eurex bonds circular 52/17

Date: 19 September 2017
Recipients: All Trading Participants of Eurex Bonds and Vendors
Authorised by: Gloria Pfaue

MiFID II/MiFIR: Information about upload functionalities

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Content may be most important for:	**Attachment:**
➲ All departments	Xetra circular 094/17

Please note attached Xetra circular 094/17: MiFID II/MiFIR: Information about upload functionalities.

This also applies for Eurex Bonds (XEUB).

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Xetra Circular 094/17

DEUTSCHE BÖRSE CASH MARKET

Action required! High priority!

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To all Xetra® Members and Vendors

Recipients: Traders, Security Administrators, Nominated Persons, System Administrators, Technical Contacts, General

19 September 2017

MiFID II/MiFIR:
Information about upload functionalities

Dear Sir or Madam,

With regard to the planned introduction of Xetra Release 17.0 on 20 November 2017 and Xetra T7 Release 6.0 on 4 December 2017, this circular provides you with the following information:

Upload functionalities
On Monday, 18 September 2017, Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange) has provided the upload functionalities for the short code mapping file, the algo certificates and the National IDs of your Xetra traders in the Member Section. As announced in Xetra circulars 060/17 and 091/17, these files shall be submitted to FWB via the upload functionalities.

1. Short code solution – Mapping file
The mapping files with the short codes used to populate the fields „ClientID“, „Investment Decision“ and „Execution Decision“ in the trading system and their respective long codes (clear text) shall be submitted to FWB in a CSV file. The upload functionality in the Member Section is called “Client Identification Upload“.

2. Algo certificates
Trading Participants are required to submit to FWB the certificates of the algorithms they deployed. For this purpose, the upload functionality we provided in the Member Section is called „Algo HFT Upload“.

Chairman of the Supervisory Board
Joachim Faber

Executive Board
Carsten Kengeter
(Chief Executive Officer)
Andreas Preuss
(Deputy Chief Executive Officer)
Gregor Pottmeyer
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3. National IDs of Xetra traders

Trading Participants are required to submit to FWB the National IDs of their Xetra traders. The upload functionality for this is located in the Member Section as well.

Trading Participants can download user manuals for the upload functionalities from our website www.xetra.com (see link below), and will also find them attached to this circular. The user manuals describe the creation and use of these functionalities. The Trading Participant's Central Coordinator only has the user rights to create the „Download Agent" in the Member Section. This agent shall upload the CSV files in the Member Section.

In addition, Trading Participants can find both on our website (see link below) and attached to this circular sample files of the "algo certificate" and "short code mapping" file.

Trading Participants shall upload the relevant data via the upload functionalities until MiFID II/MiFIR comes into force on 3 January 2018. Please upload only delta files after this date. As announced with Xetra circular 091/17, Trading Participants can fill in dummy values until MiFID II/MiFIR comes into force. As of 3 January 2018, the data has to comply with the regulatory requirements.

Currently, FWB is implementing a SFTP solution for the upload of the short code mapping file and the algo certificates files. We will inform you as soon as this upload solution is available.

Newsroom > Current regulatory topics > MiFID II and MiFIR

Please note:

- Align with your ISV regarding the implementation of the MiFID II requirements.
- Set up responsibilities and processes among your staff members for the upload functionality, i.e. National IDs, Algo IDs and the mapping file for the short code solution.
- Request the required IDs from your clients (LEIs and National IDs).
- If your company does not have a LEI yet, we kindly ask you contact the "Local Operating Units" (LOUs) of the Global LEI System to apply for a LEI.
- If you have not yet registered a Regulatory Coordinator and a Release Contact in the Member Section, we kindly ask you to do so.

Yours faithfully,

Cord Gebhardt

Annette Czypull
On behalf of the Management Board

Attachments

- Deutsche Börse Group – Delivery of National ID for exchange traders – Customer manual for Member Section processes
- User Manual Upload functionalities – Short code mapping file and algo certificates
- Sample file RTS24_GDBXX_XETR_Initial
- Sample file RTS24_GDBXX_XETR_Delta