

Settlement Internaliser Reporting under Article 9(1) of Regulation 909/2014 (‘CSDR’)

Operational and Technical Arrangements Central Bank of Ireland

Data standards and formats for Settlement Internaliser reporting are prescribed in the legislation.

Further information can be obtained on ESMA’s website; this includes guidelines, technical guidance and related XML files as well as XSD <https://www.esma.europa.eu/regulation/post-trading/settlement>

This document sets out the operational and technical arrangements (‘technical arrangements’) for submitting settlement internaliser reports under Article 9(1) of the CSDR (‘settlement internaliser report’) to the Central Bank of Ireland’s (‘Central Bank’) system. It should be read in conjunction with the above referenced ESMA Technical Specifications¹

1.0 **Submission of Settlement Internaliser Reports to the Central Bank**

Reports must be submitted to the Central Bank via the secure Online Reporting website (‘[Online Reporting System](#)’) and can only be submitted by Authorised ONR users² in a Settlement Internaliser. (Such entities are referred to as Submitting Entities for the purposes of these Operational and Technical Arrangements.)

The return option will display on the Online Reporting System (‘ONR’) as ‘CSDR Settlement Internaliser Return’ type option (under ‘Investment Services – Scheduled Returns’). Please contact your ONR Firm Administrator to request access to this return type.

2.0 **File Contents**

The uploaded file must contain ISO 20022 compliant XML that is valid according to the Settlement Internaliser Reporting schema (refer to ESMA link provided above).

The file should contain a Business Application Header (ref section 6.4 of ESMA’s Technical Guidance for Settlement Internalisers – Report Validation Rules CSDR Article 9 – Internalised Settlement Reporting) in order that the firm’s returns are successfully uploaded to ESMA’s systems. With respect to the ‘From’ and ‘To’ elements the ‘ID’ is a mandatory element of type ‘Max35Text’ (based on string).

¹ Technical Guidance for Settlement Internalisers – Report Validation Rules CSDR

² Please refer to the Online Reporting System User Manual

<https://www.centralbank.ie/docs/default-source/Regulation/how-we-regulate/supervision/online-reporting-process/onr-user-manual.pdf?sfvrsn=10>

3.0 **File Naming Convention**

The naming convention to be used when submitting files is **<Sender>_<FileType>_<Recipient>_<Key1>_<Key2>.xml**, as per ESMA's Technical Specifications

where:

- <Sender> – is prefix “NCA” followed by the Country Code of the Submitting Entity (e.g. “NCAIE”).
- <FileType> – is the standard text “DATISR” standing for Data for Internalised Settlements.
- <Recipient> – is the standard text “CSDR9”.
- <Key1> – contains the following elements delimited by “-“:
 - The country code (ISO country code or the special value “TS”) that the report concerns
 - The LEI of the settlement internaliser (for branches of settlement internalisers established outside the EU, branches should submit their reports providing the LEI of the head office (non-EU))
 - The year for which the content of the report relates to
 - The quarter for which the content of the report relates to (e.g. “Q1”, “Q2”, “Q3” or “Q4”).
- <Key2> - is a four digit number stating the version of the report, which is an integer positive number. For its first submission, this number is 0001, and for every update/cancellation, this number is increased by 1 (e.g. 0002, 0003).

Example filename: “NCAIE_DATISR_CSDR9_IE-635400OAUSKT6BT5UZ19-2019-Q1_0001.xml”

Please note that the reporting XML file must be archived into a zip file.

Example filename: “NCAIE_DATISR_CSDR9_IE-635400OAUSKT6BT5UZ19-2019-Q1_0001.zip”

4.0 **Validation**

4.1 The Central Bank's system will verify compliance of the file with the XML schema (syntax of the whole file and specific settlement internaliser report).

- If the file is not compliant, the whole file will be rejected.
- If the file is compliant the Central Bank will submit the file to ESMA's systems.

4.2 The following file statuses will be used by the Central Bank's systems for files uploaded:

Statuses	Definition
Received	The file has been received and will be added to the queue for processing
Queued	The file is in the queue awaiting processing

Processing	The file is currently being processed
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4.3 When processed one of the following statuses will display.

Statues	Definition
Accepted	Internalised Settlement report is accepted.
Rejected	Internalised Settlement report is rejected.

4.3.1 Accepted Files

Where 'accepted' file displays the return must be **both** finalised and signed-off to be submitted to the Central Bank. **Note that these processes cannot be completed by the same person.** The ONR Firm Administrator is required to provide the necessary access to two ONR users. One user is required to upload and finalise and a second user is required to "sign off".

4.3.2 Rejected Files

Where a file is rejected

- The rejected status and associated error codes will display on screen; and
- An email will issue to the authorized person with the error codes.

Error codes will be as specified by the ESMA Technical Specifications.

4.4 Accepted files will be transmitted to ESMA by the Central Bank.

- They will undergo validation checks by ESMA as per the ESMA Technical Specifications.
- A feedback file will issue to the Central Bank from ESMA.
- This feedback file will be issued to the Submitting Entity via email directly³ (and not via ONR); the naming convention of the feedback file will be as specified in the ESMA Technical Specifications.

5.0 Modification /Cancellation of Reports Submitted

To

- correct erroneous data submitted an updated report may be submitted with an 'amend' status; the XML should include the value 'AMND'.
 - The 'accepted' return in the Central Bank system will need to be unlocked by the Central Bank at the request of the Submitting Entity.
- cancel a submitted report' a 'cancel' status should be used; the XML should include the value 'CANC'.
 - As above, the accepted return will firstly need to be unlocked by the Central Bank.

Please refer to section 5 of the ESMA Technical Specifications for further information

³ The submitting entity is required to provide email contact details to the Central Bank in this regard.

Submitting Entities should ensure that such files are submitted in sequence.

6.0 View Uploaded Files

Submitting Entities will be able to view and retrieve historical reports submitted by them via the ONR CSDR Settlement Internaliser UI.

7.0 Other

Please note that these operational and technical arrangements may be updated. Updates will be pre-advised to Submitting Entities.