

# **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 uploads. It covers login, file submission and status monitoring.

### **History**

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<b>Version</b>	<b>Date</b>	<b>Reason</b>
1.0	30.10.2023	Introducing the GUI and functionalities

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## List of Abbreviations

CET	Central European Time
CRE	Common Report Engine
CTS	Customer Technical Support
CUE	Common Upload Engine
FWB	Frankfurter Wertpapierbörse
GUI	Graphical User Interface
HFT	High Frequency Trading
MIC	Market Identifier Code
MIFID	Markets in Financial Instruments Directive
MIFIR	Markets in Financial Instruments Regulation
PROD	Production environment
SIMU	Simulation environment
TKAM	Technical Key Account Manager

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## 1 Introduction

This user guide is designed to help trading participants navigate and use the Short Code ID and Algo ID upload GUI (“GUI”) effectively. The next section delves into the setup of user accounts and their prerequisites. The third chapter focuses on the visualization of GUI access, while the fourth chapter provides a comprehensive overview of the field descriptions and the functionality for the upload of Short Code IDs and Algo IDs. The fifth chapter provides information on the service availability. The sixth chapter provides contacts for issue resolution.

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:
  - Short Code ID (Right: Client Identification Upload) and / or
  - Algo ID (Right: Algo HFT Mapping Upload)
2. Common Upload Engine (CUE) user setup

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

### 2.2 Account activation and setup

Please set up the required users and respective rights 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

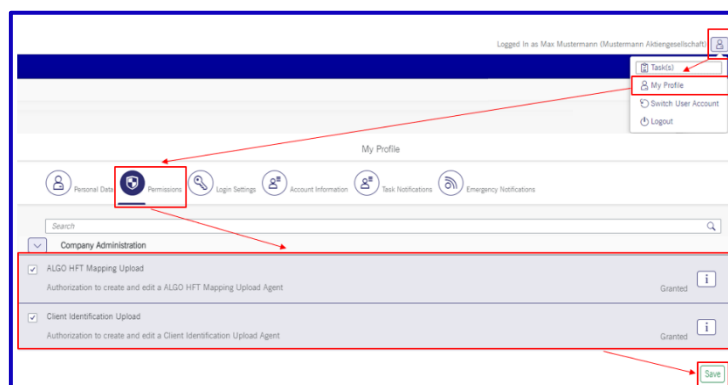


Figure 1: Member Section account setup

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:

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

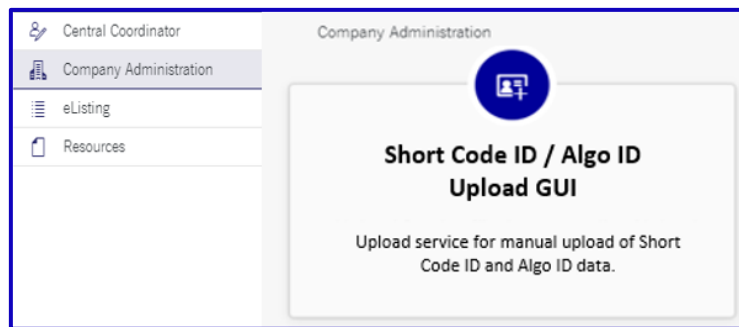


Figure 2: Accessing the GUI

Please find the link to the GUI:



Figure 3: Link to GUI

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

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

## 4 GUI Interface

Please find the GUI below:



The screenshot shows the main interface of the application. At the top left is the Deutsche Börse Group logo. The main header is 'Short Code ID / Algo ID'. On the right, the date and time are 'Friday, Oct 27, 2023 11:44:43 CEST'. Below the header is a navigation bar with 'Inbox', 'Upload Short Code ID', and 'Upload Algo ID'. A table displays the upload results with columns for Status, Pre-Validation Result, Environment, Participant ID, File Type, Market, Upload Date, Transmitted File, and Uploaded File. The table contains two rows of data, both with a status of 'OK' and a pre-validation result of 'UPLOAD\_SUCCESSFUL'.

Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date	Transmitted File	Uploaded File
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	24.10.2023 13:52	89EXTALGO1GDBXX20231024XETR.CSV	89EXTALGO1GDBXX20231024XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	24.10.2023 13:29	89EXTREFDAGDBXX20231024XETR.CSV	89EXTREFDAGDBXX20231024XETR.CSV

Figure 4: GUI Interface

The GUI provides various functionalities to control the session, which are in the right corner of the screen:

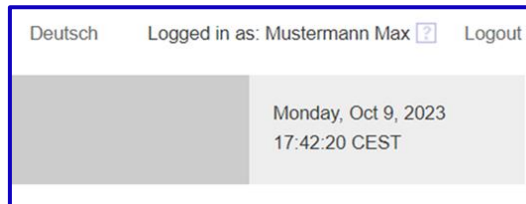


Figure 5: Control functions

### Session control functions

- **Language Selection:** Option to switch between English and German.
- **Login Information:** The currently logged-in username.
- **Help:** Important user information and guides for assistance.
- **Log-out:** Log-out 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 uploads are located on the left side of the interface, which offer specific features:

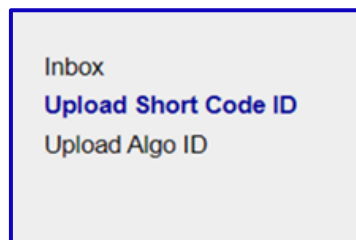


Figure 6: Short Code ID and Algo ID upload features



**Short Code ID and Algo ID Features**

- **Inbox:** List of uploads, 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.
- **Upload Short Code ID:** Submission of Short Code ID upload files.
- **Upload Algo ID:** Submission of Algo ID upload files.

**4.1 Inbox**

The inbox provides an overview about successfully uploaded files, rejected files and corresponding feedback files (CUE log files) covering the error(s) of the failed pre-validation and the respective status. Historical uploads from the last 10 trading days are available. The files can be downloaded. This enables upload monitoring and immediate reaction in the 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	Algo ID	XETR	24.10.2023 13:52	89EXTALGO1GDBXX20231024XETR.CSV	89EXTALGO1GDBXX20231024XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	24.10.2023 13:29	89EXTREFDAGDBXX20231024XETR.CSV	89EXTREFDAGDBXX20231024XETR.CSV

Figure 7: Inbox

- **Status:** The GUI transfers uploaded files 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 server.
  2. **Processing:** The pre-validation checks are currently being performed. If no response is received within 30 minutes time, the status will be changed to “No Response”.
  3. **No Response:** The file transfer has failed. Please contact the technical support. Please refer to chapter 5 “Contact”.
  4. **Validation Errors:** Files with this status were rejected due to non-compliance with pre-validation rules. 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
Validation errors	VALIDATION_FAILED	SIMU	GDBXX	Short Code ID	XFRA	18.10.2023 09:23	89EXTREFDAGDBXX20231018XFRA.CSV	89EXTREFDAGDBXX20231018XFRA.CSV
Validation errors	VALIDATION FAILED	SIMU	GDBXX	Algo ID	XETR	17.10.2023 10:28	89EXTALGO1GDBXX20231017XETR.CSV	89EXTALGO1GDBXX20231017XETR.CSV

Figure 8: Validation Errors

- 5. **Transmitted:** Files were successfully pre-validated and transmitted to the comprehensive validation in the data warehouse. The final results are provided in the error and overview reports TR160 / TR161 for Short Code IDs and in TR162 / TR163 for Algo ID registrations. The reports are available on CRE.
- **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 form. “SIMU” for the simulation environment and “PROD” for the production environment.
- **Participant ID:** Permitted participant ID selected by the user in the upload form.

- **File Type:** File type chosen by the user in the upload form, i.e. Short Code ID or Algo ID.
- **Market:** The permitted MIC chosen by the user in the upload 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. Click the filename in order to download the file if needed.

## 4.2 Upload Short Code ID and Algo ID

### 4.2.1 Upload process

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

- **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.

Environment\*  
SIMU

Market\*  
XETR

Participant ID  
GDBXX

Required upload filename: 89EXTREFDAGDBXX20231018XETR.CSV  
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Short Code ID

Link to documents Xetra and Börse Frankfurt, Eurex, EEX

Figure 9: Upload Short Code ID

Environment\*  
SIMU

Market\*  
XETR

Participant ID  
GDBXX

Required upload filename: 89EXTALGO1GDBXX20231018XETR.CSV  
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Algo ID

Link to documents Xetra and Börse Frankfurt, Eurex, EEX

Figure 10: Upload Algo ID

After the selection of the applicable field values the system creates the filename according to the naming convention, if not met already by the user (please refer to chapter 4.2.2 for further details), and the upload file can be chosen:

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

- Click on “Upload SC” / “Upload Algo” to start the upload process.
- After initiating the upload, a notification about the success of the upload is provided within the upload form.
- For a comprehensive description of file structure and field population, please refer to the “Information 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

#### 4.2.2 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, it 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 for files uploaded on non-trading days the GUI will set the date in the filename to the next trading day based on the exchange trading calendar and the file will be processed within the next trading day's overnight batch.<sup>1</sup>

#### 4.2.3 Cut-off time and service availability

For Short Code ID and Algo ID uploads the trading day's cut-off time is 23:30 CET. Files uploaded by then are processed in the overnight batch. The upload functionality is disabled between 23:30 and 00:00 CET and the following error message is provided to the user for upload attempts during this time:

Inbox  
Upload Short Code ID  
Upload Algo ID

The CUE system is currently unavailable, please use the upload functionality between 00:00 - 23:30 O'Clock.

Environment\*  
SIMU

Market\*  
XETR

Member ID\*  
GDBXX

Required upload filename: 89EXTREFDAGDBXX20231018XETR.CSV  
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Short Code ID

Link to documents Xetra and Börse Frankfurt, Eurex, EEX

Figure 11: Upload functionality message

<sup>1</sup> 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>).

#### **4.2.4 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.

## **5 Contact**

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

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

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

- Regulatory Reporting Analyst via hotline +49 69 211 28991 or by email at [client.services@deutsche-boerse.com](mailto:client.services@deutsche-boerse.com)
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