

**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.

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## 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

The screenshot shows the ONR landing page for 'C500003: Test RC' with user 'Padraig Foley'. The page is divided into three main sections:

- Investment Funds - Ad Hoc Returns:** Contains one table entry:
 

Name	Description	
<a href="#">Regulatory Report - Fund</a>	Regulatory Report submitted by a Fund or Delegate in respect of a material breach / error or other significant matter	<a href="#">?</a>
- Investment Funds - Scheduled Returns:** Contains five table entries:
 

Name	Description	
<a href="#">Financial Derivative Instruments (FDI)</a>	Financial Derivative Instruments	<a href="#">?</a>
<a href="#">IF Annual Audited Financial Statements</a>	All Investment Funds are required to submit the Annual Return within 4 months of their accounting year end.	<a href="#">?</a>
<a href="#">IF Financial Statements - Interim Return</a>	IF Financial Statements - Interim Return	<a href="#">?</a>
<a href="#">IF Sub-Fund Profile</a>	IF Sub-Fund Profile	<a href="#">?</a>
<a href="#">Key Investor Information Document (KID)</a>	Key Investor Information Document (KID)	<a href="#">?</a>
- MiFIR Transaction Reporting:** Contains one table entry:
 

Name	Description	
<a href="#">MiFIR Transaction Reporting</a>	Markets in Financial Instruments Regulation 600/2014	<a href="#">?</a>

On the left side, there is a 'Return Types' sidebar with instructions: 'This page shows the types of data reported by your institution. Click on a return type name to view or enter data or to upload a file.' At the bottom left, there are links for 'Guidance Material' and 'Submit a Request'.

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

Fig 2 – MiFIR Transaction Reporting Page

The screenshot shows the 'MiFIR Transaction Reporting' page for 'C500003: Test RC' with user 'Padraig Foley'. The page has a breadcrumb trail: 'Home > Data > MiFIR Transaction Reporting'. The main content area is titled 'MiFIR Transaction Reporting' and contains several interactive options:

- View Uploaded Files:** View the files that were previously uploaded for this return.
- Load a File:** Load a data file for this return.
- Transaction Search:** Search for Transactions.
- Transaction Summary:** Summary of the status of Transactions.
- View Statistics Report:** Statistics Report on submitted Transactions.
- Reconciliation Request Status:** Status of last 30 Reconciliation Requests.

On the left side, there is a 'Return Type Options' sidebar with instructions: 'This page displays the options for the MiFIR Transaction Reporting returns for Test RC. You can view uploaded files, load a file, search for transaction reports, view a summary of transaction reports by status, view statistics reports, and view the last 30 reconciliation requests.' At the bottom left, there are links for 'Central Bank Website' and 'Submit a Request'.

At the bottom of the page, there is a footer: '© 2013 Central Bank of Ireland | Conditions Of Use | Privacy Statement' and a 'Contact Us' link.

## 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

The screenshot shows a web interface for loading a file. The header includes the Central Bank of Ireland logo and name in Irish and English, the user's name 'Padraig Foley', and a 'Logout' button. The breadcrumb trail is 'Home > Data > MiFIR Transaction Reporting > Load a File'. The main content area is titled 'Load a MiFIR Transaction Reporting File' and contains a text input field with a 'Browse...' button. Below the input field are 'Load File' and 'Cancel' buttons. A sidebar on the left provides instructions: 'On this page, you can load a file containing 'MiFIR Transaction Reporting' data. The file name must be of the form: CCCCCC\_[DDDD\_]YYYYMMDD\_NNN. CCCCCC - the institution code you use to log in to the system. DDDDD - an (optional) department code. YYYYMMDD - must be the reporting date. NNN - 3 digit number between 001 and 999. xxx - the file extension (.zip)'. At the bottom of the sidebar are links for 'Central Bank Website' and 'Submit a Request'. The footer contains copyright information and a 'Contact Us' link.

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: CCCCCC\_DDDDD\_YYYYMMDD\_NNN.zip.

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

Fig 4 – File Upload Status

The screenshot displays the 'File Upload Status' page for user 'Padraig Foley' in the 'C500003: Test RC' environment. The page title is 'MiFIR Transaction Reporting File'. The main content area shows the following details for the uploaded file:

Filename:	<a href="#">C500003_20170913_577.zip</a>
Status:	Received
Return Type:	MiFIR Transaction Reporting
Size:	1475 bytes
Uploaded Date:	13-Sep-2017 (11:18)
Processed Date:	N/A
Valid Records:	0
Invalid Records:	0
Pending Records:	0

Navigation buttons include 'Back', 'Refresh page', and 'Print current page'. The footer contains copyright information for 2013 and links to 'Central Bank Website' and 'Submit a Request'.

### 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

**Files**

This page shows all the MiFIR transaction reporting files that Test RC has loaded (or attempted to load) in the past 5 years.

You can click on the file names for more information on the status of the file.

Queued: the file is in a queue awaiting processing.

Processing: the file is currently being processed.

Processed: the file has been processed.

Accepted: all transactions within the report have been accepted.

Partially Accepted: A file will be partially accepted where some transactions in a file have been accepted and some have been rejected or are pending validation.

Rejected: All transactions in a file have been rejected. A file will be rejected if it is not in compliance with the XML schema.

Corrupted: A file will be considered corrupted where the whole file is considered erroneous, e.g. cannot be opened or has incorrect syntax.

**MiFIR Transaction Reporting Files**

Transaction Type:

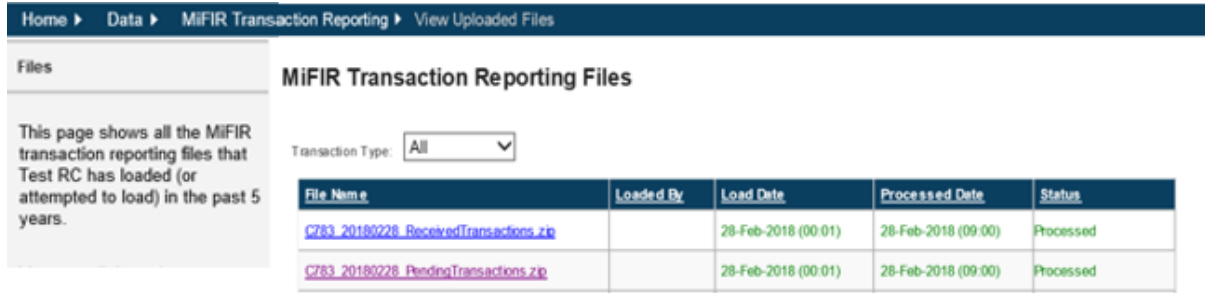
File Name	Loaded By	Load Date	Processed Date	Status
<a href="#">C500003_20170913_577.zip</a>	Padraig Foley	13-Sep-2017 (11:18)	13-Sep-2017 (11:18)	Rejected
<a href="#">C500003_20170913_577.zip</a>	Padraig Foley	13-Sep-2017 (11:18)	13-Sep-2017 (11:18)	Rejected
<a href="#">C783_20170913_013.zip</a>	F Gogan	13-Sep-2017 (10:03)	13-Sep-2017 (10:03)	Accepted
<a href="#">C783_20170913_012.zip</a>	F Gogan	13-Sep-2017 (10:01)	13-Sep-2017 (10:01)	Accepted
<a href="#">C783_20170913_011.zip</a>	F Gogan	13-Sep-2017 (09:53)	13-Sep-2017 (09:53)	Accepted
<a href="#">C783_20170913_010.zip</a>	F Gogan	13-Sep-2017 (09:46)	13-Sep-2017 (09:46)	Error
<a href="#">C783_20170913_009.zip</a>	F Gogan	13-Sep-2017 (09:35)	13-Sep-2017 (09:35)	Error
<a href="#">C783_20170913_008.zip</a>	F Gogan	13-Sep-2017 (09:22)	13-Sep-2017 (09:23)	Accepted
<a href="#">C783_20170913_007.zip</a>	F Gogan	13-Sep-2017 (09:05)	13-Sep-2017 (09:06)	Error
<a href="#">C783_20170913_006.zip</a>	F Gogan	13-Sep-2017 (08:56)	13-Sep-2017 (08:56)	Accepted
<a href="#">C783_20170913_005.zip</a>	F Gogan	13-Sep-2017 (08:49)	13-Sep-2017 (08:49)	Error
<a href="#">C783_20170913_004.zip</a>	F Gogan	13-Sep-2017 (08:46)	13-Sep-2017 (08:46)	Error
<a href="#">C783_20170913_003.zip</a>	F Gogan	13-Sep-2017 (08:43)	13-Sep-2017 (08:43)	Error
<a href="#">C500003_20170912_002.zip</a>	Fearghal Gogan	12-Sep-2017 (15:54)	12-Sep-2017 (15:55)	Rejected
<a href="#">C500003_20170912_001.zip</a>	Fearghal Gogan	12-Sep-2017 (15:51)	12-Sep-2017 (15:51)	Rejected

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Cancel Export Upload File

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).

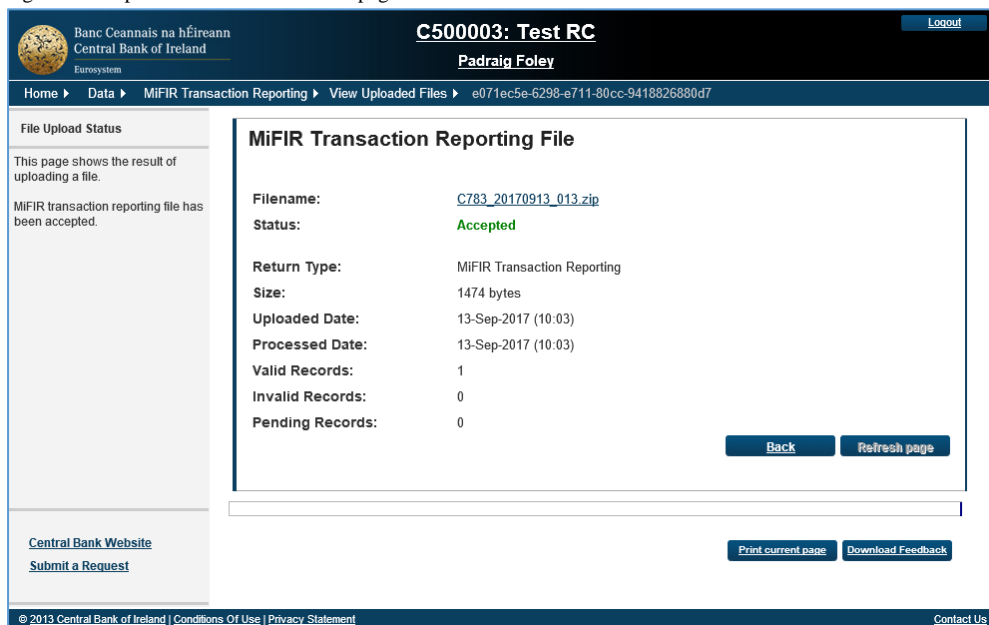
Fig 8 – View Uploaded Files Page – File Type Filter



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 retrieve 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

**Search for a Transaction**

Please enter selection criteria and click 'Search'.

Transaction Reference Number:

Trade Date:

Submitted Date:

Transaction Report Processing Status:

Transaction Report Type:

Submitting Entity LEI:

Executing Entity LEI:

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<sup>1</sup>) 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

**Results of Recent Searches**

Request Date	Requested By	Status	Transaction Ref	Trade Date	Submitted Date	Request Details	Request Status
13-Sep-2017 (11:29)	Padraig Foley	Received		13-Sep-2017		<a href="#">Request Details</a>	
24-Aug-2017 (08:40)	Fearghal Gogan	Completed	dfsdtdf			<a href="#">Request Details</a>	<a href="#">Request Status</a>
23-Aug-2017 (12:40)	Shane Fleming	Error		23-Aug-2017		<a href="#">Request Details</a>	
16-Aug-2017 (11:30)	Fearghal Gogan	Error		16-Aug-2017		<a href="#">Request Details</a>	
13-Jul-2017 (11:30)	Fearghal Gogan	Error		12-Jul-2017		<a href="#">Request Details</a>	

<sup>1</sup> 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<sup>2</sup>.

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

Transaction Report Status	No. of Transaction Reports (click on link to view)
Accepted Today	0
Received Today	0
Pending As At Today	0
Rejected Today	0

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

<sup>2</sup> 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<sup>3</sup>.

Fig 13– View Statistics Report Page

The screenshot shows a web interface for the Central Bank of Ireland. At the top, there is a header with the bank's logo and name in Irish and English, the user ID 'C500003: Test RC', and the user name 'Padraig Foley'. A 'Logout' button is in the top right. Below the header is a breadcrumb trail: 'Home > Data > MiFIR Transaction Reporting > View Statistics Report'. The main content area is titled 'View Statistics' and contains two dropdown menus: 'Select Year:' with '2017' selected, and 'Select Month:' with 'August' selected. To the right of these menus are two buttons: 'Back' and 'Export Report'. On the left side, there is a sidebar with the heading 'Return Type Options' and a paragraph: 'This page displays the options for the MiFIR Transaction Reporting for Test RC. You can view previously loaded files and the client information for this return.' At the bottom of the sidebar are links for 'Central Bank Website' and 'Submit a Request'. The footer contains copyright information: '© 2013 Central Bank of Ireland | Conditions Of Use | Privacy Statement' and a 'Contact Us' link.

## 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.

<sup>3</sup> In order to get tabular format, please make sure to open the xml file in internet explorer.