

**DTCC**

# REPOSITORY AND DERIVATIVES SERVICES

## COUNTERPARTY REFERENCE DATA (CRD) UTILITY USER GUIDE

DECEMBER 05, 2020



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# OVERVIEW

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To support delegated reporting, DTCC provides a centralized location for counterparty data storage which can be used by firms to enhance their trade reporting to the Global Trade Repository (GTR). The Counterparty Reference Data utility (CRD) stores the data, and the Counterparty Reference Data Enrichment (CRDE) utility enriches data for those that have elected to use the service.

This document is a guide showing you how to use the CRD data storage service and is written for the benefit of both Data Providers (previously known as “Respondents”) and Consumers.

## How the System Works

The system consists of two main functions:

- It enables the Data Provider to complete a survey of reference data (formally known as a “Representation Letter”).
- It permits users (known as “Consumers”) to download the survey/data input by their counterparties (or data providers) to use for trade reporting.

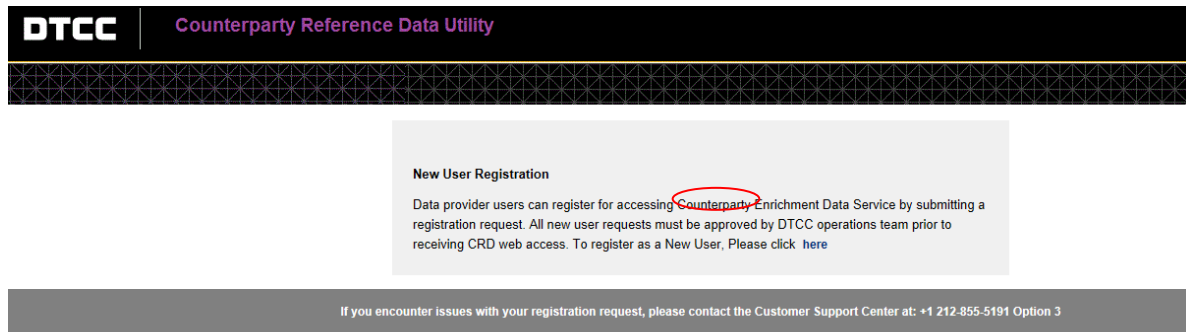
The system address for the CRD utility is: <https://gtr.eu.dtcc.com/> .

# BECOMING A PROVIDER

## Registration

As a Data Provider, you can use the system’s self-registration feature to obtain access to the utility to add your Counterparty Reference Data.

1. Use the link below to register for access to the CRD portal.  
<https://portal.dtcc.com/userreg/selfrrs/selfregistration/crdstart.do>
2. Click the “here” link to register as a New User.  
 The CRD User Registration Form appears.



3. Enter all required information, including:
  - a. Email address
  - b. First name
  - c. Last name
  - d. Company name (*optional*) and
  - e. Business phone number.
4. Click the checkbox to acknowledge the DTCC privacy Policy and Terms of Service.



Please use a group or teams email address if possible as records in the CRD are linked to user ID's.  
 To download the CRD User Guide, please click [here](#).

\*Indicate Required fields

\* Email Address (Use lowercase)

\* Confirm Email Address (Use lowercase)

\* First Name

\* Last Name

Your Company Name

\* Business Phone:

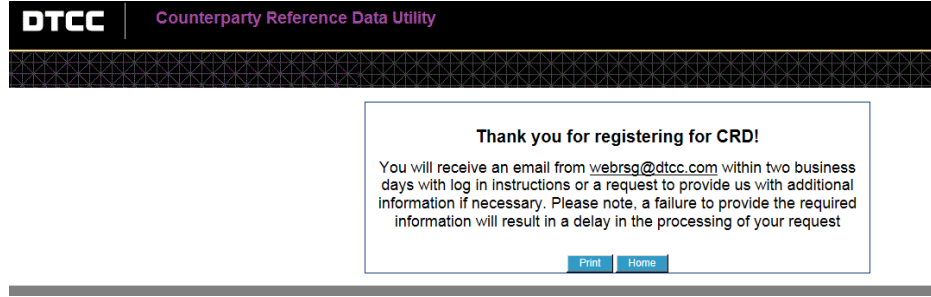
For US and Canada

For Other Countries

Phone Extension

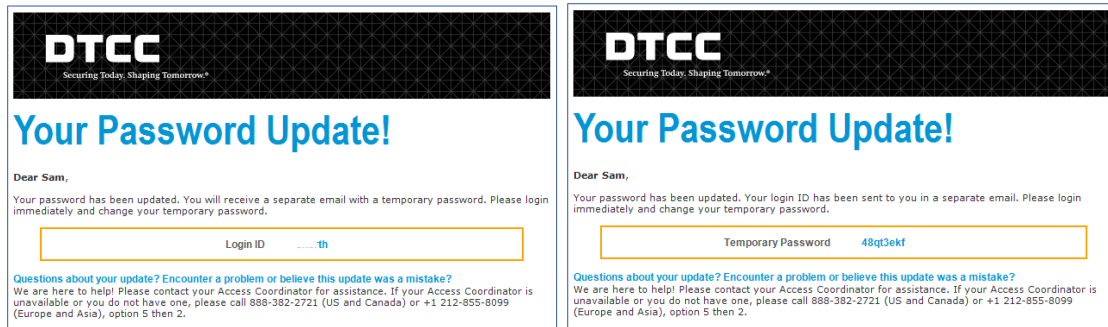
By checking this box you acknowledge that you have read the [DTCC Privacy Policy](#)

5. Click the **Submit** button.  
The screen, Thank you for Registering for CRD, appears.



## Temporary Password

Shortly after successfully registering a new profile, you will receive two emails. The first email contains your registered User ID, and the second email has your temporary password.



1. Click the hyperlink in the email notification (<https://gtr.eu.dtcc.com/> ).
2. Login with your username and temporary password. You will be prompted to change your password.
3. Read the password criteria carefully before entering the new password.

# PROVIDER VIEW

## Counterparty Data Entry Into The Portal

Once you have registered you will be able to answer the Counterparty Reference Data questions, which are displayed in a survey style format. You can modify your answers later if necessary.

1. Login to the portal and click the **CRDE** tile.  
The “Counterparty Data Summary” screen appears.
2. Select one of the following **Provider View** menu options or click one of the jurisdiction links to add a new individual record for EMIR/FCA or FinfraG or EU SFTR or UK SFTR:
  - a. **New Counterparty Data EMIR/FCA** or EMIR/FCA link
  - b. **New Counterparty Data FinfraG** or FinfraG link
  - c. **New Counterparty Data EU SFTR** or EU SFTR link
  - d. **New Counterparty Data UK SFTR** or UK SFTR link

### Note:

All data entered by Providers is stored at the user level. You will not be able to view or amend another user’s entries regardless of company affiliation. If more than one user needs to access the same data, please use a group or team email address to enter it.

The screenshot shows the DTCC Counterparty Reference Data portal. The top navigation bar includes "DOCUMENTATION" and "PROVIDER VIEW". The main content area displays a "Download Counterparty data" section with a table of actions:

Report	Action
Download CounterParty Summary	<a href="#">Download All-EMIR/FCA</a> <a href="#">Download All-FinfraG</a> <a href="#">Download All-EU SFTR</a> <a href="#">Download All-UK SFTR</a> <input checked="" type="radio"/> .xlsx <input type="radio"/> .xls

The screenshot shows the DTCC Counterparty Reference Data portal with the "PROVIDER VIEW" menu expanded. The menu options are:

- Counterparty Data Summary
- New Counterparty Data EMIR/FCA
- New Counterparty Data FinfraG
- New Counterparty Data EU SFTR
- New Counterparty Data UK SFTR

The "New Counterparty Data" options are highlighted with a red box. Below the menu, the "Download Counterparty data" section is visible, showing a table of actions:

Report	Action
Download CounterParty Sum	<a href="#">Download All-FinfraG</a> <a href="#">Download All-EU SFTR</a> <a href="#">Download All-UK SFTR</a> <input checked="" type="radio"/> .xlsx <input type="radio"/> .xls

The following screen appears for the EMIR/FCA LEI Enrichment Data submission selection:

**DTCC Counterparty Reference Data** | **DTCC** | Welcome | Logout

DOCUMENTATION » PROVIDER VIEW »

Please provide the following information.

1. **LEI:** This field represents the entity that has the reporting obligation and is a counterparty to the trade, and is the entity that you are provided data for.

**Type of ID of Beneficiary:** As this is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade you should not populate this field and it should be provided on a trade by trade basis on the submitted report by the data submitter. If the Beneficiary for any trading is always the same a LEI should be selected if the Beneficiary is a legal entity or a CLC if the Beneficiary is a private individual and does not have a LEI. CLC represents your own internal client code used to identify the Beneficiary.

LEI  
 CLC

**Beneficiary ID:** If LEI has been selected in the Type of ID of the Beneficiary this field must be populated and only a LEI is allowed in this field and it must be validated against the GLIEP Data base and must have the following statuses: "Issued", "Lapsed", "Pending transfer" or "Pending archival". In this instance the field should not allow more than 20 alphanumeric character. If CLC has been selected in the Type of ID of the Beneficiary this field must be populated and only a value of up to 50 alphanumeric characters can be provided. In this instance the field should not allow more than 50 alphanumeric characters.

**Trading Capacity:** This field identifies whether the Reporting Counterparty has concluded the contract as principal on own account (on own behalf or behalf of a client) or as agent for the account of and on behalf of a client. As this is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the value could differ for different trades this field should not be populated and it should be provided on a trade by trade basis on the submitted report by the data submitter.

Principal  
 Agent

5. **Nature of Reporting Counterparty:** Indicates if the reporting counterparty is a CCP, a financial, non-financial counterparty or other type of counterparty in accordance with point 5 of Article 3 or points 1, 8 and 9 of Article 2 of Regulation (EU) No 648/2012 of the European Parliament and of the Council.

Financial Counterparty  
 Non-Financial Counterparty  
 Central Counterparty  
 Other

6. **Corporate Sector of Reporting Counterparty:** This field identifies the nature of the reporting counterparty's company activities. Select all the activities that apply to the Reporting Counterparty activities.

**CorporateSector Available**

- A = Assurance undertaking authorised in accordance with Directive 2009/138/EC
- C = Credit institution authorised in accordance with Directive 2013/36/EU
- F = Investment firm authorised in accordance with Directive 2004/39/EC of the European Parliament and of the Council
- I = Insurance undertaking authorised in accordance with Directive 2009/138/EC
- L = Alternative investment fund managed by Alternative Investment Fund Manager
- O = Institution for occupational retirement provision within the meaning of Article 1(2) of Directive 2003/78/EC
- R = Reinsurance undertaking authorised in accordance with Directive 2009/138/EC

**CorporateSector Selected**

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6. **Corporate Sector of Reporting Counterparty:** This field identifies the nature of the reporting counterparty's company activities. Select all the activities that apply to the Reporting Counterparty activities.

**CorporateSector Available**

- 1 = Agriculture, forestry and fishing
- 2 = Mining and quarrying
- 3 = Manufacturing
- 4 = Electricity, gas, steam and air conditioning supply
- 5 = Water supply, sewerage, waste management and remediation activities
- 6 = Construction
- 7 = Wholesale and retail trade, repair of motor vehicles and motorcycles
- 8 = Transportation and storage
- 9 = Accommodation and food service activities
- 10 = Information and communication

**CorporateSector Selected**

7. **Directly Linked or commercial Activity or treasury financing:** Information on whether the contract is objectively measurable as directly linked to the reporting counterparty's commercial or treasury financing activity, as referred to in Art. 10(3) of Regulation (EU) No 648/2012.

Yes  
 No

8. **Clearing Threshold:** Information whether the Reporting Counterparty is above the clearing threshold referred to in Art. 10(2) of Regulation (EU) No 648/2012.

Above the threshold  
 Below the threshold

9. **Execution Agent:** This field represents the identifier of the firm that manages the day to day trading activities of a fund and hence would be the firm that executes a trade on behalf of the fund. It must match the field that is being submitted by the data submitter on the trade messages.

10. **Data Usage Permission:** Add the investment firms that you are providing permission to use this data.

**Consumers Available**

- Bank Julius Baer and Co. Ltd.(C5)
- Bank of America Merrill Lynch(C7)
- Credit Suisse(O6)
- Deutsche Bank AG(H4)
- Goldman Sachs and Co.(I7)
- JPMorgan Chase and Co.(L3)
- Jefferies Group LLC(L2)
- Morgan Stanley and Co. International plc(N8)
- Nomura Securities Co., Ltd.(P1)
- RWE Supply and Trading GmbH(Q8)

**Consumers Selected**

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The following screen appears for the FinfraG LEI Enrichment Data submission selection:

**DTCC Counterparty Reference Data** | Welcome | Logout

DOCUMENTATION | PROVIDER VIEW

Please provide the following information.

1. **LEI:** This field represents the entity that has the reporting obligation and is a counterparty to the trade, and is the entity that you are providing data for.

2. **Nature of Reporting Counterparty:** Indication of whether the reporting counterparty is a CDS, a financial, small financial or non-financial counterparty under the FRTA Articles 83, 88 and 89.

Financial Counterparty  
 Small Financial Counterparty  
 Non-Financial Counterparty  
 Small Non-Financial Counterparty  
 Central Counterparty

3a. **Corporate Sector of Reporting Counterparty:** This field identifies the reporting counterparty's company activities. Select all the activities that apply.

**CorporateSector Available** | **CorporateSector Selected**

IS = Banks or institutions with Article 1 paragraph 1 of the Banking Act of 5 July  
 IS = Securities dealers in accordance with Article 2 letter d of the Stock Exchange  
 IS = Insurance and reinsurance companies in accordance with Article 2 paragraph 1  
 IS = Group parent companies of a financial or insurance group or of a financial  
 IS = Fund managers and portfolio managers of collective investment schemes  
 IS = Collective investment schemes in accordance with the Collective Investment  
 IS = Occupational pension schemes and investment foundations in accordance

3b. **Corporate Sector of Reporting Counterparty:** This field identifies the reporting counterparty's company activities. Select all the activities that apply.

**CorporateSector Available** | **CorporateSector Selected**

M = Oil and natural gas  
 M = Basic materials (metals, non-metals)  
 M = Industrial companies (construction, electronics, production technology, etc.)  
 M = Consumer goods (food, household appliances, etc.)  
 M = Healthcare  
 M = Consumer services (travel, media, etc.)  
 M = Telecommunications  
 M = Utilities (electricity, water, etc.)  
 M = Technology (software and hardware)

3c. **Corporate Sector of Reporting Counterparty:** This field identifies the reporting counterparty's company activities. Select all the activities that apply.

**CorporateSector Available** | **CorporateSector Selected**

Q = Central counterparty

4. **Clearing Threshold:** Indication as to whether the reporting counterparty exceeds the clearing threshold at the time of reporting in accordance with Articles 88 or 89 FRTA.

Above the threshold  
 Below the threshold

5. **Evaluation Agent:** This field represents the identifier of the firm that manages the day to day trading activities of a fund and hence could be the firm that executes a trade on behalf of the fund. It must match the field that is being submitted by the data submitter on the trade messages.

6. **Data Usage Permission:** Add the investment firms that you are providing permission to use this data.

**Consumers Available** | **Consumers Selected**

Bank Julius Baer and Co. Ltd (BE)  
 Bank of America Merrill Lynch (CF)  
 Credit Suisse (CH)  
 Deutsche Bank AG (DE)  
 Goldman Sachs and Co. (US)  
 JPMorgan Chase and Co. (US)  
 Lehman Group (UK)  
 Morgan Stanley and Co. International plc (BE)  
 Nomura Group (JP)  
 Nomura International AG (DE)

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The following screen appears for the EU SFTR LEI Enrichment Data submission selection:

**DTCC Counterparty Reference Data** | Welcome | Logout

DOCUMENTATION | PROVIDER VIEW

Please provide the following information.

1. **Reporting counterparty LEI:** Unique code identifying the reporting counterparty and is the entity that you are providing data for.

2. **Nature of the Reporting Counterparty:** Indication of whether the reporting counterparty is a financial or non-financial counterparty.

Financial Counterparty  
 Non-Financial Counterparty

3a. **Sector of the Reporting Counterparty:** One or more codes that classify the nature of the reporting counterparty's business activities. Where the reporting counterparty is a financial counterparty, all relevant codes included in the taxonomy for financial counterparties and applying to that counterparty. Where the reporting counterparty is a non-financial counterparty, all relevant codes included in the taxonomy for non-financial counterparties and applying to that counterparty. Where more than one activity is reported, the codes shall be specified in order of the relative importance of the corresponding activities.

**CorporateSector Available** | **CorporateSector Selected**

ADFP = ADF managed by ADFPs authorized or registered in accordance with  
 CCRP = Central counterparty authorized in accordance with Regulation (EU)  
 CDS = Credit institution authorized in accordance with Directive 2013/36  
 CSDG = Central securities depository authorized in accordance with Regula  
 IUCP = Insurance undertaking authorized in accordance with Directive 200  
 IWF = Investment firm authorized in accordance with Directive 2014/65/EU  
 ICFP = Institution for occupational retirement provision authorized in acco

3b. **Sector of the Reporting Counterparty:** One or more codes that classify the nature of the reporting counterparty's business activities. Where the reporting counterparty is a financial counterparty, all relevant codes included in the taxonomy for financial counterparties and applying to that counterparty. Where the reporting counterparty is a non-financial counterparty, all relevant codes included in the taxonomy for non-financial counterparties and applying to that counterparty. Where more than one activity is reported, the codes shall be specified in order of the relative importance of the corresponding activities.

**CorporateSector Available** | **CorporateSector Selected**

A = Agriculture, Forestry and Fishing  
 B = Mining and quarrying  
 C = Manufacturing  
 D = Electricity, gas, steam and air conditioning supply  
 E = Water supply, sewerage, waste management and remediation activities  
 F = Construction  
 G = Wholesale and retail trade, repair of motor vehicles and motorcycles  
 H = Transportation and storage  
 I = Information and communication  
 J = Accommodation and food service activities

**Additional sector classification:** Where the reporting counterparty is an Undertaking for Collective Investment in Transferable Securities (UCITS) or Alternative Investment Fund (AIF), a code that determines whether it is an Exchange-Traded Fund (ETF) or a Money Market Fund (MMF). Where the reporting counterparty is an Alternative Investment Fund (AIF) or a non-financial counterparty undertaking financial and insurance activities or real estate activities, a code that determines whether it is a Real Estate Investment Trust (REIT)

ETFT - Exchange-Traded Fund (ETF)  
 MMFT - Money Market Fund (MMF)  
 REIT - a Real Estate Investment Trust (REIT)  
 OTHR - Other

5. **Branch of the reporting Counterparty:** Where the reporting counterparty concludes an SFT through a branch office, the country code identifying the branch

**Entity responsible for the report LEI (ERFR LEI):** Where a financial counterparty is responsible for reporting on behalf of the other counterparty in accordance with Article 4(3) of Regulation (EU) No 2365/2015 of the Parliament and of the Council (2), the unique code identifying that financial counterparty. Where a management company is responsible for reporting on behalf of an Undertaking for Collective Investment in Transferable Securities (UCITS) in accordance with Article 4(3) of that Regulation the unique code identifying that management company. Where an Alternative Investment Fund Manager (AIFM) is responsible for reporting on behalf of an Alternative Investment Fund (AIF) in accordance with Article 4(3) of Regulation (EU) No 2365/2015, the unique code identifying that AIFM.

7. **Beneficiary Type:** Indicates the type of code used to identify the beneficiary. As this field is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade you should not populate this field and it should be provided on a trade by trade basis on the submitted report by the data submitter. CLC represents your own internal client code used to identify the Beneficiary.

LEI  
 CLC

8. **Beneficiary ID:** Where the beneficiary of the contract is not a counterparty to this contract, the reporting counterparty has to identify this beneficiary by specifying a unique code or, in case of a private individual, by specifying a client code used in a consistent manner as assigned by the legal entity used by that private individual.

9. **Data Usage Permission:** Add the investment firms that you are providing permission to use this data.

Consumers Available	Consumers Selected
Bank Julius Baer and Co. Ltd.(C5) Deutsche Bank AG(H4) Goldman Sachs and Co.(I7) JPMorgan Chase and Co.(L3) Jefferies Group LLC(L2) Morgan Stanley and Co. International plc(N8) NOVO BANCO, S.A.(Y3) Nomura International Plc(P1) October9POST(Q6) RWE Supply and Trading GmbH(Q8)	<input type="text"/>

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The following screen appears for the UK SFTR LEI Enrichment Data submission selection:

Welcome
Logout

DOCUMENTATION >>
PROVIDER VIEW >>

Please provide the following information.

1. **Reporting counterparty LEI:** Unique code identifying the reporting counterparty and is the entity that you are provided data for

2. **Nature of the Reporting Counterparty:** Indication of whether the reporting counterparty is a financial counterparty

Financial Counterparty

3. **Sector of the Reporting Counterparty:** One or more codes that classify the nature of the reporting counterparty's business activities. Where the reporting counterparty is a financial counterparty, all relevant codes included in the taxonomy for financial counterparties and applying to that counterparty. Where more than one activity is reported, the codes shall be specified in order of the relative importance of the corresponding activities.

CorporateSector Available	CorporateSector Selected
AIFD = AIF managed by AIFMs authorized or registered in accordance with CCPS = Central counterparty authorized in accordance with Regulation (EU) CDTI = Credit institution authorised in accordance with Directive 2013/36/EU CSDS = Central securities depository authorized in accordance with Regula INUN = Insurance undertaking authorized in accordance with Directive 200 INVF = Investment firm authorized in accordance with Directive 2014/65/EU ORDI = Institution for occupational retirement provision authorized or regis <	<input type="text"/>

**Additional sector classification:** Where the reporting counterparty is a UK UCITS (within the definition in section 237(3) of the FSMA) or Alternative Investment Fund (AIF) (within the definition in regulation 3 of the Alternative Investment Fund Managers Regulations 2013), a code that determines whether it is an Exchange-Traded Fund (ETF) or a Money Market Fund (MMF). Where the reporting counterparty is an Alternative Investment Fund (AIF) or a code that determines whether it is a Real Estate Investment Trust (REIT)

ETFT - Exchange-Traded Fund (ETF)  
 MMFT - Money Market Fund (MMF)  
 REIT - a Real Estate Investment Trust (REIT)  
 OTHR - Other

5. **Branch of the reporting Counterparty:** Where the reporting counterparty concludes an SFT through a branch office, the country code identifying the branch

**Entity responsible for the report LEI(ERFR LEI):** Where a financial counterparty is responsible for reporting on behalf of the other counterparty in accordance with Article 4(3) of Regulation (EU) No 2365/2015 of the Parliament and of the Council (2) or, if applicable, the equivalent UK Act, regulations, instruments or orders on reporting and transparency of securities financing transactions, the unique code identifying that financial counterparty. Where a management company is responsible for reporting on behalf of an Undertaking for Collective Investment in Transferable Securities (UCITS) in accordance with Article 4(3) of that Regulation or, if applicable, the equivalent UK Act, regulations, instruments or orders on reporting and transparency of securities financing transactions, the unique code identifying that management company.

6. **Beneficiary Type:** Indicates the type of code used to identify the beneficiary. As this field is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade you should not populate this field and it should be provided on a trade by trade basis on the submitted report by the data submitter. CLC represents your own internal client code used to identify the Beneficiary.

LEI  
 CLC

7. **Beneficiary ID:** Where the beneficiary of the contract is not a counterparty to this contract, the reporting counterparty has to identify this beneficiary by specifying a unique code or, in case of a private individual, by specifying a client code used in a consistent manner as assigned by the legal entity used by that private individual.

9. **Data Usage Permission:** Add the investment firms that you are providing permission to use this data.

Consumers Available

- Bank Julius Baer and Co. Ltd.(C5)
- Deutsche Bank AG(H4)
- Goldman Sachs and Co.(I7)
- JPMorgan Chase and Co.(L3)
- Jefferies Group LLC(L2)
- Morgan Stanley and Co. International plc(N8)
- NOVO BANCO, S.A.(Y3)
- Nomura International Plc(P1)
- October09POST(G6)
- RWE Supply and Trading GmbH(Q8)

Consumers Selected

3. Enter the appropriate Counterparty Reference information requested for the selected jurisdiction's screen.
4. Click the **Save and Submit** button if you are finished or the **Save and Close** button if you are not ready to submit the data at this time.

Consumers Available

- Bank Julius Baer and Co. Ltd.(C5)
- Credit Suisse(G6)
- Deutsche Bank AG(H4)
- Goldman Sachs and Co.(I7)
- JPMorgan Chase and Co.(L3)
- Jefferies Group LLC(L2)
- Morgan Stanley and Co. International plc(N8)
- NOVO BANCO, S.A.(Y3)
- Nomura International Plc(P1)
- RWE Supply and Trading GmbH(Q8)

Consumers Selected

## Provider: EMIR/FCA Specific Data Fields

For reference, the tables below outline the **EMIR/FCA** data fields that can be added, including a brief description.

1. LEI	Requirements
<b>Type of input</b>	Freeform text
<b>Permitted Inputs</b>	20-character alphanumeric code.
<b>Rules</b>	<i>Required Field.</i> Only an LEI is allowed in this field. This will be validated against the GLEIF data base and must have one of the following statuses: "Issued", "Pending transfer" or "Pending archival". Lapsed LEI's will not be accepted.
<b>Description</b>	This field represents the entity that has the reporting obligation and is a counterparty to the trade and is the entity that you are provided data for. Under EMIR, this represents the Reporting Counterparty.

2. Type of ID of the Beneficiary	Requirements
Type of input	Tick box
Permitted Inputs	<b>LEI</b> <b>CLC</b>
Rules	<i>Optional field</i>
Description to be shown	<p>As this is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade you should not populate this field and it should be provided on a trade by trade basis on the submitted report by the data submitter.</p> <p>If the Beneficiary for any trading is always the same an "LEI" should be selected. If the Beneficiary is a legal entity or a private individual and does not have a LEI a CLC can be added. CLC represents your own internal client code used to identify the Beneficiary.</p>

3. Beneficiary ID	Requirements
Type of input	Freeform text
Permitted Inputs	20-character alphanumerical value for LEI, 50-character alphanumerical value for CLC
Description to be shown	<p>An ISO 17442 Legal Entity Identifier (LEI) 20 alphanumerical character alphanumerical code should be provided or, if the client is not eligible for a Legal Entity Identifier, an alphanumerical character client code no more than 50 characters should be provided.</p> <p>This will be validated against the GLEIF Data base and must have one of the following statuses: "Issued", "Pending transfer" or "Pending archival" or "Lapsed".</p>

4. Trading Capacity	Requirements
Type of input	Tick box
Permitted Inputs:	<b>Principal</b> <b>Agent</b>
Rules	<i>Optional field</i>
Description to be shown	<p>This field identifies whether the Reporting Counterparty has concluded the contract as principal on their own account (on their own behalf or behalf of a client) or as an agent for the account of, and on behalf of, a client</p> <p>As this is reference data the values provided here will be used for all reporting for this Reporting Party. If the value may differ per trade this field should not be populated and it should be provided on a trade-by-trade basis on the submitted report by the data submitter.</p>

5. Nature of the Reporting Counterparty	Requirements
Type of input	Tick box
Permitted Inputs:	<ul style="list-style-type: none"> <li>• <b>Financial Counterparty</b></li> <li>• <b>Non-Financial Counterparty</b></li> </ul>

5. Nature of the Reporting Counterparty	Requirements
	<ul style="list-style-type: none"> <li>• <b>Central Counterparty</b></li> <li>• <b>Other</b></li> </ul>
<b>Rules</b>	<i>Required Field.</i>
<b>Description to be shown</b>	Indicates if the reporting counterparty is a CCP, financial, non-financial counterparty or other type of counterparty in accordance with point 5 of Article 5 or points 1, 8 and 9 of Article 2 of Regulation (EU) No 648/2012 of the European Parliament and of the Council.

6. Corporate Sector of the Reporting Counterparty	Requirements
<b>Type of input</b>	Multi Selection List
<b>Permitted Inputs</b>	<p>When “<b>Financial Counterparty</b>” has been selected in the <b>Nature of Reporting Counterparty</b> field, the following multi-selection list should be provided:</p> <ul style="list-style-type: none"> <li>• A = Assurance undertaking authorized in accordance with Directive 2009/138/EC of the European Parliament and of the Council</li> <li>• C = Credit institution authorized in accordance with Directive 2013/36/EU of the European Parliament and of the Council</li> <li>• F = Investment firm authorized in accordance with Directive 2004/39/EC of the European Parliament and of the Council</li> <li>• I = Insurance undertaking authorized in accordance with Directive 2009/138/EC</li> <li>• L = Alternative investment fund managed by Alternative Investment Fund Managers (AIFMs) authorized or registered in accordance with Directive 2011/61/EU of the European Parliament and of the Council</li> <li>• O = Institution for occupational retirement provision within the meaning of Article 6(a) of Directive 2003/41/EC of the European Parliament and of the Council</li> <li>• R = Reinsurance undertaking authorized in accordance with Directive 2009/138/EC</li> <li>• U = Undertakings for the Collective Investment in Transferable Securities (UCITS) and its management company, authorized in accordance with Directive 2009/65/EC of the European Parliament and of the Council.</li> </ul> <p>When “<b>Non-Financial Counterparty</b>” has been submitted in the “Nature of Reporting Counterparty” the following multi-selection list should be provided:</p> <ul style="list-style-type: none"> <li>• 1 = Agriculture, forestry and fishing</li> <li>• 2 = Mining and quarrying</li> <li>• 3 = Manufacturing</li> <li>• 4 = Electricity, gas, steam and air conditioning supply</li> <li>• 5 = Water supply, sewerage, waste management and remediation activities</li> <li>• 6 = Construction</li> <li>• 7 = Wholesale and retail trade, repair of motor vehicles and motorcycles</li> <li>• 8 = Transportation and storage</li> <li>• 9 = Accommodation and food service activities</li> <li>• 10 = Information and communication</li> <li>• 11 = Financial and insurance activities</li> <li>• 12 = Real estate activities</li> <li>• 13 = Professional, scientific and technical activities</li> <li>• 14 = Administrative and support service activities</li> <li>• 15 = Public administration and defense; compulsory social security</li> </ul>

6. Corporate Sector of the Reporting Counterparty	Requirements
	<ul style="list-style-type: none"> <li>• 16 = Education</li> <li>• 17 = Human health and social work activities</li> <li>• 18 = Arts, entertainment and recreation</li> <li>• 19 = Other service activities</li> <li>• 20 = Activities of households as employers; undifferentiated goods – and services – producing activities of households for own use</li> <li>• 21 = Activities of extraterritorial organizations and bodies.</li> </ul> <p>When “Central Counterparty” or “Other” has been submitted in the “Nature of Reporting Counterparty” this field should not be shown for input.</p>
<b>Rules</b>	<i>Conditional Field</i> (Required if <b>Nature of Reporting Counterparty</b> field = <b>Financial Counterparty</b> or <b>Non-Financial Counterparty</b> ; otherwise N/A)
<b>Description to be shown</b>	<p>This field identifies the nature of the reporting counterparty's company activities.</p> <p>Select all the activities that apply to the Reporting Counterparty activities. Where more than one activity is reported, the codes shall be populated in order of the relative importance of the corresponding activities.</p>

7. Directly Linked to Commercial Activity Or Treasury Financing	Requirements
<b>Type of input</b>	Tick box
<b>Permitted Inputs</b>	<b>Yes</b> <b>No</b>
<b>Rules</b>	<i>Conditional field</i> (Required if <b>Nature of the Reporting Counterparty</b> field = <b>Non-Financial Counterparty</b> ; otherwise N/A)
<b>Description to be shown</b>	<p>Information on whether the contract is objectively measurable as directly linked to the reporting counterparty's commercial or treasury financing activity, as referred to in Art. 10(3) of Regulation (EU) No 648/2012.</p> <p>Because this is reference data, the value provided here will be used for all reporting for this Reporting Party. If the value may differ per trade this field should not be populated and should be provided on a trade-by-trade basis on the submitted report by the data submitter.</p>

8. Clearing Threshold	Requirements
<b>Type of input</b>	Tick box
<b>Permitted Inputs</b>	<ul style="list-style-type: none"> <li>• <b>Above the threshold</b></li> <li>• <b>Below the threshold</b></li> </ul>
<b>Rules</b>	<i>Conditional field</i> (Required if “Nature of the reporting counterparty” = Non-Financial Counterparty; otherwise N/A)
<b>Description to be shown</b>	Information whether the Reporting Counterparty is above the clearing threshold referred to in Art. 10(3) of Regulation (EU) No 648/2012.

9. Execution Agent	Requirements
Type of input	Freeform text
Permitted Inputs	20-character alphanumerical code.
Rules	<i>Optional field.</i>
Description to be shown	<p>This field represents the identifier of the firm that manages the day to day trading activities of a fund and hence would be the firm that executes a trade on behalf of the fund.</p> <p>It must match the field that is being submitted by the data submitter on the trade messages.</p> <p>Only an LEI is allowed in this field. This will be validated against the GLEIF Data base and must have one of the following statuses: "Issued", "Pending transfer" or "Pending archival" or "Lapsed".</p>

10. Data Usage Permission	Requirements
Type of input	Multi Selection List
Permitted Inputs	Text
Rules	Multiple selections are allowed
Description to be shown	Add the investment firms that you are providing permission to use this data.

## FinfraG Specific Data Fields

For reference, the tables below outline the **FinfraG** data fields that can be added, including a brief description.

1. LEI	Requirements
Type of input	Freeform text
Permitted Inputs	20-character alphanumerical code.
Rules	<p><i>Required field</i></p> <p>Only an LEI is permitted in this field which will be validated against the GLEIF Data base and must have the following statuses: "Issued", "Pending transfer" or "Pending archival"</p>
Description to be shown	This field represents the entity that has the reporting obligation and is a counterparty to the trade and is the entity that you are provided data for. Under EMIR, this represents the Reporting Counterparty.

2. Status Of Reporting Counterparty	Requirements
Type of input	Tick box

2. Status Of Reporting Counterparty	Requirements
<b>Permitted Inputs displayed on drop down list:</b>	<ul style="list-style-type: none"> <li>• <b>Financial Counterparty</b></li> <li>• <b>Small Financial Counterparty</b></li> <li>• <b>Non-Financial Counterparty</b> that is not considered small</li> <li>• <b>Non-Financial Counterparty</b></li> <li>• <b>Central Counterparty</b></li> </ul>
<b>CRD Stored Format:</b>	<ul style="list-style-type: none"> <li>• FP = Financial counterparty which is not considered a small financial counterparty under Article 99 FMIA</li> <li>• FM = Small financial counterparty under Article 99 FMIA</li> <li>• NP = Non-financial counterparty under Article 93 paragraph 3 FMIA which is not considered a small non-financial counterparty under Article 98 FMIA</li> <li>• NM = Non-financial counterparty under Article 93 paragraph 3 FMIA</li> <li>• Q = Central counterparty</li> </ul>
<b>Rules</b>	<i>Required field</i>
<b>Description to be shown</b>	Indication whether the reporting counterparty is a financial or non-financial counterparty and whether the counterparty is in accordance with Articles 98 and 99 FMIA.

3. Corporate Sector Of Reporting Counterparty	Requirements
<b>Type of input</b>	Multi Selection List
<b>Permitted Inputs displayed on drop down list</b>	<p>For financial counterparties:</p> <ul style="list-style-type: none"> <li>• A = Banks in accordance with Article 1 paragraph 1 of the Banking Act of 8 November 193444</li> <li>• B = Securities dealers in accordance with Article 2 letter d of the Stock Exchange Act of 24 March 199545</li> <li>• C = Insurance and reinsurance companies in accordance with Article 2 paragraph 1 letter a of the Insurance Oversight Act of 17 December 200446</li> <li>• D = Group parent companies of a financial or insurance group or of a financial or insurance conglomerate</li> <li>• E = Fund managers and portfolio managers of collective investment schemes in accordance with Article 13 paragraph 2 letters a and f of the Collective Investment Schemes Act of 23 June 200647</li> <li>• F = Collective investment schemes in accordance with the Collective Investment Schemes Act</li> <li>• G = Occupational pension scheme and investment foundations in accordance with Article 48 et seq. of the Federal Act of 25 June 1982 on Occupational Old Age, Survivors' and Invalidity Pension Provision48</li> </ul> <p>Non-financial counterparties:</p> <ul style="list-style-type: none"> <li>• H = Oil and natural gas</li> <li>• I = Basic materials (chemicals, raw materials)</li> <li>• J = Industrial companies (construction, electronics, production technology, transportation, etc.)</li> <li>• K = Consumer goods (food, household appliances, etc.)</li> <li>• L = Healthcare</li> <li>• M = Consumer service (travel, media, etc.)</li> <li>• N = Telecommunications</li> <li>• O = Utilities (electricity, water, etc.)</li> </ul>



3. Corporate Sector Of Reporting Counterparty	Requirements
	<ul style="list-style-type: none"> <li>• P = Technology (software and hardware)</li> </ul> For central counterparties: <ul style="list-style-type: none"> <li>• Q = Central counterparty</li> </ul>
<b>CRD Stored Format:</b>	Store the short form (i.e. the letters or numbers).
<b>Rules</b>	When <b>Financial Counterparty</b> has been selected in the <b>Nature of Reporting Counterparty</b> field, it will only show the taxonomy associated with Financial Counterparty. Multiple values can be selected.  When <b>Non-Financial Counterparty</b> has been selected in the <b>Nature of Reporting Counterparty</b> field, it will show the non-financial counterparty taxonomy. Multiple values can be selected.  When <b>Central Counterparty</b> or <b>Other</b> has been submitted in the <b>Nature of Reporting Counterparty</b> field, this field should not be shown for input.
<b>Description to be shown</b>	This field identifies the nature of the reporting counterparty's company activities. Select all the activities that apply to the Reporting Counterparty activities.

4. Clearing Threshold	Requirements
<b>Type of input</b>	Drop down list
<b>Permitted Inputs displayed on drop down list</b>	<ul style="list-style-type: none"> <li>• <b>Above the threshold</b></li> <li>• <b>Below the threshold</b></li> </ul>
<b>CRD Stored Format</b>	Y = The reporting counterparty has exceeded the threshold in accordance with Article 100 FMIA at the time of reporting  N = The reporting counterparty has not exceeded the threshold in accordance with Article 100 FMIA at the time of reporting
<b>Rules</b>	<i>Optional field</i>
<b>Description to be shown</b>	Indication as to whether the reporting counterparty exceeds the clearing threshold at the time of reporting in accordance with Articles 98 or 99 FMIA

5. Execution Agent	Requirements
<b>Type of input</b>	Freeform text
<b>Permitted Inputs</b>	20-character alphanumerical code.
<b>Rules</b>	<i>Optional field.</i>  Only an LEI is permitted in this field and will be validated against the GLEIF database, must have the following statuses: "Issued", "Lapsed", "Pending transfer" or "Pending archival"

5. Execution Agent	Requirements
<b>Description to be shown</b>	This field represents the identifier of the firm that manages the day-to-day trading activities of a fund and hence would be the firm that executes a trade on behalf of the fund. It must match the field that is being submitted by the data submitter on the trade messages.

6. Data Usage Permission	Requirements
<b>Type of input</b>	Multi-selection list - drop down list.
<b>Permitted Inputs</b>	Multi-selection list - drop down list.
<b>Rules</b>	Text input searches on database of Consumers onboarded to CRD and provides potential matches. User can then select the Consumer. Multiple selections are allowed
<b>Description to be shown</b>	Add the investment firms that you are providing permission to use this data.

## Provider: Data Derived from GLEIF

The following two fields will be derived from the GLEIF using the Counterparty LEI provided (Value in question 1 of CRD survey). These new fields should be eligible for enrichment:

- “Name of the Reporting Counterparty” (maximum of 100 characters). This will be derived from the Legal Name in GLEIF.
- “Registered Office of the Reporting Counterparty” [maximum of 500 characters]. This will be derived from the Legal Address in GLEIF.

This is an example of the values that should be accepted for the Registered Office of the Reporting Counterparty (i.e. Legal Address):

7th Floor, Broadgate Quarter, One Snowden Street, London, EC2A 2DQ, GB

## EU SFTR Specific Fields

1. Reporting Counterparty LEI	Requirements
<b>Description</b>	Unique code identifying the reporting counterparty and is the entity that you are provided data for
<b>Type of Input</b>	Freeform text
<b>Permitted Inputs</b>	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumerical code
<b>Rules</b>	<i>Required field</i> LEI allowed in this field must be validated against the GLIEF Database

2. Nature of the Reporting Counterparty	Requirements
<b>Description</b>	Indication of whether the reporting counterparty is a financial or non-financial counterparty
<b>Type of Input</b>	Drop Down List
<b>Permitted Inputs</b>	<ul style="list-style-type: none"> <li>• <b>Financial counterparty</b></li> <li>• <b>Non-financial counterparty</b></li> </ul>
<b>Rules</b>	<p><i>Required field</i></p> <p>Selected value will be stored in a following format:  F = Financial Counterparty  N = Non-Financial Counterparty</p>

3. Sector of the Reporting Counterparty	Requirements
<b>Description</b>	<p>One or more codes that classify the nature of the reporting counterparty's business activities.</p> <p>Where the reporting counterparty is a financial counterparty, all relevant codes are included in the taxonomy for financial counterparties and applied to that counterparty.</p> <p>Where the reporting counterparty is a non-financial counterparty, all relevant codes are included in the taxonomy for non-financial counterparties and applied to that counterparty.</p> <p>Where more than one activity is reported, the codes shall be specified in order of the relative importance of the corresponding activities.</p>
<b>Type of Input</b>	Multi Selection List

3. Sector of the Reporting Counterparty	Requirements
<b>Permitted Inputs (Financial Counterparty)</b>	<p>When “Financial Counterparty” has been submitted in the “Nature of the Reporting Counterparty” the following multi-selection down list should be provided:</p> <p><b>Taxonomy for Financial Counterparties:</b></p> <ul style="list-style-type: none"> <li>• ‘CDTI’ - Credit institution authorised in accordance with Directive 2013/36/EU of the European Parliament and of the Council (1) or Council Regulation (EU) No 1024/2013(2) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘INVF’ - Investment firm authorized in accordance with Directive 2014/65/EU of the European Parliament and of the Council (3) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘INUN’ - Insurance undertaking authorized in accordance with Directive 2009/138/EC of the European Parliament and of the Council (4) (Solvency II) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘AIFD’ - AIF managed by AIFMs authorized or registered in accordance with Directive 2011/61/EU of the European Parliament and of the Council (5) or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘ORPI’ - Institution for occupational retirement provision authorized or registered in accordance with Directive 2003/41/EC of the European Parliament and of the Council (6) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘CCPS’ - Central counterparty authorized in accordance with Regulation (EU) No 648/2012 of the European Parliament and of the Council (7) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘REIN’ - Reinsurance undertaking authorized in accordance with Solvency II or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘CSDS’ - Central securities depository authorized in accordance with Regulation (EU) No 909/2014 of the European Parliament and of the Council (8) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘UCIT’ - UCITS and its management company, authorized in accordance with Directive 2009/65/EC of the European Parliament and of the Council (9) or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> </ul>

3. Sector of the Reporting Counterparty	Requirements
<b>Permitted Inputs (Non-Financial Counterparty)</b>	<p>When <b>Non-Financial Counterparty</b> is selected in the <b>Nature of the Reporting Counterparty</b> field, the following multi-selection list is provided.</p> <p><b>Taxonomy for Non-Financial Counterparties.</b> The categories below correspond to the main sections of NACE classification as defined in Regulation (EC) No 1893/2006 of the European Parliament and of the Council (10):</p> <ul style="list-style-type: none"> <li>• 'A' - Agriculture, forestry and fishing</li> <li>• 'B' - Mining and quarrying</li> <li>• 'C' - Manufacturing</li> <li>• 'D' - Electricity, gas, steam and air conditioning supply</li> <li>• 'E' - Water supply, sewerage, waste management and remediation activities</li> <li>• 'F' - Construction</li> <li>• 'G' - Wholesale and retail trade, repair of motor vehicles and motorcycles</li> <li>• 'H' - Transportation and storage</li> <li>• 'I' - Accommodation and food service activities</li> <li>• 'J' - Information and communication</li> <li>• 'K' - Financial and insurance activities</li> <li>• 'L' - Real estate activities</li> <li>• 'M' - Professional, scientific and technical activities</li> <li>• 'N' - Administrative and support service activities</li> <li>• 'O' - Public administration and defense; compulsory social security</li> <li>• 'P' - Education</li> <li>• 'Q' - Human health and social work activities</li> <li>• 'R' - Arts, entertainment and recreation</li> <li>• 'S' - Other service activities</li> <li>• 'T' - Activities of households as employers; undifferentiated goods – and services – producing activities of households for own use</li> <li>• 'U' - Activities of extraterritorial organizations and bodies</li> </ul>
<b>Rules</b>	<p><i>Required field</i></p> <p>When <b>Financial Counterparty</b> is selected in the <b>Nature of the Reporting Counterparty</b> field, only the taxonomy associated with Financial Counterparty shows. Multiple values are permitted to be selected.</p> <p>When <b>Non-Financial Counterparty</b> is selected in the <b>Nature of the Reporting Counterparty</b> field, only the non-financial counterparty taxonomy shows. Multiple values are permitted to be selected.</p>

4. Additional Sector Classification	Requirements
<b>Description</b>	<p>Where the reporting counterparty is an Undertaking for Collective Investment in Transferable Securities (UCITS) or Alternative Investment Fund (AIF), a code that determines whether it is an Exchange-Traded Fund (ETF) or a Money Market Fund (MMF) Where the reporting counterparty is an Alternative Investment Fund (AIF) or a non-financial counterparty undertaking financial and insurance activities or real estate activities, a code that determines whether it is a Real Estate Investment Trust (REIT)</p>
<b>Type of Input</b>	Drop Down List

4. Additional Sector Classification	Requirements
Permitted Inputs	<ul style="list-style-type: none"> <li>• <b>ETFT - Exchange-Traded Fund (ETF)</b></li> <li>• <b>MMFT - Money Market Fund (MMF)</b></li> <li>• <b>REIT - a Real Estate Investment Trust (REIT)</b></li> <li>• <b>OTHR - Other</b></li> </ul>
Rules	<p><i>Conditional field</i></p> <p>When <b>Sector of the Reporting Counterparty</b> is populated with <b>UCIT, AIFD, K</b> or <b>L</b>, this field shall be populated with only one permitted value.</p>

5. Branch of the Reporting Counterparty	Requirements
Description	Where the reporting counterparty completes an SFT through a branch office; the country code identifying the branch.
Type of Input	Drop Down List
Permitted Inputs	ISO 3166-1 alpha-2 country code 2 alphabetic characters
Rules	<p><i>Optional field</i></p> <p>When populated, the field shall contain a valid ISO 3166 country code, 2 alphabetical characters</p>

6. Entity Responsible for the Report LEI (ERFR LEI)	Requirements
Description	Where a financial counterparty is responsible for reporting on behalf of the other counterparty in accordance with Article 4(3) of Regulation (EU) No 2365/2015 of the Parliament and of the Council (2), the unique code identifying that financial counterparty. Where a management company is responsible for reporting on behalf of an Undertaking for Collective Investment in Transferable Securities (UCITS) in accordance with Article 4(3) of that Regulation the unique code identifying that management company. Where an Alternative Investment Fund Manager (AIFM) is responsible for reporting on behalf of an Alternative Investment Fund (AIF) in accordance with Article 4(3) of Regulation (EU) No 2365/2015, the unique code identifying that AIFM.
Type of Input	Freeform text
Permitted Inputs	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumerical code
Rules	<p><i>Required field</i></p> <p>LEI allowed in this field must be validated against the GLIEF Database</p>

7. Beneficiary – Type	Requirements
<b>Description</b>	Indicates the type of code used to identify the beneficiary. As this field is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade, you should not populate this field and it should be provided on a trade-by-trade basis on the submitted report by the data submitter. <b>CLC</b> represents your own internal client code used to identify the Beneficiary.
<b>Type of Input</b>	Drop Down List
<b>Permitted Inputs</b>	<ul style="list-style-type: none"> <li>• <b>LEI</b></li> <li>• <b>CLC</b></li> </ul>
<b>Rules</b>	<i>Optional field</i>

8. Beneficiary ID	Requirements
<b>Description</b>	Where the beneficiary of the contract is not a counterparty to this contract, the reporting counterparty has to identify this beneficiary by specifying a unique code or, in case of a private individual, by specifying a client code used in a consistent manner as assigned by the legal entity used by that private individual.
<b>Type of Input</b>	Freeform text
<b>Permitted Inputs</b>	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumeric code or Client code (up to 50 alphanumeric characters).
<b>Rules</b>	<p><i>Conditional field</i></p> <p>If <b>LEI</b> has been selected in the <b>Beneficiary Type</b> field, this field must be populated. Only <b>LEI</b> is allowed in this field, and it must be validated against the GLIEF Database</p> <p>If <b>CLC</b> has been selected in the <b>Beneficiary Type</b> field, this field must be populated and only a value of up to 50 alphanumeric characters can be provided. In this instance, the field should not allow more than 50 alphanumeric characters</p>

9. Data Usage Permission	Requirements
<b>Description</b>	Add the investment firms that you are providing permission to use this data.
<b>Type of Input</b>	Multi Selection List
<b>Permitted Inputs</b>	List of Consumers onboarded to CRD
<b>Rules</b>	<i>Optional field</i>

## UK SFTR Specific Fields

1. Reporting Counterparty LEI	Requirements
<b>Description</b>	Unique code identifying the reporting counterparty and is the entity that you are provided data for
<b>Type of Input</b>	Freeform text
<b>Permitted Inputs</b>	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumerical code
<b>Rules</b>	<i>Required field</i>  LEI allowed in this field must be validated against the GLIEF Database

2. Nature of the Reporting Counterparty	Requirements
<b>Description</b>	Indication of whether the reporting counterparty is a financial counterparty
<b>Type of Input</b>	Drop Down List
<b>Permitted Inputs</b>	<ul style="list-style-type: none"> <li><b>Financial counterparty</b></li> </ul>
<b>Rules</b>	<i>Required field</i>  Selected value will be stored in a following format: F = Financial Counterparty

3. Sector of the Reporting Counterparty	Requirements
<b>Description</b>	<p>One or more codes that classify the nature of the reporting counterparty's business activities.</p> <p>Where the reporting counterparty is a financial counterparty, all relevant codes are included in the taxonomy for financial counterparties and applied to that counterparty.</p> <p>Where more than one activity is reported, the codes shall be specified in order of the relative importance of the corresponding activities.</p>
<b>Type of Input</b>	Multi Selection List



3. Sector of the Reporting Counterparty	Requirements
<p><b>Permitted Inputs (Financial Counterparty)</b></p>	<p>When “Financial Counterparty” has been submitted in the “Nature of the Reporting Counterparty” the following multi-selection down list should be provided:</p> <p><b>Taxonomy for Financial Counterparties:</b></p> <ul style="list-style-type: none"> <li>• ‘CDTI’ - Credit institution authorised in accordance with Directive 2013/36/EU of the European Parliament and of the Council (1) or Council Regulation (EU) No 1024/2013(2) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘INVF’ - Investment firm authorized in accordance with Directive 2014/65/EU of the European Parliament and of the Council (3) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘INUN’ - Insurance undertaking authorized in accordance with Directive 2009/138/EC of the European Parliament and of the Council (4) (Solvency II) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘AIFD’ - AIF managed by AIFMs authorized or registered in accordance with Directive 2011/61/EU of the European Parliament and of the Council (5) or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘ORPI’ - Institution for occupational retirement provision authorized or registered in accordance with Directive 2003/41/EC of the European Parliament and of the Council (6) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘CCPS’ - Central counterparty authorized in accordance with Regulation (EU) No 648/2012 of the European Parliament and of the Council (7) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘REIN’ - Reinsurance undertaking authorized in accordance with Solvency II or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘CSDS’ - Central securities depository authorized in accordance with Regulation (EU) No 909/2014 of the European Parliament and of the Council (8) or a third-country entity which would require authorisation or registration in accordance with that legislative act</li> <li>• ‘UCIT’ - UCITS and its management company, authorized in accordance with Directive 2009/65/EC of the European Parliament and of the Council (9) or a third- country entity which would require authorisation or registration in accordance with that legislative act</li> </ul>
<p><b>Rules</b></p>	<p><i>Required field</i></p> <p>When <b>Financial Counterparty</b> is selected in <b>Nature of the Reporting Counterparty</b> field, only the taxonomy associated with Financial Counterparty shows. Multiple values are permitted to be selected.</p>

4. Additional Sector Classification	Requirements
<b>Description</b>	Where the reporting counterparty is a UK UCITS (within the definition in section 237(3) of the FSMA) or Alternative Investment Fund (AIF) (within the definition in regulation 3 of the Alternative Investment Fund Managers Regulations 2013), a code that determines whether it is an Exchange-Traded Fund (ETF) or a Money Market Fund (MMF) Where the reporting counterparty is an Alternative Investment Fund (AIF) or a code that determines whether it is a Real Estate Investment Trust (REIT)
<b>Type of Input</b>	Drop Down List
<b>Permitted Inputs</b>	<ul style="list-style-type: none"> <li>• <b>ETFT - Exchange-Traded Fund (ETF)</b></li> <li>• <b>MMFT - Money Market Fund (MMF)</b></li> <li>• <b>REIT - a Real Estate Investment Trust (REIT)</b></li> <li>• <b>OTHR - Other</b></li> </ul>
<b>Rules</b>	<p><i>Conditional field</i></p> <p>When <b>Sector of the Reporting Counterparty</b> is populated with <b>UCIT</b> or <b>AIFD</b>, this field shall be populated with only one permitted value.</p>

5. Branch of the Reporting Counterparty	Requirements
<b>Description</b>	Where the reporting counterparty completes an SFT through a branch office; the country code identifying the branch.
<b>Type of Input</b>	Drop Down List
<b>Permitted Inputs</b>	ISO 3166-1 alpha-2 country code 2 alphabetic characters
<b>Rules</b>	<p><i>Optional field</i></p> <p>When populated, the field shall contain a valid ISO 3166 country code, 2 alphabetical characters</p>

6. Entity Responsible for the Report LEI (ERFR LEI)	Requirements
<b>Description</b>	Where a financial counterparty is responsible for reporting on behalf of the other counterparty in accordance with Article 4(3) of Regulation (EU) No 2365/2015 of the Parliament and of the Council (2) or, if applicable, the equivalent UK Act, regulations, instruments or orders on reporting and transparency of securities financing transactions, the unique code identifying that financial counterparty. Where a management company is responsible for reporting on behalf of an Undertaking for Collective Investment in Transferable Securities (UCITS) in accordance with Article 4(3) of that Regulation or, if applicable, the equivalent UK Act, regulations, instruments or orders on reporting and transparency of securities financing transactions, the unique code identifying that management company. Where an Alternative Investment Fund Manager (AIFM) is responsible for reporting on behalf of an Alternative Investment Fund (AIF) in accordance with Article 4(3) of Regulation (EU) No 2365/2015 or, if applicable, the equivalent UK Act, regulations, instruments or orders on reporting and transparency of securities financing transactions, the unique code identifying that AIFM.

6. Entity Responsible for the Report LEI (ERFR LEI)	Requirements
Type of Input	Freeform text
Permitted Inputs	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumerical code
Rules	<i>Required field</i>  LEI allowed in this field must be validated against the GLIEF Database

7. Beneficiary – Type	Requirements
Description	Indicates the type of code used to identify the beneficiary. As this field is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade, you should not populate this field and it should be provided on a trade-by-trade basis on the submitted report by the data submitter. <b>CLC</b> represents your own internal client code used to identify the Beneficiary.
Type of Input	Drop Down List
Permitted Inputs	<ul style="list-style-type: none"> <li>• LEI</li> <li>• CLC</li> </ul>
Rules	<i>Optional field</i>

8. Beneficiary ID	Requirements
Description	Where the beneficiary of the contract is not a counterparty to this contract, the reporting counterparty has to identify this beneficiary by specifying a unique code or, in case of a private individual, by specifying a client code used in a consistent manner as assigned by the legal entity used by that private individual.
Type of Input	Freeform text
Permitted Inputs	ISO 17442 Legal Entity Identifier (LEI) 20-character alphanumeric code or Client code (up to 50 alphanumeric characters).
Rules	<i>Conditional field</i>  If <b>LEI</b> has been selected in the <b>Beneficiary Type</b> field, this field must be populated. Only <b>LEI</b> is allowed in this field, and it must be validated against the GLIEF Database  If <b>CLC</b> has been selected in the <b>Beneficiary Type</b> field, this field must be populated and only a value of up to 50 alphanumeric characters can be provided. In this instance, the field should not allow more than 50 alphanumeric characters

9. Data Usage Permission	Requirements
Description	Add the investment firms that you are providing permission to use this data.
Type of Input	Multi Selection List

9. Data Usage Permission	Requirements
Permitted Inputs	List of Consumers onboarded to CRD
Rules	Optional field

## Saving and Viewing Data

Once the applicable data fields have been populated, click the **Save and Submit** button as shown below:

**Data Usage Permission:** Add the investment firms that you are providing permission to use this data.

Consumers Available

- Bank Julius Baer and Co. Ltd.(C5)
- Deutsche Bank AG(H4)
- Goldman Sachs and Co.(I7)
- JPMorgan Chase and Co.(L3)
- Jefferies Group LLC(L2)
- Morgan Stanley and Co. International plc(N8)
- NOVO BANCO, S.A.(Y3)
- Nomura International Plc(P1)
- October09POST(G6)
- RWE Supply and Trading GmbH(Q8)

Add ->

<- Remove

Consumers Selected

**Save and Submit**   Save and Close   Cancel

The Counterparty Data Summary screen appears and all the submitted data can be viewed under View/Edit Submitted Counterparty Data section.

**View/Edit Submitted Counterparty Data**  
 Click the View link to view a previously submitted Counterparty Data, Update link to Edit Counterparty Data Entry and Delete link to delete the submitted Counterparty Data

**LEI Search**

Show 10 entries

Reporting Destination	Identifier	Entitled Consumers	Execution Agent/ERFR LEI	Date Completed	Action
FINMA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
ESMA,FCA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
EUSFTR	LEI: 222100BN871FTRHEX921	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
UKSFTR	LEI: 222100BN871FTRHEX921	Goldman Sachs and Co.(I7)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>

If you click the **Save and Close** button, the counterparty reference data will be saved but not submitted.

**Note:**

Outstanding Counterparty Data records will be available in the portal for a period of 30 calendar days and can be viewed in the Provider View Counterparty Data Summary screen under Outstanding Counterparty data section. You can click on Continue and Submit the LEI enrichment data later.

**Outstanding Counterparty data**  
 Click the Continue link to continue with Counterparty data Entry listed below.

Show 10 entries

Reporting Destination	Identifier	Entitled Consumers	Execution Agent/ERFR LEI	Action
UKSFTR	LEI: 2221006MJ5YLSTXIV491			<a href="#">Continue</a>
EUSFTR	LEI: 2221006MJ5YLSTXIV491			<a href="#">Continue</a>
FINMA	LEI: 2221006MJ5YLSTXIV491			<a href="#">Continue</a>
ESMA,FCA	LEI: 2221006MJ5YLSTXIV491			<a href="#">Continue</a>

Showing 1 to 4 of 4 entries

You can also download all the active LEI enrichment data submitted through your User ID for all EMIR/FCA, FinfraG, EU SFTR and UK SFTR by clicking on the **Download All-EMIR/FCA**, **Download All-FinfraG**, **Download All-EU SFTR** or **Download All-UK SFTR** buttons.

**Download Counterparty data**  
Click the Download to download all the outstanding and completed Counterparty data for the selected reporting destination.

Report	Action
Download CounterParty Summary	<a href="#">Download All-EMIR/FCA</a> <a href="#">Download All-FinraG</a> <a href="#">Download All-EU SFTR</a> <a href="#">Download All-UK SFTR</a> <input checked="" type="radio"/> .xlsx <input type="radio"/> .xls

## Updating and Deleting Data

You can view, update, and delete the completed Counterparty Data records you entered using the corresponding links under the Action tab.

Date Completed	Action
08/22/2017	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>

For example: You, as the Data Provider, could update your Corporate Sector. You would:

1. Select the **Counterparty Data Summary** menu option under Provider View to get to the View/Edit Submitted Counterparty Data section. This section displays a list of data records that can be edited.

2. Click the **Update** link for the ESMA;FCA record to edit the Corporate sector value.

### View/Edit Submitted Counterparty Data

Click the View link to view a previously submitted Counterparty Data, Update link to Edit Counterparty Data Entry and Delete link to delete the submitted Counterparty Data

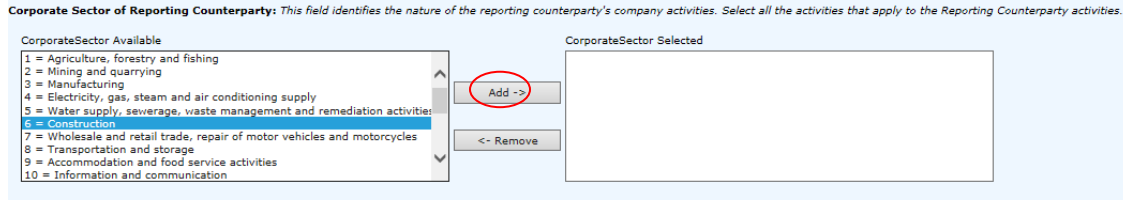
Show 10 entries

[LEI Search](#)

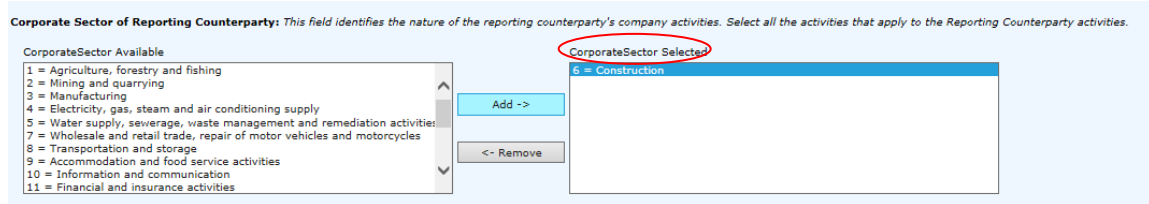
Reporting Destination	Identifier	Entitled Consumers	Execution Agent/ERFR LEI	Date Completed	Action
FINMA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a> <a href="#">Update</a> <a href="#">Delete</a>
ESMA;FCA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a> <a href="#">Update</a> <a href="#">Delete</a>
EUSFTR	LEI: 222100BN871FTRHEX921	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a> <a href="#">Update</a> <a href="#">Delete</a>
UKSFTR	LEI: 222100BN871FTRHEX921	Goldman Sachs and Co.(I7)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a> <a href="#">Update</a> <a href="#">Delete</a>

The next screen reveals the current reference data fields.

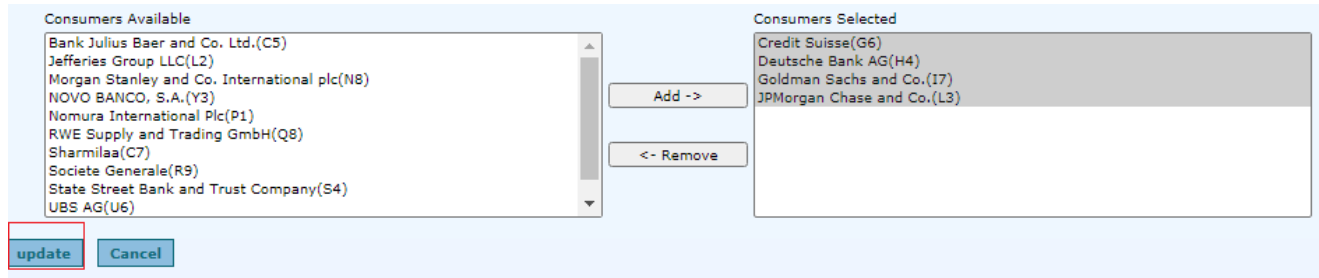
3. Highlight the relevant Corporate Sector and click the **Add** button.



The selected Corporate Sector appears in the **CorporateSector Selected** box, as shown below:



4. Scroll down to the bottom of the page and click the **Update** button to save the data.



You can view the details of the updated record, such as the date it was updated, in the Counterparty Data Summary page under View/Edit Submitted Counterparty Data section.

**View/Edit Submitted Counterparty Data**  
Click the View link to view a previously submitted Counterparty Data, Update link to Edit Counterparty Data Entry and Delete link to delete the submitted Counterparty Data

LEI Search

Show 10 entries

Reporting Destination	Identifier	Entitled Consumers	Execution Agent/ERFR LEI	Date Completed	Action
FINMA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
ESMA/FCA	LEI: 22210069TOKKMSAWJL10	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	22210069TOKKMSAWJL10	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
EUSFTR	LEI: 222100BN871FTRHEX921	Credit Suisse(G6);Deutsche Bank AG(H4);Goldman Sachs and Co.(I7);JPMorgan Chase and Co.(L3)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>
UKSFTR	LEI: 222100BN871FTRHEX921	Goldman Sachs and Co.(I7)	222100BN871FTRHEX921	10/09/2020	<a href="#">View</a>   <a href="#">Update</a>   <a href="#">Delete</a>

## Bulk Representation Letter Upload

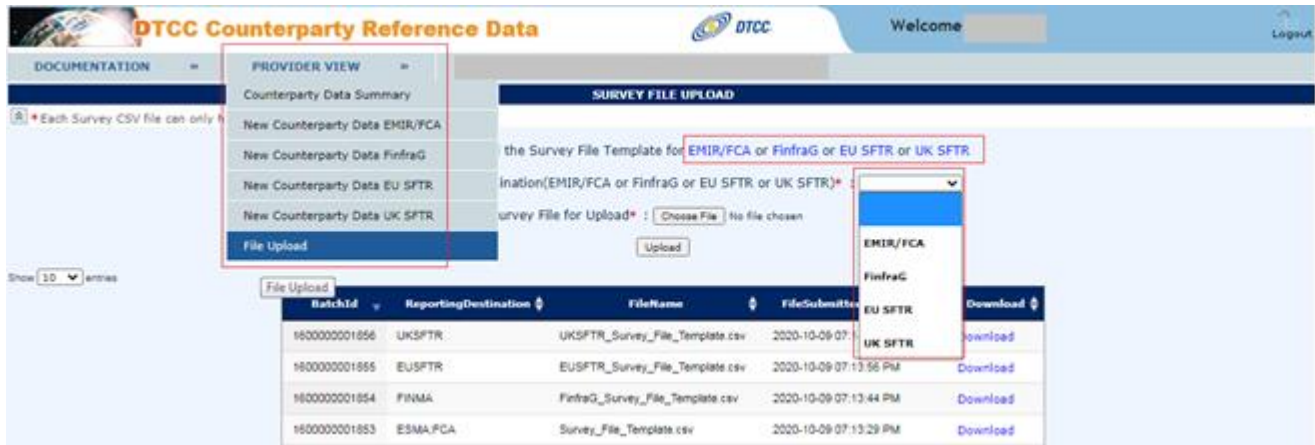
As a Data Provider, you can upload records in bulk via a spreadsheet upload.

1. Select the **File Upload** menu option under the Provider View tab.

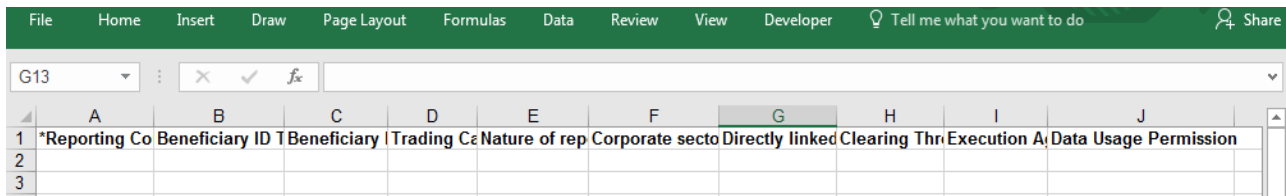
**Note:**

EMIR/FCA, FinfraG, EU SFTR and UK SFTR use different templates.

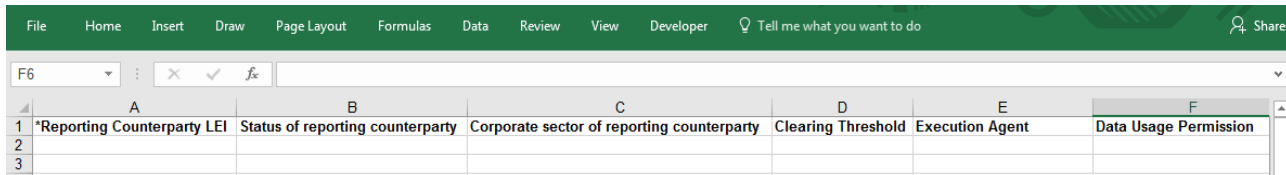
2. Download the correct template by clicking on the jurisdiction link.



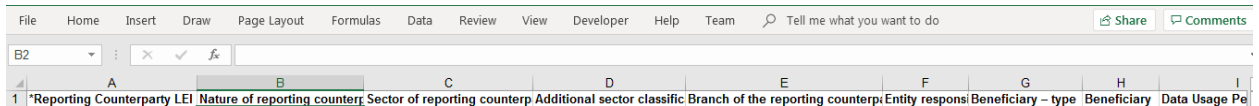
After clicking on “EMIR/FCA” the following survey file template will be downloaded:



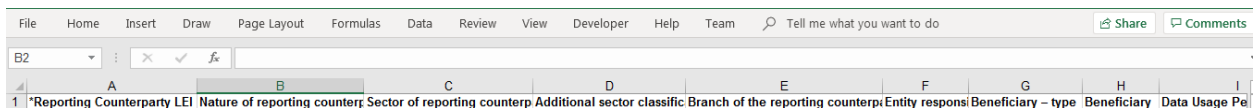
After clicking on “FinfraG” the following survey file template will be downloaded:



After clicking on “EU SFTR” the following survey file template will be downloaded:



After clicking on “UK SFTR” the following survey file template will be downloaded:



3. Input the bulk LEI data and save the CSV survey file.

See [Annex 1](#) and [EMIR/FCA Specific Data Fields](#) for EMIR/FCA. See [FinfraG Specific Data Fields](#) for FinfraG. See [EU SFTR and UK SFTR Specific Fields](#) for EU SFTR and UK SFTR. This outlines, amongst other things, a Description of the field, the valid values and format or whether it is Required, Conditional or Optional.

4. Select the corresponding Reporting Destination value as EMIR/FCA (or) FinfraG (or) EU SFTR (or) UK SFTR



- Click on Browse (for IE browser)/Choose File (for Chrome browser) to select the survey csv file and then click on Upload.

DTCC Counterparty Reference Data

DOCUMENTATION PROVIDER VIEW SURVEY FILE UPLOAD

Each Survey CSV file can only have maximum of 30K records

Click here to download the Survey File Template for EMIR/FCA or FinfraG or EU SFTR or UK SFTR

Select Reporting Destination(EMIR/FCA or FinfraG or EU SFTR or UK SFTR)\* :

Select Survey File for Upload\* : Choose File No file chosen

Upload

Show 10 entries

BatchId	ReportingDestination	FileName	FileSubmittedTimestamp	Download
160000001856	UKSFTR	UKSFTR_Survey_File_Template.csv	2020-10-09 07:13:56 PM	Download
160000001855	EUSFTR	EUSFTR_Survey_File_Template.csv	2020-10-09 07:13:56 PM	Download
160000001854	FINMA	FinfraG_Survey_File_Template.csv	2020-10-09 07:13:44 PM	Download
160000001853	ESMA/FCA	Survey_File_Template.csv	2020-10-09 07:13:29 PM	Download

Once you have uploaded the file a Batch ID will be assigned and a Batch Download Report will be created. This Batch Download Report will display each field that has been uploaded and the status of each record, i.e whether the record was accepted or not.

- To download this report select 'Download' from the File Upload section of the Provider View, as outlined in the screenshot below.

DTCC Counterparty Reference Data

DOCUMENTATION PROVIDER VIEW SURVEY FILE UPLOAD

Each Survey CSV file can only have maximum of 30K records

Click here to download the Survey File Template for EMIR/FCA or FinfraG or EU SFTR or UK SFTR

Select Reporting Destination(EMIR/FCA or FinfraG or EU SFTR or UK SFTR)\* :

Select Survey File for Upload\* : Choose File No file chosen

Upload

Show 10 entries

BatchId	ReportingDestination	FileName	FileSubmittedTimestamp	Download
160000001856	UKSFTR	UKSFTR_Survey_File_Template.csv	2020-10-09 07:14:10 PM	Download
160000001855	EUSFTR	EUSFTR_Survey_File_Template.csv	2020-10-09 07:13:56 PM	Download
160000001854	FINMA	FinfraG_Survey_File_Template.csv	2020-10-09 07:13:44 PM	Download
160000001853	ESMA/FCA	Survey_File_Template.csv	2020-10-09 07:13:29 PM	Download

This Batch Download report is in the same format as the file used to bulk upload data (i.e. the Survey File), with the addition of three extra columns – 'Status', 'Reject Code' and 'Reject Reason'. If these three extra columns are removed then the file can be used to bulk update or edit records in the CRD portal. Batch Download Report will be available in the portal for all the files which are submitted in the past 7 days.



# CONSUMER VIEW

Consumers are on-boarded GTR clients that offer a delegated reporting service to report derivative contracts on behalf of their counterparties - they will use the reference data located in CRD portal to facilitate this. Consumers are required to sign an additional User Agreement to use the CRD Portal – this document can be obtained from GTR Onboarding.

To access the Consumer section of the CRD portal, select 'Consumer View' as shown in the screenshot below.

Creation Timestamp	Reporting Counterparty LEI	Execution Agent/ERFR LEI	Reporting Destination	Action
2020-10-09 08:05:24 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	UKSFTR	<a href="#">View</a>
2020-10-09 08:04:53 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	EUSFTR	<a href="#">View</a>
2020-10-09 08:04:18 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	FINMA	<a href="#">View</a>
2020-10-09 08:00:51 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	ESMA,FCA	<a href="#">View</a>

## View Consumer Reports

By selecting the 'View Reports' section Consumers will be able to view any new or updated records within a specific date range. This can be seen as a delta report for consumers to see any changes to the data to which they have been permissioned.

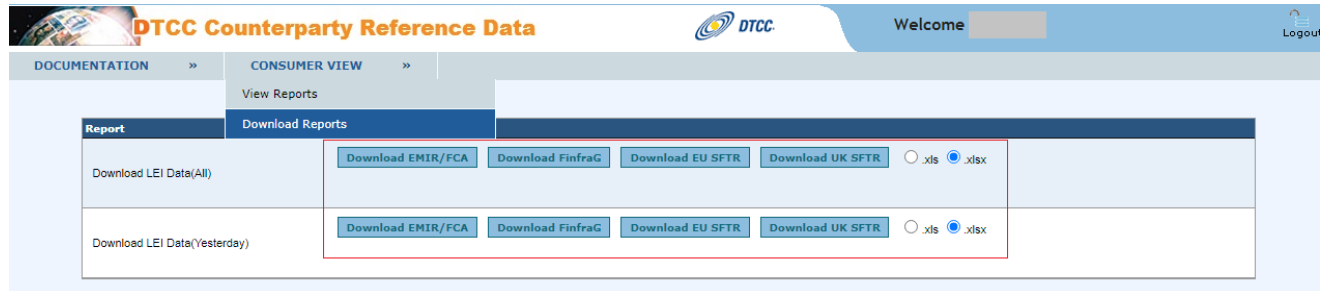
To review the changes add a 'From Date' and 'To Date' and select 'Search'. This will display any added or updated records. By selecting 'Download EMIR/FCA' or 'Download FinfraG' or 'Download EU SFTR' or 'Download UK SFTR' consumers will be able to extract the report in an excel format.

Creation Timestamp	Reporting Counterparty LEI	Execution Agent/ERFR LEI	Reporting Destination	Action
2020-10-09 08:05:24 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	UKSFTR	<a href="#">View</a>
2020-10-09 08:04:53 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	EUSFTR	<a href="#">View</a>
2020-10-09 08:04:18 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	FINMA	<a href="#">View</a>
2020-10-09 08:00:51 PM	2221006DVKEYJBETE761	2221006DVKEYJBETE761	ESMA,FCA	<a href="#">View</a>

## Download Consumer Reports

By selecting "Download Report" consumers will be able to access two different reports:

1. **'Download LEI Data(All)'** - complete download of LEI/Reference Data that Consumers have been permitted to see. This is all the data as of current state.
2. **'Download LEI Data(Yesterday)'** – complete download of LEI/Reference Data that consumers have been permitted to see. This is as of the previous business day.



The report for EMIR/FCA data will contain the following fields:

- Consumer Name - Name of permitted entity
- Status
- Submitted Date Time
- Reporting Counterparty LEI
- Country of Reporting Counterparty
  - Please note that we will derive this field from the GLEIF.
- Beneficiary Id Type
- Beneficiary Id
- Trading Capacity
- Nature of Reporting Counterparty
- Corporate Sector of Reporting Counterparty
- Directly Linked Commercial Activity
- Clearing Threshold
- Execution Agent
- User ID

The report for FinfraG data will contain the following fields:

- Consumer Name - Name of permitted entity
- Status
- Submitted Date Time
- Reporting Counterparty LEI
- Status of Reporting Counterparty
- Corporate Sector of Reporting Counterparty
- Clearing Threshold
- Execution Agent
- Name of Reporting Counterparty
  - Please note that we will derive this field from the GLEIF
- Registered Office of Reporting Counterparty
  - Please note that we will derive this field from the GLEIF

- User ID

The report for EU SFTR and UK SFTR data will contain the following fields:

- Consumer Name
- Status
- Submitted DateTime
- Reporting Counterparty LEI
- Nature of the reporting counterparty
- Sector of the reporting counterparty
- Additional sector classification
- Branch of the reporting counterparty
- Entity responsible for the report LEI
- Beneficiary - type
- Beneficiary
- User ID

# PRIVACY POLICY / TERMS OF USE

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For the DTCC Privacy Policy and Terms of Use please go to the link below.

<http://www.dtcc.com/privacy.php>

# ANNEX 1: BULK UPLOAD MESSAGE SPECIFICATIONS FOR EMIR/FCA

#	Field Name	Required/ Conditional/ Optional	Conditionality (Explains the conditionality when "C" is specified in column C)	Description	Valid Value(s)	Field Format	Sample Value
1	LEI	R		This field represents the entity that has the reporting obligation and is counterparty to the trade, and is the entity that you are provided data for. Under EMIR, this represents the Reporting Counterparty. A ISO 17442 Legal Entity Identifier (LEI) 20 alphanumeric character code.		20 Characters	ABCDEFGHJ1234567890
2	Type of ID of the Beneficiary	O		As this field is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the Beneficiary differs by trade you should not populate this field and it should be provided on a trade by trade basis on the submitted report by the data submitter.  If the Beneficiary for any trading is always the same a "LEI" should be selected if the Beneficiary is a legal entity or a "CLC" if the Beneficiary is a private individual and does not have a LEI. CLC represents your own internal client code used to identify the Beneficiary.	Valid values are: "LEI" or "CLC"	3 Characters	LEI
3	Beneficiary ID	C	Required when Type of ID of the Beneficiary is populated; Otherwise, Not Applicable.	A ISO 17442 Legal Entity Identifier (LEI) 20 alphanumeric character code should be provided or up to 50 alphanumeric character client code in the case where the client is not eligible for a Legal Entity Identifier		50 Characters	ABCDEFGHJ1234567890
4	Trading Capacity	O		This field identifies whether the Reporting Counterparty has concluded the contract as principal on own account (on own behalf or behalf of a client) or as agent for the account of and on behalf of a client.  As this is reference data, the same values provided here will be used for all reporting for this Reporting Party. If the value could differ for different trades this field should not be populated and it should be provided on a trade by trade basis on the submitted report by the data submitter.	Valid values are: "Principal" or "Agent"	10 Characters	Agent
5	Nature of the Reporting Counterparty	R		Indicates if the reporting counterparty is a CCP, a financial, non-financial counterparty or other type of counterparty in accordance with point 5 of Article 5 or points 1, 8 and 9 of Article 2 of Regulation (EU) No 648/2012 of the European Parliament and of the Council.	Valid values are: "Financial Counterparty" "Non-Financial Counterparty" "Central Counterparty" "Other"	30 Characters	Financial Counterparty
6	Corporate Sector of the Reporting Counterparty	C	Required when Nature of the Reporting Counterparty = "Financial Counterparty"; "Non-Financial Counterparty"; Otherwise, Not Applicable.	Corporate sector is a field required under EMIR. EMIR prescribes different lists of values that are acceptable in this field. Having a single field with a running set of values will enable firms to report a single trade. Multiples may be selected.	When "Financial Counterparty" has been submitted in the "Nature of Reporting Counterparty" the following multi-selection down list should be provided: • A = Assurance undertaking authorized in accordance with Directive 2009/138/EC of the European Parliament and of the Council • C = Credit institution authorized in accordance with Directive 2013/36/EU of the European Parliament and of the Council • F = investment firm authorized in accordance with Directive 2004/39/EC of the European Parliament and of the Council and its management company, authorized in accordance with Directive 2009/65/EC of the European Parliament and of the Council. When "Non-Financial Counterparty" has been submitted in the "Nature of Reporting Counterparty" the following multi selection down list should be provided: • 1 = Agriculture, forestry and fishing • 2 = Mining and quarrying • 3 = Manufacturing • 4 = Electricity, gas, steam and air conditioning supply • 5 = Water supply, sewerage, waste management and remediation activities  PLEASE SEE PAGE 10 FOR FULL LIST OF SECTORS	20 Characters	A,C,R
7	Directly linked to commercial activity or treasury financing	C	Required when Nature of the Reporting Counterparty = "Non-Financial Counterparty"; Otherwise, Not Applicable.	Information on whether the contract is objectively measurable as directly linked to the reporting counterparty's commercial or treasury financing activity, as referred to in Art. 10(3) of Regulation (EU) No 648/2012.	Valid values are: "Yes" or "No"	3 Characters	Yes
8	Clearing Threshold	C	Required when Nature of the Reporting Counterparty = "Non-Financial Counterparty"; Otherwise, Not Applicable.	Information on whether the reporting counterparty is above the clearing threshold as referred to in Art. 10(3) of Regulation (EU) No 648/2012.	Valid values are: "Above the threshold" or "Below the threshold"	20 Characters	Above the threshold
9	Execution Agent	O		This field represents the identifier of the firm that manages the day to day trading activities of a fund and hence would be the firm that executes a trade on behalf of the fund.  A ISO 17442 Legal Entity Identifier (LEI) 20 alphanumeric character code.		20 Characters	ABCDEFGHJ1234567890
10	Data Usage Permission	R		This field represents the investment firms/consumers that you are providing permission to use this data. Only single Consumer per row will be allowed, multiple values will result in a reject.	Suggested values are listed on the "List of Valid Consumers" tab.  Please Note: These are the 8 consumers that are currently utilizing data held in the CRD portal:  Deutsche Bank AG(H4) Goldman Sachs and Co.(L3) JPMorgan Chase and Co.(L3) Jefferies Group LLC(L2) Nomura Securities Co., Ltd.(P1) Newedge Group(O8) UBS AG(U8) Westpac Banking Corporation(V4)	50 Characters	Deutsche Bank AG(H4)

## FOR MORE INFORMATION

Email DTCC Learning at:

[derivativeslearning@dtcc.com](mailto:derivativeslearning@dtcc.com)

or visit us on the web at:

[www.dtccllearning.com](http://www.dtccllearning.com)