DEMATERIALIZED SECURITIES SYSTEM

Using an FTP server to receive files from ATHEX

Technical Specifications

30/06/2014

REVISION LIST

Ver.	Paragraph	Revision Information - Reason for Change
1		1st version

Contents

1   Introduction

In the context of providing its clearing and settlement services , the ATHEX Group Dematerialized Securities System makes available to its Participants (clearing members, trading members e.t.c.), several types of files, containing data related to these services.

Besides making the files manually available to a Participant via the GUI, the DSS, acting as an FTP client, can export these files in regular intervals and on a subscription basis by accessing an FTP server operated by that Participant. This server must, at the same time, reside both in the Participant's intra-network and the ATHEX network. The DSS uses credentials (a priori made known to it) to log into the particular server and place the files to specific preconfigured directories, dedicated to this activity.

For a Participant that operates an ATHEX Gateway, it is recommended that the Participant exploits the established infrastructure by installing an FTP server on the same computer that hosts the ATHEX Gateway.

This document describes the prerequisites on the Participant side and the information that must be provided to ATHEX for receiving these files.

2 Acronyms and terms
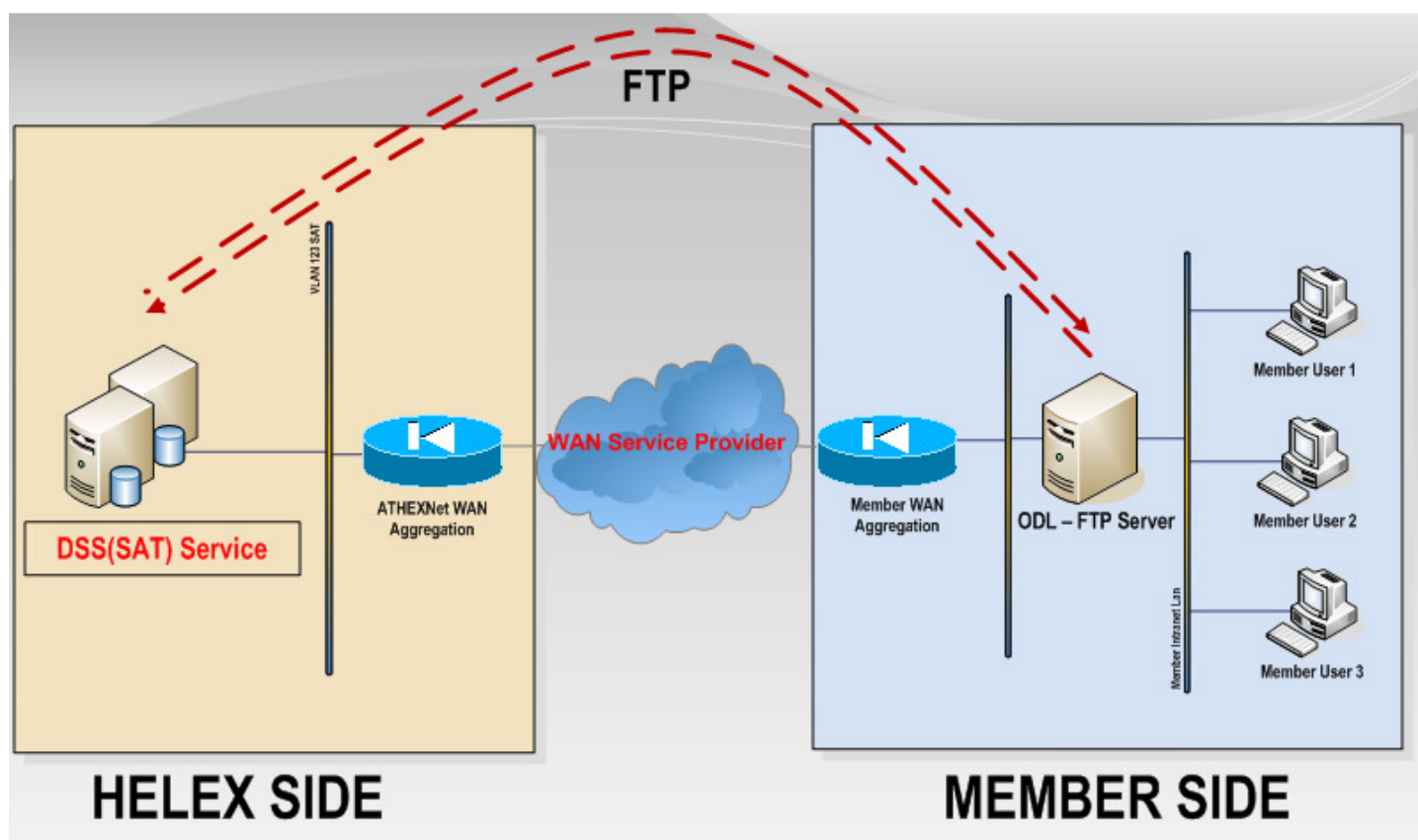
The following acronyms and terms are used in the text:

API	Application Programming Interface
ATHEX	The Athens Exchange.
DSS	Dematerialized Securities System. The set of systems of the IT infrastructure of ATHEX that serves, amongst other things, the functions of **Clearing, Settlement and Registry.**
NOC	Network Operations Center
Participant	Any legal entity allowed to participate with one or more roles in the functions of the ATHEX markets during and/or after trading, according to the regulation governing the particular market.

3   Infrastructure setup

The DSS module responsible for the transfer of the files using FTP is the DSS API. In order to receive files from the DSS API a Partipant needs to:

1) Set up and initiate an FTP server, that belongs both to the Participant's intranet and the ATHEX network. Co-ordination with ATHEX's Network Operations Center (NOC) will be required. The recommended hardware and software specs for the FTP server are identical to the specification of an ATHEX Gateway.
2) Establish an FTP account on the particular server on behalf of the DSS API.
3) Create the following directories under the home directory of the newly created FTP account:
   - **in** (reserved for future use)
   - **out** (reserved for future use)
   - **data** (this is the directory that will receive the files)
4) Provide ATHEX's Member Support Department with the FTP account credentials.
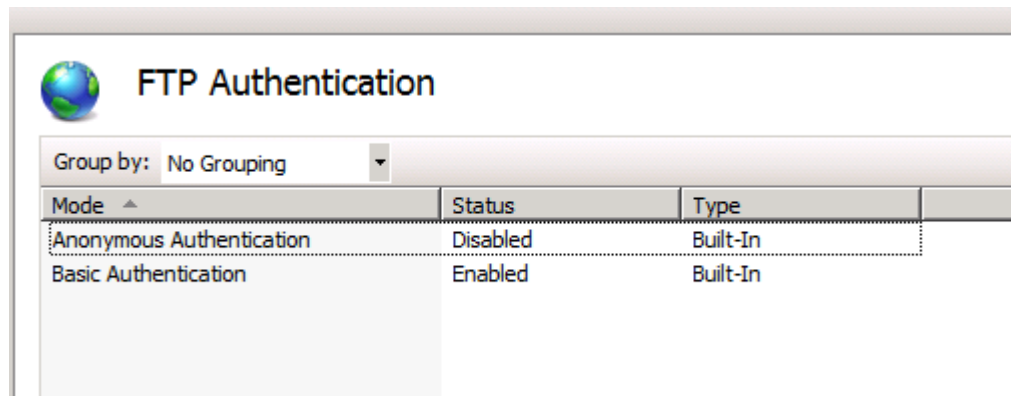5) In co-ordination with ATHEX's NOC, provide ATHEX with network accessibility for the particular service.

A typical implementation exploiting an already deployed ATHEX Gateway infrastructe is shown below, where the FTP server is installed on the same host where the ATHEX Gateway resides. The dashed lines indicate the two ends of the FTP communication path. Again, as mentioned in the instroduction and above, the icon representing the ATHEX Gateway can represent any computer, capable of hosting an FTP server without providing any further functionality.
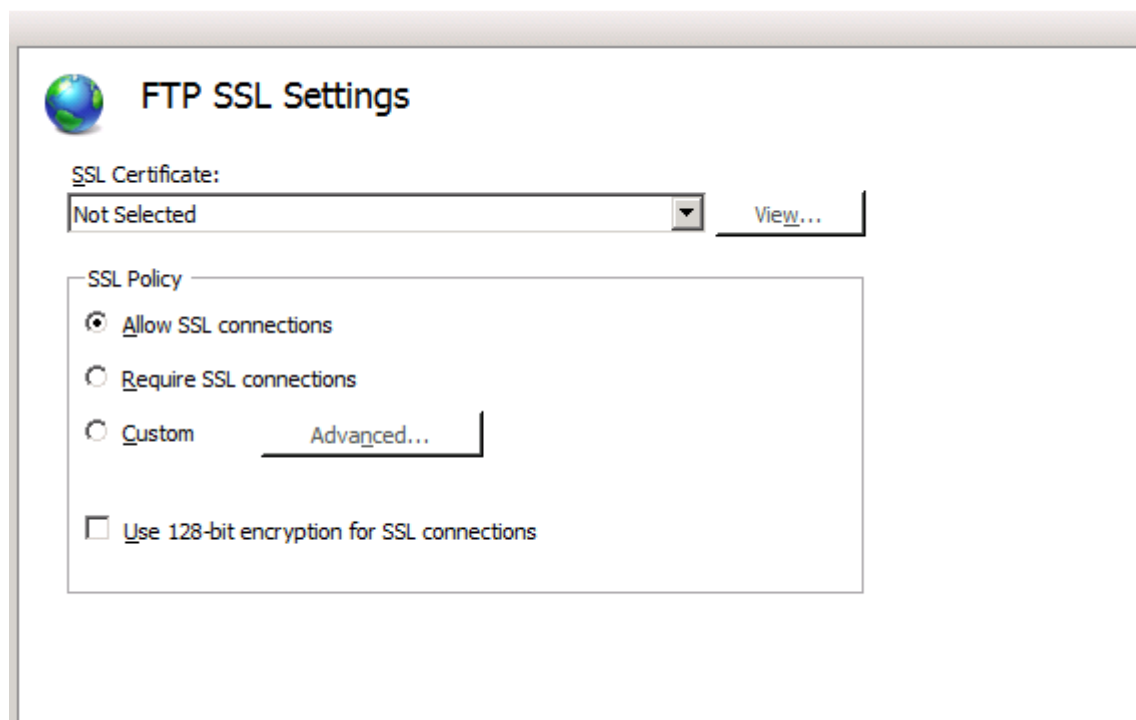
4   Recommended Servers

4.1   FTP

For testing simple FTP, ATHEX has conducted successful internal FTP tests by utilizing the ISS FTP server on top of **Windows Server 2008 R2 Standard, Service Pack 1** with the following settings for authentication and SSL usage:

However it should be noted that SSL connections have not been tested.