.

ATX-020   The executing firm (xxx) must be authorised by the FMA to send reports to the FMA EDI ADDRESS.

ATX-021   The encrypted data stream is not BASE64 encoded.

ATX-022   The encrypted data stream cannot be decrypted.

ATX-023   The encrypted data stream cannot be decrypted.

## 2.3   Remarks about reports

Reports must be exchanged in XML format.

For the submission and routing of the data via the Editel eXite Service, reports must be enveloped as sh:*StandardBusinessDocument*s.

The content of the actual data files within the element datatrans:TransReportsXMLFile is encrypted using GNU PGP and is submitted base64 encoded in the element in question.

For every submitted file the sender (submitting firm) received as least 1 feedback file from the FMA. The content of the feedback file is not encrypted since it does not contain any sensitive information.

Process overview:
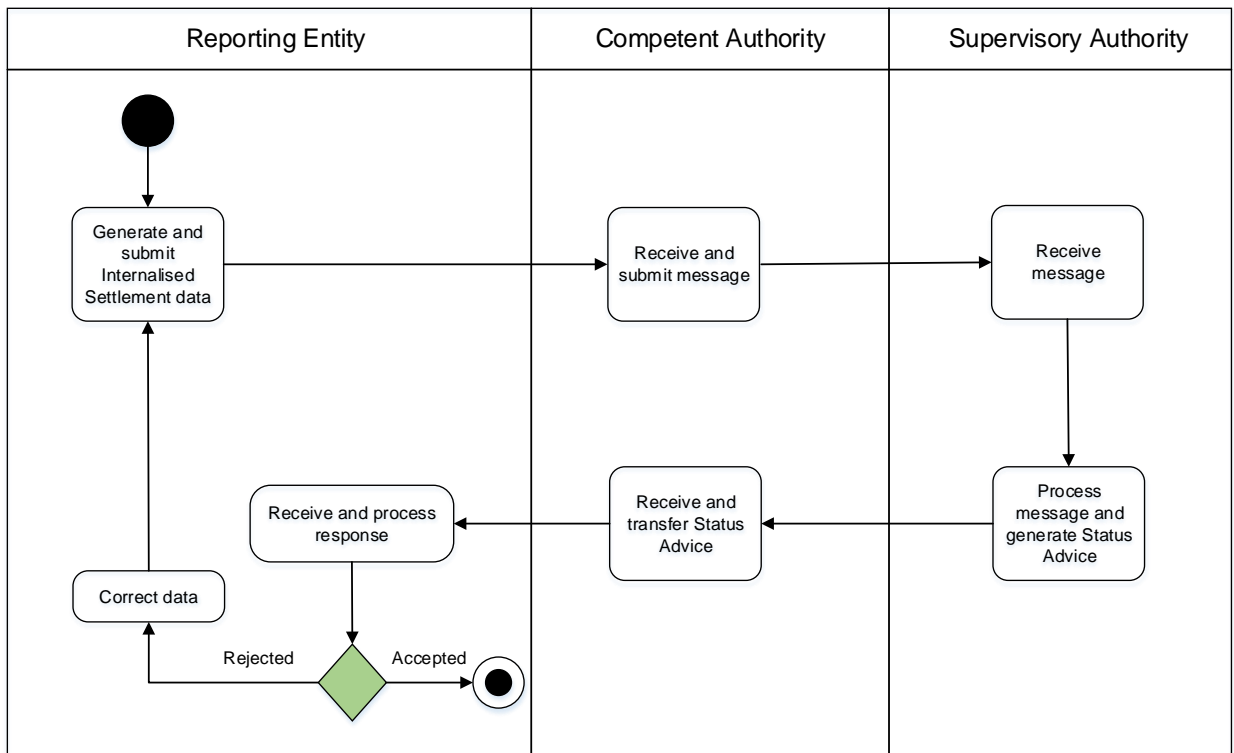
If the value of the attribute <StatusCodeId> of the element <datatrans:StatusCode> is less than 0, this means that the entire submitted file containing all transactions was rejected. If the value is greater than 0, then "Content Errors" exist. A detailed description of this feedback can be found in the attached xsd Schema.

The FMA downloads all files from the server at 3-hourly intervals every calendar day between 06:00 and 18:00.

2.4 Encryption of the XML data file

The content of the actual data files to be submitted within the element "datatrans:TransReportsXMLFile" must be encrypted using GNU PGP and is submitted "base64 encoded" in the element in question.

GNU PGP is a free tool for all computer architectures for encrypting and decrypting data and can also be very easily integrated into batch programs. See https://www.**gnupg**.org/

Since only the XML data file can be encrypted by the institution under reporting obligations, and the FMA does not encrypt its feedback files, it suffices that the institution subject to reporting obligations imports the Public Key made available by the FMA into its GNU PGP Database and then uses this to encrypt data.

The FMA's public key for the encryption of notifications can be found from the start of June 2019 here: https://webhost.fma.gv.at/TRSYS/Verschluesselung

2.5 Testing environment

The testing environment applies all the checking rules that will also be conducted in actual operation, and sends feedback in an identical manner to the way it will be sent in ongoing actual operation. The same information fetched and processed in the real environment is also used in the testing environment.

The EDI Address for receiving test reports is "ATBWATEST".

IMPORTANT: Tests performed using the Readiness Portal in MyStandards, unlike the tests performed in the FMA test environment (ATBWATEST), must not be conducted using real data! The Readiness Portal in MyStandards is an open system.

2.6 Contact details

Technical enquiries in relation to the new reporting regime should be sent to the following mailboxes:

andreas.richard@fma.gv.at

richard.rohrboeck@fma.gv.at

Subject-specific enquiries should be sent to:

heike.radaschitz@fma.gv.at

(Alternatively: clemens.guettersberger@fma.gv.at)

2.7 Additional Links

- CSDR (Regulation (EU) No. 909/2014) - LINK
- RTS (Delegated Regulation (EU) 2017/391) - LINK
- ITS (Implementing Regulation (EU) 2017/393) - LINK
- Final Report (Guideline) - LINK
- MyStandards - LINK
- ISO 20022 - LINK