FINANSSIVALVONTA
FINANSINSPEKTIONEN
FINANCIAL SUPERVISORY AUTHORITY

Standard RA5.1 Bilaga

Anvisningar om elektronisk rapportering för transaktionsrapporteringen enligt standard RA5.1

Innehåll

1 Inledning

Dessa anvisningar ska användas för elektronisk rapportering till Finansinspektionen i enlighet med rapporteringsstandard RA5.1 *Transaktionsrapportering*.

2 Rapportering till Finansinspektionen

Finansinspektionen anlitar en s.k. TYVI-operatör för insamling av transaktionsdata. TYVI-operatören är en länk mellan företagen och myndigheterna som är specialiserad på att genomföra tekniska datainsamlings- och konverteringsuppgifter. TYVI är en förkortning av orden "Tietovirrat Yrityksiltä VIranomaisille". Finansinspektionen anlitar TYVI-operatören Itella Information Oy. Den rapporteringstjänst som TYVI-operatören tillhandahåller kallas nedan TYVI-tjänst.

Rapportören kan vara det rapporteringsskyldiga företaget självt eller en s.k. teknisk rapportör som rapporterar för företagets räkning. Med rapportör avses i detta dokument den som sänder in rapporten till Finansinspektionen.

Rapportören får den BIC-kod som behövs för rapporteringen avgiftsfritt från SWIFT. Beställningsblankett finns på SWIFT:s webbplats på adressen https://www2.swift.com/formz/public/index.cfm?form_config=public_bic1request&form_title= Request an 8 characters BIC for a non SWIFT User&form_roadmap= http://www.swift.com/index.cfm?item_id=43685.

Transaktionsrapportfilerna (TR-filerna) ska upprättas enligt postbeskrivningen i dessa anvisningar.

För varje mottagen fil sänder TYVI-operatören eller Finansinspektionen en kvitteringsfil till rapportören via TYVI-tjänsten.

2.1 Leverans av TR-filer

Över de transaktioner som ska rapporteras ska rapportören lämna in en eller flera TR-filer per börsdag till TYVI-operatören. TYVI-operatören kontrollerar filernas tekniska integritet och postformat och förmedlar de korrekta TR-filerna till Finansinspektionen. Fel i TR-filerna som upptäcks i detta skede meddelas omedelbart till rapportören, som kan rätta felen och skicka in TR-filen på nytt.

2.2 Leverans av kundinformationsfiler

Från och med den 1 september 2011 är det obligatoriskt att rapportera kunduppgifter i anslutning till transaktionsrapporteringen. I fråga om transaktioner som genomförs för kunders räkning är

värdepappersförmedlaren till och med den 1 september 2011 enbart skyldig att rapportera sin interna kundkod men får också lämna kompletterande kundinformation i filen. Finansinspektionen kan vid behov be rapportören skicka in sådan kompletterande kundinformation. Informationen ska levereras till Finansinspektionen via TYVI-operatören. För inrapporteringen av denna kundinformation används samma kanaler som för transaktionsrapporteringen. Filhanteringen följer också samma process.

3 Rapporteringssätt

Rapportören kan välja mellan tre rapporteringssätt för inrapportering av transaktionsdata:

.

- filuppladdning (http upload)
- datainmatning på webblankett (http)
- ftp (file transfer protocol).

I de två förstnämnda fallen överförs filerna via TYVI-operatörens webbtjänst med https.

Om eventuella andra dataöverföringssätt måste rapportören komma överens med TYVI-operatören. Rapportören svarar då själv för kostnaderna.

3.1 Uppladdning av färdiga filer

Rapportören kan leverera den färdiga TR-filen eller kundinformationsfilen genom att registrera sig som användare av TYVI-operatörens webbtjänst och där välja filuppladdning (http upload). För registrering krävs användarnamn och lösenord som rapportören beställer genom att fylla i anmälan om registrering av AKVA-rapportör och sända in den till Finansinspektionen till den e-postadress som anges på blanketten. Finansinspektionen registrerar uppgifterna och förmedlar dem till TYVI-operatören, som kontaktar avsändaren för användarbehörigheter och lösenord. Blankett för registreringsanmälan finns på adressen http://www.finanssivalvonta.fi/se/Rapportering/Rapporteringsprogram/Transaktionsrapportering/Pages/Default.aspx.

SSL-protokoll används för att skydda anslutningen.

3.2 Datainmatning på webblankett

Enskilda transaktioner eller makuleringar eller kundinformation kan rapporteras genom inmatning på webblanketten i TVYI-operatörens webbtjänst. För registrering krävs användarnamn och lösenord, som rapportören beställer genom att fylla i anmälan om registrering av AKVA-rapportör och sända in den till den e-postadress som anges på blanketten. Finansinspektionen registrerar uppgifterna och förmedlar dem till TYVI-operatören, som kontaktar avsändaren för användarbehörigheter

och lösenord. Blankett för registreringsanmälan finns på adressen http://www.finanssivalvonta.fi/se/Rapportering/Rapporteringsprogram/Transaktionsrapportering/Pages/Default.aspx

SSL-protokoll används för att skydda anslutningen.

3.3 Ftp-filöverföring

Vid ftp-filöverföring bildar rapportören och TYVI-operatören en VPN-anslutning (Virtual Private Network) mellan TYVI-tjänsten och rapportörens eget system för överföring av TR-filen eller kundinformationsfilen via FTP. TYVI-operatören ger rapportören en s.k. ftp-kod (användarnamn och lösenord) för tjänsten. Rapportören beställer koden genom att fylla i anmälan om registrering av AKVA-rapportör och sända in den till den e-postadress som anges på blanketten. Finansinspektionen registrerar uppgifterna och förmedlar dem till TYVI-operatören, som kontaktar avsändaren för användarbehörigheter och lösenord. Blankett för registreringsanmälan finns på adressen http://www.finanssivalvonta.fi/se/Rapportering/Rapporteringsprogram/Transaktionsrapportering/Pages/Default.aspx

Närmare detaljer om dataöverföringen lämnas i anvisningarna med gränssnittsbeskrivning (RAJAPINTAKUVAUS, Itella Customer Connection, Rahoitustarkastus) som tillhandahålls av TYVI-operatören.

4 Beskrivning av TR-filen

TR-filerna är xml-filer som består av transaktioner och makuleringar. De filer som innehåller uppgifter om transaktioner med OTC-derivat följer i fråga om filformat, -namn, -typ och -storlek följande allmänna krav, men filerna har ett eget schema och postformat.

TR-filen ska uppfylla kraven på

- filformat
- filnamn
- filtyp (xml eller zip)
- filstorlek.

4.1 Transaktionstyper

Rapporten kan innehålla två olika typer av transaktioner:

1. Transaction Record Info = transaktion
2. Cancellation Transaction Type = makulering

"Transaction reference number" och "Transaction record info type" (transaktionstyp) specificerar transaktionen. Samma fil kan innehålla två transaktioner med samma värde i fältet "Transaction reference number" om de är av olika typ, dvs. "Transaction" respektive

"CancellationTransaction". Om både transaktion och makulering av transaktionen rapporteras i samma TR-fil, ska makuleringen följa efter den transaktion som makuleras.

4.2 Xml-schema

4.2.1 ISIN eller AII-transaktioner

En beskrivning av xml-schemat för TR-filen finns i filen

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/TransactionReport.xml

4.2.2 Transaktioner med OTC-derivat

Schemat för filen för rapportering av transaktioner med OTC-derivat utgörs av följande sammanhängande schemafiler:

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/OTCTransactionReport.xml.

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/TRSDataTypes.xml

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/TREM_TransactionRecordTypes3.0.xml..

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/StandardDataTypes1.0.xml.

4.3 TR-filens namn

Rapportören ska namnge TR-filen enligt följande anvisningar:

Filnamnet ska ha formen

"*TR_"<TRFID>"_"<YYYYMMDD>"_"<SEQ>"."<TYPE>,*
eller
"*OT_"<TRFID>"_"<YYYYMMDD>"_"<SEQ>"."<TYPE>,*

där teckensträngarna inom citationstecken är konstanter och leden inom vinkelparentes variabler enligt följande:

Led	Förklaring	Anmärkning
TR	Konstanten "TR" anger att filen är en TR-fil	
OT	Konstanten ”OT” anger att det är	

	fråga om en fil som innehåller uppgifter om transaktioner med OTC-derivat.	
TRFID	Raportörens BIC-kod Om den rapporteringsskyldiga värdepappersförmedlaren själv är rapportör, anges den rapporteringsskyldigas BIC-kod Om någon annan rapporterar för värdepappersförmedlarens räkning, anges denna s.k. tekniska rapportörs BIC-kod	11 tecken enligt ISO 9362 SWIFT (En 8-ställig BIC-kod fylls ut med XXX)
YYYYMMDD	Rapportdatum	
SEQ	Ordningsnummer	4-siffrigt serienummer [0000-9999]. Specifikt för varje dag.
TYPE	Filtyp	xml eller zip

Exempel	
TR-fil	TR_TESTFIHHXXX_20070918_0001.XML OT_TESTFIHHXXX_20110903_0001.ZIP

Om TR-filens namn är felaktigt, avslutas hanteringen av filen och avsändaren får ett felmeddelande (kvitteringsfil).

4.4 Packade filer

TR-filerna kan packas. Packade TR-filer ska uppfylla följande villkor:

- Filen ska levereras i zip-format och får innehålla endast en packad fil och inga mappar.
- Den packade filen ska vara en xml-fil.
- Den packade filen ska ha samma namn som xml-filen men med ändelsen zip.

4.5 Filens storlek

Beroende på överföringssätt är storleksbegränsningarna för TR-filerna följande:

Överföringssätt		
Filtyp	**HTTP**	**FTP**
Xml	35 Mb	Inga begränsningar
Zip	200 Kb	Inga begränsningar

Om rapportfilen är för stor avslutas filhanteringen och en kvitteringsfil sänds till rapportören.

4.6 Postformat

4.6.1 ISIN och AII-transaktioner

Följande tabell beskriver datainnehållet i fälten för posterna i TR-filen. För varje enskilt datafält anges

- namn (Name)
- beskrivning (Description)
- namn på motsvarande xml-element (XML element/Tag)
- typ (XML format)
- valideringskrav (Validation)
- möjliga värden (Values)
- kommentarer (Comments).

Meta Data	**Value**
Name	**Technical reporting firm identification**
Description	A technical reporting firm is an organisation which is approved to send transaction reports to Fiva on the behalf of a MiFID investment firm or itself.
XML element / Tag	<TechnicalReportingFirm Identification=”XXXXXXXXXXX” />
XML format	String
Validation	Input is mandatory. Must be a valid 11characters ISO 9362 SWIFT/ Bank identifier code (BIC).
Values	ISO 9362 [A-Z0-9]{11}
Comments	
Meta Data	**Value**
Name	**Reporting firm identification**
Description	BIC code of the MiFID investment firm which executed the transaction.
XML element / Tag	<ReportingFirm Identification=”XXXXXXXXXXX” />
XML format	String
Validation	Input is mandatory. Must be a valid 11 characters ISO 9362 SWIFT/ Bankidentifier code(BIC).
Values	ISO 9362 [A-Z0-9]{11}
Comments	
Meta Data	**Value**
Name	**Transaction record info type**
Description	Contains data related to the transactions associated to a financial instrument.
XML element / Tag	<Transaction>
XML format	
Validation	

Values	
Comments	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record type (TransactionRecordInfo or Cancellation Transaction type) within one transaction report file.
Meta Data	**Value**
Name	**Transaction reference number**
Description	A unique identification number for the transaction provided by the MiFID investment firm or a third party reporting on its behalf. An alphanumeric field up to 40 characters for the unique transaction reference number for each transaction reported by a particular firm. The value must be unique per ReportingFirm.
XML element / Tag	<TransactionReferenceNumber>
XML format	String. minLength 1. maxLength 40.
Validation	Input is mandatory.
Values	
Comments	This field will be used as a reference to the transaction in all communication between Fiva and the reporting firm. How to populate the field is free as long as the number will stay unique per ReportingFirm. One way of populating the field could be to use the date combined with a sequence number.
Meta Data	**Value**
Name	**Trading date time**
Description	The date, time and time zone when the trade was executed.
XML element / Tag	<TradingTimestamp>
XML format	DateTime
Validation	Input is mandatory.
Values	Must be a valid ISO 8601 DateTime value. Must consist of date, time and time zone. Format: YYYY-MM-DDTHH:mm:SS+hh:mm YYYY = Year; MM = Month; DD = Day; HH = Hour; mm = minute; SS = second; hh=Time zone hour(+/-); mm=Time Zone minutes.
Comments	Populate the field with your local time and time zone. As time offset is based on UTC time, you should adjust it for summer/winter time. Summertime +3, wintertime +2 in Finland.
Meta Data	**Value**
Name	**Buy/Sell indicator**
Description	Identifies whether the transaction was a buy or sell from the perspective of the reporting investment firm acting as principal, or of the client if acting as agent.

XML element / Tag	<BuySellIndicator>
XML format	String.
Validation	Input is mandatory.
Values	B = buy. S = sell.
Comments	
Meta Data	**Value**
Name	**Trading capacity**
Description	The trading capacity of the MiFID investment firm reporting the transaction.
XML element / Tag	<TradingCapacity>
XML format	String.
Validation	Input is mandatory.
Values	On its own account (either on its own behalf or on a behalf of a client): P = Own account / portfolio. For the account, and on behalf, of a client: A = Agent
Comments	
Meta Data	**Value**
Name	**Instrument identification**
Description	The ISIN code that uniquely identifies the financial instrument which is the subject of the transaction.
XML element / Tag	<Instrument>
XML format	String. minLength 12. maxLength 12.
Validation	Input is mandatory if the XML node <AIIInstrumentIdentification> is missing.
Values	Must be a valid ISO 6166 ISIN code.
Comments	This element should not be submitted if the transaction is for an AII-instrument
Meta Data	**Value**
Name	**Alternative instrument identification**
Description	Identifier for Alternative Instrument Identifier (AII) code. Composed by 6 mandatory fields.
XML element / Tag	<AIIInstrumentIdentification>
XML format	AIIInstrumentIdentification is a complex element. The element is composed by 6 mandatory fields.
Validation	Input is mandatory if the XML element <Instrument> is missing.
Values	
Comments	This XML-node should only be submitted when the transaction is for an AII-instrument,
Meta Data	**Value**
Name	**Exchange Code**
Description	The identification of the regulated market that admits the derivative to trading.
XML element / Tag	<AIIExchangeCode>

XML format	String. minLength 4. maxLength 4.
Validation	Input is mandatory.
Values	Value must be a valid ISO 10383 Market Identifier ([A-Z] [0-9]){4}
Comments	
Meta Data	**Value**
Name	**Exchange Product Code**
Description	A code that is uniquely associated with a particular underlying instrument and settlement type and other characteristics of the contract.
XML element / Tag	<AIIExchangeProductCode>
XML format	String. minLength 1. maxLength 12. ([A-Z]|[0-9]|\+|&)*
Validation	Input is mandatory.
Values	
Comments	The code is maintained by the derivative exchanges and is freely and generally available to all parties. The Exchange Product Code can be up to 12 alphanumeric chars with no space padding. The '+' symbol is also accepted. Note: the '&' symbol is also accepted. As the '&' symbol (ampersand) is a XML special character, it should be reported as '&'.
Meta Data	**Value**
Name	**Derivative type**
Description	Single character identifying whether the instrument is an option or a future.
XML element / Tag	<AIIDerivativeType>
XML format	String. minLength 1. maxLength 1.
Validation	Input is mandatory.
Values	O = Option. F = Futures.
Comments	
Meta Data	**Value**
Name	**Put/Call identifier**
Description	Single character identifying whether the option is a put, call or a future.
XML element / Tag	<AIIPutCallIdentifier>
XML format	String. minLength 1. maxLength 1.
Validation	Input is mandatory.
Values	P = Put.

	C = Call. F = Futures.
Comments	The field should be filled with “F” in case the derivative type is a future.
Meta Data	**Value**
Name	**Expiry/Delivery/Prompt date**
Description	Exercise date/ maturity date of the derivative contract.
XML element / Tag	<AIIMaturityDate>
XML format	Date
Validation	Input is mandatory.
Values	Must be a valid ISO 8601 extended Date value Format: YYYY-MM-DD YYYY = Year; MM = Month; DD = Day
Comments	
Meta Data	**Value**
Name	**Strike price**
Description	For those instruments admitted to trading in an AII market, it corresponds to the strike price in case of an option. There is no strike price for futures.
XML element / Tag	<AIIStrikePrice>
XML format	Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0
Validation	Input is mandatory.
Values	It should be 0 in case of a future. Negative values are not allowed.
Comments	The strike price should be expressed in the major currency. The strike price should be “0” if the derivative is a future.
Meta Data	**Value**
Name	**Unit price**
Description	The price per security or derivative contract excluding commission. In the case of a debt instrument, the price should be expressed as a percentage and excluding accrued interest (clean price).
XML element / Tag	<UnitPrice>
XML format	UnitPrice is a choice between PriceCurrency and PricePercentage. Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0.
Validation	Input is mandatory.
Values	
Comments	It express whether : - The price in percentage in case of a debt instrument or - the unit price of a security or

	- the price of one derivative contract It should be positive value or zero. Negative values are not allowed. Percentage values populates the field with integers and decimals, e.g. 12,34% is populating the field with 12.34. For bonds, the unit price field should be populated with the relative price expressed as a percentage.
Meta Data	**Value**
Name	**Price notation**
Description	The ISO code of the currency in which the price is expressed or the currency of the nominal value in case of a price expressed in percentage.
XML element / Tag	<PriceNotation>
XML format	String. minLength 3. maxLength 3.
Validation	Input is mandatory.
Values	Must be a valid ISO 4217 currency value. (pre-euro ISO currency codes are also allowed for bonds).
Comments	
Meta Data	**Value**
Name	**Quantity**
Description	The number of units of the financial instrument, the nominal value of bonds, or the number of derivative contracts included in the transaction.
XML element / Tag	<Quantity>
XML format	Decimal. minExclusive 0 totalDigits 19. fractionDigits 5.
Validation	Input is mandatory.
Values	Negative values or zero are not allowed.
Comments	
Meta Data	**Value**
Name	**Counterparty code & Counterparty code type**
Description	Identification of the counterparty of the transaction. Depending on the counterparty, this field contains: - where the counterparty is a MiFID investment firm, the full 11 character BIC code is used to identify the investment firm. - where the counterparty is a regulated market or MTF, the field should be populated with the MIC code of the trading venue. - where the counterparty is a central counterparty the field should be the BIC code of the central counterparty, - where the counterparty is not a MiFID investment firm, a regulated market, an MTF or entity acting as a central counterparty, the field should be populated with an internal

<table>
<tr><td></td><td>code.
In this case this field should be 'C' for as ‘customer/client’.

The table below summarizes these standards:

<table>
<tr><th>Counterparty</th><th>Codetype</th><th>Value</th><th>ISO</th></tr>
<tr><td>Investment Firm</td><td>B</td><td>11 character BIC Code</td><td>9362</td></tr>
<tr><td>Regulated Market</td><td>M</td><td>MIC Code</td><td>10383</td></tr>
<tr><td>MTF</td><td>M</td><td>MIC Code</td><td>10383</td></tr>
<tr><td>Central counterparty</td><td>B</td><td>BIC code</td><td>9362</td></tr>
<tr><td>Other</td><td>C</td><td colspan="2">Internal code – up to 40 characters</td></tr>
</table>
</td></tr>
<tr><td>XML element / Tag</td><td><CounterParty CodeType=”B”>NNNN</CounterParty></td></tr>
<tr><td>XML format</td><td>CounterParty is a complex element.
It has an attribute code followed by the actual counterparty.
String.
minLength 1.
maxLength 40.</td></tr>
<tr><td>Validation</td><td>Input is mandatory.</td></tr>
<tr><td>Values</td><td>Attribute CodeType:
B = Value must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code (BIC).
M = Value must be a valid ISO 10383 Market Identifier Code (MIC).
C = Customer/Client. Use an internal code.</td></tr>
<tr><td>Comments</td><td>Where the counterparty is not a MiFID investment firm, and the counterparty has no BIC-code, an internal code can be used..If the counterparty is a MiFID investment firm use the BIC code of the head office. Where the counterparty is a foreign branch of a MiFID investment firm, the BIC code of the branch must be used.</td></tr>
<tr><td>Meta Data</td><td>Value</td></tr>
<tr><td>Name</td><td>Venue identification</td></tr>
<tr><td>Description</td><td>Identification of the venue where the transaction was executed.
A trading venue is an MTF, regulated market (RM) or Systematic Internalizer(SI). The four character SWIFT MIC code (ISO 10383) should be used when the venue is an MTF or a regulated market. If the venue is an SI the BIC code should be used. If the transaction is made off market, the 'XOFF' should be used.</td></tr>
<tr><td>XML element / Tag</td><td><Venue CodeType=”M”></Venue></td></tr>
<tr><td>XML format</td><td>Venue is a complex element.</td></tr>
</table>

	It has an attribute code followed by the actual counterparty. String. minLength 4. maxLength 11. [A-Z | 0-9] {4, 11}
Validation	Input is mandatory.
Values	Attribute CodeType: M = Value must be a valid ISO 10383 Market Identifier Code (MIC). B = Value must be a valid 11characters ISO 9362 SWIFT/Bank identifier code(BIC). O = Value must be XOFF. This to indicate a off market transaction.
Comments	The MIC shall identify the actual venue and not the market operator.
Meta Data	**Value**
Name	**Venue reference transaction number**
Description	The venue transaction reference number if the transaction is performed on a regulated market or MTF.
XML element / Tag	<VenueReferenceNumber>
XML format	String. minLength 0. maxLength 40.
Validation	Input is optional, see comments.
Values	
Comments	This field is mandatory only when the trading venue is a Finnish regulated market or MTF. For Nasdaq OMX INET trades use the Trade ID in private data. Valid from the start of INET, 8th of February 2010. • FIX: The Trade ID in tag 1003 is constructed as follows: - Auto-match trades → Tag 1003=<9 char OUCH Match Number> - Routed trades → Tag 1003=<1 char Host ID "F"><9 char ID Number> - Reported trades → Tag 1003=<1 char Host ID "V"><9 char ID Number> • OUCH: The Trade ID is populated in field Match Number For other regulated marketplaces within EU this field is optional.
Meta Data	**Value**
Name	**ClientCode**
Description	If the client is a MiFID investment firm a BIC must be used otherwise use the internal code.
XML element / Tag	<Client CodeType="B">NNNNN</Client>
XML format	Client is a complex element.

	It has an attribute code followed by the customer identifier. String. minLength 1. maxLength 40.
Validation	Input is optional, see comments below
Values	B = BIC. Must be a valid 11characters ISO 9362 SWIFT/Bank identifier code(BIC). I = Internal.
Comments	Input is mandatory if trading capacity "A" is used. Input is also required if any of the other client information fields are filled in.
Meta Data	**Value**
Name	**Client name**
Description	Customer name.
XML element / Tag	<ClientName>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	
Comments	The clients official name. Order: lastname, given name
Meta Data	**Value**
Name	**Client identifier local**
Description	Client firm or personal identifier number.
XML element / Tag	<ClientIdentificationLocal>
XML format	String. minLength 0. maxLength 20.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	

Code	Value
Personal ID:	11 characters Finnish personal ID
Business ID:	9 characters Finnish business ID
Date of birth:	DDMMYYYY
Artificial code assigned by Euroclear Finland Ltd (X-Business ID):	XNNNNNNNT , where NNNNNNN is the unique ID and T is the check digit.

Comments	For Finnish clients, the client identifier shall be personal ID

	(natural persons) or business ID (corporations). For non-Finnish clients, the client identifier shall be date of birth or an artificial code assigned by Euroclear Finland Ltd (natural persons) or a national corporate identifier code of the home country of the client corresponding to the business ID or an artificial code assigned by Euroclear Finland Ltd or other similar code (corporations).
Meta Data	**Value**
Name	**Client street**
Description	Street.
XML element / Tag	<ClientStreet>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	
Comments	
Meta Data	**Value**
Name	**Client zip code**
Description	ZipCode
XML element / Tag	<ClientZipCode>
XML format	String. minLength 0. maxLength 20.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	
Comments	
Meta Data	**Value**
Name	**Client City**
Description	Client City
XML element / Tag	<ClientCity>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	
Comments	

Meta Data	Value
Name	**Client country**
Description	Country.
XML element / Tag	<ClientCountry>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and counterparty code type is "C".
Values	
Comments	2-character ISO 3166-code
Meta Data	**Value**
Name	**Proxy holder**
Description	The personal ID or date of birth of the power of attorney.
XML element / Tag	<ProxyHolder>
XML format	String. minLength 0. maxLength 11.
Validation	Input is optional.
Values	
Comments	
Meta Data	**Value**
Name	**Cancellation transaction info type**
Description	Use the cancellation transaction type to cancel or delete a previous sent transaction.
XML element / Tag	<CancellationTransaction>
XML format	
Validation	
Values	
Comments	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record type (TransactionRecordInfo, Cancellation Transaction type) within one transaction report file.
Meta Data	**Value**
Name	**Cancelled transaction unique identifier**
Description	Univocally identifies the transaction to cancel among the transactions sent by this reporting MiFID investment firm.
XML element / Tag	<CancelledTransactionUniqueIdentifier>
XML format	String. minLength 1.

	maxLength 40.
Validation	Input is mandatory.
Values	
Comments	The **Transaction reference number** of the previous sent transaction should be sent.
Meta Data	**Value**
Name	**Cancellation indicator**
Description	Indicates the cancellation type.
XML element / Tag	<CancellationIndicator>
XML format	String.
Validation	Input is optional.
Values	C = Cancel the previously submitted transaction.
Comments	This field is also used in the exchange of transaction files between Competent Authorities. More possible values will be added in the future.

4.6.2 Transaktioner med OTC-derivat

Meta Data	**Value**
Name	**Technical reporting party**
Description	A technical reporting firm is an organisation which is approved to send transaction reports to the authority on the behalf of a MiFID investment firm or itself.
XML element/Tag	<TechnicalReportingParty>
XML format	String
Validation	Input is mandatory and will be validated against reference data. Must be a valid 11characters ISO 9362 SWIFT/Bank identifier code (BIC).
Values	ISO 9362 [A-Z | 0-9]{11}
Comments	
Meta Data	**Value**
Name	**Reporting parties**
Description	Section for reporting parties, see below.

XML element/Tag	<ReportingParties>
XML format	Input is mandatory.
Validation	
Values	
Comments	
Meta Data	**Value**
Name	**Reporting party**
Description	BIC code of the MiFID investment firm which executed the transaction.
XML element/Tag	<ReportingParty>
XML format	String
Validation	Input is mandatory and will be validated against reference data. Must be a valid 11characters ISO 9362 SWIFT/Bank identifier code (BIC).
Values	ISO 9362 [A-Z | 0-9]{11}
Comments	
Meta Data	**Value**
Name	**OTC Transaction record info type**
Description	Contains data related to the transactions associated to a financial instrument.
XML element / Tag	<OTCTransactionRecordInfo>
XML format	
Validation	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record type within one OTC transaction report file.
Values	
Comments	
Meta Data	**Value**
Name	**Transaction reference number**
Description	A unique identification number for the transaction provided by the MiFID investment firm or a third party reporting on its behalf. An alphanumeric field up to 40 characters for the unique transaction reference number for each transaction reported by a particular firm. The value must be unique per ReportingFirm.
XML element/Tag	<TransactionReferenceNumber>
XML format	String. minLength 1. maxLength 40.
Validation	Input is mandatory.

Values	
Comments	This field will be used as a reference to the transaction in all communication between the authority and the reporting firm. How to populate the field is free as long as the number will stay unique per Reporting Party. One way of populating the field could be to use the date combined with a sequence number.
Meta Data	**Value**
Name	**Trading date time**
Description	The date, time and time zone when the trade was executed.
XML element / Tag	<TradingTimestamp>
XML format	DateTime
Validation	Input is mandatory. Must be a valid ISO 8601 DateTime value.
Values	A valid ISO 8601 DateTime value. Must consist of date, time and time zone. Format: YYYY-MM-DDTHH:mm:SS+hh :mm YYYY = Year; MM = Month; DD = Day; HH = Hour; mm = minute; SS = second; hh=Time zone hour(+/-) and minutes.
Comments	Populate the field with your local time and time zone. As time offset is based on UTC time, you should adjust it for summer/winter time. Summertime +2, wintertime +1 in Sweden, Denmark and Norway. For Finland it is +3 during summertime and +2 during winter. For Iceland it is 0 all year
Meta Data	**Value**
Name	**Buy/Sell indicator**
Description	Identifies whether the transaction was a buy or sell from the perspective of the reporting investment firm if acting as principal, or of the client if acting as an agent.
XML element / Tag	<BuySellIndicator>
XML format	String.
Validation	Input is mandatory. Valid values below.
Values	B = Buy. S = Sell.
Comments	
Meta Data	**Value**
Name	**Trading capacity**
Description	The trading capacity of the *MiFID* investment firm executing the transaction.
XML element / Tag	<TradingCapacity>
XML format	String.
Validation	Input is mandatory. Valid values below.
Values	On its own account (either on its own behalf or on a behalf of a client:

	P = Own account / portfolio. For the account, and on behalf, of a client: A = Agent.
Comments	The market transaction is performed as of: Own account (P), or agent for a client (A).
Meta Data	**Value**
Name	**OTC instrument identification**
Description	Identifier for OTC Instruments. Composed by 8 fields.
XML element / Tag	<OTCInstrumentIdentification>
XML format	OTCInstrumentIdentification is a complex element. The element is composed by 8 fields.
Validation	Input is mandatory.
Values	
Comments	
Meta Data	**Value**
Name	**InstrumentIdentification**
Description	The identification of the ISIN for the OTC Instrument.
XML element / Tag	<InstrumentIdentification>
XML format	String. minLength 12. maxLength 12.
Validation	Input is optional. If given, valid values below.
Values	Must be a valid ISO 6166 ISIN code.
Comments	
Meta Data	**Value**
Name	**UltimateUnderlyingIdentification**
Description	A code that is uniquely associated with a particular underlying instrument and settlement type and other characteristics of the contract.
XML element / Tag	<UltimateUnderlyingIdentification>
XML format	String. minLength 12. maxLength 12.
Validation	Input is mandatory. Valid values below.
Values	Must be a valid ISO 6166 ISIN code.
Comments	
Meta Data	**Value**
Name	**MarkitClip**
Description	
XML element / Tag	<MarkitClip>

XML format	AlphanumericType. .{6}|.{9}
Validation	Input is optional.
Values	
Comments	Identify the ultimate underlying when the OTC derivative instrument is a Credit Default Swap (CDS).
Meta Data	**Value**
Name	**DerivativeType**
Description	Single character identifying derivative type
XML element / Tag	<DerivativeType>
XML format	String. minLength 1. maxLength 1.
Validation	Input is mandatory. Valid values below.
Values	O = Options W=Warrants F = Future/forwards D = CfDs and TRS X = Spread bets S = Swaps other than CfDs, TRS and CDS Z = CDS K = Complex derivatives
Comments	
Meta Data	**Value**
Name	**Put/Call identifier**
Description	Single character identifying whether the option is a put or a call.
XML element / Tag	<PutCallIdentifier>
XML format	String. minLength 1. maxLength 1.
Validation	Input is optional. For Derivative types O, W the field shall be populated. For Derivative types D, X, K the field may be populated. For Derivative types F, S, Z the field should not be populated. If given, valid values below.
Values	P = Put. C = Call.
Comments	
Meta Data	**Value**
Name	**PriceMultiplier**
Description	

XML element / Tag	<PriceMultiplier>
XML format	Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0
Validation	Input is optional. For Derivative types O, W, F, S the field shall be populated. For Derivative types D, X, K the field may be populated. For Derivative types Z the field should not be populated.
Values	Negative values or zero are not allowed
Comments	
Meta Data	**Value**
Name	**Strike price**
Description	
XML element / Tag	<StrikePrice>
XML format	Decimal.
Validation	Input is optional. For Derivative types O, W the field shall be populated. For Derivative types D, X, K the field may be populated. For Derivative types F, S, Z the field should not be populated.
Values	
Comments	The strike price should be expressed in the major currency.
Meta Data	**Value**
Name	**Expiration date**
Description	Exercise date/ maturity date of the derivative contract.
XML element / Tag	<ExpirationDate>
XML format	Date
Validation	Input is optional. For Derivative types O, W, F, S the field shall be populated. For Derivative types D, X, Z, K the field may be populated.
Values	Must be a valid ISO 8601 extended Date value Format: YYYY-MM-DD YYYY = Year; MM = Month; DD = Day
Comments	
Meta Data	**Value**
Name	**Instrument description**
Description	A text field for instrument description.
XML element / Tag	<InstrumentDescription>
XML format	String. minLength 0. maxLength 90.
Validation	Input is optional.

Values	
Comments	
Meta Data	**Value**
Name	**Unit price**
Description	The price per security or derivative contract excluding commission. In the case of a debt instrument, the price should be expressed as a percentage and excluding accrued interest (clean price).
XML element / Tag	<UnitPrice>
XML format	UnitPrice is a choice between PriceCurrency and PricePercentage. Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0
Validation	Input is mandatory.
Values	Negative values are not allowed.
Comments	It express whether : - The price in percentage in case of a debt instrument or - the unit price of a security or - the price of one derivative contract It should be a positive value or zero. Percentage values populates the field with integers and decimals, e.g. 12,34% is populating the field with 12.34.
Meta Data	**Value**
Name	**Price notation**
Description	The ISO code of the currency in which the price is expressed or the currency of the nominal value in case of a price expressed in percentage.
XML element / Tag	<PriceNotation>
XML format	String.
Validation	Input is mandatory and will be validated against reference data. Must be a valid ISO 4217 currency value.
Values	ISO 4217. [A-Z]{3}
Comments	
Meta Data	**Value**
Name	**Quantity**
Description	The number of units of the financial instrument, or the number of derivative contracts included in the transaction.
XML element / Tag	<Quantity>

<table>
<tr><td>XML format</td><td>Decimal.
minExclusive 0.
totalDigits 19.
fractionDigits 5.</td></tr>
<tr><td>Validation</td><td>Input is mandatory.</td></tr>
<tr><td>Values</td><td>Negative values or zero are not allowed.</td></tr>
<tr><td>Comments</td><td></td></tr>
<tr><td>Meta Data</td><td>Value</td></tr>
<tr><td>Name</td><td>CounterParty</td></tr>
<tr><td>Description</td><td>Identification of the counterparty of the transaction. Depending on the counterparty, use tag and value as in table below.
<table>
<tr><th>Counter party</th><th>Use Tag</th><th>Value</th><th>ISO</th></tr>
<tr><td>MiFID Investment Firm</td><td>CounterpartyIdentficationBIC</td><td>11 character BIC Code</td><td>9362</td></tr>
<tr><td>Regulated Market</td><td>CounterpartyIdentficationMIC</td><td>MIC Code</td><td>10383</td></tr>
<tr><td>MTF</td><td>CounterpartyIdentficationMIC</td><td>MIC Code</td><td>10383</td></tr>
<tr><td>Central counterparty</td><td>CounterpartyIdentficationBIC</td><td>BIC code</td><td>9362</td></tr>
<tr><td>Other</td><td>CounterpartyIdentificationCustomer</td><td colspan="2">Internal code – up to 40 characters</td></tr>
</table></td></tr>
<tr><td>XML element / Tag</td><td><CounterParty></td></tr>
<tr><td>XML format</td><td>CounterParty is a choice between CounterPartyIdentificationBIC, CounterPartyIdentificationMIC and CounterpartyIdentificationCustomerInternal</td></tr>
<tr><td>Validation</td><td>Either CounterPartyIdentificationBIC , CounterPartyIdentificationMIC or CounterpartyIdentificationCustomerInternal should be used. Described in following sections.</td></tr>
<tr><td>Values</td><td></td></tr>
<tr><td>Comments</td><td>Where the counterparty is not a MiFID investment firm, and the counterparty has no BIC-code, an internal code can be used. If the counterparty is a MiFID investment firm use the BIC code of the head office. Where the counterparty is a foreign branch of a MiFID investment firm, the BIC code of the branch must be used.</td></tr>
</table>

	Contact SWIFT for valid BIC codes.
Meta Data	**Value**
Name	**CounterpartyIdentificationBIC**
Description	Identification of the counterparty of the transaction where the counterparty is a MiFID investment firm and the full 11 character BIC code is used to identify the investment firm or where the counterparty is a central counterparty the field should be the BIC code of the central counterparty.
XML element / Tag	<CounterPartyIdentificationBIC>
XML format	String. minLength 11. maxLength 11.
Values	Value must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code(BIC) and will be validated against reference data.
Comments	Contact SWIFT for valid BIC codes.
Meta Data	**Value**
Name	**CounterpartyIdentficationMIC**
Description	Identification of the counterparty of the transaction where the counterparty is a regulated market or MTF the field should be populated with the MIC code of the trading venue.
XML element / Tag	<CounterPartyIdentificationMIC>
XML format	String. minLength 4. maxLength 4.
Values	Value must be a valid ISO 10383 Market Identifier Code (MIC) and will be validated against reference data.
Comments	
Meta Data	**Value**
Name	**CounterpartyIdentificationCustomerInternal**
Description	Identification of the counterparty of the transaction where the counterparty is not a MiFID investment firm, a regulated market, an MTF or entity acting as a central counterparty, the field should be populated with an internal code.
XML element / Tag	<CounterpartyIdentificationCustomer>
XML format	CounterpartyIdentificationCustomer has the sub element CounterpartyIdentificationCustomerInternal. String. minLength 1. maxLength 40.

Values	Customer/Client. Use an internal code.
Comments	
Meta Data	**Value**
Name	**TradingVenueCode**
Description	Identification of the venue where the transaction was executed.
XML element / Tag	<TradingVenueCode>
XML format	String. minLength 4. maxLength 4.
Validation	Input is mandatory.
Values	Value must be XXXX. This to indicate an OTC transaction.
Comments	
Meta Data	**Value**
Name	Client
Description	Section for client data related to the transaction.
XML element / Tag	<Client>
XML format	
Validation	Input is optional. But if trading capacity “A” is used it is required. Input is also required if any of the other client information fields are filled in. If Client information is not given, the Client element should be excluded.
Values	
Comments	
Name	**Client Code**
Description	
XML element / Tag	<ClientCode>
XML format	ClientCode is a choice between ClientBIC and ClientInternal
Validation	ClientBIC or ClientInternal should be used.
Values	
Comments	
Meta Data	**Value**
Name	**ClientBIC**
Description	If the client is a MiFID investment firm a ClientBIC must be used
XML element / Tag	<ClientBIC>
XML format	[A-Z|0-9]{11}
Validation	Input is optional, client’s BIC should be used.
Values	Must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code (BIC) and will be validated against reference data.

Comments	
Meta Data	**Value**
Name	**ClientInternal**
Description	If the client is not a MiFID investment firm use the ClientInternal code.
XML element / Tag	<ClientInternal>
XML format	String. minLength 1. maxLength 40.
Validation	Input is optional, Client's Internal code should be used.
Values	
Comments	
Meta Data	**Value**
Name	**Client name**
Description	Customer name.
XML element / Tag	<ClientName>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.
Values	The clients official name. Order: lastname, given name
Comments	
Meta Data	**Value**
Name	**Client identifier local**
Description	Client firm or personal identifier number.
XML element / Tag	<ClientIdentificationLocal>
XML format	String. minLength 0. maxLength 20.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.
Values	

Code	Value
Personal ID:	11 characters Finnish personal ID
Business ID:	9 characters Finnish business ID
Date of birth:	DDMMYYYY

	Artificial code assigned by Euroclear Finland Ltd (X-Business ID):	XNNNNNNNT , where NNNNNNN is the unique ID and T is the check digit.
Comments	For Finnish clients, the client identifier shall be personal ID (natural persons) or business ID (corporations). For non-Finnish clients, the client identifier shall be date of birth or an artificial code assigned by Euroclear Finland Ltd (natural persons) or a national corporate identifier code of the home country of the client corresponding to the business ID or an artificial code assigned by Euroclear Finland Ltd or other similar code (corporations).	
Meta Data	**Value**	
Name	**Client street**	
Description	Street.	
XML element / Tag	<ClientStreet>	
XML format	String. minLength 0. maxLength 70.	
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.	
Values		
Comments		
Meta Data	**Value**	
Name	**Client zip code**	
Description	ZipCode	
XML element / Tag	<ClientZipCode>	
XML format	String. minLength 0. maxLength 20.	
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.	
Values		
Comments		
Meta Data	**Value**	
Name	**Client City**	
Description	Client City	
XML element / Tag	<ClientCity>	
XML format	String. minLength 0.	

	maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.
Values	
Comments	
Meta Data	**Value**
Name	**Client country**
Description	Country.
XML element / Tag	<ClientCountry>
XML format	String. minLength 0. maxLength 70.
Validation	Input is mandatory if trading capacity "A" is used. Input is also required if trading capacity "P" is used and "CounterpartyIdentificationCustomerInternal" is populated.
Values	
Comments	2-character ISO 3166-code
Meta Data	**Value**
Name	**Proxy holder**
Description	The personal ID or date of birth of the power of attorney.
XML element / Tag	<ProxyHolder>
XML format	String. minLength 0. maxLength 11.
Validation	Input is optional.
Values	
Comments	
Meta Data	**Value**
Name	**Cancellation transaction info type**
Description	Use the cancellation transaction type to cancel a previous sent transaction.
XML element / Tag	<CancellationRecordInfo>
XML format	
Validation	Input is optional.
Values	
Comments	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record type (TransactionRecordInfo or Cancellation Transaction type) within one transaction report file.
Meta Data	**Value**

Name	**Cancelled transaction unique identifier**
Description	Univocally identifies the transaction to cancel among the transactions sent by this reporting MiFID investment firm.
XML element/Tag	<CancelledTransactionUniqueIdentifier>
XML format	String. minLength 1. maxLength 40.
Validation	Input is mandatory.
Values	
Comments	The **Transaction reference number** of the previous sent transaction should be sent.
Meta Data	**Value**
Name	**Cancelled Transaction Flag**
Description	Indicates the cancellation type.
XML element / Tag	<CancelledTransactionFlag>
XML format	String.
Validation	Input is mandatory.
Values	C = Cancel the previously submitted transaction.
Comments	

4.7 Filvalideringsregler

Validering av uppgifterna i TR-filen är en process i två steg. I det första steget genomförs teknisk validering av TR-filen mot xml-schemat i TYVI-tjänsten. När TR-filen kommit in i Finansinspektionens system genomgår den ytterligare innehållskontroller som inte kan genomföras i TYVI-tjänsten.

Validering i TYVI-tjänsten:

- Filnamnet överensstämmer med beskrivningen (avsnitt 4.3).
- Datastrukturen och -innehållet i posten med rapporterade transaktioner motsvarar xml-schemat (avsnitt 4.2 och 4.6).
- TR-filen innehåller endast specificerade transaktioner och makuleringar.
- Den transaktion som ska rapporteras ingår inte i tidigare levererat material.
- Den transaktion som makuleras ingår i samma eller en tidigare TR-fil.
- I TR-filen följer makuleringen efter den transaktion som makuleras.

5 Beskrivning av kvitteringsfilen

Kvitteringsfilen är en xml-fil som sänds till rapportören då TR-filen har överförts till Finansinspektionens datasystem och validerats. Kvitteringsfilen har rubrik och dokumentkropp. Dokumentkroppen innehåller en kvitteringspost per rapporterad transaktion. Xml-schemat för kvitteringsfilen kan laddas ned från

http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/TransactionFeedback.xml.

Systemet genererar automatiskt namnet på kvitteringsfilen efter namnet på den TR-fil som ska överföras.

5.1 Kvitteringsfilens namn

När den överförda TR-filens namn är korrekt sänds en packad kvitteringsfil till rapportören, med samma namn men med tillägg av prefixet FB.

Exempel	
TR-filens namn	*TR_TESTFIHHXXX_20070918_0001..XML eller OT_ TESTFIHHXXX_20070918_0001..XML*
Kvitteringsfilens namn	*FB_TR_TESTFIHHXXX_20070918_0001_0001.XML eller FB_OT_TESTFIHHXXX_20070918_0001_0001.XML*
Den packade kvitteringsfilens namn	*FB_TR_TESTFIHHXXX_20070918_0001_0001.ZIP eller FB_OT_TESTFIHHXXX_20070918_0001_0001.ZIP*

Om namnet på den överförda TR-filen har varit felaktigt, avslutas hanteringen av filen och systemet sänder rapportören en kvitteringsfil med följande namn:
"FB_<TR|OT>_"<ExterntFilNamn>"_"<SEQ>"."<TYPE>

Led	**Förklaring**
FB	Konstanten anger att filen är en kvitteringsfil
ExterntFilNamn	Den överförda TR-filens namn
SEQ	4-siffrigt serienummer
TYPE	Kvitteringsfilen är alltid en xml-fil

Exempel	
TR-filens namn:	*TR_ ExterntFilNamn.XML*
Kvitteringsfilens namn:	*FB_ TR_ExterntFilNamn _0001.XML*

5.2 Kvitteringsfilens rubrik

Kvitteringsfilens rubrik innehåller information om den överförda TR-filens validitet på rapportnivå. Rubriken innehåller följande uppgifter:

TransactionReport	Den överförda TR-filens namn
ReceivedTimestamp	Tid då den överförda TR-filen har mottagits
FeedbackReport	Kvitteringsfilens namn
FileStatus	(Den överförda) filens status
Code	Statuskod
Message	Meddelande

Följande tabell innehåller möjliga värden för filstatus (FileStatus) och statuskoder (Code) för den överförda filen:

Filstatus	**Kod**	**Kommentar**
ACC		Filen har godkänts och alla de ingående transaktionerna är felfria. Transaktionerna har sparats i mottagarens databas.
	OK	OK
AWE		Filen har godkänts men innehåller felaktiga transaktioner. De felfria transaktionerna har sparats i mottagarens databas.
	DVE	Fel vid innehållskontrollen.
REJ		Filen har avvisats. Ingen transaktion har sparats i mottagarens databas.
	FEE	Felaktig filkod
	GSE	Allmänt systemfel
	IDTI	Två identiska transaktionskoder
	IFNF	Felaktigt namnformat
	IRF	Felaktig rapportör
	ITF	Felaktig teknisk rapportör
	IXF	Felaktigt xml-format
	SNF	Schema saknas
	SNV	Felaktigt schema
	UFAS	Den överförda filen finns redan
	UFSE	Felaktig storlek på den överförda filen
	XPE	xml-struktureringsfel
	ZDCOE	zip-uppackningsfel

Beroende på filstatus ska rapportören vidta följande åtgärder:

ACC	Inga åtgärder
AWE	Rätta felen och skicka in de rättade transaktionerna i en ny fil med nytt ordningsnummer (kan också sändas i följande transaktionsrapport)
REJ	Rätta felen och skicka filen på nytt med samma namn.

5.3 Kvitteringsfilens dokumentkropp

Kvitteringsfilen innehåller en kvitteringspost per rapporterad transaktion. Kvitteringsposten innehåller uppgifter om den rapporterade transaktionens validitet. Följande tabell räknar upp möjliga statusvärden och statuskoder för transaktionerna:

Status	Kod	Kommentar
ACCEPTED		Transaktionen/makuleringen är felfri
	OK	Ok
IGNORED		Transaktionen har ignorerats
	DTI	Två identiska transaktionskoder
FAILED		Transaktionen/makuleringen innehåller fel
	AIIDT	Derivattypen (AIIDerivativeType) ska vara [O] eller [F]
	AIIMD	Förfallodagen (AIIMaturityDate) ska vara ett gångbart datum
	AIIPC	Indikatorn (AIIPutCallIdentifier) ska vara [P],[C] eller [F]
	AIISP	Felaktigt inlösenpris (AIIStrikePrice)
	AIIXC	Produktkod (AIIExchangeCode) saknas eller är felaktig
	AIIXPC	Produktkoden (AIIExchangeProductCode) ska bestå av 1−12 tecken
	ICPC	Motpartskod är felaktig eller gäller inte på transaktionsdagen
	IEXD_TD	Transaktionsdagen ska vara samma dag som instrumentet upphör att gälla eller tidigare.
	IISIN	Felaktig ISIN-kod
	IPN	Valutakod är felaktig eller gäller inte på transaktionsdagen
	IPNIT	Valutakod för valuta som föregick euron (ATS,BEF,CYP,DEM,ESP,FIM,FRF,GRD, IEP,ITL,LUF,MTL,NLG,PTE,SIT och SKK) får användas endast för skuldinstrument
	IRFTD	Rapportörens BIC-kod är felaktig eller gäller inte på transaktionsdagen

	ITD	Felaktig handelstidpunkt
	IVI	Handelsplatsen är felaktig eller gäller inte på transaktionsdagen
	MTI	Transaktionskod saknas
	CIM	Kundinformation saknas
	ICC	Kundkod är felaktig eller gäller inte på transaktionsdagen
	RTAC	Den hänvisade transaktionen har redan makulerats
	VII	På handelsplatsen AII ska transaktionsinstrumentet identifieras med AII-kod, på övriga handelsplatser med ISIN-kod
	IUUISIN	Ultimate Underlying ISINCode har fel format
	IPMV	Price multiplier ska vara positiv
	ISPV	Strike price ska vara positiv om uppgiften har rapporterats.

Beroende på transaktionens status ska rapportören vidta följande åtgärder:

ACCEPTED Inga åtgärder

FAILED Rätta den felaktiga transaktionen och skicka in den med andra eventuella rättade transaktioner. Den nya filen ges ett nytt, högre nummer.

IGNORED Om transaktionen har rapporterats redan tidigare behövs inga andra åtgärder.
I annat fall ska TransactionReferenceNumber för den felaktiga transaktionen bytas ut och transaktionen skickas i en ny fil med andra rättade transaktioner. Den nya filen ges nästa ordningsnummer.

6 Beskrivning av kundinformationsfilen

Kundinformationsfilerna är xml-filer som består av kunduppgifter.

Kundinformationsfilen ska uppfylla kraven på

- filformat
- filnamn
- filtyp (xml eller zip)
- filstorlek.

6.1 Xml-schema

En beskrivning av xml-schemat för kundinformationsfilen finns i filen http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/CustomerClientReport.xml

6.2 Kundinformationsfilens namn

Rapportören ska namnge kundinformationsfilen enligt följande anvisningar:

Filnamnet ska ha formen

"*CC_"<TRFID>"_"<YYYYMMDD>"_"<SEQ>"."<TYPE>,*

där teckensträngarna inom citationstecken är konstanter och leden inom vinkelparentes variabler enligt följande:

Led	Förklaring	Anmärkning
CC	Konstanten "CC" anger att filen är en kundinformationsfil	
TRFID	Rapportörens BIC-kod Om den rapporteringsskyldiga värdepappersförmedlaren själv är rapportör, anges den rapporteringsskyldigas BIC-kod Om någon annan rapporterar för värdepappersförmedlarens räkning, anges denna s.k. tekniska rapportörs BIC-kod	11 tecken enligt ISO 9362 SWIFT (En 8-ställig BIC-kod fylls ut med XXX)
YYYYMMDD	Rapportdatum	
SEQ	Ordningsnummer	4-siffrigt serienummer [0000-9999]. Specifikt för varje dag.
TYPE	Filtyp	xml eller zip

Exempel	
Kundinformationsfil	CC_TESTFIHHXXX_20070918_0001.XML

Om kundinformationsfilens namn är felaktigt, avslutas hanteringen av filen och avsändaren får ett felmeddelande (kvitteringsfil).

6.3 Packade filer

Kundinformationsfilerna kan packas. Packade kundinformationsfiler ska uppfylla följande villkor:

- Filen ska levereras i zip-format och får innehålla endast en packad fil och inga mappar.
- Den packade filen ska vara en xml-fil.

- Den packade filen ska ha samma namn som xml-filen men med ändelsen zip.

6.4 Filens storlek

Beroende på överföringssätt är storleksbegränsningarna för kundinformationsfilerna följande:

Överföringssätt		
Filtyp	**HTTP**	**FTP**
Xml	35 Mb	Inga begränsningar
Zip	200 Kb	Inga begränsningar

Om rapportfilen är för stor avslutas filhanteringen och en kvitteringsfil sänds till rapportören.

6.5 Postformat

Följande tabell beskriver informationsinnehållet i fälten för en kundinformationsfil. För varje enskilt datafält anges

- namn (Name)
- beskrivning (Description)
- namn på motsvarande xml-element (XML element/Tag)
- typ (XML format)
- valideringskrav (Validation)
- möjliga värden (Values)
- kommentarer (Comments).

Meta Data	**Value**
Name	**Technical reporting firm**
Description	A technical reporting firm is an organisation which is approved to send transaction reports to Fiva on the behalf of a MiFID investment firm or itself.
XML element / Tag	<TechnicalReportingFirm **Identification**=”XXXXX” />
XML format	Attribute / String
Validation	Input is mandatory. Must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code (BIC).
Values	[A-Z0-9]{11}
Comments	
Meta Data	**Value**
Name	**Reporting firm identification**
Description	BIC code of the MiFID investment firm which executed the transaction.
XML element / Tag	<ReportingFirm **Identification**=”XXXXX” />
XML format	Attribute / String
Validation	Input is mandatory. Must be a valid 11 characters ISO 9362 SWIFT/Bank

	identifier code (BIC).
Values	[A-Z0-9]{11}
Comments	
Meta Data	**Value**
Name	**Client code**
Description	A unique identification for the customer client. An alphanumeric field up to 40 characters for the unique customer client reported by a particular firm. If the customer is a MiFID investment firm a BIC must be used otherwise the reporting parties unique customer number or own account.
XML element / Tag	<Client>
XML format	Element / String. minLength 1. maxLength 40. Whitespace ‘collapse’.
Validation	Input is mandatory.
Values	
Comments	This field will be used as a reference to a customer client in all communication between FI and the reporting firm. How to populate the field is free as long as the number will stay unique per ReportingFirm.
Meta Data	**Value**
Name	**Client code type**
Description	Defines the client customer type. Client code type is an attribute to the Client-element. It can take one of the following values: B = When the customer is a MiFID investment firm I = When a internal customer client is referenced
XML element / Tag	<Client **CodeType=”B”**>NNNNN</Client>
XML format	Attribute / String Length = 1
Validation	Input is mandatory.
Values	B | I
Comments	
Meta Data	**Value**
Name	**Client name**
Description	Customer name.
XML element / Tag	<ClientName>
XML format	Element / String. minLength 0. maxLength 70. whitespace ‘collapse’.
Validation	Input is mandatory.
Values	
Comments	The clients official name. Order: lastname, given name
Meta Data	**Value**
Name	**Client identifier local**

Description	Client firm or personal identifier number.
XML element / Tag	<ClientIdentificationLocal>
XML format	Element / String. minLength 0. maxLength 20. whitespace 'collapse'.
Validation	Input is mandatory.
Values	<table><tr><td>Code</td><td>Value</td></tr><tr><td>Personal ID:</td><td>11 characters Finnish personal ID</td></tr><tr><td>Business ID:</td><td>9 characters Finnish business ID</td></tr><tr><td>Date of birth:</td><td>DDMMYYYY</td></tr><tr><td>Artificial code assigned by Euroclear Finland Ltd (X-Business ID)</td><td>XNNNNNNNT , where NNNNNNN is the unique ID and T is the check digit.</td></tr></table>
Comments	For Finnish clients, the client identifier shall be personal ID (natural persons) or business ID (corporations). For non-Finnish clients, the client identifier shall be date of birth or an artificial code assigned by Euroclear Finland Ltd (natural persons) or a national corporate identifier code of the home country of the client corresponding to the business ID or an artificial code assigned by Euroclear Finland Ltd or other similar code (corporations).
Meta Data	**Value**
Name	**Client street**
Description	Street.
XML element / Tag	<ClientStreet>
XML format	Element / String. minLength 0. maxLength 70. whitespace 'collapse'.
Validation	Input is mandatory.
Values	
Comments	
Meta Data	**Value**
Name	**Client zip code**
Description	ZipCode
XML element / Tag	<ClientZipCode>
XML format	Element / String. minLength 0. maxLength 20. whitespace 'collapse'.
Validation	Input is mandatory.

Values	
Comments	
Meta Data	**Value**
Name	**Client City**
Description	Client City
XML element / Tag	<ClientCity>
XML format	Element / String. minLength 0. maxLength 70. whitespace ‘collapse’.
Validation	Input is mandatory.
Values	
Comments	
Meta Data	**Value**
Name	**Client country**
Description	Country.
XML element / Tag	<ClientCountry>
XML format	Element / String. minLength 0. maxLength 70. whitespace ‘collapse’.
Validation	Input is mandatory.
Values	
Comments	2-character ISO 3166-code
Meta Data	**Value**
Name	**Proxy holder**
Description	The personal ID or date of birth of the power of attorney.
XML element / Tag	<ProxyHolder>
XML format	Element / String. minLength 0. maxLength 11. whitespace ‘collapse’.
Validation	Input is optional.
Values	
Comments	

7 Kvitteringsfil för kundinformation

En beskrivning av xml-schemat för kvitteringsfilen för kundinformation finns i filen http://www.finanssivalvonta.fi/fi/Raportointi/Raportointisovellukset/Kauppar aportointi/Documents/v3/CustomerClientFeedback.xml

7.1 Kvitteringsfilens rubrik

Kvitteringsfilens rubrik innehåller information om den överförda kundinformationsfilens validitet på rapportnivå. Rubriken innehåller följande uppgifter:

TransactionReport	Den överförda kundinformationsfilens namn
ReceivedTimestamp	Tid då den överförda kundinformationsfilen har mottagits
FeedbackReport	Kvitteringsfilens namn
FileStatus	(Den överförda) filens status
Code	Statuskod
Message	Meddelande

Följande tabell innehåller möjliga värden för filstatus (FileStatus) och statuskoder (Code) för den överförda filen:

Filstatus	**Kod**	**Kommentar**
ACC		Filen har godkänts och alla de ingående transaktionerna är felfria. Transaktionerna har sparats i mottagarens databas.
	OK	OK
AWE		Filen har godkänts men innehåller felaktig kundinformation. De felfria transaktionerna har sparats i mottagarens databas.
	DVE	Fel vid innehållskontrollen
REJ		Filen har avvisats. Ingen transaktion har sparats i mottagarens databas.
	FEE	Felaktig filkod
	GSE	Allmänt systemfel
	IDTI	Två identiska kundkoder
	IFNF	Felaktigt namnformat
	IRF	Felaktig rapportör
	ITF	Felaktig teknisk rapportör
	IXF	Felaktigt xml-format
	SNF	Schema saknas
	SNV	Felaktigt schema
	UFAS	Den överförda filen finns redan
	UFSE	Felaktig storlek på den överförda filen
	XPE	xml-struktureringsfel
	ZDCOE	zip-uppackningsfel

Beroende på filstatus ska rapportören vidta följande åtgärder:

ACC	Inga åtgärder
AWE	Rätta felen och skicka in de korrigerade transaktionerna i en ny fil med nytt ordningsnummer
REJ	Rätta felen och skicka filen på nytt med samma namn

7.2 Kvitteringsfilens dokumentkropp

Kvitteringsfilen innehåller en kvitteringspost per kunduppgift. Kvitteringsposten innehåller uppgifter om den rapporterade transaktionens validitet. Följande tabell räknar upp möjliga statusvärden och statuskoder för transaktionerna:

Status	Kod	Kommentar
ACCEPTED		Kundinformationen är felfri
	OK	Ok
IGNORED		Transaktionen har ignorerats
	CIAE	Kundinformation för kundkoden finns redan
FAILED		Kundinformationen innehåller fel
	ICI	Felaktig kundkod
	IDCI	Filen innehåller två eller flera kunduppgifter för samma kod

Beroende på transaktionens status ska rapportören vidta följande åtgärder:

ACCEPTED	Inga åtgärder
FAILED	Rätta den felaktiga transaktionen och skicka in den med andra eventuella rättade transaktioner. Den nya filen ges ett nytt, högre nummer.
IGNORED	Inga åtgärder

8 Exempel

8.1 Transaktion

```
<Transaction>
  <TransactionReferenceNumber>1234567890</TransactionReferenceNumber>
  <TradingTimestamp>2011-12-23T11:23:36+02:00</TradingTimestamp>
  <BuySellIndicator>S</BuySellIndicator>
  <TradingCapacity>A</TradingCapacity>
  <Instrument>FI0009005961</Instrument>
- <UnitPrice>
    <PriceCurrency>14.90000</PriceCurrency>
  </UnitPrice>
  <PriceNotation>EUR</PriceNotation>
  <Quantity>8048.00000</Quantity>
  <CounterParty CodeType="B">TSTBFIHHXXX</CounterParty>
  <Venue CodeType="M">XHEL</Venue>
  <VenueReferenceNumber>000123456</VenueReferenceNumber>
  <Client CodeType="I">24680</Client>
  <ClientName>MEIKÄLÄINEN MAIJA</ClientName>
  <ClientIdentificationLocal>221175-123X</ClientIdentificationLocal>
  <ClientStreet>KATU 10</ClientStreet>
  <ClientZipCode>00100</ClientZipCode>
  <ClientCity>HELSINKI</ClientCity>
  <ClientCountry>FI</ClientCountry>
</Transaction>
```

8.2 Makulering

```
<CancellationTransaction>
  <CancelledTransactionUniqueIdentifier>2345678901</CancelledTransactionUniqueIdentifier>
  <CancellationIndicator>C</CancellationIndicator>
</CancellationTransaction>
```

8.3 TR-fil

```
<?xml version="1.0" encoding="UTF-8" ?>
- <ns:report xmlns:ns="http://schemas.fi.se/TRS/InTrans" Version="3.00">
    <TechnicalReportingFirm Identification="RATAFITEST1" />
  - <ReportingFirm Identification="RATAFITEST1">
    - <Transaction>
        <TransactionReferenceNumber>2345678901</TransactionReferenceNumber>
        <TradingTimestamp>2012-01-03T18:42:00+02:00</TradingTimestamp>
        <BuySellIndicator>S</BuySellIndicator>
        <TradingCapacity>P</TradingCapacity>
        <Instrument>FI0009006696</Instrument>
      - <UnitPrice>
          <PriceCurrency>9.00000</PriceCurrency>
        </UnitPrice>
        <PriceNotation>EUR</PriceNotation>
        <Quantity>8600.00000</Quantity>
        <CounterParty CodeType="B">RATAFITEST2</CounterParty>
        <Venue CodeType="O">XOFF</Venue>
      </Transaction>
    - <Transaction>
        <TransactionReferenceNumber>3456789012</TransactionReferenceNumber>
        <TradingTimestamp>2012-01-03T15:03:07+02:00</TradingTimestamp>
        <BuySellIndicator>B</BuySellIndicator>
        <TradingCapacity>P</TradingCapacity>
      - <AIIInstrumentIdentification>
          <AIIExchangeCode>XEUR</AIIExchangeCode>
          <AIIExchangeProductCode>FGBM</AIIExchangeProductCode>
          <AIIDerivativeType>F</AIIDerivativeType>
          <AIIPutCallIdentifier>F</AIIPutCallIdentifier>
          <AIIMaturityDate>2012-01-31</AIIMaturityDate>
          <AIIStrikePrice>0.00000</AIIStrikePrice>
        </AIIInstrumentIdentification>
      - <UnitPrice>
          <PricePercentage>88.00000</PricePercentage>
        </UnitPrice>
        <PriceNotation>EUR</PriceNotation>
        <Quantity>1500000.00000</Quantity>
        <CounterParty CodeType="C">8181</CounterParty>
        <Venue CodeType="M">XEUR</Venue>
        <VenueReferenceNumber>012ABC</VenueReferenceNumber>
        <Client CodeType="I">8181</Client>
        <ClientName>OY YRITYS AB</ClientName>
        <ClientIdentificationLocal>1234567-8</ClientIdentificationLocal>
        <ClientStreet>KATU 36</ClientStreet>
        <ClientZipCode>00100</ClientZipCode>
        <ClientCity>HELSINKI</ClientCity>
        <ClientCountry>FI</ClientCountry>
        <ProxyHolder>010260-1234</ProxyHolder>
      </Transaction>
    </ReportingFirm>
</ns:report>
```

8.4 Fil för transaktioner med OTC-derivat

```
<?xml version="1.0" encoding="UTF-8" ?>
- <Report xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
    xsi:noNamespaceSchemaLocation="OTCTransactionReport.xsd" Version="3.0">
    <TechnicalReportingParty Identification="RATAFITEST1" />
  - <ReportingParties>
    - <ReportingParty Identification="RATAFITEST1">
      - <OTCTransactionRecordInfo>
          <TransactionReferenceNumber>4567890123</TransactionReferenceNumber>
          <TradingTimestamp>2011-10-29T09:09:09+02:00</TradingTimestamp>
          <BuySellIndicator>B</BuySellIndicator>
          <TradingCapacity>A</TradingCapacity>
        - <OTCInstrumentIdentification>
            <UltimateUnderlyingIdentification>FI0009000681</UltimateUnderlyingIdentification>
            <DerivativeType>O</DerivativeType>
            <PutCallIdentifier>P</PutCallIdentifier>
            <PriceMultiplier>1.00000</PriceMultiplier>
            <StrikePrice>4.11000</StrikePrice>
            <ExpirationDate>2011-12-16</ExpirationDate>
          </OTCInstrumentIdentification>
        - <UnitPrice>
            <PriceCurrency>0.26000</PriceCurrency>
          </UnitPrice>
          <PriceNotation>EUR</PriceNotation>
          <Quantity>1000.00000</Quantity>
        - <CounterParty>
            <CounterpartyIdentificationBIC>RATAFITEST2</CounterpartyIdentificationBIC>
          </CounterParty>
          <TradingVenueCode>XXXX</TradingVenueCode>
        - <Client>
          - <ClientCode>
              <ClientInternal>56789</ClientInternal>
            </ClientCode>
            <ClientName>MEDEL-SVENSSON SVEN</ClientName>
            <ClientIdentificationLocal>01121970</ClientIdentificationLocal>
            <ClientStreet>GATA 47</ClientStreet>
            <ClientZipCode>10450</ClientZipCode>
            <ClientCity>STOCKHOLM</ClientCity>
            <ClientCountry>SE</ClientCountry>
          </Client>
        </OTCTransactionRecordInfo>
      - <CancellationRecordInfo>
          <CancelledTransactionUniqueIdentifier>7890123456</CancelledTransactionUniqueIdentifier>
          <CancelledTransactionFlag>C</CancelledTransactionFlag>
        </CancellationRecordInfo>
      </ReportingParty>
    </ReportingParties>
</Report>
```

8.5 Kvitteringsfil

```
<?xml version="1.0" encoding="UTF-8" ?>
- <trs:feedback Version="3.00" xmlns:trs="http://schemas.fi.se/TRS/OutTrans">
    <TransactionReport ReceivedTimestamp="2012-01-
      05T11:59:08+02:00">TR_RATAFITEST1_20120105_0004.XML</TransactionReport>
    <FeedbackReport>FB_TR_RATAFITEST1_20120105_0004_0001.xml</FeedbackReport>
  - <Summary>
      <FileStatus>ACC</FileStatus>
      <Code>OK</Code>
      <Message>Ok.</Message>
    </Summary>
  - <TechnicalReportingFirm Identification="RATAFITEST1">
    - <Summary>
        <Transactions>2</Transactions>
        <Cancellations>0</Cancellations>
      </Summary>
    </TechnicalReportingFirm>
  - <ReportingFirm Identification="RATAFITEST1">
      <Transaction TransactionReferenceNumber="3456789012" Status="ACCEPTED" />
      <Transaction TransactionReferenceNumber="2345678901" Status="ACCEPTED" />
    </ReportingFirm>
</trs:feedback>
```

9 Kontaktpersoner

9.1 Kontaktpersoner på Finansinspektionen

Transaktionsrapporteringskrav:

Marknadsövervakare Samuli Koivisto
e-post samuli.koivisto(at)finanssivalvonta.fi
telefon 010-831 53 66

Teknisk utformning av rapporteringen:

Projekt manager Sirpa Luoma
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telefon 010-831 53 53

9.2 Kontaktinformation för TYVI-operatören

Itella HelpDesk
e-post helpdesk@itella.net
telefon 020-538 85 00