

GUI – Short Code ID and Algo ID upload

User Guide

Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange)
Eurex Deutschland
European Energy Exchange (EEX)

© Deutsche Börse Group 2024

This publication is for informational purposes only. None of the information in this publication constitutes investment advice and does not constitute an offer to sell or a solicitation of an offer to purchase any contract, share or other financial instrument. This publication is not intended for solicitation purposes but only for use as general information. All descriptions, examples and calculations contained in this publication are for illustrative purposes only.

Deutsche Börse AG, Frankfurter Wertpapierbörse (FWB[®], the Frankfurt Stock Exchange), Eurex Frankfurt AG, Eurex Deutschland and Eurex Clearing AG do not represent that the information in this publication is comprehensive, complete or accurate and exclude liability for any consequence resulting from acting upon the contents of this or another publication, in so far as no wilful violation of obligations took place or, as the case may be, no injury to life, health or body arises or claims resulting from the Product Liability Act are affected.

Securities traded on the Frankfurt Stock Exchange and Eurex derivatives (other than EURO STOXX 50[®] Index Futures contracts, EURO STOXX[®] Select Dividend 30 Index Futures contracts, STOXX[®] Europe 50 Index Futures contracts, STOXX[®] Europe 600 Index Futures contracts, STOXX[®] Europe Large/Mid/Small 200 Index Futures contracts, EURO STOXX[®] Banks Sector Futures contracts, STOXX[®] Europe 600 Banks/Industrial Goods & Services/Insurance/Media/Personal & Household Goods/Travel & Leisure/Utilities Futures contracts, Dow Jones Global Titans 50 IndexSM Futures contracts, DAX[®] Futures contracts, MDAX[®] Futures contracts, TecDAX[®] Futures contracts, SMIM[®] Futures contracts, SLI Swiss Leader Index[®] Futures contracts, RDXxt[®] USD - RDX Extended Index Futures contracts, Eurex inflation/commodity/weather/property and interest rate derivatives) are currently not available for offer, sale or trading in the United States nor may they be offered, sold or traded by persons to whom US tax laws apply.

The fund shares listed in XTF Exchange Traded Funds[®] are admitted for trading on the Frankfurt Stock Exchange. Users of this information service who legally reside outside Germany are herewith advised that sale of the fund shares listed in XTF Exchange Traded Funds may not be permitted in their country of residence. The user makes use of the information at their own risk.

Legal validity of this disclaimer

In the event that individual parts of or formulations contained in this text are not, or are no longer, legally valid (either in whole or in part), the content and validity of the remaining parts of the document are not affected.

Trademarks

The following names and designations are registered trademarks of Deutsche Börse AG or an affiliate of Deutsche Börse Group:

1585[®]; A7[®]; Buxl[®]; C7[®]; CDAX[®]; CEF[®]; CEF alpha[®]; CEF ultra[®]; CFF[®]; Classic All Share[®]; Clearstream[®]; CX[®]; D7[®]; DAX[®]; DAXglobal[®]; DAXplus[®]; DB1 Ventures[®]; DBIX Deutsche Börse India Index[®]; Deutsche Börse[®]; Deutsche Börse Capital Markets Partner[®]; Deutsche Börse Commodities[®]; Deutsche Börse Venture Network[®]; Deutsches Eigenkapitalforum[®]; DivDAX[®]; eb.rexx[®]; eb.rexx Jumbo Pfandbriefe[®]; ERS[®]; eTriParty[®]; Eurex[®]; Eurex Bonds[®]; Eurex Clearing Prisma[®]; Eurex Improve[®]; Eurex Repo[®]; Euro GC[®]; ExServes[®]; EXTF[®]; F7[®]; FDAX[®]; FWB[®]; GC Pooling[®]; GCPI[®]; GEX[®]; Global Emission Markets Access – GEMA[®]; HDAX[®]; iNAV[®]; L-DAX[®]; L-MDAX[®]; L-SDAX[®]; L-TecDAX[®]; M7[®]; MDAX[®]; N7[®]; ODAX[®]; ÖkoDAX[®]; PROPRI[®]; REX[®]; RX REIT Index[®]; SCHATZ-FUTURE[®]; SDAX[®]; ShortDAX[®]; Statistix[®]; T7[®]; TecDAX[®]; Technology All Share[®]; TRICE[®]; USD GC Pooling[®]; VDAX[®]; VDAX-NEW[®]; Vestima[®]; Xscreen[®]; Xemac[®]; Xentric[®]; Xetra[®]; Xetra-Gold[®]; Xpect[®]; Xpider[®]; XTF[®]; XTF Exchange Traded Funds[®]; We make markets work[®]

The names and trademarks listed above do not represent a complete list and, as well as all other trademarks and protected rights mentioned in this publication, are subject unreservedly to the applicable trademark law in each case and are not permitted to be used without the express permission of the registered owner. The simple fact that this publication mentions them does not imply that trademarks are not protected by the rights of third parties.

The STOXX[®] indices, the data included therein and the trademarks used in the index names are the intellectual property of STOXX Ltd., Zug, Switzerland and/or its licensors. Eurex' derivatives based on the STOXX indices are in no way sponsored, endorsed, sold or promoted by STOXX and its licensors and neither STOXX nor its licensors shall have any liability with respect thereto.

STOXX iSTUDIO[®] is a registered trademark of STOXX Ltd., Zug, Switzerland.

TRADEGATE[®] is a registered trademark of Tradegate AG Wertpapierhandelsbank.

EEX[®] is a registered trademark of European Energy Exchange AG.

Flexible is better.[®] is a registered trademark of Axioma, Inc.

Abstract

This guide offers concise instructions for using the GUI for Short Code ID and Algo ID registration and maintenance submissions. It covers login, file submission, manual entries via eForm and status monitoring.

History

Version	Date	Reason
1.0	30.10.2023	Introducing the GUI and functionalities
1.1	01.12.2023	Update chapter 2.1 and 2.2 (Access right change of name)
1.2	13.06.2024	Restructuring chapter 4.2, introduction chapter 4.3 covering the new eForm for manual submission of Short Code IDs and Algo IDs

List of Abbreviations

CET	Central European Time
CRE	Common Report Engine
CTS	Customer Technical Support
CUE	Common Upload Engine
ESMA	European Securities and Markets Authority
FWB	Frankfurter Wertpapierbörse
GUI	Graphical User Interface
LEI	Legal Entity Identifier
MIC	Market Identifier Code
MIFID	Markets in Financial Instruments Directive
MIFIR	Markets in Financial Instruments Regulation
PROD	Production environment
SIMU	Simulation environment
TKAM	Technical Key Account Manager

Table of Contents

1	Introduction	6
2	Account setup and technical prerequisites	6
2.1	Prerequisites	6
2.2	Account activation and setup	6
3	Accessing the GUI	7
4	GUI Interface	8
4.1	Inbox	9
4.2	File upload Short Code ID and Algo ID	10
4.2.1	File upload process.....	10
4.2.2	Naming convention	11
4.3	eForm Short Code ID and AlgoID	11
4.3.1	Submission process Short Code ID.....	11
4.3.2	Submission process Algo ID.....	15
5	Cut-off time and service availability	19
6	Contact.....	19
7	Link to documents	19

Table of Figures

Figure 1: Member Section account setup	6
Figure 2: Accessing the GUI	7
Figure 3: Link to GUI.....	7
Figure 4: GUI Interface	8
Figure 5: Control functions	8
Figure 6: Short Code ID and Algo ID file upload and eForm features	8
Figure 7: Inbox	9
Figure 8: Validation Errors.....	9
Figure 9: Upload Short Code ID	10
Figure 10: Upload Algo ID	10
Figure 11: eForm Short Code ID - new record	11
Figure 12: eForm Short Code ID - failed validation.....	12
Figure 13: eForm Short Code ID - successful validation.....	13
Figure 14: eForm Short Code ID - modification.....	13
Figure 15: eForm Short Code ID - deletion	13
Figure 16: eForm Short Code ID - data submission	14
Figure 17: eForm Short Code ID - submitted files in the Inbox	14
Figure 18: eForm Algo ID - new record.....	15
Figure 19: eForm Algo ID - failed validation	16
Figure 20: eForm Algo ID - successful validation	16
Figure 21: eForm Algo ID - modification	17
Figure 22: eForm Algo ID - deletion	17

Figure 23: eForm Algo ID - data submission 18
Figure 24: eForm Algo ID - submitted files in the Inbox..... 18
Figure 25: Upload functionality message 19

1 Introduction

This user guide is designed to help trading participants navigate and use the Short Code ID and Algo ID upload GUI (“GUI”) effectively. The next section delves into the setup of user accounts and their prerequisites. The third chapter focuses on the visualization of GUI access, while the fourth chapter provides a comprehensive overview of the field descriptions and the functionality for the file upload and manual submission via eForm of Short Code IDs and Algo IDs. The fifth chapter provides information about the cut-off time and service availability. The sixth and seventh chapters provide contacts and links for support related matters.

Detailed explanation of the regulatory requirements and implemented solution can be found under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

2 Account setup and technical prerequisites

2.1 Prerequisites

The user must ensure that the following technical prerequisites are met before accessing the GUI:

1. Member Section active user account with the necessary rights granted for:
 - GUI – Upload Short Code ID and / or
 - GUI – Upload Algo ID
2. Common Upload Engine (CUE) user setup

If both prerequisites are fulfilled already, please go to chapter 3.

2.2 Account activation and setup

Required users and respective rights shall be set up in order to meet the prerequisites.

1. Member Section: Please request the required user rights under the following path, which must be approved by the central coordinator:
 - membersection.deutsche-boerse.com > My Profile > Permissions

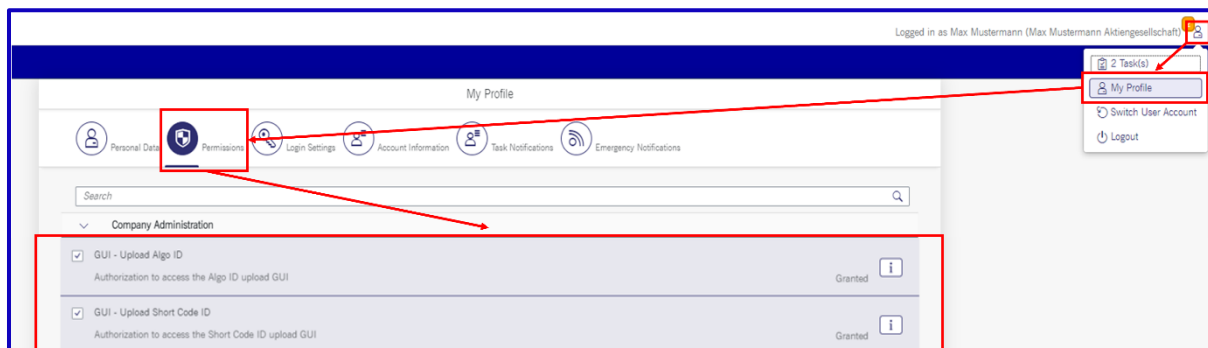


Figure 1: Member Section account setup

2. CUE: Please set up the CUE user following the instructions of the “Common Report & Upload Engine User Guide”, which can be found under the following paths:
 - Xetra.com > Technology > T7 trading architecture > System documentation > Most recent release > Reports
 - Eurex.com > Support > Technology > Common Report Engine (CRE)

3 Accessing the GUI

Please access the GUI by following the path:

- membersection.deutsche-boerse.com > Company Administration > Short Code ID / Algo ID Upload GUI

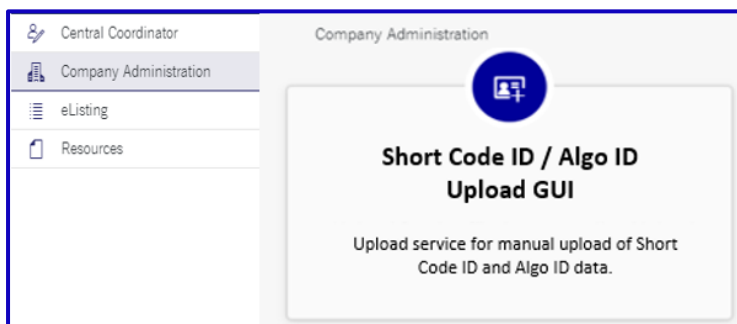


Figure 2: Accessing the GUI

Please find the link to the GUI:



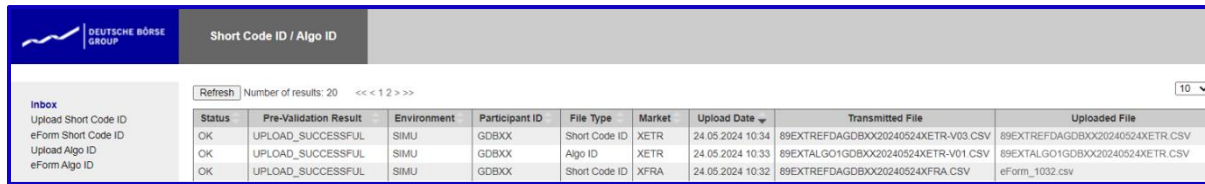
Figure 3: Link to GUI

If all technical prerequisites are set up and all permissions are granted the GUI can be accessed directly via the following link:

- <https://e-listing.deutsche-boerse.com/e-listing/ext?sclc>

4 GUI Interface

Please find the GUI below:



Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date	Transmitted File	Uploaded File
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	24.05.2024 10:34	89EXTREFDAGDBXX20240524XETR-V03.CSV	89EXTREFDAGDBXX20240524XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	24.05.2024 10:33	89EXTALGO1GDBXX20240524XETR-V01.CSV	89EXTALGO1GDBXX20240524XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	24.05.2024 10:32	89EXTREFDAGDBXX20240524XFRA.CSV	eForm_1032.csv

Figure 4: GUI Interface

The GUI provides various functionalities to control the session, which are in the right corner of the screen:

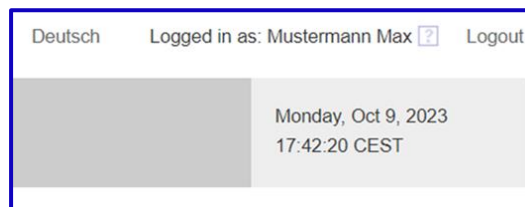


Figure 5: Control functions

Session control functions

- **Language Selection:** Option to switch between English and German.
- **Login Information:** The currently logged-in username.
- **Help:** Important user information and guides for assistance.
- **Logout:** Logout button to end the GUI session securely and prevent unauthorized access. An automatic logout is performed after 6 hours of inactivity.
- **Date Display:** The current date/time.

Dedicated tabs for Short Code ID and Algo ID uploads are located on the left side of the interface, which offer specific features:

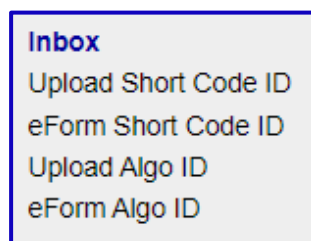


Figure 6: Short Code ID and Algo ID file upload and eForm features

Short Code ID and Algo ID Features

- **Inbox:** List of uploads, which are currently being processed and historical uploads from the last 10 trading days. It allows the monitoring of ongoing uploads and the view of completed ones.
- **Upload Short Code ID:** Submission of Short Code ID upload files.

- **eForm Short Code ID:** Manual submission of Short Code ID data.
- **Upload Algo ID:** Submission of Algo ID upload files.
- **eForm Algo ID:** Manual submission of Algo ID data.

4.1 Inbox

The inbox provides an overview about successfully submitted entries via eForm, from which an upload file is created by the GUI, uploaded files submitted by the user, rejected files and corresponding feedback files (CUE log files) covering the error(s) of the failed pre-validation and the respective status. Historical uploads from the last 10 trading days are available. The files can be downloaded. This enables upload monitoring and immediate reaction in case of failed pre-validation.

Please find information about the applied pre-validations in the “CUE validation and file specification Short Code and Algo ID” document under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date	Transmitted File	Uploaded File
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XETR	24.05.2024 10:34	89EXTREFDAGDBXX20240524XETR-V03.CSV	89EXTREFDAGDBXX20240524XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Algo ID	XETR	24.05.2024 10:33	89EXTALGO1GDBXX20240524XETR-V01.CSV	89EXTALGO1GDBXX20240524XETR.CSV
OK	UPLOAD_SUCCESSFUL	SIMU	GDBXX	Short Code ID	XFRA	24.05.2024 10:32	89EXTREFDAGDBXX20240524XFRA.CSV	eForm_1032.csv

Figure 7: Inbox

- **Status:** The GUI transfers uploaded files and files resulting from entries in the eForm to the CUE for pre-validation. The possible statuses in the Inbox are:
 1. **In Queue:** Initial status directly after uploading the file. The file is awaiting a response from the server.
 2. **No Response:** The file transfer has failed. Please contact the technical support. Please refer to chapter 6 “Contact”.
 3. **Failed:** Files with this status were rejected due to non-compliance with pre-validation rules. By clicking on the button in the “Pre-Validation Result” column the feedback file (CUE log file) can be downloaded with detailed error information. By clicking on the button in the “Pre-Validation Result” the information is displayed in the GUI. Please address validation related questions via email to the Regulatory Reporting Analysts at client.services@deutsche-boerse.com.

Status	Pre-Validation Result	Environment	Participant ID	File Type	Market	Upload Date	Transmitted File	Uploaded File
Failed	VALIDATION_FAILED	SIMU	GDBXX	Short Code ID	XEUR	04.06.2024 09:02	89EXTREFDAGDBXX20240604XEUR-V01.CSV	89EXTREFDAGDBXX20240604XEUR-V01.CSV
Failed	VALIDATION_FAILED	SIMU	GDBXX	Short Code ID	XEUR	04.06.2024 09:02	89EXTREFDAGDBXX20240604XEUR.CSV	89EXTREFDAGDBXX20240604XEUR.CSV

Figure 8: Validation Errors

4. **OK:** Files were successfully pre-validated and transmitted to the comprehensive validation in the data warehouse. Final results are provided in the error and overview reports TR160 / TR161 for Short Code ID and in TR162 / TR163 for Algo ID registrations. The reports are available on CRE.

- **Pre-Validation Result:** This column provides the information about failure or success of the upload file.
- **Environment:** Environment selected by the user in the upload / new record form. “SIMU” for the simulation environment and “PROD” for the production environment.
- **Participant ID:** Permitted participant ID selected by the user in the upload / new record form.
- **File Type:** File type chosen by the user in the upload / new record form, i.e. Short Code ID or Algo ID.
- **Market:** The permitted MIC chosen by the user in the upload / new record form.
- **Upload Date:** This column provides the time and date of the file upload.
- **Transmitted File:** This column contains the final filename, which was transmitted to CUE.
- **Uploaded File:** This column contains the filename of the uploaded file or the file, which was created by the GUI with manual entries via eForm. Click the filename in order to download the file if needed.

4.2 File upload Short Code ID and Algo ID

4.2.1 File upload process

In the upload sections “Upload Short Code ID” and “Upload Algo ID” the user must fill mandatory fields in the file upload form:

- **Environment:** “SIMU” for the simulation environment and “PROD” for the production environment.
- **Market:** Available MIC codes depend on member data and Participant ID admission.
- **Participant ID:** Available Participant IDs depend on member data and Participant ID admission.

After the selection of the applicable field values the system provides the correct filename according to the naming convention, if not already met by the user (please refer to chapter 4.2.2 for further details), and the upload file can be chosen:

Environment*
SIMU

Market*
XETR

Participant ID
GDBXX

Required upload filename: 89EXTREFDAGDBXX20231018XETR.CSV
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Short Code ID

Link to documents Xetra and Börse Frankfurt, Eurex, EEX

Figure 9: Upload Short Code ID

Environment*
SIMU

Market*
XETR

Participant ID
GDBXX

Required upload filename: 89EXTALGO1GDBXX20231018XETR.CSV
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Algo ID

Link to documents Xetra and Börse Frankfurt, Eurex, EEX

Figure 10: Upload Algo ID

- Click on “Choose File” and select the file to upload.
- Click on “Upload SC” / “Upload Algo” to start the upload process.
- After initiating the upload, a notification about the success of the upload is provided within the upload form.

For a comprehensive description of the file structure and field population, please refer to the “Information handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime”. Please find the link to the document in the “Link to documents” or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

4.2.2 Naming convention

The system presents the naming convention of the filename, which is based on the selected values of the user. The GUI will provide the file name automatically, and if not used, it will automatically rename the uploaded file. This standardized filename is utilized in all reports for the ease of monitoring purposes. It is strongly recommended to adhere to the naming convention already whilst preparing the upload file.

Please note that for files uploaded on non-trading days the GUI will set the date in the filename to the next trading day based on the exchange trading calendar and the file will be processed within the next trading day’s overnight batch.¹

4.3 eForm Short Code ID and AlgoID

4.3.1 Submission process Short Code ID

4.3.1.1 eForm data entry

In section “eForm Short Code ID” the user can fill in Short Code data with “Add new”:

Figure 11: eForm Short Code ID - new record

- **Environment:** “SIMU” for the simulation environment and “PROD” for the production environment.
- **Market:** Available MIC codes depend on member data and Participant ID admission.
- **Participant ID:** Available Participant IDs depend on member data and Participant ID admission.
- **Status Indicator:** “N” for new registration, “M” for modification and “D” for deletion.

¹ Please refer to the trading calendar for simulation and production for XETR and XFRA (simulation and production: <https://www.xetra.com/xetra-en/trading/trading-calendar-and-trading-hours>) as well as for XEUR (simulation: <https://www.eurex.com/ex-en/support/initiatives/simulation-calendar>; production: <https://www.eurex.com/ex-en/trade/trading-calendar>).

- **Valid From Date:** For status indicator “N” and “M” the Valid From Date can be t-1, t, t+1. For deletions only t+1 is available.
- **Short Code ID:** A valid numerical Short Code ID must be added.
- **Classification Rule:** Available Classification Rules are “N” for National IDs of natural persons, “L” for LEIs of legal persons and “EMPTY” for the ESMA values “PNAL”, “AGGR”, “NORE”.
- **National ID Country Code:** Available Country Codes are those of ISO list 3166-1 alpha 2. If Classification Rule is “EMPTY” then this field must be empty too and is therefore disabled.
- **National ID Priority:** Available values “1”, “2” and “3” depending on the ESMA defined priorities.² If Classification Rule is “EMPTY” then this field must be empty too and is therefore disabled.
- **Client Long Value:** A valid Long Code must be added. If Classification Rule, National ID Country Code and National ID Priority are “EMPTY”, then only the values “PNAL”, “AGGR”, or “NORE” are permitted from the drop-down menu.

For a comprehensive description of data structure and field population, please refer to the “Information handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime”. Please find the link to the document in the “Link to documents” or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

Once the data record is complete the user clicks on “Submit” and the data is pre-validated.

Failed validation

Failed data validation is displayed in the “new record form” and marked red.

New record

Environment* SIMU

Market*

Participant ID*

Status Indicator* N - New registration

Valid From Date* 16.05.2024 17

Short Code ID* 421454

Classification Rule* Empty - ESMA value

National ID Country Code

National ID Priority

Client Long Value* PNAL

An asterisk (*) indicates a required field

Market is required
Participant ID is required
Invalid value in field Valid From Date

Figure 12: eForm Short Code ID - failed validation

² ESMA table “National client identifiers for natural persons” (ESMA Questions and Answers on MiFIR data reporting, 25 May 2018 ESMA70-1861941480-56)

Successful validation

Successfully pre-validated data records are displayed and can also be modified if needed. Please note that the data is not submitted yet. Please refer to chapter 4.3.1.4 for more information.

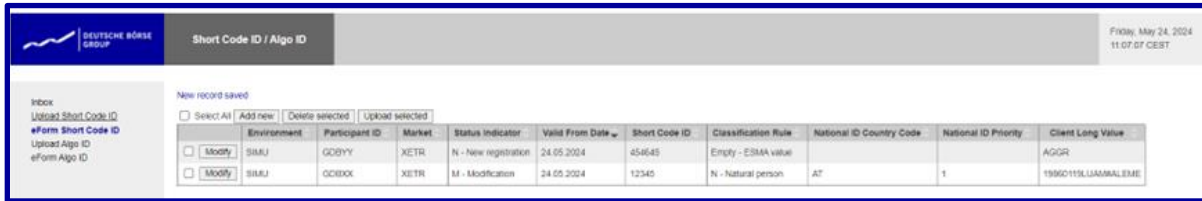


Figure 13: eForm Short Code ID - successful validation

4.3.1.2 eForm modification of data entries

In order to modify a data record, the user clicks on “Modify” and an “Edit record” window opens. The modification can be conducted. The data record can be submitted or the modification can be cancelled.

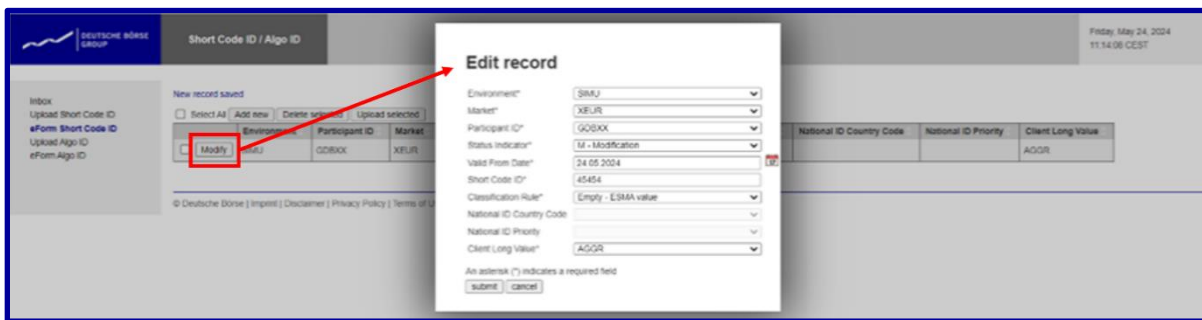


Figure 14: eForm Short Code ID - modification

4.3.1.3 eForm deletion of data entries

In order to delete a data record, the user selects the data record and clicks on “Delete selected” and a window opens for confirmation. The deletion can be conducted or cancelled.

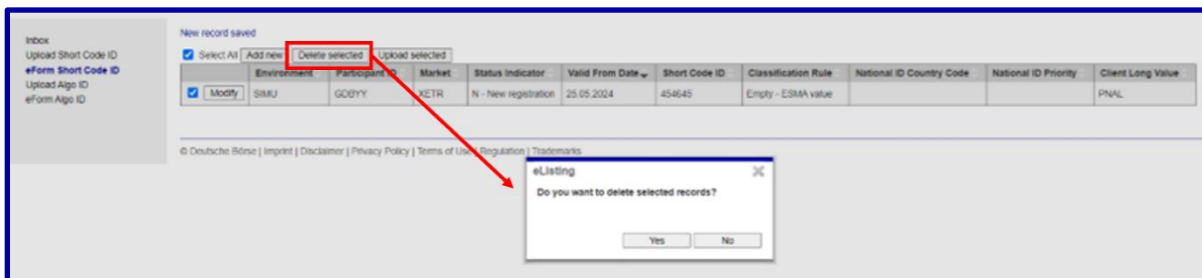


Figure 15: eForm Short Code ID - deletion

4.3.1.4 eForm data submission

In order to submit the data to the trading venue the user selects the data records and uploads the data with “Upload selected”. In the background the GUI automatically creates a CSV upload file and submits the file to CUE for validation. In case the user added data records for different MICs (or Participant IDs or Environments) the GUI automatically creates one file per MIC (or Participant ID or Environment). The file name(s) is displayed in the view after submission (please refer to chapter 4.2.2 for more information on the naming convention).

Please note that entries, which are not submitted by the trading day’s cut-off time 23:30 CET will be removed from the eForm.



Figure 16: eForm Short Code ID - data submission

The upload file(s) is displayed in the Inbox. The files generated from the eForm are named “eForm_HHMM.csv” in column “Uploaded File”. This includes the timestamp of submission of the records for traceable action.

The preliminary validation results of CUE are provided back to the user as described in chapter 4.1. Please note that the final validation is processed in the overnight batch and provided in the error report TR160 and the valid registrations are provided in the overview report TR161.

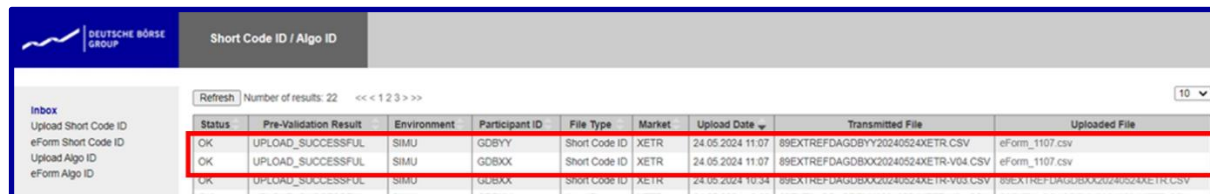


Figure 17: eForm Short Code ID - submitted files in the Inbox

4.3.2 Submission process Algo ID

4.3.2.1 eForm data entry

In section “eForm Algo ID” the user can fill in Algo ID data with “Add new”:

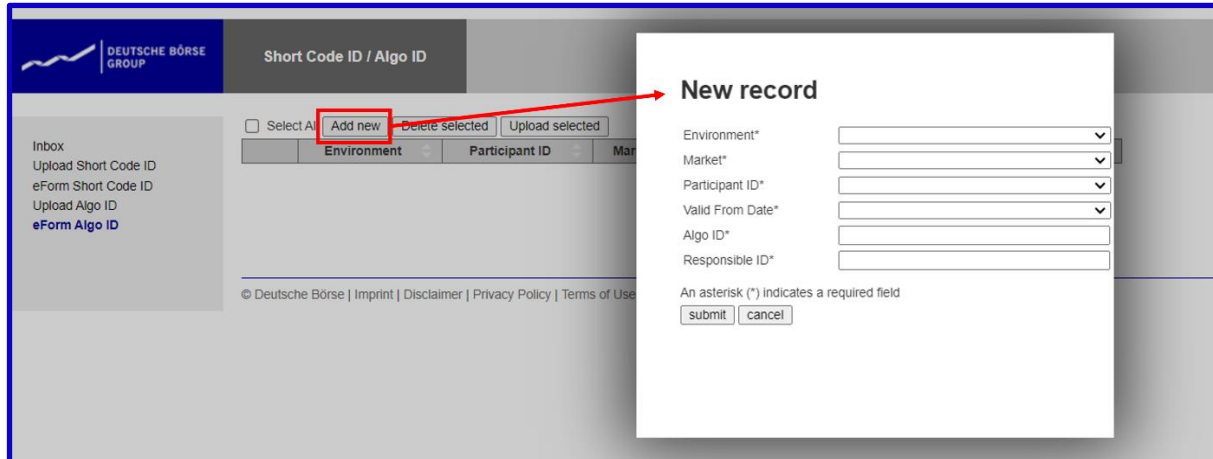


Figure 18: eForm Algo ID - new record

- **Environment:** “SIMU” for the simulation environment and “PROD” for the production environment.
- **Market:** Available MIC codes depend on member data and Participant ID admission.
- **Participant ID:** Available Participant IDs depend on member data and Participant ID admission.
- **Valid From Date:** The Valid From Date can be t or t+1.
- **Algo ID:** A valid numerical Algo ID must be added.
- **Responsible ID:** A valid email address must be added.

For a comprehensive description of data structure and field population, please refer to the “Information handbook for audit trail and other regulatory reporting under the MiFID II / MiFIR regime”. Please find the link to the document in the “Link to documents” or under the following paths:

- Xetra.com > Newsroom > Current regulatory topics > MiFID II and MiFIR > Reference data reporting
- Eurex.com > Rules & Regs > MiFID II / MiFIR > Client & member reference data

Once the data record is complete the user clicks on “Submit” and the data is pre-validated.

Failed validation

Failed validation of data is displayed in the “new record form” and marked red.

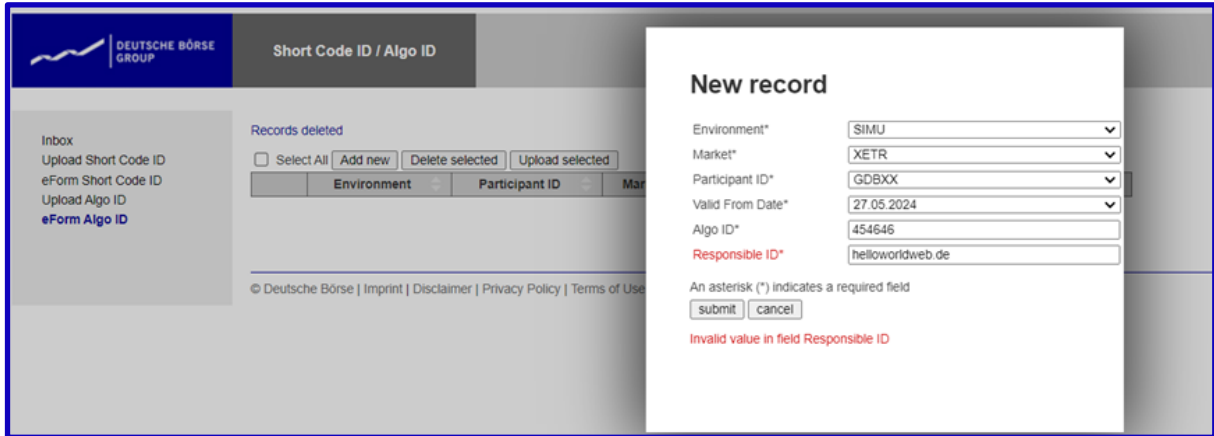


Figure 19: eForm Algo ID - failed validation

Successful validation

Successfully pre-validated data records are displayed and can also be modified if needed. Please note that the data is not submitted yet. Please refer to chapter 4.3.2.4 for more information.

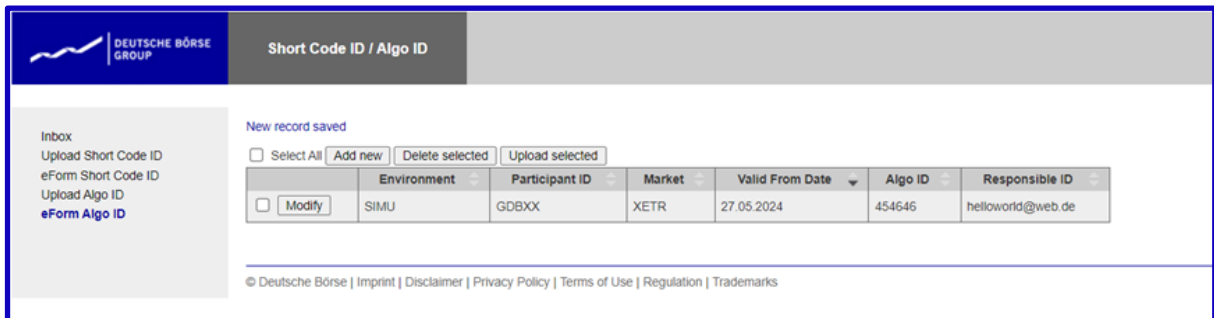


Figure 20: eForm Algo ID - successful validation

4.3.2.2 eForm modification of data entries

In order to modify a data entry, the user clicks on “Modify” and an “Edit record” window opens. The modification can be conducted. The data record can be submitted or the modification can be cancelled.

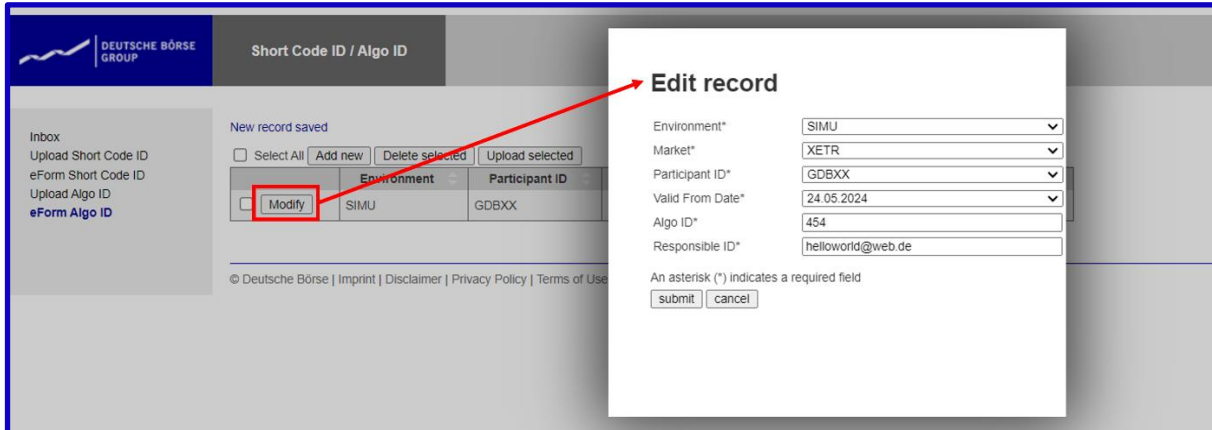


Figure 21: eForm Algo ID - modification

4.3.2.3 eForm deletion of data entries

In order to delete a data entry, the user selects the data record and clicks on “Delete selected” and a window opens for confirmation. The deletion can be conducted or cancelled.

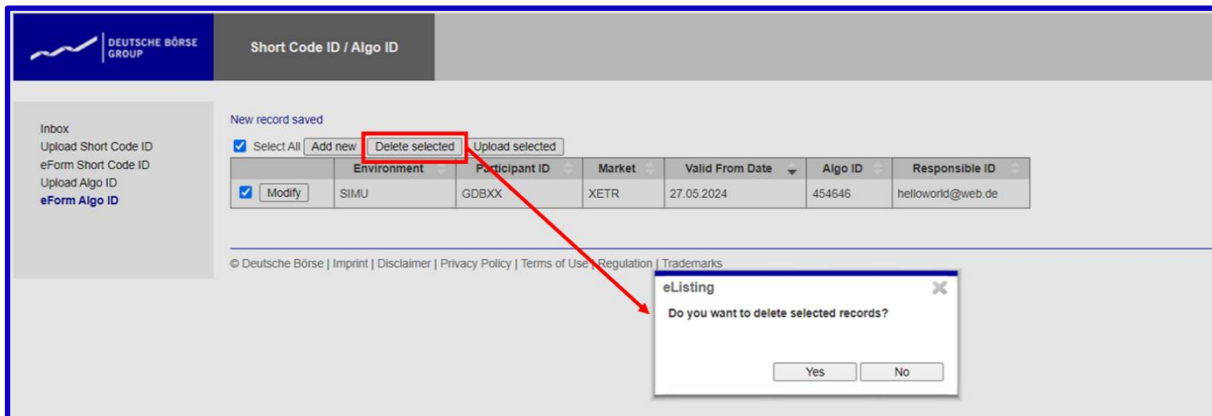


Figure 22: eForm Algo ID - deletion

4.3.2.4 eForm data submission

In order to submit the data to the trading venue the user selects the data records and uploads the data with “Upload selected”. In the background the GUI automatically creates a CSV upload file and submits the file to CUE for validation. In case the user added data records for different MICs (or Participant IDs or Environments) the GUI automatically creates one file per MIC (or Participant ID or Environment). The file name(s) is displayed in the view after submission (please refer to chapter 4.2.2 for more information on the naming convention).

Please note that entries, which are not submitted by the trading day’s cut-off time 23:30 CET will be removed from the eForm.



Figure 23: eForm Algo ID - data submission

The upload file(s) is displayed in the Inbox. The files generated from the eForm are named “eForm_HHMM.csv” in column “Uploaded File”. This includes the timestamp of submission of the records for traceable action.

The preliminary validation results of CUE are provided back to the user as described in chapter 4.1. Please note that the final validation is processed in the overnight batch and provided in the error report TR162 and the valid registrations are provided in the overview report TR163.

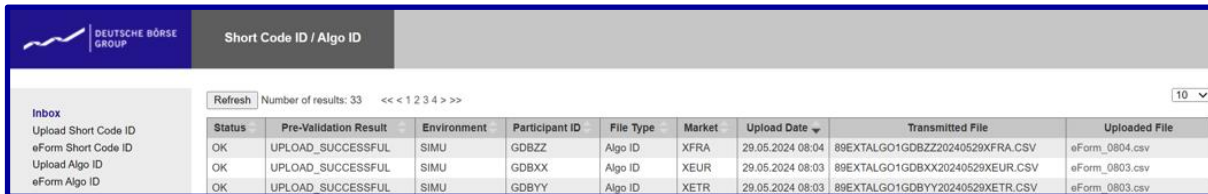


Figure 24: eForm Algo ID - submitted files in the Inbox

5 Cut-off time and service availability

For Short Code ID and Algo ID uploads the trading day's cut-off time is 23:30 CET. Files uploaded by then are processed in the overnight batch. The upload functionality is disabled between 23:30 and 00:00 CET and the following message is provided to the user for upload attempts during this time:

Inbox

- Upload Short Code ID**
- eForm Short Code ID
- Upload Algo ID
- eForm Algo ID

The CUE system is currently unavailable, please use the upload functionality between 00:00 - 23:30 O'Clock.

Environment*
SIMU

Market*
XETR

Participant ID*
GDBXX

Required upload filename: 89EXTREFDAGDBXX20240524XETR.CSV
Your document will be automatically renamed to adhere to the CUE naming convention.

Choose File No file chosen

Upload Short Code ID

[Link to documents Xetra and Börse Frankfurt, Eurex, EEX](#)

Figure 25: Upload functionality message

6 Contact

For technical support please contact the Customer Technical Support (CTS), which is available 24/5, from Monday 00:00 to Friday 22:00 CET:

- Technical Key Account Manager (TKAM) via dedicated phone number
- CTS via hotline +49 69 211 10 888 or by email at cts@deutsche-boerse.com

For functional support please contact the Regulatory Reporting Analysts, which are available from Monday to Friday between 9:00 and 18:00 CET:

- Regulatory Reporting Analyst via hotline +49 69 211 28991 or by email at client.services@deutsche-boerse.com

7 Link to documents

Additional support and resources are offered via “Link to documents” feature. This link directs you to a webpage where you can access a wide range of guidelines and documents related to the Short Code ID and Algo ID solutions. This serves as a central repository of information and includes the latest updates regarding upload file structures, file population and other relevant information.