

**Regulation (EU) 600/ 2014 ('MiFIR') Transaction Reporting  
Error & Omission Notifications under Article 15(2) of Commission Delegated  
Regulation 2017/590 ('CDR 590')**

**Operational and Technical Arrangements  
Central Bank of Ireland**

This document sets out the operational and technical arrangements ('technical arrangements') for submitting Error & Omission Notification forms under Article 15(2) of CDR 590 for MiFIR Transaction Reporting purposes to the Central Bank of Ireland (the 'Central Bank').

**1.0 Submission of Error & Omission Notifications to the Central Bank**

Notifications must be submitted to the Central Bank via the Central Bank Portal ('CBI Portal') and can only be submitted by authorised users<sup>1</sup> within reporting entities. (Such entities are referred to as Submitting Entities for the purposes of these Operational and Technical Arrangements.)

The notification option will display on the CBI Portal as 'MiFIR TR Errors and Omissions Notification' type option (under 'MiFIR Transaction Reporting'). Please contact your Portal Administrator to request access to this return type.

**MiFIR Transaction Reporting**

Name	Description	
<a href="#">MiFIR TR Errors and Omissions Notification</a>	MiFIR Transaction Reporting Errors and Omissions Notification	

**2.0 File Contents**

The uploaded file must be in Excel format and the notification template can be found here: <https://www.centralbank.ie/regulation/industry-market-sectors/investment-firms/mifid-firms/reporting-requirements>

**3.0 File Naming Convention**

The naming convention to be used when submitting files is **CCCCCC\_YYYYMMDD\_ERO(\_XXX\_ZZZ).xlsx** where:

- CCCCCCC – is the institution code Submitting Entities use to log in to the system.
- YYYYMMDD – is the reporting date.
- ERO – is the return code.
- \_XXX\_ZZZ – is an optional File Part Identification to allow multiple file uploads e.g. File 1 of 3 (\_001\_003).
- xlsx – is the file extension (.zip or .xlsx).

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<sup>1</sup> Please refer to the [CBI Portal webpage](#).

#### 4.0 **Submitting an Error & Omission Notification**

As this is an ad hoc 'return' type; a return instance must firstly be added by the firm's authorised user prior to submitting each notification. Submitting Entities should refer to the [CBI Portal Ad Hoc Return Scheduling User Guide](#) (which sets out information on logging in to the CBI Portal and scheduling an ad hoc return).

The 'Reporting Date' must be earlier than the date you are submitting the notification and the 'Submission Due Date' should be a date after the date you are submitting the notification. For example, if filing a notification on 18 February 2024 the Reporting Date will be 17 February 2024 and the Submission Due Date will be 19 February 2024.

Once the return instance is added you can upload the notification by selecting 'Load a File' and following the naming convention as set out in Section 3.0 above.

##### MiFIR TR Errors and Omissions Notification

**View / Signoff Returns**  
Signoff or View data that was previously entered

**View Uploaded Files**  
View the files that were previously uploaded for this return

**Load a File**  
Load a data file for this return

MiFIR TR Errors and Omissions Notification \_load

### Load a MiFIR TR Errors and Omissions Notification File

Select a file and click 'Load File' to load it to the server:  No file chosen

## 5.0 **Validation**

5.1 The notification form itself contains some built-in validations e.g. around dates. If the cover page of the notification form has a Return Status of 'Valid' the notification form can be submitted.

5.2 The following file statuses are used by the Central Bank's systems for files uploaded:

<b>Statuses</b>	<b>Definition</b>
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

5.3 When processed one of the following statuses will display.

<b>Statuses</b>	<b>Definition</b>
Accepted	Error & Omission notification is accepted.
Rejected	Error & Omission notification is rejected.

### 5.3.1 Central Bank Validation

Files will be validated by the Central Bank's system to verify that they are compliant.

- Where a file is accepted an email will issue to the authorized person confirming same.
- Where a file is rejected the 'Rejected' status and associated errors will display on screen in addition to an email issuing to the authorized person with details of the errors to be corrected.

### 5.3.2 Accepted Files

Successful file submission is a two-step process.

- One user is required to upload and "**finalise**" the file; and
- then a second user is required to "**sign off**" thereon.

**Note that these processes cannot be completed by the same person.** (Thus the Portal Administrator is required to provide the necessary accesses to at least two Portal users.)

## 6.0 **Modification / Cancellation of Notification**

### 6.1 **Notification finalised but not signed off**

A notification that is finalised but not signed off cannot be edited (to modify the content) however it can be deleted by the Submitting Entity as follows.

Select 'View/Sign Off Returns' (see screen shot in Section 4.0 above) and click (a) on the file you wish to delete and then (b) on 'X'.

## 6.2 **Notification finalised and signed off ('accepted')**

To correct erroneous data in an 'accepted' notification submission the relevant notification will first need to be unlocked by the Central Bank at the request of the Submitting Entity.

To request an unlock, please follow the steps in question ID 406 (I need to unlock a Return) on the CBI Portal Returns help webpage<sup>2</sup> selecting the 'SMS – MiFIR TR Supervision Team'.

## 7.0 **View Uploaded Files**

Submitting Entities will be able to view and retrieve historical notifications submitted by them via the CBI Portal MiFIR TR Errors and Omissions Notification UI (see screen shot in Section 4.0 above).

## 8.0 **Other**

Please note that these operational and technical arrangements may be updated.

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<sup>2</sup> <https://www.centralbank.ie/regulation/central-bank-portal/help/returns>  
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