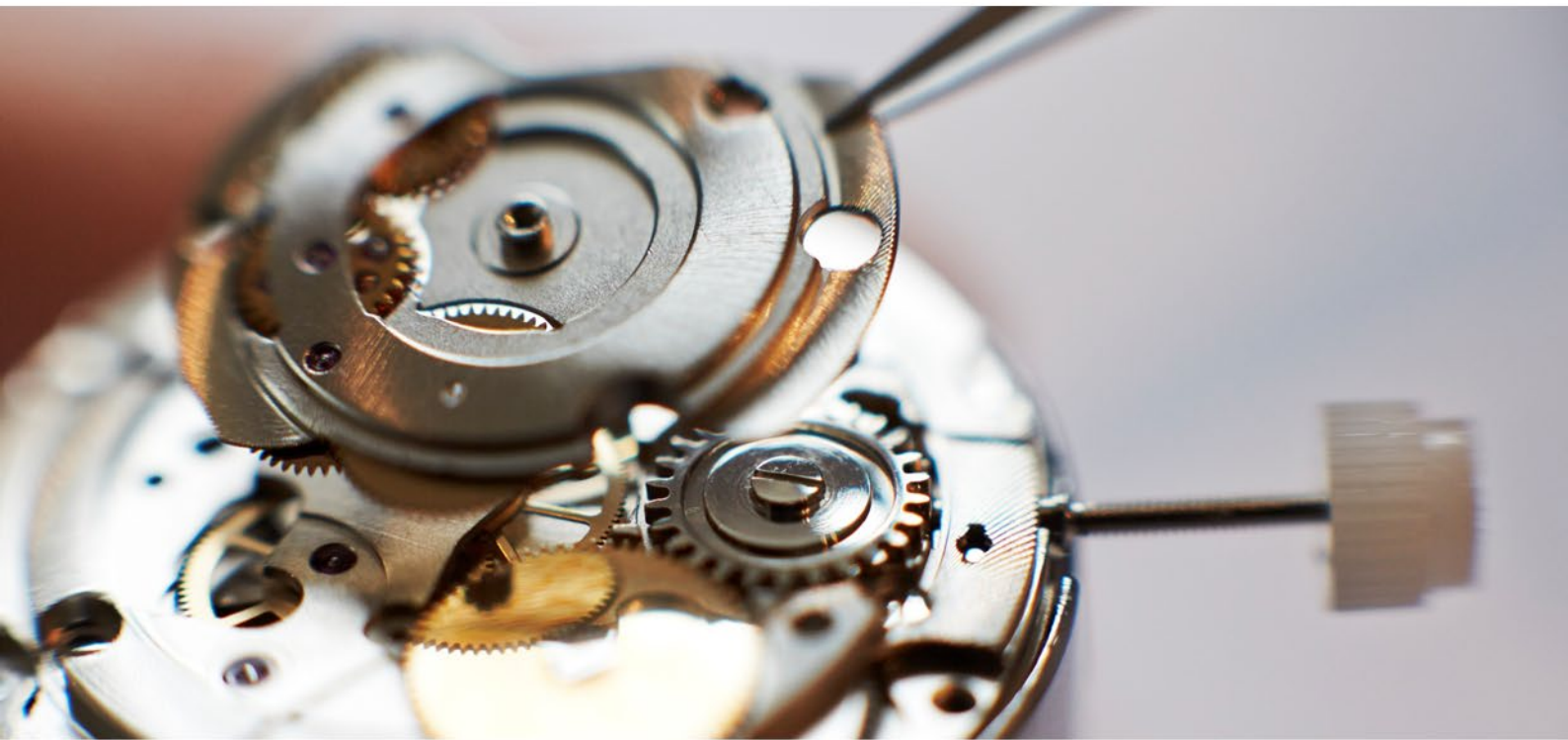




SIX Trade Repository AG

Reporting System – User Guide

November 2022





SIX Trade Repository AG

Reporting System – User Guide

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1. General information

The content of this documentation is without prejudice and is not legally binding. It is made on a best effort basis mirroring the current state of knowledge. The documentation may change and is subject to regulatory compliance under the Swiss Financial Market Infrastructure Act (FinfraG) and the corresponding ordinance (FinfraV).

1.1 Purpose and scope of the manual

The Reporting System is the client-facing part of the system. It accepts data from clients, validates it, and passes it on to the Trade Repository database. It also allows to administrate users and generate data extracts. This manual explains every process step that needs to be performed while using the SIX Reporting System.

Please note: Prior to the use of the Reporting System, the client needs to be granted access during the client onboarding process. The client must define one or multiple initial administrators in the Reporting User Application Form which will be setup by SIX during the client onboarding process. The client's user administrators are responsible to maintain existing and additional users.

1.2 References

- [Certificate Installation Quick Guide](#)

2. General information and navigation

The client's environment is created within the Reporting System's UAT environment according to the client's individual configuration requirements as provided to SIX during the onboarding process. The onboarding process ends with the migration of the client's organizational setup from the UAT environment to the production environment.

2.1 Using with Internet Explorer

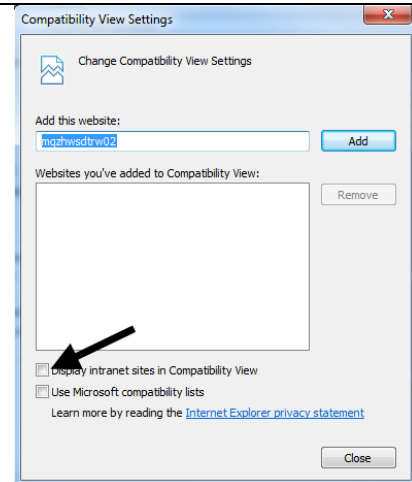
When using the Reporting System in Windows Internet Explorer, please make sure the following settings are done:



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1. Start the internet explorer and go to **Tools – Compatibility View Settings**.
2. Make sure that **Display internet sites in Compatibility View** is unchecked.



2.2

User login

1. After startup of the system and successful installation of the browser certificate (please refer to the [Certificate Installation Quick Guide](#) for further details), the following screen appears. Login with your email address and personal password.

Please login

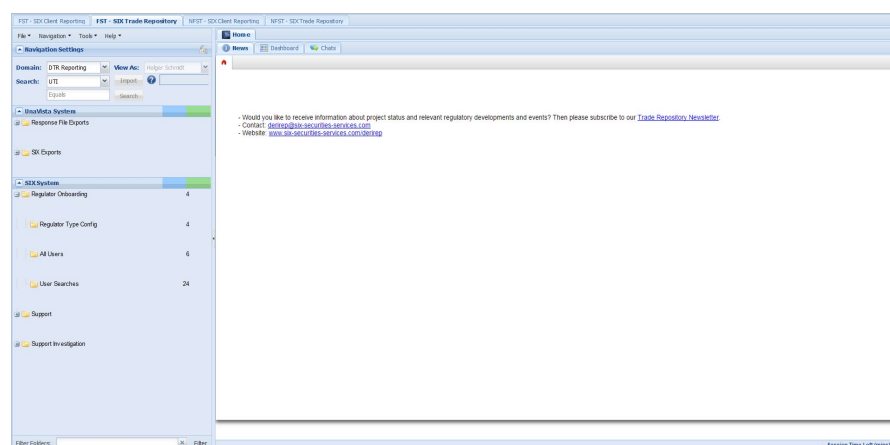
Email:

Password:

If you have forgotten your password please click [here](#) to reset it

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Terms and Conditions

2. The homescreen appears after successful authentication of the user data.

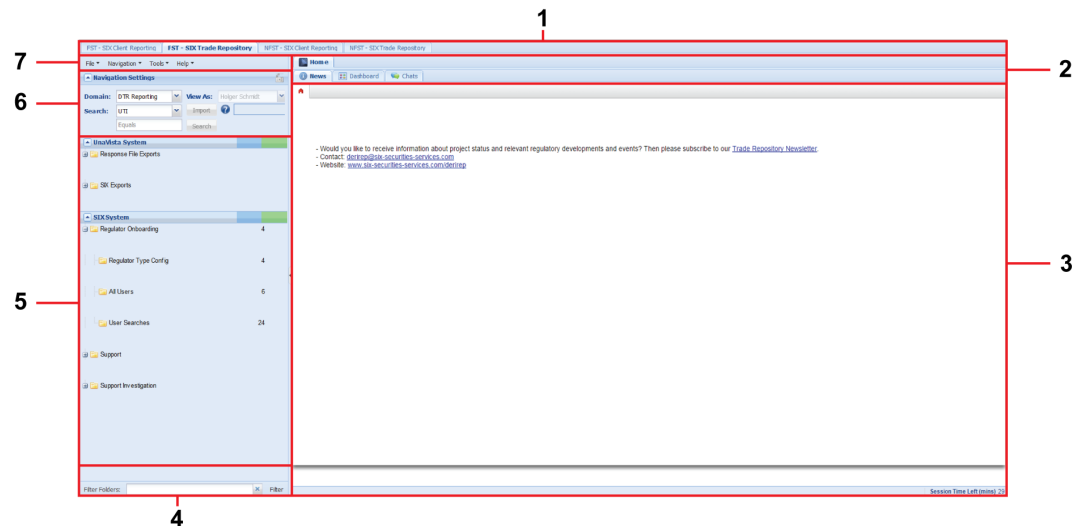




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2.3 The homescreen



- 1 Repository overview**
Shows the available GUIs for the logged in user. Currently, only the UAT environment of the Reporting System is available.
- 2 Display view selection**
Shows the standard tabs (e.g. Exceptions, News, Dashboard etc.) and all tabs opened by the user (e.g. user properties). To close a tab, click the x button on the top right corner of the tab.
- 3 Display window**
Displays the content of the selected tab (2) or folder in the navigation settings (6).
- 4 Folder filter settings**
Filtering the folders listed in the trade reporting overview (5).
- 5 Trade reporting overview**
Lists all reported transactions divided in specific folders.
- 6 Navigation settings**
Selecting the client's organizational domain, search possibilities and import trade reports.
- 7 Main menu bar**
General menu settings.

2.3.1 Repository overview

Shows all available repositories for the user logged in. Each repository is fixed on a separate index tab. For switching to another repository GUI you have to log in separately (username and password).

2.3.2 Display view selection

Generally there are the following standard-tabs available after startup.

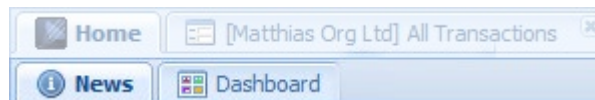


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- Home
- News
- Dashboard

When the user opens a menu (e.g. user properties), this menu will be set as a new tab. The content of all tabs will be shown in the **Display Window**. You will find a description of the relevant tabs in the corresponding sections of this manual.



Home:	Homescreen
News:	This tab displays our email support contact and a link to subscribe to our Newsletter
Dashboard:	Function not available

2.3.3 Display window

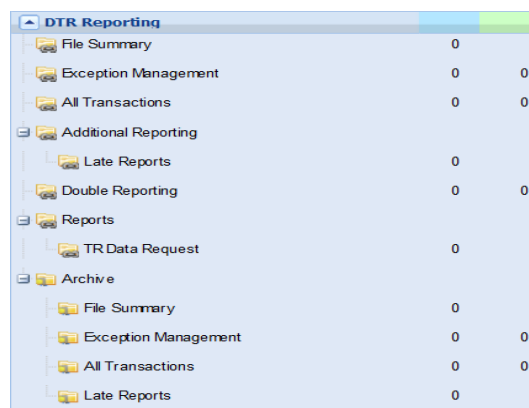
This pane displays the currently selected content in the **Trade reporting overview** pan. There are different index tabs available which are dependent on the currently selected content (e.g. news, dashboard etc.). You can set filters but also personalize the different table views.

2.3.4 Folder filter-settings

Filter the currently shown folder tree or search for a specific folder. The search criteria can be a full name or word but also a fragment.

- Click the **Filter** button to set the filter.
- Click the **X** button to reset the filter.

2.3.5 Trade reporting overview



Folder	Blue Column	Green Column
File Summary	0	
Exception Management	0	0
All Transactions	0	0
Additional Reporting		
Late Reports	0	
Double Reporting	0	0
Reports		
TR Data Request	0	
Archive		
File Summary	0	
Exception Management	0	0
All Transactions	0	0
Late Reports	0	

Depending on the navigation settings (Domain, View As, Search), the corresponding folder structure will be shown.

- For each folder, the blue and green column shows a specific value. You will get detailed information in the related tooltip.

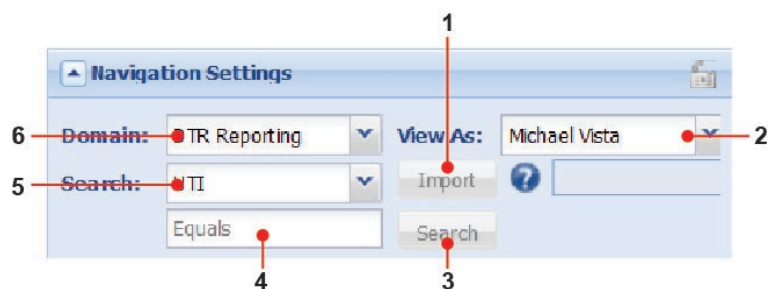


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MBT – SIX Client Reporting	
File Summary	Displays files containing trade reports that were loaded in the system.
Exception Management	Contains exceptions encountered during validation. The first (blue) column contains data validation errors found on uploading to the Trade Repository Reporting System and the second (green) column contains errors encountered when loading the data to the trade repository.
All Transactions	Contains all recent transactions in the Trade Repository Reporting System and Trade Repository databases.
Additional Reporting	Contains additional reporting analysis.
Late Reports	Contains all trades which have been uploaded too late (based on the regulatory reporting deadline of T+1 and the client's reported execution time of the trade).
Double Reporting	Contains all trades which have been uploaded twice by different participants with the same Unique Identifier to the SIX Trade Repository.
Reports	Contains all bespoke reports that have been integrated into the system including Trade Repository Data Request which allows users to request data from the Trade Repository and Source Load Summary that shows load volumes by source by month.
Trade Repository Data Request	Request extracts of data submitted to the SIX Trade Repository.
Archive	Contains all archived data. Data is automatically added to the Reporting System's archive 3 days after processing and will currently remain in the Reporting System for a minimum time of 1 year.

2.3.6 Navigation settings



- 1 Import**
Import a trade reporting file from a local drive. Note that the trade reporting file must fit the given naming conventions which have been defined with SIX during the onboarding process.
- 2 View As**
Select the user view. The view will only show the available content for the selected user.
- 3 Search (Button)**
Start searching for specific content which can be defined in the Search Input field. The result will be shown in the right pane (Display window).
- 4 Search Input**
Enter a specific word or number for your search.



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5 Search (Dropdown)

Select a specific value (e.g. Reporting firm ID, Reporting firm name, UTI) for your search to restrict the search result.

6 Domain

Select the correct domain (only for master user/administrator if more than 1 domain is available).

2.3.7

Main menu bar

File ▾ Navigation ▾ Tools ▾ Help ▾

File	- Create Folder	<i>No function</i>
	- Create Archive Folder	<i>No function</i>
	- Log Out	Log out the currently logged in user.
Navigation	- Expand All	Expand all subfolders in the current folder structure.
	- Collapse All	Collapse all subfolders in the current folder structure.
Tools	- User Properties	Open the pane for user administration.
	- Setup Dashboard	<i>No function</i>
	- Data Queries	<i>No function</i>
	- Advanced	<i>No function</i>
	- Terms and Conditions	Opens the information window for the cookies policy.
	- Notifications	Opens a window which shows all currently valid notifications.
	- API Documentation	<i>No function</i>
	- About	Opens a window which shows release- and contact details of the software.

3. Account- and user administration

3.1 User levels and permissions

When setting up a new user, it must be defined which role this user shall have and which sources the user shall have access to. Generally there are 3 user-levels available (Administrator, Operator, Read Only). The number of sources depends on your organizational data access needs and will be defined during the setup of your organization. You can find a detailed explanation to the user levels in the following sections.



Generally any kind of user administration, role allocation and profile settings can only be done by a user with administrator rights.

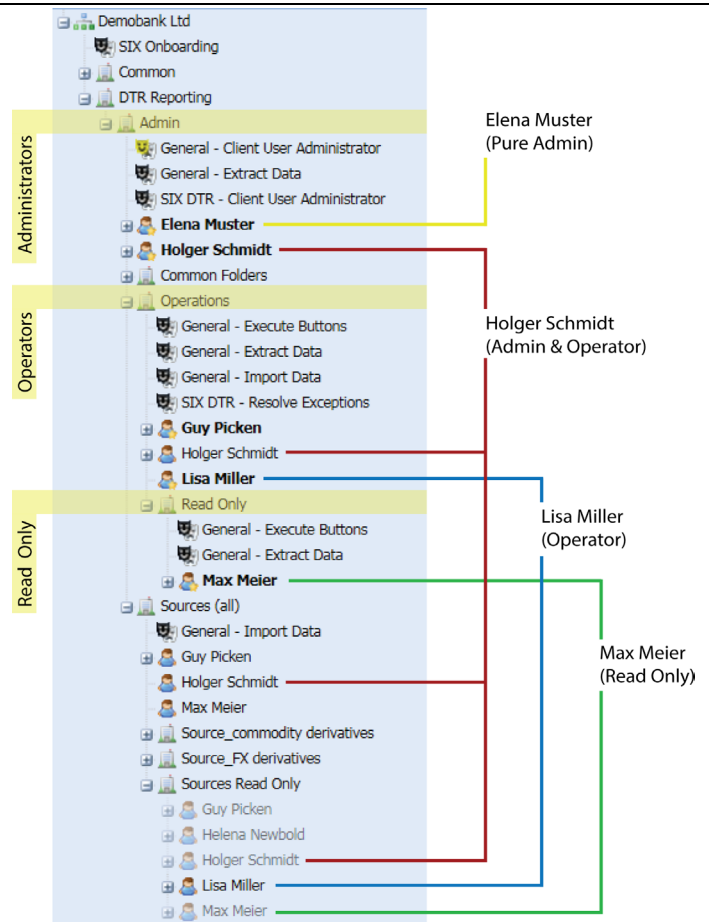


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In this graphic you can find an example of a user setup. The following users are used for explanation (see next pages for details):

- **Elena Muster**
(Pure Admin)
- **Holger Schmidt**
(Admin & Operator)
- **Lisa Miller**
(Operator)
- **Max Meier**
(Read Only)



3.1.1 Symbols in the organization structure

In the organization structure you will find the following symbols for:

Organization:		User:	
Department:		Functional role:	
Administrative role:			



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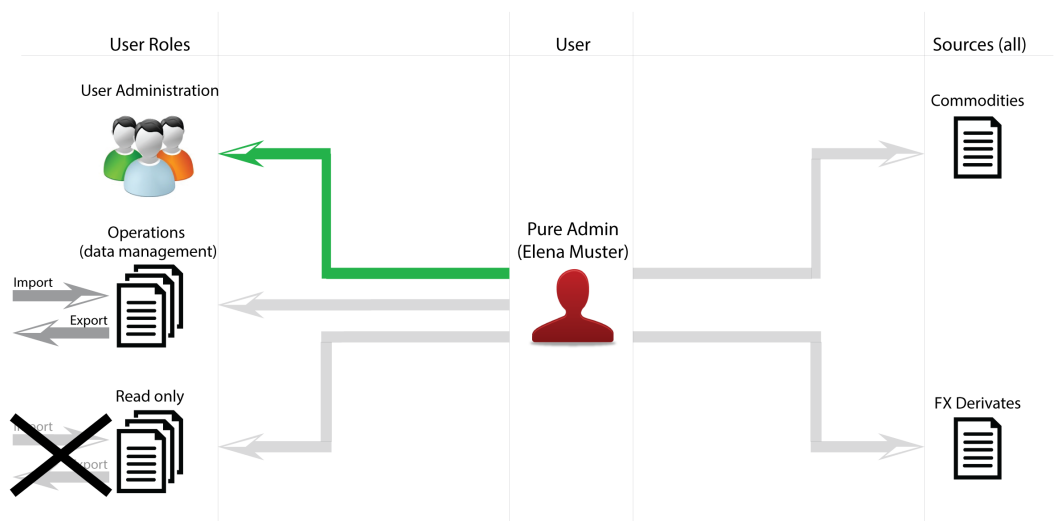
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3.1.2 Administrator

In an organization there must be at minimum one administrator who has general permissions to setup and administrate user accounts and user roles. An admin does not necessarily require other privileges (operational functions) and access to any data sources but can be setup to only administer other users (“pure admin”).



Please note that an admin can allocate himself any role and access to any sources inside its own organization.



Pure Admin:

- Setup and handle user accounts
- Allocate and remove user roles
- Edit account and user properties

Department Allocation:

- Admin department

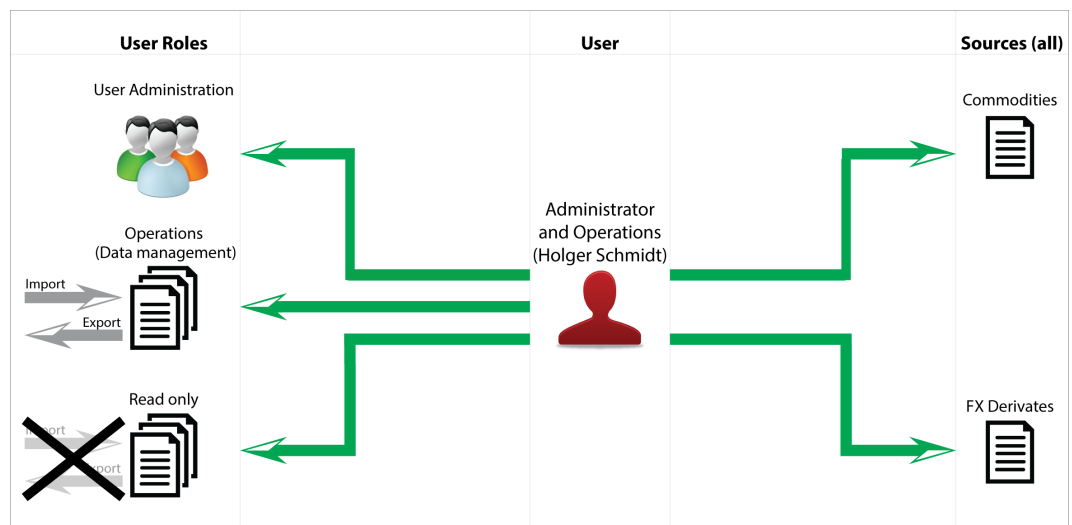


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3.1.3 Operator with administration-role

An Operator generally can also have an administration role. This could make sense in a smaller organization when a pure admin is not required. An operator with administrator rights has generally access to all sources and automatically read-only access.



Admin & user (operations):

- Setup and handle user accounts
- Allocate and remove user roles
- General access to all sources (reporting-files)
- Edit account and user properties
- Handle files with the allocated roles (e.g. upload data, extract data, edit data)
- Edit own user properties
- Full read-only access

Department Allocation:

- Admin department
- Operations department
- Sources department

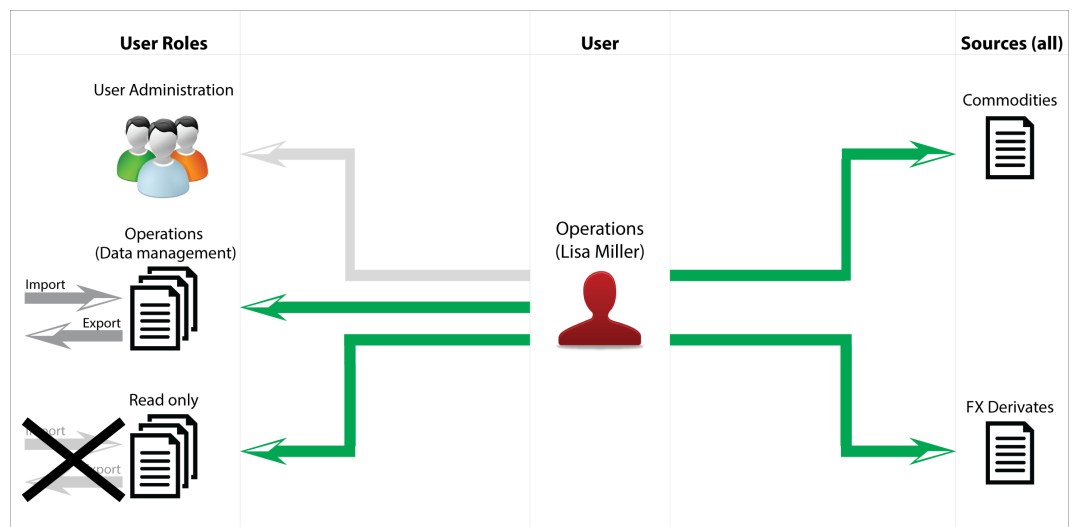


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3.1.4 Operator

Operators have general roles which are allocated to this user group but also personalized roles which are specifically allocated in the user profile. An operator can be specifically restricted to data and roles in the system by an administrator.



User (Operations):	<ul style="list-style-type: none"> - Handle files with the allocated roles (e.g. upload data, extract data, edit data) - Access to certain sources which are defined in the user setup (can only be changed by an administrator) - Edit own user properties - Read-only access to sources which are defined in the user setup
Department Allocation:	<ul style="list-style-type: none"> - Operations department - Sources department

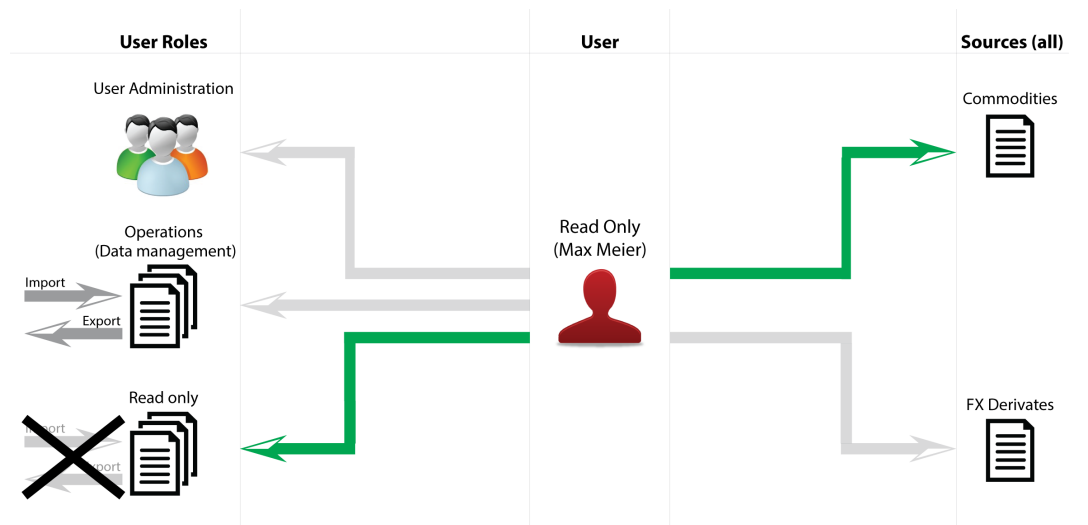


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3.1.5 Operator (Read Only)

Users which only shall view specific data, can be set as **Read Only**. Those users have no possibility to upload, export or edit any data in the system. Read Only users can be restricted to view only specific data in the repository (e.g. only commodities).



User (Read only):	- View data (read only) of specifically defined sources
Department	- Read Only department into Operations department
Allocation:	- Sources Read Only department into Sources department



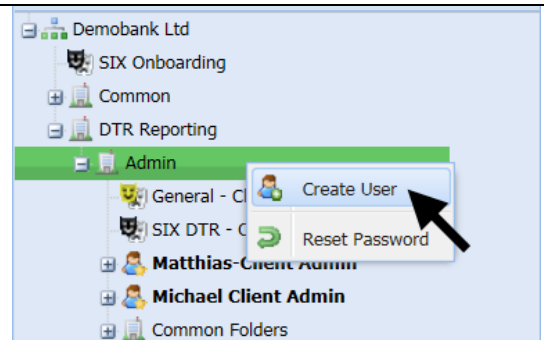
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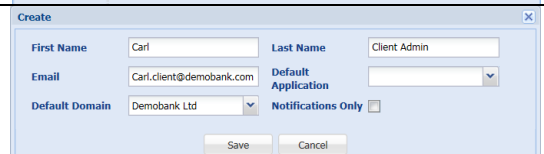
3.2 Create an administrator account

Before creating a new user account you have to make sure, which department the new user shall belong to. This department will be set as the user's **Primary Department** and is decisive for the permissions to all sub-departments in the given hierarchy.

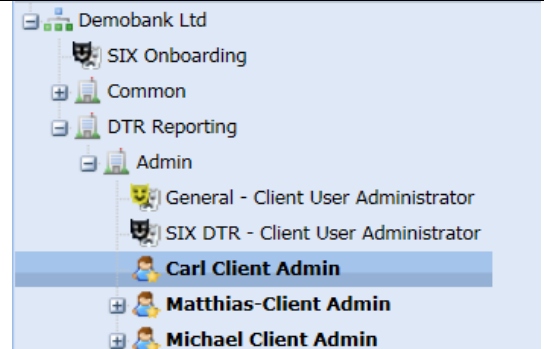
1. Right-click on the administration-department in which you want to create the new user account and select **Create User**.



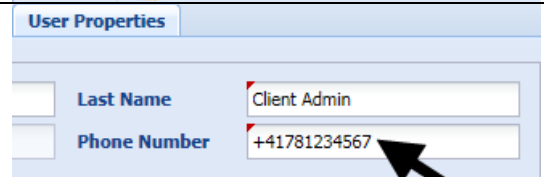
2. Enter all required fields and click **save**.



3. Check if the new user has been created correctly.
You can find the created user directly in the correct department. The created user automatically receives the specific roles allocated to the respective department.



4. Go to **User Properties** and enter the user's mobile phone number in the correct format. ¹⁾
Note:
After successful registration a TAN code will be sent to this number (SMS) which is needed for the certificate-download as described in the [Certificate Installation Quick Guide](#).



¹⁾ Mobile number format must be only digits starting with +, for example: +12345678901

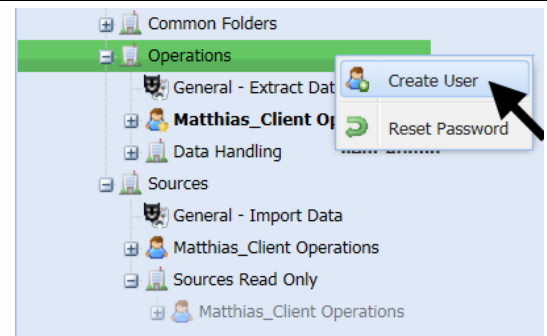


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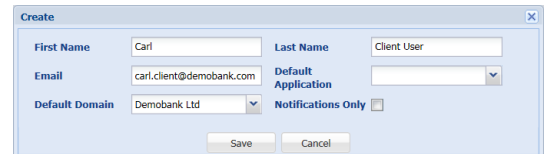
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3.3 Create an operator account

1. Right-click on the administration-department in which you want to create the new user account and select **Create User**.

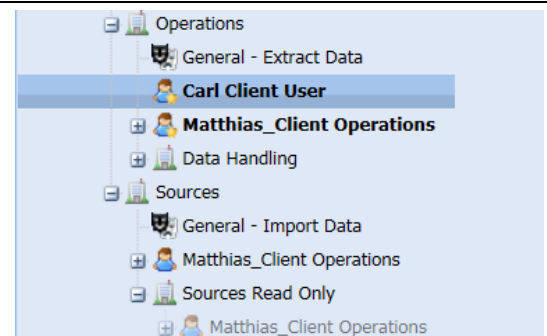


2. Enter all required fields and click **save**.



3. Check if the new user has been created correctly.

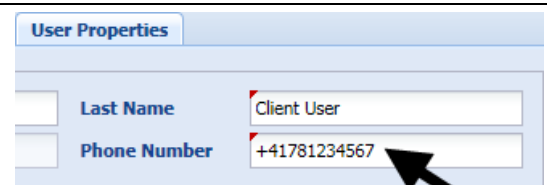
You can find the created user directly in the correct department. The created user automatically receives the specific roles allocated to the respective department.



4. Go to **User Properties** and enter the user's mobile phone number in the correct format. ¹⁾

Note:

After successful registration a TAN code will be sent to this number (SMS) which is needed for the certificate-download.



¹⁾ Mobile number format must be only digits starting with +, for example:+12345678901



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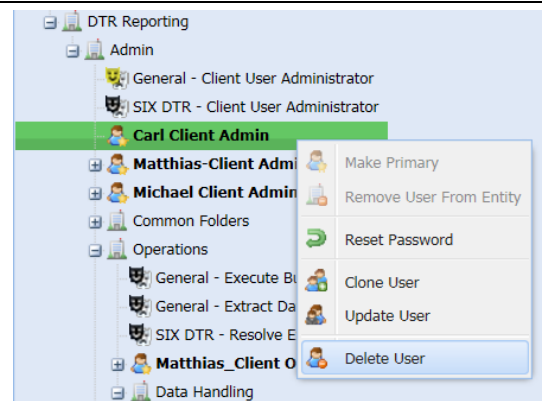
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3.4 Delete a user account

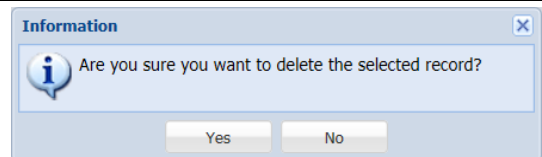


Within a deletion of a user account all user details will be deleted.

1. Right-click on the user which you want to delete and select **Delete User**.



2. In the appearing window click **Yes** to confirm the deletion.
3. Check if the new user has been deleted.



With a deletion, the concerned user will be removed automatically from all assigned departments.

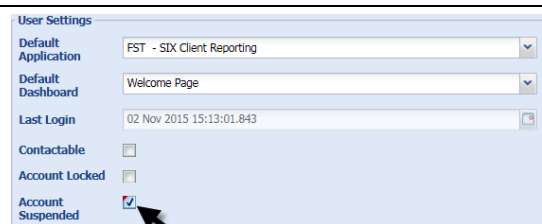
3.5 Suspend a user

For various reasons it could be necessary to suspend a user. A suspended user can be re-suspended anytime. A suspension has the advantage, that you do not have to delete the user account and set it up later again.

4. Select the user in the list and go to **User Properties**.

5. In the **User Settings** area, activate **Account Suspended** and click **Save**.

The user is now suspended and cannot log in anymore.





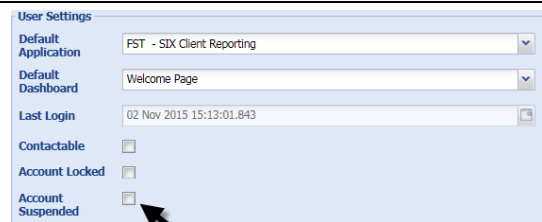
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- To re-suspend a user, select the user in the list and go to **User Properties**.

- In the **User Settings** area, deactivate **Account Suspended** and click **Save**.

The user is now re-suspended.



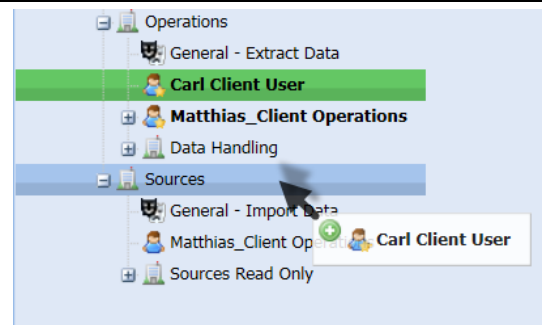
3.6

Allocate and remove a user to a department

Generally a user can be allocated to any department within his organization. As soon as the user is allocated to a department, he can be found in the structure.

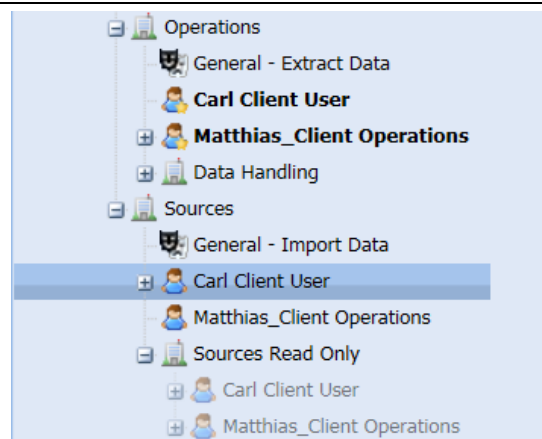
- To allocate a user to a department, click on the user and drag & drop it to the correct department.

In the shown example, the user **Carl Client User** will be allocated to the department **Sources**.



- You can find the allocated user directly in the department.

The user automatically has the department specific roles allocated (in the example shown **General - Import Data**).



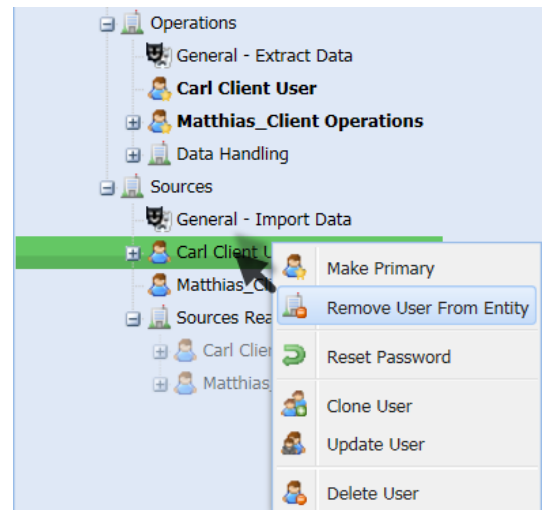


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- To remove a user from a department, right-click on the user and select **Remove User From Entity**.

The user will be removed from the department. All department-specific roles will be removed, too.

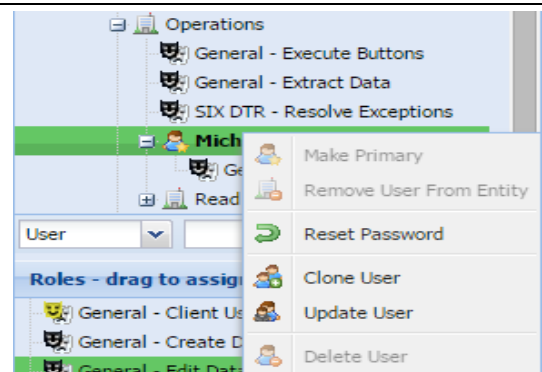


3.7 Reset user password

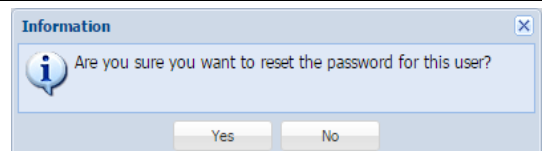
If a user has forgotten his password, it can be reset by the master user in the user properties but also from the user himself on the login-screen. However, the user will receive an automatic email directly after the reset containing a generated password. The user can now log in with these generated password and must set a personal password directly after.

3.7.1 Reset by administrator

- Right-click on the corresponding user and click **Reset Password**.



- Click **Yes** to confirm the password reset. The corresponding user will receive an email with a generated password.





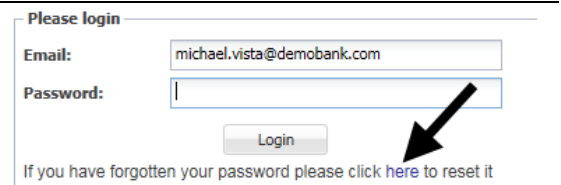
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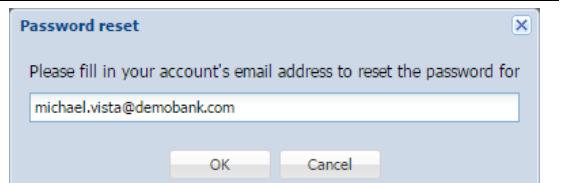
3.7.2 Reset by user

The password reset can also be done by the user himself directly on the login-screen.

1. In the login dialog click **here**.



2. Check the entered email address (user-specific) and click **OK**.
The corresponding user will receive an email with a generated password.

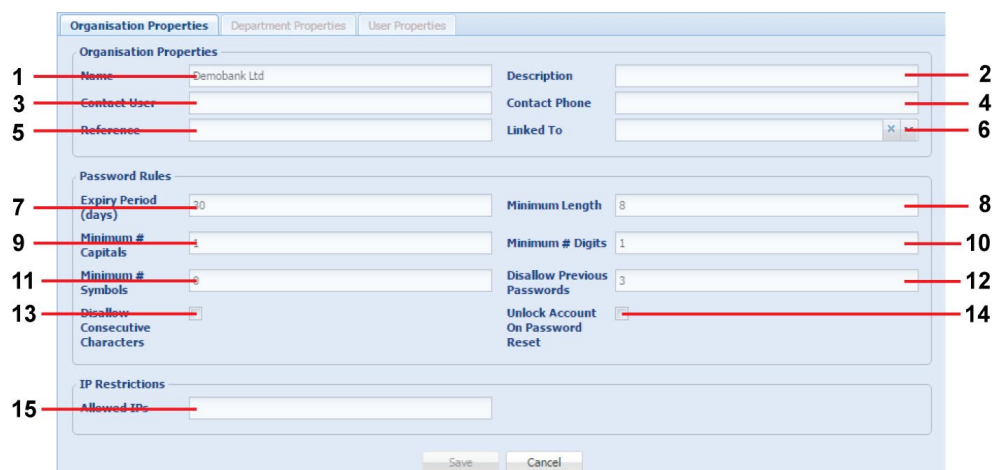


3.8 Editing properties

For editing properties, select the correct domain and go to **Tools – User Properties**.

3.8.1 Organization properties

The organization properties can only be set by the super user. Every user has **Read Only** access to this information.



Organization Properties

- 1 **Name**
Name of the organization.



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2	Description Optional description of the organization
3	Contact User Main contact user for general questions.
4	Contact Phone Direct phone of the named contact user.
5	Reference Reference input field.
6	Linked To Linked organizations/departments which inherits users and their roles from this organization without having to users dragged into it.
Password Rules	
7	Expiry Period Number of day after the last password reset until the password will expire again.
8	Maximum Length Maximum possible password length.
9	Minimum Capitals Enforced number of capital letters in the password.
10	Minimum Digits Enforced number of numbers in the password.
11	Minimum Symbols Enforced number of symbols in the password.
12	Disallow Previous Passwords Number of previous passwords to disallow when resetting a password.
13	Disallow Consecutive Characters Controls whether to stop consecutive letters in a password.
14	Unlock Account On Password reset Controls whether the account will be unlocked after a password reset (via login screen).
IP Restrictions	
15	Allowed IPs Allowed IP addresses (comma separated).

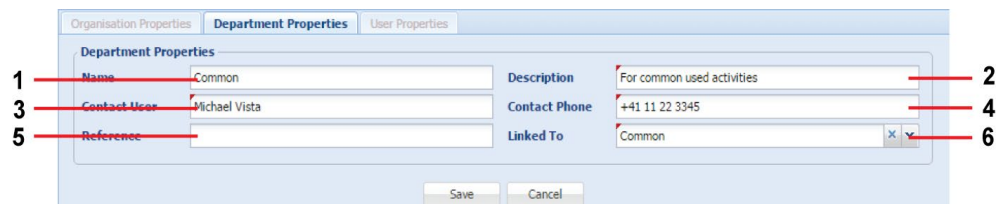
3.8.2 Department properties

The department properties can only be set by the master user. Every user has **Read Only** access to this information.



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The screenshot shows the 'Department Properties' tab in a software interface. It contains several input fields: 'Name' (labeled 1), 'Description' (labeled 2), 'Contact User' (labeled 3), 'Contact Phone' (labeled 4), 'Reference' (labeled 5), and 'Linked To' (labeled 6). The 'Name' field contains 'Common', 'Description' contains 'For common used activities', 'Contact User' contains 'Michael Vista', 'Contact Phone' contains '+41 11 22 3345', and 'Linked To' contains 'Common'. There are 'Save' and 'Cancel' buttons at the bottom.

Organization Properties

- 1 Name**
Name of the organization.
- 2 Description**
Optional description of the organization
- 3 Contact User**
Main contact user for general questions.
- 4 Contact Phone**
Direct phone of the named contact user.
- 5 Reference**
Reference input field.
- 6 Linked To**
Linked organizations/departments which inherits users and their roles from this organization without having to users dragged into it.

Password Rules

- 7 Expiry Period**
Number of day after the last password reset until the password will expire again.
- 8 Maximum Length**
Maximum possible password length.
- 9 Minimum Capitals**
Enforced number of capital letters in the password.
- 10 Minimum Digits**
Enforced number of numbers in the password.
- 11 Minimum Symbols**
Enforced number of symbols in the password.
- 12 Disallow Previous Passwords**
Number of previous passwords to disallow when resetting a password.
- 13 Disallow Consecutive Characters**
Controls whether to stop consecutive letters in a password.
- 14 Unlock Account On Password reset**
Controls whether the account will be unlocked after a password reset (via login screen).



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IP Restrictions

15 Allowed IPs

Allowed IP addresses (comma separated).

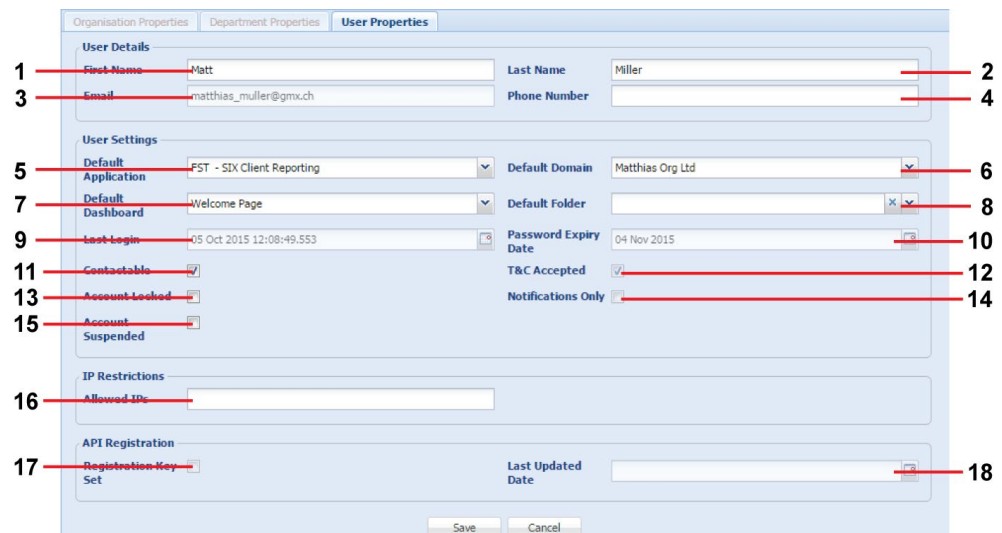
3.8.3

User properties / account settings

For editing the user-specific properties, go to **Tools – User Properties**.



General account settings and access permissions will be set by the administrator at the account opening. Therefore changes regarding to this can only be done by the administrator



The screenshot shows the 'User Properties' form with the following numbered callouts:

- 1: First Name (text input)
- 2: Last Name (text input)
- 3: Email (text input)
- 4: Phone Number (text input)
- 5: Default Application (dropdown menu)
- 6: Default Domain (dropdown menu)
- 7: Default Dashboard (dropdown menu)
- 8: Default Folder (text input)
- 9: Last Login (text input)
- 10: Password Expiry Date (text input)
- 11: Contactable (checkbox)
- 12: T&C Accepted (checkbox)
- 13: Account Locked (checkbox)
- 14: Notifications Only (checkbox)
- 15: Account Suspended (checkbox)
- 16: Allowed IPs (text input)
- 17: API Registration Key (text input)
- 18: Last Updated Date (text input)

User Details

1 First Name

Shows the first name of the logged in user.

2 Last Name

Shows the last name of the logged in user.

3 Email

Shows the email address which is linked to your account (can only be changed by the master user).

4 Phone Number

Shows the direct phone number of the logged in user - mandatory for TAN-delivery (SMS)

User Settings

5 Default Application



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	Select the application which shall be opened on startup.
6 Default Domain	Select the domain which shall be accessed on startup.
7 Default Dashboard	Select the dashboard which shall be shown after startup (optional).
8 Default Folder	Select a folder which content shall be shown after startup (optional). If this function is activated, the default domain-settings will be ignored.
9 Last Login	Shows the last login time (automatic timestamp for the log file).
10 Password Expiry Date	Shows the date of password expiry. On this date you have to renew your personal password.
11 Contactable	Activate this function if you want to be contactable from other users in the system (transaction related chat-function).
12 T&C Accepted	Shows if the user has accepted the terms & conditions of use.
13 Account Locked	Activates automatically after 3 failed logins. Unlocking an account can only be done by the master user.
14 Notifications Only	If this user has only notification-rights, this function is activated. In this case the user has no permissions for any activities in this tool.
15 Account Suspended	With this function the user account can be suspended. The functions Unlocking account and Reset Password will be overridden.
IP Restrictions	
16 Allowed IPs	The IP addresses listed here will be applied in addition to any allowed IP addresses for all organizations this user belongs to.
API Registration	
17 Registration Key Set	Shows if the API registration key has been generated for this user.
18 Last Updated Date	Shows the last update of the API registration key.



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4. Participant operations

4.1 Upload / import data

The import of data can be done via different sources. These sources have been initially set up during the Client Onboarding Process. The Reporting System has a functionality suite for the import of files, covering timings of imports, acknowledgements, retry and deferral options. Configurable alerts are sent out when files are missing.

4.1.1 Data file requirements

The following data-transportation-variants are secure and accepted by the system:

- FTS-Gateway
- Direct upload through the Reporting System https user interface
- MQ via SIX messenger on request

Data can be imported either manually or automatically with the following file formats:

- Comma-delimited file (*.csv)
- Excel file (*.xls and *.xlsx)
- XML file

For optimal processing we recommend files with less than 50,000 rows. Files with up to 100,000 rows are accepted and can be handled. are recommended. For data exceeding 100,000 rows, we recommend to split the data into several upload files. Files will be processed in the order that they are received by the Reporting System.

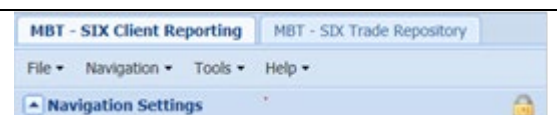
Please note: The file naming conventions of the upload files and the respective formats need to be agreed with the SIX support team (initially during the onboarding process).

4.1.2 Report new transactions



The upload file must fit the given file naming convention which was defined at the account setup. If you do not know the file naming convention, please ask your master user for details. A file which do not fit the file naming convention, cannot be uploaded.

1. Go to the MBT – SIX Client Reporting environment.





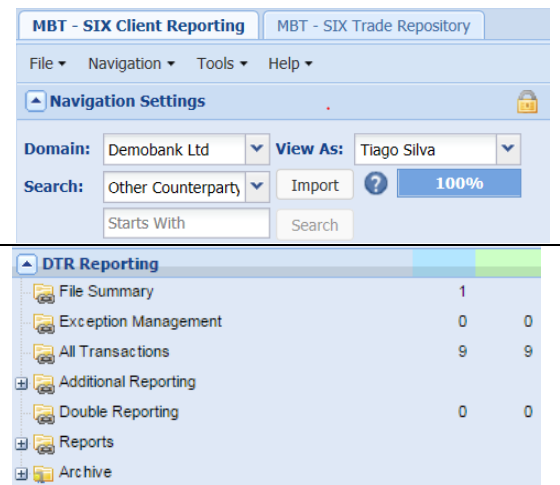
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2. Select the correct **Domain** for which you want to upload the report.

3. Click **Import** and browse the report file.
Note: Make sure the report file corresponds to the given naming convention.

4. The uploaded data will be shown in the **Trade Reporting View** after successful upload.
Note
Depending on the data load, the upload may take some time.



DTR Reporting		
File Summary	1	
Exception Management	0	0
All Transactions	9	9
Additional Reporting		
Double Reporting	0	0
Reports		
Archive		

4.2 Additional reporting

The system provides the following additional analysis of the submitted reports to enable clients to closely monitor their reporting and identify problems early.

- Late reports

4.3 Late reports

This folder displays all reports submitted after the official T+1 deadline. To display the late reports overview, follow these steps:

1. Go to **Additional Reporting – Late Reports**.

There are the following 3 tabs available in the Late Reports view:

- Received after T+1:

Displays all reports submitted after the official deadline T+1.

- T+2:

Displays all reports submitted on T+2.

- Later than T+2:

Displays all reports submitted later than T+2.



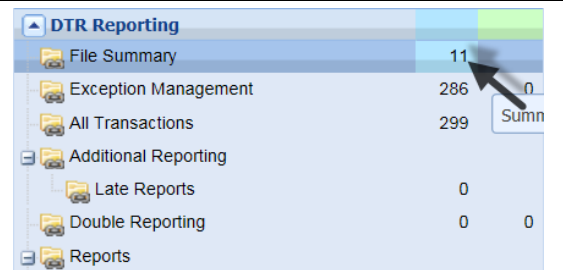
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5. View and handle report files

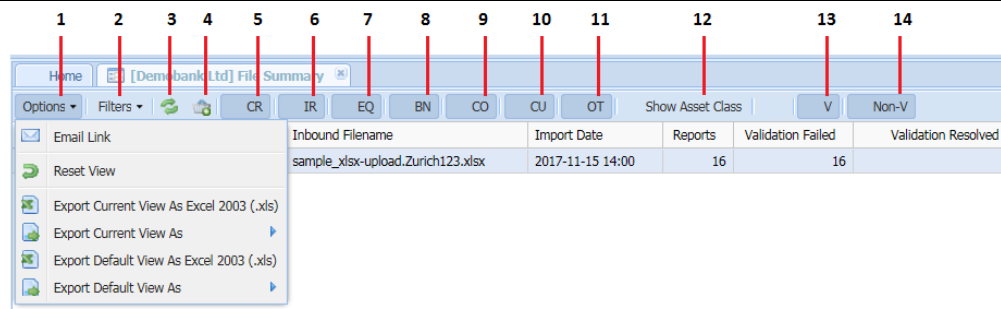
The system offers an overview of all uploaded report files. You can filter and handle them in different ways like follows:

1. Click on **Summary of files loaded.**



DTR Reporting		
File Summary	11	
Exception Management	286	n
All Transactions	299	Summ
Additional Reporting		
Late Reports	0	
Double Reporting	0	0
Reports		

2. You will find an overview of all reported files. You can now set different filters and export the file list in different ways.



1	2	3	4	5	6	7	8	9	10	11	12	13	14
Home [Demobank Ltd] File Summary													
Options Filters CR IR EQ BN CO CU OT Show Asset Class V Non-V													
<div> <input checked="" type="checkbox"/> Email Link <input type="checkbox"/> Reset View <input type="button" value="Export Current View As Excel 2003 (.xls)"/> <input type="button" value="Export Current View As"/> <input type="button" value="Export Default View As Excel 2003 (.xls)"/> <input type="button" value="Export Default View As"/> </div>													
Inbound Filename		Import Date		Reports		Validation Failed		Validation Resolved					
sample_xlsx-upload.Zurich123.xlsx		2017-11-15 14:00		16		16							

- | | |
|--|---|
| 1 Offers different export-possibilities etc. | 2 Add filter view |
| 3 Refresh file list | 4 files to active solutions basket (at least one file must be selected) |
| 5 Toggle credit derivative fields and select them | 6 Toggle interest rate fields and select them |
| 7 Toggle equity fields and select them | 8 Toggle debt fields and select them |
| 9 Toggle commodity fields and select them | 10 Toggle currency fields and select them |
| 11 Toggle other derivative fields and select them | 12 Toggle appearance of the asset class fields and select them |
| 13 Toggle display of valuation reports and select them | 14 Toggle display of non-valuation reports and select them |



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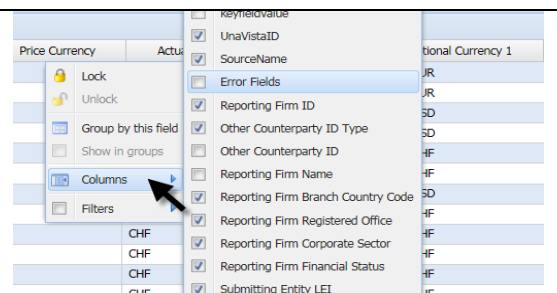
5.1 Move or hide columns

You can hide and show columns for your personal preferences. This process is valid for each data view in the system.

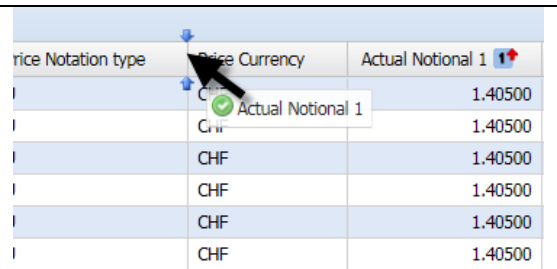
1. Go to any data view.

2. Click the drop-down-arrow on any column in the view and select **columns**.
A full list of all available columns in this view will be shown.

3. To show a column, just activate it in the list. To hide a column, just deactivate it in the list.



4. To move a column, click and hold the appropriate column and drop it between the columns where you want to position it.
The name of the moved column will be shown constantly under the arrow.



5.2 Sort data / filter handling

This section describes how to filter and sort data. This allows you to present information in the most effective way for your tasks.

There are three ways to filter data in the folder list view. You can:

- filter by a specific field value
- filter for specific column values
- create a permanent, custom filter view.

You can sort data by one column or by multiple columns. To sort data ascending or descending, just click on the appropriate column. The data will be sorted automatically.



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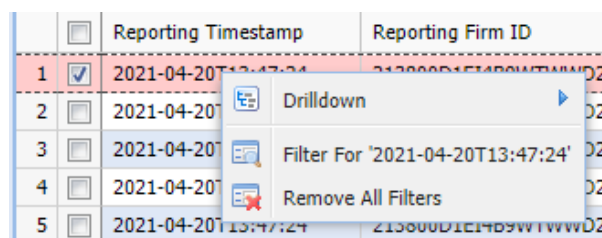
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5.2.1 Field Filter

The Field Filter allows you to filter by any of the completed fields shown on the screen.

To filter by a specific field value:

1. Place the cursor over the field you wish to filter by and right-click. A small menu displays.



2. Select **Filter For** ". All transactions that do not contain the selected field value are hidden. The heading of the column containing the field is shown in red.

5.2.2 Column Filter

The Column Filter allows you to filter by data strings or by specific column values.

To display the column filter:

1. Hover the mouse over the column header and select the drop-down arrow that appears at the end of the column. A column options menu displays.

2. From the column option menu, point to **Filters**.

□ The filters available vary depending on the field's data type. A text field has a different menu to a date field.

If the column contains text:

Text columns have the filter shown in the following graphic. It is described in the table below.



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Other Counterparty ID	Central Bank Transaction	Reporting Firm Name
213800QAUUUP6I445N30	Lock	London Stock Exchange
213800QAUUUP6I445N30	Unlock	London Stock Exchange
213800QAUUUP6I445N30		London Stock Exchange
213800QAUUUP6I445N30	Group by this field	London Stock Exchange
213800QAUUUP6I445N30	Show in groups	London Stock Exchange
213800QAUUUP6I445N30	Columns	London Stock Exchange
213800QAUUUP6I445N30	Filters	London Stock Exchange
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
213800QAUUUP6I445N30	Y	
LCHLGB2LCOL	Y	
INTERNAL	Y	

The symbols used in the Text Field menu are explained in the following table.

You can sort data with different possibilities.

==	Select an available value in the drop-down field you explicitly want to show. The view will be restricted to this value only.
=\=	Select an available value in the drop-down field you explicitly do not want to show. The view will show all values without the selected.
a...	Enter the first letter(s) of a value or word you want to show. The view will be restricted to all entries beginning with those letter(s).
...a	Enter the last letter(s) of a value or word you want to show. The view will be restricted to all entries ending with those letter(s).
..a..	Enter letter(s) within a value or word you want to show. The view will be restricted to all entries within those letter(s).
.-.-	Use this filter possibility to show different specific values in this row. For example you can restrict the column content to USD and CHF.
Blank	Only rows without content will be shown.



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Not Blank Only rows within content will be shown.

If the column contains dates:

Options ▾		Filters ▾	CR		IR	EQ	BN	CO	CU	OT
	<input type="checkbox"/>	Reporting Timestamp	Reporting Firm ID		Other Counter					
1	<input checked="" type="checkbox"/>	2021-04-20T13:47:24	Lock		VD28					
2	<input type="checkbox"/>	2021-04-20T13:47:24	Unlock		VD28					
3	<input type="checkbox"/>	2021-04-20T13:47:24	Group by this field		VD28					
4	<input type="checkbox"/>	2021-04-20T13:47:24	Show in groups		VD28					
5	<input type="checkbox"/>	2021-04-20T13:47:24	Columns		VD28					
6	<input type="checkbox"/>	2021-04-20T13:47:24	Filters		VD28					
7	<input type="checkbox"/>	2021-04-20T13:47:24	Before		VD28					
8	<input type="checkbox"/>	2021-04-20T13:47:24	After		VD28					
9	<input type="checkbox"/>	2021-04-20T13:47:24	On		VD28					
10	<input type="checkbox"/>	2021-04-20T13:47:24	Not On		VD28					
11	<input type="checkbox"/>	2021-04-20T13:47:24	Blank		VD28					
12	<input type="checkbox"/>	2021-04-20T13:47:24	Not blank		VD28					
13	<input type="checkbox"/>	2021-04-20T13:47:24	213800D1EI4B9WTW		VD28					
14	<input type="checkbox"/>	2021-04-20T13:47:24	213800D1EI4B9WTW		VD28					
15	<input type="checkbox"/>	2021-04-20T13:47:24	213800D1EI4B9WTW		VD28					

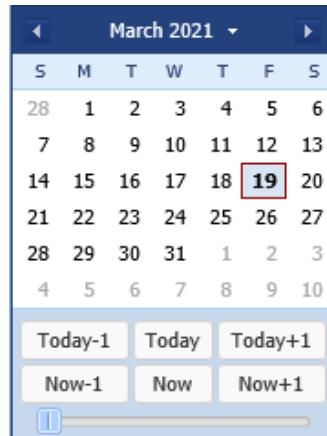
Choose the date you require using one of the four calendars (Before; After; On or Not On). On the calendar, you can either select a date directly by clicking on it or use one of the six buttons.

Use the slide bar at the foot of the calendar to change these values, shown initially as “-1” and “+1”, to any value up to “-90” and “+90”.



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To search for data where this column is blank, check **Blank**. To search for non-blank fields, check **Not Blank**.

5.2.2.1 Group by columns

You can split the content of a column into separate groups. For each available value in this column a separate group will be set. You can activate or deactivate this view like follows:

1. Go to any data view.

2. Click the drop-down-arrow on any column in the view and select **Group by this field**.
The view will be split into groups depending on the content. For each value a separate group will be generated.

Transaction Linking Number	Buy / Sell Indicator	Con
TRANS0001		N
TRANS0002		N
TRANS0003		N
TRANS0004		N
TRANS0005		N
TRANS0006		N
TRANS0007		N
TRANS0008		N

3. To deactivate the group-view, click the drop-down-arrow on any column in the view and deactivate **Show in groups**.

Transaction Linking Number	Buy / Sell Indicator	Con
TRANS0001		N
TRANS0001		N
TRANS0001		N
TRANS0001		N
TRANS0001		N
TRANS0001		N
TRANS0001		N



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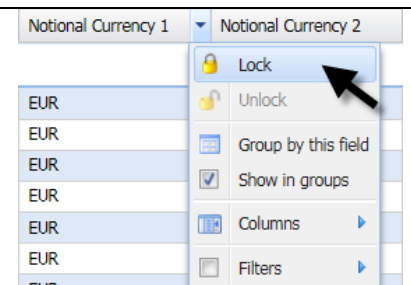
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5.2.2.2 Lock and unlock columns

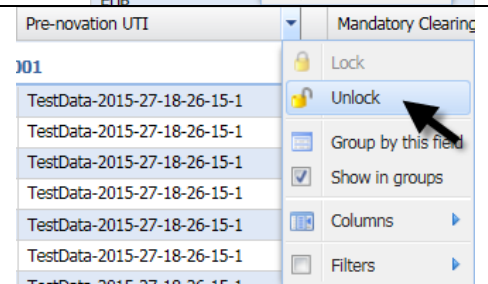
For a better overview it is possible to lock any columns in a view. The locked column will be set on the left side of the **Display Window**. You can lock several columns in a view.

1. Go to any data view.

2. Click the drop-down-arrow on the column you want to lock and select **Lock**. The selected column will be locked and placed on the left side of the **Display Window**.



3. To unlock a locked column, click the drop-down-arrow on the appropriate column and select **Unlock**. The column will be unlocked and placed back to the initial position.

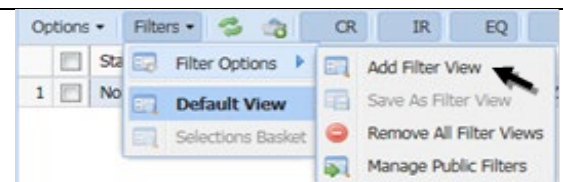


5.2.3 Add a Permanent Custom Filter

The system provides the possibility to set various customized filter views which can be set for personal use only but also for public use inside the organization. With this function you can define specific views for each product and show only the relevant content.

To add a custom filter:

1. Go to any data view.
2. Go to **Filters** and select **Add Filter View**. The **Filter View** window appears.

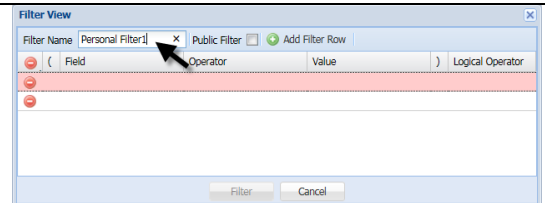




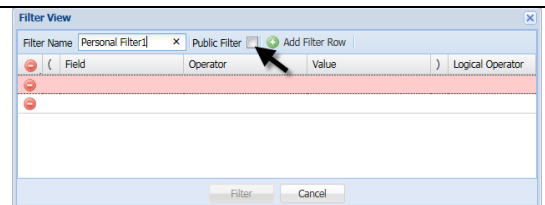
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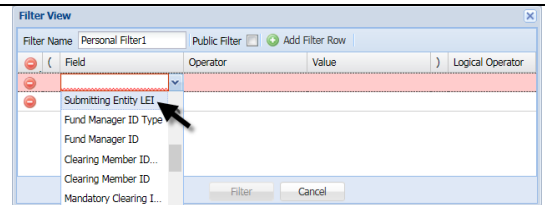
- Define a filter name which is meaningful for this filter.



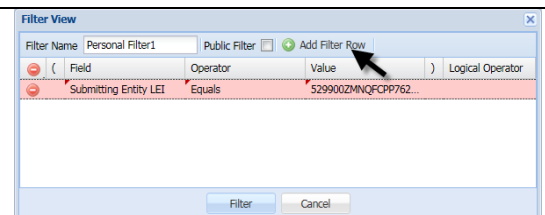
- If you want to set this filter for public use, activate **Public Filter**.



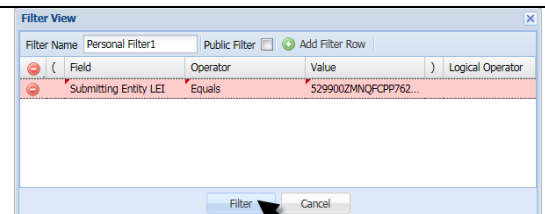
- Click in the first field and select a filter value in the drop down list.



- You can set several filter values (rows). For this, click **Add Filter Row**. An additional row will be set where you can define another filter criterium.

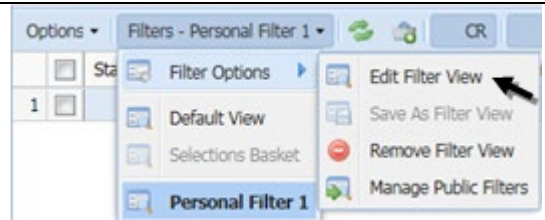


- Set all relevant filter values and click **Filter** to create a filter view.



- The new filter view will be shown in the **Display View selection**
- To edit this filter view, go to **Your filter** and select **Filter Options** and then select to **Edit Filter View**.

The **Filter View** window appears where you can edit the values.



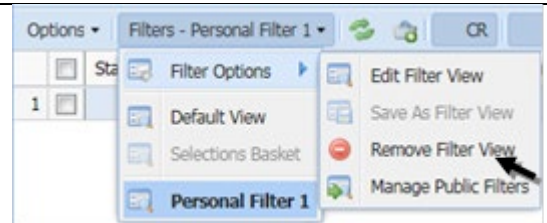


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10. To remove or delete the filter view, go to **Your filter** and select **Filter Options** and then select to **Remove Filter View**.

The filter view will be deleted.



5.2.4 Sort Data

To sort data in a column, click the column header. A sort icon with an arrow displays on the column headers. The icon looks like this .



To reverse the sort order, from low to high or high to low (or from A to Z or Z to A), click the column again and the order is resorted. The red arrow also points the other way.








You can sort data based on multiple columns. To do this, hold down **Ctrl** and click the required column headers in-turn.

□ If you click another header without holding **Ctrl**, the multiple sort selection is deactivated and only the last-clicked header remains sortable.

A numbered sort icon is shown on all column headers to which a sort is applied. The number on each sort icon indicates the sequence in which the sort is applied.

In the example below, files are sorted by **EntitySource**, then by **Report Status** and finally by **Target Source FileNum**.

Options ▾ Filters ▾  

	<input type="checkbox"/>	File	Report Status 	EntitySource 	Target SourceFileNum 
1	<input type="checkbox"/>		Completed	System ~ [SIX DTR Reporting Fields]	DTR Reporting
2	<input type="checkbox"/>		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting
3	<input type="checkbox"/>		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting
4	<input type="checkbox"/>		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting

To remove the final sort, select **Options** then **Reset View**.

5.2.5 Selections Basket





The Selections Basket allows you to create a custom selection of records to display in a separate tab. You can also extract the data as a text file to Excel.



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To manage the Selections Basket:

1. Select the records that you want to add to the basket.
2. Click . The records are added to the basket. The number of records currently in the basket is shown alongside the basket button.
3. To view the records in the basket, click the **Filters** drop-down menu and select **Selections Basket**.
4. To view the default view, click the **Filters** drop-down menu and select **Default View**.
5. You can add additional records at any time. Select the records you wish to add and click . The records are added immediately.
6. You can delete individual records from the basket at any time. Access the basket and select the records that you wish to delete. Click . The records are deleted immediately.
7. To delete all records in the Selections Basket, access the selections basket, select all records and click .

5.3 Exceptions handling

5.3.1 Export and manually correction of exceptions

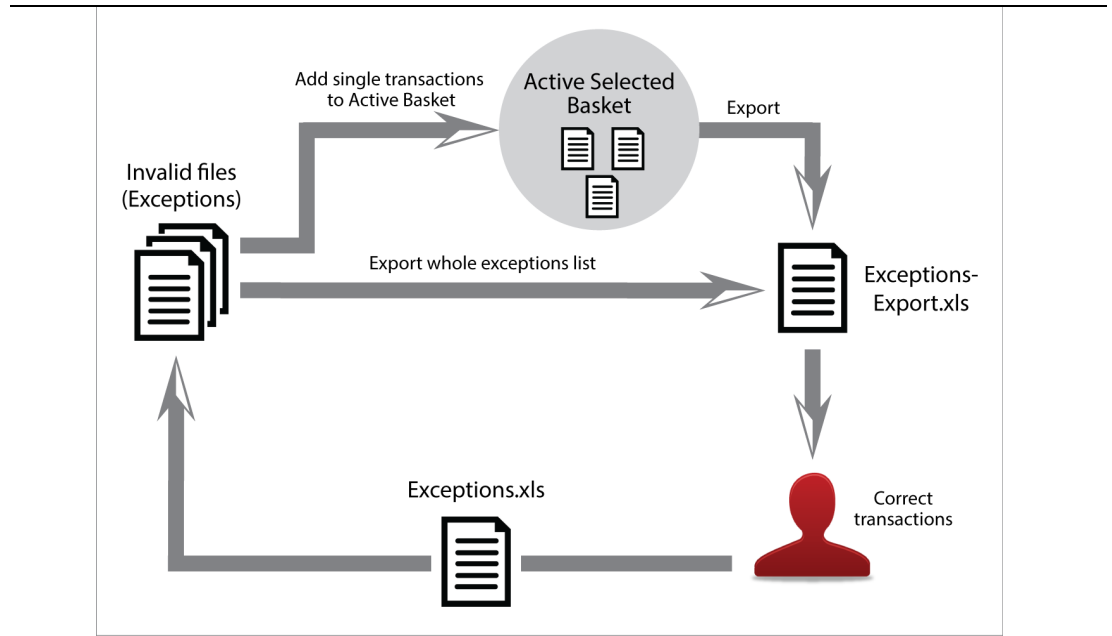
Invalid data will be automatically saved in the Exception Management Folder. This data must be checked by an operator and corrected accordingly. You can export the whole exceptions list at once or select single transactions and add them to the Active Selected Basket and export them. This could be helpful if you have a big load of exceptions and want to collect them dependent on their error reason.

The following graphic shows the workflow to handle exceptions.



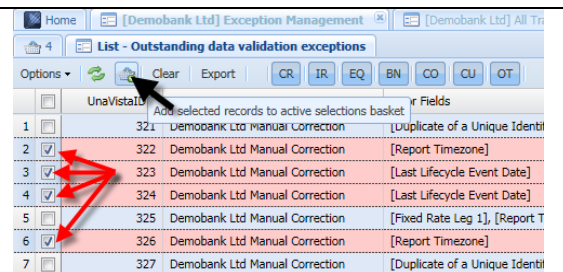
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Reporting System - User Guide



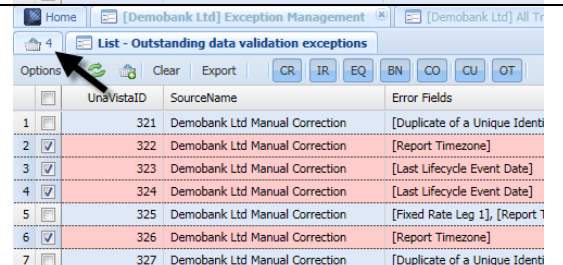
1. Click the **Exception Management** folder.
For each exception you will find the reason in the column **Error fields**.

2. Select the exceptions you want to export and click **Add selected records to active selected basket**.
- OR -
Click **Select all** to export the whole exceptions list at once and go to step 5.



Options	UnaVistaID	SourceName	Error Fields
<input type="checkbox"/>	321	Demobank Ltd Manual Correction	[Duplicate of a Unique Ident]
<input checked="" type="checkbox"/>	322	Demobank Ltd Manual Correction	[Report Timezone]
<input checked="" type="checkbox"/>	323	Demobank Ltd Manual Correction	[Last Lifecycle Event Date]
<input checked="" type="checkbox"/>	324	Demobank Ltd Manual Correction	[Last Lifecycle Event Date]
<input type="checkbox"/>	325	Demobank Ltd Manual Correction	[Fixed Rate Leg 1], [Report T]
<input checked="" type="checkbox"/>	326	Demobank Ltd Manual Correction	[Report Timezone]
<input type="checkbox"/>	327	Demobank Ltd Manual Correction	[Duplicate of a Unique Ident]

3. To export the selected exceptions (active Basket), click the **Active Basket** tab.
The number of the selected exceptions is shown on the tab.



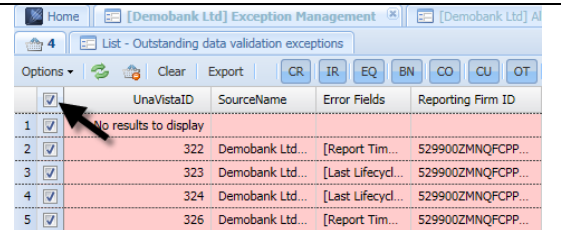
Options	UnaVistaID	SourceName	Error Fields
<input type="checkbox"/>	321	Demobank Ltd Manual Correction	[Duplicate of a Unique Ident]
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<input type="checkbox"/>	325	Demobank Ltd Manual Correction	[Fixed Rate Leg 1], [Report T]
<input checked="" type="checkbox"/>	326	Demobank Ltd Manual Correction	[Report Timezone]
<input type="checkbox"/>	327	Demobank Ltd Manual Correction	[Duplicate of a Unique Ident]



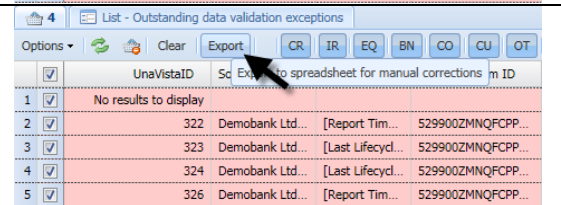
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- Click **Select All** to mark all exceptions in the **Active Basket**.

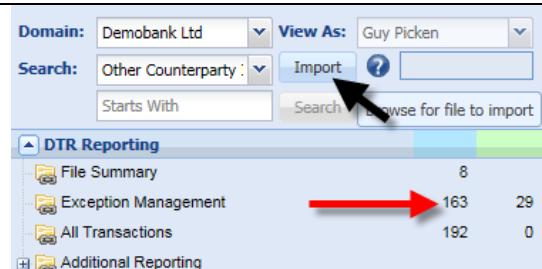


- Click **Export** to create and export a .xls file for manual correction. The export file will be saved on your local drive.



- Open the export file and do the manual corrections. The according fields are marked in red color.

- Click the **Import** button to re-import the excel-file. The number in the **Exception Management** folder (blue column) should now be reduced with the number of the re-imported exceptions and should be added in the green column simultaneously.



5.3.2 Manual clearing of exceptions

If you wish to manually clear exceptions from the **Exceptions Management** folder, you can clear them manually by using the **Clear** button.



This function does not automatically correct the reported transactions! This will simply remove the selected exceptions from the exceptions list and mark them as cleared. It is possible to add comments. Therefore this function should only be used if no correction is required.

By default, all exceptions associated with the respective UTI(s) (Unique Trade Identifier(s)) will be cleared automatically by subsequent data uploads/imports which contain the required corrections.

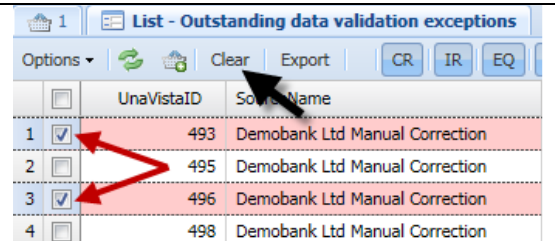
- Click the **Exception Management** folder. For each exception you will find the - reason in the column **Error fields**.



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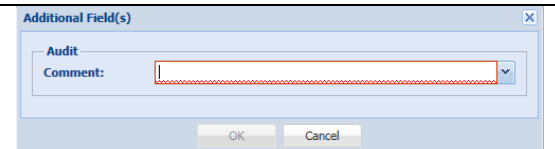
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2. Select the exceptions you want to clear and click the **Clear** button.



	UnaVistaID	Source Name
1	493	Demobank Ltd Manual Correction
2	495	Demobank Ltd Manual Correction
3	496	Demobank Ltd Manual Correction
4	498	Demobank Ltd Manual Correction

3. Enter a descriptive comment and click **OK**.
The selected exceptions will be moved to the trade repository.
Go to **Tools - Data Queries** to view the manually cleared exceptions within the details (comment, user etc.).



Additional Field(s)

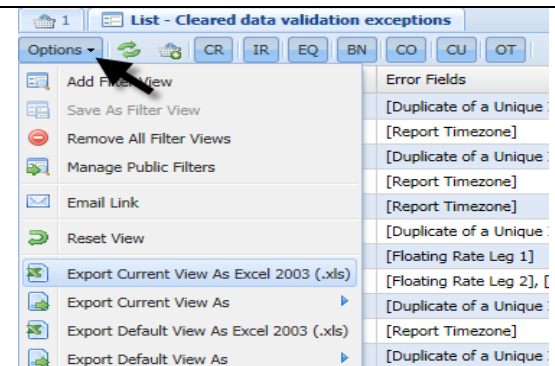
Audit Comment:

OK Cancel

5.4 Export / download data

Generally it is possible to export any list-view from the **Display Window** in different file formats. Depending on the list, there might be different export possibilities. As illustrative example, the following process shows the export for exceptions.

1. In the **Display Window** click **Options** - Export xxx.
The currently shown list will be exported and saved in the selected file format (see explanations below).



	Error Fields
[Duplicate of a Unique : [Report Timezone]	
[Duplicate of a Unique : [Report Timezone]	
[Duplicate of a Unique : [Report Timezone]	
[Duplicate of a Unique : [Floating Rate Leg 1]	
[Floating Rate Leg 2], [
[Duplicate of a Unique : [Report Timezone]	
[Duplicate of a Unique :	

Export current view as Excel 2003:

If you have designed a personalized view (columns-order, etc.), this view will be directly exported as an Excel2003 format (.xls).

Export current view as:

If you have designed a personalized view (columns-order, etc.), you can select a variety of file formats for exporting this view.



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Export default view as Excel 2003:

Regardless of personal settings, the default view constellation will be directly exported as an Excel2003 format (.xls).

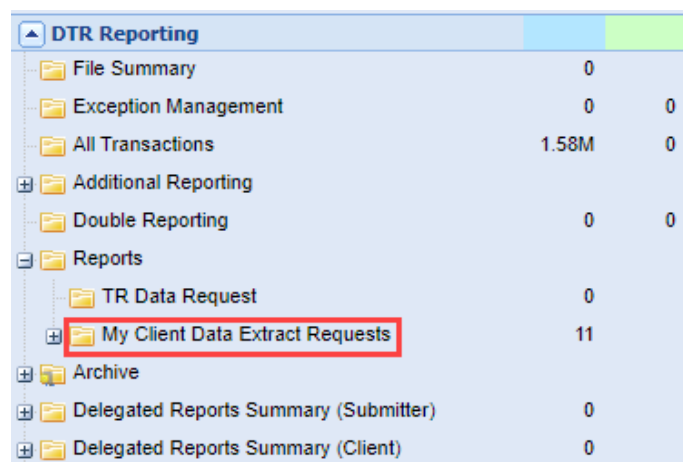
Export default view as:

Regardless of personal settings, you can select a variety of file formats for exporting the default view.

6. My Client Data Extract Requests

The data extract tool allows you to create a bespoke report from your target data. Each report is fully configurable and can contain as much or as little information as you require.

□ There is a restriction on the number of rows you can download during the working day. Reports with fewer than 100,000 rows can run at any time. Reports with more than 100,000 rows will be generated outside of business hours, that is over night. Before the report is created you can see an estimate of how many rows it is likely to contain.



DTR Reporting		
File Summary	0	
Exception Management	0	0
All Transactions	1.58M	0
Additional Reporting		
Double Reporting	0	0
Reports		
TR Data Request	0	
My Client Data Extract Requests	11	
Archive		
Delegated Reports Summary (Submitter)	0	
Delegated Reports Summary (Client)	0	

The My Client Data Extract Requests folder sits within the Reports folder under DTR Reporting.

This folder allows users with the appropriate permissions to create bespoke extracts based on their organization's data. Once it has been generated it can be downloaded immediately. Files can be created in a variety of formats allowing you to manipulate the information as required

This facility allows you to build queries and run reports directly from the solution's database.



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Click the number to the right of the folder to display the My Client Data Extract Requests Screen.

[SIX System] My Client Data Extract Requests								
Options	Filters	File	Report Status	EntitySource	Target SourceFileNum	File Request Name	File Content Summary	File Request Date
1		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting	test	test	2021-04-27	csv
2		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting	test1	test1	2021-04-27	csv
3		Completed	Sources Read Only ~ [CSV Template]	DTR Reporting	test2	test2	2021-04-28	csv

□ You can only download reports that you have created.

Points to Note about Reports:

– There is a limit of 100,000 records for each data extract enquiry. If this number is exceeded then the report will be generated outside of business hours, *that is over night*. You can see how many records will be in the report before it is generated. This allows you to adjust your criteria to make the report shorter if it is required urgently.

– As a rule, reports **will not** include items that have exceptions. Check the **Include Errors Flag** if you wish to have records that have failed validation added to the report.

– From the Target Field List, you can select the data point(s) that you want to be included: you can pick any that exist on the target. You can also select by Asset Class or choose one of the pre-defined groupings created by SIX.

– Under Additional Filters Config, you can apply conditions based on any field in the template.

□ Currently, you are unable to delete reports from the list. If you need to generate the same report on a daily or weekly basis, it is suggested that you add a date to the start of the **File Request Name**. For example: My_Daily_Report_20210614.

This screen shows all the reports that have been generated and the criteria that were used to create them.

6.1 Build a Report

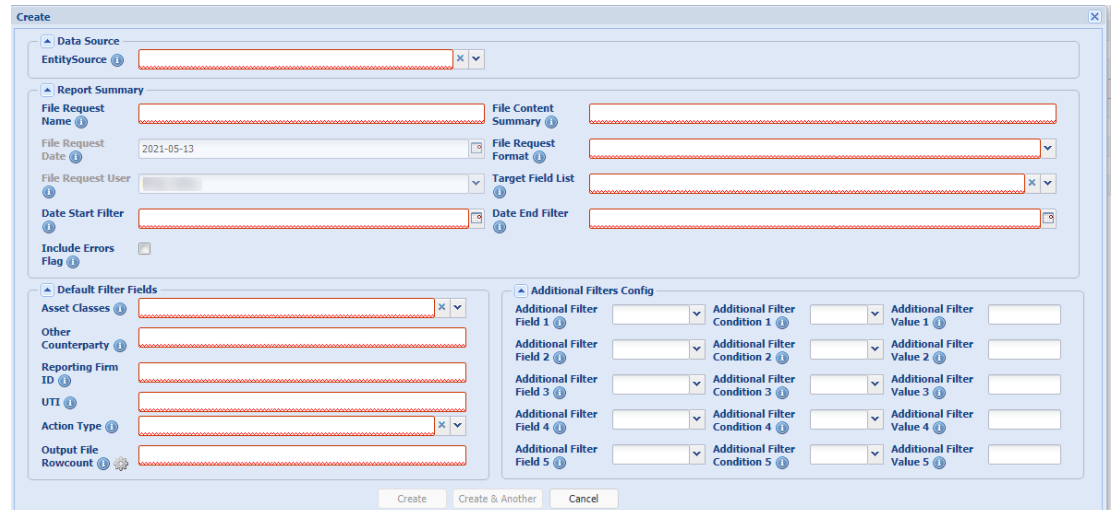
To build a report follow these steps:

1. Access the My Data Client Access Request folder.
2. Click **Create** (the button is at the top of the screen on the far right-hand side). The Create dialog displays.



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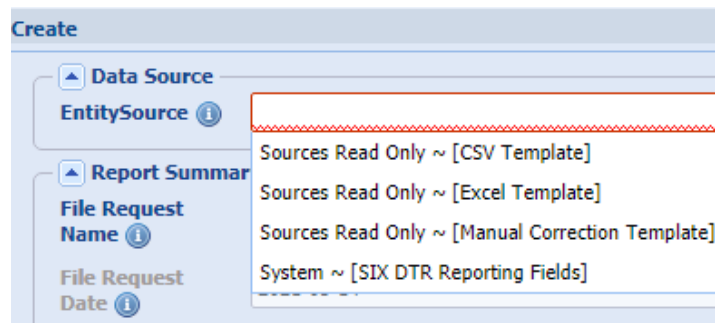
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The following sections break up the report request form and describe the fields in each group.

6.1.1 Data Source

Entity Source: This dropdown contains the sources that are associated with the entity to which the user belongs. An example is shown below:



- If a user has been removed from the entity(ies) that can see the Entity Source from the report, then the record will not be available in My Client Data Extract Requests folder.
- If, however, multiple sources are used for a report, and the user remains in one of the entities for the source, then the record will continue to be available in the My Client Data Extract Requests folder and the EntitySource column will reflect the SourceFileNum for the entities from which the user was removed.



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6.1.2 Report Summary

File Request Name: Type in the name you want to give the report. This must be unique, no two reports in the list can have the same name. If you enter a name that already exists, the red line under the field remains and a message displays.

File Content Summary: This description is for reference only. You should use it to briefly describe what the file contains.

File Request Date: This field is completed automatically with 'today's' date.

File Request Format: The file extension and delimiter type for the output file (e.g. CSV, pipe, tilde).

File request User: This field is completed automatically with the name of the users who is generating the report.

Target Field List: This list allows you to select which fields you want to include in the report. You can select multiple values from this list. It also includes several custom options based on jurisdiction.

Select **~All** to include all the options from the list in the report.

Date Start Filter: Select the first date that you want included in the report.

Date End Filter: Select the last date that you want included in the report.

Include Errors Flag: Check this box if you want the report to include items that have failed validation.

6.1.3 Default Filter Fields

Asset Classes: Use this field to select that asset class(es) that you wish to include in the report. If you leave the field blank, all asset classes are included.

Other Counterparty: This is not a dropdown list. If you wish to complete this field, you will need to know the counterparty code. Only one Counterparty ID can be added here to further filter the results.

Reporting Firm ID: This is not a dropdown list. If you wish to complete this field, you will need to know the Reporting Firm code. Only one Reporting Firm ID can be added here to further filter the results.



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UTI: This is not a dropdown list. If you wish to complete this field, you will need to know the UTI code. Only one UTI can be added here to further filter the results.

Action Type: Use this field to select that Action Type(s) that you wish to include in the report. If you leave the field blank, all Action Types will be included.

Output File Row Count: An estimate of the number of rows in the report. When you have completed your selections click the cog icon next to the **Output File Row Count** field title. The field is completed with an estimate of the number of rows that will be included in the report.

□ You must click the cog, and estimate the number of rows, before you can generate the report. If you make changes, or add filters, click the cog again to see the revised estimated row count.

□ If the count is less than 100,000 rows, the report will be generated immediately. If the count is more than 100,000 rows the report will be generated outside of business hours, that is over night.

6.1.4 Additional Filters Config

If you wish you can use up to five Additional Filters to further refine your dataset and so reduce the row count. If you do use them, all three fields must be completed for each additional filter.

Additional Filter Field: is a selectable list of fields. You can select one from the list, such as Buy or Sell.

Additional Filter Condition: is a dropdown list of conditions such as 'Equals' or 'Less Than'.

Additional Filter Value: is the value you want the additional search against such as 'B' (Buy) or 'S' (Sell).

6.2 Generate a Client Data Extract Report

To generate the report, follow these steps:

1. Once you have clicked the cog, the **Create** buttons become available. If you wish to generate only one report, click **Create**. If you wish to generate further reports, click **Create & Another**. If you select **Create**, you are returned to the My Data Access Request folder and the new report is shown as *Queued* in the Status column.



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2. When the report is ready *Completed* is displayed in the Status column and a download icon displays in the File column.
3. You can scroll across the screen to see the conditions that have been applied to the report. The Output File Row count shows how many lines are in the report.
4. Click the icon to download the report. It is generated in the format you specified and delivered in a zip file at the foot of the screen. Left click the zip file to open it and save it in a destination of your choice. You can download a report as often as you wish but you will need to generate a new report if you wish to change any of the parameters, such as date or asset class.

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