TRANSACTION REPORTING, TRS2

Technical specifications

CONTENTS

Summary

This document contains the technical specifications needed for Submitting Entities to connect to and report in the transactions reporting system (TRS 2) used by Finansinspektionen for the MiFIR/MiFIDII transaction reporting.

Technical specifications of this kind are issued on a national level by individual Competent Authorities rather than by ESMA.

The details of these specifications may change over time and this document will always contain the latest version of the specifications.

File naming convention

In order for submitted files to be successfully processed by the TRS 2 system the naming conventions below need to be followed:

TRANSACTION FILE

TR_SEIC_ORI_YYYYMMDD_RFSEQ.TYPE

Segment	Table of Contents
TR	Abbreviation for "Transaction Report".
SEIC	Abbreviation for "Submitting Entity Identification Code". LEI (Legal Entity Identifier) pursuant to ISO 17442.
ORI	Originating system or department. The system or department from which the file came. 2-digit number. 00 = TRS2. Reserved for use of the TRS2 system. 01 – 99 = System or department of submitting entities. Not a requirement to differentiate between systems or departments. The same ORI can be used for all files submitted.
YYYYMMDD	The date the file was created by submitting entities.
RFSEQ	Abbreviation for "Report File Sequence Number". 4-digit sequence number [0000-9999]. Re-starts every day.
TYPE	File type.

FEEDBACK FILES

Individual transaction file: **FF_<Transaction file name>_FFSEQ.TYPE**

Segment	Table of Contents
FF	Abbreviation for "Feedback File".
<Transaction file name>	The same name as the submitted transaction file.
FFSEQ	Abbreviation for "Feedback File Sequence Number". 2-digit number. The sequence number of the feedback file. Can be used e.g. if more than one feedback file must be sent for the same transaction file.
TYPE	File type.

Daily feedback file: **FD_TR_SEIC_ORI_YYYYMMDD_SEQ.TYPE**

Segment	Table of Contents
FD	Abbreviation for "Feedback, daily".

File validation controls and error codes

In addition to the validations imposed on the local flow by the TREM Interface specification, the validations below will be made on files submitted by Submitting Entities.
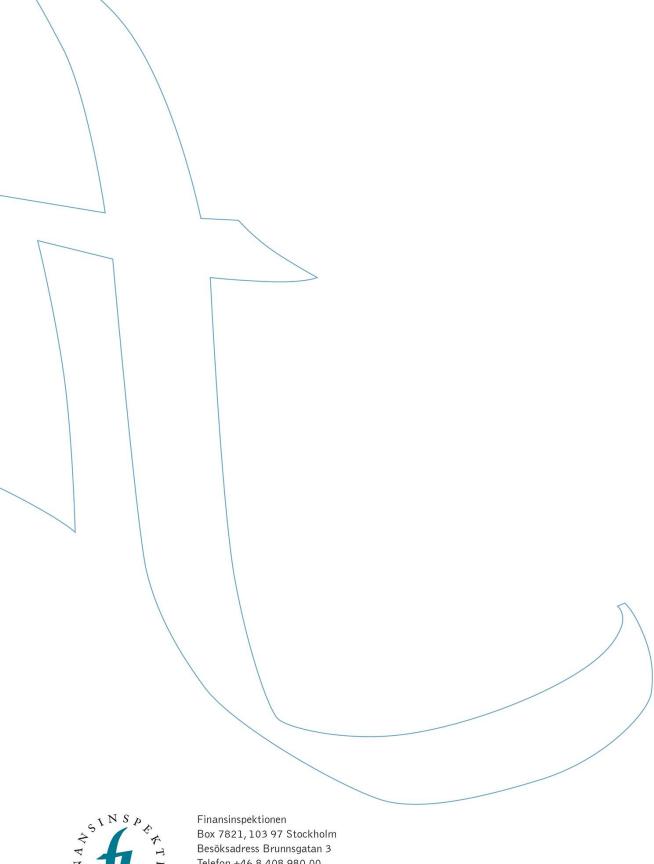
The error code follows the format imposed by the TREM interface specification, where **AA** is the country code of the Competent Authority.

Control	Error code	Error message	Explanation and corrective action
File name syntax[1]	**AA**X-001	The file name has an illegal syntax.	Correct the filename so that it complies with the file name convention.
Invalid date	**AA**X-002	The date does not exist or is in the future.	Correct the date.
Duplicate	**AA**X-003	The file has already been submitted.	The duplicate file is ignored. If the file comprises new transaction reports, include them in a report file with a different sequence number.
File extension	**AA**X-004	The file has an illegal extension.	Correct the filename so that it complies with the file name convention.
File size	**AA**X-005*	The file is larger than the allowed **[x]** MB.	Split the report file into two or more report files.
Signature	**AA**X-006*	The signature is not recognized as a valid signature.	Check and correct the signature of the file. The signing key might be outdated or unknown to us. Also make sure the correct signature algorithm has been used.
Signer	**AA**X-007*	The file has an unknown signer.	The signer is unknown to us. Check and correct the signature of the file.
Decryption	**AA**X-008*	The file can't be decrypted.	Ensure that the file is properly encrypted. Check the encryption keys you are using or your encryption program. The encryption key might be outdated or unknown to us. Also make sure the correct hashing algorithm has been used.
Decompression	**AA**X-009	The file can't be decompressed.	Check that the compression complies with the allowed compression method.
Signing	**AA**X-010*	The file is not properly signed.	Ensure that the file is properly signed. Check the keys you are using. The key might be outdated or unknown to us.
SEIC	**AA**X-011	The SEIC is invalid.	Correct the SEIC in the file so that it is a valid legal entity identifier as defined in ISO 17442.

Recipient country	**AA**X-013	The recipient country, specified in the header, is incorrect.	Ensure that the recipient is the country code of the country of the CA to which the file is submitted. Change the recipient country <Id> to SE and <Prtry> to Authority code in the header of the file and re-submit the file.
Report file name	**AA**X-014	The report file has a different name than the archive file.	Correct the name of the compressed report file so that it matches the name of the archive file.
One report file per archive	**AA**X-015	The archive file does not contain only one report file.	Correct the contents of the archive file so that it contains only one report file.
Authorization	**AA**X-016	The Submitting Entity is not authorized to report on behalf of the Executing Entity.	Ensure that it has been registered by the Executing Entity or the FSA that the Submitting Entity is authorized to report on behalf of the Executing Entity.
SEIC LEI	**AA**X-017	The SEIC is incorrect.	Correct the SEIC so that it is the LEI of the Submitting Entity.
Submitting entity in the header	**AA**X-018	The Submitting entity, specified in the header, is incorrect.	Ensure that the Submitting Entity in the header is the LEI of the Submitting Entity that submitted the file.
Submitting entity ID	**AA**X-019	The Submitting Entity, specified in the report, is not the one that submitted the file.	Ensure that the Submitting Entity Identification code in the report is the LEI of the Submitting Entity that submitted the file.

[1] The syntax control comprises only checking the number of characters, separators, and numeric format, not if the actual content is valid.

* Not yet implemented