GUI – Short Code ID and Algo ID upload 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. The GUI is available only in English language.

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.
1.4	19.03.2025	Update chapter 3 with the navigation in the member portal, update 4.3.1 and 4.4.1.1 with the new CUE service, update 4.3.1 and 4.4.1.1, 4.4.2.1 with cross-company access, chapter 6 update of contact details
1.5	03.11.2025	Update chapters 4.3, 4.4 with new Non-MiFIR member requirements, chapter 6 service times

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

Table of Contents

1 Introduction 6

2 Account setup and technical prerequisites 6
2.1 Prerequisites 6
2.2 Account activation and setup 6

3 Accessing the GUI 7

4 GUI Interface 8
4.1 Inbox 9
4.2 Reports 11
4.3 File upload Short Code ID and Algo ID 12
4.3.1 File upload process 12
4.3.2 Naming convention 14
4.4 eForm Short Code ID and AlgoID 15
4.4.1 Submission process Short Code ID 15
4.4.2 Submission process Algo ID 20
4.5 Missing(s) 24
4.5.1 Missing(s) – Short Code ID 24
4.5.2 Missing(s) – Algo ID 24
4.6 Final Missing(s) - Short Code ID 25
4.7 Upload error(s) 26
4.7.1 Upload error(s) - Short Code ID 26
4.7.2 Upload error(s) – Algo ID 26

5 Cut-off time and service availability 26

6 Contact and support 27

7 Link to documents 27

Table of Figures

Figure 1: Member Section account setup 7
Figure 2: Accessing the GUI 7
Figure 3: GUI Interface 8
Figure 4: Control functions 8
Figure 5: Short Code ID and Algo ID upload GUI features 9
Figure 6: Inbox 10
Figure 7: Validation Errors 10
Figure 8: Report download 12
Figure 9: Upload Short Code ID 13
Figure 10: Upload Algo ID 13

Figure 11: eForm Short Code ID - new record 15
Figure 12: eForm Short Code ID - failed validation 17
Figure 13: eForm Short Code ID - successful validation 17
Figure 14: eForm Short Code ID - modification 18
Figure 15: eForm Short Code ID – deletion 18
Figure 16: eForm Short Code ID - data submission 19
Figure 17: eForm Short Code ID - submitted files in the Inbox 19
Figure 18: eForm Algo ID - new record 20
Figure 19: eForm Algo ID - failed validation 21
Figure 20: eForm Algo ID - successful validation 21
Figure 21: eForm Algo ID - modification 22
Figure 22: eForm Algo ID - deletion 22
Figure 23: eForm Algo ID - data submission 23
Figure 24: eForm Algo ID - submitted files in the Inbox 23
Figure 25: Missing(s) - Short Code ID 24
Figure 26: Missing(s) - Algo ID 25
Figure 27: Final Missing(s) - Short Code ID 25
Figure 28: Upload error(s) - Short Code ID 26
Figure 29: Upload error(s) - Algo ID 26
Figure 30: Support access 27

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

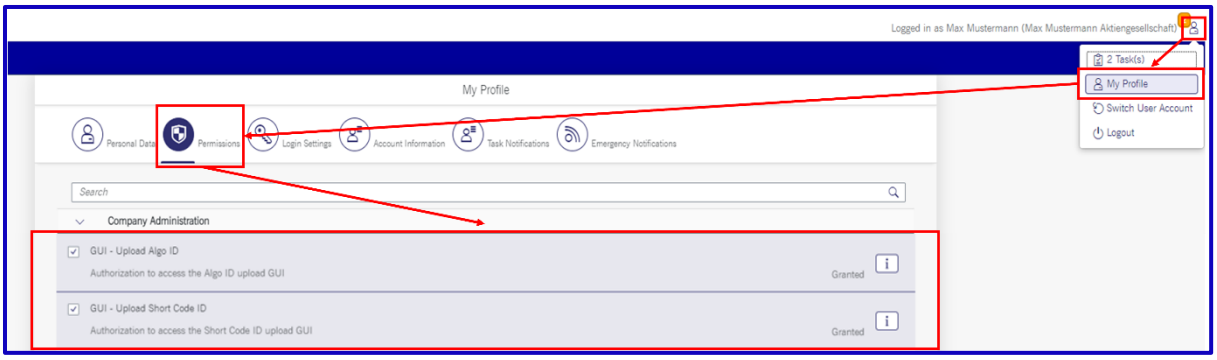


Figure 1: Member Section account setup

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 > Regulatory > Short Code ID / Algo ID Upload GUI

Figure 2: Accessing the 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:

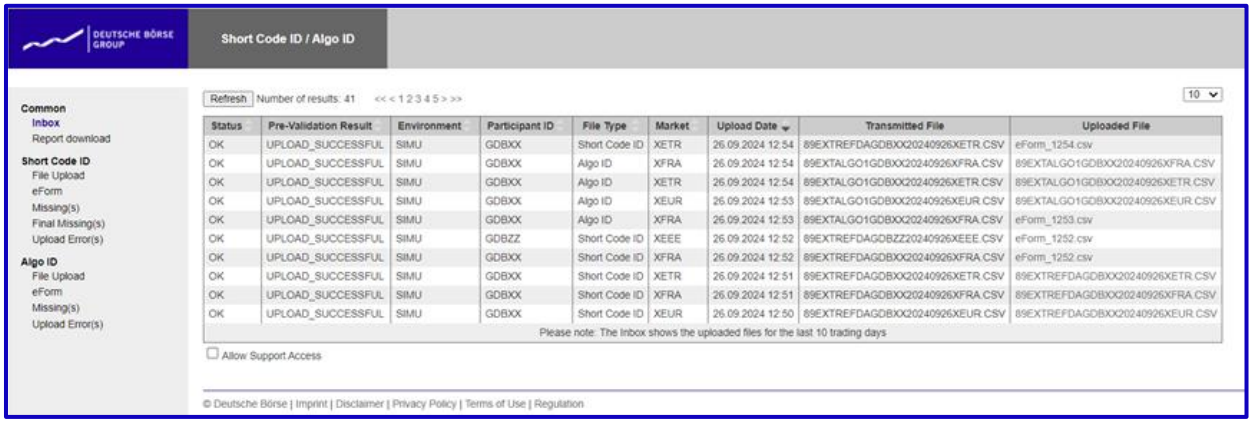


Figure 3: GUI Interface

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

Figure 4: 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 log-out 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:

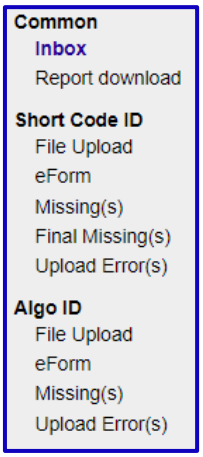


Figure 5: Short Code ID and Algo ID upload GUI features

Short Code ID and Algo ID upload GUI Features

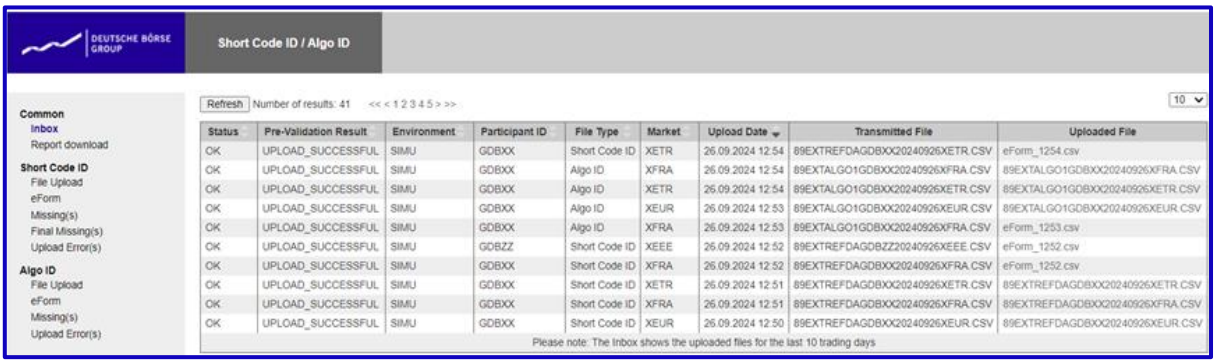
- **Inbox:** List of upload files, which are currently being processed and historical uploads from the last 10 trading days. It allows the monitoring of ongoing uploads and the view of completed ones.
- **Report download**: TR160-171 reports are available for download. The end of day (EOD) reports of 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



Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date	Transmitted File	Uploaded File
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:54	89EXTREFDAGDBXX20240926XETR.CSV	eForm_1254.csv
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:54	89EXTALGO1GDBXX20240926XFRA.CSV	89EXTALGO1GDBXX20240926XFRA.CSV
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
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XFRA	26.09.2024 12:53	89EXTALGO1GDBXX20240926XFRA.CSV	eForm_1253.csv
OK	UPLOAD_SUCCESSFUL	SIMU	GDBZZ	Short Code ID	XEEE	26.09.2024 12:52	89EXTREFDAGDBZZ20240926XEEE.CSV	eForm_1252.csv
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:52	89EXTREFDAGDBXX20240926XFRA.CSV	eForm_1252.csv
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	26.09.2024 12:51	89EXTREFDAGDBXX20240926XETR.CSV	89EXTREFDAGDBXX20240926XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	26.09.2024 12:51	89EXTREFDAGDBXX20240926XFRA.CSV	89EXTREFDAGDBXX20240926XFRA.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XEUR	26.09.2024 12:50	89EXTREFDAGDBXX20240926XEUR.CSV	89EXTREFDAGDBXX20240926XEUR.CSV

Figure 6: Inbox

- **Status**: The GUI transfers uploaded files and files resulting from entries in the eForm to the CUE for pre-validation. 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 button in the “Pre-Validation Result” column the feedback file (CUE log file) can be downloaded with detailed error information. By clicking on the 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 button in the “Pre-Validation Result” column. The feedback file (CUE log file) can be downloaded with detailed error information. By clicking on the 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	89EXTREFDAGDBXX20240924XEUR.CSV	89EXTREFDAGDBXX20240709XEUR.CSV
OK	UPLOAD_SUCCESSFUL_WITH_ERRORS	SIMU	GDBXX	Short Code ID	XEUR	24.09.2024 10:37	89EXTREFDAGDBXX20240924XEUR.CSV	89EXTREFDAGDBXX20240709XEUR.CSV

Figure 7: 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, TR170, TR171) 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.

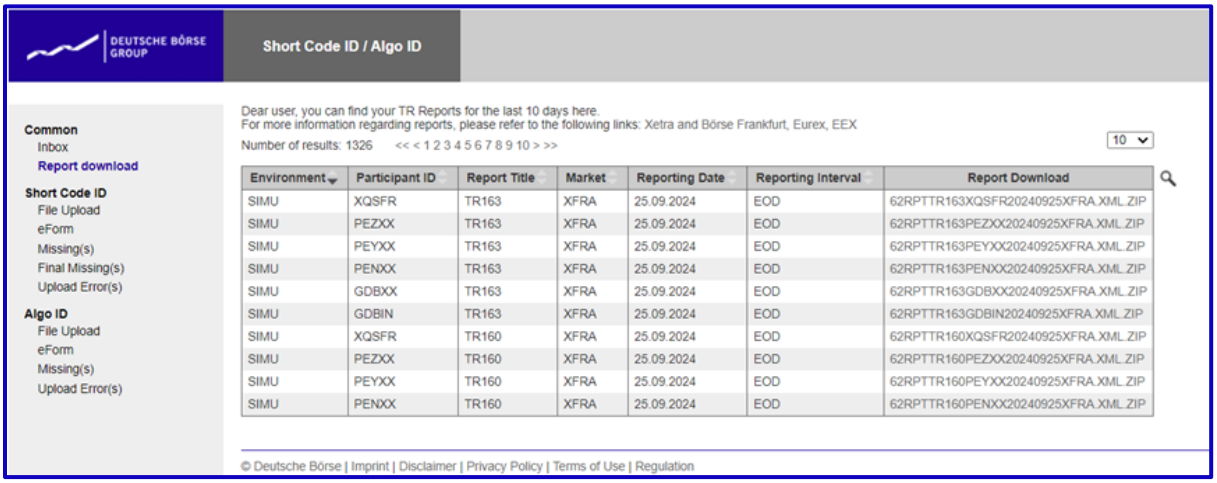


Figure 8: Report download

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.
- **CUE service:**
  - “Regular (EXTREFDA)”: This service is for MIFIR Trading Participants for the regular Short Code ID management incl. ongoing corrections (TR169) as well as the correction of historical missing Short Codes (TR170).
  - “Historical (EXTREFDH)”: This service is for the correction of historical Short Code registrations with an invalid Long Code (TR171).
  - “Non-MiFIR (EXTREFNM)”: This service is for non-MiFIR Trading Participants for the regular Short Code ID management incl. ongoing corrections (TR169) as well as the correction of historical missing Short Codes (TR170). Please note that a dedicated upload file is provided, which encompasses three additional fields (DateOfBirth, FirstName, Surname). The fields can optionally be filled. However, if one of the fields is filled, all three fields become mandatory.
- **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 and are selectable in the drop-down menu based on user permissions.

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:

- Click on “Choose File” and select the file to upload.

- Click on “Upload Short Code ID” / “Upload Algo ID” to start the upload process.
- After initiating the upload, a notification about the success of the upload is provided within the upload form.

Figure 9: Upload Short Code ID

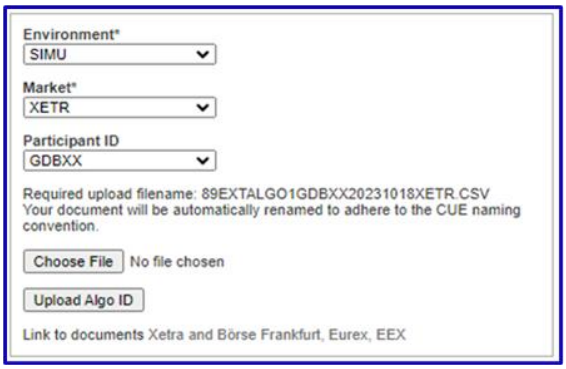


Figure 10: Upload Algo ID

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”. 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, EXTREFDH, EXTREFNM, EXTALGO1]{8} EXTREFDA, ~~and~~ EXTREFDH and EXTREFNM 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 XFRA for Boerse Frankfurt XEUR for Eurex XEEE for EEX
Versioning	Optional field starting with -V01 up to -V99
File type	[.CSV]{4} .CSV

[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).

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”:

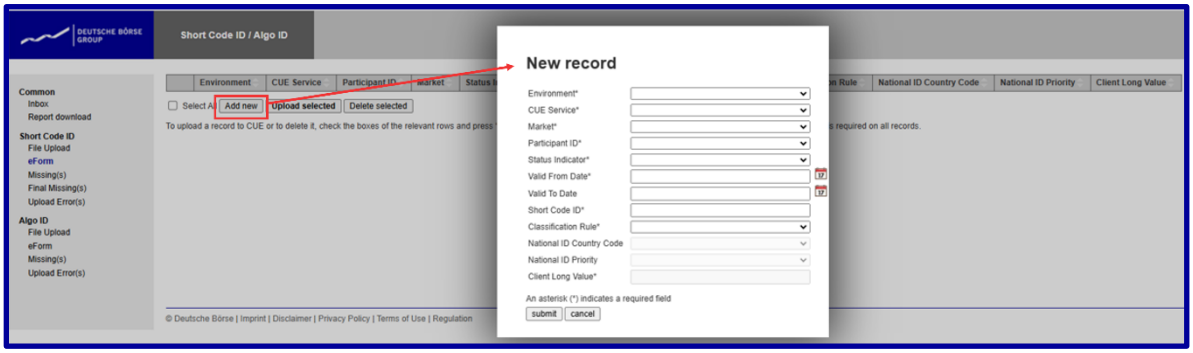


Figure 11: eForm Short Code ID - new record

- **Environment:** “SIMU” for the simulation environment and “PROD” for the production environment.
- **CUE service:**
  - “Regular (EXTREFDA)”: This service is for the regular Short Code ID management incl. ongoing corrections (TR169) as well as the correction of historical missing Short Codes (TR170).
  - “Historical (EXTREFDH)”: This service is for the correction of historical Short Code registrations with an invalid Long Code (TR171).
  - “Non-MiFIR (EXTREFNM)”: This service is for non-MiFIR Trading Participants for the regular Short Code ID management incl. ongoing corrections (TR169) as well as the correction of historical missing Short Codes (TR170). Please note that with the selection of CUE service “EXTREFNM” and Classification Rule “N” for natural person three additional fields (DateOfBirth, FirstName, Surname) will be provided. The fields can optionally be filled. However, if one of the fields is filled, all three fields become mandatory.
- **Market:** Available MICs depend on member data and Participant ID admission.
- **Participant ID:** Available Participant IDs depend on member data and Participant ID admission and are selectable in the drop-down menu based on user permissions.
- **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.
- **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 Non-MiFIR Trading Participants "EXTREFNM" only and if ClassificationRule is "N" for natural person:

- **DateOfBirth:** The "DateOfBirth" is the natural persons date of birth. Date format is YYYY-MM-DD with the following valid values and mandatory length: [0-9]{4}-[0-9]{2}-[0-9]{2}.

- **FirstName:** The "FirstName" is the natural persons first name. Valid values: [A-Z, ÀÁÂÃÄÅÆÇÈÉÊËÌÍÎÏÐÑÒÓÔÕÖØÙÚÛÜÝÞß, semicolon ";", space " ", apostrophe "'", minus "-", dash "–"], mandatory length: {1,140}.

- **Surname:** The "Surname" is the natural persons family name. Valid values: [A-Z, ÀÁÂÃÄÅÆÇÈÉÊËÌÍÎÏÐÑÒÓÔÕÖØÙÚÛÜÝÞß, semicolon ";", space " ", apostrophe "'", minus "-", dash "–"], mandatory length: {1,140}.

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". 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.

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

Failed validation

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

Figure 12: 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.

Figure 13: 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.

Please note that with the selection of CUE service “EXTREFNM” and Classification Rule “N” for natural person three additional fields (DateOfBirth, FirstName, Surname) will be provided. The fields can optionally be filled. However, if one of the fields is filled, all three fields become mandatory.

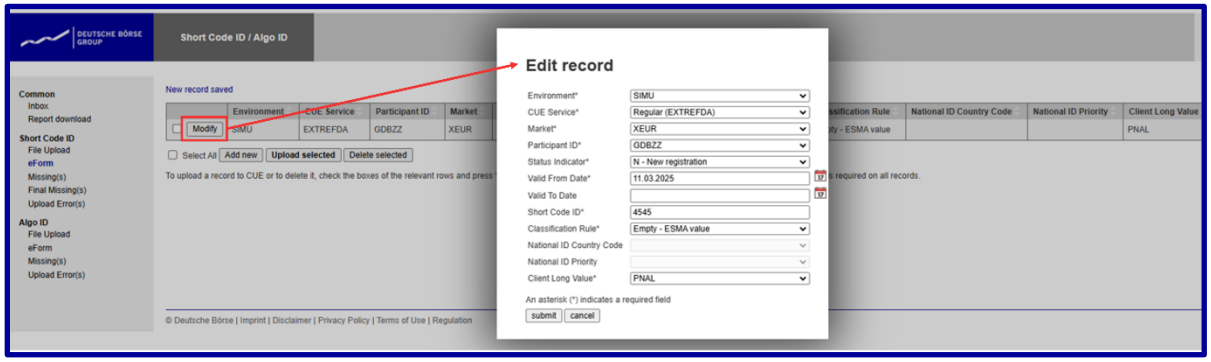


Figure 14: eForm Short Code ID - modification

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.

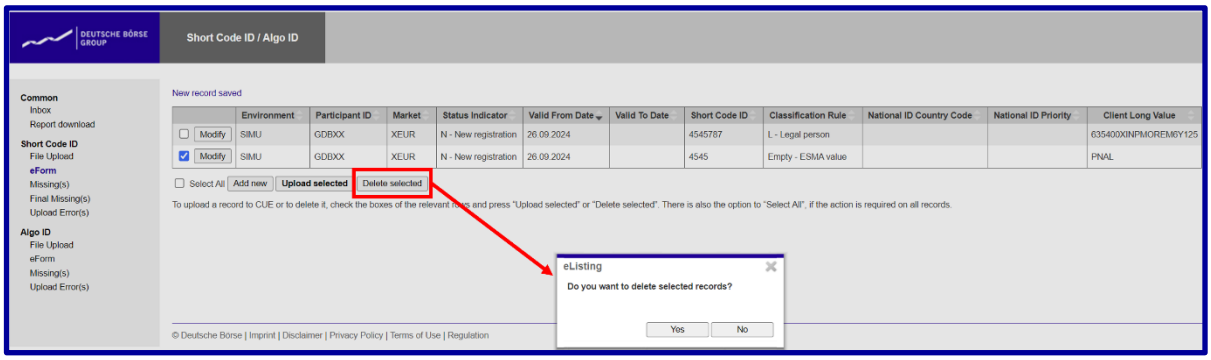


Figure 15: eForm Short Code ID – deletion

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 CE(S)T will be removed from the eForm.

Figure 16: 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.

Figure 17: 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”:

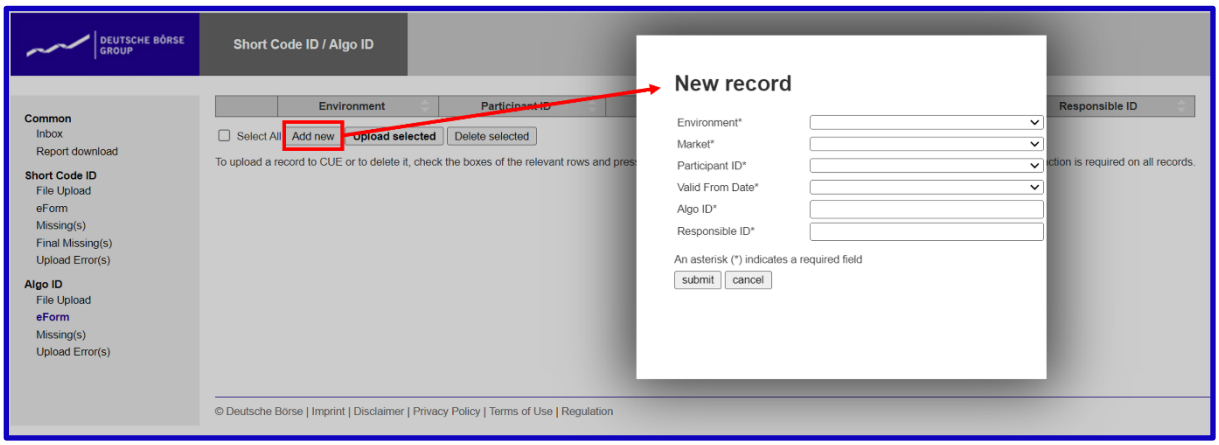


Figure 18: eForm Algo ID - new record

- **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 and are selectable in the drop-down menu based on user permissions.
- **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.

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

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”. 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

Failed validation

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

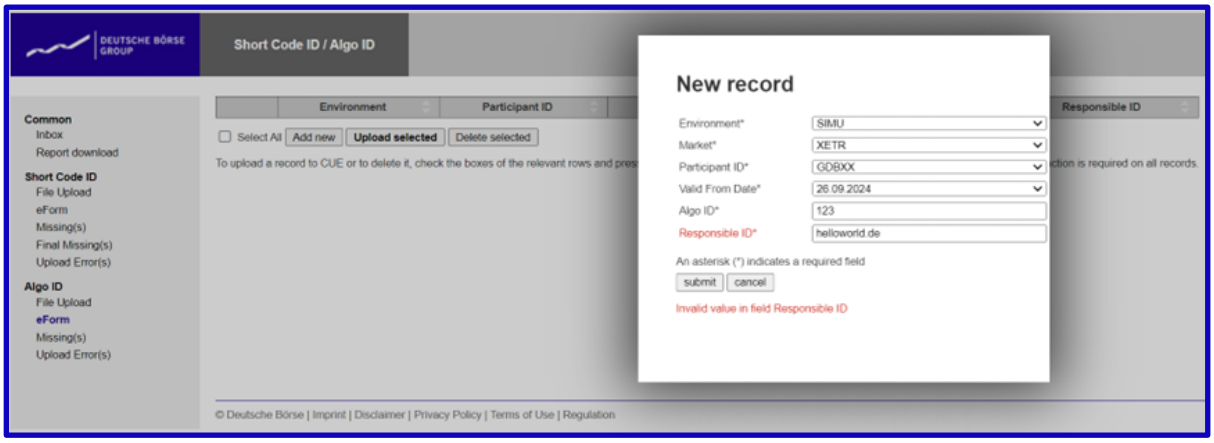


Figure 19: eForm Algo ID - failed validation

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.

Figure 20: 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.

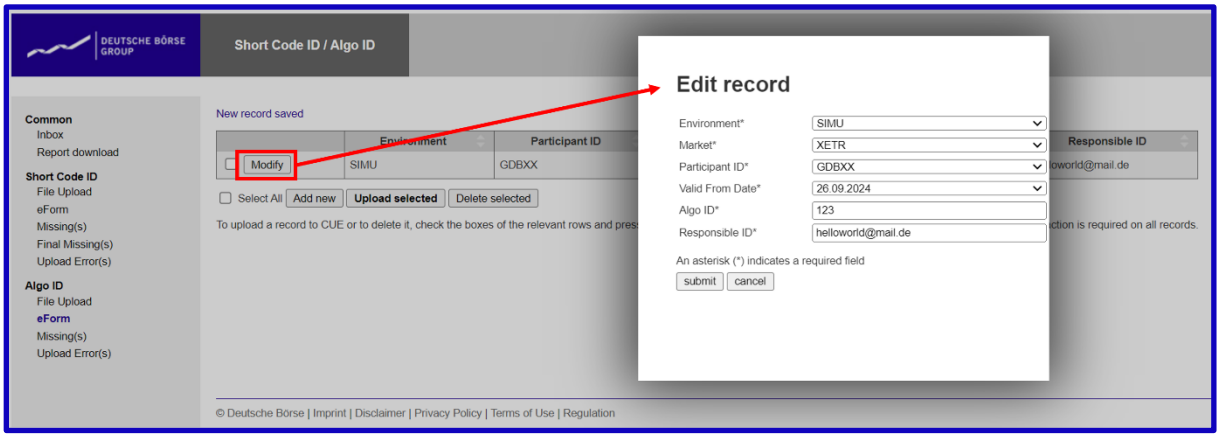


Figure 21: eForm Algo ID - modification

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.

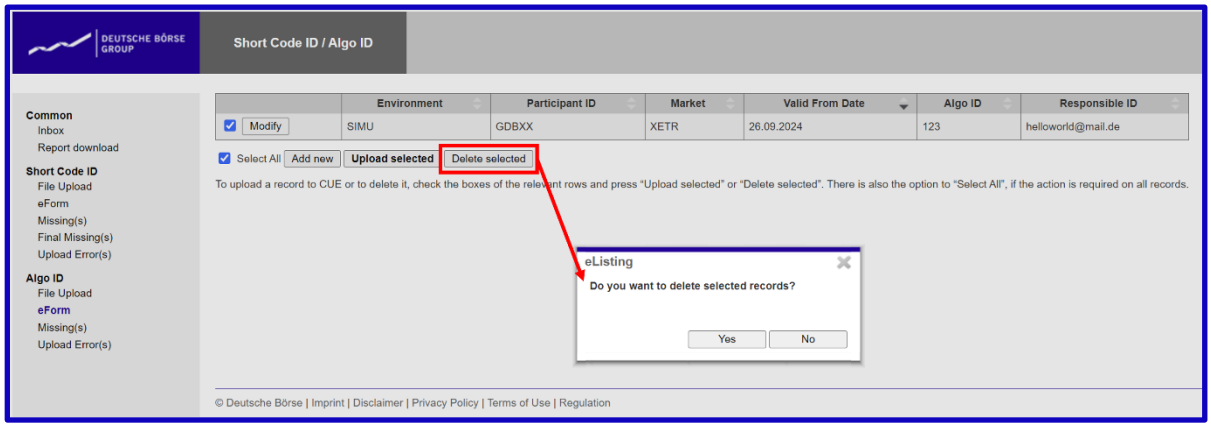


Figure 22: eForm Algo ID - deletion

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.

Figure 23: 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.

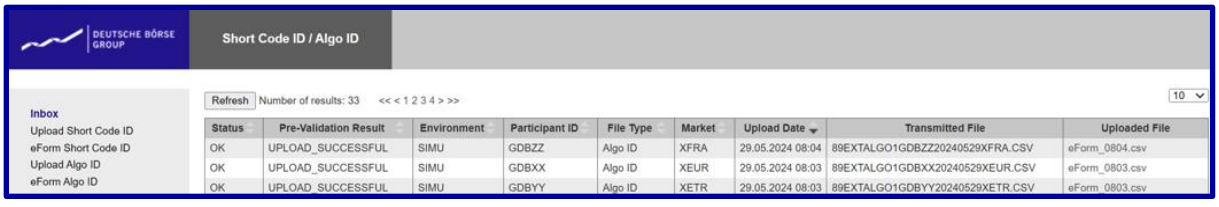


Figure 24: eForm Algo ID - submitted files in the Inbox

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).

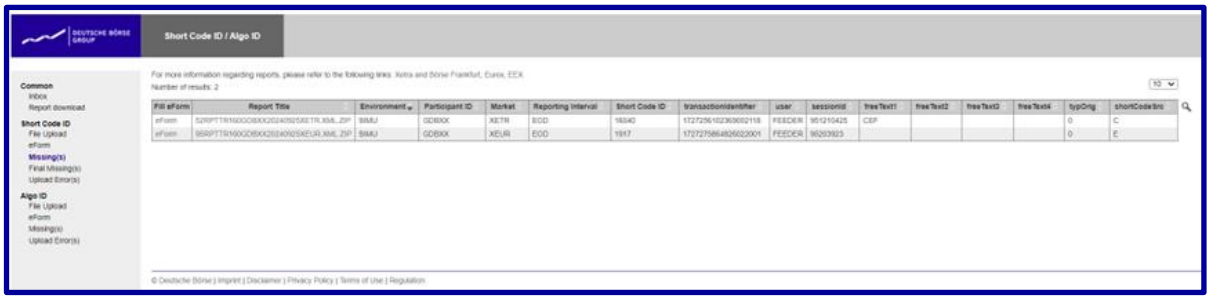


Figure 25: Missing(s) - Short Code ID

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.

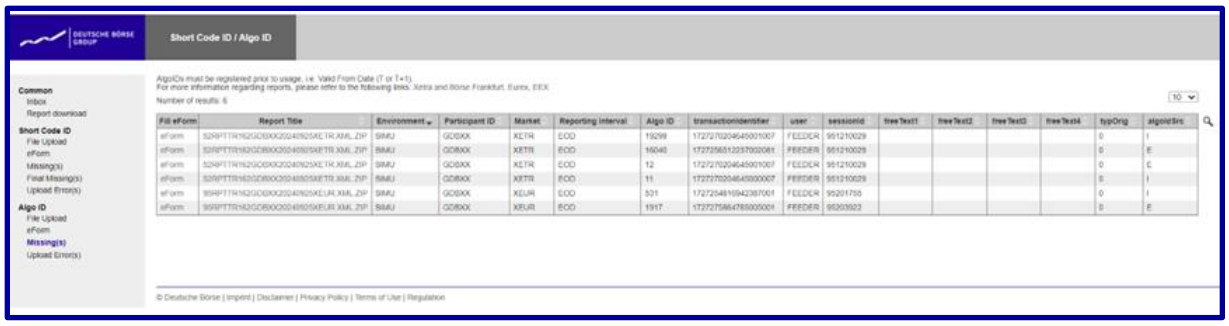


Figure 26: Missing(s) - Algo ID

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.

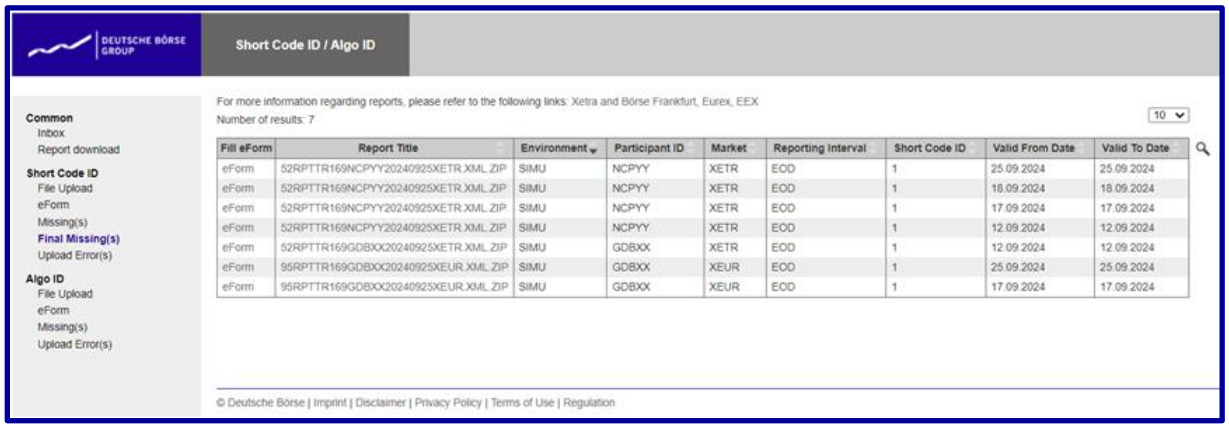


Figure 27: Final Missing(s) - Short Code ID

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.

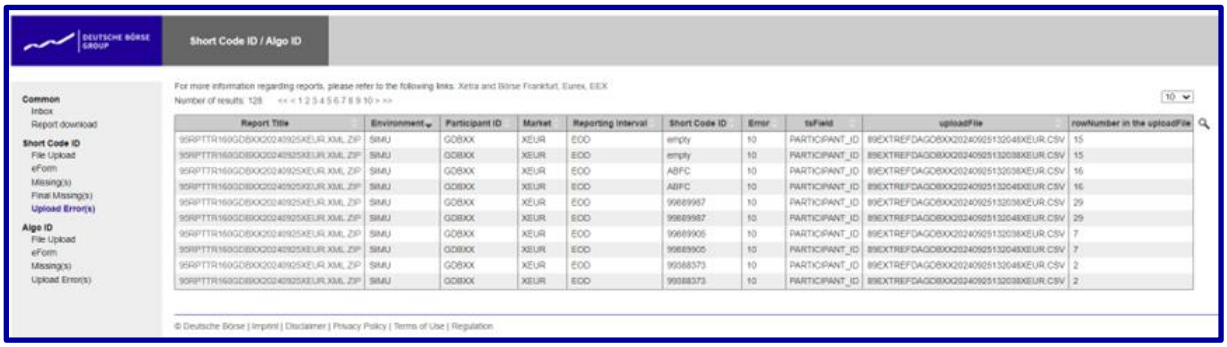


Figure 28: Upload error(s) - Short Code ID

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.

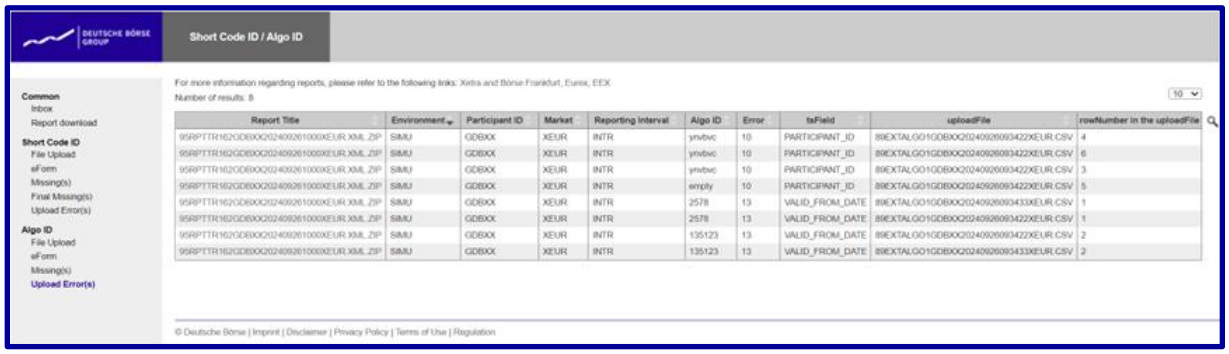


Figure 29: Upload error(s) - Algo ID

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: "The CUE system is currently unavailable, please use the upload functionality between 00:00 – 23:30 CE(S)T."

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 CE(S)T:

- 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~~08:30 and 17:30 CE(S)T:

- Regulatory Reporting Analyst via hotline +49 69 211 28991 or by email at mifid.reporting@deutsche-boerse.com

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.

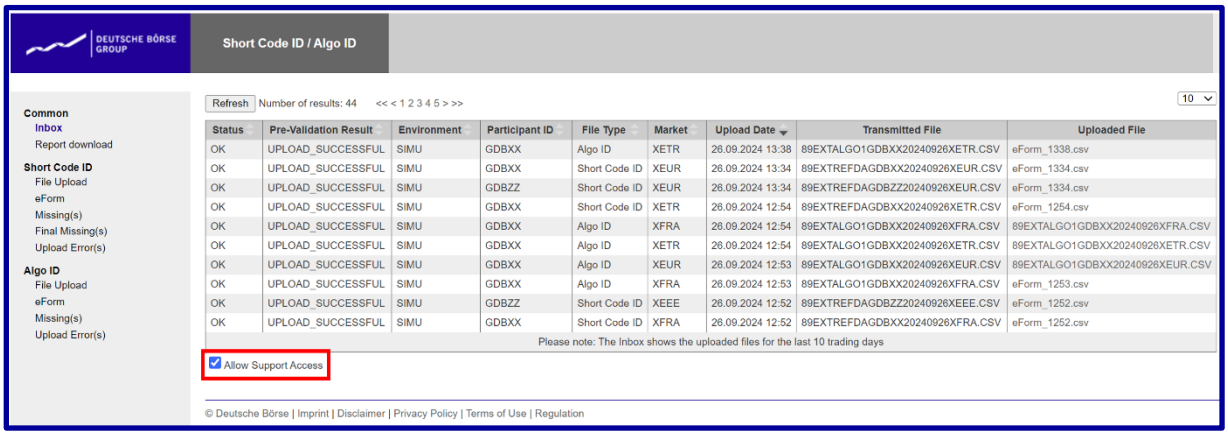


Figure 30: Support access

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.