Central Bank of Ireland

Online Reporting System

MiFIR Transaction Reporting User Procedure Document

8 March 2018

This document should be read in conjunction with the Online Reporting System User Manual 2015, available on the Central Bank's website.
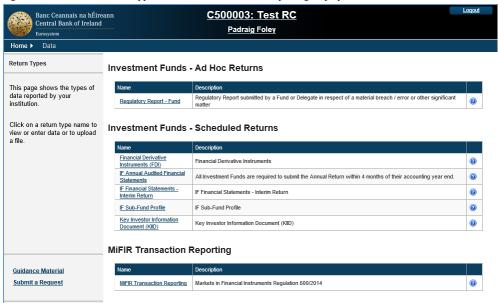
Contents

1.0   MiFIR Transaction Reporting ONR Landing Page

To submit MiFIR transaction reports select **MiFIR Transaction Reporting** from the list of available return types on the ONR landing page. (Fig 1).

Fig 1 – List of available return types with MiFIR Transaction Reporting displayed

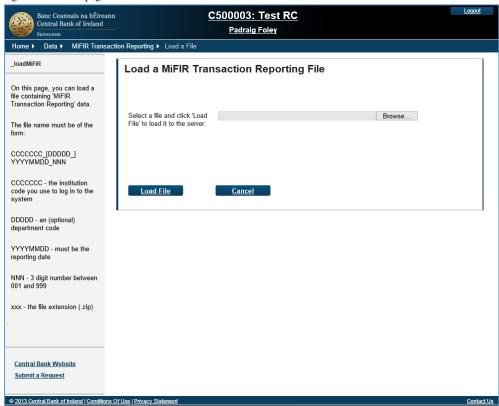Click MiFIR Transaction Reporting and the MiFIR Transaction Reporting Page is displayed (Fig 2).

Fig 2 – MiFIR Transaction Reporting Page

2.0   Load a File

To load a file for this return type, select **Load a File** (see Fig 2) and the Load a File page will display (Fig 3).

Fig 3 - Load a File page

Select **Browse** to search for your file.   The file should be saved as a .zip file and follow the naming convention specified in the Operational and Technical Arrangements: CCCCCCC_DDDDD_YYYYMMDD_NNN.zip.

Select **Load File** and the File Upload Status page will display file status (Fig 4)

Fig 4 – File Upload Status

3.0   Feedback Email

Once a file is processed by the Central Bank's system, an automatic mail is sent to the file uploader's mailbox (Fig 5).

Fig 5 - Automatic E-Mail (example)

Dear Padraig Foley,

The file C500003_20170914_001.zip has been processed and its status set to accepted.

Total number of transactions processed: 1

Total number of valid transactions: 1

Total number of invalid transactions: 0

Total number of pending transactions: 0

Total number of received transactions: 0

Please log in to the Online Reporting System to download the feedback file for more detail.

This is an automatically generated message. Please do not reply to this email.

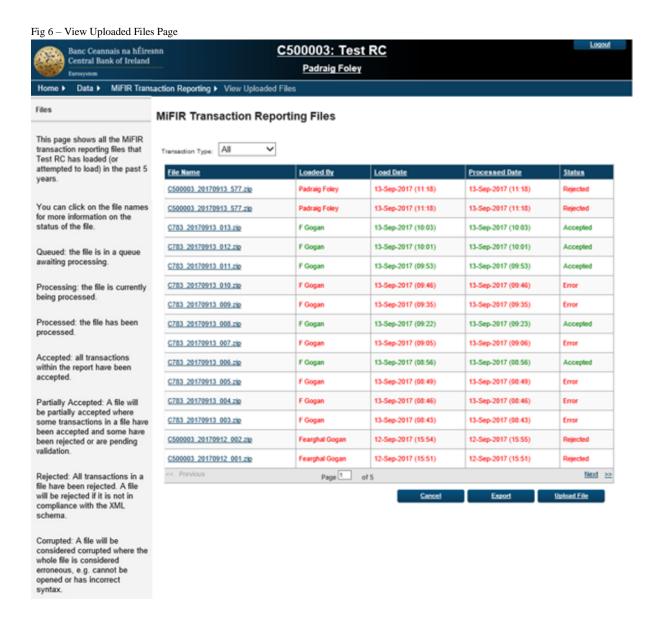Kind Regards,

MiFIR Transaction Reporting Team

Central Bank of Ireland

To access the actual feedback please continue to section 4.0.

4.0   View Uploaded Files and Access Feedback

To view uploaded files and their status and/or retrieve the feedback, select View Uploaded Files on the MiFIR Transaction Reporting page (see Fig 2).

This displays all uploaded files according to a status of Accepted, Rejected, Partially Accepted, or Corrupted (Fig 6).

Fig 6 – View Uploaded Files Page

This page also displays the files that are created by the Central Bank containing all pending transactions and received transactions associated with firms. Pending Transaction file names are displayed in purple and Received Transaction file names are displayed in blue. The Pending Transaction files and Received Transaction files are displayed according to a status of Queued, Processing and Processed (Fig 7)

Fig 7 – View Uploaded Files Page – Received Transactions File and Pending Transactions File

The View Uploaded Files page contains a filter that allows users to select the file type that they wish to see listed in the file upload history table (Fig 8).

Fig 8 – View Uploaded Files Page – File Type Filter

To access details for any uploaded file select the relevant file under **File Name** - you will be brought to the File Upload Status and Feedback page (Fig 9).

To export the table displayed select the **Export** button.
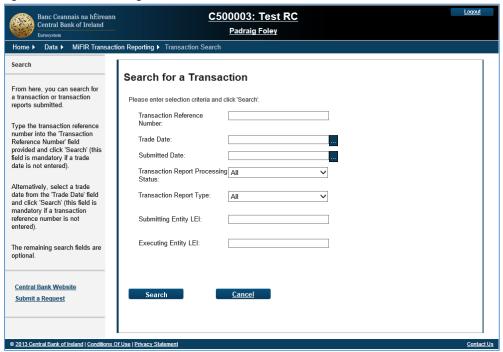
Fig 9 – File Upload Status and Feedback page

To open the file click on file name link. To retrive the feedback select **Download Feedback** - feedback is provided in XML format.
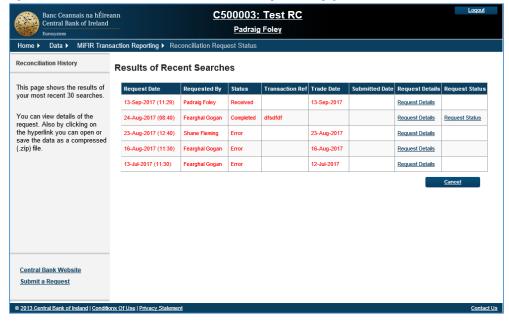
5.0   Transaction Search

It is possible to search for uploaded historic transaction report details. To perform a transaction search select **Transaction Search** on the MiFIR Transaction Reporting page (see Fig 2) which will automatically direct you to the Transaction Search Page.   Searches can be undertaken using predefined parameters (Fig 10).   At least one of the 'Transaction Reference Number', 'Trade Date', or 'Submitted Date' search fields are mandatory. The remaining search fields are optional.

Fig 10 – Transaction Search Page

Enter search criteria and select **Search**. You will automatically be redirected to the Reconciliation Request Status page (Fig 11) where a record of the query and the result (when it becomes available[1]) are displayed. This functionality will enable firms to retrieve submitted date in order to reconcile their records against data submitted to the Central Bank.

Fig 11– Transaction Search Results on the Reconciliation Request Status page

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[1] The length of time this takes will depend on how busy the system is at the time the request is made
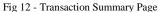
Select **Request Details** to access the user's query criteria, which will display in a styled tabular format[2].
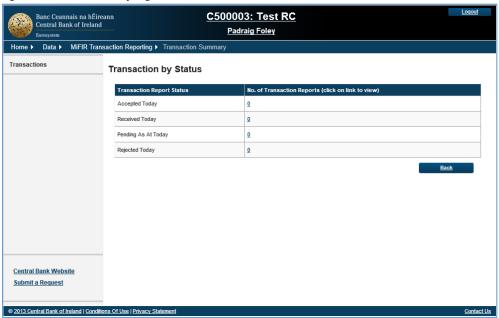
To access the results of the search request select relevant **Request Status** where the results are displayed in XML.

6.0   Transaction Summary

It is possible to view a live point-in-time summary of the status of transaction reports on the current day, i.e., Transaction Summary.   To view the Transaction Summary, select **Transaction Summary** on the MiFIR Transaction Reporting page (see Fig 2).

This will display a Transaction Summary for the current day according to status (Fig 12).

Fig 12 - Transaction Summary Page

The relevant transaction reports can be viewed by clicking on the relevant number link. The user will be navigated to the Reconciliation Request Status page (Fig 11 above) and the result will be available on **Request Status**.

7.0   Statistics Report

A statistics report will be made available for download on a monthly basis. This will include daily statistics on the files and transaction reports uploaded, e.g., number of files and transactions submitted per day, volumes per statuses, etc.

To access the Statistics Report, select **View Statistics Report** on the MiFIR Transaction Reporting page (see Fig 2) and the View Statistics page will display (Fig 13).   Select the

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[2] In order to get tabular format, please make sure to open the xml file in internet explorer.

relevant year and month and **Export Report.** Selecting Export Report will return statistics in a styled tabular format[3].

Fig 13– View Statistics Report Page

8.0   Reconciliation Request Status

The Reconciliation Request Status page, referenced in section 5.0 above, will also display the 30 most recent searches which can be reselected/accessed.

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[3] In order to get tabular format, please make sure to open the xml file in internet explorer.