

GUI – Short Code ID and Algo ID upload User Guide

Frankfurter Wertpapierbörse (FWB[®], the Frankfurt Stock Exchange) Eurex Deutschland European Energy Exchange (EEX)

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User Guide

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Abstract

This guide offers concise instructions for using the GUI for Short Code ID and Algo ID registration and maintenance submissions. It covers login, file submission, manual entries via eForm and status monitoring. In addition, report download and management of missings, final missings and upload errors are provided.

History

Version	Date	Reason
1.0	30.10.2023	Introducing the GUI and functionalities
1.1	01.12.2023	Update chapter 2.1 and 2.2 (Access right change of name)
1.2	13.06.2024	Restructuring chapter 4.2, introduction chapter 4.3 covering the new eForm for manual submission of Short Code IDs and Algo IDs
1.3	14.10.2024	Update chapter 4 with screenshots of the adapted GUI (Release 13 changes), added new chapters 4.2, 4.5, 4.6, 4.7 covering the report download and missing, final missing and upload error display and management. Chapter 6 covers an additional support function.

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List of Abbreviations

CET	Central European Time
CRE	Common Report Engine
CTS	Customer Technical Support
CUE	Common Upload Engine
ESMA	European Securities and Markets Authority
FWB	Frankfurter Wertpapierbörse
GUI	Graphical User Interface
LEI	Legal Entity Identifier
MIC	Market Identifier Code
MIFID	Markets in Financial Instruments Directive
MIFIR	Markets in Financial Instruments Regulation
PROD	Production environment
SIMU	Simulation environment
TKAM	Technical Key Account Manager

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1 Introduction

This user guide is designed to help trading participants navigate and use the Short Code ID and Algo ID upload GUI ("GUI") effectively. The next section delves into the setup of user accounts and their prerequisites. The third chapter focuses on the visualization of GUI access, while the fourth chapter provides a comprehensive overview of the field descriptions and the functionality for the file upload and manual submission via eForm of Short Code IDs and Algo IDs as well as the management of missing(s), final missing(s) and upload error(s). The fifth chapter provides information about the cut-off time and service availability. The sixth and seventh chapters provide contacts and links for support related matters.

Detailed explanation of the regulatory requirements and implemented solution can be found under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

2 Account setup and technical prerequisites

2.1 Prerequisites

The user must ensure that the following technical prerequisites are met before accessing the GUI:

- 1. Member Section active user account with the necessary rights granted for:
 - GUI Upload Short Code ID and / or
 - GUI Upload Algo ID
- 2. Common Upload Engine (CUE) user setup

If both prerequisites are fulfilled already, please go to chapter 3.

2.2 Account activation and setup

Required users and respective rights shall be set up in order to meet the prerequisites.

- 1. Member Section: Please request the required user rights under the following path, which must be approved by the central coordinator:
 - membersection.deutsche-boerse.com > My Profile > Permissions

	Logged in as N	lax Mustermann (Max Mustermann Aktiengesellschaft) 🤨
		2 Task(s)
My Profile		& My Profile
B Personal Data Demission		() Switch User Account () Logout
Search	٩	
UI - Upload Aigo ID Authorization to access the Aigo ID upload GUI	Granted	
GUI - Upload Short Code ID Authorization to access the Short Code ID upload GUI	Granted	



- 2. CUE: Please set up the CUE user following the instructions of the "Common Report & Upload Engine User Guide", which can be found under the following paths:
 - Xetra.com > Technology > T7 trading architecture > System documentation > Most recent release > Reports
 - Eurex.com > Support > Technology > Common Report Engine (CRE)

3 Accessing the GUI

Please access the GUI by following the path via the Member Section:

membersection.deutsche-boerse.com > Company Administration > Short Code ID / Algo ID Upload GUI



Figure 2: Accessing the GUI

Please find the direct link to the GUI below:



Figure 3: Link to GUI

If all technical prerequisites are set up and all permissions are granted, the GUI can be accessed directly via the following link:

https://e-listing.deutsche-boerse.com/e-listing/ext?sclc

4 GUI Interface

Please find the GUI below:

	Short	Code ID / Algo ID								
Common	Refresh	Number of results: 41 <<	<12345>>>						10 🗸	
Inbox	Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🚽	Transmitted File	Uploaded File	
Report download	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12.54	89EXTREFDAGD8XX20240926XETR.CSV	eForm_1254.csv	
Short Code ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:54	89EXTALGO1GDBXX20240926XFRA.CSV	89EXTALGO1GDBXX20240926XFRA.CSV	
File Upload	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	26.09.2024 12:54	89EXTALGO1GDBXX20240926XETR CSV	89EXTALGO1GDBXX20240926XETR.CSV	
erom Mission/s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XEUR	26.09.2024 12:53	89EXTALGO1GDBXX20240926XEUR CSV	89EXTALGO1GDBXX20240926XEUR.CSV	
Final Missing(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:53	89EXTALGO1GDBXX20240926XFRA.CSV	eForm_1253.csv	
Upload Error(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Short Code ID	XEEE	26.09.2024 12:52	89EXTREFDAGDBZZ20240926XEEE.CSV	eForm_1252.csv	
Algo ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:52	89EXTREFDAGDBXX20240926XFRA CSV	eForm_1252.csv	
File Upload	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:51	89EXTREFDAGDBXX20240926XETR.CSV	89EXTREFDAGDBXX20240926XETR.CSV	
eForm	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:51	89EXTREFDAGDBXX20240926XFRA.CSV	89EXTREFDAGDBXX20240926XFRA.CSV	
Missing(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XEUR	26.09.2024 12:50	89EXTREFDAGDBXX20240926XEUR CSV	89EXTREFDAGDBXX20240926XEUR.CSV	
Upload Error(s)	Please note: The Inbox shows the uploaded files for the last 10 trading days									
	Allow S	upport Access							185 n	
	© Deutsche	Börse Imprint Disclaimer	Privacy Policy Te	erms of Use Regula	tion					

Figure 4: GUI Interface

The GUI provides various functionalities to control the session, which can be found in the top righthand corner of the screen:



Figure 5: Control functions

Session control functions

- Language Selection: Option to switch between English and German.
- Login Information: The currently logged-in username.
- Help: Important user information and guides for assistance.
- Logout: Logout button to end the GUI session securely and prevent unauthorized access. An automatic logout is performed after 6 hours of inactivity.
- **Date Display:** The current date/time.

Dedicated tabs for Short Code ID and Algo ID management are located on the left side of the interface, which offer specific features:



Short Code ID and Algo ID upload GUI Features

- Inbox: List of upload files, which are currently being processed and historical uploads from the last 10 trading days. It allows the monitoring of ongoing uploads and the view of completed ones.
- Report download: TR160-169 reports are available for download. The end of day (EOD) reports of the past 10 trading days and the intraday reports of trading day t-1 and t are provided.
- File upload Short Code ID / Algo ID: Submission of Short Code ID / Algo ID upload files.
- **eForm Short Code ID / Algo ID:** Manual submission of Short Code ID data / Algo ID data.
- Missing(s) Short Code ID / Algo ID: Missing Short Code IDs / Algo IDs of the most recent TR160 / TR162 EOD report and the current intraday report are provided.
- Final Missing(s) Short Code ID: Final Missing Short Code IDs of the most recent TR169 EOD report are provided.
- Upload Error(s) Short Code ID / Algo ID: Upload Error(s) of Short Code IDs / Algo IDs of the most recent TR160 / TR162 EOD report and the current intraday report are provided.

4.1 Inbox

The inbox provides an overview about successfully submitted entries via eForm, from which an upload file is created by the GUI, uploaded files submitted by the user, rejected files and corresponding feedback files (CUE log files) covering the error(s) of the failed pre-validation and the respective status. Historical uploads of the last 10 trading days are available. The files can be downloaded. This enables upload monitoring and potentially immediate reaction in case of failed pre-validation.

Please find information about the applied pre-validations in the "CUE validation and file specification Short Code and Algo ID" document under the following paths:

• Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

DEUTSCHE BÖRSE GROUP	Short	Code ID / Algo ID										
Common	Refresh	Number of results: 41 <<	< 1 2 3 4 5 > >>						10 🗸			
Inbox	Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🚽	Transmitted File	Uploaded File			
Report download	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:54	89EXTREFDAGDBXX20240926XETR.CSV	eForm_1254.csv			
Short Code ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12.54	89EXTALGO1GDBXX20240926XFRA.CSV	89EXTALGO1GDBXX20240926XFRA CSV			
File Upload	OK	UPLOAD_SUCCESSFUL	SIMU	GOBXX	Algo ID	XETR	25.09.2024 12:54	89EXTALGO1GDBXX20240926XETR.CSV	89EXTALGO1G08XX20240925XETR CSV			
erom Mission/s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XEUR	26.09 2024 12 53	89EXTALGO1GDBXX20240926XEUR CSV	89EXTALGO1GDBXX20240926XEUR.CSV			
Final Missing(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12.53	89EXTALGO1GDBXX20240926XFRA.CSV	eForm_1253.csv			
Upload Error(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Short Code ID	XEEE	25.09.2024 12.52	89EXTREFDAGD8ZZ20240926XEEE.CSV	eForm_1252.csv			
Algo ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12.52	89EXTREFDAGDBXX20240926XFRA CSV	eForm_1252.csv			
File Upload	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:51	89EXTREFDAGD8XX20240926XETR.CSV	89EXTREFDAGD8XX20240926XETR CSV			
eForm	OK.	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:51	89EXTREFDAGDBXX20240926XFRA.CSV	89EXTREFDAGDBXX20240926XFRA.CSV			
Missing(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XEUR	26.09.2024 12:50	89EXTREFDAGDBXX20240926XEUR.CSV	89EXTREFDAGD8XX20240926XEUR.CSV			
Upload Error(s)		Please note: The inbox shows the uploaded files for the last 10 trading days										



- **Status**: The GUI transfers uploaded files and files resulting from entries in the eForm to the CUE for prevalidation. The possible statuses in the inbox are:
 - 1. In Queue: Initial status directly after uploading the file. The file is awaiting a response from the CUE.
 - 2. **No Response:** The file transfer failed. Please contact the technical support. Please refer to chapter 6 "Contact".
 - 3. Failed: Files with this status were rejected due to non-compliance of file type, file structure or file suffix. By clicking on the $\stackrel{\bullet}{\longrightarrow}$ button in the "Pre-Validation Result" column the feedback file (CUE log file) can be downloaded with detailed error information. By clicking on the $\stackrel{\bullet}{\square}$ button in the "Pre-Validation Result" the information is displayed in the GUI. Please address validation related questions via email to the Regulatory Reporting Analysts at client.services@deutsche-boerse.com.

4. **OK:** Files were successfully pre-validated (either with no data record error and the CUE response "UPLOAD_SUCCESSFUL" or with data record errors and the CUE response "UPLOAD_SUCCESSFUL_WITH_ERRORS") and transmitted to the comprehensive validation in the data warehouse. Final results are provided in the error and overview reports TR160 / TR161 for Short Code ID and in TR162 / TR163 for Algo ID registrations. The reports are available on CRE and in the GUI. However, since files will not be rejected due to erroneous data records in the file, the user can check the CUE pre-validation results by clicking on the \clubsuit button in the "Pre-Validation Result" column. The feedback file (CUE log file) can be downloaded with detailed error information. By clicking on the \fbox button in the "Pre-Validation Result" the information is displayed in the GUI. Please address validation related questions via email to the Regulatory Reporting Analysts at client.services@deutsche-boerse.com.

Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🚽	Transmitted File	Uploaded File
OK	UPLOAD_SUCCESSFUL_WITH_ERRORS 👲 🕻	SIMU	GDBXX	Short Code ID	XEUR	24.09.2024 10:37	89EXTREFDAGD8XX20240924XEUR.CSV	89EXTREFDAGDBXX20240709XEUR.CSV
OK	UPLOAD_SUCCESSFUL_WITH_ERRORS & Ca	SIMU	GDBXX	Short Code ID	XEUR	24.09.2024 10:37	89EXTREFDAGDBXX20240924XEUR.CSV	89EXTREFDAGDBXX20240709XEUR.CSV

Figure 8: Validation Errors

- **Pre-Validation Result:** This column provides the information about failure or success of the upload file.
- Environment: Environment selected by the user in the upload / new record form. "SIMU" for the simulation environment and "PROD" for the production environment.
- Participant ID: Permitted participant ID (equals Member ID in the T7 environment) selected by the user in the upload / new record form.
- File Type: File type chosen by the user in the upload / new record form, i.e. Short Code ID or Algo ID.
- Market: The permitted MIC chosen by the user in the upload / new record form.
- Upload Date: This column provides the time and date of the file upload.
- Transmitted File: This column contains the final filename, which was transmitted to CUE.
- **Uploaded File:** This column contains the filename of the uploaded file or the file, which was created by the GUI with manual entries via eForm. Click the filename to download the file if needed.

4.2 Reports

In section "Report download" the Short Code ID EOD reports (TR160, TR161, TR166, TR167, TR168, TR169) and Algo ID EOD reports (TR162, TR163) of the last 10 trading days and in addition the TR160-TR163 intraday reports of reporting day t-1 and t are provided for download purposes. Production and simulation reports are offered. However, visibility and access to the reports is limited according to the GUI user rights.

Example report name TR160 EOD and intraday (10 AM), production environment: 90RPTTR160GDBXX20241118XEUR.XML.ZIP 90RPTTR160GDBXX202411181000XEUR.XML.ZIP

Example report name TR160 EOD and intraday (2 PM), simulation environment: 95RPTTR160GDBXX20241118XEUR.XML.ZIP 95RPTTR160GDBXX202411181400XEUR.XML.ZIP

A filter can be applied by clicking on the column names.

GROUP	E Short Code	ID / Algo ID					
Common Inbox Report download	Dear user, you can For more information Number of results:	find your TR Report on regarding reports 1326 <<< 1.2.3	rts for the last 10 d s, please refer to th 3 4 5 6 7 8 9 10 > >	ays here. he following li	nks: Xetra and Börse I	Frankfurt, Eurex, EEX	10 🗸
hort Code ID	Environment	Participant ID	Report Title	Market	Reporting Date	Reporting Interval	Report Download
File Upload	SIMU	XQSFR	TR163	XFRA	25.09.2024	EOD	62RPTTR163XQSFR20240925XFRA.XML.ZIP
eForm	SIMU	PEZXX	TR163	XFRA	25.09.2024	EOD	62RPTTR163PEZXX20240925XFRA.XML.ZIP
Missing(s)	SIMU	PEYXX	TR163	XFRA	25.09.2024	EOD	62RPTTR163PEYXX20240925XFRA.XML.ZIP
Final Missing(s)	SIMU	PENXX	TR163	XFRA	25.09.2024	EOD	62RPTTR163PENXX20240925XFRA.XML.ZIP
Upload Error(s)	SIMU	GDBXX	TR163	XFRA	25.09.2024	EOD	62RPTTR163GDBXX20240925XFRA.XML.ZIP
lgo ID	SIMU	GDBIN	TR163	XFRA	25.09.2024	EOD	62RPTTR163GDBIN20240925XFRA.XML.ZIP
File Upload	SIMU	XQSFR	TR160	XFRA	25.09.2024	EOD	62RPTTR160XQSFR20240925XFRA.XML.ZIP
eForm	SIMU	PEZXX	TR160	XFRA	25.09.2024	EOD	62RPTTR160PEZXX20240925XFRA.XML.ZIP
Missing(s)	SIMU	PEYXX	TR160	XFRA	25.09.2024	EOD	62RPTTR160PEYXX20240925XFRA.XML.ZIP
Upload Error(s)	SIMU	PENXX	TR160	XERA	25.09.2024	FOD	62RPTTR160PENXX20240925XERA XML ZIP

Figure 9: Report download

4.3 File upload Short Code ID and Algo ID

4.3.1 File upload process

In the upload sections "Upload Short Code ID" and "Upload Algo ID" the user must fill mandatory fields in the file upload form:

- Environment: "SIMU" for the simulation environment and "PROD" for the production environment.
- Market: Available Market Identifier Codes (MIC) depend on member data and Participant ID admission.
- **Participant ID:** The Member ID(s) used by a trading participant in T7. Available Participant IDs depend on member data and Participant ID admission.

After the selection of the applicable field values, the system provides the correct filename according to the naming convention, if not already met by the user (please refer to chapter 4.3.2 for further details), and the upload file can be chosen:

onui		
SIMU	~	
Market*		
XETR	~	
Participant ID		
GDBXX Required upload to Your document w	S9EXTREFDAGDBXX20231 be automatically renamed to adhere	018XETR.CSV to the CUE naming
GDBXX Required upload a Your document w convention.	ename: 89EXTREFDAGDBXX20231 be automatically renamed to adhere file chosen	018XETR.CSV to the CUE naming
GDBXX Required upload i Your document w convention. Choose File N Upload Short Co	ename: 89EXTREFDAGDBXX20231 be automatically renamed to adhere o file chosen de ID	018XETR.CSV to the CUE naming

Figure 10: Upload Short Code ID

- Click on "Choose File" and select the file to upload.
- Click on "Upload Short Code ID" / "Upload Algo ID" to start the upload process.

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• After initiating the upload, a notification about the success of the upload is provided within the upload form.

SIMU	~	
Market"		
XETR	~	
Participant ID		
GDBXX	~	
Required upload f	lename: 89EXTALGO1GDBX	20231018XETR.CSV
Required upload f Your document wi convention.	lename: 89EXTALGO1GDBX) I be automatically renamed to	20231018XETR.CSV adhere to the CUE naming
Required upload f Your document wi convention. Choose File N	lename: 89EXTALGO1GDBXX I be automatically renamed to o file chosen	20231018XETR.CSV adhere to the CUE naming
Required upload f Your document wi convention. Choose File N Upload Algo ID	lename: 89EXTALGO1GDBX) I be automatically renamed to o file chosen	20231018XETR.CSV adhere to the CUE naming

Figure 11: Upload Algo ID

For a comprehensive description of the file structure and field population, please refer to the "SCLC 2.0 - Reporting handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime – Version 4.2". Please find the link to the document in the "Link to documents" or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

4.3.2 Naming convention

The system presents the naming convention of the filename, which is based on the selected values of the user. The GUI will provide the file name automatically, and if not used, will automatically rename the uploaded file. This standardized filename is utilized in all reports for the ease of monitoring purposes. It is strongly recommended to adhere to the naming convention already whilst preparing the upload file.

Please note that files uploaded on non-trading days will be processed within the next trading day's report generation run which starts at 10 AM CE(S)T.¹

Please note that the CUE is adding a timestamp (hhmmsss) to the file name. In addition, CUE adds a version number (e.g. -V01, -V02) in case numerous files are uploaded per day.

Field name	Standard & Format
Environment ID	[88, 89]{2}
	88 for Production
	89 for Simulation
Service Name	[EXTREFDA, EXTALGO1]{8}
	EXTREFDA for SCLCs
	EXTALGO1 for Algo IDs
Participant ID	[A-Z] {5}
Upload Date	[0-9]{8}
	YYYYMMDD
Timestamp	[0-9]{6}
	hhmmss
MIC Code	[XETR, XFRA, XEUR, XEEE]{4}
	XETR for Xetra

¹ Please refer to the trading calendar for simulation and production for XETR and XFRA (simulation and production: https://www.xetra.com/xetra-en/trading/trading-calendar-and-trading-hours) as well as for XEUR (simulation: https://www.eurex.com/ex-en/support/initiatives/simulation-calendar; production: https://www.eurex.com/ex-en/trade/trading-calendar).

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Field name	Standard & Format			
	XFRA for Boerse Frankfurt			
	XEUR for Eurex			
	XEEE for EEX			
Versioning	Optional field			
	starting with -V01 up to -V99			
File type	[.CSV]{4}			
	.CSV			

4.4 eForm Short Code ID and AlgoID

4.4.1 Submission process Short Code ID

4.4.1.1 eForm data entry

In section "eForm Short Code ID" the user can fill in Short Code data with "Add new":

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID		
Common Intox Report download Short Code ID File Upload eForm Missing(s) Enal Missing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	Environment: Participant ID: Market: Status Indicator: Valid Ences Date: Valid	New record	nal ID Priority Client Long Value

Figure 12: eForm Short Code ID - new record

- Environment: "SIMU" for the simulation environment and "PROD" for the production environment.
- Market: Available MIC codes depend on member data and Participant ID admission.
- Participant ID: Available Participant IDs depend on member data and Participant ID admission.
- Status Indicator: "N" for new registration, "M" for modification, "D" for deletion and "C" for Correction.
- Valid From Date: For status indictor "N" and "M" the Valid From Date can be t-1, t, t+1. For deletions only t+1 is available. For status indicator "C" the Valid From Date must be t-2 or older.
- Valid To Date: For status indictor "N", "M" and "D" the Valid To Date must be empty. For status indicator "C" the Valid To Date must be t-2 or older.
- Short Code ID: A valid numerical Short Code ID must be added.
- Classification Rule: Available Classification Rules are "N" for National IDs of natural persons, "L" for LEIs of legal persons and "EMPTY" for the ESMA values "PNAL", "AGGR", "NORE".
- National ID Country Code: Available Country Codes are those of ISO list 3166-1 alpha 2. If the Classification Rule is "EMPTY", this field must be empty as well and is therefore disabled.
- National ID Priority: Available values "1", "2" and "3" depend on the ESMA defined priorities.² If the Classification Rule is "EMPTY", this field must be empty as well and is therefore disabled.

² ESMA table "National client identifiers for natural persons" (ESMA Questions and Answers on MiFIR data reporting, 25 May 2018 ESMA70-1861941480-56)

 Client Long Value: A valid Long Code must be added. If the Classification Rule, National ID Country Code and National ID Priority are "EMPTY", then only the values "PNAL", "AGGR", or "NORE" are permitted from the drop-down menu.

For a comprehensive description of data structure and field population, please refer to the "SCLC 2.0 - Reporting handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime – Version 4.2". Please find the link to the document in the "Link to documents" or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

Once the data record is complete the user clicks on "Submit" and the data is pre-validated.

Failed validation

Failed data validation is displayed in the "new record form" and marked red.

Environment*	SIMU	~
Market*		~
Participant ID*		~
Status Indicator*	N - New registration	~
Valid From Date*	26.09.2024	
Valid To Date	17.09.2024	
Short Code ID*	4545	
Classification Rule*	Empty - ESMA value	~
National ID Country Code		~
National ID Priority		~
Client Long Value*	PNAL	~
An asterisk (*) indicates a re submit cancel Market' is required. Participant ID' is required. Invalid value in field Valid To	iquired field	

Figure 13: eForm Short Code ID - failed validation

Successful validation

Successfully pre-validated data records are displayed and can also be modified if needed. Please note that the data is not submitted yet. Please refer to chapter 4.4.1.4 for more information.

Stuticité édése	Short Cod	Se ID / Algo ID										
Common	New record saved											
HOOK Genoral developed		Environment	Participant ID	Market	Status Indicator	Valid From Date +	Valid To Date	Sittort Code ID	Classification Rule	National ID Country Code	National ID Priority	Client Long Value
These Costs ID	[Modity	SIMU	GDEXX	XEUR	N - New registration	26.09.2024		4545787	L - Legal person			635400XINPMOREMEY125
File Upload	[Modity]	SIMU	GDEXX	XEUR	N - New registration	26.09.2024		4545	Empty - ESNA value			PNAL
erom bissing(c) final Ansang(c) Uptical Entro(ts) Algo IO Fire Uptical of com Massing(c) Uptical Entro(ts)	Seect At [] To upload a reco	Add new Uplaa	d selected Dolo	te solected]	evant rows and press "L	lpload selected" or "De	ele selector". The	e is also the option t	o "Select AIF, if the action	is required on all records.		

Figure 14: eForm Short Code ID - successful validation

4.4.1.2 eForm modification of data entries

In order to modify a data record, the user clicks on "Modify" and an "Edit record" window opens. The modification can be conducted. The data record can be submitted or the modification can be cancelled.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID			100				
Common Intox Report downbad Short Code ID Fire Upland eForm Masing(s) Uplana Entro(s) Algo ID Fire Upland eForm Masing(s) Uplana Entro(s)	New record saved	Particlegant ID erer Ki GDBXX XEUR GDBXX XEUR GDBXX XEUR d selected) Detete selected ele it, check the boxes of the	Status Indicator N - New registration N - New registration	Valid From Date Val 26.09.2024 26.09.2024 Jpload selected" or "Deate se	Edit record Environment* Market* Participant ID* Statis Indicator* Valid From Date* Valid To Date Short Code ID* Classification Rule* National ID Priority Client Long Value*	[SIR4] (XEUR GOBKX (QOBKA (208x) (1) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2)	National ID Priority	Client Long Value 635400XINPMOREM6Y125 PNAL
	© Deutsche Börse Imprint Discla	imer Privacy Policy Terms o	f Use Regulation		An asterisk (*) Indicates a submit cancel	required field	-	

Figure 15: eForm Short Code ID - modification

4.4.1.3 eForm deletion of data entries

In order to delete a data record, the user selects the data record and clicks on "Delete selected" and a window opens for confirmation. The deletion can be conducted or cancelled.

DEUTSCHE BÖRSE GROUP	Short Coo	de ID / Algo ID										
Common Inbox	New record sawed											
Report download	Modify	SIMU	GDBXX	XEUR	N - New registration	26.09.2024	valid to Date	4545787	L - Legal person	National ID Country Code	National ID Priority	635400XINPMOREM6Y125
Short Code ID File Upload	Modify	SIMU	GDBXX	XEUR	N - New registration	26.09.2024		4545	Empty - ESMA value			PNAL
eform Missing(s) Final Missing(s) Upload Error(s) Algo ID File Upload eform Missing(s) Upload Error(s)	Image: Model with the second with the boxes of the relevant to and press "Upload selected" or "Delete selected". There is also the option to "Select AI", if the action is required on all records. PNAL Elisting Boy you want to delete selected records? Select AI", if the action is required on all records.											
	C Deutsche Bör	se Imprint Disclai	mer Privacy Policy	Terms of U	se Regulation		Ye	s No				

Figure 16: eForm Short Code ID - deletion

4.4.1.4 eForm data submission

In order to submit the data to the trading venue, the user selects the data records and uploads the data with "Upload selected". In the background the GUI automatically creates a CSV upload file and submits the file to CUE for validation. In case the user added data records for different MICs (or Participant IDs or Environments) the GUI automatically creates one file per MIC (or Participant ID or Environment). The file name(s) is displayed in the view after submission (please refer to chapter 4.3.2 for more information on the naming convention).

Please note that entries, which are not submitted by the trading day's cut-off time 23:30 CET will be removed from the eForm.

	Short Code ID / Algo ID
Corsmon Inbox Report download Short Code ID File Upland eForm Missing(s) Fine Missing(s) Upland Form(s) Algo ID File Upland eForm Missing(s) Upland Enror(s)	Number of Incosts spicaded 2 Number of Table Streaded 2 Full Validation Results with the next TR100 and TR101 results streaded 2 Full Validation Results with the next TR100 and TR101 results streaded 2 REXTIFETANCESSCORE WORKER CSV REXTIFETANCESSCORE CSV REX
	Deutsche Böne Imprit Disclamer Phracy Policy Terms of Use Regulation

Figure 17: eForm Short Code ID - data submission

The upload file(s) is displayed in the Inbox. The files generated from the eForm are named "eForm_HHMM.csv" in column "Uploaded File". This includes the timestamp of submission of the records for traceable action.

The preliminary validation results of CUE are provided back to the user as described in chapter 4.1. Please note that the final validation is processed in the intraday and overnight batches and provided in the error report TR160 and the valid registrations are provided in the overview report TR161.

CEUTSCHE BÖRSE	Short	Code ID / Algo ID							
Inbox	Refresh	Number of results: 22 << <	123>>>						10 V
Upload Short Code ID	Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🚽	Transmitted File	Uploaded File
eForm Short Code ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBYY	Short Code ID	XETR	24.05.2024 11:07	89EXTREFDAGDBYY20240524XETR.CSV	eForm_1107.csv
Upload Algo ID	ок	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	24.05.2024 11:07	89EXTREFDAGDBXX20240524XETR-V04.CSV	eForm_1107.csv
erom Ago IU	OK	UPLOAD_SUCCESSFUL	SIMO	GDBXX	Short Code ID	XEIR	24.05.2024 10.34	89EXTREFDAGDBXX20240524XETR-V03.CSV	89EXTREFDAGDBXX20240524XETR.CSV

Figure 18: eForm Short Code ID - submitted files in the Inbox

4.4.2 Submission process Algo ID

4.4.2.1 eForm data entry

In section "eForm Algo ID" the user can fill in Algo ID data with "Add new":

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID	
Common Inbox Report download Short Code ID File Upload eForm Missing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	Environment Particlosette Select All Add new Opfload selected Delete selected To upload a record to CUE or to delete it, check the boxes of the relevant rows and pression of the rows are pression of the relevant rows are pression of the rows are pression of the rows are pression of the rows are p	New record Responsible ID Environment* V Market* V Participant ID* V Valid From Date* V Ago ID* Responsible ID* An asterisk (*) indicates a required field submit cancel
	© Deutsche Börse Imprint Disclaimer Privacy Policy Terms of Use Regulation	

Figure 19: eForm Algo ID - new record

- Environment: "SIMU" for the simulation environment and "PROD" for the production environment.
- Market: Available MIC codes depend on member data and Participant ID admission.
- Participant ID: Available Participant IDs depend on member data and Participant ID admission.
- Valid From Date: The Valid From Date can be t or t+1.
- Algo ID: A valid numerical Algo ID must be added.
- Responsible ID: A valid email address must be added.

For a comprehensive description of data structure and field population, please refer to the "SCLC 2.0 - Reporting handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime – Version 4.2". Please find the link to the document in the "Link to documents" or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

Once the data record is complete the user clicks on "Submit" and the data is pre-validated.

Failed validation

Failed validation of data is displayed in the "new record form" and marked red.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID			
Common Intox Report download Short Code ID File Upload eForm Masing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	Environment Participant ID Select All Add new Upload selected Delete selected To upload a record to CUE or to delete it, check the boxes of the relevant rows and press	New record Environment* Market* Perticipent ID* Valid From Date* Algo ID* Responsible ID* An asterisk (*) indicates (submit) cancel Invelid value in field Resp	SIMU XETR GDBXX 26.09.024 123 beloworid de a required field	Responsible ID Cition is required on all records.
	© Deutsche Börse Imprint Disclaimer Privacy Policy Terms of Use Regulation			

Figure 20: eForm Algo ID - failed validation

Successful validation

Successfully pre-validated data records are displayed and can also be modified if needed. Please note that the data is not submitted yet. Please refer to chapter 4.4.2.4 for more information.

DEUTSCHE BÖRSE GROUP	Short Code ID	/ Algo ID										
Common Inbox	New record saved Excitonement Restitutions ID Market Valid From Data Aloo ID Responsible ID											
Report download	C Revenue	Environment	CIDEXX	VETD	valid From Date	*	Algo ID	heleworld firmail de				
File Lybiod efform Missing(s) Final Missing(s) Uptod Error(s) Algo IO File Lybiold efform Missing(s) Uptod Error(s)	To upload a record to	CUE or to delete if, check the b	oxes of the relevant rows and pr	ess "Upload selected"	or "Delete selected". There is als	o the o	ption to "Select All	, if the action is required on all recon				
	© Deutsche Börse In	nprint Dischaimer Privacy Pole	cy Terms of Use Regulation									

Figure 21: eForm Algo ID - successful validation

4.4.2.2 eForm modification of data entries

In order to modify a data entry, the user clicks on "Modify" and an "Edit record" window opens. The modification can be conducted. The data record can be submitted or the modification can be cancelled.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID	
Common Inbox Report download Short Code ID File Upload eForm Missing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	New record saved	Edit record Environment* SIMU Market* XETR Participant ID* GDBXX Participant ID* GDBXX Valid From Date* 26.09.2024 Valid From Date* 26.09.2024 Ago ID* 123 Responsible ID* helloword/@mail.de chron is required on all records. An asterisk (*) indicates a required field submit cancel
	© Deutsche Börse Imprint Disclaimer Privacy Policy Terms of Use Regulation	

Figure 22: eForm Algo ID - modification

4.4.2.3 eForm deletion of data entries

In order to delete a data entry, the user selects the data record and clicks on "Delete selected" and a window opens for confirmation. The deletion can be conducted or cancelled.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID
Common Inbox Report download Short Code ID File Upload aForm Missing(s) Final Missing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	Environment Participant ID Market Valid From Date Algo ID Responsible ID Image: Modify SIMU GDBXX XETR 26.09.2024 123 helloworld@mail.de Image: Solect All Add new Upload selected Delete selected To upload a record to CUE or to delete it, check the boxes of the relevant rows and press "Upload selected" or "Delete selected". There is also the option to "Select All", if the action is required on all records. Image: District Select All Add new Upload a record to CUE or to delete it, check the boxes of the relevant rows and press "Upload selected" or "Delete selected". There is also the option to "Select All", if the action is required on all records. Image: District Select All Add new Upload a record to CUE or to delete it, check the boxes of the relevant rows and press "Upload selected" or "Delete selected". There is also the option to "Select All", if the action is required on all records. Image: District Select All Add new Upload selected records? Image: District Select All", if the action is required on all records. Image: District Select All Add new Upload selected records? Image: District Select All", if the action is required on all records.
	© Deutsche Börse Imprint Disclaimer Privacy Policy Terms of Use Regulation

Figure 23: eForm Algo ID - deletion

4.4.2.4 eForm data submission

In order to submit the data to the trading venue, the user selects the data records and uploads the data with "Upload selected". In the background, the GUI automatically creates a CSV upload file and submits the file to CUE for validation. In case the user added data records for different MICs (or Participant IDs or Environments) the GUI automatically creates one file per MIC (or Participant ID or Environment). The file name(s) is displayed in the view after submission (please refer to chapter 4.3.2 for more information on the naming convention).

Please note that entries, which are not submitted by the trading day's cut-off time 23:30 CET will be removed from the eForm.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID
Common Inbox Report download Short Code ID File Upload eForm Missing(s) Einal Missing(s)	Number of records uploaded: 1 Number of files created: 1 Full Validation Results will be accessible in the next TR162 and TR163 File is relivable in the inbox under the name: 89EXTALGOIGOBXX20240926XETR.CSV Environment Participant ID Market Valid From Date Algo ID Responsible ID Select Al Add new Upload selected Delete selected
Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	Operate defected to code of the defect in process of the relation of regimes of process defected. There is also the operation of concertainty is the defect of an excertainty in the defect of an excertainty is also defect of the regimes of an excertainty in the defect of an excertainty is also defect of the regimes of an excertainty is also defect of the regimes of the regim

Figure 24: eForm Algo ID - data submission

The upload file(s) is displayed in the inbox. The files generated from the eForm are named "eForm_HHMM.csv" in column "Uploaded File". This includes the timestamp of submission of the records for traceable action.

The preliminary validation results of CUE are provided back to the user as described in chapter 4.1. Please note that the final validation is processed in the intraday and overnight batches and provided in the error report TR162 and the valid registrations are provided in the overview report TR163.

DEUTSCHE BÖRSE GROUP	Short	Code ID / Algo ID							
Inhov	Refresh	Number of results: 33 << <	1234>>>						10 🗸
Upload Short Code ID	Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🚽	Transmitted File	Uploaded File
eForm Short Code ID	ОК	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Algo ID	XFRA	29.05.2024 08:04	89EXTALGO1GDBZZ20240529XFRA.CSV	eForm_0804.csv
Upload Algo ID	ок	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XEUR	29.05.2024 08:03	89EXTALGO1GDBXX20240529XEUR.CSV	eForm_0803.csv
eForm Algo ID	OK	UPLOAD SUCCESSFUL	SIMU	GDBYY	Algo ID	XETR	29.05.2024 08:03	89EXTALGO1GDBYY20240529XETR.CSV	eForm 0803.csv

Figure 25: eForm Algo ID - submitted files in the Inbox

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4.5 Missing(s)

4.5.1 Missing(s) – Short Code ID

In this section users are provided with the missing Short Codes, i.e. "Error 1 – Short Code ID registration is missing" of the last business day (TR160 EOD report) and the current business day (TR160 latest available intraday report). A Short Code can appear twice, if it was identified as missing on the past trading day and again on the current trading day.

The user can start the eForm directly from the Missing(s) overview by clicking on "eForm". The eForm is prefilled with the following information: Environment, MIC, Participant ID and Short Code ID. Next to the "eForm" button is a small green tick box located, which indicates that the eForm was used for this record. The user can click the eForm again and fill it again in case the record was rejected (see chapter 4.7).

	Short	Code ID / Algo ID															
Common	For more in Number of	formation regarding reports, palase refer to the for results: 2	Koung Wats Xota	and borse Praimful	, Euros, EEX											10	9
Report download	Fill seform	Report Title	Environment	Participant ID	Market	Reporting Interval	Short Code 10	transaction/dentifier	user	sessionid	tree Text1	tree Text2	thee Taxt2	ties7ext4	typOng	shortCodetro	a
Inert Code ID File (spisal efters Missing(s) Filat Missing(s) Upleat Enro(s) Algo (D File Upleat	efort	EXPERTINGCORROCTANDESET IN AND, SP SERPTTRYGOCROCTANDESET IN AND, SP	564,1	GDBX	XE18 XE18	EOD EOD	18540	172729618296082118 17272758688296023001	FEEDER FEEDER	951250425 96289925	COP				0	C E	
eform Moskig(i) Uglobiš Eirorja)	0 Deutsch	e börse j impret j Discaanse j Privacy Policy (Tan	ns of Use 3 Rigidal	05.													

Figure 26: Missing(s) - Short Code ID

4.5.2 Missing(s) – Algo ID

In this section users are provided with the missing Algo IDs, i.e. "Error 1 – Algo ID registration is missing" of the last business day (TR162 EOD report) and the current business day (TR162 latest available intraday report). A Algo ID can appear twice, if it was identified as missing on the past trading day and again on the current trading day.

The user can start the eForm directly from the Missing(s) overview by clicking on "Open eForm". The eForm is prefilled with the following information: Environment, MIC, Participant ID and Algo ID. Next to the "eForm" button is a small green tick box located, which indicates that the eForm was used for this record. The user can click the eForm again and fill it again in case the record was rejected.

	Short	(Code ID / Algo ID															
Common	AgoiOs m For more s Number of	ust be registered prior to usage, i.e. Valid From Dat information regarding reports, please refer to the tot results: 6	e (7 or 7+1) Iowing Roiss Xintu	and Borse Frankfurt	furs, FEX											(10	-
Report download	Fill eForm	n Report Title	Environment.	Participant ID	Market	Reporting Interval	Algo ID	transactionidentifier	user	sessionid	tree Text1	tree Text2	free Text3	tres leuté	typOrig	algoidSrc	19
Short Code ID	ef-prm	S2RPTTR/S2GCBXX202405258ETR AML ZP	SM/J	GDDXX	XCTR	600	19299	1727270204646001007	TEEDER	991210029					0	1	1
eFom	aforn	SDRPTTRHS2G2BI0020240505XETR XML ZIP	BMU	GDBXX	XETTI	600	16040	1727256512237002061	FEEDER	951210028					0	E	11
Missing(s)	eform.	A2RPTTRH2006R0204092500TR30ML21P	SMRU	GOBIOK	XETR	600	12	1727270204645001007	FEEDER	951210029					0	C.	
Final Missing(s)	eform.	S2RPTTR-MIDIC/ROC20248505XETR XML 21P	SMU	GDBXX	NETR	800	11	1727270204645000007	FERDER	951210029	-		-		1)	11
Upload Error(s)	erom	16RPTTRIN2GC02024905XEUR XML 2P	SMAU	GOBXX	XELIA	600	501	1727254810042387001	FEEDER	96201768					0	1	
Alge ID	Aftern:	BSRPTTRHR2GDBIOQ0048805XEURXXX, 25P	SMU	COBIOL	XB/R	600	1917	1737275864785005001	FEEDER	95203023					8	E	11.
rine Upkod Kforn Missing(s) Upkoat Envir(s)	© Devision	er Börse junpent j Discherrier (Privacy Policy Ten	ns of User Theywood	06			For				(h.)						



4.6 Final Missing(s) - Short Code ID

In this section users are provided with the final missing Short Codes of the latest EOD TR169 report. A Short Code can appear multiple times, if it was identified as final missing on numerous trading days.

The user can start the eForm directly from the final missing(s) overview by clicking on "Open eForm". The eForm is prefilled with the following information: Environment, MIC, Participant ID and Short Code ID. Next to the *"*eForm" button is a small green tick box located, which indicates that the eForm was used for this record. The user can click the eForm again and fill it again in case the record was rejected.

DEUTSCHE BÖRSE GROUP	Short (Code ID / Algo ID								
Common Inbox	For more inf Number of r	formation regarding reports, please refer to the foll esuits: 7	owing links: Xetra a	and Börse Frankfurt	, Eurex, EEX				10	•
Report download	Fill eForm	Report Title	Environment +	Participant ID	Market	Reporting Interval	Short Code ID	Valid From Date	Valid To Date	٩
Short Code ID	eForm	52RPTTR169NCPYY20240925XETR.XML.ZIP	SIMU	NCPYY	XETR	EOD	1	25.09.2024	25.09.2024	
File Upload	eForm	52RPTTR169NCPYY20240925XETR.XML.ZIP	SIMU	NCPYY	XETR	EOD	1	18.09.2024	18.09.2024	
eForm	eForm	52RPTTR169NCPYY20240925XETR XML ZIP	SIMU	NCPYY	XETR	EOD	1	17.09.2024	17.09.2024	
Missing(s)	eForm	52RPTTR169NCPYY20240925XETR XML ZIP	SIMU	NCPYY	XETR	EOD	1	12.09.2024	12.09.2024	
Final Missing(s)	eForm	52RPTTR169GDBXX20240925XETR XML ZIP	SIMU	GDBXX	XETR	EOD	1	12.09.2024	12.09.2024	
opidad Error(s)	eForm	95RPTTR169GDBXX20240925XEUR XML ZIP	SIMU	GDBXX	XEUR	EOD	1	25.09.2024	25.09.2024	
Algo ID	eForm	95RPTTR169GDBXX20240925XEUR.XML.ZIP	SIMU	GDBXX	XEUR	EOD	1	17.09.2024	17.09.2024	
rie Opward eForm Mesing(s) Upload Error(s)	© Deutsche	Borse Imprint Disclaimer Privacy Policy Term	ns of Use Regulati	on						

Figure 28: Final Missing(s) - Short Code ID

4.7 Upload error(s)

4.7.1 Upload error(s) - Short Code ID

In this section users are provided with the upload errors of their Short Code ID upload file(s) of the last business day (TR160 EOD report) and the current business day (TR160 latest available intraday report). A Short Code can appear multiple times, if multiple errors occurred for a Short Code ID.

CROUP	Short Code ID / Algo ID									
Common	For more information regarding reports, please rel Number of results: 128 $-\epsilon<$ 1.2.5.4.5.6.7.8.9	ter to the following : 10 > >>	lens. Xetta and Bo	se Frankturt	Euros, EEX					10 -
Report download	Report Title	Environment.	Participant ID	Market	Reporting Interval	Short Code ID	Error	tsField	upload#ite	rowNumber in the uploadFile
Short Code ID	95RPTTR160GD8XX20240925XEUR.XML ZIP	SIMU	GDBXX	XEUR	600	empty	50	PARTICIPANT_ID	INEXTREFDAGOSXX20240925132040XEUR CSV	15
File Upload	36RPTTR160GDBKX20248925XEUR XML ZP	SIMU	ODBXX	XEUR	800	empty	10	PARTICIPANT_ID	BREXTREFDAGORXX20240525132038XEUR.CSV	15
eForm	95RPTTR168GD8XX20240925XEUR XML ZIP	SIMU	GOBIOX	XEUR	E00	ABFIC	10	PARTICIPANT_JD	INEXTREFDAGD8XX20240925130098XEUR.CSV	16
Missing(t)	95RPTTR+600D80X20240925X87UR XX4L 25P	SIMU	COBIXX	NEUR	800	ABFC .	10	PARTICIPANT_ID	BHOXTREFDAGDBXX2024092513264EXEUR CSV	16
Final Missing(s)	95RPTTR160GDEXX20240925XEUR.XML,ZP	SIMU	GOBXX	XEUR	600	99889987	10	PARTICIPANT_ID	INEXTREFDAGD8XX20240925132030XEUR.CSV	29
obione stronts)	95RPTTR160GDEKX20245925XELR XML ZP	SIMU	GDEXX	XEUR	600	99889987	10	PARTICIPANT_ID	BEXTREFDAGOROX20340925132046XEUR.CSV	29
Algo ID	95RPTTR160GDBKK2024I925KEUR.XML.ZP	SIMU	GDBXX	XEUR	600	99889905	10	PARTICIPANT_ID	INEXTREFDAGO8XX20240925132036XEUR.CSV	7
eForm	95RPTTR1600D8XX2024E925XEUR XML ZP	SIMU	GDBIOK	RUEK	ECO	99889905	10	PARTICIPANT_ID	INDOTREFDAGOBOX28240525132048XEUR CSV	7
Missing(s)	95RPTTR160GD8XX20240925XEUR.XML.ZP	SMU	GOBXX	XEUR	600	99368373	10	PARTICIPANT_ID	INEXTREFDAGOBXX20240925132048XEUR.CSV	2
Liniond Economic	95FIPTTR1601D8IXXXX240925XEUR XX4, ZP	SMU	CORROR	XEUR	E00	99388373	10	PARTICIPANT ID	INEXTREFDACIORXX20240925132038XEUR CRV	2

Figure 29: Upload error(s) - Short Code ID

4.7.2 Upload error(s) – Algo ID

In this section users are provided with the upload errors of their Algo ID upload file(s) of the last business day (TR162 EOD report) and current business day (TR162 latest available intraday report). An Algo ID can appear multiple times, if multiple errors occurred for an Algo ID.

DEUTSCHE BÖRSE GROUP	Short Code ID / Algo ID	the following inits	Xetta and Borie F	withat Fue	. EFX					
Common	Number of results: 8									10 😒
Report download	Report Title	Environment.	Participiant ID	Market	Reporting Interval	Algo ID	Error	taField	uploadFile	rowNumber in the uploadFile
Short Code ID	95RPTTR1620DE00202409201000XEUR.XML.25P	SIMU	GDBXX	XEUR	INTR	ynybyc	10	PARTICIPANT_ID	80EXTALG0100BX020240920093422XEUR.CSV	4
File Upload	95RPTTR/H2GDEbOCR024092610000EUR XML ZIP	SMU	GDBXX	XEUR	INTR	ynvbvc	10	PARTICIPANT_ID	BREXTALGO1GEBXX20240926093422XEUR CSV	6
eForm	95RPTTR1620DE90202409261000XEUR30MLZIP	SIMU	GDBXX	XEUR	INTR	ynvbvo	10	PARTICIPANT_ID	INEXTALGO1GDBXX20240820080422XEUR-CSV	3
Missing(s)	95RPTTR162GDE0X202409281000XEUR30ML20P	SIMU	GDBXX	XEUR	INTR	empty	10	PARTICIPANT_ID	89EXTALGO1GDEXX20240920093422XEUR CSV	6
Final Missing(s)	95RPTTR 1620DE00202409261000XEUR XML 20P	SBAU	ODEXX	XEUR	INTR	2578	13	VALID_FROM_DATE	INEXTAL GO100BXX20240928093433XEUR CSV	4
Upload Enforts)	195RPTTR HERGERKOCIO24092610000EUR XML ZIP	SIMU	GDBXX	XEUR	INTR	2578	13	VALID_FROM_DATE	BREXTALGO1GDBXX20240826093422XEUR CSV	1
Algo ID	95RPTTR162GDB3062024082610000EUR304L2IP	SIMU	GEBOX	XEUR	INTR	135123	13	VALID_FROM_DATE	89EXTALGO1GDBXX20240925090422XEUR CSV	2
File Optoad	95RPTTR162GD8000202409281000XEUR.XML.20P	SIMU	GDBXX	XEUR	INTR	135123	13	VALID_FROM_DATE	BREXTALGO1GDBX0Q20240926095433NEUR CSV	2
Missing(s) Upload Error(s)	© Deutsche Bonie Ingeint Disclaime Privacy Policy	y Terms of Use P	togulation							



5 Cut-off time and service availability

For Short Code ID and Algo ID uploads the trading day's cut-off time is 23:30 CE(S)T. Files uploaded by then are processed in the overnight batch. The upload functionality is disabled between 23:30 and 00:00 CE(S)T and the following message is provided to the user for upload attempts during this time:

eListing				
DEUTSCHE BÖRSE GROUP	Applications	Portfolio management	Administration	Short Code ID / Algo ID
Common inbox Report download Short Code ID File Upload eForm Missing(s) Upload Error(s) Algo ID File Upload eForm Missing(s) Upload Error(s)	The CUE system is o Environment* SINU Market* XETR Participant IP* COBXX Participant B* Choose File 8EXTALSR4C Upted Short Code ID Link to documents Xetra and Bors	Urrently unavailable, please u REFDAGDBXX20240927XETR.CSV Ily renamed to adhere to the CUE naming conve SUI.CSV e Frankfurt, Eurex, EEX er Privacy Policy Terms of Use Regulation	se the upload functionality	y between 00:00 - 23:30 CET.

Figure 31: Upload functionality message

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6 Contact and support

For technical support please contact the Customer Technical Support (CTS), which is available 24/5, from Monday 00:00 to Friday 22:00 CET:

- Technical Key Account Manager (TKAM) via dedicated phone number
- CTS via hotline +49 69 211 10 888 or by email at cts@deutsche-boerse.com

For functional support please contact the Regulatory Reporting Analysts, which are available from Monday to Friday between 9:00 and 18:00 CET:

Regulatory Reporting Analyst via hotline +49 69 211 28991 or by email at <u>client.services@deutsche-boerse.com</u>

GUI users can tick the box "Allow Support Access" to enable their Regulatory Reporting Analyst to assist whilst using the GUI in a live session.

GROUP	Short	Code ID / Algo ID							
Common	Refresh	Number of results: 44 <<	< 1 2 3 4 5 > >>						10_~
Inbox	Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date 🛖	Transmitted File	Uploaded File
Report download	ОК	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	26.09.2024 13:38	89EXTALGO1GDBXX20240926XETR.CSV	eForm_1338.csv
Short Code ID	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XEUR	26.09.2024 13:34	89EXTREFDAGDBXX20240926XEUR.CSV	eForm_1334.csv
File Upload	OK	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Short Code ID	XEUR	26.09.2024 13:34	89EXTREFDAGDBZZ20240926XEUR.CSV	eForm_1334.csv
eForm Missing(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:54	89EXTREFDAGDBXX20240926XETR.CSV	eForm_1254.csv
Final Missing(s)	ОК	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:54	89EXTALGO1GDBXX20240926XFRA.CSV	89EXTALGO1GDBXX20240926XFRA.CSV
Upload Error(s)	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	26.09.2024 12:54	89EXTALGO1GDBXX20240926XETR.CSV	89EXTALGO1GDBXX20240926XETR.CSV
	OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XEUR	26.09.2024 12:53	89EXTALGO1GDBXX20240926XEUR.CSV	89EXTALGO1GDBXX20240926XEUR.CSV
File Upload	ОК	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:53	89EXTALGO1GDBXX20240926XFRA.CSV	eForm_1253.csv
eForm	ок	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Short Code ID	XEEE	26.09.2024 12:52	89EXTREFDAGDBZZ20240926XEEE.CSV	eForm_1252.csv
Missing(s)	ок	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:52	89EXTREFDAGDBXX20240926XFRA.CSV	eForm_1252.csv
Upload Error(s)		·		Please	note: The Inbox	shows the u	ploaded files for the	last 10 trading days	
	Allow S	upport Access							
	© Deutsche	Börse Imprint Disclaimer	Privacy Policy Te	rms of Use Regula	tion				

Figure 32: Support access

7 Link to documents

Additional support and resources are offered via "Link to documents" feature. This link directs you to a webpage where you can access a wide range of guidelines and documents related to the Short Code ID and Algo ID solutions. This serves as a central repository of information and includes the latest updates regarding upload file structures, file population and other relevant information.