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1.0 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

2.0 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:
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.

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

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.
### MBT – SIX Client Reporting

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>File Summary</td>
<td>Displays files containing trade reports that were loaded in the system.</td>
</tr>
<tr>
<td>Exception Management</td>
<td>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.</td>
</tr>
<tr>
<td>All Transactions</td>
<td>Contains all recent transactions in the Trade Repository Reporting System and Trade Repository databases.</td>
</tr>
<tr>
<td>Additional Reporting</td>
<td>Contains additional reporting analysis.</td>
</tr>
<tr>
<td>Late Reports</td>
<td>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).</td>
</tr>
<tr>
<td>Double Reporting</td>
<td>Contains all trades which have been uploaded twice by different participants with the same Unique Identifier to the SIX Trade Repository.</td>
</tr>
<tr>
<td>Reports</td>
<td>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.</td>
</tr>
<tr>
<td>Trade Repository Data Request</td>
<td>Request extracts of data submitted to the SIX Trade Repository.</td>
</tr>
<tr>
<td>Archive</td>
<td>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.</td>
</tr>
</tbody>
</table>

### 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.

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

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

3.0 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.
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:

<table>
<thead>
<tr>
<th>Organization:</th>
<th>User:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Functional role:</td>
</tr>
<tr>
<td>Administrative role:</td>
<td></td>
</tr>
</tbody>
</table>


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.

<table>
<thead>
<tr>
<th>User Roles</th>
<th>User</th>
<th>Sources (all)</th>
</tr>
</thead>
<tbody>
<tr>
<td>User Administration</td>
<td></td>
<td>Commodities</td>
</tr>
<tr>
<td>Operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(data management)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Read only</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Pure Admin:**
- Setup and handle user accounts
- Allocate and remove user roles
- Edit account and user properties

**Department Allocation:**
- Admin department
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.

<table>
<thead>
<tr>
<th>Use Roles</th>
<th>User</th>
<th>Sources (all)</th>
</tr>
</thead>
<tbody>
<tr>
<td>User Administration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Data Management)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Read only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Admin &amp; user</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(operations):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Setup and handle user accounts</td>
<td>- Administrator and Operations (Holger Schmidt)</td>
<td>- Commodities</td>
</tr>
<tr>
<td>- Allocate and remove user roles</td>
<td>- Operations (Data management)</td>
<td>- FX Derivatives</td>
</tr>
<tr>
<td>- General access to all sources (reporting-files)</td>
<td>- Import</td>
<td></td>
</tr>
<tr>
<td>- Edit account and user properties</td>
<td>- Export</td>
<td></td>
</tr>
<tr>
<td>- Handle files with the allocated roles (e.g. upload data, extract data, edit data)</td>
<td>- Read only</td>
<td></td>
</tr>
<tr>
<td>- Edit own user properties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Full read-only access</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department Allocation:</td>
<td>- Admin department</td>
<td></td>
</tr>
<tr>
<td>- Operations department</td>
<td>- Operations department</td>
<td></td>
</tr>
<tr>
<td>- Sources department</td>
<td>- Sources department</td>
<td></td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>User Roles</th>
<th>User</th>
<th>Sources (all)</th>
</tr>
</thead>
<tbody>
<tr>
<td>User Administration</td>
<td>Operations (Data management)</td>
<td></td>
</tr>
<tr>
<td>Operations (Data management)</td>
<td>Operations (Lisa Miller)</td>
<td></td>
</tr>
<tr>
<td>Read only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Import</td>
<td>Export</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**User (Operations):**
- 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:**
- Operations department
- Sources department
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).

<table>
<thead>
<tr>
<th>User Roles</th>
<th>User</th>
<th>Sources (all)</th>
</tr>
</thead>
<tbody>
<tr>
<td>User Administration</td>
<td>Read Only (Max Meier)</td>
<td>Commodities</td>
</tr>
<tr>
<td>Read only</td>
<td></td>
<td>FX Derivatives</td>
</tr>
</tbody>
</table>

**User (Read only):**
- View data (read only) of specifically defined sources

**Department Allocation:**
- Read Only department into Operations department
- Sources Read Only department into Sources department
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
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
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**.

   ![Image of a user account deletion process](image)

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.

1. Select the user in the list and go to User Properties.

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

The user is now suspended and cannot log in anymore.

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

4. In the User Settings area, de-activate Account Suspended and click Save.

The user is now re-suspended.
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.

1. 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**.

2. 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**).

3. 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 resetted 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

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

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

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.

<table>
<thead>
<tr>
<th>Organization Properties</th>
<th>Department Properties</th>
<th>User Properties</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Name of the organization.</td>
<td></td>
</tr>
<tr>
<td>Description</td>
<td>Optional description of the organization</td>
<td></td>
</tr>
<tr>
<td>Contact User</td>
<td>Main contact user for general questions.</td>
<td></td>
</tr>
<tr>
<td>Contact Phone</td>
<td>Direct phone of the named contact user.</td>
<td></td>
</tr>
<tr>
<td>Reference</td>
<td>Reference input field.</td>
<td></td>
</tr>
<tr>
<td>Linked To</td>
<td>Linked organizations/departments which inherits users and their roles from this organization without having to users dragged into it.</td>
<td></td>
</tr>
</tbody>
</table>

**Password Rules**

| Expiry Period | Number of day after the last password reset until the password will expire again. |
Maximum Length
Maximum possible password length.

Minimum Capitals
Enforced number of capital letters in the password.

Minimum Digits
Enforced number of numbers in the password.

Minimum Symbols
Enforced number of symbols in the password.

Disallow Previous Passwords
Number of previous passwords to disallow when resetting a password.

Disallow Consecutive Characters
Controls whether to stop consecutive letters in a password.

Unlock Account On Password reset
Controls whether the account will be unlocked after a password reset (via login screen).

Allowed IPs
Allowed IP addresses (comma separated).

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

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.
### Reference input field.

### Linked To
Linked organizations/departments which inherits users and their roles from this organization without having to users dragged into it.

### Password Rules

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Expiry Period</td>
</tr>
<tr>
<td>8</td>
<td>Maximum Length</td>
</tr>
<tr>
<td>9</td>
<td>Minimum Capitals</td>
</tr>
<tr>
<td>10</td>
<td>Minimum Digits</td>
</tr>
<tr>
<td>11</td>
<td>Minimum Symbols</td>
</tr>
<tr>
<td>12</td>
<td>Disallow Previous Passwords</td>
</tr>
<tr>
<td>13</td>
<td>Disallow Consecutive Characters</td>
</tr>
<tr>
<td>14</td>
<td>Unlock Account On Password reset</td>
</tr>
</tbody>
</table>

### IP Restrictions

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>Allowed IP addresses (comma separated).</td>
</tr>
</tbody>
</table>

### User properties / account settings

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

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>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</td>
</tr>
</tbody>
</table>
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**
   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**
4.0 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. 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.
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.
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**

4.2.1 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.
5.0 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**.

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

<table>
<thead>
<tr>
<th>1</th>
<th>Offers different export-possibilities etc.</th>
<th>2</th>
<th>Add filter view</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Refresh file list</td>
<td>4</td>
<td>files to active solutions basket (at least one file must be selected)</td>
</tr>
<tr>
<td>5</td>
<td>Toggle credit derivative fields and select them</td>
<td>6</td>
<td>Toggle interest rate fields and select them</td>
</tr>
<tr>
<td>7</td>
<td>Toggle equity fields and select them</td>
<td>8</td>
<td>Toggle debt fields and select them</td>
</tr>
<tr>
<td>9</td>
<td>Toggle commodity fields and select them</td>
<td>10</td>
<td>Toggle currency fields and select them</td>
</tr>
<tr>
<td>11</td>
<td>Toggle other derivative fields and select them</td>
<td>12</td>
<td>Toggle appearance of the asset class fields and select them</td>
</tr>
<tr>
<td>13</td>
<td>Toggle display of valuation reports and select them</td>
<td>14</td>
<td>Toggle display of non-valuation reports and select them</td>
</tr>
</tbody>
</table>
5.1.1 **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.
5.1.2 **Sort data / filter handling**

You can sort data in different ways. To sort data ascending or descending, just click on the appropriate column. The data will be sorted automatically. To set filters, follow these steps:

1. Go to any data view.

2. Click the drop-down-arrow on any column in the view and select **Filters**. A window for filter settings will be shown.

---

You can sort data with different possibilities.

<table>
<thead>
<tr>
<th>Filter</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>==</strong></td>
<td>Select an available value in the drop-down field you explicitly want to show. The view will be restricted to this value only.</td>
</tr>
<tr>
<td>==</td>
<td>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.</td>
</tr>
<tr>
<td>a...</td>
<td>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).</td>
</tr>
<tr>
<td>...a</td>
<td>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).</td>
</tr>
<tr>
<td>..a..</td>
<td>Enter letter(s) within a value or word you want to show. The view will be restricted to all entries within those letter(s).</td>
</tr>
<tr>
<td>.---</td>
<td>Use this filter possibility to show different specific values in this row. For example you can restrict the column content to USD and CHF.</td>
</tr>
</tbody>
</table>

**Blank** Only rows without content will be shown.

**Not Blank** Only rows within content will be shown.
5.1.3  **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 splitted into groups depending on the content. For each value a separate group will be generated.

3. To deactivate the group-view, click the drop-down-arrow on any column in the view and deactivate **Show in groups**.
5.1.4 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.

5.1.5 Add custom (public) filter view

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.

1. Go to any data view.

2. Go to Filters and select Add Filter View. The Filter View window appears.

3. Define a filter name which is meaningful for this filter.
4. If you want to set this filter for public use, activate Public Filter.

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

6. 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.

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

8. The new filter view will be shown in the Display View selection.

9. 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.

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 Exceptions handling

5.2.1 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.

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

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

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

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

7. **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.
5.2.2 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.

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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.**

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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 clear and click the Clear button.

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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.).
5.3 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).

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.

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.