



FINANSTILSYNET

THE FINANCIAL SUPERVISORY
AUTHORITY OF NORWAY

Finanstilsynet MIFIR File Naming conventions

Transaction reporting

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Innhold

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Version control

Version	Date	Author	Comments
1.0	04.12.17	Trond A. S. Andersen	First draft

1 File Naming conventions for Submitting Entities

The file naming convention for Submitting Entities is used to fulfil these needs:

- Quickly and unambiguously distinguish between all report files submitted on a national level.
- Filter out report files early in the process that are unreliable, minimizing the need to perform content validation.
- Quickly determine which transaction report file to process next. Reports shall be processed in the sequence order defined by the SE.
- Minimize differences between local flow and hub flow, following the TREM spec naming convention as far as possible.

NB: Since the Submitting Entities shall use the same ISO 20022 message as will be used by NCAs for the purpose of transaction exchange within TREM (see TREM Interface spec, chapter 7.2), information in the business header could be used for determining the order.

1.1 Transaction Report File

The naming convention for Transaction Report Files has been defined as follows:

TR_<SEIC>_<ORI>_<YYYYMMDD>_<RFSEQ>.<TYPE>

Segment	Content
TR	Literal. Stands for "Transaction Report"
<SEIC>	Submitting Entity Identification Code. Legal entity identifier (LEI) as defined in ISO 17442 (20 alphanumeric characters). This is the same identifier that the transaction reports should comprise.
<ORI>	The originating system or department of the file. A two digit number. 00 = The TRSII system. Used for manual reporting via web form when the (TRSII) system creates the transaction report file. 01...99 = Department or system at the SE. Used for uploaded files or files sent from a SERS (automated). The number uniquely specify either the department that created the file manually, or the system that created and sent the file. <i>Rationale: One SE could have several systems and departments submitting reports. This allows the SE to keep the sequence number unique across systems and departments. This also makes investigations of reporting problems more efficient.</i>
<YYYYMMDD>	Date the file was created by the Submitting Entity. 8 digits in ISO 8601 format. Must be an existing date Must the same or an earlier date than the submission date.
<RFSEQ>	Report file sequence number. A 4 digit sequence number [0000-9999]. The system processes report files in batches, internally fetched from the FTP area at certain intervals. Report files available at each interval constitutes one batch of files. Batches are processed in the order they are fetched from the FTP area. The report files in each batch are processed in sequence number order. Gaps in the sequence order within each batch are allowed and ignored. I.e., if report files 0004, 0005, 0008, 0009 are received and 0005 has been processed, the next report with a greater sequence number is processed: 0008. It is possible, and allowed, that a report file in a batch has a lower sequence number than report files in previous batch.

Segment	Content
	<p>If a report file is rejected, processing continues with the next in sequence without interruption. This may cause subsequent errors with cancellations, which is an acceptable situation. <i>Rationale: It is more important to processing incoming reports than handling, for example, cancellations perfectly.</i></p> <p>It is up to the SE to send the report files in the correct order and ensure that the correct transaction report version has been received by the FSA.</p> <p>Each day, numbering is allowed to restart at 0000, but that is not required.</p> <p><i>Note on gaps: PreviousSequenceNumber has been considered but rejected. It is used for TREM since TREM is a middle-layer in between CAs. It is used to handle situation when TREM loses files, not when the sender (CA) misses something. In the local flow there is more a direct connection between the submitter (SE) and receiver (CA). Adding this restriction does not give a clear benefit. It adds functional complexity. The SE will know if the file was uploaded correctly and has the possibility to amend this to avoid non-deliberate gaps.</i></p>
<TYPE>	<p>File type. 3 to 5 characters.</p> <p>The file types that are accepted, is configurable. <i>Rationale: Countries allow different encryption methods and this should be possible to be reflected in the type.</i></p> <p>The configuration is system-wide, i.e, applies to all SE in the country.</p>

1.2 Feedback File

Based on chapter 3 in TREM Interface - Functional Specification (ESMA/2015/ITMG/69), the naming convention for Feedback Files is as follows:

For first feedback on report files (sent only once per received report file).

FF_<Base name of received file>_<FFSEQ>.<TYPE> (e.g., *FF_TR_SEIC_ORI_YYYYMMDD_SEQ_FFSEQ.TYPE*)

Segment	Content
FF	Literal. Stands for "Feedback on file".
<Base name of received file>	The exact name, excluding any extension, of the received file
<FFSEQ>	<p>Feedback file sequence number. A 2 digit number [01-99].</p> <p>Typically, only one feedback file will be sent for each report file. Additional sequence numbers are used, for example, when a feedback file must be sent for an identical report file.</p> <p><i>Rationale for two digits: harmonised with daily feedback file.</i></p>
<TYPE>	File type. 3 to 5 characters. <i>Rationale: Countries allow different compression methods and this should be possible to be reflected in the type.</i>

For feedback on transaction reports that have not previously been Accepted or Rejected (sent up to once a day per SE+ORI)

FD_TR_<SEIC>_<ORI>_<YYYYMMDD>_<FDSEQ>.<TYPE>

File Naming conventions

Segment	Content
FD	Literal. Stands for "Feedback, daily".
TR	Literal. Stands for "Transaction report".
<SEIC>	Submitting Entity Identification Code. Legal entity identifier (LEI) as defined in ISO 17442 (20 alphanumerical characters). This is the same identifier that the transaction reports should comprise.
<ORI>	The originating system or department of the reports in the file on which feedback is given. A two digit number. 00 = The TRSII system. Used for manual reporting via web form when the (TRSII) system creates the transaction report file. 01...99 = Department or system at the SE. Used for uploaded files or files sent from a SERS (automated). The number uniquely specify either the department that created the file manually, or the system that created and sent the file. <i>Rationale: One SE could have several systems and departments submitting reports. This allows the SE to keep the sequence number unique across systems and departments. This also makes investigations of reporting problems more efficient.</i>
<YYYYMMDD>	Date the file was created by the TRSII system. 8 digits in ISO 8601 format.
<FDSEQ>	Feedback file sequence number. A 2 digit number [01-99]. Typically, only one feedback file will be sent per day for each SEIC+ORI. Additional sequence numbers are used when the daily feedback file needs to be split or when reference data is delivered late (in which case a second daily feedback might be sent). <i>Rationale for two digits: Scalability.</i>
<TYPE>	File type. 3 to 5 characters. <i>Rationale: Countries allow different compression methods and this should be possible to be reflected in the type.</i>

